MID-TERM
INDEPENDENT PROJECT EVALUATION

COUNTERING ILLEGAL HAZARDOUS WASTE TRAFFICKING THROUGH THE CONTAINER CONTROL PROGRAMME

RAS-19/0027/GLOG80
JULY 2023
This independent evaluation report was prepared by an evaluation team consisting of Aida Alymbaeva (Evaluation Expert), and Gohar Petrossian, (Substantive Expert). The Independent Evaluation Section (IES) of the United Nations Office on Drugs and Crime (UNODC) provides normative tools, guidelines, and templates to be used in the evaluation process.

The Independent Evaluation Section of the United Nations Office on Drugs and Crime can be contacted at:

United Nations Office on Drugs and Crime
Vienna International Centre
P.O. Box 500
1400 Vienna, Austria
Telephone: (+43-1) 26060-0
Email: unodc-ies@un.org
Website: www.unodc.org/evaluation

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<td>CCP</td>
<td>Container Control Program</td>
</tr>
<tr>
<td>CSS</td>
<td>Convention Support Section</td>
</tr>
<tr>
<td>ET</td>
<td>Evaluation Team</td>
</tr>
<tr>
<td>KII</td>
<td>Key Informant Interview</td>
</tr>
<tr>
<td>LNOB</td>
<td>Leaving No One Behind</td>
</tr>
<tr>
<td>NOK</td>
<td>Norwegian Krone</td>
</tr>
<tr>
<td>Norad</td>
<td>Norwegian Agency for Development Cooperation</td>
</tr>
<tr>
<td>PCU</td>
<td>Port Control Units</td>
</tr>
<tr>
<td>PRPS</td>
<td>Powered respirator protective suits</td>
</tr>
<tr>
<td>SDG</td>
<td>Sustainable Development Goal</td>
</tr>
<tr>
<td>ToT</td>
<td>Train-the-Trainer</td>
</tr>
<tr>
<td>TOR</td>
<td>Terms of Reference</td>
</tr>
<tr>
<td>UNEP</td>
<td>United Nations Environmental Program</td>
</tr>
<tr>
<td>UNODC</td>
<td>United Nations Office on Drugs and Crime</td>
</tr>
<tr>
<td>WCO</td>
<td>World Customs Organization</td>
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</table>
**Recommendations**

<table>
<thead>
<tr>
<th>Recommendation</th>
<th>Management Response</th>
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</table>
| **1. Sustainability of capacity-building activities:** It is recommended that the CCP takes measures to ensure the long-term sustainability of its capacity-building activities for this and future waste projects | Accepted  
CCP will aim at including ToT elements in its mentorships in this waste project. Subject to funding, in future waste projects, all suggested tools regarding sustainability of capacity-building activities will be incorporated. |
| Directed to the Container Control Program (CCP), Border Management Branch, Division of Operations, Timeframes: by December 2024 |                                                                                     |
| **2. Regional cooperation:** It is recommended that the project implement all of its regionally planned activities (three study tours between participating countries and 1 regional meeting) by the project’s end. | Accepted  
While CCP already cooperates with external partners, CCP aims at further enhancing its proactive approach towards them. |
| Directed to the Container Control Program (CCP), Border Management Branch, Division of Operations, Timeframes: by December 2024 |                                                                                     |
| **3. External partnership:** It is recommended that the project adopts a more proactive approach toward expanding cooperation with external partners, including UNODC UNWASTE Project, UNEP, BRS Secretariat, and others. | Accepted  
While CCP already cooperates with external partners, CCP aims at further enhancing its proactive approach towards them. |
| Directed to the Container Control Program (CCP), Border Management Branch, Division of Operations, Timeframes: by December 2024 |                                                                                     |
| **4. Active promotion of ContainerCOMM:** It is recommended that the project promote the benefits of ContainerCOMM more widely in order to increase its use by customs officers. | Accepted  
While ContainerCOMM is already being promoted as part of CCP’s training activities, CCP will promote its use more widely, inter alia in the remaining mentorships. |
| Directed to the Container Control Program (CCP), Border Management Branch, Division of Operations, Timeframes: by December 2024 |                                                                                     |

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1 This is just a short synopsis of the recommendation, please refer to the respective chapter in the main body of the report for the full recommendation.
5. **Export countries**: It is recommended that the CCP include waste-exporting (industrialized) countries in future projects in order to raise their awareness of the impact they are making on these developing countries, forge connections with the receiving countries, and discuss potential joint actions.

   Directed to the Container Control Program (CCP), Border Management Branch, Division of Operations, Timeframes: by June 2025

   Accepted

6. **Participation of the prosecutor’s offices**: It is recommended that the CCP’s future waste projects also involve the prosecutor’s offices as beneficiaries to draw their attention to the criminalization and criminal investigation of illegal waste trafficking.

   Directed to the Container Control Program (CCP), Border Management Branch, Division of Operations, Timeframes: by June 2025

   Accepted
EXECUTIVE SUMMARY

INTRODUCTION

PROJECT DESCRIPTION AND OBJECTIVES

In 2018, Southeast Asian nations faced an influx of illegally trafficked hazardous waste, such as plastic, e-waste, and chemicals. China was historically the primary destination for overseas waste recycling. However, the Chinese government introduced import restrictions for waste in early 2018, which shifted the dynamics of the waste trade toward Southeast Asian countries.² To assist five countries in the region - Cambodia, Malaysia, Philippines, Thailand, and Viet Nam – with their efforts to combat illicit shipment of waste through seaports, in 2020, UNODC launched a new project “Countering illegal hazardous waste trafficking through the Container Control Programme”. These five countries were at high risk for hazardous waste trafficking.

The project’s objective is to strengthen the capacity of customs and other relevant law enforcement agencies to detect and suppress illicit trade in hazardous waste. The project also intends to enhance inter-agency cooperation. It aims to attain its objectives primarily through capacity-building activities (trainings, mentorships, study visits, and regional meetings). The project design is centered on integrating the principles of human rights and gender equality into its capacity-building activities. The UNODC's Container Control Program (CCP) designed and has been implementing the project. It is executed in partnership with the World Customs Organization (WCO). The Norwegian Agency for Development Cooperation (Norad) is funding the project with 16,900,000 Norwegian Krone (NOK), which is equivalent to approximately USD1,624,435. The project was initially planned for 3.5 years, from May 2020 to December 2023. Due to COVID-19, it was extended at no cost for one year, until December 2024.

PURPOSE, SCOPE, AND METHODOLOGY OF EVALUATION

This mid-term evaluation was conducted to assess the project in terms of its relevance, efficiency, effectiveness, and human rights/gender equality/Leaving No One Behind. In addition, the evaluation analyzed the lessons learned and good practices to shape the execution of the remaining project activities, inform management decision-making and improve the design and implementation of future UNODC interventions. Although sustainability and coherence were outside the scope of this evaluation, the evaluators examined these two criteria. The evaluation covered the first three years of the project implementation from July 2020 to April 2023. The primary users of the evaluation results will be UNODC, and in particular, CCP. The WCO, a project cooperating agency, and Norad, the donor, will also benefit from the evaluation results.

The evaluators utilized a mixed-methods approach to carry out the evaluation, which included the systematic review of the provided documents, remote semi-structured interviews with key informants (KIs), and online surveys with project beneficiaries. A mixed-methods approach allowed the evaluators to triangulate the relevant information in order to gain a holistic understanding of the project, its core components, implementation strategies, and completed activities, and use this information to assess all evaluation criteria. The evaluation was conducted remotely.

Interviews were conducted with project beneficiaries from 4 countries (Cambodia, Philippines, Thailand, and Viet Nam). Government representatives from Malaysia were unavailable for the interviews due to the country’s strict policy on information sharing and the stringent arrangements that had to be made prior to conducting this evaluation. Project staff and partners, such as WCO, UNEP, and the BRS Secretariat were also interviewed. In total, 26 key informants (11 women and 15 men) took part in KIs. In addition, an online survey was undertaken with project beneficiaries. The survey was disseminated to 205 training and mentorship recipients. The response rate was 25% (47 individuals responded).

² Piling Up: How China’s Ban on Importing Waste Has Stalled Global Recycling, March 7, 2019, Available at: https://e360.yale.edu/features/piling-up-how-chinas-ban-on-importing-waste-has-stalled-global-recycling
Two women experts with sound international experience in both evaluation and the security sector conducted this mid-term evaluation.

MAIN FINDINGS PER EVALUATION CRITERIA

Relevance: The evaluation found that the project was relevant to the needs of the beneficiary countries. This finding was confirmed by 100% of key informants interviewed, and 98% of online survey participants, who reported that the project was ‘highly relevant’ or ‘relevant’ to the needs of target countries. The project was especially pertinent to the interests of customs and other law enforcement agencies in terms of improving their capacity to target, profile inspect, examine, and repatriate containers. The project was also responsive to the priorities of beneficiaries in terms of forging national and regional inter-agency relationships. Besides, the project was aligned with the Sustainable Development Goals (SDGs), and more specifically, SDG 5: Gender Equality; SDG 12: Responsible Consumption and Production; SDG 14: Life Below Water; SDG 16: Peace, Justice, and Strong Institutions, and SDG 17: Partnerships for the Goals.

Efficiency: The global COVID-19 pandemic caused delays in project implementation, but as a whole, the project succeeded in adjusting its interventions to respond to challenges caused by the pandemic. In particular, the project shifted the implementation priority from in-person to online modality (i.e., virtual workshops). Due to COVID-19, the project was extended for one year until the end of 2024. The project budget was also adjusted to reallocate unspent travel expenses to the procurement of equipment and protective suits for the Port Control Units (PCUs), the primary project beneficiaries. As of May 2023, the project’s implementation rate reached 59.76%.

Effectiveness: The project workshops and mentorship improved the capacity of frontline customs officers to combat illegal waste trafficking. In particular, they gained new knowledge about targeting, profiling, effective and safe inspection, and repatriation of waste containers. As a result of the capacity-building activities, the target countries seized and repatriated a greater quantity of illegally transported hazardous. Yet, the sustainability of capacity-building activities is an issue. Besides, the project forged inter-agency cooperation between customs departments, environmental bodies, and other law enforcement agencies within the target countries. The project was instrumental in establishing contact between them. To establish close regional interaction, the project has yet to carry out the majority of its regionally significant activities. It has thus far organized the first regional activity (regional mentorship), bringing together officers from the target countries. In addition, CCP has facilitated cooperation and information exchange between target countries and source countries, such as Australia.

Human rights, gender equality, disability inclusion, and (LNOB): The project design and implementation are aligned with the principles of human rights, gender equality, and LNOB. In particular, the national technical assessments analyzed gender equality and human rights issues in target countries’ recycling industries. Moreover, the project incorporated human rights and gender equality into the agendas of the national workshops, mentorship exercises, and a regional mentorship event. Additionally, the project promoted an equal number of men and women in its capacity-building activities. Although customs, border, and law enforcement agencies are typically dominated by men, women also participated in the project’s events. About 23% of the 145 workshop participants and 20% of the 75 mentorship attendees were women, which is considerably higher than the national percentages of women working in these agencies in frontline roles, and higher than the global average of women working in CCP units. The project’s events were accessible to all individuals, including those with disabilities. However, the project documents lacked specific actions taken by the project to promote disability inclusion.
**MAIN CONCLUSIONS**

The design of the project was consistent, with project activities interconnected and complementing one another. The logical framework was appropriate, with project objectives flowing logically to outcomes, outputs, and activities. Focusing on a sub-region (Southeast Asia), where countries share common concerns and comparable environments, was the right project strategy that allowed the same project instruments (such as training curriculum) to be applied to beneficiaries in multiple target countries, namely the five countries targeted. Moreover, the project benefited from the CCP’s prior work on illegal trafficking and years of collaboration with customs agencies, which further facilitated and enhanced the project implementation.

The project was pertinent to the needs and priorities of customs agencies in terms of increasing their awareness and skills in interdicting and suppressing the illicit shipment of hazardous waste. The project was also relevant in relation to fulfilling the SDGs, especially SDGs 5, 12, 14, 16, and 17, as well as international conventions (Basel, Rotterdam, Stockholm, and Minamata Conventions).

The project commenced amid the COVID-19 pandemic, delaying its first year of implementation and several second-year activities. By changing its implementation mode from in-person to online activities, the project was able to successfully adapt its interventions to the global pandemic. Nearly 60% of the budget was expended within the first three years of the project from July 2020 to May 2023.

CCP’s established network of PCUs in target countries served as the foundation for the project work. This ensured the effective delivery of the project’s planned activities. The workshops and mentorships raised awareness and strengthened the capacity of beneficiaries in the areas of hidden trade and targeting, profiling, inspection, examination, risk assessment, and repatriation of containers. Following the capacity-building activities, the target countries seized and repatriated more illegally transported hazardous waste. Yet, the sustainability of capacity-building activities is an issue and requires more attention from the CCP/UNODC in its current and future projects. In addition, the project activities contributed to forging inter-agency cooperation between national bodies, such as customs, environment, police, and other relevant bodies. The project also facilitated regional cooperation between participating countries, but the implementation of only one regional activity (regional mentorship) has not yet resulted in a significant amount of regional interaction. It is expected that the remaining project activities (e.g., study tours between target countries) will contribute to the establishment of active regional cooperation.

Aside from information exchange and joint presentations, there are still a few synergies with other international organizations (external partners).

**MAIN RECOMMENDATIONS**

The evaluation made a total of six recommendations, which are all addressed to the Container Control Program (CCP), Border Management Branch, Division of Operations at UNODC.

1. **Sustainability of capacity-building activities**, based on Finding 9 (Effectiveness):
   To take measures to ensure the long-term sustainability of capacity-building activities for this and future waste projects. Sustainability can be ensured through such tools as the delivery of the Train-the-Trainer (ToT) module, the development of a Training Manual, and the creation of online courses for frontline customs officers.

2. **Regional cooperation**, based on Finding 7 (Effectiveness): Implement all regionally planned activities by the project’s end.

3. **External partnership**, based on Finding 10 (Effectiveness):
   To adopt a more proactive approach towards expanding cooperation with external partners in order to increase the number of synergies (e.g., joint trainings) for reinforcing one another’s efforts and maximizing resource utilization, and to avoid duplications.

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Please note that the Executive Summary only includes the most important recommendations as identified by the evaluation team. All recommendations can be found in the main body of the report.
4. **Active promotion of ContainerCOMM**, based on Finding 8 (*Effectiveness*):

To promote the benefits of ContainerCOMM more widely in order to increase its use by customs officers by incorporating training sessions on this instrument into capacity-building activities. ContainerCOMM has the potential to become an effective regional networking tool, allowing PCUs to exchange data with the target countries and the 102 other countries that are currently connected to it.

