



**SUPPORT FOR SADC MEMBER STATES ON CUSTOMS
MODERNISATION AND TRADE FACILITATION TOWARDS THE
SADC CUSTOMS UNION**

**PROVISION OF TECHNICAL ASSISTANCE TO THE SADC
SECRETARIAT**

PROJECT (9 ACP SAD 009)

**REPORT ON THE
CAPACITY BUILDING DIAGNOSTIC STUDY**

(Gap Analysis)

OF THE

SADC MEMBER STATES

JULY TO SEPTEMBER 2008

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The Study Teams would like to thank the Commissioners General, Heads of Customs and their teams in the participating countries for the support and co-operation they received during the eight week mission that the three teams of experts undertook. They also wish to thank the HR and Training Departments (and training schools) for guiding them and making available various documents that have made this report possible.

Their special thanks to the various Customs stakeholders, in particular Customs Agents and representatives of the private sector, for making time to provide input to the study.

Lastly, but not least, special mention is made of the SADC Contact Points/Capacity Building Units of Customs whose efficient co-ordination and execution made the Study Teams' work easy.

BURS	Botswana Unified Revenue Service
CAPE	Customs Automated Processing Exchange
CAWG-CB	Customs Advisory Work Group on Capacity Building
CAWG-TRG	Customs Advisory Working Group on Training
CB	Capacity Building
CM	Common Market
CMS	Customs Management System (CMSI & CMSII)
CMTF	Customs Modernisation and Trade Facilitation
COMESA	Common Market for Eastern & Southern Africa
CU	Customs Union
DNA	Direccao Nacional das Alfandegas (Angola Customs)
DRC	Democratic Republic of Congo
EAC	East African Community
EDF	European Development Fund
EU	European Union
FAST	Flexible Anti-smuggling Team
FTA	Free Trade Area
GDP	Gross Domestic Product
HR	Human Resource
HS	Harmonised System
INCUC	International Network of Customs Universities
IOC	Indian Ocean Community
ITA	Institute of Tax Administration (MRA, Malawi)
KIA	Key Intervention Areas
KPI	Key Performance Indicator
KRA	Key Result Area
M&E	Monitoring & Evaluation
MAP	Madagascar Action Plan
MCD	Madagascar Customs Department
MDP	Management Development Programme
MoU	Memorandum/Memoranda of Understanding
MRA	Malawi <i>or</i> Mauritius Revenue Authority (To be read in context)
MU	Monetary Union
NAS	Nation Academy School
OFIDA	Democratic Republic of Congo Customs
PCA	Post Clearance Audit
PICARD	Partnership in Customs Academic Research and Development
RISDP	Regional Indicative Strategic Development Plan
RSA	Republic of South Africa (or South Africa)
SACU	Southern African Customs Union ¹
SADC	Southern African Development Community ²
SARS	South African Revenue Service
SCCC	Subcommittee on Customs Co-operation
SMDP	Senior Management Development Programme
TIFI	SADC Secretariat Directorate of Trade Industry Finance & Investment
TIMS	Trade Information Management System
TISCAN	Tanzania Inspection & Scanning Company
TNA	Training Needs Analysis (or “training needs”)
TOR	Terms of Reference
TRA	Tanzania Revenue Authority
UNDP	United Nations Development Programme
USA	United States of America
VAT	Value Added Tax
WAN	Wide Area Network
WCO	World Customs Organisation
WTO	World Trade Organisation
ZIMRA	Zimbabwe Revenue Authority
ZRA	Zambia Revenue Authority

¹ SACU countries are South Africa and the BNLS countries

² SADC comprises 15 countries: Angola, Botswana, Democratic Republic of Congo, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, Swaziland, Tanzania, Zambia, and Zimbabwe.

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<p>AGOA</p>	<p>In May 2000, the United States Congress approved legislation known as the African Growth and Opportunity Act (AGOA) aimed at assisting <i>eligible</i> economies of sub-Saharan Africa and to improve economic relations between the USA and Africa. AGOA opened the US market to a large number of African-sourced goods that are able to enter the United States free of import duty.</p> <p>AGOA provides trade preferences for quota and duty-free entry into the USA for certain goods, expanding the benefits under the Generalised System of Preferences (GSP) programme. Initially, AGOA was set to expire in 2008. In 2004, the United States Congress passed the AGOA Acceleration Act of 2004 which extended the legislation to 2015.</p> <p>The AGOA is not an Agreement.</p>
<p>Capacity Building (CB)</p>	<p>The WCO defines capacity building as "activities which strengthen the knowledge, abilities, skills and behaviour of individuals and improve institutional structures and processes such that the organization can efficiently meet its mission and goals in a sustainable way." In the context of a SADC Customs Union capacity building is seen as involving legislative change, the possible creation of new administrative infrastructures, the development and implementation of new systems and procedures, and a significant increase in the skills and knowledge of national Customs officials.</p>
<p>CAWG-CB</p>	<p>The Customs Advisory Work Group on Capacity Building (CAWG-CB) is responsible for advising on all areas where capacity gaps exist or are likely to occur. The CAWG-CB, created by the SCCC at their 17th Meeting in Mauritius, 22-28 November 2008, replaces and takes over the functions of the CAWG-TRG.</p>
<p>COLUMBUS PROGRAMME (or Columbus studies)</p>	<p>In June 2005, the WCO adopted the <i>Framework of Standards to Secure and Facilitate Global Trade</i> ("SAFE"), an international Customs instrument containing 17 standards that promotes security and facilitation of the international supply chain. Because of SAFE's complexity, the WCO launched in January 2006 a Customs capacity building programme called the <i>WCO Columbus Programme</i> which focuses on comprehensive needs assessments for WCO Members using the WCO Diagnostic Framework tool.</p>
<p>Common Market</p>	<p>A common market removes the restrictions on the movement of capital and labour allowing the free movement of goods, services and factors of production.</p>
<p>Customs Union (CU)</p>	<p>A CU is when a group of countries form a single Customs territory in which there is a free trade area and where a common external tariff applies to non members (such as SACU and the EU).</p>

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	<p>Agreement replaces previous 5-year agreements (first called Yaoundé and then Lomé Conventions) in governing cooperation between the two blocs. As a trade instrument, EPAs are basically free trade agreements (FTA) between the EU and ACP sub-regions where an internal free trade arrangement has already been or is being negotiated. The difference between the EPAs and any other FTA is that EPAs are fundamentally an instrument for development: they are to be negotiated in the comprehensive context of Cotonou, where there is assistance envisaged for regional integration, improved governance, social development, regulatory upgrading, environmental sustainability, and trade negotiation capacity building.</p>
Free Trade Area (FTA)	<p>A Free Trade Area is a group of countries in which tariff and non-tariff barriers are eliminated on substantially all trade between them. Each member maintains its own tariffs on non members (in contrast to a customs union).</p>
Human Resource Management	<p>Human Resource Management is a strategic approach to acquiring, training & developing, managing, motivating and gaining the commitment of the organisations key resources – the people who work in and for it.</p>
International Network of Customs Universities (INCU)	<p>The INCU has been established to provide the WCO and other organizations with a single point of contact with universities and research institutes that are active in the field of customs research, education and training. The INCU is also designed to provide a global resource for governments and the private sector, and an educational source for students wishing to further their knowledge in the field of customs management and administration, and international trade and logistics management.</p> <p>Memoranda of Understanding (MoU) have so far been signed between WCO and the following seven universities:</p> <ul style="list-style-type: none"> Riga Technical University, Latvia University of Muenster, Germany Centre for Customs & Excise Studies, University of Canberra, Australia Zayed University, United Arab Emirates The Faculty of Economics, University "Ss. Cyril and Methodius" (FE), Skopje, The Former Yugoslav Republic of Macedonia University of Le Havre, France Leeds Metropolitan University, United Kingdom.
Members	SADC Member States
Member State	SADC Member State
Monetary Union (MU)	<p>A Monetary Union establishes a single monetary authority which sets monetary policy and interest rates for the union, preparing the way for the introduction of a Single Currency.</p>
PICARD	<p>The Partnerships in Customs Academic Research and Development is an initiative of WCO. Recognising the importance of knowledge and education in the field of Customs, and that little was known about developments internationally, the WCO initiated a series of</p>

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	introduction of the PICARD programme was supported by several stakeholders including the private sector. The International Network of Customs Universities (INCU) was established following these meetings.
Project	Refers to the SADC EU supported Customs Modernisation and Trade Facilitation Project resident in the SADC Secretariat. It is the Project that commissioned this study.
Region	The SADC region
Regional Indicative Strategic Development Plan (RISDP)	<p>In March 2001, SADC Heads of State approved the preparation of the RISDP to underpin the restructuring of SADC institutions and provide a clear orientation for the policies and programmes of the organisation over the medium to long-term. The RISDP, which defines the SADC priorities and programmes towards deeper regional integration, was approved and launched in 2003.</p> <p>The RISDP objectives include the provision of Member States, SADC Secretariat and other institutions, regional and international stakeholders with a coherent and comprehensive long term implementation agenda.</p> <p>The main targets of the RISDP that will impact directly on the integration process are as follows:</p> <ul style="list-style-type: none"> • Target 1: Free Trade Area – 2008; • Target 2: completion of negotiations of the SADC Customs Union – 2010; • Target 3: completion of negotiations of the SADC Common Market – 2015; • Target 4: establishment of a Monetary Union - 2016 <p>Implementation of the RISDP will entail the implementation of various key protocols and agreements among Member States of SADC including the SADC Protocol on Trade.</p>
SADC Protocol on Trade	<p>The SADC Protocol on Trade which is the enabling legislation for intra-regional trade was signed in Maseru on the 24th of August 1996. Implementation began in 2000.</p> <p>The objectives of this Protocol are:</p> <ol style="list-style-type: none"> 1. To further liberalise intra-regional trade in goods and services on the basis of fair, mutually equitable and beneficial trade arrangements, complemented by Protocols in other areas (e.g. transport); 2. To ensure efficient production within SADC reflecting the current and dynamic comparative advantages of its Members; 3. To contribute towards the improvement of the climate for domestic, cross-border and foreign investment; 4. To enhance the economic development, diversification and industrialisation of the Region; and 5. To establish a Free Trade Area in the SADC Region.
SADC Trade Protocol – Mid-Term Review	The Mid-Term Review (MTR) of the implementation of the SADC Protocol on Trade, carried out in 2004, points to a number of important draw backs within the trading chain. This report is available on the SADC website. The MTR recommends improved transparency on

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structured dialogue between public and private sector in the interest

	<p>ed as a broad statement of where the organisation as a whole or a significant part of it, is going in the longer term to achieve its objectives. It defines overall means to achieve ends and is a declaration of intent which provides for the development and implementation of action plans and programmes. A successful strategy adds value for the targeted customers over the long run by consistently meeting their needs.</p>
Training Logs	<p>A training log itemises the courses that have been attended and results achieved by a particular individual, and also notes all training and development received. Upon deployment of the individual, the training log will assist the new line manager to identify immediate training gaps in relation to the new job and to plan future development efforts.</p>
Training Matrix	<p>A guide to the training that is required, the length of the training intervention and the scheduling of the training for a given position. Training matrices can be made job specific as well as staff specific.</p>
WCO DIAGNOSTIC FRAMEWORK	<p>The Columbus Programme lifecycle is based on the WCO Diagnostic Framework Project Lifecycle. The seven steps are:</p> <ol style="list-style-type: none"> (1) Project Identification (WCO Member requests assistance from the WCO Secretariat or a donor Member; donor coordination); (2) Initial Assessment (WCO Self-Assessment Checklist); (3) Needs Assessment (diagnostic missions); (4) Project Preparation (action plan and business case if necessary); (5) Implementation; (6) Monitoring; and the last step (7) Evaluation (evaluation of project objectives and outcomes). <p>While this is the appropriate sequencing, there is of necessity some overlap.</p>

Community (SADC) Customs Capacity Building Result Area 1 of the SADC Customs Modernisation and Trade Facilitation EU-funded project conducted a Gap Analysis in the SADC Member States between July and September 2008 under the Terms of Reference (TOR) as shown (in abridged form) in Annex A. This is a report of the findings and recommendations of the work of the three teams that conducted the study.

The overall goal of this study is to bring all the SADC Member States Customs Administrations to a similar level in line with the Region's vision to be a **'World Class Customs Administration'**.

The study was, among others, guided by the proposed SADC Training and Development Model in terms of the benchmarks that must be attained to achieve this Regional vision (see Annex B2). The following core questions therefore formed the base of the discussions and requests during the missions and the recommendations of this report:

- Does the Administration meet the set benchmarks?
- Do the Administrations have in place what the proposed Model expects them to have?
- Are they doing what the proposed Model expects them to be doing?
- What support is needed in order for the Administration to achieve the minimum standards set by the proposed SADC Training and Development Model?

The study also focused its efforts on the following:

- Capacity building and training needs of each Administration visited, its current status and how it can contribute firstly to meeting its own needs and secondly the needs of the SADC Region; and
- The nature of these needs in the light of the various challenges faced by these Administrations which are dictated by the changing regional and international trading arrangements and standards.

While focusing on capacity building and training, the study examined or discussed other factors that influence these areas in the Customs Administrations including the Administrations' corporate strategy, the leadership and management, availability of an effective HR strategy and function, and available financial and human resources.

The study revealed the following in these Administrations:

- Different stages of adoption of best practice in the operations;
- The divergences in the available capacity building and training activities, facilities and resources;
- Different levels of professionalism in terms of trained staff in these Administrations (which goes from the use of untrained staff to Administrations with strong training cultures);
- The dominant concern and need for leadership and management development; and
- The need for selected technical and enforcement training and developmental interventions at the Regional level.

The study also revealed that:

- ing are not the solution to all challenges these important the majority of these Administrations will as corporate and a related training strategy, an effective and the seemingly low priority given to allocation of resources to the Administrations in general and to the training effort in particular;
- Management and supervisors are not always held responsible for the training and development of their staff (and often lack coaching skills);
 - Together the resources and facilities available in the region have the potential to offer adequate regional training provided these are adequately resourced and effectively networked; and
 - Except in three Administrations, there is a general lack of stakeholder and Customs planned interaction and training. This emerges as a major weakness in the trading chain and in strengthening trade facilitation. Across the Region Customs to business partnerships are at their low level of development.

The Study makes the following recommendations:

Corporate Strategy and Business Plan

A five step guide is recommended for reviewing or developing corporate strategies. This guide facilitates a more effective and transparent planning process. The report underscores the importance of a corporate strategy as a support instrument to any other strategies including capacity building strategies. All subsidiary strategies ought to be aligned to the corporate strategy.

Finance/Budgetary Provisions

Inadequate financial resources remain one of the key hindrances to a speedy implementation of reforms in Customs. This report recommends a three pronged approach to improved access to the National Budget:

- Linking the administration planning and budgeting cycle to the national budgeting process;
- Engagement of key ministries and relevant stakeholders at the planning stage; and
- Adoption of an aggressive marketing position to ensure a buy-in into the reforms

Human Resources Function

A similar study into the capacities, operations and structures of the Human Resource function is recommended in order to assess the function's capability to contribute effectively to the Customs reforms and modernisation..

Capacity Building Strategy

It is recommended that SADC should adopt the Capacity Building Strategy and Regional Training Programme as set out at Annex C.

Proposed SADC Training and Development Model

SADC should facilitate the implementation of the proposed SADC Training and Development Model, training being a key area of capacity building.

Management Development

programmes, with an in-built organisation development
ered to both senior and lower level managers. Both the
programme (SMDP) and the Management Development

- Leadership skills
- Coaching and mentoring skills, and
- Management of change.

It is further recommended that a specific survey be conducted to assess the management training needs (MTN) of each Administration. While general SMDP and MDP may be conducted at the regional level, the proposed MTN survey would facilitate targeted development interventions at the national level.

Training Network

It is recommended that, using the information provided in this report and the country reports (the summaries of which are provided at Annex D), a strong region-wide training network be implemented early in 2009.

It is also recommended that in order to ensure a sustainable network, the Project should facilitate the introduction of long term co-ordination and liaison functions at the SADC Secretariat and Member States levels.

It is further recommended that the co-ordinating function should facilitate consolidated updates on the capacity building status and priorities of the Region.

Training of Trainers

In order to ensure sustainability of training, SADC should embark on an aggressive trainer programme backed by a SADC Training policy and accreditation criteria.

Furthermore, the recommended HR study should include an assessment of the provisions of the organisation structure with regards to the HR function, the training function and the link between the HR and Training functions.

Customs to Business Partnership

Customs should, in consultation with its stakeholders, formalise the Customs to Business partnership. Further initiatives should include:

- The development of a clearing agents training programme and agreement of a timeline with regard to termination of use of untrained clearing agents;
- Promotion of customs to business partnership and dialogue, and assistance to those without this experience; and
- Development of a code of conduct to regulate operations of traders, clearing agents, and organised business (e.g. Chambers of Commerce with regard to their members).

2.1 ECONOMIC DEVELOPMENT

With a population of about 250 million and an average Gross Domestic Product (GDP) growth rate of 5.5% per annum over the last 3 years (2005 – 2007), the Southern African Development Community (SADC) Region with a membership of 15 countries³, continues to face various challenges at the macro level including low levels of investment, high inflation rates, high unemployment and unfavourable trading balances. Nevertheless, the drive towards the development of these economies is demonstrated by improvements over the past decade in the same macro indicators including the lowering, in all but one country, of inflation rate to double and single digits. The poverty levels in SADC are still high as most countries are ranked among the poorest in the world. Approximately 45% of the total population lives on less than US\$1 per capita, per day. Economic performance and social development across the Region is mainly a reflection of the management of macroeconomic policies. Furthermore, a stable macroeconomic environment in each country remains an imperative to regional development.

2.2 SUPPORTING FREE TRADE

SADC Member States recognise that sustainable economic growth is largely dependent on regional integration and trade liberalisation within, among others, the framework of the SADC Protocol on Trade and the World Trade Organisation (WTO). Trade is the most prominent form of integration within SADC. Initiatives designed to encourage intra-regional trade have therefore focused on lowering trade barriers by removing tariff and non-tariff barriers to trade.

SADC launched its key policy framework in 2003, the Regional Indicative Strategic Development Plan (RISDP), to facilitate the attainment of deeper regional economic integration and social development. The crucial part of the integration process is trade development between the participating Members. This is intended to facilitate the attainment of the following regional milestones as articulated in the RISDP:

- A SADC Free Trade Area (FTA) by 2008;
- A SADC Customs Union (CU) by 2010;
- A SADC Common Market (CM) by 2015; and
- A SADC Monetary Union (MU) by 2016.

In 2000, SADC initiated the process of establishing an FTA. The SADC FTA, officially launched in August 2008, had already become fully operational by January 2008. Meanwhile various initiatives and work groups have been put in place to facilitate the implementation of the SADC Customs Union (in 2010).

³ SADC region had 14 Member States at the beginning of this study. An additional Member ó Seychelles - was re-admitted at the August 2008 Heads of State Summit in Johannesburg, South Africa but could not be visited until accession procedures have been completed.

The Region also faces challenges of productivity and production capacities. Although for many years nearly all SADC Member States have had access for most of their goods to the European Union (EU) and the United States of America (USA) through the Lomé⁴ and AGOA⁵ preferential trading arrangements, for example, overall their trade levels with these areas have remained insignificant when measured against the access they have been accorded. Significant positive changes are however being registered in agro-exports.

Among SADC Member States, trading has predominantly been in primary products, with manufactured and processed goods being exported from medium income countries such as Mauritius and South Africa to the rest of the Region and the world.

2.4 DEEPER ECONOMIC CO-OPERATION AND INTEGRATION

Regionalisation which was first used as a tool to economic independence for majority ruled southern African states, has moved on in the last eight years towards focusing on deeper integration by focusing on several strategic priorities as contained in the RISDP. SADC deeper economic integration is meant to address developmental challenges such as a narrow export base, limited market size, inadequate socio-economic infrastructure and the high per capita cost of providing this infrastructure. Furthermore, the SADC development integration approach recognises the political and economic diversities of regional integrating countries. This approach also has the advantage of complementing trade liberalisation with sustainable corrective measures, designed to cushion the least developed member countries against shocks arising from the removal of trade barriers. The development oriented-approach also allows SADC Member States to define the scope and sectors of co-operation and to identify appropriate strategies and mechanisms to overcome impediments to integration and to address regional imbalances between them.

2.5 IMPLEMENTING REGIONAL INTEGRATION

The Regional integration process aims to promote a SADC Common Market. Substantial progress has been made in the following areas:

- SADC Free Trade Area;
- Customs Co-operation and Trade Facilitation;
- Regional Industrial and competition policies;
- SADC Customs Union preparations; and
- Implementation of the Finance and Investment Protocol.

The Region launched the Free Trade Area (FTA) in August 2008. The following issues were either addressed or are under discussion following the Audit Study on Implementation of the Protocol on Trade:

⁴ A trading arrangement between the EU and Africa Caribbean and Pacific (ACP) countries prior to the Cotonou Agreement 2000

⁵ AGOA ó African Growth and Opportunity Act, a non-reciprocal arrangement granting selected (currently over 37) Sub-Saharan African countries and products access to the American market.

- Diff phase down schedules;
- Lack of implementation of new bilateral preferential trading and implementation of new bilateral preferential trading
- Lack of implementation of Customs and trade facilitation instruments; and
- Finalisation of Rules of Origin.

A Ministerial Task Force is now in place to develop a road map for the SADC Customs Union.

These developments pose challenges to the Customs Administrations. The obvious options for them include:

- Adoption and implementation of responsive trade facilitation systems;
- Improvements to the security in the trading chain that adheres to current best practice; and
- Review or development, and where they exist, implementation of corporate strategies.

3.0 INTRODUCTION AND TERMS OF REFERENCE

3.1 INTRODUCTION AND TERMS OF REFERENCE

The specific objectives of the SADC Customs Modernisation Project, a European Development Fund (EDF) funded project, are the development and co-ordination of interventions that will:

- Support closer regional integration and harmonisation initiatives;
- Facilitate the smooth transition to the proposed SADC Customs Union;
- Facilitate transit flows within the region; and thereby
- Support economic transition and development in the SADC region.

In order to achieve this, the project has seven Result Areas. **Result Area 4** is the capacity building component.

Under the SADC Customs Modernisation Project Result Area 4, the overall objective is to establish a region-wide SADC Customs training network. This is intended to facilitate the different SADC Customs Administrations to act as one and to extend the capacity building effort to cover other involved government agencies as well as the private sector.

The creation of a region-wide training network spanning all Member States will require detailed analysis, information capture, review and planning to enable and guide further actions. Consequently, a detailed study, using capacity building diagnostic tools as approved by the (then) CAWG-TRG⁶, was needed in each Member State against the background of an integrated operational Customs environment. The study took the form of a Gap Analysis and, as such, evaluated the Member States' current capacity building status and identified

⁶ CAWG-TRG has been renamed CAWG-CB
Capacity Building Strategy Version 10th Feb 2009

at regional levels. Result Area 4 also impacts directly and indirectly on the associated training requirements of stakeholders, such as public departments, are being met, and, if not, how this matter should be addressed in future.

Three Teams of experts covered the (then) 14 SADC countries⁷.

Under Result Area 4, the Diagnostic teams were mandated to carry out the following key activities:

- Conduct a Gap Analysis of Capacity Building across Member States against the background of a future integrated operational Customs environment, whilst assimilating information from other recent studies, where available;
- Consolidate information on the present organisational arrangements and facilities for Human Resource and Training Departments at the national level;
- Propose a 5-year Capacity Building Strategy at Regional level;
- Develop and propose a generic training blueprint for regional adoption by the Human Resource (HR) and Training Departments of the SADC Member States; and
- Draw up a Regional Training Programme based on the results of the Gap Analysis.

3.2 LIMITATIONS AND EXCLUSIONS

In implementing the TOR, the teams were advised by the Key Expert and Interim Team Leader to focus largely on the Gap Analysis of each training function and obtain information regarding assistance required with the operation and procedures of the function to support Capacity Building. This was to include details required for the creation of a training network, strategy, implementation plan and training programme. HR functions were consulted during the study. The findings of the Gap Analysis indicate however that a separate in-depth study of the HR function is critical to support the training network and sustainability of Capacity Building within the region.

Due to non-availability of key staff, visits to some countries were shortened (refer to country reports).

There were several instances where information requested could not be made available. As regards the Columbus reports, in two instances only extracts were provided. In the case of Madagascar and Mozambique these are yet to be provided.

Training Needs Analysis (TNA) was limited to the responses provided during interviews with the various Administrations regarding their training priorities.

At the commencement of this study it was acknowledged that Botswana Unified Revenue Services (BURS) had a TNA in progress under another project. The report of that project had not been received by the SADC Secretariat at the time of the study visits (however, it was submitted shortly before finalisation of this report and additional notes have been included in the country summary report at Annex D). Consequently a two day snapshot mission was undertaken during the tail end of the Gap Analysis to ensure that BURS' Capacity Building status and associated requirements were taken on board.

