No. 18

ROCB A/P
Customs Good Practice Report
on

Exemplifying Follow-Up Actions taken after the WCO Regional Workshops organized in FY 2017/18

March 2019

CONTENTS

Foreword by the ROCB A/P

The ROCB A/P's Terms of Reference includes the evaluation of the progress of the A/P Members at regular intervals for the purpose of monitoring the regional 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 to evaluate the effects realized in the wake of the organization of the regional workshops in the FY2014/15. In addition, the A/P Regional Strategic Plan for 2018-2020 added a task for the ROCB A/P to evaluate the impact of capacity building activities through follow-up surveys.

This Good Practice Report provides the summation of the fourth round of the Follow-Up Action Survey on the WCO A/P sub-/regional workshops organized in the FY2017/18 and showcases several exemplified follow-up actions and remarkable effects realized from the application of the lessons learned. It is strongly hoped that the Member administrations are continuously inspired from those exemplifying follow-up actions and recognize the value of the WCO's capacity building assistance programs as well as the participants' practical recommendations, which their respective workshop participants may create synergy with the on-going reform and modernization initiatives for their own sake.

March 2019

Kazunari Igarashi
Head of the ROCB A/P

Executive Summary

In the FY2017/18 (July 2017 – June 2018), the ROCB A/P organized a total of 11 sub-/regional workshops, excluding the accreditation workshops, and these 11 workshops were subject to the fourth round of the Follow-Up Action Survey in 2018. 6 months after the respective workshops (hereinafter referred to as "the Survey 2018").

The rate of reply to the Survey 2018 was 62% and it has increased drastically from the previous rounds (28% in 2015, 47% in 2016 and 57% in 2017). It could attribute to continued awareness-raising of the need for workshop follow-up actions and gentle encouragement made to the workshop participants.

The Survey 2018 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 again found that not all participants filed their reports to their managers, or shared workshop materials.   The ROCB A/P strongly recommends that the Member administration should require the workshop participants to submit their reports to the managers and/or share the workshop materials with colleagues in the relevant departments/sections in the right time manner as the minimal follow-up action in context of institutionalizing the lessons learned.   Quite a good number of replies told that participants organized in-house workshops to disseminate their lessons learned and discuss particular recommendations aiming for the operational amelioration.

64% of the replies indicated that the participants observed direct effects from the application of the lessons learned at the tactical and operational levels in 2018. The ratio is almost the same level in the Survey 2017, which was 65%.   Most immediate and prominent tangible results were the increase in the seizure cases and additional revenue collection.   On the other hand, 34% of the replies indicate 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 of the new

methodologies and/or practices and get familiarized with its application at the frontline.

<u>57% of the replies indicated that the application of the lessons learned from the workshop organized in FY2017/18 have resulted in initiating modernization projects</u>.   These replies do not necessarily mean new projects, but these figures include the cases of complemented on-going reform and modernization projects as well.

Some analyses were conducted on the linkage between the follow-up actions and the realization of direct effects as well as the initiation of new projects.   <u>The analyses indicate that these tangible results may attribute to the sharing of the lessons learned and/or the provision of specific recommendations</u>, which were inspired in the respective sub-/regional workshops.

1. Introduction

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 afore-mentioned tasks.   Given the limited financial and human resources to accommodate growing needs for capacity building assistance, the WCO and the ROCB A/P prioritize the Members' needs and deliver the relevant regional capacity building programs on these prioritized topics and continuously make efforts to design high-quality workshop programs by 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 sharing 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 (the Follow-Up Action Survey)" for the sub-/regional workshops organized in the FY2014/15. The ROCB A/P sent a questionnaire template, which is appended to this Report, to all of the workshop participants 6 months after the respective workshops. Since then, the Follow-Up Action Survey has been continuously conducted.   The Follow-Up Action Survey intends 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 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 has been 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.

2. Summation of the replies/inputs to the ROCB A/P's Survey 2018

(1) Responses to the Survey

In the FY2017/18, the ROCB A/P organized a total of 11 sub-/regional workshops, excluding the accreditation workshops, and they are subject to the fourth round of the Follow-Up Action Survey in 2018 (Hereinafter referred to as "The Survey 2018").   The ROCB A/P circulated questionnaires to all of the workshop participants approximately 6 months after the respective sub-/regional workshops were organized and gave them some 3 weeks for their reply.   Titles of the surveyed WCO sub-/regional workshops, the numbers of the participated administrations and the replies to it, are shown in the following Table 1.

