

# 10. Donor Engagement

## How to establish effective donor co-operation

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## SECTION I: The organization of a successful donor conference or meeting

The organization of regional or national donor events aims to:

- > Market the reform and modernization programmes of Customs services regionally or on a national level;
- > Build new business relationships with potential Donors;
- > Improve mutual understanding on respective needs, priorities, requirements and concerns;
- > Foster existing networks;
- > Raise money for Customs reform; and
- > Avoid duplication of donor efforts.



So far the WCO has organised two conferences on Global Dialogue on Customs Capacity Building. The first in Johannesburg on 4 April 2007 and a follow-up conference on 2 October 2008 in London. The Johannesburg Conference highlighted Customs services as key players in the global trade and as essential driver for economic growth and prosperity. The goal of the London Conference was to generate closer donor liaison and collaboration in sustainable Customs reform. As a result of both conferences the participants recognized the importance of Customs modernization and of Capacity Building efforts. During the 2008 conference they further discussed methods of achieving sustainability in Customs development aid programmes and generated 10 key messages for collaboration.

*One key message of the Global Dialogue on Customs Capacity Building:  
Donor organizations are prepared to invest into Customs Capacity Building.*

*Regional, sub-regional and national donor conferences enable Customs services to break this message down into action*

The development of a donor event is typically convened taking account of the six steps shown in Diagram 1.

Diagram 1: Six steps when organizing a Donor Conference



**1. Devising the concept**

*The concept of a donor conference depends on the strategic aim of the event.  
There are several possible scenarios that could apply:*



Awareness raising, Creation of a donor network	Achievement of political support	Presentation of Customs reform projects for external funding
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**1.1 Strategic aim: Awareness raising / creation of a donor network**

For Customs services with a low level of donor liaison, it would be essential to first establish contacts with regional donor representatives and to raise their interest in on-going dialogue.

Table 1 illustrates possible reasons for lack lustre donor partner cooperation, together with initial ideas how to improve relations.

Table 1: Establishing or Enhancing Donor Cooperation

Lack of donor cooperation	Background	Solution
The development assistance is not targeting Customs reform.	Donor organizations might not focus on Customs reform as a priority in their economic development portfolio. Some regional donor representatives might not know about the comprehensive role of Customs. Customs might not know how to establish contact with donors.	Here Customs services need to <ul style="list-style-type: none"> <li>&gt; address donors and actively promote their role.</li> <li>&gt; highlight the importance of effective Customs as key for successful expanse of trade and for social security.</li> </ul>
Funds are allocated to trade facilitation and Customs modernization programmes. However these programmes do not reflect upon the demands of Customs services.	Often trade reform programmes cover cross-departmental aspects that are implemented by one lead department. Customs services might be excluded from the project negotiation due to traditional ties between donors and other departmental institutions.	Customs needs to establish close liaison with donors and the decision making bodies in other departments. Customs' involvement in the negotiation process maximizes the benefit of the Customs component of aid programmes for all stakeholders.
Funds are allocated to trade facilitation and Customs modernization programmes. However there is a lack of Customs initiative in formulating their policy.	Customs service might be cut off the process of development of economic reform strategies. Customs know best about their reform demands. However, they accept to be excluded from the development of assistance programmes and act passively towards donor organizations. The development of Customs reform without consultation with Customs makes is very difficult for Customs to follow up and to commit to later implementation.	Some donors ask Customs services to "challenge donors more". Here there is a need for Customs to initiate collaboration and to be progressive in presentation of their own reform strategies.

A donor conference or a donor meeting offers the platform to initiate a dialogue with donor institutions. Through presentations, Q&A sessions and side meetings, the participants in a donor event will improve mutual understanding of their respective needs, priorities, requirements and concerns and explore common interests and reasons for lack of collaboration. This will establish a common ground for follow up.

A donor conference is also an extremely useful opportunity for regional/national donors to know more about the WCO and ROCB as well as the possibility of the support that can be extended to enhance future collaboration. Involvement of the WCO and/or ROCB from the planning stage should be considered.

## The desired results and expected immediate outputs



Enhanced mutual understanding between Customs and donors	Establishment of a donor - Customs network	Awareness upon fundraising opportunities in the country/region
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### 1.2 Strategic aim: Achievement of political support

The political reality in some countries does not always reflect on Customs services in the broader context of trade facilitation, border security and protection of social society.

Donor organizations often align their programmes along the political priorities of the beneficiary countries to ensure the sustainability of their investments. Most donors maintain close relationships with the political leadership.

The creation of a positive political climate towards Customs reform can be a major challenge for Customs services. The reason for lack of political support of Customs Capacity Building programmes might be complex<sup>1</sup>. Table 2 provides a sample of common political relationship issues and ideas for building political support.

Table 2: Establishing or Enhancing Political Support

Lack of political support	Background	Solution
<p>A lack of inter-ministerial consultation leads to insufficient identification of Customs priorities as core competence within the ministry.</p> <p>A lack of cross-departmental consultation between governmental departments leads to insufficient consideration of Customs' demands.</p>	<p>The preparation of policy proposals and strategic policy papers is a central role of ministries.</p> <p>Ministers should know about:</p> <ul style="list-style-type: none"> <li>&gt; the Customs contribution to social and economic welfare;</li> <li>&gt; the actual Customs issues that require policy response.</li> </ul>	<p>Customs services need to:</p> <ul style="list-style-type: none"> <li>&gt; ensure that the ministers – and thus also the government and donors- receive qualified information on Customs reform demands.</li> <li>&gt; highlight the contribution to political priorities: <ul style="list-style-type: none"> <li>- Modern Customs services contribute to effective revenue mobilization and enhanced facilitation and security of trade.</li> <li>- A well performing Customs service increases the confidence in the quality and integrity of government institutions.</li> </ul> </li> <li>&gt; raise the need of consultation at ministerial levels: <ul style="list-style-type: none"> <li>- Early contribution to policy proposals can minimize overlaps/contradictory elements in Customs-related political framework.</li> </ul> </li> </ul>

1. Some background information in this chapter has been attained from SIGMA Paper No. 39: OECD (2007), "The Role of Ministries in the Policy System: Policy Development, Monitoring and Evaluation", SIGMA Papers, No. 39, OECD Publishing.  
<http://dx.doi.org/10.1787/5kml60qkg9g7-en>

Lack of political support	Background	Solution
Some governments do consult all departments. However, the information received by the Customs services might be weak.	<p>Any government can ensure informed decision-making in favour of Customs if the information originally received by the Customs services is weak.</p> <p>Some Customs services don't have the capacity to develop reform proposals or know how to best present their contribution to strategic goals and international commitments.</p>	<p>Here Customs services need to:</p> <ul style="list-style-type: none"> <li>&gt; promote their achievements;</li> <li>&gt; better present their needs;</li> <li>&gt; enhance data presentation.</li> </ul> <p>If Customs services suffer from a lack of resources and capacity to meet these tasks, this demand could be integrated into a reform of organizational strategies.</p>
Outside pressure can be an impetus for initiating political commitment. However, Customs services seldom take advantage of this external influence.	<p>The participants in the 2nd Global Dialogue on Customs Capacity Building confirmed the importance of sound Customs services for the benefit of the social and economic prospects of developing countries.</p> <p>It is the Business community that has the prime benefit of accelerated delivery of goods, predictable Customs procedures and a secure supply chain.</p> <p>These stakeholders have a strong demand for effective Customs services.</p>	<p>Customs services need to:</p> <ul style="list-style-type: none"> <li>&gt; mobilize a coalition of supporters;</li> <li>&gt; create a positive political climate towards Customs reform.</li> </ul> <p>During a donor conference other stakeholders can reaffirm the demand of greater political awareness of the Customs role and their expectations towards an effective Customs service.</p>

A donor conference/meeting could be a suitable tool for achievement of greater political and donor attention to Customs reform. A donor conference/meeting would be an occasion to mobilize a coalition of supporters, to create a positive political climate towards Customs reform and to disperse resistance. It enables the Customs Services to promote a more holistic role of Customs services in the political strategic framework.

As it was stressed in Issue 2 of the WCO Trends and Pattern Report, in order to 'examine capacity and plan for the future, it is essential to have a firm grasp of the five great Customs responsibilities: revenue collection, social protection, trade facilitation, trade security and collecting trade statistics'. At a regional event some discussion on the role of regional entities in the political decision making process could be launched. There might be a need to consider regional aspects in the development of national Customs priorities.

### *The desired results and expected immediate outputs*



A concluding statement/report	Establishment/strengthening of political support	Achievement of strategic decisions that allow launching of follow up activities
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### 1.3 Strategic aim: Presentation of Customs reform projects to obtain external funding

Most donor organizations do have distinct experience in implementation of trade development and Customs reform programmes.

Most of the WCO Members in emerging economies have successfully completed the diagnostic phase of the WCO Columbus Programme and they have developed their own strategic action plans for Customs reform.

Whilst some countries obtain sufficient national or external funding for their Customs reform it presents a challenge to others to attract investors for their own Customs modernization agenda. Table 3 considers some of the reasons for difficulties in acquisition of donor funding.

*Table 3: Customs Alignment of Institutional Arrangements with Reform Agendas*

Insufficient funding of Customs reform	Background	Solution
<p>Customs does not have a clear vision on modernization process.</p> <p>&gt; The reform proposals developed by the Customs services might not fulfil the donors' expectations.</p>	<p>To obtain funding for a reform programme a strategic action plan is essential but it is not sufficient on its own. Complexities involved in fund acquisition are critical for some Customs services. Because of lack of capacity, Customs might not be able to develop a concrete action plan for modernization. Customs services with limited institutional resources have a need for simplified funding processes.</p>	<p>It is important for Customs to develop a clear vision, process and plan for modernization of Customs based on the government policy, recommendations of the WCO diagnosis and other institutions recommendations.</p> <p>Customs services might raise a dialogue with donors on "light" funding programmes with less bureaucratic implication.</p> <p>For reasons of efficiency Customs services might also raise a dialogue on a programme design that meets the criteria of several donors.</p> <p>If Customs services suffer from a lack of resources and capacity to develop complex reform programmes, this requirement could be integrated into a reform of organizational strategies.</p>
<p>The reform programmes developed by the Donor organizations might not meet the demands of the Customs services.</p>	<p>Donor programmes can be prepared by various external consultants with little regard to practicality. At the same time Customs services take the commitment to develop their own reform strategies. Still donors might resist integrating into their development programmes reform strategies owed by Customs service.</p>	<p>Here Customs services need to challenge the donors towards acceptance of their own Customs strategies. These strategies convey a strong sense of Customs' commitment and ownership, some of the key principles for donor investment.</p>



Insufficient funding of Customs reform	Background	Solution
Reform strategies prepared by Customs services might not meet specific interests of donor organizations.	In development of their funding programmes donors often reflect specific interests or political agendas. Some Customs services draft reform proposals in complete disregard of these concerns. Similarly, some donor concerns might be difficult to include in Customs reforms.	Here Customs services need to: <ul style="list-style-type: none"> <li>&gt; learn about the specific demands of donors and react accordingly;</li> <li>&gt; find a balance between the core aim of Customs reform and the consideration of cross-cutting issues;</li> <li>&gt; include cross-cutting issues into their project plans and allocate funds and resource to respective actions.</li> </ul>
There are countries with substantial donor interest and intervention. In some countries this results into positive funding climate for the recipient. In other countries a lack of communication endangers the efficiency of development assistance.	In countries with high donor involvement there is demand for collaboration in development assistance. Consideration risk of this circumstance is that it can lead to duplication of efforts and lack of absorption capacity on side of the recipient. In a climate of competitiveness some donors exert pressure on the beneficiary to meet their own timelines and targets. This can have detrimental effect on the project design.	Here Customs services need to: <ul style="list-style-type: none"> <li>&gt; bridge a lack of communication;</li> <li>&gt; promote their own strategic vision;</li> <li>&gt; alleviate overlap or contradiction of project contents;</li> <li>&gt; raise the problem of absorption difficulties;</li> <li>&gt; challenge donor organizations to share common interests and endeavour co-funding solutions for their own reform programmes.</li> </ul>

If the aim of a donor event is to obtain external funding for concrete Customs reform, a strategic Customs reform and modernization plan should be developed beforehand. A contract for funding of a specific Customs reform project will not be reached by “just” one donor conference or meeting. Donors have their own priorities based on their strategy and policy. Sometimes they are not used to Customs seemingly complex and almost contradictory priorities (trade facilitation, community protection, revenue collection, etc.). Therefore Customs might be requested to adjust or slightly amend their reform plan to meet donor requirements and to develop greater understanding for Customs economic role and responsibilities. Customs should also explain the realities of their plan and try to agree on mutually acceptable collaborative actions.

A donor conference or a donor meeting allows for a dialogue on the expectations and the possible contributions of all stakeholders to a clear Customs reform programme. This leads to better understanding of specific interventions and interests and to the desired financial support.

Therefore the purposes of the donor meeting are:

- > To present the Customs reform and modernization plan as well as Customs concerns to donors and gain their understanding;
- > To know and share the information about donors activities in the country/region, their needs, priorities, requirements and concerns;
- > To inform donors of the WCO and ROCB and the possibility of their support that can be extended to enhance future collaboration;
- > To develop a Customs and donor network and information exchange channel; and
- > To gain future support from donors.

During a donor conference/meeting stakeholders might work towards solutions to diffuse impediments to Customs reform. A donor event could also allow for a discussion on the empowerment of specific entities (for instance the ROCBs) to play a more significant role in donor co-operation.

## The desired results and expected immediate outputs



Sharing information among donors to avoid duplication of support	Achievement of concrete response towards a Customs reform initiative → A concluding statement	Clear expression of support Achievement of overall commitments and decisions on follow up activities
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## How to present a Customs reform programme during a Donor Conference or Donor Meeting?

A Customs reform proposal can be a specific Customs concept or a complex Customs reform programme along a multi-annual strategic action plan. For a Donor event Customs services do not need full project documentation, but they need to present a strategic plan for their reform proposal, the benefit of this reform and an estimate of overall cost and timing.



*Target the demands of the audience!  
Express a wider benefit of Customs reform efforts for all stakeholders*

Donors are not interested in very detailed and specific Customs technicalities. But the presentation of the reform programme should clearly reflect on the following issues:

- > What is in it for the other stakeholders?
- > Is the value added for the trading community apparent?
- > Has a level of co-operation with trade and business and/or other departmental institutions been considered?
- > Is the ownership of the reform is with Customs?
- > Do Customs services have a clear vision of their reform and required modernization processes?
- > Is there a political will to support this reform?

The Customs service should further be prepared to answer the following questions:

- > Does this specific project meet political priorities?  
Indicators of political support could be:
  - Can reference be made to strategic policy documents such as annual strategic plans, roadmaps etc.?
  - Are countries/regions willing to cover part of the financial contribution to the project out of their own funds?
  - Do countries/regions commit to allocation of new staff to this changing process?
  - Does the minister seek regular updates on project developments?

In those cases where such political support is non-existent, the conference could be the platform to express this demand and ask for donors support in awareness raising.

- > Consider integrity issues.  
Good governance is one of the major considerations for donor investment. Customs services are commonly seen as being vulnerable to corruption because Customs officers have a wide range of discretionary powers. From the outset of a project planning Customs services should allocate time, activities and resources to implementation of integrity activities. Ideally actions for enhanced integrity are an integral part of a comprehensive reform strategy.

