



# **OIOS**

**Office of Internal Oversight Services**

**Monitoring, Evaluation and Consulting Division  
(MECD)**

**Inspection of programme management and administrative  
practices in the Office for Drugs and Crime (ODC)**

**Report No : MECD-2006-003  
Date : 19 March 2007  
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**Report of the Office of Internal Oversight Services on the inspection  
of programme and administrative management in the Office for Drugs and Crime**

**EXECUTIVE SUMMARY**

*The Office of Internal Oversight Services (OIOS) carried out a review of programme management and administrative practices in the United Nations Office on Drugs and Crime (UNODC) in Vienna. The exercise included follow-up on recommendations of an earlier inspection of programme management and administrative practices in the Office for Drug Control and Crime Prevention A/56/83 as well as a review of progress in implementing the "Operational Priorities: guidelines for the medium term" which framed the reform process launched by the Executive Director.*

*OIOS observed progress in the integration of drug and crime issues and in developing a counter-terrorism programme as mandated by the General Assembly to promote peace, security and sustainable development. In order to achieve integration as well as to improve governance, operations, staff-management relations and funding, UNODC engaged in reform efforts that have resulted in management improvements, restructuring and a more efficient support and delivery of services through innovative IT tools and solutions. However, coherent and realistic planning is necessary to align the different mechanism and tools used and consolidate them by way of the regular budgeting process and the finalization of the Strategy. OIOS noted that project management was in need of further improvement; RBM was not yet fully implemented and made use of, the IEU needed strengthening and that clarification of the roles and functions within the different organizational units were required. In a demanding, complex and challenging environment UNODC has been called to operate, three main areas would help strengthen the Field Office network; these are knowledge management, stable and predictable funding as well as efficient and effective support from HQ.*

*OIOS will closely monitor how the envisaged changes evolve and to what extent they will sustain in UNODC.*

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## I. INTRODUCTION

1. The United Nations Office on Drugs and Crime (UNODC)<sup>1</sup> is responsible for implementing the programme of work under Section 16<sup>2</sup> of the programme budget and is guided by the Commission on Crime Prevention and Criminal Justice, the Commission on Narcotic Drugs, the International Narcotics Control Board, the Conference of the Parties to the United Nations Convention against Transnational Organized Crime, the Conference of the Parties to the United Nations Convention against Corruption and by the United Nations Congress on Crime Prevention and Criminal Justice.<sup>3</sup> The UNODC was established to implement the Organization's drug programme<sup>4</sup> and crime programme<sup>5</sup> in an integrated manner, addressing their interrelated issues and international terrorism in the context of sustainable development and human security.

2. In January 2001, OIOS conducted a review of programme management and administrative practices of the then Office of Drug Control and Crime Prevention (ODCCP).<sup>6</sup> The inspection report A/56/83 contained 14 recommendations aimed, *inter alia*, at decentralizing decision-making, institutionalizing the mechanisms to ensure that programmes and projects are properly conceived, efficiently executed and results are assessed, strengthening planning, fund-raising and the communication between staff and management and gave rise to UNODC's reform initiatives set out in the document "Operational Priorities: guidelines for the medium term"<sup>7</sup> (OPs).

3. OIOS decided to conduct a review of programme management and administrative practices in UNODC to assess the status of implementation of previously issued recommendations to ascertain their outcomes and their sustainability, as well as to assess the effectiveness, relevance and efficiency of the reform initiatives. The inspection assessed the effectiveness and soundness of policy formulation, planning, management practices, guidance and support of UNODC HQ to the FOs as well as the extent to which they help in advancing the goals and objectives of UNODC.

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<sup>1</sup> Prior to 1 October 2002 the Office was called "Office for Drug Control and Crime Prevention", which was established by the Secretary-General in accordance with his reform programme described in part two, section V, of document A/51/950 (paras 143-145), dated 14 July 1997.

<sup>2</sup> A/60/6 (Section 16).

<sup>3</sup> For more details on the roles and functions of the different bodies guiding UNODC, please access the following link: [http://imdis.un.org/textFiles/IS\\_13949\\_2554.doc?key=9538](http://imdis.un.org/textFiles/IS_13949_2554.doc?key=9538).

<sup>4</sup> The United Nations International Drug Control Programme was established pursuant to General Assembly resolution 45/179 of 21 December 1990 as the body responsible for coordinated international action in the field of drug abuse control. The authority for the Fund of the Programme was conferred on the Executive Director by the General Assembly in its resolution 46/185 C of 20 December 1991.

<sup>5</sup> The Crime Prevention and Criminal Justice Programme was established by the General Assembly in its resolution 46/152 of 18 December 1991. Since 1997, the Programme has been implemented by the Centre for International Crime Prevention, which was established in accordance with the Secretary-General's reform programme described in part two, section V, of document A/51/950, dated 14 July 1997.

<sup>6</sup> United Nations Office for Drug Control and Crime Prevention (ODCCP) was an umbrella entity that included the United Nations Drug Control Programme (UNDCP) and the Centre for International Crime Prevention (CICP). A common managerial structure was put in place under an Executive Director, and functions and organization of ODCCP were defined a year later through ST/SGB/1998/17 of 30 October 1998.

<sup>7</sup> This can be accessed with the following link: [http://www.unodc.org/pdf/ed\\_guidelines\\_mediumterm.pdf](http://www.unodc.org/pdf/ed_guidelines_mediumterm.pdf). The OPs were issued in 20 January 2003.

4. OIOS reviewed whether appropriate mechanisms were in place to manage, monitor and evaluate projects and programmes and whether best practices and lessons learned were shared among national and subregional offices to improve on them. As part of the repositioning process which aimed at aligning the management structure with UNODC's strategic vision, the inspection assessed procedural, technical and governance issues, including the application and consolidation of results-based management.

5. The comments of UNODC management were sought on the draft report and are reflected, as appropriate, in its final version. OIOS greatly appreciates the cooperation extended to it by the staff at various levels during this review.

## II. METHODOLOGY

6. OIOS used a multi-method approach which included: a) Review of programme planning and performance data through IMDIS and other sources; b) Review of official documents, budgets, reports, websites and publications dealing with UNODC's areas of work including information on the implementation of OIOS recommendations and resolutions and decisions of the relevant intergovernmental bodies; c) a survey was sent to 461 staff of UNODC, including (49) programme managers and (268) staff at ODC Vienna as well as all (144) professional staff members in the field offices and (40) follow-up queries; OIOS received 140 responses, a 28% response rate. In Vienna, OIOS held d) (38) Interviews and (12) focus groups discussions with management and staff of UNODC; c) (3) consultations with ODC stakeholders and beneficiaries including interviews with representatives of Member States accredited in Vienna and members of the Committee of Narcotics and Drugs (CND), the UN Commission on Crime Prevention and Criminal Justice (CPCJ) and International Narcotics Control Board (INCB).

