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Mid-term In-depth Evaluation of the Global Programme “Joint Action towards a Global Regime against Corruption”

GLOX69

Global with a focus on South Asia, South East Asia, North Africa
and the Middle East, East Africa and Southern Africa, and Small
Island Developing States

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This evaluation report was prepared by an evaluation team consisting of Emmanuelle Diehl, Team Leader, and Elca Stigter, Expert. The Independent Evaluation Unit (IEU) of the United Nations Office on Drugs and Crime (UNODC) provides normative tools, guidelines and templates to be used in the evaluation process of programmes. Please find the respective tools on the IEU web site: <http://www.unodc.org/unodc/en/evaluation/evaluation.html>

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ACRONYMS

AML	Anti-Money Laundering
ASEAN	Association of Southeast Asian Nations
CARICOM	Caribbean Community and Common Market
CEB	Corruption and Economic Crime Branch
CLP	Core Learning Partners
CSO	Civil Society Organization
CoSP	Conference of the States Parties
CR	Country Review
CSS	Conference Support Section
DAC	Development Assistance Committee
DFAT	Department of Foreign Affairs and Trade
HQ	Headquarters
IEU	Independent Evaluation Unit
IRG	Implementation Review Group
IRM	Implementation Review Mechanism
ISS	Implementation Support Section
LDCs	Least Developed Countries
MENA	Middle East and North Africa
MoI	Ministry of Interior
MoJ	Ministry of Justice
MoU	Memorandum of Understanding
MS	Member States
NACIWA	Network of Anti-Corruption Authorities in West-Africa
PACDE	Programme on Anti-Corruption for Development Effectiveness
RM	Review Mechanism
RP	Regional Programme
SIDS	Small Island Development States
SMART	Strategic, Measurable, Achievable, Relevant and Time-bound
SOP	Standard Operating Procedure
StAr	Stolen Asset Recovery Initiative
TA	Technical Assistance
ToR	Terms of Reference
UNCAC	United Nations Convention against Corruption
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNODC	United Nations Office on Drugs and Crime

MANAGEMENT RESPONSE

This Management Response is intended to be a short, forward-looking statement of intent by UNODC on the implementation and contextualization of the Evaluation Report. To this end, it addresses the following:

- a) a general affirmation of the findings, and recommendations of the Evaluation Report.
- b) a statement of response regarding each key finding and recommendation, and an indication of intended implementation action.

General Affirmation of the Report

CEB is pleased with the overall positive outcome and forward looking approach of the evaluation report, which recognizes the value of the work undertaken under this programme. The report, which reflects the views of a broad range of partners and stakeholders in a balanced way, concluded that the implementation of the programme was broadly effective. It confirmed that UNODC was best placed among the UN agencies to support Member States in the ratification or accession to UNCAC and its effective implementation, and highlighted the appreciation of States parties to the assistance provided by the programme. The evaluation report identified many good practices and successes, on which CEB will continue to place emphasis in the future.

It is CEB's view that the evaluation report provides a good basis on which to build future programming and the continued success of anti-corruption efforts in the target regions. The report identifies some areas for improvement and provides concrete proposals to address these. The key findings and recommendations, and CEB's response to them, are listed in the section below.

Key Findings and Recommendations

Prioritization: The evaluation recognizes that the increasing number of technical assistance requests in the programme target regions is a good indicator that the programme is relevant to its key beneficiaries. However, due to the limited staff capacity in CEB, it cannot respond to all requests. The evaluation recommends that a list of criteria be defined to help screen and choose more systematically the type of technical assistance to be delivered as well as the geographic areas and stage of engagement to focus on.

CEB accepts this recommendation. Focussing on areas where UNODC has a comparative advantage, CEB has recently developed a Theory of Change (ToC) with clear priorities for CEB's work, based on which the next Thematic Programme will be developed. The ToC and the new Thematic Programme will provide clear guidance to all CEB projects and

programmes. Efforts will continue to prioritize the assistance and a clear list of criteria will be defined as proposed by the evaluation report. However, CEB wishes to note that its capacity to deliver technical assistance is driven by the availability of funding. Further, CEB considers it fundamental to maintain the recipient-driven and request-based nature of its technical assistance delivery, and that it is therefore important to maintain flexibility. In addition to efforts to prioritize, CEB seeks to identify common needs that can be addressed through regional activities and initiatives, therefore maximizing impact and effectiveness of activities. Further, CEB will continue its efforts to cooperate and coordinate with other technical assistance providers to ensure that most requests can be met.

Communication: The evaluation revealed a distorted image of UNODC as a wealthy organization on the one hand, and unrealistic expectations among beneficiaries on the other. It recommended the development of a clear and effective communication strategy to explain UNODC's capacities and limitations to beneficiaries and partners, which would help manage sensitive relations.

CEB accepts this recommendation. It will develop guidelines to colleagues on how to explain UNODC's capacities and limitations to beneficiaries and partners. It will further revisit its Regional Advisers' brochure and other promotional material. However, CEB wishes to note that efforts have been made to communicate on these issues, most notably in the implementation review process, during which UNODC has always been clear that it cannot deliver all required technical assistance, and has tried to engage other technical assistance providers in this regard. Despite the earlier communication on the limitation of funds, some Member States still continue to have high, and to some extent, sometimes unrealistic, expectations as to UNODC's capacities.

UNODC-UNDP partnership: The evaluation confirmed that the partnership between UNODC and UNDP was positive and constructive across all regions; it offered UNODC a local anchor in places where it was not present, while UNDP benefitted from UNODC's pool of expertise. However, it noted that the roles and responsibilities in relation to GLOX69 were not always clear. It therefore recommended reviewing the existing MoU between the two organizations on anti-corruption work to explicitly identify the roles and responsibilities in relation to GLOX69, as well as to define a partnership strategy at the global and regional level to engage with other UN agencies and partners.

CEB partially accepts this recommendation. As for the revision of the existing MoU between UNODC and UNDP, CEB wishes to state that such processes take time, and it would not be feasible to start this process in the context of this existing project. For the second phase of the global programmes, CEB stands ready to explore the possibility of more clearly defining the roles of each organization in the MoU in relation to this specific project. However, it wishes to note that the cooperation between UNODC and UNDP at the global level is already very good and the decentralized structure of UNDP may make it difficult to agree on specifics in relation to national implementation at the global level. To further to enhance coordination and cooperation, Regional Advisors have regular meetings with their UNDP counterparts in many regions. As for the recommendation to define a partnership strategy at the global level to engage with other UN agencies and partners, CEB actively and successfully pursues partnerships all at local, regional and global levels. Part of the new Thematic Programme will be devoted to partnerships, which will be considered as a CEB partnership strategy.

Intervention logic: The evaluation considered the current intervention logic to be unclear. It found that the programme logframe has SMART indicators but that only few are impact focussed. Hence, effectiveness and impact were difficult to assess. It concluded that this was not specific to GLOX69, but a general issue in UNODC projects and programmes. The evaluation recommended to redraft the intervention logic to ensure measurable indicators at the outcome levels exists and will be used to track change.

CEB partially accepts this recommendation. It agrees that more focus on impact is needed. However, it is crucial to distinguish a global programme of this nature from country-based projects which allow for more focused and long-term support. Considering the number of countries and variety of requests under this programme, most regional advisors have the possibility to only visit / implement activities a few times in each country in their respective regions, which will make the impact follow-up challenging. Finally, CEB will take account the lessons learnt for the next phase¹ in order to ensure the development of indicators that can better measure impact, but does not consider it feasible to revise the whole logframe for this programme considering that it is now nearing the end of its implementation.

Overall strategy on anti-corruption: While the evaluation commended the cost-sharing efforts between this programme and other programmes implemented by UNODC and other organizations, it concluded that there is an inconsistency in cost-sharing and overlapping of themes across UNODC anti-corruption programmes GLOT58, GLOS48 and GLOX69. It therefore recommended that UNODC design and regularly review an overall strategy on anti-corruption to facilitate a coherent approach to planning and implementation.

CEB accepts this recommendation. It has developed a Theory of Change and is in the process of developing a new Thematic Programme, which will provide a coherent approach to planning and implementation. These documents will provide an overall umbrella and standard indicators, and guide the development of the next phase of this programme and all other anti-corruption projects and programmes.

Sustainability: The evaluation concluded that when a global programme is funded by one donor only, its sustainability is at risk. It therefore recommended that the pool of donors on anti-corruption be diversified and that a pool of soft earmarked funding to foster strategic planning and priority setting be encouraged.

CEB partially accepts this recommendation. CEB notes that GLOX69 was created as a separate programme only to facilitate reporting and that its activities overlap with other global projects. In this sense, the global anti-corruption programmes of UNODC are not funded by only one donor. However, CEB agrees that reliance on one donor makes the programme vulnerable and will further intensify efforts to diversify the donor base. As for the recommendation related to soft earmarked funding, CEB fully agrees with its benefits and will further seek to encourage donors to take this approach. However, it wishes to note that the current reality of donor funding is not generally supportive of this approach.

Human Rights and Gender: The evaluation concluded that while the programme document mentions human rights and gender guidelines and disaggregated data on female/male participation during workshops was collected, human rights and gender issues were not fully taken into account in the programme's design and implementation. It thus recommended advocating for greater integration of human rights and gender into the design and implementation.

CEB accepts this recommendation. It wishes to note that the work done to reduce corruption also has a positive impact on human rights, and it will aim to ensure a stronger

¹ For example, the UNCAC reviews and existing assessments will help define baseline and specific targets. Baseline surveys/studies will be undertaken as relevant.

inclusion of human rights in the next phase of the programme. The programme will further ensure gender issues are covered where this is relevant and possible.

Conclusions

Finally, in addition to the above mentioned key recommendations, CEB accepts all important recommendations in the evaluation report. It wishes to note however that the implementation of some of them is subject to additional resources and some are feasible to implement only in the context of the development of the next phase of the programme.

CEB appreciates the independence of the assessment and looks forward to the development of the next phase of this programme in line with the recommendations.

EXECUTIVE SUMMARY

Background and context

The global programme² GLOX69, ‘Joint Action towards a Global Regime against Corruption’ (hereinafter GLOX69) is managed by the Implementation Support Section (ISS) of the Corruption and Economic Crime Branch (CEB) at the United Nations Office on Drugs and Crime (UNODC). GLOX69 was drafted within a context where Member States (MS) agreed that the expeditious ratification and effective implementation of the United Nations Convention against Corruption (UNCAC) was a priority. However, it was also acknowledged by MS that the implementation of UNCAC would present challenges. As a result, numerous developing State Parties³ (SP) to the Convention, identified Technical Assistance (TA) needs to help them effectively implement the Convention. GLOX69 addressed these needs with a programme that aimed to deliver three major outcomes; the first two focused on seeking to support the ratification and implementation of UNCAC by Small Island Developing States (SIDS) outside the Pacific Region, and developing countries in South and South East Asia, Middle East and North Africa, Southern and Eastern Africa⁴. The third outcome focused on seeking to strengthen coherence, consistency and effectiveness of TA in support of MS follow-up action to the implementation review in the target regions. GLOX69 started in September 2012⁵ with a pledge⁶ of USD\$8,858,070 USD from Australia⁷ for a four year period (2012-2016).

After three years of programme implementation, in line with UNODC programme management guidelines and donor requirements, UNODC has contracted a team of independent evaluators to carry out the Mid-Term In-Depth Evaluation of GLOX69. The evaluation was to be carried out in cooperation with UNODC’s Independent Evaluation Unit (IEU) and cover the period from September 2012 to July 2015. The evaluation objective was to assess programme results, relevance, design, efficiency, effectiveness, impact, and sustainability. In addition, it was to review programme partnerships and cooperation, and look at gender and human rights aspects⁸. The evaluation team focused especially on the

²Implemented in close consultation and coordination with UNDP and DFAT

³Members States refer to those members of the United Nations while State Parties refer exclusively to those that are

signatories to UNCAC- some SP are not members of the UN.

⁴According to programme document.

⁵The programme was approved in June 2012 but only started in September 2012 after obtaining full approval by stakeholders. The programme was also revised six times to include updates on human resources.

⁶The major donor was Australia’s DFAT but GLOX69 also received a minor contribution from One UN Vietnam

⁷The programme was originally funded by AusAID, which has now been integrated into the Australian Government-Department of Foreign Affairs and Trade (DFAT)

⁸These are the Development Assistance Committee (DAC) criteria according to UNODC evaluation guidelines.

relevance and efficiency of activities implemented as required in the Terms of Reference (ToR).

Evaluation methodology

The evaluation of GLOX69 was carried out from June to November 2015, and involved a combination of desk research, interviews with Core Learning Partners (CLPs), brief situational analysis as well as an online survey. The interviewed CLPs included UNODC staff, the donor, UNDP, CSOs, government counterparts, regional and national-level partner organisations, and external consultants. Due to time and budgetary constraints, the evaluation team did not visit all countries covered by GLOX69. In total, six target countries were visited (Egypt, South Africa, Botswana Tanzania, Myanmar, and Thailand), and interviews were carried out at UNODC HQ in Austria. The online survey was sent to 130 stakeholders and phone/Skype interviews were carried out with other CLPs. The desk review part was extensive and included over 100 documents, including SP self-assessments and country review executive summaries, which are key components of the UNCAC Review Mechanism (RM), as well as relevant programme documents of other UN agencies⁹. This methodology enabled the evaluation team to triangulate key findings and make recommendations to support the GLOX69 programme management team and help meet programme objectives by September 2016. In 2016, a summative final evaluation is planned as a follow-up to the mid-term evaluation, with a specific focus on effectiveness, impact and sustainability of programme activities. A weakness in the evaluation methodology was a low response rate to the survey carried out¹⁰.

Main findings, conclusions and recommendations

The desk research and field missions showed that UNODC is best placed amongst UN agencies to support SP in the ratification and implementation of UNCAC. The team also concluded that GLOX69 implementation was broadly effective.

With regards to design, the GLOX69 logframe is based on existing global programmes (GLOT58 and GLOS48) and the terms of reference of the Review Mechanism (RM). GLOX69 indicators are generally SMART¹¹, but not always connected to the expected results. The intervention logic of the programme is only partially clear. Linking different levels of results will help improve the logframe value for reporting purposes and make the logframe a stronger management tool.

The increasing number of TA requests to the programme management team is a good indicator that the programme is relevant to key beneficiaries – governments and regional

⁹ UNDP's Global Anti-corruption Initiative

¹⁰ 56 interviews were carried out with CLPs across all targeted regions. In addition, an online survey was sent out but the level of response was too low to be taken into account in the analysis. It did not affect the triangulation process as we managed to obtain sufficient information from the interviews that were between 30 and 3 hours each.

¹¹ **Specific** – target a specific area for improvement; **Measurable** – quantify or at least suggest an indicator of progress; **Achievable** – specify who will do it; **Relevant** – state what results can realistically be achieved, given available resources; **Time-bound** – specify when the result(s) can be achieved.

anti-corruption bodies. The programme management team¹² and the regional advisors have implemented, through this programme, numerous training activities and offered technical input on the implementation of the UNCAC. These activities have also supported the implementation of some recommendations made in the country reviews. Many countries had already ratified UNCAC and were already advanced and/or had already concluded the implementation of the first cycle of the RM, while other states, especially amongst the SIDS (outside the Pacific region) had not yet acceded the Convention and needed special attention to first ratify UNCAC and follow through with its implementation.

The evaluation found that GLOX69 is aligned to UNODC mandate and UNODC Strategic Programme Frameworks (2012-2013, 2014-2015) as well as with the Thematic Programme on Action against Corruption, Economic Fraud and Identify Related Crime (2012-2015). In addition, although efforts to further integrate and align indicators and outputs amongst regional programs and GLOX69 have been observed, there is still room for improvement to bolster impact.

Finally, the evaluation found that different criteria are used by regional advisors to decide on which SPs' request to respond to, such as sufficient human resources, available UNODC infrastructure in country, political stability and other political factors, status vis-à-vis UNCAC, responsiveness to questions and emails and willingness to participate in activities. These criteria are not listed in programme documents as an official list, but have been identified, based on regional experience, to support SPs most efficiently.

The programme management team¹³, and regional advisors contributed to the implementation of 101¹⁴ Country Reviews (CR). They delivered TA in 33 countries and 74.1%¹⁵ of the total approved budget of USD\$8,858,070¹⁶ was spent in the period from September 2012 to October 2015¹⁷. Cost-sharing efforts across global programmes (GLOT58 and GLOS48) and with other international organizations such as the World Bank or UNDP were pursued. Although the ISS and Conference Support Section (CSS) managed to

¹² Programme Managers: those who are directly involved in designing and implementing the programme including UNODC CEB sections, FRMS, HRMS, CPS, HQ management and regional experts as well as UNODC Programme offices staff. Interview topics included design, sustainability, partnership and cooperation, human rights and gender as well as management issues (efficiency, effectiveness, challenges and lessons learned) and future strategic directions.

¹³ The Corruption and Economic Crime Branch referred as CEB is divided between the Implementation Support Section (ISS) and the Conference Support Section (CSS). GLOX69 staff is divided between these two sections but all regional advisors are under the ISS and so is the programme management team, which supervises and manages the technical assistance requests and responses from HQ.

¹⁴ As of July 2015, according to the semi-annual progress report July 2015.

¹⁵ As of July 2015, according to ToR and ProFi of July 2015

¹⁶ The Total Approved Budget is currently lower (US \$8,625,787) than the Australian contribution is due to a purely administrative issue that relates to way the programme was set up at the time when it was designed and approved in 2012. The programme management team is currently addressing this issue to increase the Total Approved Budget.

¹⁷ This is the actual current approved budget of October 2015, after UNODC collected the full pledged amount from Australia. The Total Approved Budget in the ToR was lower (US \$8,625,787) than the Australian contribution due to a purely administrative issue that relates to way the programme was set up at the time when it was designed and approved in 2012. The programme management team has since then addressed the issue as reflected in the updated amount above.

respond to most countries' TA requests, the evaluation revealed that greater prioritization is needed on what type of TA and countries the ISS should focus on in the upcoming phase in order to cope with the increasing number of TA requests and CRs.

One of the key successes of GLOX69 is the partnership and cooperation fostered with national and regional stakeholders.

- The programme management team and regional advisors nurtured and developed partnerships with governmental focal points, relevant high officials of regional anti-corruption bodies, and many others.
- UNODC cooperated with UNDP in countries where UNODC has no presence and in countries where UNODC has an office (e.g. Bangkok). Such cooperation was found to be positive and constructive in most countries.
- UNODC engaged with CSOs and private sector entities at different levels to implement information-sharing and capacity building activities and develop tools and/or enable their participation in the implementation UNCAC.

However, partnership building is time consuming and challenging, as political and policy changes take place and staff turnover within partner institutions occur. The evaluation team suggests that UNODC defines a partnership strategy at the global and regional level to engage with other UN agencies and partners.

With regards to effectiveness, great progress has been made in raising awareness about the urgency and the need to ratify and implement UNCAC in all targeted regions. In addition, many tools such as the publications on judiciary integrity, whistle-blower protection and anti-corruption strategies, along with a series of declarations, such as the Kuala Lumpur Statement, the Dakar Declaration, the Jakarta Statement and Siem Reap Statement in South East Asia and the Pacific were concluded. Programme management and CEB more generally, have helped countries draft anti-corruption strategies in accordance with Article 5 of UNCAC. Interviewed beneficiaries mentioned the usefulness of anti-corruption strategies developed at the national level but the evaluation team could not verify the valuableness of the tools mentioned here above.

GLOX69 supported the different stages of the first RM cycle (related training, the self assessment, the peer review and the analysis/report writing), which are seen as effective tools to understand gaps and benchmark achievements. However, it is difficult to attribute these aforementioned results purely to GLOX69 only as other anti-corruption global programmes (GLOT58 and GLOS48) covered many activities and salaries of the programme management team at UNODC HQ.

Similar conclusions were drawn with regards to impact, as attribution could not be easily assessed. UNODC's projects are designed on output indicators, which offers a certain degree of achievements but not sufficient to measure long-term normative changes on corruption for instance. It is not particular to GLOX69 only but to other UNODC global programmes¹⁸. Several international agencies have integrated impact indicators into their programme

¹⁸ UNDP Global Anti-Corruption Initiative (GAIN) program 2014-2017 started integrating impact indicators in its logframe according to the programme description but the evaluation team could not verify this claim, as it did not see the logframe. http://www.undp.org/content/dam/undp/library/Democratic%20Governance/Anti-corruption/globalanticorruption_final_web2.pdf

design but due to the sensitive nature of the themes approached or the lack of available comparable data on corruption, UNODC has not yet been able to do the same. It is not due to a lack of intention or will¹⁹ from UNODC to develop impact indicators to better assess impact of their anti-corruption programmes, but a lack of means (financial and human resources) from UNODC side. However, through the cooperation with UNDP, UNODC should be able to benefit from the existing baseline of UNDP's Global Anti-corruption Initiative (GAIN), implemented from 2014 to 2017, to develop some impact indicators. Such indicators could help assess progress over a longer timeframe and better measure UNODC's global programmes' effectiveness.

Considering these factors, the evaluation team looked at how GLOX69 has sought to support efforts by SPs to implement UNCAC, through the use of the RM. The triangulated data unveiled some unintended results such as the incremented amount of TA requests from SPs..

With respect to human rights and gender, the evaluation looked at how they have been integrated into activities. The desk review shows that human rights and gender guidelines are mentioned in programme documents. There is also some disaggregated data on female/male participation during workshops that was collected by the programme management team to ensure that women are also represented in capacity building activities. However, field missions show that human rights and gender are not always seen as connected to corruption.

The programme management team has raised awareness about the cross-sector nature of corruption and the importance to fight against corruption through a multi-stakeholder engagement approach. These efforts are undertaken at the programmatic level by the programme management team and the regional advisors who work with regional offices on cross-themes, such as corruption and wild life, corruption and procurement and corruption and human trafficking.

In terms of weaknesses, the evaluation team notes concerns about the intervention logic and the lack of clarity on budget distribution amongst staff and activities paid under GLOX69 and other programmes. The programme management team is over-stretched and under budget constraints due to an increasing number of finalized CRs, which has led to more requests for TA from SPs to UNODC

There are three main lessons learned. First, having one donor creates financial constraints and raises concerns as to the sustainability of the programme and key ISS staff positions.

¹⁹ Regarding the impact orientation of the aid process, there is much more work to be done. To measure the impact of an anti corruption initiative there is a need to identify key impact indicators based on a combination of facts and perceptions such as; (i) public trust in the anti-corruption institutions; (ii) % leakage from donor programmes (iii) levels of corruption within ministries, and (iv) levels of corruption in the criminal justice system. These impact indicators need to be assessed in order to establish base line data, and then the impact of the anti corruption programme needs to be measured against the same baseline. Very few Member States have so far identified these measurable impact indicators, established a baseline or have measured their performance against the same baseline.

<https://www.unodc.org/pdf/crime/gpacpublications/cicp3.pdf>

Second is the unexpected high level of TA requests following the RM, which has created pressure on the programme management team and the regional advisors. Third, and by extension, the programme management team will have to manage SPS' expectations as to what can be achieved and supported during this next year.

The evaluation team makes several recommendations:

- The programme management team should prioritize its activities and geographic focus for the upcoming 18 months by defining a set of criteria to screen which requests to focus on.
- A clear list of criteria for TA and communication to MS on upcoming support from the programme management team will help manage expectations of the MS and manage the flow of incoming requests.
- The CEB should diversify its pool of donors for greater sustainability.
- The CEB should design and regularly review an overall strategy on anti-corruption to facilitate a coherent approach to planning and implementation that would address different facets of corruption with multiple sources of funding.
- CEB should continue to engage with UNDP to build on their local insights and access to key governmental stakeholders across many countries in the targeted regions.

SUMMARY MATRIX OF FINDINGS, EVIDENCE AND RECOMMENDATIONS

Findings ²⁰	Evidence (sources that substantiate findings)	Recommendations ²¹
Key recommendations		
<p>Prioritization The triangulated data underlined the varied levels of SPs requests stemming from the implementation of UNCAC. Due to the increasing amount of requests from SPs, UNODC cannot respond to all of them.</p>	<p>Interviews, Programme Annual Reports 2012,2013, 2014, the programme management team work-plans, MENA work plan, Southern and Eastern Africa work-plan, organigram of CEB</p>	<p>Define a list of criteria to help screen and chose more systematically the type of TA to deliver to SPs, as well as the geographic areas and stage of engagement to focus on. (ISS/CEB)</p> <p>This process will help: (a) draft a coherent work-plan to manage the workflow for both ISS and CSS and the regional advisors; and (b) manage internal financial and human resources. Prioritization does not preclude a level of flexibility that is needed to build trust, take advantage of opportunities for reform, and ensure momentum for reforms at key times. The prioritization process should account for a percentage of staff time dedicated for ad hoc work.</p>
<p>Communication The evaluation revealed a distorted image of UNODC as a wealthy organisation on the one hand, and high unrealistic expectations among beneficiaries on the other.</p>	<p>Interviews, annual progress reports 2012, 2013, 2014, publications, donor reports 2014</p>	<p>Develop a clear and effective communication strategy to explain UNODCs capacities and limitations to beneficiaries and partners. Such a strategy will help manage sensitive relations with governmental officials, anti-corruption bodies, regional bodies and</p>

²⁰ A finding uses evidence from data collection to allow for a factual statement.

