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Container Control Programme

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LIST OF ACRONYMS AND ABBREVIATIONS

AEO	Authorised Economic Operator
BASC	Business Anti-Smuggling Coalition
CCP	Container Control Programme (UNODC-WCO)
CEN	Customs Enforcement Network (computerized database of WCO)
CHawk	Container Intelligence system for searching and tracking of containers
CITES	Convention on International Trade in Endangered Species of Wild Faun and Flora
ContainerCOMM	WCO tool for communication between Ports
CND	Commission on Narcotic Drugs
COPAK	UNODC Country Office in Pakistan
CPS	Co-financing and Partnership Section
DLO	Drug Liaison Officer
ECOSOC	United Nations Economic and Social Council
ERG	Expert Review Group
FAL	Convention on Facilitation of International Maritime Traffic (IMO)
GPAC	Global Programme Against Corruption
IAPH	International Association of Ports and Harbours
ICC	International Chamber of Commerce
ICPO	Interpol, International Criminal Police Association
IEU	Independent Evaluation Unit (UNODC)
IMO	International Maritime Organization
INCB	International Narcotics Control Board
IPR	Intellectual Property Rights
(J) PCU	(Joint) Port Control Unit
LEA	Law Enforcement Agency
LOA	Letter of Agreement
MO	Modus Operandi
MOU	Memorandum of Understanding
MSC	Maritime Security Committee (of IMO)
NGO	Non-Governmental Organisation
PCU	Port Control Unit
RILO	Regional Intelligence Liaison Office
ROPAN	UNODC Regional Office in Panama
ROSEN	UNODC Regional Office in Senegal
SAFE	SAFE Framework of Standards to Secure and Facilitate Global Trade
SUA	Convention for the Suppression of Unlawful Acts Against the Safety of Maritime Navigation (IMO)
TEU	“Twenty foot unit equivalent” (used for container volume statistics)
ToR	Terms of Reference
UNCTAD	United Nations Commission on Trade and Development
UNDCP	United Nations International Drug Control Programme
UNCITRAL	United Nations Commission on International Trade Law
UNODC	United Nations Office on Drugs and Crime

UNGASS

United Nations General Assembly Special Session on Drugs, June
1998

WCO

World Customs Organisation

EXECUTIVE SUMMARY

Background and Context

As containerized trade supply chain security requires significant knowledge in the technical fields of profiling and customs, UNODC reached out to the leading International organization in the field of customs, the World Customs Organization (WCO), based in Brussels, Belgium. Both Organizations have been successfully partnering from the on-stage of the Programme. From a pilot designed in early 2003, and carrying out its initial activities in 2004 through the development of a Joint Port Control Unit in the port of Guayaquil in Quito, and further expanding to Pakistan, the CCP was operational in 12 countries¹ at the time of the current evaluation.

In brief, the Programme is managed by a Senior Programme Coordinator based in UNODC HQ, in charge of the overall programme management, finances and donor relations. In addition, a Programme Manager oversees the Global coordination of the implementation on WCO side, with a focus on all training activities of the Container Control Programme (CCP). The CCP relies on a network of highly qualified technical experts posted in the Regions and Countries where CCP deploys its activities.

Main Objectives of the Programme

The main objectives of the Programme, as per the initial design, are the establishment of inter agency units for the profiling of containers and the promotion of improved cooperation between all stakeholders operating in the given ports to improve the security in the international containerised supply chain. Profiling is the main technique used and it is based on risk indicators assessed through the review and analysis of cargo manifests, customs declarations and all relevant information, which is to be provided by all the stakeholders operating in port structures. This information is then shared within the network of CCP countries and within the ports to increase the knowledge in container security and international transport of illicit goods. Several tools were developed as part of this Programme to capture and to manage the knowledge acquired and are used by the CCP members and partners on a daily basis.

To attain these objectives, the CCP has developed a process which starts with high level meetings between UNODC and the requesting party, and they are followed by the signature of Memoranda of Understanding (MoUs) between several Law Enforcement Agencies, in which they all agree to work jointly within a Joint Port Control Unit, uniting their efforts under the leadership of a selected Agency to become first among equals. Prior to the signature of MoUs, port assessments are conducted to determine the port security level, define the present port situation, understand the needs for the JPCUs under the implementation phase and define the level of trainings which need to be envisaged for such port units to become operational and carry out the profiling

¹ It is present in Afghanistan (dry port of Kabul), in Benin, (port of Cotonou) in Cape Verde (the ports of Praia, Palmeira and Porto Grande), in Costa Rica (San José covering Port of Caldera and Limon Port Complex), in Ecuador (port of Guayaquil and Bolivar, Machala), Ghana (port of Tema), in Guatemala (ports of Quetzal and Barrios), in Pakistan (port of Karachi, dry ports of Qasim; Faisalabad; Lahore; Multan; Sambrial; Torkham; and Sust Oryport), in Panama (ports of Balboa, Manzanillo and Cristobal in Colón), in Paraguay (Asunción) in Senegal (port of Dakar), in Togo (port of Lome), and Turkmenistan (Ashgabat and Turkmenbashi).

autonomously. In addition to the initial, basic trainings, more complex sessions are planned and delivered along with a mentoring and monitoring system. This system is based on the provision of designated trainers to follow the Joint Port Control Units (JPCU) teams throughout time and to accompany them in their learning slope until they can themselves train additional colleagues, and when ready, provide training to neighbouring countries.

Outcomes of the Programme

The initially planned outcomes of the Programme, which proved through the present evaluation to have been mostly successfully met, are three and are as follows:

(a) Outcome 1 : Measurable results are achieved as a product of law enforcement officials working in the newly created inter-agency Port Control Unit (PCUs) consistently applying the acquired technical skills in the targeting, selection and inspection of high risk shipping containers.

(b) Outcome 2: In the selected sea and dry ports, the inter-agency Port Control Units (PCUs) and the private sector cooperate to greater effect and develop the mutual trust and understanding necessary to strengthen and protect the containerized trade supply chain.

(c) Outcome 3: New tools and mechanisms for the collection, sharing and analysis of information about container crime, in particular CEN/ContainerComm and ICPO-Interpol I-24/7, are used regularly and effectively at the national, regional and/or international level, as appropriate.

Scope of the Evaluation

The CCP Team, fully supportive of evaluation processes and eager to learn from the implementation of its activities, commissioned the present evaluation in the third quarter of 2012 and is in line with UNODC requirements, namely, for all projects and programmes to undergo evaluation. Its goal was to assess the progresses accomplished since the last evaluation in order to gather important knowledge on potential success and to identify further areas of improvement. Given the importance of the Programme to UNODC and given its global deployment, the evaluation was added to the Independent Evaluation Unit workplan in 2012 and was carried out as a mid-term in-depth evaluation as per UNODC Independent Evaluation Unit (IEU) criteria. As per the initial ToR for the evaluation, the activities to be included in the present report focus on the period 2008-2012.

To avoid fatigue, and to further ensure ownership of the process on a global scale, it was decided to fully consider the Ecuador Segment Evaluation as part of the initial desk review and to not use the country as a case study. The evaluation sought to independently assess the design of the programme, the contribution of the CCP to the observed changes and impact. It also intended to measure to which extent the inputs (knowledge, time, financial considerations) were converted into results (efficiency), to which extent the initial objectives were achieved (effectiveness), as well as the extent to which the benefits would extend in the long term (sustainability).

Evaluation Methodology

In line with independence requirements associated to a credible and reliable evaluation process, the evaluation was conducted by an evaluation team comprising a member of the Independent Evaluation Unit and under the leadership of an independent consultant. The evaluation team undertook this assignment, which was based on Terms of Reference mutually agreed upon by the CCP Team, IEU and additional stakeholders. These additional stakeholders, named Core

Learning Partners (CLPs), were identified by the above-mentioned parties to ensure additional ownership and representativity of the evaluation process. The CLPs were included in several stages of the evaluation process and were invited to comment on the Terms of Reference (ToRs), the inception, and the draft and final reports.

Like many other Global Programmes, the CCP is a continuous initiative subject to extensions in time and expansion in geographical scope. Therefore, a selection of relevant and illustrative countries was proposed to establish a quality purposive sample strategy for the site selection. Such a strategy was optimal given the complex structure of the programme. Criteria such as volume and scope of operations, such as size of the Joint Port Control Units, stage of development of the Programme strategic importance and feasibility of missions were also examined to agree on the site visits.

After the exclusion of Ecuador from the specific analysis - the Ecuador segment had undergone an evaluation in 2007 - and as CCP deploys significant activities in Latin America, it was decided that a field mission would take place to Panama. Pakistan, subject to significant growth and demonstrating success since the beginning of CCP activities in the region, along with Panama also considered as a regional hub for the CCP as its training facilities, geographical situation and general level of acceptance of the programme are high, was included in the countries to be visited. Finally, as both West and East Africa are part of important international maritime routes subject to criminal activity, CCP Team and IEU decided to include field visits to Africa as part of the study cases. Through the initial desk review and discussions, Ghana appeared to have experienced a fairly good start in implementation with a relatively low degree of turnover in staff and benefited from local support whereas Senegal had proven to suffer some management and commitment issues. It was therefore decided to use these two diverse cases to complete the Global Programme evaluation.

As UNODC Headquarters is implementing part of the operations of the CCP, the CCP Team and IEU decided to include visits to Vienna for the Lead Evaluator to be briefed prior to the field missions. Following the missions, an additional visit was carried out for her and her team to fully understand all sides of the Programme. All CCP Staff Members based in Vienna were interviewed. No visits were planned to Brussels as the WCO was invited to Vienna to allow the Evaluation Team to gather information from the Partner Organization in UNODC premises. All interviews were carried out in confidentiality and discretion to protect all key informants and to ensure unbiased, reliable and first hand information (the full list of interviewed individuals was provided to IEU to check and archive). One to one interviews were privileged to the exception of some focus groups conducted in the Joint Port Control Units – this was meant to directly observe interactions and regular work on site - and additional interviews were also carried out with the JPCU Staff Members on selected sites.

Methodological triangulation was used to answer the evaluation questions developed by the CCP Team and IEU, and further refined by the Evaluation Team. An initial desk review was carried out to ensure that secondary data was analysed and to provide the team with utmost important information on the Programme, its objectives, its achievements and the challenges it faced. Additional material was analysed to understand the different national contexts as well as the technicalities of the Programme. To corroborate the information stemming from the desk review, the field missions were carried out and over 60 interviews took place. During the missions, the evaluation team conducted several focus groups in ports, where it also gathered direct observation to ensure the consideration of multiple sources of information, thereby completing the desk review and the interviews.

Different sets of findings were identified, analysed and verified through triangulation between the initial document review, field missions, interviews and direct observations. Further analysis

established overall conclusions in several areas, leading to the formulation of clear, actionable recommendations suggested to UNODC, its partners and beneficiaries.

Findings, related Conclusions and corresponding Recommendations

In terms of Design, the CCP is a highly visible and concrete operational programme. The evaluation assessed that the CCP is fully in line with all UNODC overarching objectives, and serves as an adequate tool to meet UNODC mandates within the International Legal Frameworks and Conventions to which it is party. In particular, UNODC is committed to achieving global security, safety and human development through the implementation of international conventions, protocols and universal legal regimes against illicit drugs, and crime, among others. The CCP fully addresses these mandates from its original design, to its implementation on the ground, through the further development of crime prevention and direct reduction of risk of crimes occurring in the containerised supply chain occurring around the Globe.

Multiple sources from different target groups expressed a full, wide understanding of the Programme's objectives, which can also be interpreted as one of the indicators of its success. The CCP proves to have well defined, realistic outcomes and understandable and tangible results. The CCP is therefore attractive not only to Member States/Donors within UNODC but also to the beneficiaries' countries, which also meets the latest recommendations on Aid Effectiveness emanating from the Paris Declaration and the Accra Agenda for Action.

Namely, the Programme strongly enhances the principle of ownership, as it does not privilege the Organization's priorities, but rather, awaits beneficiaries' solicitation to start deploying its activities. It also fully respects the principle of alignment, as it matches national and local strategies, including political and contextual information in the ports assessments and the opening of different segments. Finally, it allows for harmonization by including partners on all sides: WCO, possessing strong training capacities, provides the international experts. The local LEAs couple with the WCO and UNODC staff on the ground, ensuring that all efforts are deployed in the same direction, increasing efficiency of the services provided. In other words, the pragmatic implementation rationale is a combination of countries reaching out and asking for assistance and capacity building, donor priorities/funding, and the in house UNODC knowledge on trade and trafficking routes through the use of UNODC research material.

In light of the above, WCO should be seen as the ideal co-implementing partner. CCP benefits from the cooperation with WCO, which, in addition to trainers, brings along precious additional credibility through locally anchored networks and international professionals highly skilled in profiling. The trainers provided by the WCO have brought their international knowledge, background and, when based in the field, a local network and help building synergies in different regions. This cooperation additionally shows UNODC does not only theoretically promote inter agency cooperation but is actively engaged in it.

In this regard, to further capitalize on the above, it is important that UNODC further allocates time and resources to benefit from additional, closer and continued cooperation along with mutual engagement, both required for the foreseen expansion of the Programme. CCP proves to have a good financing and fundraising structure, namely, resources are mobilized both at Headquarters and in the Field, and these efforts are jointly undertaken by the CCP Team as well as the relevant Sections in house, in particular, CPS. All Best Practices related to the funding structure success should be compiled and disseminated to ensure this is further reproduced and continued with regards to CCP and other UNODC undertakings. To strengthen the fundraising, additional efforts could be made by UNODC to further mainstream some of its research activities and give them

more space in its global programmes, namely, to ensure a clear cause to effect relationship when developing new projects or expanding existing ones.

The evaluation has shown that Security in the supply chain of containerised goods in the countries in which the CCP is being implemented has been greatly improved and its overall contribution is, in this regard, crystal clear. The direct observations as well as the numerous interviews conducted on the ground, have shown that there was no quality profiling or understanding of the importance of profiling when the programme arrived. It is also clear that prior to the CCP there was no interaction between the different Law Enforcement Agencies (LEAs), which today, constitute the JPCUs, core element of the CCP's success. This is potentially one of the most dramatic positive changes the CCP has triggered.

UNODC and the WCO, through the CCP is promoting inter agency communication and cooperation. The training activities have brought together operational staff from different LEAs and even different regions which further advanced information sharing. The CCP is based on capacity building resulting in concrete understandable outputs, and the emphasis within the CCP has been directed towards training rather than provision of technical equipment. Monitoring and mentoring are parts of the implementation plans, and this creates a platform for interagency communication, and enhances inter and intra agency communication where this communication is little or non-existent.

The strategic vision includes 75 countries, which is the greatest challenge to the CCP so far. Growth is good and has to be met with a different set of tools than the ones foreseen in the initial design of the Programme. To further enhance the above analysis and strongly prove that the CCP fully reaches its objectives and outcomes, a revision of the current performance indicators along with the introduction of new, more tailored and suitable key performance indicators applying SMART (Specific, Measureable, Achievable, Relevant, Time-bound) criteria should be undertaken. In addition to the existing good quantitative performance indicators, qualitative indicators should be improved to better measure change and overall impact.

To further ensure its current success, in addition to those newly revisited performance indicators, as the CCP has rapidly developed, the initial flexible approach would benefit from a more structured environment. The implementation approach strongly focuses on the operational aspects and could also better grasp the elements related to the structure of the CCP itself. Experiences and input from operational countries, segment field CCP Staff and Teams and UNODC Offices and partners could serve to create detailed but still flexible road maps for the implementation phases which directly follow the signing of MoUs. Although the mid-term evaluation of the Programme will enable its Management revise its overall initial design, and seek to learn lessons and further increase the Programme's impact, segment evaluations, with more local anchorage and ownership should be envisaged to look into the more specific patterns of each segment at a national level.

Specific country segments have met challenges that could be addressed by clearer input and capacity building from the CCP in the areas of how to structure inter agency cooperation, steering committee meetings and formulate standard operating procedures ranging from intra agency issues to operational PCU work. The Programme Team should develop Standard Operating Procedures (SOPs) based on best practice, taking into consideration the differences and the specificities of all beneficiary countries by reiterating the benefits of such an approach through constant communication with the recipient countries. These SOPs could be moulded and flexibly used to further facilitate the implementation by providing hands on capacity building which addresses the current, local issues, and through this, further promoting sustainability.

In addition to the current monitoring visits, a more systematic modus operandi could be envisaged. All country segments should undergo their own systematic assessment. These more structured segment assessments should also produce flexible road maps for segment implementation, developing country level performance indicators and means of verification

leading to the further expansion in case of success. They could also help making evidence based decisions in case the segment does not meet the expected outcomes despite the investments made by UNODC and WCO, and may face a temporary freezing of activities to identify corrective measures. The creation of such a new tool of measuring the success of the Programme and its achievements in a more local context would increase efficiency and effectiveness by saving time and addressing specific frustrations related to the context of a given country and the particular inter agency setting.

One of the core elements of the CCP is Training, and both UNODC and the WCO direct significant efforts to select trainers, develop curricula and ensure monitoring and mentoring of trained (J)PCU members and partners. Operational Staff as well as local UNODC/CCP colleagues see the continued mentoring as being very important to ensure sustainability and continued development as crime is not static and evolved very fast in some regions. UNODC enjoys a comparative advantage in providing crime information and knowledge on ways to fight against it. This means that mentoring and knowledge building for the foreseeable future will require CCP resources for additional time. Indeed, training is the prerequisite for all (J)PCU team members in order for them to be functional.

As evidence shows, regular staff turnover is often the norm in LEAs. From a capacity building perspective this implies the increased planning for and the constant provision of reiterated basic and advanced training on a regular basis for the foreseeable future. The Evaluation Team acknowledges the recently launched “Accredit Trainer” initiative and further supports its development, as it definitely represents a step in the right direction that will promote many of these aspects. The concept should be further developed and actions taken to ensure a growing pool of monitored and regularly evaluated skilled trainers.

In order to be effective and efficient, and to ensure that the Programmes outcomes are being reached, training requires structure, the vocabulary and methods used should be consistent and the trainers to be monitored for quality assurance. The control of the content of in particular the initial training should be in the hands of the CCP, which consequently needs to claim full ownership of the material to achieve a common understanding amongst all. The differences between monitoring and mentoring need to be further highlighted as well, as their definition proved to be often misunderstood among the CCP. Developing tailored performance indicators would clearly assist in identifying what kind of mentoring is required as well as the associated expected measureable outcome. The introduction of performance indicators related to different aspects of training would facilitate future evaluation and follow up of both basic and advanced training and would improve the overall quality of training, which would further contribute to the continuation of the achievement of the Programme outcomes in a strong quality driven manner.

Once the above changes take place, the CCP should further develop its regional hubs as it proved to be a good capacity building strategy. The future inclusion of more countries will require a different structure than today and hubs or centres of excellence located in strategic parts of the world must be upgraded and provided with a structured and uniformed approach for them to play an increasingly larger role in monitoring, training, mentoring, reporting and follow up as the Headquarter Team will not be equipped with sufficient Staff Members to perform these tasks and as the pool of trainers may not necessary increase simultaneously with the CCP.

