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Independent Evaluation Unit

Evaluation of the Development Account Component of the National Drug Control System

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Acronyms

| | |
|----------------|---|
| ARQ | Annual Reports Questionnaire |
| BUGIS | Betäubungsmittel Und Grundstoffe Information System |
| CND | Commission on Narcotic Drugs |
| DA | Development Account |
| EDIFACT | United Nations Directories for Electronic Data Interchange for Administration, Commerce and Transport |
| ICT | Information Communications Technology |
| IDS | International Drug Control System |
| INCB | International Narcotics Control Board |
| IT | Information Technology |
| ITS | Information and Technology Section |
| LAN | Local Area Network |
| NDS | National Drug Control System |
| OIOS | Office of Internal Oversight Services |
| OS | Operating System |
| PC | Personal Computer |
| UNDCP | United Nations International Drug Control Programme |
| UNDESA | United Nations Department of Economic and Social Affairs |
| UNODC | United Nations Office on Drug and Crime |
| VER | Version |

In brief...

The NDS project, under the context of the Development Account, achieved most of the objectives and expected results. A majority of the Member States reported the usefulness and performance of the system as high. The NDS has raised awareness on the value of using information technology amongst the Member States for the purposes of collecting, processing and storing data in the context of international drug control. At the same time, the evaluation identified a number of critical issues that need to be addressed.

EXECUTIVE SUMMARY MATRIX

Summary table of major findings, supporting evidence and recommendations

| Findings | Supporting evidence/ examples | Recommendations |
|--|---|---|
| <p>The “project document” on NDS was inaccurate and misleading, particularly on the description of the status of NDS installation in Member States. The project was implemented using only a proposal as its framework of reference.</p> <p>Note: Authorship of the “project document” cannot be attributed to the current ITS staff since it pre-dated their tenure.</p> | <ul style="list-style-type: none"> • The document suggested that, by the time DA funds were disbursed, 25 Member States had already fully operational NDS installed. In reality only 16 countries had NDS installed. While software had been developed, tested, and installed by the end of Phase II of NDS, as initially envisaged, no country had fully adopted it since the system was inoperative. • The “project document” used for this evaluation is entitled “Computer and Telecommunication System for International and National Drug Control (NDS) – A UNDCP proposal: Use of Development Dividend.” | <p>Management should commission an independent inquiry regarding the circumstances culminating in misleading information appearing in the project proposal, as well as how the project subsequently dealt with the situation it encountered.</p> <p>UNODC must ensure that no projects are implemented solely on the basis of a project proposal.</p> |
| <p>The DA funds were used in part to develop a new software package from scratch in order to “fix” problems that had not been mentioned in the proposal, rather than being used fully to expand the system to additional Member States as was foreseen.</p> | <ul style="list-style-type: none"> • Since there was no satisfactory system in operation in Member States, the software had to be developed, tested, and installed as soon as the DA was disbursed. | <p>An audit of the Development Account component of NDS should be carried out.</p> <p>A complete evaluation of NDS should be conducted.</p> |
| <p>Once the basic software problems were resolved, the originally intended rollout of the system to Member States began. A majority of the Member States reported the utility and performance of the system as high.</p> | <ul style="list-style-type: none"> • Of 11 Member States assessed in this evaluation, eight reported that they “Always” use NDS (73 percent), two reported “Often” (18 percent), and one reported “Rarely” (9 percent). • Member States rated the overall performance of NDS positively: 2 rated NDS as “Excellent”; 7 “Good”; 1 “Fair”; 0 “Poor and one left the question blank | <p>Continue the NDS initiative with the implementation of the recommendations contained in this report.</p> |
| <p>Sustainability is a concern.</p> | <ul style="list-style-type: none"> • The Member States were asked whether they could sustain the system without UNODC assistance: 4 stated “often,” 2 “rarely,” 3 “never” and 2 left the question blank. • All of the 11 Member States had at least some personnel trained. Yet only 7 had IT departments in their countries, of which only 5 had their IT staff trained in the system. | <p>Conduct a training needs assessment of Member States that will form the basis of NDS training activities. Authorship of the “project document” cannot be attributed to current ITS staff since it pre-dated their tenure. Increase the visibility of the information exchange forum on the NDS website.</p> |

| | | |
|---|---|--|
| <p>Data from Member States are currently transmitted to INCB through various means. Some Member States send their data via NDS, yet the data are not compatible with the system currently in use by INCB.</p> | <ul style="list-style-type: none"> • Data are transmitted to INCB through one or more of the following means: email (n=10), post (n=9), fax (n=6), and NDS (n=5). • All data from Member States currently have to be manually keyed-in once received at INCB. | <p>A more compatible system, International Drug Control System (IDS), is currently under development. Continue this effort until a fully compatible system is in place between Member States and INCB.</p> |
| <p>An opportunity for a potentially broader collaborative mechanism was missed by not having brought in INCB and other UNODC sections as stakeholders in the NDS project.</p> | <ul style="list-style-type: none"> • Currently ITS has the sole responsibility for technical and substantive aspects of the NDS initiative. | <p>Management should establish an internal steering committee that includes INCB and other UNODC sections, and charge it with administering the project.</p> |

Executive Summary Matrix Key

| | |
|------|---|
| LAN | Local Area Network |
| GA | General Assembly |
| NDS | National Drug Control System |
| IDS | International Drug Control System |
| INCB | International Narcotics and Control Board |
| UN | United Nations Office on Drugs and Crime |

EXECUTIVE SUMMARY

In 1994 Member States and the International Narcotics Control Board (INCB) recognized that improvement in data and information management and a shift towards electronic information exchange would promote better control on the movement, manufacture and consumption of internationally controlled narcotics drugs, psychotropic substances and precursor chemicals. The Member States mandated the United Nations Office on Drugs and Crime, UNODC (then the United Nations International Drug Control Programme or UNDCP), to facilitate data and communications technology for controlled drugs and substances traded licitly. UNODC applied technology to achieve the requirements and set out to develop a comprehensive computer database system, i.e. the National Drug Control System (NDS).

In 1996 the NDS project began to operate with a contribution from Switzerland. Over the following several years, the NDS project was to have developed, tested and released several versions of the database system to meet the needs of the Member States in tracking the growth of licit drug production and substance transactions.

Recognizing the importance of NDS in building national capabilities, especially in developing countries, the General Assembly approved US \$1.1 million for support of the NDS in 1999 from the special fund, the Development Account (DA). The DA component of the NDS project was to be used for expanding the system that was supposedly already developed and operational. This evaluation was designed based on this assumption.

The present evaluation, which was initiated at the request of the United Nations Department of Economic and Social Affairs (UNDESA) at the end of the DA component of the NDS project in 2003, attempted to measure, among others: i) appropriateness of the project design and implementation modality; ii) the extent to which the project objectives had been achieved and iii) usefulness of the system for Member States and UNODC. The scope of the evaluation, therefore, was the period during which the NDS project had specifically benefited from the DA, i.e. 1999-2003. Various methods were used for the present assessment, including a review of relevant documents, interviews with key informants, and a Member States questionnaire.

This report presents results collected through the questionnaire from eleven Member States that had received the NDS under the DA. The number of Member States was significantly lower than initially anticipated for this evaluation due to several unexpected factors identified during the exercise.

According to the DA-NDS “project document”, as provided to the evaluator, there were three major phases to NDS: “[...] the first phase was the actual development and test of the software package (1995-1996). The second phase covered implementation of the system in 25 countries (1997-1998). **The third phase suggested for [DA] funding covers expansion of the system both geographically and substance wise (1998-2000).**”

Based on the assumption that the NDS had already been implemented in 25 countries and that the DA component was used for “rolling-out” the system to an additional 25 countries, the evaluation began by contacting the Member States with the understanding that only the data from DA-beneficiaries would be used in the final report. Unfortunately, in reality, only 16 countries had installed some versions of NDS as a result of the DA disbursement. Only at a later stage of the evaluation was the reason for this discovered.

The most important finding of this evaluation had nothing to do with the achievement of objectives or if the outputs had been produced. Alarming, the evaluation found that the “project document” was **inaccurate** and **misleading** in representing the basis used for justifying the funding request.

In reality, the software developed and tested in phases I and II was not being used by any Member States due to it being considered inoperative; there were no countries “using” the system as such. The project document was misleading, therefore, in stating that 25 countries were implementing the system and that the DA component would be used for an **expansion**.