## III. BACKGROUND

7. UNODC launched OPs in response to OIOS recommendations,<sup>8</sup> in an effort to reform, and as a strategy to reposition itself with the aim to improve governance, funding, operations, staff management relations and communication. The repositioning process which began in 2002 concentrated on integrating drugs, crime and terrorism into the global agenda for peace, security and development by means of: advocating a United Nations system-wide response to organized crime and corruption; addressing the issue of HIV/AIDS in the multiple contexts of drugs, human trafficking and prison populations; integrating drug and crime issues in technical assistance programmes; and working more closely with the private sector. The OPs were unanimously endorsed by Permanent Representatives in Vienna in January 2003.<sup>9</sup>

8. The repositioning process was officially launched with the restructuring of UNODC that was formally concluded in March 2004<sup>10</sup>, fully integrating the previous Centre for

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<sup>8</sup> OIOS report A/56/83.

<sup>9</sup> Commentary on UNODC's new organizational structure is available by following the link: [http://www.unodc.org/pdf/unodc\\_commentary\\_org\\_structure.pdf](http://www.unodc.org/pdf/unodc_commentary_org_structure.pdf). Additionally, some of the initiatives raised in the operational priorities were specifically endorsed by CND resolution 46/8.

<sup>10</sup> As reflected in Secretary-General's bulletin ST/SGB/2004/6.

International Crime Prevention and United Nations International Drug Control Programme into a single organizational entity.

9. Conceptualization of the new organigram was guided by the desire to improve coordination, produce synergies and generate savings, reallocate resources to field-Offices, create new functions, especially in the area of research and institutional development, introduce structural flexibility in employment at UNODC by offering further career opportunities to staff who have assumed the same functions for more than 5 years through rotation, and facilitate staff cross-learning by promoting more exchanges between field-offices and Headquarters. OIOS reviewed these commitments and others that were made in the “OPs”, as well as in subsequent UNODC reports to the CND and the CPCJ<sup>11</sup> and provides its relevant findings below.

#### IV. FINDINGS

##### A. Operational priorities, mandates and resources

10. Six key themes shaped the OPs for the medium term. The *Office* committed itself to: pursue an integrated approach to drug and crime issues; place them in the context of sustainable development, balanced prevention and enforcement activities, select operations on the basis of knowledge and strategic vision, establish institutions that promote international best practices, and leverage resources to exploit the power of partnership. Five areas of management were singled out for improvement: governance, funding, operations, staff management relations and communication.

11. OIOS noted the significant progress in integrating the drug and crime issue and in developing a counter-terrorism assistance programme as mandated by the General Assembly<sup>12</sup> to promote peace, security and sustainable development. This was only possible through consistent efforts to enhance the quality and quantity of services provided to Member States by providing research and analysis on global drug trends and crime challenges, continuous support to the normative functions of governing bodies and technical and legal assistance to help Member States deliver their commitments to control drugs and prevent crime and terrorism. As a result, UNODC has become the centre of the United Nations fight against ‘uncivil society’.

12. UNODC is the custodian of five international conventions and three protocols on drugs, transnational organized crime and corruption as well as a number of United Nations standards and norms on crime prevention and criminal justice including the thirteen counter-terrorism instruments – still not yet widely adhered to. As a result, Member States are increasingly turning to it for specialized technical and legal assistance on their ratification and implementation. OIOS noted that the 2005 World Summit identified organized crime, corruption and terrorism as major threats that need to be addressed in facing the global challenges of development, security and human rights, core to the Millennium Development Goals and World leaders’ commitment to strengthen UNODC’s capacity to provide technical

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<sup>11</sup> See [E/CN.7/2002/9](#), [E/CN.7/2003/14](#), [E/CN.7/2005/7](#) and [E/CN.7/2006/8](#) and [UNODC/ED1](#), CND resolutions 46/9, 47/3, 48/2.

<sup>12</sup> GA Resolution 60/43 of 8 December 2005 and in the context of Security Council resolution 1373 (2001)

assistance.<sup>13</sup> The UNODC resources from the regular programme budget of the United Nations to support these challenges stands at \$ 33 million which represent less than 1% of the total UN regular budget resources.<sup>14</sup> More recently, the adoption by the General Assembly of a global strategy against terrorism has assigned to UNODC significant tasks that need to be addressed within the same remit.

13. UNODC's most immediate concern was an expanding mandate and the apparent insufficient Regular Budget (RB) resources provided to it for its implementation – 11% of UNODC total budget for 2006-2007 is RB funded.<sup>15</sup> OIOS noted that while the amount of RB resources grew minimally from 2002-2003 to 2004-2005, there was no increase in real terms for the current biennium.<sup>16</sup> The RB share of UNODC's total resources decreased from 15% in 2002-2003 to 13% in 2004-2005 to its current level. This was mostly due to increased extrabudgetary earmarked contributions. OIOS attempted to obtain clarity on the amount and complexity of the new mandates given to UNODC and some resource estimates to cover the needs for those mandated activities including core functions, which are claimed to be implemented with extra-budgetary (XB) resources. However, UNODC did not have such information and analysis available and it was unclear what core functions or additional mandates did not have enough resources. OIOS noted that additional initiatives started at UNODC's discretion were not always supported by additional funding. While UNODC might indeed be stretched to implement and deliver on new mandates within existing resources, it needs to be prepared to support its position with facts and figures, exercise caution whenever new mandates are accepted without appropriate analysis of resource implications, and have a prioritization scheme to effectively deliver on the approved programme of work. OIOS noted that UNODC was in the process of re-defining its strategic plan with the preparation of the Strategy, which should support this effort.

14. While progress has been made in the past five years to ensure that UNODC becomes a trusted source to provide advice on drug, crime and terrorism issues, OIOS believes that some improvements are needed to allow UNODC to realize its full potential of being the clearing house for collecting, analyzing, promoting and sharing information and good practices within the UN and to its stakeholders. OIOS noted that out of the 14 recommendations issued in A/56/83, seven recommendations were either implemented or superseded by events,<sup>17</sup> and the remaining seven were either not fully implemented or had transformed into new issues that need to be addressed to achieve the above goals.<sup>18</sup>

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<sup>13</sup> World Summit Outcome, Resolution adopted by the General Assembly A/RES/60/1 of 16.9.2005 – Paragraph 115.

<sup>14</sup> UNODC regular budget is approximately \$ 33 million, while the total budget of the UN regular budget is approximately 4.2 billion. Thus the percentage of resources dedicated to drug, crime and terrorism from the regular budget is less than 1% (0.7 percent to be exact).

<sup>15</sup> A/60/6 (Section 16); table 16.4 page 5.

<sup>16</sup> According to A/60/6 (Section 16); Table 16.4 page 5, RB resources grew from \$ 25 million in 2002-2003 to \$ 31 million in 2004-2005 to an estimated appropriation of \$ 33 million in 2006-2007 after re-costing (before re-costing the figure of \$31 million for which means that there was no increase in real terms).

<sup>17</sup> Recommendations 1,3,7,8, 10, 12 and 13 of OIOS report A/56/83. The recommendations related to integration of CICP and UNDCP, Evaluation on the Tajikistan Drug Control Agency, quality control of publications and enhancement of research, strengthening of financial oversight, conclusion of UNDCP-UNDP working arrangement, guidelines and modalities of project execution.