⁷ During this Study, Seychelles rejoined SADC bringing the number of countries in SADC to 15.
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as only just returned to SADC, therefore they could not
session procedures have been completed.

ward views, comments and inputs from the CAWG-
TRG/CAWG-CB. The Strategy is a product of the CAWG-CB, facilitated by the study
team. These detailed consultations, following the study, were meant to ensure that all
information is accurate, up-to-date and complete and that there is ownership of, in
particular, the areas requiring action in this report.

4.0 METHODOLOGY OF THE STUDY AND PERSONNEL

The study was conducted by 3 teams of international and regional experts in 14 countries of
SADC. The teams and countries covered are detailed in Annex E.

The study was conducted through interviews of Heads of Customs wherever they were
available, management staff, and HR and training teams of the Customs
Administration/Revenue Authority or Revenue Service. In a number of cases the teams also
met and interviewed stakeholders such as freight forwarders and chambers of commerce.
Wherever it was felt necessary, group meetings were held. Debriefing meetings were in
nearly all cases held with the Heads of Customs or their representatives.

Several documents relating, in general, to capacity needs and, specifically, training status were
studied. The study teams also requested sight of, and where available studied, the Customs
Administration corporate strategy as this provides the guide to all activities of the
Administration including capacity building and training interventions. The study teams also
sought to assess the link between the corporate plans and the Human Resource/training
strategy and operational plans.

The study teams visited as many of the customs operations and training facilities in each
country as was possible and collected data relating to existing training facilities, programmes
and trainers.

5.0 REGIONAL INTEGRATION ISSUES

5.1 MULTIPLICITY OF MEMBERSHIP

SADC has started the implementation of an FTA and the establishment of the Customs
Union against a complex background of parallel trade liberalisation processes at multilateral,
regional and bilateral levels. The membership of the majority of its Member States to two or
more similar multilateral organisations poses a unique challenge in trying to attain a SADC-
wide Customs Union. The on-going negotiations principally concerned with common
external tariff, revenue sharing mechanism and rules of origin are further complicated by this
multiplicity of membership. Good progress has been made with the implementation of the
protocols on trade and transport. The principles underlying these protocols are fundamental
to the establishment of the SADC Customs Union.

At the individual country level, SADC Member States are accorded a high priority to the modernisation and upgrading of their Customs Administrations. Within this context, the harmonisation of law and regulations and the simplification and standardisation of procedures and full computerisation of all processes are key elements of the reforms. These measures have a particular relevance for the establishment of a system of Customs Transit as a means of protecting revenues and providing secure facilitation of the movement of goods into and out of the region.

The reforms to be undertaken represent a major body of work that must be done as a priority on the road to the SADC Customs Union. If the establishment of the Union is to occur in the timescale envisaged by SADC, the pace of work must increase substantially and be maintained both at regional and national levels. At the heart of the ability to cope with the demands of a SADC Customs Union and the 21st century Customs vision, are some basic measures to improve the general standard of Customs Administration. This includes the quality of systems in place and the management competencies at all levels.

5.3 STAKEHOLDERS, CO-OPERATION & TRADE DATA

The effective management and enforcement of the external frontier of the SADC Customs Union and the internal or “domestic” administration and compliance management will generate a clear demand for efficient co-operative mechanisms between Customs Administrations and the authorities responsible for direct and indirect taxation, commerce, transport, agriculture, immigration and the police. In addition, the provision of timely, reliable, harmonised trade data at the regional level will be crucial to the Customs Union process. At the moment, information is inadequate both in terms of its accuracy and in terms of timeliness of production.

The SADC Protocol on Trade makes specific provisions for the reduction in the costs of trade through simplification and harmonisation of Customs procedures as well as Customs co-operation among SADC Customs Administrations. External pressures from international conventions and obligations need to be addressed through implementation of best practices and simplified procedures to the greatest extent possible.

5.4 PUBLIC-PRIVATE PARTNERSHIP

The global concepts of international trade supply chain security, the need for shared intelligence, integrated border management, and efficiencies driven by ever shrinking resources, makes partnerships between private and public sector agencies imperative. This partnership is central to trade facilitation and requires structured dialogue and capacity building and training on both sides.

Common Market for Eastern & Southern Africa), EAC and SADC took a decision at their Summit in October 2008 to merge the three institutions. This will bring together 26 countries into one economic bloc, thus forming the largest regional economic cooperation bloc in Africa. The decision is meant to lead to faster economic and political integration in the continent. It will also create a larger market for the participating countries. The three regional trading blocs – COMESA, EAC AND SADC - have a combined population of 527 million people, representing 57% of Africa's total population. Their combined average GDP per capita is US\$1,184.

The merger will pose challenges in the areas of harmonisation of procedures and systems to facilitate cross-border trade across this new trading bloc.

Future reforms and developments in the SADC Customs fraternity and Administration, and the implementation of any capacity building strategies, will need to take this major development into account.

6.0 GENERAL, COMMON ISSUES, SUMMARY OF STUDIES

6.1 Customs Administrations across the region have taken a decision to reform and modernise and have met challenges in this respect. These have included inadequate finance to fund systems, infrastructure and the requisite training. There are also instances where managerial commitment to progress has been hampered by environmental issues external to the Administration. These include the acts of other border agents and inadequate support from boards or parent ministries. Customs management inaction may however be misconstrued as 'no change' and this could impact on motivation, integrity and performance.

6.2 Corporate strategies are in existence in 12 of the 14 Member States. The countries that did not have a strategy were either undergoing reorganisation or in the process of preparing to develop one. Corporate strategies are critical in that they offer direction to all other strategies in the Administration (e.g. the training strategy). In some cases the link between the parent strategy and subsidiary strategies was not always clear.

6.3 The similarities across the Region in the operational systems to support trade facilitation generally mean that the national capacity building requirements are broadly similar. Among others, this will facilitate development of a regional training programme and network. Such a network requires a sustainability plan to ensure its life beyond the current EU project.

6.4 On the training front, nearly half of the countries did not have a Training Strategy while 36% did not have an HR strategy. In a number of cases, training plans were not linked to the corporate strategy or any clearly and properly assessed TNA report. However Annex F shows priority areas of training as indicated by the Administrations across the region. High priority is given by the Customs Administrations to Rules of Origin, Valuation and Classification. Medium priority is given, among others, to Risk Management, Post Clearance Audit, Investigation Techniques, Management Development Programmes (MDP) and Senior Management Development Programmes (SMDP). This is summarised in Table 1 below:

COURSES RATING BY INDIVIDUAL MEMBER STATES

No.	Course/Intervention	Percentage:		Number of SADC MS stating H & M
		High (H)	Medium (M)	
1	Origin	93%	7%	14
2	Valuation	79%	21%	14
3	Classification	71%	29%	14
4	Risk Management (Operational)	43%	57%	14
5	Management of Risk (Management)	36%	64%	14
6	Post Clearance Audit	36%	64%	14
7	Flexible Risk Teams (FASTs)	7%	93%	14
8	Investigation Techniques	7%	93%	14
9	Risk Profiling	14%	79%	13
10	Resourcing by Risk	7%	86%	13
11	Senior M D P	14%	71%	12
12	Management Development Programme	7%	79%	12
13	Report Writing and Drafting	7%	57%	9
14	Vessel Rummage	14%	29%	6
15	WCO / Authorised Economic Operator	14%	29%	6
16	Train the Trainers (Course Development)	7%	21%	4
17	Integrity	21%	0%	3
18	Excise / Duty at Source	14%	7%	3
19	Trade Facilitation & Security of Society	14%	7%	3
20	Image Interpretation (Scanners)	14%	0%	2
21	Research Skills	7%	7%	2
22	Computer Skills	0%	14%	2
23	Exchange Programmes	0%	14%	2
24	Investment Promotion	0%	14%	2
25	Litigation	0%	14%	2
26	Training Skills	0%	14%	2
27	Data Mining (e.g. Analysts Notebook)	0%	7%	1
28	Drug Dog Training	0%	7%	1
29	Regionalisation / SADC	0%	7%	1

Following the analysis conducted, an indicative Regional training plan has been drawn up and is shown under the strategy section in Annex C. The plan follows the strategic objectives as derived from the regional meetings of the Customs Administrations (CAWG-CB). Table 2 is a summary of the objectives and appropriate Regional training responses as agreed in the CAWG-CB meetings (which in some cases deviates from priorities as indicated via a response to the questionnaire by each Member State as shown in Annex F and Table 1).

MEED STRATEGIC OBJECTIVES

OBJECTIVE	Training or Courses
<p>To facilitate the responsiveness of SADC Customs Administrations to the current challenges of Customs including the shift in focus from Revenue Collection to enhanced Trade Facilitation, the effective implementation of the SADC FTA and the attainment of the SADC Customs Union leading to the Common Market;</p>	<ul style="list-style-type: none"> • Risk Management • Post Clearance Audit • WCO / Authorised Economic Operator • Trade Facilitation & Security of Society (including Trade negotiations) • Rules of Origin • Tariff Classification • Image interpretation (scanners) • Valuation • Integrity • Investigation Techniques (including Evidence gathering) • Flexible Anti - Smuggling Teams (FASTs) • Transit
<p>To support the reform and modernisation of the SADC Customs Administrations into national and regional strategic institutions with regards to trade through the adoption of “best practices” and agreed regional and international standards;</p>	<ul style="list-style-type: none"> • Senior M D P (including Change Management & Leadership transformation, International Trade); • Management Development Programme • WCO / Authorised Economic Operator • Integrity • Regionalisation (SADC) including Customs Union Act
<p>To develop a responsive capacity building effort regionally, one that will also support a training network among Customs Administrations during the lead up to the SADC Customs Union and beyond; and</p>	<ul style="list-style-type: none"> • Train the Trainers • Integrity
<p>To facilitate the partnership between Customs and Business, and support the meeting of capacity and particularly training needs of the business players in the trading chain.</p>	<ul style="list-style-type: none"> • WCO / Authorised Economic Operator • Integrity • Customs clearing

In order to support the Training Network the study also details the training facilities, materials and trainers across the Region (information shown respectively in Annexes G1, G2 & G3).

6.5 The HR function is generally not contributing effectively to the Customs Administrations. Except in three Member States, these tend to be an industrial relations/employee benefits function and do not play a part in the all important role of strategic human resource acquisition, deployment and development. In nearly all cases these functions are viewed as administrative. Furthermore, the functions are not staffed with HR

...ed to the training role. There seems to be functional
organisation structures. The well known facilitative role of
...
...s study did not carry out a detailed analysis of the HR

functions in the Customs Administration. Furthermore, based on the current TOR of the Project, there is no immediate attention given to this function in order to strengthen the Administration's ability to take informed decisions as they transform and become regional players.

6.6 There is a willingness on the part of the Customs Administrations to collaborate between themselves, including in the area of capacity building as can be seen through the minutes of the SCCC. This collaboration is yet to be fully formalised through MOUs. The highest number of MOUs remains at 6 (Mozambique) while the rest fall well below this. Three countries have to date not signed any MOUs with other SADC Customs Administrations. In those cases where MOUs exist there would appear to be no planned support programmes; there is a tendency to ad hoc programmes.

The countries with training facilities and specialised trainers are willing to offer these to the Region. There is currently no co-ordinating function at the SADC Secretariat level to enhance and support this collaboration now and beyond the life of the Project.

6.7 Focus among the SADC Customs Administrations remains to the greatest extent on revenue collection and revenue targets rather than trade facilitation. In the one case where trade facilitation has reached a world class standard, it was found that revenues had increased rather than declined. Trade facilitation by its nature tends to improve compliance and the levels of traded goods.

6.8 Considering the vision of SADC Customs ('a world class customs') and the quantum leap they need to take to achieve this in the light of Regional (FTA and CU) and International (WTO and WCO) urgent expectations, the shift in attention to leadership and management development and relevant technical training (e.g. Post Clearance Audit and Risk Management) are no longer issues for budgetary debate. Almost all Administrations face budgetary constraints even in those countries where they can afford to allocate substantial resources to the developmental needs of Customs.

Nearly all low income groups of countries carry a substantial input to their budgets from donors. This has heightened the donor dependency to a level to which donor programmes could take precedence over the critical priorities for reform. The lack of training strategies in nearly half of the Member States further exacerbates the situation as there is no overall long-term guide to management and donor alike as to the priority interventions required and at what level these should be aimed. Furthermore, in those Administrations where there is more than one donor there is not always an effective donor co-ordinating function. This can lead to duplication of efforts.

6.9 Capacity building and training for the private sector are generally not structured and/or programmed for support by Customs thereby reducing the effectiveness of the partnership crucial to trade facilitation. Such collaboration was observed in only two countries. In most of the other countries there are various unplanned efforts to meet and communicate with business.

6.10 All Customs Administrations have had a Columbus Diagnostic Study conducted by the WCO. Only four have a planned implementation of the recommendations of these

technical assistance programmes in place which among
ing and training. An urgent review of the corporate
to take the priorities identified on board could facilitate

6.11 The Customs Reform and Modernisation Programme will, beyond human capacity building, require new infrastructure for operations and creation of a professional environment. A number of Customs Administrations are inadequately resourced to maintain such a conducive environment. Examples of this environment include poor or lack of communications infrastructure, poor border post physical infrastructure, lack of IT connectivity between border posts and Customs Headquarters, low remuneration packages and lack of transparency in implementing employee development plans.

6.12 The regional environment for capacity building is not regulated by a policy framework that will ensure that all Customs Administrations adhere to a minimum set of training and development standards. Furthermore, the multiplicity of membership among the Member States may have an influence on, for example, operational systems to be adopted, training modules and the speed of adoption. For instance, SADC countries, among them belong to at least 4 regional groupings. COMESA, EAC, SACU and SADC all have well established trading arrangements; and between them these countries share at least four automated systems (i.e. ASYCUDA, TIMS, CAPE and CMS).

7.0 THE REGIONAL TRAINING ENVIRONMENT

7.1 PLANNING

The understanding, or analysis, or forward planning required to determine the training that is necessary; the capacity to carry out a structured training programme; and the level of any training delivered varies greatly from one Member State to another.

In some of the Member States, the Customs Administration has a planning system in place. Through this, they state some of the immediate objectives of the Administration, they conduct periodic TNAs to determine the training requirement, and deliver a planned, annual training programme that meets the needs of the staff as well as the Departmental, national and regional needs, sometimes through a well equipped training school.

At the other end of the scale, there are those that have no training budget, no structured approach to training, and are therefore unable to deliver the relevant training.

It is suggested that among the greatest hindrances to training are the lack of proper forward vision and a tug of war between the Regional and National interests; one that recognises not only the challenges (changes) that are taking place both regionally and internationally, but can also articulate the actions required in the Administration to meet those challenges.

It is commendable that the majority of Administrations have a strategic plan in place. Some also devolve action plans from those strategic plans

dedicated to training for Customs, in Lesotho, Malawi, South Africa (RSA), Tanzania, Zambia and Zimbabwe. There are also plans to have a school in Madagascar. Customs in the Democratic Republic of Congo (DRC) has access to the Ministry of Finance training facility. Some of the training schools have accommodation for students. The classroom and equipment availability is outlined in the table at Annex G1.

It is worth noting that 3 schools stand out in the region in terms of residential facilities for learning, these are in Tanzania, Zambia and Zimbabwe.

All of the Administrations that have training facilities have expressed their willingness to host regional training events.

7.3 OTHER SOURCES OF LEARNING

Some of the Administrations visited are embarking on the development of e-Learning capability. Apart from SARS, no other Customs Administration has a fully loaded e-learning platform in place yet. Angola and Zimbabwe have contracted WCO e-Learning and are waiting for WCO technicians to load the software onto their platforms. Madagascar has already paid for the WCO e-Learning and is awaiting its installation including internet connectivity. Mauritius has also contracted WCO e-Learning but installation will take place when the new Customs house is completed. Lesotho has plans in place to implement e-Learning.

The Customs schools in Tanzania, Zimbabwe and Zambia have multi-terminal equipped computer training rooms, though note that in places such as Zimbabwe and Tanzania the communications speed necessary to enable use of such facilities outside the school, across a WAN or Internet, is insufficient. Zimbabwe Revenue Authority (ZIMRA) will soon install e-learning at the Regional School.

7.4 MODULES

The training modules in use in most of the countries visited were the SADC modules for basic, intermediate, and advanced “officer” training, and a train the trainers module. Most have not been tailored to local needs. (The 12 SADC training modules are currently being revised and updated by the CAWG-CB with input from technicians in Member States and technical CAWGs). The same can be said for the COMESA and many of the WCO training manuals that were also in evidence in many of the countries (some new WCO manuals were delivered during the “Columbus” studies).

In the Francophone countries they tend to lean towards modules that are adapted from original French modules and are tailored to the needs of those progressing to training in such countries as France and Belgium.

In the Lusophone countries, the modules are those that were developed by Crown Agents during the time that they were contracted to develop Customs Administrations in those countries.



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ices (SARS) and ZIMRA have excellent soft copy quality hard copy volumes, in English, on core subjects.

Most of the Member States have trainers who are available to develop and conduct training courses for delivery in the region. Some countries have numerous trainers but they are not WCO accredited. Other countries such as for example Zimbabwe, RSA, Angola and DRC have a substantial number of WCO accredited trainers. (It is not suggested that non WCO accredited trainers are less than competent but only that accreditation sets an appropriate benchmark).

At Annex G3 is a list, by country, of staff trained in delivery of training and the courses in which they specialise, if any.

When asked, most Heads of Customs said that they were committed to training. However, many were hampered by lack of budget. In some countries prioritisation of limited budgets between the revenue side of the business and Customs, has meant that really important basic skills and even on occasion, Officer entry-training, in Customs, has been neglected. This is a gap SADC can help fill (but SADC financed or organised training should not replace local training effort). Proper planning and budgeting would allow the Heads of Customs to plan their training requirement and to demonstrate their commitment to training. If the requested budget is realistic and proportionate to need, but not made available this may indicate that proper training of Customs and the realisable social benefits of sound Customs Administration are not well understood at either Institutional or Governmental level.

7.6 ANNUAL APPRAISAL AND TRAINING LOGS

Annual performance appraisals are conducted in a number of the Administrations visited. In a number of cases performance appraisals tended to be focused on rewards rather than improving performance. In such cases discussions showed that performance appraisals could be ineffective tools for drawing out training needs.

It is desirable that each Administration introduces, or re-introduces, or further develops an annual appraisal system for members of staff, where an effective system is not in place. At the annual appraisal, the staff member should be encouraged to discuss training needs with the line manager, and *vice versa*. These “bottom up” training requests would be considered with the “top down” dictates, and used by the training unit when developing their annual training plan.

Training logs were often not in place and where they exist they are either out of date or difficult to access.

Each member of staff should have a training log that itemises the courses that have been attended and the attainments. This should be kept in the staff member’s possession, along with the individuals agreed job description, to be used at appraisal interviews. A copy should be held by the training unit, preferably on a computer database.

phenomenon that impacts on training and training frequency in Customs. In some Administrations this is accompanied by training, while training logs would assist the receiving section on the obvious areas of training (and to avoid repeat training), the absence of training matrices for each position reduces the effectiveness of the training interventions as a section head has no guide as to the training required, the length of the training intervention and the scheduling of the training for the position. Training matrices can be made job specific as well as staff specific.

7.8 TRAINING CAPACITY

The overall capacities to conduct effective training in the Administrations will be determined by how these Administrations adhere to the proposed SADC Training and Development Model (Annex B1 is an outline of the current status).

7.9 TRAINING NEEDS ANALYSIS

Training Needs Analyses are conducted in various forms across the Administrations including through use of annual questionnaires and staff appraisals. However this area remains weak and often the systems in place are not robust. This may point to the need for a strong HR function.

The Gap Analysis teams have identified a wide range of training programmes and educational needs that are required across the Member States. These would all combine to improve regional and national capacity and improve overall Customs performance. (Refer to 20 on page 18).

The course and training options identified by this analysis may be grouped into blocks as follows:

Standard Technical Customs Courses

E.g. Origin, Valuation, HS Classification, Post Clearance Audit.

Enforcement

E.g. Risk Management and Intelligence, Flexible Anti-Smuggling Teams

Developmental

Senior Management Development Programmes (SMDP), Management Development Programme (MDP), Management of Risk for Managers (normally part of an MDP), Report Writing and Drafting, (often also part of an MDP), Training for Trainers, Regionalisation/SADC issues, (again possibly part of SMDP and MDP).

Other Capacity

HR System Development, (Prepare a Human Resources Strategy).

Individual, very country specific, special development issues, (e.g. creating a Customs and VAT Tribunal System).

during this study need to improve their overall approach to a SADC Training and Development Model that could be used regularly as a benchmark for areas needing improvement is outlined at Annex B1.

The challenges faced by the Customs Administrations in their efforts to provide efficient capacity building and training across the region can be summarised as follows:

- The absence of a link between a corporate strategy and HR or Training strategy and plans;
- Inadequacy or untimely release of funds to support agreed capital and recurrent budgets;
- Absence of professional HR and or training function to facilitate the implementation of integrated human resource systems (which includes staff appraisals, TNA, training systems and procedures, Human Resource information systems); However there is also the difference in organisation structures which includes direct as well as group support HR functions to the Administration;
- The absence of a regional policy position with regards to capacity building;
- Environmental issues hampering committed management from implementing reforms and trade facilitation;
- Not enough professionally trained managers to drive change; and who are involved in strategy formulation and implementation;
- The need for a well-resourced base/hub to sustain a training and development network in the region;
- Multiplicity of donors in some of the Administrations; and multiplicity of membership in relation to implementing reforms linked to regionally agreed guidelines; and
- Ensuring all members of SADC as far as possible benefit from courses in their official language rather than through translation.

Closely linked to these challenges will be the enhancement of customs to customs co-operation and customs to business partnership; and capacity building of business and other stakeholders in the interest of trade facilitation.

9.0 WHAT SADC CAN DO IN RESPECT OF GAP ANALYSIS RESULTS

SADC has the opportunity through the findings of this study to support Customs Administrations in various areas that impact on the capacities of these Administrations and on the regional trading chain. This should include:

- Change management programmes or organisation development programmes that address the weaknesses in the overall operations of these Administrations as this affects their capacity to deliver;
- Support to the development of a professional Human Resource function across the region;

to facilitate the introduction of customs to business partnerships whilst bolstering the existing regional initiative which is supported by the SCCC

- Mounting of priority regional training and exchange programmes which will facilitate the development of a 21st Century Customs Administration, support the SADC FTA and the planned Customs Union (see Table 2 on page 21).

10.0 MECHANISMS FOR ACTION

A range of possible, and sometimes optional, responses to the various cross SADC capacity building needs have been identified. These include off-the-job courses, study tours, exchange visits and e-Learning.

Use of Existing Physical and Human Resources

As a high level principle of the Study it is asserted that as far as possible SADC regional, physical and human resources (training schools and trainers) should be used. It is also asserted that where an existing SADC Member State training programme already exists and is of a satisfactory standard, that the module and trainer (the “owning” Administration allowing) should be used.

Locating Training

There are obvious difficulties about location. Moving large volumes of external students to a remote regional training course would not generally be cost effective unless the situation dictates otherwise. Moving the trainer to the students with only a handful of travelling students, to internationalise the training and foster cross border communication and understanding, is the most preferred option. However options taken need to consider the prevailing circumstances.

Use of Local Trainers

As far as possible SADC should utilise regional expertise in the various areas in which it has to conduct courses. The use of WCO accredited trainers is encouraged. Regional courses will be run at locations best situated for each course. However SADC may consider the use of the various national centres with adequate facilities at that time.

Prioritising Training

SADC should prioritise early courses based on the results of this Gap Analysis. Some standard needs have been identified as “critical” and are attached herewith at Annex F (and summarised in Table 1 on page 20).

Training Approaches

A mixture of classroom training, on-the-job training, coaching and e-Learning is recommended (known as ‘blended’ training). Where possible this should be done by serving regional trainers with support from other experts where required. It is important to foster regional understanding and multi-lateral co-operation through peer support and exchange programmes, with the Administrations more advanced in a particular field assisting others.

These teams have suggested “study visits”, mostly to more countries such as the MRA (Mauritius) or SARS (RSA). This is particularly for issues such as “Risk and Intelligence” and the latter issues such as second hand cars. The latter issue is particularly in Mauritius, uses huge resources and a dramatic solution (as used in Mauritius) is needed across several States.

Management Development

Management development (either for senior management or lower level managers) is prioritised as “High” or “Medium” by 12 out of the 14 countries.(Annex F). Overall management development is also recognised as a priority area by the SCCC.

Several countries including Zimbabwe, Angola, Mozambique, and RSA conduct their own management and supervisory training.

To meet this priority SADC-financed MDP and SMDP courses could be created, using experienced management trainers (preferably regional) to prepare the courses and supporting material and later to present the courses.

It is suggested that such a SADC inspired and financed, cross regional course would also have a key introduction on the whole SADC Customs project, the Customs landscape, objectives, wider measures of Customs success and the aims of 21st Century world-wide Customs services.