ITS confirmed that given this situation, DA resources were used in developing, testing and implementing software that was already supposed to have been in place. Only then could the DA component be implemented as intended.

It is important to note that the authorship of the “project document” cannot be attributed to current ITS staff since it pre-dated their tenure.

A second important finding was that the “project document” was nothing more than a three-page project **proposal**. The document listed only some general objectives and three expected outputs. This was the sole basis for the “execution” of \$1.1 million dollars.

The implication of using DA resources for unintended purposes could not be determined with any certainty. The only thing that can be stated for certain is that not all the funds were used for the approved purpose.

Considering that the start of the project was flawed, ITS nonetheless attempted to comply with the terms of the document once the initial hurdles had been overcome. Based on results from eleven DA beneficiary Member States that responded to the questionnaire, the DA-NDS project achieved most of its primary objectives. A majority of Member States found that NDS had met their expectations and rated the overall NDS performance highly favorably.

The three expected outputs spelled out in the project document and the result achieved were the following:

- Output 1. Expansion of the NDS tool (new information system modules) to cover most aspects of international drug control.

Result: A new software package (unforeseen) was indeed developed and implemented. A majority of the Member States examined reported that they were satisfied with the system.

- Output 2. Reaching a critical mass of national installations to enable cost effectiveness in establishment of support centers.

Result: This was difficult to measure since there were no clearly defined indicators to establish “a critical mass.” In this evaluation, 16 countries have been identified as having installed the system as a result of the DA component.

- Output 3. Establishment of the three first-level support centers (Americas, Europe, and Asia) in addition to the technical software support received from the contractor.

Result: The three support centers were successfully established. Member States reported that the level of support provided by the centers was favorable.

Key findings of the evaluation include the following:

- The project document on NDS was inaccurate and misleading, particularly on the description of the status of NDS installation in Member States. The project was implemented using only a proposal as its framework of reference.
- At the start of the DA component of the NDS, the software in Member States was inoperable. The DA funds, therefore, were used in part to develop a new software package from scratch.
- Once the system was rewritten, the originally intended rollout of the system to Member States began. A majority of the Member States reported the utility of the system as high.
- Data transmitted by Member States through the NDS, however, are not compatible with the system currently in use by INCB. All data have to be manually keyed-in once received at INCB. A system compatible with NDS, International Drug Control System (IDS), is currently under development.

- ITS of UNODC is currently the only facilitator of the NDS project. An opportunity for a potentially broader collaborative mechanism was missed by not having brought in INCB and other UNODC sections as stakeholders in the NDS project.

The evaluation recommends:

- A complete project evaluation of NDS should be conducted.
- An audit of the DA component of NDS should be carried out.
- Management should commission an independent inquiry regarding the circumstances culminating in misleading information appearing in the project proposal, as well as how the project subsequently dealt with the situation it encountered.
- Continue the development and implementation of IDS to ensure systems compatibility with INCB.
- Management should establish an internal steering committee that includes INCB and other UNODC sections, and charge it with administering the NDS.
- Conduct a training needs assessment of Member States that will form the basis of NDS training activities. Increase the visibility of the information exchange forum on the NDS website.

1 INTRODUCTION

1.1 Historical Background

- 1.1.1 The International Drug Control Treaties and Conventions require Member States governments to exercise control on the movement, manufacture and consumption of the internationally controlled narcotics drugs, psychotropic substances and precursor chemicals. The governments face challenges in monitoring and controlling an increasingly complex set of such international transactions.
- 1.1.2 In 1994, the need for improvement in the data and information communication management and a paradigm shift towards electronic information exchange between and amongst Member States and the International Narcotics Control Board (INCB) was recognized. The Member States mandated the United Nations International Drug Control Programme (UNDCP -current UNODC) to facilitate the provision of data communication technology for controlled drugs and substances traded licitly (Commission on Narcotic Drugs [CND] resolution 8 (XXXVII) of 20 April 1994). UNDCP employed technology to facilitate the above requirement and developed a comprehensive computer-based database, the National Drug Control System (NDS).
- 1.1.3 The initial objective of the NDS was to facilitate the fulfillment of the requirements of the International Drug Control Conventions for governments, by providing electronic communications reporting to INCB. However, the NDS objectives have since evolved to meeting the needs of national governments for licit drug control and management.
- 1.1.4 The United Nations Directories for Electronic Data Interchange for Administration, Commerce and Transport (EDIFACT) standards were adopted by the UNODC to facilitate the electronic exchange of data and information. The focus of the NDS strategy over the years has mainly been on establishing the framework and standard setting.

- 1.1.5 An evaluation conducted by the United Nations Office of Internal Oversight Services (OIOS) in 1998 highlighted the request made by the Member States and regional organizations for additional modules to cover data collection activities at the national level and provision of an electronic Annual Reports Questionnaire (ARQ).
- 1.1.6 According to the Terms of Reference for this evaluation, “In 1999 the General Assembly approved \$1.1 million US dollars for the support of the NDS from the special fund, namely the Development Account Fund (DAF). The General Assembly described NDS as an important development in building national capacities, particularly in developing countries. With the capital injection from the General Assembly, UNDCP was able to broaden NDS to serve as the basis for national data management systems and as a means of interaction between developing and industrialized and developed countries.” [UNODC, Project Evaluation, Terms of Reference, Page 2, paragraph 1.]
- 1.1.7 In March 2001, following a user group meeting held in November 2000 in Vienna with representatives from 25 governments, CND adopted a resolution recommending Member States to implement NDS. Furthermore, the resolution requested UNDCP to assist Member States with domestic information collection and provision of an electronic ARQ.
- 1.1.8 The ARQ was made available on the website for download and/or electronic completion by national governments.
- 1.1.9 In 2003, the Development Account component of NDS project was concluded.

1.2 Purpose and Objective of the Evaluation

- 1.2.1 The United Nations Department of Economic and Social Affairs (UNDESA) initiated the present evaluation at the completion of the project in 2003. The purpose of the evaluation is to assess the results of the US \$1.1 million

Development Account component of NDS, thereby fulfilling the requirements that all completed projects be evaluated.

- 1.2.2 The objective of this evaluation is “to measure the NDS performance, achievements of results, impact created in Member States and at the UNODC, assessment of whether and to what extent the NDS has met the needs of the clients, the objectives and mandates of the project.” [UNODC, Project Evaluation, Terms of Reference, Page 2, paragraph 1.] The evaluation also sought, among other things, to determine the appropriateness of the project design and implementation modality.

1.3 Executing Modality/Management Arrangement

- 1.3.1 The Information Technology Section (ITS) of UNODC was tasked with executing and implementing the project and has the overall development responsibility. Three first-level support centers have been established to provide support to Member States, in addition to the software development support received from the outsourced contractor. These centers are strategically located to provide regional support. The support center for Europe and Africa is located at the UNODC Headquarters in Vienna. The support center for North and South America is located at the UNODC Regional Office for Mexico and Central America. Finally, the Asia and Australia support center is located at the UNODC Regional Office in Tashkent, Uzbekistan.
- 1.3.2 It is important to note that the NDS was designed to be implemented at the national level only; therefore, the Secretariat of INCB is not using the system. ITS has commenced development of the International Drug Control System (IDS) that is expected to be compatible with the NDS. Unfortunately, the NDS and the INCB systems are not currently compatible and all the information from the Member States has to be manually re-keyed into the INCB system.

- 1.3.3 It should be noted that some of the Member States' substantive officers, who are already using the NDS system, continue to advise the ITS on the database information and functionality problems for rectification.

1.4 Scope of the Evaluation

- 1.4.1 The scope of this evaluation covers the period financed under the Development Account (1999-2003). Relevant documentation and information covering the periods before and after 1999-2003 was only used for background information purposes. This was important in establishing the contextual setting of the Development Account component of NDS.

- 1.4.2 The evaluation covered the Development Account component of NDS, its project life, user needs analysis, systems training, implementation, monitoring and follow-ups, within the period stipulated above. It is, however, important to note that the NDS is a continuous process; consequently, it was not possible to evaluate the Development Account component in isolation to the whole NDS picture. The detailed itemized parameters of the scope of this evaluation can be referenced in Annex 1, in the Terms of Reference, paragraph 1.