(Table 1) Numbers of participated administrations and survey replies

WCO Sub-/Regional Workshops		No. of participated administrations	No. of replies
(1)	WCO Regional Workshop on Small Arms and Light Weapons (Jul. 2017)	25	7
(2)	WCO Regional Workshop on Trade facilitation Agreement (Nov. 2017)	22	14
(3)	WCO Regional Workshop on Cyber Investigation and Digital Forensics (Nov. 2017)	23	14
(4)	WCO Sub regional Workshop on Combating Counterfeit and Piracy for the Pacific (Dec. 2017)	5	4
(5)	WCO Regional Workshop on Risk Management and Post-Seizure Analysis (Dec. 2017)	25	20

(6)	WCO Regional Workshop on AEO and Mutual Recognition Agreements/Arrangements (Feb. 2018)	19	16
(7)	WCO Regional Workshop on Anti-Money Laundering and Terrorist Financing (Mar. 2018)	25	13
(8)	WCO Regional Workshop on Customs Laboratory (Apr. 2018)	22	17
(9)	WCO Regional Workshop on Human Resource Development (Apr. 2018)	24	15
(10)	WCO Regional Workshop on Environment Program (Apr. 2018)	20	10
(11)	WCO Regional Workshop on Compliance and Enforcement Package (Jun. 2018)	23	15
	Total	233	145 (62 %)

(a) 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 FY2017/18. Furthermore, in an attempt to collect more replies to the Survey, the ROCB A/P sent reminding messages as the due dates have come closer. Because of these continued awareness-raising actions, the rate of replies to the Survey 2018 reached to 62%, which is much higher than those in the previous Surveys (28% in 2015, 47% in 2016, and 57% in 2017).

(b) 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) Specific Actions taken by the participants after the workshops

(NB)	Shared Training materials	Submitted reports	Made Recommen dations	Organized in-house workshop	Developed operational manuals	Others
(1)	4	7	5	3	1	1
(2)	8	12	8	5	2	3
(3)	9	9	7	2	4	4
(4)	3	3	3	3	0	2
(5)	16	16	13	7	2	4
(6)	11	11	10	3	6	8
(7)	12	11	8	5	0	1
(8)	14	15	11	6	3	5
(9)	12	12	10	6	4	4
(10)	8	8	6	0	0	1
(11)	12	14	9	4	3	7
Total	109	118	90	44	25	40

(NB) Sequential numberings of Regional Workshops shown correspondent to the numberings in the Table 1.

The Survey showed that the most common follow-up actions are the submission of their reports to their management, followed by the sharing of distributed training materials with their colleagues at the relevant departments/divisions.

  "Others" include outreaching activities as well as knowledge sharing with other government agencies and the private sector, thus contributed to the amendment

of relevant laws and regulations to align with learned good practices.   Some of the "other" prominent follow-up actions taken are as follows:

➢ Liaised with other enforcement agencies, e.g. police, by sharing of information with regard to small arms (Tonga after the Regional Workshop on Small Arms and Light Weapons);

➢ Initiated a feedback mechanism as well as filing of AEO application and its initial scrutiny to make them more facilitative and contribute towards toward ease of doing business for applicants spread all across the country.   (India after the Regional Workshop on Trade facilitation Agreement);

➢ Conducted a gap analysis and shared the finding with the Ministry of Economic Development, responsible for notification (Maldives after the Regional Workshop on Trade facilitation Agreement);

➢ Added hard copy of the training materials to the Customs Laboratory library (Sri Lanka after the Regional Workshop on Customs Laboratory);

➢ Participated in the process for the accreditation of ISO17025:2017 of the Revenue Laboratory (India after the Regional Workshop on Customs laboratory);

➢ Building more e-learning programs for human resource development (Indonesia after the Regional Workshop on Human Resource Development); and

➢ Discussed the transformation of customs control paradigm regarding smuggling to pay more attention to trade-based money laundering and amending existing Customs law to this end (Indonesia after the Regional Workshop on Compliance and Enforcement Package).

(a) Use of intranet to disseminate workshop materials

The WCO workshops are organized in a paperless fashion, and distribution of relevant workshop materials are made via CLiKC! platform.   Training materials in electronic files can be easily shared, especially by using intranet or common drive file, thus make 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 individual user ID and password of CLIKC! prior to their participation in the workshop. It also enabled the workshop organizers to ask the participants to undergo CLiKC! E-leaning modules on the pertinent topics to increase basic knowledge of the workshop topics prior to their participation.