Consideration of integrity could be described through:

- a. Higher transparency and predictability through a modern and more automated clearance process,
- b. Better transparency and predictability through publication of Customs rules,
- c. A reform of existing integrity activities as part of a reform of HR-strategies,
- d. Better administrative and penalty procedures along the newly established system,
- e. A higher consideration of integrity in Customs educational strategies, etc.<sup>1</sup>

> Is there ownership of the proposed Customs modernization project?

Donors are most likely to inquire ownership of any reform programme to be with the beneficiary Customs service. Donors look at ownership as key element for success and for sustainability.

Ownership and leadership could be shown by the following:

- a. If Customs designs its own reform strategy and the Customs leadership commits to present this to the Minister as part of the strategic vision;
- b. If Customs can prove any progress made in past Customs modernization processes or in any co-operation with donors the current reform programme could be presented as a commitment to maintain and further enhance these achieved results; and
- c. Any proactive preparation towards commencement of the reform and any commitment to allocate budget and staff to the reform reflect strongly on ownership and commitment by the Customs authorities.

> Is there a strategic vision?

Donors are more likely to invest into a programme with a strategic vision rather than a “stand alone” list of desired activities. Comprehensive Customs reform strategies meets this criterion. For single concepts, Customs services should also present the relevance of this specific component as one part of the entire Customs development agenda.

Some examples would be:

- a. A pilot or a sector specific project could be an important catalyst to be cascaded to other agencies/countries/ regions at a later stage.
- b. A follow up project could be planned to integrate the new Customs concepts into Customs educational strategies and later training accordingly.
- c. Promotion of new procedures, delivery of statistical figures and impact measurement could be achieved through later establishment of respective public relations concepts, establishment of Customs to business consultation, establishment of systems to collect and assess baseline data and result based figures, etc.

> Sharing of common regional interests / raising of national particularities

Here the view of the donor community is rather diverse. Some donors promote regionalization others have a specific country focus. There are arguments in favour of both. The design of the specific project may need to be tailored to ensure alignment with the donors’ interest.

*Table 4: Considerations when deciding Regional or National Projects*

Arguments in favour of a regional project:	Arguments in favour of a national project:
<ul style="list-style-type: none"><li>&gt; Facilitates and accelerates trade through standardized application of Customs procedures in several neighbouring countries.</li><li>&gt; Facilitates development towards Customs unions.</li><li>&gt; Minimizes duplication efforts.</li><li>&gt; Maximizes the outcome of a development programme, etc.</li><li>&gt; The presentation of a regional project might also allow for a discussion on the empowerment of regional entities to have a stronger role in the donor co-operation process.</li></ul>	<ul style="list-style-type: none"><li>&gt; Takes account of particular national concerns of Customs services in their institutional reform process.</li><li>&gt; Immediate response to specific post conflict circumstances to ensure soon re-structuring and re-functioning of destabilized Customs services.</li><li>&gt; Establishment of a pilot and testing phase for later rolling out to border management agencies, private sector or other countries.</li><li>&gt; Consideration of emerging countries capacity to “keep track” to meet regional/international demands.</li><li>&gt; Bridge the different capacity levels of Customs services – especially in regions with diverse development levels.</li></ul>

1. A list of good governance activities can also be derived from Chapter 7 of the WCO Customs Capacity Building Diagnostic Framework.

## 2. Consultation with the WCO and/or ROCB

From a strategic perspective, the involvement of the WCO and/or ROCBs can add significant value to enhance collaboration between donors and regional/national Customs administrations. Donors normally lack the specific and technical knowledge on Customs matters and are seeking third party expert advice for designing and implementing Customs-related projects. On the other hand, Customs administrations on regional/national level partly lack the information on donors' needs, priorities and requirements and are also seeking expert advice on securing support in implementing projects. In order to minimize the gap between donors and Customs administrations, the involvement of the WCO and/or ROCBs could be secured to act as "matchmaker".

While the WCO and/or ROCBs are not the "owner" of projects, especially considering the importance of ownership and leadership of the project to be taken by Customs administrations, the WCO and/or ROCBs can provide advice to both donors and Customs administrations to design projects and assist, as necessary, in implementing the project through, for instance, coordinating the use of regionally available expertise.

The WCO and ROCBs have accumulated experience and expertise on how to organize regional/national donor meetings and it is worthwhile considering involving them in the planning of regional/national donor meetings at an early stage. In Annexes 1 to 4, there are some of the examples of assistance that can be extended by the WCO and/or the ROCB:

- > Example of an invitation letter (including potentially co-signing by ROCB);
- > Example of a registration form;
- > Example of a donor meeting agenda; and
- > Example of presenter's note and logistics note.

## 3. Identification of target audience, chairpersons and key speakers



Depending on the strategic aim of the donor event the target group will have a stronger stakeholder outreach or a stronger political outreach.

The decision on the invitees requires consideration of the issues listed below. Some are strategic concerns, others are of an operational nature.

- > Decision on Chairpersons and keynote speakers;
- > Representatives of all stakeholders or focus on "just" specific stakeholder groups;
- > Consideration of appropriate hierarchy level along the expected aim and results;
- > Headquarter representatives or representatives from regional/local branch offices;
- > Building on existing relationships or establishment of new relationships; and
- > Limitation of number of participants along venue capacity or/and available budget.

## Chairpersons and keynote speakers

The organizers of a bigger donor event will need to try and attract high-profile personalities to take in the event as Chairperson or keynote speakers asking their contribution to a specific topic along the overall conference theme.

Ideally the keynote speakers cover a topic closely linked to their specific professional portfolio leading to a clear statement in line with the expected outcome of the conference or the particular session. Keynote speakers of a donor conference can be:

- > A Minister or Vice Minister  
The participation of a Minister or Vice Minister displays political will to Customs reform. It would also give strong visibility of the value of Customs reform to the public since events with ministerial participation are likely to be reported on TV and other media.
- > Appealing public personalities  
Outstanding public persons, who commonly represent internationally well-known identities in the world of development aid, business development, state building or Customs reform. In the event that he/she is unable to personally attend, consideration could be given to a video conference or video presentation. In this way, the high profile of the specific keynote speaker remains, noting that video presentations tend to be less dynamic and are not interactive.
- > High to senior level representatives of internationally well-known identities in the world of development aid, business development, state building or Customs reform. In this case the invitation is addressed to the head of an organization. In the event that this person is unable to attend the conference he/she could be asked to nominate a senior representative on his/her behalf.
- > High to senior level representatives of a specific stakeholder group. Unique areas to consider include:
  - Regional/geographical particularities such as landlocked countries, corridor countries, small island states, countries with major transport hubs, etc.; or
  - Specific economic demands (such as representatives of SMEs, investors, entrepreneurs, representatives of a specific industry sector, trade associations etc.).
- > Representative of WCO and/or ROCB. WCO and/or ROCB representative can introduce WCO and/or regional capacity building policy, tools and instruments. It is highly recommended that the WCO and ROCB indicate their commitment for assisting the reform and modernization project to be introduced.

Commonly the Chairpersons represent high level representatives of the host country or host organization or of other internationally reputed organizations.

The timely announcement of a confirmed participation of a prominent Chairperson/Keynote speaker will raise the profile of the event as this will attract the interest of other high level invitees. This is important consideration specifically for an event with a very senior portfolio.

## 4. Planning the logistics

### 4.1 Timing

The decision on the date of the event can be done in consideration of:

- > Implementation of a high level conference back to back with a similar event of international standing;
- > Implementation of a combined conference with a preparatory/follow up workshop;
- > Consideration of the timing of prior regional Heads of Customs meetings with a vision to present information on the regional Customs reform strategies;
- > Implementation back to back with specific Customs, Customs to business or trade events, such as the inauguration of regional offices, international/regional trade fairs, AEO conference etc.; and
- > Preparedness of internal document, such as completion of the revised strategic plan.

### 4.2 Venue

The decision on the strategic aim will impact the choice of the venue. The survey of the venue should be done in consideration of the following aspects:

- > The required overall standard and audience capacity;
- > The required technical equipment, such as:
  - Projection screen for Power Point presentations
  - Projector for video playback or videoconferencing (in case of video transmission of a key note)
  - Microphones for the audience
  - Facilities for simultaneous translation
  - CD/audio cassette player to allow tape recording of the conference (a record of the conference is a very helpful tool for the rapporteur of the conference).
- > Appropriate catering facilities;
- > Sufficient administrative facilities (internet access, access to copy and fax machine, adapters etc.);
- > In case of a high level conference: security aspects.

Above all, the venue must be affordable within the given budget.

When selecting the venue the organizer might also consider additional facilities that accommodate side events (exhibition area aside the conference, workshops, informal breakfast meetings, business lunches, receptions, gala dinners, press conferences or others). Another consideration is whether or not there is an appropriate welcome/registration area.

### 4.3 Announcement / Invitations



*The earlier the better → Advance publicity*

Advance publicity announcing conference details is an effective tool to raise awareness of the upcoming event. This allows the target group to block dates in their calendars and to follow up on the additional information.

Advance publicity should cover the following minimum information:

- the theme of the conference
- the date and the venue
- the expected topics to be discussed
- the expected keynote speakers
- reference to further information (such as contact point, web link, announcement of later invitations).

Advance publicity could be made through announcement during other meetings/conferences, or via leaflets, press advertisements, electronic newsletters, e-mail and/or web publications.

## 4.4 Invitation / agenda

It is critical to the success of regional/national events to identify the appropriate invitees. Different donors have different working structures, agendas, priorities, needs and interests. In this regard, close communication between organizers and the various donor institutions at the preparation stage is very important.

The invitations should be sent along with information on the agenda and the conference arrangements. Ideally information on the Conference is also published via internet to have a wider reach of the parties concerned. Co-signing by the Director General of the host Customs administration and the Head of the ROCB (or appropriate staff member of the WCO) of the invitation letter can add value to the event.

A risk of early dissemination of invitations is that changes in the agenda are likely to occur before the meeting. It is recommended to regularly update the information on the event so that all interested parties are aware of the changes.

In case of a regional/sub-regional event, it is also recommended to have a preparatory session before the conference where Customs administrations can discuss common interest, priority, needs and requirements and common positions on important issues for the discussion with donors.

## 4.5 Presenter's note

While a regional/national donor event is an extremely useful opportunity to share the existing programs, needs, priorities, interests and requirements of donors as well as Customs administrations, the time management of the event is another important element for success. In order to maximize the benefit of the event, presentations from both Customs and donors should be prepared to be precise, to the point and highlight the key issues.

In order to achieve this objective, preparation of a presenter's note to inform all expected presenters is useful so they know more about their expected role.

The presenter's note may include:

- Background
- Expected contents
- Length of presentation
- Information about other presenters and their presentations; and
- Contact person.

## 4.6 Briefing of Chairpersons and keynote speakers

The success of the conference or of the donor meeting will depend on the contribution of keynote speakers and the Chairperson. This requires a detailed briefing on their role and the expectations linked to the event. In addition, good briefing of Chairpersons and keynote speakers reflects well on the support and client service of the organizers. The briefing note should cover information on the conference theme, the desired outcome and a vision of the topic to be covered by this specific speaker. Here a proper balance has to be found to determine the scope of the speech but remain sufficiently diplomatic to not be too leading on the content of the presentation. The briefing note should also cover organizational information on available conference facilities and allocated timing for each presentation. It is appropriate to ask the speakers to adhere to the time allocation. The reason is to ensure that there is enough time for interaction with conference participants.

Shortly before the event the Chairperson should be given:

- Short biographies of each keynote speaker
- Information on the keynote speakers' organization
- Information on the number of participants; and
- Information on any external financial contribution to the conference.

The event organizer might also ask the keynote speakers to share their presentations in advance to prepare hard copy or electronic copy information and for the benefit of interpreters (if used). To accord the highest support for the Chairperson and keynote speakers, the organizer might pay special attention to the following details at the conference venue, such as:

- > Availability of a contact person for the keynote speakers and chairpersons at the venue;
- > Provision of all relevant briefing material in a small conference folder;
- > Arrangement of a welcoming meeting for the keynote speakers and Chairperson to establish or foster contact with those key persons, to reiterate the aim of the conference and to advise any organizational issues of importance.

#### 4.7 Visibility and Merchandising

The successful result and the important messages of any donor event should be duly shared with the stakeholders and also with the public through respective press releases, web publication, etc.

The logo of the conference, the logo of the host organization and the logo of any sponsor organizations should be represented on all conference publications.

There are advantages and disadvantages when choosing either multiple sponsors for the same event or a single sponsor. Table 5 describes some of these advantages and disadvantages.



### Sponsorship promotion

#### The advantage for sponsors and exhibitors

- > Increased visibility within the Customs services and the trading and donor community
- > Establishment of business contacts with the high level audience
- > Exclusive advertising of their business

*Table 5: Advantages and Disadvantages of Multiple or Single Sponsors*

#### Pricing strategies for sponsorship and exhibition



One sponsor package	Different sponsor packages with varying content and price levels
Advantage: Easier to manage and to follow up.	Advantage: different sponsor suggestions might attract more sponsors.
Each exhibitor would have the same exhibition booth at disposal.	Exhibitors could be offered sponsor packages with different price levels along varying sizes of the exhibition booths.
The sponsor would not relate to a specific conference part but contribute to the comprehensive event with a fixed amount.	<p>Sponsor could be offered packages covering different parts of the conference, such as:</p> <ul style="list-style-type: none"> <li>&gt; small scale packages for sponsoring of coffee breaks, conference bags, stationeries, conference CD-ROM, etc.</li> <li>&gt; mid-scale sponsoring for sponsoring of lunches, dinners, cocktails, small side events, etc.</li> <li>&gt; big scale sponsoring could cover the cost of interpretation facilities, cost for a side event, significant cost for conference technicalities, etc.</li> </ul>



Content of sponsor packages:

Sponsor packages might cover all or some of the following services:

- > free conference participation;
- > free participation in all or some of the side events;
- > verbal recognition during event;
- > promotion and marketing through logo inclusion on all event advertising and documentation;
- > banner placement.

Exhibitors might be offered similar sponsoring packages with the additional offer of

- > on-site promotion of their marketing tools at a booth in the exhibition area.

Additional organizational considerations:

The organizer needs to ensure proper briefing of the sponsors and exhibitors and to provide advice on the exhibition facilities on the event. The organizer needs to further establish a system of payment tracking!

## 4.8 Event Registration

Event registration enables the organizer to follow up on the status of participation and to establish effective attendees' management with the participants and the co-workers in the event. The data from the registration is important to:

- > Keep a record of participants
- > Create name tags
- > Manage participants according to categories (Chairs, keynote speakers, etc.)
- > Receive contact data for follow up
- > Some participants tend to register with nicknames. If additional travel and accommodation service is provided it is essential to obtain proper passport information to avoid non-conformity with vouchers or visa.

An effective online registration has the advantage of immediate sharing of additional event information such as:

- > Immediate notification of successful registration to the attendees via automated e-mail
- > Automatic sharing of additional information (Photos and descriptions of venue, display maps and directions, information on nearby accommodation options or of hotel booking services etc.)
- > If the organizer decides to limit the participation to the donor conference to invitees or to a limited number of people the online registration needs to be closely monitored. Registration by non-eligible applicants requires notification of rejection.