1.5 Limitations and Constraints

- 1.5.1 This evaluation had several constraints and limitations. The NDS is only operational in Member States. It was, therefore, not possible to observe the actual system in use, as there was no provision for any visits to Member States due to insufficient funding for the evaluation. It would have been ideal to visit and study the operations of the system in at least several Member States.

- 1.5.2. The delays experienced in receiving certain information and feedback from ITS, which at times changed the tentative findings, caused disruption of the evaluation process and generated mistrust between the evaluator and the ITS team. Particularly, the fact that the ITS team challenged some aspects of the

methodology and validity of data collected, caused a delay in the completion of this evaluation report.

1.5.3 Some contact details provided by ITS were out-dated and inaccurate, causing delays and/or failure to contact some Member States.

1.5.4 There was no well-defined project document for the Development Account component of NDS, except a three-page proposal. A complicating factor was that the description of project status as reported in that document was incorrect. Further, it lacked critical information to guide the execution of the project itself as well as the present evaluation.

1.6 Methodology

1.6.1 The methodology used during this evaluation consisted of the following: (i) a review of relevant documents and reports; (ii) interviews with key informants regarding operational issues and project evolution; (iii) questionnaires for Member States in order to measure system relevance, efficiency, effectiveness, impact and sustainability.

1.6.2 A total of 25 Member States were supposed to receive NDS under the Development Account. In reality only 16 countries¹ had received it, of which 11 responded (response rate of 69%) to the Member States survey administered by the evaluator (Annex 2). Subsequently, ITS provided the data from the remaining 5 countries². The findings in this evaluation were based on the data from the 11 countries that responded to the survey from the evaluator. The information provided by ITS was only used to confirm the total number of participating countries under the Development Account.

¹ Argentina, Costa Rica, Egypt, Ethiopia, India, Jordan, Kazakhstan, Kyrgyzstan, Lebanon, Mexico, Romania, Slovakia, Tajikistan, Tanzania, Uruguay and Uzbekistan.

² Kazakhstan, Kyrgyzstan, Jordan, Tajikistan and Uzbekistan.

- 1.6.3** Additional information was collected, for background information purposes only. This included electronic questionnaires sent to INCB Secretariat and ITS staff, as well as interviews with UNODC personnel.

2 ANALYSIS AND MAJOR FINDINGS

2.1 Analysis

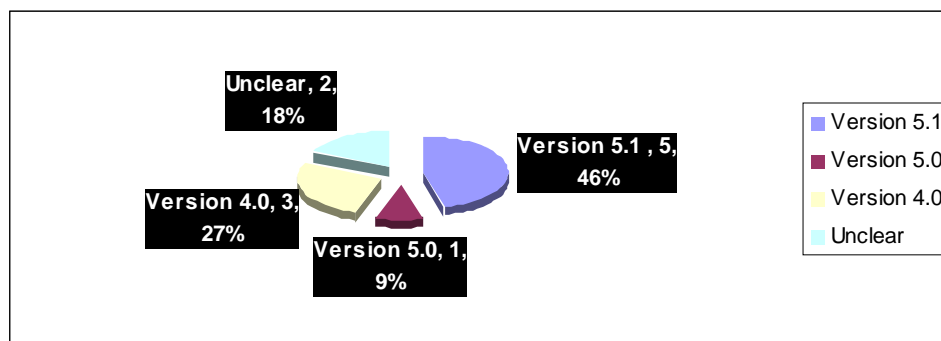
- 2.1.1 The “project document” provided to the evaluator, which is understood by all parties concerned to be the one used as the basis for the implementation of the project, can only be described as inadequate and at times misleading. The document is entitled “Computer and Telecommunication System for International and National Drug Control (NDS) – a UNDCP proposal, use of Development Dividend.” No evidence was presented to the evaluator that a full project document was developed. ITS acknowledged that the whole implementation process was guided by the proposal. It is unacceptable that the whole implementation process was governed by a mere project proposal.
- 2.1.2 The proposal stated that 25 Member States had NDS installed and running, however the evaluation established that this was not the case. According to the proposal, two phases preceded the Development Account component of NDS (Phase I and Phase II). The document states: “[...] the first phase was the actual development and test of the software package (1995-1996). The second phase covered implementation of the system in 25 countries (1997-1998).” The evaluation established that, while software had been developed, tested and even installed, no country adopted it because the software was found to be inoperative.
- 2.1.3 Additionally, the proposal goes on to state: “[...] the third phase suggested for funding covers expansion of the system both geographically and substance wise (1998-2000).” The expansion foreseen in Phase III was for bringing 25 *additional* countries onboard. Upon further review, this was determined not to have been the case. Since there really was no software in operation, new software had to be developed, tested and installed. Only at that point could countries begin

using NDS. The proposal did not mention this fact and therefore funds were disbursed based on misleading information. Compounding matters even more, Development Account funds were used to develop the new software. This was also not contemplated in the proposal. Authorship of the “project document” cannot be attributed to current ITS staff since it pre-dated their tenure.

2.1.4 It is important to note that given the aforementioned, critical assumptions for this evaluation suddenly changed: from a “project” aiming to rollout new modules to additional countries, to a “project” developing a new software from scratch.

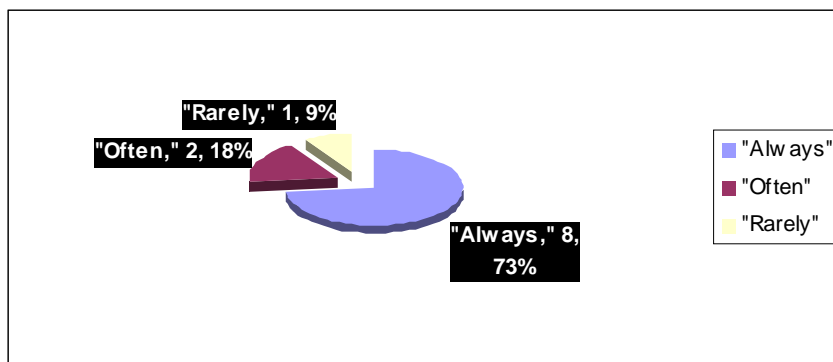
2.1.5 In the context of the Development Account, different versions of NDS have been installed; five Member States had version 5.1; one country version 5.0; three Member States version 4.0; and two Member States were not clear on the version they had installed (Figure 1). Seven out of the eleven DA Member States had computerized their operations prior to the NDS installation. Three of these Member States (Uruguay, Costa Rica and India) continue to use two systems, i.e. their own systems and NDS, due to operational problems and/or additional requirements that are not fulfilled by NDS. The remaining four Member States discontinued the use of their systems and only use the NDS, an indication of a high confidence level in the operations of the NDS.

Figure 1 NDS Versions Installed in Development Account Member States



- 2.1.6 The DA NDS installations in Member States were implemented between 2001 and 2004. The installations under the DA implemented in 2001 were in Lebanon, Ethiopia and Uruguay. Further installations implemented in 2003 were in Slovakia, Mexico, Tanzania and Costa Rica. The last four installations were implemented in 2004 in Romania, Egypt, India and Argentina.
- 2.1.7 Most Member States do have IT departments in house and hence would require technical capacity enhancement in this area. Further, it was noted that all Member States had access to Internet and a Local Area Networks (LAN), except for Egypt and Ethiopia, which do not have a LAN. This is a good indicator of the existence of the basic infrastructure prerequisite for computerization.
- 2.1.8 Member States ratings of the systems manuals were fairly positive. The following ratings were given to the question, "Do you find the manual useful?": only one stated "Always", five "Often", one "Rarely", one "Never", and three left blank.
- 2.1.9 Eight out of 11 Member States reported that they "always" use NDS, whereas two Member States "often" use it, and one Member State "rarely" uses the NDS (Figure 2).

Figure 2 Usage of NDS by Development Account Member States



- 2.1.10 The NDS as it stands now was designed for use by Member States only. This evaluation found, however, that an opportunity was missed by excluding the participation of INCB Secretariat and other UNODC sections in the development and use of the system as well as the management of the initiative.
- 2.1.11 The development of NDS excluded the INCB Secretariat which in fact is a major stakeholder in NDS. Further, other sections and units of UNODC should have been considered as stakeholders of NDS. Had this been the case, additional benefits may have been derived, e.g. NDS' potential contribution to the organization's strategic plan, its development and a more rational and cost-effective use of resources.
- 2.1.12 The evaluation established, from the responses obtained from the Member States questionnaire, that data are transmitted to INCB through one or a combination of following: email (10), post (9), fax (6) and NDS (5). However, the data sent via NDS cannot be "read" by INCB because their system is not compatible with NDS.
- 2.1.13 While ITS has addressed the issue of creating direct communication between Member States and the INCB Secretariat through International Drug Control System (IDS), this does not address the larger issue of who the stakeholders ought to be and how NDS should be managed as well as how the stakeholders should participate in the future development of NDS.