(b) In-house workshops to share lessons learned from the Workshops

It is pleasant to observe that more Member administrations organized in-house workshops to disseminate their lessons learned, including the other administrations' good practices, and discuss specific recommendations for their operational amelioration. The Survey 2018 shows that 23 participated Member administrations organized in-house cascading workshops after the participation in the sub-/regional workshops. The number is the highest in the last 4 years. Below Table 3 shows those participated Members organized in-house cascading workshops over the last 4 years.

(Table 3) Transition of the numbers of organized in-house cascading workshops

	FY2014/15	FY2015/16	FY2016/17	FY2017/18
Number of in-house cascading workshops organized	10	42	47	44
Member administrations[1] organized the in-house cascading workshops	KH, IN, MY, MN, PK, TO (6)	AF, BD, BT, KH, CN, FJ, HK, IN, MY, MV, MM, PK, WS, SG, LK, TH, TO, VU (18)	BT, KH, CN, FJ, IN, ID, MY, MV, MN, MM, NP, NZ, PK, WS, LK, TH, TL, TO, VU (19)	AF, AU, BD, BT, CN, FJ, HK, IN, ID, IR, JP, MY, MN, NP, PK, PG, WS, SG, LK, TH, TO, VU, VN (23)

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[1] For the purpose of saving spaces, Member administrations are indicated with the ISO Alpha-2 codes as shown in the Appendix 2.

It is also worth mentioning that these administrations organized the in-house brought more positive results, in terms of realizing direct effects and initiating modernization projects.   Please see below Section 2-(4) and Table 5, as well as Section 2-(6) and Table 8 respectively.

(c)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, rather than merely reporting what they have learned from the workshops.   It is fair to presume that quite a good number of specific recommendations have led to realizing direct effects and/or initiating modernization projects.   In FY2017/18, out of 90 replies of submitting recommendations, 56 replies somewhat led to the initiation of projects.   As shown in below Section 2-(6) and Table 8, pragmatic recommendations might have provided the management officials with some concrete ideas for possible improvement in their daily business.

(ROCB A/P's Recommendation)
Member administrations should set forth minimum requirements of follow-up actions for the workshop participants

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 with colleagues in a timely manner.   As repeatedly stressed, the lessons learned should be institutionalized, not be withheld by the participants by 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 represent their administrations and expected to play the role of trainers and rapporteurs once they are back to home administrations.   Otherwise, there is no chance to realize the anticipated effects.   The ROCB A/P therefore strongly

recommends that the Member administrations should require the workshop participants to submit their reports to the managers and/or share workshop materials with colleagues at the relevant departments/sections in the right time manner as the minimal follow-up actions, in context of institutionalize 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 follow-up 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.   These lessons learned are commonly used for raising awareness of both management and frontline officials to the mounting importance of the workshop subjects and reproduced for the internal training purposes.   Generally, speaking, it appears that the way of applying lessons learned may be categorized into 2 aspects by its objectives and effects: namely (a) operational improvement; and (b) strategic empowerment.

(a) Application for operational improvement

➢ Reference for the internal training modules regarding restricted and prohibited goods related to terrorism. (Indonesia after the Regional Workshop on Small Arms and Light Weapons);

➢ Revision and/or re-drafting policy and procedures for digital forensics

(Australia, India, Indonesia and Malaysia after the Regional Workshop on Cyber Investigation and Digital Forensics);

➢ Enhancement of screening and targeting methodologies (Papua New Guinea and Vanuatu after the Sub-regional Workshop on Combating Counterfeit and Piracy for the Pacific);

➢ Formation of new PCA Unit and/or Intelligence Unit (Bhutan and Mongolia after the Regional Workshop on Risk Management and Post Seizure Analysis);

➢ Revision of existing concepts and process for risk management (Cambodia, India, Maldives and Thailand after the Regional Workshop on Risk Management and Post Seizure Analysis);

➢ Expansion of the existing AEO program (The Union of Myanmar after the Regional Workshop on AEO and Mutual Recognition Arrangements);

➢ Improvement in structure of investigative teams tasked with tackling trade-based money laundering and illicit financial flow (Australia after the Regional Workshop on Anti-Money Laundering and Terrorist Financing);

➢ Increased training on the border cash reporting process as well as enforcement activities for cash smugglers (New Zealand after the Regional Workshop on Anti-Money Laundering and Terrorist Financing);

➢ Upgrading equipment and library archives at the laboratory (Pakistan and Sri Lanka after the Regional Workshop on Capacity Building of Customs Laboratories); and

➢ Further use of CEN platform is being considered to enhance current intelligence and operational activities (Australia after the Regional Workshop on Compliance and Enforcement Package).