<sup>18</sup> Recommendations 2, 4, 5, 6, 9, 11 and 14 of OIOS report A/56/83. These recommendations relate to Project planning, clarity of functions, PPC, project cycle training, programme oversight, GPF and Human Resources Management.

## B. Strategic Planning

15. As opposed to the commitments made in the OPs<sup>19</sup> that priorities would be selected on the basis of knowledge and strategic vision, UNODC's operations were mostly demand driven and seldom selected on the basis of strategic objectives of the organization. There was limited coherence between the different planning documents. Field Offices specific Strategic Programme Frameworks (SPF) and project planning documents were not fully aligned with overall subprogramme logical frameworks. Some programmes and projects were seen as ad hoc and uncoordinated, done in a hurry without the necessary internal consultation. There was no clarity in the use of terms and the use of planning nomenclature varied depending on the document. This generated confusion and frustration among UNODC staff. UNODC presented a consolidated budget to the CND<sup>20</sup> that was not clearly aligned to the regular budget presented to the GA,<sup>21</sup> which further exacerbated confusion and complicated the budgeting process, adding layers of commitments and goals<sup>22</sup> without reporting back on results. OIOS also noted with concern the limited staff awareness of the roles of the multiple strategic documents, how they support and supplement each other and how best to use them, in particular the budgeting process as approved by the General Assembly.

16. To alleviate some of the current confusion and in an effort to improve coherence in planning, have a sharper profile and make more efficient use of its resources, OIOS noted that UNODC engaged in the preparation of a Strategic Plan titled "Towards Security and Justice for All," which aims at laying out a strategic medium term plan to be implemented through a biennial business plan. This new Strategic Plan is a promising endeavor provided that it is aligned with the regular budgeting process and will not be a duplicative layer to it. A single, integrated and results-oriented plan which includes all UNODC's activities and expected results regardless of the source of funding, as mandated by the General Assembly has to be pursued.<sup>23</sup> In this line, there must be uniformity in the use of terms, methods and approaches to bring further coherence to the planning process as well as decision-making.<sup>24</sup> Consequently, the new Strategic Plan must include the geographic components as the operative arms of UNODC including the administrative and management components<sup>25</sup> as the enablers to effective and efficient programme implementation to be fully complete.

## C. Fund Raising

17. One of the main concerns of UNODC was the dwindling of the General Purpose Funds (GPF).<sup>26</sup> Despite UNODC efforts to sustain its funding level, it has not surpassed \$20

<sup>19</sup> This document is available by following the link: [http://www.unodc.org/pdf/ed\\_guidelines\\_mediumterm.pdf](http://www.unodc.org/pdf/ed_guidelines_mediumterm.pdf)

<sup>20</sup> E/CBN.7/2005/12.Add.1.

<sup>21</sup> See pages 13-15; 18-21; and 30-34 of A/60/6 (Sect. 16) and the budget presented to the CND E/CBN.7/2005/12/Add.s pages 28-55.

<sup>22</sup> E/CBN.7/2005/12.Add.1, see the specific commitments by Branches and Sections.

<sup>23</sup> ST/SGB/2000/8, paragraph 2.

<sup>24</sup> The reliance on XB funding and fragmented approach to planning has brought occasional overlap and disparity to operational modalities that has affected decision making.

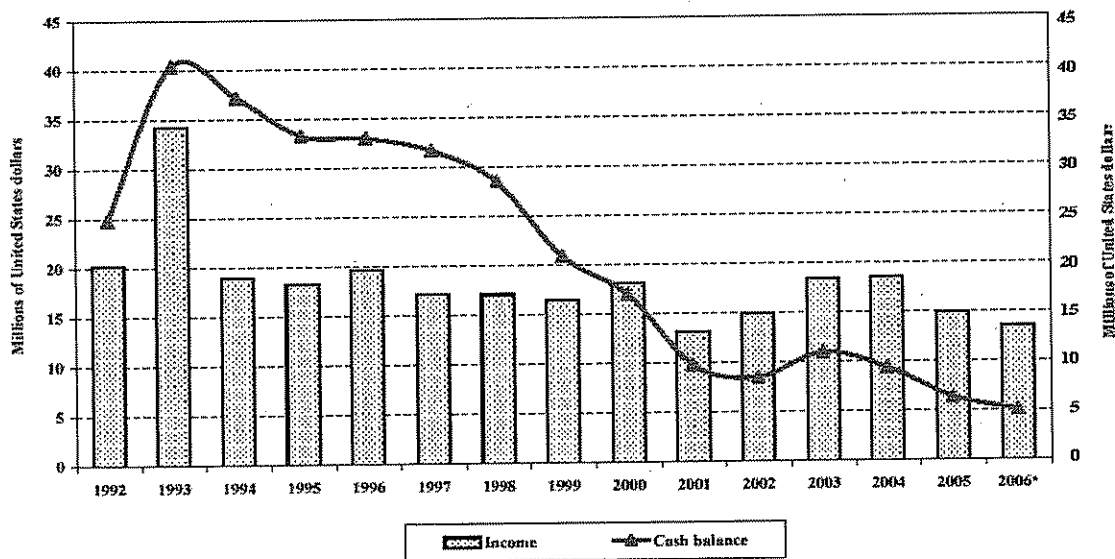
<sup>25</sup> These include Advocacy, Co-financing and partnerships, Management, Human Resources, IT, etc.

<sup>26</sup> GPF are un-earmarked voluntary contributions which finance: UNODC's infrastructure costs at Headquarters (Vienna) and in the field. In 2006 these are estimated at \$13.2 million for the Drugs Programme and \$1.7 million for the Crime Programme; and those core programmes that do not attract sufficient earmarked contributions- Information Technology Systems for Member States (\$0.6 million); Laboratory and Scientific services (\$0.4 million); Illicit Crop Monitoring Programme (\$0.6 million).- (\$1.6 million estimated for the

million of contributions annually and in the past two years contributions have fallen by 20% from \$18.5 million in 2004 to \$14.9 million in 2005. On the other hand, due mainly to higher salary costs, expenditures have increased from \$16.3 million in 2002 to \$ 20.1 million in 2004, but these were recently reduced to \$17.9 million as a result of savings applied by UNODC management. This has put the GPF in a precarious situation as its balance of approximately \$ 11 million in 2003 went down to \$ 9 million in 2004 and to only \$ 6 million in 2005. Proposals to provide sustainable funding to the GPF, as opposed to the current ad-hoc method of funding, were presented to major donors in June 2005, hoping to commit them to a certain level of core funding. However, donors were not able to reach consensus to support the proposals. OIOS noted that UNODC had prepared a series of briefing documents on the GPF situation and noted that the proposed way forward was mostly related to saving measures to not deplete the fund balance. Recently, UNODC implemented additional saving measures with the freeze of 17 posts, which was still considered not to be enough for the sustainability of the GPF. Under the current trends of increasing expenditures and diminishing contributions the GPF could be depleted by the end of 2007.