5. **Participation of export countries**, based on Finding 5 (*Effectiveness*):

To potentially include waste exporting (industrialized) countries in future projects in order to raise their awareness, forge connections with receiving countries, and discuss potential joint actions so that law enforcement agencies on both sides can find effective solutions to combat illicit waste trafficking. Participation of the private sector (shipping companies, World Shipping Council) would be an asset so that they partner with both parties in suppressing the illicit trafficking of hazardous waste.

### MAIN LESSONS LEARNED

The evaluation identified the two major lessons learned and five good practices. Below is a list of the most important, with the complete list appearing in the report’s main body.

**Early planning of procurement:** As procurement is a lengthy process, it should be started as soon as the project starts. This will prevent delays in the procurement of equipment and other appliances.

**Proactive approach in external partnership building:** At the onset of the project, there should be a mapping of international organizations operating in the same field. This will allow for early contacts to be made and prospective joint activities to be planned. This will also help to avoid duplications between the UN and other international organizations’ projects. Besides, communication with external partners should be systematic to seek potential synergies.

### GOOD PRACTICES

**Assessment of a new domain:** Using assessments to initiate a project in a new field equips the implementing organization with crucial context- and institution-specific background information. The assessment results also guide subsequent project interventions and the overall project implementation.

**Complementarity of project activities:** When the project activities are interconnected and complement each other, their effectiveness is maximized. The combination of training and mentoring programs is one example. This allows mentorship to supplement theoretical information provided by trainings with practical aspects of the subject.

**Sub-regional focus:** Connecting similar-background countries is the right project strategy. Bringing together nations sharing a common array of problems and comparable environments enables the same project instruments (such as training and mentorship curriculum) to be applied to beneficiaries in multiple target countries. This ultimately reduces project implementation costs.

**Combination of national and regional interventions:** The project design that is based on two pillars — national and regional activities — is an asset. This enables the project to implement nationally tailored activities and expands the geographic reach of beneficiaries. In other words, combining local and regional locus into a single project is the optimal scheme for addressing problems on multiple levels.
I. INTRODUCTION

BACKGROUND AND CONTEXT

OVERALL CONCEPT AND DESIGN

Hazardous waste, such as plastic, metal, chemicals, and electronic equipment (e-waste) are illegally transported in significant quantities to countries in Southeast Asia. China was historically the key destination for overseas waste recycling. However, as a result of China’s import restrictions enacted in early 2018, Malaysia, Viet Nam, and other regional countries became the main harbors for the waste. An illustration of this is the 171% increase in plastic waste from 836,529 tons in 2016 to 2,211,127 tons in 2018, which is equivalent to 423,544 twenty-foot shipping containers. The Southeast Asian countries were unprepared for such an influx, resulting in the abandonment of thousands of waste containers in ports across the region.

To assist five countries in Southeast Asia – Cambodia, Malaysia, the Philippines, Thailand, and Viet Nam– in interdicting illegal hazardous waste shipments, UNODC launched this project. It is aimed at improving the capacity of the frontline customs officers and employees of other relevant government bodies (e.g., environmental agencies) playing an important role in border control and waste management, to detect and suppress illicit trade in hazardous waste. The project is a part of the Container Control Programme (CCP) developed by UNODC and World Customs Organization (WCO) to assist governments in creating sustainable enforcement structures in selected ports with the aim to minimize the risk of containers being exploited for illicit trafficking, transnational organized crime, and security threats. The project is built on the CCP’s operational Port Control Units (PCU), which are the primary project beneficiaries.

Map 1. Project Target Countries

Source: Evaluation team, using ArcGIS Pro, clearance by project team

To reach its objective, the project planned to attain one outcome and two outputs through technical assessments (i), national trainings (ii), mentorships (iii), regional meetings (iv), study visits (v), and information

sharing exercises between five participating countries (vi). Table 1 presents the project’s original logical framework describing the expected accomplishments and activities.

**Table 1. Project logic**

<table>
<thead>
<tr>
<th>Objective</th>
<th>To improve the capacity of Cambodia, Malaysia, the Philippines, Thailand, and Viet Nam to detect and suppress illicit trade in hazardous waste, such as plastic, scrap waste, e-waste, and chemicals. This includes enhancing inter-agency cooperation, as well as the technical skills of frontline-level officers.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Outcome</td>
<td>To increase the capacity of Port Control Unit (PCU) officers to interdict illicit shipments of hazardous waste</td>
</tr>
<tr>
<td>Outputs</td>
<td>Expected activities</td>
</tr>
</tbody>
</table>
| **Output 1.1:** PCU and other relevant officials trained on how to detect and tackle illegal plastic and hazardous waste shipments | 1.1.1. Short technical assessments (including assessments of cooperation between competent authorities) conducted in each participating country (Year 1)  
1.1.2. Advanced training inter-agency workshops (Years 1–4)  
1.1.3. Regular mentorships (four per country) (Year 2-3)  
1.1.4. Regional meeting (Year 4)  
1.1.5. Work study tours between participating countries (Years 3 and 4) |
| **Output 1.2:** PCU officers utilise ContainerCOMM as a tool in their everyday work to detect and target hazardous waste shipments | 1.2.1. ContainerCOMM training provided as part of the training curriculum (part of national training, Years 1-4)  
1.2.2. Information sharing exercise between participating countries/PCUs and other relevant regions in which CCP is active (Year 3) |

*Source: Project documentation*

In addition, the original scope of activities and consequently, the project logic, were expanded during project implementation to include the purchase of protective suits and volatile organic compounds (VOC) monitors, which had not been initially planned. They were highly needed by the PCUs to work with hazardous substances. The donor, Norwegian Agency for Development Cooperation (Norad), approved this procurement from the project’s unused travel funds, which were available as a result of COVID-19 travel restrictions, since the team was able to carry out theoretical training and assessments remotely during the pandemic, saving project funds. The Norad contributed a total of NOK16,900,000 (approximately USD1,624,435) to this project.

The project seeks to apply the principles of Leaving No One Behind (LNOB), specifically in relation to human rights and gender equality, in its capacity-building activities (e.g., the incorporation of human rights and gender inclusion topics into workshops and mentorship).

The project is being implemented by UNODC’s Container Control Program (CCP), with support from the WCO, which is the cooperating agency. The WCO is responsible for technical expertise by providing trainers. The project was initially planned for 3,5 years, from May 2020 to December 2023. Due to COVID-19, the project was extended at no cost for one year, until December 2024.

**CONTEXT**

With increasing global population, urbanization, and consumption, the amount of waste, including hazardous waste, is rising. Due to the high cost of disposal, recycling, or incineration, businesses in developed countries

*These are “no-cost” activities that are integrated into the training (1.1.2) and mentorship (1.1.3) components of the project.*
trade in waste with countries that have less stringent environmental regulations. As a result, illegal waste flows from industrialized countries to developing economies. Following China’s decision to ban waste imports, illegal waste trafficking shifted from China to Southeast Asian countries. As a result, Thailand saw the largest increase in plastic waste between 2017 and 2018 at 221%. In Viet Nam, the increase in waste imports caused congestion at its entry ports, where 6,000 containers were abandoned. In the first half of 2018, imports of plastic waste to Malaysia increased from 549,876 tons in 2017 to 872,797 tons in 2018, while imports to the Philippines surged from 4,267 tons to 11,761 tons, with the majority of imports arriving from the United Kingdom, Germany, Spain, France, Australia, and the United States. Cambodia’s imports of plastic waste also increased from 647 tons in 2016 to 1,699 tons in 2018.

Thousands of abandoned waste containers with unknown contents were stored in various regional ports as a consequence of significant waste influx. Some of these cargoes were illegally shipped. According to the UNEP and INTERPOL, organized criminal groups annually gain USD12.5-18.8 billion from the illegal trade of waste. Business companies participating in illegal trade also evade taxes, which are a vital source of government revenue in developing countries.

A persistent issue in the region is the mislabeling of cargo containing contaminated plastic, e-waste, and other mixed wastes as recyclable. E-waste often contains toxic substances, including mercury, lead, and hexavalent chromium. Hazardous waste has detrimental effects on the environment, the climate, and human health.

Control of waste was a challenge for many regional countries due to the lack of transparency, limited capacity for enforcement, weak inter-agency collaboration (such as between customs and environmental agencies), and poor regional coordination. To address these challenges, UNODC launched this project to enhance the capability of frontline level customs and other law enforcement officers in Cambodia, Malaysia, the Philippines, Thailand, and Viet Nam, to profile, detect, and inspect cargo containers suspected of carrying illegal plastic and hazardous waste, as well as to improve inter-agency cooperation both nationally and regionally.

PURPOSE AND SCOPE

The purpose of this mid-term evaluation was to assess the project in terms of its relevance, efficiency, effectiveness, and human rights/gender equality/LNOB. The evaluation also analyzed the project’s lessons learned and good practices for maximizing the use of evaluation findings for UNODC’s similar initiatives. Although sustainability and coherence were outside the scope of this evaluation, the evaluators examined these two criteria. The evaluation focused on the project’s design and implementation, including all modes of its execution, such as online and offline national trainings, onsite mentorship, and regional workshops. This mid-term evaluation covered the first three years of the project implementation from July 2020 to April 2023.

The geographic scope of the evaluation included all five target countries. Project trainers, consultants, and external partners from Belgium, Kenya, New Zealand, Portugal, Switzerland, and Viet Nam were interviewed. UNODC project staff based in Austria, Thailand, and Türkiye, as well as a NORAD representative from Norway also took part in KIIs.

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8 Ibid.
9 Ibid. Vietnam to limit waste imports as shipments build up at ports, Available at: https://www.reuters.com/article/us-vietnam-waste-idUSKBN1KG0KL
11 Ibid.
13 Ibid.
The values and principles of human rights, gender equality, and disability inclusion were integrated into all the evaluation stages, underpinning the principle of LNOB. The evaluators made attempts to interview all stakeholders, regardless of gender, function in the project (staff, partners, etc.), languages spoken, or disability.

The mid-term evaluation findings will be important for UNODC, the primary user of evaluation results, to inform the implementation of the remaining project activities as well as the design of UNODC future projects in this area. The implementing partner agency (WCO) and donor (Norad) will also benefit from the evaluation results.

THE COMPOSITION OF THE EVALUATION TEAM

This evaluation was conducted by a team of two women experts, an Evaluation Expert (Aida Alymbaeva), and a Substantive Expert (Gohar Petrossian). Evaluation Expert has 10 years of extensive experience in evaluation and the security sector. She has conducted multiple evaluations at the international level (e.g., UNODC, UNESCAP, UNICEF, USAID, EC, OSCE, etc.). Substantive Expert is an associate professor of criminal justice and an expert on environmental crimes, with over 10 years of research experience on the topic.

EVALUATION METHODOLOGY

This mid-term evaluation was undertaken by using a mixed-methods approach comprising several components: desk review; semi-structured interviews with relevant key informants; and online surveys of beneficiaries. The desk review incorporated a content analysis, the semi-structured interview data were analysed using qualitative thematic analysis, and the online surveys were analysed using quantitative, qualitative, and spatial analyses. Quantitative analyses were primarily descriptive in nature and included the aggregation of the self-administered survey results of the multiple-choice questions and the use of such summary statistics, as rates and percent to report the findings. The qualitative analyses of the semi-structured interviews, as well as the open-ended question responses of the self-administered online surveys were conducted using the publicly available Voyant Tools analytical tool created by Sinclair & Rockwell (2023). The spatial analyses were basic and included using ESRI’s ArcGIS Pro tool to map and display the target countries.

The desk review was conducted using 50 documents provided by UNODC. These included the project proposal, annual reports, activity reports, minutes of the annual meetings with Norad, and online and in-print PR/advocacy resources. The evaluation team (ET) also reviewed additional eight (8) external documents, including the UNEP and INTERPOL reports, GRID-Arendal and Greenpeace policy briefs, as well as various conventions, including the 1992 Basel Convention, the 1988 Rotterdam Convention, the 2001 Stockholm Convention, and the 2013 Minamata Convention. The full list of documents reviewed is listed in Annex III.

The ET also conducted remote semi-structured interviews (KIIs) with 26 respondents, including 10 beneficiaries from 4 target countries — Cambodia, Philippines, Thailand, and Vietnam. Respondents represented all project stakeholders: project staff, beneficiaries, consultants, cooperating organizations, external partners, and the donor. It was important to gain different perspectives on the project and provide all stakeholders with the opportunity to contribute to this evaluation findings. The number of respondents from each stakeholder group is provided in Annex IV. A fair representation of both women and men was ensured in KIIs (11 women and 15 men). Interviews were primarily conducted in English, however, in one instance where project beneficiaries preferred to be interviewed in their native language, a third-party interpreter was provided by the project to facilitate the interview process. The interpreter was specifically requested not to be a project staff to provide space for the respondents to engage in candid discussion. The evaluation team was unable to reach Malaysian beneficiaries for interviews due to their strict policy on information sharing. Under Malaysian legislation, data exchange is only permitted if parties sign an agreement.

However, the CCP and the Royal Malaysian Customs Department have not yet concluded the Memorandum of Understanding. This evaluation was unable to mitigate this.

Lastly, a self-administered survey was designed and carried out using Google Forms. This format was straightforward and simple, allowing the participants to focus on the survey questions rather than figuring out the complexity of taking a survey online. In addition to the instructions embedded in the survey, the evaluator sent an introductory email directly to the respondents reinforcing the objectives of the survey and the importance of their participation. A list of all the beneficiaries and their contact information had been provided to the evaluation team by the project staff upon request to facilitate this process. Online surveys were carried out with beneficiaries who attended the training workshops and mentorships. The survey reached a total of 205 recipients (77% male, and 23% women). Of these recipients, 22 were workshop participants from Cambodia; 24 from Malaysia; 61 from the Philippines; and 10 from Thailand. The surveys were also sent to 47 Cambodian, 14 Malaysian, 17 Philippine, and 10 Thai mentorship participants. Vietnamese beneficiaries were unable to be part of the online survey, as to participate, they required approval from their government, which was not possible to obtain within the time constraints of the evaluation. Additionally, 15 emails bounced back. To increase the participation rate, the survey due date was extended by an additional 5 days to give the respondents sufficient time to complete the surveys.