Finally, the development of profiling knowledge and technique, along with the provision of communication tools and the sharing of information within (J)PCUs should be completed by the full inclusion of all actors of the Private Sector (i.e. shipping lines, security companies in the ports, port authorities, etc). Although the cooperation with the Private Sector should take into account the local environment, Private Sector cooperation is defined as a CCP objective/outcome,

and the information in the hands of the Private Sector as well as the important resources (both financial and in terms of knowledge) should be further utilized in all segments.

Although there are proofs of several awareness meetings held with the actors of the private sector at the early stages of the CCP and of other activities in some parts of the world, this aspect of the work of the CCP Team and the (J)PCUs could improve. The CCP, given the successes it has been meeting and given the unique position of UNODC in all visited countries, should further advocate for such cooperation. UNODC should encourage additional regular meetings to take place. Synergies between the needs of the CCP and the Private Sector should be sought not only on operational ad hoc basis. Possibly, MoUs could state the Private Sector role in the implementation, Steering Committees should engage the private sector, and/or the flexible Standard Operating Procedures (SoPs) to be developed could include the Private Sector in the implementation schemes more intensively.

Structure and Reference Documents

The current report has identified actionable recommendations based on evidence gathered throughout the evaluation process, which are directed towards the Programme in General. One of the innovative approaches of this report is the formulation of specific country recommendations, which can be found in the respective sections of the report. A matrix of prioritized recommendations completes the present executive summary. A background section provides contextual information related to UNODC, the WCO and the CCP. Following the analysis of all evidence, findings and conclusions were formulated and lessons learnt were captured in respective chapters. Finally, to ensure a transparent process, the Terms of Reference, constituting the basis for this evaluation exercise, as well as the documents reviewed and the tools used to perform this evaluation exercise are listed in corresponding annexes.

CONTAINER CONTROL PROGRAMME MANAGEMENT RESPONSE

The Container Control Programme (CCP) Management Team of UNODC appreciates the efforts of the Independent Evaluation Unit (IEU) and the Evaluation Team on evaluating GLOG80 UNODC-WCO CCP and wishes to thank UNODC staff at Headquarters and in the Field for their active contribution in the evaluation exercise. The Management acknowledges also the dedication of the staff of the project, the Field Offices and the Regional Centre, and the support provided by the Organized Crime Branch.

The report provides a range of useful recommendations, which will all be taken into consideration. Nevertheless, the management does not fully agree with all the recommendations provided in the report.

The Management notes that significant results have been achieved since the beginning of the Programme in 2004 with 4 pilot countries and is now rapidly expanding to other countries worldwide. One of the main messages is that the Programme is prioritizing expansion over consolidation of knowledge and lessons learned. The management is of the opinion that expansion and lessons learned are two issues that need to be considered separately. The management is fully committed to ensure efficient and effective implementation of the Programme with sustainable results in each country concerned. Each implementation phase in a beneficiary country produces lessons and new knowledge that is absorbed by the programme and carried forward when implementing activities under the programme in new countries.

It has to be recognized that UNODC's technical assistance programme is based on requests from recipient countries and voluntary contributions from donors and therefore expansion is crucial and necessary. Donors have indeed recognized the importance and success of the Programme and provide funding for its expansion. This needs also to be seen in the context of building regional networks and linking the established port control units together in order to improve the sharing of information and intelligence, as well as cooperation.

The report recognizes the success of the Programme calling it "*a highly visible and concrete operational programme attractive to Donors and implementing countries*". *One important message of the report is that "specific country segments have met challenges that could be addressed by clearer input and capacity building from the CCP in the areas of how to structure inter agency cooperation, steering committee meetings and formulate standard operating procedures ranging from intra agency issues to operational PCU work."* UNODC is cooperating very closely with the beneficiary countries, and consequently the implementation of the programme depends on the full cooperation of the state and its national institutions. It needs to be taken into consideration that the level of cooperation can vary significantly from MS to MS, which has a great influence on the efficiency of the PCU and the successful implementation of the Programme.

The report further recommends to “develop Standard Operating Procedures (SOPs) based on best practice, taking into consideration the differences and the specificities of all beneficiary countries by reiterating the benefits of such an approach through constant communication with the recipient countries”. UNODC has already begun to develop SOPs in close cooperation with beneficiary countries (Pakistan, West Africa and Albania) to fully implement this recommendation.

The success of the CCP working methodology is also based on cooperation with the private sector. In order to visualize common interests, the short term goal for the future will be a progress in the dialogue with relevant stakeholders (companies). The long term goal will be obtaining access to more logistics information which is needed for the improvement of container profiling processes. However, it has to be noted that private sector cooperation is difficult due to various legal conditions that restrict cooperation.

The report draws attention to an increased role of the Programme with regard to fundraising and research. While fund-raising activities are carried out by the Programme Manager, this has also been addressed throughout the design of integrated programme guidelines that were endorsed during the UNODC Field Representatives Meeting in Vienna in June 2013. These guidelines will be released by the end of 2013.

With regard to training, one of the major components of the Programme, the report recommends the training to be structured, the vocabulary and methods used to be consistent and the trainers to be monitored for quality assurance.

UNODC, together with WCO have developed a curriculum for basic and advanced CCP training. A more comprehensive and WCO approved training curriculum, including e-learning and other modules as well as a template of standard practices for port control, have been developed in consultation with the WCO Capacity Building Directorate, UNODC and other experts. Training material for trainees and trainers is continuously being updated and revised. New training material related to topics such as precursor chemicals, counterfeit medicines, small arms light weapons, etc. will be developed.

A WCO accreditation programme for CCP trainers and experts was held in September 2013 to create a pool of accredited training experts from within WCO Member administrations to ensure the velocity and sustainability of the Programme. Necessary monitoring elements are being established by both UNODC and WCO in order to ensure that nominated trainees are available to secure completion of the full training curriculum, currently defined as a period of time between 24 – 36 months. In addition, evaluation monitor forms are being developed and are being used to monitor the progress made by the officials during the training phases.

WCO is the implementing partner of the Programme, responsible for the training component and information/ intelligence exchange tools. Important missions regarding funding and donor relations are carried out together. Together, UNODC and WCO drafted a strategy paper on the future of the Programme, which includes geographical expansion, as well as expansion to land borders and air cargo. UNODC will continue to provide financial resources to WCO. In addition, the existing MoU between UNODC and WCO will be revised and extended.

SUMMARY MATRIX OF FINDINGS, EVIDENCE AND RECOMMENDATIONS

General recommendations

Findings ² : problems and issues identified	Evidence (sources that substantiate findings)	Recommendations ³	Responsible for implementation
Critical			
The programmes is currently prioritizing expansion over consolidations of knowledge and lessons learnt .	In the reports and throughout the interviews carried out during the evaluation missions, CCP is regarded as accelerating or prioritizing the expansion rather than taking stock of lessons learnt and good practices	UNODC and WCO should Use the rich experience and knowledge accumulated to expand in a more structured and coherent fashion	UNODC/WCO, CCP
The Programme design has some deficiencies in its implementation scheme No clear and specific implementation guidance is provided to the beneficiary countries following the signature of MoUs, which results in an approach strongly focused on profiling operations only.	Implementation focus is operations oriented only and lacks clear guidance and capacity building on senior and midlevel management for the development of processes and procedures. Primary and secondary data have shown that challenges that arise during implementation are addressed on an ad	CCP should institutionalise existing fragmented knowledge and A) Develop a project plan for each country with a tailored implementation road map that clearly defines roles and expected outcomes/deliverables along the way to sustainability.. B) UNODC should proactively use its	UNODC/WCO, CCP

² A finding uses evidence from data collection to allow for a factual statement.

³ Recommendations are proposals aimed at enhancing the effectiveness, quality, or efficiency of a project/programme; at redesigning the objectives; and/or at the reallocation of resources. For accuracy and credibility, recommendations should be the logical implications of the findings and conclusions.

	hoc basis.	credibility as a neutral party and facilitate the realisation of the plan, especially when it comes to ensuring that Senior Management of the various implementing agencies is concerned, as strong hierarchical opposition may cause delays or failure in implementation. C) UNODC should provide further capacity building in the shape of hands on identified best practice addressing the organisational aspects of the implementation on how to get functional steering committees and inter/intra agency cooperation.	
<p>Flexible Standard Operating Procedures (SOPs) are missing.</p> <p>Monitoring and follow up of technical equipment and its use is sometimes inadequate.</p> <p>Private sector interaction as well as national interagency cooperation is heavily dependent on personal relationships and proves to sometimes be weak.</p>	<p>Initial structure of operations and work is performed by the PCUs without formalised or written input from CCP and per all CCP related reports.</p> <p>Direct observations and interviews show that Best Practices and Knowledge management within the CCP are not formalised and promoted.</p>	<p>CCP Management should engage in learning from successful structured implementing countries through the creation of flexible SOPs.</p> <p>To the extent possible, new countries should receive these SOPs as a part of the capacity building and start using them in training.</p>	<p>UNODC/WCO, CCP, Recipient Countries</p>
<p>The planned objectives state the overall securization of containerized trade as well as on the development of profiling knowledge through trainings.</p>	<p>The analysis of the various reports provided for the desk review showed that seizures are the main indicator of focus.</p> <p>Other indicators are</p>	<p>Qualitative indicators should be further developed and measured against.</p> <p>UNODC and CCP should consider a review of the Programme's performance</p>	<p>UNODC/WCO, CCP</p>

<p>Key Performance Indicators focus on quantitative considerations and do not allow good measurement of achievements and impact, and related outcomes and effects.</p> <p>All involved parties mostly report on drug related seizures.</p>	<p>mentioned but the CCP does not have a unified and structured approach on what should be measured and why.</p> <p>Interviews have confirmed this.</p>	<p>indicators to identify/revise them into SMART indicators (Specific, Measurable, Accepted, Realistic and Time-bound) and a reporting structure that mirrors them.</p>	
<p>Instruments for evaluation and measurement of success are weak. No clear, tailored goals are set up at the beginning of CCP activities for each participating country.</p>	<p>The desk review has shown that no evaluation instruments are in place to measure the segments' performance. Interviews and observations show that the beneficiary countries do not have a specific set of goals to look forward to.</p>	<p>UNODC and WCO, jointly with the beneficiary country and Donors should set clear, time bound goals and benchmarks to be met for each segment. Regular independent assessments or evaluations should take place at country/segment level to inform CCP HQ Management on the progress or lack thereof in order to make evidence based decisions on the continuation or disruption of CCP activities in a given country.</p>	<p>UNODC/WCO, CCP, Recipient Countries</p>
<p>Private sector cooperation has been identified in the form of islands of success mainly focussed on PCU operational interaction within the Programme.</p> <p>No strong impact has been assessed in this regard on a global scale.</p>	<p>According to interviews and direct observations, cooperation with private sector is limited to raising awareness and advocacy presentations, which show little impact.</p> <p>The document review shows that despite the MoU signed with BASC, little progress has been observed and that private sector funding of the</p>	<p>CCP, both at segment level and at Headquarters, should develop an action plan on “how to improve private sector cooperation” with practical hands-on advice and a time line that can be benchmarked.</p> <p>CCP should increase visibility of the Programme among private sector entities for improved cooperation, information exchange and potential future funding.</p>	<p>UNODC/WCO, CCP, Recipient Countries</p>

	programme is an extremely limited portion.		
Fundraising and Financing are successful but knowledge management in this regard is poor and synergies are not recorded.	As per the desk review, it appears that both the CCP and the Co-Financing and Partnership Section (CPS) address funding issues in a concerted manner. According to all key informants, cooperation is working well and funding optimised.	CCP and CPS staff should unite efforts to gather best practices in this regard and should produce a memo to be used in UNODC on “how to optimise funding activities” .	UNODC
CCP reaches out to research functions on an ad hoc basis. Research has limited inputs to CCP strategy. CCP does not formally generate any research.	Interviews and desk review show limited use of research in the development and expansion plans of the Programme after initial set up.	CCP should initiate UNODC research particularly regarding seizures and the lack or fluctuation of them that can provide input on how to optimise local organisation and work. Although the generation of research and data is not an objective of the CCP, the Programme should capitalize the unintended knowledge acquired during the implementation, and allow it to feed into CCP through a formalized approach rather than on an ad hoc basis.	UNODC
Trainers do not benefit of ownership of training material. Training lacks measurement against performance indicators, does not possess a structured quality assessment, does not show uniformity or harmonization, and benefits from little or no follow up and evaluation.	It was assessed through numerous interviews that trainers are not required to share their material and observed that no common language is promoted or used. As per its design, the CCP does not require that the trainers provide evaluation feedback forms of their performance to the CCP.	In close cooperation with WCO – as it provides most trainers to the CCP - UNODC and WCO should further continue developing a common structure for the trainings. Precisely, both should: <ul style="list-style-type: none"> • Formulate ToR for trainers • Gather and assess all material used by different trainers. • Review the curricula 	UNODC/WCO, CCP

	Although interviews mentioned a future procedure to vet the trainers, at the time of the evaluation missions, trainers were vetted informally.	<ul style="list-style-type: none"> • Introduce e-learning and self- assessment modules • Define performance indicators for training in general. 	
<p>The design of the Programme and the formulation of its objective are understandable.</p> <p>The inclusion of a major partner, WCO, in the heart of the project makes it a comprehensive and successful Programme.</p>	<p>Reports and key informants prove that the Programme generates constant interest and reaches out to an increasing number of countries.</p> <p>Most interviewees show high appreciation of WCO participation to the Programme.</p>	<p>UNODC and WCO should continue further allocation of resources for a sustained close communication and good cooperation between each other.</p> <p>They should improve the cooperation structure and institutionalise knowledge in preparation for potential diversification or synergies with similar initiatives (AIRCOP, etc.)</p>	UNODC/WCO, CCP

Country Specific Recommendations

Findings: problems and issues identified	Evidence (sources that substantiate findings)	Recommendations	Responsible for implementation
Panama			
Private sector cooperation and Donor/external stakeholder relations highly dependent on personal contacts and are to a large extent ad hoc.	Interviews, direct observations in the port and desk review show that there is room for improvement in the area of private sector cooperation.	CCP should systematize the modus operandi with the private sector in Panama to ensure smooth and regular interactions leading to the expected outcomes.	UNODC/WCO, CCP, Recipient Country
Security/physical integrity is a concern for JPCU members.	Interviews and direct observations have shown that security of the JPCU members is not fully ensured.	UNODC/CCP should advocate for the development of national strategies to ensure the security of operational staff of PCU. This could then be benchmarked.	Recipient Country
Panama serves as a successful regional hub for technical expertise, training and further expansion in the region.	Direct observations, desk review and interviews show that the role of the CCP Team in Panama deploys its influence and expertise in the entire region.	The CCP Team at HQ should capitalize on this model and further assist in providing a defined structure with clear SoPs, which could be exported across the Programme at large.	UNODC/WCO, CCP
Ghana			
There is a lack of high level continued commitment .	Direct observations and interviews show no functional Steering Committee, which results in little problem solving fora for PCU and a lack of resources on a regular basis (computers, internet access among others).	CCP should provide structure and SOPs post MoU signature	UNODC/WCO, CCP, Recipient Country
There is no dedicated LEA UNODC staff present in Ghana as the Programme is monitored by ROSEN	Desk review, interviews and direct observations show that LEA hierarchy often requires UNODC staff of the proper rank and background to solve problems, calling for the Steering Committee to meet and work jointly and	CCP should ensure international senior staff positions whenever possible, as such an approach eases and promotes high level commitment and provides advice/support to Steering Committee.	UNODC/WCO, CCP

	avoid lack of credibility.		
Senegal			
There is a lack of high level continued commitment.	Desk review and visits to the port as well as interviews with stakeholders show that Steering Committee does not meet regularly and that ownership of the roles of the LEAs is almost non existent.	CCP needs to provide a high and midlevel structure and a road map with benchmarks, which are to be met CCP should pull out of Senegal if they are not.	UNODC/WCO, CCP, Recipient Country
Pakistan			
PCUs are not doing their work jointly as planned in the CCP design.	Direct observations and interviews show little integration between the two LEAs but for the new Islamabad JPCU.	CCP needs to continue to further promote Joint PCUs.	UNODC/WCO, CCP, Recipient Country
Pakistan serves as a successful regional hub for technical expertise, training and further expansion in the region.	Direct observations, desk review and interviews show that the role of the CCP Team in Pakistan deploys its influence and expertise in the entire region.	The CCP Team at HQ should capitalize on this model and further assist in providing a defined structure with clear SoPs, which could be exported across the Programme at large.	UNODC/WCO, CCP, Recipient Country
Private sector cooperation is sporadic.	Direct observations and reports show scarce interaction between PCUs and the Private Sector.	CCP should systematize the modus operandi with the private sector in Pakistan.	UNODC/WCO, CCP, Recipient Country

I. INTRODUCTION

Background and context

Background and objectives

Regional traffickers and organized crime groups exploit weak, ineffective and inconsistent port controls throughout the globe with sea freight containers being particularly vulnerable. Research in the field of Organized Crime and International Trade, as well as numerous States have therefore raised this constantly growing issue in relevant fora, leading to the development of a pilot initiative. In July 2003, UNODC and WCO approved the Container Control Pilot, with its envisaged pilot activity at global level, and the four pilot sites in Ecuador, Ghana, Senegal and Pakistan. The budget of this programme, for all 4 sites and global action of WCO and UNODC, was approved at US\$ 2.941 million (for a financial history of the CCP, please see Annex IV).

The activities proposed by the pilot included training of the officials in the established units in the detection, identification and inspection of high-risk containers, based upon risk analysis and other modern profiling techniques. Additionally, the newly created units were provided with technical equipment to identify and inspect high-risk freight containers with the concern of ensuring minimal disruption to legitimate trade and business. In its initial pilot phase, WCO and UNODC, in cooperation with other partners, intended to develop mechanisms for the collection, analysis and dissemination of information on container crime. Throughout the years and following many revisions to further expand, it developed into a fully-fledged Container Control Programme, which deploys its activities in 12 countries in 2013.

The UNODC-WCO Container Control Programme aims at assisting Governments in establishing effective container controls that will serve not only to prevent drug trafficking and other illicit container crime, but also to facilitate legitimate trade and raise state revenues. Therefore, the CCP specifically aims at the establishment of dedicated inter-agency container profiling units comprising customs and other relevant law enforcement officers in close cooperation with the respective national authorities in the countries in which it is present.

In its design, the CCP proves to address UNODC mandates related to drug and crime control. It effectively addresses these issues by creating a sustainable enforcement structure in specific, weak areas of law enforcement in several developing countries to minimize the risk of freight containers, which form an integral part of the international trade supply chain. As the desk review has shown, they are being exploited and used for illicit drug trafficking, transnational organised crime and other forms of black-market activity and need to be addressed by new tools and mechanisms for the collection, sharing and analysis of information on container crime in general.

