ASEAN CUSTOM

TRAINING AND DEVELOPMENT BLUEPRINT
HUMAN RESOURCE MANAGEMENT BLUEPRINT
INTEGRITY AND ETHICS BLUEPRINT

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Only the original version of the ASEAN Charter in English is authoritative and legally binding.

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INTRODUCTION

The ASEAN Customs Training and Development Blueprint was endorsed by the ASEAN Customs Directors-General during their 17th Meeting in Vientiane, Lao PDR on 17-19 June 2008. The objective of the blueprint is to establish a baseline for ASEAN Member States' (AMS) Customs administrations' training and development programs and to serve as the basis for action plans at the ASEAN and AMS' levels aimed at developing the capacity and effectiveness of these critical programs.

The ASEAN Human Resource Management Blueprint and the ASEAN Customs Ethics and Integrity Blueprint were endorsed by the ASEAN Customs Directors-General during their 19th Meeting in Phuket, Thailand on 9-11 June 2010. The ASEAN Human Resource Management Blueprint is aimed at developing an effective human resource management system which supports the achievement of the Customs administration's objectives. It is benchmarked against international standards and explicitly recognizes that people are the organization's most valuable resource and an investment for the future. The ASEAN Customs Ethics and Integrity Blueprint is aimed at developing an integrity management system in Customs which ensures that all employees perform their duties in a fair, impartial, honest, trustworthy, polite and professional manner.

ASEAN CUSTOMS TRAINING & DEVELOPMENT BLUEPRINT: TRAINING, DEVELOPMENT & LEARNING

ASEAN CUSTOMS TRAINING & DEVELOPMENT BLUEPRINT:
TRAINING, DEVELOPMENT & LEARNING

Aim
To develop a training and development system which fully and autonomously supports the business strategy of the customs administration and contributes to improved Customs business performance and regional integration through the training and development of its employees.

Strategic Objectives
* Development, implementation and regular review of a long-term training & development strategy based on the organizational HRM strategy and plan which is designed to deliver the above aim, integrates with the customs business strategy, and is fully endorsed at top management level.
* Development and resourcing of a training & development function which operates systematically and which is based upon training policies, systems and procedures which facilitate delivery of the training & development strategy.

Key indicators

Training & Development Strategy
Senior management is committed to the training & development strategy based on the human resources management (HRM) plan strategy that reflects the strategic objectives and priorities of the Customs organization.
* *Measurable corporate objectives that reflect HR and HRD contribution to achieving the mandate of the organization.*
* *The existence of an HR plan that reflects workforce requirements with activities and accountabilities.*
* *The existence of a T&D strategy and plan.*

A competent senior manager, with regular access to and influence with top management, is made responsible for the training function and held accountable for the extent to which HRD contributes to achievement of organizational objectives.
* Accountable for the T&D strategy and plan and its implementation including budgeting and measurement of training results.the organisation, describing the minimum levels of knowledge, skills and attitudes required for competent performance

Training Policies, Systems and Procedures

- A training policy which sets the direction regarding training & development, the principles for making training related decisions and an accountability framework for training that defines the roles and responsibilities of managers, supervisors and employees in human resources development
- Training and learning programmes are based on a full and proper analysis of the organisation's training needs and priorities, both current and particularly for the future
- Training programmes are designed to provide individuals with the knowledge, skills and attitudes (competencies) required to perform their jobs to a high standard
- Training programmes take account of the career entry levels of individuals including personal attributes and values and their educational qualifications prior to entry to the customs service
- Organizational core competencies are prepared and job competency profiles developed as well for all classes of jobs in the organisation, describing the minimum levels of knowledge, skills and attitudes required for competent performance

- Managers and supervisors are required to identify the training needs of their subordinates and determine the learning strategies to meet those needs in consultation with the training & development department
- Training decisions are based on the Systems or Systematic Approach to Training (SAT) which outlines processes for training needs analysis, training design and delivery and evaluation
- Broad-based introductory training programmes are in place for new employees, with subsequent training programmes geared to specific job/individual requirements
- Training programmes provide the opportunity for the integration of further education and other external forms of development
- Training is delivered only by trainers who have received trainer training to a certification level
- Where full-time trainers are used, arrangements are in place to ensure that they maintain up-to-date knowledge and experience of the subjects which they deal with
- Training/learning strategies includes a range of methodologies, formal and informal, each reflecting the training requirement and include such things as knowledge management (KM) and e-learning

- Modern training aids (e.g. whiteboards, flipcharts, overhead projectors, video facilities, computers etc) are available to support training delivery
- Records are maintained of individual training histories and progress, and of action taken to meet further needs identified during training programmes. These records are also made available to the HRM function and preferably in an automated format.
- All training, whether internal or external, is fully evaluated to assess cost-effectiveness and identify necessary changes. Managers and supervisors will take an active part in this process
- Knowledge management (KM) and information exchange is considered to be a valid and effective training strategy
- Training strategy, policies, systems and procedures are kept under regular review and evaluated to ensure they are meeting the objectives

ASEAN HUMAN RESOURCE MANAGEMENT BLUEPRINT

ASEAN Human Resource Management Blueprint

1. Aim

To develop an effective human resource management system which supports the achievement of the customs administration's objectives, is founded on and bound by relevant national legislation (e.g. Civil Service law), benchmarked against international standards and explicitly recognizes that people are the organization's most valuable resource and an investment for the future.

