**CUSTOMS INTERNATIONAL BENCHMARKING**

**海关国际化标杆管理**

**BENCHMARKING MANUAL**

**标杆管理手册**

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**标杆管理手册**

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**About this Benchmarking Manual**

**关于本标杆制定手册**

Section 1 of the Benchmarking Manual is a practical guide to help Customs administrations carry out international Customs benchmarking exercises. It includes information and guidelines for all participants in benchmarking projects. Section 2 contains results of benchmarking studies conducted by WCO members. Both the structure and content of this Manual have been designed to be similar to the European Commission’s “Customs Benchmarking Information and Guidelines” document, which was of considerable assistance during this Manual’s preparation.

“标杆管理手册”第一节是海关主管部门执行国际海关标杆制定任务的实用指南。它为所有标杆管理项目参与者提供信息和指引。第二节包含世界海关组织成员进行的标杆制定研究成果。本手册的结构和内容的设计都类似于欧盟委员会的“海关标杆制定信息和指引”，该文件在本手册的编写过程中提供了相当大的帮助。

This manual explains that the overall aim of benchmarking in a Customs context is to improve efficiency and effectiveness in national Customs administrations by comparing procedures or processes with the same or similar procedures or processes carried out by others, then identifying and implementing best practice. It **IS**:

本手册解释道，海关标杆管理的总体目标是通过与他人执行的相同或相似的程序或流程进行比较，从而提高国家海关主管部门的效率和效益，然后确定并实施最佳实践。它是：

* a process used to seek specific information based on the practices, procedures and processes carried out by other Customs administrations, in order to compare them;
* 一个用来搜集其他海关主管部门进行的实践、程序和流程的具体信息，以便进行比较的过程；
* a collaborative process – that means sharing information on processes and measures that stimulate innovative practices and improve performance;
* 一个协作过程 - 这意味着需要分享有关激励创新实践并提高绩效的流程和措施的信息；
* a technique which helps us to improve processes, efficiency, effectiveness and/or economy; and
* 一项帮助我们改进流程、效率、效益和/或改善经济的技术; 并
* initiated and carried out by the Customs administrations concerned.
* 由相关海关主管部门发起和执行。

The manual stresses that benchmarking of Customs processes and procedures should **NOT** be seen as:

手册强调，海关流程和程序的标杆管理不应被视为：

* mandatory as it is not enshrined in legislation;
* 强制性的，因为它未被载入立法；
* a method of surveillance or a means of checking up on the activities of others; or
* 一种监视方法或检查他人活动的方式；或
* a means by which a third party monitors your performance, e.g. assesses the extent to which you have/have not fully implemented legislation or an international agreement.
* 一种第三方借以监督你自身表现的方法，例如评估你在多大程度上没有充分实施立法或国际协议。

**Chapter 1** provides an overview of the concept of benchmarking and outlines its benefits and challenges for a Customs organization. This chapter is useful for those who wish to understand the reasons for benchmarking and what benchmarking actions hope to achieve. There is also a section explaining where further information and advice can be found.

第1章概述了标杆管理的概念及其给海关组织带来的收益和挑战。本章对那些希望了解标杆管理的原因和预期效果的人有所帮助。本章还有一节解释了在哪可以找到进一步的信息和建议。

**Chapter 2** includes practical guidelines on how to plan a benchmarking action, emphasising the need to set clear objectives and agree timetables. It outlines the essential requirements of the planning process, as well as detailing the steps to follow when carrying out a benchmarking action. A section on reporting describes the format of a typical benchmarking report.

第2章包括如何规划标杆管理行动的实际指引, 强调了设置明确目标和商定时间表的必要性。它概述了规划过程的基本要求, 并详细说明了在执行标杆管理行动时应遵循的步骤。关于报告的一节描述了典型标杆制定报告的格式。

**Chapter 3** discusses the follow up issues of implementation and evaluation, including the different types of impact changes can have. It highlights the importance of implementing the best practices and procedures identified through the course of the benchmarking action.

第3章讨论了实施和评估的后续事项, 包括变化可能产生的不同类型的影响。它强调了实施标杆制定行动过程中确定的最佳实践和程序的重要性。

(2) SECTION 1

(2) 第一节

**CHAPTER 1 – GENERAL INFORMATION**

1. **– 基本信息**

***Benchmarking – Improving ourselves by learning from others***

*标杆管理****– 通过向他人学习来改进自己***

**1.1. What is benchmarking?**

**1.1.什么是**标杆管理**？**

Benchmarking is a process that uses systematic research, analysis and comparison to identify and learn from good or better practices in other organizations. It is assuming a growing importance within public organizations, including Customs administrations, that increasingly wish to benchmark service delivery and policy functions as part of a process of continuous improvement. The philosophy of continuous improvement is now widely accepted as a corporate objective by many Customs administrations and is also embodied in the strategies of international organizations, including the World Customs Organization.

标杆管理是一个利用系统性研究、分析和比较来识别和学习其他组织的良好或更好实践的过程。它在包括海关主管部门在内的公共组织中的重要性越来越高，公共组织越来越希望将标杆管理的服务和政策职能作为持续改进过程的一部分。持续改进的理念现在被许多海关主管部门广泛接受为组织目标，也体现在包括世界海关组织在内的国际组织的战略中。

Benchmarking is not an enforcement tool to make administrations comply with legislation or other measures. Instead, Customs administrations can choose to use benchmarking to develop themselves, to contribute to continuous improvement and to creating (or maintaining) the world class service that all public sector organizations strive to provide. Benchmarking need not always be used to solve existing problems – it can also be used to agree best practice before new systems or procedures are introduced.

标杆制定不是使主管部门遵守立法或其他措施的强制工具。相反，海关主管部门可以选择使用标杆来改进自己，来实现所有公共组织所寻求的持续改进和提供世界级的服务。标杆制定不需要总是用来解决现有问题-它也可以用于在引进新系统或程序之前商定最佳实践。

The very essence of benchmarking is to strive to be the best. Benchmarking can indicate performance levels - quantitative measures of results or outcomes - as targets to be achieved. Identifying best practices demonstrates how these targets have been achieved and should serve as a learning opportunity for Customs administrations to improve and approach – or even exceed – these benchmarks.

标杆管理的本质就是努力做到最好。标杆制定可以表明基于成果或成果的量化标准的绩效水平并作为待实现的目标。确定最佳实践的过程表明了这些目标是如何实现的，并且它应该提供海关主管部门提高和接近–甚至超越–这些标杆的学习机会。

However, the benchmarking process need not always require the measurement of performance using hard, quantitative, measures. Sharing experiences and descriptions of the practices or procedures used by the benchmarking partners can be sufficient to highlight where major improvements could be made. Therefore, benchmarking also makes it possible to **compare the working methods and not the performances** of Customs administrations.

然而，标杆管理过程并不总是需要使用硬性、量化的标准来衡量绩效。分享标杆管理合作方使用的实践或程序的经验和描述可能足以说明可以做出哪些重大改进。因此，标杆制定也使得**比较**海关主管部门的**工作方法而非绩效**成为可能。

Benchmarking can be:

标杆管理可能是：

* ***External****:* used to compare one specific process with a similar one outside your administration. For instance: you could compare how the Customs administrations of your own and other countries control warehouses. External benchmarking can involve comparing your administration’s processes with those of a non-Customs organization either nationally or internationally.
* ***外部的****：*用于将某个特定过程与主管范围外的类似过程进行比较。例如：你可以与其他国家的海关主管部门比较如何管理仓库。外部的标杆管理可能涉及将与非海关组织（无论国内还是国际）的流程进行比较。
* ***Internal****:* used to compare one specific process within your own administration, for instance: comparing how Customs offices inside your organization control warehouses. You could carry out an internal benchmarking exercise to try out benchmarking before attempting an international benchmarking exercise.
* ***内部的****：*用于比较自身主管部门内的某一特定流程，例如：比较组织内各海关办事处如何管理仓库。在尝试执行国际标杆管理任务之前，你可以尝试进行内部的标杆管理测试。

The flowchart at page 4 outlines the basic benchmarking methodology that is described in more detail in Chapter 2 of this document.