Beneficiaries

Beneficiaries of the CCP are the LEAs and ports in the participating countries primarily as they receive technical assistance and equipment to prevent legitimate trade from being hijacked by organized crime. In addition, neighbouring countries and a significant amount of other ports, which are not part of the Programme enjoy the direct spill over effect of the CCP as many of the non participating countries receive information directly emanating from it. In addition, important

indirect beneficiaries are all the stakeholders of the private sector including legitimate businesses, importers and exporters, freight forwarders and shipping companies that are being exploited and in some cases infiltrated by organised crime groups. They will benefit from awareness raising and security measures designed not only to prevent and detect serious crime but also facilitate legitimate trade. Finally, all countries enjoy a higher level of human security as seizures of counterfeit goods and illicit drugs play a deterrent role in the increasing of trafficking and developing of illicit goods markets across the planet.

Strategy

The CCP anchors its implementation strategy at the national level through the creation of Joint Port Control Units. Regardless of the direction (import, export transit), or thematic focus of container control (drugs, weapons, contraband inter alia), the Programme Implementation Strategy can be summarized in four separate but interdependent technical phases with specific outputs and activities for each:

At the local level

Legal framework and operational structures

The JPCUs are intelligence driven. Therefore, the presence of specialized and dedicated staff in the JPCU Teams is needed. Experience already gained in developing countries suggested that a joint customs and police team often makes more impact and achieves greater success. In the intentions of the CCP and in its initial documents, local agencies are allowed to choose their own operation structures and preferences and are to sign a formal letter of agreement/memorandum of understanding to include: terms of reference, staffing, management, authority structures, and, although not clear framework is provided, standard operating procedures. The initial expression for interest is followed by a needs assessment undertaken by international UNODC/WCO experts to determine the specific training and equipment requirements for each site given that different countries need different approaches.

Training and advisory services

Expert services are essential not only to oversee the creation of the control units but also for the preparation of clear and mutually acceptable terms of reference and operating frameworks. Experts delivering these services need to be fully abreast of existing successful standards practiced elsewhere, as well as of the national context and environments in which new units are to operate. The Programme theory foresees that major investments in training start only upon expert assessment that the chosen structures and operational procedures of new teams are adequate and likely to be sustainable.

Following the above procedures, and subject to satisfactory progress, individual fellowships/study tours are offered to selected personnel to learn good practice and establish contacts and mechanisms for information exchange in other more advanced countries. Those participating are expected to produce a report outlining any differences in control measures and to make recommendations for improvement in their own country. The project then considers inviting experts from the host country to share two to three days of work hand in hand at the pilot sites as a further means of strengthening mechanisms for cross border cooperation.

Frequent monitoring visits by experts to each site are planned to ensure that the training and equipment provided are being properly used and to assess whether or not profiling methods have been successful. These experts work alongside operational staffs and take over a mentoring role

to identify processes, which require improvement, and verify the existence of appropriate managerial and political commitment to sustain the operation.

Equipment and logistics support

Adequate inspection and detection equipment are insufficient to ensure successful results but they are an essential additional tool to complete profiling systems and selective inspection processes. In this regard, local CCP Coordinators, in consultation with WCO and the (J)PCU team, determine which equipment is most appropriate. The assessment includes computer and software requirements for risk management and reporting. It also examines whether there is potential connectivity to existing databases or whether a stand-alone system is required. Furthermore, the project seeks to encourage partnerships to benefit from adequate inspection facilities and to share equipment and other resources such as, inter alia, safe inspection tunnels, light and electricity sources, generators and refrigerated containers for the unloading and temporary storage of perishable goods as well as lifts and cranes to move containers.. Where available, the services of experienced cargo handlers are to be used to handle (load/unload) containers at the request of the (J)PCU team.

Partnerships and cooperation

Given the importance of all stakeholders in the sharing of information and resources, and as stated in the Programme document, synergies with the private sector should be used whenever it is possible. The (J)PCUs cannot work in isolation from the shipping lines, the companies which operate the port or use it and all the numerous stakeholders engaged in international trade at the port level. All sectors play a key role in working together towards maximising the efficiency and effectiveness of the control units while minimising disruption in legitimate trade. Therefore, live accesses to manifests as well as access to equipment and logistical resources are crucial elements to make the Programme successful. Issues of integrity, and the search for pragmatic voluntary cooperation between enforcement and trade partners are embedded in the very spirit of the Programme.

At the global level

Besides the segment level components, the Programme has a global scope as trade and transitional crime organizations develop across borders. A little centralized structure was created to ensure a minimal central project management, the overall coordination of all activities at the national levels, the use of steering mechanisms and the overall visibility of the CCP. A Senior Programme Coordinator leads the Programme in UNODC HQ and works hand in hand with a Programme Manager at WCO. They oversee the implementation of the Programme at large, and supervise a network of CCP Coordinators at Regional and National Levels. These CCP Coordinators also work closely with enforcement partners to create new tools and approaches for the collection, analysis and sharing of information on container crime.

All information generated by the (J)PCUs is gathered at local levels and shared with UNODC and WCO. The Programme foresees the use of this information to strengthen and expand existing seizure databases that are currently shared between UNODC/INCB, the WCO and ICPO-Interpol. These Coordinators also further strengthen mechanisms to collate information on container seizures made in countries where the last port of embarkation can be traced back to the participating countries. Local experts are also expected to share information on container crime with RILO as a means of developing regional cooperation and analysis.

Significant illicit drug seizures and other drug/crime interventions carried out by the (J)PCUs as well as specific examples of good practice and intra-regional cooperation are also reported annually in the WCO Customs Report and the UNODC World Drugs Report. At the pilot stage, the CCP also aimed at developing standards and good practices for port control. Throughout its life, it has to this day provided decision makers, including those in UNODC and WCO, with precious information needed to further formulate policy in support of future container control initiatives in the countries wishing to join the Programme.

(J)PCU structure in the visited segments: brief overview

Ghana

The (J)PCU became operational in 2008 and received mentoring visits in 2009 in order to sustain the momentum generated under the initial training. It is mainly funded by the United Kingdom and France. The last mentoring visit took place in 2010. The segment is monitored by UNODC Regional Office in Senegal (ROSEN). The five following agencies signed the initial MoU:

Lead: Narcotics Control Board

Partner Agencies: Customs, National Police, Bureau of National Investigation and the Ghana Ports and Harbour Authority (the Port Authority withdrew directly and is not active in the implementation nor does it participate in the (J)PCU though it cooperates and is recognised as an important information partner in the profiling work).

Senegal

The first high-level activities took place in 2006 and the Inter Agency Unit – (J)PCU - is reported to have been operational in 2007. The (J)PCU has received “Mentorship Training” in December 2007 and “General Mentorship” in August 2010. The segment is monitored by ROSEN and a Regional CCP Coordinator has recently been appointed (December 2012) - the post had been vacant for several months. The three following agencies signed the initial MoU:

Lead: Customs

Partner Agencies: Gendarmerie, National Police

Pakistan

The first CCP PCU went operational in 2009 after two years of preparatory work. The implementation in Pakistan has differed from other countries since the Port Control Units do not literally “sit in the same room” at the operational level and are therefore PCUs. . Significant increase in cooperation took place. However, mechanisms for the sharing and analysis of information and a joint approach were foreseen by the Programme’s design. They had not materialised physically in any of the dry or sea ports throughout Pakistan at the time of the current evaluation. According to some key informants and as foreseen in some documents, subsequent to 4 years of implementation and increased cooperation between the LEAs the first Joint PCU was to be established in the course 2013 in Islamabad, however, the evaluation team was unable to confirm that this had materialised. The Port of Karachi serves as regional hub and deploys its influence in the entire country and region of Central Asia. The following two agencies signed the initial MoU:

Lead: Customs

Partner Agency: Anti-Narcotics Force

Panama

The Panama segment started its activities in 2010 and now serves as a Regional Hub for the CCP in Latin America and the Caribbean. The following seven agencies signed the initial MoU:

Lead: National Customs Authority

Partner Agencies: Public Prosecutor's Office (Drug Prosecution Unit), National Police, Judicial Police, National Coastguards, National Security Council, Maritime Institution.

Evaluation Methodology

Overall purpose of the evaluation

This evaluation was commissioned in the third quarter of 2012 by the CCP Senior Programme Coordinator with the direct support of the UNODC Independent Evaluation Unit. There is no specific time frame for the Container Control Programme and like any other project in UNODC, it is subject to evaluation. Given the time at which the evaluation was undertaken, it is to be seen as a mid-term evaluation with the immediate objective of independently assessing the original design of the programme, the impact it has been producing throughout the globe and its efficiency, effectiveness, relevance and sustainability. As this report serves as a mid-term evaluation, the additional objective was to identify areas of improvement and best practices, providing UNODC and in particular, the CCP Team with clear recommendations and guidance on how to best continue its implementation and further grow.

As per UNODC practice, the evaluation was conducted under the leadership of an independent consultant, namely, Ms. Veronica Blixt, and Mr. Gaspard Ostrowski, Associate Evaluation Officer, from the Independent Evaluation Unit. The lead evaluator endorsed the Terms of Reference agreed upon by the CCP Management Team and the Independent Evaluation Unit. To ensure a participatory approach, a group of Core Learning Partners (See Annex II) was identified and was requested to provide comments on the initial Terms of Reference, the Draft and Final versions of this report.

Scope of the Evaluation

At the onset of the current evaluation, discussions took place between Senior Management of the CCP and the Independent Evaluation Unit to clearly define the scope of this evaluation and the sampling strategy to be applied. The agreement on the below explained methodology was the result of an objective, impartial, open and participatory discussion in order to obtain empirically verified evidence which would be reliable and valid.

It was jointly decided that the evaluation would focus on the period 2007 until November 2012 as a previous evaluation of the Ecuador segment of the CCP had taken place in 2007. Despite the importance and successes of this country in the Programme, it was decided to not consider it for data collection missions. It was also decided not to focus on the 2007 evaluation as the Programme had considerably expanded and evolved since 2007.

Sampling Strategy

As the Container Control Programme is a global initiative and as it deploys activities in over 12 countries, all parties agreed on a purposive sampling strategy for site selection. This sampling strategy appeared to be the most adequate technique to draw conclusions about the Container Control Programme to its best extent. This was further tailored to the overall methodology of the evaluation when identifying the key informants at UNODC Headquarters and in each country. A purposive sampling strategy also appeared as the only possible strategy given the complexity of the programme structure. At the time of the evaluation, the volume of activities considerably varied from one country of implementation of the CCP to another. In addition, the stages at which each implementing country was at was different from country to country.

In addition to this, a brief analysis, meant to establish a site sampling strategy to gather the most relevant and representative data to be analyzed in the evaluation report, was carried out. Criteria such as volume and scope of operations, such as size of the Joint Port Control Units, stage of development of the Programme (such as the number of staff trained and the results obtained), strategic importance (foreseen growth or donor attention) and feasibility of missions (financial constraints of the evaluation and security situation) were also examined to agree on the site visits.

Finally, the presence and size of UNODC office were important to consider as it had impact on the sampling for quantitative methods of data collection. In addition, quality assessment through interviews, benefited from a larger sample of selection wherever UNODC staff could be interviewed. In other words, the larger the sample the stronger the reliability and validity of the data collected from the sample. Only Ghana proved exceptional as the UNODC Office was composed of one individual. However, the Ghana segment of the CCP is run and monitored from the Regional Office in Senegal and the evaluation team used its visit to Dakar in order to assess the situation in both countries, namely Ghana and Senegal.

After the exclusion of Ecuador from the specific analysis following a 2007 evaluation exercise, and in order to ensure that Latin America was represented in the evaluation report, it was decided that a field mission would take place to Panama. Panama is a growing commercial hub in Central America and both CCP and UNODC activities have been experiencing significant growth in the region. Panama also serves as informal hub in the CCP and the CCP served as an engine to the development of UNODC Activities portfolio in Central America and the Caribbean thanks to its good results. When starting the CCP activities in Panama, UNODC did not possess an Office and one Staff Member was ensuring the implementation of the Programme. Little by little, with the help of the CCP good results, UNODC increased its team and developed further cooperation with several actors from the private sector.

In addition, it was decided to use the Annual Meeting of the CCP, which was to take place in Panama City at the onstage of this evaluation, to allow the evaluation team to interview a significant number of actors and colleagues of the CCP from Latin America and the rest of the world in one go.

It was also decided that Pakistan, subject to significant future growth and demonstrating significant success since the beginning of CCP activities in the region, was to be taken into consideration in the evaluation. Pakistan is also considered as a regional hub for the CCP as its training facilities, geographical situation and general level of acceptance of the programme are high. Several mentoring visits either taking place in Pakistan or provided by the Pakistan segment of the CCP took place over the past years. Finally, the security level in the country would allow for an easy data collection mission.

As UNODC research tends to show that Africa is a significant hub in the trafficking of illicit goods and drugs, and as the CCP is active in Africa, two additional study cases in West Africa were used. Namely, Ghana and Senegal were to be visited by the evaluation team. On the one hand, through the initial desk review and discussions, Ghana appeared to have experienced a fairly good start in implementation with a relatively low degree of turn over in staff and benefited from local support at the beginning of CCP activities. It was decided that Ghana would therefore serve as a good example for the evaluation. Senegal, on the other hand, was showing some signs of fatigue and when considering the initial project document performance indicators, i.e., seizures, let the door open to some improvement and potential lessons learnt.

Once the evaluation consultant was identified, she fully endorsed the proposed strategy, hand in hand with the Independent Evaluation Unit. The sampling strategy designed by the CCP Team and IEU proved to be representative and objective, likely leading to identification of valid and reliable findings. Following the contracting, the Lead Evaluator was invited to Vienna to meet the Independent Evaluation Unit as per usual UNODC practice. This visit aimed at explaining Evaluation Practices in UNODC, sharing guidelines and templates to be used, as well as at clarifying the expected deliverables and their quality. A Staff Member of the Independent Evaluation Unit worked on the evaluation report under the direct supervision of the Lead Evaluator. The Staff Member ensured that the evaluation team would benefit from the opportunity of undergoing several briefings by different sections and units based in Vienna, with a particular focus on the Organized Crime Branch, Implementation Support Section to which the CCP belongs. UNODC Staff Members from the Co-Financing and Partnership Section as well as Regional Sections were also included in the initial briefings. Finally, a follow-up visit to interview all CCP Members, additional UNODC colleagues as well as WCO partner managers took place following the completion of all field missions.

“Triangulation is not aimed merely at validation, but at deepening and widening one’s understanding”.⁴

Triangulation

Methodological triangulation was used to answer the set of evaluation questions present in the Terms of Reference for the evaluation. This technique aims at strengthening the evidence obtained and at ensuring that findings are reliable. A cross verification was applied through the utilization of different sources of information and through both a qualitative and quantitative lens. Documentation was provided by UNODC, WCO as well as key informants throughout the evaluation process. Press articles and additional documents were also considered by the evaluation team. A significant amount of time was dedicated to a desk review of those documents and the list of documents reviewed to produce the present evaluation report can be found under Annex IV.

The evaluation team also interviewed over 60 people and focused on verifying UNODC HQ staff inputs as opposed to colleagues in the field, mixing several levels of management. It was also applied through the interviewing of external parties such as beneficiaries and operational staff in

⁴ W. Olsen, *Triangulation in Social Research: Qualitative and Quantitative Methods Can Really Be Mixed*, Developments in Sociology, 2004, ed. M. Holborn, Ormskirk, Causeway Press

PCUs, ports and state agencies participating to the CCP or possessing relevant information to this evaluation. Semi-structured interviews encompassing a set of core questions were refined and utilized with specific target groups in order to obtain objective and reliable answers to the evaluation questions. The interview questions were developed on the basis of the evaluation questions proposed in the Terms of Reference for the evaluation, with the aim of ensuring that main areas of improvement could be identified along with the formulation of useful recommendations to be used by the CCP Team, UNODC, WCO and all beneficiaries of the Programme.

Triangulation was further applied to the typology of key informants. At Headquarters, all levels of management were interviewed. In the field, UNODC Senior and Mid-management as well as operational staff were included in the sampling. Finally, among external stakeholders, both the side of the Donors and the Beneficiaries were considered, using once again a bottom to top approach and including Staff from the JPCUs as the Programme is very operational, as well as decision makers and Senior Management wherever possible. This approach ensured a full stakeholder coverage and lead to evidence based recommendations present in the report.

II. EVALUATION FINDINGS

Design

As per UNODC definition this criteria should measure: Design of a project or programme measures the extent to which the logical framework approach was adopted, with measurable expected Performance Indicators at the country and regional levels, outcomes and outputs, performance indicators, including gender equality and human rights, targets, risks, mitigation measures and assumptions.

The CCP is a highly visible and concrete operational programme attractive to Donors and implementing countries. The pragmatic implementation rationale is a combination of countries reaching out and asking for assistance and capacity building, donor priorities/funding, and the in house UNODC knowledge on trade and trafficking routes being balanced against one another. Preconditions defined are initial high level political will, an existing national policy on narcotics substances, ratification of relevant UN Conventions, donor interest for funding and a from UNODC perspective strategic position of the port to be included. A context analysis could be said is a part of the above but the CCP has experienced poor or non-existent actual country implementations (Iran, Cap Verde) due to different reasons related to the country of implementation which potentially might have had been avoidable if the context analysis had been more thorough. The UNODC research is a part of the decision-making process on where to implement CCP. This interaction is partly done through the different reports provided but also by informal discussions and communication. This has so far been mostly a one way street where the CCP takes the research into account without initiating any UNODC research.

The programme is true to its objective and its design, assessed through desk review, interviews and direct observations as overall good, has led to results in areas related to the defined project outcomes. The CCP design provides for the creation of new tools and mechanisms for collection, sharing and analysis of information both on national, regional and international level. Among these are the WCO information exchange platform ContainerComm, the Interpol i-24/7 and overall internet access which is an important tool for information collection and sharing. The CCP has also highlighted and improved cooperation within and among primarily Law Enforcement Agencies (LEA) that are stakeholders implementing the programme. These have due to the joint implementation approach been invited to sit at the same table and attend meetings together which in many countries prior have been unheard of. The initial high level political interactions that make out the beginning of an implementation process are often lengthy since the CCP is presenting a change of mind set and new ideas that sometimes are difficult to understand. In this process the agencies to be involved are identified and brought on board. Generally it is likely to be easier for customs to understand the value and concept of the CCP than for perhaps the Police or National Security which implies that resources be spent differently depending on the degree of difficulty explaining the CCP.

The most important prerequisite for a successful implementation is good leadership.