²¹ Recommendations are proposals aimed at enhancing the effectiveness, quality, or efficiency of a programme/programme; at redesigning the objectives; and/or at the reallocation of resources. For accuracy and credibility, recommendations should be the logical implications of the findings and conclusions.

		other stakeholders. (ISS/CEB)
<p>UNODC-UNDP partnership The partnership between UNODC and UNDP is positive and constructive across all regions. It offered UNODC a local anchor in places where it was not present, while UNDP benefited from UNODC's pool of expertise. However, the roles and responsibilities in relation to GLOX69 were not always clear.</p>	Interviews, programme document for GLOX69, donor reports 2014, annual progress reports 2012, 2013, and 2014	Review the existing MoU between UNODC and UNDP to explicitly state the roles and responsibilities in relation to GLOX69. Moreover, define a partnership strategy at the global and regional levels to engage with other UN agencies and partners. (ISS/CEB)
<p>Intervention logic The programme intervention logic is unclear. The logframe has SMART indicators but few are impact focused. Hence, it was difficult to assess effectiveness and impact.</p>	Interviews, Program document GLOX69, GLOT58, GLOS48, annual progress reports 2012, 2013, 2014, UNODC Integrated Strategic Framework 2015-2017, donor reports 2014	Redraft the intervention logic of GLOX69 to ensure measurable indicators at the outcome levels exist and will be used to track change. (ISS/CEB)
<p>Overall strategy on anti-corruption The evaluation found a lack of clarity in cost-sharing and amongst overlapping themes, across other UNODC anti-corruption programmes GLOT58, GLOS48 and GLOX69. Despite synergies amongst these programmes on corruption, the overlap of activities between programmes raised the question of potential redundancy rather than effective planning and maximizing human and financial resources.</p>	Interviews, Program documents GLOT58, GLOS48, GLOX69, annual progress reports, budget overview as of July 2015	Design and regularly review an overall strategy on anti-corruption at UNODC to facilitate a coherent approach to planning and implementation. (ISS/CEB)
<p>Sustainability When a global programme is funded only by one donor, its sustainability is at risk.</p>	Interviews, programme document, annual progress reports 2012, 2013, 2014, country reports, Botswana, Myanmar, Sao Tome, Tanzania, budgets overview as of July 2015	Diversify a pool of donors on anti-corruption to ensure sustainability. Moreover, encourage a diverse pool of soft earmarked funding to foster strategic planning and priority setting. (ISS/CEB)
<p>Human rights and gender</p>	Interviews, programme document, annual progress	Advocate for greater

Human rights and gender issues are not always seen as connected to corruption.	reports 2012, 2013, 2014	integration of human rights and gender into the design and implementation. (ISS/CEB)
Important recommendations		
Regional advisors The regional advisors are overstretched and cannot respond to the volume of SPs' TA requests.	Field missions, annual reports 2012, 2013, 2014, work plans, and donor reports	Create a pool of experts for the next phase of the programme (subject to the availability of funds) to support regional advisors across all targeted regions. (ISS/CEB)
Programme outputs and outcomes It is difficult to attribute and link the achieved results to only GLOX69 and assess what role other international agencies, CSOs and private sector engagement have played in achieving the results.	Annual reports 2012, 2013, 2014, field mission interviews, logframe in the programme document GLOX69, workplans	Link activities and engagement efforts with the relevant stakeholders to the planned programme outputs and outcomes to achieve more meaningful reporting and improve planning. (ISS/CEB)
New partnerships Significant resources are dedicated to fostering and nurturing new partnerships with governmental and regional anti-corruption bodies. However, the nature of engagement remains driven by personalities and is not fully institutionalized.	Field missions, annual progress reports 2012, 2013, 2014, donor reports 2014	Improved reporting on meetings and new partnerships in order to keep a record for future engagement. (ISS/CEB)
Reporting processes There is scope to improve the current programme reporting process, as reporting does not effectively cover the numerous activities in relation to GLOX69.	Field missions, annual and semi annual reports 2012, 2013, and 2014	Ensure more streamlined processes with monitoring tools and indicators to extract the needed information for reporting. Moreover, regularly share achievements, lessons learned and action points with CLPs and the donor. (ISS/CEB)
Integration of regional and global programmes The global programme is to some degree reflected with regional programmes,	GLOX69 Programme document, RPs programme documents, UNODC Integrated Strategic Framework 2015-2017	Ensure a coherent approach between designing global programmes and RPs in the field of corruption. (ISS/CEB)

<p>however leading not only to reduced impact, but also missed funding opportunities. Moreover, anti-corruption is cross-thematic, which requires closer programme coordination and integration and this remains a weakness.</p>		
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I. INTRODUCTION

Background and Context

This report constitutes the Mid-Term In-Depth Evaluation of the UNODC (United Nations Office on Drugs and Crime) Global Programme on Joint Action towards a Global Regime Against Corruption (GLOX69). The global programme's objectives are to seek to advance the ratification of/accession to the United Nations Convention Against Corruption (UNCAC). UNCAC rests on four pillars: preventive measures, criminalization and enforcement, international cooperation and asset recovery. UNCAC implementation is challenging as preventing and combating corruption requires a comprehensive, multidisciplinary and cross-sector approach. As a result, countries need policy guidance and technical support for an effective implementation of UNCAC.

Since the adoption of UNCAC by the General Assembly on 31 October 2003, 140 countries have signed and 177²² have ratified or acceded to the Convention. While the ratification progress²³ has been impressive, a number of Small Island Development States (SIDS)²⁴ was still to ratify the Convention when GLOX69 was conceived. Non-ratification and implementation of UNCAC is primarily due to capacity gaps in Member States (MS). These capacity gaps are aggravated by the fact that many SIDS are not fully integrated into international cooperation efforts. SIDS that ratified UNCAC often have small, overwhelmed governmental institutions that face difficulties adapting the Review Mechanism (RM) recommendations and follow up with implementing reforms. Furthermore, there was a lack of awareness amongst SIDS about the benefits of UNCAC and raising awareness has become a priority to reach adherence to the Convention among these countries.

Global Programme Description

The global programme ²⁵ GLOX69 was launched in September 2012²⁶ and is located within the UNODC Sub-Programme on Countering Corruption. It is one of seven global

²² As of October 2015

²³ It is critical to remind the audience of the distinction between UNCAC ratification and its implementation.

²⁴ There are 51 Small Islands Developing States (SIDS) according to the UN: **Atlantic Ocean and Caribbean Sea:** Anguilla, Antigua, Barbuda, Aruba, the Bahamas, Barbados, Belize, British Virgin Islands, Cape Verde, Cuba, Dominica, the Dominican Republic, Grenada, Guinea-Bissau, Guyana, Haiti, Jamaica, Montserrat, Netherlands Antilles, Puerto Rico, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Sao Tome and Principe, Suriname, Trinidad and Tobago, and the US Virgin Islands; **Pacific Ocean:** American Samoa, Commonwealth of Northern Marianas, Cook Islands, Federated States of Micronesia, Fiji, French Polynesia, Guam, Kiribati, Marshall Islands, Nauru, New Caledonia, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Timor-Leste, Tonga, Tuvalu, and Vanuatu, Indian Ocean: Bahrain, Comoros, the Maldives, Mauritius and the Seychelles.

²⁵ In close consultation and coordination with UNDP and DFAT

programmes²⁷ on anti-corruption, and there are numerous country-focused programmes²⁸ falling under this sub-programme. The programme received a pledge of USD\$8,858,070²⁹ from Australia³⁰ for a four year period (2012-2016) (as well as a minor contribution from One UN Vietnam). The programme was designed to seek to advance the ratification of/accession to UNCAC (specifically for Small Island Developing States (SIDS)), and seek to support the implementation of the UNCAC and the follow-up to the recommendations of country-level reviews (CRs) of UNCAC. Its overarching goals are to build an effective global regime against corruption in SIDS (except SIDS in the Pacific that are covered by XSPX70), and countries in South and South-East Asia, Middle East and North African Region (MENA), and in Eastern and Southern Africa.

This global programme is focused on three key outcomes: 1) to seek to accelerate UNCAC ratification and effective participation in the implementation of the UNCAC RM by SIDS, including to seek to support the effective follow-up of the findings and recommendations emerging from the CRs; 2) seek to support the effective implementation of UNCAC in South and East Asia, MENA and Eastern and Southern Africa; and 3) seek to strengthen coherence, consistency and effectiveness of Technical Assistance (TA) in support of SPs follow-up actions to the implementation review. Thus, GLOX69 is intended to respond to SPs' requests for TA that fall under the RM first cycle, which focuses on Chapter III and IV (criminalization and law enforcement; and international cooperation). The programme complements parallel activities undertaken by United Nations Development Programme (UNDP) under its Programme on Anti-Corruption for Development Effectiveness (PACDE), which was replaced by the Global Anti Corruption Initiative (GAIN) in 2014. Australia supports both programmes. Finally, GLOX69 was designed in parallel to other UNODC global programmes preventing and strengthening the response to corruption (GLOT58 and GLOS48³¹).

GLOX69 is a global programme managed at headquarters (HQ) level by the Implementation Support Section (ISS) within the Corruption and Economic Crime Branch (CEB). CEB is divided into two sections, namely ISS and the Conference Support Section (CSS). GLOX69 enabled the creation and/or funding of critical positions at headquarters and in the field to support the engagement process, the identification of SPs needs and the implementation of activities. While the two sections have different roles (the first one being to focus on support provided to the Conference of the States Parties and the implementation of the RM and the second one to focus on TA required to support the implementation of UNCAC), the two teams have been working closely together to respond to as many MS requests as

26 The programme was approved in June 2012 but only started in September 2012 after obtaining full approval by stakeholders. The programme was also revised six times to include updates on human resources recruitment needs.

27 GLOT58, GLOS48, GLOT08, GLOX30, GLOX31, GLOX32, GLOX69,

28 BOLZ18, EGYX49, COLZ58, COLX03, IDNT81, INDA03, IRQV30, MEXZ44, MMRZ60, NGAX60, PANX33, SLVZ70, SRCZ25, XAPA08, XEAU77, YEMX24

29 The Total Approved Budget is currently lower (US \$8,625,787) than the Australian contribution. This is due to a purely administrative issue that relates to way the programme was set up at the time when it was designed and approved in 2012. The programme management team is currently addressing this issue to increase the Total Approved Budget.

30 The programme was originally funded by AusAID, which has now been merged by the Australian Government-Department of Foreign Affairs and Trade (DFAT).

31 GLOT 58 Towards an Effective Global Regime Against Corruption and GLOS48 Anti-Corruption Mentor Programme

possible. As a result, and for example, staff from the CSS team carried out training workshops on international cooperation principles and staff from ISS oversaw CRs.

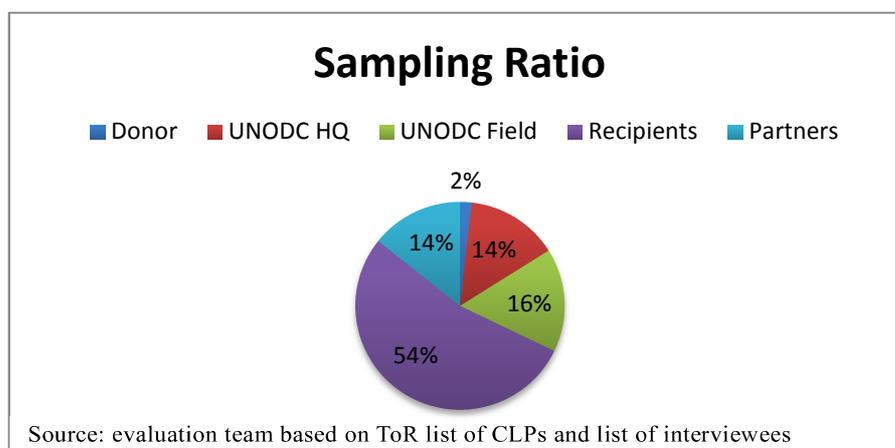
One critical element of this programme is the role played by regional advisors that are in the field to liaise with the programme management team within ISS at headquarters and with other Core Learning Partners (CLPs, i.e. recipients and partners). The regional advisors coordinate closely with the programme management team within ISS and provide TA at different levels.

Evaluation scope and methodology

In line with UNODC programme management guidelines and donor requirements, UNODC contracted a team of independent evaluators to carry out the Mid-term In-depth Evaluation of the global programme GLOX69. The evaluation was carried out in close cooperation with UNODC's Independent Evaluation Unit (IEU) and covered the period from September 2012 to July 2015. The evaluation objective was to assess preliminary achieved or unachieved results and programme relevance, design, efficiency, effectiveness, impact, sustainability, partnerships and cooperation, gender and human rights³². Specific sub-objectives were: 1) to determine the extent to which planned objectives and outcomes were produced; 2) to identify lessons learned and best practices; and 3) to inform the continuation of GLOX69 until the end of its programmatic period (2016).

As specified in the Terms of Reference (ToR), the evaluation team focused on the relevance and efficiency of activities implemented since the programme inception. The evaluation is to issue recommendations focused on best practices, lessons learned and areas for improvement. These recommendations will support the GLOX69 programme management team to (re)adjust activities, meet the programme objectives by 2016, and possibly launch a GLOX69 phase II. In 2016, a summative final evaluation is planned as a follow-up to the mid-term evaluation, which will focus on effectiveness, impact and sustainability of programme activities.

Sampling ratio of interviewees



³² These are the Development Assistance Committee (DAC) criteria according to UNODC evaluation guidelines.

The findings of the evaluation will be used by the programme management team at ISS of the CEB at UNODC HQ to adjust programing and prioritize activities for the final year of the programme and for designing phase 2 of this global programme.

The evaluation team proposed a phased approach to triangulate and in/validate initial hypotheses using different data collection instruments at different stages. The evaluation team used a mixed qualitative and quantitative methodology that included a thorough desk review of secondary sources, an online survey that was translated into French, Spanish, English and Arabic in order to reach as many CLP as possible in the different regions; face to face and Skype interviews with CLPs and a situational analysis to understand the context that could affect the implementation of GLOX69 activities. The field missions were chosen by the programme management team, in agreement with the IEU and the evaluation team. The evaluators covered Thailand, Myanmar, South Africa, Botswana, Tanzania and Egypt. These countries were pre-selected based on geographic diversity and geographic closeness; location of UNODC regional/programme offices; level of activities carried out in the country; availability of CLPs, timing and security parameters. The evaluation team worked closely with the CLPs³³, who facilitated interviews and field missions that enabled data collection and triangulation.

Moreover, the sampling of interviewees, as shown in the chart above, was chosen according to the following three criteria: programme manager³⁴, programme beneficiaries³⁵, and programme partners³⁶. The survey was sent to 130 CLPs across all regions covered by GLOX69 but it had a very low response level (only 18 responses out of 130) whereby the information gathered by the survey cannot be considered as representative of the large pool of stakeholders concerned and involved in GLOX69. Furthermore, the evaluation team interviewed 56 CLPs representing the three criteria but broken down into donor, beneficiaries, UNODC staff, as well as partners. 54% of the interviewees were recipient governments and anti-corruption bodies and the other 46% were amongst UNODC HQ,

³³The CLP include UNODC senior management (Crime and Economic Section at HQ and Regional advisors), Member States counterparts; partner organizations (UNDP, World Bank) and donors; as well as anti-corruption commissions.

³⁴ **Programme Managers** are directly involved in designing and implementing the programme including UNDOC CEB sessions, FRMS, HRMS, CPS, HQ management and regional experts as well as UNODC Programme offices staff. Interview topics will include design, sustainability, partnership and cooperation, human rights and gender as well as management issues (efficiency, effectiveness, challenges and lessons learned) and future strategic directions.

³⁵ **Programme Beneficiaries** Member States (SPs) of the UN and in particular States Parties and signatories to UNCAC. Specific institutions and programme beneficiaries within SPs include: law makers and policy-makers (especially parliament members), national anti-corruption bodies (prevention, investigation, prosecution), judicial institutions and law enforcement, asset recovery practitioners, regional anti-corruption/integrity networks and technical assistance providers for anti-corruption and governance. Perception of change in corruption practices and asset recovery procedures in their countries; understanding what changes in the legal regulatory framework after acceding to UNCAC and carrying out the review mechanism will be assessed through a desk review and interviews (phone and face to face) with some national focal points indicatively in countries in South East Asia, Africa, South America, the MENA and Small Islands Developing States (SIDS).

³⁶ **Programme Partners** have knowledge of the programme and provide support (financial or technical) but are not directly involved in its direct implementation. This will include donors and partner organizations (annex III). Other indirect target beneficiaries include civil society, academia, private sector, youth and NGOs. The focus of interviews will be on relevance, impact, effectiveness, sustainability, lessons learned and best practices for continuation of activities implementation and replicability for future programing and other geographic areas.

UNODC Field and Partners. As a single donor programme, the evaluation team interviewed a representative of the Australian government by phone.

Limitations

The evaluation is limited in three respects:

Time constraint and timing of the year: the evaluation was carried out during the summer months (July and August) when many CLPs are away on vacation. Some respondents that had agreed to be interviewed did not respond and only 18 CLPs filled out the on-line survey. In order to cover as many countries as possible during the field mission and the research phase, the evaluation team split up between two regions – the team leader went to South Africa, Botswana, Tanzania and Egypt and the expert went to Thailand and Myanmar. In addition to the in-field missions, a series of Skype/phone calls were carried out from the field mission offices in order to interview as many country recipients as possible while being in the same time zone. A similar process was adopted during the field mission in Vienna prior the missions to Africa and South East Asia. This process enabled the team to interview 56 CLPs across all targeted regions in three weeks time. Finally, the evaluation team followed up with interviews that could not be carried out during the field missions due to bad connections or last minute programme changes on the interviewees' side.

Large geographic coverage: the geographic coverage of this programme is large and diverse and it was impossible to visit more countries than planned for this field mission and especially taking into consideration that SIDS are spread out and very expensive to reach. The evaluation team carried out interviews with CLPs from countries in the regions where the field missions took place as well as with others such as SIDS and Latin America and the Caribbean.

The survey's response: The low response (18 respondents out 130) to the on-line survey limited the analysis and minimized the relevance of the data coming out of the survey. Hence, it was not possible to use charts, or statistics deriving from the survey as the low response rate does not reflect a good representation of the stakeholders. Moreover, almost half of the respondents were from UNODC, the others were governments or partners (such as UNDP).

II. EVALUATION FINDINGS

Design

Initial process

Results orientation. To what extent is the design of the programme results-oriented?

In order to best answer this question, the evaluation team looked at the intervention logic and then narrowed it down to the results at different levels and corresponding indicators. Based on the preliminary and follow up research, the evaluation team concluded that the intervention logic of the programme is clear to only some degree. The different building blocks, such as the main objectives, the expected results and the mechanisms and resources to do so, have been provided. However, it is recommended to better align the programme with the UNODC thematic programme on corruption as well as strengthen the rationale of GLOX69 by referring to relevant decisions and resolutions at the start of the programme. Moreover, a better contextualization per region of countries' status with regards to UNCAC and of key partners could have been drawn to help gauge the level of effort required by the GLOX69's programme management team and regional advisors.

The objective of GLOX69 is 'to seek to advance the ratification and follow-up to the implementation review of the United Nations Convention against Corruption (UNCAC) with a view to building an effective global regime against corruption'. Although stakeholders generally agreed that the overall objective is to support the ratification and implementation of UNCAC, the hierarchy of objectives given in the programme document causes some confusion with respect to the main focus of the programme because of the specific reference to the RM. Moreover, it is not clear if the focus is more at the regional level (related to the presence of regional advisors), national level activities or both, considering the reference to regional bodies as main counterparts. Finally, further information is needed about the support of GLOX69 to fulfilling the Secretariat's (to UNCAC) function, and how this relates to CEB staff possibly carrying out different sets of responsibilities (programme monitoring/reporting and managing the implementation of the RM in selected countries) to enhance transparency in staffing and management arrangements.

Table of outcomes of GLOX 69

Outcomes	Outputs
1- Seek to accelerate UNCAC ratification and participate in the UNCAC RM for the SIDS (outside the Pacific Region)	1.1 Pre-ratification seminar organized for SIDS resulting in increased momentum for ratification 1.2 Experts from SIDS effectively participated in the Implementation Review Mechanism (IRM)

	1.3 Support follow up action to the conduct of implementation reviews
2- Effective Implementation of the UNCAC by countries in South and South East Asia, Northern Africa and the Middle East, Eastern and Southern Africa	<p>2.1 Experts from countries in the target regions trained and supported for effective participation in the IRM</p> <p>2.2 Improved access to specialized anti-corruption expertise, skills and knowledge products required to ensure effective follow up to the findings and recommendations of the implementation review in the countries in the target regions</p> <p>2.2 Strengthened the investigative, prosecutorial and coordination activities of selected anti-corruption bodies in the target region, including through South-South cooperation</p> <p>2.4 Criminal Justice systems in the target regions adopted standards and tools to strengthen judicial integrity, accountability and transparency more widely and effectively</p>
3- Strengthened coherence, consistency and effectiveness of technical assistance in support of States Parties follow up action to the implementation review in the target regions	<p>3.1 Report develop and disseminated on commonalities and trends in TA needs</p> <p>3.2 TA providers mapping conducted, with a view to identifying focus of TA, good practices and existing tools in preventing and combating corruption</p> <p>3.3 Training programmes on UNCAC and the IRM as programming framework developed and implemented for the staff of relevant UN agencies (UNDAF training in partnership with UNDP and the UNSC), as well as bilateral providers of technical assistance</p>

The first **two outcomes** specify the regions covered by this programme. The first outcome addresses not only the acceleration of UNCAC ratification but also the participation in the UNCAC RM, whereas it can be argued that the RM can be seen, in principle, as a means to strengthen the implementation of UNCAC (for instance, state's participation can be gauged at the output level) ³⁷.

³⁷ The Programme document notes in relation to the SIDS outside the Pacific that 'the benefits of UNCAC, as a guiding framework, can strengthen their national anti-corruption efforts, and as a global symbol of commitment can trigger access to a range of international technical assistance. The specific needs of SIDS, in terms of swift ratification of or accession to UNCAC, the active participation in UNCAC review mechanism and their institutional, legal and operational capacity constraints will be addressed through this programme [...]'. (pp. 5). The emphasis seems to be somewhat placed on the group (one third of SIDS

The **second outcome** includes activities to improve access to expertise, strengthen capacity of anti-corruption bodies and adoption of standards in the criminal justice system. Although these activities have not been given in relation to the first outcome, this second outcome's second output could in principle support activities and expect results similar to the last two outputs to also strengthen the implementation of UNCAC. The second outcome could be formulated more generally by focusing on the enhanced implementation of UNCAC, thereby leaving out the reference to the implementation of the recommendations of the review mechanism.

The logic seems to have been compromised to some degree as a consequence of the third outcome, which focuses on TA provided by the programme management team. However, this result could be seen as the required technical tools needed for State Parties to implement the RM and the recommendations of the CRs of the first cycle of UNCAC.

Finally, indicators are aligned, to some degree, with the SMART³⁸ criteria, but do not always appear connected to the correct level of result(s) (at the output, outcome or objective level) that these are expected to measure. In addition, the indicators sometimes specify who will do what and state³⁹ what realistically can be achieved, by a set of targets⁴⁰ within the existing timeframe of GLOX69 and considering available resources. The indicators are not 'time-bound' although the working assumption has been that these targets must be achieved at the end of the programme. As such, the evaluation team concluded that more outcome level indicators as well as regular monitoring should be considered to measure the more sensitive and time-bound indicators. As regards to the qualitative and impact indicators it is acknowledged that GLOX69 is not a country-based programme, but a programme of wide geographical scope, which enables interaction with multiple beneficiary countries and South-South cooperation. For this reason, the level of assistance per individual country is more limited and the design of achievable results and related indicators has to strike a difficult balance between satisfying the requirement to measure impact and still be realistic and causally determined by assistance.

These conclusions are supported by the fact that the design of GLOX69 is based on the ToR of the RM. The ToR clearly explain how the reviews, and recommendations should be taking place and how TA should be a coherent approach (referring to outcome 3). Hence, the design seems to have been driven by the ToR instead of the necessity to design a programme directly linked to UNODC's thematic programme on corruption. Additionally, a results-oriented programme must be accompanied by a comprehensive monitoring system to support the collection of data to measure results.

which have not ratified UNCAC), whereas two thirds of the SIDS outside the Pacific have actually ratified UNCAC, and can therefore take part in the review mechanism. According to the evaluation findings, the emphasis put on one third of the group is the urgency expressed by Member States to get UNCAC ratified by all states and get states to endorse a universal process to fight corruption.

³⁸ **Specific** – target a specific area for improvement; **Measurable** – quantify or at least suggest an indicator of progress; **Achievable** – specify who will do it; **Relevant** – state what results can realistically be achieved, given available resources; **Time-bound** – specify when the result(s) can be achieved.

³⁹ Not in the programme document but in the first progress report 2012.