Coaching

Some SADC-based, sufficiently experienced, coaching resources are available. If coaching is considered appropriate, regional resources with appropriate experience could be used; others can be obtained as short term experts (STEs). However it is important to ensure that nearly all coaching is carried out internally using relevant managers. Broad, multi-faceted, technical and business understanding is needed to not only help with management but also to advise on how to deal with what are sometimes technical matters and to propose practical solutions.

Mix between Management Training and Coaching

Management and supervisory training without quality coaching and follow-up action is likely to fail in those Administrations where middle management skills have been historically weak. Furthermore, this report proposes organisational development approaches that will address those constraints that are organisation-wide or impacting on the organisation from outside.

E-Learning

E-Learning is one of a range of tools that can be used especially for core technical subjects. The WCO has a wide range of such material available. There are bandwidth limitations in some countries that prevent use of such aids over a WAN or the Internet. There are though, several locations e.g. South Africa, Zambia, Tanzania, where training schools are well equipped with IT learning rooms. It is not suggested that the SADC project should finance hardware however other donors may be brought on board in this area. SADC could finance installation of software on suitable equipment.

Ownership of Training and Development Process

Capacity building (including in this case training and development at all levels) is unlikely to succeed without very strong ownership from both the Administrations and their shareholders. These projects need to be driven from inside. Concern about such a process “sticking” in SADC countries was expressed in more than one country visited.

Ownership of the process is critical. It is suggested that all training and development of their staff, with this being

11.0 EVALUATION

All training and other processes financed by or delivered by the SADC project will need standard evaluation.

Further evaluation of the SADC effort under this initiative should:

1. Track the development of staff knowledge and skills;
2. Find out if the learning is being applied in the workplace;
3. Identify training gaps and future training needs;
4. Establish if the investment was worthwhile;
5. Inform future training plans and strategy; and
6. Ensure training continuously improves.

Whilst the immediate reaction of the participants to a training event, and their knowledge levels, can be obtained by completion of pre and post course questionnaires, more detailed evaluation should take place 3-6 months after training, for selected events, to identify improvements in their performance.

The evaluation must be the responsibility of line management with the assistance of HR/Training function.

All evaluation should ensure that the planned interventions are delivering on the overall HR/Training strategy and the corporate strategy. This therefore requires periodical evaluation of capacity building interventions.

12.0 CONCLUSIONS

12.1 World-class Customs services, facilitate trade, apply rules fairly and consistently, examine less at the border based on risk, conduct in depth audit away from the port (using specialised, knowledgeable resources), have swift, effective and fair enforcement, which supports compliance. All of this is applied proportionally, using quality risk assessment and intelligence. Personnel are well trained and technically competent, they have appropriately delegated powers, they are confident and trusted to use their decision making skills. Job satisfaction is high, staff turnover and absence are low, robust management and an HR system with a clear career and training path for ambitious and able staff, combine to limit poor integrity. Financial rewards and social status are appropriate to the society. In the case of SADC this would provide for smooth trade among the Member States and reduce transaction costs thereby promoting vibrant economies.

in any trading society starts with improvements to the poor administration here can frustrate any attempt to social and economic improvement. The objectives of foundations that appear in this Study and the training

12.2 Planned and adequately resourced capacity building and training will build robust customs Administrations. However it is noted that training does not provide answers to all problems especially those identified by this Study as environmental. The recommendations of this report are meant to facilitate a sustainable customs service and to draw on the facilities in the region and locally to contribute to this sustainability. It was noted that in terms of the proposed benchmark – the SADC Training & Development Model – nearly 50% of the Member States did not have a Training Strategy.

12.3 The information contained within Annexes B1, F, G1, G2, G3a, G3b and Tables 1 and 2 (pages 20 and 21 respectively) has been gathered by questionnaire and interview and, as such, has undergone extensive review and amendment following feedback from representatives of the CAWG CB. It is considered that this information could be still incomplete and, although this will not detract from the main conclusions and capacity building initiatives discussed here, it may not present the full scope of current capacity within the Region, for those requiring peer support.

12.4 Administrations that have training facilities have expressed their willingness to host regional training events. The use of such facilities for SADC financed events will preserve and enhance local capacity.

13.0 RECOMMENDATIONS

13.1 CORPORATE STRATEGY AND BUSINESS PLAN

It is recommended that in those cases where Customs Administrations are reviewing their corporate strategies or need to put in place a corporate strategy, they should follow the guide below. This facilitates a more effective and transparent planning process. The proposed guide has five steps as follows:

- The “organisation” produces a corporate strategy. This should be a high level, forward looking document that establishes the vision for how the organisation will develop. High level targets can be set at this level.
- Many organisations omit this element of the planning cycle and start with the strategic plan. This may result in a lack of clarity in the change or objective that is to be achieved.
- It is suggested that the life span of this document should be aligned with that imposed by the budgetary processes. For example if the country operates under a three year, or a five year medium term expenditure framework, then the planning cycle should follow that time scale.
- The “divisions” level develops strategic plans based on the objectives stated in the business strategy. They will show the required actions, milestones (outputs), resource requirements, due date, constraints, and risks and assumptions that lead to delivery. Lower level targets (further distilled targets) will be set at this level.

...uces action plans that deliver the key result areas. This needs to be done to achieve the objectives, which unit / every of the objectives, and by when, e.g. a list of training covered over a given period.

- Monthly reports (by the operational to divisional level) should be put in place to establish progress against the milestones, achievements, or reasons for non-delivery and steps taken to correct the situation.
- Quarterly reports, summarising the monthly reports and commenting on progress should be made by the “division” to “organisation” level.

13.2 FINANCE/BUDGETARY PROVISIONS

The ubiquitous challenge of inadequate financial resources for Customs Administrations needs to be addressed. This challenge remains one of the key hindrances to a speedy implementation of reforms in Customs which will deliver substantial benefits at the organisational, national and regional level.

Perhaps the response lies at four levels, as intimated during the survey, that is by addressing the following areas:

- For Customs to consider linking their planning and budgeting cycle to the national budgeting process. This may facilitate engagement (and preferably involvement) of the parent ministry at the planning stage as well as influencing resource allocation before government finalises the national budget. Currently government may be allocating a budget to Customs before it sees the planned activities of this Department;
- Customs should consider it imperative to engage key ministries and relevant stakeholders during their strategic planning processes. If this were done it would facilitate realistic planning and/or sensitise the decision makers on the priorities of Customs including the consequences of inadequate resources;
- Raising awareness of Customs activities and regional responsibilities amongst other departments in a revenue authority; and
- Adoption of an aggressive marketing position by Customs in dealing with the relevant authorities to ensure a buy-in into the reforms that need urgent funding for the Administration’s relevance in the 21st century and to the needs of regional integration (with benefits that will accrue to the country).

13.3 HUMAN RESOURCES FUNCTION

It is further recommended that the Project should urgently facilitate a similar study into the capacities, operations and structures of the Human Resource function in order to assess its capability to contribute effectively to the Customs reforms and modernisation. An effective HR function will be able to strategically support management, among others, in dealing with the impact of regionalisation on HR and implementing capacity building with the systems, professional advice and the oversight required for such a critical area.

... should adopt the Capacity Building Strategy and Regional C. The strategy proposes training and environmental reforms and deal with various challenges that impede effective performance of Customs Administrations.

13.5 PROPOSED SADC TRAINING AND DEVELOPMENT MODEL

SADC should facilitate the implementation of the proposed SADC Training and Development Model. This should be utilised by Administrations to gauge their effectiveness in this key area of capacity building.

This should include “unpacking” the proposed model and developing an action plan guide, backed by an internalisation and dissemination plan linked to relevant strategies and the training of managers and HR/trainers.

13.6 MANAGEMENT DEVELOPMENT

Regional management development programmes, with an in-built organisation development intervention, be designed for and offered to both senior and lower level managers. Both the SMDP and the MDP should include:

- Leadership skills
- Coaching and mentoring skills, and
- Management of change.

It is further recommended that a specific survey be conducted to assess the management training needs (MTN) of each Administration. While general SMDP and MDP may be conducted at the regional level, the proposed MTN survey would facilitate targeted development interventions at the National level.

13.7 TRAINING NETWORK

It is recommended that a strong region-wide training network, using the findings of this survey in terms of e.g. Existing training infrastructure and facilities, national trainers in various areas (refer to Annexes), be implemented early in 2009. It is also recommended that the relevant Annexes are regularly reviewed to reflect the increasing training capacity within the region (12.3 above).

It is also recommended that in order to ensure a sustainable network, the Project should facilitate the introduction of long term co-ordination and liaison functions at the SADC Secretariat and Member State level. This will require permanent capacity building co-ordinators within the SADC Secretariat and in Member States.

It is further recommended that the co-ordinating function should, while ensuring a close link to the HR function, facilitate, annually, consolidated updates on the capacity building status and priorities of the Region. A capacity building assessment tool, developed with the support of HR function, along with similar tools as those used in the Annexes should be utilised to carry out and report annually.

training, SADC should embark on an aggressive trainer

- a) Design SADC trainer policy and accreditation criteria by adapting available criteria such as the one available from the ESA and/or the WCO.
- b) Implement an aggressive train the trainer programme.
- c) Collaborate with other institutions such as WCO and selected Universities on this initiative under the PICARD Programme;
- d) Provide skills upgrading short courses for qualified trainers; and
- e) Ensure uniformity of training by offering an accredited course.

It is further recommended that in order to ensure a motivated training staff with an attractive career path, the recommended HR study should include an assessment of the provisions of the organisation structure with regards to the HR function, the training function and the link between the HR and Training functions.

13.9 CUSTOMS TO BUSINESS PARTNERSHIP

Customs should, in consultation with its stakeholders, formalise the Customs to Business partnership. Further initiatives should include:

- a) Provision or support of planned training and development for business;
- b) Development of a clearing agents training programme drawing lessons from existing academies (in e.g. Tanzania and Mauritius) and agreeing of a timeline with regard to termination of use of untrained clearing agents;
- c) Development and sustainability plan for the current and new public-private (customs to business) partnership and dialogue, and assistance to those without this experience; and
- d) The inclusion of the private sector in relevant Customs national, regional and international meetings.

It is further recommended that through the Customs-Business Partnership a code of conduct be developed to regulate:

- Operations of traders;
- Operations of clearing agents; and
- Operations of organised business (e.g. chambers of commerce with regard to their members).



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ANNEXES

The Capacity Building component of the Customs Modernisation Project wishes to carry out a diagnostic study to evaluate the current Training capabilities of each Member State.

BACKGROUND INFORMATION

The specific objectives of the Customs Modernisation Project are the development and co-ordination of interventions that will:

- Support closer regional integration and harmonisation initiatives;
- Facilitate the smooth transition to the proposed SADC Customs Union;
- Facilitate transit flows within the region; and thereby
- Support economic transition and development in the SADC region.

In order to achieve this, the project has seven Key Results Areas. The Capacity Building component is mainly concerned with Result Area 4 whose overall objective is to establish a region-wide SADC Customs training network. This will assist in the process of enabling a number of different Customs Administrations to seemingly act as one and to extend the capacity building effort to cover other involved government agencies as well as the private sector.

A region-wide training network spanning all SADC MEMBER STATES will require detailed analysis, information capture, review and planning to enable and guide further actions. Consequently, a detailed study is needed in each Member State against the background of an integrated operational Customs environment. The study will take the form of a Gap Analysis and, as such, will evaluate the Member States' current capacity building status and identify areas for development at national and regional levels.

The proposed study will incorporate production of a regional training blueprint, a 3-year regional strategic training plan, a review of training facilities and training methods used nationally, and a full review and update of the Training Needs Analysis for each Member State. The study will also examine whether the associated training requirements of stakeholders, such as the private sector and other public departments, are being met, and, if not, how this matter should be addressed in future.

PROPOSED ACTIVITY

This activity will be undertaken by 3 teams, each consisting of a consultant (a regional or international Short Term Expert) and a Human Resource/Training Representative from a SADC Member State.

Overall requirement

- Conduct a Gap Analysis of Capacity Building across Member States against the background of a future integrated operational Customs environment, whilst assimilating information from other recent studies, where available;
- Consolidate information on the present organisational arrangements and facilities for Human Resource and Training Departments at the national level;
- Propose a 3-year strategic plan for training at a regional level;
- Develop and propose a generic training blueprint for regional adoption by the Human Resource and Training Departments of the SADC Member States;
- Draw up a framework for a regional training programme based on the results of the Gap Analysis; and

develop training plans that will meet existing institutional
integration and a unified approach to cross-cutting issues
improved co-operation..

- An appropriate training evaluation methodology;
- Recommendations for prioritised training and development programmes (details of related ongoing projects at national and/or regional level must also be included);
- Recommendations for systems that enable line managers to identify and match profiles of trainees to the training required, taking into account specific job requirements and the need to provide the right training to the right people at the right time;
- Recommendations for any documentation required to sustain the training and the business requirement;
- An outline proposal for the development of training materials, expertise and research, together with a training/trainee database; and
- Compile standard courseware from Member States, and other international source, which can be utilised by all Member States at minimal cost.

The teams will prepare and submit the following reports:

1. A detailed work plan to be produced during the pre-study workshop.
2. Regular and timely progress reports detailing:
 - Progress against targets set in the work plan;
 - Problems encountered;
 - Technical recommendations; and
 - Administrative recommendations.
3. A Member State specific report for each of the 14 countries
4. A Final Consolidated Report to be delivered within one month of the end of the project, including supporting documentation.

EXPECTED OUTPUTS

The expected outputs will include:

- A review of current organisational arrangements and facilities for Human Resource and Training Departments at national level in all Member States;
- A 3-year strategic plan for training at a regional level;
- Production of a generic training blueprint for use by individual SADC Member States;
- Detailed Training Needs Analysis for each participating Member State;
- A regional training programme based on the results of the Gap Analysis;
- A methodology for evaluating national and regional training programmes and methodologies;
- Sources of external training e.g. WCO, WTO, AKMAL, Canberra and recognized regional and local institutions;
- List of recommended core competencies required; and
- A Final Report.

ASSUMPTIONS AND RISKS

ASSUMPTIONS

It is assumed that the designated Member States are supportive of the Customs Modernisation Project and aware of its potential benefits to them.

It is further assumed that the designated Member States co-operate in helping to achieve the objectives of the missions and that the required Human Resource and Training personnel will be

Concern has been expressed that similar research has already been carried out by WCO diagnostic study groups, and relevant reports have been requested from the Member States. Columbus reports from 4 Member States and an extracted list of recommendations from an additional Member State's report have been made available to the Key Expert. The objectives of the proposed study are not exactly the same as those of the WCO, as the SADC study will delve further into training matters and obtain up-to-date and in-depth information that is crucial to setting up a SADC training network. It will also provide additional information that will influence other capacity building network activities and will be unique to SADC MEMBER States.

Every care must be taken to ensure that the relevant in-country personnel are informed in good time of the purpose of the missions and are available on the scheduled days.

LOGISTICS AND TIMING

The Key Expert 4, Capacity Building, will co-ordinate all activities and supervise and monitor the work of the teams as appropriate. It is anticipated that members of the Customs Advisory Working Group on Training will provide assistance in-country, in addition to meeting to discuss and consider the draft final report.

CONCLUSIONS AND RESULTS

The diagnostic study will provide essential details regarding the current status of each Member State's Human Resource and Training Department, and will identify areas for development against a regional benchmark (blueprint). The information from this study will provide the foundation for all subsequent capacity building initiatives which, in turn, will form the basis for creation of a SADC training network and measurably support regional integration consistent with Customs Modernisation and Trade Facilitation (CMTF) objectives.

IMPLEMENTATION STATUS (within each Member State v Proposed SADC Training and Development Model)

	Ang	Bot	DRC	Les	Mad	Mal	Mau	Moz	Nam	RSA	Swa	Tan	Zam	Zim
A corporate business strategy exists	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	Y
Human Resource														
HR Strategy in place	Y	N	N	N	N	Y	Y	Y	Y	Y	N	Y	Y	Y
HR Plan in place	Y	Y	N	Y	N	Y	Y	Y	N	Y	N	Y	Y	Y
Top Management														
Top management commitment to training policies and training strategy	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	Y
Top management committed to the training programmes	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Top management ensures the training strategy is regularly reviewed	Y	N	N	Y	Y	N	Y	Y	N	Y	N	Y	Y	Y
Training strategy & plans are an important feature on the agenda of top management meetings.	Y	N	N	Y	Y	Y	Y	Y	N	Y	N	Y	N	Y
Training														
A training strategy document is in place	Y	N	N	Y	Y	N	Y	Y	N	Y	N	Y	N	Y
Training strategy consists assessment of training needs, planning, content of training, target groups, methods of training, training staff, costs, equipment, techniques, location, and control indicators	Y	N	N	Y	N	Y	N	Y	Y	Y	N	Y	Y	Y
Training Plan in place	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Training policies and programmes are based on a professional analysis of the organisational training needs in contemporary and future business priorities.	N	N	Y	Y	Y	N	Y	Y	Y	Y	N	Y	Y	Y
A training unit is in place under the responsibility of a senior manager	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y
Training manager has regular access to top management	Y	N	Y	y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Line managers play a key role with their staff in identifying the training needs of their subordinates	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	Y

	Ang	Bot	DRC	Les	Mad	Mal	Mau	Moz	Nam	RSA	Swa	Tan	Zam	Zim
		N	Y	Y	Y	Y	Y	Y	N	Y	N	Y	Y	Y
		Y	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y
individuals with the knowledge, necessary skills and attitudes to perform their jobs to a high and clearly defined standard														
Training programmes take account of the career entry levels of individuals, and their experience and knowledge prior to entry into the customs service.	Y	N	Y	N	N	Y	N	Y	N	Y	Y	Y	Y	Y
Broad-based introductory training programmes for new recruits and subsequent training programmes addressing specific job/individual requirements are in place.	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y
Training programmes provide the opportunity for the integration of further training, and other external forms of development.	Y	Y	Y	Y	N	N	Y	Y	Y	Y	N	N	N	Y
Measures are taken to meet further needs identified during training programmes	Y	N	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	N	
Where appropriate, skills and knowledge acquired through training is cascaded down to other staff through a structured system using such modes as presentations, demonstrations and document sharing.	Y	N	N	Y	N	N	Y	Y	N	Y	Y	N	N	
Training delivery includes a range and combination of methodologies, reflecting the training requirements and the target group.	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	N	Y
Job Specifications							Y							
Job specifications are prepared (probably by the personnel function) for all classes of jobs in the Administration, describing the minimum levels of knowledge, skills and aptitude required for competent performance.	Y	Y	Y	Y	N	N	Y	Y	N	Y	Y	Y	N	Y
Trainers														
Full-time trainers constantly sustain their knowledge and experience in their area of expertise	Y	N	N	N	N	N	N	N	Y	Y	Y	Y	N	

	Ang	Bot	DRC	Les	Mad	Mal	Mau	Moz	Nam	RSA	Swa	Tan	Zam	Zim
		Y	Y	Y	N	Y	Y		N	Y	Y	Y	Y	Y
Training Resources - Appropriate training resources are available to support training:														
Training modules and documentation	Y	Y	Y	Y	N	Y	Y		Y	Y	Y	N	Y	Y
Electronic resources	Y	N	Y	Y	N	Y	Y		Y	Y	Y	Y	Y	
Technical resources	Y	Y	Y	Y	N	Y	Y		Y	Y	N	Y	Y	Y
Training centre/rooms	Y	N	Y	Y	Y	Y	Y		Y	Y	N	Y	Y	Y
Training room equipment	Y	N	Y	Y	N	Y	Y		Y	Y	N	Y	Y	Y
e-Learning function (where possible)	Y	N	N	N	Y	N	Y		N	Y	N	N	N	
Training Logs														
Records of individual training, backgrounds, and progress are maintained and regularly updated	Y	N	N	N	N	N	Y		Y	Y	Y	N	Y	
Records are also made available to human resource management (personnel function), to training function and to management.	Y	N	N	N	N	Y	Y		Y	Y	Y	Y	Y	Y
Training Evaluation														
All training, whether internal or external, is properly and sufficiently evaluated to assess all-round effectiveness and cost-effectiveness (e.g. improved job performance) and identify and address any changes that may be necessary	Y	N	N	Y	Y	Y	N		N	Y (internal training only)	Y (mainly internal)	Y	Y	
Regular Review														
Training strategy, policies, systems, and procedures are kept under regular review to ensure that aims are achieved.	Y	N	N	Y	Y	N	N		N	Y	N	Y	Y	

Key:

Y = Yes, or in place

N = No, or not in place

Aim

To develop a training service that fully supports the business strategy of the customs Administrations of the Member States, and contributes to improved business performance, allow trade facilitation and collection of good statistics through the training and development of their employees.

Strategic Objectives

Development, implementation and regular review of a long-term training strategy which is designed to deliver the above aim, integrates with the customs business strategy, and is fully endorsed at top management level

Development and resourcing of a training function which operates systematically, in line with the proposed model shown below and which is based upon training policies, systems and procedures which facilitate delivery of the training strategy

Development of an e-Learning platform for the region to be reviewed by a training technical working group on a regular basis to incorporate any changes

Key indicators

Training Strategy

Top management is seen to be committed to the training strategy, and training policies and programmes

A competent senior manager, with regular access to and influence with top management, is made responsible for the training function

A training plan that is linked to the business and strategic plans of the Customs Department, with clear commitment to meet the needs of the individual officers and management.

Systematic Training Policies, Systems and Procedures

Training policies and programmes are based on a full and proper analysis of the organisation's training needs and priorities, both current and particularly for the future.

Training programmes are designed to provide individuals with the knowledge, skills and attitudes required to perform their jobs to a high standard.

Training programmes take account of the career entry levels of individuals, and their educational achievements prior to entry to the customs service.

Job specifications are prepared (probably by the Personnel function) for all classes of job in the Administration, describing the minimum levels of knowledge, skills and attitude required for competent performance.

Line managers are required to identify the training needs of their subordinates and notify these to the training department.

Broad-based introductory training programmes (which take into account the common training modules developed under the SADC programme) are in place for new employees, with subsequent training programmes geared to specific job/individual requirements.

Training programmes provide the opportunity for the integration of further education, and other external forms of development (e.g. exchanges intra- Member States).

conducted by trainers and mentors who have the skills. Arrangements are in place to ensure that they maintain up-to-date on the subjects which they deal with.

Training delivery includes a range of methodologies, each reflecting the training requirement. Modern training aids (e.g. whiteboards, flipcharts, overhead projectors, video facilities etc) are available to support training delivery.

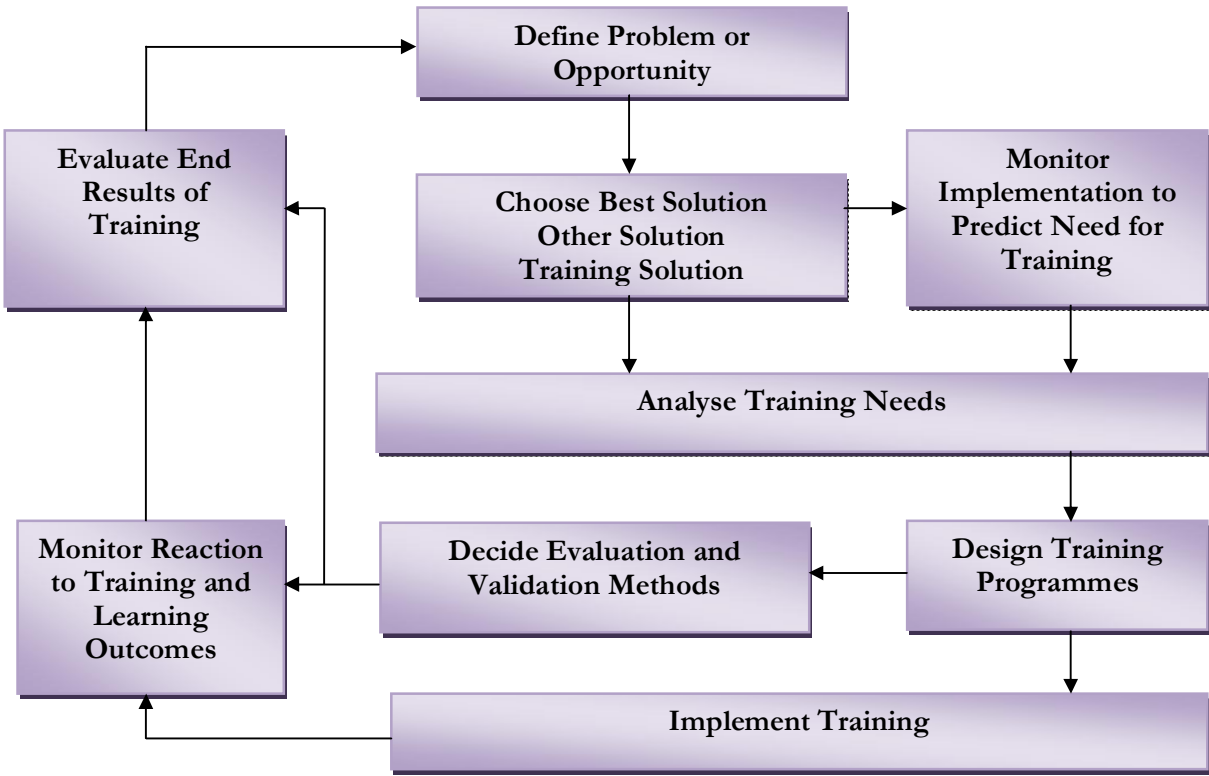
Training delivery reflects real needs, and is not dictated by the need to keep training centres fully occupied.