## 4.9 Additional client service => Logistics, travel booking

The organizer might decide to offer additional client services such as travel booking, reception and transport service to/from the airport or accommodation arrangements. This decision will also be driven by the number of staff allocated to the conference planning as additional service implies additional work. In times of easy online booking one could leave the travel and accommodation arrangements to the participants. Nevertheless, some minimum client service in this regard raises the profile of the event. It is therefore suggested to publish along with the agenda:

- a description / web link of the conference venue
- an explanation on the transport facilities from the major airports/stations to the venue
- a list of accommodation facilities in the conference neighbourhood
- in case of arrangement of any social event some background information accordingly.

Some Customs service can negotiate special price arrangements with some conference venues. Some special attention could be addressed to high level attendees. Here also the establishment of additional security measures might be required.

After confirming all the arrangement on logistics to be made, preparation of a "logistic note" will help the smooth dissemination of all necessary logistic information as well as smooth communication between organizer and participants.

## 4.10 Event follow-up

The event follow-up includes the following components:

- > Distribution of the conference report
- > Sharing of final list of participants
- > Appreciation letters to Chairs, keynote speakers, sponsors and exhibitors
- > Publication of conference results and presentations on the Internet or distribution via CD ROM
- > Press releases
- > Follow up on the conference results with immediate action
- > Financial balance of the event.

As mentioned earlier in this Chapter, a donor conference or a donor meeting provides the platform to initiate a dialogue with donor institutions. Concrete contract for funding of a specific Customs reform project will not be reached by “just” one donor conference or meeting. Donors have their own priorities based on their strategy and policy. In order to come up with mutually acceptable contracts for funding of a specific Customs reform project, follow up of regional/national donor conference becomes crucial.

It is therefore recommended to agree on a proper follow-up scheme at the end of the respective event. The most appropriate follow up depends on the region, sub-region, national or agency level nature of discussion.

## 5. Budget forecast and follow-up

It is essential to plan any conference or meeting in close collaboration with the financial managers in order to avoid financial shortfalls. The costs of the event will vary along the selected venue, the number of participants and the services provided. An initial budget forecast or some alternate solutions can be presented based upon offers received from some venue providers, technical equipment services and additional suppliers (catering, interpretation). During project planning any decision with financial impact should be agreed with the financial unit. The budget follow-up includes a verification of all costs and payments after conference implementation.

### 5.1 Own funds

The annual budget for each Customs service commonly provides for funding of conferences, meetings or regional workshops. Early co-operation with the financial division ensures timely blocking of funds to this specific donor event.

### 5.2 Registration fees

To lower the costs for a donor conference one could consider registration fees from all participants or a specific group of participants. Registration fees commonly cover costs for participation in the event, the catering and the provision of the conference follow up documents.

### 5.3 Sponsoring

Additional external funding could be obtained for the donor conference through sponsors and exhibitors. Please see information under section 3.5.

## 6. Coordinating the technical aspects

The following checklist could be a helpful tool for planning of event milestones and activities.

Table 6 : Checklist

Donor event organization - Milestone	Responsible persons/ units to be involved	Status
Conference date, place and concept decided Any side events agreed		
Consultation with the WCO/ROCB (as necessary)		
Decision on a specific conference logo		
Decision on the conference manager/contact person		
Agreement on the targeted audience, the expected keynote speakers, chair persons, presentations and maximum number of participants		
Advance announcement of the conference published		
Setting up contacts with conference venues and suppliers of additional service		
Budget forecast presented		
Decision on the conference budget and on funding arrangements (own budget, sponsors, registration fees)		
Decision on the venue		
Decision on additional supplies (catering/technical requirements/ interpreters/translators, etc.)		
Agenda agreed		
Arrangement of co-signature with WCO/ROCB for invitation letters (as necessary)		
Invitations sent to Chairpersons and keynote speakers		
Promotion of sponsorship published and sent to some stakeholders		
Conference registration system developed and published		

Donor event organization - Milestone	Responsible persons/ units to be involved	Status
Conference information published (if need be in several languages)		
Invitations sent to conference audience		
Keeping track of any changes in the agenda / Conference information regularly updated		
Keeping track of confirmation of conference participants including regular update of attendance list, sending of reminder letters and briefing of the management.		
Financial follow up		
Development of promotion material for distribution during the event (handouts, leaflets, etc.)		
Logistic note sent to all participants		
Presenter's note sent to expected speakers		
Briefing material sent to Chairpersons and keynote speakers (possibly also to exhibitors and sponsors)		
Keynote speeches received in advance of the conference		
If need be: translation of conference material obtained		
If need be: keynote speeches and agenda in advance shared with interpreters		
Closure of registration		
Preparation of final participants list, nameplates and name tags Information on final number of participants shared with co-workers (venue, catering service, etc.)		

Donor event organization - Milestone	Responsible persons/ units to be involved	Status
Allocation of tasks upon the event: <ul style="list-style-type: none"> <li>&gt; rapporteur</li> <li>&gt; contact person for key players</li> <li>&gt; assistance in registration and administrative issues</li> <li>&gt; photographer (in the event of no official press release)</li> <li>&gt; contact person for technical service, venue management and caterer</li> </ul>		
Conference room layout/sitting order agreed		
Delivery of all conference material to the venue		
Remaining material returned to Customs service		
Conference report finalized, distributed and published		
Appreciation letters sent		
Press release		
Financial follow-up finalized / close down briefing		
Follow-up meeting (sub-regional / national / inter-agency level)		

## SECTION II : Developing a sound business case to secure internal buy-in and external support

According to international development cooperation norms, donors mainly pledge funds for national development projects that are supported by national decision-makers and aligned with a country's National Development Strategy.

Before officially engaging with donors and embarking on the formulation of a fully-fledged project proposal, it is important to secure internal buy-in and general external support. One way to do so is to develop a sound business case. This second part of the chapter provides an overview of a process that can be followed to develop business cases.

Once the necessary internal and external support is obtained, the business case can be used as the preliminary tool to engage and negotiate with donors.

### 1. What is a business case?

A business case answers the question "What happens if we take this course of action?".

A business case outlines arguments for a proposed course of action and it is created to win support for the proposed course of action. It can be used to engage a range of stakeholders (internal and/or external) to gain support. It analyses options and makes a recommendation to follow a specific course of action.

### 2. Why develop a business case?

Developing a business case will not only help a Customs administration in identifying potential solutions to problems, it will also help it "sell" its ideas to key decision makers. A business case is developed to :

- > Gain support for all types of decisions;
- > Initiate action; or
- > Obtain resources for an initiative.

*Annex 5 provides some tips for building support for a business case.*

### 3. What are the pre-requisites to develop a business case?

Before developing a business case, it is essential to:

- > Ensure that the Customs administration has a strategic framework/plan;
- > Make an inventory/assessment of on-going and planned projects/initiatives;
- > Have a good knowledge of regional and international agreements that may influence the Customs administration's priorities.

A business case should always demonstrate alignment to a Customs administration's strategic plan, which in turn demonstrates alignment to the National Development Strategy, on which donors engage. Diagram 2 illustrates the relationships and dependencies between a business case through to contributing to strategic goals such as the Millennium Development Goals. A business case that does not fit into the stated priorities of a Customs administration will not trigger the same interest from key stakeholders and decision-makers.

Diagram 2: Relationships and Dependencies from Business Case Planning to Strategic Policies



Duplication of initiatives and projects should always be avoided. In order to ensure that the business case fits into the current and planned state of play, it is paramount to make an inventory of on-going and planned projects/initiatives<sup>1</sup>. A business case that addresses needs that are yet to be delivered has a better chance of generating interest and support.

It is possible that regional or international agreements influence the priorities of a Customs administration and could have an impact on the business case. For example, if a Customs administration is a signatory of the revised Kyoto Convention (RKC), a business case laying out a course of action to support the implementation of the RKC could be well received by the decision-makers of the Customs administration. Therefore it is essential to have a good overview of the regional and international agreements that could impact a Customs administration's priorities and activities before embarking on the development of a business case.

#### 4. Developing a business case – A six-steps process

Developing a business case can in general be broken down into a "Six-Steps Process":

- Step 1: Identify the opportunity
- Step 2: Identify alternatives
- Step 3: Gather and analyze data
- Step 4: Choose a solution and assess the risks linked to this solution
- Step 5: Create a high-level implementation plan
- Step 6: Communicate the business case

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<sup>1</sup> An example of an inventory of past, ongoing and planned projects is the WCO Project Map Database, which might be consulted at this stage, too.

## Step 1: Identify the opportunity

A business case should address one or several priority needs of a Customs administration. These identified priority needs should be linked to the strategic plan/mission objectives of the Customs administrations to catch the attention of the decision-makers.

Once the need or needs are identified it is important to develop an “opportunity statement” which will highlight the potential gain made by a Customs administration if they follow the course of action proposed by the business case. The opportunity statement needs to be rationalized or aligned. It must be linked to the organization objectives of the Customs administration. The opportunity statement should ideally be no longer than two sentences.

### EXAMPLE

#### ***Problem identified:***

*“Lack of compliance with procedures hampers trade and effective and efficient operations”*

This problem could generate multiple opportunity statements and would need to be tackled at different levels. However, for this example, let us say that institutional compliance management would address improved performance through enhanced intelligent risk management. One possible opportunity statement could be:

***“Enhance risk management capabilities of Customs administrations and/or economic operators to ensure more effective and efficient operations, thereby facilitating trade and increasing revenues”.***

## Step 2: Identify alternatives

Now that the problem is identified and the opportunity statement is formulated, it is important to identify alternatives to realize the opportunity. At this stage of the business case development, it is important to consult with relevant stakeholders within the Customs administration and outside stakeholders. This is the phase where expert advice is absolutely essential to identify all potential alternatives. Consulting the relevant stakeholders at this stage is also beneficial as the eventual proposed course of action will most likely impact on their work. Being involved at an early stage will increase their sense of ownership of the proposed course of action.

When generating alternatives, it is very important to include the “status quo” as one of the alternatives.

In order to generate alternative courses of action for realizing the identified opportunity, it is recommended to convene a group of key stakeholders for a brainstorming session.

It is likely that a brainstorming session results in the generation of numerous alternatives. Consequently, it will be important to narrow down the alternatives to, ideally, 3 to 4 (including the status quo). In order to narrow down the options, one could:

- > Combine alternatives that could reasonably be implemented together;
- > Eliminate complicated and high risk alternatives; or
- > Favour easy-to-implement over complex and difficult alternatives.

Annex 6 provides an overview of steps that could be followed to analyze alternatives and Annex 7 provides an overview of tips that could be followed to gather data.



EXAMPLE : Continuation of the example mentioned above

**Opportunity statement was:** “Enhance risk management capabilities of Customs administrations and/or economic operators to ensure more effective and efficient operations, thereby facilitating trade and increasing revenues”.

**Identification of alternatives:**

- Alternative a: Organization development to have staff dedicated to Risk Management
- Alternative b: Install (or upgrade) a Risk Management IT system
- Alternative c: Build capacities and raise awareness on procedures among staff and economic operators
- Alternative d: Remain with status quo

### Step 3: Gather and analyze data

Once several alternatives have been identified, it is important to assess them objectively in order to be able to choose the most appropriate alternative to realize the opportunity. In order to do so, it is important to define assessment criteria. The assessment criteria must be carefully selected to ensure that they can be applied to all alternatives.

At this stage it is important to be able to define the data needed to objectively compare the alternatives. All the data gathered must then be analyzed and it is important to keep the “analysis report” at hand as it is the core document justifying the selection of one alternative over the others.

EXAMPLE : Continuation of the example mentioned above:

**Possible assessment criteria:**

1. estimated level of impact on revenue collection,
2. estimated impact on cost savings and operational efficiencies,
3. estimated impact on improved reputation as a trading partner.

**Possible assessment** (1- low; 5- high) of alternatives resulting from gathering and analyzing data as well as brainstorming with key colleagues:

Alternative	Criteria 1:	Criteria 2:	Criteria 3:	TOTAL
Alternative A	4	5	3	12
Alternative B	5	5	4	14
Alternative C	3	4	4	11
Alternative D	0	0	0	0

Once this assessment has taken place, it would be ideal to narrow down the alternatives to 3 (the top two alternatives + the status quo). It is always important to keep the status quo in the short-list.

## Step 4: Choose a solution and assess the risks linked to this solution

Once the necessary data has been gathered and analyzed, an objective ranking of the alternatives should be done followed by focusing on the best ranked alternative.

In order to demonstrate that the course of action proposed has been thought through thoroughly and is transparent with the audience of the business case, the next step is to present the potential risks linked to the implementation of the proposed course of actions. As part of the Business Case, a Risk Management Plan is a useful document to present the identified risks and the potential risk mitigation strategies.

Note that the results of the risk assessment may lead to some modifications to the business case. Annex 8 provides additional advice on risk assessment and risk mitigation.

In order to assess the risks linked to an alternative, the following can be done:

- > Brainstorm session with relevant stakeholders to identify risks linked to the alternative;
- > Assess the level of probability of risks materialization;
- > Assess the level of impact of the risks materialization on the implementation of the alternative; and
- > Devise risk mitigation strategies/mechanisms.

EXAMPLE: Continuation of the example mentioned above:

**Example of potential risks linked to Alternative A (L= Low, M=Medium, H=High):**

Risk	Probability	Impact	Mitigation
Lack of adequate infrastructure (IT network, servers...)	M to H	H	Foresee adequate budget for eventual procurement activities
Lack of reliable source data	M to H	H	Raise awareness among staff and plan eventual training

## Step 5: Create a high-level implementation plan

In a business case, the implementation plan does not need to be exhaustive or detailed.

A high-level implementation plan should include several parts, which are detailed below.

### 5.1 Presentation of primary milestones

The high-level implementation plan needs to clearly identify the major milestones so that decision-makers can understand the progression of the proposed course of action, the potential gains to be made through the proposed course of action and its feasibility. These milestones, if the business case is approved, will allow them to track progress and measure the success of the proposed course of action. If the proposed course of action can be divided into phases, it would be advisable to list milestones per phase.

### 5.2 Resources/Budget

At this stage, the resource planning and budget do not have to be extremely detailed. However, it will be important to allocate

resources and budgetary lines to each phase or milestone of the proposed course of action. This would allow the decision-makers to have an overview of the cost of the proposed course of action in terms of staff and financial resources.

### 5.3 Accountability/Responsibility Table/Matrix

A possible accountability or responsibility matrix is a table used to ensure that every foreseen phase or activity is properly assigned. It enables easy understanding of each person's responsibilities within the implementation team.

In order to facilitate progress tracking and ownership of the course of action by the "implementing staff", it is advisable to name individuals/teams responsible for the delivery of each milestone. An accountability table/matrix also gives an overview to the decision-makers about the foreseen role and responsibility of each individual. Table 7 is an example of a simple version of an accountability matrix.

Table 7: Example of an accountability matrix

	Person 1	Person 2	Person 3	Person 4
Training Needs Assessment	X	X		
Training Material Preparation		X	X	
Training Sessions Held			X	
Training Sessions Evaluation	X			X

In this example, Person 1 is responsible together with Person 2 for the Training Needs Assessment. Person 1 is also responsible for the evaluations of the training sessions together with Person 4.