第4页的流程图概述了本文件第2章中详细介绍的标杆制定的基本方法。

**1.2. Why benchmark – what are the benefits?**

**1.2. 为什么要制定标杆–益处是什么？**

Customs administrations world-wide are required to meet the challenges of the globalization of trade and the dangers of the spread of fraud and criminality. Benchmarking can be a useful mechanism to help Customs services meet these challenges and become the most efficient and effective Customs services in the world since it allows for the continuous improvement of procedures and working methods. The use of this technique can accelerate change and restructuring by using tested and proven practice. Benchmarking demonstrates in measurable terms why one approach is better than another. The key benefits of benchmarking are:

全球的海关主管部门需要应对贸易全球化的挑战和欺诈与犯罪蔓延的危险。标杆管理的持续改进程序和工作方法，使它可以帮助海关应对这些挑战，并提供世界上最高效和最有效的服务。这种技术的运用可以通过经测试和验证的实践来加速变革和重组。标杆管理以可衡量的方式表明为什么一种方法比另一种更好。标杆管理的主要益处是：

* **Partnership** - Working together as partners is a vital aspect that can increase co-operation and the common interpretation and application of Customs law, conventions, treaties and agreements, e.g. of a common trade agreement.
* **合作** - 作为合作方一起工作是一个至关重要的方面，它可以增强合作以及实现海关法、公约、条约和协议（例如一个共同的贸易协议）的共同解释和适用。
* **Opportunity** – A benchmarking programme gives Customs administrations the opportunity to study, absorb and implement good practice already tried and tested by other Customs administrations.
* **机遇** – 标杆管理项目让海关主管部门有机会学习、吸收和实施已由其他海关主管部门进行过测试和验证的良好实践。
* **Focus** - Benchmarking techniques support the detailed analysis of specific processes and procedures, and can be targeted at predetermined priority areas in a planned and clearly defined manner.
* **重点** - **标杆制定**技术对具体流程和程序进行详细分析，并能够以有规划且明确的方式预先确定优先领域。
* **Delivery** – Benchmarking is a well-established management tool developed by industry. It is effective in making an impact on performance and meeting the challenge of delivering outcomes that contribute to continuous improvement.
* **传递** - 标杆管理是行业开发的一套行之有效的管理工具。它能有效地影响绩效并应对实现有助于持续改进的成果带来的挑战。

**1.3. Conditions necessary for benchmarking**

**1.3.** 标杆管理**所需条件**

Benchmarking is more than just comparing, it is about the awareness, ambition and willingness to change, and **actions should be undertaken only when an administration is open and prepared to embrace change**. For benchmarking to be successful it is helpful to have the right conditions present in your administration. ‘The right conditions’ means the attitudes of people at all levels - not just at DG level but at all relevant working levels. If the attitudes are right, the benefits this process has to offer will be maximized. You need to be prepared to:

标杆制定不仅仅是比较，而是关于变革的意识、决心和意愿，**只有在主管部门坦诚地准备接受改变时才应采取行动**。标杆管理的成功需要具备合适的条件。 “合适的条件”是指各级人员的态度 - 不仅在总干事级别，而且在所有相关的工作级别。如果上述人员的态度是正确的，标杆管理将实现最优化效果。你需要做好以下准备：

* **Commit** - at the highest level in your organization to improvement;
* **承诺** - 在组织的最高层面进行改进;
* **Search for better practices** - never be sure that you are the best and be prepared to look for organizations that may be better than you in carrying out certain processes or procedures;
* **寻找更好的实践** – 从不认为你是最好的，并且准备好寻找在执行某些流程或程序方面可能比你更好的组织；
* **Compare** - target precisely the process you want to benchmark and fully understand how your organization carries it out, identify agreed measures of performance, then share findings with your partner(s);
* **比较** - 准确确定你想要进行标杆管理的流程，并充分了解你的组织如何执行该流程，确定商定一致的绩效衡量标准，然后与你的合作方分享调查结果；
* **Change** - if someone is better than you by accepting new ideas and insights into achieving tasks; and
* **改变** - 如果有人比你更善于接受实现任务的新想法和见解; 以及
* **Implement** - close performance gaps by adopting an implementation programme for the improvements identified by the benchmarking exercise.
* **实施** - 通过采纳标杆制定所确定的改进实施计划来缩小绩效差距。

**1.4. Key issues in planning and execution of a benchmarking action**

**1.4. 规划和执行标杆制定行动的关键问题**

Key areas that should be considered in the planning and execution of a benchmarking action include the following:

在规划和执行标杆管理行动时应考虑的关键领域包括以下：

* Identification of priority areas for action;
* 确定优先行动领域；
* Careful and considered selection of a limited number of partner administrations；
* 仔细考虑选择有限数量的合作方主管部门；
* Agreement of mutually agreed realistic and attainable objectives, capable of being measured on a like-for-like basis;
* 达成共同商定的有实现条件和可实现的目标，能够在类似的基础上进行衡量；
* Agreement on whether – or to what degree - the benchmarking exercise will focus on the comparison of results (outcomes, e.g. efficiency, effectiveness, economy, quality) or on the comparison of processes (how things are done);
* 标杆管理任务是重点关注比较结果（结果，如效率、有效性、经济性、质量）还是比较过程（事情如何完成的）—或其比较程度;
* Agreeing a project timetable and work agenda and respecting the timetable；
* 协商确定项目时间表和工作日程并遵守时间表；
* Careful selection of benchmarking team members;
* 仔细挑选标杆管理团队成员；
* Agreement on which external stakeholders (if any) need to be involved and how to avoid any confidentiality problems；
* 就需要涉及哪些外部利益相关者（如有）以及如何避免任何保密问题达成协议；
* Commitment to implement recommendations where appropriate.
* 承诺酌情实施建议。

**1.5. Barriers to successful benchmarking**

**1.5. 成功制定标杆的障碍**

The barriers to successful benchmarking can include:

成功标杆管理的障碍包括：

* **Lack of clear, visible and consistent management support**. High-level commitment for improvement from the top management is necessary to overcome resistance and to support activities. The project is less likely to be successful if it is perceived that senior management are not fully committed to benchmarking and timely implementation of results.
* **缺乏清晰、明显和一致的管理支持**。为了克服阻力和支持活动，有必要获得高层管理人员进行改进的高层承诺。如果高级管理层没有完全认同标杆管理和及实施结果，那么项目就不太可能取得成功。
* **Lack of an adequate co-ordination and management infrastructure.**
* **缺乏足够的协调和管理架构。**
* **Failure to fully understand and document your own processes.** Unless your own processes are completely understood, analysis of performance gaps is impossible and understanding of the reasons for best practices unlikely.
* **未能完全理解和记录你自己的流程**。除非完全理解自己的流程，否则不可能进行绩效差距分析和理解最佳实践。
* **Failure to analyse findings clearly.** Benchmarking consists of different elements and procedural steps. It has to be supported by research that establishes quantitative indicators and qualitative analysis of best practice.
* **未能清楚地分析调查结果**。标杆制定由不同的要素和程序步骤组成。必须进行定性和定性分析的研究支持。
* **Being overambitious in the scope of the benchmarking exercise.**
* 标杆管理**任务的范围内过于宽泛。**
* **Refusal to dedicate the required staff and resources.** It is important to ensure that the required human resources are available to complete the task.
* **拒绝投入所需的人员和资源。**确保完成任务所需的人力资源非常重要。
* **Inadequate information about how to adopt the agreed best practice and make it work.**
* **关于如何采用商定的最佳实践并使其发挥作用的信息不充足。**
* **Lack of skilled resources to make and manage recommended changes resulting in the failure to implement best practice.**
* **缺乏熟练的应变能力来应对和管理建议的变化，导致未能实施最佳实践。**

**1.6. Further help and advice**

**1.6.进一步的帮助和建议**

There are many commercial benchmarking web sites on the Internet and benchmarking textbooks are also available. Public sector organizations are also sharing knowledge about good practice and Annex A contains a list of available facilities that may be of help to administrations planning or undertaking benchmarking exercises.

互联网上有许多商业的标杆管理网站，它们也提供标杆管理教材。公共部门组织也在分享关于良好实践的知识，附件A包含了可用的工具清单，可能对主管部门规划或开展标杆管理任务有一定帮助。

**The following chapters give guidance in how to overcome challenges and to ensure that any benchmarking action undertaken by your administration is carried out in an effective and meaningful manner.**

**以下章节为如何克服挑战提供指导，并确保你的主管部门以有效和有意义的方式开展任何**标杆管理**行动。**

**CHAPTER 2 – GUIDELINES**

1. **– 指南**

**A Planning & Execution Checklist is provided at Annex C. The purpose of the Checklist is to provide a simple way of ensuring that all the key activities and issues have been or will be dealt with during the planning and execution phases of the benchmarking exercise.**

**附件C提供了规划和执行清单。该清单的目的是提供一种简单的方法，确保所有关键活动和问题已经或将要在标杆制定任务的规划和执行阶段进行处理。**

**A: Planning**

**A: 规划**

**2.1. Introduction**

**2.1. 简介**

Before starting a benchmarking exercise or formal proposal for consideration by prospective benchmarking partners it is essential for the initiating administration (i.e. the administration wanting to propose and lead the benchmarking exercise) to undertake some planning and preparation work. Project control software (e.g. Microsoft Project) can be used to help with planning and managing benchmarking projects if you feel comfortable using it, but it is by no means essential.

在开始标杆制定或正式提议以供潜在的标杆管理合作方考虑之前，发起的部门（即提议和主导标杆管理任务的主管部门）有必要采取一些计划和准备工作。如果你觉得使用舒适，项目控制软件（例如微软项目）可以用来帮助规划和管理标杆制定项目，但它并非必要。

It will be highly desirable for your administration to appoint an official to act as a national benchmarking contact point. This person could co-ordinate all the benchmarking activity within your administration and could be the first point of contact for benchmarking enquiries, either from within your administration or from overseas.

非常可取的做法是，部门任命一名官员担任国家标杆制定的联系人。该人员可以协调你所在部门的所有标杆制定活动，并且可以成为你的部门内部或来自海外的咨询的第一联系人。

**2.2. Subject**

**2.2. 主题**

The subject should be:

主题应该是：

* relevant to the national administration;
* 与部门相关；
* clearly supported by senior management;
* 高级管理层明确支持；
* specific and concrete;
* 明确且具体的；
* ideally, of interest to all the participants in the exercise.
* 理想情况下，所有参与者都对此感兴趣。

Remember that benchmarking need not always be used to solve existing problems – it can also be used to agree best practice before new systems or procedures are introduced.