(b) Application for strategic empowerment

➢ Reflection into the new Customs law (Bhutan after the Regional Workshop on Trade Facilitation Agreement);

➢ Establishment of responsible body for Customs trade facilitation and/or

development of action plan for the implementation of TFA (Lao PDR and Mongolia after the Regional Workshop on Trade Facilitation Agreement);

➢ Incorporation of the other Members' experiences and practices into the benchmarking studies (Philippines after the Regional Workshop on Risk Management and Post Seizure Analysis);

➢ Drafting and/or enacting Customs laws and regulations to introduce Authorized Economic Operators Program or Trusted Traders Program (Fiji, Mongolia, Nepal, Pakistan, Sri Lanka and Vietnam after the Regional Workshop on AEO and Mutual Recognition Arrangements):

➢ Conducted international benchmarking (Australia after the Regional Workshop on AEO and Mutual Recognition Arrangements);

➢ Enhancement of workforce planning model to build improved investigative capability (Australia after the Regional Workshop on Anti-Money Laundering and Terrorist Financing);

➢ Continued exercise for ISO17025:2017 accreditation of laboratories (India after the Regional Workshop on Capacity Building of Customs Laboratories);

➢ Mandatory completion of CLiKC! e-learning courses for all Customs officers (Bhutan after the Regional Workshop on Human Resource Development);

➢ Restructured training and human resource management system (Fiji, India and Thailand after the Regional Workshop on Human Resource Development);

➢ Working on current clearance system to identify if we can create something similar to the WCO Container targeting System (Fiji after the Regional Workshop on Compliance and Enforcement Package); and

➢ Reinforcement of current policies and framework in place, such as the Compliance Framework, Integrity Framework and Enterprise Risk Management Framework (Samoa after the Regional Workshop on Compliance and Enforcement Package).

(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 to the frontline work in the operational and institutional contexts, the workshop participants observed series of direct effects.　The counts of the replies to this question are shown in the following Table 4.

(Table 4) Direct effects realized from the application of lessons learned

	WCO Sub-/Regional Workshops	Total no. of replies (NB)	Yes	No
(1)	WCO Regional Workshop on Small Arms and Light Weapons (Jul. 2017)	7	6	1
(2)	WCO Regional Workshop on Trade facilitation Agreement (Nov. 2017)	14	8	5
(3)	WCO Regional Workshop on Cyber Investigation and Digital Forensics (Nov. 2017)	14	8	6
(4)	WCO Sub-regional Workshop on Combating Counterfeit and Piracy for the Pacific (Dec. 2017)	4	4	0
(5)	WCO Regional Workshop on Risk Management and Post-Seizure Analysis (Dec. 2017)	20	13	7
(6)	WCO Regional Workshop on AEO and Mutual Recognition Agreements/Arrangements (Feb. 2018)	16	7	9
(7)	WCO Regional Workshop on Anti-Money Laundering and Terrorist Financing (Mar. 2018)	13	10	3
(8)	WCO Regional Workshop on Customs Laboratory (Apr. 2018)	17	12	5
(9)	WCO Regional Workshop on Human Resource Development (Apr. 2018)	15	7	7
(10)	WCO Regional Workshop on Environment Program (Apr. 2018)	10	6	4
(11)	WCO Regional Workshop on	15	12	3

Compliance and Enforcement Package (Jun. 2018)			
Total	145	93 (64%)	50 (34%)

(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.

64% of the replies indicated that the participants observed direct effects from application of the lessons learned at both the managerial and operational levels. 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 to initiate and/or familiarize with the application of the new methodologies and/or practices.

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, Indonesia Customs reported that, after the participation in the Regional Workshop on Small Arms and Light Weapons, the application of control techniques has resulted in seizure of 194 pieces of SALW and explosives in 2017, which was a big increase from 63 pieces seized in the previous year.   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:

➢ AEO Mutual Recognition Arrangements with Korea and China are agreed and ready for signing (Mongolia after the Regional Workshop on AEO and Mutual Recognition Arrangement);

➢ Established Anti-Money Laundering and Terrorism Financing Group under Director General of Customs (Mongolia after the Regional Workshop on Anti-Money Laundering and Terrorist Financing);

➢ Enhanced passenger and baggage monitoring and scanning system deterred gold and cash smuggling through airport (Bhutan after the Regional Workshop on Anti-Money Laundering and Terrorist Financing);

➢ Upgrading existing human resource practices towards more competency-based assessment with the respective officers' frontline work performances (Fiji, Tonga and Vietnam after the Regional Workshop on Human Resource Development);

➢ Equipped with how to detect fraud, gather information and apply controlled delivery techniques (Bhutan after the Regional Workshop on Compliance and Enforcement Package); and

➢ Changes in the Customs Rules and Regulations, issuance of Post Clearance Audit manual and Guidelines (India after the Regional Workshop on Compliance and Enforcement Package).