⁴⁰ The targets have probably been set at the minimum level in order to maximize chances of success. It is important to stress this programme's achievements are correlated to SPs' willingness to ratify, implement the RM and follow up with a national strategy on anti-corruption. As a result, both positive and negative attribution of un/achieved to UNODC only is relative and explains the current minimal targets.

Was the logframe a useful programme management tool?

According to the triangulated data, the majority of respondents use the logframe as a reference and a general guideline rather than a management tool. The logframe helps the programme management team staff and regional advisors understand whether the SPs requests fall under this programme's mandate or not and under which outcome it falls. Besides this guiding result, the logframe has not been such a useful tool for the programme management team, who, as experts, know what type of activities are required to support SPs to implement the objectives of GLOX69.

In addition, the logframe is cumbersome to report to as shown in the annual reports, as a lot of repeated information is collated under different outputs with similar indicators but with a different geographic scope. It is important to stress that UNODC similar to other UN agencies has not yet integrated impact indicators that could help better report and assess effectiveness and impact. Impact indicators take longer to collect relevant and measurable data. However, CEB should consider including outcome level indicators⁴¹ to enhance programming and evaluation efficiency. While, it might be too premature to adopt impact indicators, CEB should adopt outcome level indicators that could reflect the effectiveness of the programme by assessing how the ratification of UNCAC has initiated a series of reforms or how SPs, for instance, have used training on international cooperation.

Moreover, as aforementioned in the introduction, GLOX69 is designed on previous on-going programmes – GLOT58 and GLOS48⁴²- that are highly intertwined, not only on the geographic coverage but also on the TA proffered to recipients by UNODC. A lot of activities and cost-sharing took place across different programmes; as a result, it was not clear for most recipients what anti-corruption programme⁴³ they were beneficiaries of; they were recipients of UNODC anti-corruption programme⁴⁴ more generally. Indeed, the programme management team and the regional advisors knew what UNODC anti-corruption programmes the funds to finance their activities were coming from. However, most recipients could not distinguish one programme from the other (referring generally to UNODC anti-corruption activities). This realization does not have any consequence on the objective of GLOX69 but it makes it difficult for the evaluation team to gauge attribution to

⁴¹ Outcome indicators should only state what will be measured, rather than providing baseline data or target figures. Effective outcome indicators typically combine quantitative and qualitative measures, describing the number of people benefitting from a programme and the nature of those benefits. For example, outcome indicators for a crime reduction programme may include changes in the number of people experiencing violent crime (a quantitative indicator) alongside perceptions of public safety (a qualitative indicator). Because they are designed to measure the ultimate results of your programme, it is often important to include the perceptions and experiences of the intended beneficiaries (e.g. arrestees, police officers, or members of the general public).

⁴² GLOT 58 Towards an Effective Global Regime Against Corruption and GLOS48 Anti-Corruption Mentor Programme

⁴³ Many respondents that were asked to participate on the online survey sent questions as to what GLOX69 referred to in particular within the anti-corruption programme. Although, the evaluation did not use the results of the survey, as the response level was insufficient, this could be an explanation as to the low level of response.

⁴⁴ Many respondents that were asked to participate on the online survey sent questions as to what GLOX69 referred to in particular within the anti-corruption programme. Although, the evaluation did not use the results of the survey as the response level was insufficient, this could be an explanation as to the low level of response.

each programme. To conclude, based on the desk research and corroborated by field missions, the logframe has been used as a guide rather than a programme management tool.

Relevance

To what extent have the programme objective and activities been relevant to the anti-corruption needs and priorities of the governments in the programme target regions that have been supported by the programme?

According to the desk review and the field missions, GLOX69's activities and objectives have been and remain relevant to beneficiary countries. UNCAC's ratification, the RM and the reforms of the legal framework and of the judiciary are country-driven and as such based on their decision to ratify UNCAC and pursue the RM and reforms. Countries have realized that by ratifying and going through the country RM process, international funds and multilateral agencies' support could likely increase and enhance their internal system. As a result, some of the least developed countries signed UNCAC and finished their RM faster than Western Countries, who considered themselves sufficiently prepared and experienced to trial corruption cases, as well as cooperate internationally on asset recovery and investigation procedures.

While many countries have finalized their CRs quite quickly others took longer. The evaluation findings highlighted that UNODC needs to reach out to SPs to inform them of the technical support UNODC can offer to initiate the engagement process and get countries to pursue the implementation of UNCAC. At the same time, the desk research and the field missions underpinned that recipient countries requested more technical and financial support from UNODC than what the ISS and the CSS could sustain. Despite the staff shortage, budget restrictions and time limitations, UNODC managed to respond to many requests for technical support; UNODC also offered occasional financial support to SIDS⁴⁵ or LDCs governmental members allowing them to attend the Conference of the State Parties (COSPs), IRG or engage in UNCAC peer-review processes. As expected, the level of requests has surpassed the programme management team staff manpower. Although ratification is almost universal, it is critical for ISS to continue providing support to the SIDS that have not yet ratified UNCAC, and keep on informing them of its benefits. A closer alignment between the GLOX69's programme management team's work plans and those coming from the regional advisors should be proposed in order to prioritize the type of TA to respond to SPs needs. ISS could create a list of criteria that would then help narrow down the list of countries to focus on for the next 18 months. This prioritization will not only enable the programme management team and regional advisors to respond more strategically with a set of responses to requests but also to manage expectations amongst recipients and maintain the stakeholders engaged and committed to UNCAC.

⁴⁵ Antigua & Barbuda, Haiti, Sao Tome & Principe, Comoros and Timor-Leste were for instance covered through the programme to attend the fourth annual Implementation Review Group (IRG) in Vienna-Austria in 2012 but Haiti, Sao Tome & Principe, Comoros and Timor-Leste who attended the fourth annual reconvened IRG in Panama were covered by another source according to the annual progress report of 2013. It is not clear in the document from which other source and detailed budgets were not provided to the evaluation team for this mid-term review.

However, governments expressed their interests in receiving training on how to better engage with Civil Society Organizations (CSOs) in order to respond to corruption allegations as well as inform and involve them into governmental anti-corruption reforms. The preliminary findings⁴⁶ revealed that GLOX69 had a few activities in order to explain to CSOs what UNCAC is and the role of CSOs in fighting corruption. While building CSOs activity is critical to fighting corruption, this effort has to be gauged against the objective of the programme, whose primary targets are governments. While maintaining and responding to governments' requests is important to manage the relationship, prioritization is once again proffered to manage staff-time, budgets and beneficiaries' expectations and remain aligned with the programme primary objective 'to advance the ratification and follow up to the implementation review of UNCAC with a view to building an effective global regime against corruption'. The desk research and the field missions highlighted the importance of strengthening one country's anti-corruption body to finalize the RM as a good model to motivate neighbouring countries. Moreover, it creates precedents of effective cooperation amongst countries and helps these peers to share information and become models to follow within their region. Although the UNCAC's peer RM is mandatory for all States Parties, the evaluation findings revealed that the positive benefits of this process must be stressed and emphasized to relevant counterparts. These benefits are for instance: a) a more effective cooperation amongst countries; b) possibility to benchmark themselves against one another in terms of gaps and needed efforts with regards to the implementation of UNCAC. Hence, the programme management team should highlight the benefits of peer-review processes to SPs as a good practice that could serve other cross-sectorial thematic areas and generate more cooperation amongst countries. Although there are difficulties in implementing the RM, the evaluation underlined that its finalization led to additional international funding for some countries as they could show they were progressing on the anti-corruption front.

Moreover, the desk research and the field missions also showed that many countries had already ratified UNCAC prior to 2012 – when GLOX69 started; as a result, the focus has shifted to the implementation of UNCAC. Although the focus is on Chapters III and IV of the Convention, some elements of Chapter II are also critical for all anti-corruption work, including anti-corruption agencies, and regional anti-corruption bodies. Furthermore, CoSP further has a mandate over the implementation of the entire Convention. Prioritization of TA and clear communication about objectives can however help manage governments' expectations and – potentially - manage the level of requests for TA more effectively. This should also be clearly stated into the logframe of the programme to avoid confusion and enable a more effective assessment of achieved results. The programme management team and regional advisors should therefore discuss priority areas for TA, and agree on an integrated work plan with clear TA guidelines on themes, process and management. Finally, regional advisors on anti-corruption should be further involved in the drafting process of Regional Programmes (RPs) and global programmes for more cross-sectorial anti-corruption programming.

To what extent has the programme been aligned with the mandate, overarching strategies and policies of UNODC, the mandate and portfolio of interventions of CEB?

⁴⁶ Annual and Semi Annual Progress Reports

Trends across interviews and the desk research concurred that GLOX69 is aligned with UNODC's mandate⁴⁷ and has significant comparative advantage for supporting countries to ratify and for helping SPs implement UNCAC. The global programme provides the necessary financial means and technical capacity to support the implementation of the CoSP resolutions regarding the RM. GLOX69 is also aligned with UNODC Strategic Programme Frameworks (2012-2013, 2014-2015)⁴⁸, as well as with the Thematic Programme on Action against Corruption, Economic Fraud and Identify related Crime⁴⁹ (2012-2015). GLOX69 has also been aligned in terms of thematic focus and design with other global programmes under the portfolio of CEB (GLOT58, GLOS48 and XSPX70), as well as themes covered by national programmes that are more focused on reforms or building capacities within targeted CLPs. Compared to other multilateral agencies and according to interviews, UNODC is perceived by recipients as being technical experts with relevant insight and experience to proffer tailored TA and adapted solutions to SPs needs.

An overall strategy on anti-corruption at UNODC to facilitate a coherent approach to planning and implementation should however be designed and regularly reviewed. Such strategy could help manage better geographic priorities, respond to SPs needs more effectively through a clearer image of CEB's internal human and financial resources, as well as the provision of TA support. While it is understood that these programmes divisions are fund-driven, a more aligned strategy will convince the donor-community of the benefits of a coordinated and overarching strategy on corruption. Hence, for future programming, the programme management team should ensure coherence in outcomes and indicators used between global and thematic programme on anti-corruption to facilitate information gathering/analysis for performance management. Finally, regional advisors on anti-corruption should be further involved in the drafting process of RPs and global programmes.

⁴⁷ According to UNODC General Assembly and the Economic and Social Council and the Crime Commission, UNODC is best positioned to support the ratification and implementation of UNCAC. Resolution 2006/24 _July 2006 "International cooperation in the fight against corruption, the ECOSOC invited Member States and other agencies to foster synergies and support for greater interaction with UNODC to fight corruption but also to avoid duplicated efforts.

⁴⁸ GLOX69 is, more specifically, in line with the SPF 2012/13 the programme aims to prevent and combat corruption, in line with UNCAC, especially by providing policy advice at the global, regional and national levels, legal advisory, legislative and related institutional capacity building support services and training, and facilitating transfer of related expertise (13.12.a). It also seeks to provide assistance to Member States, upon request, to enhance the capacity of national competent authorities through various forms of technical cooperation, including knowledge transfer, training and advisory services (13.12.b). The programme will further, as appropriate support the development and dissemination of manuals, toolkits and training materials on corruption-related issues (13.12.d). Finally, it will make an important contribution towards enhancing coordination, collaboration and development of partnerships with other relevant providers of technical assistance in ensuring the coordinated and effective follow-up to UNCAC review process (13.12.i), according to GLOX69 programme document.

⁴⁹ In particular, it will provide assistance to Member States for the ratification of or accession to UNCAC and supports the development and implementation of domestic legal frameworks in line with UNCAC. Moreover, the programme aims to strengthen the capacities of relevant institutions, in particular anti-corruption bodies and criminal justice and security institutions to effectively prevent, raise awareness and control corruption domestically, and to cooperate internationally in the investigation, prosecution, and adjudication of corruption and related offences. In this context, the programme will also enhance integrity, accountability, oversight and transparency of criminal justice and security institutions with a view to reducing their vulnerability to corrupt practices.

Is GLOX69 aligned with UNODC RPs in South Asia, South East Asia, North Africa and the Middle East, East Africa and Southern Africa, and Central America and the Caribbean?

The desk research and the field missions revealed that GLOX69 is to some degree reflected in UNODC RPs covering Southern Africa (2012-2016), East Africa (2009-2015), North Africa and the Middle East (RP Arab States 2011-2015), South Asia (2012-2016), South East Asia (2014-2017) and the Caribbean (2014-2016).

GLOX69's programme document refers to several RPs with validity until 2012, due to which only the latest RPs have been examined for this evaluation (the working assumption was that the latest RPs could therefore have reflected the indicators used in the programme document in order to support the coherence in measuring outcomes at the global and regional levels). The indicators used in these RPs that started after 2012 are not the same or similar in nature to the ones given at the outcome level in the GLOX69 programme document. The field missions confirmed the preliminary findings of the desk review that data collection, reporting and cooperation between GLOX69 and the RPs, have been challenging tasks and thus concluding that GLOX69 is not well integrated within the RPs. It was also observed that regional offices do not always respond to regional advisors requests for support as their activities are not always related or integrated into the RPs. So greater cooperation amongst regional advisors and regional offices is recommended. Although the programming cycles amongst global programme and RPs are different, UNODC HQ and Regional Offices should seek to integrate the RPs within the global programmes more closely. This integration would allow GLOX69's programme management team to focus on supporting SPs with the implementation of the RM while regional advisors in cohort with the RPs' staff could then focus on addressing SPs needs and the CR recommendations. Hence, this integration would help draft a work-plan and assign roles and responsibilities along clear lines and help manage financial and human resources more effectively.

Have any country/areas received special focus over others? Why?

According to the desk research and the field missions, there are no specific countries that are to receive specific attention but this differed from one region to the other. In South East Asia for instance, countries that still had to undergo the review process at the beginning of GLOX69, received closer attention from the regional advisor and the programme management team than the others (which had been (almost) finalized). One country received more attention than others because of the sudden political space to work towards ratification of UNCAC and the implementation of the first cycle of the review period. Across the targeted regions, regional advisors used several criteria to select which countries they would respond to. They use criteria such as: resources; UNODC and/or UNDP infrastructure in country; political stability/political space; status vis-à-vis UNCAC; responsiveness to questions and emails and willingness to participate. Some countries have been quick in implementing the RM and eager to start strengthening their legal reforms and institutional capabilities. As a result, these countries kept close engagement with regional advisors. Face-to-face interaction in particular was reported to have had a clear positive impact on the level of response and engagement between regional advisors, the programme management team and local counterparts. One detrimental factor affecting UNODC and especially least

developed countries as well as SIDS was the lack of financial resources to participate in workshops or other activities (conferences, peer reviews, mock trials). For instance, the cost of travel to some remote SIDS hindered the engagement process and the implementation of or participation of local governmental representatives in activities organized by the programme management team or regional advisors. Within that context, the cooperation with UNDP and other international programmes such as Stolen Asset Recovery Initiative (StAR) from the World Bank enabled UNODC to be more present in some regions through joint training and conferences (MENA, Southern Africa, Eastern Africa and Western Africa especially).

Finally, the presence of regional advisors revealed to be critical to understand the needs and strategic entry points in order to more effectively address cultural and local sensitivities. They also played a role as 'communication relayers' between the field and HQ. However, regional advisors need further support from Regional Offices and from HQ through additional staffing.

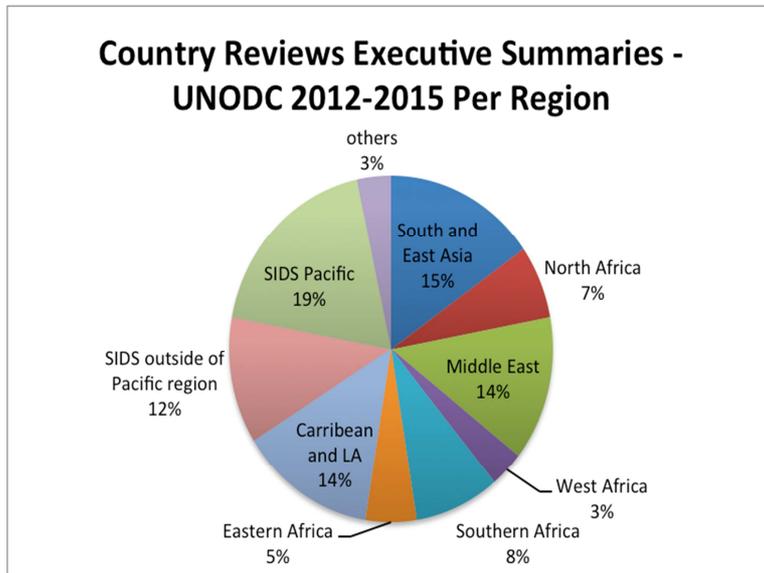


Chart: Country Reviews Executive Summaries publicly available between 2012-2015 per region⁵⁰

Although, CRs are carried by CSS and UNODC's normal budget, the ISS has been following up with countries on recommendations and TA needs, which were highlighted in each country's CR's executive summary. This chart conveys the diverse geographic coverage of CRs carried out by CSS and ISS.

Source: evaluation team: Annual progress reports 2012,2013,2014, 2015 and cross-referenced with publicly available Executive Summaries submitted to the evaluation team and with the online index

Efficiency

⁵⁰ Countries included in this chart per region: **South and East Asia:** Korea, Philippines, Brunei, Indonesia, Vietnam, Sri Lanka, Malaysia, Laos, Bangladesh; **North Africa:** Egypt, Tunisia, Algeria, Morocco; **MENA:** Iran, Bahrain, Israel, Qatar, UAE, Kuwait, Iraq, Jordan; **West Africa:** Nigeria, Ghana; **Southern Africa:** Zimbabwe, Zambia, South Africa, Lesotho, Botswana; **Eastern Africa:** Tanzania, Rwanda, Burundi; **Caribbean and Latin America:** Uruguay, El Salvador, Argentina, Colombia, Panama, Paraguay, Bolivia, Peru; **SIDS outside of the Pacific Region:** Sao Tome, Cuba, Jamaica, Dominica, Dominican Republic, Trinidad and Tobago, Mauritius; **SIDS Pacific:** Vanuatu, Cook Islands, Kiribati, Marshall Islands, Micronesia, Nauru, Palau, Fiji, Papa new Guinea, Solomon Islands, Timor Leste. SIDS pacific are covered by the Pacific Programme at UNODC.

This section will highlight how this programme has maximized and tried to efficiently use the resources available to deliver planned outputs, as well as unforeseen requests from governmental and anti-corruption bodies. The mid-term evaluation looked at the budget that was used to support the programme management team and recruit regional advisors for critical supporting functions in different regions, and tried to answer the following questions, taking into consideration, the evaluation limitations, as no detailed budgets were provided. The following section therefore focuses on staffing, and cost-sharing efforts vs outputs. The final in-depth evaluation should however look at the division amongst segments, the programme management team, activities and staffing to visualize the ratio between each of them and understand the disbursement of funding. However, before going into the set of questions and answers, it is important to understand how the programme management team and GLOX69's staff are divided amongst ISS and CSS within CEB. GLOX69's programme manager is located within ISS but the salary is not covered under this programme. ISS further has 5 staff⁵¹ members that are paid- partially or fully- by GLOX69 and CSS has one person whose salary is partially covered by the programme. Although the rationale for the creation of GLOX69 was to facilitate donor reporting on how the funds had contributed to the overall work of CEB to support the ratification and implementation of UNCAC, the actual usage of funds of GLOX69 was not always clear with regards to staff's salaries.

To what extent have the human and financial resources and inputs been converted to outputs in a timely and cost-effective manner?

Since 2012, UNODC support the implementation of 101 CRs⁵² covering all targeted regions and 177⁵³ countries have now ratified UNCAC⁵⁴. The regional advisors in varying degrees supported the CRs, and therefore GLOX69 contributed to their implementation. Only some of the SIDS have not yet ratified the Convention, which was explained by the CLPs as the result of several factors (lack of understanding, limited governmental capabilities due to small understaffed governmental agencies, lack of financial and human capabilities and cost of carrying out TA in these remote islands). In addition, the programme management team, between the ISS and CSS, has delivered TA to 33 countries between June 2012 and July 2015. Although the initial focus was on SIDS outside of the Pacific region, the programme was expanded to cover additional countries in order to respond to the sheer demands from MS as well as to fulfil the overarching objective 'to advance the ratification and the follow up to the implementation review of the UNCAC with a view to building an effective global regime against corruption'.

With regards to the budget, GLOX 69 has a total approved budget of USD\$8,858,070⁵⁵ for a period of five years (2012-2016). Since 2012 until July 2015, a minimal staff of 5 regional

⁵¹ According to CEB organigram

⁵² It could, however, not be assessed whether these countries reviews were fully attributed to GLOX69 only as CRs are also of the CEB's general mandate and CR are part of UNCAC and not just a process put forward by GLOX69.

⁵³ As of October 2015

⁵⁴ As of September 2015

⁵⁵ The Total Approved Budget is currently lower (US \$8,625,787) than the Australian contribution is due to a

experts⁵⁶, and a team of 13⁵⁷ staff at headquarters within the programme management team supported the implementation of GLOX69. Moreover, according to the disbursement history⁵⁸, 76.1% of the total budget has been spent from September 2012 until October 2015. Hence a remaining 24.9% is available for the final year of the programme. Due to the large geographic coverage, the high demand of TA and the time required to foster productive exchanges with local governmental counterparts, the programme management team and regional advisors continuously seek for cost-sharing schemes with these local governments or/and with other international institutions such as the World Bank and UNDP.

For this mid-term evaluation, the quick review of the budget revealed the cost-sharing efforts. Each targeted region receives a segment of the budget each year to implement activities based on its annual work-plan. When deducting the salaries for the field-based advisors, at least 56% of the expenditures are related to implementation in the field. The remaining 44% also contain the expenditures for the Vienna based advisor responsible for SIDS and the expenditures for international consultants, who work in the field but have to be recruited through HQ.

The segmentation has been driven by the presence of regional advisors in targeted regions to support the field implementation process and the stakeholder engagement phase. The role of regional advisors⁵⁹ revealed to be critical for the face-to-face engagement and for supporting some CR's processes. While regional advisors are critical to engage with stakeholders in the field, a pool of additional technical experts should be created within the programme management team to support the regional advisors on specific TA assignments. The pool of experts would remain at HQ and could travel to needed countries based on their specific expertise and MS needs.

purely administrative issue that relates to the way the programme was set up at the time when it was designed and approved in 2012. The programme management team is currently addressing this issue to increase the Total Approved Budget.

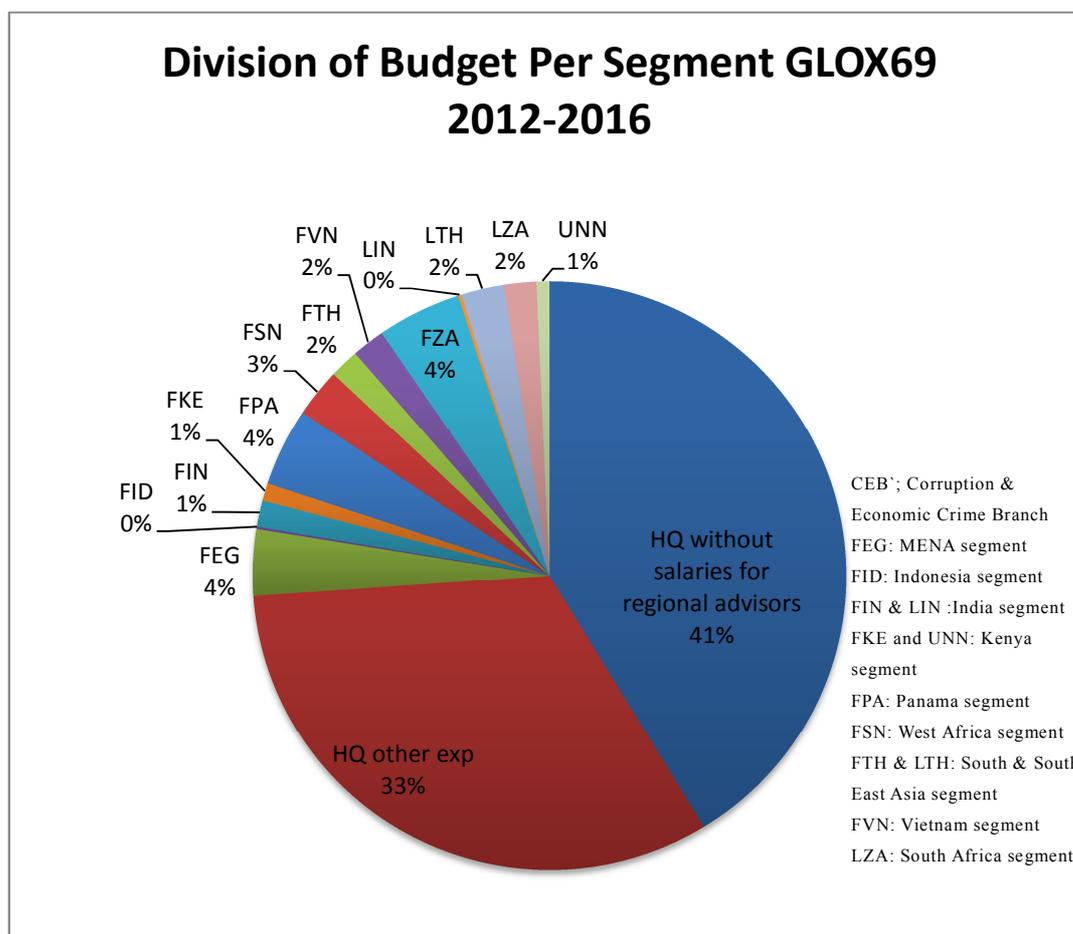
⁵⁶ MENA Advisor, Southern and Eastern Africa, South and South East Asia, SIDS, Latin American and the Caribbean islands

⁵⁷ One at the Office of the Chief, two in the CSS and 10 at ISS.

