

**No. 17**

**ROCB A/P**  
**Customs Good Practice Report**  
**on**

**Exemplifying Follow-Up Actions taken**  
**after the WCO Regional Workshops**  
**organized in FY 2016/17**



**February 2018**

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## Foreword by the ROCB A/P

The WCO and the ROCB A/P endeavors to deliver high-quality capacity building support programs which are well suited to the Member administrations' needs, and redoubling their efforts towards a results-oriented approach. In line with this, the ROCB A/P's missions include evaluating the progress of the A/P Members at regular intervals with a view to monitoring Members' modernization progress and, as appropriate, identify further development assistance needs. In order to optimize the effectiveness of regional capacity building assistance programs, the workshop participants are expected to institutionalize the lessons learned from the workshops and apply them to their daily operations wherever appropriate by way of disseminating pertinent information to the right people/departments in a timely manner. In this context, the ROCB A/P initiated a "Survey on the Follow-Up Actions taken after the Participation in the WCO Regional Workshop (the Follow-Up Action Survey)" in 2015.

This Good Practice Report provides the summation of the third round of the Follow-Up Action Survey on the WCO A/P sub-/regional workshops organized in the FY2016/17, and features several exemplified follow-up actions and remarkable effects realized. It is strongly hoped that the Member administrations are inspired by those exemplifying follow-up actions, and these administrations recognize the value of the WCO's capacity building assistance programs and the practical recommendations, which their respective workshop participants may make synergy with the on-going reform and modernization initiatives.

February 2018



Kazunari Igarashi

Head of the ROCB A/P

## Executive Summary

In the FY2016/17 (July 2016 – June 2017), the ROCB A/P organized a total of 13 sub-/regional workshops, excluding the accreditation workshops, and these 13 workshops were subject to the third round of the Follow-Up Action Survey in 2017.

The rate of reply to the Survey was 57% and it has increased drastically from the previous rounds (28% in 2015 and 47% in 2016). It could be attributed to a series of continued awareness-raising of the impacts of the workshop follow-up actions and gentle encouragement made to the workshop participants.

The Survey revealed that the common follow-up actions include, among others, the submission of their reports to the management and the sharing of distributed training materials with their colleagues. However, it was also revealed that not all participants filed their reports to their managers, or shared workshop materials. The ROCB A/P strongly recommends that the workshop participants should be required to submit their reports to the managers in the right time manner as the minimal follow-up action, in the context of institutionalizing the lessons learned. Quite a good number of replies said that more participants organized in-house workshops to disseminate their lessons learned and discuss particular recommendations aiming for operational amelioration.

65% of the replies indicated that the participants observed direct effects from the application of the lessons learned at the managerial and operational levels. Most immediate and prominent tangible results were the increase in the numbers of cases and amount of contraband seizures and additional revenue collection. On the other hand, 34% of the replies indicated none or little direct impact observed at the time of conducting the Survey, but several of them explained that more time is needed for the introduction and mature usage of the new methodologies and/or practices.

Likewise, 65% of the replies confirmed that the participation in the workshop in

FY2016/17 had resulted in initiating such modernization projects. These modernization projects may not be new initiatives, but the lessons learned from the workshops complement on-going reform and modernization projects.

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## 1. Introduction

### ***Background of the ROCB A/P's Workshop Follow-Up Survey***

The Terms of Reference of the ROCB A/P, which was adopted at the Regional Heads of Customs Administrations Conference held in 2014, states that the ROCB A/P's overall objectives include the delivery of organizational development support to the Member administrations. The same specifies that the ROCB A/P is required to evaluate the development progress of the Members at regular intervals, to both confirm progress and identify further development requirements. The Annual Technical Assistance Needs Survey, which is conducted in cooperation with the Japan Customs, is part of the means to fulfill the aforementioned tasks. Given the limited financial and human resources to accommodate growing needs for capacity building assistance, the WCO and the ROCB A/P do their best and prioritize the Members' needs and deliver the relevant regional capacity building programs on these prioritized topics, and redouble their efforts to develop high-quality workshop programs accommodating the expressed Member administrations' needs. At the same time, in order to optimize the effectiveness of these regional capacity building assistance programs, the ROCB A/P encourages the workshop participants to institutionalize these lessons learned and apply them to their daily operations wherever appropriate by disseminating pertinent information and shared experiences with

the right people/departments within their administrations in a timely manner.

In this regard, in 2015, the ROCB A/P initiated a Survey on the Follow-Up Actions taken after the Participation in the WCO Regional Workshop (hereinafter referred to as “the Follow-Up Action Survey”) on the sub-/regional workshops organized in the FY2014/15 and developed a questionnaire template, which are sent to all of the workshop participants 6 months after the respective workshops. A copy of the questionnaire is as appended to this Report. The Survey intended to collect pertinent information on the modalities of the follow-up actions taken at their respective home administrations in the wake of participation in the sub-/regional workshops. This survey does not intend to criticize any of the reporting or recommendations the workshop participants made. Rather, it is to take a snapshot of the impact the capacity building programs has had on the regional Member administrations’ performance efficiency and effectiveness. It was also expected that the questionnaire would remind the workshop participants of their expected roles and encourage them to continuously utilize the skills and knowledge they have gained, wherever possible after the respective regional capacity building programs.