请记住标杆制定并非总是用于解决现有问题 - 它也可以用于在引入新系统或程序之前就最佳实践达成一致。

If you are doing your first benchmarking exercise, it may be prudent to focus on a topic that is neither complicated nor wide. You may wish to carry out an internal benchmarking exercise in a test environment as a pilot to gain experience. Benchmarking studies that try to cover a very wide subject area, e.g. the overhaul of the entire Customs administration of a country, would be very difficult to manage and keep focused because of the vast amount of data and analysis involved. Therefore, it is always best to select benchmarking subjects that are as specific and as well-defined as possible. Do not be afraid to drop plans or discontinue work where the subject is found to be incompatible with benchmarking.

如果你正在做你的第一个标杆管理任务，那么谨慎的做法是把重点放在一个既不复杂也不宽泛的主题上。你可能希望在测试环境中开展内部标杆管理，作为试点以获取经验。试图涵盖非常广泛主题领域的标杆制定研究，例如对一个国家的整个海关进行彻底检查，由于涉及大量的数据和分析，将非常难以管理和保持专注。因此，最好选择尽可能具体且定义明确的标杆管理主题。如果发现主题与标杆管理矛盾，不要害怕放弃计划或停止工作。

**2.3. Objectives**

**2.3. 目标**

You should be aware of the overall objectives of the benchmarking exercise. The objectives should be defined in such a way that evaluation of the exercise by the participating members can be clearly and easily carried out. Expected results should be concrete and measurable in either the short term or medium term.

你应该了解标杆管理任务的总体目标。目标应以一种参与方可以清楚、容易的执行的方式界定和评估。从短期或中期来看预期的结果应该是具体、可衡量的。

**2.4. Identification of partners**

**2.4. 确定合作方**

When you wish to initiate a benchmarking exercise always try to find partners that you know or believe to be best in class in the subject you wish to focus on. The organizations in Annex A may be able to help you do this. Identify and link to other Customs administrations, other Government departments, ministries or agencies - or even private sector organizations, where appropriate - who have already made step changes in their service delivery or who have expressed an interest in benchmarking the subject of interest to you. Prior to the first contact with a prospective benchmarking partner ensure that:

当你希望发起标杆管理任务的时候，始终尝试找到你了解的或你希望关注的主题中最佳的合作方。附件A中的组织可以帮助你做到这一点。确定并联系其他海关主管部门、其他政府部门、部委或机构 - 甚至合适的私营部门组织 – 他们已在其服务提供方面进行了流程变更，或者表示对你要进行标杆管理主题感兴趣。在与潜在的标杆制定合作方进行第一次联系之前，请确保：

* an outline description of the topic to be benchmarked is drafted;
* 已起草有关标杆制定的主题概述;
* senior management, and any national benchmarking contact point, in the initiating administration are informed and involved in the planning process from the very beginning, and that they are aware contact with partners is beginning.
* 从一开始就要告知发起的主管部门的高级管理层和标杆管理联系人参与规划过程并且与合作方的联系已经开始。

Ideally there should be not more than three partners involved in a benchmarking action. This is because the administrative burden of exchanging information and coordination will probably become excessive and out of proportion to the likely benefits. When asked to participate in an exercise you should be willing to benchmark a subject with another country, even though you may not see immediate value to your own organization. Remember:

理想情况下，应该有不超过三个参与标杆管理的合作方。这是因为交换信息和协调的行政负担可能会过重，并且与可能的收益不成比例。当被要求参加一项任务时，你应该愿意与另一国家一同制定某一主题的标杆管理，尽管你可能看不到其对你自身组织的直接价值。请记住：

* potential benchmarking partners will seek out who they perceive has the best, or better practices,
* 潜在的标杆管理合作方将会寻求他们认为具有最佳或更好实践的人，
* if you expect co-operation from others you must practice it yourself, and
* 如果你期望与他人合作，你必须自己熟悉，并且
* it is rarely the case that someone learns absolutely nothing from a benchmarking exercise.
* 很少有人在标杆管理任务中完全没有学到什么。

**2.5. Degree of participation of partners**

**2.5. 合作方的参与程度**

There are two different degrees of participation in a benchmarking exercise. Some partners will wish to be fully reciprocal partners, i.e. they will both supply information and also have an interest in gathering/receiving information from other participants.

标杆管理任务中有两种不同程度的参与。一些合作方希望成为完全互惠的合作方，即他们都会提供信息，也有兴趣收集/接收来自其他参与者的信息。

In other cases, partners will be passive – they will be willing to assist the country initiating the benchmarking exercise by supplying information but will not be able themselves to participate more fully, e.g. they may choose not to participate in site visits or contribute to the drafting of the final report.

在其他情况下，合作方将是被动的 - 他们愿意通过提供信息来协助国家开展标杆管理任务，但自身不能更充分地参与其中，例如，他们可能会选择不参加实地访问或参与起草最终报告。

Even in this latter case there is still a benefit in them participating because of the value to be obtained by the initiating administration from the information they supply.

即使在后一种情况下，鉴于发起主管部门能从其提供的信息中获得的价值，他们的参与仍有收获。

**2.6. Guiding principles**

**2.6.指导原则**

It is recommended that the participating benchmarking partners should be familiar with and agree to observe a set of Guiding Principles. An example of these can be found at Annex B. If the benchmarking partners agree, these principles could form the basis of a formal agreement between the parties that governs the conduct of the benchmarking exercise.

建议参与标杆制定的合作方熟悉并同意遵守一套指导原则。附件B提供了此类的一个实例。如果标杆制定合作方同意，这些原则可以作为双方之间正式协议的基础，以确定标杆管理任务的实施。

**2.7. Duration of the exercise**

**2.7. 任务的时长**

A timescale for each step should be agreed. Ensure that realistic periods of time are allowed for partners to obtain information and data from within their administration: for example, unless only very simple information has been requested, it would not be unreasonable to allow one month for this. Allow sufficient time for preparation before site visits as well as for documents to be translated into your own language.

应该商定每个步骤的时间表。确保允许合作方从其管理权限内获取信息和数据的实际时间段：例如，仅要求提供非常简单的信息就要耗时一个月是不合理的。在实地访问前留出足够的时间进行准备，并且将文件翻译成你自己的语言。

**2.8. Funding**

**2.8. 出资**

The WCO has no authority to make funding available to members for the purpose of carrying out benchmarking exercises. Therefore, the costs of benchmarking exercises must be borne by the participants themselves and/or their sponsors.

世界海关组织没有权力向成员提供执行标杆制定任务的资金。因此，标杆制定任务的成本必须由合作方本身和/或其赞助商承担。

**2.9. Communications**

**2.9. 沟通**

Identify all the stakeholders who may have an interest in the exercise. Internal stakeholders can include senior managers, headquarters and regional managers and staff, who may be responsible for policy issues or are operational staff carrying out the process being benchmarked. Consider whether there are any external stakeholders, e.g. businesses or international organizations, that need to be involved and whether disclosure of information to them will require data or reports to be “blinded” to respect the confidentiality requirements of the Guiding Principles (see Annex B). Decide which of the stakeholders need to be consulted during the exercise and which need only to be kept informed of progress and outcomes. Agree how, and by whom, stakeholders will be consulted or kept informed.

确定所有可能对标杆管理任务有兴趣的利益相关者。内部利益相关者可能包括高级管理人员、总部和区域管理人员和员工，他们可能负责政策问题，或是执行标杆制定程序的业务人员。考虑是否有任何外部利益相关者，例如需要参与的企业或国际组织，以及向他们披露信息是否需要“隐藏”，以遵守“指导原则”（参见附件B）的保密要求。决定任务期间需要咨询哪些利益相关者，哪些只需要随时通知进展和结果。商定如何以及由谁向利益相关者咨询或通知利益相关者。

For international exercises it is important that all participants agree what language will be used during meetings (e.g. site visits) and for the final report.

对于国际任务，所有参与者都同意会议期间（例如实地访问）和最终报告中将使用哪种语言非常重要。

**2.10. Preparatory meeting**

**2.10. 筹备会议**

It will most likely prove useful for the initiating administration to have a preparatory meeting with the partner administration(s). It is important to share a clear understanding of the subject, objectives, timetable, working methods, language and reporting procedures from the very beginning. The preparatory meeting should result in agreement on:

对于发起的主管部门来说，可能非常有用的做法是，与合作方主管部门进行筹备会议。重要的是双方从一开始就分享对主题、目标、时间表、工作方法、语言和报告程序的清晰理解。筹备会议应在以下方面达成一致：

* whether to proceed with the benchmarking exercise;
* 是否继续推进标杆管理任务；
* a formal plan concerning the benchmarking action;
* 有关标杆制定行动的正式计划；
* which administrations are willing to be benchmarking partners.
* 哪些主管部门愿意成为标杆制定的合作方。

**2.11. Formal plan**

**2.11. 正式规划**

The plan should

规划应

* contain an outline, identifying the work to be undertaken;
* 包含一个大纲，确定要开展的工作；
* indicate the working language to be used at meetings and in the final report;
* 指出在会议和最终报告中使用的工作语言；
* clarify and specify the objectives;
* 澄清并明确目标；
* clarify and specify (as appropriate) the performance measures (results) and/or the process comparisons to be used;
* 澄清并明确（如适用）用于比较的绩效措施（结果）和/或过程；
* indicate the number and location of planned meetings;
* 注明规划会议的数量和地点；
* indicate the names of the participants if known;
* 如果知道参加者，注明参加者的名称；
* specify a time scale for the project;
* 为项目指定一个时间表；
* indicate the estimated costs of the project;
* 指出项目的预估成本；
* define and apportion the cost of the various actions amongst various partners.
* 定义并按比例分配各合作方之间各种行为的成本。

All participating administrations should consider the formal plan and give their agreement to undertake the benchmarking exercise and to fulfil their responsibilities as partners.