Records are maintained of individual training histories and progress, and of action taken to meet further needs identified during training programmes. These records are also made available to the Personnel function.

All training, whether internal or external, is evaluated to assess effectiveness and identify changes where necessary.

Training strategy, policies, systems and procedures are kept under regular review to ensure fitness for purpose.

Model of Functional Scheme



HR Strategy & Plan in place
Top management is committed, and is seen to be committed, to the training strategy, policies, and programmes and ensures that the training strategy is regularly reviewed and is an important feature on the agenda of top management meetings.
A training strategy document is in place consisting of key components such as assessment of educational needs, planning, content of training, target groups, methods of training, training staff, costs, equipment, techniques, location, and control indicators
Training Plan in place
Training policies and programmes are based on a professional analysis of the organisational training needs in contemporary and future business priorities.
A training unit is in place under the responsibility of a senior manager, who has regular access to top management
Line managers play a key role with their staff in identifying the training needs of their subordinates and propose appropriate training solutions to the training unit.
Training programmes are designed to provide individuals with the knowledge, necessary skills and attitudes to perform their jobs to a high and clearly defined standard
Training programmes take account of the career entry levels of individuals, and their experience and knowledge prior to entry into the customs service.
Job specifications are prepared (probably by the personnel function) for all classes of jobs in the Administration, describing the minimum levels of knowledge, skills and aptitude required for competent performance.
Broad-based introductory training programmes for new recruits and subsequent training programmes addressing specific job/individual requirements are in place.
Training programmes provide the opportunity for the integration of further training, and other external forms of development.
It is recommended that training be delivered mainly by trainers who have received certified trainer training and preferably have training experience.
Where appropriate, skills and knowledge acquired through training should be cascaded down to other staff through a structured system (presentations, demonstrations, document sharing, etc.)
Full-time trainers constantly sustain their knowledge and experience in their area of expertise
Training delivery includes a range and combination of methodologies, reflecting the training requirements and the target group.
Appropriate training resources are available to support training (documentation, electronic resources, technical resources, training centres/rooms, training room equipment, e-Learning function where possible, etc.).
Records of individual training, backgrounds, and progress are maintained and regularly updated, and measures are taken to meet further needs identified during training programmes. These records are also made available to human resources management (personnel function).
All training, whether internal or external, is properly and sufficiently evaluated to assess all-round effectiveness and cost-effectiveness (e.g. improved job performance) and identify and address any changes that may be necessary
Training strategy, policies, systems, and procedures are kept under regular review to ensure that aims are achieved.



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ANNEX C

PROPOSED SADC CAPACITY BUILDING STRATEGY

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1.0 INTRODUCTION

The SADC Regional Customs Capacity Building Strategy follows an initiative of the SADC Customs Modernisation and Trade Facilitation Project to have a Gap Analysis conducted and a five year strategy developed for regional capacity building.

The SADC Regional Customs Capacity Building Strategy is a response to the challenges of a future integrated operational Customs environment which will include the reform and modernisation of the SADC Customs Administrations, contribution of Customs to the successful implementation of the SADC FTA, and the effective implementation of the SADC Customs Union (CU).

This Strategy is informed by outputs from the following:

- WCO Gap Analyses (WCO Diagnostic Reports - Columbus Phase 1) conducted in various customs administrations, where these were made available;
- A Gap Analysis recently undertaken in SADC by a team of consultants who included three Customs Officers previously trained as WCO Diagnosticians;
- The Implementation Plan of the Regional Indicative Strategic Development Plan (RISDP), specifically as it relates to the road map towards the SADC Customs Union;
- The advice and input from the various meetings of the Customs Advisory Working Group for Capacity Building (CAWG-CB);
- Implementation of the SADC Protocol on Trade;
- The SADC Conformity Assessment Tool;
- SADC developed instruments and training materials; and
- The SCCC strategy.

Furthermore, the strategy is guided by the SADC Customs Vision which states as follows:

‘To be a world-class customs service’.

At the time of developing this Strategy, a decision has been taken by Heads of State to merge, over time, the three regional bodies of COMESA, EAC and SADC. As a result of this, the FTA will be enlarged and there will be a need to harmonise various systems and procedures relating to this, a process which is nearly concluded in SADC. This will influence this Strategy hence the need for the CAWG-CB to be responsive to such developments.

The Strategy will assume a 5 year planning horizon. This also implies that the implementation of this strategy is not relying on the current Project. Whilst mindful of the current inadequate budgetary allocations to the Customs Administrations, the Strategy therefore addresses the issues of sustainability beyond the Project.

This Strategy should be read together with the Gap Analysis Consolidated Report referred to above (which also contains a glossary and list of abbreviations).

Regional integration in SADC calls for closer collaboration and co-operation among its members. The SADC Customs Capacity Building Strategy is meant as an innovative Regional intervention aimed at addressing sustainable capacity building across SADC that will contribute effectively to intra-SADC and external trade.

2.2 Strategic Objectives

The Capacity Building Strategy aims at achieving the following specific objectives:

- To facilitate the responsiveness of SADC Customs Administrations to the current challenges of Customs including the shift in focus from Revenue Collection to enhanced Trade Facilitation, the effective implementation of the SADC FTA and the attainment of the SADC Customs Union leading to the Common Market;
- To support the reform and modernisation of the SADC Customs Administrations into national and regional strategic institutions with regards to trade through the adoption of “best practices” and agreed regional and international standards;
- To develop a responsive capacity building effort regionally, one that will also support a training network among Customs Administrations during the lead up to the SADC Customs Union and beyond; and
- To facilitate the partnership between Customs and Business, and support the meeting of capacity and particularly training needs of the business players in the trading chain.

3.0 BENEFITS OF THIS STRATEGY

The perceived benefits of this Strategy are:

At the Regional Level

- Closer co-operation among the Customs Administrations;
- Raised level of integrity in the trading chain;
- Facilitation of effective implementation of the SADC FTA leading to increased trade flows between SADC Member States; and
- Facilitation of Regional readiness to implement the Customs Union.

At the National Level

- Improved partnership between Customs and Business;
- An equally professional business sector, in particular the clearing and forwarding sector; and
- Contribution to the lowering of costs of doing business and thus contributing to investment flows and poverty eradication.



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ment in each Customs Administration and management

and increased level of professionalism across SADC

Customs; and

- Cost effective training and development programmes.

4.0 SITUATION ANALYSIS

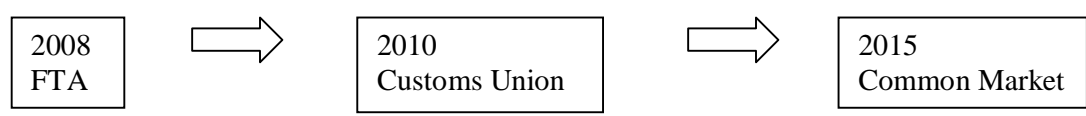
4.1 BACKGROUND

4.1.1 Regional Integration

SADC has since 2000 been implementing the SADC Trade Protocol towards a SADC Common Market. The road map for this transition is as approved by the SADC Heads of State and Government in the RISDP in 2003. As part of the SADC Common Agenda, SADC aims at promoting “deeper economic co-operation and integration, on the basis of balance, equity and mutual benefit, providing for cross-border investment and trade, and freer movement of factors of production, goods and services across national borders”.

The RISDP road map to the SADC Common Market is shown in figure1.

Figure 1: SADC Roadmap to Common Market



4.1.2 Revenue Collection and Trade Facilitation

SADC is also aiming at a supportive environment to business. This, among others, will necessitate the migration from the traditional role of revenue collection to trade facilitation and improved customs-business relationships. Trade Facilitation will also include adopting benchmarks that will support the security of the trading chain, improve the speed of movement of goods, and raise the international credibility of the region with its worldwide trading partners. Added to this process are the commitments by the SADC countries to enhanced trade facilitation under the EPAs.

It should be noted that the three roles of Customs i.e. Protection of Society, Revenue protection and collection, and Trade Facilitation can often be seen as conflicting. This is the challenge to be met through carefully selected capacity building interventions.

Parameters of the SADC Customs Strategy (2000 – 2010) and the relevant protocol and recommendations of its mid-term review (MTR).

Customs Administrations are also guided by several international standards including the following:

- The WCO Safe Framework of Standards which include:
 - ⇒ Customs to Customs Co-operation
 - ⇒ Customs to Business Co-operation
- The Revised Kyoto Convention (Simplification and harmonisation of Customs Procedures)
- The Revised Arusha Declaration (Integrity)
- Istanbul Convention (Temporary Admission)
- Johannesburg Convention (Exchange of Information and Mutual Assistance)
- Management development standards for customs produced under the WCO PICARD Programme. These are common development standards targeted at professionalising Customs senior and middle management
- WTO existing agreements and the Doha Development Round Negotiations

Although the SADC Customs Administrations, taken together, may have signed up to these agreements, for various reasons they may not be implementing them.

4.1.4 Reform and Modernisation

SADC Customs Administrations are at different levels of development in so far as their modernisation and reform programmes are concerned. On one hand a few administrations have embraced and implemented the “best practices” such as those from WCO (SAFE standards), and the revised Kyoto Convention as recommended by the WCO Columbus Reports, while others continue to lag behind in both their country legislations and in modernising their operations.

4.1.5. Sub-Committee on Customs Co-operation (SCCC)

The SADC Protocol on Trade established the Sub-Committee on Customs Co-operation (SCCC) and relevant working groups around customs issues that would serve the needs of the SADC Regional integration agenda. As part of its work, the SCCC approved regional training modules have been adopted by Member States. The SCCC further invited the regional private sector representatives as part of their initiative to develop a partnership with business. These developments offer a sure footing for customs to customs co-operation and customs to business partnership.

supports a regional environment for reform and Administrations. Regional initiatives, therefore, such as ... will derive guidance from this structure.

4.2 SWOT ANALYSIS

An analysis of the Customs environment from the Gap Analysis and other relevant documentation shows the following Strengths, Weaknesses, Opportunities and Threats (SWOT):

4.2.1 STRENGTHS

- A readiness to implement regional integration agenda as seen through structures in SADC
- Availability of a broad skills base at the regional level, including
 - ⇒ High level of education & skills in the Customs Administrations
 - ⇒ Availability of expertise and support skills in the region
- Customs reform and modernisation programmes being implemented across the Region
- The launch of a well crafted FTA and a clear Regional integration road map

4.2.2 WEAKNESSES

- Different national strengths in implementing the regional integration agenda
- Inadequate, weak or absence of relevant infrastructure (e.g. transit routes, communications at both national and regional levels)
- Finance
 - ⇒ Budgetary constraints
 - ⇒ Reliance on the Treasury
- Different skill levels
 - ⇒ in Customs Administrations
 - ⇒ in Member States(affects e.g. Policy development and analysis)
- Inadequate formal Customs to Customs co-operation
- Frequent changes of officials/leadership resulting in lack of continuity
 - ⇒ At Regional meetings
 - ⇒ At government level
 - ⇒ At the Customs Administration level
- Diversity of languages
 - ⇒ as a barrier to trade in SADC
 - ⇒ as a barrier to communications
 - ⇒ as a barrier to agreed SADC programmes often caused by slow translation
- Different customs IT operating systems at the Regional level (and in some cases at national level)
- Untrained technical and managerial staff.

COMESA, SADC & EAC as this creates one Customs Union to

- World financial crisis could result in greater realisation of regional potential (e.g. regional capability to process and consume own oil; value addition to various raw materials)
- Potential market (over 200million population)
- Overlapping membership from which SADC would have learnt various lessons on integration
- Different customs IT operating systems (ease of assessment of different strengths and weaknesses of systems)

4.2.4 THREATS

- Merger of COMESA, SADC & EAC (e.g. in relation to existing Secretariats and programmes)
- Inadequate political will to implement agreed protocols and conventions
- The World financial crisis which may result e.g. in diversion/reduction of donor support
- Different levels of economic development
- Overlapping membership splitting loyalty to regional integration
- Unco-ordinated donor programmes(e.g. leading to duplication)
- Conflicting Regional and sovereign issues e.g. different Legal provisions by country

4.3 CAPACITY BUILDING FACTORS

Based on the Terms of Reference of the Gap Analysis, its findings and recommendations and the proposed SADC Training Model, the following four factors guided the drawing up of this Capacity Building Strategy:

- **Areas impacting on Capacity Building**
 - Commitment from the top and among management
 - Corporate Strategy
 - An integrated HR strategy
 - Financial, Human and Material Resources
 - Technological developments
- **Training Effort**
 - Training strategy
 - Training and Development Plans and Programmes
 - Training resources/Facilities/Procedures/Systems and capacities
 - Utilisation of Trained Staff
 - Leadership and Management development
 - Monitoring and Evaluation of Training

4.3.1 Areas Impacting on Capacity Building

i) Commitment from the Top and among Management

Management in the Customs Administrations indicated a commitment to Capacity Building, however, in most of the establishments this commitment is, for various reasons, not translated into meaningful resource and budgetary provisions. Customs Administrations compete for resources with all other national priorities and often do not receive the anticipated resources as sometimes capacity building is not considered a priority.

ii) Corporate Strategy

The focus on the availability of a Corporate Strategy is based on the critical need to ensure that all other strategies are there to meet the vision and mission of the Administration. Twelve of the 14 countries visited have Corporate Strategies and two countries do not have a current Strategy. In some cases there was no clear linkage between a corporate strategy and a training strategy. The impact of Training not performing is not being measured. While nearly half the Members do not have a Training Strategy about 43% are not carrying out regular review of training.(See Annex B1)

Within the action plans reviewed there were and are some elements that support the SADC TIFI Customs Strategic Plan.

iii) An Integrated HR Strategy

Effective training does not only require guidance from a Corporate Strategy and funding but also the support of a robust Human Resource strategy. The HR strategy links all the human resource sub-systems such as job descriptions, manpower planning, recruitment, performance appraisal, succession planning, training needs analysis, training and development, a reward system and an integrated information system.

The Gap Analysis shows that 36% of the Administrations do not have an HR Strategy. HR departments have tended to be staffed by non-specialist and in many cases are not responsible for training. Furthermore, human resource information systems are underdeveloped, thus robbing these Administrations of the opportunity to effectively manage their key resource.

iv) Financial, Human and Material Resources

All round capacity building to support the Customs Reform and Modernisation programme will also require working operational infrastructure and the maintenance of a conducive organisational environment. In general the low income countries tend to be inadequately resourced to maintain such a conducive environment. Customs operate without the necessary communications infrastructure, there is poor border post physical infrastructure, lack of IT connectivity between border posts and Customs Headquarters and are not so well rewarded.

capacity building is not facilitating adherence to a set of

membership (and therefore of operating systems) among the Member States may have an influence on, for example, operational systems to be adopted, training modules and the speed of adoption.

The SADC training environment has several challenges. These include a low level allocation of resources to training, unsystematic training which sometimes bears no relationship to overall performance requirements of the incumbent or the current needs of the function.

Changes in the operational environment are not often followed by the necessary training. Some Administrations hold as many as 50% of staff without the adequate technical training of a professional customs officer.

A few Administrations however are progressively allocating resources based on the overall plan of the organisation.

Customs in many of the Member States contributes well over 20% to National Budgets.

v) Technological developments

The reformation and modernisation of SADC Customs Administrations will depend in a large part to the level of technological investments and related training in the Administration. The link between the behavioural change required by new technology and existing behaviour may need to be addressed via the setting of expected performance measures. There is evidence of inadequate investment in technology particularly in the low income countries. This was attributed to budgetary constraints.

vi) Technological diversity

SADC countries use between them at least four Customs automated systems (i.e. ASYCUDA, TIMS, CAPE and CMS). These systems do not talk to each other although interface software is being developed. The technological diversity across SADC impacts on the implementation of customs cooperation efforts. This in turn impacts on trade facilitation.

4.3.2 Training Effort

i) Training Strategy

Training strategies were examined for their relevance to the needs of their Administration, their link to regional integration and their currency in contributing to modernisation and reformation.

Nearly 45% of the countries do not have Training Strategies. In at least one country, the training strategy was out of tune with the corporate strategy. In a number of cases the training strategy was catering for all operations of the Revenue Authority rather than being Customs focused. Whilst this reflects the new organisation structure, sometimes Customs management felt that the specific needs of Customs were being overshadowed or received inadequate attention.

ns/Programmes

ns traditionally been conducted to meet the needs of technical requirements of the Customs Administrations. There are several seminars, workshops aimed at sensitizing staff in various areas. Furthermore a series of specialised courses and courses abroad are being attended by customs staff. However there are several instances where such training is not based on a set plan.

Although all Administrations have training and development plans, the design and execution of these will need to be improved to deliver effectively on the priorities of Customs by first linking them to Corporate Strategies.

The duration of the various entry courses to produce technically “complete” customs officials tend to vary across the region. For instance the duration of technical “basic” courses in two Francophone countries run for two years while the period tends to be for 6 months for the Anglophone countries. Not all serving employees have undergone the necessary training. In at least three countries as many as 50% of their staff have not received the requisite training by their own standards to qualify as “technically complete”.

The study indicates that in at least 7 cases planned training programmes are unlikely to be fulfilled due to inadequate allocation of funds.

iii) Training Resources/Facilities/Procedures/Systems and Capacities

Nearly all Customs Administrations have some form of training resources, procedures, systems and capacities. Training facilities for instance range from fully resourced training schools to facilities that are inadequate for the needs of the organisation.

All Administrations are aware of the availability of such training resources as the SADC modules, the WCO training modules and e-Learning. Some have adopted these into their own Administrations. There is evidence that the WCO e-Learning is being progressively acquired by the Administrations. (Refer to Study report Annex G1)

Most Administrations do not have full time trainers. However several training and sometimes WCO accredited trainers are available in these Administrations most of whom are dispersed within the operations. The use of management or technical staff on in-house courses was noted.

Training needs assessment remains a weak area particularly in terms of the approaches and systems used. Identified performance weaknesses or skills requirements (e.g. Due to introduction of new technology or system) are not always followed up by the relevant training.

There were several examples of Training Records, however, most Administrations do not keep “user friendly” records which can be easily accessed, preferring instead to keep information on staff in personnel files or the training managers file.

There was no evidence of training matrices to support managers and supervisors in developing staff.

is concerned at ensuring that there is investment in the people of the region, the student nomination process does not always take into account the person specification and future contribution to the organisation. Furthermore, staff trained are often deployed in areas where knowledge and skills recently acquired cannot be applied. Such training and subsequent staff deployment is not only costly but entrenches the culture that training is not a strategic intervention meant to meet specific needs of the organisation.

v) Leadership and Management development

Although it is accepted that training is not the answer to all evidence of non performance, Leadership and Management training and development was ranked high as a priority for regional intervention by the SCCC with over 70% of the Administration ranking it as a medium priority (see Table 1 or Annex F in the Consolidated report). There is concern that staff rise into managerial positions based on their technical competence as customs officers without the requisite managerial skills. Some skills gaps identified include Strategic Planning, Budgeting, and Functional Management Skills. However this intervention will need to be dealt with taking into account the overall operating environment of customs.

vi) Monitoring and Evaluation of Training

Following the majority of courses, trainees had the chance to evaluate the course and the trainers immediately after the event, however there was no evidence of systematic monitoring and evaluation of training and trainee performance in the workplace at a later stage. Consequently, there is a need to evaluate changes in knowledge, skills and behaviours in the workplace in order to correctly reflect the effectiveness of the training.

vii) Training Conditions

In a region that seeks deeper integration, its major source of training facility will be at the National level. The local training facilities go from non-existent to very good. The conditions of some training facilities have dilapidated over the years and are in dire need of repair. Taken together however the existing facilities have the potential to host regional training for the Customs Administration.

In many Administrations where trainers exist, it was noted that there is a greater incentive (in terms of career progression and rewards) to being in line jobs than in training (or at a training school).

4.3.3 Regional Issues

Several issues at the regional level impact on capacity building (see consolidated report). These include the multiplicity of membership of the integrating States, multiplicity of operating systems (e.g. TIMS, ASYCUDA) and different legal provisions with regards to Customs. A further challenge is the recent decision (October 2008) by Heads of State to merge three organisations to which SADC Member States belong – EAC, COMESA and SADC. This will require a phenomenal harmonisation exercise to deal with a spectrum of both systems and procedures on one hand, and training modules, capacity building strategies and corporate strategies on the other.

The future of trade facilitation enhancing revenue collection will in part depend on improvements in customs-business dialogue. Beyond dialogue however will be a need for implementing an agenda that focuses on the development of business (traders, customs brokers, clearing agents) to ensure that they too adopt best practices or are able to acquire hands on experience on the developments in the trading chain (including technology and systems).

Findings across SADC show there are at least two cases where the development of technical staff (from private sector) who deal with customs receive regular training and the partnership is robust. In other cases, customs partners and the trading fraternity tend to train on the job and “learn as they go along” often from others who have not received any formal customs clearing training.

Furthermore, structured dialogue between customs and business is generally non-existent and meetings are not regular. The much needed partnership between customs and business is generally weak.

At the regional level several attempts have been made by both Customs and Business to create dialogue on a regular basis. Not much progress has been recorded here due mainly to financial capacity constraints in the business representative organisations. In the interest of trade facilitation SADC may, in the interim, have to facilitate the customs-business partnership in particular at Regional level. SADC will need to take a policy stance on stakeholder capacity building and, in particular, training.

5.0 SUMMARISED STRATEGIC INTERVENTIONS

5.1 Regional and National Challenges

Distinction should be made between regional and national challenges. It is suggested here that any challenge occurring in one or more SADC countries impacting on the SADC trading chain should be treated as Regional. It therefore follows that Regional training and capacity building initiatives should place all such challenges on the priority areas as below.

5.2 Proposed Priority Areas

These priorities should be addressed taking into account the status of each Customs Administration as indicated in the recently undertaken Gap Analysis, the Columbus reports and the SCCC reports & recommendations. There are SADC wide needs as well as country (or Group of country specific) needs.

Regional

Facilitate:

development (starting with a series of off-the-job high programmes)

ment or review (with the participation of key stakeholders e and Trade, and representatives of Business) – to be

linked to an agreed implementation plan

- Development or review of Integrated Human Resource strategies (including Training strategies) and an effective HR function in each Administration
- Implementation of Technical programmes immediately linked to Regional integration and regional Customs vision
- Development of a sustainable framework for customs-business dialogue; stakeholders' training programmes, and a network of training facilities for business
- Development of a regional capacity development and training policy, and an M & E system (to, for example, monitor implementation of the Strategy)
- Systematic peer monitoring, evaluation and support of SADC Customs at the level of Heads of Customs.

National

Support:

- Country specific training programmes where there is a Regional impact
- The upgrading, staffing and equipping of training centres for regional use (and their funding plans)
- Monitor the work done on identified national (non-regional) Gaps.

6.0 PROPOSED KEY INTERVENTION AREAS

6.1 The Key Intervention Areas (KIAs) selected in this strategy try to deal with the following concerns and key questions:

What are the challenges to capacity building?

Why is training not happening?

What capacity building is required to meet the needs of:

- SADC FTA implementation
- SADC Customs Union
- A 21st century Customs Administration
- Trade facilitation

6.2 The following are proposed as key intervention areas to facilitate a responsive and sustainable capacity building and training environment for Customs:

For Immediate implementation (0 – 1year)

- Leadership and management development
- Corporate strategy development
- Meeting training needs linked to Regional Integration
- Setting up of SADC Regional Training Network
- Development and formalisation of Customs to Business Partnerships (Authorised Economic Operator)
- Integrated Human Resource management

implementation of the CB strategy
policy

Short Term implementation (1 – 3 years)

- Upgrade, staff and equip training centres
- Joint Strategy and Implementation Review
- Set standards (e.g. proposed SADC Training and Development model)

For Long Term implementation (3 - 5 years)

- Regular Stakeholder Identification and Analysis
- Peer Monitoring and Evaluation at the Head of Customs level

7.0 KEY INTERVENTION AREAS AND STRATEGIES

The following section outlines the Strategies for each of the proposed Key Intervention Areas (KIAs) above. The section also provides a justification for each KIA.

7.1 FOR SHORT TERM IMPLEMENTATION

7.1.1 Leadership and Management Development

Strategies

- Organise and run a series of high level management courses for key management positions in Customs Administration
- Raise and promote the role of Customs among the relevant internal and external stakeholders

Justification

The strengthening of leadership and management supports reformation and many other challenges. Programme should be open to all top management regardless of organisational structure. This will facilitate future cross-functional co-operation.