⁵⁸ As provided in the ToR

⁵⁹ The regional advisors were recruited under GLOX69 but their impact goes beyond this programme's engagement, as they are building and nurturing relationships for CEB and future programmes on anti-corruption.

Chart Division of Budget (planned) Per Segment GLOX69 2012-16



Source: evaluation team based on Profi

The evaluation revealed that staff members at the programme management team and in the field were either paid through GLOX69 or other global programmes (GLOS48, GLOT58, SRBZ25, the Swedish RP on Anti-Corruption in South East Asia, GLOT08, and UNA⁶⁰)⁶¹ or permanent UN positions. This cost-sharing process financed the creation of an additional regional advisors position (for Latin America and the Caribbean⁶²) and co-financed the position for South and South East Asia. Programme GLOX69 pays entirely for the SIDS' advisor. However, further clarity in reporting cost-sharing efforts across the different

⁶⁰ UNA; United Nations Association

⁶¹ According to the 'Organizational Structure, Post Distribution and Incumbents' organigram document. UNA: United Nations Association

Nations Association

⁶² South and South East Asia was funded by GLOS48 and GLOX69; West Africa was funded by GLOS48; Latin America and Caribbean was funded by GLOT58)

segments of the budget is recommended for future reporting and efficiency measuring purposes. Moreover, as observed on the above chart, this is a HQ led programme to support the substantial and the high level outreach required to manage this programme. The budget seems spread quite evenly across the different regions. Due to the limited time available from now to September 2016, the programme management team has to prioritize its focus on some countries and reduce its TA engagement.

While there is a clear division between ISS and CSS according to their respective mandate - ISS focuses on the TA and prevention while CSS concentrates on the RM and asset recovery- the evaluation nonetheless underlined an overlap of roles between the two sections, where ISS also carried out CRs due to large workload experienced by CSS. According to the evaluation findings, this overlap was purposeful in order to allow everyone within the two sections to understand the process and for ISS staff to be able to suggest improvements in how the reviews impact TA and also to ensure that they are able to follow up on recommendations to provide the support needed by a State to make those reforms. Secondly, the workload of the IRM is too large to be carried out by only CSS staff. While it was understood that the overlap was intentional, the evaluation could not assess the efficiency of the programme management team vs. funds disbursed. The one lesson learned from this process is for the need of the programme management team to clarify budget disbursement from the onset. Moreover, while the sheer volume of requests and CRs being carried out combined with the vast geographic area covered explains this multi-roles function taken upon by these two sub-sections, greater planning can help maximize regional advisors' expertise, as well as to use time more efficiently.

Finally, the evaluation revealed that further cooperation and support from UNODC Regional Offices should be more apparent and standardised. At the moment, it is very dependent on personalities and level of integration of anti-corruption activities within the RPs themselves. So clarity, prioritization on regions, countries, type of activities and type of recipients should be part of the criteria to help draft the work plan. The work plan should also be reviewed every 3 months to adapt it to new local realities, challenges and changes in staffing, and budget.

Partnerships and Cooperation

To what extent have partnerships been sought and established with governments in the target regions and other relevant regional/international organizations and where applicable, bilateral donors? What were the terms of their engagement? Were such partnerships and collaborations effective and to what extent did they contribute to the achievement of objectives and outcomes?

Governmental and Regional Anti-Corruption Bodies

GLOX69 has been a vehicle to initiate, sustain and strengthen partnerships with a range of actors, especially States Parties in selected regions, regional cooperation organizations, other international organizations (such as UNDP), the main donor (Australia/DFAT), other donors and partnerships and cooperation between different States Parties ('South to South' cooperation through - among others - the implementation of the RM). This has been achieved by providing support to the ratification/accession process of some SIDS countries

(outside the Pacific region), and by offering financial and TA to the implementation of the RM and the necessary follow-up in selected countries in South East Asia, the Middle East and North Africa, Eastern and Southern Africa.

GLOX69 enabled UNODC to sustain different levels of cooperation with SPs depending their level of development. Different state actors received assistance by means of training activities and in some cases travel assistance to take part in regional workshops/conferences and/or the IRG. Assistance was provided to different state actors, including anti-corruption commissions, actors of the criminal justice chain (investigators, prosecutors, judges), and parliamentarians in South Asia, South East Asia, the Caribbean/Latin America, West Africa, East Africa, South Africa and North Africa and the Middle East. UNODC progress reports generally noted the different activities, but not the challenges and the reasons determining the level of intensity of the different partnerships⁶³. As many countries had already started their RM when GLOX69 started, the relationship between UNODC and the SPs stemmed from UNCAC ratification and CoSP that takes place bi-annually, and brings together all MS to discuss challenges and successes in implementing UNCAC. GLOX69's programme document refers to regional organizations as the main partners. In programme reporting frequent references have been made to some of these regional and national organizations⁶⁴. The organizations enabled the programme management team to reach out to their members and set up training workshops on international cooperation for instance or on the RM. These anti-corruption bodies also helped the programme management team and regional advisor to identify the right counterpart in these organizations' SPs. As such, the engagement process was strengthened through the introduction of these organizations that are respected by their SPs.

However, it is important to stress that the engagement process and the management of the relationship require time, continuous efforts and cultural sensitivity. The programme management team is understaffed to respond to all requests and to deploy sufficient field support. On the governmental bodies' side, changes amongst focal points or leadership cause disruption in the engagement and the relationship building efforts undertaken by both parties. In other cases, these regional or national bodies can also be under-staffed and multi-tasking which cause delays in responses as well as raise expectations as to the kind of support received from UNODC. There are no terms of engagement or rules as to how governmental-UNODC relations are forged and maintained. HQ plays a pivotal function in agreeing on the terms of engagement and managing issues at the local level, if and when they occur.

⁶³ At the exception of Myanmar for instance where substantial efforts were demonstrated due to the recent political changes that the country faced, opening windows for cooperation and change.

⁶⁴ UNODC has partnered with the Commonwealth Africa Anti-Corruption Centre, African Association of Anti-Corruption Authorities (AAACA); East African Association of Anti-Corruption Authorities (EAAACA) High Authority for the Fight against Corruption and Related Offences (HALCIA), CARICOM the Caribbean Community and Common Market, APEC the Asia-Pacific Economic Cooperation, ASEAN the association of South East Asian Nations, SAARC the South Asia Association for Regional Cooperation, the ABD/OECD Anti-Corruption Initiative for Asia and the Pacific, AOSIS the Alliance of Small Islands States, COI the Indian Ocean Commission

UNDP

Another critical and pivotal relationship that has been nurtured during this programme is the one with UNDP. The donor who wanted to integrate both agencies' work on corruption and get them to cooperate more effectively requested they join forces in this global programme. UNODC and UNDP have been cooperating for a long time and have had an excellent relationship at the global level. Indeed, based on the triangulation of the collected information, the relationship and the collaboration have been relatively good across all regions and helped implement activities and engage with stakeholders in each targeted country. UNDP has offices in many countries around the world where UNODC implemented training workshops or conferences on topics related to the implementation of UNCAC and other related topics. UNODC is a 'small boutique agency' that is reputed for its technical and legal expertise compared to other large agencies such as UNDP that cover many thematic areas and are looked upon as a large rich development multi-lateral body. The complementarity of this cooperation is clear but the evaluation revealed some underlying issues that should be addressed for future engagement and cooperation:

- a) There is an existing MoU⁶⁵ between UNODC and UNDP on anti-corruption, and respondents pointed out that cooperation between UNODC and UNDP at the global level is very good. The MoU does not state any standard operating procedures and rules of engagement with governmental counterparts and other stakeholders in countries where UNDP is well established and UNODC has no presence for instance. Moreover the two organizations function differently –UNODC being centralized at HQ with Regional Offices but with a central management team while UNDP is decentralized in Regional Offices. Hence, in order to avoid that the relationship is managed through personalities rather than processes, it is suggested to review the existing MoU to explicitly state the roles and responsibilities in relation to GLOX69. It is nonetheless, pivotal for the UNDP/UNODC relationship to continue to work more closely on UNCAC and on anti-corruption in general.
- b) The engagement is not always clear for stakeholders and key counterparts as to what agency they are dealing with- whether it is UNDP or UNODC, which leads to unrealistic expectations from stakeholders of UNODC's abilities to respond to MS' requests, especially with regards to financial support.
- c) Redundancy of programming between the two agencies is another key point. UNDP has a presence in most countries covered by GLOX69 and was established long before UNODC started building bridges with local governmental counterparts. As a result, in some countries UNDP and UNODC both implement anti-corruption programmes. Finally, in some countries UNODC had to go through UNDP to liaise with governmental counterparts instead of doing it directly, once the relationship was established.

Hence, clear rules of engagement for this particular programme should be revisited to avoid personalities to become a decisive role in the implementation of GLOX69 activities and to

⁶⁵ MoU: Memorandum of Understanding

outreach to governmental bodies as well as to create benchmarks to measure the effectiveness of this cooperation more closely and more accurately.

World Bank StAR programme

The evaluation revealed that UNODC and the World Bank managed to implement training workshops on asset recovery and investigation processes across several regions in MENA, Eastern and Southern Africa as well as develop the StAR database on corruption cases around the world. The evaluation findings highlighted that this cooperation allowed for training activities to take place due to cost-sharing efforts and especially bringing UNODC experts to address these tactical and sensitive topics on international cooperation and asset recovery procedures. The cooperation has been beneficial in responding to SPs needs.

To what extent have partnerships been established/sustained with private sector entities and civil society (including TA providers)? Which ones? What was the framework for such collaboration, and how have these supported the overall implementation/results of GLOX69?

UNODC supports the participation of other stakeholders in its anti-corruption activities in general. For instance, in accordance to paragraph 30 of the ToR to the RM, most country visits have included sessions with other stakeholders that include private sector entities, civil society actors, trade associations, as well as academia and other national stakeholders. These sessions are organized in the form of panels during which these stakeholders have been engaged as members of national coordinating committees. As a result, the participation of these stakeholders can only partially be attributed to UNODC.

UNODC has also worked with private sector entities⁶⁶. However, only references to the ASEAN CSR⁶⁷ network were made in the annual progress reports of GLOX69. In addition, only references to private sector entities in South East Asia⁶⁸ were mentioned in the annual progress report for 2014, because only these were directly charged to GLOX69. Other programmes have covered activities related to private sector entities in other regions⁶⁹. Nevertheless, discussions with CLPs in the countries visited during the field missions concurred that further engagement with the private sector and civil society actors were welcomed and needed. Although, it would make sense for the programme management team to further engage with the private sector, it is key for them to focus and prioritize on their key recipients – governments - for the final year of the programme rather than spread

⁶⁶ UNODC also engages with the private sector in the fight against corruption. Much of this work focuses on cooperation with other organizations such as the B20, the World Economic Forum's Partnership against Corruption Initiative (PACI) and the UN Global Compact, including through its national networks

⁶⁷ ASEAN CSR Network: ASEAN Corporate Social Responsibility network

⁶⁸ **Private sector:** ASEAN CSR Network, Integrity Initiative of Malaysia, Malaysia International Chamber of Commerce (ICC), Union of Myanmar Federation of Chambers of Commerce and Industry, Myanmar Business Executives, Myanmar Global Compact Local Network, Myanmar Centre for Responsible Business, Integrity Initiative of the Philippines, Nestle Malaysia PricewaterhouseCoopers (PwC), General Electric (GE, Thailand), Cornerstone Barristers (UK)

⁶⁹ <http://www.unodc.org/documents/treaties/UNCAC/COSP/session6/V1505886e.pdf>

human resources too thin. The private sector will receive more attention in the second cycle, when chapter II is one of the two chapters reviewed.

With regards to civil society actors⁷⁰, the evaluation revealed that some successful partnerships were established but that further training to governmental entities on how to engage with these specific actors had been requested and was greatly needed. Training on UNCAC was given to multi-stakeholder workshops, which included civil society representatives, and to only civil society representatives in different regions⁷¹. One training workshop was specifically focused on journalists in Africa⁷². While the progress reports provide lists of names and activities, these do not appear to cover all regions at all times, hence raising the question as to whether these connections are planned or made at random. To conclude, the programme management team and regional advisors should link these activities and engagement efforts with these stakeholders to the planned programme outputs and outcomes to get more meaningful reporting and more effective planning. Finally, the engagement process with these CLPs should be connected to the outcomes and the outputs of the global programme to understand their potential impact. At this stage of the programme implementation, and due to the topic of the programme, it is difficult to attribute and link the achieved results to UNODC only and assess what role CSOs' and private sector's engagement played in achieving this programme's results.

To what extent and how has GLOX69 contributed to strengthened 'South-South' partnerships?

⁷⁰ Non-governmental organizations, academia and the media such as For instance, Luckow NGO in India partnered with UNODC to implement a large conference on youth employment; the NGO 'Live and Learn' in VietNam with whom a series of online events materials were shared.

⁷¹ UNODC support the training of non-governmental organizations and governmental officials to participate in the review mechanism through multi-stakeholder workshops that were held in Kuala Lumpur in February 2014 and in Vienna in June 2014. Governmental officials and representatives from civil society from Comoros, Madagascar, the Maldives and Singapore were trained as a part of these workshops. Specific trainings on UNCAC and its implementation have been delivered to the anti-corruption agencies of Liberia, Côte d'Ivoire, Gabon, Thailand, Malaysia, Iraq and Zambia. Such trainings were also delivered to CSOs in Côte d'Ivoire, to youth in Gabon and at the regional level for CSOs from West Africa.

At the national level, some of the institutions assisted in 2014 included: **Academia:** Andalas University (Indonesia), Sana'a University, Faculty of Political Science (Yemen), University Utrecht (Netherlands), University of the Philippines, Ateneo de Manila University (Philippines), Polytechnic University of the Philippines, Malaysia Anti-Corruption Academy (MACA)

Civil society: National chapters of Transparency International (Cambodia, Indonesia, Kenya, Lebanon, Malaysia, Morocco, Philippines, Tunisia), Indonesia Anti-Corruption Watch (ICW), Anti-Corruption Organisation of Thailand, Transparence et Deomcratie (Tunisia), Tunisian Association of Public Controllers, Social Contract Center (Egypt), Social Watch Philippines (SWP), I Watch (Tunisia), Affiliated Network for Social Accountability (ANSA), American Bar Association (ABA), U4 Anti-Corruption Resource Center, UNCAC Coalition, Lalenok Ba Ema Hotu (LABEH) (Timor-Leste), Luta Hamutuk (Timor-Leste), Simbahang Lingkod ng Bayan (Philippines), Public Service Labor Independent Confederation (PSLINK) (Philippines), Centre of Studies for Peace and Development (CEPAD) (Timor Leste), Philippine Center for Investigative Journalism (PCIJ), Transparency & Accountability Network (Philippines), Anti-Corruption Front (India), and Centre for Youth and Social Development (CYSD) (India).

⁷² Journalists –The Power of the Pen: Ethics, Roles and Responsibilities of Journalists in Africa: In May 2014, UNODC took part in an event organized by the International Anti-Corruption Academy in Accra, Ghana, for the Africa region. Attended by 18 journalists from the region, the training offered an opportunity for UNODC to present its tool "Reporting on Corruption: Resource Tool for Governments and Journalists" on investigative journalism.

UNODC partnerships and cooperation with regional networks supported South-South cooperation by encouraging countries to exchange information and to invite each other for on-site visits. Moreover, by inviting countries from the same region, a level of benchmarking is taking place amongst the invitees. Additionally, GLOX69-supported training, conferences and workshops were organized at the regional level and covering different regions, which contributed to South-South information-sharing, learning and networking.⁷³ IRG sessions since the programme's inception have also contributed to South-South learning. The participation of some less developed countries was covered by GLOX69⁷⁴. Furthermore, national experts from other countries in regional and national-level training events also contributed to South-South learning⁷⁵. The same applies to study tours financed by GLOX69

⁷³ **For instance, here are a few activities that fostered south-south cooperation: Trinidad and Tobago, Antigua and Barbuda, Jamaica and St. Lucia:** In April 2014, an expert group meeting on judicial integrity was delivered for 35 justice officials (judges, prosecutors and court clerks of Trinidad and Tobago, Antigua and Barbuda, Jamaica and St Lucia), based on the Implementation Guide and Evaluative Framework for Article 11 that was developed by UNODC under this programme to strengthen judicial integrity.

- **Sustainable Anti-Corruption Reform in SIDS:** In October 2014, a one-day event was organized on Sustainable Anti-Corruption Reform in SIDS following the meeting of the reconvened fifth session of the IRG. Officials from Comoros, Haiti, Sao Tome and Principe and Timor-Leste as well as from 9 Pacific Island States (Cook Islands, Fiji, Kiribati, Marshall Islands, Federated States of Micronesia, Nauru, Palau, Papua New Guinea, Solomon Islands and Vanuatu) participated. This event served as a tool of peer-to-peer learning amongst SIDS as well as a tool to identify good practices and common challenges.

- **Regional workshop to draft a Regional Agreement on the Sharing or Return of Recovered Assets:** This workshop was held in November 2014 in Trinidad and Tobago and brought together representatives from the fifteen CARICOM member States with prosecutorial and law enforcement background. Brazil, as the only country in the LAC region with national provisions touching the topic, participated in the workshop to share their experience and guide during the drafting process.

- **Regional Workshop on Asset Declaration Systems for the Caribbean:** This workshop was held in December 2014 in Antigua and Barbuda and brought together 37 high-level officials from Antigua and Barbuda, Bahamas, Barbados, Dominica, Grenada, Haiti, Jamaica, Mauritius, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines and Trinidad and Tobago

- **Regional Conference of the Caribbean Procurement Institute:** In December 2014, UNODC conducted training on implementation of article 9 of UNCAC on 'public procurement' in Trinidad and Tobago as part of a regional conference organized by the Caribbean Procurement Institute convening auditors, procurement officials, investigators and prosecutors from Trinidad and Tobago and Jamaica (60 participants).

⁷⁴ - Sessions of the IRG over the last two years have also held panels on technical assistance that highlight different approaches and lessons learned on technical assistance delivery by bilateral and multi-lateral assistance providers and South-South cooperation. 2014 - Resumed fifth session of the IRG - At the reconvened session and capitalizing on the presence of many SIDS delegations, from both the Pacific and outside the Pacific, a meeting on Sustainable Anti-Corruption Reform in

SIDS was held. The participation costs of the Comoros, Haiti, Sao Tome and Principe and Timor-Leste were financed by this programme. This is one example amongst many others.

⁷⁵ **The Third International Conference on Small Islands Developing States:** A side event on anti-corruption reform was organized within the framework of this high-level Conference that was held in Samoa in September 2014. Led by the UN Pacific Region Anti-Corruption Programme, the side event also included the participation as guest speaker of the Prosecutor-General from Sao Tome and Principe. **Third International Conference on Small Islands Developing States:** A side event on anti-corruption reform was organized within the framework of this high-level Conference that was held in Samoa in September 2014. Led by the UN Pacific Region Anti-Corruption Programme, the side event also included the participation as guest speaker of the Prosecutor-General from Sao Tome and Principe

(Sao Tome to East Timor)⁷⁶. Finally, references in annual reports were made to inviting the regional advisors to facilitate these South-South events, due to their expertise and their relationship with governmental counterparts.

Based on the desk review and the field mission, while it was apparent that the programme management team and regional advisors have invested a great deal of time and effort in developing and nurturing relationships with different stakeholders, especially regional anti-corruption bodies⁷⁷, it was difficult to gauge the effectiveness of the different partnerships, and the extent to which the most relevant activities have been pursued. A partnership strategy at the global and regional level is missing, and this could for instance provide more information on how the different CEB staff relate to different partners. This strategic document should clearly explain staff responsibilities and division between CSS and ISS; the roles of the regional advisors with regards to the ratification and implementation of UNCAC and the IRM cycles as well as how GLOX69 staff provide inputs into the overall strategy – related to a realistic assessment of available resources at the regional and national level, as the latter impacts on the extent to which UNODC can develop and implement activities. Finally, at the desk level, strong partnerships with regional organizations in MENA seem to be limited or absent when strong links and relations were observed during the field trip. Hence, it is critical to better visualize and report the creation of new relations and enable the programme management team to keep a record for future engagement so the relationship becomes institutional rather than based on personalities and individual connections between regional advisors and focal points. Finally, the programme management team should develop a more solid monitoring system to capture the participation of different stakeholders, including of civil society/private sector/academia and their impact on creating the enabling environment to accede or implement UNCAC in their respective country.

Effectiveness

The following section will focus on six questions addressing achievements of objectives; usefulness of tools and applications and implementations of peer learning amongst countries.

⁷⁶ **Sao Tome and Principe:** Study tour on the Integrated Case ProFi BI – Programme and Financial Information Management System - Management System in Timor-Leste in February 2014. As follow-up to the UNCAC technical assistance action plan developed in September 2013 on the basis of the review report, UNODC facilitated a high-level mission by the Minister of Justice, the President of the Supreme Court and the Prosecutor-General of Sao Tome and Principe to Timor-Leste to review the integrated case management system developed for the justice sector in Timor-Leste. As a follow-up to the mission, the Prime Minister of Timor-Leste visited Sao Tome and Principe and expressed his commitment to provide support for the replication of this system in Sao Tome and Principe (supported by the SIDS adviser and the adviser for Western Africa who is funded under another programme, GLOS48).

⁷⁷GLOX69 supported regional networking efforts with the Commonwealth Africa Anti-Corruption Centre, African Association of Anti-Corruption Authorities (AAACA); East African Association of Anti-Corruption Authorities (EAAACA)

High Authority for the Fight against Corruption and Related Offences (HALCIA), CARICOM the Caribbean Community and Common Market to name a few. Regional training events also support South=South cooperation.

To which extent have the programme's outcomes and outputs been achieved so far?

According to the triangulation of the collected data, GLOX69 has developed and implemented many activities in all targeted areas in relation to CRs, capacity building of prosecutors, anti-corruption bodies, regional networks of anti-corruption bodies and other CLPs. As aforementioned, many activities have also been organized for civil society and for the private sector within individual countries.

According to the triangulated data, considerable progress has been made in raising awareness about the urgency and the need to ratify and implement UNCAC in all regions where GLOX69 has regional advisors, including SIDS. Although raising awareness and maintaining local counterparts engaged was not part of GLOX69 per se, the roles of the regional advisors also entailed conducting fundraising opportunities. Nonetheless, the evaluation findings also highlighted the critical role the SIDS regional advisor has played in raising awareness about UNCAC and maintaining engagement with local counterparts.

More generally, the evaluation team could not assess to what extent outputs and outcomes of GLOX69 had been achieved as of yet, as many activities were cost-shared amongst different programmes (StAR, GLOT58, GLOS48 and other national programmes focusing on specific issues, such as the EGYX49 'Supporting Measures to Combat Corruption and Money Laundering and to Foster Asset Recovery in Egypt'). In addition, UNCAC ratification, the implementation of the RM and national programs are country driven and involve a large panel of different stakeholders, whereby it was difficult to attribute the achievements to GLOX69 only. One could conclude that combined efforts and inputs (together with other programmes) had however resulted in contributing to the achievement of some outputs and outcomes.

Nonetheless, the desk research and the field missions concluded that recipients – governments, and anti-corruption bodies - were generally very pleased and grateful of the support proffered by the programme management team. Most of them, however, expect and hope for additional technical support. UNODC should for the next phase have a clear engagement strategy that combines a communication plan and a work-plan that prioritizes TA requests by topic, geographic focus and urgency in achieving GLOX69's three outcomes.

What did the targeted governments implement (tools, review mechanism, strategies) as a result of the programme's activities?