The online survey received a response rate of 25%, as a total of 47 respondents participated (79% male and 21% women). Considering the time constraints (with the extended deadline, the respondents had a total of 20 days to respond), potential language barriers, accessibility to the Internet, and availability of the respondents who are full-time government employees, a response rate of 25% is considered strong. Of the 47 total participants, a significant portion (n=19, i.e., 40.4%) were from the Philippines, followed by Cambodia (n=16, i.e., 34%), and Malaysia (n=8, i.e., 17%). Thailand saw a relatively low participation rate (n=3, i.e., 6.4%). Additionally, of the 47 total participants, an overwhelming majority (n=38, i.e., 81%) were from the customs departments, followed by the environmental agencies (n=8, i.e., 17%), and other law enforcement bodies (n=1, i.e., 2%) (Figure 1).

Figure 1. Participants by Sector

Source: Online survey run by the Evaluation team

Lastly, of the 47 respondents, 37 (or 78.7%) were men, and 10 (or 21.3%) were women.

Figure 2. Participants by Gender

Source: Online survey run by the Evaluation team
## LIMITATIONS TO THE EVALUATION

<table>
<thead>
<tr>
<th>Limitations to the evaluation</th>
<th>Mitigations measures</th>
</tr>
</thead>
<tbody>
<tr>
<td>Inaccessibility of Malaysian and Vietnamese project participants</td>
<td>Evaluators were not in a position to mitigate the lack of participation by Malaysian beneficiaries in KIs, and Vietnamese participants in online surveys. For the former, the evaluators were notified by the Royal Malaysian Customs Department that domestic data exchange is only permitted with prior arrangements. For the latter, the participants required permission from their government to be able to participate, a timely process that was outside of the scope of the timeframe required to complete the survey. This was mitigated by the desk review, specifically, the activity reports for capacity-building activities.</td>
</tr>
<tr>
<td>Online survey response rate</td>
<td>Various efforts were made to increase the response rate of participants. First, evaluators reached out to the project staff to request that they inform beneficiaries about the mid-term evaluation and the online survey. Secondly, a reminder email was sent to the beneficiaries 10 days after the initial email and a 5-day extension was granted to online survey participants. These helped to increase the response rate.</td>
</tr>
<tr>
<td>Online survey representativeness</td>
<td>All beneficiaries had an equal chance of participation. Any issues of representativeness were due to their own choice of participating in the survey, which was voluntary.</td>
</tr>
<tr>
<td>English language</td>
<td>The project team informed the evaluators that all stakeholders proposed for this evaluation speak English. The project arranged an interpreter from a third-party service for non-English-speaking beneficiaries (such as Vietnamese stakeholders).</td>
</tr>
<tr>
<td>Different time zones for the Substantive Evaluator and project beneficiaries</td>
<td>As the Substantive Evaluator had only 5 days for the data collection, data analysis, and report writing, and there was a significant time difference between her placement of work (NYC) and the project beneficiaries (Southeast Asia), the evaluators decided that the majority of KIs would be conducted by the Evaluation Expert. However, efforts were made to have the Substantive Evaluator onboard for four interviews whenever the time difference was not significant. For the remaining interviews, the Substantive Expert reviewed the recorded interviews and provided feedback to the Evaluation Expert. These recordings were carried out following consent from the participants and with the explicit agreement that they will be deleted after the evaluation team had the opportunity to review and extract (aggregate) data. The recordings have been subsequently deleted.</td>
</tr>
</tbody>
</table>
II. EVALUATION FINDINGS

RELEVANCE

EVALUATION QUESTION:
To what extent has the project been relevant to stakeholder’s (e.g., Customs and Environmental administrations) needs and priorities?

Based on the findings of the desk review, semi-structured interviews, and online surveys, it is evident that the project was pertinent to the local needs of beneficiaries and global priorities.

Finding 1. The project was relevant to the needs and priorities of beneficiary countries

The evaluation assessed the project alignment with the needs and priorities of the target countries. The evaluation found that the project was relevant to their needs. This was supported through triangulation, involving the analysis of the interview and online survey results. According to KIs, all respondents (100%), including representatives of customs administrations from four target countries, indicated that project activities served the interests of customs agencies. Besides, the prevailing majority of survey respondents indicated that the project was ‘relevant’ or ‘highly relevant’ to their needs. In particular, among the total of 47 respondents, 64% "strongly agreed" and 34% "agreed" (98% in total) that the project trainings were relevant to their work.

Figure 3. Relevance of Trainings to My Organization’s Needs and Priorities, %

First, the project has been responsive to the priorities of target countries in terms of improving their awareness and capacity in the areas of hidden trade, as well as targeting, profiling, inspection, examination, and repatriation of suspicious, abandoned, and contaminated containers. Many frontline customs officers were unaware of abandoned containers before the project. The project’s trainings and mentorships were instrumental in expanding and enhancing their knowledge about transboundary illicit shipments and hazardous waste contained in many of the containers. Second, the project has supported national policies and strategies. For instance, the project has relevance to the Cambodian Customs Reform and Modernization Strategy for 2019-2023. The project also remains highly relevant to the target countries’ initiatives taken as a response to implementing the Ha Noi 3R Declaration - Sustainable 3R Goals for Asia and the Pacific for 2013-2023, specifically, Goal 14 related to the “effective enforcement of established mechanisms for preventing
illegal and inappropriate export and import of waste, including transit trade, especially of hazardous waste and e-waste (such as, for example, those taken by Thailand). Third, the project responded to the needs of customs administrations in terms of fostering national and regional inter-agency relationships. The project invited representatives of customs, environmental, police and other law enforcement agencies to national workshops, regional meetings and study tour so that they establish contacts and relationships. The feedback received from the beneficiaries on the open-ended online survey results attests to this fact. They emphasized the importance of the project in fostering inter-agency cooperation.

**Finding 2. The project was aligned with the global priorities and SDGs**

In terms of global priorities, the project aligns with the following UNGA resolutions: A/RES/44/226 (1989) related to the traffic in and disposal, control, and transboundary movement of toxic and dangerous products and wastes; A/RES/42/183 (1987) related to the traffic in toxic and dangerous products and wastes; and 68/71 (2013), 71/209 (2016), and 71/326 (2017) that deal with strengthening the rule of law and criminal justice institutions to prevent and respond to transnational organized crime. Moreover, the project incorporated major conventions that relate to the trafficking, transboundary movements in hazardous and illegal waste, specifically the 1992 Basel Convention on the Control of Transboundary Movements of Hazardous Waste and Their Disposal, into its trainings. For instance, the national trainings held in the Philippines and Malaysia in September 2021; Cambodia in November 2021; Thailand in December 2021, and Viet Nam in March, 2022 had specific training sessions on the Basel Convention, the transboundary movement of waste, plastic waste trade, abandoned containers, and health as well as safety issues.

In addition, the project is pertinent to the 1988 Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade that promotes shared responsibility for the importation of hazardous chemicals; the 2001 Stockholm Convention on Persistent Organic Pollutants (that aims to restrict or eliminate the production of organic pollutants), and the 2013 Minamata Convention on Mercury designed to protect human health and the environment.

The project is also relevant to the project donor’s interests. In particular, the project is funded by Norad under the Norwegian Development Program to Combat Marine Litter and Microplastics, as one of the program’s key goals is to improve the management of plastic waste in partner countries. In addition, the program focuses on strengthening global commitments and national/regional instruments to prevent marine litter.

The project also provided technical assistance to improve the capacity of partner countries to predominantly achieve the following Sustainable Development Goals (SDGs):

- SDG5: Gender Equality.
- SDG 12: Responsible Consumption and Production
- SDG14: Life Below Water
- SDG16: Peace, Justice, and Strong Institutions
- SDG 17: Partnerships for Goals.

The project also contributed to the attainment of other SDGs, including:

- SDG6: Clean Water and Sanitation
- SDG11: Sustainable Cities and Communities
- SDG15: Life on Land.

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EVALUATION QUESTION:
To what extent has the project delivered outputs in a timely and efficient manner?

Finding 3: The project succeeded in adjusting its interventions to respond to COVID-19. Despite some delays caused by the pandemic, the project completed more than half of its activities.

The project was initially designed for a period from May 2020 to December 2023. It commenced its activities in July 2020 when the first disbursement from Norad was received by UNODC. When the project started, it was affected by the COVID-19 pandemic that delayed its first year of implementation and some second-year activities. In particular, the face-to-face technical assessments (baseline study) planned for 2020 were conducted in 2021. In-person mentorships scheduled for 2021 in Cambodia, Malaysia, and Thailand were also postponed to 2022.

The evaluation findings showed that the project was adaptive to the emerging needs caused by the COVID-19 pandemic by shifting the implementation mode from in-person to online activities. For instance, the national technical assessments were conducted virtually in response to the travel restrictions imposed by the target countries in 2020 and early 2021. For this purpose, the project designed, translated, and remotely disseminated a questionnaire to PCUs and other customs officials. In addition, the national workshops on plastic and hazardous waste were delivered online. Overall, the project was able to adapt its interventions to the changed context caused by the COVID-19 pandemic, but implementation delays occurred as a result of the pandemic.

Due to COVID-19, there was a no-cost extension of the project for one additional year until December 2024 so that the project could implement the remaining activities (such as regional study visits and mentorships). As a whole, the original project duration of 3.5 years was conducive to delivering all quality outputs (to train and mentor beneficiaries and to promote inter-agency cooperation), which COVID-19 altered.

Finding 4: With approximately 60% of funds disbursed, the project implementation rate is increasing

Due to COVID-19 that delayed activities at the start of the project, the project implementation rate for 2020 was only 0.33 percent. As of May 2023, the project's implementation rate had substantially increased, reaching 59.76 percent.

In addition, the delays caused by the COVID-19 pandemic resulted in an unused travel budget, and the project proposed to the donor (Norad) to use this funding (USD 80,000) for the procurement of equipment for the PCUs. It was offered to purchase personal protective equipment (specifically, powered respirator suits) and VOC monitors for frontline customs officers, as health and security concerns were emphasized in the national technical assessments. In addition, it was proposed to acquire VOC monitors, which are essential for PCU's work with hazardous waste. Norad approved this reallocation between the budget lines. Currently, the project is proceeding with the procurement of 10 VOC monitors for each of the PCUs (2 per country) and 5 Respirex powered respirator protective suits (PRPS) (1 per country) for Sihanoukville PCU in Cambodia; Port Klang PCU in Malaysia; Manila, Cebu, and Davao PCUs in the Philippines; Laem Chabang PCU in Thailand, and Ho Chi Minh, Vung Tau, Hai Phong, and Da Nang PCUs in Viet Nam. The project is experiencing some delays in this procurement because it is the first time CCP is procuring this kind of sophisticated equipment. It was

17 The VOC monitor is a device that allows officers to test the air quality inside the container, including checking for the presence of any hazardous substances.
18 The PRPS suit will protect officers in emergency situations where the officers need to work in or around this kind of hazardous environment and could also be used as a safety precaution for shipments relating to CBRN (Chemical, Biological, Radiological, or Nuclear) materials.
EVALUATION FINDINGS

In terms of cost efficiency, the project involved international trainers, as local capacity was limited. Illegal hazardous waste trafficking was a new topic for the customs agencies in target countries, where training academies lack courses on this subject, as pointed out by KII informants. Moreover, waste management was a new area for the CCP with this project being of pioneering nature. Through this project, the CCP intended to transfer international knowledge to the targeted customs officers, with future projects focusing on developing the capacity of local trainers. Enhancing the local trainers’ capacity (e.g., via a Train-the-Trainer (ToT) module), who could act as co-trainers, should be an integral part of the future CCP/UNODC waste projects. This will be crucial for ensuring the cost-efficiency and sustainability of projects. If funding is available, a ToT module could be delivered in the remainder of the project period.

EFFECTIVENESS

EVALUATION QUESTION:
Have there been any facilitating or hindering factors in achievement of results, including in national, regional or international context?

Finding 5: The national workshops and mentorships enhanced the capacity of beneficiaries to combat illegal waste trafficking

According to the desk review, as of May 2023, more than half of the planned project's activities had been implemented, as shown in the table below.

<table>
<thead>
<tr>
<th>Outputs</th>
<th>Expected activities</th>
<th>Implementation Status</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Output 1.1:</strong> PCU and other relevant officials trained on how to detect and tackle illegal plastic and hazardous waste shipments</td>
<td>1.1.1. Short technical assessments (including assessments of cooperation between competent authorities) conducted in each participating country</td>
<td>Completed</td>
</tr>
<tr>
<td></td>
<td>1.1.2. 2 advanced training inter-agency workshops</td>
<td>Completed</td>
</tr>
<tr>
<td></td>
<td>1.1.3. 4 Regular mentorships (3 per country, and 1 regional mentorship)</td>
<td>Partially completed. 2 (1 round of national mentorships and 1 regional mentorship) out of 4 mentorships were completed. The remaining two mentorships are planned for August-October 2023</td>
</tr>
<tr>
<td></td>
<td>1.1.4. 1 Regional meeting</td>
<td>Not completed yet. Planned for 2024</td>
</tr>
<tr>
<td></td>
<td>1.1.5. 3 work study tours between participating countries</td>
<td>Not completed yet.</td>
</tr>
</tbody>
</table>
### EVALUATION FINDINGS

As the first activity under **Output 1.1**, the project conducted the national technical assessments for 5 countries (Activity 1.1.1). The assessment analysed legislation and examined the key functions and capacity of major seaports to inspect shipments. It also mapped the government stakeholders combating illegal hazardous waste and identified their impediments to effectively suppressing illicit shipments. Based on the analysis made, the reports provided recommendations on training courses and equipment required for customs agencies to interdict illicit cargo. Incorporating technical assessment into the project design as the first activity was the right strategy, as it provided UNODC with the contextual and institutional background information on the new domain – management of toxic and hazardous waste in the target countries. Moreover, the assessment served as the guiding document for subsequent capacity-building interventions and overall project implementation.

The project then organized workshops (Activity 1.1.2). The first round of workshops was held in the form of kick-off meetings with high-level national government authorities from five countries, international organizations (e.g., UNEP, Interpol), and the donor (Norad). Both frontline- and management-level officers from partner law enforcement agencies participated and made presentations about their work in relation to plastic and hazardous waste. In total, 52 PCU officers from 5 countries took part. The findings of the technical assessments were also presented there. Due to COVID-19, the kick-off meetings were held online.

The second round of national workshops was delivered for each country online and devoted to a broad range of topics, including those listed below:

- Plastic waste trade (trade flows, WCO Harmonized System codes, leakage, recycling, national and international waste legislation)
- Human rights and gender equality
- Transboundary movement of waste (under the Basel Convention)
- Targeting (abandoned containers, profiling, and information exchange)
- Examination (conducting examinations, records, safety, reporting and referral)
- National situation (presentations by the customs and environmental bodies on hazardous waste, targeting, examination procedures and information exchange)
- Repatriation (Basel Convention, procedures)
- Operations (WCO Operation Demeter and Operational Command principles).