7.1.2 Corporate Strategy

Strategy

Facilitate the development or review of existing corporate strategy ensuring that all Customs Administrations have in place a corporate strategy supported by an HR and training strategy.

Justification

This will assist prioritisation and refocus such activities as training, the areas of training and resource allocation. Effective implementation will benefit from direct participation of key stakeholders such as Ministries of Finance and Trade, and representatives of Business. The implementation plan (which involves funding) should have the endorsement of these key players.

aining programmes linked to Regional Integration and the regional Customs vision.

- Improve the quality of training through the use of more practical oriented training and use of experienced trainers.
- Organise training of trainers programmes based on a regionally accepted trainer module.
- Develop and implement a SADC Customs Trainer accreditation programme.

Justification

The project's priority training is that which supports the regional trading chain in line with world class standards and the needs of Regional integration (implementation of the FTA and the CU). SADC training will be supplementary to Member States training. It should not replace it.

7.1.4 Setting Up of SADC Regional Training Network

Strategy

- Development of a sustainable training network for the Customs Administration
- Support the initial coordination of the network

Justification

The network will encourage use of all national facilities by the Region thereby lowering set-up and initial costs to Customs Administrations.

7.1.5 Customs to Business Partnership

Strategy

- Development of a sustainable framework for customs-business dialogue, stakeholders' training programmes, and a network of training facilities for business
- Ensure the development of a legal and policy framework to support customs-private sector dialogue and partnerships where these do not exist.

Justification

Trade facilitation will benefit from strong and knowledgeable partners. MSs must take full advantage of existing training facilities and approaches in customs-business relationships/dialogue.

of an Integrated Human Resource strategy (including a Training strategy)

Develop a Regional benchmark for the HR function.

Justification

This supports HR functions such as recruitment, timely and appropriate training and development, effective staff deployment and utilisation, effective training needs analysis and performance management. The current organisation structure and staffing will benefit from being challenged in terms of its effectiveness as far as HR function is concerned.

7.1.7 Monitoring and Evaluation of Implementation of the CB Strategy

Strategy

Develop and implement a monitoring and evaluation tool for the CB strategy

Adopt a peer monitoring mechanism to be linked to the coordination network at both regional and national level

Justification

This will ensure that the implementation of the CB strategy is owned and refined by the beneficiaries.

7.1.8. Regional Capacity Building Policy

Strategy

Develop a capacity building and training policy for SADC customs and a monitoring and evaluation system.

Justification

A well thought out policy environment is key to customs development. Firstly, a favourable and clear policy sets the minimum standards to be followed by all customs Administrations with regards, in this case, to capacity building and training. Secondly, such a policy will set the minimum requirements to be met by all customs Administrations in meeting the requirements of regional integration and regional competitiveness.

Furthermore, customs capacity building and training specific policies will have an important bearing on support to this area and will provide assurances to business and SADC's international trading partners.

The proposed Policy will provide a framework for sustainable, integrated and co-ordinated development of capacities in customs. It will also provide the context within which SADC capacity building and training activities will be promoted and carried out. The Policy will represent the aspirations and views of the stakeholders.

IMPLEMENTATION (1 –3 YRS)

Training Centres

Strategy

- Coordinate and facilitate the upgrading, staffing and equipping of training centres for regional use and assist in the development of their sustainability plans
- Assess current competencies of HRD staff and recommend transition / development plan.
- Examine opportunities for distance education and partnerships with external bodies.

Justification

This will support effective regional training, will raise the level of training to world class and facilitate targeted support from such organisations as the WCO.

7.2.3 Joint Strategy and Implementation Review

Strategy

Institute annual joint strategy and implementation review involving stakeholders at Regional and MS level.

Justification

- To bring together all key players involved with projects and programmes in the area of customs and to ensure a clear linkage between SADC and national efforts
- To carry out annual reviews and contribute to the goals for reformation and modernisation
- To review progress towards achieving the Regional Customs Vision, objectives and targets and to identify the achievements, best practices, constraints and the gaps; and support the internalisation/implementation of findings and recommendations by the respective customs Administrations
- To link emerging regional needs to Regional resources
- To share information on national and regional related initiatives and projects

The joint review is a critical process in the planning, monitoring and evaluation cycle of the Customs modernisation and reformation programme. It provides the basis for identifying best practices and challenges which would need to be taken on board as priorities in the next planning cycle.

7.3 LONG TERM IMPLEMENTATION (3 - 5 YEARS)

7.3.1 Regular Stakeholder Identification And Analysis

Strategy

Implement a regular stakeholder identification and analysis

Justification

The stakeholders will include:

ations
Finance, Trade, Transport, Communications, Home Affairs)
Creating agents (customs brokers, freight forwarders)

The analysis will be based on the following questions:

- What value is expected by the stakeholder?
- What services are provided to this stakeholder?
- How do Customs rate the quality of service to this stakeholder?
- How does the stakeholder rate the quality of service from customs?

Output from this analysis will among others contribute to organisational development and act as a source of training needs for both customs and business.

- The process of identifying stakeholders is on-going.

7.3.2 Peer Monitoring and Evaluation at the Head of Customs Level

Strategy

Coordinate and support systematic peer monitoring, evaluation and support of SADC Customs at the level of Heads of Customs while using the available technical expertise within the Customs Administrations.

Justification

Continuous improvement and reformation across the region's customs operations could be tapped from within. There is need to utilise the expertise available which has the knowledge of the Region.

8.0 IMPLEMENTATION (SUMMARY NOTE)

8.1 Strategy Implementation Issues

This strategy carries with it an Implementation Plan. The Plan raises among other issues the following strategic issues that need to be addressed:

- The strength of the implementing organisations
- Business environment for skilled staff
- Finance – short and long term
- Monitoring, Reporting and Evaluation to ensure continuous improvement
- Sustainability plan especially after the Project.

Legal and Institutional Frameworks for Implementation and Management

Harmonisation of several legal provisions across the region facilitates easy implementation of an agreed common vision. While Customs Administrations can use this to their advantage, they could also benefit from a common policy on capacity building and training.

presence of an effective institutional support framework at the Directorate of TIFI (beyond the life of the Project) to control the flow of funds to the Revenue Authorities or Customs Departments) may need to consider this in the long term sustainability of capacity building initiatives in customs.

Assumptions, Risks and Mitigating strategies

This Strategy assumes commitment from the top to the Customs reform and modernisation programme. However the universal issue of inadequate funding needs to be addressed in order for sustainable progress to be made. A strengthened and effective HR function, strategy and plan will to a large extent support this strategy at both national and regional levels. This will need a Corporate Strategy to which management and shareholders are committed.

At the Regional level there will be a need for strong advisory and coordinating capacity to support regional initiatives and, to a lesser extent, national programmes

8.2 Concluding Remarks

8.2.1 Operating Environment

Other than the good quality of service rendered and an innovative management, successful organisations are characterised by, among others, a conducive operating environment and systematic training and development. They are also highly responsive to the training requirements that arise from operational changes, recruitment, promotion and/or weaknesses in performance. This is bolstered by a strategic Human Resource system that supports and meets the needs of the Administration's corporate strategy.

Furthermore, smooth operations in Customs Administrations will be supported by the attention paid to the overall capacity requirements of the organisation and the quality of Customs to Customs co-operation and Customs to Business partnerships in place.

8.2.2 Cross-cutting Issues

As regional integration makes progress the cross cutting issues of system integrity, management, funding, technology and training, and their impact on both national and regional efficiencies in the trading chain become more pronounced. This needs to be matched by adequate policy response and implementation plans.

Regional integration benefits will be lost to all members where a member or a number of members' challenges are not addressed. Regional integration is "as strong as its weakest member". This therefore requires that regional assistance is provided to ensure accelerated development where needed.

8.2.3 Current Position on Capacity Building

Regional integration is calling for stronger collaboration among the customs Administrations. The presence of agreement on approaches to trade and common training modules, for example, allow for quantum leaps in members who may be lagging behind on



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er needs to pursue its vision more aggressively than is
Capacity Building and training.

LAN FOR THE STRATEGY

FOR IMMEDIATE IMPLEMENTATION (0 - 1 YEAR)

1.1 KEY INTERVENTION AREA: Leadership and Management Development					
INTERVENTION	STRATEGY	ACTIVITY	KPI	RESPONSIBILITY	TIME FRAME
1.1.1 SMDP & MDP have been conducted	Organise and run a series of high level management courses for key management positions in Customs Administration	<ul style="list-style-type: none"> Designing training programmes for senior and MDP Identifying participants Implementing six (6) one-week training sessions Conducting follow ups on training sessions 	<ul style="list-style-type: none"> Training programmes in place List of participants Training delivery and reports Visits to participants and reports 	<ul style="list-style-type: none"> CAWG – CB Heads of Customs SADC Secretariat / CMTFP 	Q1 2009 Q1 2009 Q2 2009 Q3 – Q4 2009
1.1.2 SADC Customs awareness/sensitisation sessions (FTA, CU, etc) have been conducted.	Raise and promote the role of SADC Customs among the relevant internal and external stakeholders	<ul style="list-style-type: none"> Develop session content Identify target stakeholders Preparation of intervention programmes Implementation of programme 	<ul style="list-style-type: none"> Session content designed Stakeholders identified Progress reports Minutes/Reports available. 	<ul style="list-style-type: none"> SADC Secretariat Heads of Customs 	Q2 2009
1.2 KEY INTERVENTION AREA: Corporate Strategy					
INTERVENTION	STRATEGY	ACTIVITY	KPI	RESPONSIBILITY	TIME FRAME
1.2.1 Customs Administrations requiring assistance in development and review of Strategy with clear linkage to capacity building & training have been assisted.	Facilitate the development or review of an existing corporate strategy ensuring that all Customs Administrations have in place a corporate strategy (<i>backed by the CB, HR and Training Strategy</i>)	<ul style="list-style-type: none"> Prepare concept note on the proposed review for SCCC approval To facilitate the development/ review of a corporate strategy on request by an Administration 	<ul style="list-style-type: none"> Concept note presented to SCCC. Corporate Strategy is in place Status report in place 	<ul style="list-style-type: none"> Heads of Customs 	Q1 – Q2 [For development] Q3 – Q4 [Review]

(0 – 1 YEAR)

Training needs linked to Regional Integration

		ACTIVITY	KPI	RESPONSIBILITY	TIME FRAME
1.3.1 Programmes supporting Regional integration being conducted by SADC accredited trainers in place.	Organise and run regional training programmes immediately linked to Regional Integration and the Regional Customs vision.	<ul style="list-style-type: none"> To develop an annual training plan To implement the training plan To monitor and review the training programme Evaluate the effectiveness of training 	<ul style="list-style-type: none"> Training plan in place Evaluation report within 2 weeks of each training event Report submitted Level 3 evaluation report done within 3-6 months after the course 	<ul style="list-style-type: none"> SADC Secretariat CMTFP 	<p>Q4</p> <p>Q1 – Q4</p> <p>Q1 – Q4</p> <p>Q1 – Q4</p>
1.3.2 Practical training and exchange programmes	Improve the quality of training through the use of more practical oriented training and use of experienced trainers.	<ul style="list-style-type: none"> To design exchange programmes To attach trainees to relevant sections / divisions under mentorship To provide adequate infrastructure (IT technology, internet, library) 	<ul style="list-style-type: none"> Programme designed Reports on the exchanges Mentoring report Relevant infrastructure in place 	<ul style="list-style-type: none"> SADC Secretariat/ CAWG CB Heads of Customs 	<p>Q1 – Q4</p>
1.3.3 Development of trainers	Organise training of trainers programmes based on a regionally accepted SADC trainer module	<ul style="list-style-type: none"> To develop / identify a suitable module for training of trainers Identify the candidates to be trained as trainers To train the trainers To deploy and monitor their work performance 	<ul style="list-style-type: none"> Training module List of candidates Training report Evaluation report 	<ul style="list-style-type: none"> SADC Secretariat CMTFP 	<p>Q1 – Q4</p>
1.3.4 SADC Trainer accreditation programme	Develop and implement a SADC Customs Trainer accreditation programme.	<ul style="list-style-type: none"> Conduct a study and develop the accreditation criteria Implement the accreditation programme 	<ul style="list-style-type: none"> Study report and accreditation criteria in place Report 	<p>SADC Secretariat</p>	<p>Q3 – Q4</p>

(0 – 1 YEAR)

Network					
		ACTIVITY	KPI	RESPONSIBILITY	TIME FRAME
1.4.1 SADC Training network is created and implemented.	Develop a SADC training network and a networking sustainability plan for the region.	<ul style="list-style-type: none"> Create a database to enable MS to access and exchange information with regard to training needs and activities. To conclude bilateral and/or multi-lateral Customs MAAAs with one another for exchange of information 	<ul style="list-style-type: none"> Database in place Bilateral and / or multi-lateral Customs MAAAs in place 	<ul style="list-style-type: none"> SADC Secretariat Government of MS upon the initiative of the Head of Customs Legal Team from the CMTF Project 	Q3
1.4.2 SADC Training network is created, implemented and maintained.	Appoint coordinators to support the regional training network and regional training initiatives.	<ul style="list-style-type: none"> MS to identify and appoint training co-ordinators and communicate their contact details to SADC 	<ul style="list-style-type: none"> Training coordinators appointed and publicised amongst MS 	<ul style="list-style-type: none"> Heads of Customs SADC Secretariat 	Q3
1.5 KEY INTERVENTION AREA: Customs to Business Partnership					
INTERVENTION	STRATEGY	ACTIVITY	KPI	RESPONSIBILITY	TIME FRAME
1.5.1 Customs to business partnerships and dialogue developed at both national and regional level.	Develop a mechanism to support Customs-private sector dialogue and stakeholders' training programmes where these do not exist.	<ul style="list-style-type: none"> STE to identify the relevant stakeholders and arrange MOUs if necessary To hold regular meetings / training sessions To develop a standardised Customs-private sector mechanism 	<ul style="list-style-type: none"> Stakeholders identified MOUs signed Mechanism in place Minutes/Training report 	<ul style="list-style-type: none"> Heads of Customs SADC Secretariat 	Q1 - Q4

(0 – 1 YEAR)

Human Resource Management

INTERVENTION	STRATEGY	ACTIVITY	KPI	RESPONSIBILITY	TIME FRAME
1.6.1 A robust and comprehensive HR function in place to implement HR, capacity building and training strategies.	Develop a Regional benchmark for the Human Resources function	<ul style="list-style-type: none"> Assess the effectiveness of the HR function in each Administration 	<ul style="list-style-type: none"> Study report Benchmark 	<ul style="list-style-type: none"> SADC Secretariat CAWG – CB 	Q3
1.6.2 Review/ development of HR strategy	Facilitate the development or review of an effective Integrated Human Resource strategy (including a Training strategy)	<ul style="list-style-type: none"> Develop / Review and align the national HR Strategy to the Regional framework Implement HR benchmarks 	<ul style="list-style-type: none"> National HR Strategy developed / reviewed and aligned 	<ul style="list-style-type: none"> Heads of Customs and HR 	Q3 – Q4
1.7 KEY INTERVENTION AREA: Monitoring and evaluation of progress of the implementation of the CB strategy					
INTERVENTION	STRATEGY	ACTIVITY	KPI	RESPONSIBILITY	TIME FRAME
1.7.1 Monitoring and evaluation of SADC Customs CB strategy conducted at agreed intervals.	Monitoring and evaluation of the implementation of the SADC Customs CB strategy	<ul style="list-style-type: none"> To identify individuals to carry out the monitoring and evaluation exercise To develop tools for and conduct monitoring and evaluation 	<ul style="list-style-type: none"> List of individuals Tools developed and agreed reports produced 	CAWG CB	Q2
1.8 KEY INTERVENTION AREA: Regional Capacity Building and Training Policy					
INTERVENTION	STRATEGY	ACTIVITY	KPI	RESPONSIBILITY	TIME FRAME
1.8.1 SADC CB Policy adopted by SCCC and implemented.	Develop a capacity building and training policy for SADC Customs	<ul style="list-style-type: none"> Develop SADC Customs training policy 	<ul style="list-style-type: none"> Training Policy 	<ul style="list-style-type: none"> CAWG CB 	Q2 – Q3

INTERVENTION (1 – 3 YEARS)

Staff and equip Training Centres					
INTERVENTION	STRATEGY	ACTIVITY	KPI	RESPONSIBILITY	TIME FRAME
2.1.1 A buy-in into Regionalisation of Training centres by relevant authorities, where feasible, and relevant business plans implemented.	Co-ordinate and facilitate the upgrading, staffing and equipping of training centres for regional use and assist in the development of their sustainability plans	<ul style="list-style-type: none"> Develop a business plan for each training centre Implement the plan 	<ul style="list-style-type: none"> Business plan in place Training centre ready for Regional use 	<ul style="list-style-type: none"> Heads of Customs 	2010 – 2011
2.1.2 Development of professional HR staff	Assess current competencies of HRD staff and recommend transition / development plan.	<ul style="list-style-type: none"> Assess current competencies of HRD staff Recommend transition / development plan 	<ul style="list-style-type: none"> Reports Plans in place 	<ul style="list-style-type: none"> CAWG-CB 	Q1 2010
2.1.3 Linking Customs learning with academia	Examine opportunities for distance education and partnerships with external bodies.	<ul style="list-style-type: none"> Examine opportunities for distance education and partnerships with external bodies 	<ul style="list-style-type: none"> MOU 	<ul style="list-style-type: none"> Heads of Customs 	Q2 2010
2.2 KEY INTERVENTION AREA: Joint Strategy and Implementation Review					
INTERVENTION	STRATEGY	ACTIVITY	KPI	RESPONSIBILITY	TIME FRAME
2.2.1 Joint review meetings undertaken.	Institute annual joint strategy and implementation review involving stakeholders at Regional and Member State level	<ul style="list-style-type: none"> Institute joint strategy and implementation review involving stakeholders 	<ul style="list-style-type: none"> Report 	<ul style="list-style-type: none"> SADC Secretariat Heads of Customs 	Q2 2010

Stakeholder Identification and Analysis

INTERVENTION	STRATEGY	ACTIVITY	KPI	RESPONSIBILITY	TIME FRAME
3.1.1 Regular reports with useful data for development in place.	Implement a regular stakeholder analysis	<ul style="list-style-type: none"> ▪ To identify stakeholders ▪ To assess and analyse the needs of the stakeholders ▪ To come up with necessary interventions which should lead to organisational development 	<ul style="list-style-type: none"> ▪ List of stakeholders ▪ Analysis report ▪ Measures undertaken 	Heads of Customs	2011 and on-going
3.2 KEY INTERVENTION AREA: Peer Monitoring and Evaluation at Heads of Customs level					
INTERVENTION	STRATEGY	ACTIVITY	KPI	RESPONSIBILITY	TIME FRAME
3.2.1 Conduct a peer review of capacity building in Customs administrations.	Coordinate and support systematic peer monitoring, evaluation and support of SADC Customs at the level of Heads of Customs while using the available technical expertise within the Customs Administrations.	<ul style="list-style-type: none"> ▪ To draft a peer monitoring mechanism for SCCC approval ▪ To implement agreed programme of Peer review. 	<ul style="list-style-type: none"> ▪ Concept note on peer review ▪ Reports on reviews as per programme 	Heads of Customs	2011 and on-going

The training and development of SADC Customs at Regional level will be guided by a Regional Capacity Building policy⁸ which in turn will continue to be influenced by the operating environment. Regional training Programmes will be supported by national capacity building strategies and programmes with the following characteristics:

- Supportive environment for staff performance;
- Effective utilisation of trained staff;
- Effective coaching skills among supervisors;
- Development programmes that are based on meeting the needs of the organisation and the training needs of the individual;
- An organisational culture of ensuring that knowledge and skills gained from company sponsored courses is passed on to other employees upon the return of the trainee, through structured presentations or demonstrations;
- Monitoring and evaluation of trainees when back in their operations; and
- Regular performance assessment.

Regional training programmes are not meant to replace national training efforts.

INTRODUCTION

The SADC Regional Training Programme will support human capacity building in the SADC Customs Administrations, promote effective cooperation and networking among customs officials. The benefits of this should accrue to Regional Integration.

This Training Programme is informed by the findings and recommendations of the Gap Analysis and input from the CAWG-CB.

OBJECTIVE

The objectives of Regional Training are as follows:

- To facilitate the acquisition of knowledge and skills;
- To promote the sharing of knowledge, information and best practice;
- To broaden the scope of existing knowledge; and
- To support uniform application of systems, procedures and approaches in SADC Customs Administrations.

AREA OF COVERAGE

Regional training will respond to regional needs as expressed by the Customs Administrations. As far as possible, modules should be developed to cover the relevant areas of training. All training content or modules should be reviewed regularly to ensure its relevance.

⁸ A Regional Training Policy is yet to be developed but its development is recommended under the Regional Capacity Building Strategy.

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are dictated by the agreed capacity building strategic (Capacity Building Strategy) and the requirements of the Customs Administrations. Table I below outlines the agreed objectives with a link to the relevant training (as indicated in Annex F of the Gap Analysis Consolidated Report).

TABLE I: STRATEGY OBJECTIVES AND RELATED COURSES

OBJECTIVE	Training or Courses(include Time lines)
To facilitate the responsiveness of SADC Customs Administrations to the current challenges of Customs including the shift in focus from Revenue Collection to enhanced Trade Facilitation, the effective implementation of the SADC FTA and the attainment of the SADC Customs Union leading to the Common Market;	<ul style="list-style-type: none"> • Risk Management • Post Clearance Audit • WCO / Authorised Economic Operator • Trade Facilitation & Security of Society (including Trade negotiations) • Rules of Origin • Tariff Classification • Image interpretation (scanners) • Valuation • Integrity • Investigation Techniques (including Evidence gathering) • Flexible Anti-Smuggling Teams (FAST's) • Transit
To support the reform and modernisation of the SADC Customs Administrations into national and regional strategic institutions with regards to trade through the adoption of “best practices” and agreed regional and international standards;	<ul style="list-style-type: none"> • Senior M D P (including Change Management & Leadership transformation, International Trade); • Management Development Programme • WCO / Authorised Economic Operator • Integrity • Regionalisation (SADC) including customs union act
To develop a responsive capacity building effort regionally, one that will also support a training network among Customs Administrations during the lead up to the SADC Customs Union and beyond; and	<ul style="list-style-type: none"> • Train the Trainers • Integrity
To facilitate the partnership between Customs and Business, and support the meeting of capacity and particularly training needs of the business players in the trading chain.	<ul style="list-style-type: none"> • WCO / Authorised Economic Operator • Integrity • Customs clearing

TRAINING RESOURCES

Funding should, over the life of the Project, be provided by the Project to develop and run these courses.

As far as possible, trainers should be drawn from the SADC region.



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Customs officials, courses should rotate through the region, structured visits to and presentations by the resident administration has a suitable venue, they should host the course at the venue out to the participating Administrations

/organisations.

In support of the achievement of personal and professional growth, each course will utilise the state-of-the-art concepts, current researched knowledge and experienced up-to-date resource persons.

TARGET POPULATION

Course organisers will ensure that the Administration undertakes to support monitoring after the course. They will also ensure a mix of participants that promotes learning. Wherever possible, the course should include other stakeholders from outside the Customs Administration.

SCHEDULE OF COURSES

Table II below is a proposed scheduling of these courses over the first 3 years of the planned 5 year period of implementation. The programme will be reviewed on an annual basis by the CAWG – CB in conjunction with SADC, to ensure it meets current and emerging needs.

DULE

Training or Course	Year 1 (2009)				Year 2 (2010)				Year 3 (2011)			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Customs clearing												
Flexible Risk Teams (FASTs)												
Image interpretation (scanners)												
Integrity												
Investigation Techniques (including Evidence gathering)												
Management Development Programme												
Post Clearance Audit												
Regionalisation (SADC) including customs union act												
Risk Management												
Rules of Origin												
Senior M D P (including Change Management & Leadership Transformation, International Trade)												
Tariff Classification												
Trade Facilitation & Security of Society (including Trade negotiations)												
Train the Trainers												
Transit												
Valuation												
WCO / Authorised Economic Operator												

NB The programme above will be reviewed on an annual basis.

DEPARTMENT OF CUSTOMS

Customs Department in Angola was visited from 8th August to 15th August 2008

Review team: Shelton Pundo (Zimbabwe Revenue Authority) and Bryan Lewis (Independent Consultant)

AREAS VISITED:

Customs Department Head Quarters, Luanda; Customs Inland Port; International Airport

CORPORATE PLANS:

A Business Strategy looking forward for the next five years (called the Customs National Strategic Plan) is produced by the DNA. This is revised and updated every two years, i.e. the first Strategy covered 2005 to 2010, and the second 2007 to 2012.

From the Business Strategy the Departments and Regional Directorates develop their strategic plans, and from them individual unit action plans are prepared.