The evaluation revealed that CEB has developed a series of tools such as the 'Development of the National Anti-Corruption Strategies Tool – A practical Guide for Development and Implementation'. Moreover, other tools such as the Kuala Lumpur Statement, Jakarta Statement and Siem Reap Statement in South East Asia and the Pacific, the Dakar Declaration on asset disclosure, Sally Declaration on investigative journalism and Doha Statement on anti-corruption education in universities were also crafted during GLOX69. Moreover, the implementation reviews that have been completed thus far have identified a high number of TA needs relating to whistle-blower protection. Additionally, a number of

anti-corruption bodies, including those from small islands, have asked UNODC directly for assistance in this area. In response, UNODC has developed a 'Resource Guide on Good Practices in the Protection of Reporting Persons'⁷⁸. The Resource Guide provides legal and practical guidance and examples on the obligations of States to protect reporting persons under article 33, but also articles 8(4) and 13(2) of the Convention. UNODC convened an expert group meeting⁷⁹, which was held in Vienna, Austria, from 22 to 23 May 2014 to review and provide input to a draft guide. The final draft was shared with experts during the first quarter of 2015 for the final validation. Another tool was also developed to help SPs develop their national strategies based on lessons learned and best practices. UNODC began the development of guide, the 'National Anti-Corruption Strategies: A Practical Guide for Development and Implementation'⁸⁰. An expert meeting was conducted on 6-8 May 2015⁸¹. In addition, the TRACK⁸² anti-corruption legal library in cooperation with StAR program⁸³ from the World Bank was also created and constantly being updated⁸⁴. A series of derived outcomes came out of these tools: the exchange and collaboration amongst countries on lessons learned, challenges and steps forward, as well as greater awareness about key mechanisms and reforms needed to implement UNCAC and foster closer international cooperation amongst neighbouring countries. The statements remain purely formal and non-binding documents. However, the process of reaching such declarations brings countries together around the same topic, which helps build South-South exchange and cooperation. Some countries pursued further continuous engagement following a peer review process or training or conference – Timor Leste and Sao Tome for instance. On the other hand, the practical guides are concrete but require training for SPs to integrate these recommended best practices into their legal framework and judiciary system.

GLOX69 has generated synergies with country or regional initiatives such as the Caribbean Community and Common Market (CARICOM)'s crime and security strategy; with ASEAN's on-going discussions on developing an anti-corruption agenda for its member states; with the East African Association of Anti-Corruption Agencies; with the Commonwealth Anti-Corruption Center; East African Association of Anti-Corruption Authorities, Association of Anti-Corruption Authorities in Africa; with the Arab Convention Against Corruption as well as supported the creation of the Association of Anti-Corruption Authorities in Africa and the revival of the Network of Anti-Corruption Authorities in West Africa (NACIWA). It also contributed towards the establishment of the NACIWA Anti-Corruption Academy in Abuja, Nigeria. Moreover, the triangulated data concluded that these tools were useful in creating synergies, highlighting commonalities amongst countries that were far apart, and fostering relations amongst governments and other stakeholders. The evaluation team could however not assess the actual impact nor the effective use or understanding of these tools amongst this GLOX69's key recipients.

⁷⁸ http://www.unodc.org/documents/corruption/Publications/2015/15-04741_Person_Guide_eBook.pdf

⁷⁹ 23 participants, including 7 women according to the semi annual progress report UNODC

⁸⁰ http://www.unodc.org/documents/corruption/Publications/2015/National_Anti-Corruption_Strategies_-_A_Practical_Guide_for_Development_and_Implementation_E.pdf

⁸¹ 26 participants, including 10 females according to the semi annual progress report UNODC

⁸² Tools and Resources for Anti-Corruption Knowledge

⁸³ The StAR cooperation and UNODC's involvement is not covered by GLOX69.

⁸⁴ The TRACK Legal Library contains the laws, jurisprudence and information of anti-corruption authorities of 177 countries and is constantly being updated and it has fully benefited from the Review Mechanism, as the reviews are used to validate and update its information. Internal records show that there have been 50,960 visits between August 2013 and August 2015 (co-funded with programme GLOT58).

So far, to what extent has the programme effectively supported States participation in the UNCAC RM and in their follow-up to the review?

The ratification of UNCAC is linked to a series of steps that government ought to implement. UNCAC is 'governed' by the CoSP, during which challenges, successes and processes are discussed and agreed upon amongst SPs. The CoSP also stresses upon the importance⁸⁵ of the RM in supporting SPs implement UNCAC and promote universal adherence to the Convention. Since the inception of GLOX69, no programme revisions have been made following the recommendations of the fifth CoSP⁸⁶ or the IRG sessions in order to continue justifying the relevance of GLOX69 in implementing the RM and supporting SPs. In theory, on the one hand, one could argue that programme revision would only be needed if recommendations were affecting the programme design at the impact level. On the other hand, it could be argued that programme revisions based on the recommendations could help the programme management team prioritize countries and TA requests based on identified set of challenges by SPs. This prioritization could then help budget activities based on COSPs and IRG⁸⁷ inputs and in a responding to SPs requests according to a set of priorities rather than responding to as many requests as possible.

As aforementioned, with the increase of new SPs to UNCAC (176 countries ratified by July 2015), the programme management team is understaffed to carry out the increasing amount of CR requirements. However, the triangulated data underlined the efforts carried out by the whole team to respond to as many requests as possible and help countries implement UNCAC. Some countries have difficulties completing the self-assessment online questionnaire, whereby regional advisors or the programme management team were called upon to support this process. In such case, a pool of focal points⁸⁸ in each region should be created to support countries that are facing difficulties. As such, it would release some workload from UNODC and would foster greater South-South cooperation. UNDOC could

⁸⁵ Decision 5/1 Mechanism for the Review of Implementation of the United Nations Convention against Corruption - underlining the importance of the Mechanism for the Review of Implementation of the United Nations Convention against Corruption in supporting States parties in the implementation of the Convention and in promoting universal adherence to the Convention. Taking note with appreciation of the work of the Secretariat and of the Implementation Review Group; reaffirming the guiding principles and characteristics of the Mechanism and paragraph 44 of its ToR: (a) Decides that the Implementation Review Group shall begin promptly to collect, with the support of the Secretariat, and discuss relevant information in order to **facilitate the assessment of performance in accordance with paragraph 48** of the ToR, following the completion of the first review cycle; (b) Also decides that the Implementation Review Group shall include in its future sessions an agenda item allowing for discussion of the information collected in accordance with paragraph (a) above; (c) Further decides that the Implementation Review Group, in the collection of information pursuant to paragraph (a) above, shall take into account future requirements for follow-up in accordance with paragraphs 40 and 41 of the ToR.

⁸⁶ Fifth session of the Conference of State Parties (Panama, 25-29 November 2013) during which an important recommendation on the IRG was drafted ToR IRM para 44. The functions of the Implementation Review Group shall be to have an overview of the review process in order to identify challenges and good practices and to consider technical assistance requirements in order to ensure effective implementation of the Convention. The thematic implementation report shall serve as the basis for the analytical work of the Implementation Review Group. On the basis of its deliberations, the Implementation Review Group shall submit recommendations and conclusions to the Conference for its consideration and approval.

⁸⁷ IRG sessions that took place since GLX69 inception in 2012: Third sessions in Vienna November 2012; fourth sessions in Vienna May 2013; the recess of the fourth session in Panama City in November 2013; fifth session Vienna June 2014 and the recess of the fifth session in Vienna in October 2014.

⁸⁸ This pool of focal points could be created from the existing UNCAC focal points in each SPs and they could become like a 'knowledge lab' to support other states to implement UNCAC.

support the visit and the time of the focal point for this process in order for it not to be hindered by a lack of financial resources.

Finally, UNODC supported the finalization of 101 Executive Summaries by August 2015 and funded Least Developed Countries (LDCs) and SIDS to participate in the IRG meetings and will for the upcoming CoSP.

To what extent has the programme successfully promoted peer learning and knowledge exchange?

The field missions and the desk research underlined this process as one of the best practices stemming out of this global programme. Although South-South workshops⁸⁹, conferences, roundtable discussions were organized in different regions, many respondents expressed their wish to see more of them organized, including the creation of a process whereby UNODC can send a team member to mentor institutions on anti-corruption for a few months for thorough and constant learning. Recipients would learn and exchange challenges to consider solutions that have worked in other countries and that could potentially be applied to their respective geographic, political and social context. Furthermore, South-South conferences are also requested to share knowledge and raise awareness about the benefits of UNCAC. The peer reviews undertaken as part of UNCAC RM also proved to be a good learning process and an encouragement for reviewers that are not as advanced as others in their legislative reforms. It also increased their understanding of the process of the RM for future engagement.

What is the degree of satisfaction with programme's outcomes and outputs?

According to the field missions and the desk research, most recipients were pleased with the level of programme outcomes and outputs. However the level of demands overpasses UNODC capabilities to deliver, which is a key element to be effectively communicated to country counterparts, in order for their expectation to be better managed. However, it is also critical to highlight that the evaluation team could only conclude on these assumptions based on interviews (phone and in-person) with recipients from some countries - the team could however not cover all countries as highlighted in the limitations of the methodology. Moreover, the results of the survey could have supported or refuted this assumption but due to the low level of responses, the team decided to keep them out of the analysis to avoid

⁸⁹ In Kenya, the regional adviser for Southern and Eastern Africa co-hosted with NORAD and the World Bank a roundtable on illicit financial flows (September 2013). The Asia-Pacific Economic Cooperation Anti-Corruption and Transparency Experts' Task Force (APEC-ACT) Workshop "Challenge and Strategy to Strengthen Anti-Corruption Authorities to Combat Corruption in a Modern World" (January); the APEC Pathfinder Dialogue on Combating Corruption and Illicit Trade (September), organized in partnership with UNODC financial support was also provided to participants from Cambodia and Myanmar; the Joint 2013 International Conference organized by the International Federation of NGOs for the Prevention of Drugs and Substance Abuse (IFNGO) and the Organization of the Families of Asia and the Pacific (OFAP) in Macau (October) to discuss corruption and organized crime

distorting the conclusions of the review. Further monitoring and a feedback loop should be created to better gauge UNODC's engagement process and support proffered to SPs.

How were challenges effectively identified and mitigated to ensure maximal activities implementation?

The field missions and the desk research suggested that some risks were identified such as that the level of TA requirements from different states might exceed UNODC's capabilities or that some countries may not have the required capabilities to carry out the RMs. In order to mitigate these risks, UNODC, under GLOX69, planned the recruitment of regional advisors to support and directly liaise with countries requesting support and created a series of tools (online and for training purposes) to build capabilities and enhance ownership of acceding and implementing UNCAC. The evaluation concluded that further human and financial support is required to be able to respond and support the finalization of the first cycle and to initiate the second.

Finally, GLOX69 created a series of 'check and balances' to assess and create synergies amongst key implementing partners and donors. A joint Programme Steering Committee, composed of UNODC, UNDP and AusAid was set up to review and assess progress, approve the annual work-plan and provide overall policy guidance on programme implementation. Although the management team intended on not having a clear separation between the two sections- ISS and CSS- in order for members of each team to learn from each others' work and support their respective load of work, a clearer definition of each sections' specific roles and responsibilities is recommended. This clearer definition will avoid confusion; clarify budget, financial reporting and reporting. This division does not preclude cooperation and support when required from both sections.

Impact

What have been the main intended and unintended results of GLOX69, especially regarding the number of ratifications/accessions to the UNCAC, and the legal/policy and institutional strengthening in support of the implementation of the UNCAC?

As often the case for global programmes of this geographic coverage and especially on countering corruption, it is difficult to assess impact. It is paramount to understand that changes on corruption take time to appear. A more thorough assessment and monitoring process has to take place over time and especially through an in-depth review of global-level work undertaken in this field, including the application of developed tools, with deep-dive field missions where UNODC has supported countries through implementing reviews, designing national strategies to support the implementation of the UNCAC and building local government and the judiciary's capabilities (see examples on page 27). Such an assessment has to take place over several years of a continuous programme in a country and region and should be considered across the anti-corruption work carried out by UNODC to truly reflect the CEB's level of efforts and contribution. Moreover, impact of legal reforms and progress on matters of anti-corruption are very difficult to attribute to only one actor as it results from efforts from multi-sectorial actors. In addition, GLOX69 focuses on building capacity of local counterparts.

The knowledge acquisition could not be verified through primary research, as the evaluation team could not carry out any focus group discussion or interviews with a sufficient sample of trainees. Moreover, the triangulated data revealed that pre and post-training assessments were rarely completed or gathered as countries rarely responded, perceiving these questions as an inquisitorial test rather than a capacity assessment.

UNODC has organized mock trials that were mentioned as a priority in some countries reviews, such as in Tanzania. According to the desk research and the field missions, mock-up trials were well received by recipients and seen as a best practice to test their knowledge and teach prosecutors how to prosecute cases and put them in real trial situations. Although they are not assessment tools, these mock trials are an effective way to test prosecutors' knowledge and an excellent capacity building method that should be proffered for the next phase of the programme.

Furthermore, international cooperation covered by chapter IV of UNCAC has been set as a priority by SPs to recover evidentiary proof to support corruption investigations and cases. The desk research highlighted the challenges and limitations faced by governments in obtaining the required information and fostering a climate of exchange of data across countries. When cross-regional cooperation takes places, little information if any is then relayed to other bodies such as UNODC. However, Chapter IV is the focus of one subsidiary body of CoSP- the Expert Meeting on International Cooperation- that discusses SPs challenges, best practices, lessons learned and recommendations. Some good practices have been discussed amongst SPs during COSPs, such as the need to compile international cooperation information in a systematic way in order to develop practical guidelines for foreign counterparts⁹⁰. Other examples were given about the need of MoUs between national authorities to facilitate informal or law enforcement cooperation that could facilitate information sharing amongst police agencies. Finally, the provision of mutual legal assistance in the context of administrative proceedings was also mentioned as good practice. The use of electronic communication to monitor the status of assistance requests was also highlighted. The evaluation team could only get anecdotal references to international cooperation amongst countries on regional corruption cases⁹¹. However, they underlined the important changes in several countries as a result of the implementation of GLOX69. This concerns for instance the ratification of a total of 177 States Parties⁹² with Grenada being the latest SIDS outside the Pacific Area to accede UNCAC on 1 April 2015 and Gambia as of 8 July 2015⁹³. According to the 2015 UNODC annual and semi annual progress report of GLOX69, UNODC provided support to anti-corruption bodies and criminal justice institutions in 33 countries since the inception of GLOX69. TA covered workshops on the first and second cycles of UNCAC, including on leadership, the ratification of UNCAC and its provisions, international cooperation and asset recovery, just to name a few. In addition, CEB supported through GLOX69 and cost-shared with GLOS48, SIDS and LDCs to attend the sixth session of COSP. The extent to which their knowledge, skills and capacities to effectively implement UNCAC have been strengthened is however not clear. Furthermore, in 2014, GLOX69 provided direct policy and strategic support to strengthen anti-corruption

⁹⁰ Report IRG 2014.

⁹¹ CR Tunisia 2015 and examples between Tanzania and Kenya;

⁹² as of June 18th 2015

⁹³ Semi Annual Progress Report Fall 2015.

bodies including Egypt, Tanzania, Philippines, Uganda, Maldives, Mongolia, Namibia, Botswana, Malawi and Timor Leste. Additionally, the different types of training activities and workshops have possibly contributed to strengthened networks within and between particular professional groups and authorities, in-country and between countries, as well as a stronger focus on anti-corruption activities of the UN in selected countries.

Based on the field missions, the work undertaken by UNODC in the field of training – enhancing knowledge, skills and capacities – has been successful, contributing to enhanced skills and knowledge implementing UNCAC. It has further contributed to a more comprehensive discourse on UNCAC in the region and awareness of the existence of these global normative norms have become a reference point. Additionally, the different types of training activities and workshops have possibly contributed to strengthening networks within and between particular professional groups and authorities at the national and regional levels. However, the impact of GLOX69 on anti-corruption bodies is not always clear and attributable to this programme only, as substantiated by the lack of clear attribution from respondents, as well as the fact that anti-corruption legal reforms entail a group of varied stakeholders and as aforementioned, it is a governmental-led process that can only be supported, nothing less.

While the obvious results were already mentioned (increased number of ratification; increased number of CRs) it is important for future programming activities to highlight the following unintended results such as:

a) The amount of TA requests has been larger than expected. Countries often realized the existing gaps in their legal framework and therefore wanted to move forward with reforms before the CR was finalized and a set of recommendations was issued. The programme management team and the regional advisors advised countries in such cases on the set of reforms they should focus on, based on preliminary findings coming out of the CR.

b) The successful peer learning process through South-South cooperation: the programme management team and regional advisors did not foresee that the peer review process, as put in place by the UNCAC RM, would encourage countries to further cooperate on strengthening their respective legal frameworks, whereby one strong country in a region may act as a role model for the others and can lift up the ones lagging behind. This is not an absolute process but it was observed by recipients as beneficial.

c) Many countries expected UNODC to support the implementation of the recommendations coming out of the first cycle review process. Such expectations have to be managed from the onset in order for countries to be prepared with regards to their human and financial resources needed to implement these without UNODC support. More work can be undertaken to a) manage expectations; b) explore other sources for support (e.g. by means of setting up donor coordination meetings/groups to advocate more on the RM process and outputs for instance).

Additionally, GLOX69 funded activities and resources only give a partial overview of all of UNODC's efforts in the field of anti-corruption, and this must be taken into regard when drawing conclusions regarding the level of attribution. Such unintended results could be managed through more strategic and targeted communication messages. The programme management team and regional advisors need to be supported by a communication team to draft clear targeted messages that will be used in emails and communiqués between a

country and UNODC's programme management team. Such pre-emptive efforts would also help the programme management team manage the flow of requests for TA and of CR reports.

Is there any global, regional and/or national data available to measure impact on the level of corruption in these different countries? Please explain.

Data on corruption cases is very difficult to obtain from countries as it is often viewed as highly sensitive. However, there has been some exchange of information and bilateral cooperation on trans-border investigations that have helped trial cases even of some high officials⁹⁴. Moreover, there are additional sources that measure the indexes of corruption or create a scale amongst the most corrupt to the least corrupt countries according to a set of criteria. This proxy data is collected by several CSOs, such as Transparency International that is headquartered in Germany but with field offices in many parts of the world. UNODC is aware of the fact that the notion of ranking is not desired by States and UNODC further has concerns over the accuracy and focus of this kind of index.

Sustainability

What mechanisms have been put in place during the programme to enable achieved results to become sustainable?

The sustainability of the results described in the ToR is not at a critical stage if the objective was just to build the capacity of "x" amount of governmental officials on UNCAC for instance. The objectives are however the ratification and the implementation of the UNCAC, which are two tangible results: according to UNCAC provisions, once acceded, SPs have to follow a certain protocol that entails nominating UNCAC focal points, and doing their self-assessment test as a first step towards implementing UNCAC. One critical element with regards to sustainability is that the implementation of UNCAC is a country-led and owned process. This can be a positive characteristic if a country has the human and financial means to pursue the implementation of UNCAC within a reasonable timeframe; however, should it be the opposite, where the state is not sufficiently capacitated and funded to follow through, the sustainability of the pursuant objective of implementing UNCAC can be challenged despite the good will of a country to accede and draft reforms. So one element that has been proffered by CEB through GLOX69 is to encourage and organize South-South cooperation in order for countries to support each other at a regional level. Although financial support remains a problem for most developing countries, this type of cooperation pushes SPs to become more active in their search for funding to implement reforms and other needs.

One of the lessons learned highlighted during the evaluation, is for the ISS to send an official letter to SPs once they have ratified UNCAC as a means to engage and let SPs know that CEB is equipped to support them through their UNCAC implementation process. In addition, and in pursuant of this continuous engagement with local governments and anti-corruption bodies, CEB has identified a pool of regional advisors to represent them at the local level to support SPs and be present to assist them as much as possible. However, beside this South-

⁹⁴ Tanzania and Kenya; but also exchange of good practices on trial practices and exchange of information between Brazil and Sao Tome for instance (the second example is – to my understanding – very different in nature and should not be given here).

South cooperation and the continuous engagement sought after by the programme management team, GLOX69 cannot ensure further sustainability at the results level as UNCAC.

In addition, and with respect to sustainability, the desk research and the field missions underlined three degrees of sustainability:

a) At UNODC: the lack of core funding, does not support the long-term programme planning for a more targeted and strategic response process by CEB to MS. As UNODC is 90 % donor funded, it has to develop a strong fund raising strategy. This programme is relying on one donor, which requires senior staff at HQ to undertake a lot of fundraising efforts instead of focusing on technical input. In addition, it raises a lot of doubts and questions as regards the continuous engagement and support offered to MS in some regions, should the donor change its geographic focus or thematic priorities. For donors' and CEB's interests, a more diverse pool of soft earmarked funding should be sought to foster strategic planning and priority setting.

A general weakness at UNODC is that sustainability is rarely mentioned in programme/programme documents. While train-the trainers schemes have value in developing local capacity, it is not necessarily a guarantee of sustainability as it entails sustained funding to maintain the pool of trainers from the government's budgets and continuous training for knowledge transfer and institutionalization of learnings. To conclude, soft earmarking could provide sufficient sources of funding to support lasting engagement and more visible impact.

b) Sustainability at the country level appeared to be an issue amongst LDCs including SIDS where financial pressure or lack of financial capabilities limits the implementation of the recommendations of the RMs or does not support the capacity building training needed to accede UNCAC and implement it⁹⁵. UNODC and UNDP have been solicited and have supported several country visits, trainings and RM-related activities for SIDS and LDCs but resources are not limitless, whereby CEB should decide on a priority list of countries to focus on in the coming year until the end of the programme for more effective communication and in order to manage expectations.

c) Sustainability of the regional anti-corruption bodies was also a question that came up during the evaluation process in some regions. These bodies depend on the contribution of their members or external funding from international funds or governments. In Botswana for instance, the Commonwealth Anti-Corruption Center has been training African member countries on UNCAC and on its relevant chapters. However, the Center relies on donations and its sustainability is at risk. Hence, the senior leadership team is now focused on raising funds rather than any other substantive trainings programmes.

To conclude, the evaluation revealed that sustainability does not stop bodies from functioning and developing activities but it rather takes valuable resources (human and financial) from the key objectives of the programme. Moreover, as recommended in other

⁹⁵ Missions report IRG 2014

programme evaluations⁹⁶, soft earmarking offers programme teams flexibility to innovate, adapt and respond to SPs' needs more effectively. In the context of anti-corruption, the creation of an overarching programme is recommended to ease reporting processes, to clarify budget lines, avoid confusion on cost-sharing activities and proffer greater sustainability, as one of the key programmatic functions would be to seek and diversify funding resources.

Human Rights and Gender

How have human rights/gender been considered in the design of the programme, thereby impacting on the selection and drafting of particular activities/expected results?

UNODC has identified gender as an issue cutting across all aspects of its programmes and activities both at HQ and in the field. According to the triangulated data, GLOX69 sought to ensure to apply UNODC guidelines on Gender and Human Rights as well as several ECOSOC⁹⁷ resolutions (A/52/3- September 1997 and Resolution 7/11 -2008). These resolutions call for greater/or equal ratio of women participation in capacity building activities; engagement with women-led-organizations as well as application of gender mainstreaming strategies in tools developed to support the ratification and implementation of UNCAC. While these resolutions and guidelines are mentioned in programme documents⁹⁸, the evaluation concluded that gender and human rights were not considered and proffered systematically throughout the programme's activities according to interviews. From a desk research analysis, disaggregated data on sex ratio has been collected during capacity building activities⁹⁹, conferences and country visits as well as some awareness raising activities were carried out ¹⁰⁰. However, the field missions underlined that human rights and gender were rarely mentioned during trainings and conferences and often respondents referred to their mandate, as Ministries of Interior (MoI) or justice (MoJ), as not focusing on human rights as opposed to their colleagues from the human rights commission. UNODC should sustain and increase its efforts in raising more awareness about the connection between human rights, gender and corruption. As human rights and gender can be a sensitive topic in some countries covered by GLOX69, UNODC should hold workshops/conferences on larger cross-thematic topics with corruption such as wildlife, education, health, the environment and democracy and rule of law. Further awareness is required on the topic of corruption and its ramification to other sectors. This effort has to be jointly carried out through the anti-corruption programmes under CEB's portfolio, as a campaign has to be targeted, sustained, and cross-sectorial to reach relevant groups of stakeholders.

⁹⁶ The in-depth evaluation of the regional programme for the Arab States 2011-2015

⁹⁷ ECOSOC: Economic and Social Council

⁹⁸ GLOX69 Programme document and revisions

⁹⁹ Gender break-down with regard to the number of anti-corruption investigators and prosecutors who have received training under Output 2.3 has been collected in Namibia, Botswana and Uganda. Capacity building or country visits took place during which the ratio of women vs men was collected. Women ratio remains lower than men as they also in Western democratic countries.

¹⁰⁰ The awareness raising efforts were made using UNODC website and a series of publications

III. CONCLUSIONS

This global programme¹⁰¹ GLOX69, “Joint Action towards a Global Regime against Corruption”, was evaluated one year before its end (September 2016). The evaluation took place over the two summer months of July-August 2015, which made the data collection process difficult as many CLPs were away on vacation. Nonetheless, sufficient data was collected to verify the preliminary findings from the Inception Report that led to a set of recommendations and the identification of lessons learned and best practices. The evaluation team concluded on some key takeaways summarizing key findings, lessons learned and best practices.

This programme has been a complex machine to manoeuvre due to the sheer volume of support and TA requested from SPs to the programme management team and regional advisors. In addition, this programme overlaps with other global programmes, such as GLOT58, GLOS48 that have very similar objectives to those of GLOX69, as well as for instance the RP XAPA08 in South East Asia. This overlap enables the programme management team and regional advisors to cost-share activities and manage costs down in the field. While this overlap did not help the evaluation team identify what could be fully attributed to GLOX69, this cost-sharing and organic overlapping process helped forge complementarity, cooperation and greater responsiveness amongst SPs and other international organizations.