According to the online survey, which was launched by the ET to measure different dimensions of the effectiveness of capacity-building activities, the prevailing majority of respondents (91%) were satisfied with the quality, content, and training methods of the workshops (e.g., open discussions, interactive exercises, and quizzes). The training curriculum also reflected recommendations of the technical assessment, when the topics, such as WCO Operational principles, were included in the workshop agenda.

<table>
<thead>
<tr>
<th>Output 1.2: PCU officers utilize ContainerCOMM as a tool in their everyday work to detect and target hazardous waste shipments</th>
<th>Planned for 2024</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1.6. Procurement of equipment and protective suits</td>
<td>Not completed yet. In the process of implementation</td>
</tr>
<tr>
<td>1.2.1. ContainerCOMM training provided as part of the training curriculum (part of national training, Years 1-4)</td>
<td>Completed</td>
</tr>
<tr>
<td>1.2.2. Information sharing exercise between participating countries/PCUs and other relevant regions in which CCP is active</td>
<td>Completed</td>
</tr>
</tbody>
</table>

Source: Evaluation team
EVALUATION FINDINGS

Figure 4. Were you satisfied with the Quality of Trainings?

Source: Online survey run by the Evaluation team

Based on the data gathered, it can be concluded that trainings were effective in equipping beneficiaries with the skills and knowledge necessary to carry out their duties. For example, the word cloud generated from the open-ended responses of the survey participants, which quantified the frequency of the keywords appearing in their responses, indicates that some of the core capabilities acquired included “knowledge”, “improved ability”, “skills”, and “analysis”, among others (see Figure 8).

Figure 8. Overall Assessment of the Workshops, Open-Ended Responses, Survey Participants

Source: Online survey run by the Evaluation team

Following the workshops, the project organized the first round of on-site mentee trainings (mentorship, Activity 1.1.3) to target and physically (in real-time) inspect the hazardous containers together with customs officers. Mentorships were organized in each of the five countries and covered the following topics:

- Container x-ray images and methods of concealment;
- The use of WCO ContainerCOMM and UN Comtrade systems;
- Gender;
- Plastic waste trade and repatriation of hazardous waste;
- Abandoned containers and analysis of data;
EVALUATION FINDINGS

- Repatriation (procedures and obligations of export countries under the Basel Convention);
- Risk management techniques to detect suspicious containers.

The immediate result of the mentorship was the detection of dozens of tons of illegally trafficked waste in abandoned containers. For instance, 16 tons of hazardous waste (used lead acid batteries) were detected during an inspection of containers at PCU Sihanoukville in Cambodia. Moreover, the analysis of abandoned container data performed during mentorships led to the identification of thousands of tons of plastic scrap and other toxic wastes in target countries, such as Thailand and the Philippines. In Thailand, 5 containers of scrap paper from Australia were detected, and the information was entered into ContainerCOMM, a WCO-developed software that tracks the movement of international cargoes, including illegal ones. These containers were later repatriated to Australia, as reported by the project staff, owing to the knowledge acquired through the project's trainings and mentorships. In the Philippines, data analysis revealed a total of 681 abandoned containers: 561 in Manila, 95 in Davao, and 25 in Cebu.

Importantly, following the capacity-building activities, the target countries seized and repatriated more illegally transported hazardous waste. According to KIs with beneficiaries (e.g., Thailand), the knowledge they gained through the workshops and trainings enabled them to detect more hazardous waste and send them back to their countries of origin. Specifically, the new knowledge they gained about targeting, profiling, inspection, and repatriation was useful for both the detection and repatriation of illegal waste. In Vietnam, all illegal containers are now required by law to be sent back. Customs officers there apply their newly gained knowledge in the repatriation procedures, as reported in KIs. Even though there were few instances of container repatriation in Cambodia, KIs with project beneficiaries revealed that the trainings bolstered the confidence of frontline customs officers regarding how to handle container repatriation. As outlined in KIs, there was almost no repatriation before the project. Since the project's inception, the repatriation of contaminated containers has increased in target countries.

Moreover, as evidenced by the KIs and online survey results, the project workshops and mentorships enhanced the knowledge and strengthened the capacity of beneficiaries in the areas of hidden trade and suppressing hazardous waste trafficking. According to the online survey, 63.8% of respondents "strongly agreed" and 34% "agreed" that the trainings and mentorships improved their understanding of the scope of illegal and hazardous waste trafficking. All project workshops and mentorships had a total of 220 participants, with 145 officers attending workshops (34 women and 111 men) and 75 officers participating in mentorships (15 women and 60 men).

Figure 5. Training and Mentorship Improved My Understanding of the Problems of Hazardous Waste Trafficking

Source: Online survey run by the Evaluation team

A significant proportion of the survey respondents also reported that these capacity-building activities increased their abilities to detect and combat illegal waste entering their seaports. Specifically, 29.8% of them "strongly agreed" and 61.7% "agreed" with this statement. In other words, the overwhelming majority of beneficiaries (91.5%) acknowledged skill enhancement.
EVALUATION FINDINGS

Besides, the online survey results showed that the project provided beneficiaries with sufficient opportunities to apply their training-acquired knowledge, which was made possible by the mentorships. In particular, among 47 respondents, 45.7% “strongly agreed” and 47.8% “agreed” (93.5% overall) that the project created such opportunities for practice. It indicates that mentorship was an effective instrument for improving the customs officers’ skills.

In the opinion of a number of KII informants, training and mentorship complemented each other and maximized the effectiveness of capacity-building. They were interconnected, thereby amplifying each other’s effects. In this context, the project design represented a consistent approach that enhanced the project’s outcome. At the same time, some KII sources indicated that the project could have targeted a larger number of customs officers. The issue, however, is that frontline customs officers are frequently rotated out and replaced with new officers. A ToT module is seen as a solution to this problem for the remainder of the project period, if funding is available. Otherwise, ToT should be an integral part of future UNODC waste projects. The ToT is described in greater detail in the Sustainability section below (Finding 9).

For effective repatriation of illegally trafficked toxic waste, multiple KII sources recommended that future waste projects involve the prosecution offices of the waste-sending (industrialized, developed countries) and waste-receiving countries to investigate cases and hold criminals (e.g., consignors) accountable for their actions. As asserted by the project team member, illegal consignors are rarely prosecuted in waste-sending countries. Further, to effectively combat hazardous waste, all interviewees from target countries recommended involving the waste exporting countries in discussions and possible joint actions. They view the UNODC as an actor that can facilitate discussions between two sides so that their law enforcement agencies can find effective solutions to combat illicit waste trafficking.
Finding 6: The project contributed to inter-agency cooperation nationally

Illegal waste is transported transnationally, demanding a coordinated response both nationally and regionally. In this regard, the project is also aimed at fostering inter-agency cooperation within the country among government agencies responsible for interdicting illicit waste trafficking in seaports, such as customs, environmental, police, and law enforcement bodies. For this purpose, the project invited representatives from these and other agencies to participate in the national workshops so that they establish contacts. The results of the KIIs and online survey demonstrated that the project forged inter-agency cooperation among beneficiaries at the national level. In particular, 32% of online respondents “strongly agreed” and 43% “agreed” that the project improved inter-agency interaction. In other terms, 75% of all beneficiaries acknowledged it (Figure 8).

Figure 8. Project Enhanced Inter-Agency Cooperation Nationally

Source: Online survey run by the Evaluation team

In terms of the number of national agencies, the respondents have cooperated with since their participation in the project, 50% of online participants reported interacting between 1-3 times, 15% more than 4 times, 2% more than 6 times, and 35% of beneficiaries have not collaborated yet (Figure 9). These figures indicate that more than half of beneficiaries (65%) have started collaborating with other agencies within the country, a positive change that is essential for effectively combating the illegal shipment of hazardous waste.

Figure 9. Number of National Agency Cooperation Since Project Participation

Source: Online survey run by the Evaluation team

The survey respondents were also asked about the agencies with which they collaborated and the nature of that cooperation. The majority of responses listed the Environmental Regulatory Agencies, Police, Port Authorities, and Ministry of Justice. Interactions included sending queries to other agencies on shipment content and compliance, calling other agencies to jointly conduct physical examinations of abandoned
Finding 7: The project facilitated regional cooperation between the targeted countries, but additional efforts are required to make this cooperation active and close

With the approval of Norad, the second round of national mentorship (Activity 1.1.3) was conducted in Cambodia in October 2022 as a regional instead of a national event. After more than two years of COVID-19 restrictions, this reorganization was implemented to cultivate regional cooperation between PCUs. According to KII informants from target countries, it is essential for them to learn best practices and lessons from their regional peers. These countries face a similar spectrum of problems. In their view, regional best practices are easily applicable in their countries.

However, as evidenced by the online survey results, 52% of respondents have not yet cooperated with PCUs from other regional countries, 41% cooperated between 1-3 times, and the remaining participants (7%) collaborated more than 4 times (Figure 11). These figures demonstrate that the project helped to establish contacts between beneficiaries, with 48% of respondents already cooperating. Yet, there is room for improvement in regional cooperation. On one hand, the project has not yet organized the three planned study tours between participating countries to forge regional cooperation (Activity 1.1.5). They are expected to enhance regional interaction. On the other hand, according to some KII s, there has not yet been a real occasion to collaborate on a particular activity.

Figure 11. Number of Regional Interactions Since Project Participation

As a whole, working with a sub-region (Southeast Asia) where countries share common concerns and comparable environments is viewed by the project beneficiaries as a significant asset. Customs officers applauded the project’s regional approach and considered it necessary for regional communication and the exchange of regional good practices. The strength of this project’s design is that it focuses on both national and regional needs. In other words, the project addresses national priorities and nurtures local ownership, as well as facilitates interaction between five beneficiary countries.

In addition, the project facilitated information exchange between target countries and source countries, such as Australia. According to the project team, Thai customs repatriated waste to Australia, but the consignor attempted to re-export the waste to Indonesia. The project has been in contact with the Australian Border Force regarding this matter.

Finding 8: The ContainerCOMM is not yet widely used by the customs officers

To reach Output 1.2, which promoted the use of ContainerCOMM as an instrument in the daily work of PCUs to target hazardous waste shipments, the project included a ContainerCOMM training session (Activity 1.2.1) into the agenda of national workshops (Activity 1.1.2). ContainerCOMM is now a global port-to-port communication platform with 102 countries being connected to it. The training sessions were delivered, but the vast majority of online survey respondents, specifically 31 out of 47 participants, or 66% of respondents,
responded that they were not using the tool, while 34% were. Of that 38%, who are using the ContainerCOMM tool, over one-third used it “once a week”, 25% “every day”, and 19% “once a month”.

<table>
<thead>
<tr>
<th>Frequency of Use</th>
<th>Number of respondents</th>
<th>Percent</th>
<th>Cumulative Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Once a week</td>
<td>6</td>
<td>38%</td>
<td>38%</td>
</tr>
<tr>
<td>Every day</td>
<td>4</td>
<td>25%</td>
<td>63%</td>
</tr>
<tr>
<td>Once a month</td>
<td>3</td>
<td>19%</td>
<td>81%</td>
</tr>
<tr>
<td>Twice or thrice a week</td>
<td>2</td>
<td>13%</td>
<td>94%</td>
</tr>
<tr>
<td>Every other day</td>
<td>1</td>
<td>6%</td>
<td>100%</td>
</tr>
</tbody>
</table>

Table 3. Frequency of Use of the ContainerCOMM Tool

The low number of users of this tool could be explained by the fact that only a small number of customs officers have access to ContainerCOMM. Some survey respondents did not have access to ContainerCOMM because they worked for non-customs agencies or customs units that were not responsible for its administration. Nonetheless, several KII sources regarded the use of ContainerCOMM as an additional task on top of their regular workload. This prevents them from using it more actively. The WCO is currently modifying this tool to make it available in several local languages and to be more user-friendly, which is expected to increase its usage.

As reported by the project staff, there were no waste-related messages, such as seizure reports on the plastic scrap, in the ContainerCOMM at the beginning of the project. As a result of the project interventions, new seizure reports started to be registered there. For instance, there were seizure reports on over 7,000 tons of hazardous waste uploaded in ContainerCOMM; the project considers this a success because customs administrations were hesitant to report seizures in the past. In addition, there was a waste-related information exchange (messaging) among regional customs officers via this platform. As a whole, the use of ContainerCOMM should be increased so that it can be of greater benefit to the target countries in their efforts to combat transboundary illicit shipments. In this respect, both the project and the WCO should promote the benefits of ContainerCOMM more broadly. In addition, ContainerCOMM has the potential to become an effective instrument for regional networking, allowing customs officers to exchange information with regional countries and beyond regarding transboundary illicit trafficking.

**Finding 9: The sustainability of capacity-building activities is an issue**

The project increased the capacity of a large number of customs officers, as well as environmental practitioners (220 individuals in total). It is expected that a great part of these beneficiaries will continue using their newly acquired knowledge and skills. The field research demonstrated that many participants were already applying the new knowledge. However, there is a high rate of staff turnover in customs agencies in the targeted countries, and it is one of the obstacles to the sustainability of the project’s capacity-building activities. Therefore, there is a need for the CCP to think of measures to ensure the long-term sustainability of its capacity-building activities for this and future waste projects. Sustainability could be ensured through the ToT program, and the development of a Training Guide, e-learning courses, and online toolboxes/platforms.

Beneficiaries from several target countries proposed to involve local trainers in capacity-building activities, such as through the ToT courses. In their view, national trainers have a solid understanding of the national context, as well as legal, environmental, and climate policy nuances. The CCP has extensive experience delivering the ToT from its previous projects, which it could easily apply to waste projects. For instance, under its ToT program, the CCP trained around 40 local experts in South and Southeast Asian countries. If funds are available, the ToT could be incorporated into this project.
The posting of existing training materials on a password-protected website (such as the UNODC website) for the use of new customs officers will be also instrumental in ensuring the project’s sustainability. Future waste management projects can also benefit from the development of a Training Manual/Guide (e.g., an electronic version) containing essential practical aspects of targeting, profiling, inspection, examination, risk assessment, and repatriation, as well as other pertinent information. They are also to be posted on a password-protected, secure website (the UNODC website). The project developed two Checklists (three to five-page documents, one for frontline customs officers and the other for management officers) to facilitate the flow and the order necessary to effectively prevent, detect, investigate, and combat waste trafficking. These Checklists are valuable, but they cannot replace the Training Manual, which is more comprehensive and detailed. Another potential strategy for assuring the long-term sustainability of future capacity-building programs is the creation of e-learning courses and online toolboxes/platforms.