2.2 Findings

- 2.2.1 The "project document" is inaccurate and misleading. No countries were using the system; therefore no additional countries could be brought onboard.
- 2.2.2 The project was implemented using the proposal as its only framework of reference.
- 2.2.3 At the start of the Development Account component of NDS, the software in place in Member States was inoperative.

- 2.2.4 Development Account funds, therefore, were used in part to develop new software from scratch.
- 2.2.5 Once the basic software problems were overcome, the originally intended roll out of the system to Member States began.
- 2.2.6 A majority of Member States examined in the evaluation use NDS.
- 2.2.7 The data transmitted by Member States via NDS cannot be “read” by INCB due to systems incompatibility.
- 2.2.8 An opportunity for a potentially broader collaborative mechanism was missed by not bringing onboard INCB and other UNODC sections as stakeholders in NDS.

2.3 Overall Performance Assessment

- 2.3.1 NDS has been developed over a long period of time. The first two versions 1.0 and 2.0 were used for demonstration purposes in 1996. In 1997 to 1998, three versions were released 3.0, 3.3 and 3.3E that dealt mainly with the data communication aspect of the NDS. These versions, however, were found to be inoperative by Member States. Therefore, when the Development Account component of NDS was implemented in 2000, version 4.0 was released thereby replacing the non-operational software versions. Since 2002 version 5.0 and 5.1 have been released.
- 2.3.2 NDS versions 4.0 onwards were released to meet Member States’ needs. These versions of NDS can be considered a versatile modular database system but given the comments of Member States new version releases should be expected periodically as needed.
- 2.3.3 The NDS is a bookkeeping tool for Member States to control the manufacturing, cultivation, import, export, consumption and reporting of the controlled licit substances between and among Member States and UNODC.³ The NDS is developed with Oracle and has been fine-tuned to run on any operating system (OS). It can run as a stand-alone or networked package, thereby reducing the

³ The system contains a total of eleven modules: Reports, Parameters, Masters, EDI, EDI-Import Export, Import Export, Establishment Management and Licensing, Individual Seizures, Narcotic drugs, Substances and Precursors Chemicals.

demand in infrastructure issues for many developing Member States. It has very high security levels implemented and it uses state-of-the-art technology to address some of the vital security issues of authorization in the processing of critical and sensitive materials.

2.3.4 The US \$1.1 million Development Account distribution, as confirmed in the project document, provides the following breakdown:⁴

- **Personnel US \$200,000** for “Overall backstopping of NDS project, establishment of users’ requirements for new modules (jointly with Member States), specifying, identifying and monitoring contractors’ development, national implementation and establishment of support centers. Operation of Headquarter (Vienna) Support Center and coordination of the two regional offices’ support activities. Twenty-four, man-month project personnel at the professional level (P2/3) to be located in Vienna.”
- **Contractor US \$700,000** for “Outsourcing detailed system specifications, development and test of new modules, US \$150,000; Implementation of the system in additional 25 Member States (including commercial licenses, 5 days on-site installation and training, travel and accommodation) amounting to US \$150,000; Provision of 2 X 24 man-months contractor personnel to be located at the UNDCP field offices—one in the Americas (e.g., UNDCP field office in Mexico) and one in Asia (e.g., UNDCP field office in Bangkok) US \$400,000. It would be preferred that government with the system installed, would allow their qualified staff to participate in providing assistance to the new users of the system.”
- **Equipment US \$120,000** to “assist the most needy among 25 countries with the provision of equipment (PC, printer, modem, etc.) to run the NDS system, US \$90,000. Equipment and software for development, US \$30,000. Equipment must be purchased locally to enable technical support and maintenance.”

⁴ “The UNDCP Proposal: Use of the Development Dividend – Computer and Telecommunication System for International and National Drug Control (NDS),” Funding Requirement.

- **Documentation and translation** to “provide the NDS applications (screens help text, etc.) and appropriate documentation in English, French and Spanish US \$25,000.”
- **Training US \$50,000** “To enable the technical contractor (Software company) to provide technical training and to support two user group meetings for government US \$50 000.”
- **Miscellaneous US \$5,000.**

2.3.5 It is noted that the use of the funds stated above could not be verified by this evaluation since it did not have the mandate to do so.

2.3.6 The Member States are expected to use the NDS to facilitate the process and management of the transactions so that procedures like data consolidation and reconciliation are quickly achieved for timely reporting purposes among Member States and to INCB periodically. In turn, the INCB communicates information back to the Member States periodically and/or seeks clarifications on different matters to facilitate their information processing and authorizations. Hence, there is need for the systems of the two parties to be interfaced and integrated.

2.3.7 In the context of the Development Account, two Member States rated the overall NDS performance as “excellent,” seven Member States rated the system as “good,” one country rated as “fair,” and one country left a blank response.

2.4 Achievement of Project Results

2.4.1 There are three expected outputs spelled out in the project document:

Output 1. Expansion of the NDS tool (new information system modules) to cover most aspects of international drug control.

Result: If we accept the fact that the “expansion” was not possible, since no country was using the system to begin with, then the first output has been met because

new modules were developed and implemented. The Member States have rated the question “Have systems expectations been met?” as follows: 5 Member States “often,” 3 Member States “always,” one “rarely,” and two Member States left the question blank. Results indicate that most Member States were satisfied with the system.

Output 2. Reaching a critical mass of national installations to enable cost effectiveness in establishment of support centers.

Result: The second output has been difficult to measure since there were no clearly defined indicators to establish “a critical mass.” In this evaluation, 16 countries have been identified as having installed the system within the context of the Development Account.

Output 3. Establishment of the three first-level support centers (Americas, Europe, and Asia) in addition to the technical software support received from the contractor.

Result: The third output has been achieved: three support centers were successfully established. The overall ratings from Member States on the support provided by the centers were as follows: 4 reported “always,” 5 reported “often,” one reported “rarely,” and one left the question blank.

2.5 Institutional and Management Arrangements

2.5.1 ITS has sole responsibilities for the technical and substantive aspects of the NDS project as it had also for the DA component.

2.5.2 All three established centers are staffed with only one person per site who takes charge for both software development arrangements and the generic first-level systems support to Member States.

3. OUTCOMES, IMPACTS AND SUSTAINABILITY

3.1 Outcomes and Impacts

- 3.1.1 The NDS has raised awareness on the value of using information technology amongst the Member States for the purposes of collecting, processing and storing data in the context of international drug control. It has further highlighted the importance of systems standardization and harmonization. The National authorities' information processing procedures have been simplified. Furthermore, the Member States that otherwise would not have had access to this system had the opportunity to benefit from the Development Account.
- 3.1.2 Positive impact has been observed due to the utility of the mechanism of data collection, processing and storage in Member States. However, this should have been achieved before the start of the Development Account component of the NDS, not exclusively because of it.
- 3.1.3 Member States rated the overall performance of NDS positively: 2 rated NDS as "Excellent"; 7 "Good"; 1 "Fair"; 0 "Poor" and one left the question blank.

3.2 Sustainability

- 3.2.1 Attention needs to be given to making the system sustainable. The Member States were asked whether they could sustain the system without UNODC assistance: 4 stated "often," 2 "rarely," 3 "never" and 2 left the question blank.
- 3.2.2 All eleven Member States had some personnel trained. Not all Member States, however, had an IT department in the respondent's organization. Out of the 11 Member States, 7 reported having IT departments of which five had their IT staff trained.
- 3.2.3 Very few countries are using the NDS website. On the question if Member States have accessed the website: 4 reported "Never"; 3 "Rarely"; 2 "Often" and 2 "Always".