(Analysis) Essentials for realizing direct impacts from the application of lessons learned

An analysis on the correlation between the realization of direct effects and the follow-up actions taken in the wake of the respective regional workshops shows that sharing materials and conduct of in-house are essential. 82% of the 93 replies to the realization of direct effects attribute to the sharing of workshop materials with relevant colleagues and/or organization of in-house cascading workshops . In-house cascading workshop is regarded as one of the most effective ways to share workshop materials with colleagues, and 70% of the replies to such conducts indicate the realization of direct effects as well. Please refer the correlation in the following Table 5 for this analysis.

(Table 5) Correlation between the follow-up actions and the realization of direct effects

WCO Sub-/Regional Workshops		Member participants[2] shared workshop materials	Member participants organized in-house cascade workshop	Member participants indicated direct effects realized
(1)	WCO Regional Workshop on Small Arms and Light	BD, ID, MY,	BD, ID, TO	BD, ID, FJ,

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[2] For the purpose of saving spaces, Member administrations are indicated with the ISO Alpha-2 codes as shown in the Appendix 2

	Weapons (Jul. 2017)	TO		MY, TO, NP
(2)	WCO Regional Workshop on Trade facilitation Agreement (Nov. 2017)	BD, BT, ID, JP, LA, LK, MY, TO	BT, LK, MN, MY, PK	BD, JP, LK, MV, MY, PK, TH, TO
(3)	WCO Regional Workshop on Cyber Investigation and Digital Forensics (Nov. 2017)	AU, CN, ID, JP, LK, TH, VN, VU, WS	JP, PK	CN, IN, JP, LK, MY, PK, VU, WS
(4)	WCO Sub-regional Workshop on Combating Counterfeit and Piracy for the Pacific (Dec. 2017)	PG, WS, VU	FJ, PG, VU	FJ, PG, WS, VU
(5)	WCO Regional Workshop on Risk Management and Post-Seizure Analysis (Dec. 2017)	AF, BD, BT, CN, FJ, IN, IR, JP, MV, MN, PK, PH, SG, LK, TH, VU	AF, BD, FJ, IN, IR, MN, SG	BD, BT, CN, IN, IR, JP, LA, PK, PG, LK, TH, VU, VN
(6)	WCO Regional Workshop on AEO and Mutual Recognition Agreements/Arrangements (Feb. 2018)	BT, CN, PK, TH, NP, LK, FJ, MY, AU, MN, MV	NP, FJ, LK	PG, MN, FJ, LA, TH, LK, MY
(7)	WCO Regional Workshop on Anti-Money Laundering and Terrorist Financing (Mar. 2018)	AU, BT, FJ, IN, ID, JP, LA, MV, MN, MM, NZ, WS	AU, BT, HK, IN, ID	AU, BT, FJ, HK, IN, JP, LA, MN, NZ, WS
(8)	WCO Regional Workshop on Customs Laboratory (Apr. 2018)	ID, LK, JP, TH, PK, NP, BT, CN, IR, KR, MV, AF, WS, MY	LK, TH, PK, CN, IR, WS	ID, JP, TH, PK, NP, BT, CN, IR, KR, AF, WS, MY
(9)	WCO Regional Workshop on Human Resource Development (Apr. 2018)	BT, CN, FJ, IN, ID, MY, NP, PK, LK, TH, TO, VN	BT, FJ, NP, LK, TO, VN	CN, FJ, IN, PG, LK, TO, VN
(10)	WCO Regional Workshop on Environment Program (Apr. 2018)	AF, BD, BT, KH, MY, MM, PG, LK	-	AF, KH, IN, IR, MM, LK

(11)	WCO Regional Workshop on Compliance and Enforcement Package (Jun. 2018)	AF, AU, BD, BT, FJ, HK, IN, ID, MM, TH, VN, WS	BT, FJ, IN, WS	AF, BD, BT, FJ, IN, ID, MM, PG, PH, TH, VN, WS
	Total	109	44	93
	Numbers and ratios of respective actions presumably led to realizing direct effects (i.e. underlined)	73 (67%)	31 (70%)	
	Number and ratio presumably attributed to materials sharing and/or in-house cascade workshops (i.e. underlined)			76 (82%)

(NB) Underlined Members in the columns of shared materials and organized in-house workshop indicate those realized direct effects

(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 6.