Finding 10: Coherence: External partnership on the project implementation needs to be expanded

In addition to the WCO, the project cooperated with the Basel, Rotterdam, and Stockholm (BRS) Conventions Secretariat, and UNEP. A representative from the BRS Secretariat gave an online presentation at the national workshop, while the project made a presentation at their event. The project staff also attended and presented at international conferences organized by other international organizations. For example, a project member participated in the panel "Toxic Trading – How to Investigate and Prosecute Waste Trafficking: Interactive Demonstration" at the Organized Crime Conference organized by the Global Initiative Against Transnational Organized Crime. Another example is one where a project team member attended the UN Oceans Conference and organized a side event, in collaboration with the BSR Secretariat, titled “Depolluting oceans through controlling trade in plastic wastes and combatting illegal traffic under the Basel Convention”. Moreover, UNODC, UNEP, and WCO are members of the Green Customs Initiatives. As partners, they communicate with each other on their initiatives. The project also worked with the UNODC Legislative Branch, which developed a Legislative Guide on Combatting Waste Trafficking by commenting on its draft version.

To discuss potential synergies, the CCP met with the UNDOC regional project “UNWASTE” operating in the same region (Indonesia, Malaysia, Thailand, and Vietnam). The project seeks to fight trafficking in waste between the EU and Southeast Asian countries. Later, in May 2023, the UNWASTE representative delivered a presentation at the project workshop.

Aside from information exchange and joint presentations, there are still few synergies with other international organizations. The project should adopt a more proactive strategy for implementing joint activities to harness resources and avoid possible duplications.

HUMAN RIGHTS, GENDER EQUALITY, DISABILITY INCLUSION AND LEAVING NO ONE BEHIND

Finding 11: The project design and implementation were aligned with the principles of human rights and gender equality

Based on the findings of the desk review and KIs, it is evident that the project applied the principle of Leaving No One Behind (LNOB), specifically in relation to human rights and gender equality in its design and implementation. Gender policies and gender inequality in the recycling industries of target countries were
addressed in the national assessments. These assessments included separate chapters on human rights and gender policies. Moreover, since February 2016, the CCP has mandated all of its training programs to include a gender module. Human rights have been a part of CCP training since 2013. Hence, the project incorporated human rights and gender equality into the agendas of the national workshops, mentorship exercises, and a regional mentorship event. These topics were included as separate training sessions.

Additionally, the project promoted an equal number of men and women in its capacity-building activities. All training reports included a breakdown of male and women participants. Although customs, border, and law enforcement agencies are typically dominated by men, women also participated in the project’s events. A total of 23% of the 145 workshop participants and 20% of the 75 mentorship attendees were women. The CCP Women’s Network was continuously promoted during training activities and all PCU women officers, who wished to join the network, were encouraged to do so. As a whole, the principles of human rights and gender equality were fully translated into the project design and implementation.

Regarding disability inclusion, the project’s events were accessible to all individuals, including those with disabilities, as reported by the project team during KIIs. However, the project documents (project proposal and activity reports) do not detail the specific actions taken by the project to promote disability inclusion.
III. CONCLUSIONS

This project was the CCP’s first intervention in combatting illegal hazardous waste trafficking. It was also one of the first UNODC projects in this area. Despite the novelty of the topic, the project was built on the previous expertise of CCP in illicit trafficking and its longstanding history of working with customs bodies. This expertise was instrumental in capturing the pressing needs of customs agencies as well as implementing the project. The project was relevant to the needs of beneficiaries in terms of enhancing their capacity in detecting and suppressing illicit shipments of toxic and contaminated cargoes. The project was also pertinent to national policies and strategies, such as customs roadmaps. Besides, the project’s interventions aimed at enhancing inter-agency cooperation both nationally and regionally reflected the interests of the targeted customs agencies. The project was also aligned with global development priorities, specifically SDGs 5, 12, 14, 16, and 17, as well as various international conventions (Basel, Rotterdam, Stockholm, and Minamata Conventions).

The project design represented a consistent approach, with project activities being interconnected with each other rather than being stand-alone interventions. Specifically, technical assessment, training, and mentorship complemented one another, maximizing each other’s effects. Besides, focusing on a sub-region (Southeast Asia), where countries share common concerns and comparable environments, was the right strategy that allowed the same project instruments (such as training curriculum) to be applied to beneficiaries in five target countries. The project design centered on two pillars - national and regional activities – enabling PCUs to expand their in-country and regional interactions in combatting illegal hazardous waste trafficking.

The project commenced in the midst of the COVID-19 pandemic, delaying its first year of implementation and several second-year activities. By changing its implementation mode from in-person to online activities, the project successfully adapted its interventions to respond to the global pandemic. Due to Covid-19, the project duration was extended at no cost for one year, until December 2024. The global pandemic also resulted in an unspent budget for travel. This funding was redirected to the procurement of equipment and protective suits for PCUs, which were in high demand by the beneficiary countries. As of May 2023, or 1.5 years before the end of the project, nearly 60% of the budget has been expended.

The CCP’s established network of PCUs in the target countries served as the foundation for the project work. This ensured the delivery of project activities in an effective way. The workshops and mentorships enhanced the awareness and strengthened the capacity of beneficiaries in the areas of hidden trade and targeting, profiling, inspection, examination, risk assessment, and repatriation of containers. Following the capacity-building activities, the target countries seized and repatriated more illegally transported hazardous waste. In addition, as a result of the project interventions, new seizure reports started to be registered in ContainerCOMM, as there were no waste-related messages, such as seizure reports on the plastic scrap, at the outset of the project. Customs administrations were hesitant to report seizures in the past. The project should promote the benefits of ContainerCOMM more so that this tool can be used more actively by customs agencies in suppressing illicit shipments.

The project activities contributed to forging inter-agency cooperation between national bodies, such as customs departments, environmental authorities, police, and other relevant bodies. As illegal waste is transported transnationally, it demands a coordinated regional response. The project facilitated cooperation between five participating countries, but the implementation of only one regional activity (regional mentorship) has not yet resulted in a significant amount of regional interaction. It is expected that the remaining project activities, such as study tours between participating countries, will contribute to the establishment of closer regional cooperation.

The sustainability of capacity-building activities is an issue and requires more attention from the CCP in its current and future projects. Additionally, the external partnership must be enhanced to foster closer synergies with other international organizations to avoid duplication and maximize mutual benefits.
IV. RECOMMENDATIONS

Based on the findings and conclusions of this report, the following recommendations are made, which are presented in the order of importance:

RECOMMENDATION 1 – SUSTAINABILITY OF CAPACITY-BUILDING ACTIVITIES

(Directed to the Container Control Program (CCP), Border Management Branch, Division of Operations, Timeframes: by December 2024). Based on Finding 9 (Effectiveness):

It is recommended that the CCP takes measures to ensure the long-term sustainability of its capacity-building activities for this and future waste projects. First, sustainability could be ensured through the ToT program. The CPP’s current ToT program can be expanded to incorporate plastic and hazardous waste management, or a new ToT module can be developed. Customs Academies from the target countries could also participate in the ToT as trainees and then develop and deliver a course at their respective training institutions. If funding is available, a ToT could be delivered by December 2024 during the remaining project timeline.

Second, the development of a Training Manual for operational officers can be instrumental in sustaining the training results. The core elements of the manual should be workshop topics, such as targeting, profiling, inspection, examination, risk assessment, and repatriation of containers. Its language should be simple for operational officers and preferably in their native languages. The UNEP’s “The Green Customs Guide to Multilateral Environmental Agreements Manual” covers the legal aspects of waste trafficking, including the Basel and other Conventions. In this regard, the CCP’s Training Manual should encompass the practical (operational) side of illegal waste trafficking. The e-version of the manual is to be uploaded on a secure, password-protected website (e.g., the UNODC website). Additionally, important data from this manual might be visualized to make them more appealing to the customs officers. Third, the CCP can also create online (certified) courses for frontline customs officers to be also posted on a secure website.

RECOMMENDATION 2 – REGIONAL COOPERATION

(Directed to the Container Control Program (CCP), Border Management Branch, Division of Operations, Timeframes: by December 2024). Based on Finding 7 (Effectiveness):

It is recommended that the project implement all of its regionally planned activities (three study tours between participating countries and 1 regional meeting) by the project’s end. Overall, the remainder of the project’s duration should be devoted to fostering regional cooperation between PCUs in the five participating countries. It is necessary to solidify regional cooperation so that PCUs can continue communicating after the completion of the project. The target nations can derive substantial benefits from regional interaction by adopting comparable strategies and practices.

RECOMMENDATION 3 – EXTERNAL PARTNERSHIP

(Directed to the Container Control Program (CCP), Border Management Branch, Division of Operations, Timeframes: by December 2024). Based on Finding 10 (Effectiveness):

It is recommended that the project adopts a more proactive approach toward expanding cooperation with external partners, including UNODC UNWASTE Project, UNEP, BRS Secretariat, and others. This is necessary to increase the number of synergies (e.g., joint trainings) to reinforce each other’s efforts and avoid possible duplications. Ultimately, synergies can result in a larger impact than individual project actions. For this purpose, the project staff are advised to initiate meetings, including regular check-in-calls, with external partners. Maintaining close relationships requires systematic communication and regular updates. In addition,
it is essential to co-develop a strategic plan for joint activities and monitor its implementation. Additionally, to guarantee the success of the partnership, it is important for both sides to appoint staff for the management of the relationship on a day-to-day basis.

RECOMMENDATION 4 – ACTIVE PROMOTION OF CONTAINERCOMM

(Directed to the Container Control Program (CCP), Border Management Branch, Division of Operations, Timeframes: by December 2024). Based on Finding 8 (Effectiveness):

It is recommended that the project promote the benefits of ContainerCOMM more widely in order to increase its use by customs officers. This can be done through incorporating ContainerCOMM-specific training sessions into capacity-building activities and presenting the advantages of this tool for PCUs. The modified version of the ContainerCOMM and its benefits should also be presented to all PCUs. Moreover, customs officers can share their good practices for using this tool in targeting or investigating hazardous waste during project trainings. In addition, ContainerCOMM needs to be extensively promoted as a waste-related information exchange platform among PCUs. In this respect, ContainerCOMM has the potential to become an effective instrument for regional networking, allowing PCUs to exchange information with all 102 countries connected to it.

RECOMMENDATION 5 – EXPORT COUNTRIES

(Directed to the Container Control Program (CCP), Border Management Branch, Division of Operations, Timeframes: by June 2025). Based on Finding 4 (Effectiveness):

It is recommended that the CCP include waste-exporting (industrialized) countries in future projects in order to raise their awareness of the impact they are making on these developing countries, forge connections with the receiving countries, and discuss potential joint actions. In particular, the participation of the customs and other law enforcement agencies is sought. UNODC can serve as a venue for discussions between waste-exporting and receiving nations so that their law enforcement agencies can find effective solutions to combat illicit waste trafficking. Participation of the private sector (shipping companies, World Shipping Council) would be an asset so that they partner with both parties in suppressing the illicit trafficking of hazardous waste.

RECOMMENDATION 6 – PARTICIPATION OF THE PROSECUTOR’S OFFICES

(Directed to the Container Control Program (CCP), Border Management Branch, Division of Operations, Timeframes: by June 2025). Based on Finding 4 (Effectiveness):

It is recommended that the CCP’s future waste projects also involve the prosecutor’s offices as beneficiaries to draw their attention to the criminalization and criminal investigation of illegal waste trafficking. They can play an important role in combatting the illegal transportation of hazardous waste. As the CCP’s main focus is the customs agencies, the prosecutor’s offices could be invited to attend workshops so they can establish contacts with the customs offices and cooperate in the future. They will also be sensitized about waste-related crimes. Alternatively, the UNODC’s Border Management Branch can explore cooperating with the UNODC Branch working with the prosecutor’s offices to plan and implement joint activities.
V. LESSONS LEARNED AND GOOD PRACTICES

LESSONS LEARNED

**Early planning of procurement:** As procurement is a lengthy process, it should be started as early as the project starts. This will prevent delays in the procurement of equipment and other appliances.

**Proactive approach in external partnership building:** At the onset of the project, there should also be a mapping of international organizations operating in the same field. This will allow for early contact to be made and prospective joint activities to be planned. Besides, communication with external partners should be systematic to seek potential synergies regularly.

**Wider stakeholder participation:** In order to retain the sustainability of the project, incorporating some of the trainings in broader curricula of institutions that train customs and law enforcement officers may prove useful. As a result, other stakeholders who will directly participate in the planning and implementation of the project could be local higher institutions and training bodies.

GOOD PRACTICES

**Assessment of a new domain:** Initiating the project in a new field with assessments equips the implementing organization with crucial context- and institution-specific background information. This also guides subsequent project interventions and the overall project implementation.

**Complementarity of project activities:** When the project activities are interconnected and complement each other, their effectiveness is maximized. One example is the combination of training and mentorship. This permits theoretical information provided by trainings to be supported by the practical aspects of the subject through mentorship.

**Prior expertise:** Prior experience in the relevant field and a lengthy history of collaboration with the project's beneficiaries will set the groundwork for the effective implementation of project activities. This expertise is also essential in identifying the most pressing needs of beneficiaries and coordinating work with government counterparts.

**Sub-regional focus:** Connecting similar-background countries is the right project strategy. Bringing together nations sharing a common array of problems and comparable environments enables the same project instruments (such as training and mentorship curriculum) to be applied to beneficiaries in multiple target countries. This ultimately reduces project implementation costs.

**Combination of national and regional interventions:** The project design that is based on two pillars — national and regional activities — is an asset. This enables the project to implement nationally tailored activities and expands the geographic reach of beneficiaries. In other words, combining local and regional locus into a single project is the optimal scheme for addressing problems on multiple levels.

