



UNODC

United Nations Office on Drugs and Crime

Independent Evaluation Section



FINAL INDEPENDENT IN-DEPTH EVALUATION

REGIONAL PROGRAMME FOR SOUTHEAST ASIA

(including the Country Programme Myanmar
and Country Programme Indonesia)



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ABBREVIATIONS AND ACRONYMS

Abbreviation or Acronym	Full name	Abbreviation or Acronym	Full name
ACC	The Anti-Corruption Commission, Myanmar	DTA	The Anti-Corruption Commission, Myanmar
AMMD	ASEAN Ministerial Meeting on Drug Matters	ESCAP	The Economic and Social Commission for Asia and the Pacific
AMMTC	ASEAN Ministerial Meeting on Transnational Crime	FSP	Fragile State Principles
ASEAN	Association of Southeast Asian Nations	GOI	Government of Indonesia
CCPCJ	The Commission on Crime Prevention and Criminal Justice	GoM	Government of Myanmar
CND	The Commission on Narcotics and Drugs	ILO	The International Labour Organization
CO	Country Office	IOM	The International Organization for Migration
COMMIT	Coordinated Mekong Ministerial Initiative against Trafficking	OECD	Organization for Economic and Cooperation for Development
COSP	Conference of the States Parties	PGC	Programme Governance Committee
CP	Country Programme	POIDN	UNODC Programme Office in Indonesia
CVE	Counter Violent Extremism	POMYA	UNODC Programme Office in Myanmar
DM	Division of Management	POVIE	UNODC Programme Office in Viet Nam
DO	Division of Operations	PRC	Programme Review Committee
DPA	Department of Political Affairs	PSC	Project Support Costs

Abbreviation or Acronym	Full name	Abbreviation or Acronym	Full name
PVE	Preventive Violent Extremism	UNDAF	United Nations Development Assistant Framework
ROSEAP	Regional Office for Southeast Asia and the Pacific	UNDCP	United Nations International Drug Control Programme
RP	Regional Programme	UNDG	The United Nations Development Group
SAP	Sub-Regional Action Plan of the Great Mekong Group MOU	UNDG AP	The United Nations Development Group Asia Pacific
SDGs	Sustainable Development Goals	UNDP	United Nations Development Programme
SoM	Smuggling of Migrants	UNGASS	UN General Assembly special session on the world drug problem
SP	Sub-programme	UNSDCF	UN Sustainable Development Cooperation Frameworks
TiP	Trafficking in Persons	UNHCR	United Nations High Commissioner for Refugees
ToC	Theory of Change	UNODC	The United Nations Office of Drugs and Crime
TOCTA	Transnational Organized Crime Threat Assessment	UNPDF	United Nations Partnership for Development Framework 2016-2020
TP	Terrorism Prevention	UNTOC	United Nations Transnational Organized Crime Convention
TWG	Technical Working Group	WHO	World Health Organization
UAGO	Union Attorney General's Office		
UNCAC	United Nations Convention Against Corruption		

MANAGEMENT RESPONSE

Recommendation	Management Response (accepted/partially accepted/rejected)	Overview anticipated actions
<p>Over the next 12 months, ROSEAP, in collaboration with the respective Programme Offices and UNODC HQ should:</p> <p>1: Develop the New Regional Programme to cover the entirety of what UNODC delivers across the region including UNODC global, regional and national initiatives. It should be based on identified good practices in the development of the current RP, such as extensive consultations to include regional platforms and be based on sound research (such as the TOCTA). It should be a single delivery vehicle to support multiple UN Sustainable Development Cooperation Frameworks (UNSDCFs) across the region. The new RP should articulate the assistance UNODC can provide to MS in their attainment of the SDGs, subject to donor’s priorities.</p>	Accepted	<ul style="list-style-type: none"> • Apply a Theory of Change to develop the new RP, based on good practices and lesson learned from the current RP, as well as relevant research (e.g. 2019 TOCTA) and studies (e.g. 2020 SMART Report) conducted on the region. • Ensure the new RP will be a single programme vehicle that will encompass all UNODC activities in the region, covering all national, regional and global initiatives, and at the same time support multiple UNSDCFs across the region and support MS achieving the SDGs.
<p>2: Develop Strategic Frameworks to serve as delivery mechanisms at the country level. They should, as a minimum, foster ownership, articulate a periodic review mechanism and allow MS to formally authorise UNODC’s participation, ensuring coherence between the RP, GPs, CPs, UNODC’s strategic framework and mid-term strategy. Standardization is required in terms of the terminology used (e.g. for trainings, workshops, capacity-building, research), defining the type of ‘service delivery-activities’ to help refine the value proposition and the business model overall.</p>	Partially accepted	<ul style="list-style-type: none"> • Where ROSEAP has significant national-level portfolios (e.g. Myanmar and Indonesia), the Office will develop Strategic Frameworks to foster ownership and facilitate periodic reviews. However, as the Office covers more than 30 countries, developing Strategic Frameworks for all of them may lead to high expectations and require additional funding and management resources, which are elements not currently available to ROSEAP. Therefore, the recommendation is partially accepted as country strategic frameworks will be developed only for those countries which require formal/official documents that allow UNODC to engage in the country.