### 5.4 Monitoring and Evaluation Plan

If the milestones provide a good indication of progress achieved, a Monitoring and Evaluation Plan should be drafted. The plan should be designed to define success indicators and the key periods for carrying out monitoring and evaluations of the course of action. This will allow decision-makers to track the course of action's progress, efficiency and effectiveness.

*Further tips about creating an implementation plan can be found in Annex 9.*

EXAMPLE: Continuation of the example mentioned above: Alternative A

#### **Potential example:**

##### **1. Major Milestones:**

- Risk Management IT solution is operational at the Customs Admin. of country X
- The Customs Admin. of country X has the adequate IT infrastructure in place and is operational to support the new RM-IT solution
- The relevant staff of the Customs Admin of country X and other relevant Border Management Agencies are sufficiently prepared to effectively use the new RM IT solution and infrastructure

##### **2. Resources/Budget:**

Milestone a) Estimated resources to - cover costs of User Requirements Study and specification of the RM IT solution wanted; - procure and purchase of the RM IT solution wanted; - Test the RM IT solution and finalize the RM It Solution; - Roll-out the IT solution.

##### **3. Accountability/Responsibility Matrix: see example in 5.3**

##### **4. Monitoring and Evaluation Plan**

In the M&E plan, identify objectively verifiable indicators and timeframes for the delivery of the results/outputs.

## Step 6: Communicate the business case

**Before communicating the business case to the audience, it is important to understand the audience:**

- > Who will be reading the business case?
- > What is the audience's focus and interest?
- > How does the audience like to receive information?
- > Is there a certain channel to follow to submit the business case?
- > Does the audience have a business case template or any further writing instructions?

These are just examples of questions to be considered before going into the actual drafting of the business case.

In an ideal scenario, once the business case is written it would not only be submitted to the audience, but also verbally presented so that potential questions can be addressed face-to-face.

Further writing tips are provided in Annex 10. A "business case check list" is also provided in Annex 11 that could serve as a basic template for writing a business case but needs to be adapted to individual circumstances.

## SECTION III : Developing programme/project proposals according to donor's requirements and expectations

As mentioned in Section 2, donors tend to pledge funds to specific programmes/projects. In order to access these donor funds, it is crucial to be able to develop programme/project proposals according to donors' requirements. The sections below do not only present the generic "elements of a programme/project proposal" but also the 4-steps process that could be followed for the development of project proposals.

### 1. Step-by-step process to develop a programme/project proposal:

In this section, the step-by-step approach to programme/project proposal is presented. Specific information about the elements.

#### Step 1: Prerequisites

Problem Analysis or Opportunity justifying the Project. A business case would provide this information and a logical framework analysis is recommended at this stage to ensure the buy-in of the project stakeholders/beneficiaries.

#### Step 2: Fill out the Logical Framework Matrix:

- > Intervention logic (Overall Objective, Project Purpose, Results, Activities) - Column 1 of the LFM
- > Assumptions – Column 4 of the LFM
- > Indicators – Column 2 of the LFM
- > Sources of Verification – Column 3 of the LFM

#### Step 3: Carry out the detailed planning

- > Work Breakdown Structure
- > Timetable of activities
- > Costing & budgeting

#### Step 4: Drafting the project proposal

This is the stage where the actual drafting of the project proposal starts, which means populating all the sections of the project proposal, namely:

- 1. Background / rationale**
- 2. Expected Results: Overall Objective (Impact), Project Purpose (Outcome), Results (Outputs)**
- 3. Risks & Assumptions**
- 4. Cross cutting themes**
- 5. Project activities**
  - Activities – linked to the results
  - Work Breakdown Structure and work plan (timetable of activities)
- 6. Management Structure and reporting**
- 7. Budget**
- 8. Logical Framework Matrix**

## 2. Elements of a programme/project proposal

While every donor is different, most require the submitted programme/project proposal to include the following sections:

### A. Background/Rationale

In this section, the proposal presents linkages (background on the organization), the issues addressed by the proposed project, the stakeholders/beneficiaries of the proposed programme/project and the development context (identify and mention other on-going relevant donor-funded projects).

Any project proposal requires a programme/project background or rationale to explain the context to the donor organization. The intent is to convince the donor organization of the necessity of investing its resources in the programme/project. This section requires extensive research (in some cases, it requires field missions) so as to present the donor with an accurate picture of the situation and issues to be addressed. A business case, if drafted according to the recommendations presented in Section 2 of this chapter of the Compendium, should be a good source of information and data to develop this section of the programme/project proposal.

### B. Expected Results

In this section, the proposal presents the overall objective of the project, its purpose and results. It remains at the higher level and does not get into details regarding activities.

- > **The overall objective (also known as impact or goal)** relate to the wider national or sectoral objective to which the programme/project will contribute. The programme/project alone will not achieve the overall objective; it will only contribute to it. This is a long-term objective. It is important to draft this overall objective with the indicative tense "To contribute to".

EXAMPLE of overall objective could be:

*"To contribute to Country X's integration into the international and regional trading system, thereby strengthening economic development"*

- > **The project purpose (also known as outcome or specific objective)** should address the core problem(s) identified and is to be defined in terms of sustainable benefits for the target group(s). This purpose has to be achieved by the end of the programme/project and can be seen as a "medium-term" objective. It is important to use the past tense here as the project purpose describes the situation wanted at the end of the project.

EXAMPLE of project purpose could be:

*"The Customs Administration of country X has enhanced capacities to facilitate international and regional trade"*

- > **The results (also known as outputs)** refer to the tangible goods/services delivered by the project as a consequence of implementing a set of activities. They can be considered to be achieved on a "short-term" basis. The results should also be formulated in the past tense as they are to be achieved during the project life time.

EXAMPLE of project results could be:

- *"A new Risk Management IT solution is operational at the Customs Administration of country X" ;*
- *"The Customs Administration of country X has implemented its first AEO programme"*

## C. Risks/Assumptions

In this section, the proposal presents the risks and assumptions that can adversely or positively impact the proposed programme/project. It also presents the mitigation strategy envisaged to manage the identified risks. For more information on risks, please refer to the relevant section on risks under section 2 of this chapter.

Assumptions can be defined as external factors which could affect the progress or success of the project if they do not hold true, but over which the programme/project manager has no direct control.

EXAMPLE of assumption could be:  
*"The project benefits from sustainable top management support"*

## D. Cross-Cutting Themes

Donors have various "priorities", which could be divided as:

- > **Sectoral priorities**, which can be referred to as "technical priorities". They include for example, health, education, regional development, trade facilitation and, among others, private sector development
- > **Geographical priorities**, which refer to the region or countries that the donors would like to focus their efforts and resources on. The countries of focus of one donor could, for example, be located in a certain geographical area (Asia, Sub-Saharan Africa, etc.) or share commonalities (Least Developed Countries, Small Island States, etc.).
- > **Cross-cutting themes** (or thematic priorities) refer to broader social issues that are of importance to the donors.

EXAMPLE of cross-cutting themes could be:  
*"gender" or "environment"*

Integrating cross-cutting themes is another common element in programme/project proposals. Donor organizations require applicants to submit information as to how they are going to integrate certain themes into their programme/ projects. If a donor has strong views regarding gender equity, it will be important to demonstrate the benefits of the project for both women and men.

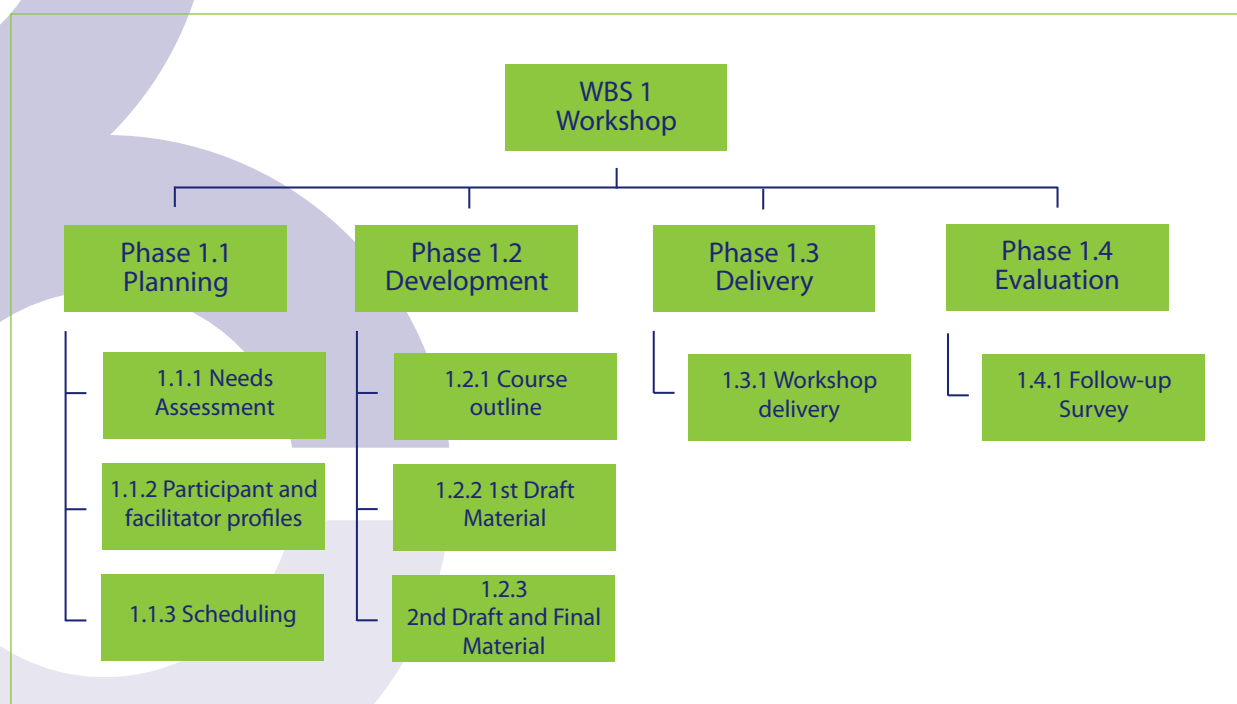
## E. Project activities, work breakdown structure and work plan (or timetable of activities)

The project activities refer to the “set of activities” carried out to “produce” the stated project results.

These activities can be presented in a chart known as the “Work Breakdown Structure” (WBS).

A Work Breakdown Structure is “a deliverable-oriented grouping of project elements that organize and define the total work scope of the project. Each descending level represents an increasingly detailed definition of project work.”<sup>1</sup> Diagram 3 is an example of a Work Breakdown Structure for a workshop, imagining that the workshop is one of the result or outputs to be delivered by the project.

*Diagram 3: Example Configuration of a “Work Breakdown Structure”*



One important element of any proposal is the “work plan”. The work plan is the chart (or timetable) that schedules and sets out the activities (may include resources) necessary to deliver the results and achieve the project purpose.

<sup>1</sup> Source : PMBOK Guide.

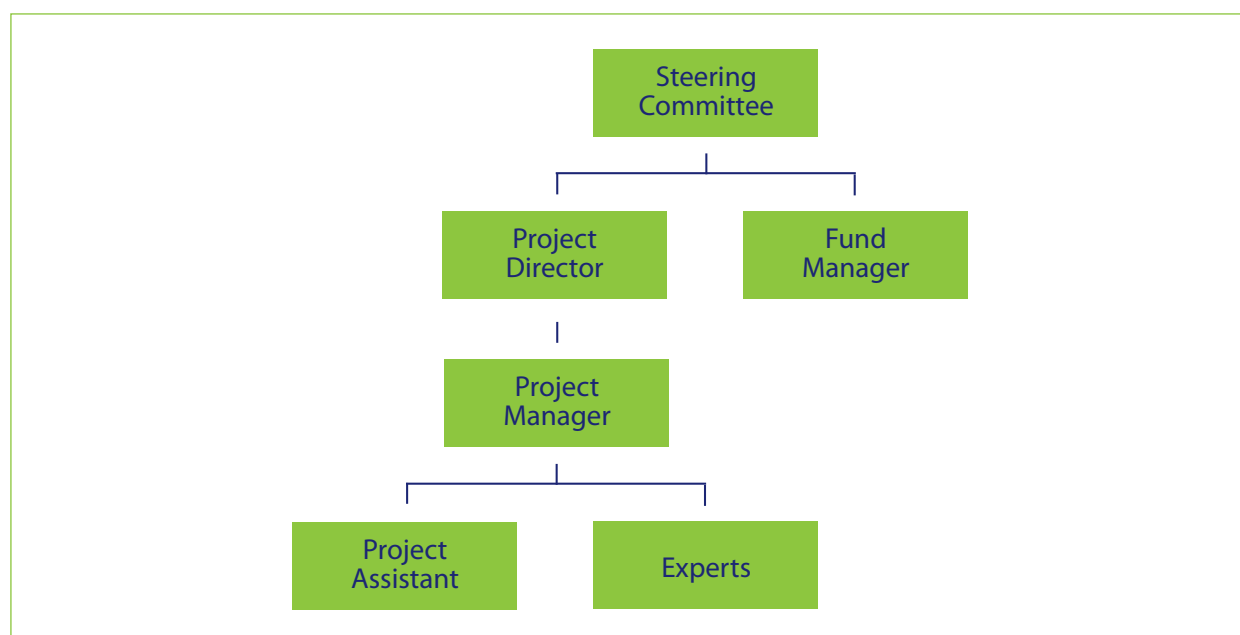


## F. Management structure and reporting scheme

In this section, the proposal does not only describe the envisaged programme/project management structure to manage and implement the project, but also the foreseen reporting scheme.

Depending on the programme/project, the **management structure** can vary. However, some common elements include the Steering Committee, Programme/Project Director and Project Manager. Diagram 4 reflects an example of a Programme/Project Management structure.

*Diagram 4: Example of Project Management Governance Structure*



More information about Steering Committees, Project Directors and Project Managers is available in Chapter 5, Project Management of this Compendium. In summary, the roles and functions are generally:

- > The **Steering Committee** provides overall orientation to the project and may be composed of some or all of the following stakeholders: project sponsors, representatives of the project beneficiary target groups, project director, fund manager and project manager.
- > The **Project Director** or **Programme Manager** oversees the delivery of the project results and activities. He/She provides guidance to the Project Manager and validates documents to be submitted to the project sponsors and steering committees.
- > The **Fund Manager** is responsible for ensuring that the funds spent under the project are eligible and spent according to the financing agreement conditions.
- > The **Project Manager** is responsible for the delivery of the project results and activities, under the supervision of the Project Director. He/ She is responsible for the preparation of all key project management documents, which include, among others, the annual work plans and risk management plans.

The reporting scheme does not only present the (type of) reports to be submitted throughout the programme/project but also the timing of their submission. While the reporting requirements change from one programme/project to the other, progress reports and evaluation (both mid-term and final) reports are usually requested by donor agencies. Progress reports and evaluation matters are introduced in a latter item on project management under this chapter of the Compendium.

## G. Budget

In this section, the proposal presents the budgeting step. Each donor requires the budget to be presented in a different way. However and increasingly, donors require the budgets to be broken down against a set of activities. Table 8 shows a hypothetical example of an overall budget exercise.