2. Strategic objectives

Development of an HRM system which;

- includes policies, strategy, and programmes which have clear links to the customs corporate strategy,
- defines the functions, roles and responsibilities within the structure of the customs administration, complies with national employment legislation and is benchmarked with respect.
- enables the customs administration to establish its own policies about Human resource management[1] in accordance with the applicable legislation,
- enables the administration to recruit, develop, deploy and retain people of the quality required to deliver its corporate objectives, and

[1] This includes: recruitment, retention, performance management and assessment, promotion, career progression, training and development, transfer, severance, dismissal, retirement and remuneration.

- encourages the motivation of all employees, and seeks to ensure their satisfaction, comfort and safety, as well as their ethical attitude and behaviour.

3. Principles

- The merit principle should underlie all HRM systems and processes. This means that the best qualified person is recruited or promoted. It also means that rewards and recognition are related to performance. Independent mechanisms such as an appeal process and an internal audit programme are needed to prevent the abuse of merit.
- A well functioning performance management system should define job requirements based on organizational objectives and expectations and assesses results achieved. The system should include competencies, key indicators and a performance appraisal system. It also includes a functioning Code of Conduct and Disciplinary procedures that define expected behaviour and consequences of non compliance.

- Transparency and objectivity (openness and fairness) in internal HRM systems processes and procedures for recruitment, promotion, rotation performance management, training and development and discipline. In terms of objectivity, HRM practices are conducted without favouritism, or political influence and interference, and due diligence is applied in the investigation of suspected misconduct.

4. Key Indicators

4.1 Strategic focus
- The HRM strategies, policies and programmes are linked to and fully support the delivery of the objectives specified in the corporate strategy.

4.2 Organizational Platform
- The customs organisational structure and functions are clearly defined.
- The roles, responsibilities and accountabilities of each function at all levels are clearly defined.
- Job descriptions highlighting the tasks required for competent performance are prepared for all classes of jobs within the organisation.
- A competency framework exists which defines the knowledge, skills, attitudes and behaviours required at the organisational and job levels.

4.3 Legal basis
- The organisation's employment rules are compliant with relevant national legislation and are consistent with international standards.

4.4 Human Resource Management
- A competent, experienced, and credible senior manager, is responsible for the HR function.
- Integrated competency based human resource management systems are in place and operating effectively.
- A written policy for each HR system exists and is effectively communicated and applied throughout the organisation.
- Recruitment, promotion, rotation and disciplinary systems are transparent, objective and based on merit.
- Training, development and learning is managed through a Systems Approach to Training.
- A forecasting and planning system (Human Resource Planning) is in place to predict and meet the organisation's future employment requirements.
- Job structures, staffing levels, grading and pay scales within each function of the organisation are regularly reviewed to ensure that they are fair and justifiable.
- The operation of each HR system focuses on meeting the organisation's corporate needs by employing and deploying competent staff, at the right time, in the right place and at the right cost.

- A results based performance management system is in place which enables the organisation to collect and assess information (expectations, targets and results) about employee performance, and use that information to make decisions about their rewards and recognition, deployment, development, promotion and career progression.
- Every manager is directly responsible for the performance management system insofar as it relates to their own staff, and are trained in its use.
- Managers involve their staff in efforts to improve the organization's performance.
- Human Resource specialists have the competencies to support the HR systems and to advise managers and employees on their implementation.
- All HR systems embrace the integrity principles in the Customs Ethics Blueprint.

4.5 Motivation and Satisfaction

- Top management demonstrates its commitment to securing the best possible remuneration and working conditions for the organisation's employees.
- The salary structure sufficiently differentiates between pay grades and levels in order to motivate employees and reflect their personal capacity and performance.

- A health and safety policy is in place and fully enforced.
- The workplace environment provides all employees with modern and appropriate office accommodation, facilities and equipment.
- [Where provided, staff quarters/housing or allowances are adequate.]
- The satisfaction of employees is regularly measured by surveys and the results used as inputs for the improvement of human resource policies and systems.
- Managers regularly (e.g. annually) consult their staff to enable them to freely express their opinions and identify opportunities to improve performance.
- Introduction of modern HR Systems takes into account the organisational and cultural environment in each AMS.