### ***About the third round of the ROCB A/P Survey***

This Good Practice Report features the summation of the third round of the Survey and highlights exemplified follow-up actions taken after the participation in the WCO sub-/regional workshops organized in the FY2016/17 (July 2016 – June 2017). The questionnaire was circulated 6 months after the respective WCO sub-/regional workshops had been organized, and the last survey was completed in January 2018.

The ROCB A/P takes this opportunity to express its sincere appreciation to those who responded to the Survey and shared to his/her administration the lessons learned from the respective WCO Sub-/Regional Workshops.



## 2. Summation of the replies/inputs to the ROCB A/P's Survey

### (1) Responses to the Survey

In the FY2016/17, the ROCB A/P organized a total of 13 sub-/regional workshops, excluding the accreditation workshops, and they are subject to the third round of the Follow-Up Action Survey in 2017. The ROCB A/P circulated questionnaires to all of the workshop participants approximately 6 months after the respective sub-/regional workshops were organized. Titles of the surveyed WCO sub-/regional workshops, as well as the numbers of the participated administrations and the replies to it, are shown in the following Table 1.

(Table 1)

WCO Sub-/Regional Workshops subject to the Survey		No. of participated administrations	No. of replies
(1)	WCO Sub-regional Integrity for the Pacific (Jul. 2016)	8	5
(2)	WCO Regional Workshop on Non-Intrusive Inspection (Sep. 2016)	26	12
(3)	WCO Regional Workshop on Digital Customs and E-Commerce (Sep. 2016)	21	8
(4)	WCO Regional Workshop on Post Clearance Audit (Sep. 2016)	24	19
(5)	WCO Train-the-trainer Workshop for the WCO Joint Enforcement Action against Counterfeiting and Piracy in the Asia/Pacific Region (Nov. 2016)	21	13
(6)	WCO Regional Workshop on Capacity Building of Customs Laboratories for the Revenue	23	11

	Package Program and Trade Facilitation (Nov. 2016)		
(7)	WCO Regional Workshop on Intelligence-led Risk Management (Nov. 2016)	21	7
(8)	WCO Sub-regional Workshop on Advance Ruling and Origin Certification for ASEAN Member Customs Administrations (Mar. 2017)	7	3
(9)	WCO-UNESCAP 3 <sup>rd</sup> UNNExt Materclass: Digital Customs and Single Window in the Context of WTO TFA (Apr. 2017)	16	13
(10)	WCO Regional Workshop on Security Program (Apr. 2016)	25	14
(11)	WCO-UPU Regional Workshop on Postal Items (May. 2016)	22	10
(12)	WCO Follow-Up Workshop for the WCO Joint Enforcement Action against Counterfeiting and Piracy in the Asia/Pacific Region (May. 2016)	22	18
(13)	WCO Regional Workshop on Customs Valuation (Jun. 2016)	25	15
Total		261	148 (57 %)

### ***ROCB A/P's endeavor to collect more replies and inputs to the Survey***

Given the commendable and exemplifying follow-up actions taken by the workshop participants, which became known as a result of the first round of the Survey, it was important to showcase practical examples to the workshop participants. The ROCB A/P took every possible opportunity to give an explanation about the objectives and findings of the Survey, especially in the course of the sub-/regional workshops organized in the FY2016/17. At the same time, the ROCB A/P reminded the workshop participants of the Follow-Up Actions Survey are conducted 6 months later for their mind-setting. Furthermore, in an attempt to collect more replies to the Survey, the ROCB A/P sent reminder messages as the dates have come closer to the due dates. Thanks to these continued awareness-raising actions, the rate of replies has reached 57%, which is much higher than those in the previous rounds (28% in 2015 and 47% in 2016).



## ***Provision of feedback to inspire and further encourage follow-up actions***

With a view to further encouraging workshop participants' continued engagement to the reform and modernization based on the lessons learned from the respective workshops and, hopefully, further whetting their interests in the follow-up actions taken by other workshop participants, the ROCB A/P provided the workshop participants, regardless of whether they replied nor not, with feedback with aggregated table of their replies. This initiative also led to additional inputs to the Survey even after the due date for the reply.

### **(2) Follow-Up actions taken by the workshop participants**

Below Table 2 shows the number of replies indicating the specific follow-up actions taken after the respective regional Workshops.

(Table 2)

(NB)	Shared Training materials	Submitted reports	Made Recommendations	Organized in-house workshop	Developed operational manuals	Others
(1)	3	2	1	1	1	3
(2)	9	10	9	4	2	1
(3)	5	4	3	2	2	1
(4)	15	16	13	9	4	6
(5)	12	13	8	6	2	1
(6)	7	8	7	3	4	2
(7)	7	6	2	3	0	0
(8)	2	3	2	1	3	0
(9)	8	11	4	2	0	1
(10)	11	13	8	2	0	8
(11)	7	8	5	2	3	2
(12)	11	14	12	5	4	5
(13)	12	12	9	7	2	4

Total	109	120	83	47	27	34
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(NB) Sequential numberings of Regional Workshops shown correspondent to the numberings in the Table 1.

The Survey revealed that the common follow-up actions are the submission of their reports to their management and sharing of distributed training materials with their colleagues at the relevant departments/divisions either by circulation of physical print-outs or placing them in digital form on their intranet.