*Table 8: Allocating funds for an overall budget*

Overall Budget		1 080 000
Result 1: A new Risk Management IT solution is operational at the Customs Administration of country X		
Activities	Description	Cost in EUR
1.1	To elaborate the User Requirement and to define the specifications of the IT solution desired	50 000
1.2	To develop the IT solution desired	125 000
1.3	To purchase the equipment needed to run the IT solution desired	150 000
1.4	To test and finalize the IT solution	50 000
1.5	To roll-out the IT solution to the whole administration	125 000
Result 1 Total		500 000
Result 2: The Customs Administration of country X has implemented its first AEO programme		
2.1	To establish a Working Group on AEO, including the relevant public and private sector stakeholders to agree on the AEO programme criteria and monitor the progress of the AEO programme	60 000
2.2	To deliver training on Audit, Post-Clearance Audits and Risk Management to Customs officers and Customs brokers and economic operators	120 000
2.3	To carry-out a pilot phase of the AEO programme with 10 selected and compliant companies from key import/export areas	120 000
2.4	To review the pilot phase and make amendments to the AEO accordingly	35 000
2.5	To raise awareness about the new AEO programme among the business community	25 000
2.6	To roll-out the AEO programme to companies requesting AEO accreditation and meeting the eligibility criteria	120 000
Result 2 Total		580 000

Activity Cost Estimates are a valuable project management tool for determining the costs for a project. Much like how a project's work is broken down into activities and work packages, the activity cost estimate breaks the project's costs down to the activity/task level in order to improve the reliability and accuracy of the estimate.

The activity cost estimate considers each project activity and the costs associated with completing the activity. These costs include direct costs for project resources, indirect costs which may be passed on to the project and the amount held in contingency reserve for the activity. A given activity may have many resources allocated to it which all must be accounted for as part of the estimate for that activity. It really depends on organizational arrangements and the project on how much detail is included.

One characteristic of the activity cost estimate is documenting how the estimate was determined. This is usually done by either analogous or parametric estimating. **Analogous estimating** is done using similar past projects or activities to estimate cost. **Parametric estimating** is done by determining and using a unit cost calculated over a duration or quantity of units. Parametric estimating is usually more accurate and should result in a higher confidence level.

Another characteristic of the activity cost estimate is that it often uses a range for the activity's cost estimate as well as a confidence level. At different stages of project planning some activities may be more well-defined which may result in a much higher confidence level than that of an activity with more unknowns. It is important to note that like most project management documentation, the activity cost estimate should continue to be revised and improved throughout the project's lifecycle. Table 9 is a simple example of what an Activity Cost Estimates document structure could look like. Table 10 uses the same structure and provides an example of a simulated spreadsheet with Activity Cost Estimates included.

In general, the more information and detail that is available for an activity, the more accurate the activity cost estimate will be. Once activity cost estimates are completed for all of a project's activities, these can then be used to develop the overall project cost estimate.

*Table 9: Example of Activity Cost Estimates Document Structure*

Activity Cost Estimates							
Project: Name of Activity:							
WBS Number	Resource / Nature of Cost	Unit	Number of units needed	Price per unit In (name currency)	Total Cost of Resource	Budget Line	Method
This should be the WBS number from the Work Breakdown Structure	Type of resource (labour, material, equipment, service, etc.)	Type of unit used to estimate resource cost (working hours, working days, days...)	Number of units needed	Price per unit	= (Number of units needed * Price per unit)	It could be that donors ask that the budget is itemized according to specific budget lines. In this column, the cost of a resource to a specific budget line can be attributed	Method used to calculate (parametric or analogous)

Table 10: Example of Spreadsheet with Simulated Activity Cost Estimates Included

Activity Cost Estimates							
Project: Upgrade of the IT structure for Customs Risk Management System							
Name of Activity: Delivery of Training Workshop (Activity 1.3)							
WBS Number	Resource / Nature of Cost Description	Unit	Number of units needed	Price per unit In (name currency)	Total Cost of Resource	Budget Line	Method
1.3.1	Service (Venue hire and venue services, including interpretation, lunch and coffee breaks)	Days	5	300	= 5 *300 = 1500	N/A	Parametric
1.3.2	Service (Accommodation for participants)	Nights	90	100	= 90 * 100 = 9000	N/A	Parametric
1.3.3	Service (Accommodation for workshop facilitators)	Nights	14	100	= 14 * 100 = 1400	N/A	Parametric
1.3.4	Workshop Facilitator 1 - Fees	Working Days (person/ days)	7	300	= 7 * 300 = 2100	N/A	Analogous
1.3.5	Workshop Facilitator 2 – Fees	Working Days (person/ days)	7	0	= 7 * 0 = 0	N/A	Parametric
1.3.6	Travel costs - Participants	Flight	2	1000	= 15 * 1000 = 15000	N/A	Analogous
1.3.7	Travel costs – Facilitators	Flight	2	2500	= 2 * 2500 = 5000	N/A	Analogous
1.3.8	Per diems Costs Partici- pants	Nights	90	80	= 90 * 80 = 7200	N/A	Parametric
1.3.9	Per diem Costs Facilitators	Nights	14	80	= 14 * 80 = 1120	N/A	Parametric


## H. Logical Framework Matrix

The Logical Framework Matrix (LFM), or Logframe, is the tool/product/document used to present the logical framework analysis/approach, i.e. the logical flow of levels of results and to measure them.

The Logical Framework Approach (LFA) is mainly used for the design, monitoring and evaluation of international development programmes/projects but can be used for all programmes/projects. This approach requires stakeholders to come together to set the plan for implementation and monitoring. The present document will not go into the details of the LFA but will only present the LFM, which has become a typical component of donor-funded project/programme proposals.

Drafting a Logical Framework usually begins with a four x four project table as depicted in Table 11.

Table 11: Basic Logframe Table

 Logical FRAMEWORK			
Logic	Indicators	Source of verification	Assumptions
Overall Objective/Impact	How the objective is to be measured - quantity, quality, time?	How will the information be collected, when, by whom?	
Purpose/Outcome	How the purpose is to be measured - Q, Q, T?	As above	<b>IF</b> the purpose is achieved, <b>WHAT</b> assumptions must hold true to achieve the overall objective?
Results/Outputs	How the results are to be measured - Q, Q, T?	As above	<b>IF</b> the results are achieved, <b>WHAT</b> assumptions must hold to achieve PP?
Activities			As above

The four rows are used to describe the four different levels of “events/results” that take place throughout project implementation: the project Overall Objective /Impact(Long-Term), Purpose/Outcome (Medium-Term), Results/Outputs (Medium to Short-Term) and Activities (Short-Term to Immediate).

The four columns provide different types of information about the “events/results” in each row:

- > The first column (left column) is used to provide a “narrative description” of the events. The first column of the logframe matrix is often referred to as the “Intervention Logic”. The intervention logic is a depiction of the causal relationships between the activities, results (also known as outputs), purpose (also known as outcome) and overall objective (also known as impact) of a given programme/project or initiative/policy. It is important to note the following:
  - The programme/project should only contribute to “**one** overall objective”;
  - The programme/project should only aim to achieve “**one** project purpose”;
  - The programme/project should only aim to achieve the project purpose through ideally “**three to five**” results;
  - Ideally, each result can be achieved through 4 to 8 activities.
- > The second column lists one or more Indicators (usually referred to as Objectively Verifiable Indicators, or OVIs) of these events taking place. They are formulated in response to the question “How would we know whether or not the project objectives have been achieved? How do we verify success?” They describe the project’s objectives in operationally measurable terms (quantity, quality, time). In general, it is recommended to limit the number of indicators to 3 per level of “events/results”. The formulated indicators should try to be “SMART”:

- Specific to the objective it is supposed to measure;
- Measurable (quantitatively or qualitatively);
- Available at an acceptable cost;
- Relevant to the information needs of stakeholders and the persons involved in the programme/project management structure; and
- Time-bound – so we know when we can expect the objective/target to be achieved.

- > The third column describes the Source of Verification where information will be available on the indicators. One thing is to know what indicators are used to measure the level of achievement of the stated project objectives. The other thing is to know where information about this indicator can be found. The third column indicates the “source of verification”.
- > The fourth column lists the Assumptions. Please see section “2.c” above on “assumptions” for more information.

The core of the Logical Framework is the «temporal logic model» that runs through the matrix. This takes the form of a series of connected propositions:

- > If these Activities are implemented, and these Assumptions hold, then these Outputs will be delivered;
- > If these Results are delivered, and these Assumptions hold, then this Purpose will be achieved; and
- > If this Purpose is achieved, and these Assumptions hold, then this Goal will be achieved.

*Diagram 5: Temporal Logical Model of the Logframe*

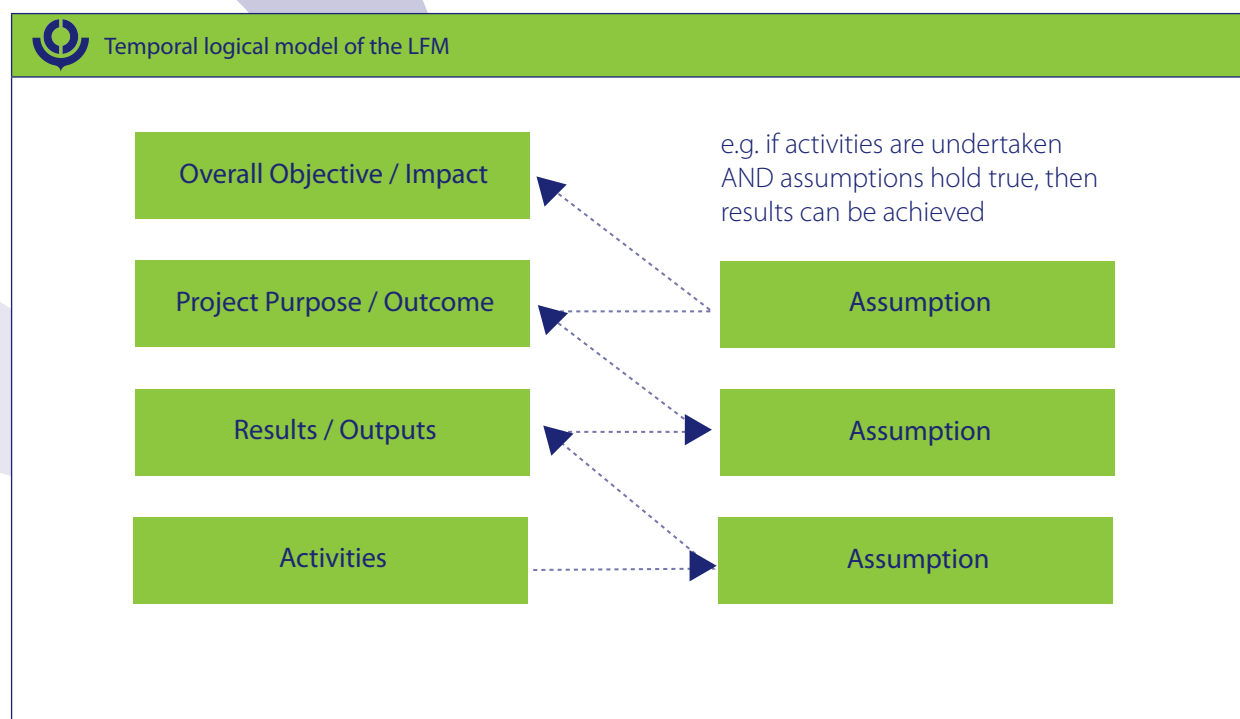



Table 12 provides an overview about the steps to follow when building the LFM. Cell number 1 refers to the first cell to fill in whereas 13 is the last cell to be filled in when building the LFM. An example of a partially filled-up logical framework can be found on in Annex 12 for further reference.

*Table 12: Sequence for compiling the cells in a Logframe*

 Steps to follow when building the LFM				
	1. Intervention logic	2. Verifiable indicators	3. Sources of verification	4. Assumptions
Overall objective/impact	1	8	9	
Project purpose/outcome	2	10	11	7
Results/Outputs	3	12	13	6
Activities	4a	4b	4c	5

### 3. Monitoring and evaluation of development aid projects: key principles

As mentioned in Section 2, donor organizations tend to grant funds for specific programmes/projects that will:

- > Contribute to an overall objective;
- > Achieve specific objective;
- > Deliver results; and
- > Implement a succession of activities to deliver the results, achieve the specific objective that in turn contributes to the overall objective.

#### So, how does one track and measure the success of a programme/project?

Like all projects, development aid projects require to be monitored and evaluated closely. Donors, for the most cases, require:

- > Regular reports (both narrative and financial) to closely monitor the project's progress;
- > Mid-Term and Final Evaluations to be carried out by external professional programme/project evaluators.

In the absence of effective monitoring and evaluation, it would be difficult to know whether the intended results are being achieved as planned, what corrective action may be needed to ensure delivery of the intended results and whether initiatives are making positive contributions towards development/modernization.

According to the United National Development Programme (UNDP) Handbook on Planning, Monitoring and Evaluating for Development Results, “monitoring and evaluation relate to pre-identified results in a development plan and/or project proposal’s logical framework”. They are driven by the need to account for the achievement of intended results and provide a fact base to inform corrective decision-making.

#### 1. Monitoring

##### A. Definition and importance

The UNDP Handbook on Planning, Monitoring and Evaluating for Development Results further notes that “monitoring provides opportunities at regular pre-determined points to validate the logic of a programme/project, its activities and their implementation and to make adjustments as needed.”

When carrying out a monitoring exercise of a programme/project, the intent is to answer the following questions:

- > Are the pre-identified outputs being produced as planned and efficiently?
- > What are the issues, risks and challenges being faced or foreseen that need to be taken into account to ensure the achievement of results?
- > What decisions need to be made concerning changes to the already planned work in subsequent stages?
- > Will the planned and delivered outputs continue to be relevant for the achievement of the envisioned outcomes?
- > Are the outcomes we envisaged remaining relevant and effective for achieving the overall national priorities, goals and impacts?

##### B. The critical role of reporting against the logical framework to track and measure progress

Each programme/project comes with a “reporting scheme” that allows the development partner, the implementing agency (if there is one) and the beneficiary to track and measure the project’s progress. This reporting scheme usually includes progress reports (quarterly), annual reports, final report, financial reports as well as mid-term and financial evaluation reports.

In light of the above, it is clear to see that reporting is not just an “administrative or legal requirement”, it is an important programme/project management activity to be carried out as it allows the monitoring of the project and the partners to make informed decisions and/or take corrective measures to ensure that the project will achieve its stated results.



When reporting, it is logical to report against the information provided in the logical framework, namely against the indicators presented. A complete logical framework/Logframe often has a total of 6 columns:

- > The 4 mandatory columns (Intervention Logic, Indicators, Sources of Verification, Assumptions); and
- > 2 extra rows: baseline data and target.

These two extra rows identify:

- > The situation of the indicator at the beginning of the programme/project (baseline data column);
- > The situation wanted at the end of the project (target).