所有参与的主管部门都应该考虑正式规划，同意开展标杆管理任务，并履行他们作为合作方的责任。

**2.12. Benchmarking team**

**2.12. 标杆制定团队**

A benchmarking team will need to be created in the initiating administration and the partner administration(s). The national benchmarking contact point, if appointed, should be involved in the selection of the team, and each team should have a clearly identified leader and each member should have a specific task and responsibility. The team leader in each administration is responsible for:

需要在发起的主管部门和合作方主管部门中组建一个标杆管理团队。国家的标杆管理联系人如被任命，也应该参与团队，并且每个团队都应该有一个明确的领导者，每个成员都应该有特定的任务和责任。每个主管部门的团队领导者负责：

* ensuring that work progresses in accordance with the timetable;
* 确保工作进展按照时间表进行；
* drafting the final report and overseeing the contributions of others as required (ownership and responsibility for the task of issuing the final report rests with the team leader in the initiating administration);
* 起草最终报告并根据需要监督他人的付出（拥有和发布最终报告任务的义务取决于发起主管部门的团队领导者）；
* dissemination of information internally within the Customs administration about the project;
* 在海关内部传播关于该项目的信息；
* ensuring adequate human resources are allocated over a sufficient period of time in consultation with the benchmarking contact point and senior management;
* 在与标杆制定联系人和高级管理层协商时，确保在充足的时间内分配足够的人力资源；
* ensuring that the benchmarking team has the necessary knowledge about the approach to the work, including the methodologies of benchmarking and technical knowledge of the particular subject to be benchmarked;
* 确保标杆制定团队掌握有关工作方法的必要知识，包括标杆制定的方法和针对标杆制定特定主题的技术知识;
* being involved in the evaluation of the exercise with senior management and the national benchmarking contact point, if appointed.
* 高级管理层和国家标杆管理联系人（如任命）参与任务评估工作。

At least one team member should be familiar with the methodology of benchmarking. That person need not necessarily be from the Customs administration – a benchmarking expert from another department or from outside the public sector could perform this role. He/she is responsible for following the benchmarking project in order to guarantee that each phase of the exercise is carried out according to the Benchmarking Guiding Principles (ANNEX B), for steering the partners towards better working methodologies and to train the benchmarking team in technical aspects of benchmarking. There should be one or more team members who are experts in the particular subject to be benchmarked.

至少有一名团队成员应该熟悉标杆制定的方法。这个人不一定来自海关主管部门 - 来自另一部门或外部公共部门的标杆制定专家也可以履行这一职责。他/她负责跟踪标杆制定项目，以确保任务的每个阶段都按照标杆制定指导原则（附件B）执行，引导合作方采用更好的工作方法，并在标杆制定的技术方面培训标杆制定团队。应该有一个或多个团队成员是某一特定标杆制定主题的专家。

Depending upon the circumstances, it may not be necessary to create a dedicated, full-time, benchmarking team. Instead, a team could be formed using people who retain their existing jobs but who collaborate as necessary to fulfil the demands of the benchmarking exercise.

根据具体情况，可能没有必要组建一个专门服务于标杆制定的全职团队。相反，可以由保留现有工作但必要时进行协作以满足标杆制定要求的人员组建团队。

**2.13. Visits to other administrations (site visits)**

**2.13. 访问其他主管部门（实地访问）**

All benchmarking exercises involve the gathering and exchange of information and/or performance data. In addition, in most cases (but not all, see paragraph 2.5) there is a benefit in each participating administration visiting the other(s) in order to carry out site visits. During site visits, benchmarking teams visit the place(s) where the practice/procedure being benchmarked is operated. The benchmarking team members can ask questions to clarify anything that is unclear.

所有标杆管理任务都涉及信息和/或绩效数据的收集和交换。此外，在大多数情况下（但并非所有情况，参见第2.5段），对每个参与的主管部门而言，都可从实地访问中受益。在实地访问期间，标杆管理团队将访问正在进行标杆管理实践/程序的地方。标杆管理团队成员可以提出问题以理清任何不清楚的事项。

Always consider during the planning stage whether site visits would be helpful and, if so, where they could take place. If it is agreed to include site visits in the benchmarking exercise, the team leaders should liaise with senior management at the location(s) that the visits will take place to ensure that the proposed timing of the visit(s) is convenient and that the necessary support and co-operation will be available to the benchmarking teams for the duration of the visits.

在规划阶段，始终要考虑实地访问是否有用，如是，要考虑可以在何处进行访问。如果标杆制定任务中包括实地访问，则团队领导者应与访问所在地的高级管理层保持联系，以确保所提议的访问时间方便可行，且在访问期间，标杆制定团队将获得必要的支持和合作。

**2.14. Evaluation**

**2.14. 评估**

During the planning process benchmarking partners should consider agreeing to a follow up evaluation exercise being carried out, after an agreed interval following production of the final report. The report should be drawn up jointly by the various benchmarking partners. It should report on the success of the benchmarking exercise, what benefits they had derived from the benchmarking exercise, the value of the improvements being made, extent to which agreed recommendations are being implemented and any difficulties they may have encountered in implementing the recommendations in the report.

在规划过程中，标杆制定合作方应考虑同意在生成最终报告后的时间间隙进行后续评估工作。该报告应由各标杆制定合作方共同制定。报告中应体现标杆制定任务成功与否、获得了何种益处、改进的价值、实施商定建议的程度以及他们在实施建议时可能遇到的任何困难。

**B: Execution**

**B: 执行**

**2.15. Introduction**

**2.15. 简介**

Having completed the planning process and agreed which administrations will participate, the benchmarking exercise can be carried out in accordance with the agreed timetable. It is a fundamental requirement that benchmarking teams fully understand what their own organizations do in practice. This means going beyond the theory (i.e. the written instructions to staff and the public notices) to discover what actually happens in the workplace. Benchmarking teams may need to visit workplaces and interview staff to ensure that their level of understanding is sufficient to enable them to explain to their benchmarking partners what happens in their own administration.

在完成规划过程并确定参与的主管部门后，可以按照商定的时间表执行标杆制定任务。其中一项基本要求是标杆制定团队完全了解他们自身组织在实践中所做的事情。这意味着不止是理论上的（即对员工和公众书面通知），还要发现工作场所实际发生的事情。 标杆制定团队可能需要访问工作场所并与工作人员面谈，以确保他们完全理解并能解释自身管理过程中发生的事情。

**2.16. Collecting and analysing information and data**

**2.16. 收集并分析信息和数据**

The partners carry out this task in parallel with one another. To be able to carry out benchmarking, you should have a detailed description of the process to be benchmarked. Each partner must ensure that they collect the correct information and analyse the data to ensure that it correctly represents the performance measures etc. agreed previously. To facilitate this, consider sending to your partners a written description of your process – and a flowchart of processes if appropriate - together with a list of questions that you would like your partners to answer to aid your understanding of their processes.

合作方之间同时执行此项任务。为了能够执行标杆管理任务，应该详细描述要进行标杆制定的流程。每个合作方必须保证他们收集正确的信息并分析数据，以确保它们正确地支撑先前商定的绩效测量等要素。为此，请考虑向你的合作方发送你的流程的书面说明-以及一份流程图（如果合适的话）-附上你希望合作方回答的问题列表，以帮助你了解对方的流程。

If you intend to compare performance indicators, ensure that you have a clear understanding of the formula behind the indicator. If alternative data to that agreed has to be supplied because it is the best available, make sure that you provide adequate definitions and formulas that will enable the substitute data to be understood and interpreted.

如果你打算比较绩效指标，请确保你清楚地了解指标背后的公式。如果商定指标的替代数据更加合适，请确保提供充足的定义和公式，以便能够理解和解释。

Consider gathering information from outside organizations, e.g. from private sector companies or chambers of commerce, who are clients of your administration because they are either users of or are affected by the procedure being benchmarked.

考虑从外部组织收集信息，例如来自私营企业或商会，他们是你主管部门的客户，因为他们是标杆制定程序的用户或受是其影响的群体。

When reviewing findings, draw up comparative descriptions, tables, charts etc to support the analysis process. Make sure that comparisons are of like with like and do not be tempted to alter the data to make it appear more favourable than it really is. Remember that qualitative and quantitative analysis can both be relevant. Identify differences and gaps in performance and seek explanations for them to ensure that comparisons are meaningful and credible. Where necessary, normalize the measures used, that is, apply correction factors to take account of reasons for differences in performance other than inefficiencies, so that any comparisons are on a strictly “like-for-like” basis.