### ***Use of intranet to disseminate workshop materials***

More and more, the WCO workshops are organized in a paperless fashion, and distribution of relevant workshop materials are made via CLiKC! platform or saved in USBs. Training materials in electronic files are easily shared, especially by using intranet or common drive file, thus made them available to a large number of their colleagues. Several participants translated these workshop materials into national languages for their colleagues' easier reference.

To this end, the Secretariat kindly provided the workshop participants with an individual user ID and password prior to their participation in the workshop. It also enabled the workshop organizers to ask the participants to undergo CLiKC! E-learning modules on the pertinent topics to increase basic knowledge of the workshop topics prior to their participation in the workshops.

### ***In-house workshops to share lessons learned from the Workshops***

It is worth mentioning that more Member administrations organized in-house workshops to disseminate their lessons learned, including the other administrations' good practices, and discuss particular recommendations for their operational amelioration. The results of the previous Follow-Up Surveys showed that 6 Member administrations organized in-house workshops in the FY2014/15, and 18 Member administrations in the FY2015/16 respectively. As for the sub-/regional workshops organized in the FY2016/17, the third round survey shows that 19 Member administrations conducted at least 47 in-house

workshops. The Member administrations organized in-house workshops in the wake of the workshops in FY2016/17 are: Bhutan, Cambodia, China, Fiji, India, Indonesia, Malaysia, Maldives, Mongolia, Myanmar, Nepal, New Zealand, Pakistan, Samoa, Sri Lanka, Thailand, Timor-Leste, Tonga and Vanuatu.

More detailed study is need to articulate its impacts, but it seems that these in-house workshops brought more positive results, in terms of greater direct effects and initiation of new modernization initiatives.

***Specific recommendations filed for possible improvement in their operational efficiency and effectiveness***

It is encouraging that the workshop participants' mission reports are often accompanied by specific recommendations which the administrations may adopt in their daily operations or take more fundamental measures in order to remedy perceived gaps between their current practices and international good practices.

Answers indicated as "others", include outreaching of the knowledge sharing to other government agencies and private sector, thus contributed to the amendment of relevant laws and regulations to align with learned good practices, for example. Apart from the above-mentioned common follow-up actions, other prominent follow-up actions taken are as follows:

- Development of the Enforcement of Business Management Controls, the approval of Staff Complaints Process; and the revision and endorsement of the Enterprise Risk Management Framework. (Samoa after the Sub-regional Workshop on Integrity for the Pacific).
- Sharing of the recommendation for on-going Single Window Project with other relevant border agencies. (Maldives after the Regional Workshop on Digital Customs and E-Commerce);
- Improvement in the performance monitoring system of the PCA Section (Maldives after the Regional Workshop on PCA);
- Development of an IPR database and drawing of a draft of the necessary

border measures to align with the TRIPs Agreement (Fiji after the Train-the-trainer Workshop for the WCO Joint Enforcement Action against Counterfeiting and Piracy);

- Development of the Customs Electronic payment Gateway for National Single Window, and taking steps for management of Customs data as per big data study (Pakistan after the WCO-UNESCAP 3<sup>rd</sup> UNNExt Materclass);
- Setting up of special enforcement teams to contend with the cash smuggling and the identification of terrorists or drug traffickers. (Pakistan after the Regional Workshop on Security Program);
- Development of internal policy paper regarding coordinated border administration and security at PNG-Indonesia borders (Papua New guinea after the Regional Workshop on Security Program);
- Provision of awareness-raising and educational presentations to local seasonal workers on the consequences of attempting to smuggle firearms and ammunitions into the country (Samoa after the regional Workshop on Security Program);
- Initiation of cooperation with the postal authority (Laos after the WCO-UPU Joint Customs-Post Workshop); and
- Contribution of an article regarding the experience gained from the workshop to the monthly journal published by Maldives Customs Service (Maldives after the Follow-Up Workshop for the WCO Joint Enforcement Action against Counterfeiting and Piracy).

***(Recommendation) Workshop reports should be required***

Although the Survey showed us several good practices as above, it was also revealed that not all participants filed their reports to their managers, or shared workshop materials. As repeatedly stressed, the lessons learned should be institutionalized, not be held by the participants for themselves, because the programs for the sub-/regional workshops are designed for providing food-for-

thought for organizational reform and modernization, along with the organizational exchange of good practices. Participants to the sub-/regional workshops should bear in mind that they are representing their administrations and expected to play the role of trainers and rapporteurs once they are back to their home administrations. Otherwise, there is no chance to realize the effects. The ROCB A/P therefore strongly recommends that the workshop participants should be required to submit their reports to the managers in a timely manner as the minimal follow-up action, in the context of institutionalizing the lessons learned.

### **(3) Application of lessons learned from the workshops for the administrations' performance improvement**

As shown in the summation of the replies to the first question on the specific actions taken, a good number of workshop participants shared their lessons learned and training materials with relevant departments and divisions within their respective administrations through wider use of intranet or organizing cascading in-house workshops. The knowledge and lessons learned should be applied wherever possible to the Member administrations' daily operations since the workshops have provided the participants with abundant knowledge on the international standards as well as other Member administrations' good practice and success models realized through the application thereof.