Another key takeaway from this evaluation is that once you set such a complex and global process in motion, it is difficult to stop it. Hence, it is critical for the programme management team to continue engaging with local counterparts and regional anti-corruption bodies. Such engagement is critical for future programmatic purposes as well as for SPs continuous efforts to accede or implement UNCAC. This programme managed to raise awareness amongst civil society and the private sector but further and constant efforts need to be maintained in order to have an impact on the population of these countries. The evaluation team understands that these efforts are correlated to available funds, but felt it was important to highlight so it can be integrated it within CEB’s fundraising strategy.

The final key takeaway is that countries from geographic diversity find commonalities that encourage and motivate them to organize South-South conferences for experience sharing and for fostering closer cooperation for learning purposes.

To conclude, the design of this programme was more strategic than operational but it did not prevent the programme management team and the regional advisors to offer technical support to SPs. While overall results are relatively positive, the evaluation team issued some

¹⁰¹ In close consultation and coordination with UNDP and DFAT

recommendations in order to prioritize the workload, to streamline standard operating procedures and to better engage and maintain the line of communications opened. Moreover, the intervention logic was found unclear and should be redrafted to ensure measurable indicators at the outcome levels exist and will be used to track changes. The evaluation concluded that GLOX69's objectives are yet to be fully achieved, but progress has been observed as the ratification of UNCAC is almost universal and its implementation is in process. However, such objectives can only be assessed over a longer timeframe than the one considered in this evaluation; in order to achieve such an ambitious aspiration, amongst so many countries, time, endurance and perseverance are required.

Three words emerged across the triangulation of the information to highlight the key learnings and strengths of this programme:

Cooperation, complementarity and responsiveness.

- **Cooperation** - because it fostered cooperation with local stakeholders and anti-corruption bodies
- **Complementarity** - because it resorted to the resources and expertise of other global programmes to implement activities in different regions – also leading to a lack of clear identity of GLOX69.
- **Responsiveness** - both SPs and the programme management team need to know what they can ask of each other and what is feasible as regards the support to UNCAC ratification and its implementation, as well as the response to TA needs in the follow up of the RM.

IV. RECOMMENDATIONS

The evaluation offers recommendations that will support the successful implementation of the final stage of the global programme. Recommendations are structured according to **key** recommendations and **important** recommendations as reflected in the matrix.

Key recommendations

Prioritization of programme activities is key for the next phase. The programme management team and regional advisors need to have a shared and clear vision of what technical needs they are best positioned to respond to; which geographic areas to focus on and at what stage of engagement do they want to focus on. This process will help them define a coherent work-plan to manage the division of labour between regional advisors in ISS, and CSS.

Overall strategy on anti-corruption should be designed and regularly reviewed to facilitate a coherent approach to planning and implementation.

Communicate more effectively and more frequently with SPs on goals, expectations, TA opportunities but also limitations and what UNODC is and what it is not. Such a communication strategy will help better manage sensitive relations with governmental officials and anti-corruption bodies.

Consider sustainability from different angles. The sustainability of GLOX69 funding is a question, but so is also UNODC's own financial stability in many regions. Hence, it is critical for CEB to diversify its pool of donors on anti-corruption. Moreover, a diverse pool of soft earmarked funding to foster strategic planning and priority setting should be encouraged.

Continue the cooperation with UNDP. Cooperation with UNDP offers visibility, on the ground anchorage and easier outreach to local counterparts. However, as seen during the evaluation, the partnership is personality driven rather than institutional. The existing MoU should therefore be reviewed to explicitly state the roles and responsibilities in relation to GLOX69. Moreover, a partnership strategy at the global and regional level to engage with other Un agencies and partners should be defines.

Important Recommendations

Provide a robust intervention logic to GLOX69. The intervention logic of GL0X69 needs to be redrafted to ensure measurable indicators at the outcome levels exist and will be used to track change. For the next phase of the programme, the programme management team

should further explore/research options to use existing and or/newly developed databases to more effectively measure programme impact¹⁰² over an extended period.

Integration of regional and global programmes. GLOX69 is to some degree reflected with regional programmes, however leading to sub-optimal impact and missed opportunities for funding. Moreover, anti-corruption is cross-thematic, which requires closer programme coordination and integration and this remains a weakness. A coherent approach between designing global programmes and RPs in the field of corruption should therefore be ensured. This effort needs to be coordinated from both the CEB and the Regional Programmes chief sections and the chiefs of thematic sections at HQ.

Pool of experts. The regional advisors are overstretched and cannot respond to every MS request to meet or for technical assistance. Some of the regional advisors cover over 18 countries and spend three weeks out of the regional office traveling from one country to the other to maintain close engagement with SPs and regional anti-corruption bodies. To bolster capacity, CEB should create a pool of experts for the next phase of the programme (subject to the availability of funds) to support regional advisors across all targeted regions.

Programme outputs and outcomes. At this stage of the programme implementation, it is difficult to attribute and link the achieved results to only GLOX69 and assess what role other international agencies, CSOs and private sector engagement have played in achieving the results. The programme management team should therefore ensure to link activities and engagement efforts with the relevant stakeholders to the planned programme outputs and outcomes to achieve more meaningful reporting and improve planning.

New partnerships. Significant resources are dedicated to fostering and nurturing new partnerships with governmental and regional anti-corruption bodies. However, the nature of engagement remains driven by personalities and is not fully institutionalized. Improved reporting on meetings and new partnerships in order to keep a record for future engagement is therefore recommended.

Streamlined reporting processes. The current reporting process does not help convey the numerous activities implemented under GLOX69. A more streamlined process is needed with monitoring tools and indicators to extract the needed information for reporting. Moreover, achievements, lessons learned and action points should be regularly shared with CLPs and the donor

¹⁰² Creating monitoring systems will enable the field teams – regional advisors- to monitor their efforts and impact while similarly monitoring should be taking place at CEB level to triangulate and obtain further data.

V. LESSONS LEARNED

Several lessons learned and good practices are noted by this evaluation and should inform the final year of implementation of the programme and the potential second phase of GLOX69.

Best practices

Cost sharing activities and budgetary support between regional offices, the programme management team, and among programmes GLOT58 and GLOS48 are seen as good practice. This cost-sharing funded some activities and salaries in the different regions. However, annual reports should clearly underline such cost-sharing to better assess efficiency and impact implications.

Regional workshops are appreciated for experience sharing amongst countries by local counterparts. These workshops help raise awareness about good practices and other SPs achievements.

The UNCAC peer-review mechanism was highlighted as a good practice¹⁰³. Several interviewees stated that participation in the RM enabled them to become aware of good practices of other states in the implementation of UNCAC.

Capacity-building activities of relevant themes to meet the needs of countries is a critical component of this global programme¹⁰⁴. For instance, some authorities have received special training focused on 'international cooperation in criminal matters' and on 'cross-border law enforcement cooperation', as well as for 'designing and managing' the use of special investigative techniques. These capacity building activities create long-term institutional memory for more sustained efforts, but require a mentoring process in place.

Lessons Learned

There are several key lessons learned that can help improve GLOX69 programmatic and management mechanisms.

One donor funding A global programme with one donor¹⁰⁵ is difficult to sustain, as donor priorities change, challenging the sustainability of activities, key staff positions and the relations with SPs.

¹⁰³ CRs report of Federation of Micronesia 2015

¹⁰⁴ CRs report of Federation of Micronesia 2015

¹⁰⁵ The donor, DFAT considers their contribution to GLOX69 as supporting UNODC's general efforts in anti-

Lack of clarity of how resources are to be used for programming purposes A key lesson learned is for the need of the programme management team to clarify budget disbursement thinking from the onset.

Engaging with governments of SPs A key lessons learned is that the engagement process with SPs has to be continuous and frequent to keep them involved, informed and motivated to ratify, access and implement UNCAC.

Similarities in diversity The desk research and the field missions revealed that although every region has different characteristics and needs, countries relate to each other with respect to the implementation of UNCAC. Countries from different regions participating in the peer review process could further support each other despite their own legal frameworks, gaps and challenges. This adversity further fostered South-South collaboration.

corruption.

ANNEX I. TERMS OF REFERENCE OF THE EVALUATION

I. BACKGROUND AND CONTEXT

Programme number:	GLOX69
Programme title:	Joint Action towards a Global Regime against Corruption
Duration:	48 months (September 2012 – September 2016)
Location:	Global with a focus on South Asia, South East Asia, North Africa and the Middle East, East Africa and Southern Africa, and Small Island Developing States
Linkages to Global Programmes	GLOT58 Towards an effective Global Regime against Corruption GLOS48 Anti-Corruption Mentor Programme
Linkages to Country Programmes:	N/A
Linkages to Regional Programmes:	Regional Programmes for East Asia and the Pacific, South Asia, Southeast Asia, Arab States, Eastern Africa and Southern Africa + Central America and the Caribbean
Linkages to Thematic Programmes:	Action against Corruption and Economic Crime (2012-2015)
Executing Agency:	

	UNODC
Partner Organizations:	UNDP, DFAT ¹⁰⁶ , the Alliance of Small Island States (AOSIS), the Indian Ocean Commission or Commission de l'Océan Indien (COI), and the Caribbean Community and Common Market (CARICOM), the Association of South East Asian Nations (ASEAN), the Asia-Pacific Economic Cooperation (APEC), the ADB/OECD Anti-Corruption Initiative for Asia and the Pacific, the South Asia Association for Regional cooperation (SAARC), Commonwealth Africa Anti-Corruption Center (CAACC), East African Association of Anti-Corruption Authorities (EAAACA), African Association of Anti-Corruption Authorities.
Total Approved Budget:	USD 8,625,787 as of May 2015
Donors:	Australia
Programme Manager/Coordinator:	Sebastian Baumeister
Type of evaluation (mid-term or final):	Mid-term in-depth evaluation
Time period covered by the evaluation:	September 2012 – end of field mission in July 2015
Geographical coverage of the evaluation:	Global with specific focus on Southeast Asia and the Pacific (Thailand and Myanmar to be visited), North Africa and the Middle East (Egypt to be visited), East Africa (Tanzania to be visited), Southern Africa (Botswana to be visited) and Small Island Developing States. Interviews with the Core Learning Partners in the other countries in these regions, as well

¹⁰⁶ The programme was originally funded by AusAID and it is now been merged by the Australian Government – Department of Foreign Affairs and Trade (DFAT)

	as in other regions covered by the programme (West and Central Africa and Central America and the Caribbean) will be conducted via phone interview or through a questionnaire as per annex III.
Planned budget for this evaluation:	USD 120 000
Core Learning Partners ¹⁰⁷ (entities):	CEB management, UNODC programme team in the Corruption and Economic Crime Branch, (HQ and in the field) UNDP, DAFT, Member States of the UN (through their Permanent representations), partner institutions, beneficiaries, the donor, and other relevant stakeholders involved in implementing the different outcomes (please see full list in annex III)

Programme overview and historical context in which the programme is implemented

Expeditious ratification and effective implementation of the United Nations Convention against Corruption (hereinafter UNCAC) has been recognized as a priority for the international community. The United Nations General Assembly and the Economic and Social Council, as well as the G8 and G20 have repeatedly invited Member States and competent regional economic integration organizations, as appropriate, to ratify or accede to and fully implement UNCAC as soon as possible.

Member States negotiated UNCAC based on the recognition that preventing and combating corruption requires a comprehensive and multidisciplinary approach. However, implementing UNCAC presents significant challenges for the international community as well as individual States parties, particularly in the innovative areas of the Convention. For this reason, countries rely on policy guidance and TA for their effective implementation. Through the Mechanism for the Review of Implementation of UNCAC (hereinafter RM), many developing countries have identified TA needs to ensure full and effective implementation of the Convention.

¹⁰⁷ The Core Learning Partnership (CLP are the key stakeholders of the subject evaluated (programme, programme, policy etc.) who have an interest in the evaluation. The CLP works closely with the Evaluation Manager to guide the evaluation process.

The common goal is to reach universal adherence to the Convention. At the time this programme, GLOX69, was formulated, despite the massive progress towards universal ratification, in particular least developed countries and Small Island Developing States (hereinafter SIDS) had showed the slowest progress in ratifying or acceding to the Convention. Many of those that were States parties had evidenced significant capacity gaps in terms of preparing for and participating in the UNCAC RM. Challenges had further arisen in ensuring the effective follow-up to CRs in terms of devising plans and strategies to address implementation challenges, or develop technical cooperation programmes with international development partners in order to implement the recommendations.

The programme seeks, in close consultation and coordination with UNDP and DFAT, to advance the ratification and follow-up to the implementation review of UNCAC with a view to building an effective global regime against corruption with a specific focus on SIDS, and countries in South and East Asia, North Africa and the Middle East, and in Eastern and Southern Africa.

More specifically, the programme seeks (1) to accelerate UNCAC ratification and effective participation in the implementation of the UNCAC RM by SIDS, including support to the effective follow-up to the findings and recommendations emerging from the CRs; (2) to support the effective implementation of UNCAC in South and East Asia, Northern Africa and the Middle East, and Eastern and Southern Africa; and (3) to strengthen coherence, consistency and effectiveness of TA in support of States parties follow-up actions to the implementation review.

The Programme complements parallel activities undertaken by UNDP under its Programme on Anti-Corruption for Development Effectiveness GAIN as well as joint UNDP-UNODC programme UN Pacific Regional Anti-Corruption (UN-PRAC) Programme with support from DFAT. Further, it complements the work of the Corruption and Economic Crime Branch in the framework of programmes GLOT58 "Towards an effective Global Regime against Corruption" as well as GLOS48 "Anti-Corruption Mentor Programme".

Justification of the programme and main experiences / challenges during implementation

At the time the programme was developed, many SIDS were not fully aware of the benefits of UNCAC to national integrity efforts. A number of them were not States parties to the UNCAC. At that time, roughly a third of the SIDS that are located outside the Pacific had not yet ratified or acceded to UNCAC. This was due to the fact that SIDS were often not fully integrated into international cooperation and support efforts, and often have small and overwhelmed government systems. Raising awareness among governments on the usefulness of UNCAC as a framework for addressing corruption at the national level and cooperating at the international level, including through accessing TA is crucial to fostering

universal adherence to the Convention. The programme was formulated based on the recognition that UNCAC, as a guiding framework, can strengthen their national anti-corruption efforts, and, as a global symbol of commitment, can trigger access to a range of international TA. The specific needs of SIDS, in terms of swift ratification of or accession to UNCAC, the active participation in the UNCAC RM and their institutional, legal and operational capacity constraints are addressed through this programme in relation to the SIDS located outside the Pacific Region (the Pacific region being addressed under the complementary UN-PRAC programme, XSPX70).

Through experience, UNODC has learned that it is crucial to support States parties in all stages of the UNCAC RM, and addresses TA needs identified all during the self-assessment phase, the early phases of the review process, and in particular as follow-up to the implementation of recommendations emerging from the review process in developing and least developed countries, in the context of this programme in South and South East Asia, North Africa and the Middle East, and Eastern and Southern Africa. This is done by adopting a two pronged approach of direct TA provided by UNODC in particular through its network of Anti-Corruption Advisors strategically placed in the regional hubs in Pretoria (Eastern and Southern Africa), Bangkok (South and South East Asia), Cairo (Middle East and North Africa) and by facilitating the access of countries that have undergone the review to targeted and high quality TA services by other providers of such services.

Moreover, it is essential that the UNCAC RM as well as follow-up actions to the review remain country-led, country-owned and country-coordinated. Upon the completion of an implementation review, UNODC seeks to engage the country to support its efforts to address the findings and recommendations of the review, as well as the TA needs that have been identified. A more pro-active approach may be required in order to ensure more effective engagement. Such an approach is greatly facilitated by the presence of a regional anti-corruption adviser, who will have established close contacts with the relevant national authorities through both the review process and other TA provided by UNODC.

Finally, the programme is crucial in enhancing UNODC's capacity, in particular through its Anti-Corruption Advisors, to deliver policy, technical and legal advice to the Member States, and to support countries to ensure the effective follow-up in addressing any recommendations and findings emerging from the CRs. At the same time, UNODC under this programme is working with other TA providers, such as the World Bank and bilateral donors with a view to strengthening coherence, consistency and effectiveness of TA. This requires an analysis of TA needs, commonalities, good practices, tools and trends. Based on the analysis of the TA needs identified in the review process, the programme is designing proposals for the consideration of the Implementation Review Group and the Conference of States Parties to the Convention aimed to facilitate technical cooperation between those in need of TA and the providers of TA, as well as to develop and implement training programmes on UNCAC and the UNCAC RM for bilateral and multi-lateral providers of TA.

The main challenges encountered during the first three years of implementation have been:

- the programme deals with a wide range of countries with different levels of development and political will;

- challenges in evaluating impact of interventions in the areas of governance, rule of law and anti-corruption;
- the duration of the reviews has generally taken longer than originally predicted, particularly in least developed countries. It has also been at times challenging to make specific recommendations actionable due to the way the recommendations are formulated in the review reports;
- many of the reviews have been stalled due to unresponsiveness of States parties, but also because of at times insufficient resources in UNODC HQ to facilitate, monitor and follow-up on the reviews in a timely manner. Therefore, the Advisors in some cases proceeded with providing TA, prior to the finalisation of the review. To define TA needs, follow-up missions post-review are usually organised;
- in many cases, responses to legislative changes are slow and sometimes hindered by red tape in a myriad of other existing laws. Where laws have been adequately reformed and adopted, many countries face hurdles in enforcement and institutional capacity, in addition to human and financial resources challenges;
- the expectations for quick change as a result of governance/anti-corruption interventions and reforms are at times unrealistic and need longer time to bear fruit;
- in some cases, engagement and ground work by Advisers have generated more demand from countries; due to lack of resources and time it has not been possible to respond to all TA requests;
- In relation to SIDS, there were initial challenges in establishing contacts and building anti-corruption officials, many of whom were unfamiliar with UNCAC and its review process. A further challenge related to SIDS has been the uneven level of development, limited human resources, political will and centralized decision-making that has affected the pace of responsiveness. In some instances, there were concurrent assessments under other frameworks that affected the resources available (Caribbean: e.g. CFATF and OAS-Mesicic evaluations);
- In MENA region, corruption has become a central focus with popular uprisings in almost all of the countries in 2011. The political instability in some of the countries, even conflicts (Libya, Iraq, Yemen), has undermined efforts towards efficient anti-corruption legal and institutional reform. Where stability has been resumed or maintained (Morocco, Tunisia, Egypt, Jordan, Lebanon,) the lack of clear political commitments or prolonged elections have encouraged the fragmentation of competencies, or competition between different national institutions on assuming the ownership for the anti-corruption policy or leading position for preventing and investigating corruption;

- In Southeast Asia and the Pacific, lack of political will in certain countries makes effective anti-corruption reforms difficult. However, even in the absence of political will, UNODC has had opportunities to engage in implementation of UNCAC and in producing legal and institutional reform which can yield result once there is political will (and has raised awareness and dialogue on corruption issues that potentially generate political will);
- In Southern and Eastern Africa, a programme in Southern Sudan had to be stopped as a result of civil unrest. In Zimbabwe, programming was delayed by more than a year as a result of political uncertainty surrounding the elections. In Burundi, UNCAC follow-up is on hold as a result of civil unrest. More generally political processes, particularly elections tend to delay programming in Southern and Eastern Africa;
- In West and Central Africa, given the wide range of countries (23 countries) and limited resources available the focus has been on regional activities to boost reforms, rather than country level activities.

To date, the main successes of the programme have been:

- effective and expeditious ratification of UNCAC in the target regions, i.e. developing and least developed countries (LDCs) in Southeast Asia, North Africa and the Middle East, and Eastern and Southern Africa, as well as Small Island Developing States located outside the Pacific Region;
- by engaging early in the review process, UNODC under GLOX69 has been able to assist States parties to significantly increase the quality of the reviews, such as in Kenya, Ethiopia, Tanzania, Botswana, Namibia, Swaziland (ongoing), Liberia, Côte d'Ivoire, Gabon, Nigeria, Senegal, Guinea, Lebanon, Egypt, Iraq, Bahrain, Oman, Qatar, Saudi Arabia, Sudan, Palestine, Tunisia and Yemen;
- the RM has greatly strengthened relationships between UNODC and LDC governments, creating entry points for anti-corruption reform and acting as a catalyst for regional (South–South cooperation) and technical cooperation, providing a basis for collective regional responses to some of common challenges identified through UNCAC reviews;
- engaging countries in more elaborate "process" of preparation for UNCAC reviews (through a consultative and participatory process) has enabled them to maximize the benefits of UNCAC review process, improve coordination and cooperation at the national level, enhance national anti-corruption dialogue (including the participation of civil society, academia, and/or the private sector), and has led to policy and legal reforms. Examples of such countries includes Cambodia, Myanmar and Thailand, Kenya, Ethiopia, Tanzania, Botswana, Namibia, Swaziland (ongoing), Morocco, Tunisia, Lebanon, Palestine, Liberia, Côte d'Ivoire, Gabon, Nigeria, Senegal and Guinea, etc.;

- the programme has assisted countries in the target regions to have a more systemic follow-up on UNCAC review recommendations. UNODC has assisted, or is currently assisting, in developing follow-up action plans in Lao PDR, Mongolia, Dominican Republic and Jamaica, and was involved in follow up activities in Indonesia, Philippines, Timor Leste, Vietnam, Zimbabwe, Botswana, Tanzania and Mauritius, São Tomé and Príncipe, Nigeria and Niger;
- the programme has developed tools, and policy recommendations through collaboration with countries in the region. Examples include Kuala Lumpur Statement, Jakarta Statement and Siem Reap Statement in Southeast Asia and the Pacific, as well as two new tools currently under development, namely a manual on financial investigations and a guide on forming bribery cases for Southeast Asia; The programme has developed the Dakar declaration on asset disclosure, Saly declaration on investigative journalism and Doha statement on anti-corruption education in universities;
- the programme has contributed to the development of a regional anti-corruption agenda for implementation of UNCAC. For example in the case of Caribbean, ratification of UNCAC, anti-corruption and asset recovery are important pillars of the Caribbean Community and Common Market (CARICOM) Crime and Security Strategy, followed by the realization that corruption is seen as one of the main obstacles to development in the region. UNODC developed a regional Programme in support of this Strategy, which includes an anti-corruption pillar. In Southeast Asia and the Pacific, the UNCAC ratification as well as completed and ongoing implementation have been key factors in encouraging current discussion around developing an anti-corruption agenda for ASEAN. In Eastern Africa, UNODC has assisted the East African Association of Anti-Corruption Agencies in their legal harmonization work. Furthermore, UNODC has produced the Comparative Analysis between UNCAC and the Arab Convention Against Corruption, which was adopted in 2010, under the auspices of the League of Arab States, and to date has been ratified by 14 Arab countries¹⁰⁸. Both Conventions have similar structure and content, but the Arab Convention has additional specific obligations for its signatories. The Comparative Analysis document was supported by a Regional Expert Round table discussion indicating the similarities and providing for explanations how both documents should be applied to avoid duplication and conflicting legislation. In the case of West Africa, the programme has contributed to the establishment of Association of Anti-Corruption Authorities in Africa and the revival of Network of Anti-Corruption Authorities in West Africa;
- building trust with a range of anti-corruption stakeholders has allowed UNODC to facilitate relations between different governments, private sector and civil society stakeholders at national and regional level;
- UNODC under GLOX69 has assisted countries to develop, adopt, implement and monitor national anti-corruption policies and strategies. There is a growing number

¹⁰⁸ Information on which countries this include is not publicly available.

of States parties that have already adopted, or are currently in the process of developing policy documents. UNODC is continuously providing TA focused on training national stakeholders to effectively implement these documents. Examples include Mongolia, Timor Leste (ongoing), Namibia, Kenya, Tanzania, Senegal, Nigeria, Niger, São Tomé and Príncipe, Egypt, Jordan, Tunisia, Morocco and Yemen (activities currently on hold). In the MENA region, as an example, UNODC has used the peer learning methodology and has fostered cooperation in the region, by presenting experience, challenges and best practice from some of the countries (like Jordan) in these activities.