4 LESSONS LEARNED AND BEST PRACTICES

4.1 Lessons Learned

- 4.1.1 The lack of a project document leads to vague understanding of objectives, results and outputs, thereby providing no concrete indicators to measure project performance.
- 4.1.2 Non-participation of key stakeholders from design, implementation and management phases of a project diminishes the value and benefits that may be derived.
- 4.1.3 The absence of a review mechanism to verify the validity and accuracy of information contained in project documents may lead to increased risks of project failure, and potentially damaging organizational and/or individual reputations.
- 4.1.4 When the expected outputs of a project are to be used as an input by third parties, the project must ensure that these outputs are in a useable format.
- 4.1.5 Projects should be developed so as to contribute to achieving the organization's goals. In this respect UNODC must develop an organizational strategic plan to serve as a reference framework for all projects.

5. RECOMMENDATIONS

The following are the recommendations from the evaluation:

- 5.1 A complete project evaluation of NDS should be conducted.
- 5.2. An audit of the Development Account component of NDS should be carried out.
- 5.3. Management should commission an independent inquiry regarding the circumstances culminating in misleading information appearing in the project proposal, as well as how the project subsequently dealt with the situation it encountered.

- 5.4. Continue the development and implementation of IDS to ensure systems compatibility.
- 5.5 Management should establish an internal steering committee that includes INCB and other UNODC sections, and charge it with administering the project.
- 5.6 Conduct a training needs assessment of Member States that will form the basis of NDS training activities. Increase the visibility of the information exchange forum on the NDS website.
- 5.7 UNODC must ensure that no projects are implemented solely on the basis of a project proposal.
- 5.8 Continue the NDS project with the implementation of the recommendations contained in this report.

6. OVERALL CONCLUSION

The NDS project under the context of the Development Account achieved most of the objectives and expected results. Results indicated that a majority of Member States examined in the evaluation indeed use the NDS. At the same time, the evaluation identified a number of critical issues that need to be addressed. Firstly, the misleading and inadequate nature of the project proposal should prompt the management to commission an independent investigation so as to ascertain the reasons for the inaccuracies of the project proposal as well as to lead to recommendations to prevent similar occurrences Secondly, the development and implementation of the IDS, which is fully compatible with the NDS, should be given the highest priority, so as to increase the benefits and efficiency of the NDS. Thirdly, an audit of the DA component of NDS should be carried out. Lastly, the exclusion of the INCB and other UNODC sections from the design, development as well as the implementation of the NDS project diminished the opportunity for all the potentially important stakeholders to collaborate towards and better contribute to achieving the NDS goals.

ANNEXES

- ANNEX 1 Project Evaluation Terms of Reference
- ANNEX 2 Sample questionnaire sent to Member States
- ANNEX 3 Sample questionnaires sent to ITS staff members
- ANNEX 4 List of Member States where Electronic Questionnaires were sent
- ANNEX 5 List of officials interviewed

ANNEX 1 - TERMS OF REFERENCE

UNITED NATIONS INTERNATIONAL DRUG CONTROL PROGRAMME PROJECT EVALUATION TERMS OF REFERENCE

Project Title: National Drug Control System

1. BACKGROUND

Under the international drug control conventions, Governments are required to exercise control over the movement, manufacture and consumption of internationally controlled narcotic drugs, psychotropic substances and precursor chemicals. The number of substances, and the number and nature of the transactions which Governments must monitor and control is increasing. The burden, which this places on Governments, poses a significant challenge, particularly for developing countries.

In 1994 Member States gave UNDCP (now UNODC) the task of facilitating the reporting of statistics to the INCB Secretariat by electronic means on substances traded licitly (Commission on Narcotic Drugs (CND) resolution 8 (XXXVII) of 20 April 1994¹. In response to this mandate, and with voluntary funds donated by Member States, UNDCP developed a comprehensive computer software product, called the National Drug Control System (NDS), based upon internationally accepted information standards, covering data collection and analysis in line with the requirements of international and national drug control conventions.

The original objective of NDS was to facilitate electronic communication by Governments to INCB to fulfill their obligations under the international drug control conventions. The purpose of the NDS has since evolved, and it's no longer focused on reporting to INCB, but rather on meeting the perceived needs of national governments for drug control.

Accordingly, the overall project strategy during the last decade of UNDCP's (UNODC) work on NDS has focused on two aspects. First, establishing the framework and standard setting. UNDCP (UNODC) has established standards to facilitate electronic exchange of data and information. This is now being expanded to include the revised Annual Reports Questionnaire (ARQ) structure so that it today is based upon best practices and can be used for national policy making. Second, developing a tool to ease collection and management of data. UNDCP has developed NDS to include all the required components for domestic data collection, intergovernmental exchange and international reporting.

In 1998, the United Nations Office of Internal Oversight Services (OIOS) in –depth evaluation of UNDCP noted that many countries had requested that the remaining data collection activities of UNDCP be included in NDS such as ARQ. In 1999, the General Assembly approved 1.1 million US dollars to support of NDS out of the special fund: the so-called Development Account. The General Assembly described NDS as an important development in building national capacities, particularly in developing countries”. With the capital injection from the General Assembly, UNDCP was able to broaden NDS to serve as the basis for national data management systems and as a means of interaction between developing and industrialized countries.

In November 2000, representatives of 25 Governments came to Vienna for the third NDS user's group meeting. They spent three days examining the new system. The meeting concluded unanimously that the new version (4.0) of NDS is a comprehensive and mature product that is highly user friendly and ready for detailed testing and possible implementation in many countries. All the participants identified training as the major requirement for success. However, resources for the equipment and licenses in many countries would be a bottleneck unless the United Nations or donor countries would be prepared to assist.

In March 2001 CND adopted a resolution (L13. Rev.1.) recommending States to implement NDS and urged Governments to make additional resources available. The resolution also requested UNDCP to make the ARQ available to Member States by use of electronic means (through NDS) and to assist Member States with domestic information collection.

UNODC is actively considering extending NDS project activities, in particular to provide Member States with training and ongoing support to build national capacity. This would be funded by voluntary contributions. UNODC is currently building on regional support facilities to assist Member States in their daily work both from technical and substantive points of view. Training needs to include both national and international drug control, understanding of questionnaires and forms and support in establishing effective networks from various sectors and authorities within countries.

The funding provided by the Development Account of the United Nations was in the nature of a time-limited project, which expired at the end of 2003. Yet, maintaining the system will require on-going support. No funding is provided in the United Nations regular budget for continued support to NDS. Several of the beneficiary Governments have taken an active interest in supporting the system, but continuity of financial support remains a question.

2. PURPOSE OF EVALUATION

The evaluation was initiated by the United Nations Office of the Under Secretary/DESA. The evaluation is being carried out following the exhaustion at the end of 2003 of the first tranche of the funds provided from the Development Account to the project “National Drug Control Systems”- implemented by UNODC. It is a requirement of the Provisions of the Development Account for all completed projects to be evaluated.

‘The Commission on Narcotic Drugs reaffirmed the need for standards and requested in resolution 1994/8 that UNDCP:’...establish standards to be used in the electronic transmission of data between the Programme and national authorities, responsible for the control of narcotic drugs, psychotropic substances and precursors; and to develop a software package that can be used with personal computers which will provide competent national authorities with the necessary tool for entering, storing, reporting and electronically exchanging data in cooperation with the Programme’

The primary purpose of this evaluation is to measure performance and achievement of results and the impact created by the project “National Drug Control Systems” in Member States and at UNODC. Further, the evaluation will assess whether and to which extent the NDS has met the needs of the clients, the objectives and mandates of the project. The main beneficiaries of this evaluation are UNODC/UNDESA and the Member States.

3. EVALUATION SCOPE

The evaluation will cover the period 1994 to 1998 as background information. The evaluation will focus on the period 1999 to 2003 – the period during which the Development Accounts were used by the project. This is also the period when the actual implementation of the project took place.