**Table 1.**

**UNODC (Drugs Programme)**  
**General Purpose Funds: Income and Cash Balances (1992 - 2006)**  
(Millions of United States dollars)



\* Estimate

18. UNODC efforts to generate savings are to be commended; however a more strategic analysis should have been considered when implementing them. OIOS believes that a focus on decreasing expenditures is not enough to reverse the current trend. Efforts should be revitalized in mobilizing stakeholders and partners to increase GPF contributions. OIOS noted that there is no fund-raising strategy. The current pool of major donors has shown reticence to increase its support for GPF due to, *inter alia*, unclear reporting on the fund's use and its results. Thus, more efforts should be invested in improving the clarity and details of the reporting on fund utilization and results attained. A global approach to fund-raising

Drugs Programme in 2006 of which \$0.8 million pertains to advances deemed unrecoverable – because the earmarked funding originally expected is no longer forthcoming).

coupled with a mechanism to increase transparency and consultation between UNODC, donors and beneficiaries of its services should be explored through the establishment of a Consultative Committee to ensure that the funding priorities are in line with the Strategy and report periodically on the progress made on its use to the CND and CJCP.

19. While a Co-financing and Partnership Section (CPS) is trying to improve the fundraising efforts, these were often ad-hoc and not systematic. Branches and Sections as well as FOs were in continuous search for project funding without a clear guidance or coordination which resulted in Branches competing rather than cooperating. FOs could also be more effective if their fundraising efforts are supported by clear guidelines on how to approach it locally.

#### **D. Organizational efficiency, structure and internal coordination**

20. Despite the best intentions of the restructuring exercise,<sup>27</sup> and its four pillars: Operations, Treaty affairs, Research and Management, OIOS noted that competition, uneven coordination and cooperation were three recurrent issues fettering the working environment and implementation of the work programme. While the organizational structure was identified by some as the source of the problem, OIOS explored different alternatives but was unable to recommend a new structure that would lead to a more cooperative set up. It noted, however, that there were plenty of areas where responsibility of functions were not clear and where duplication existed. The first challenge in improving cooperation and diminishing competition would be to clarify those functions and the division of labour between the different organizational entities below the Divisions and their comparative advantage and value added *vis-à-vis* the objectives and priorities of UNODC. Where necessary and useful, thematic teams should be created to work across Sections, deliver agreed-on projects and products, while also clearly identifying the leading organizational entity, deadlines and deliverables.

21. OIOS noted that coordination was to be the responsibility of the Office of the Executive Director (OED) as per the UNODC TOR. However, this function has not led to any discernible improvement. Important management initiatives such as RBM, 4R's, Project Cycle Management (PCM) were not given appropriate follow-up as a result of the lack of a full-time office manager, naturally the role of a Deputy. The UNODC Deputy Executive Director's functions were not clearly defined at the time of the re-organization and they are usually assigned to a Divisional Director position, which has other substantive responsibilities. This might be a good opportunity for UNODC to consider following the best practices from comparable programmes in appointing a formal and dedicated DED who will take on some of the managerial responsibilities that rest with the ED, allowing the latter to fully concentrate on more strategic and policy oriented goals and results of the organization. Cross-cutting functions such as strategic planning programme performance assessment, advocacy, funding, and coordination could be some of the main areas of responsibility of such a post. Transitionally, and given the funding situation, those management initiatives to institute change could be initiated by the Change Management Core Group (CMCG), which was created to promote the implementation of crucial projects that were lagging behind such as RBM, PCM, strengthening monitoring and reporting, 4R's, etc.

#### **E. Field Offices**

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<sup>27</sup> The operational guidelines called for a restructuring based on recommendation 4 of OIOS report A/56/83.

22. UNODC has a network of 21 field-offices which vary considerably in programme size and content and are mostly staffed by extrabudgetary or project personnel. More than two thirds (70%) of UNODC staff (791) are currently deployed in the 21 FOs including the NY liaison Office. Only 13% of those FOs posts (105) are administered by UNODC. In many instances support received from Headquarters was hampered by the fact that the remaining 87% of FO's staff are administered by UNOPS or UNDP, especially regarding human resource support and training. FOs have unclear expectations on the type of services they should receive from Headquarters. Guidance and training provided to FOs concerning regulations, rules and procedures were sketchy and disjointed. Guidelines for new FO staff as well as comprehensive methodological tools for operating FOs or other reference manuals were not available.

23. OIOS noted that one of the main concerns in the FOs is a capacity building and skill diversification programme for its staff which is currently not available. OIOS believes that an important component of having motivated, competitive and effective staff delivering technical assistance to countries in need is the ability to exchange talent and knowledge as envisaged in the OPs. This has not been addressed effectively and can only be done by providing the FOs with the appropriate tools to be competitive. Training for FOs staff and the development of a Field Presence Manual to institute comprehensive dissemination of best practices, success stories and procedures to deal with the most pressing issues would be good starts.

24. As a normative and service provider organization, it is essential that UNODC keeps its resources balanced with substantive critical mass in HQ able to support and ensure that the FOs operate efficiently and effectively at the country and regional level. While redeployment and re-profiling were two of the 4R initiatives aimed at strengthening the operations and provision of assistance of Member States, OIOS noted that decisions on how to implement them were at times ad hoc, without the necessary consultation, based on limited criteria or short term developments and not a comprehensive study of the situation in the regions. OIOS noted for example proposals to decentralize a regional section which had only 6 staff in HQ backstopping 160 in the region without a full review of the backstopping needs.<sup>28</sup> More recently, UNODC decided to close the Regional Office for the Caribbean affecting 29 countries based solely on its funding situation. In this particular case, OIOS noted with concern that while the funding situation was precarious prior to 2004, not enough efforts have been made to redress the situation. OIOS believes that any re-profiling decisions should be based on a Strategy, the regional needs, wider consultation and analysis of the strategic and programmatic variables necessary to achieve UNODC goals in order to avoid gaps in support to Member States requests. While the last and only re-profiling effort did set out a typology for FOs based on its size and profile, the study was based mostly on resources and level of post deployed in FOs. OIOS believes that a comprehensive re-profiling study that includes programmatic criteria and is based on approved strategic priorities would be timely and appropriate. Once reviewed and formalized, the new configuration of FOs should be presented to intergovernmental bodies.

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<sup>28</sup> ExCom Minutes of 30 January and 8 February 2006. Figures provided by DO on the resources available as at April 2006. OIOS noted that currently, 27 posts are substantively backstopping 708 in the FOs, this represents 3% of HQ staff backstopping 97%.

25. Considering that FOs represent more than half of UNODC's staff, OIOS noted that consultation with the FOs for decision making was limited. Coordination between FOs and HQs as well as amongst FOs was not optimal. While knowledge sharing was improved with the Project Financial Management System (ProFi); its use was limited to accessing project information. Sharing of lessons learned and best practices were the exception rather than the rule. While an important benefit to be achieved from a FO network is the availability, exchange and use of information, OIOS noted that horizontal information exchange among FOs was sporadic and unstructured. It was mostly driven by individual initiative. OIOS believes the next step is to systematize knowledge sharing and allow FO networks to manage it, enhancing virtual interaction by way of discussion forums and thematic e-working groups to facilitate consultation amongst FOs and with HQ. The Annual FO Representatives Seminar that facilitates discussions on how to improve the work of the FOs network is to be commended. However, there is no mandatory requirement to implement their recommendations, there is no periodic follow-up on their implementation and the sharing of best practices, case studies and performance assessment are not established items on the agenda. A Resource Centre initiative was discussed recently, but at the time of the inspection this had not materialized.