**Flexibility and adaptability:** The project was adaptive to emerging challenges, such as COVID-19, by virtualizing its activities. This resulted in saving project funds, which were then transferred to other urgent needs of beneficiaries (equipment procurement). As a whole, the project flexibility and adaptability helped tailor the project mid-delivery to better meet the needs of the government counterparts, maximize cost-efficiency, and add extra outputs to the project.
## I. BACKGROUND AND CONTEXT

<table>
<thead>
<tr>
<th>Project duration (dd/mm/yyyy-dd/mm/yyyy):</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Location (Country/ies and sub-national focus areas, if relevant):</td>
<td>Southeast Asia: Cambodia, Malaysia, the Philippines, Thailand, Viet Nam</td>
</tr>
<tr>
<td>Linkages to Country, Regional and Thematic Programmes &amp; UNODC Strategy 2021-2025:</td>
<td>Regional Programmes for East Asia and the Pacific.</td>
</tr>
<tr>
<td>Linkages to the SDG targets to which the project contributes:</td>
<td>SDG 5, SDG 14, SDG 15, SDG 16, SDG 17</td>
</tr>
<tr>
<td>Executing Agency (UNODC office/section/unit):</td>
<td>UNODC/DO/BMB/CCP</td>
</tr>
<tr>
<td>Partner Organizations:</td>
<td>The World Customs Organization</td>
</tr>
<tr>
<td>Donor:</td>
<td>Norad (sole donor of the CCP waste project)</td>
</tr>
<tr>
<td>End Beneficiaries/Recipients:</td>
<td>Customs, other law enforcement and other relevant authorities such government agencies responsible for environment/industrial matters</td>
</tr>
<tr>
<td>Total Approved Budget (USD):</td>
<td>1,624,435 USD</td>
</tr>
<tr>
<td>Total Overall Budget (USD):</td>
<td>1,624,435 USD</td>
</tr>
<tr>
<td>Total Expenditure by date of initiation of evaluation (USD):</td>
<td>1,175,574 USD</td>
</tr>
<tr>
<td>Name and title of Project/Programme Manager(s) and implementing UNODC office(s)/section(s)/unit(s):</td>
<td>Ketil Ottersen, Head, Container Control Programme, UNODC/DO/BMB</td>
</tr>
<tr>
<td>Time frame of evaluation: (planned start and end date of the evaluation process)</td>
<td>March 2023 – July 2023</td>
</tr>
<tr>
<td>Budget for this evaluation in USD(^{(19)}):</td>
<td>20,000 USD</td>
</tr>
<tr>
<td>Number of independent evaluators planned for this evaluation(^{(20)}):</td>
<td>2: 1 lead evaluator, 1 technical expert</td>
</tr>
<tr>
<td>Type and year of past evaluations (if any):</td>
<td>Not applicable.</td>
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</tbody>
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\(^{(19)}\) Including fees for evaluation team, travel, printing, editing, translation, interpretation, etc.

\(^{(20)}\) Please note that the recommendation for any UNODC evaluation is at least two independent evaluators, i.e. one Evaluation Expert and one Substantive Expert in the subject area of the project to be evaluated.
**Project overview**

The project aims to enhance the capability of frontline level customs and law enforcement officers to profile, detect and inspect cargo containers suspected of carrying illegal plastic and hazardous waste. The target countries are Cambodia, Malaysia, the Philippines, Thailand and Viet Nam. The project is implemented by UNODC, with support from the World Customs Organization. Building on CCP’s operational Port Control Unit (PCU) network, the objective will be reached through advanced, technical training (workshops, mentorships, study tours) delivered to the PCUs, selected customs and law enforcement officials and other relevant agencies who play an important role in border control and waste management. Due to COVID, activities mainly took place online in 2020 and 2021 but as of early 2022, on-site implementation has again been possible. Partnerships with the BRS Secretariat and the WCO (beyond CCP) have been particularly important throughout implementation. In the project period, the project lead become one of UNODC’s focal points for the ENFORCE network and CCP also contributes to the Green Customs Initiative (GCI). Separate sessions on gender and human rights are mandatory components of the training curriculum for this project and has been delivered both during national workshops held online (due to COVID) and again on-site. Women PCU officers in the region have the option of joining the CCP Women’s Network and also participated in the CCP Women’s Professional Development Programme (WPDP), funded by the Australian Border Force (ABF) (in-kind) and implemented by ABF, RMIT University and CCP. The WPDP was a five-week course, that included university accreditation upon completion, and also involved CCP, ABF and RMIT staff helping many of the officers publish their first peer-reviewed papers in the World Customs Journal. The Waste project itself has also delivered gender sensitisation training in all participating countries, as part of the practical, theoretical training courses. This module has been mandatory for CCP training since 2016 but is adapted according to the regional, country or substantive area in question. The project pays attention to ensuring participation of women officers in training activities. Also, human rights training is mandatory in all CCP training and is also part of the waste trainings, again adapted to the thematic area. Some of the staff members involved in the project are experienced in both gender and human rights.

<table>
<thead>
<tr>
<th>The Project’s Objective:</th>
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<tbody>
<tr>
<td>To improve capacity of Cambodia, Malaysia, the Philippines, Thailand and Viet Nam to detect and suppress illicit trade in hazardous waste, such as plastic and scrap waste, e-waste and chemicals. This includes to enhance inter-agency cooperation as well as the technical skills of frontline level officers.</td>
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</table>

<table>
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<tr>
<th>The Project’s Outcomes:</th>
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<tr>
<td>1</td>
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</table>

<table>
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<tr>
<th>The Project’s outputs:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1</td>
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<tr>
<td>1.2</td>
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</table>

II. PURPOSE AND SCOPE OF THE EVALUATION
MID-TERM INDEPENDENT PROJECT EVALUATION OF COUNTERING ILLEGAL HAZARDOUS WASTE TRAFFICKING THROUGH THE CONTAINER CONTROL PROGRAMME (RAS-19/0027/GLOG80)

<table>
<thead>
<tr>
<th>Planned utilisation of the evaluation results(^{21}):</th>
<th>Inform future projects in the region and beyond. Assess the relevance and impact of the methodology (especially considering the context of COVID and the related restrictions) and curricula. Lessons learned will inform the remaining project period as well other projects as relevant.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Main users of the evaluation results(^{22}):</td>
<td>UNODC/CCP, Norad and other potential future donors.</td>
</tr>
<tr>
<td>Unit of analysis (full projects/segment/etc.):</td>
<td>The full waste project, which is part of a wider, global programme covering several thematic areas.</td>
</tr>
<tr>
<td>Time period covered by the evaluation:</td>
<td>July 2020-April 2023.</td>
</tr>
<tr>
<td>Geographical coverage of the evaluation:</td>
<td>Regional. Southeast Asia: Cambodia, Malaysia, the Philippines, Thailand and Viet Nam.</td>
</tr>
</tbody>
</table>

All findings and recommendations as well as the management response pertain solely to the UNODC project/programme being evaluated and is not in any way targeted to Member States, implementing partners or other entities that took part in this project/programme.

### III. EVALUATION CRITERIA

The evaluation will be conducted based on the below selected relevant DAC criteria\(^{23}\). All evaluations must include gender, human rights, disability inclusion and no one left behind. Ideally these are mainstreamed within the evaluation questions. Moreover, the evaluation needs to identify lessons learned\(^{24}\) and good practices. The evaluation questions will be further refined by the Evaluation Team in the drafting of the Inception Report.

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Evaluation question</th>
</tr>
</thead>
<tbody>
<tr>
<td>Relevance(^{25}): Is the intervention doing the right thing?</td>
<td>To what extent has the project been relevant to stakeholder’s (e.g., Customs and Environmental administrations) needs and priorities?</td>
</tr>
<tr>
<td>Efficiency(^{26}): How well are resources being used?</td>
<td>To what extent has the project delivered outputs in a timely and efficient manner?</td>
</tr>
</tbody>
</table>

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\(^{21}\) e.g. inform the future development of the project or similar projects, for organizational learning, assess the success and areas of improvement of the project etc.

\(^{22}\) e.g. senior management, programme management, stakeholders, beneficiaries, donors etc.

\(^{23}\) [https://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm](https://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm)

\(^{24}\) Lessons learned concern the learning experiences and insights that were gained throughout the project/programme.

\(^{25}\) Relevance is the extent to which the activity is suited to the priorities and policies of the target group, recipient and donor.

\(^{26}\) The extent to which the intervention delivers, or is likely to deliver, results in an economic and timely way.
### MID-TERM INDEPENDENT PROJECT EVALUATION OF COUNTERING ILLEGAL HAZARDOUS WASTE TRAFFICKING THROUGH THE CONTAINER CONTROL PROGRAMME (RAS-19/0027/GLOG80)

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Evaluation question</th>
</tr>
</thead>
<tbody>
<tr>
<td>Effectiveness: Is the intervention achieving its objectives?27</td>
<td>Have there been any facilitating or hindering factors in achievement of results, including in national, regional or international context?</td>
</tr>
<tr>
<td>Human rights, gender equality, disability inclusion and leaving no one behind28</td>
<td>To what extent has the project design and implementation fully considered human rights, gender equality and disability?</td>
</tr>
</tbody>
</table>

### IV. EVALUATION METHODOLOGY

All evaluations of the United Nations system are guided by the principles of human rights, gender equality, disability inclusion and leaving no one behind. Gender-sensitive and disability inclusive evaluation methods and gender-sensitive and disability inclusive data collection techniques are therefore essential to identify key gender issues, address marginalized, disabled, hard-to-reach and vulnerable population.

The methods used to collect and analyse data.

While the evaluation team shall fine-tune the methodology for the evaluation in an Inception Report, a mixed-methods approach of qualitative and quantitative methods is mandatory due to its appropriateness to ensure that evaluation conclusions, findings, recommendations, and lessons learned are substantiated by evidence and based on sound data analysis and triangulation; as well as a gender-sensitive, inclusive, respectful and participatory approach and methodology to capture disability and gender equality issues. Special attention will be paid to: (i) ensuring that voices and opinions of both men, women and other marginalised groups, such as people with disabilities are heard (including gender related and disaggregated data, (e.g. by age, sex, countries etc.); (ii) ensuring an unbiased and objective approach and the triangulation of sources, methods, data, and theories. The limitations to the evaluation need to be identified and discussed by the evaluation team in the Inception Report, e.g. data constraints (such as missing baseline and monitoring data). Potential limitations as well as the chosen mitigating measures should be included. The evaluation team will be asked to present a dedicated methodology in the Inception Report outlining the evaluation criteria, indicators, sources of information and methods of data collection. The evaluation methodology must conform to the United Nations Evaluation Group (UNEG) Norms and Standards as well as the UNODC Evaluation Policy, guidance, tools and templates. The evaluation team is also expected to use interviews, surveys and/or any other relevant quantitative and/or qualitative tools as a means to collect relevant data for the evaluation. While maintaining independence, the evaluation will be carried out based on a participatory approach, which seeks the views and assessments of all parties identified as the stakeholders of the project/ programme.

The final evaluation report will be externally independently assessed (facilitated by IES) and the final rating will be included in the report. Based on this assessment, the report may not be published if it does not meet minimum quality standards.

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27 The extent to which the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups.

28 The extent to which the project/programme has mainstreamed human rights, gender equality, and the dignity of individuals, i.e. vulnerable groups, including those with disabilities.
## V. TIMEFRAME AND DELIVERABLES

<table>
<thead>
<tr>
<th>Evaluation stage</th>
<th>Start date (dd/mm/yy)</th>
<th>End date (dd/mm/yy)</th>
<th>Subsumed tasks, roles</th>
<th>Guidance / Process description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Finalisation ToR (2-4 weeks)</td>
<td>1/12/2022</td>
<td>20/12/2022</td>
<td>Initiate the evaluation in Unite Evaluation and upload ToRs; finalise draft ToR based on IES feedback; IES shares final draft with CLPs; PM to finalise ToR based on CLPs feedback.</td>
<td>Includes 1 week review by IES and 1 week review by CLPs; multiple revisions by PM based on IES and CLPs feedback; final clearance by IES; in parallel, outreach by PM to qualified evaluators (consultation with IES on potential candidates)</td>
</tr>
<tr>
<td>Recruitment (3-4 weeks)</td>
<td>04/01/23</td>
<td>27/01/23</td>
<td>Consult with IES on potential evaluators; PM manages full recruitment process</td>
<td>Review and clearance of evaluators by IES before recruitment can be initiated by PM</td>
</tr>
<tr>
<td>Inception Report, incl. desk review (2 weeks)</td>
<td>06/03/23</td>
<td>20/03/23</td>
<td>Kick-off meeting with PM and evaluators; desk review by evaluators, followed by draft Inception Report; Review by IES; clearance of revised Final Inception Report by IES</td>
<td>Includes 1 week review and clearance by IES; IES may participate in the kick-off meeting</td>
</tr>
<tr>
<td>Data collection (incl. field missions) (3-4 weeks)</td>
<td>27/03/23</td>
<td>28/04/23</td>
<td>Interviews; etc. by evaluators</td>
<td>Coordination of data collection dates and logistics by PM.</td>
</tr>
</tbody>
</table>

29 Required preparations before the start: completed ToR; 1 week review of ToR by the Core Learning Partners; finalised ToR based upon comments received; clearance by IES; assessment of qualified evaluation team candidates; clearance by IES; recruitment (Vienna HR for international consultants requiring a minimum of 2 weeks; UNDP for national consultants which may take up to several weeks); desk review materials compiled.

30 Please follow the official recruitment process for international, regional or national consultants at UNODC.

31 Data collection is currently likely to take longer than usual due to competing priorities of stakeholders and beneficiaries due to COVID-19. Data collection phase may imply on-line interviews, surveys etc instead of travel/face-to-face interviews.
### MID-TERM INDEPENDENT PROJECT EVALUATION OF COUNTERING ILLEGAL HAZARDOUS WASTE TRAFFICKING THROUGH THE CONTAINER CONTROL PROGRAMME (RAS-19/0027/GLOG80)

<table>
<thead>
<tr>
<th>Evaluation stage</th>
<th>Start date (^{29}) (dd/mm/yy)</th>
<th>End date (dd/mm/yy)</th>
<th>Subsumed tasks, roles</th>
<th>Guidance / Process description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Analysis and draft report (3-4 weeks)</td>
<td>15/05/23</td>
<td>09/06/23</td>
<td>Data analysis and drafting of report by evaluators</td>
<td>Includes 1 week review by IES, followed by 1 week review by PM</td>
</tr>
<tr>
<td>Draft report for CLP comments (1 week)</td>
<td>19/06/23</td>
<td>23/06/23</td>
<td>Review by IES; review by PM; revision of draft report by evaluators</td>
<td>CLP comments are compiled and shared by IES with evaluators</td>
</tr>
<tr>
<td></td>
<td>26/06/23</td>
<td>07/07/23</td>
<td>CLPs review and provide comments to IES</td>
<td></td>
</tr>
<tr>
<td>Final report, evaluation brief, PowerPoint slides, and External Quality Assessment (1-2 weeks)</td>
<td>10/07/23/</td>
<td>21/07/23</td>
<td>Revision by evaluators; Evaluation report, 2-page Evaluation Brief and PowerPoint slides are finalised by evaluators based upon feedback by IES and PM; external quality assessment of report; completion of MR and EFP by PM</td>
<td>Includes 1 week review and clearance by IES of Final Report and Brief and 1 week review by PM of Brief and PowerPoint slides; 1 week for external quality assessment facilitated by IES</td>
</tr>
<tr>
<td>Presentation (1 day)</td>
<td>26/07/23</td>
<td>26/07/23</td>
<td>Presentation organised by PM.</td>
<td>Date of presentation of final results to be agreed between PM and evaluators; IES to be invited.</td>
</tr>
</tbody>
</table>

The UNODC Independent Evaluation Section may change the evaluation process, timeline, approach, etc. as necessary at any point throughout the evaluation process.
VI. EVALUATION TEAM COMPOSITION

<table>
<thead>
<tr>
<th>Role</th>
<th>Number of consultants(^{32}) (national/international)</th>
<th>Specific expertise required(^{33})</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evaluation Expert</td>
<td>1 (international/national consultant)</td>
<td>Evaluation methodology</td>
</tr>
<tr>
<td>Substantive Expert</td>
<td>1 (international/national consultant)</td>
<td>Expertise in waste and illegal trafficking at the global level or in Southeast Asia, experience with trade supply chains preferable.</td>
</tr>
</tbody>
</table>

The evaluation team will not act as representatives of any party and must remain independent and impartial and must not have been involved in the design and/or implementation, supervision and coordination of and/or have benefited from the programme/project or theme under evaluation.