The PCU is a new entity that requires a new joint management that is materialised in a Steering Committee which is to meet regularly and discuss strategy, operations, etc. Interviews conducted

show that the CCP at times have been seen as leaving the LEAs to their own devices when it comes to get this cooperation going after the formal agreements have been signed. If the initial high level political engagement has faded or the high level politicians leave it to the LAEs to sort out the details historical inter agency rivalry easily kicks in. Communication and cooperation suffer and the PCUs face problems in their daily work about priorities or issues related to things like who will pay for petrol to their vehicles. The continued active engagement of UNODC throughout the initiation and initial implementation phases is very important.

Initially, all LEAs were reticent to work together in all visited sites , however the CCP has successfully highlighted the benefits of cooperation and enhanced mutual work. There has been an exception of Customs and Anti Narcotics in Pakistan that today however are implementing the first joint PCU in the port of Islamabad which is evidence that communication has improved.

The CCP has a very distinct operational scope which at times would benefit from being slightly widened since operations benefit from having a structured environment that the CCP with its vast experience of the normal challenges related to implementation has knowledge in. Due to lack of understanding of and communication with the CCP, Senior and mid-level managers are not always fully coherent on the activities of the PCUs and therefore might not understand the benefits of facilitating their work or the need to engage in their activities.

CCP has been described by many interviewees as a “*the successful*” UNODC programme in terms of relevance, visibility, impact, understandable output and donor engagement

Mentoring (using someone who advises and trains) is an integrated part of the CCP. According to the original CCP Pilot Programme Document “Frequent monitoring visits by experts to each site will ensure that the training and equipment provided are being properly used and whether or not profiling methods have been successful or otherwise. They will work alongside operatives in a mentoring role to identify processes requiring improvement, and verify the existence of appropriate managerial and political commitment to sustain the operation.” This wording is potentially the explanation to why many CCP/UNODC interviewees confuse monitoring with mentoring. Normally monitoring is related to measure – the output in this context would be measureable indicators as to whether someone is in need of mentoring. Mentoring would be provided to address the specific needs. Monitoring is the important prerequisite for adequate mentoring that assist long term capacity building.

Mentoring can be performed by the recently appointed Head Trainer from CCP HQ or other external consultants i.e. ex WCO trainers. Experienced PCU members can also mentor. Mentoring activities are a part of the work of the National Coordinators who normally would have operational profiling experience and is in regular contact with the teams. In some countries there is a structured approach with mentoring visits scheduled every 6th month. The National Project Coordinators who lack operational profiling experience are, according to the ToR, to monitor the control units in close cooperation with the Programme Coordinator. The frequency and type of monitoring varies but would normally have a strong focus on results (seizures) and include visits at the PCUs. Countries lacking a formal CCP organisation will in general be monitored and mentored by the CCP HQ Head Trainer which presently already is a huge task. The future expansion will require a different structure to cope with mentoring.

Neither the interviews nor the document review have not been able to identify which specific, measureable, achievable, relevant and time phased performance indicators apart from the monitoring done by WCO on ContainerComm (and in some cases C-Hawk) are taken into account when planning and performing mentoring. The structure, rationale and outcome of the

monitoring and mentoring activities reported within the CCP could be considered an area of future improvement.

In its role as co-implementing partner WCO provides trainers to in particular the initial training. The initial (sometimes referred to as basic) training is divided into one theoretical part including e.g. conventions and theory about containers and one practical part which includes hands on activities. Often these are conducted months apart and sometimes the training and the provision of the physical prerequisites (offices, etc.) are not coinciding. This is dependent on many factors such as funding, availability of trainers and/or lack of communication or coordination. It is demoralising for a PCU if the time between training and actual operations is extended or the facilities and equipment needed are not in place.

The basic training material provided to the participants is a recently updated Handbook. It has been modified according to the input of the trainers and contains illustrative pictures. The Handbook is to be used all over the world and is therefore fittingly basic since the level of understanding and maturity in the field differs.

The relationship and communication with the implementing country vary depending on the stage in the implementation process. Initial high level discussions with Ministries of Finance and others are facilitated by the permanent missions in Vienna as well as the UNODC staff already working in the country/region. There is information exchange and discussions with other levels in LEAs signing the MoU. The CCP aims at responding flexibly to the perceived or expressed needs of the country.

Relevance

Relevance is the extent to which the objectives of a project are continuously consistent with recipients' needs, UNODC mandate and overarching strategies and policies.

The CCP enhances security in the global supply chain and is well aligned with other international security initiatives such as the WCO SAFE Framework of Standards, AEO and similar programmes. CCP promotes a uniformed approach to container profiling that contributes to the fight against international organised crime. The programme also addresses agendas at the national level of the implementing countries by the inclusion of objectives important for them such as disrupting the drug trade by targeting trafficking as well as addressing intelligence sharing mechanisms. The CCP through its' design also provides a platform for improved international and regional cooperation.

The initial desk review confirmed that the Container Control Programme is indeed complementing the overall UNODC strategy and assists the participating states in advancing towards the achievement of the global Millennium Development Goals (MDG), specifically in the area of human security by promoting international cooperation against crime, organized crime, corruption, drug trafficking and terrorism. Additionally the continued capacity building and mentoring of the Container Control Programme is assisting national ownership and promoting local development that are key themes of the MDGs. The CCP is relevant and provides solutions to the problems related to drug trafficking and international organised crime it seeks to solve. The tools the programme has produced in particular the means of communication among the PCUs and the internet access that enables and simplifies profiling, are relevant and useful.

The CCP is based on extensive interaction between UNODC, the stake holders and other actors in the international community and this creates opportunities and serves as a breeding ground for

ideas. CCP is well aligned with UNODC initiatives, strategies and policies in relevant areas. Additionally CCP has proven not only to be interested in the input of the stakeholders but also in acting on it – e.g. advanced training is tailored to recipients needs while considering the overall benefits. Initially the programme was more focused on drugs but today the focus is as it should, broader taking into account CITES, IPR, etc. This widening of scope is also beneficial from a donor perspective since it opens the eyes of other donors (private sector) that previously might not have seen the potential benefits of the programme.

Efficiency

Efficiency is a measure of how resources/inputs (funds, expertise, time, etc.) are converted into outputs (quantitative and qualitative).

A very close cooperation and communication between the existing UNODC formal in-house Funding and Donor processes and the CCP create synergy effects and optimization. It is based on informal and frequent communication about plans and meetings planned that enable both parts to creatively approach the funding process exploiting the possibilities available. This approach has proven highly successful and could form the basis for a Best Practice that should be benchmarked within the organisation.

The initial (basic) training is a good example of how input has been converted to output. The time, resources and expert trainers allocated have resulted in Port Control Units (PCU) that understand container profiling and are able to convert theoretical knowledge into practice. Many operational PCU members testify about the CCP opening their eyes to the world and seeing the bigger picture, which are important aspects of capacity of container profiling and fighting international crime. One measureable outcome of this would be the interaction between the PCUs (emails, etc.) and their use of the intelligence sharing tool ContainerComm.

Resources have been allocated to the project outcome private sector cooperation resulting in awareness meetings and similar activities. Latin America is a good example of how this cooperation has resulted in a MoU, training and even new donor funding. The valuable experiences of the UNODC regional office should be benchmarked.

Technical equipment varying from laptops to screw drivers has been made available to the PCUs. This basic equipment has been put to good use and in some cases has even worn out due to the diligent operational work. Procurement of equipment not perfectly suited to the rough environment in a seaport or the lack of technical maturity in the PCUs create problems. Many PCUs have been provided with more advanced technology such as the Hazmat, a machine (using infra-red spectrometry) that identifies solid and liquid chemicals that could be used as precursors. The Hazmat is introduced after or in conjunction with the advanced training on the machine and the topic of precursors. The HazMats are by some perceived as being a complicated piece of equipment and it is not used on a daily or weekly basis which could be the reason to why it is at times not located in the very operational environment or that its' dysfunctionality has not been addressed. Equipment should be easy to operate and simple reporting/monitoring schemes provided and enforced for follow up.

Partnerships and cooperation

Partnerships and cooperation is a measure of the level of UNODC cooperation with partners and implementing.

The starting point where UNODC, a country and the presumptive donors are on the same page is a precondition for any implementation. The CCP is actively marketed and reaches out in different contexts and fora to create interest and understanding of its operations. The UNODC/WCO have through coordination been able to use the WCO Enforcement Committee Meetings to present case stories creating good will, promoting container profiling best practice and attracting attention.

The CCP has successfully attracted and involved other actors and NGOs in training which by all parties has been seen as a win-win situation.

Donors work together and with the CCP to accomplish their goals that could be related to a crime fighting strategy or security programme in a specific country or part of the world or a regional agenda. Donors receive reports according to their reporting structure and the CCP also uses informal ways to keep them updated particularly on the operational outcome seizure. The level, frequency and kind of communication are highly dependent on personal relations not on a formalised structure. Close communication is recognised as paving the way for further funding.

WCO as the co-implementing partner provides trainers. Since training and mentoring are core activities in the CCP this at times have caused challenges since the WCO is dependent on the cooperation and willingness of its member states to provide trainers. The future envisioned expansion of the CCP will require increased and a continued very close cooperation between UNODC and WCO. WCO also facilitates study visits and training exchanges that are a part of the implementation. In many cases the exchange and cooperation between the participants from the implementing country and the host administration continue after the visit or training which should be regarded as a very positive side effect. The WCO ContainerComm information exchange tool which is available to all customs administrations in the world, facilitate this continued interaction.

A Steering Committee is to be established; a formalised interaction and communication forum where the LEAs are to address strategy, cooperation and challenge that will arise when the PCUs are to become functioning and later fully operational. The CCP interaction with the Steering Committee is perceived as limited. Senior and mid-level managers are informed but since they are not to become operational they are not in the focus of the CCP. The PCUs are the main focus once the preconditions for the implementation have been met. The communication between the CCP and the PCUs is actively encouraged. The informal reporting and communication which presently also forms a part of the monitoring is done directly by interaction with the CCP HQ in Vienna and is a very good way of creating a shared vision. This will be impossible in a future expansion scheme and alternative structured scalable methods need to be phased in.

The relationship between the regional UNODC office and the CCP varies slightly depending on the local set up. The CCP is a successful UNODC programme managing its own local or regional operations that does in most cases not actively seek interaction with other programmes present in the country. The CCP is used by the local UNODC offices as a marketing tool that “breaks down walls” and its practical value appreciated. It could additionally be used for the introduction of

other programmes and incentives in the law enforcement area such as those addressing regional public prosecutor cooperation or air cargo controls.

The Annual meetings organised by WCO are a good way of further enhancing the cooperation and communication between the PCUs. The interaction reconfirms the CCP objectives and is very appreciated by the participants. The forum has had a focus on success stories (seizures) and could also be tool for information and Best Practices exchange when challenges are concerned. Regional meetings with a more focused regional agenda are likely to be the way forward considering the future expansion.

Effectiveness

Effectiveness is the extent to which a project or programme achieves its objectives and outcomes.

The training curriculum or topics to be covered are set by CCP but the content is not fully designed and provided by the CCP. Some parts of the training have been developed by WCO/CCP and material is given to the trainers which they are able to use unless they prefer their own material. Material developed and used by the individual trainers is not routinely made available to other trainers. The trainers are not asked to submit their material for it to be reviewed, shared or duplicated prior to the training,. The material developed by a contracted trainer belongs to the individual trainer not to the CCP. There is no common platform or structured interaction where material or experiences are shared for trainers to benefit from. The ambition is to avoid sending previously in CCP context not experienced trainers on their own but this happens as recently when two Finnish trainers performed training in Azerbaijan. Training would benefit from a standard “Evaluation Form” for training activities that participants fill out and then submit to the CCP to assist a structured follow up. The present work done in order to “Accredit Trainers” is a good step in the right direction that addresses some of the challenges. A structured uniform approach on training that provides a common language among the teams will facilitate interaction and reporting and also increase the sense of community and identity that are beneficial for communication. Basic training is an important ingredient of the CCP and it is due to the staff turnover important to regard it as something that will have to be constantly reiterated. It is important to be in control of the training and the very content of the training for the CCP to ensure quality and consistent performance.

Advanced training is provided in different areas such as Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) or counterfeit. It is triggered by a combination of prerequisites. Funding must be available, the maturity of the PCUs, the expressed wants and assessed needs of the PCUs, trainers availability, donors’ requirements and suggestions, NGOs or private sector suggestions are some factors that are taken into account by the CCP. A pragmatic approach is applied and advanced training is performed according to assessment of all these factors. At some times the relationship between advanced training and the outcome “seizure” is discernible as when the Panama PCU received training in flora and fauna and then made a seizure of fossilised wood. In other cases the relationship is less obvious. Interviewees have said there is a connection but have had difficulties in defining it particularly if moving away from the outcome “seizure”.

Security in the supply chain of containerised goods in the countries of implementation has been improved by the CCP. In many countries there was no profiling or understanding of the importance of profiling when the programme arrived. The CCP has further advanced the security related know how by providing advanced training in seals, rip off and other important aspects. The results are very good – in some countries there were no seizures reported on IPR or

precursors in containers at a port prior to implementation and in others the amount of drugs seized have increased after the initial implementation. Elsewhere the CCP has brought awareness and also seizures related to endangered species, flora and fauna, cultural artefacts and waste. Activities in these areas have in many places been low or even non-existent. This implies that results to some extent can be said to have been inevitable.

In some ports the initial large seizures by some LEAs are not reiterated which is a challenge to the result oriented PCUs and the CCP. Among issues identified in this evaluation that can affect effective operational work and the measureable indicator “seizure” negatively is the lack of continued national high level commitment; inter agency rivalry, a dysfunctional steering committee, senior and midlevel lack of understanding, and poor management at operational level. Other aspects that potentially influence the outcome “seizure” could be further explored by a formalised approach which could include CCP generated research on the topic, and use of house UNODC research capabilities.

Many Customs Agencies routinely claim to have good cooperation with the private sector since the private sector for obvious reasons related to business and trade, is in recurring contact with them. The clearance and release of goods are not necessarily tasks that will develop mutual trust and understanding but quite the opposite depending on cultural context and corruption. Other LEAs involved generally speaking have little interaction with the private sector. Particularly in the early stages of CCP implementation there are awareness meetings held with private sector actors involved in port operations and international trade. In some regions this interaction is actively continued regularly throughout the continued operation of the PCU which is a very good approach that fosters long time relations and interaction with primarily the Ports and those involved in shipping but also with importers and exporters.

This makes it apparent to the private sector how important the CCP is considered to be by the UNODC and the implementing LEAs which simplifies interaction and affect private sector priorities in a positive way. Few MoUs have been written that formally address this cooperation. The PCUs are in constant contact and cooperation with the private sector since their information is crucial and are the first to suffer if information is withheld or shipping lines are reluctant to cooperate. The PCUs have an important role in creating mutual trust and understanding which is a task they take seriously. The importance of solving private sector communication or other issues related to and important for daily operations cannot be over emphasized. Presently most of the operational private sector issues are solved on a personal basis and relies on the personal relations between the PCUs and/or the local UNODC/CCP (regional coordinator) and the private sector.

Some of the tools provided by CCP are related to communication such as the ContainerComm and Internet enabling emails. Then WCO ContainerComm platform enables exchange of standardised messages between all customs administrations over the world and since the PCUs include customs they are also connected. It is monitored by the WCO and the 42 PCUs produce on average between 1000 and 1500 messages per year.

The creation of regional hubs effectively promotes collaboration in a regional context and they are particularly useful when there are little or few language barriers and a natural common cultural coherency. The envisioned future expansion of the CCP is dependent on functional regional hubs since it is unrealistic to assume that the CCP organisation of today that manages 14 countries will be able to manage 75 without a review and change of its management and reporting structure. Regional hubs able to step in and take responsibility for structured training, monitoring

and mentoring in close cooperation with the national representatives who bring the input from the work with the local PCUs are going to be increasingly important.

In Latin America a MoU with The Business Alliance for Secure Commerce (BASC) has been signed under 2010 and has introduced private sector funding. CCP in this part of the world has achieved a greater level of formalised cooperation with the private sector which would be explained by the level of maturity reached following a successful implementation initiated and lead by a dedicated and committed lead agency with vested interested in the growth and success of the programme which has created attention from the media and private sector. The local CCP had the resources to bring this formal agreement about.

Each Annual Report states that project activities have been carried out in order to facilitate the legitimate trade through cooperation and information exchange between law enforcement agencies and the private sector. Depending on year the Annual Report mentions measureable indicators in the shape of meetings taking place in some parts of the world. The interviews show that there are other informal or not formally reported interactions between the CCP and the private sector which is good. The interaction with private sector is a defined project outcome crucial for creating trust and understanding of the PCU work. If the shipping lines and others involved in the supply chain do not cooperate by giving timely access to information such as manifests or depending on the PCU preferences, providing them in an electronic format it will affect the quality of the profiling. The work plan of the latest Project Revision encompasses three awareness meetings with the business community to be held across the CCP during 2011 – 2014.

Impact

Impact is the positive and negative, primary and secondary long-term economic, environmental, social change produced or likely to be produced by a project, directly or indirectly, intended or unintended, after the project was implemented.
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All over the world the Customs and others such as Counter Drugs or Police, involved in the fight against transnational border crossing crime, show minimal cooperation. This was also the case in the countries of CPP implementation. Prior to the CCP there was no interaction between the different LEAs today making up the PCUs and this is potentially the most dramatic change the CCP has brought. The UNODC has through CCP been able to make a difference in promoting inter agency communication and cooperation. Additionally the CCP has promoted intra agency cooperation since the potential shortcomings of this and challenges with chain of command, hierarchy, obligations and responsibilities have been identified during particularly the initial operational PCU phase. The training activities have brought together operational staff from different LEAs and even different regions which further advance information sharing. The trainers provided by the WCO have brought their international knowledge, background and network and have helped open up the world.

CCP is a tool that most agencies can understand the benefit of and subsequently can agree to talk about. LEAs are similar to super tankers – there are no rapid course changes but things take time and the presence of a neutral body UNODC in the wheelhouse have an impact.

An important primary impact is knowledge building. When CCP is implemented the PCUs see themselves as a part of a global PCU team in a greater context. When the PCUs are joint PCUs as in sitting together and working together under the same roof they also see themselves as a group – not as Customs officers or Police Officers. Communication and interaction is improved, which is

very obvious at the operational level. Information flows are to a high degree dependent on informal and personal contacts which are a particular challenge in an environment with a large staff turnover.

The CCP affects not only the container profiling but also brings to light other aspects of crime fighting such as controlled deliveries and the importance of not making “dry seizures” or seizures that are not accompanied by a good forensic approach leading to more convictions than of those directly related to the trafficking. This comes further down the line when a country and its PCUs are functioning well and the steering committee is active and facilitates operations which make the PCUs able to discuss operations rather than poor internet connections or lack of computers. This impact can be cemented and further exploited by continued closer cooperation between CCP and other programmes in the areas.

Direct observations and interviews conducted on site in different ports and with different stakeholders showed that the impact on trade is positive since the CCP facilitate trade and coordinate controls that before might have been incoherent (different agencies doing inspections at different times) and plentiful due to lack of structured risk analysis. Additionally the communication with the private sector has improved since the PCUs need information for their work.