26. OIOS noted that in an effort to enhance FO's oversight, management reviews were introduced and undertaken on the operational and financial aspects of FO's work by the Division for Management in collaboration with the Division for Operations. While OIOS had difficulty identifying the criteria used to determine the need for a management review and the appropriate periodicity, eight reviews were undertaken to date. The results and impact of the reviews were difficult to distinguish as well as their use as an instrument for the FOs to learn lessons as there was little distinguishable follow-up. OIOS noted that the Independent Evaluation Unit (IEU) was not part of providing methodological support or guidance to the management reviews and that the recommendations issued were not systematically followed-up.

27. OIOS noted that FOs are required to produce 20 reports annually at different periods, between quarterly project progress reports, bi-annual reports on country/regional profile, monthly substantive reports covering more or less the same issues, in addition to Project Progress Evaluation Reports. OIOS believes that these should be rationalized and streamlined to keep a few that would be comprehensive and useful, by for example having quarterly Programme/project Progress Assessment Reports that would cover progress status of outputs and activities, achievement of results at the project and programme levels, and financial information all based on the commitments made at the planning stage. Other necessary elements such as major political developments that have an impact on drug, crime and terrorism issues could also be reported as additional subheadings. Finally a FO Progress Evaluation Report could be prepared every year covering all aspects of a FOs implementation including lessons learned. Reports on financial expenditures and forecast should be prepared upon request. This would help to avoid duplications and generate savings on time and resources that could be invested improving the report's quality by including lessons learned and areas in need of improvement. Such information should help to build up a common repository of best practices and lessons learned amongst FOs.

#### **F. Management practices**

28. While improvements in staff-management relations were noted, wider consultation with the staff council through the Joint Advisory Committee is required. In contrast to the previous inspection A/56/83, OIOS noted improved transparency in decision making through the Executive Committee. The use of ExTrack, a tracking mechanism to monitor the implementation of ED's decisions following ExCom consultations, has further enhanced their follow-up and management accountability. However, wider access and dissemination of the ExCom decision's implementation would improve transparency further.

29. In OIOS view, the ExCom does not lend itself to a focused and in-depth discussion of substantive issues. The multi-programme composition and sometimes ad hoc nature of meeting scheduling suggests that meetings could be organized more efficiently and effectively, including periodic reviews of decisions not implemented.

30. OIOS noted that the approval process of authoritative documents such as the MIs needed to be reviewed so that clear guidelines on what constitutes approved, valid and compulsory instructions are applied.

31. OIOS noted that while four mechanisms for internal communication and coordination are promulgated, only the ExCom and the Divisions/Branches/Section meetings, with few exceptions, are operational. The Senior Staff Meeting (SST) and Management Review Committee (MRC) are irregular and have limited impact. One recurrent complaint noted by OIOS was that middle management was seldom consulted prior to decision-making. This undermined their role as the link between staff and senior management. OIOS noted with concern that the information sharing, coordinating and programme direction role of the SST was not being achieved. The Minutes of Meetings were not available on the intranet or ProFi, and participation from the FOs was non-existent. OIOS is of the view that FO's suggestions and perspectives need to inform decision-making if coordination is to be bolstered and performance improved.

### **G. Project Management**

32. Effective project implementation requires organized processes and clarity in roles and responsibilities as well as adequate follow-up, monitoring and assessment of results. In response to OIOS recommendation and in an effort to improve project management in all its aspects, UNODC established the Programme and Project Committee (PPC), and launched the Programme and Project Cycle Management (PCM) aiming at enhancing capacities and skills in these areas. Progress so far has been limited. While the PPC established certain parameters and procedures for project approval, the process was still fragmented and uncoordinated. There were no clear and uniform criteria for project development and the alignment between new projects, regional and country needs and UNODC strategic objectives was not easily discernible. In some cases, project implementation was slow and protracted. Monitoring of commitments and results were inadequate. PPC's semi-annual review of the project portfolio was based on analysis of financial implementation without any assessment of achievements. The fact that PPC has not yet assessed the results of the project portfolio seems symptomatic that oversight, monitoring and reporting have been restricted to financial performance monitoring.

33. Considering that more than two-thirds of UNODC's work is dedicated to the implementation of projects, OIOS noted with concern that only one of the four phases of the

PCM have been completed since 2004. The normative, training and computer-based training phases have been stalled pending the review of the diagnostic phase. Since then,<sup>29</sup> OIOS could not find any evidence of the implementation of the recommendations of the diagnostic phase report. However, it did note a wide agreement among staff in that PCM should be implemented as a matter of priority.

#### **H. RBM and Programme performance management**

34. The proper use of existing mechanisms and tools to monitor commitments and to manage the programme of work are key components of an effective, results-based and well-governed organization. OIOS called for a strengthening of oversight and evaluation of projects and programmes, financial oversight, and RBM.<sup>30</sup> While UNODC strengthened its financial oversight and certain aspects of its programmatic performance, through ProFi, it has not yet fully embraced RBM as a management tool. Monitoring and reporting as well as performance assessment was partial and ad-hoc. FOs did not follow the Strategic Programme Frameworks' structure to monitoring their performance. Resultant reports were completed using parameters different from those set in the commitments made at the planning stage. While ProFi reports did follow uniform standards, their quality and comprehensiveness was uneven. OIOS noted with concern that there was limited coordination to provide leadership and guidance on the implementation of RBM and the respective monitoring and reporting efforts.

35. UNODC initially committed to RBM in 2003;<sup>31</sup> however, at the time of this review, subprogramme level monitoring and reporting were not yet fully operational. While OIOS noted a recent initiative to revamp the implementation of RBM, no action plan was approved and no immediate measures were taken to redress the situation. An essential component of ensuring the realization of RBM, for it to take root in the organization and be a credible driver of good governance, is the full commitment from Senior Management to its implementation by establishing responsibilities, making subprogramme managers accountable for achieving results, encouraging monitoring and follow-up on every aspect of its implementation and undertaking periodic reviews of performance at the senior level.

36. One of the hindrances to a full realization of RBM is the limited knowledge of staff and management of the different approaches and mechanisms of RBM implementation in the UN Secretariat. Contrary to the PPBME rules and regulations that all outputs and results must be reported to the GA regardless of their source of funding, UNODC was only reporting on 10% of their projects through IMDIS.

37. OIOS noted solid knowledge and expertise in the Terrorism Prevention Branch of the Division for Treaty Affairs to promote RBM efforts and provide any necessary guidance on it. Other organizational units were not fully familiar with RBM implementation or IMDIS use as a comprehensive tool for programme performance information. OIOS noted that while a recent initiative to produce an Annual Report on its activities was to be commended, this was

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<sup>29</sup> The report was released in November 2005.

<sup>30</sup> Recommendations 8 and 9 of A/56/83 further called for managers to be kept abreast of all aspects of programme evolution, problems encountered, cost involved and results achieved.

<sup>31</sup> Paragraph 10 of E/CN.7/2003/14.

output oriented and not based on the results committed to Member States. This is not in line with RBM.