- the programme has been able to engage private sector and civil society in anti-corruption efforts at national and regional level and contribute to creation of a regional anti-corruption private sector network in South East Asia. Working Group on Business Integrity in ASEAN was created as a regional private sector network presently comprised of seven private sector network organizations from seven ASEAN countries. UNODC has also partnered with TI and its chapters in the region in discussions for a regional AC agenda; There has also been a regional meeting on private sector, concerning mainly Nigeria and Ghana, and how to combat corruption.
- SIDS have become actively involved in the UNCAC RM, both as reviewed and reviewing States. Progressive increase of participation of SIDS at IRG meetings, showing increased engagement in the work of the IRG.
- Tailored assistance, considering contextual strengths and challenges, has spread engagement among SIDS, and interest on peer-to-peer learning including at the regional and inter-regional levels. As an example of it, there has been a south-south and inter-regional exchange between Timor-Leste and São Tomé and Príncipe concerning the integrated information management system in the justice sector. Furthermore, in December 2014, UNODC facilitated an inter-regional exchange of practices in asset declarations among the Caribbean SIDS and Mauritius (AMIS Region).
- Countries in the target regions have established strengthened legal and institutional frameworks in accordance with international standards and in building the capacity of their judicial and law enforcement authorities and fostering international cooperation in criminal matters. For example, UNODC has supported the drafting of a CARICOM/Caribbean agreement on the sharing or return of recovered assets. UNODC has also provided assistance in this regard to Myanmar, Mongolia, Vietnam, Thailand and the Philippines. Support has also been provided to Kenya, Tanzania, Uganda, Rwanda, Burundi, Djibouti, Ethiopia and South Sudan through ARINEA, as well as directly to Namibia. International cooperation across the West Africa region has been provided through NACIWA. Institutions have been strengthened in Senegal, Niger and Burkina Faso, with training and proposals for legal revisions. New legislation adopted in Côte d'Ivoire and Burkina Faso.
- The assistance provided by UNODC in the MENA region in the areas of legislation and prevention focused on the preventive role of asset declarations (to Egypt, Palestine, Iraq, Jordan, Yemen). Support was also provided to strengthen the effective implementation and further development across the Arab region of rules

- pertaining to asset recovery (Lebanon, Jordan, Egypt, Tunisia, Iraq, and notably through cooperation with the World Bank StAR Initiative, through the annual Arab Forum on Asset Recovery (AFAR) events. In addition, UNODC assisted countries in analysing and adopting or improving the legislative and institutional frameworks on access to public information in line with UNCAC standards (Tunis, Libya, Palestine, Yemen, Egypt). In the Gulf, a strategic framework was established to build institutional capacities to combat and prevent corruption and to uphold the rule of law in line with international legal instruments, standards and best practices;
- Specialized law enforcement institutions have been assisted in the areas of criminal and financial investigations, illicit enrichment and anti-money laundering regulations, as well as in the recovery of stolen assets and international cooperation. UNODC also focused on facilitating and fostering international cooperation through the direct application of the Convention's provisions where no bilateral or multilateral agreements exist. For example, in the context of the Caribbean, UNODC has worked with CARICOM IMPACS to develop a regional agreement on the sharing or return of recovered assets. This assistance was delivered in support of the CARICOM Regional Crime and Security Strategy, in which asset recovery is presented as one of the pillars to fight organized crime. The draft agreement was submitted to CARICOM Secretariat's legal committee before submittal to CONSLE and the Heads of States meeting. The Anti-Corruption Bodies of all Commonwealth African Countries (except Mozambique) in the Southern and Eastern Africa region have been supported. In the MENA region, following the establishment of specialized anti-money laundering (AML) units in most of the countries, UNODC continued to provide TA to build their capacity to identify, trace, freeze and seize the proceeds of crime, and to effectively criminalize money laundering offenses. Besides support to legislative development efforts, the assistance also fostered international cooperation in AML matters and encouraged the membership of Arab countries to the Financial Task Force in the region (MENA FATF) and the EGMONT Group. The obligatory aspects of the UNCAC provisions have prompted countries in the Arab region to engage in a variety of preventive anti-money laundering measures as well. Notably, by the end of 2014, Morocco, Algeria, Tunisia, Egypt, Jordan and Lebanon all have specialized AML laws and successfully established specialized independent AML bodies/units. Lebanon has identified, froze and recovered to Tunisia assets stolen from the previous President and requested by Tunisian government. UNODC further assisted, through its Regional office, Egyptian authorities in establishing direct contacts with French and Spanish AML institutions through study visits, where information and intelligence on ongoing cases were exchanged. In the context of West Africa, High Authority for the Fight against Corruption and Related Offences (HALCIA) in Niger, Superior Authority for State Control (ASCE) in Burkina Faso, National Office for the Fight against Fraud and Corruption (OFNAC) in Senegal.

The main lessons learnt have been:

- many countries require TA to prepare for the review. A trend can also be identified whereby countries seek to comply as far as possible with UNCAC already before the review. Demand for support is significantly greater than programme's ability to meet;

- given the limited resources of UNODC, placing regional Advisers has proved to be cost-efficient and enabled the organization to be more responsive to Member States;
- dealing with a wide range of countries with different levels of development and political will to address corruption requires great deal of flexibility;
- creating synergies with other partner organizations (UNDP, regional organizations), further strengthens the delivery of TA and common objectives in anti-corruption;
- whenever possible, logistical support from national counterparts should be engaged to expedite procedures and to help countries progressively undertake local ownership and replicate events at local level;
- regular and dynamic communication and advice is crucial for ensuring that Member States adequately implement anti-corruption measures, as in many cases the legislative and institutional framework is in place but the effective implementation is lacking;
- there is a notable effort in many countries to prepare better for the second review cycle, following the experience gained from the first cycle. Demands for TA very often target issues pertaining to preventive measures and asset recovery as countries want to meet more requirements reviewed during the second review cycle in advance;
- considering UNODC's limited capacity to respond to the countries' requests and need, it is crucial to ensure better coordination to maximize the available resources and obtain better results.

Programme documents and revisions of the original programme document

The programme was approved on 5 June 2012. There have been six programme revisions to date:

- 12 December 2012: (i) to abolish a position of mentor (P-4) for Southern Africa; (ii) to create a position of mentor (P-5) for Eastern and Southern Africa; (iii) to budget local staff support for ROEA.
- 11 July 2013: (i) to create a position of anti-corruption advisor (P-4) for South-East Asia based in Bangkok, Thailand; (ii) to create a position of Programme Officer (P4) based in Vienna, Austria; (iii) to include local support staff in the UNODC Country Office in Vietnam.
- 15 July 2013: to change the location of the Senior Advisor (Anti-corruption mentor) (P-5) from Nairobi (Kenya) to Pretoria (South Africa).

- 8 October 2013: to add 2 positions: a G5 Information System assistant and staff assistant in Vienna, Austria; and a G4 Team assistant in Vienna, Austria.
- 29 January 2014: to add several positions: a temporary position of Anti-Corruption Advisor (P4) in Myanmar; and local support staff positions (cost-shared) in several locations where anti-corruption advisors are based (no ToR added).
- 17 March 2015: to extend the contracts of several staff members financed through the programme. UNODC strategy context, including the programme's main objectives and outcomes and programme's contribution to UNODC country, regional or thematic programme.

The programme aims to (i) accelerate UNCAC ratifications and accessions and the effective participation of SIDS in the UNCAC RM and its implementation with the support of State and non-State actors, (ii) accelerate the effective implementation of UNCAC in South and East Asia, Northern Africa and the Middle East as well as Eastern and Southern Africa with the support of State and non-State actors, and to (iii) strengthen coherence, consistency and effectiveness of TA in support of States parties follow-up actions to the implementation review.

This programme further aims to make an essential contribution towards establishing the UNCAC review process as well as the gap analysis and the identification of follow-up actions as cornerstones for the development of country-led, country owned and country-coordinated action:

- (i) Country-led as the UNCAC review is driven by the national authorities,
- (ii) Country-owned as the programme will seek to facilitate the inclusion of State and non-State actors in the review process and the implementation of follow-up actions,
- (iii) Country-coordinated as support will be provided for the implementation of remedial actions by the national authorities and in coordination with international TA providers as deemed appropriate.

More specifically, the programme seeks under its first outcome to enhance the number of SIDS that have ratified or acceded to UNCAC and are participating actively and effectively in the UNCAC RM, both as States under review and reviewing States, including through the appointment and training of government experts to take part in the review process, the conduct such reviews and the effective follow-up to the review. This requires the identification of TA needs, the development of TA programmes in line with national priorities and the establishment of partnerships and cooperation with TA providers to ensure synergies and avoid duplications. The programme aims to address the specific needs of SIDS, in terms of swift ratification of or accession to UNCAC, their active participation in the UNCAC RM and their institutional, legal and operational capacities by adopting a two-pronged approach, and drawing on all relevant national State and non-State actors. This programme addresses SIDS outside of the Pacific region while the specific needs of the SIDS located in the Pacific region are addressed through a targeted joint UNDP-UNODC Pacific Regional Anti-Corruption Programme

Under its second outcome, the programme aims to accelerate the effective implementation of UNCAC in South and East Asia, Northern Africa and the Middle East and Eastern and Southern Africa, in particular through improved access to specialized anti-corruption expertise, including legislative, policy and technical advice, required to ensure effective follow-up to the findings of the reviews by all relevant State and non-State actors (CSOs, private sector, academia etc). The programme aims to strengthen investigative and prosecutorial capacities of selected anti-corruption bodies, including the capacity to conduct financial investigations, trace and freeze assets and recover the proceeds of corruption at national levels, and to cooperate internationally in the investigation and prosecution of corrupt practices. It also seeks to provide a platform for South-South cooperation among anti-corruption bodies and anti-corruption practitioners within and across the sub-regions with a view to promoting peer-learning and the generation of shared knowledge and skills relevant to preventing and combating corruption (including good practices to further an active participation of civil society in the prevention and fight against corruption). Moreover, the programme seeks to support criminal justice institutions in adopting standards and tools to strengthen integrity, accountability and transparency.

Under its third outcome, the programme focuses on strengthening coherence, consistency and effectiveness of TA in support of States parties follow-up actions to the review process. Programme action includes the analysis of TA needs with a view to identifying commonalities and trends, as well as conduct of a mapping of TA priorities, approaches, good practices and existing tools. Based on this analysis, the programme aims to further advance the development of specialized TA services, tools and knowledge products with the aim of responding to emerging TA needs and respective commonalities and to design proposals for the consideration of the Implementation Review Group and the Conference of the States Parties to the Convention. This analysis is also to form the basis of proposals aimed to facilitate technical cooperation between those in need of TA and the providers of such assistance. The programme seeks also, in cooperation with multi-lateral and bilateral providers of TA (e.g. UNDP, DFID, DFAT, the United Nations System Staff College) develop and implement training programmes on UNCAC and the UNCAC RM for their respective staff, with the aim of enhancing the effectiveness and focus of TA in the follow-up to the CRs carried out within the framework of the UNCAC review process. The organization of regional or national training sessions will facilitate the identification of best practices in TA and the sharing of knowledge tools and manuals already developed.

In pursuing the above objectives, the programme aligns with the accomplishments envisaged under UNODCs Strategic Programme Framework 2012/2013 (Sub-Programme 2) and 2014/2015 (Sub-programme 3), as well as with the Thematic Programme on Action against Corruption, Economic Fraud and Identity Related Crime (2012-2015)

More specifically, in line with the Strategic Programme Frameworks, the programme aims to prevent and combat corruption, in line with UNCAC, especially by providing policy advice at the global, regional and national levels, legal advisory, legislative and related institutional capacity-building support services and training, and facilitating transfer of related expertise (13.12.a / 13.13.a). It also seeks to provide assistance to Member States, upon request, to enhance the capacity of national competent authorities through various forms of technical cooperation, including knowledge transfer, training and advisory services (13.12.b / 13.13.b). The programme will further, as appropriate support the development and dissemination of manuals, toolkits and training materials on corruption-related issues

(13.12.d). Finally, it will make an important contribution towards enhancing coordination, collaboration and development of partnerships with other relevant providers of TA in ensuring the coordinated and effective follow-up to the UNCAC review process (13.12.i / 13.13.i).

The programme further aligns with several of the key objectives of the Thematic Programme on Action against Corruption, Economic Fraud and Identity Related Crime. In particular, it provides assistance to Member States for the ratification of or accession to UNCAC and support the development and implementation of domestic legal frameworks in line with UNCAC. Moreover, the programme aims to strengthen the capacities of relevant institutions, in particular anti-corruption bodies and criminal justice and security institutions to effectively prevent, raise awareness and control corruption domestically, and to cooperate internationally in the investigation, prosecution, and adjudication of corruption and related offences. In this context, the programme will also enhance integrity, accountability, oversight and transparency of criminal justice and security institutions with a view to reducing their vulnerability to corrupt practices. Finally, the programme will advance the development and dissemination of good practices, and tools providing guidance and technical support to States parties in the implementation of the provisions of UNCAC.

The programme further contributes to the implementation of the regional programmes for East Asia and the Pacific (2009-2012 – Sub-programmes on governance and on criminal justice), Arab States (2011-2015 - sub-programme on promoting integrity and building justice), Eastern Africa (2009-2015 - sub-programme on countering corruption), South Asia (2013-2015 – sub-programme on countering corruption), Southern Africa (2013-2016 – sub-programme on criminal justice and integrity) and Southeast Asia (2014-2017 – sub-programme on anti-corruption) and Caribbean.

II. DISBURSEMENT HISTORY

	<i>Total Approved Budget (September 2012 – September 2016)</i>	<i>Expenditure</i>	<i>Expenditure in %</i>
15 May 2015	USD 8,625,787	USD 5,977,936	69.3%
31 December 2014		5,212,592	60%
31 December 2013		2,243,426	26%
31 December 2012		137,466	1.6%

III. PURPOSE OF THE EVALUATION

Reasons behind the evaluation taking place and assumed accomplishment of the evaluation

At the request of the donor, and in line with the UNODC basic principles of programme management, the Programme Document provides for a mid-term and a final evaluation.

The mid-term evaluation is expected to assess all the Development Assistance Committee (DAC) criteria: relevance, efficiency, effectiveness, impact, sustainability, as well as partnerships and cooperation, gender and human rights, but specifically focus on the criteria of relevance and efficiency of those global programme's activities that have been implemented since the start of the programme in September 2012. The evaluation will be forward-looking and suggest recommendations based on strengths and weaknesses, best practices, lesson learned and areas of improvement. The findings and recommendations of the evaluation are to be used for strategic directions and are fundamental in guiding the design of future activities along the subject matter and a possible Phase II of the programme.

In 2016, a summative final evaluation is further planned as a follow-up to the mid-term evaluation, to assess all the evaluation criteria, but specifically focus on effectiveness, impact and sustainability of all the programme's activities implemented from the start of the programme in 2012.

The main evaluation users

Corruption and Economic Crime Branch (CEB) of UNODC, programme donors.

IV. SCOPE OF THE EVALUATION

The unit of analysis to be covered by the evaluation

The unit of analysis of the evaluation will be comprised by the programme GLOX69 and cover all activities undertaken under the global programme until the time of the evaluation field mission in July 2015.

The time period to be covered by the evaluation

The time period to be covered is from September 2012 until the end of the field mission On 29 July 2015.

The geographical coverage of the evaluation

The evaluation will have a global coverage with specific focus on Southeast Asia and the Pacific, North Africa and the Middle East, East Africa, Southern Africa and Small Island Developing States. In-depth focus of the evaluation will be on activities in the countries visited (Thailand, Myanmar, Egypt, Botswana and Tanzania), considering that field visits will allow for more in-depth information collection which may lead to the presentation of case studies etc. The evaluation will also cover other regions where programme activities have been implemented, such as West and Central Africa and Central America and the Caribbean. Considering the limited time and resources, it will not be possible to conduct a field mission to all regions, thus the priority was given to those where many activities have taken place, where visits to two different countries is possible due to the geographical proximity, and which are the priority of the donor. However, interviews will be conducted with Core Learning Partners from all regions covered by the programme. Where a face-to-face meeting is not possible, the interview will take place via phone / skype or through a questionnaire.

Mission to HQ Vienna will take place in the period of 5-10 July. The evaluators will split the field missions to make use of time efficiently in the period from 19 to 25 July, i.e. one of the evaluators will undertake a mission to South and/or Eastern Africa, i.e. Botswana and Tanzania, while the other evaluator will go to South Eastern Asia, i.e. Thailand and Myanmar. Interviews in Cairo will be undertaken by the lead evaluator in the period from 27 to 29 July. All other interviews with the field will be undertaken per phone/Skype, possibly during the mission to Vienna. The lead evaluator will further go to Vienna for one day in December (TBD) to make the presentation of the final desk research and the field missions and recommendations.

V. EVALUATION CRITERIA AND KEY EVALUATION QUESTIONS

The evaluation will be conducted based on the following DAC criteria: relevance, efficiency, effectiveness, impact, sustainability, as well as partnerships and cooperation, gender and human rights and lesson learned, and, will respond to the following below questions, however, provided as indicative only, and required to be further refined by the Evaluation Team.

<i>Design</i>
1. Results orientation. To what extent is the design of the programme results-oriented and evaluable? To what extent has the log-frame been a useful programme management tool ?

<i>Relevance</i>
1. To what extent have the programme objective and activities been relevant to the anti-corruption needs and priorities of the governments in the programme target regions that have been supported by the programme?
2. To what extent has the programme been aligned with the mandate, overarching strategies and policies of UNODC, the mandate and portfolio of interventions of CEB, as well as relevant regional UNODC programmes in South Asia, South East Asia, North Africa and the Middle East, East Africa and Southern Africa, and Central America and the Caribbean?
<i>Efficiency</i>
1. To what extent have the human and financial resources and inputs been converted to outputs in a timely and cost-effective manner?
2. To what extent has the coordination between UNODC HQ, Anti-Corruption Advisors and Regional and Country Offices involved in the programme been efficient and appropriate?
<i>Effectiveness</i>
1. So far, what are the main achievements?
2. To which extent have the programme's outcomes and outputs been achieved so far? What is the degree of satisfaction with programme's outcomes and outputs?
3. What measures have been taken by the governments in the programme target regions as a result of activities that were implemented under the programme?
4. To what extent has the programme successfully promoted peer learning and knowledge exchange?
<i>Impact</i>
1. So far, to what extent has the programme contributed to the recipient government's efforts to strengthen the legal and institutional framework on fighting corruption?
2. So far, to what extent has the programme accelerated UNCAC ratification by SIDS?
3. So far, to what extent has the programme effectively supported States participation in the UNCAC review process and in their follow-up to the review?
4. So far, to what extent has the programme strengthened investigative and prosecutorial capacities of anti-corruption bodies in the target regions, including the capacity to conduct financial investigations, trace and freeze assets and recover proceeds of corruption at national levels, and to cooperate internationally in the investigation and prosecution of corrupt practices?
5. So far, to what extent has the programme effectively supported criminal justice institutions in the target regions in adopting standards and tools to strengthen integrity, transparency and accountability?
6. So far, to which extent has the programme allowed for to promote the development, promotion and dissemination of UNODC and StAR anti-corruption knowledge products, tools and other resources?
7. Were there any results achieved beyond those included in the logical framework? If so, what were those results?
<i>Sustainability</i>
1. Does the programme create the possibility for the programme results to continue after the programme end? What type of measures / inputs are likely to be sustainable after the programme end?
2. What are the major factors that influenced or will influence the achievement or non-achievement of sustainability of the programme or programme?
<i>Partnerships and cooperation</i>

1. To what extent have partnerships been sought and established with governments in the target regions and relevant regional/international organizations? Were such partnerships and collaboration effective and to what extent did it add to the achievement of objectives and outcomes?
2. To what extent has the programme complemented parallel activities undertaken by UNDP under its Programme on Anti-Corruption for Development Effectiveness (PACDE) as well as joint UNDP-UNODC programme UN Pacific Regional Anti-Corruption (UN-PRAC) Programme with support from DFAT and GAIN? Has the coordination been effective in this regard?
3. To what extent is the programme complementary to the anti-corruption efforts of other relevant regional and international organizations (including within the UN) and where applicable, bilateral donors? For the implementation of this programme, to what extent has UNODC collaborated with other donors and technical assistance providers? Which ones? What was the framework for such collaboration?
<i>Human rights and gender</i>
1. To what extent were gender and human rights mainstreamed in programme development and implementation?
2. How could gender and human rights be further mainstreamed in programme design and implementation?
<i>Lessons learned/Best practice</i>
1. What lessons can be learnt from the programme with regard to the design of a future follow-up programme?
2. What, if anything, could the management team have done differently to implement the programme more efficiently? What lessons can be learnt from the programme with regard to ensuring the relevance of a future follow-up programme?
3. What lessons can be learnt from the programme with regard to ensuring efficiency of a future follow-up programme?
4. What lessons can be learnt from the programme with regard to ensuring sustainability of a future follow-up programme?
5. What have been the difficulties in the programme implementation? Have there been any practices which did not work and should therefore be avoided in the future? What types of actions need to be taken to avoid such issues in the future? What are the lessons learned from this?
6. Could best practices be identified through the programme and be replicated in a future follow up programme?
7. To what extent did the programme measure impact of its interventions and how can this be improved in a new programme?

VI. EVALUATION METHODOLOGY

The methods used to collect and analyse data

This evaluation will use methodologies and techniques as determined by the specific needs for information, the questions set out in the ToR and the availability of resources and the priorities of stakeholders. In all cases, the evaluators are expected to conduct a thorough desk review, analyze all relevant information sources as provided by the programme

management, such as reports, Programme Document, programme progress reports, programme files, strategic country development documents and any other documents that may provide further evidence. The evaluator may further request additional desk review material if necessary. The evaluators are also expected to use interviews, surveys, questionnaires or any other relevant quantitative and/or qualitative tools as a means to collect relevant data for this evaluation. Case studies, if applicable and concrete examples of programme successes, good practices and lessons learnt will be collected, analyzed and included in the report.

The evaluation uses a participatory approach through the active participation of the evaluation stakeholders, in particular the Core Learning Partners (CLP), in the evaluation process (see Annex II). The CLPs are the main stakeholders, i.e. those deemed as particularly relevant to be involved throughout the evaluation process. In particular, this means being involved in reviewing and commenting on the TOR and the evaluation questions, reviewing and commenting on the draft evaluation report, taking note of the final report, attending the presentation of results (if possible) and agreeing on implementation of recommendations.

Stakeholders in general include all those to be invited to participate in the interviews and surveys, including the CLPs. (In Annex II, a distinction may be made for these two different groups). The present ToR provide basic information as regards to the methodology, however this should not be regarded as exhaustive. It is rather meant to guide the evaluation team in elaborating an effective, efficient, and appropriate evaluation methodology that should be proposed, explained and justified in an Inception Report.

The evaluators will present a summarized methodology (evaluation matrix) in an Inception Report which will specify the evaluation criteria, indicators, sources of information and methods of data collection. The evaluation methodology must conform to the UNODC evaluation norms, templates and standards as well as the United Nations Evaluation Group (UNEG) Norms and Standards.

While the evaluation team shall fine-tune the methodology for the evaluation in an Inception Report, a mixed approach of qualitative and quantitative methods is proposed as per below. Special attention shall be paid to an unbiased and objective approach and the triangulation of sources, methods, data, and theories. Indeed, information stemming from secondary sources will be cross-checked and triangulated through data retrieved from primary research methods. Primary data collection methods should be gender sensitive.

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

The limitations to the evaluation will be identified by the evaluation team in the Inception Report, e.g. data constraints (such as missing baseline and monitoring data), which may create the need for the evaluation team to retrospectively reconstruct the baseline data and to further develop result orientation of the programme.

All evaluations of the United Nations system are guided by the principles of human rights and gender equality. Evaluation methods that are gender-sensitive and methods that

explicitly address issues of marginalized, hard-to-reach and vulnerable populations are essential for conducting this evaluation.

CEB will provide logistical support to the evaluation team before, during and after the missions specified in the ToR. The required support will include, for example, provision of assistance in setting up meetings for interviews (face-to-face or by phone or Skype) with key informants and stakeholders in consultation with the Advisers, and additional key internal and external stakeholders that be requested by the evaluators if deemed necessary, supporting in all logistical matters (including local translation, in-country travel, security and accommodation), making available all relevant programme materials to the evaluation team, and arranging discussions with Field Office staff and others. After the evaluation, the programme team will lead discussions about the recommendations with the CLPs, and follow-up on the implementation of the evaluation recommendations, as provided for in an Evaluation Follow-up Plan.

The main elements of method will include:

- Preliminary desk review of all relevant programme documentation (Annex II), as provided by the Programme Manager;
- Preparation and submission of an Inception Report (containing preliminary findings of the desk review, refined evaluation questions, data collection instruments, sampling strategy, limitations to the evaluation, and timetable) to IEU for review and clearance by IEU before any field mission may take place;
- Interviews (face-to-face or by telephone or Skype), with CLPs and key programme stakeholders and beneficiaries, both individually and (as appropriate) in small groups, as well as using surveys, questionnaires or any other relevant quantitative and/or qualitative tools as a means to collect relevant data for the evaluation; including field missions;
- Analysis of all available information;
- Preparation of the draft evaluation report (based on Guidelines for Evaluation Report and Template Report to be found on the IEU website <http://www.unodc.org/unodc/en/evaluation/index.html>). The evaluators submit the draft report to IEU for IEU clearance and subsequent review by the programme management team for factual errors and stakeholders for review and comments;
- Preparation of the final evaluation report. The evaluators will consider all comments received, finalize the evaluation report; as well as include an Evaluation Brief and a PowerPoint presentation on final evaluation findings and recommendations;
- Presentation of final evaluation findings and recommendations to the target audience, stakeholders etc. at a meeting at UNODC Headquarters (by the lead evaluator).
- In conducting the evaluation, the UNODC and the UNEG Evaluation Norms and Standards are to be taken into account. All tools, norms and templates to be

mandatorily used in the evaluation process can be found on the IEU website: <http://www.unodc.org/unodc/en/evaluation/index.html>)

The sources of data

The evaluation will utilize a mixture of primary and secondary sources of data. The primary sources for the desk review shall include, among others, interviews with key stakeholders (face-to-face or by telephone or Skype), the use of surveys and questionnaires and field missions to meet with CLPs and for case studies. Primary data might be also sought through focus group interviews, observation and other participatory techniques. Secondary data sources will include the programme documents and their revisions, progress and monitoring reports and all other relevant documents.