Replies to this question show the ways of immediate use of the lessons learned in the context of improving efficiency and effectiveness of their operational performance. Those inputs to the Survey 2017, which are of particular interests, include the following good practices:

- Development of the Standard Operational Procedures (SOPs) for cargo management, entry processing, warehousing & inland excise, and export. (Papua New Guinea after the Sub-regional Workshop on Integrity for the Pacific);
- Conduct of an organizational risk assessment by the Internal Audit Division to identify potential high risks/corruption areas within the administration

(Papua New Guinea after the Sub-regional Workshop on Integrity for the Pacific);

- Change in the on-site audit approach from comprehensive audit to “focus audit” in which auditors focus on scrutinizing business account systems, instead of focusing on import declarations and related documents. (Fiji after the Regional Workshop on PCA);
- Conduct of pre-audit survey prior to the field audits. (Tonga after the Regional Workshop on PCA);
- Encouragement of voluntary compliance in accordance with the WCO’s risk-based compliance management pyramid (Samoa after the Regional Workshop on PCA);
- Set-up of new Directorate General of IPR Enforcement (Pakistan after the Train-the-trainer Workshop for the WCO Joint Enforcement Action against Counterfeiting and Piracy);
- Development of an implementation plan to profile and check compliance level of the importers and exporters to grant “fast track” and “green channel” facility (Sri Lanka after the Regional Workshop on Intelligence-led Risk management);
- Application of the Internet of Things (IOT) in general in streamlining and tracking important projects and apply it for our day-to-day works (India after WCO-UNESCAP 3<sup>rd</sup> UNNExt Materclass);
- Integration of the Customs Declaration System (CDS) with our clearance system to make the work process more efficient (Malaysia and Vietnam after the WCO-UPU Joint Customs-Post Workshop);
- Replacement of the existing Automated Recordation and Targeting System (ARTS) for IPR protection with new advanced IPR Recordation Portal (India after the Follow-Up Workshop for the WCO Joint Enforcement Action against Counterfeiting and Piracy);
- Development of product identification sheets/booklets locally with help of stakeholders (Pakistan after the Follow-Up Workshop for the WCO Joint Enforcement

Action against Counterfeiting and Piracy);

- Revision of IPR protection legislation (Laos and Tonga after the Follow-Up Workshop for the WCO Joint Enforcement Action against Counterfeiting and Piracy);
- Conduct of joint company audits with tax division (Fiji after the Regional Workshop on Customs Valuation).
- Re-design of the division of the existing regional laboratories based on the experience gained from the workshop, in particular the shared information on the structure of the Customs laboratories of other Member administrations (China after the Regional Workshop on Laboratories);
- Recommendations to draft revised Customs law regarding chapters on risk management and AEO (Mongolia after the Regional Workshop on Intelligence-led Risk management);
- Outreaching the knowledge gained from the workshop and applied it as much as possible as input or views to be shared with other agencies or ASEAN Member states on Customs trade facilitation, cross-border information for risk management, business process analysis for pre-arrival processing, etc. (Malaysia after WCO-UNESCAP 3<sup>rd</sup> UNNExt Materclass): and
- All of the powers related to cross border movement of illegal flow of arms, precursor chemicals and checking of cash smuggling are entrusted up in the Frontline Corps as well within 20 km of the Pakistan-Afghanistan border. Special teams have been constituted at the international airports. (Pakistan after the Regional Workshop on Security Program).

#### **(4) Observed direct effects realized from the application of lessons learned**

In the wake of the sharing of the workshop materials and application of lessons learned at the administrative level in the operational and institutional context, the workshops have resulted in a series of tangible benefits. The counts of the

replies to this question are shown in the following Table 3.

(Table 3)

WCO Regional Workshops subject to the Survey		Total no. of replies (NB)	Direct effects realized	Direct effects <u>not</u> realized
(1)	WCO Sub-regional Integrity for the Pacific (Jul. 2016)	5	2	3
(2)	WCO Regional Workshop on Non-Intrusive Inspection (Sep. 2016)	12	9	3
(3)	WCO Regional Workshop on Digital Customs and E-Commerce (Sep. 2016)	8	7	1
(4)	WCO Regional Workshop on Post Clearance Audit (Sep. 2016)	19	13	6
(5)	WCO Train-the-trainer Workshop for the WCO Joint Enforcement Action against Counterfeiting and Piracy in the Asia/Pacific Region (Nov. 2016)	13	8	5
(6)	WCO Regional Workshop on Capacity Building of Customs Laboratories for the Revenue Package Program and Trade Facilitation (Nov. 2016)	11	5	6
(7)	WCO Regional Workshop on Intelligence-led Risk Management (Nov. 2016)	7	4	3
(8)	WCO Sub-regional Workshop on Advance Ruling and Origin Certification for ASEAN Member Customs Administrations (Mar. 2017)	3	1	2
(9)	WCO-UNESCAP 3 <sup>rd</sup> UNNExt Materclass: Digital Customs and Single Window in the Context of WTO TFA (Apr. 2017)	13	8	5
(10)	WCO Regional Workshop on Security Program (Apr. 2016)	14	10	4
(11)	WCO-UPU Regional Workshop on Postal Items (May. 2016)	10	7	3
(12)	WCO Follow-Up Workshop for the WCO Joint Enforcement Action	18	12	6



	against Counterfeiting and Piracy in the Asia/Pacific Region (May. 2016)			
(13)	WCO Regional Workshop on Customs Valuation (Jun. 2016)	15	10	5
Total		148	96 (65%)	52 (35%)

(NB) Total numbers of replies to this question do not necessarily equal to the number of replies to this Survey, since some participants did not indicate either yes or no.