### **I. Independent Evaluation**

38. An operationally independent evaluation function reporting directly to the Head of the Organization and/or the Governing Body, has been recognized and endorsed by the UN Evaluation Group (UNEG) as a norm that ensures the production of credible, objective, and transparent assessments, to help inform decision-making on results attained and areas that need improvement. UNODC has been at the forefront of establishing such a function through the creation of the Independent Evaluation Unit (IEU). However, its independence has been compromised by its organizational setup, its reporting lines and the conflict of interests between its evaluation mandate and those of the Division it reports to – Division for Policy Analysis and Public Affairs. In line with the established norms and standards for evaluation in the UN system, the IEU should have operational independence in order to ensure the credibility, objectivity and impartiality of its evaluation findings. This has not always been the case in UNODC. In addition to revising its TOR, the IEU should review its operating mechanisms, as well as clarify its role as a provider of advice to the different organizational entities in UNODC.

39. IEU's work is becoming essential to the enhancement of programme efficiency, effectiveness and oversight by way of thematic and programme evaluations and support to project evaluations. Its consolidated Annual Evaluation Report is particularly useful in identifying cross-cutting areas for improvement and its recommendations have initiated change in several fronts. This has been supported by the CND.<sup>32</sup> However, the implementation of change is usually hindered by the lack of follow-up and monitoring of the recommendation issued and the timely update on their status to the intergovernmental processes. In OIOS's view, this would help ensure accountability and transparency. OIOS noted that while there has been some effort in establishing clear roles, definitions and guidelines on the use of evaluation, the policies, instructions and methodologies are not consistently defined or used.

### **J. Information, communication and knowledge management**

40. IT tools and initiatives have improved UNODC's efficiency. In line with UNODC's reporting, OIOS noted that ProFi facilitated project management and financial monitoring thereof in HQ and the FOs. Other IT initiatives such as "electronic office" and "remote access" have led to more efficient operations and FOs integration into the communication flow and access to information. The Information Technology Service (ITS) now operates and manages 36 Lotus Notes email/workflow servers in 27 countries. This represented a great enhancement regarding data security, system wide stability and uniform computer-based work methods. Anti-money laundering and financial crimes software among other services have also been provided for the use of Member States. All this progress notwithstanding, OIOS noted that thorough guidelines on the utility and comparative advantages of ProFi and other web-based applications besides the FAQ and user-guides are not available. The use of the various work-flow applications is still a source of confusion amongst UNODC, UNOV and OOSA staff, all of which are serviced by ITS. The intranet pages were not periodically

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<sup>32</sup> Resolution of CND 48/2 (paragraph 4) took note of the findings of the IEU and encouraged ED to implement its recommendations.

updated and its structure was not sufficiently user-friendly. The roles between the intranet and ProFi were not clearly defined and this created further confusion and duplication. OIOS noted that the logical programmatic connection between different planning elements such as project documents, FO SPFs and subprogramme logframes that would give UNODC strategic coherence were not supported by IT tools.

41. OIOS noticed with concern that periodic reviews on the usefulness or effectiveness of web-based applications not used for some time were not undertaken. Differences between the FOs websites with uneven quality and outdated information were also evident. Guidelines established at UNODC headquarters were not consistently applied in the field, in spite of a previous OIOS recommendation to that effect.<sup>33</sup> OIOS noted that one of the downsides of IT management is the lack of a formal mechanism to assess their performance, track client satisfaction at all levels and report their achievements to the intergovernmental bodies.

42. Given the diverse and complex FOs structure and sensitive issues such as crime, drugs and terrorism and their implications, OIOS noted with concern that UNODC lacks a communications strategy that would guide information sharing, public awareness and outreach. This was identified as one immediate concern, and work in this area can bring about a more coherent public image of UNODC, to further support the goals and needs of UNODC. While OIOS noted the efforts of attracting goodwill ambassadors to promote UNODC's work as a commendable public relations initiative, this is currently done in an ad hoc fashion and without any clear guidelines or analysis on how they can support UNODC's objectives more effectively.

43. Knowledge management (KM) was noted to be a priority as early as 2004.<sup>34</sup> While UNODC has made substantial progress in knowledge sharing, it still needs a coherent approach to it and a full realization of the internet as a tool for organizing, processing and sharing information on substantive issues, as well as a vehicle for sharing best practices between HQ, the FOs and amongst stakeholders. OIOS noted that there was no strategy or action plan on how to manage and disseminate knowledge at the different levels of the organization. As a catalyst in the drug, crime and terrorism debate, UNODC must be able to identify and map intellectual assets within the office in order to be able to create knowledge for comparative advantage and full utilization of such information. As UNODC recently recognized, a KM strategy is essential to ensuring a coordinated approach in the implementation of projects and programmes. KM should help to optimize the internal flows, storage and dissemination of information, safeguard institutional memory and facilitate its use and access to it by promoting immediate and virtual knowledge sharing through communities of practice networks on drug, crime and terrorism issues within and outside the UN and the creation of thematic modules of information accessible through a KM portal.

## **K. Human Resources Management**

44. One of the key components of UNODC reforms was to improve the Human Resources (HR) management to ensure that it conforms to the UN regulations and rules for

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<sup>33</sup> Audit of United Nations Office on Drugs and Crime Information and Communications Technology Management (AE2004/321/02); Report No. E05/R05, 04 May 2005, paragraph 34.

<sup>34</sup> Paragraph 159, recommendation 13 of the IEU 2004 Annual Evaluation Report."

fairness, transparency and objectivity.<sup>35</sup> OIOS noted significant improvements in the efficiency of staff administration, recruitment and other HR request processing as a result of automation. However, as a service oriented unit, a major downside to HR management was the lack of client satisfaction feedback to feed its performance assessment. As noted above, HR services and guidance to the FOs needs improvement by way of guidelines, induction manuals and prompt response to their request for services.

45. While the majority of staff considered the web-based forms and information available useful, there was very little material regarding capacity building and career development in substantive areas. OIOS noted improvements in the training management in HQ including the developments of actual plans. However, further monitoring of their implementation, more staff involvement and information as well as real focus on substantive training to enhance staff capacities on crime, drugs and terrorism related issues is necessary for it to be effective.

46. OIOS noted that transparency in the selection process was partly flawed by way of exceptions<sup>36</sup> in cases where they did not seem necessary. UNODC should restrict the application of exceptions only where and when they are justified and clearly necessary for operational efficiency. Improvements to the HR action plan process such as achieving the targets on vacancy management and geographical distribution as well as on the establishment of an accountability panel related to the HR compliance in accordance to A/RES/59/266 would also help to improving transparency. The appointment of the Ombudsman which had been vacant for close to two years needs urgent attention.

## V. CONCLUSIONS

47. While UNODC reforms are on the right track, OIOS is of the opinion that some areas require urgent attention and follow-up for a full realization of their potential. The reforms geared towards improving governance, operations, staff management relations and communication have certainly yielded some benefits and improvements in overall delivery; Nevertheless; there is still need for further improvements, including a qualitative enhancement and methodological approach to funding and budgeting, the finalization of a coherent overarching strategy, the strengthening of the IEU and the presentation of a comprehensive picture of the difference it has actually made to the global drugs and crime challenge.