The evaluation will address among others the following:

Determine what the need was and how that need was established.
The appropriateness of NDS as an approach to the identified need and the appropriateness of project design in addressing the identified needs/problems.
The appropriateness, effectiveness and sustainability of the NDS in meeting the needs of Member States and UNODC/INCD
Achievement of results and attainment of objectives of the project
Impact created by the NDS both at INCD and Member States levels
Sustainability and future funding of the NDS beyond the Development Accounting. Funding prospects for the maintenance of NDS.
Execution Modality, - administrative and managerial support from UNODC/UNOV
Usefulness of NDS from the perspective of National Governments
Usefulness of NDS from the perspective of international drug control
Usefulness of NDS from the UNODC users' perspectives
Determine the role played by Member States in the development and implementation of the NDS.
Determine if the project has provided training and developed skills and capacities of Member States to implement and maintain the NDS
Determine if voluntary funds for training personnel in developing countries was raised and used for the purpose
Establish if the project implementation has been affected by any major constraints and problems
Make appropriate recommendations
Draw lessons from the planning, development and implementation of this project

4. EVALUATION METHODS/METHODOLOGY

The evaluation methodology will include the following:

A desk review of relevant documents
A technical review and examinations of the NDS to test its strengths and weaknesses, user friendliness and appropriateness
Questionnaire to user governments/user groups (if needed) or interview by telephone
Interviews with project staff.
Interviews/consultation with information technology experts
Interview with non-information technology UNODC users
Carry out a system audit
Carry out a utility/usefulness assessment
Presentation of preliminary findings at the end of the visit to Vienna
Prepare draft report
Share draft report, receive and incorporate comments as appropriate
Preparation of Final Evaluation Report

5. EVALUATION TEAM

An independent evaluator with IT expertise and systems audit will be identified to carry out this evaluation.

6. PLANNING AND IMPLEMENTATION ARRANGEMENTS

The evaluation should be completed by 12 August 2004. The following timeframe is suggested:

June 2 – 17 preparation of TOR and identification of evaluator
June 21 – 30th recruitment of consultant and all travel arrangements,
July 1 - 4th preliminary reviews of documents and development of instruments.
July 5 – 17 evaluator works in Vienna (interviews, review of documents and presentation of preliminary findings
July 19 – 30 Further analysis and produce first draft
August 2 – 13 comments on draft report from stakeholders
August 16 – 20th finalization of report
August 23rd submission of report to IEU by evaluator
August 26th – distribution of report to New York and other stakeholders

Deliverables of the Evaluation:

- Detailed evaluation plan (to be prepared by evaluator and submitted to Chief IEU)
- Developed evaluation instruments where appropriate (instruments to be approved by Chief IEU)
- Preliminary Findings (presented to stakeholders)
- Draft Report with findings, lessons and recommendation presented to IEU as per schedule
- Final Evaluation Report submitted to IEU as per schedule

7. CONSULTANT TASK, EXPECTED OUTPUTS AND CONTRACTUAL ARRANGEMENTS

The evaluator is hired as an independent consultant who is competent to handle the entire assignment. In performing the task the consultant will work closely with the Chief of the Independent Evaluation Unit who will provide guidance. The consultant will also work closely with the staff in the NDS project who will provide information, logistical support as well as technical guidance. The consultant will also consult with other UNODC officials as guided by the Chief IEU and the NDS staff. The consultant will be expected to produce all the outputs as shown above.

Consultant Tasks:

- Review all documents provided by the project staff
- Review, examine the technical aspects of NDS
- Interview all key personnel to gain a full understanding of the project
- Prepare preliminary findings and present them to the stakeholders
- Prepare and submit draft report
- Incorporate comments and inputs as appropriate
- Prepare and submit final evaluation report

Consultant/Evaluator Travel:

Due to the nature of the evaluation, the core of work will be done in Vienna and at home base. The assignment will require the consultant to travel to Vienna and spend about 16 days. The draft and final reports will be finalized at the consultant home base.

Performance Indicators:

The consultant/evaluator will produce a work plan by the end of second working day in Vienna
Produce a list of key officials to be interviewed by the end of the second working day in Vienna
At the end of the third week the consultant will have produced preliminary findings and make a presentation
Consultant will have submitted to the Chief of Independent Evaluation Unit a draft report as shown in the schedule above
Following the comments and inputs the evaluator will have submitted to the Chief of Independent Evaluation Unit a final evaluation report not later than the 23rd August 2004

Qualifications and Experiences of the Evaluator:

The evaluator should have a minimum advanced university degree or equivalent and expertise in the following:

Information Technology
Computer Science
Computer Engineering and Software development
Systems development and audit
Expertise in design, development, deployment and testing of client/server systems based on Oracle 8i/9i
Expertise in a rapid development environment like Visual Basic and/or Power Builder.

The candidate will have a minimum of 10 years experience in information technology, software development, and system audit. The candidate should have experience in evaluating software and other user applications. Familiarity with project Programme evaluation will be an added advantage.

Attachments:

- Guiding Principles for Evaluators at UNODC
- Standard format and guidelines for project evaluation report

ANNEX 2 – SAMPLE QUESTIONNAIRE SENT TO MEMBER STATES

For any assistance, queries and the return of completed forms contact and/or forward to thandiem2001@yahoo.com

Instructions on how to complete the form electronically

To complete the form electronically, select one option for each choice unless otherwise instructed differently. Type in explanations and other narrations you wish to include in the space provided, the space will expand as you type the text. The fields with an arrow facing down require your selection from a list of choices. You can use both the mouse and the directional arrow keys on your key board to move from one question to the other. After completion you should click on save and then email the document as an attachment to the above email address. Please note that your form may be more than 3 pages after completion depending on the information you have provided.

Section 1: Personal Profile

| | |
|--|---|
| Name (Last and First Names) | |
| Email address | |
| Gender | Female <input type="checkbox"/> Male <input type="checkbox"/> |
| Position / Job Title | |
| Organization and Country | |
| Telephone No. (Country code + city code + No.) | |

Section 2: Back Ground Information

Please mark either Yes or No and/or provide answers in the space provided

| | Yes | No |
|---|--------------------------|--------------------------|
| 1. When was NDS installed in your country at your site? mm/yy Which version? Version 5.1 | | |
| 2. On how many computers was NDS installed in your country? | | |
| 3. Which modules of the NDS are installed in your country? All three | | |
| 4. Which modules of NDS are you responsible for? All three | | |
| 5. Were you using any other computer system for drug control management prior to the installation of the NDS? <i>If yes which one?</i> | <input type="checkbox"/> | <input type="checkbox"/> |
| 6. Are you now using two systems? <i>If yes why?</i> | <input type="checkbox"/> | <input type="checkbox"/> |
| 7. Do you have an IT person/s or section in your organization? <i>If yes are they trained in NDS? Yes <input type="checkbox"/> No <input type="checkbox"/></i> | <input type="checkbox"/> | <input type="checkbox"/> |
| 8. Do you have access to and use of internet and/or email? | <input type="checkbox"/> | <input type="checkbox"/> |
| 9. Do you have a Local Area Network (LAN)? | <input type="checkbox"/> | <input type="checkbox"/> |

Section 3: System Relevance

Please mark either Yes or No and/or provide answers in the space provided

| | Yes | No |
|--|--------------------------|--------------------------|
| 10. Were you involved in the development and/or implementation of the NDS in your country? <i>If yes What was your involvement?</i> | <input type="checkbox"/> | <input type="checkbox"/> |
| 11. Have you been trained on the operations and functionality of the NDS? | <input type="checkbox"/> | <input type="checkbox"/> |
| 12. Have you been trained on the implementation and support of NDS? | <input type="checkbox"/> | <input type="checkbox"/> |
| 13. Did you find the training suitable, appropriate and targeted to the right group/s? | <input type="checkbox"/> | <input type="checkbox"/> |
| 14. How many members of your organization or government attended the training? | | |
| 15. Has any other training in NDS been conducted by locally trained personnel? | <input type="checkbox"/> | <input type="checkbox"/> |

Section 4: System Efficiency

Please mark the box that applies most and/or provide answers in the space provided

| | Always <input type="checkbox"/> | Often <input type="checkbox"/> | Rarely <input type="checkbox"/> | Never <input type="checkbox"/> |
|---|------------------------------------|-----------------------------------|------------------------------------|-----------------------------------|
| 16. Are you using the NDS? | | | | |
| 17. How many other staff members use the system? | | | | |
| 18. How many months have you been using the system? | | | | |
| 19. Who provides you with NDS support? | | | | |

| | | | | |
|---|------------------------------------|-----------------------------------|------------------------------------|-----------------------------------|
| 20. Do you require and receive efficient systems support? | Always <input type="checkbox"/> | Often <input type="checkbox"/> | Rarely <input type="checkbox"/> | Never <input type="checkbox"/> |
|---|------------------------------------|-----------------------------------|------------------------------------|-----------------------------------|