Since the CCP uses profiling, a country which applied a 100 per cent inspection rate will have fewer controls as a result of implementation of the CCP. This is also beneficial for the environment since it brings less handling of containers - taking them out of the flow of goods for inspection and then bringing them back.

Sustainability

Sustainability is concerned with measuring whether the benefits of a project or programme are likely to continue after its termination.

CCP is based on capacity building resulting in concrete understandable outputs, the emphasis is on training not technical equipment, monitoring and mentoring are parts of the implementation, it creates a platform for interagency communication, and it provides reason for inter and intra agency communication. .

The outcomes of successful implementation are highly desirable to the countries as are the re-occurring training, monitoring and mentoring provided. The monitoring is intended to provide information about needs which then the mentoring and training can address. This is a cycle or a process that today is to a large extent handled by CCP. There are initiatives where the implementing country and its nationals are taking a greater part in training, monitoring, and mentoring. The recent WCO initiative on accreditation of trainers is likely to increase the pool of trainers available and some of them are as time goes by going to be nationals of the implementing countries, which will improve local sustainability. CCP needs to further share best practice in this important field and assist in providing a structure with defined procedures in the areas of monitoring, assessing the needs and mentoring that the implementing countries will be able to adopt for ensured regional and national sustainability.

Depending on maturity of implementation and in which esteem the CCP is held in countries exist that without further assistance from the CCP would be able to sustain container profiling and controls and international information exchange in the very same spirit if not to the same extent. This is particularly true of countries having a strong resourceful lead agency that provides access to ContainerComm and sees the advantages of the programme for the agency. The participation of other agencies might grow over time depending on the level of cooperation and communication. but the profiling principles have arrived to stay since they are advantageous to any administration applying them. Having said this it is important to recognise that LEAs in many implementing countries apply staff turnover policies that are detrimental to capacity building and sustainability.

Today there are challenges with the sustainability due to lack of resources and funding from the implementing LEAs. Often the initial technology and tools (whether internet access, laptops, screw drivers or motor bikes) are provided by the CCP using donor funding. When these run out, need repair or updates there is often little interest or action from the concerned LEAs. Implementing countries and their LEAs, even those that have been in the programme from the early days, expect the continued financial support and provision of technology from CCP/UNODC.

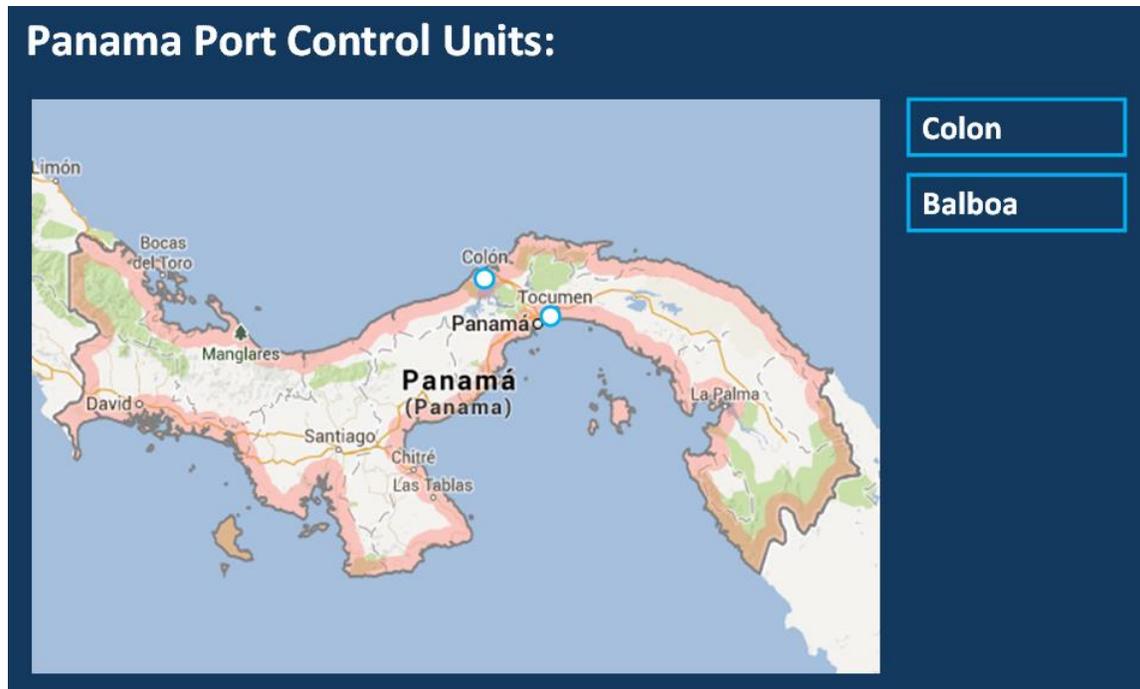
LEAs with vested interest in a successful implementation recognise the importance of a functioning local CCP management structure. They understand that if the steering committee fails to meet, resolve issues and formulate strategies befitting the local context it will be detrimental for operations and future sustainability. Sustainability can be achieved when stakeholders have a common understanding of the objectives, have a clear communal apprehension of the processes involved to achieve them and consider them a priority.

CCP has brought fundamental change to the way work is done – by introducing the concept of communication and cooperation over internal and external borders, and hands on operational profiling. Those involved in operations as well as local UNODC/CCP see the continued mentoring as very important for sustainability and continued development since they realise the world of crime is not static and UNODC is in a very good position to provide information and knowledge on this. This implies that mentoring and knowledge building for the foreseeable future will require CCP resources. As an interesting afterthought those interviewed that have a long CCP experience say that initially they expected to achieve sustainability much faster.

Country specific analysis

Panama

The following map shows the CCP JPCUs in sea ports in Colon and Balboa (blue).



In the context of the Global Container Control Programme, Panama proves to be a good example of high-level political commitment; a strong and engaged Lead Agency cooperating with the other involved agencies and a hands-on CCP/UNODC organisational context. The utilization of the Panama Segment as a Regional Hub is on its way. It is perceived as being such a hub by both UNODC staff in Panama and elsewhere in the region, as well as by the PCUs of the Latin/Central America continent. This has had a positive impact on the capacity building of the PCUs and has improved the organisation of their work. This positive impact is valid for both the public sector (the various agencies working within the PCUs) and private sector.

The above-mentioned creation of the regional hub and the Panama Canal expansion will have an impact that needs to be addressed in a structured way. Many interviewees consider Panama being well on its way to sustainability and they consider CCP training and mentoring activities as the prerequisites. This implies that for a foreseeable future the active input of the CCP organisation is going to be required particularly in assisting Panama to grow into its role as a regional hub.

One area of attention could be developing a potentially flexible checklist based on Best Practice and experience for a facilitated operational CCP roll out and implementation in other countries. The ROPAN benefits from the CCP good reputation and is therefore able to further enhance the cooperation and create synergy between CCP and other incentives in the region. CCP in this region has also achieved some progress as far as high-level private sector cooperation is

concerned, in particular with awareness raising and direct cooperation between shipping lines and the PCU, which should be benchmarked in other parts of the world.

The local team of the CCP is strong and comparatively large which are also important success factors since UNODC carries weight in discussions both with private and public sector actors. Issues, which often create challenges on a higher-level elsewhere in the CCP at the global scale, are resolved more easily and faster when UNODC is seen as an active neutral facilitator. This is beneficial for the outcome of the CCP at large. The above-mentioned elements are clear signs of progress in the field of maritime security and fight against organised crime.

Most of the communication and cooperation required for problem solving and interaction with different stakeholders is to date informal and ad hoc, and strongly dependent on personal relations rather than formalised plans or structures. This could be considered an area for improvement since capacity building is simplified with transparent and simple structures, agreements and/or instructions on functional Best Practice. Presently the PCUs are not given access to all information regarding for instance transshipment and export, which indicates that there is room for continued improvement on private sector communication and cooperation.

The interviews show that high and operational levels in the different LEAs and private sector stakeholders are coherent on what the CCP is doing and the importance of it. Mid-level management would benefit from continued attention and communication in order to proactively foresee and handle challenges that could have a negative impact on operational PCU work. CCP implementation will require mid-level change of priorities which considering the human reluctance to change might not occur unless they are aware and have the knowledge and desire to do so. The interviewees say that Panama is self-sustainable.

The PCU have no formalised operating procedures that clearly provide guidance on daily operations, private sector interaction, maintenance and upkeep of equipment but work according to an informal approach where they have considered back-up scenarios if, among other recurring situations, the staff who has access to the Port System should be missing. In Panama, the physical inspection of the containers is not done by the PCU team since the authorized entity is not represented in the PCU itself, but rather, closely cooperates with it. Therefore, the relevance of Advanced Training and some its content could be revisited.

Personal security was a concern for the PCU being very aware of the Narcos' power and influence in the port. Several interviewees suggested moving the PCU out of the port though they also said this would potentially bring other challenges regarding communication and interaction with the port actors. The CCP is a threat to Organised Crime and a successful PCU attracting media attention is likely to be perceived as the operational and easily accessible target. This is a challenge for the future of the programme in South and Latin America as well as in other parts of the world that the CCP need to address. CCP should advocate for the development of national strategies to ensure the security of operational staff of PCU. This would then be included on the agenda of the implementing LEAs. This issue should be discussed at a strategic level, i.e., by the Steering Committee. An immediate, viable solution is to move the PCU out of the port and make sure they are provided with relevant material support such as mobile phones, Internet connection and proper vehicles to be reachable and to reach the port quickly. Additionally, visits to the port need to be scheduled to continuously develop, maintain and nurture good communication with other actors (port security, private sector, etc.).

Ghana

The following map shows the CCP JPCU in the sea port in Tema (blue).



In Ghana, the CCP brings positive outcomes primarily in the shape of seizures and intelligence to all agencies represented as well as to the overall community and its objectives are by all interviewees considered very relevant. The interviews show that a major impediment preventing successful operational outcome is the Steering Committee's lack of engagement and the fact that it does not meet. The Steering Committee ceased to operate early in the CCP implementation and this has proven detrimental for the Programme.

Continued high-level commitment is a prerequisite for success and high level need to show true and active commitment in order to create awareness and give the CCP priority. The Steering Committee needs to discuss strategy, private sector, change management, operational challenges and resolve operational problems brought to their attention. More frequent or regularly scheduled meetings with a pre set agenda, and a result-based structure would facilitate communication and enhance cooperation. Presently there are no such discussions. The lower levels – operational staff - have lost faith in the Steering Committee and its' ability to resolve issues needing attention.

This sometimes falsely leads the Steering Committee to believe that its meetings may be of little relevance and use since there are no issues brought to their attention anymore. Such a vicious circle could be prevented by a clear set of goals and tasks cut in Terms of References for the Steering Committee to operate properly and efficiently. The office culture in the LEAs is hierarchical and a low level or operational officer is not likely to be able to raise issues at a level of command required for change. In this cultural context the CCP needs to be actively mentored on a higher institutional level for capacity building and future sustainability. The present situation where the Tema PCU lacks basic equipment required such as a sufficient number of computers for daily operational work is detrimental for motivation as well as output but is not likely going to

be resolved until high and mid level of the LEA's agree, communicate and prioritise the CCP by setting up a functioning Steering Committee.

JPCU staff in Ghana has made efforts regarding the Steering Committee. As the Ghana segment of the CCP is implemented with the support of and monitored by ROSEN, some of the issues related to the Steering Committee ought to be addressed by ROSEN directly. To be more effective, and taking in the cultural context of Law Enforcement Agencies' traditional hierarchical environment it should be recognised that the incentive has to come from a higher, more adequate level of Staff. More precisely, in this LEA context, it is crucial to understand and recognise the importance of having operational experience for credibility. Therefore, the Staff responsible to assist the Ghana segment in ROSEN should possess strong law enforcement expertise.

The CCP could have significant additional impact if MoUs were fully enforced. To this effect, one major area of improvement remains a clear set of guidance coming from the CCP Best Practices across the globe. The local staff and therefore the overall programme outcomes would benefit from a formalization of the implementation and a clear structure for the practical aspects of the cooperation with all actors.

Some members of the Tema Port JPCU have travelled to Benin and Togo to deliver training through the CCP. The EU project SEACOP has provided synergy effects with the CCP since some of the staff are engaged in both initiatives and can benefit from information and equipment provided. The operational work of the PCU is a reflection of the high level attitude. The PCU operational challenges (staff turnover, lack of technical equipment, internet access, pay, etc.) cannot be resolved until high and midlevel agree, communicate and clearly indicate the importance of the CCP and the PCU by allocating resources, giving priority, structure and clear guidance on strategy.

Private Sector cooperation in the shape of meetings and structured interaction is an area of improvement that could be addressed using benchmarking (i.e. Panama) when the primary concern regarding CCP operability is resolved.

Regarding personal security there have been instances where the PCU members have felt concern. The security and lay out of the inspection area in the port is not optimal allowing visual access which is a potential dilemma in several CCP countries. Ghana is therefore no exception to this. Criminals that are engaged in the activities to which the CCP is a threat are more likely to target the PCU than UNODC staff. The more successful the PCU is perceived as being the more likely they will attract this negative attention which is a challenge that the CCP will need to consider in a structured and scalable way of addressing for the future. As already stated earlier, UNODC should further advocate for the development of national strategies to ensure the security of operational staff of PCU.

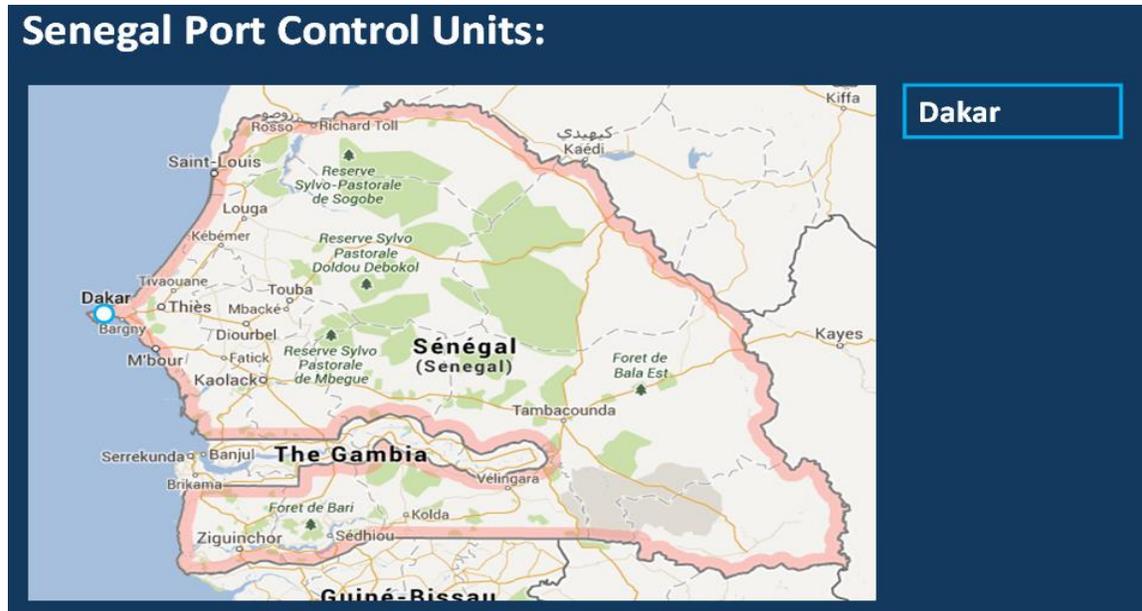
Finally, the lack of financial means, in particular, to support the daily operations through the provision of sufficient material, namely, computers with sustainable internet provision, appear as striking in Ghana. The lack of SOPs is partially responsible for this shortcoming as no Agency is designated with specific materials to be responsible for, and if such a designation exists, no ownership results from the initial signature of the inter agency MoUs.

Finally, monitoring should be done by a UNODC CCP staff member in Accra as the distant monitoring from ROSEN seems to bring no effective results. Indeed, distant monitoring by a non

LEA member in Dakar, although the valuable work carried out by ROSEN, is not sufficient to gather mid and high level management and to unite around the foreseen Steering Committee. A full dedicated position would facilitate the higher level meetings, help ensuring ownership and serve as an intermediate interlocutor in case of misunderstandings or decline in commitment.

Senegal

The following map shows the CCP JPCU in Senegal sea port in Dakar (blue).



The work in Senegal is perceived as innovative through the uniting of usually separately operating actors and signing a MoU. CCP objectives are considered very relevant by all interviewees. The impact could be stronger in the future if ways to ensure the proper and full implementation of the MoU were defined strictly and if the different LEAs could benefit from robust guidance on how to formalise and structure the practical aspects of their cooperation. The french expression *bébé malformé*⁵ was used referring to the CCP in the local cultural context and further acknowledging the useful birth of the CCP but expressing the perceived lack of guidance and active participation from the UNODC at the initial stage of and throughout the implementation.

The interviews show that a major impediment preventing successful operational work is the Steering Committee's lack of engagement and strategy.

This important feedback implies that capacity building remains an area of improvement. In particular regarding training and awareness raising at other levels of involvement and power than initially intended. Indeed, high level commitment is one of the prerequisites for success and in order to set an example high level need to “walk the walk” not only “talk the talk”. From commitment to action there are gaps due to lack of basic knowledge and understanding on Inter

⁵ *Bébé malformé* in French means ill-shapen baby, referring to the original structure of the Programme, deemed as not sufficiently elaborated and thought through for the Senegalese context and realities.

Agency cooperation methods and approach and there is no simple path Improved and continued commitment should be sought by UNODC from all actors and the Steering Committee should be used as a precious tool to this effect, identifying these gaps at different levels and addressing the corresponding actors to seek change and engagement, and when required even political buy-in. Capacity building on how to best structure high and midlevel Inter Agency Cooperation based on CCP Best Practice, adapted to the local business culture, could also be considered to further increase impact at all levels.

More frequent and better-structured meetings, as opposed to the current, sporadically scheduled and poorly attended meetings (low level of participation and/or low ranking of those who participate) will definitely facilitate communication and promote cooperation. Rather than being a forum in which problems are simply listed, Steering Committees need to discuss strategies, private sector cooperation, and change management, operations. In addition, they should aim at bringing constructive, solution oriented directions to clear operational problems brought to their attention on a frequent basis.

The operational work of the PCU can be seen as a reflection of the attitude of some actors at the higher level of the implementing State or its' agencies. Problems of motivation on operational level cannot be resolved until high and midlevel agree, communicate and clearly indicate the importance of the CCP and the PCU by setting priorities. Presently, the lead agency in Senegal, Customs, are doing what they always have done, only using their knowledge on container profiling additionally, as their main focus remains import (no controls on export and little on transshipment) and revenue enhancement. This is a bone of contention among some participants since they would like to see a greater focus on areas, which do not necessarily generate revenue, but are relevant to the CCP Overall Objectives.