48. Despite the enormous challenge to fight the “uncivil society,” achieve security and justice for all and make the world safer from drugs, crime and terrorism, UNODC needs to be realistic about where its work can achieve the greatest impact. Along these lines, UNODC must use the tools it has within its reach to do so in an even more efficient and effective way. This means firstly, in terms of tools, fully realizing the potential of RBM, KM, coherent and aligned planning as well as strengthening monitoring and evaluation as well as transparency through ensuring that its governance of XB-funded activities is scrutinized by the GA review and oversight. Secondly, regarding ambitions, in order for UNODC to become a centre of

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<sup>35</sup> This was in line with OIOS recommendation in A/56/83. In its report on “Commitment to Good Governance” UNODC/EDI, UNODC contemplated the full implementation of the “4Rs”:

1) At the field offices level, a study on their reconfiguration.  
2) At the level of management, the reorganization of the office including the application of HR management including gender balance.

3) Recruitment of young and international staff, among other initiatives.

<sup>36</sup> Specifically the application of paragraph 2.4 of ST/SGB/2002/4, and Annex IV of ST/AI/234 Rev.1.

excellence on drugs, crime and anti-terrorism issues, it needs to clarify its internal roles and comparative advantages as well as support, strengthen and where necessary rationalize the FOs network to deliver the technical assistance programme. Lastly, regarding resources, it needs predictable and stable funding so that it is able to attend to Member States' request to build their capacity to face these colossal challenges.

## **VI. RECOMMENDATIONS**

### **Recommendation 1**

49. a) UNODC should undertake a review of the mandates received by the intergovernmental bodies to determine if there are mandated activities including core functions which are not funded through the RB. Such review should be presented to the General Assembly at the time of its consideration of the 2008-2009 budget. (SP-06-005-001(a)) (paras. 10-13)<sup>†</sup>.

b) A balanced and strategic approach to programme implementation should be taken by UNODC to prioritize the delivery of mandated activities over new initiatives with precarious or uncertain funding which deviate from the approved plan. (SP-06-005-001(b)) (paras. 10-13)

### **Recommendation 2**

50. a) Departing from the finalization of the Strategic Plan and its subsequent business plan, UNODC needs to harmonize its different planning documents, budget methodologies, presentation and substantive elements to include all logical framework components regardless of their source of funding, as well as its administrative, management and geographic components and consolidate them into one. This master document should be the basis for the budget presentation at the various levels<sup>37</sup>. (SP-06-005-002(a)) (paras. 15-16).

b) All internal planning documents, SPF and project plans must be clearly linked to this comprehensive plan and be endorsed by the GA in its normal budget review and approval process. c) UNODC should use a uniform nomenclature and definitions to conform to the UN Secretariat terminology supported by the development of a glossary of terms to further instill internal clarity among its users based on the Secretariat Glossary of M&E Terms. (SP-06-005-002(b)) (paras. 15-16).

### **Recommendation 3**

51. UNODC should engage in consultation with the major donors and beneficiaries of its services with a view to creating a formal Consultative Committee of donors and beneficiaries. This forum would help to increase transparency in the funding process and the use of the GPF. UNODC should prepare clear and detailed reports on the use of the GPF and make them available to Member States. A global approach to fund-raising should be developed, including a fund-raising strategy that includes an appeal (in line with CND resolution 46/9 paragraph H), a pledging conference based on the Strategy and focused on increasing public awareness of UNODC's work. If further GPF savings are necessary, these should be based on

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<sup>†</sup> An internal code used by the Office of Internal Oversight Services.

<sup>37</sup> The budgets that are presented to the CND, CPCJ and GA.

the strategic analysis of mandates, priorities and needs mentioned in Recommendation 1. (SP-06-005-003) (paras. 17-18).

#### **Recommendation 4**

52. Fund-raising should be coordinated by the CPS in order to avoid donor confusion and lack of coherence; CPS should develop clear procedures and guidelines to be used by Branches, Sections and FOs to allow them to become more coherent and effective in their fund-raising efforts. (SP-06-005-004) (para. 19).

#### **Recommendation 5**

53. UNODC should review its TOR and ST/SGB/2004/6 to clarify the functions of the respective Divisions, Branches and Sections, avoid duplication and highlight complementarities and comparative advantages between its different components. The role and functions of working teams should be encouraged and incorporated in this review to allow inter-section/branch and divisional collaboration for determined outputs and projects. (SP-06-005-005) (para. 20).

#### **Recommendation 6**

54. To improve coordination and follow-up on important management initiatives, UNODC needs to establish a clear function that will be responsible to move them forward and follow-up on their progress - ideally a Deputy Executive Director with a dedicated responsibility over it. (SP-06-005-006) (para. 21).

#### **Recommendation 7**

55. a) UNODC should develop guidelines and process flowcharts to clarify FOs procedures regarding Human Resources, particularly on recruitment and renewal of contracts specifying expected timeframes of service delivery. Based on the FOs needs, a Field Presence Manual should be developed including the most common administrative procedures and processes to facilitate FO operations. An induction manual for new FO staff should also be made available. (SP-06-005-007(a)) (paras. 22-23).

b) UNODC should allocate training funds to the FOs and find innovative ways to provide them substantive and competency based training by way of regional workshops in conjunction with other regional based UN entities, organizing group substantive training on every opportunity staff are on mission to FOs. The use of electronic training to disseminate knowledge such as e-learning or e-courseware should be made available. (SP-06-005-007(b)) (para. 22-23)

*Subject to funding, an extensive training programme on RBM, PCM and evaluation procedures will be implemented in the course of 2007*

#### **Recommendation 8**

56. UNODC should ensure that a proper support and backstopping is available to FOs. Redeployment should not be implemented unless thorough studies justify it based on its

comparative advantages; benefits to the organization and its effectiveness keeping in mind the core needs and substantive backstopping necessary for effective FOs operations. (SP-06-005-008) (para. 24).

#### **Recommendation 9**

57. Based on the strategy, UNODC should undertake a comprehensive review of the FOs to assess the regional/national needs of Member States, UNODC goals, and FO's strategic programme frameworks, past performance and priority areas based on assistance needs/gaps. The study should include the cost-effectiveness of operations in a regional or national set up. This review should be presented to Member States and be formalized in the Budget Fascicle. Alternative mechanisms should be established to assist the Caribbean region while the re-profiling study is finalized in order to continue UNODC support to the region. (SP-06-005-009) (para. 24).