Furthermore, the evaluation team shall respect and follow the UNEG Ethical Guidelines for conducting evaluations in a sensitive and ethical manner. The qualifications and responsibilities for each evaluation team member are specified in the respective job descriptions attached to these Terms of Reference (Annex 1). The evaluation team will report exclusively to the Chief or Deputy Chief of the UNODC Independent Evaluation Section, who are the exclusive clearing entity for all evaluation deliverables and products.

The evaluation team will be issued consultancy contracts and paid in accordance with UNODC rules and regulations.

The payment will be made by deliverable and only once cleared by IES. Deliverables which do not meet UNODC and UNEG evaluation norms and standards will not be cleared by IES. IES is the sole entity to request payments to be released in relation to evaluation. Project/Programme Management must fulfil any such request within 5 working days to ensure the independence of this evaluation process. Non-compliance by Project/Programme Management may result in the decision to discontinue the evaluation by IES.

VII. ROLES AND RESPONSIBILITIES IN THE EVALUATION PROCESS

Please ensure that the full evaluation process is managed through Unite Evaluations (evaluations.unodc.org)\(^{34}\). All communication of preliminary, draft or final evaluation results needs to be reviewed and cleared by IES before dissemination.

<table>
<thead>
<tr>
<th>Evaluation stage</th>
<th>Project Manager</th>
<th>IES</th>
<th>Evaluation team</th>
</tr>
</thead>
<tbody>
<tr>
<td>Overall</td>
<td>Provide management, administrative and logistical support to the evaluation process, as per IES’s tools, guidance and templates, in line with UNODC Evaluation Policy, UNEG Norms and Standards, and DMSPC Guidelines for evaluation.</td>
<td>Ensure the independence, participation, and quality of the evaluation process, as per UNODC Evaluation Policy, UNEG Norms and Standards, and DMSPC Guidelines for evaluation –including the review and approval of all evaluation deliverables.</td>
<td>Submit deliverables on time and meeting quality standards, as per IES’s tools, guidance and templates, in line with UNODC Evaluation Policy, UNEG Norms and Standards, and</td>
</tr>
</tbody>
</table>

\(^{32}\) Please note that an evaluation team needs to consist of at least 1 independent evaluator – the Evaluation Expert – and ideally one Substantive Expert.

\(^{33}\) Please add the specific technical expertise needed (e.g. expertise in anti-corruption; counter terrorism; etc.) – please note that at least one evaluation team member needs to have expertise in human rights and gender equality.

\(^{34}\) The Unite Evaluations user manual for Project Managers is available [here](#).
### Evaluation stage

<table>
<thead>
<tr>
<th>Evaluation stage</th>
<th>Project Manager</th>
<th>IES</th>
<th>Evaluation team</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>ToR</strong></td>
<td>Draft, uploading to Unite evaluations and finalising</td>
<td>1 round of comments</td>
<td>DMSPC Guidelines for evaluation.</td>
</tr>
<tr>
<td></td>
<td>Identify stakeholders and CLPs</td>
<td>Share ToR with CLPs for comments (1 week)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Compile the desk review material</td>
<td>Support the Project Manager in the identification of suitable evaluation team, when possible</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Identify potential substantive evaluators and experts</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Recruitment</strong></td>
<td>Propose evaluators and experts after consultation with IES</td>
<td>Review &amp; clear proposed evaluation team before recruitment process starts</td>
<td>Submit all required documentation for the selection and recruitment process</td>
</tr>
<tr>
<td></td>
<td>Administrative process and recruitment (in line with organisational rules and regulations for consultants)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Finalise the compilation of the desk review material</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Inception Report</strong></td>
<td>Engage with the evaluation team and provide all required information, documents, stakeholder lists, schedule kick-off meeting etc.</td>
<td>Attend kick-off meeting as necessary, and provide relevant templates and guidance, review draft Inception Report in line with UNODC and UNEG norms and standards</td>
<td>Participate in kick-off meeting</td>
</tr>
<tr>
<td></td>
<td>Release payment once requested by IES</td>
<td>Clear Final Inception Report before any data collection can start</td>
<td>Draft Inception Report in line with UNODC templates and guidelines</td>
</tr>
<tr>
<td></td>
<td>All logistical arrangements for the evaluators (including travel arrangements, set-up of interviews as requested, note verbales, etc.).</td>
<td>Provide guidance on the evaluation process to the evaluation team and/or the project team, as needed.</td>
<td>Provide Final Inception Report</td>
</tr>
<tr>
<td></td>
<td>Timely travel arrangements, payments of DSAs, etc.</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Participate in de-briefings, as necessary</td>
<td></td>
<td></td>
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</tbody>
</table>

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**Footnote:**

<table>
<thead>
<tr>
<th>Evaluation stage</th>
<th>Project Manager</th>
<th>IES</th>
<th>Evaluation team</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Draft report</strong></td>
<td>Provide further data, documents, stakeholders, etc. as requested by the evaluation team.</td>
<td></td>
<td>Conduct de-briefings to PM, as necessary</td>
</tr>
<tr>
<td></td>
<td>Provide further information to evaluators as requested</td>
<td></td>
<td>Conduct a thorough analysis to ensure triangulation of evidence.</td>
</tr>
<tr>
<td></td>
<td>1 review of the draft report for factual errors, once cleared by IES</td>
<td>Review of the draft report</td>
<td>Incorporate comments of IES and consider those of PM</td>
</tr>
<tr>
<td></td>
<td>Release payment, once cleared by IES</td>
<td>Initial clearance or rejection of draft report</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Share draft report with CLPs (1 week)</td>
<td></td>
<td>Incorporate comments of CLPs.</td>
</tr>
<tr>
<td><strong>Final report, Brief and Presentation</strong></td>
<td>Complete Management Response and Evaluation Follow-up Plan</td>
<td>Facilitation of external quality assessment of the report.</td>
<td>Based on the external assessment, finalise the report, 2-page Evaluation Brief and PowerPoint slides.</td>
</tr>
<tr>
<td></td>
<td>Review the 2-page Evaluation Brief and PowerPoint slides and organize an MS Teams presentation of the results to internal and external stakeholders</td>
<td>Final review by IES and either 1) clearance for publication or 2) non-clearance for publication if it does not meet UNODC &amp; UNEG norms and standards</td>
<td>Present the results as agreed with Project Management and as cleared by IES within 4 weeks of approval of the final evaluation report.</td>
</tr>
<tr>
<td></td>
<td>Release all outstanding payments, as requested by IES</td>
<td>Clear all deliverables for payment, once they meet UNEG Norms and Standards and UNODC evaluation policy, templates and guidelines.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>In case the report is not cleared by IES, use it exclusively for internal reporting (NOT for dissemination)</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Follow-up</strong></td>
<td>Yearly update on the implementation of recommendations.</td>
<td>Report on the implementation of recommendations to Member States and the Executive Director on an annual basis.</td>
<td></td>
</tr>
</tbody>
</table>
The Independent Evaluation Section of the United Nations Office on Drugs and Crime (UNODC) is in the process of conducting a Mid-Term Independent Evaluation of UNODC’s “Countering Illegal Hazardous Waste Trafficking through the Container Control” Project. The evaluation is undertaken in line with UNODC and UNEG norms and standards for evaluation.

The purpose of the evaluation is to assess the project’s relevance and its level of achievements and identify the gaps in its implementation. The evaluation also seeks to identify lessons learned, good practices, and areas for improvement that could inform the design and management of similar projects in the future.

The evaluation is carried out by a team of external independent evaluators, consisting of an Evaluation Expert (Ms. Aida Alymbaeva) and a Substantive Expert (Ms. Gohar Petrossian).

Confidentiality and informed consent: This interview is confidential, with all information received is aggregated and anonymised. No individual will be quoted nor will the organization they represent be identified. The data collected will only be used for evaluation purposes. Your participation in the interview is voluntary and you may withdraw from it at any moment.

INTERVIEW QUESTIONS FOR PROJECT STAFF:

Introduction:
- Could you please describe your role in the project?

Relevance:
- Can you briefly talk about the project background? Was the project designed based on evidence (research, lessons learned, and evaluations from past programming)?
- Were the project stakeholders and beneficiaries (regional governments in five target countries) involved in the project formulation?
- Was the project relevant to the needs and priorities of the target countries? Please, explain.
- Did the project support national and regional policy objectives? If so, which?
- Did the project adequately take into account national realities, including the strengths and weaknesses of the national governments, and their needs in terms of capacity building?
- How did the project support the target countries in achieving the SDGs?

Efficiency:
- Were there any delays in project implementation? What were the reasons for delays and how were they addressed?
- Was the length of the project conducive to achieving project results? Will all project activities be implemented by the official project end date (December 2024)?
- Did the project use cost-effective tools and processes? (e.g. use of national trainers, etc.) Were there decreases in costs as a result of these systems and processes?
- What is the current utilization/implementation rate? Are there any unspent funds? Is the project requesting a cost extension due to the unspent funding?
- Was the number of target countries optimal for achieving the project results?
Effectiveness:

- Did the project improve the capacity of PCUs and other involved authorities in Cambodia, Malaysia, the Philippines, Thailand, and Viet Nam to detect and suppress illicit trade in hazardous waste, such as plastic, scrap waste, e-waste, and chemicals?
- Is there any evidence that the beneficiary countries have used the new knowledge and/or good practices learned through the project’s capacity-building activities?
- Did the project enhance inter-agency cooperation nationally and regionally? Can you provide examples?
- To your knowledge, are the PCU officers in the target countries using ContainerCOMM as a tool in their everyday work to detect and target hazardous waste shipments? If so, what is your assessment of the frequency and what is the nature of this use?
- According to the project documentation, participation in workshops and mentorships led to the detection and seizure of more hazardous waste (e.g., a 130-ton shipment of paper scrap in Thailand). Was this an unintended project result? To what extent can you link this increase in detection to these trainings?
- Did the project contribute to the increased repatriation of hazardous waste to its country of origin? How many containers were returned to their countries of origin as a result of project activities? Was it an unintended project result?
- What were the facilitating and hindering factors in achieving the project results? What about the communication with the Malaysian counterpart? Was it a problematic area? What specific efforts were made to facilitate better communication with them?
- Which project results were achieved, and which were not? What were the reasons for non-achievement?
- What other changes (positive or negative, intended or unintended) did the project make as a result of its activities?

HR, GE, Disability Inclusion, and LNOB:

- How did the project mainstream human rights, gender equality, disability inclusion, and the LNOB into its design and implementation?
- What were the major achievements and major shortcomings in addressing HR, GE, and vulnerable group needs, including any facilitating or hindering factors?
- How could the approach to HR, GE, vulnerable groups, and LNOB be improved in the remaining project period?
- Did the project implement concrete actions to ensure equal participation and representation of women and vulnerable groups?
- Why were the gender-disaggregated indicators not incorporated into the project design?

Lessons learned and good practices:

- Did the project bring out any new good practices that can be directly accredited to it and replicated in future projects?
- What lessons can be learned from the implementation of the project in order to improve performance, results, and effectiveness in the remaining project period?
- What should be adjusted, dropped off, or reinforced to deliver better results in future similar projects?
- What were the strengths and weaknesses of the project design and implementation?

Other issues:

- Do you have any recommendations for future similar projects?
- Would you like to add anything else?
INTERVIEW QUESTIONS FOR GOVERNMENT REPRESENTATIVES (BENEFICIARIES):

**Introduction:**
- Could you please describe your role in the project or in which particular project activity(ies) you have participated?

**Relevance:**
- Did you or your agency participate in the formulation of this project?
- Was this project relevant to the needs and priorities of your country? If yes, in what way?
- Did the project support national and regional policies and strategies?
- Did the project provide an adequate response to meet the needs and priorities of your country in detecting and suppressing illicit trade in hazardous waste, such as low-value mixed plastic, e-waste, and chemicals?

**Efficiency:**
- Was the number of target countries optimal for benefiting from the project activities?
- In terms of efficiency (e.g., cost-efficiency), is there anything that could have been done in a better way?
- Due to COVID-19, the national workshops were organized online. Did the project smoothly organize them?

**Effectiveness:**
- Did the project increase the capacity of your PCU/agency to detect and suppress illicit trade in hazardous waste, such as plastic, scrap waste, e-waste, and chemicals? If so, in what way?
- Did you or your staff use the knowledge gained from the project workshops and mentorship in your daily work in detecting, inspecting, or repatriating hazardous waste?
- Did the project help to enhance inter-agency cooperation and information exchange nationally and regionally? Please provide examples.
- Did your agency or PCU use ContainerCOMM as a tool in your everyday work to detect hazardous waste shipments? If so, in what way?
- Did the project help your agency detect and seize more hazardous waste? If so, can you please provide an example or potentially quantify this?
- Did the project contribute to the increased repatriation of hazardous waste to its country of origin? How many containers were returned to their countries of origin as a result of project activities?
- What other changes (positive or negative, intended or unintended) did the project make as the result of its activities?
- What aspects and/or activities of the project would you change if it were to start now?

**Lessons learned and good practices:**
- What are the project good practices that can be replicated in future projects and initiatives in your country?
- What are the project’s lessons learned that could inform UNODC’s future support to the Member States?
- What were the strengths and weaknesses of this project?
- What should be adjusted, dropped off, or reinforced to deliver better results in the remaining project period?
HR, GE, Disability Inclusion, and LNOB:

- Did the project encourage equal participation and representation of women and vulnerable groups in its activities?

Other issues:

- Do you have any recommendations for future similar projects?
- Would you like to add anything else?