In order to oust the issues which prevent the daily operational work (resources, pay checks, priorities, staff turnover, inter alia), and therefore, to tend to sustainability, the CCP needs to address and actively assist resolving the high and midlevel challenges.

The newly appointed National Project Coordinator/Country Coordinator should carefully assess all aspects of the current situation in the country- and provide a thorough analysis to the CCP Team at Headquarters, in order for UNODC to develop a clear, mid-term strategy. Indeed, the country would benefit from a concrete action plan, with precise benchmarks to be met by all counterparts including UNODC, bound to a limit in time. If following the direct help of UNODC these benchmarks are not met, the CCP Global Coordinator should envisage the freezing of UNODC activities in the country until high level commitment has been re-established and indicators of success met.

Pakistan

The following map shows the CCP PCUs in Pakistan see ports of Karachi and Port Qasim (blue) dry ports of Sust, Torkham, Islamabad, Sambrial, Lahore, Faisalabad and Multan (red), and the future dry port of Chaman foreseen to be established in the course of 2013 (yellow).



The work in Pakistan has resulted in tangible results and also in new mechanisms for information sharing particularly at a national level in an environment where the LEAs had no interaction prior to the implementation of the CCP. Cooperation and understanding of each others' missions and activities have drastically improved. Presently, there are PCUs in seven dry ports and two seaports. The first Joint PCU, in Islamabad dry port, was foreseen to become operational in the course of 2013 and could be attributed to the continued CCP capacity building in the particular area of inter-agency cooperation.

UNODC's research estimates 150 tonnes of opiates entering Pakistan annually. For the annual production of Afghan heroin an estimated 1.1 to 1.3 million litres of acetic anhydride is required and Pakistan is likely to be a major transit point for illicit precursors entering Afghanistan. These figures indicate the importance for incentives such as the CCP. They also show the potential for continued improvement regarding activities for capacity building. An area of improvement in this context could be linking the UNODC research more closely to CCP activities such as seizures or the lack of them and the actual local impact of the programme.

Activities have been organized in cooperation with other UNODC-led initiatives promoting regional cooperation. There are synergy effects with other UNODC initiatives such as the Paris Pact and the Triangular Initiative, deepening relations between governments in South and Central Asia that have proven beneficial particularly from a Donors' point of view as well as from the marketing point of view of COPAK. Inter-Agency Cooperation and communication between LEAs are in most parts of the world difficult particularly in regions where customs is regarded as a civil authority and other agencies have a military or national security legacy.

The CCP implementation in Pakistan has been facilitated by high level commitment of both participating agencies, which have created a sound operational basis and advocated for the importance of the programme. The lead agency has seen the CCP as an opportunity for capacity building and for providing Customs with expertise and skills, which can actively be shared in regional capacity building. The Customs have provided training facilities and resources for Inter-

Agency and regional training. The ANF despite their non-direct involvement in the training delivery, fully supports training.

High-level political support exists. Senior and mid-level management would benefit from a greater awareness of the CCP and of their own role as facilitators or “complicators”. Improving their understanding of the CCP and the PCU work could be a future area of improvement since their support will improve output and could potentially help addressing some of the issues related to staff turnover.

National ownership and endorsement are strong and two PCU members from Customs are active in training. Additionally, one UNODC consultant focuses on regular mentoring visits (called mentorship training) to the PCUs. The cooperation aspects of the CCP, sustainability and future joint PCU activities would benefit from the ANF being even more closely engaged and that more national/local mentors in both agencies are trained and allowed to stay on in their PCU profiling roles and gain experience. This would be particularly valuable considering the potential role of Pakistan as a full-fledged future regional hub for the CCP.

Staff turnover is a challenge since it will require continued capacity building assisting the LEAs in training, structured knowledge management and mentoring for the foreseeable future. The more PCUs become operational the bigger the challenge since the capacity building and mentoring will require additional resources. In order to be able to support the LEAs to reach the point of self-sustainability it is recommended to develop a road map together with the LEAs where roles, mandates, and responsibilities are defined together with realistic expectations, milestones and action plans required to achieve the objective(s). UNODC has an important role to play as a neutral counterpart facilitating inter-agency cooperation and building capacity for self-sustainability. Additionally UNODC has unique access to the collected experience of CCP Best Practices and good ideas implemented in different parts of the world that could flexibly be used.

The operational work of the Customs PCU was initially facilitated by the rapid creation of a Standard Operating Procedure regulating the inter-agency roles within Customs. This SOP came about when the roles of the different Collectors and their importance for being able to perform physical inspections became obvious and is a good example of how standard operating procedures facilitate operations. A structure for the CCP implementation in the different ports/dry ports of Pakistan should be developed. This would streamline national operations, promote Pakistan’s role as a Regional Hub since identified national Best Practices could be implemented in the region and provide concrete capacity building in areas know to have previously created challenges.

Operating procedures addressing basic preconditions as well as defining roles, missions and tasks that are to be performed in a PCU enhance quality by streamlining operations and facilitate knowledge transfer. They would be a precious tool to minimize the negative impact of a high staff turnover, which is endemic in many law enforcement agencies and to which UNODC has little to say. This is particularly important in an environment of rapid expansion.

Private sector cooperation is a potential area of improvement since there are few activities reported in this field. The evaluation team recorded no mention of the Private Sector nor of any activities related to private sector cooperation. The visit to the port company in Karachi was not representative of any broader information activities and can therefore not be used to illustrate a positive or a negative example of the work achieved with the private sector.

Finally, the present evaluation shows that Pakistan could be assimilated to a micro cosmos of the CCP. Since the first PCU became operational seemingly the focus has been on expansion to new places rather than ensuring that the already existing PCUs are performing optimally. Therefore,

the above analysis should be carefully considered and the issues it identified addressed prior to the planned CCP expansion of activities in the region.

III. CONCLUSIONS

The Global Container Control Programme (CCP) is a highly relevant, result-oriented UNODC and WCO initiative based on a sensible approach for future sustainability. All stakeholders consulted in the context of this evaluation have confirmed this. Additionally everyone in the CCP whether at HQ, locally or in the (J)PCUs is passionate about their task and understands the importance of their work.

The CCP is currently active in 12 countries, and the strategic vision includes 75 countries. The rapid projected expansion of the Programme is going to pose a significant challenge. Growth is good and for it to be successful a structured environment should be provided as well as a different set of tools than those used at initial implementation. The knowledge and expertise on the structure and tools (SOPs, etc.) that are required for a successful growth already exists in CCP and the implementing countries and should be further capitalised on.

The importance of flexible implementation adapted to cultural differences is well considered in the design of the CCP. The programme would however benefit from further consideration and analysis of the common issues, challenges and shortcomings of all its implementing member countries. Some general things unite; the majority of the implementing agencies will be LEAs, which have a strong a hierarchic structure.. The CCP countries being no exception. LEAs have a tradition of non-cooperation and inter agency rivalry, and in order to have credibility with LEAs operational law enforcement operational experience is very important. Hierarchy can be an efficient barrier to inter-agency as well as intra-agency communication and cooperation since the rank or position of the messenger can at times be more important than the content of the message.

Inter-agency rivalry hampers cooperation and many LEAs resist initiatives that would facilitate communication as they traditionally do not appreciate the idea of exchanging information since secrets and classified information are inherent in inherent in their business culture. Many LEAs are among the oldest agencies in a country and foster appreciation for those having gained knowledge on the operational aspects of their mission by “getting their hands dirty”. The CCP has successfully brought inter-agency and intra-agency cooperation and communication to the table of the implementing countries. The CCP has an extensive knowledge of the similarities. The experience on what works and what hurdles can be anticipated and other tools important for addressing these could be made even more useful if it was structured in a blue print or road map for implementing countries. Such a blue print could be said already exists when it comes to the initial phases of the implementation – that will result in for example MoUs and LoAs.

CCP has a focus on capacity building at an operational level. It provides training and mentoring not primarily technical equipment. The implementing LEAs think it works well without extensive assistance from the local UNODC organisation – except for the training and mentoring.

Training is the prerequisite for a functional PCU team member. As the report shows regular staff turnover is often the norm in LEAs. From a capacity building perspective this implies reiterated basic and advanced training for the foreseeable future. If the implementing country does not address the turnover there will be little chance of building national training capacity since potential trainers will not be able to build their own experience and expertise over time. In some

countries with regional hub aspirations some LEAs are striving to solve this which is commendable and should be further encouraged by the CCP. In this regard, adequate key performance indicators are a prerequisite to measure the success of such a training component and the expected results, as per the initial project design and logical framework.

Training provides a common understanding of the project objective and outcomes as well as of the UNODC's role. Additionally it makes participants understand the WCO's role and importance in the programme and in cross border trade. Training also provides a common vocabulary and language that further promote the "we" of the PCUs facilitating communication and understanding. Training needs to be streamlined, the vocabulary and methods used consistent and the trainers monitored for quality assurance. The control of the content of in particular the initial training should be in the hands of the CCP.

The recently launched "Accredited Trainer" initiative is a step in the right direction that will promote many of these aspects. A growing pool of monitored and regularly evaluated skilled trainers is one of the keys of success in such a programme as the CCP. Training is a part of the CCP that always to different degrees will have to be present in an implementing country and today there are challenges particularly when it comes to meeting the need for trainers. CCP trainers, to ensure harmony of provided information and therefore, success in implementation of the CCP, have to be trained and prepared to be able to flexibly depending on the context apply the same standardized material provided by the CCP for consistency. To meet UNODC mandates, the training has to reflect the on-going UNODC research and in house UNODC/WCO knowledge on emerging trends and MOs which is another aspect of its continued importance.

Continued mentoring is by representatives from the participants is regarded as the most important ingredient for lasting successful operation. Mentoring should in general be given when monitoring shows there is a reason for it. In a perfect world the mentoring would be given by experienced national or regional operational PCU members. Presently the mentoring visits are combined monitoring/mentoring where the mentor observes/monitor what is happening and mentors the PCU in real life at the time. This is particularly true regarding the scheduled mentorship visits (e.g. every 6 month). Some monitoring is also made by the WCO on the log in and use of the ContainerComm on an ad hoc basis.

The seizures made by the operational PCUs are very concrete impact indicators. They are an example of measureable results that are achieved as a result of LEA officials trained by the WCO trainers working in the PCUs. WCO is additionally bringing in credibility from a customs point of view and a vast operational network.

The CCP reporting is focussed on seizures, which is a measureable result related to one of the three outcomes. Other qualitative and quantitative indicators related to all project outcomes are an area of improvement that would strengthen overall programme structure and follow up.

The work done in Latin America on private sector cooperation resulting in a MoU is important and has resulted in concrete funding. The knowledge and experienced gained is valuable for countries that have reached a similar level of maturity and could start initiating the same process in their own country or region.

The CCP has fully understood and made use of the UNODC in-house mechanisms for an optimised funding approach. The fund raising performed by the CCP has ensured its' continued

operation and future expansion and this in times of cuts in different areas of Donor activities. The flexible funding approach applied by CCP and excellent marketing should be benchmarked. The CCP applies UNODC research in strategic decisions. The UNODC (local/HQ) benefit from a high degree of close cooperation with the CCP since the project is highly visible and can be used as a door opener. A close cooperation with other initiatives in the related field will have a greater impact on the security of the international containerised supply chain.

IV. RECOMMENDATIONS

Implementation Framework

The CCP has developed rapidly and the initial informal approach would benefit from a more structured environment. The implementation approach is focused on the operational aspects. Experiences and input from operational countries, local CCP and UNODC offices could be used creating a detailed but still flexible road map for the post MoU implementation phases. Implementation would benefit from a broader scope which would facilitate operations for the PCUs. Implementing countries have met challenges that could be addressed by clearer input and capacity building from the CCP in the areas of how to structure inter agency cooperation, steering committee meetings and formulate standard operating procedures ranging from intra agency issues to operational PCU work. Time would be gained and frustration lost if the CCP could provide a blue print on the basics of implementation and additionally promote the enforcement of it by using its credibility as an arbiter and promoter of best practice not only in container profiling..

It would be beneficial to consider adopting a project management approach to each new CCP country implementation. The introduction of milestones and deliverables as well as tollgate reviews that would help determine whether all the defined goals within each stage have been achieved successfully and whether the project (here: implementation) can or should progress to the next stage, is a concrete way of establishing formalised procedures. It could also provide the transparent rationale for pulling out when a country fails to meet its agreed objectives. Such a project approach should be made very simple (a Gantt chart, list of expected deliverables and defined roles will go a long way) and concrete. A project management approach could also include “life after CCP” by including a time plan and a road map for sustainability within X or Y years. This would provide transparency and would assist countries as well as donors in seeing what needs to be done by whom and when. The process of institutionalising knowledge and experience (from CCP and the countries of implementation) would additionally enhance formal knowledge management within the CCP.

Today, change management is recognised as an important ingredient in successful project management. Change will not come unless individuals change. By providing capacity building in this area focused on the people side of change CCP would be likely to get the PCUs not just off the ground faster but keeping them in the air with less mentoring. Capacity building would further promote awareness at different levels of the implementing organisation. More individuals would be able to understand the “what is relevant and important in it at my level/for me/my department/ my organisation” which would benefit intra-agency cooperation and the overall CCP implementation.

Key Performance Indicators and Reporting

To further enhance the future reporting and ease of identification as to whether the CCP is reaching its objectives and outcomes the introduction of suitable key performance indicators applying SMART (Specific, Measureable, Achievable, Relevant, Time phased) criteria would be

appropriate. For example could indicators related to private sector cooperation assist an implementing country/local CCP organisation to recognise the importance of it as a defined project outcome, and potentially better prioritise activities related to it. The use of relevant key performance indicators combined with a scheduled reporting structure would facilitate overview and monitoring, enhance transparency and strengthen the sense of group identity – since every country would be telling the same story at the same time. The differences between monitoring and mentoring need to be highlighted within the CCP. The relationship between the two would be made clear by the introduction of monitoring key performance indicators. Performance indicators would clearly show what kind of mentoring is required and the expected measurable outcome.

Standard Operating Procedures

In order to repeat success one has to know which steps that were taken to get there. The introduction of standard operating procedures would benefit operations and also facilitate monitoring. By looking at the smallest common denominators on for instance how operation and inspections best are structured and performed, how the use of technical equipment should be recorded for easiest follow up, how successful intra/interagency cooperation is organised and what is required to get good private sector communication among the participating countries it would be possible to formulate simple Standard Operating Procedures. Operating procedures based on best practice that can be moulded and flexibly used would facilitate the implementation by providing hands on capacity building that promote sustainability. Additionally the training could be built around their content to even better streamline information and a common understanding.

Training

The introduction of performance indicators related to different aspects of training would facilitate future evaluation and follow up of both basic and advanced training. This would assist in getting a clearer understanding of the relationship between performed training and project KPIs. Successful further expansion is highly dependent on training and having trainers available. The CCP would benefit from addressing the prerequisites for reiterated high quality consistent training by considering further advancing the work already done in this field. CCP training should provide a common language that further promotes the “we” of the PCUs by facilitating communication and understanding. The training needs to be structured, streamlined, the vocabulary and methods used consistent and the trainers monitored for quality assurance. The control of the content of in particular the initial training should be in the hands of the CCP that consequently need to claim full ownership of the material. The trainers need to be provided with the possibility to regularly interact with each other and the CCP to achieve a common understanding of the objectives and expected outcome. Trainers are budding mentors and this should be further encouraged.

UNODC and CCP

The cooperation and communication between CCP and the existing UNODC formal in house funding and donor organisation has optimised the possibilities available. This successful approach should be benchmarked within the organisation. The CCP could enhance its cooperation and use of the research by initiating research of its own that could provide information that potentially can improve operations. CCP needs to actively further its cooperation with the rest of the UNODC.

Private Sector Cooperation

Formalised private sector cooperation resulting in a MoU, training and funding has been achieved in Latin America. Since private sector cooperation is an area of improvement the experiences of the regional office and the LEAs should be structured and available as best practice.

A simple project with an important co-implementing partner WCO

Less is more and CCP benefits from this. CCP has a simple focused objective that is easily understandable and it should consider resisting the temptation to diversify until it has improved its structure, reporting and performance indicators and formalised its vast experience into a framework of best practices that could be implemented for similar activities in other flows of goods. CCP benefits from the cooperation with WCO that brings not only trainers but additional credibility. The cooperation shows UNODC “walks the walk” by not only promoting inter agency cooperation but also being actively engaged in it. It is important that the UNODC allocate time and resources for the even closer cooperation and continued mutual engagement required for the envisioned expansion..

V. LESSONS LEARNED

It is important to provide a structure for implementation that clearly spell out what is expected, by whom and when that is followed up and evaluated. Structure could be provided in the shape of frameworks, blue prints or SOPs. The great flexibility provided today and the lack of hands on guidance post the initial high level agreements have been signed leave the implementing agencies to work out their own ways and procedures. In many cases they simply lack the knowledge on how to best organise themselves and their operations and are due to lack of experience not able to foresee the challenges that should be addressed before they arise which leads to time loss, problems and frustration that could have been avoided. Structures also facilitate scalability.

The need for proactive, concrete and persistent support for getting a functioning Steering Committee that actively supports operations, formulate strategies, solve challenges to daily work related to resources, etc. is paramount particularly since the working methods introduced are based on totally radical concepts of intra/inter agency and private sector cooperation. The present focus on operational staff does not contribute to capacity building on other organisational levels important for successful implementation. There is a poor ROI on the efforts and resources spent on operational level when these cannot fully be exploited due to lack of coordination and communication on a higher level which is also detrimental to motivation.

Resources and structures for reiterated training and mentoring must be provided for the foreseeable future. The staff turnover policies of the implementing agencies are detrimental for the kind of knowledge building required for a profiler who needs to be able to hone his/her skills by staying on and getting experience and the initial CCP agreements where a two year posting normally would be required are generally not honoured by the implementing agencies.

The good cooperation and information exchange with the in house UNODC funding organisation should continue since it is important and provide a flexible multi-pronged approach. Many NGOs compete for funding in a world of donor cut backs and success in this area is crucial for obvious reasons. Increased knowledge on different aspects regarding how funding can be obtained will lead to optimisation and close cooperation and synchronised efforts will improve funding.

UNODC should create easily understandable project objectives with concrete outcomes for non UNODC counterparts. The objective is extremely relevant and easy to embrace for donors and implementing countries as well as for those countries that are to contribute with trainers. This results in countries willing to implement, donors interested in funding and countries ready to allocate trainers and training facilities factors contributing to the concrete outcomes increased cooperation, measureable results and new mechanisms for information sharing that improve the security in the containerised supply chain.

Creation of regional hubs is a good strategic capacity building. The future inclusion of more countries will require a different structure than today and hubs or centres of excellence located in strategic parts of the world must be geared up and provided with tool ins for them to play an increasingly larger role in monitoring, training, mentoring, reporting and follow up.