Cross references
ASEAN Blueprints on Customs Training and Development and Customs Integrity.

ASEAN INTEGRITY AND ETHICS BLUEPRINT

ASEAN INTEGRITY AND ETHICS BLUEPRINT

1. Aim

To develop an integrity management system in customs which ensures that all employees perform their duties in a fair, impartial, honest, trustworthy, polite and professional manner.

2. Strategic objectives

- Development and implementation of an integrity strategy for the customs organisation which specifies the professional and personal conduct and standards of service required of all employees, and which is fully endorsed, observed and supported by management.
- Creation of an organisational work environment that fosters positive employee attitudes and behaviours which contribute to achieving organisational objectives.
- Development and implementation of:
  - o management and operational systems which eliminate or minimise opportunities for unethical behaviour;
  - o recruitment systems which select new employees who match the 'ethics profile'[1] of the customs organisation;
  - o a remuneration system which ensures a sufficient level of income to support a reasonable living standard and ethically correct behaviour;
  - o a management control system which ensures that the integrity programmes or initiatives are applied in practice;
  - o a code of conduct and system of internal sanctions for employee misconduct (a disciplinary system); and
  - o client charters and related service standards.

[1] Each AMS may wish to define its own "Ethics Profile" in more detail based on its own circumstances and environment, e.g. its mission, vision, and values.

3. Key indicators

Integrity strategy

- Top management acknowledges the importance of integrity, sets a personal example, and demonstrates its commitment to ensuring that the integrity policy is applied in practice.
- The integrity strategy incorporates the principles of the WCO Revised Arusha Declaration and is in accordance with national legislation.
- The integrity strategy requires, as a minimum, that all employees observe the rule of law, and are honest, trustworthy, fair and impartial at all times.
- The integrity strategy stresses the importance of a client -orientated approach, while still meeting customs' obligation to all stakeholders.
- The integrity strategy encourages clients to accept an appropriate level of responsibility for the identification of integrity problems and implementation of practical solutions. This may be done through means such as Memorandum of Understanding between customs and clients, industry codes of conduct etc.
- A code of conduct/ethics[2] (or similar document) is developed and its observanceis a mandatory condition of employment.
- The integrity strategy includes reference to a disciplinary code/system.

Information and training

- Every employee is provided with a copy of the code conduct/ethics, and acknowledges receipt and understanding of it.
- Every employee receives appropriate awareness training in the integrity programme.
- Customs laws, regulations, procedures and administrative guidelines as well as the customs code of conduct are made available to stakeholders and clients.

Management controls

- A programme of regular checks of both managers and staff is in place to ensure they carry out their duties in accordance with the code of conduct /ethics.
- Operational systems and procedures are organised in such a way as to minimise the risks for staff fraud or misconduct, including use of automated systems.
- An internal audit function is established, adequately empowered and operational.
- An internal staff investigation function is established, adequately empowered and operational.
- Procedures are in place to advise managers of risks discovered by an internal audit or staff investigation and of any required corrective actions.
- The performance appraisal system is used to provide an incentive for model behaviour by reinforcing the desired workforce characteristics and conduct.

[2] References to Customs Code of Conduct/ Ethics include any similar document such as a Government widecode of conduct etc.

- Procedures are in place to enable the mutual exchange of information between the courts, prosecuting agencies, other enforcement agencies and the customs administration about customs employees suspected of or convicted of criminal offences.
- Procedures are in place to enable the public or staff to provide information to the customs organisation about suspected fraud and misconduct by its employees.

Recruitment

- A merit based recruitment system that takes into account the characteristics of honesty, trustworthiness, dependability, and high standards of personal behaviour.
- The recruitment system checks the criminal records of applicants, with due respect for the principle of privacy; and persons with criminal records involving, for example, fraud, corruption or violence, are not recruited to the organisation.
- Customs salaries support a reasonable living standard.

Misconduct

- The disciplinary system (code) provides a process for the review and assessment of suspected misconduct by any employee.

- The disciplinary code provides for a range of internal sanctions — including dismissal — to be applied according to the nature and seriousness of the offence, and for criminal offences to be reported to the appropriate investigative agency, in accordance with national legislation.
- The disciplinary code provides for an appeals process in all cases of disciplinary action for alleged misconduct.
- Cases of serious misconduct which have been detected and dealt with, and the sanctions imposed, should be well publicised, once the appeal process is complete, (while respecting the anonymity of the individual concerned) to ensure staff are aware of the commitment of the organisation to deal with integrity issues.

Cross references
ASEAN Blueprints on Human Resource Development and Training & Development