65% of the replies indicated that the participants observed direct effects from application of the lessons learned at the managerial and operational levels. Most immediate and prominent tangible results were the increase in the numbers of cases and amount of contraband seizures and additional revenue collection. For example, Maldives Customs reported that, after the participation in the Regional Workshop on NII, they introduced the “red and green” channel supported by better use of x-ray machines at the airport, thus drug seizures were 3 times more than last year. Another dedication of the workshop to the improvement of effectiveness is to enhancing information and experience sharing among the workshop participants. It is quite encouraging to become aware that the workshop participants are keen to learn more from other Member administrations’ good practices through continued dialogue among themselves going beyond the limited time made available during the respective sub-/regional workshops.

On the other hand, 34% of the replies say that there are no observed direct impact for the time being, but several of them explained that it could take more time to realize the effects at the border mainly because the topics covered at the workshops have not been introduced yet or more time is needed for the initiate and matures the usage of the new methodologies and/or practices.

In addition to the above-mentioned numerically measurable effects, i.e. increase in the seizures and additional revenue collection, the Survey shows that the following tangible and direct effects were perceived, among other things:

- Revision of the existing Standard Operational Procedures (SOPs) to ensure

alignment with the WCO guidelines and WTO requirements, thus increased the number of reports of seizures at the border for illegal and prohibited goods (Samoa after the Sub-regional Workshop on Integrity for the Pacific);

- Introduction of “red and green” channel at the airport and more dependence on x-ray. Drug seizures were 3 times more than that of last year. (Maldives after the Regional Workshop on NII);
- Enactment of a new regulation (Finance Ministry Decree) on import of postal goods, which stipulates new measures and technique believed to be contributing to the improvement of efficiency, speed, accuracy, ease of tariff classification and shipment tracking. (Indonesia after the Regional Workshop on Digital Customs and E-Commerce);
- Implementation of the newly improved policies/procedures, thus drastically improved the attitude and behavior of PCA officers, and increased efficiency and effectiveness of our operational performance (Fiji, Sri Lanka and Thailand after the Regional Workshop on PCA);
- Editing some publications as a guide for frontline colleagues (China after the Regional Workshop on Laboratories);
- Development and use of risk profiles and the single trader database to grade the reliability and risk of importers (Hong Kong China after the Regional Workshop on Intelligence-led Risk Management);
- Improvement in the target profiling through enhanced Data analysis, also enabled uniformity and transparent flow of information resulted to faster clearance (Fiji and Pakistan after WCO-UNESCAP 3<sup>rd</sup> UNNExt Materclass);
- Fostering research mind-set before implementing new projects. Certainly, people are now aware of different tools and techniques being shared by the WCO. (India after WCO-UNESCAP 3<sup>rd</sup> UNNExt Materclass);
- Frontline officers understand better how to read the labels of packages for screening and other control measures (Bhutan and Maldives after the WCO-UPU

Joint Customs-Post Workshop);

- Recognition of the importance of IPR protection, which has led to drafting of new IPR regulation (Laos after the Follow-Up Workshop for the WCO Joint Enforcement Action against Counterfeiting and Piracy); and
- Customs Officials have changed their strategy to cope up with the tactics that are being used by business people to undervalue the goods. (Bhutan after the Regional Workshop on Customs Valuation).

## **(5) Perception on the improvement in the work efficiency and effectiveness**

The ROCB A/P asked the workshop participants if they consider that the workshops have contributed or would contribute to the improvement in the efficiency and effectiveness of their administrations' performance. The counts of the replies to this question are shown in the following Table 4.

(Table 4)

WCO Regional Workshops subject to the Survey		Total no. of replies (NB)	Contributed / will contribute	Not contributed/ will not contribute
(1)	WCO Sub-regional Integrity for the Pacific (Jul. 2016)	5	4	1
(2)	WCO Regional Workshop on Non-Intrusive Inspection (Sep. 2016)	12	12	0
(3)	WCO Regional Workshop on Digital Customs and E-Commerce (Sep. 2016)	8	8	0
(4)	WCO Regional Workshop on Post Clearance Audit (Sep. 2016)	19	19	0
(5)	WCO Train-the-trainer Workshop for the WCO Joint Enforcement Action against Counterfeiting and Piracy in the Asia/Pacific Region (Nov. 2016)	13	12	1
(6)	WCO Regional Workshop on Capacity Building of Customs Laboratories for the Revenue	11	10	1

	Package Program and Trade Facilitation (Nov. 2016)			
(7)	WCO Regional Workshop on Intelligence-led Risk Management (Nov. 2016)	7	7	0
(8)	WCO Sub-regional Workshop on Advance Ruling and Origin Certification for ASEAN Member Customs Administrations (Mar. 2017)	3	3	0
(9)	WCO-UNESCAP 3 <sup>rd</sup> UNNExt Materclass: Digital Customs and Single Window in the Context of WTO TFA (Apr. 2017)	13	13	0
(10)	WCO Regional Workshop on Security Program (Apr. 2016)	14	13	1
(11)	WCO-UPU Regional Workshop on Postal Items (May. 2016)	10	10	0
(12)	WCO Follow-Up Workshop for the WCO Joint Enforcement Action against Counterfeiting and Piracy in the Asia/Pacific Region (May. 2016)	18	17	1
(13)	WCO Regional Workshop on Customs Valuation (Jun. 2016)	15	14	0
Total		148	142 (96%)	5 (3%)

(NB) Total numbers of replies to this question do not necessarily equal to the number of replies to this Survey, since some participants did not indicate either yes or no.