The strategic plan for Human Resources, of which the training unit is a part, is also a five year plan and reflects those elements of the national plan that are relevant to SADC initiatives. A senior manager in the office of the Commissioner General is in charge of the planning process.

CURRENT CAPACITY BUILDING STATUS OF THE MS:

The training function in the Department is well organised and is fully supported by the senior managers. In the first three quarters of the current year, the training unit will deliver 104 training courses in Luanda and other offices throughout the country.

The aim of the Crown Agents programme is, through tuition, coaching, and linked technical assistance, to assist in the development of the department into a modern, efficient Customs Service. The DNA has trained staff, with sufficient experience, who could be used as a resource in other MS.

Much of the training that is envisaged under the SADC programme has already been, or is currently being delivered, particularly the Management Development Programme and the Senior Management Development Programme.

The basic courses in valuation, classification, and origin are also being delivered. Most of the technical training is delivered by DNA staff who have been trained in training skills. Other staff members are used on an *ad hoc* basis when there is a need for their particular skills. There are no budget constraints to hamper training delivery.

TRAINING

Training programme

The entry level customs course is a two and a half week course covering the basic skills needed by an officer followed by work experience before being proposed for intermediate training in the same subjects. At this intermediate level training is also available in management assurance, staff appraisal, warehouse stock management.

The DNA runs one week Basic Management course and three-week Senior Manager Development Course as part of Management development. This includes a Train the Trainers course. The SADC modules for Risk and Origin have been translated and are being used. The other modules will be used when they become available and have been translated, a task that SADC undertook to perform.

A possible barrier to the further development of “technical skills” is the use of Pre Shipment Inspection (PSI) companies. The DNA uses these companies to provide evidence of origin, value, and classification. This has (at least) two detrimental effects.

They prepare their training plan. The full time trainers are mandated with the task of carrying out the needs. They use both the ‘top to bottom’ and the ‘bottom up’ approaches in their needs analysis.

Training manual/procedures/systems

SADC modules are available as well as DNA modules are in place. Handouts and training material are all in soft copy. Training modules for MDP are in place under the Crown Agents programme which is assisting the Department of Customs with Capacity Building.

Evaluation

Formal training evaluation is being done. Post course evaluation is carried out after the courses and participants are given the chance to evaluate the trainer. Written examinations are set for the basic and intermediate courses.

Trainers

Currently there are four full time trainers and six part-time trainers who carry out training within DNA. There are two WCO accredited trainers in DNA.

MOUs Exchange

There is an existing MOU with Mozambique. The MOU can be used to do staff exchange programmes and build capacity in the needed areas.

ON TRAINING / CAPACITY

There is training capacity in DNA. The DNA has two training rooms and a room each in the other regions. There are plans to have an independent training school in Luanda in the distant future.

STRENGTHS AND WEAKNESSES

DNA has the capacity to train its own staff. The training function while still under the HR Division has full time trainers and their training is of high standard. The management development programme is being delivered by the trainers and can be adopted by other SADC Member States.

ENVIRONMENTAL ISSUES

Angola is a vast country which has dispersed offices in borders with French speaking, DRC, English speaking, Zambia and Namibia. SADC modules developed should be translated to enable Angola to use them. The translated modules can also be used by Mozambique. For co-operation with neighbouring English speaking countries support in learning the English language and French.

RECOMMENDATIONS

English language and French training are a need for customs Angola to enable effective co-operation with English and French speaking neighbouring countries. The requested training in Valuation, Rules of Origin, Classification, Customs Procedures, Risk Management and Post Clearance Audit must be supported. These modules are needed at the high level with practical approaches.

REVENUE SERVICE (BURS)

Botswana was visited 22nd and 23rd September 2008

Review team: Shelton Pundo (Zimbabwe) and Bryan Lewis (Independent Consultant)

AREAS VISITED:

Customs HQ, Gaborone.

CORPORATE PLANS:

A strategic plan is developed for the revenue service. The current plan spans the years from 2006 to 2009. There is no annual updating. Within this, the plan for the Customs and Excise Department is articulated. Action plans are developed from the Customs component. Targets are set within the action plan. These are both quantitative and qualitative.

In the 08/09 plan was the objective, "To conduct training on SADC Free Trade Area and EPA implementation" by July 08. This was not done.

In the draft 09/10 plan, there are no SADC initiatives.

CURRENT CAPACITY BUILDING STATUS OF THE MS:

There is no training unit in Customs and Excise. Training falls under the HR Directorate in the Revenue Authority. However, this is a co-ordinating and planning role; not course delivery. All of the former trainers in Customs and Excise have now been redeployed onto other duties.

Each year, Customs and Excise send their training course requirement to HR, together with the budget costs. The number of courses / budget is pruned to fit within the overall training budget for the Revenue Authority. The overall BURS budget for training has been steadily decreasing, as has Customs and Excise share. (2006/7 budget Pula 5 million – Customs and Excise budget Pula 1.2 million; 2007/8 budget Pula 4 million – Customs and Excise budget Pula 1 million; 2008/9 budget Pula 2.5 million – Customs and Excise budget Pula 526,248) During 2008 to 09, only two courses will be delivered.

TRAINING

Training programme

There is a training plan in place. This will not be fully delivered as there are no trainers. One of the former trainers, now a senior manager, mounts some training courses for officers in her division.

TNA

An annual circular is sent to managers each year asking them to state their training requirement. Training needs are also determined from the annual appraisal system. Customs needs are consolidated and sent to HR.

Training manual/procedures/systems

BURS and BLNS, SADC, and WCO modules are still available, although some are stored remotely in a warehouse. All are in hard copy. Training modules available are: Supervision/Motivation; Rebate Item 470.03; Leadership; Industrial Rebates; Valuation; Classification; General Rebates; Drawback; Delegation; Duty Computation; Trade Facilitation; Removal in Bond and Transit; Rules of Origin-SADC/EU; Border Post Control; Client Care; Customs Co-operations; Post Clearance Audit; Risk Management; Warehousing; and Protocol on Trade.

Handouts and training material are all in hard copy.

All of the training equipment is old and out of date.

There is no e-Learning.

Some officers are undertaking tertiary education at a variety of organisations including two with Canberra, four with University of Botswana, and one with RSA, by correspondence.

like training evaluation. As there are no formal courses, there

Trainers

There are no full time trainers. There are eight former trainers now deployed on other duties and eight former occasional trainers. None are WCO accredited.

Facilities

There are no training facilities. A BURS training school is planned for 2010. Full time trainers will be re-instated when the facility is opened.

MOUs Exchange

There is an existing MOU with ZIMRA. Under this MOU, they will bring in trainers from ZIMRA to assist in the re-establishment of the training infrastructure. No interaction identified with private sector training.

ON TRAINING / CAPACITY

The training capacity has been dispersed throughout the department.

STRENGTHS AND WEAKNESSES

It is still not too late to resurrect the training function. Trainers, material, and modules are still available within C&E. The more time that passes the more likely it is that these will disappear.

ENVIRONMENTAL ISSUES

SADC Secretariat is located in Gaborone. There are considerable benefits already accruing to the country as a result of this. Regional courses and meetings would be more expensive than necessary if held in Gaborone, as it is at the end of the (flight) line.

RECOMMENDATIONS

The training budget should not be allocated on availability of funds. It should be disbursed against proven need and specific proposals.

Additional Note

A 4-month TNA of BURS was undertaken by a team of consultants working on a separate EU project, implemented by 2AC in consortium with Ecorys Macro Group. Both study teams also took into account the findings of the WCO Columbus report. The TNAs from both EU project studies broadly revealed the same training requirements and these have been noted in the annexes attached to this report. The Ecorys report also noted technical training modules which needed to be developed nationally.

Another important factor, arising from both studies, was the need for extensive development of the Human Resource and Training functions. BURS Customs Administration has been proactive in this respect and has sought assistance from Zimbabwe Revenue Authority via the CMTF Project (which funds the visiting technicians/advisors); consequently HR and training technicians from ZIMRA are currently assisting BURS to develop the following:

- Training strategy;
- Administrative policies and procedure;
- Trainer development; and
- Training programme, curricula and training material.

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The mission to DRC Customs was conducted between 18 – 29 August 2008.

Study team: Gugu Dlamini Zwane (Swaziland customs) and Gideon M Phiri (Consultant)

AREAS VISITED (ALL IN KINSHASA)

OFIDA - Customs Head Office
Guitchet Unique (single window)
Ministry of Finance National Training School
Customs clearing Agents Association
Chamber of Commerce
OFIDA classroom

CORPORATE PLANS

Although there are plans to have one, Customs has no Corporate Plan in place. Due to various initiatives and projects coming in to assist Customs, OFIDA has appointed a coordinating committee to oversee those projects and to develop a Corporate Strategy.

CURRENT CAPACITY BUILDING STATUS OF THE MS:

OFIDA has engaged a team of consultants to facilitate its reformation process. This team will include a Human Resources expert. The current training facility has 16 full time staff with only 3 trainers. There is also 30 – 40 part time trainers located in the organisation. All part time trainers are specialists in their area. Part-time trainers are not always available when needed on scheduled courses. The unreliable monthly release of funds and erratic availability of part-time trainers have often disrupted training.

OFIDA utilises the Ministry of Finance National Finance School to train its staff on long term course. Its short term courses mainly delivered in a training room sited at the “Single Window”, faces, from time to time, problems of inadequate funding. It also lacks facilities to support the needed training.

OFIDA has an annual training plan which they often fail to execute due to funding shortages.

Currently the short term courses are focusing on providing basic customs officer skills to serving staff. Nearly 50% of staff serving as customs officials in OFIDA have not received basic customs officer training. OFIDA has plans to develop its own training school.

TRAINING

Training programme

OFIDA does not have a Training Strategy. Training is said to have been neglected by management until 2005. No training needs analysis are conducted. However focus is on training as many staff as possible each year in order to provide basic skills to all staff. There are plans to supplement the 6 months courses with elementary training running for 2 months per session. There is an annual training plan which may not be fully met due to lack of funds.

The Human Resource function is currently under reorganisation and is not directly linked to the training function.

TNA

The current training programme is based on the entry basic skills requirement by customs. There is no effective appraisal system to determine on-going training needs.

from SADC but mostly utilise the trainers to design courses.
es by a group of trainers.

Evaluation

Although post course evaluation is conducted, no evaluation is conducted on the effectiveness of the training in the work place.

STRENGTHS AND WEAKNESSES

OFIDA can draw on the existence of the National Finance School and the 30-40 trained trainers for its programmes. However the current absence of a long term training plan and funding slows down the process of capacity building and training. Perhaps the current initiatives will raise the capacity of OFIDA.

OFIDA offers short term training on new systems to business. However there is no planned interaction and capacity building for its stakeholders.

ENVIRONMENTAL ISSUES

The customs Administration is emerging from a low level of commitment by management to capacity building and training. The operating environment is said to offer little incentive to professionalism. However the decision to hire a consulting firm shows positive signs that concerns of integrity and unprofessional conduct will be addressed. Furthermore this move, if coupled with a strong management will facilitate OFIDAs reformation programme.

RECOMMENDATIONS

It is recommended that a change management programme is introduced and a business strategy and plan developed with the full involvement of the Board and management of OFIDA. Some key issues to be addressed should be management development, integrity and funding. The process could facilitate the creation of an environment, which includes timely release of finance, for capacity building and effective utilisation of trained staff.

t to 7th September 2008

abwe Revenue Authority) and Bryan Lewis (Independent
Consultant)

AREAS VISITED:

Maseru Customs Head Quarters; Maseru Bridge Border Post; Training School.

CORPORATE PLANS:

Policy of the C&E Department is directed by the Revenue Board, which is in place to ensure the directions of the Minister of Finance, the national laws, and international conventions are taken into consideration. The Commissioner General is a member of this Board.

The Revenue Authority has a three year planning cycle with the current plan covering April 2006 to March 2009. The Senior Managers of the Revenue Authority are reviewing the current plan and formulating the objectives for the new April 2009 to March 2012 plan. It is intended that progress against the objectives will continue to be reviewed on a quarterly basis.

From the Strategic Plan the Human Resources Division at the Authority level was able to develop their plan as did the other Divisions under the Authority.

There was nothing in the 2006 - 2009 plan to indicate actions required to address the SADC initiatives. However, the team was assured that such actions were separately considered as projects, which also came under review on a quarterly basis.

The Strategic Plan is used for facilitating the training needs and budget of the Department of Customs. In the next plan, the budget requirements for all the activities will be provided.

CURRENT CAPACITY BUILDING STATUS OF THE MS:

When the Revenue Authority was first constituted, there was little commitment to training, especially in the C&E Department. As stated above, this was principally because the emphasis was on revenue collection. Now that collections have stabilised, the need to have staff trained in core subjects is once more being addressed.

An ongoing programme is giving basic training to staff in all regions. In some cases, officers have been in post since the commencement of the Authority and have not received even this basic training. The training being delivered includes the basics of valuation, origin, and classification as well as sessions on law, border control, and integrity.

There are ongoing Management Development and the Senior Management Development Programmes being funded by DFID.

Training

The Revenue Authority will have an independent training centre in the near future. This centre will cater for the training needs of the four areas under the authority. Work on renovating the premises to house this training centre will be completed by the end of this year (2008).

The Revenue Authority is keen to see this centre used as a regional training venue. There is also a willingness to allow its trainers to be used as a regional resource.

Training programme

There is a training plan in place. The programme will see the Lesotho Customs train officers in basic customs officer's course. Training had been conducted to most staff since the formation of the Authority.

TNA

A formal training needs analysis was conducted resulting in the current basic course being conducted to all staff.

available and used by the training unit. Only hard copies are

modern equipment for use once the renovations at the training

school are completed.

There is no e-Learning.

Evaluation

No written examinations are being used for the current training as a means of evaluating the training. Post course evaluation is carried out after the basic course and participants are given the chance to evaluate the trainer.

Trainers

There are two full time trainers and six part time trainers. The full time trainers received training from SADC and SACU. Two other trainers are WCO accredited in Integrity.

Facilities

There are training facilities. Training is currently being conducted in two training rooms but plans are at an advanced stage to start training staff at the training school being renovated.

MOUs Exchange

There are existing MOUs with SACU states. Under the MOUs, they train and cooperate as a union. No training was done for the private sector.

ON TRAINING / CAPACITY

The training capacity is there in Lesotho. They can train their own staff using their own trainers.

STRENGTHS AND WEAKNESSES

Given the support Lesotho can still build its own capacity to a high level. Trainers, materials and equipment are available to enable training to be conducted within the Administration.

ENVIRONMENTAL ISSUES

Lesotho, is a member of SACU and SADC. The Department of Customs in Swaziland benefits from the training offered under BLNS. Lesotho is wholly surrounded by South Africa. All their imports pass through South Africa and they are not affected by transit issues.

RECOMMENDATIONS

The Lesotho Customs needs to be assisted in training most of the customs courses at the higher level, that is, intermediate and advanced customs courses including refresher courses.

is conducted between 1 – 12 September 2008.
ziland customs) and Gideon M Phiri (Consultant)

AREAS VISITED (ALL IN ANTANANARIVO)

Customs head office
Ministry of Finance
Training department
Chamber of Commerce.

Madagascar Strategic Plan

The strategic plan for Madagascar Customs Administration (MCD) is aligned with the overall Madagascar Action Plan (MAP), which is a global framework at the level of the government. The MAP is a government strategy for the period 2007-2012. The plans state clearly the obligation or the challenge for government to give Public Servants (including officers at Customs since they are a department within the Ministry of Finance) and the stakeholders' quality service. The second challenge at government level is to fight corruption and improve integrity at national level, including public servants and the private sector. Within this strategy there is a framework for the Ministry of Public Service, which states clearly that is a right for each an every public servant to be trained. It stipulates that all departments should have training for civil servants.

Furthermore to that the Ministry of Finance has its strategic plan, which entails a customs plan. All departments falling under the Ministry of Finance have to prepare training plans and submit them to the parent Ministry so that there is a merged plan for all the departments. This is done on a yearly basis. The first plan was drawn after the MAP, and it's for the period 2008-2010. This is a live document which is reviewed on a yearly basis. When the different departments send their plans, the plan should be accompanied by justifications for the training needs and the plan should show an element of prioritisation. The first plan by the Ministry of Finance was done through co-operation with the Development exchange in Economic and Financial Technology; a French Agency that is involved in assisting developing countries.

Customs Department Strategic Reform and Modernisation Plan

The Customs Department has a second strategic plan since receiving the WCO diagnostic mission/study in 2003/2004. This plan represents the Phase two implementation of the Columbus programme. Madagascar customs is one country that receives, what can be termed as unique capacity building whereby the WCO sends an expert every three months since the Columbus study was conducted. The customs strategies 2005-2007 and 2008-2012 are a result of collaboration of the Customs Administration, the private sector and the WCO expert. The WCO expert is also responsible for the reform and modernisation programme within Customs.

The Human Resources Strategy is part of the overall customs strategy and the two strategies are directly linked owing to the reform and modernisation programme which is on going in Madagascar. The team noted deep and substantial reforms as a result of the implementation of the former strategy for the period 2005-2007.

Priorities towards the Reform Programme

The Customs Department has set clear priorities in its reform programme which includes Managerial and supervisory training and development and technical training in emerging areas e.g. Post clearance audit.



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updated and incorporates the elements of the Kyoto standards and the Istanbul Convention.

Trade Facilitation

Madagascar Customs is implementing trade facilitation initiatives. Customs department is currently on ASYCUDA ++. There is the trade net system which is linked to ASYCUDA and it links all the players in international trade in Madagascar.

Management Commitment

Since the first customs strategy there hasn't been witnessed commitment to training. Previously training was only for the Inspectors, which makes 85% of the staff to be untrained. There are 1020 officers who never received any form of training. This been adequately addressed by the first strategy but, it was not implemented. The second customs strategy after monitoring and evaluation by the WCO expert still addresses the issue of training as a priority.

The current training strategy does address the issue of training of the 85% of the staff; but not as a priority. The overall customs strategy addresses this issue as priority. The training strategy puts as a priority training of the inspectors.

Training was previously conducted for inspectors in the National Academy School (NAS). This school has been relocated but is not yet functioning. The new school is due to reopen in Antananarivo in January 2009 and will accommodate a maximum of 30 trainees.

The Ministry of Finance on the other hand has within its training strategy for the year 2008-2010 incorporated a training plan for customs. Customs has already sent a training plan for the year 2008-2010.

Training Materials

There is an officer, who has just returned from the University of Muenster in Germany, who has been appointed to coordinate the review of the training material. Madagascar has advised that at the moment they are unlikely to use the SADC Training modules since the modules are in English.

The current modules were developed by the National Director of Professional Training. There is a team of inspectors that are currently looking at the modules and in the process of developing new modules.

Trainers

Only three trained trainers (one a retired officer) are available out of 26 trained trainers. The others are deployed elsewhere in the operations. Trainers face several challenges including outdated training materials and budgetary constraints. Both basic courses and refresher courses are conducted. However 85% of customs officers have yet to receive training.

Customs and Its Stakeholders

The relationship between customs and the private sector is good. Customs holds a consultative forum with the private sector on a monthly basis. Within the training strategy for customs, private sector training is incorporated. There is an officer who is dedicated for training the private sector. Customs wants to professionalize customs agents and enhance harmonisation in their operations.

ong time, it was not possible to get sources of training needs.
h. The performance appraisal does not address this issue.

Recommended Actions

Short Term Activities

- Training of the 85% untrained staff
- Training for a better understanding of the regional integration process
- Risk management training
- Training on the basic principles of SAFE and the AEO programme/initiative
- Training on rules of origin and HS classification
- Fight against drugs and narcotics
- Stakeholder training
- Managerial and supervisory training and development
- Training in leadership and development
- Training on post clearance Audit
- Reorganisation of the HR to address the training function
- Recruitment of an HR specialist

Medium Term Activities

- Training on the use of scanners
- Training on image interpretation
- Facilitation of exchange programmes
- Economic analysis
- Investment promotion
- Use of canine dogs
- Spread training evenly across the regions
- Acquisition of four mobile homes

Long-term Activities

- The programme to train the 85% untrained staff will be conducted in the next three years.
- Building of the new Customs School

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The mission to Malawi Revenue Authority was conducted between 4th – 15th August 2008
Study team: Gugu Dlamini Zwane (Swaziland customs) and Gideon M Phiri (Consultant)

AREAS VISITED (ALL IN BLANTYRE)

Malawi Revenue Authority (MRA) Head Office
Human Resources
Clearing and Forwarding Agents
Malawi Confederation of Chambers of Commerce & Industry (MCCI)
Institute of Tax Administration (ITA)
Senior MRA Managers

Key Findings

Management Commitment

MRA and Customs management stated their commitment to training; this was however not matched by the budgetary allocation or expenditure in this area. Nevertheless this should be understood in the context of a very limited budget allocated to the Administration by Government. Like many other priorities, training is one of those that have been compromised. Cost of collection will only be reduced if officers are well trained and are provided with the necessary resources.

The Customs department relies on the MRA centralised services, in this case the HR function at Head Office, for carrying out part of the training function. The training school (ITA) on the other hand which reports to Head of Administration at Head Office – and not the HR department – also conducts its own training needs analysis annually through out the Administration.

However there seems to be uncoordinated effort between ITA and HR (at head office). These two areas report to two different functions in the Head Office. The tool for training needs analysis intended to support the training activity as administered by ITA tends to bring out “training wishes” of staff who complete the forms rather than staff training needs. There was no evidence of linkage between the Training Needs Analysis by ITA to the Performance Appraisal.

The ITA uses this Study to draw up its courses and a training plan for the year in consultation with Customs management. On the other hand HR sends staff on external courses with no consultation with the ITA.

Training Materials

Training materials need to be reviewed to accommodate the new customs subjects which have been introduced and new developments in the existing subjects. There is a committee that will be set up to do all this. There seems to be minimal use of the SADC Training modules.

Trainers

The Institute of Tax Administration (ITA) houses one Customs trainer on full time basis. Other four customs trainers are non resident trainers. The four officers were trained as trainers by the Malawi Institute of Management (MIM). They are amongst twenty officers who received the Train-the-trainer course by MIM. The non resident trainers are fully employed in the Customs and Excise Division.

Division is supported by three levels of training i.e. Customs

Due to lack of funding the last advanced course was run in March 2005. As a result Customs and Excise Division has a backlog of about 230 officers who have not gone through the customs advanced course.

Other courses include refresher courses which are run internally and periodically, depending on availability of funding.

Validation of courses at the ITA is currently done by the trainers themselves who draw on their field experience. In the past this was done through a committee and approved by the head of department. There is currently no Customs training calendar in place for the current year at the ITA, since the Training Needs Analysis is still on going. There is no management and supervisory training planned for Customs. This was expressed by management as a felt need.

The team noticed that training is currently uncoordinated and not systematic and this was confirmed by management as well.

Training Infrastructure

The Customs department shares a training school with the rest of MRA. There is a desire to upgrade the status of the ITA. It is envisaged that in the near future it will be accredited to local institutions such as Colleges and Universities.

The training institute comprises of two class rooms, one hall and one computer laboratory. The lab consists of twelve computers. The computer lab is basically for ASYCUDA training, but it can be used for other computer related courses. Other training equipment includes a projector and flip charts.

The school has a hostel which accommodates 44 persons and a small refectory/kitchen.

The corporate plan shows that there is a plan to expand and renovate the buildings at the ITA. The ITA needs serious renovation and expansion, if it is to accommodate or be used by the whole region.

Training for the Private Sector.

The customs plan of action envisages introducing training for the customs agents, with the aim of having qualified and knowledgeable customs agents. Furthermore plans include, identifying personnel for modules development and sourcing funding for consultations.

Effect Of Recruitment and Retention

The first major recruitment drive in Customs was in 2003 when 200 customs officials were recruited. All these officers have undergone the basic course, but have not yet undergone the advanced course due to financial constraints. Career development supported by training is essentially non-existent.

Establishment of a human resource development programme is another strategic action that is still outstanding. MRA requires resources to be able to address several strategic actions.

Training Evaluation

There is an examination at the end of each technical course. There is also a follow up by trainers in the work place to assess effectiveness of courses.



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It is recommended that MRA customs should address the technical and management environment to enhance benefits from training. The ITA needs to be refurbished and resourced as it has the potential to support Regional training.

There is need to introduce comprehensive training in Management skills for middle managers (tactical and operational). Management development is considered critical by the Administration.

The mission to Mauritius Revenue Authority was conducted between **21 July - 1st August 2008**

Study team: Gugu Dlamini Zwane (Swaziland Customs) & Gideon M Phiri (Consultant)

AREAS VISITED:

MRA Head Office; Customs House; Human Resources; Chamber of Commerce; Tax School; Freight academy; Airport; Free Port; Harbour

Key Findings

Legal Framework

The following steps have been or will be undertaken by the Department:

- Accession to WCO Revised Kyoto Convention in 2008
- New Customs Act in conformity with SADC and COMESA Customs Management Acts by 2009
- Modernize Excise Act
- All Customs laws/regulations are now posted on the Departmental web-site
- 42 manuals and all Departmental instructions are posted on MRA Intranet
- Stakeholder manuals and all Notices will be on Departmental web-site by 2009.