Table 13: Example for a hypothetical small country impacted by hard drug trafficking

Intervention Logic	Indicators	Source of Verification	Baseline Data 2014	Baseline Data 2016	Assumptions
<b>Purpose:</b> Risk Management capacities within the Customs Administration of Country X have been improved by 2016	Volume of drugs' seizures made	Seizure statistics	Volume of seizures of hard drugs: 20 kg	Volume of seizures of hard drugs: 200 kg	Risk Management is a priority of the Customs Administration of Country X and the importance of effective and efficient Customs
	Reduced crime rates	Enforcement operations reports	100%	50%	
	Reduction in drug-related deaths				
	% of goods being scanned at the country's entry points				

If such a logical framework is provided from the outset, reporting against the logical framework will provide the necessary information to the programme/project team and development partners to track and measure the progress of the project. The reports will contribute to the close monitoring of the project.

## 2. Evaluation

### A. Definition and importance

Evaluation is an integral part of programme management and a critical management tool. After implementing and monitoring an initiative for some time, it is important to take stock of the situation through an external evaluation.

According to the Organization for Economic Cooperation and Development (OECD)'s Development Assistance Committee (DAC):

*"Robust, independent evaluation of development programmes provides information about what works, what does not and why. This learning contributes to improving the development effectiveness of aid and helps hold donors and partner country governments accountable for results".*

The benefits of carrying out external mid-term and final evaluations are clear:

- > They provide feedback that can be used to improve programming, policy and strategy;
- > They identify unintended results and consequences of development initiatives, which may not be obvious in regular monitoring as the latter focuses on the implementation of the development plan / programme/project; and
- > They contribute to organizational learning as well as the global knowledge base on development effectiveness.

## B. Evaluation Criteria

In order to evaluate a development project, the global development community has identified the following five criteria as the main evaluation criteria that can guide the evaluation of development projects. The following section is a verbatim extract from the OECD DAC website:

- > **Relevance:** the extent to which the aid activity is suited to the priorities and policies of the target group, recipient and donor.

In evaluating the relevance of a programme or a project, it is useful to consider the following questions:

- To what extent are the objectives of the programme still valid?
- Are the activities and outputs of the programme consistent with the overall goal and the attainment of its objectives?
- Are the activities and outputs of the programme consistent with the intended impacts and effects?

- > **Effectiveness:** a measure of the extent to which an aid activity attains its objectives.

In evaluating the effectiveness of a programme or a project, it is useful to consider the following questions:

- To what extent were the objectives achieved / are likely to be achieved?
- What were the major factors influencing the achievement or non-achievement of the objectives?

- > **Efficiency:** efficiency measures the outputs -- qualitative and quantitative -- in relation to the inputs.

It is an economic term which signifies that the aid uses the least costly resources possible in order to achieve the desired results. This generally requires comparing alternative approaches to achieving the same outputs, to see whether the most efficient process has been adopted.

When evaluating the efficiency of a programme or a project, it is useful to consider the following questions:

- Were activities cost-efficient?
- Were objectives achieved on time?
- Was the programme or project implemented in the most efficient way compared to alternatives?

- > **Impact:** the positive and negative changes produced by a development intervention, directly or indirectly, intended or unintended.

This involves the main impacts and effects resulting from the activity on the local social, economic, environmental and other development indicators. The examination should be concerned with both intended and unintended results and must also include the positive and negative impact of external factors, such as changes in terms of trade and financial conditions.

When evaluating the impact of a programme or a project, it is useful to consider the following questions:

- What has happened as a result of the programme or project?
- What real difference has the activity made to the beneficiaries?
- How many people have been affected?

- > **Sustainability:** sustainability is concerned with measuring whether the benefits of an activity are likely to continue after donor funding has been withdrawn.

Projects need to be environmentally as well as financially sustainable.

When evaluating the sustainability of a programme or a project, it is useful to consider the following questions:

- To what extent did the benefits of a programme or project continue after donor funding ceased?
- What were the major factors which influenced the achievement or non-achievement of sustainability of the programme or project?

# ANNEXES

## ANNEX 1 - Examples of invitation letter



WORLD Customs ORGANIZATION  
ORGANISATION MONDIALE DES DOUANES

Established in 1952 as the Customs Co-operation Council  
Créée en 1952 sous le nom de Conseil de coopération douanière

The Secretary General

Brussels, xx March, 2012

Dear Director General,

I am pleased to inform you that the World Customs Organization (WCO), in cooperation with Royal Thai Customs and the Asia Pacific Regional Office for Capacity Building (ROCB A/P), and with the sponsorship from the Japanese Customs Cooperation Fund (CCF Japan), is organising a **Regional Workshop on Partnership for Customs Modernization**. This workshop will be held from **28 May to 1 June 2012** in Bangkok, Thailand and will be conducted in English.

The week is composed of two parts. From Monday 28 to Wednesday 30 May, Customs administrations will meet together to find out more about partnership with development partners and exchange experiences about their Customs Reform and Modernization process. This three-day session will be followed by a two-day WCO Regional Dialogue with developing partners on Donor Engagement and Customs Capacity Building, from Thursday 31 May to Friday 1 June 2012.

The whole workshop is part of the WCO's ongoing efforts to enhance cooperation and engagement among its Members and prospective development partners in the area of Customs Capacity Building. The objective of the workshop is to provide an overview of the WCO Capacity Building approach and of current progress within each administration or region under the umbrella of the WCO and development partners, in order to discuss successes achieved as well as challenges faced, and identify potential areas of future cooperation.

The main aim of the first three-day session is to exchange information on successful experiences and challenges in the reform and modernization projects, particularly, in the light of receiving supports from development partners. It is expected that some Members will deliver a progress report on their strategic and action plans, and introduce their experience of partnership with the development partners. Discussion at sub-regional level on common needs, priorities and challenges are also planned during the session.

.../...



.../...

During the two-day regional dialogue, the outcome of the first three days of the week will be presented to the development partners. The development partners are also expected to introduce their strategy, assistances and the area of interests. It is believed that this approach will encourage interaction and discussion between Members and the various development partners present. We hope to generate positive synergies between all those working in the region to avoid issues of duplication and overlap.

This workshop is specifically targeted at Director (or equivalent executives) who are responsible for reform and modernization programmes. In order to take full advantage of this Workshop, the nominated participant should be able to communicate in English. It should be noted that participants in this Workshop will be expected to report the outcomes of the Workshop back to their respective administrations and take a leading role in improving the partnership with developing partners.

In the margins of the Workshop, there will also be an opportunity for participants to meet with development partners bilaterally.

I should be grateful if you would ensure that the duly completed registration form will be received **no later than Friday 13 April, 2012**. Please return them to the following **addresses**:

Ms. AAA Thai Customs Officer WCO ROCB A/P Tel : +662-667-XXXX Fax : +662-671-YYYY E-mail :	Mr. BBB Capacity Building Directorate, WCO Tel : +322 209 ZZZZ Fax : +322 209 AAAA E-mail :
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Funding for the workshop, including airfare, accommodation and per-diem for one participant from each eligible country will be supported by the CCF Japan through the ROCB A/P. Your administration qualifies for such funding. Should you wish to designate a second participant to attend this Workshop, please bear in mind that he or she may attend the workshop at your administration's own expenses.

You may direct any inquiries on logistical issues to Ms. AAA (e-mail address of AAA). Upon request, the ROCB can also provide assistance to obtain an entry visa for Thailand. For other enquiries, please have your staff contact Mr. BBB (e-mail address of Mr. BBB).

I thank you for your ongoing cooperation.

Yours sincerely,

Kunio Mikuriya.



WORLD Customs ORGANIZATION  
ORGANISATION MONDIALE DES DOUANES

Established in 1952 as the Customs Co-operation Council  
Créée en 1952 sous le nom de Conseil de coopération douanière

The Secretary General

Brussels, xx March, 2012

Dear Madam,  
Dear Sir,

I am pleased to invite you to a two-day **WCO Regional Dialogue with Development Partners** on Customs Capacity Building, organized by the World Customs Organization (WCO) in cooperation with Royal Thai Customs and the Asia Pacific Regional Office for Capacity Building (ROCB A/P). It will take place from Thursday 31 May to Friday 1 June 2012 in Bangkok, Thailand and will be conducted in English.

The Dialogue is part of the ongoing efforts of the WCO to enhance cooperation and engagement amongst its members and prospective development partners on Customs capacity building. The objectives of the workshop are to provide an overview of the WCO Capacity Building approach and of current progress within each administration or region under the umbrella of the WCO and development partners, to discuss successes as well as challenges faced, and to identify potential areas of future cooperation.

At the two-day Dialogue, the development partners are expected to introduce their strategy, assistances and the area of interests in the light of Customs Capacity Building. The pragmatic guidance to participating Customs administrations will be highly appreciated. Therefore, we kindly ask that all participants bring information on their current or foreseen projects in the Asia Pacific region. The Dialogue will be held directly after the session among Customs administrations for discussing Customs reform and modernization. The outcomes of this session will be presented to the development partners.

This approach is believed to encourage interaction and discussion between members and the various development partners present. We hope to generate positive synergies between all those working in the region to avoid issues of duplication and overlap.

In the margins of this event, there will be an opportunity for participants to meet bilaterally with Customs administrations from WCO Asia Pacific region, other development partners as well as the WCO Secretariat and the ROCB.

.../...



.../...

For your first information, you can click on the following link to access a set of e-brochures around the work of the WCO in Customs Capacity Building: <http://transfer.wcoomd.org/message/100hngylsQNIv5eKkmg1Ym>. You might also want to visit the WCO website [www.wcoomd.org](http://www.wcoomd.org).

We hope that we can count on your presence and your support during this important event. I would be grateful if you could ensure that the duly completed registration form will be received no later than **Friday 4 May, 2012**. Please return them to the following **addresses**:

Ms. AAA Thai Customs Officer WCO ROCB A/P Tel : +662-667-XXXX Fax : +662-671-YYYY E- mail :	Mr. BBB Capacity Building Directorate, WCO Tel : +322 209 ZZZZ Fax : +322 209 AAAA E- mail :
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You may direct any inquiries on logistical issues to Ms. AAA (e-mail address of AAA). Upon request, the ROCB can also provide assistance to obtain an entry visa for Thailand. For other enquiries, please have your staff contact Mr. BBB (e-mail address of BBB).

I look forward to your participation in this event.

Yours sincerely,

Kunio Mikuriya.

Completed form to be returned by 30 April, 2012 to :

<p>Ms. AAA Thai Customs Officer WCO ROCB A/P Tel : +662-667-XXXX Fax : +662-671-YYYY E- mail :</p>	<p>Mr. BBB Capacity Building Directorate, WCO Tel : +322 209 ZZZZ Fax : +322 209 AAAA E- mail :</p>
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**WCO Dialogue with Development Partners  
on Customs Capacity Building  
(Thailand from 31 May to 1 June 2012)**

**NOMINATION FORM**

Please type or write legibly. A separate form should be used for each delegate attending the event.

**1. Personal Particulars**

Name of Institution: .....

Prefix to the participant's name: (Mr. / Mrs. / Miss. / Other (please specify .....))

Surname: .....Given name: .....

.....

Nationality: .....Passport No.: .....

.....

Date of birth (date / month/ year): .....

Post title: .....

Office address: .....

.....

Phone: .....

Fax: .....

E-mail: .....

**2. If visa to Thailand is needed, please inform your information as below;**

Father's Name: .....

Place of Birth: .....

City where Thai Visa has been applied: .....

Complete Address where Thai Visa has been applied: .....

.....

Passport Information: .....

Date & Place of Issue: .....

Date of Expiry .....



Completed form to be returned by 13 April 2012 to :

Ms. AAA Thai Customs Officer WCO ROCB A/P Tel : +662-667-XXXX Fax : +662-671-YYYY E- mail :	Mr. BBB Capacity Building Directorate, WCO Tel : +322 209 ZZZZ Fax : +322 209 AAAA E- mail :
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**WCO Regional Workshop on Partnership for Customs Modernization  
(Thailand from 28 May to 1 June 2012)**

**NOMINATION FORM**

Please type or write legibly. A separate form should be used for each delegate attending the event.

**1. Personal Particulars**

Name of Country: .....

Prefix to the participant's name: (Mr. / Mrs. / Miss. / Other (please specify .....))

Surname: .....Given name: .....

.....

Nationality: .....Passport No.: .....

.....

Date of birth (date / month/ year): .....

Post title: .....

Office address: .....

.....

Phone: .....

Fax: .....

E-mail: .....

**2. If visa to Thailand is needed, please inform your information as below;**

Father's Name: .....

Place of Birth: .....

City where Thai Visa has been applied: .....

Complete Address where Thai Visa has been applied: .....

.....

Passport Information: .....

Date & Place of Issue: .....

Date of Expiry .....

**3. Travel itinerary**

Name of the city of departure/arrival in your country: .....

Please note that air ticket will be arranged and sent by the ROCB A/P to the above office address or e-mail address (e-ticket) for participants who are eligible for CCF Japan.

**4. Dietary Requirements**

(Vegetarian, etc.):.....

**5. Other communication to the coordinators, if any:**.....

## ANNEX 3 - Examples of agenda

### WCO Asia/Pacific Regional Dialogue between the Customs Administrations in the region and the Development Partners on Partnership for Customs Modernization Bangkok, Thailand, 28 May – 1 June 2012

#### Day 1-3: Regional workshop on the Partnership for Customs Modernization (Customs Members only)

##### Day 1 May 28 (Monday)

Main Subject: Global/Regional policy on CB

Chair: ROCB A/P

Time slots	Activities	Remarks
0900 - 0930	Registration	ROCB
0930 - 1230	<ul style="list-style-type: none"><li>&gt; Opening ceremony</li><li>&gt; Group Photo</li><li>&gt; WCO Capacity Building Policy and Activities and its tools and instruments</li></ul>	WCO
1230 - 1330	Lunch	
1330 - 1700	<ul style="list-style-type: none"><li>&gt; Capacity Building Strategy</li><li>&gt; ROCB outline and its role on regional support</li><li>&gt; A/P capacity building needs survey</li><li>&gt; Progress report on Customs Reform and Modernization : Presentation from A, B and C on the progress of Customs modernization efforts based on the Columbus program.</li></ul>	WCO ROCB ROCB Representatives from A, B and C

##### Day 2 May 29 (Tuesday)

Main Subject: Progress of Customs Reform and Modernization and the way forward

Chair: ROCB A/P

Time slots	Activities	Remarks
0900 - 1230	<ul style="list-style-type: none"><li>&gt; Progress report (continued)</li><li>&gt; Discussions on the Customs reform and modernization</li></ul>	Representatives from E, F and G
1230-1330	Lunch	

1330 - 1700	<ul style="list-style-type: none"> <li>&gt; Sub-regional discussion on how to enhance partnership with development partners. Participants are expected to discuss in particular on the key issues to invite development partner to work with Customs administration. (e.g. identification of sub-regional priority, follow- up work etc.) <ul style="list-style-type: none"> <li>- Central and West Asia Group</li> <li>- Southeast Asia Group</li> <li>- South Asia Group</li> <li>- Pacific Islands Group</li> </ul> </li> <li>&gt; Presentation by Customs administrations on their program/priority/requirement</li> </ul>	F
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### Day 3 May 30 (Wednesday)