(Table 6) Contribution to the improvement in the efficiency and effectiveness of performance

	WCO Sub-/Regional Workshops	Total no. of replies (NB)	Yes	No
(1)	WCO Regional Workshop on Small Arms and Light Weapons (Jul. 2017)	7	6	0
(2)	WCO Regional Workshop on Trade facilitation Agreement (Nov. 2017)	14	14	0
(3)	WCO Regional Workshop on Cyber Investigation and Digital Forensics (Nov. 2017)	14	13	1
(4)	WCO Sub regional Workshop on Combating Counterfeit and Piracy for the Pacific (Dec. 2017)	4	4	0

(5)	WCO Regional Workshop on Risk Management and Post-Seizure Analysis (Dec. 2017)	20	19	0
(6)	WCO Regional Workshop on AEO and Mutual Recognition Agreements/Arrangements (Feb. 2018)	16	16	0
(7)	WCO Regional Workshop on Anti-Money Laundering and Terrorist Financing (Mar. 2018)	13	12	0
(8)	WCO Regional Workshop on Customs Laboratory (Apr. 2018)	17	17	0
(9)	WCO Regional Workshop on Human Resource Development (Apr. 2018)	15	15	0
(10)	WCO Regional Workshop on Environment Program (Apr. 2018)	10	10	0
(11)	WCO Regional Workshop on Compliance and Enforcement Package (Jun. 2018)	15	15	0
Total		145	141 (97%)	1 (1%)

(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.

(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.

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.   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.

The counts of the replies to this question is shown in the following Table 7.

(Table 7) Initiation of new modernization projects

	WCO Sub-/Regional Workshops	Total no. of replies (NB)	Yes	No
(1)	WCO Regional Workshop on Small Arms and Light Weapons (Jul. 2017)	7	4	2
(2)	WCO Regional Workshop on Trade facilitation Agreement (Nov. 2017)	14	8	5
(3)	WCO Regional Workshop on Cyber Investigation and Digital Forensics (Nov. 2017)	14	2	12
(4)	WCO Sub-regional Workshop on Combating Counterfeit and Piracy for	4	2	2

	the Pacific (Dec. 2017)			
(5)	WCO Regional Workshop on Risk Management and Post-Seizure Analysis (Dec. 2017)	20	11	9
(6)	WCO Regional Workshop on AEO and Mutual Recognition Agreements/Arrangements (Feb. 2018)	16	11	5
(7)	WCO Regional Workshop on Anti-Money Laundering and Terrorist Financing (Mar. 2018)	13	8	6
(8)	WCO Regional Workshop on Customs Laboratory (Apr. 2018)	17	14	3
(9)	WCO Regional Workshop on Human Resource Development (Apr. 2018)	15	7	8
(10)	WCO Regional Workshop on Environment Program (Apr. 2018)	10	6	4
(11)	WCO Regional Workshop on Compliance and Enforcement Package (Jun. 2018)	15	10	5
	Total	145	83 (57%)	61 (42%)

(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.

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 to detect small arms and light weapons (Fiji and Tonga after the Regional Workshop on Small Arms and Light Weapons);

➢ Introduction and/or expansion of AEO / trusted traders' program (Bangladesh, Bhutan, Malaysia and Tonga after the Regional Workshop on Trade Facilitation Agreement / Cambodia, Fiji, Lao PDR, Nepal and Pakistan after the Regional Workshop on Trade Facilitation Agreement);

➢ Conduct of Time Release Studies (Sri Lanka and Tonga after the Regional Workshop on Trade Facilitation Agreement);

- Set-up of new and more cyber forensics laboratories across the country (India after the Regional Workshop on Cyber Investigation and Digital Forensics);

- Application of artificial intelligence and big data in risk management (China after the Regional Workshop on Risk Management and Post Seizure Analysis);

- Establishment of a National Intelligence and Targeting Center (Lao PDR, Sri Lanka and Thailand after the Regional Workshop on Risk Management and Post Seizure Analysis);

- Development of a risk management system for transit trade clearance (Pakistan after the Regional Workshop on Risk Management and Post Seizure Analysis);