It is important to recruit staff with operational law enforcement experience and give them adequate rank. Acknowledging the fact that implementing agencies are hierarchic and generally have a tradition of holding operational experience in high esteem is important and shows an understanding of correct business culture. This gives credibility, shows respect and facilitates interaction and discussions since the implementing agencies can accept UNODC input without questioning the rank and background of the messenger.

From a positive point of view the staff rotation contributes to in house understanding and knowledge of the profiling which is good. In countries where there is no transfer between operational and manager level the benefit for the management level is little. The drawbacks of not being able to build on experience and able to grow in house trainers and mentors are obvious. In some countries staff returns after a different posting but this is not always possible and even so the posting might not have contributed to their profiling skills.

ANNEX I. TERMS OF REFERENCE OF THE EVALUATION



Evaluation of the UNODC-WCO Global Container Control Programme (CCP)

Terms of Reference

1. BACKGROUND AND CONTEXT

This sections includes:

- (a) The below tables which provide an overview of the project and its evaluation.

Project number:	GLOG80
Project title:	UNODC-WCO Container Control Programme
Duration:	August 2004 – June 2013
Location:	Global
Linkages to Country Programme	Country Programme Iran; Afghanistan; Pakistan
Linkages to Regional Programme	Regional Programme for Afghanistan and Neighbouring Countries; for Central America; for East Asia and Pacific; for South Eastern Europe; East Africa; West Africa; Arab States
Linkages to Thematic Programme	Rule of law Action Against Transnational Organized Crime and Illicit Trafficking, including Drug Trafficking
Executing Agency:	UNODC
Partner Organizations:	WCO
Total Approved Budget:	35,173,633
Donors:	EC, Canada, Germany, France, United States, United Kingdom, Norway, Spain, Italy In-kind: Belgium, Canada, Ecuador (trainers for Panama training workshops), France, Ghana (national official released for training), Norway, Netherlands, Pakistan (releasing two nationals for international meetings/training workshops), Portugal, Spain, United Kingdom, USA
Project Manager/Coordinator:	Ketil Ottersen

Type of evaluation (mid-term or final):	Mid term evaluation
Time period covered by the evaluation:	2007- 2012

Geographical coverage of the evaluation:	Ghana, Senegal, Pakistan, Panama
Core Learning Partners ⁶ (entities)	UNODC Managers, Member States, Beneficiaries, Project field staff (current and previous), Partner Organizations and donors

(b) Project overview and historical context in which the project is implemented;

Regional traffickers and organized crime groups exploit weak, ineffective and inconsistent port controls throughout the region with sea freight containers being particularly vulnerable. The experience to date in other countries where the UNODC-WCO Container Control Programme has been up and running has been encouraging and demonstrates the need for the establishment of joint port control units in the selected seaports.

The UNODC-WCO Container Control Programme aims to assist Governments to establish effective container controls that will serve not only to prevent drug trafficking and other illicit container crime, but also to facilitate legitimate trade and raise state revenues. Establishment of dedicated inter-agency container profiling units comprising customs and other relevant law enforcement officers in close cooperation with the national authorities is the main element of the programme. The activities include training of the officials in the established units in the detection, identification and inspection of high risk containers, based upon risk analysis and other modern profiling techniques. Additionally, the units are equipped with technical equipment to identify and inspect high-risk freight containers with minimum disruption to legitimate trade and business.

CCP focus on a series of capacity building measures including the creation of Joint Port Control Units (JPCUs) staffed and equipped to undertake the systematic profiling and inspection of high risk containers with minimum disruption to legitimate trade. The package of measures includes:

- Technical needs assessment missions (based on ISO Standards for security in the trade supply chain) by technical experts to assess the nature and quality of existing container controls and to design a package of assistance tailored to meet the specific needs of each port;
- Guidance and assistance in the adoption of formal inter-agency cooperation agreements and well defined working arrangements;
- Procurement of essential computer and communications equipment and basic inspection tools;
- Classroom and practical training delivered by a team of international experts covering a wide range of drug and crime related topics and skills including: Good governance, integrity and teamwork; intelligence, information exchange, risk analysis and targeting; maritime and port security; trade facilitation; search and inspection techniques; detection and response to illicit trafficking of nuclear/radioactive material; chemical and precursor controls; detection

⁶ The **Core Learning Partnership (CLP)** encourages a participatory evaluation approach by allowing its members to participate in and provide feedback on key steps of the evaluation process. CLP members are the key stakeholders of the subject evaluated (project, programme, policy etc.) who have an interest in the evaluation. The CLP works closely with the Evaluation Manager to guide the evaluation process. The list of CLP members is to be found in Annex.

and identification of protected/endangered species and IPR articles (counterfeit goods); Fellowship/Work study visits to a benchmarking port with proven experience of best practices in the field of container controls; continual oversight and guidance by an international expert and periodical mentor training.

The inter-agency JPCUs will also be equipped to exchange information with counterparts in other countries using a secure communication application through ContainerComm, developed by WCO.

(c) Justification of the project and main experiences / challenges during implementation, if any;

With international maritime cargo movements at an estimated 500 million each year and up to 90% of world cargo movement occurring in shipping containers, the size and complexity of this core factor is staggering. Of this trade no more than 2% of these containers are physically checked after arrival at a destination to verify the contents. The sheer volume of shipping container traffic, along with sophisticated and often ingenious concealment methods and diverse routings adopted by illicit drug traffickers and other smugglers, makes successful interdiction difficult. Furthermore, Customs and other control agencies must be mindful of trade facilitation measures and the economic losses that might result from unnecessary delay and/or damage to cargo as a result of inspection.

All current participating states have ratified the UN Convention against the Illicit Traffic in Narcotic Drugs and Psychotropic Substances (1988); the UN Convention against Transnational Organized Crime (2000) and its three protocols; and the UN Convention against Corruption (2005). These Conventions and subsequent Declarations and Resolutions, as well as a wide range of other international instruments to which the respective countries are parties, all contain measures to promote cross border cooperation, better information exchange, and increased collaboration between trade and enforcement sectors. In addition, the participating countries are members of the World Customs Organization (WCO) and the International Criminal Police Organization (ICPO Interpol).

(d) Project documents and revisions of the original project document;

During the project duration, there have been a total of ten project revisions. These revisions have been predominately administrative in nature made to include more project staff, additional country segments and to increase the budget, as well as extension of the project duration. None of the revisions altered the original aims of the project in any substantive way.

Date of project revision	Reason
15/10/2012	Extension of duration; increase in budget; new staff members; new countries
24/02/2012	Increase in budget; new staff members; new countries
04/07/2011	Increase in budget; new staff members; new countries
22/09/2010	Increase in budget; new countries
19/04/2010	Increase in budget; new countries
01/07/2009	Increase in budget; new countries
11/03/2009	Increase in budget; new countries, new staff members

11/07/2008	Increase in budget; new countries
19/09/2007	Extension of duration; increase in budget
11/05/2006	Extension of duration; increase in budget

(e) UNODC strategy context, including project's main objectives and outcomes and project's contribution to UNODC country, regional or thematic programme;

The project complements the overall UNODC Strategy. In particular, the CCP contains measures for:

- Enhanced capacity for international cooperation against crime, organized crime, corruption, drug trafficking and terrorism.
- Enhanced capacity for law enforcement cooperation against crime, organized crime, corruption, drug trafficking, diversion of precursors and terrorism.
- Enhanced capacity to respond effectively using special investigative techniques in the detection, investigation and prosecution of crime, organized crime, corruption and drug trafficking.

In the wider strategic context the CCP will also assist in advancing the respective states towards the achievement of the global Millennium Development Goals (MDGs), specifically in area of human security. The project will additionally seek to utilise other key themes embodied in the MDGs including building national ownership and promoting local development.

Project Outcomes

The original Project Document contains initially 4 immediate objectives, which in the course of revision of the logical framework have been changed to one overall objective and three main outcomes (first specified in the project revision 11/07/2008).

Project objective:

To improve the security in the international containerised supply chain by effectively countering the use of containers for the transport of illicit goods, including narcotics.

Outcome 1: Measurable results are achieved as a result of law enforcement officials working in the newly created inter-agency JPCUs consistently applying the acquired technical skills in the targeting, selection and inspection of high risk shipping containers.

Outcome 2: In the selected sea ports, the inter-agency JPCUs and the private sector cooperate to greater effect and develop the mutual trust and understanding necessary to strengthen and protect the containerized trade supply chain.

Outcome 3: New tools and mechanisms for the collection, sharing and analysis of information about container crime, in particular CEN/ContainerComm and ICPO-Interpol I-24/7, are used regularly and effectively at the national, regional and/or international level, as appropriate

By achieving these outcomes, the project will contribute to the promotion of sub-regional, regional and interregional collaboration and dialogue as well as the implementation of national and regional strategies in the field of counter-narcotics and organized crime.

Project Outputs

Related to Outcome 1:

Output 1.1.: Inter-agency Joint Port Control Units established and operational in selected dry and seaports of the participating countries.

Output 1.2.: Training programme prepared by WCO and approved by Project Steering Committee, i.e. UNODC and targeted law enforcement agencies.

Output 1.3.: Selected officials from national law enforcement agencies will be trained in risk analysis and other modern proactive targeting and interdiction techniques.

Related to Outcome 2:

Output 2.1.: Awareness raising campaign on container security issues and the need for public-private partnerships conducted among companies operating in the respective ports.

Output 2.2.: Formulation and establishment of the cooperation framework/ MoU on pre-arrival clearance mechanisms and information sharing between the inter-agency JPCUs and companies operating in the respective sea ports.

Related to Outcome 3:

Output 3.1.: Customs Enforcement Network (CEN) ContainerComm introduced and operating in the inter-agency JPCUs.

Outcome Indicators

Relating to Outcome 1:

Number of container controls conducted by law enforcement agencies increased, resulting in detection of illicit goods

- Volume of contraband seized increased

Relating to Outcome 2:

Cooperation framework between law enforcement agencies and the private sector in the targeted ports implemented

Requests from law enforcement agencies for pre-arrival information answered timely and satisfactorily by private sector increased

Relating to Outcome 3:

Number of detections originating from alert messages shared via Customs Enforcement Network (CEN) ContainerComm

Regular briefings on issues pertinent to container security and/or other information circulars issued and shared between port control units

Output Indicators

Relating to Output 1:

Port Control Units established in the selected sea- and dry -ports

Formal approval of training programme by UNODC and agencies involved

Two training workshops including officials from targeted law enforcement agencies conducted

Relating to Output 2:

Two awareness meetings involving the private sector conducted

Attendance and composition of meeting / workshops

Number of private companies that have signed a cooperation framework

Relating to Output 3:

WCO CEN/ContainerComm introduced and operating in the inter-agency Joint Port Control Units

- (f) **Reference should be made to the background information list (Annex 1), which encompasses materials to be used by the evaluator for the desk review.**

Please limit the text of this section to no more than 3 pages.

2. DISBURSEMENT HISTORY

This section includes the following table:

Overall Budget (time period)	Total Approved Budget (time period)	Expenditure (time period)	Expenditure in % (time period)
\$35,173,632	\$18,873,167	\$16,349,323	

3. PURPOSE OF THE EVALUATION

This section identifies the purpose of the evaluation by answering the below questions.

- (a) **Who commissioned the evaluation?**

The evaluation has been initiated by the project coordinator and is guided by UNODC Independent Evaluation Unit in regards to quality assurance in situ and from headquarters through the provision of guidelines, formats, assistance, advice and clearance on key deliverables during the evaluation process. IEU further ensures that the evaluation conforms with the United Nations Evaluation Group (UNEG) Norms and Standards.

Key stakeholders of the project – called “Core Learning Partners” - will participate in the evaluation process during key stages. The Core Learning Partners (CLP) will comprise, partner agencies, including WCO, GIZ, UNODC field offices; beneficiaries, including various law enforcement agencies, donors, including Canada, US, Germany and France and others to be determined, as outlined in Annex 2. These will provide information and assistance to the evaluation team. They will also comment on key steps and key documents of the evaluation such as the TOR, draft findings and the draft evaluation report. The respective evaluation process is determined and led by the Independent Evaluation Unit.

- (b) **Why is the evaluation being undertaken at this point?**

The last evaluation has taken place in 2007 in Ecuador. Since then the programme expanded significantly therefore it was considered the right time to undertake another evaluation. An evaluation is being undertaken at this stage in the project to allow full consideration of its overall effectiveness and efficiency, to enable informed decisions to be taken regarding its future strategic direction and extension of the project and to learn lessons that might be of interest both to donors, member states and to programme managers.

- (c) **What does the evaluation seek to accomplish?**

As foreseen in the project document (GLOG80) as well as per the rules of the UNODC Independent Evaluation Unit (IEU), an independent evaluation of the UNODC-WCO Container Control Programme needs to be conducted in order to (1) provide information on the short term impact/contribution of UNODC activities to better decision-making by UNODC management (best practices and lessons learned), (2) assess the results of the project

and demonstrate to what extent it has achieved its objectives and has been relevant, efficient, cost effective and sustainable, (3) serve as a means to empower project stakeholders, target groups, and other beneficiaries but also to offer, if necessary a strategic repositioning of the Programme.

The purpose of the independent evaluation is to derive recommendations and lessons learned from measuring the achievements, outcomes and impact produced by the project. The recommendations of the evaluation will aim at enabling CCP to improve its core initiatives and structure. Since the UNODC-WCO Container Control Programme has been implemented up to date in 16 countries, the evaluation seeks to compare the experiences in the different countries and draw conclusions on factors explaining results in different project locations.

In addition, it aims to provide accountability to the donors by determining whether project objectives were met (effectiveness) and resources were wisely utilized (efficiency) and to attract further resources towards the extension of the project.

(d) What decisions may the evaluation guide you to?

To come up with new and improved priorities, goals and management mechanisms; to suggest new strategic directions; to decide whether to extend the duration of a project; to decide whether the project feeds into a regional programme.

(e) Who are the main evaluation users and how will they be involved?

The main evaluation users will be the beneficiary law enforcement agencies and Governments, Programme Managers and regional coordinators, as well as donors.

4. SCOPE OF THE EVALUATION

(a) The unit of analysis to be covered by the evaluation

Although the desk review encompassed documents on the entire global programme since 2003, this evaluation will focus on the following countries: **Senegal, Ghana, Karachi, and Panama**. The selected countries present a good global coverage of the Programme. Ecuador has already been evaluated in 2007 and is therefore excluded. The choice for the above presented countries can be explained by the fact that these are countries, which have been operational for the longest time and have been undergone various training stages. The countries are also on different levels of progress and success, therefore allowing for a better comparison of achievements and conclusions for lessons learnt and improvements. In addition, these countries can be considered as a representative sampling for each continent where activities are being implemented and therefore allowing the evaluation to draw conclusions how effectively the Programme works in different national settings.

(b) The time period to be covered by the evaluation

The time period to be covered by the evaluation will be 2007 – 2012. As the last evaluation took place in 2007, this has been determined as the starting date.

5. EVALUATION CRITERIA AND KEY EVALUATION QUESTIONS

Relevance

1. How relevant is the CCP in the containerized trade supply chain, and in particular to law enforcement agencies working in a port.
2. Are the objectives of the CCP relevant for Member States in view of the current international interest on drug trafficking and transnational organized crime?
4. To what extent does CCP align with and support the mandates of UNODC, and strategies of UNODC, including the “Thematic Programme on Organized Crime and Illicit Trafficking” and regional programmes?
5. Does the CCP provide appropriate solutions to the problems it seeks to address? Are the originally proposed project outcomes / outputs still relevant to the overall and immediate objectives of the CCP?
6. How relevant and useful are the tools that the programme has produced? What more in the way of tools and products could be done in the future?

7. TRAINING

Efficiency

1. Were the resources and inputs, including technical equipment (C-Hawk, ContainerComm, HazMat, etc.) used appropriately and efficiently and converted to outputs in a timely and cost-effective manner?

Partnerships and cooperation

1. To what extent was the joint implementation of the project between UNODC and WCO efficient?
2. To what extent have partnerships among the relevant agencies, as well as the private sector (e.g. shipping lines, freight forwarders etc.) been sought and established and synergies been created in the delivery of assistance?
3. Have partnerships and synergies with other relevant international organizations been established and in what manifestations?

Effectiveness

1. Is the CCP achieving its objectives, as per the project document? If not, has some progress been made towards the achievement of results or have other results, which are not explicit in the project document, been achieved?
2. Are law enforcement officials working in the newly created inter-agency JPCUs consistently applying the acquired technical skills in the targeting, selection and inspection of high risk shipping containers?
3. How effective does the law enforcement work in the ports, in particular with regard to risk management of containers and what could it do differently to expand/obtain funding for this work?

4. How effectively are tools and mechanisms for the collection, sharing and analysis of information about container crime, used at the national, regional and/or international level?
6. How effective has the project been in coordinating with and providing support (ideas, expertise, backstopping, funding, and staff) to support the field offices/regional programmes? What benefits have there been to the field offices from the CCP programme.
7. To what extent is the progress or lack thereof made so far the result of external factors rather than of CCP's activities? How did external factors impact on the effectiveness of CCP's activities?
8. In general, what can be done to make the CCP more effective?
9. Why is the CCP more effective in some countries than in others? What can be learned from this?

Impact

1. Has the project contributed or is likely to contribute to the development of a structured and sustainable capacity to prevent freight containers being used for illicit trafficking and transnational organized crime
2. To which extent has the issue of security been included in the design of the Programme and how does it affect its implementation?

Sustainability

1. To what extent are the project results (impact if any, and outcomes) likely to continue after the project?
2. To which extent have the provided trainings contributed to developing sustainable know-how in the PCUs?

6. EVALUATION METHODOLOGY

The Evaluation Team will perform a desk review of existing documentation (see Preliminary List of Documents to be consulted - Annex II); information stemming from secondary sources will be cross-checked and triangulated through data retrieved from primary research methods.

Primary sources of data include, among others: Qualitative methods: Structured and semi-structured interviews with key stakeholders, key representatives of different interested entities (face-to-face, by telephone or by webcam).

Quantitative methods: The use of survey questionnaires

Secondary sources for the desk review will include, among others:

- The project document and revisions
- Monitoring data
- Baselines (where these exist) e.g. seizures, inspection of containers, not meeting good practices.
- Annual and progress reports
- Tools developed under the project and other supplementary documents
- Official communications with Member States and key stakeholders
- Thematic and Regional Programmes

The credibility and analysis of data are key to the evaluation. Rival theories and competing explanations must be tested once plausible patterns emerge from triangulating data stemming from primary and secondary research.

A representative sample of those countries where activities under the programme have been carried out (Annex V) will be selected by the evaluator.

The evaluation will include field missions to all selected countries, as well as to the Annual CCP meeting, which will take place in November 2012 in Panama to discuss with all participating units.

The lead evaluator will present a summarized methodology (evaluation matrix) in an inception report which will specify 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.