在审查结果时，绘制比较性的示意图、表格、图表等以支持分析过程。确保与相似进行比较，并且不要试图改变数据以使其看起来比实际更有利。请记住，定性和定量分析都是需要的。识别绩效的差异和差距并寻求解释原因，以确保这种比较有意义且可信。必要时，对所使用的步骤进行标准化，即应用校正因子剔除低效率原因的绩效差异的原因，以便任何比较都严格依据“同等条件”的基础进行。

The benchmarking partners should consult each other over anything that seems to be unclear.

标杆管理合作方应该就任何看似不明确的事情互相协商。

**2.17. Visits to other administrations - practical arrangements**

**2.17.访问其他主管部门-实际安排**

A decision about which benchmarking partners will make visits to others should have been agreed during the planning stage. The initiating administration will be most likely to want to visit the partner administration(s) but fully reciprocal benchmarking partners (see paragraph 2.5) will also wish to conduct site visits.

在规划阶段，应该决定哪些标杆制定合作方将访问他人。发起的海关部门最有可能希望访问合作方的主管部门，但完全互惠的标杆制定合作方（参见第2.5段）也希望进行实地访问。

A checklist or questionnaire may be sent in advance by the visiting delegation to the host delegation in order to address the key issues in the area to be benchmarked. This way the host administration can ensure that issues identified will be discussed during the visit. Consider providing a glossary of any terms used that might not be clearly understood by partners or which may have different meanings in different organizations or countries. Indicate if alternative data or information could be accepted in cases where the data etc. requested is not available. In such cases clarify that the person providing the data should also provide relevant definitions and/or formulas.

访问代表团可以提前向主办代表团发送一份清单或问卷，以强调该标杆制定领域的关键问题。通过这种方式，主办的主管部门可以确定在访问期间讨论的问题。应考虑提供一份包含所使用的任何术语的词汇表，合作方可能尚未清楚地理解这些术语，亦或这些术语在不同组织或国家/地区可能具有不同的含义。指出当请求的数据等不可用时，是否可以接受替代数据或信息。在此情况下，需明确提供数据的人还应提供相关的定义和/或公式。

A timetable and working agenda should be agreed, outlining the people to be met and the Customs offices to be visited.

应商定一个时间表和工作议程，概述要会见的人和要访问的海关办事处。

A contact person should be agreed, usually the team leader, to assist with logistical arrangements such as transport, office accommodation, meetings etc.

应该商定联系人，通常是团队领导者，以协调如交通、办公场所、会议等后勤安排。

While on site, the visiting delegation should get every opportunity to study the process or working practice, and ask questions to improve their understanding. Both the time and a suitable venue should be available to study documents and to meet officials who can improve the understanding of the process.

在现场时，访问团应该抓住每次机会研究流程或工作实践，并提出问题以促进他们的理解。应提供时间和合适的场地，以用于学习文件和会见可以促进流程理解的官员。

There should be an evaluation meeting at the end of the visit, in order to ensure that all objectives have been met and that the visiting delegation has fully understood the process.

在访问结束时应该举行一次评估会议，以确保所有目标都已实现，并且访问代表团已完全理解这一流程。

**2.18. Recommendations**

**2.18. 建议**

When making recommendations, examine the feasibility of making the improvements in the light of the conditions that apply within your own organization so that only feasible recommendations are made. However, do not be dissuaded from making recommendations that are demanding or innovative.

在提出建议时，根据你自己组织内适用的条件，检查进行改进的可行性，以便只提出可行的建议。但是，不要劝阻高要求或创新性的建议。

Make sure that the reasons behind the recommendations are clearly explained, supported by a cost/benefit analysis if appropriate.

确保明确解释建议背后的原因，并在适当的情况下通过成本/收益分析予以支持。

**C: Reporting**

**C: 报告**

**2.19. Introduction**

**2.19. 简介**

The benchmarking partners should prepare a joint report, which contains all the performance data and analysis and the teams’ conclusions on what constitutes good or better practice. However, as explained in paragraph 2.9, an additional version of the report may need to be prepared for issue to third parties in which specific names, places or other information has been omitted to avoid confidentiality difficulties. It is often helpful to hold a final meeting of the benchmarking partners to discuss any residual problems (e.g. with the wording used) and to agree the report formally.

标杆制定合作方应准备一份联合报告，其中包含所有绩效数据和分析以及团队关于良好或更好的实践的结论。但是，如第2.9段所述，考虑到保密问题，可能需要准备另一版本的省略了具体的名称、地点或其他信息的报告向第三方发布。通常有益的做法是，举行标杆管理合作方之间的最后会议来讨论任何遗留问题（例如使用的措辞）并正式达成报告。

**2.20. Report template**

**2.20. 报告模板**

The report template attached as Annex D could serve as the basis for the final reporting, but this should only be treated as a suggestion, and may be expanded or cut down as required.

附件D可作为最终报告的模板，但这只应作为建议，可以根据需要予以扩充或缩减。

The report template covers the following issues:

报告模板涵盖以下问题：

**Introduction (Section 1)**

**简介（第1节）**

This section can contain a description of the issues agreed during the planning process, in particular the overall **objectives** and specific (measurable) objectives.

本节可以包含对规划过程中商定事项的描述，特别是总体目标和具体（可衡量的）目标。

**Summary of Report (Section 2)**

**报告摘要（第2节）**

This section should outline the main finding and recommendation in summary format. It could include observations made in identifying "good practice" relating to the respective concepts as well as findings and conclusions for the partners involved.

本节应概述摘要性的主要发现和建议。它可以包括在确定与各自概念有关的“良好实践”时提出的意见以及为参与的合作方作出的调查结果和结论。

**Description of the procedure being benchmarked (Partner A) (Section 3)**

**标杆制定程序说明（合作方A）（第3节）**

A short description by partner A of the background, legal base, purpose and current status of the procedure by the partners may also be appropriate to aid understanding. It may also be useful to include a case study to show the process from start to finish to assist in understanding the procedure.

合作方A对背景、法律基础、目的和合作方目前程序状态进行简短描述也会有助理解。也可能有用的做法是，包括案例研究以显示从开始到结束的过程以帮助理解该程序。

**Description of the procedure being benchmarked (Partner B) (Section 4)**

**标杆制定程序说明（合作方B）（第4节）**

A short description by partner B of the background, legal base, purpose and current status of the procedure by the partners may be appropriate to aid understanding. It may also be useful to include an example of a case study to show the process from start to finish to assist in understanding the procedure.

合作方B对背景、法律基础、目的和合作方目前程序状态进行简短描述也会有助理解。也可能有用的做法是，包括案例研究以显示从开始到结束的过程以帮助理解该程序。

**Comparisons/differences of the procedures and how they are operated(Section 5)**

**程序的比较/差异及其产生原因（第5节）**

The findings to be shown are those that arose in the course of the project including the results of comparing indicators and data, stating the relevant reasons. (These reasons could be policy driven, legislative or cultural). It may be appropriate to include the results of comparing the answers to any list of questions, showing the different systems and why there may be differences in the approaches taken by different administrations.

要显示的结果是在项目过程中产生的，包括比较指标和数据、说明相关原因（这些原因可能是政策驱动、立法的或文化的）的结果。合适的做法是，囊括将答案与任何问题清单进行比较的结果，以显示不同的体系以及为何不同主管部门采取的方法可能存在差异。

**Benchmarking conclusions (Section 6)**

**标杆制定结论（第6节）**

Here the practices, procedures etc. that are to be regarded as “Best Practice” should be outlined. This section should show clearly the identified best practice in the administrations. Findings could also include procedures or approaches identified by the participants during research or discussion that are not currently practised by the participating administrations, but are still considered to represent best practice.

这是被视为得出的“最佳实践”的实践、程序等结论。本节应清楚地显示海关部门确定的最佳实践。调查结果还可以包括参与者在研究或讨论期间确定的程序或方法，这些程序或方法虽然目前尚未由参与的主管部门实施，但它们仍被视为最佳实践。

**Other findings (Section 7)**

**其他发现（第7节）**

Other important issues relating the project may require highlighting in the report. These could include changes in the objectives or the identification of other benchmarking actions.

与项目有关的其他重要问题可能需要在报告中加以强调。这些可能包括目标的变化或其他标杆管理任务的确定。

**Recommendations (Section 8)**

**建议（第8节）**

The recommendations from the exercise should be clearly stated. In the case of several recommendations, they should be ranked according to priority.

应明确说明标杆管理任务的建议。对于此类若干建议，应根据优先级对其进行排序。

**CHAPTER 3 - FOLLOW-UP**

1. **– 后续事项**

**3.1. Introduction**

**3.1. 简介**

The production of the benchmarking report does not mark the end of the exercise, although it may be the point at which the benchmarking team is disbanded because their specialist expertise and input is no longer needed. The benchmarking report’s recommendations should first be considered by senior management (and possibly by the operational staff responsible for the issue that was benchmarked) so that the improvements that are to be implemented can be agreed. The cost of implementing changes and the expected benefits should be presented so that only cost-effective changes are made. After improvements have been implemented the benchmarking process and the results achieved should be evaluated.