Trade Facilitation

Mauritius Customs has shifted its emphasis to Trade Facilitation and border security while continuing its traditional role of revenue collection. This includes Single Window for Cargo Inspection, for Exporters and other Border Agencies. It also has an Integrated Tariff and Tariff Classification Rulings databases on web-site and an E-certificate of origin (e-EUR1)

As part of its Public-Private Partnership it is building a community network – the Cargo Community System (CCS) - to e-file manifests and customs declarations. This system will be self-financing with front-end users paying transaction fees for each import/export declaration filed.

Mauritius Customs has an aggressive programme to encourage rights holders to register their trademarks with Customs. Various steps have also been taken to reduce Commercial Fraud such as valuation reference dbase and post-clearance audit programme.

Professionalizing Customs Brokers, Agents and Clerks

Steps have been undertaken to professionalize Customs Brokers, Agents and Clerks through training and an examinations system that eliminates unauthorized players in this sector. The Mauritius Customs works closely with the private sector in this area.

Integrity

Improvements in integrity have been achieved though for example Physical separation of customs officers and stakeholders, Code of Ethics for staff and stakeholders. Integrity is now part of performance appraisal and promotion system.

Training: Cornerstone of Capacity Building

The emphasis on training in the Mauritius Customs has been internalized at every level of management and is a Key Performance Indicator (KPI) in assessing management. As a result of this the New Customs

a dedicated floor to HR. It also includes a “State of the art”
ents at any one time with permanent translation booths. The HR
r training room and a Customs reference library with WCO e-

Customs has been working closely with two private sector training institutions offering trainers and materials to allow continuing education to Customs brokers, agents, clerks, manufacturing companies and general public interested in starting trading companies.

Policy and Strategic Level

Mauritius Customs has yet to finalise its Departmental Strategy and Implementation Plan. There is however a Priorities document, which details seven priorities, and the reforms Customs are undertaking. The reforms include 55 projects which will be implemented through the Section Heads. Customs department is investing continuously in training and exposure programmes for staff although it had no training plan at the time of this study. A draft MRA Training Plan (a three year plan 2008 - 2011), is under discussion.

Both the departmental budgets and training budgets are decided at the MRA Head Offices and passed down to the Customs department. This process could in the future frustrate Customs reform programmes.

Strategic Plans

Taken together, the MRA Vision-Mission statement, the Customs strategic priorities and the proposed training plan give both the strategic direction for Customs in terms of its operations as well as a stance on capacity building. It was however felt that Customs, as a key division within MRA, should develop its own Strategy and Implementation plan, which will meet the future challenges of the planned reforms. Furthermore that this would then inform the budgetary allocations and its staff training and development plan.

Monitoring and Evaluation

There was no evidence of an M&E system to monitor and evaluate the reformation process on all fronts. However the performance appraisal system which is conducted, as a minimum, twice per year is being used to monitor human performance. The system is an open one and interactive.

As regards the in-house training, the only evaluation is conducted soon after the course to assess quality of material delivery, etc. No monitoring or evaluation of the effectiveness of courses in the work situation is conducted. M & E is a cornerstone of improved resource utilisation as well as sustainability.

Commitment To Training

The study noticed a “training culture” in the Mauritius Customs. Section heads and team leaders have built into their KPIs, staff training. Nevertheless the environment itself calls for continuous training.

Management Commitment

There was a clear commitment at the management level to training. This was demonstrated by the existence of well resourced training function.

Commitment At The Technical Level

Mauritius Customs Department relies on the MRA HR function with regards to Training Needs Analysis. This process was considered not responsive enough to the needs of the Department. The Department would wish to have a Head of Training who is dedicated to Customs. Although the MRA Tax School

It was noted that individual sections sometimes initiate training to regular appraisals. However there also seems to be a culture of learning which prevails in the Administration.

Training Resources (Materials, Trainers, Courses, Budget)

The Mauritius Customs training effort is supported by:

- Training aids such as computers and course related software
- A fulltime training manager at the Tax School
- Several staff in operations who can be called upon as trainers.

It was indicated that a substantial budget (R6million) has been set aside by MRA for Customs training and that this is proportionate to the staff compliment.

It was stated by Customs management that Training is currently adhoc.

Training Infrastructure

The Mauritius Customs department has adequate infrastructure for in-house training including lecture rooms and IT infrastructure at the MRA Tax School. The Director of Human Resources at MRA advised that 90% of training courses at the Tax School are for customs.

Customs and Its Stakeholders

There is a strong collaboration between Customs and its stakeholders. The private sector works closely with Customs on all matters relating to trade. With support of Customs the private sector introducing and currently run a Freight Academy to train staff who will work with the Freight Forwarding Companies. In agreement with the MCCI, a Community Cargo System (CCS) which will link all approved stakeholders and customs is soon to be launched. This will facilitate further the current drive towards trade facilitation.

The training effort and the on-going dialogue and information sharing between business and customs (for instance), contribute to capacity enhancement both sides.

Recommendation

Mauritius customs should be considered for selected regional course especially management training which should include a field visit while there.

Customs Department in Mozambique was visited from 18th August to 29th August 2008
Review team: Shelton Pundo (Zimbabwe Revenue Authority) and Bryan Lewis (Independent Consultant)

AREAS VISITED:

Customs Department Head Quarters, Maputo; Ressano Garcia Border Post; Customs Head Office; Maputo International Airport; International Road Terminal; Timor; Sea Port; Scanner Pads and Search Bays; Training School

CORPORATE PLANS:

Currently there is a Corporate Plan in place and a Director is in charge of planning for the Revenue Authority. The Department of Customs draws its action strategies from the corporate plan. The training unit designed the training programme from the Department of Customs action strategies. The Strategic plans included SADC initiatives and training was de Policy of the Department is dictated at the Revenue Board level, and the national laws and international conventions are taken into consideration.

The Department of customs has total control of its own budget but sometimes the needs of the training Division are not met. However, the Director of Human Resources has made a bid of US\$150 000 from the common fund to meet the current training plan.

CURRENT CAPACITY BUILDING STATUS OF THE MS:

The aim of the Revenue Authority is to have an independent Training Centre, The Institute of Public Finance and Revenue Training, with the overall training responsibilities of the five functional areas under the authority. Work on renovating premises to house this Institute will be completed by the end of September.

The Department of Customs invested a lot of money by engaging Crown Agents a few years ago. That investment transformed the department into a professional organisation that it is today and there are plans to build on to the experiences and bring the required efficiencies.

In the Strategic Plan of the Revenue Authority the organisation plans to work on the SADC integration initiatives. The training unit has planned a number of training sessions to ensure that this becomes a reality. Much of the training that is envisaged under the SADC programme has already been, or is currently being delivered, particularly the Management Development and the Senior Management Development Programmes.

The basic courses in valuation, classification, and origin are also being delivered. Most of the technical training is delivered by part-time trainers, who have been trained in training skills. Other staff members are used on an *ad hoc* basis when there is a need for their particular skills.

The Department of Customs in Mozambique needs support to help build their own capacity. At the present moment they rely on external training offered by stakeholders like Intertech.

TRAINING

Training programme

The training programme for Customs Mozambique is quite elaborate and includes all SADC initiatives. The delivery of modules is by part time trainers. The need to have full time trainers was recognised and the director of Human Resources echoed that they will be recruiting full time trainers as soon as they open the school once renovations to the training school are complete.

TNA

The Human Resources Section carries out training needs analysis every year and they design their annual training plan. Some of the training requirements are as a result of developments in the region like the SADC FTA.

by the training unit. Only hard copies are available. Handouts and training modules for MDP are in place from the time Crown Agents Customs with Capacity Building.

Evaluation

No formal training evaluation is being done. Post course evaluation is carried out after the basic course and participants are given the chance to evaluate the trainer.

Trainers

Currently there are no full time trainers. Currently training is carried out by part time trainers who are operation staff with the work experience.

The training school being renovated can accommodate regional training workshops as well.

MOUs Exchange

There are existing MOUs with Malawi, Zimbabwe and South Africa. These MOUs can be used to do staff exchange programmes and build capacity in areas like Investigations.

ON TRAINING / CAPACITY

There is potential for training capacity in Mozambique. When the training school is completed full time trainers will be employed and they manage the training function.

The training school can be used for hosting training workshops.

STRENGTHS AND WEAKNESSES

Mozambique has the capacity to train its own staff and can work with other SACU and SADC MEMBER STATES. The training function while still under the HR and has no full time trainers they intend to come up with a high standard training.

ENVIRONMENTAL ISSUES

Mozambique is a Portuguese speaking country together with Angola. SADC modules developed should be translated to enable these countries to use them. These countries can work together. For co-operation with neighbouring English speaking countries support in English language.

RECOMMENDATIONS

English language training is a need for customs Mozambique to enable effective co-operation with English language speaking neighbouring countries. The requested training in Valuation, Rules of Origin, Classification, Customs Procedures, Risk Management and Post Clearance Audit must be supported. Where possible workshops be run in Lesotho to enable more participants from the Department of Customs.

1st August 2008

Review team: Shenton Pundo (Zimbabwe Revenue Authority) and Bryan Lewis (Independent Consultant)

AREAS VISITED:

Windhoek Customs Head Office, Ministry of Finance, Windhoek.
Walvis Bay
Hosea Kutako International Airport
Windhoek Regional Office

CORPORATE PLANS:

Namibia Customs had a draft strategic plan. Within the action plans reviewed there were and are some elements that support the SADC TIFI Customs Strategic Plan.

For example:-

Integrity promotion through a corruption free workforce and high ethical standards was another goal, ongoing through 2006 to 2009. In the current draft plan (for 2008/09) it states, “Align Code of Conduct to the WCO Model and Finalise the SADC Integrity Action Plan”. This work is due to be undertaken between August 2008 and March 2009.

Compliance with International Standards is also highlighted with Legal Section and International Liaison tasked to deliver this by 2008(end?). The stated actions are, “Finalise draft paper on Regional Integration” and “Lobby to finalise SADC draft trade facilitative (*sic*) Instruments”.

One of the identified tasks in an early plan was to undertake a review of the legal framework and Customs procedures by June 2006. However, this was never completed.

Within the Training Sub-division plan, there is support for the SADC Training Advisory Working Group and support for the establishment of a SADC Customs Training Institute.

Training programmes are designed in line with the strategic plan.

TRAINING

Training programme

The training programme for Customs in Namibia scheduled eighteen different courses for the current financial year 2008/2009. The training programme is unlikely to be met as the funding is inadequate. They have full time trainers in place and SADC modules are in place.

For the current year two courses have been delivered to half of the proposed target audience (Advanced Classification and Risk Management) and one whole course (Basic Customs Officer Training).

TNA

Namibia Customs carried out formal training needs analysis. Other training needs are as a result of requests by operational managers who contact training unit directly. The mission identified a number of courses which interestingly met the needs of the country as given to training earlier.

Training manual/procedures/systems

BLNS, SADC, and WCO modules are still available and used by the training unit. Only hard copies are available. Handouts and training material are all in hard copy.

All of the training equipment is old and out of date.

There is no e-Learning.

done. Post course evaluation is carried out after the basic
nce to evaluate the trainer.

Trainers

There are thirteen full time trainers received training from SADC and SACU. The trained trainers are responsible for delivering training programmes.

Facilities

The training section has sufficient training equipment although some needs renewing. There is a training room at Head Office where most training is usually conducted.

MOUs Exchange

There are existing MOUs with SACU states. Under the MOUs, they train and cooperate as a union.

ON TRAINING / CAPACITY

The training capacity is there in Namibia but they lack adequate funding for all the required courses.

STRENGTHS AND WEAKNESSES

Namibia Customs has the capacity to conduct its own training given the support. Trainers, material, and modules are still available within C&E. The training controller mentioned that the SADC modules need to be reviewed.

ENVIRONMENTAL ISSUES

Namibia Customs is still under the Ministry of Finance and funding for activities poses challenges. Officers use customs as an entry point into the civil service. When there are lucrative posts in other government departments the officers leave and customs will have to recruit. Namibia is a member of SACU and SADC. The Department of Customs in Namibia benefits from the training offered under BLNS.

RECOMMENDATIONS

The training budget is not sufficient to cover all the courses. Namibia needs to commit funds to training in order to meet their course requirements. The courses identified as needs by Customs Namibia are as follows: Valuation, Rules of Origin, Tariff classification, vessel rummage, excise, risk management and Management Development Programme.

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South Africa was visited 21st to 25th July 2008

Review team members;

Jug Poorun (Mauritius) and David Raynes (Team 1)

Areas visited:

- International Relations Unit, HQ Pretoria
- Policy Unit HQ Pretoria
- Capacity Building Unit HQ Pretoria
- Training Centre Hatfield

Training Plans

SARS has an extensive range of sophisticated core Customs courses which cover all Customs areas. They are comprehensive and well documented with handbooks. Management Development training exists but has only had very limited application recently. The issue of Management Development is currently being reconsidered. There is recognition that after an extensive MDP implementation a few years under a UK DFID programme, not enough had been done as new supervisors and managers became appointed.

In the past SARS Customs were using the SARS Academy but Customs has recently been disengaged from the SARS Academy. For costs reasons the trainers are now being called upon to move to the regions of South Africa. The core training for lower level recruits is now paramilitary. The training team prepares an annual training needs assessment (TNA) and produces a training plan; this is brokered with the Capacity Building Unit for approval. The HR Unit (Talent Board) also looks at the training requirements. A part of the process is an individual TNA form and a balanced scorecard approach to managing personal performance. Well designed sophisticated module handbooks exist for many courses which can act as reference volumes later.

Evaluation

Is done at the end of each course and through the TNA.

Trainers

Has a large pool of WCO accredited trainers in all required subjects. They are being used as training resources by the WCO ESA Regional Training Centres in Kenya and South Africa.

Training Facilities

SARS Make use of all modern techniques for dispensing training courses. They have temporary training facilities in Hatfield. At the time of the visit the review was told there were plans to have a dedicated Customs training school.

MOUs/ Exchange

SARS has a history of support on technical Customs courses to neighbouring countries. They are working jointly with South African University to identify talented students and recruit them.

Strengths

- deep understanding of the 21st Century Customs strategy
- training division well organised
- wide range of courses
- degree course from Canberra University
- use of modern technology and equipments
- high calibre trainers
- strong performance management system
- well defined career path



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development and coaching course externally funded a few years ago, which trained trainers, has not been carried on as new supervisors were appointed. This is recognised internally and corrective action is under way.

Environmental Issues

The Republic of South Africa has a relatively strong economy compared to neighbours. SARS is well funded, performs well and pay scales are good. There is a robust reward, retention and staff development scheme.

Recommendations

There are no significant gaps in SARS Customs training, the need for management and supervisory skills is understood and is being revisited. The General Manager SARS Customs said that the Administration would be interested in cooperating with or providing trainers to any SADC sponsored technical training and also in themselves participating in and providing a guest speaker on 21st century Customs landscape, to any SADC financed, Management Development courses.

Swaziland Customs was visited 7th to 13th September 2008

Review team: Shelton Pundo (Zimbabwe Revenue Authority) and Bryan Lewis (Independent Consultant)

AREAS VISITED:

Customs Swaziland, Mbabane.

CORPORATE PLANS:

Currently there is no plan in place and no one is responsible for the planning process within the Customs Department. Plans have been underway for a number of years to move to a Revenue Authority structure for Swaziland. The Customs Department will become part of the revenue authority when this is formed, along with the Department of Taxes. The authority will be a semi-autonomous body that will be given the mandate to collect all taxes in the Kingdom of Swaziland.

Because of the imminent move to the new structure, the Customs Department is, at present, almost in a state of limbo. The Revenue Authority has been looming on the horizon for at least the last three years. No major reviews of the department's structure, management, or planning processes have been undertaken in that time.

The Commissioner, his Deputy, and a number of other senior members of staff retire at the end of this year and their successors have yet to be appointed. Understandably, there is an unwillingness on the part of those retiring staff to initiate matters of great change, or issues of moment so late in their careers.

CURRENT CAPACITY BUILDING STATUS OF THE MS:

There is a training unit in Swaziland Customs and Excise. Within Customs there is a great appreciation of the importance of training, what needs to be done, and the value that more advanced technical training brings to the Administration.

Training is delivered by the Departmental training unit. There are four full time and three part time trainers, at present. All full time trainers are trained in delivery skills but not all are specialists in a particular field.

The Department's training plan recognises the requirement for more advanced courses, however, due to the budget constraints these are never delivered (see above). The training unit has not carried out training needs analysis for over two years, which is, perhaps, the reason why only the customs officer's courses are delivered. There was no indication that any other specialised courses such as Rules of Origin, Risk management, or Valuation will be delivered during the year 2008/9.

The training unit has hard copies of SADC modules which now need to be reviewed by SADC.

The Revenue Authority will be independent of the MOPSI budget constraints (see above) and will be able to fund its own training needs to a greater degree.

There are no plans for a dedicated training centre, either now or in the future.

TRAINING

Training programme

There is a training plan in place. This will not be fully delivered as there is no funding for the programmes. The training budget under MOPSI has never been available to the full requirements of Customs. The department's budget is not enough to meet the training needs. Training therefore falls far away from the priorities of the Customs Department.

one in the past year. The current plan was drawn by trainers
department of Customs which now lack funding.

Training manual/procedures/systems

BLNS, SADC, and WCO modules are still available and used by the training unit. Only hard copies are available. Handouts and training material are all in hard copy.

All of the training equipment is old and out of date.

There is no e-Learning.

Evaluation

No training evaluation of training was done. Post course evaluation is carried out after the basic course and participants are given the chance to evaluate the trainer.

Trainers

There are four full time trainers and three part time trainers. The full time trainers received training from SADC and SACU.

Facilities

There are no training facilities. Training is usually conducted at hired venues.

MOUs Exchange

There are existing MOUs with SACU states. Under the MOUs, they train and cooperate as a union. No training was done for the private sector.

ON TRAINING / CAPACITY

The training capacity is there in Swaziland but they lack funding for the required courses.

STRENGTHS AND WEAKNESSES

Given the support Swaziland can build its own capacity to a high level. Trainers, material, and modules are still available within C&E.

ENVIRONMENTAL ISSUES

Swaziland is a member of SACU, SADC and COMESA. The Department of Customs in Swaziland benefits from the training offered under BLNS.

RECOMMENDATIONS

The training budget is non-existent and it explains the department's failure to carry out intermediate and advanced customs courses including refresher courses.

Tanzania was visited 1st to 12th September 2008

Team members: Jug Poorun (Mauritius) and David Raynes (Team 1).

Areas visited: HQ. Dar es Salaam. Senior Management, Training School-(The Institute of Tax Administration), Customs Service Centre (Long Room) Dar es Salaam, Oil Products Monitoring Unit. (HQ Unit) Dar es Salaam, Trade Facilitation and Procedures Unit. (HQ Unit) Dar es Salaam, Customs Automated Systems (HQ Unit) Dar es Salaam, Compliance and Enforcement Command (HQ Dar es Salaam) (FAST, Preventive Service and Rummage Crews, Anti Drugs Staff, Risk Management Unit, Post Clearance Audit-(PCA). JINI Airport Dar es Salaam (Freight, Passenger Control), Port of Dar es Salaam, Investigation, COTECNA/TISCAN (Contractor-providing Valuation/Tariff/Origin Services)

Corporate Plans

Corporate Plans each last five years. Since the inception of the TRA there have been two such plans. The TRA are currently working the third plan, 2008/9 to 2012/13.

Training

An annual training plan is prepared by a Human Resource professional attached to the Customs Department, there is a Customs bid for resources which are cash limited and prioritised across the whole TRA. Not everything that is desirable or even essential is being done. There is a clear understanding by management as to the value of training.

A needs analysis is carried out annually by the Customs in-house HR professional.

Evaluation

Training evaluation is via the performance management system.

Trainers

There are 16 listed Customs trainers who adequately cover the core courses. None of the trainers are WCO certified.

Training Facilities

The TRA has a residential training school, The Institute of Tax Management outside Dar es Salaam. The school is a modern facility equipped with the necessary training equipment including IT training rooms.

MOUs/ Exchange programmes

An MOU has been signed with the University of Munster Germany and plans are well advanced to jointly offer a high level qualification in Customs Administration in partnership with the University of Dar es Salaam. The plan is to offer this to SADC and neighbouring countries with a planned start date of October 2009.

Interaction/ training with private sector

COTECNA/TISCAN the private sector supplier of Valuation and other Customs services has a contractual agreement to provide some training as the contract comes to an end in 2010.

Training capacity

The Institute of Tax Management is suitable for regional off the job programmes.

Strengths and weaknesses

Local instructors are not WCO certified. Such certified instructors would need to come from elsewhere.

Environmental Issues

COTECNA/TISCAN the private sector valuation supplier, are part of a 4000 staff international trading company based in Geneva. They started as a pre-shipment inspection company. Their contract with TRA ends in

king for TRA on import transaction processing (Valuation, Risk etc),
ation. These staff are 99.9 % Tanzanian. Their contract includes a
ng a transition to a TRA run operation. There is serious and real risk to
over plan. The review team did not identify one.

Some border posts have no electricity or communications, even telephones. There is no effective use of ASYCUDA everywhere because of lack of communications. Elsewhere there are shortages of vehicles and equipment for staff in FASTs and Rummage.

The country is very large, 40 million people, many very poor. The country receives substantial donor aid. The performance of the TRA is critical.

By local public sector standards the TRA is very well paid. COTECNA/TISCAN staff (99% local) are also less well paid than equivalent TRA staff.

Recommendations for Tanzania

Tanzania has an urgent need for extensive training in Valuation, even more urgent based on the assumption that the COTECNA operation, which uses 200 staff, is to end. This should be extended to Post Clearance Audit Staff. This training, to be extended to the region, can be offered with the assistance of other regional trainers who are WCO accredited

A wider issue for Tanzania is accrediting its own instructors and running more courses on its own account.

The Training facility in Tanzania should be made available for Regional technical as well as management training.

An issue for Tanzanian Customs would be the identification of suitable “cascade” trainers, who could be trained to present such training across the whole service, not just Customs. The TRA generally needs to train its own trainers.

A SADC sponsored 2 weeks study visit for the Head of the Risk Management and Intelligence function and a Deputy to another regional country that is more advanced at intelligence gathering is recommended. The trained team would then be responsible for building the relevant capacity in the TRA.

SADC financing of a visiting WCO accredited trainer should be considered.

A wider issue for SADC to consider is that there do not seem to be strong cross SADC linkages between Customs and Revenue Investigators. SADC should consider financing a first meeting/forum to create an action plan for the future. As border control become weaker there will be increased reliance on in-country investigation. Not all Directors of Investigation fall under Commissioners Customs.

An important wider issue for TRA Customs, is to ensure that any SADC training support is *supplementary* to existing resources, *not instead of*.

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Zambia was visited from 16th to 29th August 2008

Review team members:

Jug Poorun (Mauritius) and David Raynes (Team 1)

Areas visited: Senior managers Customs HQ Lusaka. International and Policy, Customs Policy, HR Manager ZRA, Commissioner General TRA, HR Manager Customs, Regional Manager Chirundu and Kariba Border posts, other managers and Team Leaders Chirundu Border Post

Corporate Plans

The ZRA Corporate plan spans a period of three years from 2007 to 2009. The Customs Services Division (CSD) produced an Action Plan with Divisional objectives to support the corporate objectives. These objectives were principally formulated within the Division's functions, which include among other things Revenue collection and facilitation of legitimate trade. CSDs self-derived divisional objectives include the improvement of trade facilitation and control through development and implementation of sustainable, efficient and integrated systems.

Current Capacity Building status of the MS

The Zambian Revenue Authority has a sustained commitment to staff training and development. The plan is reviewed every year. The Revenue Authority has 1241 employees of whom 477 (38%) are in Customs. There are 8 Divisions across the ZRA. Each Division has a nominated training coordinator.

Training programme

Each year training plans are developed for the whole Administration. The current training plan focuses on technical skills rather than management skills. Reasons for this are the shortage of finance.

Training requirements come out of the performance management system and Divisions bid for training resources linked to a strategic plan. Local managers take part in that process and the review team found strong local ownership of the methodology. No training manuals were identified.

Training Evaluation

Evaluation is via the performance management system and consultation across the department with managers.

Trainers

There are 53 Trainers across a very wide range of subject areas, most are not WCO accredited. WCO trainers are available in Valuation (a particular strength), HS Classification and Examining. Zambia has a history of supporting neighbours with Valuation expertise.

Training Facilities

A secure residential training school near the Lusaka international airport is in the final stages of internal and external refurbishment. The school is well equipped, has good telecoms services, three good training classrooms, one of which is equipped with computer terminals for ASYCUDA or other IT based training, and several "breakout" syndicate rooms. There are to be 20 residential beds in twin rooms.

MOUs/Training Exchange

No training MOUs or training exchanges were identified. No interaction with or training for the private sector was identified.