There is no one-size-fits-all solution. Having said that, almost all of the replies indicated positive effects of the workshops, which have been realized or could be realized in the near future. Some of the prominent perceived improvements are as follows:

- Reinforced SOPs and anti-corruption policies will enable us to identify potential risk/corrupt areas, and management has to push for all divisions with routine work tasks to do up their Standard Operational Procedures (SOPs). (Papua New Guinea after the Sub-regional Workshop on Integrity for the Pacific);

- Information shared in the workshop serves as a solid platform when studying different NII equipment. (Hong Kong China after the Regional Workshop on NII);
- Risk-based approach has resulted in increasing our efficiency by clearing the consignments with minimum turnaround time and have a proper checks and balance. (India after the Regional Workshop on Digital Customs and E-Commerce);
- Workshop helped us develop, promote and maintain partnership with key stakeholders, most importantly it helped create good working environment within the Customs division and improve level of compliance of taxpayers. (Bhutan after the Regional Workshop on PCA);
- Workshop assisted in identifying gaps and weakness in the PCA system, and provided with solutions to improve PCA, i.e. improve on the pre-requisite for effective PCA; and improve the targeting systems, audit typology and resource management. (Fiji and Vanuatu after the Regional Workshop on PCA);
- Workshop provided an opportunity for improving the network/cooperation among participants/Member administrations on the testing and information sharing (Bhutan, China, Indonesia, Korea and Malaysia after the Regional Workshop on Laboratories);
- Knowledge gained is vital to improve the efficiency and effectiveness of newly established Risk Management Unit (Sri Lanka after the Regional Workshop on Intelligence-led Risk Management);
- With the observation of the other countries' practice, we are able to put clearer target on compliance with international standard (Malaysia after the Sub-regional Workshop on ROO);
- Workshop helped us assess and integrate other relevant agencies' data with our administration data and automate some of business process (Maldives and Pakistan after WCO-UNESCAP 3<sup>rd</sup> UNNExt Materclass); and
- Administrations benefitted in improving client service delivery through targeted screening processing (Bhutan and China after the WCO-UPU Joint Customs-Post Workshop).

## **(6) Modernization projects initiated based on the lessons learned from the workshops**

As stated in the WCO's current Capacity Building Strategy, the WCO or the ROCB A/P does not necessarily supervise the Members' continued reform and modernization efforts and programs. Rather, it relies on the Member administrations' organizational priority and ownership.

The WCO's capacity building assistance programs provide the regional Member administrations with abundant food-for-thought for initiating modernization projects. In this regard, the ROCB A/P is keen to see how the WCO sub-/regional workshops have led to fostering the Members' ownership and self-efforts towards improving institutional work performance and its efficiency and effectiveness. It may not be realized overnight, and it may require drastic revision of the current practices and intensive debate within the administrations concerned in the form of their reform and modernization projects.

In addition to the above question on the realization of direct effects (i.e. 2-(4)), this question focuses on whether the dissemination and application of lessons learned in the operational and institutional context have led to initiating any modernization projects.

The counts of the replies to this question is shown in the following Table 5.

(Table 5)

WCO Regional Workshops subject to the Survey		Total no. of replies (NB)	Project initiated	Project not initiated
(1)	WCO Sub-regional Integrity for the Pacific (Jul. 2016)	5	3	2
(2)	WCO Regional Workshop on Non-Intrusive Inspection (Sep. 2016)	12	9	3
(3)	WCO Regional Workshop on Digital Customs and E-Commerce (Sep. 2016)	8	6	2
(4)	WCO Regional Workshop on Post	19	14	5

	Clearance Audit (Sep. 2016)			
(5)	WCO Train-the-trainer Workshop for the WCO Joint Enforcement Action against Counterfeiting and Piracy in the Asia/Pacific Region (Nov. 2016)	13	6	7
(6)	WCO Regional Workshop on Capacity Building of Customs Laboratories for the Revenue Package Program and Trade Facilitation (Nov. 2016)	11	8	3
(7)	WCO Regional Workshop on Intelligence-led Risk Management (Nov. 2016)	7	5	2
(8)	WCO Sub-regional Workshop on Advance Ruling and Origin Certification for ASEAN Member Customs Administrations (Mar. 2017)	3	2	1
(9)	WCO-UNESCAP 3 <sup>rd</sup> UNNExt Materclass: Digital Customs and Single Window in the Context of WTO TFA (Apr. 2017)	13	11	2
(10)	WCO Regional Workshop on Security Program (Apr. 2016)	14	10	5
(11)	WCO-UPU Regional Workshop on Postal Items (May. 2016)	10	7	3
(12)	WCO Follow-Up Workshop for the WCO Joint Enforcement Action against Counterfeiting and Piracy in the Asia/Pacific Region (May. 2016)	18	10	8
(13)	WCO Regional Workshop on Customs Valuation (Jun. 2016)	15	5	10
Total		148	96 (65%)	53 (36 %)

(NB) Total numbers of replies to this question do not necessarily equal to the number of replies to this Survey, since some participants did not indicate either yes or no, and there were plural participants took part from some administrations.