标杆制定报告的制作并不标志着任务的结束，尽管这可能是标杆制定团队解散的时间点，因为它们不再需要专业知识和投入。标杆制定报告的建议应首先由高级管理层（以及可能由负责经标杆制定的问题的业务人员）考量，以便确定可以实施的改进措施。应提供实施革的成本和预期收益，以便只进行物有所值的变革。在实施改进后，应评估标杆管理的过程和实现的收益。

**3.2. Implementation plan**

**3.2. 实施规划**

It is important that each participating administration begins work on the implementation of the recommendations identified and accepted by management to ensure that the benefits of benchmarking are realised. A national implementation plan should be drawn up and agreed with the senior managers responsible for the subject of the benchmarking exercise, taking into account a cost/benefit analysis of the proposed changes.

重要的是，每个参与的部门应开始实施管理层确认和认可的建议，以确保实现标杆制定的益处。应制定国家实施规划并与负责标杆制定主题的高级管理人员达成一致，同时考虑到拟议变革的成本/效益分析。

It is at this stage that the real benefit of benchmarking actions can be realised. The benchmarking action should have identified, in a structured and analytical manner, the best or better practices that could be adopted by the participating administrations. The best or better practices will fall in to one of two categories, depending upon whether they will have only a national impact or will have an international impact.

在此阶段才能实现标杆管理行动的真正益处。标杆管理行动应该以结构化和分析的方式确定参与主管部门可以采用的最佳或更好的实践。最佳或更好的实践将分为两类，取决于它们是仅具有国内影响还是具有国际影响。

* **Changes having national impact.** Benchmarking partners are able to implement these changes within their own administrations to adopt best practice. When planning implementation, consideration should be given to the differences in how separate Customs administrations work, including cultural and policy differences, to ensure no problems arise.
* 具有国内影响的变革。标杆管理合作方能够在自己的主管部门内实施这些变革，以采用最佳实践。在规划时，应考虑不同海关主管部门的工作差异，包括文化和政策差异，以确保不会出现问题。
* **Changes having international impact.** Where agreed best practice identifies ways to improve the working of an international agreement, convention or treaty, the partners should agree to place their recommendations before the international organization responsible for the administration of the agreement concerned.
* 具有国际影响的变革。如果商定的最佳实践确定了改进国际协定、公约或条约工作的方法，合作方应同意将其建议提交给负责有关协定管理的国际组织。

**3.3. Evaluation**

**3.3. 评估**

Once the improvements identified by the benchmarking exercise have been implemented an evaluation exercise should be conducted. Evaluation is important because it will highlight the extent to which the benchmarking exercise was of value in the improvement process and may help to determine the extent to which benchmarking might be of assistance in the future.

一旦标杆制定任务确定的改进措施得以实施，就应进行评估。评估尤为重要，因为它将突出标杆制定任务在改进过程中的价值，并可能有助于确定标杆制定在未来可能提供的协助程度。

The evaluation can be conducted by each participating administration individually or all the benchmarking partners who could agree to work together to conduct a joint evaluation.

评估可以由每个参与的主管部门单独进行，也可以由所有能够同意进行联合评估的标杆管理合作方共同进行。

The evaluation should focus on two main areas:

评估应侧重于两个关键方面：

* the benchmarking process itself and what lessons can be learned from it. The lessons learnt should be shared with others involved in similar work both nationally and internationally; and
* 标杆制定过程本身以及可从中学到的经验教训。吸取的经验教训应与国内和国际从事类似工作的其他人分享; 以及
* the success of the benchmarking exercise measured against the objectives agreed at the outset and the overall improvements in efficiency and effectiveness achieved as a result of implementing improvements.
* 根据起初商定的目标衡量标杆制定任务成功与否以及实施改进后实现的效率和效益方面的总体提高。

It is recommended that benchmarks be re-considered periodically in the light of changes in those conditions that impact on performance and good practice.

建议根据影响绩效和良好实践的条件的变化情况，定期重新考虑标杆管理。

**ANNEX A – FURTHER HELP AND ADVICE**

**附件A –进一步的帮助和建议**

* **United Kingdom**
* **英国**

Public Sector Benchmarking Service: The PSBS is a focal point for managing information on benchmarking. It provides a service for all public sector organizations inside and outside the UK by providing information, advice and guidance material. You can contact the PSBS as follows:

公共部门标杆制定服务中心：该中心是管理标杆制定信息的主要协调中心。 它通过提供信息、建议和指导材料，为英国境内外的所有公共部门组织提供服务。你可以按如下方式联系公共部门标杆制定服务中心：

Telephone: 00 44 207 865 4949

电话：00 44 207 865 4949

Fax: 00 44 207 865 5700

传真：00 44 207 865 5700

E-mail: [psbs@hmce.gsi.gov.uk](mailto:psbs@hmce.gsi.gov.uk)

电子邮件：[psbs@hmce.gsi.gov.uk](mailto:psbs@hmce.gsi.gov.uk)

Website: [www.benchmarking.gov.uk](http://www.benchmarking.gov.uk)

网站：[www.benchmarking.gov.uk](http://www.benchmarking.gov.uk)

* **[Other country]**
* **其他国家**
* **[Other country]**
* **其他国家**

**ANNEX B - GUIDING PRINCIPLES**

**附件B –指导原则**

**BENCHMARKING GUIDING PRINCIPLES**

**标杆制定指导原则**

These Guiding Principles are offered as a guide. Agreement to adhere to them will contribute to efficient, effective and ethical benchmarking and act as a confidence building measure between the participants.

这些指导原则是作为指南加以提供的。同意遵守这些原则将有助于高效、有效且合乎道德地进行标杆制定，并可作为参与者之间建立信任的措施。

1. **Preparation**
2. **准备**

Prior to making an initial benchmarking contact demonstrate commitment, efficiency and effectiveness by being prepared. Make the most of your benchmarking partners' time by being fully prepared for each exchange or visit.

发起标杆管理之前，联系人要明确责任、效率和有效性。通过为每次交流或访问做好充足准备，可以充分利用你的标杆制定合作方的时间。

Before any benchmarking contact, especially the sending of questionnaires, obtain advice and clearance to proceed on content from policy owners in your administration; if appropriate, take legal advice at this stage (e.g. on data protection issues).

在任何标杆测评实施前，尤其是发送调查问卷前，必须得到政策制定机构（相关主管机构）的建议和许可，特别是涉及法律事项的相关建议（例如，在数据保护问题方面）。。

Help your benchmarking partners prepare by providing them with an agenda and (where appropriate) a questionnaire prior to benchmarking visits.

在实地访问之前，通过提供一份议程（如适用）和调查问卷来帮助你的标杆管理合作方进行准备。

1. **Contact**
2. **联系人**

Respect the corporate culture of partner administrations and work within mutually agreed procedures.

尊重合作方主管部门的企业文化，并在双方商定的程序内开展工作。

If it is preferred procedure, use benchmarking contacts designated by the partner administration.

如果将选择联系人作为首要程序，由合作方主管部门指定联系人。

Agree with the designated benchmarking contact how communication and responsibility is to be delegated in the course of the benchmarking exercise. Check mutual understanding.

与标杆制定联系人商定如何在标杆制定过程中进行沟通和分配职责。核对双方对相互的理解。

Obtain an individual's permission before providing their name in response to a request from other contacts.

在提供他人姓名以回复其他联系人的请求之前获取相应个人的许可。

Avoid communicating a contact’s name in open forum without the contact’s prior permission.

未经联系人事先许可，避免在公开论坛中交流联系人的姓名。

1. **Information acquisitions and exchange**
2. **信息获取和交换**

Communicate fully and early in the relationship to clarify expectations, avoid misunderstandings, and establish mutual interest in the benchmarking exchange.

充分沟通并在合作关系早期澄清期望、避免误解，并在信息交换中确保共同利益。

Be willing to provide the same type and level of information that you request from your benchmarking partner, provided that the requirements of Part 6 Legality is observed.

在遵守第6部分合法性要求的前提下，愿意提供你从标杆制定合作方处请求的相同类型和级别的信息。

Do not ask partners for data outside the agreed scope of the study.

不要向合作方询问超出商定的研究范围的数据。

Do not put pressure on partners to provide sensitive data or cause the benchmarking partner to feel that they must provide such data to keep the process going.

不要向合作方施加压力让其提供敏感数据或使标杆制定合作方认为他们必须提供此类数据以保持流程继续进行。

Consider providing a glossary of any terms used (e.g. in questionnaires) that might not be clearly understood by partners or which may have different meanings in different organizations or countries.

考虑提供一份包含所使用的任何术语的词汇表（例如在问卷中），合作方可能尚未清晰地理解这些术语，亦或这些术语在不同的组织或国家可能具有不同的含义。

Consider using an experienced and reputable third party to assemble and “blind” sensitive data.

考虑使用经验丰富且声誉良好的第三方来收集和“隐藏”敏感数据。

Be honest and complete.

信息要可靠、完整。

1. **Confidentiality**
2. **保密**

Any information obtained from a benchmarking partner should be treated as you would treat any internal confidential communication.

从标杆制定合作方处获得的任何信息都应视为内部的保密沟通。

Benchmarking reports must not be communicated to third parties, without the prior consent of the benchmarking partners who shared the information. When seeking prior consent, make sure that you specify clearly what information is to be shared, and with whom.

未经共享信息的标杆制定合作方事先同意，不得将标杆制定报告传达给第三方。 在寻求事先同意时，请保证明确说明要共享哪些信息以及与谁共享信息。

1. **Use of information**
2. 信息的使用

Use information obtained through benchmarking only for purposes stated and agreed with the benchmarking partners.