Main Subject: Enhancing partnership with development partners

Chair: ROCB A/P

Time slots	Activities	Remarks
0900 - 1230	<ul style="list-style-type: none"> <li>&gt; Donor Coordination</li> <li>&gt; Project Map Database</li> <li>&gt; ROCB and members' experience on national meeting with development partners</li> </ul>	WCO  ROCB, Representatives from G and H
1230-1330	Lunch	
1330 - 1700	<ul style="list-style-type: none"> <li>&gt; Development of Business Case</li> <li>&gt; Discussions on the effective cooperation with donors</li> <li>&gt; Preparation for Thursday and Friday (agenda by agenda review of the process)</li> </ul>	ROCB

## Day 4-5: Dialogue session with the Development Partners

### Day 4 May 31 (Thursday)

Main Subject: improved mutual understanding between Customs and development partners

Chair: ROCB A/P

Time slots	Activities	Remarks
0900 - 0930	Registration	ROCB
0930 - 1230	<ul style="list-style-type: none"> <li>&gt; Opening ceremony</li> <li>&gt; WCO Policy on Capacity building and its tools and instruments</li> <li>&gt; Regional support on Customs modernization</li> </ul>	WCO ROCB
1230 - 1330	Lunch	
1330 - 1700	<ul style="list-style-type: none"> <li>&gt; Introduction of the priorities/requirements of the development partners (15 minutes each) Partners are expected to inform participants of for instance, their priority, requirements and the expectation to Customs for partnership</li> </ul>	Participating Development Partners

### Day 5 (Friday)

Main Subject: Exchange of views between Customs and Development Partners on how to promote trade facilitation through Customs modernization

Chair: ROCB A/P

Time slots	Activities	Remarks
0900 - 1230	<ul style="list-style-type: none"> <li>&gt; Presentation by Customs administrations on their program/priority/requirement</li> <li>&gt; Presentation by the respective sub-regional groups of Customs administration on their needs and priorities                             <ul style="list-style-type: none"> <li>- Central and West Asia Group</li> <li>- Southeast Asia Group</li> <li>- South Asia Group</li> <li>- Pacific islands Group</li> </ul> </li> </ul>	Representatives from I, J and K  Sub-regional Groups
1230 - 1330	Lunch	
1330 - 1700	<ul style="list-style-type: none"> <li>&gt; Project Map Database</li> <li>&gt; Discussion on how to enhance partnership between Customs and development partner and the next step forward</li> <li>&gt; Closing ceremony</li> </ul>	WCO

WCO Asia/Pacific Regional Dialogue between the Customs administrations in the region and  
the development partners on partnership for Customs modernization  
Bangkok, Thailand, 31 May – 1 June 2012

Day 1 (Thursday)

Time slots	Activities	Remarks
0900 - 0930	Registration	
0930 - 1200	<ul style="list-style-type: none"> <li>&gt; Opening ceremony</li> <li>&gt; Group Photo</li> <li>&gt; Introduction of WCO Policy on Capacity building and its tools and instruments</li> <li>&gt; Introduction of regional support on Customs modernization</li> </ul>	WCO  ROCB A/P
1200 - 1300	Lunch	
1300 - 1700	<p>&gt; Information session on development partners' programs/priorities (15~20 minutes respectively)</p> <p>Note: Participating Development Partners are invited to introduce your institution/organization and/or programs/priorities for better mutual understanding (15~20 minutes each). In order to help improve the understanding of Customs administrations in particular on your institution/organization, it would be most appreciated if you could cover the following points in your presentation.</p> <ul style="list-style-type: none"> <li>- Outline of your institution/organization</li> <li>- Your existing Customs-related programs/projects in the A/P region</li> <li>- Your priorities/interests/concerns</li> <li>- Advice to Customs administrations to further enhance cooperation between Customs modernizations and your institution/organization</li> </ul>	Participating Development Partners

## Day 2 (Friday)

Time slots	Activities	Remarks
0900 - 1230	<ul style="list-style-type: none"> <li>&gt; Information session on development partners' programs/priorities (continued)</li> <li>&gt; Presentation by the respective sub-regional groups of Customs administration on their needs and priorities                             <ul style="list-style-type: none"> <li>- Central and West Asia Group</li> <li>- Southeast Asia Group</li> <li>- South Asia Group</li> <li>- Pacific islands Group</li> </ul> </li> </ul>	<p>Representatives from I, J and K</p> <p>Sub-regional Groups</p>
1230 - 1330	Lunch	
1330 - 1700	<ul style="list-style-type: none"> <li>&gt; Project Map Database –WCO tools for better engagement of prospective development partners</li> <li>&gt; Exchange of views among the Customs administrations, development partners and WCO/ROCB A/P on how to enhance partnership for Customs modernization. This may include identification of follow up.</li> <li>&gt; Closing ceremony</li> </ul>	<p>WCO</p> <p>Development Partners and Customs administrations</p>

## ANNEX 4 – Examples of presenters note and logistic note

### Presenter's note for the session on "Experience on National Meeting with Development Partners" WCO A/P Regional Workshop on the Partnership for Customs Modernization Bangkok, Thailand (Allocated Time and Day)

#### 1. Objective

Your countries, XXX and YYY, have experience on organizing national donor meeting and ROCB A/P highly valued the effectiveness of the meeting for the enhancement of partnership with development partners. ROCB A/P is now discussing with several regional members to organize this event in their countries. The purpose of this session is to share your valuable experience on organizing national donor meeting to facilitate the preparation of interested countries after this regional workshop as one of the follow up work. This session is also aimed at preparing for the dialogue with the development partners to be held on Day 4 and Day 5 of the Workshop.

#### 2. Expected topics to be covered by your presentation

In order to facilitate discussion among Customs participants, we expect that roughly the following topics will be covered by your presentation.

- > Why you organized national donor meeting
- > Outline of the meeting (e.g. participants, agenda etc)
- > Experience during the preparation
- > Experience during the meeting
- > Experience after the meeting
- > Difficulty and the key for the successful organization of the meeting

#### 3. Session flow

In order to achieve the objective above, this session will roughly be divided into 5 parts as follows;

- > General Introduction of topic by the moderator (ROCB A/P, and the WCO);
- > Presentation by Mr. XXX on the ROCB experience on the organization of national meeting with development partners.
- > Presentation by A and B (20-minute each)
- > Q&A
- > Discussion among Customs participants on the way forward.

#### 4. Preparation

Please prepare your presentation and send it to the following ROCB staff by deadline date at the latest. If you have any questions, please feel free to contact ROCB A/P.

Mr. AAA (E-mail address of AAA)

Ms. BBB (E-mail address of BBB )

**WCO A/P Regional Dialogue on Partnership  
for Customs Modernization  
Bangkok, Thailand  
Designated Date**

Dear Partners,

Thank you very much for your interest in participating in the upcoming World Customs Organization (WCO) Asia Pacific Regional Dialogue on Partnership for Customs Modernization to be held at King Power Hotel in Bangkok on Designated Date. Directors of the Customs Administrations in the A/P region who is responsible for their Customs reform and modernization as well as many prospective development partners are expected to get together in Bangkok to discuss how to enhance partnership for Customs modernization in mutually beneficial manner.

The primary objective of this dialogue is to deepen mutual understanding between Customs administrations in the Asia Pacific Region and the prospective development partners participating in this dialogue for instance on their programs, needs, priorities, interests and concerns. For this purpose, the Customs administrations are going to meet and discuss national/regional priorities prior to this dialogue to prepare. At the same time, the WCO and the Asia Pacific Regional Office for Capacity Building (ROCB A/P) would like to request your institution/organization to make short presentation (for 15-20 minutes including Q&A) during the dialogue to introduce your program/priorities/concerns for the better understanding of Customs administrations. The presentations are expected to be made at the "Information session on development partners program/priorities" scheduled for the afternoon of designated Date.

ROCB A/P, facilitator to this dialogue, prepared this brief note for you to facilitate your preparation.

The objective of this session is to provide opportunities for Customs administration to know more about your institution/organization by informing your program/priorities and concerns. Considering the usefulness of this dialogue for deepening understanding of Customs administrations to your institution/organization, participating development partners will be invited to make presentation by turns and we would appreciate it if you could cover the following topics

(Topics may be covered)

- > Outline of your institution/organization
- > Your existing Customs-related programs/projects in the A/P region
- > Your priorities/interests/concerns
- > Advice to Customs administrations to further enhance cooperation between Customs modernizations and your institution/organization

We would really appreciate it if you could send us your presentation by deadline date at the latest to prepare for hard copies of your presentation. If you have any questions, please contact the following ROCB A/P staff in charge.

Mr. AAA (e-mail address of AAA)  
Ms. BBB (e-mail address of BBB)



Dear participants & colleagues,

**Subject: WCO Regional Workshop on Partnership for Customs Modernization  
(Thailand from 28 May to 1 June 2012)**

This logistics note is jointly prepared by the World Customs Organization Regional Office for Capacity Building (ROCB) and Thai Customs to ensure a pleasant and fruitful Seminar. It aims to explain the current status in preparation and keep you updated on the coming event. Hereby, ROCB would like to express our sincere appreciation to Thai Customs, especially, Customs Academy, for their due support and dedication to this special event.

## 1. Logistics

### 1) Travel details

The participants for whom ROCB arranges the air ticket will receive the e-ticket through e-mail from HIS, travel agency in Bangkok, by Date, Month and Year at the latest. If you have not received the ticket then, please contact ROCB immediately. If, for any reason, the air ticket booked is not used, the entire ticket should be returned back to ROCB (this is quite important for ROCB to recuperate the money from the airline company) and should immediately inform ROCB.

The participants who arrange the ticket by themselves are requested to inform ROCB the travel details no later than Date, Month and Year. It is necessary to arrange accommodation and airport transportation.

The staff from Thai Customs will kindly welcome you near Customs Control Area at Suvarnabhumi International Airports and offer a transfer between the airport and the accommodation venue.

The staff will be holding the sign board with the logo of the World Customs Organization (WCO) and your name:

If you cannot find the welcoming staff or for any emergency, please call Ms. /Ms. Responsible person's Name at phone: 02-XXX-YYYY ext ZZZZ, mobile: 081-AABCCDD then follow the instructions given to you.

### 2) Visa

Participants who need a visa for entering Thailand should obtain it from the nearest Thai Embassy or Consulate. Please check and arrange the visa by yourself. If the Embassy or Consulate requires the visa note from Thai Customs, please inform ROCB and Thai Customs. Thai Customs will issue and send you a visa note to facilitate your visa application.

For further information, you may contact ROCB or directly consult the contact person of Thai Customs in Bangkok:

- Ms. / Mr.  
(Title of the officer)
- (Department or Division the officer belongs)
- Name of the organization
- E-mail : XXX@yahoo.com
- Tel: 02-XXXXYYY ext. ZZZZ1 and 08-AABCCDD
- Fax: 02-EEFFGGHH

### 3) Venue and accommodation

The meeting and your accommodation will be in the same venue, ABC Hotel. The hotel is located in Bangkok, around one hour drive from the Suvarnabhumi International Airport.

- ABC Hotel
- Address:
- Tel: +66 (0) IIJJKK- 9999
- Fax: +66 (0) LLMMNN- 9998
- www.ABC Hotel.com (Provide Website link of the hotel)

For the participants funded by CCF/Japan (those for whom ROCB has arranged the air ticket), the accommodation costs including breakfast will be paid directly to hotel by ROCB. Furthermore, per diem will be calculated based on the WCO and ROCB rules and will be distributed to these participants in US dollars on the first day of the seminar.

For the participants who are self-financed, please pay hotel directly. The costs for accommodation including breakfast are THB XXXX/per night. Hotel can accept a credit card.

The hotel will provide all the concerned services as well as facilities for your pleasant stay. For more information, please visit the above Pullman hotel website.

#### 4) Insurance

Participants are advised to have the proper travel/medical insurance as ROCB is not in a position to cover the medical expenses or the like.

#### 5) Climate in Thailand

It is hot during the day with a thunder and raining sometimes. The lowest temperature 26-27 degrees C (Night Time) and maximum temperature of 36-38 degrees C (Day Time). You are advised to bring comfortable clothes. (provide appropriate climate information in the host country)

#### 6) Time Difference

Thailand GMT plus 7 hours.

## 2. Seminar

#### 1) Schedule

The Opening Ceremony will be held from 09.00 a.m. on May 28. The seminar meeting room will be communicated to you upon your arrival at hotel.

The provisional agenda you have received along with the invitation letter is to be modified, and the updated version will be circulated to you duly.

#### 2) Participants

As noted in the invitation letter, the workshop is composed of two parts. The first three days are only for Customs administrations session and the last two days are invited to donors and partners. In addition, the WCO Secretariat will send resource persons and ROCB staff will facilitate the workshop.

#### 3) Materials

The WCO and ROCB, with cooperation of Thai Customs, would prepare the related materials for each of the participants.

#### 4) Certificate

Successful participants in the Seminar will be awarded a certificate of participation by the Secretariat of the WCO. (It depends on the each situation if the certificate provided or not)

#### 5) Dress Code

It is required to wear business suits at the opening and closing ceremonies.

## 3. Communication

Preparations are quite tight. For efficient work, please be sure that any communication should be made by e-mail or telephone when it is urgent to ROCB. It is also advisable to confirm the receipt of the communication information to the sender as early as possible. Please check your e-mail regularly and respond promptly (better within the day).

The officers at ROCB in charge of this workshop for logistic matters are:

Ms. CCC Thai Customs Technical Officer, Professional Level TEL: +66-AAA 7026 FAX: +66-BBB 7293 E-mail: CCC@rocbap.org	Ms. DDD Thai Customs Technical Officer, Practitioner Level TEL: +66-AAA-7026 FAX: +66-BBB-7293 E-mail: DDD@rocbap.org
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If you send e-mail to one of the above officers, please do cc to the other.

If necessary, please contact directly the contact person in Thai Customs:

- Ms. / Mr.
- (Title of the officer)
- (Department or Division the officer belongs)
- Name of the organization
- E-mail : XXX@yahoo.com
- Tel: 02-XXXXYYY ext. ZZZZ1 and 08-AABBCCDD
- Fax: 02-EEFFGGHH

Thank you for your continued co-operation.

Let's work closely for a successful event in Thailand,

With best regards,

Name  
Director (Head)  
WCO Regional Office for Capacity Building (ROCB)

## ANNEX 5: Tips for Building Support for your Business Case

### ■ Identify key stakeholders and decision-makers.

Consider who the idea will impact and who controls the resources needed to implement it? Ask how these people might respond to the idea.

### ■ Ask for input from stakeholders early in the process.

Arrange an informal meeting with key stakeholders to seek advice on the ideas in the business case. The goal in these meetings is not to present the case but to discuss it. Before meeting with stakeholders, anticipate their concerns and be prepared to answer their questions. During the meetings, try to uncover the opportunities and issues that are most important. What do they care about? How will they benefit from the idea? Have them identify any gaps they see; it's better to get input on the plan's shortcomings now than have them pointed out later in the process.

### ■ Incorporate any feedback into the case.

The discussions with stakeholders will help bring to the surface information that can be used to improve the business case and help secure approval. For example, it may expose which business objectives are most important to key decision-makers. Options can then be evaluated against these objectives. In addition, other information that is critical for your case may arise.

### ■ Ask for input from trusted advisers.

As the case is built, show the preliminary work to trusted advisers and mentors. Ask individuals to look for holes in the analysis and to suggest questions that decision-makers might raise. Revise the case based on the input received.