Weaknesses

is potentially good for regional courses.
Valuation, HS Classification and Examining Officer.

Environmental Issues

Funding is a continuing problem and prioritisation takes place by the top management team. Not everything that might be desirable therefore gets done. Decisions about funding allocation were taken corporately, in the interests of the whole ZRA, by a management team. Nevertheless there are some shortfalls in what is desirable for the Customs service and there has even, recently, been some shortfall in basic Officer Entry training.

Recommendations for Zambia

- a) Support in developing an in-house training (cascade) capacity for use of scanners.
- b) A SADC sponsored designed and supported, non country specific, general training course for Customs managers from Team Leader upwards who have significant staff numbers to command and who are operationally based.
- c) Regional, SADC sponsored, Post Clearance Audit courses to which Zambia can send delegates.
- d) Regional SADC sponsored Risk Management courses to which Zambia can send delegates.
- e) A SADC sponsored series, of regional Valuation courses, possibly to be run by and in, the ZRA training school.

A wider issue for the ZRA is succession planning for Valuation training skills.

- f) SADC sponsored training in advanced ASYCUDA, getting more out of the ASYCUDA system and using it more effectively.

A wider issue for ZRA is WCO certification of their ASYCUDA and other listed trainers.

- g) Rules of Origin and HS Tariff. This was identified as an ongoing need.

An important wider issue for ZRA Customs is to ensure that any SADC training support is *supplementary* to existing resources, *not instead of*. Freed resources should be used to ensure (at least) basic training for all recruits.

Zimbabwe was visited 15th to 20th September 2008

Review team members:

Jug Poorun (Mauritius) and David Raynes (Team 1)

Areas visited:

ZIMRA Human Resources Commissioner and staff. ZIMRA National Training Centre, at St Lucia Park. Senior Managers Investigations and Technical Services Division. Senior Managers Customs Operations Division. Harare Port (Inland Clearing Depot) and Excise. ZIMRA Company secretary and legal Advisor.

Corporate Plans

ZIMRA has a 3 year corporate plan. Since inception, ZIMRA has implemented 2 such corporate plans (period 2002 to 2004 and period 2005 to 2007). The first plan laid emphasis on developmental projects comprising; improvement of existing infrastructure, setting up of proper information and communication technology systems and a major operational project in the form of VAT (which replaced Sales Tax). The second corporate plan put much more focus on training of staff in order to maximize revenue collection and at the same time improve service delivery to valued tax payers. More effort was put into the setting up of a SAP integrated system. The objective was a better service to clients and the provision of efficient information to encourage voluntary compliance in discharging tax obligations.

The third corporate plan to cover the period 2008 to 2010 is in preparation. The review team was told that it is to continue the achievements of the second corporate plan. Much emphasis will be laid on the training of the personnel within the context of the new challenges that the Administration will have to face.

Current Capacity Building status

ZIMRA has run various customs training courses during 2005/07. Similar courses are being run during the year 2008 but within a budget heavily limited by the economic situation. ZIMRA is particularly strong on supervisory, management and team leadership training, a model to others. The residential Training School is an exceptional facility operating as a separate business under the control of the Reserve Bank and ZIMRA, it is open to other users but these two organisations have priority.

Since 2006, ZIMRA has been running a 3 years degree course on Commerce and Fiscal Studies, with the National University of Science and Technology (NUST). The first intake will complete the programme this year. (Bachelor of Commerce and Fiscal Studies).

Training programme

ZIMRA reviews its training plan on a yearly basis. This is done in October and the plan takes effect from January of the forthcoming year. Basic instruction for new recruits lasts two years and covers the full range of functions of the Department. The objective is to produce the complete Revenue Officer. The difficult economic situation has produced high non-compliance and integrity issues. Training resources have recently put much emphasis on integrity and have been diverted from technical training. Nevertheless, the Training School was able to organise limited but insufficient Customs training courses on Tariff, Valuation, Origin and Risk Management.

Training Evaluation

Evaluation is via end of course surveys, the performance management system and consultation across the department with managers. The HR Department is particularly robust.

Trainers

Customs Trainers. 12 of these have received “training for most of them are WCO accredited. Such trainers are available for Management, and Supervisory Management.

Training Facilities

The Training School is located in an ideal, quiet location, with more than 13 hectares of land, at St Lucia Park in Harare. This is a twenty minute drive from Headquarters and the airport. The school is jointly owned and financed by ZIMRA and the Reserve Bank of Zimbabwe and is used for training staff from both organisations. Other commercial organisations can use the facility. ZIMRA and the Reserve Bank have priority of use. It is a separate business entity and capable of billing SADC directly.

There are five classrooms which could each accommodate 25 participants, 30 double bedrooms and a restaurant capable of serving dietary or religious needs (all meat is Halal). There is a social area and bar.

There is a second training centre at Kurima House which caters for ASYCUDA++ training (note ZIMRA are now moving to ASYCUDA WORLD). Up to ten participants could be accommodated at a time. Access to the internet is not easy and makes E learning off-site unachievable, though the Administration has a strong interest in it as a training tool when conditions improve.

MOUs/Training Exchange

Since 2006, ZIMRA has been running a 3 years degree course on Commerce and Fiscal Studies, with the National University of Science and Technology (NUST). The first intake will complete the programme this year. (Bachelor of Commerce and Fiscal Studies).

Zimbabwean training strengths

The excellent training school and the extensive list of well qualified WCO accredited Customs trainers across core technical subjects, make Zimbabwe an important regional resource where SADC can safely invest and expect good value.

The extensive ZIMRA supervision and management courses might represent another useful regional resource that could be used. The review team have asked for but not yet received the module details. It would be helpful if the modules could be submitted to the SADC project.

Finally, if SADC decide to implement Customs management and supervision coaching across the region, ZIMRA has up to 15 suitably experienced Customs managers whose CVs might be considered.

Environmental Issues

At the time of writing, political instability in Zimbabwe is still not resolved. The country has exceptionally serious economic problems and hyperinflation. Compliance is very poor. The border crossing at Beitbridge is the busiest in Africa, this route through Zimbabwe is the major transit route for vehicle traffic to the other SADC Member States of Zambia and DRC, via the crossing at Chirundu. There is high risk of transit fraud and diversion. Utilities are failing; there are frequent power outages and water shortages. The use of ASYCUDA at Beitbridge is adversely affected. Staff there are overwhelmed by 500 to 700 vehicle imports a day, each one a potential debilitating valuation argument. A dramatic solution is required. Integrity has also been a major issue and ZIMRA have perforce, needed to invest substantial human and financial capital on it.

Recommendations for Zimbabwe

- a) SADC should sponsor training courses in the core Customs skills of Valuation, Origin and HS Classification, in the ZIMRA training school, with local WCO accredited trainers and the bulk of students coming from the host nation.
- b) FAST operations should be supported by a visiting short term expert capable of working with the teams to improve techniques and of making policy development suggestions including guidance on Standard Operating Procedures and Risk Assessments.

operations should be supported by a visiting drugs and
s may be obtainable from another WCO MS (with expenses
international market.

for two appropriate individuals to assess the suitability for
ZIMRA of the Mauritian fixed scale charge system for second hand motor vehicles.

- e) A SADC financed, Customs focused, Post Clearance Audit course to be held in the ZIMRA training school for an appropriate mix of PCI/PCA and Investigation staff.
- f) The central risk management and intelligence resources need a greater understanding of how they might be operating. It is suggested that a study be financed by SADC for two staff who could devise an appropriate internal response.
- g) It is recommended that SADC finance two persons to the appropriate SARS image interpretation course.
- h) Excise management: A SADC financed study tour for one or two persons of sufficiently high level to make recommendations for changes to the current ad valorem system is recommended. An alternative would be a short term posting of a suitable international short term expert, to advise on policy development.

Countries Covered

Study		Team 2	Team 3
	David Raynes (STE) Jug Poorun (Mauritius)	Bryan Lewis (STE) Shelton Pundo (Zimbabwe)	Gideon M Phiri (STE) Gugu Dhlamini Zwane (Swaziland)
14-18 July	Prep Gaborone	Prep Gaborone	Prep Gaborone
21-25 July	South Africa	Namibia	Mauritius
28 July-1 August	South Africa	Namibia	Mauritius
4-8 August	Zimbabwe	Angola	Malawi
11-15 August	Zimbabwe	Angola	Malawi
18-22 August	Zambia	Mozambique	DR Congo
25-29 August	Zambia	Mozambique	DR Congo
1-5 September	Tanzania	Lesotho	Madagascar
8-12 September	Tanzania	Swaziland	Madagascar
15-19 September	Reporting	Reporting	Reporting
22-26 September	Reporting	Reporting	Reporting

NB. Botswana was not scheduled into the timetable at the planning stage as a BURS Training Needs Analysis (TNA), under Project 9 ACP BT 8 (EDF Technical Co-operation Facility), was underway and, as such, the approach was to be determined after consultation with BURS.

(H = High; M = Medium; L = Low)

	Ang	Bot	DRC	Les	Mad	Mal	Mau	Moz	Nam	RSA	Swa	Tan	Zam	Zim
Valuation ∞	H	H	H	H	H	M	H	H	H	H	M	H	M	H
Classification ∞	H	H	H	H	H	M	H	H	H	M	M	H	M	H
Origin ∞	H	H	H	H	H	H	H	H	H	M	H	H	H	H
Risk Management (Operational)	M	H	M	M	H	H	M	M	H	M	H	M	H	M
Management of Risk (Management)	M	H	M	M	M	H	M	M	H	M	H	M	H	M
Risk Profiling	M	H	M	M	M		M	M	M	M	H	M	M	M
Resourcing by Risk	M	M	M	M	M		M	M	M	M	H	M	M	M
Post Clearance Audit	M	H	M	M	H	H	M	M	M	M	H	M	H	M
Investigation Techniques	M	M	M	M	M	M	M	M	M	M	H	M	M	M
Flexible Risk Teams (FAST's)	M	H	M	M	M	M	M	M	M	M	M	M	M	M
Management Development Programme		H	M		M	M	M	M	M	M	M	M	M	M
Senior M D P		H	M		M	M	M	M	M	M	M	M	H	M
Vessel Rummage	M		L		M		M	M	H	L		H		
Data Mining (e.g. Analysts Notebook)								M						
Computer Skills *		M		M										
Report Writing & Drafting		H	M		M	M		M	M		M	M	M	
Train the Trainers (Course Development)	✓	M	✓	✓	H	✓	✓	L	M	✓	M	✓	✓	✓
Training Skills	✓	M	✓	✓	✓	✓	✓	L	✓	✓	M	✓	✓	✓
Integrity	✓	H	✓	✓	✓	✓	✓	H	✓	✓	H	✓	✓	✓
Regionalisation / SADC		M			✓	✓	✓					✓		
Trade Facilitation & Security of Society		M	✓		✓	✓	✓		H		H			
Image Interpretation (Scanners)		H	L		✓		✓		H					
Investment Promotion		M			✓						M			
Drug Dog Training		L	L				✓		M					
Excise / Duty at Source		H	L	✓					H		M			
Exchange Programmes		M	✓		✓	✓	✓				M			
Research Skills		H			✓						M			
Litigation		M	M		✓									
WCO / Authorised Economic Operator		H			M	M	M		M		H			

* As part of e-Learning programme

∞ **N. B.** Valuation, origin, and classification must be presented at intermediate and advanced level, not at the basic introductory level.

✓ Required but priority not specified by MS

Each Member State

	Ang	Bot	DRC	Les	Mad	Mal	Mau	Moz	Nam	RSA	Swaz	Tan	Zam	Zim
School	✓	No	✓*	✓	No	✓	✓	✓	No	✓	No	✓	✓	✓
Residential (and number of students)		No											20	
Transport provided/available		No		✓*				✓*	✓*			✓	✓	
Classroom Number (Capacity)	3 HQ 4 Reg	No	1	2 (15) 1 (50)	2 (30)	1 (30)	2 (15)	3 (25)	1 (20)	20	No	5 (30)	3	5
Computer Lab (Workstations)	No	1(10)	1 (10)	1 (20)	No	1 (12)	1 (10) 1 (20)	1 (20)	1 (10)	-	No	2	1 (20)	1 (10)
Auditorium / Hall (Capacity)	No	No		1 (50)	No	1 (30)		No	No	-	No	1	1	-
Library	No	No		✓	No	No		✓		-	No	✓	✓	No
Full time trainers	5	No	3	1	4	1		0	10	8	4	6	No	6
Part time trainers	6	16	23	Φ	Φ	4		Φ		Φ	5	Φ	Φ	Φ
Equipment														
Marker Boards	✓	No	✓	✓	No	✓	✓	✓	✓	✓	✓	✓	✓	✓
OHPs,	✓	No	✓	✓	No	✓	✓	✓	✓	✓	No	✓	✓	✓
Computers		No	✓							✓	✓	✓	✓	✓
Flipcharts	✓	No	✓	✓	No	✓	✓	✓	✓	✓	✓	✓	✓	✓
Projection palette (PowerPoint, etc)	✓	No	✓	✓	No	✓	✓	✓	✓	✓	✓	✓	✓	✓
TVs	✓	1		✓	No	✓		✓	✓	✓	✓	✓	✓	✓
video player	✓	1		✓	No	✓		✓	✓	✓	✓	✓	✓	No
Training Material (Hard copy, Soft copy, Video, DVD)	H S V D	H	HS	HS	HS	HS	H S	H S Ψ V D	H S V D	H S V D	H	H S	H S	H S
Modules (Hard copy, Soft copy, Video, DVD)	H S V D	H	HS	HS	HS	HS	H S	H S Ψ V D	H S V D	H S V D	HS	H S	H S D	H S
Hand-outs (Hard copy, Soft copy)	H	H	HS	H	HS	HS	H S	H S Ψ V D	H	HS	HS	H S	H S	H S
E-Learning	A wco	No	No	No	A wco	✓	✓	Plan.	Plan.	✓	No	No	No	✓
Trng Methods: Formal courses	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
On-the-job	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Seminar	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	No	✓	✓	✓
Workshop	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Further education links	No	✓	✓	✓	✓	✓	✓		✓	✓		✓	✓	✓

* DRC Customs uses the training facility in the Ministry of Finance; ** Contracted through WCO; Ψ In Portuguese; Φ indicates part time trainers are used as and when required
A wco – awaiting WCO to install; plan – currently planning

	Angola	Botswana	D R Congo	Lesotho	Madagascar	Malawi	Mauritius	Mozambique	Namibia	RSA	Swaziland	Tanzania	Zambia	Zimbabwe
Valuation [∞]	✓	✓				✓	✓	✓	✓	✓	✓	✓	✓	
Classification [∞]	✓	✓				✓	✓	✓	✓	✓	✓	✓	✓	
Origin [∞]	✓	✓				✓	✓	✓	✓	✓	✓	✓	✓	
Risk Management (Operational)	✓					✓	✓		✓	✓		✓	✓	
Management of Risk (Management)	✓	✓				✓	✓			✓	✓	✓		
Risk Profiling	✓						✓		✓	✓	✓	✓		
Resourcing by Risk										✓		✓		
Post Clearance Audit	✓	✓				✓		✓		✓	✓	✓		
Investigation Techniques						✓		✓		✓				
Flexible Risk Teams (FASTs)								✓		✓		✓		
Management Development Programme	✓						✓							
Senior M D P	✓						✓							
Vessel Rummage										✓				
Data Mining (e.g. Analysts Notebook)										✓				
Computer Skills						✓	✓			✓		✓		
Report Writing & Drafting	✓					✓	✓		✓	✓	✓			
Train the Trainers (Course Development)	✓						✓	✓		✓	✓			
Training Skills	✓	✓					✓	✓		✓		✓		
Integrity	✓					✓	✓		✓	✓	✓			
Regionalisation / SADC						✓				✓		✓		
Trade Facilitation & Security of Society										✓	✓			
Image Interpretation (Scanners)								✓		✓				
Investment Promotion										✓				
Drug Dog Training										✓				
Excise / Duty at Source										✓	✓			
Exchange Programmes														
Research Skills												✓		
Litigation														
WCO / Authorised Economic Operator	✓													

[∞] **N. B.** Valuation, origin, and classification must be presented at intermediate and advanced level, not at the basic introductory level.

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					Madagascar	Malawi	Mauritius	Mozambique	Swaziland	South Africa	Namibia	Tanzania	Zambia	Zimbabwe
Customs Legislation	1			4							1		1	
Customs Tariff	3	1	1	6	1	2	2	1	2	1	2	1	2	2
Rules of Origin	1	2		3	1	2	4	1	1	1	1	1	2	3
Customs Obligations														
Customs Administrative Document	1	2					1		2					
GATT Article 7 Appeals	2				1		2				1			
Customs Procedures		6		2		1			1		3	3		3
Cites				1	1						1			
Integrity	1					2			1	1	2			
Customs Regimes				3	1						1			
Regional Integration					1		1		2		2			
International Trade					1		1		1		2			
Customs Law				1	2						1	2		
Customs Administration				2							2			
Customs Accounts				3					1					
Duties of the Customs Officers									2		2			
Border Controls							1		1		2			
Investigations and Intelligence		1									2			
Risk Management and Assessment	1	3		2		1	1		1		2	1		
Enforcement		3	1								2			
Compliance							1				2			
Staff Development														
Integrity and Ethics	1		2	1					1		2			
Middle Management Development	2		2								2			
SMDP														
IT Skills				6			2		1					
Customs Ethics											2			
Transit		2					1				1			
Post Clearance Audit	1	1		2		1	1				1	1		
Valuation	1	4	2	2	1	1	3		2		1	1	3	
Excise management				3			1		1		2			2
Customer Service			1			1			2		2			
Instructional Techniques		1	1								1			
VAT Law Introduction			1								2			
Train the Trainer														

Trainers

	Luanda; Garcia Afonso; Santos Mussamo. Botswana - M. Gontse; GM Senatle. nkonde; Mr Bueya; Mme Kisimba; Mr Nianda; Mr Kimpemene. Lesotho – Mrs scar - Mme Ranasy, CSE. Malawi - Tedd Nyirenda; Edwin Starch. Mauritius - ambique – Anchura. Swaziland - Dumezweni Dlamini; Savellius Mtetwa. South
Rules of Origin	Africa - Siphon Dube. Namibia - Ms S Beukes; B. I. Haikonda. Tanzania - Pius Kibahila. Zambia - Swithan Kalobwe (Accred); Sifuniso Sifuniso. Zimbabwe - Mrs J Maposa (Accred); K Mawana (Accred).
GATT Article 7 Appeals	Angola - Carlos Quiocamba Luanda ; Santos Mussamo. Madagascar - Mme Razafimanantsoa CSAE. Mauritius - L Babajee; M. Gaunpot. Namibia - Ms S Beukes.
Customs Procedures	Botswana - M. Gontse; P Mogobe; S Mofokeng; D. Molosiwa; GM Badisang; K Malanga. DRC - Mr Diongo; Mr Bundu. Malawi - P. Drennon (Mrs). Swaziland – Lusufu Dlamini. Namibia - Ms S. Shuungula; Ms Susan Beukes; Ms T Sisinzi. Tanzania - Mrs Kissa Kyejo; Charles Sabuni; Edward Mwakimonga. Zimbabwe - E Sithole (Accred); L Tatswareyi (Accred); K Mawana.
Border Controls	Mauritius - P. Reesaul. Swaziland - Dumezweni Dlamini. Namibia - P Andreas; Ms S Beukes.
Cites	DRC - Mr Mbenza. Madagascar - Mme Rahantamalala. Namibia - Ms S Beukes
Compliance	Mauritius - S. Rambaruth. Namibia - Ms L M Mundia; Ms S Shuungula.
Customer Service	Lesotho - Ms. ‘Mapule Chakela. Malawi - E Thindwa. Swaziland - Thulani Mabuza; Gugu Mahlinza. Namibia - E Maiba; S Gurirab.
Customs Accounts	DRC - Mr Nzau; Mr Mbuyi; Mr Bundu. Swaziland - Thulani Mabuza.
Customs Administration	DRC - Mr Masanga; Mr Sumaili. Namibia - P Andreas; S Gurirab.
Customs Administrative Document	Angola - Eduardo Lutemuca. Botswana - M. Pule; JMasunga. Mauritius - C. Ramdhonee. Swaziland - Thulani Mabuza; Gugu Mahlinza.
Customs Ethics	Namibia - Ms L M Mundia; Ms A D Ndeshimona
Customs Law	DRC - Mr Mampida. Madagascar - Rakotonirina Hery Andre; Magistrat a l ENMG. Namibia - M Mwetako. Tanzania - Mrs Kissa Kyejo; Charles Sabuni.
Customs Legislation	Angola - Joana Numélia Moisés. DRC - Mr Diongo; Mr Bundu; Mr Kimpemene; Mr Lutaladio. Namibia - Ms S Beukes (Accred). Zambia - Rueben Kunda (Ass Com).
Customs Obligations	
Customs Regimes	DRC - Mr Kimpemene; Mr Diongo; Mr Bundu. Madagascar - Razafimanantsoa Velonjara. Namibia - P Andreas.
Duties of the Customs Officers	Swaziland - Dumezweni Dlamini; Thulani Mabuza. Namibia - Ms J Dumeni; Ms S Sisinzi.
Enforcement	Botswana - D. Ramaeba; K. Malanga; M. Gontse. Lesotho - Mrs. Masempe Makebe. Namibia - Ms S Beukes; Ms J Dumeni.
Excise management	DRC - Mr Kuburana; Mr Kankonde; Mr Yengula. Mauritius - M. Sookoo. Swaziland - M O Dlamini. Namibia - S Gurirab; P Andreas. Zimbabwe - Mrs J Matare (Accred); Y Jacob (Accred).
Instructional Techniques	Botswana - GM. Senatle. Lesotho - Ms. ‘Mapule Chakela. Namibia - Ms S Beukes.
Integrity	Angola - João Afonso Jorge (Accred). Malawi - E Thindwa (Accred); Fatch Valeta (Accred). Swaziland - Gugu Mahlinza (Accred). South Africa - Ashina Naidoo. Namibia - Ms L M Mundia; Ms FT Shiweda.
Integrity and Ethics	Angola - João Afonso Jorge. Lesotho - Ms. Limpho Debeshe (WCO accredited); Mrs. Mamoswati Polisa (WCO accredited). DRC - Mme Mbuyamba. Swaziland - Gugu Mahlinza (Accred). Namibia - Ms L M Mundia; Ms F T Shiweda.
International Trade	Madagascar - Botolahy Marie Ange. Mauritius - A. Dunpath. Swaziland - Gugu Dlamini Zwane. Namibia - P Andreas; B. I. Haikonda.
Investigations and Intelligence	Botswana - D. Ramaeba. Namibia - Ms L M Mundia; S Gurirab.
IT Skills	DRC - Mr Penenge; Mr Bokota; Mr Bothas; Mr Muemba; Mr Mbayo; Mme Mbuyamba. Mauritius - R. Seth; N. Vencatachellum. Swaziland - Mark Dlamini.
Middle Management Development	Angola - Mafuila Cuntima; Almeida Ramos Kibeta. Lesotho - Ms. Limpho Debeshe; Ms. ‘Mapule Chakela. Namibia - Ms S Beukes; S Gurirab.
Post Clearance Audit	Angola - Osvaldo Van Dúnem. Botswana - GM. Senatle. DRC - Mr Mpasi-a-Mbongo; Mr Bueya. Malawi - F Valeta. Mauritius - V Ramburun. Namibia - Ms S Beukes. Tanzania - Suweid Faraj
Regional Integration	Madagascar - Rahantasoia Yolande. Mauritius - A. Dunpath. Swaziland - Gugu Mahlinza; Gugu Dlamini Zwane. Namibia - Ms S Beukes; B. I. Haikonda.
Risk Management and Assessment	Angola - Venâncio Ngoma. Botswana - GM. Senatle; K. Malanga; M. Gontse. DRC - Mr Mampida; Mr Diongo. Malawi - Edwin Starch. Mauritius - D. Parmassur. Swaziland - Thulani Mabuza. Namibia - P Andreas; Ms S Shuungula. Tanzania - Suweid Faraj
SMDP	
Staff Development	
Train the Trainer	
Transit	Botswana - G. Arief; GM. Senatle. Mauritius - D. Rajcoomar. Namibia - Ms A D Ndeshimona.
Valuation	Angola - Carlos Quiocamba Luanda. Botswana - M. Gontse; GM. Senatle; K. Malanga; M. Maiketso. DRC - Mr Soki; Mr Mokindi. Lesotho - Ms. Limpho Debeshe; Mr. Thapelo Moleli. Madagascar - Mr Rabetokotany.



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(Accred) = accredited by WCO).

Trainers
ius - M. Gaunpot; J.C.Pandoo; A Mohamed. Swaziland - Jabu Nxumalo; Gugu - Ms S Beukes. Tanzania - Charles Sabuni. Zambia - Ernest Sigande; Arnold ice Kachinda (Accred).
seka. Namibia - E Maiba; P Andreas.

ot considered conclusive.