仅能基于与标杆制定合作方阐明和商定的目的而使用通过标杆制定获得的信息。

1. **Legality**
2. 合法性

If there is any doubt on the legality of an activity, you should take legal advice.

如果对活动的合法性有任何疑问，你应该寻求法律建议。

Refrain from the acquisition of information by any means that could be interpreted as improper including the breach, or inducement of a breach, of any duty to maintain confidentiality.

避免以任何可能被解释为不当的方式获取信息，包括任何违反或引诱违反保密义务的行为。

Do not disclose or use any confidential information that may have been obtained through improper means, or that was disclosed by another in violation of a duty of confidentiality.

不得披露或使用可能通过不正当手段获得的任何保密信息，或使用他人违反保密义务而披露的信息。

Do not pass on benchmarking findings to another organization without first getting the permission of your benchmarking partners and, if requested, without first ensuring that the data is appropriately “blinded” and anonymous so that the participants identities are protected.

未经你的标杆制定合作方的许可，未首先确保数据被“隐藏”和匿名以便参与者的身份受到保护，不要将标杆制定的发现传递给其他组织。

1. **Completion**
2. **完成**

Follow through each commitment made to your benchmarking partner in a timely manner.

及时履行对标杆制定合作方的每项承诺。

Endeavour to complete each benchmarking study to the satisfaction of all benchmarking partners

努力完成每项标杆制定研究，使所有标杆制定合作方满意。

1. **Understanding and Agreement**
2. 谅解和协议

Understand how your benchmarking partner would like to be treated and treat them in that way.

充分了解合作方的意愿并最大限度按照对方希望的方式来进行。。

Agree how your partner expects you to use the information provided, and do not use it in any way that would break that agreement.

充分了解并尊重信息提供方对其所提供的信息使用的要求，避免因信息使用不当而破坏双方的合作关系。。

**BENCHMARKING PROTOCOL**

**标杆制定协议**

This Protocol describes recommended good practices for benchmarking teams and their working methods.

本协议阐述标杆管理团队及其工作方法的良好实践。

Benchmarking participants should:

标杆制定参与者应该：

* Know and abide by the benchmarking Guiding Principles;
* 了解并遵守标杆制定指导原则；
* Have at least a basic knowledge of benchmarking and follow a benchmarking process;
* 至少具备标杆制定的基本知识并遵循标杆管理流程;
* Before initiating contact with potential benchmarking partners :
* 在开始与潜在的标杆制定合作方联系之前：
  + Identify what to benchmark
  + 确定标杆制定的内容
  + Indicate key performance variables to study
  + 指出要研究的关键绩效变量
  + Recognize superior performing administrations
  + 识别表现卓越的主管部门
  + Complete a rigorous internal analysis of the process to be benchmarked.
  + 对要进行标杆制定的过程进行严格的内部分析。
  + Prepare a list of questions, and share these in advance, if requested.
  + 准备一份问题清单，并在需要时提前分享。
  + Possess the authority to share and be willing to share with benchmarking partners.
  + 愿意与标杆制定合作方分享。
  + Work through a specified contact and mutually agreed arrangements.
  + 通过指定的联系人和双方商定的安排开展工作。
* During face-to-face site visits/meetings :
* 在面对面的实地访问/会议期间：
  + Provide a meeting agenda in advance
  + 提前提供会议议程
  + Be professional, honest, courteous and prompt
  + 要专业、诚实、礼貌且敏捷
  + Introduce all attendees and explain why they are present
  + 介绍所有与会者并解释他们在场的原因
  + Adhere to the agenda
  + 遵循议程
  + Use an agreed working language and do not use jargon
  + 使用商定的工作语言，不要使用行话
  + Be sure that neither party shares proprietary or confidential information unless prior approval has been obtained from the proper authority
  + 除非事先获得相应机构的批准，否则请确保各方均不分享专有或保密信息
  + Share information about your own process, and, if asked, consider sharing study results with a wider audience
  + 分享有关你自身流程的信息，如被要求，请考虑与更广泛的受众分享研究成果
  + Offer to facilitate a future reciprocal visit
  + 为将来的互访提供便利
  + Conclude meetings and visits on schedule
  + 按时完成会议和访问
  + Formally acknowledge the contribution and assistance given by your benchmarking partner by the sharing of their process with you
  + 通过与你分享他们的流程，正式确认你的标杆制定合作方提供的贡献和帮助

**IMPORTANT NOTICE**

**重要通知**

These Guiding Principles are not legally binding. They are for guidance only and do not imply protection or immunity from the law.

这些指导原则不具有法律约束力。它们仅供参考，并不意味着受法律保护或豁免。

**ANNEX C - PLANNING & EXECUTION CHECKLIST**

**附件C –规划和执行清单**

The purpose of this Checklist is to provide a simple way of ensuring that all the key activities and issues have been or will be dealt with during the planning and execution of the benchmarking exercise.

本清单的目的是提供一种简单的方法，确保所有关键活动和问题已经或将要在标杆制定任务的规划和执行阶段进行处理。

**Key people**

**关键人员**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Name**  **姓名** | **Postal**  **Address**  **邮寄地址** | **Telephone**  **Number**  **电话号码** | **Fax**  **Number**  **传真号码** | **E-mail**  **Address**  **电子邮件地址** |
| **National BM**  **contact point**  **国家标杆制定联系人** |  |  |  |  |  |
| **Senior manager who gave approval**  **作出批准的高级管理人员** |  |  |  |  |  |
| **Your BM team:**  **你的标杆制定团队：** | | | | | |
| **BM Team leade**r  标杆制定团队领导者 |  |  |  |  |  |
| * Team member 1 * 团队成员1 |  |  |  |  |  |
| * Team member 2 * 团队成员2 |  |  |  |  |  |
| * Team member 3 * 团队成员3 |  |  |  |  |  |
| **Your BM partners:**  **你的标杆制定合作方：** | | | | | |
| * contact person 1 * 联系人1 |  |  |  |  |  |
| * contact person 2 * 联系人2 |  |  |  |  |  |
| * contact person 3 * 联系人3 |  |  |  |  |  |

**Key dates**

**关键日期**

|  |  |
| --- | --- |
| **Activity**  **活动** | **Date**  **日期** |
| Senior management approval given  高级管理人员作出批准 |  |
| BM team formed  组建标杆制定团队 |  |
| Potential BM partners identified  确定潜在的标杆制定合作方 |  |
| Preparatory meeting with BM partner(s) takes place  与标杆制定合作方开展筹备会议 |  |
| Budget calculated, source of funding found and authority to spend obtained  计算预算、找到资金来源并获得支出授权 |  |
| BM exercise begins  标杆制定任务开始 |  |
| Information exchange between BM partners takes place  标杆制定合作方之间信息交换 |  |
| Site visit(s) take place  开展实地访问 |  |
| Final report of BM exercise issued  发布标杆制定任务最终报告 |  |
| Evaluation starts  开始评估 |  |
| Evaluation complete  完成评估 |  |

**Key issues**

**关键问题**

Make sure that you carry out the following:

确保执行以下步骤：

**Planning**

**规划**

* Clearly define the subject of the exercise
* 明确界定任务的主题
* Define the objectives for the exercise and the criteria that will be used to assess success
* 确定任务的目标和用于评估成功的标准
* Agree the approach – will you be comparing results/outcomes (hard measures of effectiveness, efficiency, economy, quality) or processes (how things are done)
* 商定你将用来比较绩效/成果（有效性、效率、经济性、质量的硬性衡量标准）或流程（任务如何完成）的方法
* Identify and select potential partners; agree if partners will be fully reciprocal or passive
* 确定并选择潜在的合作方; 商定合作方是完全互惠或是被动的
* Produce a plan for the exercise
* 制定任务规划
* Identify all stakeholders, both internal and external, who need to be either consulted or just kept informed of progress and outcomes
* 确定所有需要咨询或仅是随时了解进展和成果的内部和外部利益相关方
* Agree the language to be used at international meetings and for the final report
* 商定在国际会议和最终报告中使用的语言
* Assign financial resources and appoint a benchmarking team
* 分配财务资源并指定一个标杆制定团队
* Obtain commitment, support and approval of senior management
* 获得高级管理层的保证、支持和批准

**Collecting information and data**

**收集信息和数据**

* Agree with partners to apply the Benchmarking Guiding principles
* 与合作方商定应用标杆制定指导原则
* Fully understand your own procedure – make workplace visits if necessary
* 完全了解自身的程序 - 必要时访问工作场所
* When gathering data, obtain the definitions and formulas that will enable the data to be interpreted
* 收集数据时，获取能够解释数据的定义和公式
* Send to your partner(s) a written description of your process and a list of questions for them to answer
* 向你的合作方发送己方流程的书面说明和供他们回答的问题清单
* Agree a programme of site visits (where applicable) and ensure the purpose of the visits is clear
* 商定实地访问计划（如适用）并确保访问目的明确

**Analysing the findings**

**分析结果**

* Collate information and data and produce comparative descriptions, tables etc
* 整理信息和数据，并制作比较说明、表格等
* Seek explanations for performance gaps
* 寻求绩效差距的解释
* Ensure comparisons are meaningful and credible
* 确保该比较是富有意义且可信的
* Identify only realistic improvement opportunities
* 仅确定切实可行的改进机会