Section 5: System Effectiveness

Please mark the box that applies most and/or provide answers in the space provided

| | | | | |
|---|------------------------------------|-----------------------------------|------------------------------------|-----------------------------------|
| 21. Does the NDS meet your requirements and needs, and has it improved your information processing? | Always <input type="checkbox"/> | Often <input type="checkbox"/> | Rarely <input type="checkbox"/> | Never <input type="checkbox"/> |
| 22. Have you used NDS for your international reporting requirements to INCB and other bodies? | Always <input type="checkbox"/> | Often <input type="checkbox"/> | Rarely <input type="checkbox"/> | Never <input type="checkbox"/> |
| 23. When did you start using NDS for reporting? mm/yy | | | | |
| 24. How do you communicate the data to INCB and other bodies? <i>Please check all the boxes that apply</i> | Email <input type="checkbox"/> | Fax <input type="checkbox"/> | NDS <input type="checkbox"/> | Post <input type="checkbox"/> |
| 25. Are you able to meet the reporting deadlines with NDS? | Always <input type="checkbox"/> | Often <input type="checkbox"/> | Rarely <input type="checkbox"/> | Never <input type="checkbox"/> |
| 26. Are you using NDS for information management and control? | Always <input type="checkbox"/> | Often <input type="checkbox"/> | Rarely <input type="checkbox"/> | Never <input type="checkbox"/> |
| 27. Is NDS user friendly? | Always <input type="checkbox"/> | Often <input type="checkbox"/> | Rarely <input type="checkbox"/> | Never <input type="checkbox"/> |
| 28. Do you find the manuals helpful and easy to follow? | Always <input type="checkbox"/> | Often <input type="checkbox"/> | Rarely <input type="checkbox"/> | Never <input type="checkbox"/> |
| 29. How many competent authorities do you have on the NDS for your country? | | | | |
| 30. How many contact points do you have to make to complete all the required INCB forms? | | | | |
| 31. Have you accessed the NDS website and do you find it useful? <i>If yes what do you find most useful?</i> | Always <input type="checkbox"/> | Often <input type="checkbox"/> | Rarely <input type="checkbox"/> | Never <input type="checkbox"/> |

Section 6: System Impact

Please mark the box that applies most and/or provide answers in the space provided

| | | | | |
|--|------------------------------------|-----------------------------------|------------------------------------|-----------------------------------|
| 32. Has the NDS met your expectations? | Always <input type="checkbox"/> | Often <input type="checkbox"/> | Rarely <input type="checkbox"/> | Never <input type="checkbox"/> |
| 33. Are there any improvements you would like to see on the NDS? Explain | | | | |
| 34. What are your recommendations for the NDS? | | | | |

Section 7: System Sustainability

Please mark the box that applies most and/or provide answers in the space provided

| | | | | |
|--|---------------------------------------|-----------------------------------|------------------------------------|-----------------------------------|
| 35. Does the NDS respect the treaties and conventions in effect and does it abide by your own government policies and procedures in drug control and management? | Always <input type="checkbox"/> | Often <input type="checkbox"/> | Rarely <input type="checkbox"/> | Never <input type="checkbox"/> |
| 36. Would you be able to sustain the system on your own without the involvement of UNODC and/or support Centers? | Always <input type="checkbox"/> | Often <input type="checkbox"/> | Rarely <input type="checkbox"/> | Never <input type="checkbox"/> |
| 37. How would you rate the overall performance of the NDS? | Excellent <input type="checkbox"/> | Good <input type="checkbox"/> | Fair <input type="checkbox"/> | Poor <input type="checkbox"/> |

Section 8: General Comments on NDS

38. Any other comments

| |
|--|
| |
|--|

ANNEX 3 – SAMPLE OF UNODC – ITS QUESTIONNAIRE

For any assistance, queries and the return of completed forms contact and/or forward to thandiem2001@yahoo.com

Instructions on how to complete the form electronically

To complete the form electronically, select one option for each choice unless otherwise instructed differently. Type in explanations and other narrations you wish to include in the space provided, the space will expand as you type the text. The fields with an arrow facing down require your selection from a list of choices. You can use both the mouse and the directional arrow keys on your key board to move from one question to the other. After completion you should click on save and then email the document as an attachment to the above email address. Please note that your form may be more than 3 pages after completion depending on the information you have provided.

Section 1: Personal Profile (Optional)

| | |
|--|---|
| Name (Last and First Names) | |
| Email address | |
| Gender | Female <input type="checkbox"/> Male <input type="checkbox"/> |
| Position / Job Title | |
| Organization and Country | |
| Telephone No. (Country code + city code + No.) | |

Section 2: Back ground Information

Please mark either Yes or No and/or provide answers in the space provided

| | Yes | No |
|--|--------------------------|--------------------------|
| 1. Were any users needs analysis conducted prior to the development and /or upgrade of the NDS and consequently the implementation in the Member States? Please attach the completed needs analysis document | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Was consideration taken into account on the complementarity's and coherence of the development/implementation of the NDS in Member States and other cooperating partners including the UNODC, to avoid duplication, conflict and/or compatibility issues? If yes please explain | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. What have been your (ITS) overall design strengths in the objectives, purpose and results of the NDS? | | |
| 4. What have been your (ITS) overall design weaknesses in the objectives, purpose and results of the NDS? | | |
| 5. Were there objectively verifiable indicators of achievements chosen and widely agreed with the stakeholders and beneficiaries? Please list the indicators | <input type="checkbox"/> | <input type="checkbox"/> |
| 6. Was there any prioritization effected on the implementations in Member States of the NDS? Please explain | <input type="checkbox"/> | <input type="checkbox"/> |

Section 3: System Relevance

Please mark either Yes or No and/or provide answers in the space provided

| | Yes | No |
|---|--------------------------|--------------------------|
| 7. Have you allowed for an appropriate degree of flexibility and adaptability to the diverse nature and information volumes in the Member States in the system? If yes please explain | <input type="checkbox"/> | <input type="checkbox"/> |
| 8. Were preparatory policy assessments, reviews, conventions, financial and licensing analysis and planning workshops conducted, with the involvement of the substantive officers and/or authorities? If not please explain | <input type="checkbox"/> | <input type="checkbox"/> |
| 9. Were there appropriate consultations with, and participation of all stakeholders and intended beneficiaries before the design was finalized and implementation commenced in Member States? | <input type="checkbox"/> | <input type="checkbox"/> |

Section 4: System Efficiency

Please mark the box that applies most and/or provide answers in the space provided

| | | | | |
|---|---------------------------------|--------------------------------|---------------------------------|--------------------------------|
| 10. Is the quality of information management through NDS on a day to day basis adequately met in Member States? | Always <input type="checkbox"/> | Often <input type="checkbox"/> | Rarely <input type="checkbox"/> | Never <input type="checkbox"/> |
|---|---------------------------------|--------------------------------|---------------------------------|--------------------------------|

| | | | | |
|--|---------------------------------|--------------------------------|---------------------------------|--------------------------------|
| 11. Was the coordination and relations for information communication amongst and between beneficiaries taken into consideration during the development of the system? <i>Please explain</i> | Always <input type="checkbox"/> | Often <input type="checkbox"/> | Rarely <input type="checkbox"/> | Never <input type="checkbox"/> |
| 12. Are the deadlines for the required information communication for international reporting being met? <i>Please explain</i> | Always <input type="checkbox"/> | Often <input type="checkbox"/> | Rarely <input type="checkbox"/> | Never <input type="checkbox"/> |
| 13. Whilst maintaining standardization as much as possible, was cost and value for money taken into account on the various Member States cost benefit analysis based on the contextual differences? i.e. was the cost of NDS justified? <i>Please explain</i> | Always <input type="checkbox"/> | Often <input type="checkbox"/> | Rarely <input type="checkbox"/> | Never <input type="checkbox"/> |
| 14. Have any unplanned results emanated from the implementation of the NDS in Member States? <i>Please explain</i> | Yes <input type="checkbox"/> | No <input type="checkbox"/> | | |
| 15. What is the value added of NDS to UNODC information management and reporting? <i>Please Explain</i> | | | | |