INTERVIEW QUESTIONS FOR DONOR:

Relevance:

- Why did Norad decide to support this project?
- Was the project pertinent to Norad’s priorities and objectives? If so, which?
- Was the project relevant to the real needs and priorities of the target countries?

Efficiency:

- How would you assess the project’s response to COVID-19 and other emerging needs (e.g., cooperation with the Malaysian side)? Was the project adaptive and flexible to the emerging needs (e.g., Covid-19)?
- Were there any delays in project implementation? Was the project team effective in handling these delays?
- In your view, was the project able to use its financial resources in a cost-effective manner? Did it use any cost-effective tools and processes (e.g., national trainers)?
- Is the project on track to spending its funds? How would you assess the project implementation rate (high, low, on-track, etc)?
- Is the project requesting a cost extension from Norad due to its unspent funding?
- Was the length of the project conducive to achieving project results?
- Was the number of target countries optimal for achieving the project results?

Effectiveness:

- What are the project’s most tangible results to date?
- Did the project improve the capacity of PCUs in Cambodia, Malaysia, the Philippines, Thailand, and Viet Nam to detect and suppress illicit trade in hazardous waste, such as plastic, scrap waste, e-waste, and chemicals?
- Did the project enhance inter-agency cooperation nationally and regionally? Can you provide examples?
- Which project results were achieved, and which were not? What were the reasons for non-achievement?
- What were the facilitating and hindering factors in achieving the project results?
- What other changes (positive or negative, intended or unintended) did the project make as a result of its activities?

HR, GE, Disability Inclusion, and LNOB:

- In your view, did the project successfully mainstream human rights, gender equality, disability inclusion, and the LNOB into the project design and implementation?
- What were the major achievements and major shortcomings in addressing HR, GE, and vulnerable group needs, including any facilitating or hindering factors?
- How could the approach to HR, GE, vulnerable groups, and LNOB be improved?
Lessons learned and good practices:

- What are the good practices that can be replicated for future Norad projects?
- What are the main lessons learned that could inform future Norad projects in this field?
- What were the strengths and weaknesses of the project design and implementation?
- What should be adjusted, dropped off, or reinforced to deliver better/more effective results in the remainder of the project and future initiatives?

Other issues:

- Do you have any recommendations for the remainder of the project, as well as for similar initiatives in the future?
- Would you like to add anything else?

INTERVIEW QUESTIONS FOR PARTNERS:

Introduction:

- Could you please describe your role in the project?

Relevance:

- Were you involved or consulted during the project formulation?
- Was the project relevant to the real needs and priorities of target countries in detecting and suppressing illicit trade in hazardous waste, such as plastic, scrap waste, e-waste, and chemicals?
- Was there any relevance between this project and your programs?

Efficiency:

- Was the number of target countries optimal for such projects?

Effectiveness:

- What are the project's most tangible results to date?
- Did the project improve the capacity of PCUs in Cambodia, Malaysia, the Philippines, Thailand, and Viet Nam to detect and suppress illicit trade in hazardous waste, such as plastic, scrap waste, e-waste, and chemicals?
- Did the project enhance inter-agency cooperation nationally and regionally? Can you provide examples?
- Did the project have any linkages/synergies with your initiatives and programs? If so, please, provide specific examples of these programs and initiatives.

HR, GE, Disability Inclusion, and LNOB:

- How did the project mainstream human rights, gender equality, disability inclusion, and the LNOB into the project design and implementation?

Lessons learned and good practices:

- What are the good practices from the project implementation that can be replicated in future projects and programs?
- What are the project’s main lessons learned that could inform future projects in this field?
- What should be adjusted, dropped off, or reinforced to deliver better results in the future?
- What were the strengths and weaknesses of this project?
Other issues:

- Do you have any recommendations for the remainder of the project as well as similar initiatives in the future?
- Would you like to add anything else?

INTERVIEW QUESTIONS FOR CONSULTANTS:

Introduction:

- Could you please describe your role in the project?

Relevance:

- Is the project relevant to the needs and priorities of target countries in detecting and suppressing illicit trade in hazardous waste, such as plastic, scrap waste, e-waste, and chemicals? If so, how?

Efficiency:

- Were there any delays in the implementation of project activities that you were involved in? What were the reasons for these delays and how were they addressed?
- Are you aware of any tools and systems that the project used to encourage the cost-effective use of its resources?
- Was the number of target countries optimal for achieving the project results?
- Was the length of the project conducive to achieving project results?

Effectiveness:

- Did you successfully deliver your services to the project? What was the result?
- Did you face any issues while providing your services? If so, what were these and were they effectively resolved?
- Did the project improve the capacity of PCUs and other participating authorities in Cambodia, Malaysia, the Philippines, Thailand, and Viet Nam to detect and suppress illicit trade in hazardous waste, such as plastic, scrap waste, e-waste, and chemicals?
- Did the project enhance inter-agency cooperation nationally and regionally?
- What were other facilitating and hindering factors in implementing the project activities that you were involved in?

HR, GE, Disability Inclusion, and LNOB:

- Did you integrate human rights, gender equality, disability inclusion, and the LNOB into the project activity you conducted? Please, describe.

Lessons learned and good practices:

- What are the good practices from the project implementation that can be replicated in future projects and programs?
- What are the project’s main lessons learned that could inform future projects in this field?
- What were the strengths and weaknesses of the project design and implementation?
Dear workshop/mentorship participants,

My name is Gohar Petrossian. I am an Independent Consultant hired to conduct an evaluation of UNODC’s “Countering Illegal Hazardous Waste Trafficking Through the Container Control Project” implemented by CCP. The Project aims to equip frontline-level customs and law enforcement officers like you with the skills to profile, detect, and inspect cargo containers suspected of carrying illegal and hazardous waste.

I am contacting you, as you have been identified by the Project staff as a beneficiary through your participation in either the training workshops or regional mentorship missions.

I ask that you, please, consider participating in this short 10-minute online survey. Your participation will greatly help us assess the relevance, efficiency, and effectiveness of the Project to your work, as well as evaluate the degree to which the training has helped you in your daily work in your current role at your organization.

Your participation in this survey is completely voluntary, and you may withdraw at any time. The survey is anonymous, and therefore, it does not require you to provide your name or any other identifying information.

Your participation in the survey will be of great importance, and I hope you will consider participating. Thank you for your time and consideration.

**SURVEY QUESTIONS**

1. What country are you from?
   a. Cambodia
   b. Malaysia
   c. Philippines
   d. Thailand
   e. Viet Nam

2. What sector do you represent?
   a. Customs
   b. Border management
   c. Environment
   d. Other, please, specify

3. Please, select your gender
   a. Man
   b. Woman
   c. Prefer to self-identify
   d. Prefer not to answer

4. What was your level of engagement with the Project?
   a. Workshop Trainee
   b. Mentee
   c. Other, please, specify

5. In what year did you participate in the workshop/mentorship with the Project?
   a. 2021
   b. 2022
   c. Both 2021 and 2022
6. The workshop/mentee training activities implemented by the Project were highly relevant to my current work and specific responsibilities within my organization.
   a. Strongly Agree
   b. Agree
   c. Neutral
   d. Disagree
   e. Strongly Disagree

7. The workshop/mentee training activities implemented by the Project were highly relevant to my organization’s needs, priorities, and overall institutional goals.
   a. Strongly Agree
   b. Agree
   c. Neutral
   d. Disagree
   e. Strongly Disagree

8. The workshop/mentee training activities implemented by the Project improved my understanding of the scope of illegal and hazardous waste trafficking in my country.
   a. Strongly Agree
   b. Agree
   c. Neutral
   d. Disagree
   e. Strongly Disagree

9. The workshop/mentee training activities implemented by the Project provided sufficient opportunities for practice and peer learning.
   a. Strongly Agree
   b. Agree
   c. Neutral
   d. Disagree
   e. Strongly Disagree

10. My abilities to profile, detect and tackle illegal and hazardous waste trafficking arriving at my country’s borders have improved after the training.
    a. Strongly Agree
    b. Agree
    c. Neutral
    d. Disagree
    e. Strongly Disagree

11. Are you satisfied with the quality of the training?
    a. Yes
    b. No
    c. Neutral

12. Do you believe the training time was effectively and efficiently managed?
    a. Yes
    b. No
    c. Neutral
13. Overall, do you believe the Project was able to achieve its objectives?
   a. Yes
   b. No

   If yes, would you recommend these trainings to your colleagues? Please, explain.

14. Are you using the ContainerCOMM tool in your everyday work to detect and target hazardous waste shipments?
   a. Yes
   b. No

   If yes, how frequently are you using the tool (e.g., every day, once a week, once a month, etc.)

15. The Project has enhanced inter-agency cooperation *nationally*.
   a. Strongly Agree
   b. Agree
   c. Neutral
   d. Disagree
   e. Strongly Disagree

16. Since your participation in the project, how many *national* organizations have you cooperated with as part of carrying out your daily work? (An example of cooperation can include contacting colleagues from other agencies to inquire about a shipment, participating in other national events not directly linked to the Project, or engaging in any other way with colleagues from other agencies)
   a. None
   b. Between 1-3
   c. Between 4-6
   d. More than 6

   Please, briefly describe the nature of this cooperation below.

17. The Project has enhanced inter-agency cooperation *regionally*.
   a. Strongly Agree
   b. Agree
   c. Neutral
   d. Disagree
   e. Strongly Disagree

18. Since your participation in the project, how many *regional* organizations have you cooperated with as part of carrying out your daily work? (An example of cooperation can include contacting colleagues from other countries to inquire about a shipment, participating in other national events not directly linked to the Project, or engaging in any other way with colleagues from regional agencies)
   a. None
   b. Between 1-3
   c. Between 4-6
   d. More than 6

   Please, briefly describe the nature of this cooperation below.

19. Please, use the space below to provide your recommendations for improving this Project or future projects of a similar nature.

20. Please, use the space below to provide any additional comments that will help us assess the Project.
### UNODC DOCUMENTS

#### Annex III: Desk Review List

<table>
<thead>
<tr>
<th>Document – name</th>
<th>Number of documents</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Project Documents</strong></td>
<td></td>
</tr>
<tr>
<td>CCP Proposal “Countering Illegal Hazardous Waste Trafficking through the Container Control Programme” (project document)</td>
<td>1</td>
</tr>
<tr>
<td>Signed agreement with the Donor (NORAD)</td>
<td>1</td>
</tr>
<tr>
<td>Project Budget Summary</td>
<td>1</td>
</tr>
<tr>
<td>Project Activity-Based Budget</td>
<td>1</td>
</tr>
<tr>
<td>Project Indicative Workplan</td>
<td>1</td>
</tr>
<tr>
<td><strong>Financial Disbursements Papers</strong></td>
<td></td>
</tr>
<tr>
<td>Disbursement requests to the Donor (NORAD)</td>
<td>4</td>
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<tr>
<td><strong>Annual Reports and Minutes of the Annual Meetings</strong></td>
<td></td>
</tr>
<tr>
<td>Progress Report to the Donor/Norad (2020-2021)</td>
<td>1</td>
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<tr>
<td>Revised Indicative Workplan (2020-2021)</td>
<td>1</td>
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<tr>
<td>Project Budget (2020)</td>
<td>1</td>
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<tr>
<td>Progress Report to the Donor/Norad (2021 – 2022)</td>
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<tr>
<td>Meeting Minutes with Donor/Norad (2022)</td>
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<tr>
<td>Summary Presentation of Completed Activities (2021-2022)</td>
<td>1</td>
</tr>
<tr>
<td>Kickoff Meeting Agenda (2021)</td>
<td>1</td>
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<tr>
<td><strong>Activity Reports</strong></td>
<td></td>
</tr>
<tr>
<td>Technical assessment reports/desk review completed by the consultant in 2020 (for all 5 partner countries)</td>
<td>5</td>
</tr>
<tr>
<td>7-page questionnaire drafted by the consultant used to draft the desk-review and conduct assessments (completed by all 5 partner countries)</td>
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</tr>
<tr>
<td>Plastic Waste Training Course Syllabus drafted by the consultant</td>
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<tr>
<td>Country Workshop Agendas (2021) for Cambodia, Malaysia, Philippines, Thailand, and Viet Nam (2022)</td>
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</tr>
<tr>
<td>Workshop Summary Evaluation Reports (2021) for Cambodia, Malaysia, Philippines, Thailand, and Viet Nam (2022)</td>
<td>5</td>
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<tr>
<td>Training Workshop Mission Reports (2022) (Cambodia, Viet Nam only)</td>
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</tr>
<tr>
<td>Regional Mentorship Mission Reports (2022) (Cambodia, Malaysia, Philippines, Thailand, and Viet Nam)</td>
<td>1</td>
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<tr>
<td>Waste Trafficking Management Checklist/Guide</td>
<td>1</td>
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</tbody>
</table>
### ANNEX III: DESK REVIEW LIST

<table>
<thead>
<tr>
<th>Document – name</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>INTERPOL, Final Report on Operation 30 Days of Action</td>
<td></td>
</tr>
<tr>
<td>1988 Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade (that promotes shared responsibility for the importation of hazardous chemicals)</td>
<td></td>
</tr>
<tr>
<td>2001 Stockholm Convention on Persistent Organic Pollutants (that aims to restrict or eliminate the production of organic pollutants)</td>
<td></td>
</tr>
<tr>
<td>2013 Minamata Convention on Mercury (designed to protect human health and the environment)</td>
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</tr>
</tbody>
</table>
## ANNEX IV: STAKEHOLDERS CONTACTED DURING THE EVALUATION

<table>
<thead>
<tr>
<th>Type of stakeholder (see note below)</th>
<th>Number of stakeholders</th>
<th>Sex disaggregated data</th>
<th>Country(ies)</th>
</tr>
</thead>
</table>
| Project implementer (project staff at HQ and Field Office, project consultants, and trainers) | 9 | Men: 5  
Women: 4 | Austria, New Zealand, Thailand, and Turkey |
| Cooperating agency & Donor | 4 | Men: 2  
Women: 2 | Belgium, Norway, Portugal, and Vietnam |
| Partner organizations | 3 | Men: 0  
Women: 3 | Switzerland, Kenya, and Norway |
| Government Recipients | 10 | Men: 8  
Women: 2 | Cambodia, Philippines, Thailand, and Vietnam |
| **Total: 26** | **Men: 15**  
**Women: 11** |

## STAKEHOLDERS PARTICIPATING IN SURVEYS OR OTHER FORMS OF WRITTEN FEEDBACK:

<table>
<thead>
<tr>
<th>Type of stakeholder</th>
<th>Number of responses</th>
<th>Sex disaggregated data</th>
</tr>
</thead>
</table>
| Project beneficiaries (training and mentorship participants) | 47 | Men: 37  
Women: 10 |