For the purpose of this Follow-Up Action Survey, the ROCB A/P did not specify the definition of the “modernization projects” in a strict term, but as a common sense, it can be described rather institutional engagement work towards future amelioration of the current systems and regime with short- and mid-term

projections. In fact, launching of new modernization projects require internal coordination and discussion, along with budgetary allocation, which may require time and high-level political support.

As for the Survey 2017, 65% of the replies confirmed that the participation in the workshop and subsequent recommendations have resulted in initiating such modernization projects. These modernization projects may not be new initiatives, but the lessons learned from the workshops could complement on-going reform and modernization projects as a matter of course.

Below is a showcase of some of the indicated modernization projects newly initiated and/or on-going projects being complemented with the lessons learned from the workshops:

- Procurement of new x-ray machines and/or hand-held narcotics analyzers applying the lessons learned from the Workshop (Malaysia, Maldives, New Zealand, Samoa and Tonga after the Regional Workshop on NII);
- Consolidating stakeholders to draft regulation in order to properly arrange framework for institutional strengthening, particularly competence of other Government Agencies related to cross border digital trade (Indonesia after the Regional Workshop on Digital Customs and E-Commerce);
- Creation of new PCA Unit (Bhutan and Iran Drafting after the Regional Workshop on PCA);
- Development of training programs and conduct of workshops thereof for auditors and other officers who could be deployed to PCA section (Fiji after the Regional Workshop on PCA);
- Development of segmentation of traders matrix based on its impact to national interest (x-axis) and compliance level (y-axis) for the goals of: increase audit coverage ration; increasing accuracy of audit target; increasing the effectivity of treatment taken for high, medium and low risk trader; equalization of task in each Customs division; and minimize compliance cost. (Indonesia after the Regional Workshop on PCA);



- Drafting of the PCA manual or Standard Operational Procedures (SOPs) (Myanmar and Vanuatu after the Regional Workshop on PCA);
- Initiation of the Data Warehousing Project (Samoa after the Regional Workshop on PCA);
- Development of the IPR database, consists of right holder contact address, pattern or picture for identify counterfeit goods (Thailand and Fiji after the Train-the-trainer Workshop for the WCO Joint Enforcement Action against Counterfeiting and Piracy);
- Establishment of an IPR Regulation Revision Working Group to revise and draft new IPR regulation (Laos after the Train-the-trainer Workshop for the WCO Joint Enforcement Action against Counterfeiting and Piracy);
- Installation of An Anti-Smuggling Intelligence System for risk profiling of baggage goods and containerized cargo based on their routes, countries of origin, destination and other relevant information (Thailand after the Train-the-trainer Workshop for the WCO Joint Enforcement Action against Counterfeiting and Piracy);
- Improvement in lab management system according to ISO 17025 (Nepal after the Regional Workshop on Laboratories);
- Provision of information about the method of laboratory analysis, case studies of goods analysis techniques, and HS and chemical aspect with focus on the impact of HS2017 Amendments via website (Thailand after the Regional Workshop on Laboratories);
- Discussion on a big data system to better manage risks of different commodities, although it is still in discussion phase (Hong Kong China after the Regional Workshop on Intelligence-led Risk Management);
- Installation of a new profiling computer system that will help analyze collected huge data in order to improve effectiveness and efficiency in profiling risk matter (Thailand after the Regional Workshop on Intelligence-led Risk management);
- Improvement to digital system is under the planning to develop and fully

automate Customs manual process, including e-payment, message transmission on the authorization for cargo containers to be released from wharf (Fiji after WCO-UNESCAP 3<sup>rd</sup> UNNExt Materclass);

- Upgrading of the “hands-on simulated training” for the supporting staff, and detailed digital handbooks are being prepared for providing guidance to field formations. Also, started using cloud computing, IOTs, etc. for collecting data from the field all over the country (India after WCO-UNESCAP 3<sup>rd</sup> UNNExt Materclass);
- Integration of electronic air cargo manifest data from cargo agents and airlines (Maldives after WCO-UNESCAP 3<sup>rd</sup> UNNExt Materclass);
- Installation of the CEN and nCEN so that information will be made available to Investigation Officers with indicators and reasons thereof (Fiji after the Regional Workshop on Security Program);
- Computerization program had been stepped up, additional x-ray machines at seaports and airports had been installed (Philippines and Papua New Guinea after the Regional Workshop on Security Program);
- In the process of developing API/PNR system (Pakistan after the Regional Workshop on Security program);
- Study on the possibilities of implementing the Customs Declaration System (CDS) or else incorporating the CDS in the upcoming or new Customs systems (Bhutan, Malaysia, Maldives and Vietnam after the WCO-UPU Joint Customs-Post Workshop);
- Incorporation of the Right Holders’ Recordation System in the ASUCUDA World with new IPR rules (Bangladesh after the Follow-Up Workshop for the WCO Joint Enforcement Action against Counterfeiting and Piracy);
- Creation of a post on the Customs homepage in English with a view to promoting the traders’ registration of their IPR with Customs. (Mongolia after the Follow-Up Workshop for the WCO Joint Enforcement Action against Counterfeiting and Piracy);

- Plan to develop IPR data system (Vietnam after the Follow-Up Workshop for the WCO Joint Enforcement Action against Counterfeiting and Piracy);
- Publishing of Technical Services Bulletin regarding the Transfer Pricing Documentation in customs valuation (Malaysia after the WCO-UPU Joint Customs-Post Workshop).