- Revising Customs laws for empowerment (Australia and Lao PDR after the Regional Workshop on Anti-Money Laundering and Terrorist Financing);

- Joint exercise against trade-based money laundering (Australia, Fiji and Samoa after the Regional Workshop on Anti-Money Laundering and Terrorist Financing);

- Institutional modernization / reform projects to improve efficiency and effectiveness of laboratories (China and Korea after the Regional Workshop on Capacity Building of Customs Laboratories);

- Development of laboratory manuals (Thailand and Pakistan after the Regional Workshop on Capacity Building of Customs Laboratories);

- Development of web-based Customs Management System (Bhutan after the Regional Workshop on Human Resource Development);

- Development of online learning portal (Fiji after the Regional Workshop on Human Resource Development);

- Conclusion of an MOU with National Environmental Protection Agency regarding capacity building and information sharing (Afghanistan after the Regional Workshop on Environmental Topics);

- Development of web-based system and inclusion of the lessons learned on PCA and risk management is in pipeline (Bhutan after the Regional Workshop on Compliance and Enforcement Package);

➤ Establishment of Joint Targeting Task Force to enhance the efficiency of Airport Interdiction Task Force against drug smuggling (Thailand after the Regional Workshop on Compliance and Enforcement Package); and

➤ Revision of Compliance Framework and Risk Management Framework (Samoa after the Regional Workshop on Compliance and Enforcement Package).

(Analysis) Essentials for initializing new reform and modernization projects with the application of lessons learned

Initiation of new projects requires management officials' policy support as well as allocation of certain amount of budgeting and resources.   Accordingly, for the purpose of gaining high-level management's support for the initiation of new projects for the application of the lessons learned and/or incorporate them into the on-going modernization projects, there should have specific recommendations made to the management officials by the workshop participants, who are familiar with those perceived gaps in their operation against that of earned good perceptions on the potential benefits to be accrued thereof. Likewise, the applicability of the lessons learned from the sub-/regional workshops should be well examined and pertinent concepts are well understood by the officers in charge of the subjects and/or initiating projects.   In this regard, organization of in-house cascading workshops would also be quite valuable opportunities to have the workshop participants to explain the respective notions of the lessons learned and its possible implication to the future design of the daily operation and/or management policies.   Correlation between the initiation of projects with making specific recommendations as well as organizing in-house cascading workshops is shown in the following Table 8.

(Table 8) Correlation between the follow-up actions and the initiation of new modernization projects

WCO Sub-/Regional Workshops	Member participants[3] made specific recommenda	Member participants organized in-house cascade	Member participants initiated new

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[3] For the purpose of saving spaces, Member administrations are indicated with the ISO Alpha-2 codes as shown in the Appendix 2

		tions	workshop	projects
(1)	WCO Regional Workshop on Small Arms and Light Weapons (Jul. 2017)	BD, ID, MY, TH, TO	BD, ID, TO	FJ, MY, TH, TO
(2)	WCO Regional Workshop on Trade facilitation Agreement (Nov. 2017)	BD, ID, LA, LK, MN, MY, PK, TO	BT, LK, MN, MY, PK	BT, ID, LK, MN, MV, MY, PK, TO
(3)	WCO Regional Workshop on Cyber Investigation and Digital Forensics (Nov. 2017)	ID, IN, LK, MY, TH, VU, WS	JP, PK	IN, VU
(4)	WCO Sub-regional Workshop on Combating Counterfeit and Piracy for the Pacific (Dec. 2017)	PG, WS, VU	FJ, PG, VU	WS, VU
(5)	WCO Regional Workshop on Risk Management and Post-Seizure Analysis (Dec. 2017)	AF, BD, BT, IR, JP, LA, MM, PK, PH, LK, TH, VU, KH	AF, BD, FJ, IN, IR, MN, SG	BD, BT, CN, LA, MN, PK, PH, LK, TH, VU, VN
(6)	WCO Regional Workshop on AEO and Mutual Recognition Agreements/Arrangements (Feb. 2018)	VN, CN, PK, TH, NP, KH, LK, FJ, AU, MM	NP, FJ, LK	PG, MN, FJ, VN, LA, PK, TH, NP, KH, LK, MY
(7)	WCO Regional Workshop on Anti-Money Laundering and Terrorist Financing (Mar. 2018)	AU, BT, FJ, HK, JP, LA, NZ, WS	AU, BT, HK, IN, ID	AU, FJ, IN, ID, JP, LA, NZ, WS
(8)	WCO Regional Workshop on Customs Laboratory (Apr. 2018)	ID, LK, PK, NP, CN, IR, KR, KH, VN, IN, WS	LK, TH, PK, CN, IR, WS	ID, LK, JP, TH, PK, NP, CN, IR, KR, KH, IN, AF, WS, MY
(9)	WCO Regional Workshop on Human Resource Development (Apr. 2018)	CN, FJ, IN, ID, MY, NP, PK, PG, LK, VN	BT, FJ, NP, LK, TO, VN	BT, CN, FJ, IN, ID, LK, VN