### ■ Create multiple delivery formats for the case.

When ready to sell the recommendation, different versions may be needed for different stakeholders. For example, one version may be a detailed document including all of the assumptions and calculations for internal use. Another version may be a higher-level slide presentation for communicating the idea to decision-makers. Another version may simply be an executive summary tailored to address specific stakeholder concerns and interests for groups that would be affected by the recommendation.

## ANNEX 6: Steps for Analyzing Alternatives

### 1. List the costs.

Start by thinking about all of the costs that might be associated with each alternative. Identify the up-front costs as well as those expected in subsequent years. Make sure to think beyond the obvious financial costs such as purchasing equipment or paying salaries. Consider the business objectives chosen to evaluate and how each alternative will impact them. For example, will the alternative negatively impact employee turnover? If so, can it be quantified? Some research may be needed to come up with the credible figures. Ask for help from people in other departments such as finance. Also consider looking on the Internet for estimates. Remember to record sources of information and list any assumptions made.

### 2. List the benefits.

In the public sector the benefits are not generally increased revenue, as in the private sector. But in the case of Customs, increased revenue collection may be a benefit. But it may be other results – increased compliance, increased clearance times – which represent improved efficiencies and cost savings for transactions. Again, consider the business objectives chosen. What benefits are anticipated resulting from each alternative? How will these benefits impact operations? For example, how will the project impact customer satisfaction?

### 3. Point out any cost savings to be gained.

Consider how implementing each alternative could save the organization money. Spend some time thinking about this area because cost savings can be difficult to recognize. They can arise from a variety of sources. For example, will fewer people be required to do a job because of the project? Will the project reduce the time it takes to complete a task, therefore allowing for more work to be completed, or more products to be manufactured?

### 4. Identify when the benefits are expected.

Look at the three lists and try to estimate when each one is expected to be realized. Completing this step will also help with the creation of the implementation plan.

### 5. List any unquantifiable benefits and costs.

Most business cases aren't built on numbers alone. Depending on the business objectives chosen to use for analyses, there are some qualitative factors to consider as well. For example, the strategic fit of each alternative with the organization's mission, or an increase in community goodwill because of a particular action. Other factors to consider include the ability to take on the new opportunity without losing focus, or the likelihood of success given the operating environment. Even without numbers associated with them, these costs and benefits can be persuasive and are important to consider.

## ANNEX 7: Tips for gathering data

- Define the categories of information needed to compare options. Use the strategic/business objectives selected to help guide the process.
- Make a list of the specific questions requiring answers, such as «How much will it cost?» or «How will client satisfaction be impacted by this alternative?»
- Be prepared to add to the list of questions. As information is gathered, identify additional factors that could impact on alternatives.
- Document assumptions and sources as drafting continues. It's easy to forget where a particular piece of information is found. Keeping a list will help explain the logic if someone asks.
- Make sure estimates are realistic. Consider whether the data found sounds correct. If not, seek additional estimates.
- For each piece of information, consult multiple sources, such as several colleagues in different departments, to get the best estimates possible.
- Once data is gathered, ask for input from individuals in departments that would be affected by the recommendation to make sure something hasn't been overlooked.

## ANNEX 8: Risk Identification and Mitigation

### Possible risk categories for consideration:

- > **Strategic Risks:** the risk of doing the wrong thing (i.e., planning, forecasting, governance, etc.);
- > **Delivery Risks:** the risk of doing the right thing the wrong way (i.e., failure to deliver on plans, lack of standard processes for life cycle management, insufficient funds and resources);
- > **Relationship Management Risks:** the risk of failure with agreements (i.e., ineffective supplier arrangements, lack of partner agreements, contracts, MOUs, etc.); and
- > **Support Risks:** the risk of not having supporting systems and tools in place (i.e., inadequate Information management systems, lack of training, lack of standard competencies, etc.).

Consider these in terms of Probability and Impact. Rank them Low, Medium, High or on scale of 1-5.

IMPACT		RISK MANAGEMENT ACTION		
	Significant	Considerable management required	Must manage and monitor risks	Extensive management essential
	Moderate	Risk may be worth accepting with monitoring	Management effort worthwhile	Management effort required
	Minor	Accept risks	Accept, but monitor risks	Manage and monitor risks
		Low	Medium	High
LIKELIHOOD				

Then consider how to mitigate:

Risk/Issue Description	Probability of Occurrence	Impact	Mitigation, Contingency and Actions
Strategic Risks			
Support Risks			
Delivery Risks			
Relationship Management Risks			

#### Mitigation Strategies

- > Accept the risk,
- > Avoid the risk,
- > Reduce the risk,
- > Share the risk.

## ANNEX 9: Tips for creating an implementation plan

- Consider all of the steps it will take to make the project a reality. But include only major milestones in the case presented to decision-makers. This audience does not need a high level of detail.
- Make sure milestones can be clearly defined and easily measured—for example, «develop pilot training content» or «conduct feasibility study».
- Use generic rather than specific dates—for example, «year one» or «six months from contract approval».
- Be realistic about the time it will take to implement the recommendation. Managers often underestimate the time they'll need.
- Consider the resources needed for each milestone and whether they will be available for the project. For example, is it likely that someone from operations will be available to help review the training program? If not, who else could help?
- Be prepared for decision makers asking to speed up the implementation. Have a back-up plan for how things could be done more quickly or a convincing set of reasons why it is too risky to bring dates forward.
- Use specific names, not just department names or position titles, when assigning accountability for a task or committed result.



## ANNEX 10: Tips for writing your business case

- Does the organization have a required format for business cases? If it does not, consider what format would be best for the particular audience—for example, an executive summary highlighting the key points for upper management.
- Remember that this is a sales pitch. Engage the audience by clearly stating the opportunity up front and selling the opportunity again at the end of the document.
- Clearly illustrate how recommendations were arrived at. Documenting each step taken will help the reader better understand the reasoning behind the proposal.
- Make it interesting. Remember someone will read the case—success depends on the ability to tell a convincing story.
- Keep it concise. The case should be as short as possible while still providing enough detail to give the reader the whole story.
- Use descriptive language (not just a series of bullet points) to help your reader visualize the expected outcomes.
- Demonstrate the value of the project from all points of view—financial, customer, executive, employees and society as a whole. Explain why the project is important.
- Be clear about what is being asked for. Are resources needed? Is support needed from work areas to get direct reports on the project? Are additional people, budget or capital dollars needed?
- Verify that calculations are correct. Ideally, have finance review calculations and assumptions before the case is presented.

### Checklist for Creating a Business Case

*Use the 20 questions in the checklist below to evaluate preparedness for drafting a written business case.*

Question	YES	NO
1. Is there a clear problem to solve, or opportunity to seize?		
2. Is there a clear opportunity statement?		
3. Are there key business objectives for the organization that are relevant to this opportunity?		
4. Is there a list of objectives that considers stakeholders' needs and interests?		
5. Are there identified metrics that map to each of the business objectives?		
6. Is there a full list of alternatives to meet the opportunity by brainstorming with stakeholders?		
7. Are there alternatives that best address the objectives and key stakeholder needs?		
8. Has all the data needed to be able to analyze alternatives been gathered?		
9. Is there an estimated time-frame for implementing the initiative and achieving the benefits of the opportunity?		
10. Have all the estimates and assumptions been documented?		
11. Have the alternatives been analyzed against relevant business metrics?		
12. Have the alternatives been compared using a pros/cons table or other framework?		
13. Has the best possible solution been selected?		
14. Have the risks been considered—and a mitigation plan developed for each risk?		
15. Is there a high-level implementation plan?		
16. Is there a tracking plan or other means of tracking project results?		
17. Who will ultimately decide whether to approve the recommended solution?		
18. What is the best way to "sell" the case to stakeholders?		
19. Is the final presentation focused and concise?		
20. Is all the backup data (including calculations) available if someone requests further detail?		
<p><i>"YES" to all of these questions, proceed to present arguments for the Business Case.</i></p> <p><i>"NO" to any questions, consider waiting to present the Business Case.</i></p>		

ANNEX 11: Business Case Template

<BUSINESS CASE TITLE >

TABLE OF CONTENTS

Executive Summary

This section should provide general information on the issues surrounding the business problem and the proposed initiative or initiative created to address it. Usually, this section is completed last after all other sections of the business case have been written. This is because the executive summary is exactly that, a summary of the whole document in one-to-two pages.

1. Summary

This section should briefly describe the business problem/opportunity that the proposed initiative will address. This section should not describe how the problem/opportunity will be addressed; only what the problem/opportunity is.

1.1 Anticipated Outcomes

This section should describe the anticipated outcome if the proposed initiative is implemented. It should include how the initiative will benefit the administration and describe what the end state of the initiative should be.

1.2 Proposed approach

This section summarizes the approach for how the initiative will address the business problem/opportunity. This section should also describe how desirable results will be achieved by moving forward with the initiative.

1.3 Justification

This section justifies why the recommended initiative should be implemented and why it was selected over other alternatives. Where applicable, quantitative support should be provided and the impact of not implementing the initiative should also be stated.

1.4 Strategic Alignment

All initiatives should support the organization's strategy and strategic plans in order to add value and maintain executive and organizational support. This section provides an overview of the organizational strategic plans that are related to the initiative. This includes the strategic plan, what the plan calls for and how the initiative supports the strategic plan.

Plan	Goals/Ojectives	Relationship to Initiative

## 2. Problem Definition

### 2.1 Problem/Opportunity Statement

This section describes the business problem/opportunity that this initiative was created to address. The problem/opportunity may be process, technology, or product/service oriented. This section should not include any discussion related to the solution.

### 2.2 Organizational Impact

This section describes how the proposed initiative will modify or affect the organizational processes, tools, hardware, and/or software. It should also explain any new roles which would be created or how existing roles may change as a result of the initiative. Can be described in terms of people, process, technology, governance/management, infrastructure.

## 3. Overview

This section describes high-level information about the business case to include a description, goals and objectives, assumptions, constraints, and milestones. This section consolidates all initiative-specific information into one chapter and allows for an easy understanding of the initiative since the baseline business problem/opportunity, impacts, and recommendations have already been established.

### 3.1 Description

This section describes the approach the business case will use to address the business problem(s)/opportunity. This includes what the initiative will consist of, a general description of how it will be executed and the purpose of it.

### 3.2 Overall Objective and Purpose

This section lists the goals and objectives to be achieved by the initiative.

Objective and Purpose	Description
Overall Objective/Goal	
Purpose	

### 3.3 Performance

This section describes the measures that will be used to gauge the performance and outcomes as they relate to key resources, processes, or services.

The following table lists the key resources, processes, or services and their anticipated business outcomes in measuring the performance of the initiative. These performance measures will be quantified and further defined in the detailed initiative plan.

Key Resource/Process/Service	Performance Measure

### 3.4 Assumptions

This section lists the preliminary assumptions for the proposed initiative. As the initiative is selected and moves into detailed initiative planning, the list of assumptions will most likely grow as the subsequent project plan is developed. However, for the business case there should be at least a preliminary list from which to build.

### 3.5 Risks and Constraints

This section lists the preliminary risks and constraints for the proposed initiative. As the initiative is selected and moves into subsequent detailed project planning, the list of risks and constraints will most likely grow as the project plan is developed. However, for the business case there should be at least a preliminary list from which to build.

### 3.6 Major Milestones

This section lists the major initiative milestones and their target completion dates. Since this is the business case, these milestones and target dates are general and in no way final. It is important to note that as the initiative planning moves forward, a base-lined schedule including all milestones will be completed.

Milestones/Deliverables	Target Date
Plan Review and Completion	
Kickoff	
Phase I Complete	
Phase II Complete	
Phase III Complete	
Phase IV Complete	
Phase V Complete	
Closeout / Completion	

## 4. Annexes

### 4.1 Cost/Benefit Analysis

Many consider this one of the most important parts of a business case. This is because it is often the costs or savings an initiative yields which win final approval to go forward. It is important to quantify the financial benefits of the initiative as much as possible in the business case. This is usually done in the form of a cost benefit analysis. The purpose of this is to illustrate the costs of the initiative and compare them with the benefits and savings to determine if the initiative is worth pursuing.

The following table captures the cost and savings actions associated with an Initiative, descriptions of these actions and the costs or savings associated with them through the first year. At the bottom of the chart is the net savings for the first year of the initiative.

Action	Action Type	Description	First year costs (- indicates anticipated savings)
	Cost		
	Cost		
	Savings		
	Savings		
	Savings		
	Savings		
Net First Year Savings			

### 4.2 Alternatives Analysis

All business problems may be addressed by any number of alternative initiatives. While the business case is the result of having selected one such option, a brief summary of considered alternatives should also be included—one of which should be the *status quo* (i.e. doing nothing). The reasons for not selecting the alternatives should also be included.

No Initiative (Status Quo)	Reasons For Not Selecting Alternative
Alternative Option	Reasons For Not Selecting Alternative
Alternative Option	Reasons For Not Selecting Alternative

## ANNEX 12: Example of partially completed logical framework

Logic	Indicator* *in below example, only the 'Quality' is filled out	Means of Verification	Assumptions
<b>Overall Objective:</b> Country X's trade flows have been facilitated by 2018	Country X's reputation as a reliable trading partner among the international, regional and national trading community by 2018	Analysis of trade statistics and survey among trading community	
<b>Purpose:</b> Risk Management capacities within the Customs Administration of Country X have been improved by 2018	Evolution of imports/exports in value and volume by 2018	Revenue collection statistics	<p>Risk Management is a priority of the Customs Administration of Country X and the importance of effective and efficient Customs</p> <p>Risk Management is understood and supported by the highest relevant authorities (President/ Prime Minister, Ministry of Finance)</p> <p>Customs Administration of Country X has sufficient control on the movement of people, goods and services</p>
<b>Results:</b> 1. A new (upgraded) Risk Management IT solution is operational at the Customs of Country X by 2016  2. The Customs Administration of Country X has the adequate IT infrastructure in place and is operational to support the new RM IT-solution by 2016  3. The relevant staff of Customs and of other relevant Border Management Agencies of country X is sufficiently prepared to effectively use the new RM IT infrastructure and solution by 2016	<p>Improvement of module/application that refers high or low risks (improvement of exporter/importers profiling):</p> <ul style="list-style-type: none"> <li>&gt; Nr. of high and low risk referrals</li> <li>&gt; Nr. of error messages</li> <li>&gt; Nr. of complaints from importers</li> </ul> <p>Effective installation of the new IT infrastructure</p> <p>The New RM IT solution runs effectively on the new IT infrastructure</p> <p>Improvement of referrals for examinations by operational areas</p>	<p>Time-Release Study results</p> <p>Risk referrals register</p> <p>Error register</p> <p>Complaints register</p> <p>Acceptance receipt of the new IT infrastructure by the Customs and/ or final payment to IT infrastructure supplier</p> <p>Result report test runs</p> <p>Training workshops and on-the-job training sessions report/survey, register of staff trained</p>	<p>The solution is integrated with electronic declaration and clearance system</p> <p>Customs has taken the necessary measures to have the new infrastructure installed and the supplier meets its obligations</p> <p>Training provided complements other training in the field of Risk Management (RM analysis, RM profiling). Relevant staff are made available. Training venues are made available. Relevant staff adheres to the IT upgrade.</p>