### **3. General observation by the ROCB A/P**

As seen in the above summation, it is clear that the workshop participants brought an abundance of information and lessons-learned back home and nicely institutionalized the knowledge by sharing them with the right persons/divisions for their attention and practical application thereof through various means, for example in-house briefing workshops or use of intranet, rather than withholding the knowledge for their own. Indeed, the impact from the participants' follow-up actions showed that the potential of application of these learns learned are huge and they should not be underestimated. As the analysis on the aforementioned summations of the sections 2-(2) and 2-(4) suggests, we may say that the larger number of the colleagues were informed of the workshop materials, the more direct effects may be accrued. Likewise, the Member administrations, which organized in-house cascade workshops opt for initiating more modernization projects. Therefore, in order to further optimize the effectiveness of the WCO's capacity building assistance programs, the ROCB A/P shall continue to encourage the workshop participants to consider exercising these good practices as appropriate. The ROCB A/P believes that participation of the right persons to the workshop with clear objectives and mid-set, the ownership and commitment of the respective workshop participants and continued dialogue are the keys for harvesting the good fruits from the collective efforts towards Customs reform and modernization. At the same time, the ROCB A/P considers that this survey exercise provide the WCO and the ROCB A/P with quite a good snapshot of on-going reform and modernization efforts made at the respective member administrations in the A/P region, thus supporting us to fulfill our tasks.

The ROCB A/P is going to continue this initiative to optimize the value of the regional capacity building assistance programs in cooperation with the WCO Secretariat and other development partners.

For questions and comments to this Good Practice report and/or the Follow-Up Actions Survey, please feel free to write to Mr. Kazunari Igarashi, Head of the ROCB A/P, by e-mail at [igarashi@rocbap.org](mailto:igarashi@rocbap.org).

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## ROCB A/P Questionnaire on the Follow-Up Actions taken after the participation in the WCO Regional Workshop

Event subject to survey:	
Conducted Date and venue of the Workshop:	
Participated Members: (- i.e. The administrations the replies are being sought)	

(Notes)

1. *This Questionnaire is intended to collect pertinent information on the follow-up actions taken at your home administrations in the wake of the participation in the captioned Regional Workshop. Please kindly provide us with your inputs/information on the follow-up actions taken after the Workshop and up till today.*
2. *This questionnaire is never intended to evaluate and/or criticise any of reporting or recommendations you have made, but this is rather to take a sort of snapshot of impact of the technical cooperation, which the ROCB A/P has initiated in cooperation with the WCO secretariat.*

**Please return this questionnaire to:**  
[xxxx@rocbap.org](mailto:xxxx@rocbap.org)  
**by no later than dd mm 2016**

Responding administration	
Name and contact e-mail address of Responder (i.e. Workshop participant)	(Name of responder/Workshop participant)
	(E-mail address)

Q1	After you have come back from the Workshop, what specific follow-up actions you have done up till today?	<p>(Please tick applicable answer(s) and/or fill in additional information, as appropriate)</p> <p><input type="checkbox"/> Circulated/shared training materials with colleagues (Please specify the number of colleagues with whom you shared the training materials.)</p> <p><input type="checkbox"/> Submitted a mission report to superiors</p> <p><input type="checkbox"/> Made some recommendations to management officials for consideration</p> <p><input type="checkbox"/> Organized an in-house workshop to cascade-down lessons learned</p> <p><input type="checkbox"/> Developed/updated operation manuals, etc.</p> <p><input type="checkbox"/> Others (Please describe below)</p>
Q1bis	In case you have circulated/shared training materials you have brought back, how many of your colleagues have learned from them?	(Please estimate approximate number)

<p>Q2 How the lessons learned at the Workshop are being utilized at your administration in general?</p>	<p>(Please briefly describe)</p>
<p>Q3 Have you observed any direct effects realized from the application of techniques acquired/shared with frontline colleagues (e.g. change of management approach, seizures at the border)?</p>	<p><input type="checkbox"/> Yes (please briefly describe the effects realized, where possible)</p> <p><input type="checkbox"/> No</p>
<p>Q4 Do you consider that the Workshop has contributed or will contribute to improve efficiency/effectiveness of your administration's work?</p>	<p><input type="checkbox"/> Yes (Please briefly describe "how" contributed /will contribute)</p> <p><input type="checkbox"/> No (Please briefly describe)</p>
<p>Q5 As a result of the Workshop and lessons learned, has any new modernization project initiated at your administration level?</p>	<p><input type="checkbox"/> Yes (please briefly describe the project(s) initiated, where possible)</p> <p><input type="checkbox"/> No</p>

Thank you for your cooperation

ROCB A/P