Section 5: System Effectiveness

Please mark the box that applies most and/or provide answers in the space provided

| | | | | |
|---|---------------------------------|--------------------------------|---------------------------------|--------------------------------|
| 16. Have you (ITS) delivered the NDS benefits to Member States and have they received it as initially perceived by the stakeholders? Please Explain | Yes <input type="checkbox"/> | No <input type="checkbox"/> | | |
| 17. Have any changes in national policies and procedures in Member States been instituted as a result of the implementation of the NDS? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | | |
| 18. When faced with unforeseen external factors how well did the Member States adapt to ensure continuity to meet objectives and derive the benefit? <i>Please explain</i> | Always <input type="checkbox"/> | Often <input type="checkbox"/> | Rarely <input type="checkbox"/> | Never <input type="checkbox"/> |
| 19. Are Member States communicating their information to INCB and other bodies electronically through NDS? <i>If not please explain</i> | Always <input type="checkbox"/> | Often <input type="checkbox"/> | Rarely <input type="checkbox"/> | Never <input type="checkbox"/> |
| 20. Were there any unplanned results that affected the benefits Received by Member States from the use of the NDS? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | | |
| 21. Have they been any shortcomings in meeting the objectives? <i>Please explain</i> | Yes <input type="checkbox"/> | No <input type="checkbox"/> | | |

Section 6: Impact

Please mark the box that applies most and/or provide answers in the space provided

| | | | | |
|--|---------------------------------|--------------------------------|---------------------------------|--------------------------------|
| 22. To what extent have the planned objectives been achieved? | All <input type="checkbox"/> | Some <input type="checkbox"/> | A few <input type="checkbox"/> | None <input type="checkbox"/> |
| 23. Has NDS had an impact on the information communication and exchange amongst and between Member States and UNODC? <i>Please explain</i> | Yes <input type="checkbox"/> | No <input type="checkbox"/> | | |
| 24. Has there been any unplanned impacts in general? <i>If any please explain</i> | | | | |
| 25. How has the non compatibility of NDS and INCB systems I impacted on line reporting by Member States to INCB? <i>Please explain</i> | | | | |
| 26. What was the level of support from Member States and what was their contribution to the NDS project? <i>Please explain</i> | | | | |
| 27. Would Member States be able to continue the use and support of the NDS without UNODC and support centers involvement? <i>Please explain</i> | Always <input type="checkbox"/> | Often <input type="checkbox"/> | Rarely <input type="checkbox"/> | Never <input type="checkbox"/> |
| 28. Are the Member States prepared to take over the NDS technically, financially and managerially at the end of the project? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | | |

| | | |
|---|---------------------------------|--------------------------------|
| <i>Please explain</i> | | |
| 29. Was the project budgeted adequately for its purpose? <i>Please explain</i> | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| 30. Does the technology knowledge, process or service provided fit in with needs, culture, traditions skills or knowledge? <i>Please explain</i> | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| 31. Do you think the NDS should be jointly managed by the substantive officers (INCB) and the ITS unit? <i>Please explain</i> | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| 32. Are all the three modules of the system implemented in all Member States? <i>If not please explain</i> | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| 33. Do you think that there is sustainable support of the NDS to the Member States? If not please explain | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

Section 8: General Comments on NDS

34. Any other comments

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ANNEX 4 – LIST OF MEMBER STATES WHO WERE SENT THE QUESTIONNAIRE

Checklist for Member States Completed Questionnaires
NDS Evaluation

| No. | Name of Countries | Received |
|-----|--------------------------------------|-------------------------------------|
| 1. | *Egypt | <input checked="" type="checkbox"/> |
| 2. | *United Republic of Tanzania | <input checked="" type="checkbox"/> |
| 3. | *Mexico | <input checked="" type="checkbox"/> |
| 4. | South Africa (system not yet in use) | <input checked="" type="checkbox"/> |
| 5. | *Slovakia | <input checked="" type="checkbox"/> |
| 6. | Chile (system not in use) | <input type="checkbox"/> |
| 7. | Hungary (system not in use) | <input type="checkbox"/> |
| 8. | *Ethiopia | <input checked="" type="checkbox"/> |
| 9. | *India | <input checked="" type="checkbox"/> |
| 10. | *Lebanon | <input checked="" type="checkbox"/> |
| 11. | El Salvador | <input checked="" type="checkbox"/> |
| 12. | Venezuela | <input checked="" type="checkbox"/> |
| 13. | *Uruguay | <input checked="" type="checkbox"/> |
| 14. | Honduras | <input checked="" type="checkbox"/> |
| 15. | *Costa Rica (system rarely used) | <input checked="" type="checkbox"/> |
| 16. | *Argentina | <input checked="" type="checkbox"/> |
| 17. | Cayman Island (system not installed) | <input type="checkbox"/> |
| 18. | *Romania | <input checked="" type="checkbox"/> |
| 19. | Spain | <input checked="" type="checkbox"/> |
| 20. | Australia | <input type="checkbox"/> |
| 21. | Germany (system not in use) | <input checked="" type="checkbox"/> |
| 22. | Switzerland | <input checked="" type="checkbox"/> |
| 23. | Ireland | <input checked="" type="checkbox"/> |
| 24. | Canada | <input checked="" type="checkbox"/> |
| 25. | France | <input checked="" type="checkbox"/> |
| 26. | **Maroc | <input checked="" type="checkbox"/> |
| 27. | **Jordan | <input type="checkbox"/> |
| 28. | **Kazakhstan | <input type="checkbox"/> |
| 29. | **Kyrgyzstan | <input type="checkbox"/> |
| 30. | **Uzbekistan | <input type="checkbox"/> |
| 31. | **Tajikistan | <input type="checkbox"/> |
| 32. | **Kenya | <input checked="" type="checkbox"/> |
| 33. | **Netherlands | <input checked="" type="checkbox"/> |

Key

- Countries that completed questionnaire
- Countries that did not complete questionnaire
- * Development Fund Account Countries
- ** Additional Countries provided after the draft NDS evaluation report

ANNEX 5 – LIST OF OFFICIALS INTERVIEWED DURING THE EVALUATION

Meeting Schedule for Interviews
Vienna, July 5 – 16 July 2004

| Date | Time | With whom | Where |
|--------------------------|---------------|--|-------------------------|
| Monday, 5 July 2004 | 09.00 – 10.30 | Mr. Backson Sibanda Chief, Indep. Evaluation Unit | E1404 5450 |
| | 11.00 – 11.30 | Mr. Thibault Le Pichon Chief, Research and Analysis Section | E1539 5736 |
| | 11.45 – 12.45 | Mr. Philip Kruss Chief, ITS Mr. Maher Abu Ghali Officer in Charge, ITS,ESU | E 1112 5330 |
| Tuesday 6 July 2004 | 10:00 - 12:00 | Mr. Maher Abu Ghali ITS/NDS Briefing/Training | E1481 |
| Wednesday 7 July 2004 | 10:00 - 12:00 | Mr. Maher Abu Ghali ITS/NDS Briefing/Training | E1179 Ext 4211 |
| Thursday 8 July 2004 | 9.00 – 10.00 | Ms. Sherrin Youssef Statistics Assistant Narcotics Control and Estimates Section | E1349 Ext 5199 |
| | 10.00 – 11.00 | Ms. Silvia Carmen Chief of the Psychotropics Control Unit | E1332 Ext 4055 |
| | 11:30 – 12:30 | Dr. Sibanda Mr. Roger Miranda Mr. Maher Abu Ghali | E1406 |
| | 14.00 – 15.00 | Mr. Wolfgang Rhomberg Database Analyst Mr. Thomas Pietschmann Research Officer Mr. Patrick Seramy Research Assistant Research and Analysis Section | E- 1504 5624 |
| Friday 9 July 2004 | 15:00 – 16:00 | Mr. Howard Stead Chief, Laboratory and Scientific Section | E1546 Ext 4304 |
| Monday 12 July 2004 | 10:30 – 11:00 | Ms Eva Fernández Santis Drug Control Officer Precursors Control Section | E1318 Ext 5516 |
| | 13:30 – 14:15 | Mr Nabil Kathkouda Statistics Assistants Narcotics Control and Estimates Section | E1351 Ext 5546 |
| | 14:30 – 15:00 | Mr. Saman Drug Control Officer Psychotropics Control Unit | E1326 Ext 5740 |
| Tuesday 13 July 2004 | 11:00 – 13:00 | Mr. Maher Abu Ghali Officer in Charge, ITS,ESU | E1179 Ext 4211 |
| Thursday 15 July 2004 | 15:00 – 15:30 | Mr. Schaepe Secretary of the board and Chief of the Secretariat | E1338 Ext 4277 /4163 |
| | 15:45 – 16:15 | Mr. Chawla Chief Policy Analysis & Research Branch | E1570 Ext 4196/4654 |