7. TIMEFRAME AND DELIVERABLES

The lead evaluator will have the overall responsibility for the quality and timely submission of all deliverables, as specified below:

- Inception Report, containing a refined work plan, methodology and evaluation tools.
- Draft Evaluation Report in line with UNODC evaluation policy and guidelines.
- Final Evaluation Report, including annex with management response
- Presentation of evaluation findings and recommendations to CLP and other key stakeholders

8. EVALUATION TEAM COMPOSITION

The evaluation will be composed of one Lead Evaluator and one member of the Independent Evaluation Unit. As per Annex I, the Lead Evaluator will have extensive expertise in both evaluation and the subject matter (strong experience and knowledge in the area of customs and container control).

The lead evaluator will supervise and coordinate the drafting of the evaluation report, following the respective TOR and norms and standards of UNEG, as well as the guidelines set by IEU. The IEU Staff Member will co-write the report and provide quality assurance and will remain independent (as per UNODC Organigram) throughout the entire evaluation process. Based on the findings of the final evaluation report, UNODC Management will develop a follow-up plan in order to implement the recommendations.

8.1 Roles and Responsibilities of the Evaluator

- carry out the desk review;
- develop the evaluation methodology in consultation with the CCP evaluator;
- draft the inception report and finalize evaluation methodology incorporating relevant comments;
- lead and coordinate the evaluation process;
- implement quantitative tools and analyse data;

- ensure that all aspects of the terms of reference are fulfilled;
 - draft an evaluation report in line with UNODC evaluation policy;
 - finalize the evaluation report on the basis of comments received;
 - include a management response in the final report;
 - present the findings and recommendations of the evaluation.
-
- carry out a desk review of documentation focused on work done in the area of containerized trade supply chain
 - assist the lead evaluator in the evaluation process as related to container control, as per the respective ToR;
 - draft interview protocol(s);
 - participate in a mission to the selected evaluation countries in order to interview government officials, donors and other stakeholders;
 - draft an evaluation related to witness protection in line with the evaluation methodology;
 - support the lead evaluator in the drafting of the final report;
 - Support the lead evaluator in presenting the findings and recommendations of the evaluation.

8.3 The role of IEU

A staff member will be part of the evaluation team to ensure quality control and s/he will accompany the team during field visits, jointly carry out interviews and participate to the draft of the final evaluation report.

9. MANAGEMENT OF EVALUATION PROCESS

9.1 Management Arrangements

The independent evaluation will be carried out following UNODC's evaluation policy and UNEG Norms and Standards. The evaluation team will work closely with UNODC's Independent Evaluation Unit.

9.2 The Independent Evaluation Unit

The Independent Evaluation Unit (IEU) guides the process of this evaluation, endorses the TOR, jointly participates to the the selection of the proposed evaluation team and liaises closely with evaluators throughout the entire evaluation process. IEU comments on and approves the evaluation methodology and provides methodological support throughout the evaluation; IEU will comment on the draft report, endorse the quality of the final report, supports the process of issuing a management response, if needed, and participates in disseminating the final report to stakeholders within and outside of UNODC.

9.3 Project Manager

The CCP coordinator is responsible for the provision of desk review materials to the evaluation team, commenting on the evaluation methodology, liaising with the core learning partners, as well as commenting on the draft report and developing an implementation plan for the evaluation recommendations.

CCP staff will be in charge of providing logistical support to the evaluation team including arrangements for field missions.

9.4 Core Learning Partners

Members of the Core Learning Partnership (CLP) will be selected by the project managers in consultation with IEU. Members of the CLP will be selected from the key stakeholder groups including UNODC management, beneficiaries, partner organizations and donor Member States. The CLP will be asked to comment on key steps of the evaluation and act as facilitators with respect to the dissemination and application of the results and other follow-up action as per IEU Roles and Responsibilities Table (See annex)

10. PAYMENT MODALITIES

CCP will arrange for and bear the costs of the consultant's travel for related field missions, issuing a travel authorization. 75 percent of the daily subsistence allowance and terminals will be paid in advance, before travelling. The balance will be paid after the travel has taken place, upon presentation of boarding passes and the completed travel claim forms.

The consultant will be paid in accordance with United Nations rules and procedures. Payment will correlate to deliverables – three instalments are foreseen (30% for the inception report, 30% for the draft and 25% for the final report) of total fees).

- The first payment (30% of the consultancy fee) will be made upon receipt of the Inception Report;
- The second payment (40 per cent of the consultancy fee) will be made upon receipt of the Draft Evaluation Report;
- The third and final payment (30 percent of the consultancy fee, i.e. the remainder of the fee) will be made only after completion of the respective tasks and receipt of the final report and its clearance by UNODC.

11. ANNEXES

Annex 1. Job descriptions of evaluator

Independent Project Evaluation of the UNODC project:

Job description for the International Evaluation Consultant

Post title	International Evaluation Consultant and Team Leader
Estimated duration	60 working days over a period of 3 months
Starting date required	November 2012
Duty station	Home base; missions to Panama, Ghana, Senegal, Pakistan and any other mission as per evaluation requirements

Duties of the International Evaluation Consultant:

The External Evaluation Consultant will collaborate with the UNODC Evaluation official on the Independent Project Evaluation of the UNODC project GLOG80 Global Container Control Programme. On the basis of the Terms of Reference s/he will carry out the following duties:

Duties	Duration (working days)	Location	Results
Desk study	5 days	Home base	List of evaluation questions Evaluation tools Draft inception report
Interviews with staff at UNODC HQ	2 days	UNODC HQ	Inception report
Evaluation mission: briefing, interviews and presentation of preliminary findings to the Field Office and to Major CLPs in the country	7 days	Countries/Cities	Notes
Presentation of preliminary findings at UNODC HQ	2 days	UNODC HQ	Notes
Drafting of the evaluation report; submission to stakeholders for comments; and finalization of report	14 days	Home base	Draft report Final Report
Total	30 days		

Required qualifications:

The consultant should demonstrate:

- Relevant University degree (Master or similar)
- Extensive knowledge of, and experience in applying, qualitative and quantitative evaluation methods;
- A strong record in designing and leading evaluations;
- technical competence in the area under evaluation (advanced university degree or practical experience);
- excellent communication and drafting skills;

Languages:

The consultant must have excellent English writing skills. Knowledge of another language relevant to the evaluation might be an advantage.

Absence of Conflict of Interest:

According to UNODC rules, the consultant 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.

Ethics

The evaluators shall respect the UNEG Ethical Guidelines.

ANNEX II: LIST OF CORE LEARNING PARTNERS

UNODC Management

Dagmar Thomas, Senior Inter-Regional Advisor, Vienna
Alexandre Schmid, Chief, Regional Section for West & Central Asia, Vienna
Pierre Lapaque, Regional Representative, Regional Office for West and Central Africa, Senegal
Jeremy Douglas, Representative, Country Office, Pakistan
Amado de Andres, Representative, Regional Office for Central America and the Caribbean, Panama
Flemming Quist, Senior Law Enforcement Advise, Regional Office for West and Central Africa, Senegal
Danillo Rizzi, Officer in Charge, Regional Section for South Asia, East Asia & the Pacific, Vienna
Tulio Santini, Chief, Regional Section for Europe & Latin America and the Caribbean, Vienna
Tofik Murshudlu, Chief, Implementation Support Section, Vienna

External

WCO

Ulrich Meiser,

GIZ

Carolin Moje

DONORS

Private Sector

BASC

ADDIDAS

Lindsay Gillespy, Trainer

Senior Management level in respective law enforcement agencies

ANNEX III. DESK REVIEW LIST

- United Nations Convention Against Illicit Drug Trafficking (1998)
- United Nations Convention Against Trans-National Organized Crime (2000)
- EU Action Plan on Drugs 2000-2004
- EU Action Plan on Drugs 2005-2008
- EU Action Plan on Drugs 2009-2012
- United Nations Convention against Corruption (2003)
- Container Security Initiative in summary (2011)
- SIPRI: Maritime transport and destabilizing commodity flows (2012)
- WCO's 2011-2012 Annual Report
- Thematic Programme on Action Against Transnational Organized Crime 2011-2013 (UNODC)
- National Drug Control Strategy. An Updated Five-Year Strategy for Tackling the Illicit Drug Problem (2006) - Afghanistan
- Control of narcotic substances Act (1997) - Pakistan

4. Project related documentation

- Project document (2004)
- Project Revisions (2004-2012)
- Annual Progress Reports (2006-2011)
- Semi-annual Progress Reports (2006-2012)
- Year End Report 2011
- Mid-term evaluation report: AD/GLO/04/G80 – Ecuador segment of the UNODC-WCO container control programme (2007)
- UNODC-WCO Global Container Analysis Report (2008)
- Brochure (2006)
- Grant Application Form for European Commission including Description of the Action (2008)

Websites:

<http://www.wbasco.org/english/agreements.htm>

https://www.unodc.org/unodc/en/global_container_control_programme_speech_panama-city_30_june_2011.html

http://www.wcoomd.org/home_epoverviewboxes_epunodcwcocontainercontrolprogramme.htm

ANNEX IV: FINANCIAL INFORMATION AND HISTORY

Budget Information

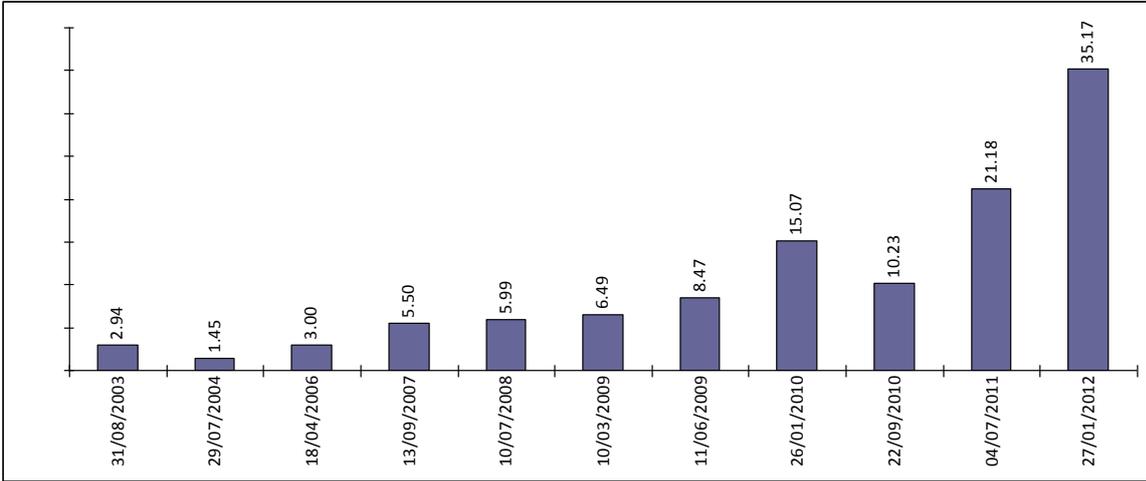


Figure 1: Approved overall budget for GLO G80 in USD million. Source: ProFi

Donors:

- Canada
- European Union/EC
- France
- Germany
- Italy
- Norway
- Spain
- United Kingdom
- United States

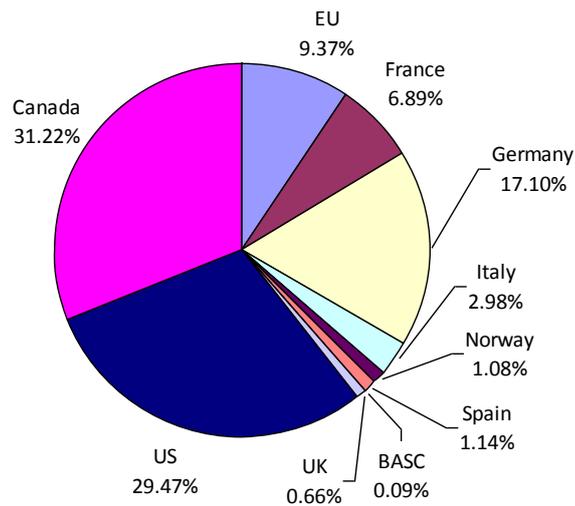
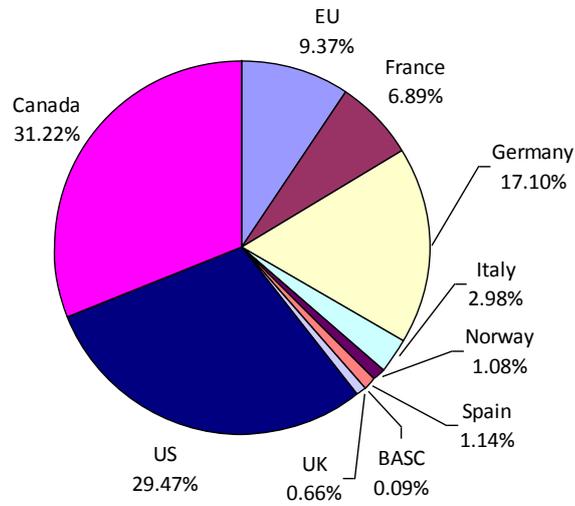
In addition the CCP receives in-kind contributions such as trainers and experts from WCO Members.

Timeline of the overall project

Description	Date	Comments
Project idea approved	05/09/2002	
Project Document approved	31/08/2003	Pilot sites in Ecuador, Pakistan, Ghana and Senegal planned. The budget of this programme, for all 4 sites and global action of WCO and UNODC, was approved at US\$ 2.941 million.
Project Document amended Project Revision – No1	29/07/2004	Until June 2004, UNODC has obtained earmarked funding from different donors for 2 individual pilot sites, decided to amend the original pilot strategy and start pilot action at 2 of the 4 port sites only, Start with Component 1: 2 Pilot Sites: Ecuador and Senegal

Project Revision – No2	11/05/2006	<p>project revision necessary due to the following:</p> <ul style="list-style-type: none"> - Pledged funding of US 1,524,398 is above 50% of the updated budget for the total programme (US\$ 3,002,179) - Due to late recruitment of Programme Coordinator (assumed his post in May 2005) the total programme is extended through 2007 - The change in the exchange rate of US dollars affects budgets - Revision of budgets finalized and the decrease of WCO budgets is approved by the WCO coordinator - Revision of costed workplans/matrix finalized <p>Start in Ghana and Pakistan?</p>
Project Revision – No3	19/09/2007	<p>due to the Canadian funding of the Pakistan segment of the global Container Control programme. The pledge of US\$ 2 million, earmarked to be spent in the Pakistan segment, allows UNODC to expand the project and increase the activities in Pakistan. The Pakistan segment will be increased to establish 9 Port Control Units with Customs officials and 5 Port Control Units with Anti Narcotic Force officials.</p> <p>The only documents with substantial changes in this Project Revision, from the Project Revision in May 2006, are:</p> <ul style="list-style-type: none"> - The country fact sheet and the Legal Context, all included in the main document. - The costed workplan - UNODC Vienna, WCO Brussels and UNODC Pakistan - The budget for the Pakistan segment (Total, UNODC Hq's, UNODC Pakistan and WCO)
Project Revision – No4	11/07/2008	<p>The Canadian pledge of US\$ 240,000 allows UNODC and the Turkmenistan counterparts to start the activities and establish Port Control Units under the auspices of the global Container Control Programme - Turkmenistan segment.</p>
Project Revision – No5	11/03/2009	<p>This project revision intends to increase the budget for the Turkmenistan segment of the Global Container Control Program. The Canadian pledge allows UNODC and the Turkmenistan counterparts to continue training activities to establish fully functional and operational Port Control Units under the auspices of the Global Container Control Programme - Turkmenistan segment.</p>
Project Revision – No6	01/07/2009	<p>include a new segment - EC (Iran, Azerbaijan, Afghanistan and Kazakhstan) - in the Program in addition to the already existing sites (Ecuador, Pakistan, Turkmenistan, Senegal and Ghana). This segment will be fully funded by the EC. UNODC will be responsible for implementing component 3 (Developing a network of border control cooperation units at Land/Air/Sea Ports of Entry for container control to stem the flow of drugs, precursors and other illegal trafficking) of the EC</p>

		Project “Fight against trafficking from/ to Afghanistan”.
Project Revision – No7	19/04/2010	include new project countries in Latin America. ⇒ Costa Rica and Panama
Project Revision – No8	22/09/2010	This project revision intends to increase the budget of the project, include new project countries in West Africa and project posts. ⇒ Cape Verde, Togo and Benin
Project Revision – No9	04/07/2011	to increase the budget and include new ports in selected countries in Africa (Morocco, Nigeria, Mali) and Central Asia (Georgia, Ukraine, Moldova). It also aims at hiring two new staff member (P-4) to manage the project and implement activities on regional and global level.
End of 2011: CCP has established 27 operation port control units in 13 countries: Afghanistan, Azerbaijan, Benin, Cape Verde, Costa Rica, Ecuador, Ghana, Kazakhstan, Pakistan, Panama, Senegal, Togo and Turkmenistan		
Project Revision – No10	24/02/2012	intends to increase the budget and include new ports in selected countries worldwide, in particular in Africa, Central Asia and Asia, Latin America and the Caribbean, depending on funding available. It also aims at hiring new staff members (1xP3, 3xP-4) to manage the project and implement activities on regional and global level.
News	30/06/2012	Jamaica: The Government has taken another step towards strengthening security at its commercial ports, with the signing of a Letter of Intent with the UNODC, to participate in the Container Control Programme
News	22/08/2012	UNODC-WCO Container Control Programme welcomes its first Caribbean members, On 20 and 22 August the two first Caribbean States - Suriname and Guyana - signed MoUs with the UNODC and it is expected that on 15 October two operational units will start working in the biggest ports in the two countries.
Project Revision – No11 To be cleared	30/08/2012	intends to extend the duration of the programme, increase the overall budget and include new ports in selected countries worldwide, in particular in Africa, Central Asia and Asia, Latin America and the Caribbean, depending on funding available. It also aims at hiring new staff members (G5, 7 P4) to manage the project and implement activities on regional and global level.



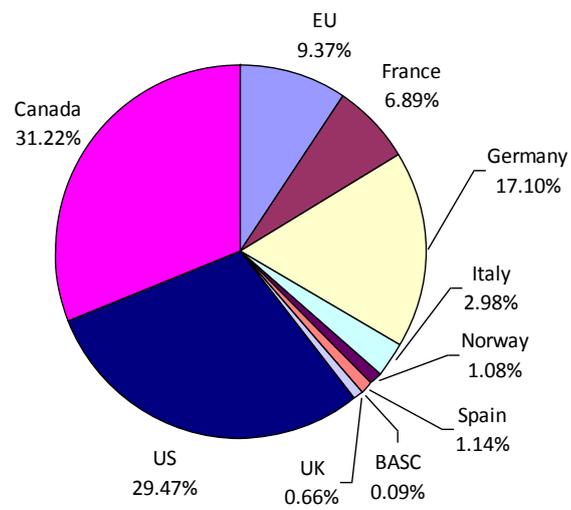


Figure 2: Percentage of total funds per donor. Source: ProFi.