(10)	WCO Regional Workshop on Environment Program (Apr. 2018)	<u>AF</u>, BD, <u>KH</u>, <u>IR</u>, PG, <u>LK</u>	-	<u>AF</u>, BT, <u>KH</u>, <u>IR</u>, MM, <u>LK</u>
(11)	WCO Regional Workshop on Compliance and Enforcement Package (Jun. 2018)	<u>AF</u>, BD, <u>FJ</u>, <u>IN</u>, ID, PG, PH, <u>TH</u>, <u>WS</u>	<u>BT</u>, <u>FJ</u>, <u>IN</u>, <u>WS</u>	<u>AF</u>, BT, <u>FJ</u>, <u>IN</u>, MM, PH, <u>TH</u>, VN, <u>WS</u>, AU
Total		90	44	83
Numbers and ratios of respective actions presumably led to initiating new projects (i.e. underlined)		56 (62%)	29 (66%)	
Number and ratio presumably attributed to specific recommendations and/or in-house cascade workshops (i.e. underlined)				60 (72%)

(NB) Underlined Members in the columns of shared materials and organized in-house workshop indicate those realized direct effects

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 cascading workshops and the 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 analyses on the afore-mentioned sections 2-(4) and 2-(6), in particular Tables 5 and 8, suggest, that the more colleagues were informed of the workshop lessons, the more direct effects may be accrued.   Likewise, it would be fair to say that 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 provides the WCO and the ROCB A/P with quite a good snapshot of synergies the sub-/regional workshops have created along with the on-going reform and modernization efforts made at the respective member administrations in the A/P region.

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, and monitor the effects of continuous joint efforts with the regional Member administrations.

For questions and comments to this Good Practice report and/or the Follow-Up Actions Survey 2018, please feel free to write to Mr. Kazunari Igarashi, Head of the ROCB A/P, at igarashi@rocbap.org by e-mail.

x   x   x

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 <u>never intended to evaluate and/or criticise any of reporting or recommendations</u> 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***
>
> ***by no later than <u>dd mm 2018</u>***

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?	(Please tick applicable answer(s) and/or fill in additional information, as appropriate) ☐ Circulated/shared training materials with colleagues (Please specify the number of colleagues with whom you shared the training materials.) ☐ Submitted a mission report to superiors ☐ Made some recommendations to management officials for consideration ☐ Organized an in-house workshop to cascade-down lessons learned ☐ Developed/updated operation manuals, etc. ☐ Others (Please describe below)
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)

Q2	How the lessons learned at the Workshop are being utilized at your administration in general?	(Please briefly describe)
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)?	☐ Yes (please briefly describe the effects realized, where possible) ☐ No
Q4	Do you consider that the Workshop has contributed or will contribute to improve efficiency/effectiveness of your administration's work?	☐ Yes (Please briefly describe "how" contributed /will contribute) ☐ No (Please briefly describe)
Q5	As a result of the Workshop and lessons learned, has any new modernization project initiated at your administration level?	☐ Yes (please briefly describe the project(s) initiated, where possible) ☐ No

Thank you for your cooperation

ROCB A/P

Abbreviation of A/P Member administrations

Abbreviation	Members
AF	Afghanistan
AU	Australia
BD	Bangladesh
BT	Bhutan
BN	Brunei Darussalam
KH	Cambodia
CN	China
FJ	Fiji
HK	Hong Kong, China
IN	India
ID	Indonesia
IR	Iran
JP	Japan
KR	Korea
LA	Lao PDR
MO	Macao, China
MY	Malaysia
MV	Maldives
MN	Mongolia
MM	Union of Myanmar
NP	Nepal
NZ	New Zealand
PK	Pakistan
PG	Papua New Guinea
PH	Philippines
WS	Samoa
SG	Singapore
LK	Sri Lanka
TH	Thailand
TL	Timor-Leste
TO	Tonga
VU	Vanuatu
VN	Vietnam