*The problem of funding is by no means unique to UNODC or solely within the purview of UN UNODC's management, but affects the whole UN system. UNODC greatly regrets the need to close its Regional Office for the Caribbean yet recognizes that the responsibility for maintaining the viability of the UNDCP Fund requires that its management take difficult decisions as and when they are required. The functions of the Regional Office for the Caribbean have been transferred to the UNODC Office in Mexico*

#### **Recommendation 10**

58. a) The Annual FO Representative Seminar should be used as a forum where programmatic performance assessment, best practices and lessons learned are discussed and shared. A mechanism to implement its conclusions and recommendations should be established by identifying the responsible units and deadlines for its completion. Regional meetings of experts and staff should also be considered as supplementary arrangements to share knowledge on thematic areas. (SP-06-005-010(a)) (para. 25).

b) A knowledge sharing platform should be facilitated to allow for FOs interactive communication and creation of e-working teams. (SP-06-005-010(b)) (para. 25)

#### **Recommendation 11**

59. Clear criteria and periodicity for FOs management reviews should be agreed upon and approved by Executive Committee (ExCom). Management visits/reviews should be used as opportunities to exchange information and train staff in FOs regarding rules, regulations, and substantive issues where insufficient expertise is available. Recommendations issued in the reports should include deadlines, be tracked and its implementation reviewed by ExCom. IEU should be consulted and appraised on the development of the TORs and its findings. Summary of recommendations not implemented should be reported in the IEU Annual Report. (SP-06-005-011) (para. 26).

#### **Recommendation 12**

60. UNODC should decide on the most effective way to streamline the number of reports currently requested from the FOs based on suggestions of paragraph 27, Management Instructions should be revised accordingly. (SP-06-005-012) (para. 27).

### **Recommendation 13**

61. ExCom meetings should be organized to allow for UNODC specific discussions and clarity of advice before decisions are taken by the ED as well as its review and follow-up. Periodic reports and reviews on decisions not implemented should be reviewed and disseminated. When required, participation and substantive agenda related to other entities should be discussed. ExTrack access should be provided to staff members at large to enhance transparency in the ExCom mechanism. Guidelines for discussion and promulgation of MIs should be endorsed by the ExCom. All MIs should be signed by the ED. (SP-06-005-013) (paras. 28-30).

### **Recommendation 14**

62. The MRC and SST mechanisms need to be revitalized to ensure discussion, exchange of ideas and coordination. These should have the participation of middle management and FOs. The discussions, decisions and follow-up actions should be widely disseminated and be available to all. (SP-06-005-014)(para. 31).

### **Recommendation 15**

63. a) The remaining phases of PCM should be implemented without delay and in close coordination with the IEU and guided by the findings of the PCM diagnostic report. UNODC should provide all necessary and efficient support to FOs to allow for timely project implementation. (SP-06-005-015(a)) (paras. 32-33),

b) PPC should undertake a semi-annual Project Portfolio assessment of results and ensure that SPU confirms alignment between projects and UNODC objectives in all instances prior to approval. The PPC decisions should have clear approval criteria which must be incorporated in ProFi through a checklist. (SP-06-005-015(b)) (paras. 32-33).

*This review will be required to consider results pending a review of its merits, implementing modalities and responsibilities. In due course MI/11/Rev.3 on PPC will be amended. To avoid unproductive process stages, the alignment between projects and UNODC objectives prior to approval, will be done by the Chief of Branch of the submitting office.*

### **Recommendation 16**

64. a) An RBM mechanism/function should be established to coordinate all aspects of its implementation including monitoring and reporting, uniform approaches for data collection and appropriate collaboration within the different levels to establish responsibilities, ensure compliance, report on gaps and deficiencies, suggest remedial actions and provide support. Responsibility and follow-up mechanisms need to be established to ensure active involvement and commitment from management and staff.<sup>38</sup> (SP-06-005-016(a)) (paras. 34-35).

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<sup>38</sup> Programme and subprogramme managers should ensure that their planned activities are undertaken in a timely manner and appropriate mechanism are established within their organization entities to undertake monitoring and reporting of their operations including performance assessment based on the GA commitments. Ideally this RBM mechanism/function could be placed under the Office of the Deputy ED or a Unit dedicated to deal with Planning, and Evaluation, but it should closely work with the office of the ED and should support the periodic reviews of the ExCom.

b) The ExCom should periodically (every six-months) review performance assessment as a standing item on its agenda, to ensure compliance and effectiveness of RBM implementation as well as to identify and decide on remedial actions. (SP-06-005-016(b)) (paras. 34-35).

#### **Recommendation 17**

65. a) In compliance with the PPBME, all activities and achievements, regardless of their source of funding and based on the approved programme of work, are to be reported through IMDIS. In order not to duplicate efforts, streamline reporting and in line with RBM, the annual report should be results-based, and should take into consideration the global commitments made by UNODC. (SP-06-005-017(a)) (paras. 36-37).

b) UNODC should organize a comprehensive RBM training in order to provide its staff and management with the necessary skills to implement it. (SP-06-005-017(b))(paras. 36-37).

#### **Recommendation 18**

66. a) UNODC should strengthen the independence of the IEU by restructuring its reporting arrangements in line with the UNEG norms and standards for evaluation, establishing a mechanism to follow-up and monitor on the status of implementation of its recommendations and making those findings and status reports readily available to Member States by way of their reports including the IEU Annual Evaluation Report. (SP-06-005-018(a)) (paras. 38-39).

b) Definitions, guidelines, policies, methodologies and instructions pertaining to the evaluation function should be clarified and refined in accordance to UN Secretariat practices and in line with UNEG norms and standards. The IEU TOR should also be reviewed and clarified. (SP-06-005-018(b)) (paras. 38-39).

#### **Recommendation 19**

67. a) A review of all UNODC applications should be made to determine their usefulness and effectiveness in order to streamline their number and structure. The revamping of the intranet would further support this effort. In order to streamline information flows and promote the effective use of IT, procedures, roles and the comparative advantages of the IT tools should be clarified by issuing guidelines and organizing them into a user-friendly portal. These guidelines should be monitored and enforced in HQ and the FOs. (SP-06-005-019(a)) (paras. 40-41)

b) In line with RBM, ITS should develop a logical framework and a mechanism for monitoring and reporting on its own performance so that the intergovernmental bodies become aware of ITS achievements. (SP-06-005-019(b)) (paras. 40-41).

#### **Recommendation 20**

68. A communications strategy should be developed in line with UN-wide public information strategy, including the most effective use and selection of goodwill ambassadors. Guidelines on how to deal with the press should be disseminated to the FOs and Headquarters. (SP-06-005-020) (para. 42).

### **Recommendation 21**

69. A KM strategy and an action plan to implement it should be developed as a priority in close consultation with FOs. The strategy should aim at enhancing knowledge sharing, cooperation and coordination within UNODC, but also at establishing UNODC as a source of knowledge at the global, regional and subregional levels on crime, drug and anti-terrorism issues to ensure the widest possible access to information. (SP-06-005-021) (para. 43).

### **Recommendation 22**

70. HRMS should incorporate to its performance management system client satisfaction measures to improve its performance and identify areas where improvement is needed. Substantive training must be prioritized and training management should be enhanced by the use of group and electronic training, as well as applying a rotation mechanism to ensure even staff participation. (SP-06-005-022) (paras. 44-45).

### **Recommendation 23**

71. The accountability panel on HR compliance should be established and every effort should be made to improve on the targets set for 2006. In consultation with the Ombudsman office in NY, UNODC's Ombudsman should be appointed without delay. (SP-06-005-023) (paras. 46).

### **Recommendation 24**

72. The Office for Drugs and Crime should share the findings and conclusions of this report directly with CND and CPCJ. (SP-06-005-024).

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