The evaluators will perform a desk review of existing documentation, as provided by the programme management (please see the preliminary list of documents to be consulted in Annex II). This list is however not to be regarded as exhaustive, but additional documentation may be requested by the evaluators if deemed needed.

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

TOR of mid-term evaluation; Programme Document; annual and semi-annual reports of the programme; financial statements; donor reports; work plans of the programme; mission reports of the programme; Executive Summaries of the UNCAC reviews in the countries covered; interventions made by non-UNODC Core Learning Partners during the Implementation Review Group meetings; newspaper articles/radio coverage/other materials pertaining to programme advocacy; UNODC Strategy 2012-2015; Thematic Programme on Action against Corruption, Economic Fraud and Identity-related Crime (2012 – 2015); and other documentation, as necessary.

Primary sources shall be collected through:

- Qualitative methods: structured and semi-structured interviews with CLPs and stakeholders.
- Quantitative methods: survey questionnaires.

The evaluators will conduct phone/ face-to-face interviews with identified CLPs and stakeholders from the following groups: CEB management, UNODC programme staff at the HQ and in the field offices, DFAT, UNDP global programme staff, national stakeholders / beneficiaries, Member States of the UN (through their Permanent representations), partner institutions, and the donors and other relevant stakeholders involved in implementing the different outcomes. If feasible, an on-line questionnaire will be developed by the evaluators and used in order to help collect the views of CLPs and stakeholders.

VII. TIMEFRAME AND DELIVERABLES

Time frame for the evaluation

The timeframe for the evaluation is from 8 June 2015 until the end of November 2015 + one day in December 2015 (TBD) for the lead evaluator to present the final evaluation findings and recommendations.

Time frame for the field mission

Missions to South East Asia (Thailand and Myanmar), (second evaluator) are to be held from 19 to 25 July. Mission to South and/or Eastern Africa (Botswana and Tanzania), as well as Cairo (lead evaluator) are to be held from 19 to 30 July 2015). Mission to Vienna will take place from 5 to 10 July for both the lead evaluator and the second evaluator, as well as one day in December (TBD) for the lead evaluator to present the final evaluation findings and recommendations.

Expected deliverables and time frame

The evaluators will be responsible for the following deliverables, as specified below:

- Inception Report (containing preliminary findings of the desk review, refined evaluation questions, data collection instruments, sampling strategy, limitations to the evaluation, and timetable, as well as a questionnaire and interview guides), to be drafted and submitted to IEU for review and comments by 19 June 2015. IEU clears the Inception Report before the mission to UNODC HQ in Vienna can take place;
- Draft Evaluation Report to be drafted and submitted to IEU for review and comments by 28 August 2015. Once the draft evaluation report is cleared by IEU and reviewed by the programme managers for factual errors and comments have been considered, it will be sent by IEU to all relevant CLPs for their review and comments;
- Final Evaluation Report, considering all comments by the stakeholders, to be submitted to IEU for comments and clearance by 11 November 2015; together with a final Evaluation Brief and a final PowerPoint presentation on final evaluation findings and recommendations;
- Presentation of the evaluation findings and recommendations to the target audience, stakeholders etc. at UNODC Headquarters in Vienna, (for the lead evaluator one day in December 2015, TBD).

<i>Duties</i>	<i>Time frame</i>	<i>Location</i>	<i>Deliverables</i>
Desk review and Draft Inception Report to be submitted to IEU	8-19 June 2015	Home based	Draft Inception Report Evaluation tools List of adapted questions

(Deliverable A)			Questionnaire/survey
Review and comments on inception report by IEU.	22-24 June		
Consideration of comments by IEU. Possible additional round of comments by IEU and consideration of such comments	25-30 June	Home based	Inception report 1.1
Clearance of final inception report by IEU (1st payment)	30 June 2015		Final Inception report
Mission to Vienna Interviews with internal and external stakeholders	5-10 July	UNODC/HQ	Interviews Questionnaire Notes
Field missions incl. interviews (split between lead evaluator and second evaluator)	19 July – 25 July: South East Asia , i.e. Thailand, Myanmar (second evaluator) + 19 July -30 July South and/or Eastern Africa, i.e. Botswana and Tanzania, as well as Cairo (by lead evaluator)	Thailand, Myanmar, Botswana, Tanzania and Cairo	Interviews Questionnaire Notes
Drafting of the evaluation report and submission to IEU (Deliverable B)	10-28 August	Home based	Draft evaluation report
Review and comment on the draft evaluation report by IEU	31 August – 11 September		
Consideration of comments by IEU	14-18 September	Home based	Evaluation Report Draft 1.1
Possible additional round of comments by IEU and consideration of such comments	21-30 September	Home based	Evaluation Report Draft 1.2
Clearance of draft evaluation report by IEU (2nd payment)	2 October		
Review of draft evaluation report for factual errors by programme	5-16 October		

management team			
Consideration of comments from programme management team	19-21 October	Home based	Evaluation Report Draft 1.3
Draft evaluation report shared by IEU with Core Learning Partners (CLPs) for comments	22 October – 5 November		
Consideration of comment from CLPs Final Evaluation Report, Evaluation Brief and Power Point presentation to be submitted to IEU (Deliverable C)	6-11 November	Home based	Final Evaluation Report Evaluation Brief PowerPoint Presentation
Review by IEU with possible comments	12-13 November		
Consideration of comments by IEU	16-17 November		
Clearance of Final Evaluation Report, Evaluation Brief and PowerPoint by IEU	18-19 November		
Preparation of Management Response, slides for presentation and Evaluation Follow-up Plan by programme management team	20-27 November		Management Response, PowerPoint slides, Evaluation Follow-up Plan
Finalization of report to include Management Response (IEU)	30 November		
Presentation of evaluation findings and recommendations (lead evaluator) (3rd and final payment)	1 day (TBD) December)	UNODC/HQ	Presentation of final evaluation findings and recommendations
Publish evaluation report on website (IEU)	December		
Dissemination of evaluation report by programme management team	December		Dissemination of evaluation report
Follow-up plan on evaluation recommendations by programme management team	December		Follow-up plan on evaluation recommendations

ANNEX II. EVALUATION TOOLS: QUESTIONNAIRES AND INTERVIEW GUIDES

In order to collect the needed information across the myriad of stakeholders to be interviewed, it was best to design a series of interview guidelines. All interview guidelines will start with the following key points:

- The evaluator thanks the interviewee for awarding time to answer our questions
- Restate objectives of the evaluation: The mid-term independent evaluation objective is a) to determine the extent to which planned objectives and outcomes were achieved or not until July 2015; b) to identify lessons learned and best practices to inform the continuation or adjustment of activities until end of 2016.
- Explain the confidentiality of this interview and how that person's name will not be mentioned in the evaluation or any discussion related to the findings of the evaluation. Inform of the time needed for the interview -30 to 45 minutes
- Ask first question about that interviewee's responsibility or affiliation with this programme

The evaluation team will then summarize the interviews key findings according the template here below to ease integration and analysis of data.

Interview guidelines for 1) UNODC HQ and Programme Offices; 2) donors; 3) Programme beneficiaries 4) Programme Partners

Interview question sheets will be prepared the day or a few days beforehand following the matrix from the IR and the instructions below. Each questionnaire should be adjusted to the interviewee. The interview should not exceed 45 minutes.

Example of interview guideline for UNODC HQ-CEB – see below

- Results orientation. To what extent is the design of the programme results-oriented?
- Was the logframe a useful programme management tool? How
- How have human rights/gender been considered in the design of the programme, thereby impacting on the selection and drafting of particular activities/expected results.

Relevance

- To what extent have the programme objective and activities been relevant to the anti-corruption needs and priorities of the governments in the programme target regions that have been supported by the programme?
- To what extent has the programme been aligned with the mandate, overarching strategies and policies of UNODC, the mandate and portfolio of interventions of CEB?
- Is programme GLOX69 aligned with UNODC regional programmes in South Asia, South East Asia, North Africa and the Middle East, East Africa and Southern Africa, and Central America and the Caribbean
- Have any country/areas received special focus over others? Why?

Efficiency

- To what extent have the human and financial resources and inputs been converted to outputs in a timely and cost-effective manner?
- To what extent has the coordination between UNODC HQ, Anti-Corruption Advisors and Regional and Country Offices involved in the programme been efficient and appropriate?

Effectiveness

- To which extent have the programme's outcomes and outputs been achieved so far?
- What did the targeted governments implement (tools, review mechanisms, strategies.) as a result of the programme's activities?
- To what extent has the programme successfully promoted peer learning and knowledge exchange?
- How were challenges effectively identified and mitigated to ensure maximal activities implementation?

Impact

- What have been the main intended and unintended results of GLOX69, especially regarding the number of ratifications/accessions to the UNCAC, and the legal/policy and institutional strengthening in support of the implementation of the UNCAC?
- Have impact indicators, baseline data and targets been developed, and baseline data been collected to support measuring the impact of the programme with quantitative and qualitative data?
- Is there any global, regional and/or national data available to measure impact on the level of corruption in these different countries? Please explain.

Sustainability

- What mechanisms have been put in place during the programme to enable achieved results to become sustainable?

Partnership

- To what extent have partnerships been sought and established with governments in the target regions and other relevant regional/international organizations and where applicable, bilateral donors? What were the terms of their engagement?

- Were such partnerships and collaboration effective and to what extent did it add to the achievement of objectives and outcomes?
- To what extent and how has GLOX69 contributed to strengthened 'South-South' partnerships?
- To what extent have partnerships been established/sustained with private sector entities and civil society (including technical assistance providers)? Which ones? What was the framework for such collaboration, and how have these supported the overall implementation/results of GLOX69?

Human Rights and Gender

- To what extent were gender and human rights mainstreamed in programme development and implementation?

Lessons Learned and best practices

- What lessons can be extracted from the programme design for a future follow-up programme?
- What were the main challenges and how were they mitigated?
- What were the main challenges and how were they mitigated? What barriers/challenges are avoidable through proper planning in the future?
- Could best practices be identified through the programme and be replicated in a future follow up programme?

Last comments

Emailed Questionnaires to be translated in French and Arabic

This is a short survey carried out by the independent evaluation team together with the Independent Evaluation Unit, UNODC for the mid-term evaluation of the UNODC global programme GLOX69 Joint Action Towards a Global Regime Against Corruption of UNODC. The objective of the evaluation is to understand preliminary un/achieved results of the programme as well as to assess its relevance, effectiveness, efficiency and issue recommendations based on lessons learned and best practices to support future programming and effective implementation of GLOX69 until September 2016.

The independent evaluation team would appreciate your assistance through completion of this short questionnaire. While the evaluation team appreciates that some respondents have already been interviewed, and some will be in the near future, we would be grateful for your responses to this brief questionnaire in order to draw quantitative data and more insight from you for future programming.

For any questions, please contact the Evaluation Team Leader Emmanuelle Diehl at emdiehl@gmail.com

Background information

Please include your email-address in the box below:

(optional: please note that this information will not be shared with any third party and will be treated confidentially; for verification reasons only)

Q2. What is your role/position in relation to the Global Programme GLOX69?

- UNODC staff
- Donor
- Recipient country/organisation/individual
- Partner organisation (United Nations)
- Partner organisation (NGO/CSO)
- Partner organisation (others)

Q3. UNODC staff and partners: In what part of the world do you, or have you, work(ed)? Please select as many as needed

- North Africa and Middle East
- Eastern Africa
- South Africa
- South East Asia
- South Asia
- Latin America and Caribbean
- Small Islands Developing States
- Global
- Other

Q3.2 Please precise the country(ies):

Q4. Partners, UNODC staff: Have you been directly involved in implementing GLOX69's activities (e.g. technical assistance; trainings; etc.)?

- Yes
- No

Q5. In which activities of GLOX69 have you been directly involved (tick all that are applicable):

- Ratification/accession of UNCAC
- UNCAC review mechanism
- Peer country for UNCAC review mechanism
- Capacity building for application of UNCAC
- Development of national/regional strategies/action plans
- Revision legislation
- Training recipient
- Conference on knowledge sharing/South-South cooperation
- None
- Other (please specify which activities and how you were involved)

MAIN QUESTIONS

Q1. Beneficiaries, UNODC Staff: Design: To what extent has GLOX69 been designed to clearly identify the needs and priorities of UNODC's government counterparts in targeted regions?

- Clearly identified
- Partially identified
- Not identified
- Don't know

Q1.1. Please specify why they have not been or only partially identified?

Q.2. For recipient only: Relevance: Please specify how relevant the different activities of GLOX69 have been for your country/organisation/institution.

	How relevant for your country/organisation/institution?				Don't know/not applicable
	Very relevant	Relevant	Partially relevant	Not relevant	
a) Technical assistance on the ratification of UNCAC					
b) Designing national strategies for the implementation of UNCAC					

c) Technical assistance on the implementation of UNCAC review mechanism					
d) Training of relevant institutions/bodies/professionals on UNCAC and money laundering and asset recovery mechanisms					
e) Support to conferences for experience sharing with other countries in your region					
f) Other:					

Q2.1. Please specify why certain activities have not been relevant?

Q2.2 Please specify how their relevance can be improved?

Q2.3. Please specify what other type of activities/support you would you like UNODC to offer within the context of GLOX69?

Q3. Beneficiaries: Implementation support: What is your overall level of satisfaction with the support provided by UNODC HQ through GLOX69 activities in your country?

1. Excellent
2. Very good
3. Satisfactory
4. Needs improvement
5. Unsatisfactory
6. Don't know

Q3.1. Please provide more detail, including any specific requests for the future: _____

Q4. Partners, beneficiaries: Efficiency: How efficient has the UNODC programme management team been in co-ordinating the work of GLOX69?

1. Highly efficient
2. Efficient
3. Efficient to some extent
4. Not efficient
5. Don't know

Q4.1. Please provide more detail, if any, including any specific requests for the future: _____

Q5. UNODC Staff, Donors, Beneficiaries: Sustainability: what kind of activities is GLOX69 creating mechanisms and structures to foster sustainable results?

Q6. Human Rights: In your opinion, how well addressed are human rights issues in GLOX69 activities?

	Fully addressed	Mostly addressed	Partially addressed	Not addressed	Don't know
Capacity Building					
Legislative support					
Review Mechanism					

Q7. Gender equality: In your opinion, how well addressed are gender issues in GLOX69 activities?

	Fully addressed	Mostly addressed	Partially addressed	Not addressed	Don't know
Capacity Building					
Legislative support					
Review Mechanism					

Q8. How satisfied are you with the following aspects of GLOX69?

Satisfaction of various aspects of GLOX69					Don't Know
	Very satisfied	Satisfied	Partially satisfied	Unsatisfied	
a) Support provided by the programme management at HQ					
b) Building and reinforcement of partnerships					
c) Coordination and communication					
d) Efforts to foster South-South cooperation					
e) Trainings, workshops, conferences and meetings					
f) Tools, manuals, etc.					
g) Quality and delivery of the various activities					
h) Technical assistance on the ratification of UNCAC/ implementation of UNCAC review mechanism					

Q8.1. Please specify what aspects you are less satisfied with and the reason why:

Q9. Partnerships and cooperation: From your point of view, to what extent has GLOX69 supported the establishment of regional/international cooperation?

- Fully
- Partially
- Not at all
- Don't know

Q9.1 Please specify why the programme has not supported the establishment of regional/international cooperation:

Q10. Effectiveness: How would you rate the overall effectiveness of cooperation under GLOX69?

- Very effective
- Effective
- Partially effective
- Ineffective
- Don't know

Q10.1 Please specify, why you find the cooperation partially effective or ineffective:

Q11. Beneficiaries, Donors and partners: How well is GLOX69 aligned with national strategies and priorities?

- Fully aligned
- Mostly aligned
- Partially aligned
- Not aligned
- Do not know

Q11.1 Please specify, why the global programme is partially/not at all aligned

Q12. Recipients, Donor, Partners, UNODC Staff: Has the programme contributed to the ratification or implementation of UNCAC?

- Yes
- No
- Don't know

Q13. Recipients, UNODC Staff: What challenges have you faced in the ratification and implementation of UNCAC? If you have not yet ratified it, what challenges are you facing?

Q14. UNODC staff, Recipients, Partners: Impact: Are there any concrete tangible societal changes or effects that GLOX69 has been generated during its implementation?

	Yes	No	Don't know
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a) Changes in legislation			
b) Changes in judicial practices			
c) Influence in national strategies or action plans			
d) Enhanced professional skills and expertise			
e) Increased public awareness and knowledge base			
f) Other			

Q15. Recipients: Please specify what changes in the legislative framework of your country have happened as a result of the implementation of activities under GLOX69.

Please answer the following questions if you can, thank you.

Q16. Please identify some good/best practices that have emerged from the implementation of GLOX69.

Q17. Please identify some “worst practices” of GLOX69.

Q18. Please provide suggestions for ways to improve the quality and delivery of the activities under GLOX69.

Q19. Please provide any further comment you might have regarding GLOX69:

Thank you for your time

Interview notes guideline
Minutes template for interviews

Stakeholder:

Location:

Date:

Attending:

Interview Overview

Write the answers on the questionnaire sheets so it is easier for reference. But in a summary form with key critical points that answers the questions (electronically).

Here highlight any questions that could not be answered either through lack of time, refusal of the stakeholder

Highlight any sensitivity during the interview

Key Takeaways

On all criteria tackled during the interview

ANNEX III. DESK REVIEW LIST

GLOX69 programme documents
Semi-annual and annual programme Reports 2012, 2013 and 2014
RP documents of 5 regions of Southern Africa (2012-2016), East Africa (2009-2015), North Africa and the Middle East (RP Arab States 2011-2015), South Asia (2012-2016), South East Asia (2014-2017) and the Caribbean (2014-2016).
NP documents of 3 countries Tanzania, Myanmar, Botswana
Evaluation ToR
Donor reports
Work plan CEB and Regional Advisors
Detailed funding records of GLOX69 as of July 2015
CEB Organigram
Mid-term evaluation of Programme EGYX49 ‘supporting measures to combat corruption and money laundering, and to foster asset recovery, in Egypt’
UNCAC Convention
Global Dynamics of Corruption -,The Role of the United Nations Helping Member States Build Integrity to Curb Corruption, 2002
UNDP Global Anti-Corruption Initiative GAIN 2014-2017 programme document
Assessment of Corruption and Crime affecting the Business Sector in the Western Balkans XEET93
Conference of the States Parties to the United Nations Convention against Corruption- Oct 2013
Mechanism for the Review of Implementation of the United Nations Convention against Corruption—Basic Documents
CRs of 2012: Australia, Bangladesh, Brunei, Fiji, Indonesia, Jordan, Sao Tome,Kuwait, Morocco, South Africa, Timor Leste, Zambia, 2013: Algeria, Burundi, Cuba, Dominican Republic, Iraq, Kuwait, LAO PDR, Lesotho, Malaysia, Mauritius, Panama, Papa New Guinea, Peru, Rwanda, South Africa, Timor Leste, UAE, Zambia and Zimbabwe; 2014: Argentina, Botswana, Colombia, Dominica, El Salvador, Iran, Jamaica, Nigeria, Paraguay, Philippines, Solomon, Tanzania, Trinidad and Tobago, Uruguay, Vanuatu; 2015: Bahrein, Bolivia, Colombia, Cook Islands, Dominica, Egypt, Ghana, Israel, Kiribati, Marshall Islands, Micronesia, Nauru, Palau, Qatar, Sril Lanka, Tunisia, Uruguay.
THEMATIC PROGRAMME -ACTION AGAINST CORRUPTION, ECONOMIC FRAUD and IDENTITY-RELATED CRIME UNODC Corruption and Economic Crime Branch (CEB) 2012, 2013
Resource Guide on Good Practices in the Protection of Reporting Persons
UNCAC Implementation Guide and Evaluative Framework for Article 11
Drafting National Anticorruption Strategies: A UNODC Resource Guide April 2015
UNDAF 2015-2020

Anti-Corruption Law NIGER - DRAFT BILL - DEC. 2014.doc

ANNEX IV. LIST OF PERSONS CONTACTED DURING THE EVALUATION

<i>Number of interviewees</i>	<i>Organisation</i>	<i>Country</i>
1	Department of Foreign Affairs and Trade, Australia	Australia
8	United Nations Office for Drugs and Crimes	Vienna
2	United Nations Office for Drugs and Crimes Field offices	Thailand
1	United Nations Office for Drugs and Crimes Field offices	Egypt
4	United Nations Office for Drugs and Crimes Field offices	South Africa
1	United Nations Office for Drugs and Crimes Field offices	Panama
1	United Nations Office for Drugs and Crimes Field offices	Tunisia
1	UNDP Regional Office	Lebanon
1	UNDP Country Office	Trinidad & Tobago
1	Anti-Corruption Commission,	Malawi
1	The Office of the Inspector General of Government	Uganda
1	World Bank,	Ethiopia
1	Federal Ethics and Anti-Corruption Commission	Ethiopia
1	Preventing and Combatting Corruption Bureau	Tanzania
1	Special Brigades	Burundi
1	Ministry of Justice	Swaziland

3	Directorate Corruption and Economic Crime	Botswana
1	National Anti-Corruption Commission	Thailand
1	American Bar Association Regional	Thailand
1	ASEAN CSR Network	Thailand
1	UNDP Bangkok	Thailand
1	Anti-Corruption Unit	Cambodia
1	International Cooperation Department in Tunisian Ministry of Justice	Tunisia
1	Ministry of Justice	Tunisia
1	Ministry of Justice	Egypt
1	Money Laundering Combating Unit	Egypt
1	Illicit Gains Department at the Ministry of Justice	Egypt
1	Anti-Corruption Institution in Egypt	Egypt
1	Ethics and Anti-Corruption Commission	Kenya
1	State Inspection and Anti-Corruption Authority	Lao PDR
1	Anti-Corruption Commission	Myanmar
1	National Anti-Corruption Commission	Thailand
1	State Inspection and Anti-Corruption Authority	Lao PDR
1	Union Attorney General's Office	Myanmar
1	American Bar Association	Thailand
1	ASEAN CSR Network	Thailand
1	High Authority for the Fight against Corruption and Related Offences (HALCIA)	Niger

1	National Office for the Fight against Fraud and Corruption (OFNAC)	Senegal
1	Central Brigade for Anti- Corruption, National Police	France
1	Anti Corruption Commission	Jordan
1	Office of the Attorney-General	Antigua and Barbuda
1	Office of the Prosecutor General	Sao Tome and Principe

Total: 56

ANNEX V. LIST OF STAKEHOLDERS

Regional Anti-Corruption Bodies

- Commonwealth Africa Anti-Corruption Centre,
- African Association of Anti-Corruption Authorities (AAACA);
- High Authority for the Fight against Corruption and Related Offences (HALCIA),
- CARICOM the Caribbean Community and Common Market,
- APEC the Asia-Pacific Economic Cooperation,
- ASEAN the Association of South East Asian Nations,
- SAARC the South Asia Association for Regional Cooperation,
- The ABD/OECD Anti-Corruption Initiative for Asia and the Pacific,
- AOSIS the Alliance of Small Islands States,
- COI the Indian Ocean Commission

Academia:

- Andalas University (Indonesia),
- Sana'a University,
- Faculty of Political Science (Yemen),
- University Utrecht (Netherlands), University of the Philippines,
- Ateneo de Manila University (Philippines),
- Polytechnic University of the Philippines,
- Malaysia Anti-Corruption Academy (MACA)

Civil society:

- National chapters of Transparency International (Cambodia, Indonesia, Kenya, Lebanon, Malaysia, Morocco, Philippines, Tunisia),
- Indonesia Anti-Corruption Watch (ICW),
- Anti-Corruption Organisation of Thailand,
- Transparence et Deomcratie (Tunisia),
- Tunisian Association of Public Controllers, Social Contract Center (Egypt),
- Social Watch Philippines (SWP), I Watch (Tunisia),
- Affiliated Network for Social Accountability (ANSA), American Bar Association (ABA),
- U4 Anti-Corruption Resource Center, UNCAC Coalition, Lalenok Ba Ema Hotu (LABEH) (Timor-Leste),
- Luta Hamutuk (Timor-Leste),
- Simbahang Lingkod ng Bayan (Philippines),
- Public Service Labor Independent Confederation (PSLINK) (Philippines),
- Centre of Studies for Peace and Development (CEPAD) (Timor Leste),
- Philippine Center for Investigative Journalism (PCIJ),
- Transparency & Accountability Network (Philippines),
- Anti-Corruption Front (India), and Centre for Youth and Social Development (CYSD) (India).

Private sector:

- ASEAN CSR Network,

- Integrity Initiative of Malaysia,
- Malaysia International Chamber of Commerce (ICC),
- Union of Myanmar Federation of Chambers of Commerce and Industry,
- Myanmar Business Executives Association,
- Myanmar Global Compact Local Network, Myanmar Centre for Responsible Business,
- Integrity Initiative of the Philippines,
- Nestle Malaysia PricewaterhouseCoopers (PwC),
- General Electric (GE, Thailand),
- Cornerstone Barristers (UK)