**Making recommendations**

**提出建议**

* Ensure that recommendations are feasible
* 确保建议切实可行
* Explain why recommendations are being made
* 解释为何提出此种建议

**ANNEX D - REPORTING TEMPLATE**

**附件D – 报告模板**

**Note: Only the most appropriate and relevant sections of this template should be used depending on the type of process and procedure being studied**

**注：根据研究过程和程序的类型，只应使用此模板中最合适及最相关的部分**

1. **INTRODUCTION**
2. **简介**
3. **SUMMARY**
4. **摘要**
5. **DESCRIPTION OF THE PROCEDURE BEING BENCHMARKED (PARTNER A)**
6. **标杆制定程序描述（合作方A）**
   1. **Background and legal base**
   2. **背景和法律基础**
      1. **Purpose of the procedure**
      2. **程序的目的**
      3. **How Partner A operates the procedure**
      4. **合作方A如何操作该程序**
      5. **Future developments**
      6. **进一步的开发**
      7. **Impact on business, the public and other Customs administrations**
      8. **对企业、公众和其他海关主管部门的影响**
   3. **Case study**
   4. **案例研究**
7. **DESCRIPTION OF PROCEDURE BEING BENCHMARKED (PARTNER B)**
8. **标杆制定程序描述（合作方B）**
   1. **Background and legal base**
   2. **背景和法律基础**
      1. **Purpose of the procedure**
      2. **程序的目的**
      3. **How Partner A operates the procedure**
      4. **合作方A如何操作该程序**
      5. **Future developments**
      6. **进一步的开发**
      7. **Impact on business, the public and other Customs administrations**
      8. **对企业、公众和其他海关主管部门的影响**
   3. **Case study**
   4. **案例研究**
9. **COMPARISON/DIFFERENCES OF THE PROCEDURES AND HOW THEY ARE OPERATED**
10. **程序的比较/差异及其运作方式**

**5.1. General findings**

**5.1. 综合发现**

**5.2. Description of the main differences in the procedures and their operation**

**5.2. 描述程序及其操作的主要差异**

**5.2.1. Findings for the customer/client**

**5.2.1. 消费者/客户的调查结果**

**5.2.2. The internal administrative procedures of partners**

**5.2.2. 合作方的内部行政程序**

**5.3. Explanation and result of the comparison**

**5.3. 比较的解释和结果**

1. **BENCHMARKING CONCLUSIONS**
2. **标杆制定结论**

**6.1. General descriptions**

**6.1. 一般描述**

**6.2. Best practice in the system of partner A**

**6.2. 合作方A体系的最佳实践**

**6.3. Best practice in the system of partner B**

**6.3. 合作方B体系的最佳实践**

**6.4. Other practices or procedures**

**6.4. 其他实践或程序**

1. **OTHER FINDINGS**
2. **其他发现**
3. **RECOMMENDATIONS**
4. **建议**

**SECTION 2 - RESULTS OF BENCHMARKING ACTIONS BY MEMBERS**

**第二节 -成员标杆制定行动的成果**

| **Country**  **国家** | **Subject**  **主题** | **Main Recommendations**  **主要建议** | **Contact details**  **Name/Address/Telephone/Fax/Email**  **联系人详情**  **姓名/地址/电话/传真/电子邮件** |
| --- | --- | --- | --- |
| UK  英国 | Customer  service  aspects of  freight  movement  货运的客户服务方面 | **Customs Import**  **Documentation**  **海关进口文件**   * Abolish paper Customs declarations * 废除纸质海关申报 * Abolish separate valuation declaration * 取消单独的价格申报 * Replace licences with Personal Identification Number system * 用个人识别码系统替换许可证   **Simplified Import Procedures**  **简化进口程序**   * Make simplified procedures the norm * 使简化程序成为常态  1. Clearance Time 2. 清关时间  * Remove delay in computer clearance process * 消除计算机清关过程中的延迟 * Review examination rate * 审查检测率  1. Repayment Times 2. 退税时间  * Automate and/or use risk assessment * 自动化并/或使用风险评估  1. Service Standards 2. 服务标准  * Build in continuous improvement * 建立持续改进机制   + Review regularly   + 定期审查 | Keith Day/Dick Sloman  Keith Day先生或Dick Sloman先生  International Benchmarking Team  国际标杆制定团队  Public Sector Benchmarking Service  公共部门标杆制定服务中心  HM Customs & Excise  海关与消费税务局  7th Floor East  New King’s Beam House  22 Upper Ground  London SE1 9PJ  United Kingdom  英国伦敦Upper Ground 22街区（邮编SE1 9PJ）New King’s Beam大厦7楼东  Phone: + 44 207 865 5641 or 4863  电话：+ 44 207 865 5641 or 4863  Fax: + 44 207 865 5700  传真：+ 44 207 865 5700  keith.day@hmce.gsi.gov.uk  [richard.Sloman@hmce.gsi.gov.uk](mailto:richard.Sloman@hmce.gsi.gov.uk)  电子邮件：  keith.day@hmce.gsi.gov.uk  [richard.Sloman@hmce.gsi.gov.uk](mailto:richard.Sloman@hmce.gsi.gov.uk) |
| UK  英国 | Detector  Dogs  侦缉犬 | **It is good practice to have:**  **良好的实践拥有：**   * Regional management structure * 区域管理架构 * Licensing dog/handler teams * 持照犬/牵犬师团队 * Multiple sources of supply * 多元化的供应 * Breeding programme * 育种计划 | Keith Day/Dick Sloman  Keith Day先生或Dick Sloman先生  International Benchmarking Team  国际标杆制定团队  Public Sector Benchmarking Service  公共部门标杆制定服务中心  HM Customs & Excise  海关与消费税务局  7th Floor East  New King’s Beam House  22 Upper Ground  London SE1 9PJ  United Kingdom  英国伦敦Upper Ground22 街区（邮编SE1 9PJ）New King’s Beam大厦7楼东  Phone: + 44 207 865 5641 or 4863  电话：+ 44 207 865 5641 or 4863  Fax: + 44 207 865 5700  传真：+ 44 207 865 5700  keith.day@hmce.gsi.gov.uk  [richard.Sloman@hmce.gsi.gov.uk](mailto:richard.Sloman@hmce.gsi.gov.uk)  电子邮件：  keith.day@hmce.gsi.gov.uk  [richard.Sloman@hmce.gsi.gov.uk](mailto:richard.Sloman@hmce.gsi.gov.uk) |
| Germany,Netherlands and the Czech Republic  德国，荷兰和捷克共和国 | Integrity/  corruption  prevention  廉洁/预防腐败  “In step with practical experience”  “与实践经验同步” | Best practice  最佳实践   * Incorporate repressive and preventive measures in legal norms and binding regulations * 将压制和预防措施纳入法律规范和约束性规定中 * Identify and analyse work areas and activities that are susceptible to corruption * 识别和分析易受腐败影响的工作领域和活动 * Adopt corruption prevention measures in line with the specific risk of the activity * 根据活动的具体风险采取预防腐败措施 * Control bodies and reporting channels as basis for an effective corruption prevention system * 控制机构和报告渠道，作为有效预防腐败体系的基础 * Take action to raise awareness of and understanding of the problem of corruption among the public and in the workforce * 采取行动，提高公众和员工对腐败问题的认识和理解 * Supplement and support corruption prevention measures with comprehensive security management * 通过全面的安全管理补充和支持预防腐败措施   Further specific recommendations for action on all the above best practice recommendations  针对上述所有最佳实践建议采取行动的进一步具体建议 | Benchmarking team  标杆制定团队   1. Jürgen Franzen Oberfinanzdirektion Köln Wörthstrasse 1 – 3 50668 Köln Tel : +49 221 91640 108   Fax : +49 221 91640-27 [Poststelle@OFDK.bfinv.DE](mailto:Poststelle@OFDK.bfinv.DE)   1. Jürgen Franzen Oberfinanzdirektion Köln Wörthstrasse 1 – 3 50668 Köln   电话：+49 221 91640 108  传真 : +49 221 91640-27  电子邮件：[Poststelle@OFDK.bfinv.DE](mailto:Poststelle@OFDK.bfinv.DE)   1. Drs G.J.M. Pruim   Directie Douane  Laan op Zuid 45  Postbus 50 964  3007 BG Rotterdam  Tel : + 31 10 290 4885  Fax : +31 10 290 4985  [Dirdouan@worldonline.nl](mailto:Dirdouan@worldonline.nl)   1. Drs G.J.M. Pruim   Directie Douane  Laan op Zuid 45  邮政巴士50 964  鹿特丹BG 3007  电话 : + 31 10 290 4885  传真 : +31 10 290 4985  电子邮件：  [Dirdouan@worldonline.nl](mailto:Dirdouan@worldonline.nl)   1. Karel Kucera   MF-Generálni Weditelstvi cel  BudXjovická 7  140 96 Praha 4  Tel : +420 24 148 0576  Fax : +420 24 148 0577  [Kucera@cs.mfcr.cz](mailto:Kucera@cs.mfcr.cz)   1. Karel Kucera   MF-Generálni Weditelstvi cel  BudXjovická 7  140 96布拉格4  电话 : +420 24 148 0576  传真 : +420 24 148 0577  电子邮件：  [Kucera@cs.mfcr.cz](mailto:Kucera@cs.mfcr.cz) |