<p>3: Collaborate to determine Staffing and Administration required to implement UNODC’s activities. This should include strengthening the roles of thematic experts as technical working group leads for each SP and appropriate staff levels required for effective management of Programme Offices, including authority for clearance in Umoja.</p>	<p>Partially accepted</p>	<p>This recommendation is partially accepted as the ROSEAP strategy emphasizes substantive work within the programmatic offices; e.g. implementing programme and building partnerships with partners/donors. Administrative work will be centralized in the Bangkok for streamline processes and avoid overburdening programme offices.</p> <p>Implementation of this recommendation will include:</p> <ul style="list-style-type: none"> • Emphasize the role of “Thematic Leads” as mentioned in the 2019 ROSEAP Summary Operational Review to improve collaboration and support among project teams in the region. • Finalize the centralization of oversight, guidance and approvals in Bangkok to free up resources for local implementation and partnerships in the Programme Offices and to ensure consistency of UNODC operations across countries in the region.
<p>4: Develop a Partnership strategy to enhance UNODC visibility to and engagement with UN Country Teams and in country UN entities. It should outline options to strengthen effective partnerships for joint financing and partnerships with other UN agencies, in addition to analysing cross-thematic programming across each SP and outcomes within the SPs. It includes better interaction with and integration of the private sector and civil society organizations.</p>	<p>Accepted</p>	<ul style="list-style-type: none"> • Include in the 2020 ROSEAP donor mapping elements on areas for cooperation with other UN agencies, including on the countries where this could take place. CSOs and private sector would also be included. <p>Embed partnership building elements into the new RP, thus ensuring that it has malleability to support strategic goals of multiple UN Country Teams and UN entities</p>
<p>5: Develop a system for Integration of the SDGs. Ensure a coordinated use of the SDGs across the area of expertise for integration at both micro level programming and outcome reporting.</p>	<p>Accepted</p>	<ul style="list-style-type: none"> • Ensure the new RP is designed to support MS achieving SDG targets under the UNSDCFs and national strategic plans, in line with UNODC mandate.
<p>6: Ensure full integration of Human Rights and Gender into all capacity-building activities as a specific focus, rather than simply as a general introduction to UNODC’s mandate.</p>	<p>Accepted</p>	<ul style="list-style-type: none"> • Integrate better human rights and gender into the new RP, with special emphasis on Leaving No One Behind • Roll out the new internal human rights due diligence forms to assess risks and

		mitigation measures for each new grant in the region.
7: Define a Monitoring and Reporting framework with tools and reporting processes (schedules, reporting agents and methods) that seek to develop qualitative and systematic data. It would be used to populate the RP logical framework and associated theories of change with data relating to results at the outcome and objective level.	Accepted	<ul style="list-style-type: none"> • Redesign the framework for monitoring and reporting processes to provide better qualitative data and outcome-level analyses.

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

This evaluation is the first cluster Final Independent In-depth Evaluation of the UNODC Regional Programme (RP) in Southeast Asia and the Pacific, including the Country Programme (CP) Myanmar and Country Programme Indonesia. It is the view of UNODC's Regional Office for Southeast Asia and the Pacific (ROSEAP) that the Evaluation Report is of high quality, balanced, and provides a sound basis on which to build future programming and the continued success of UNODC programme implementation in Southeast Asia. The evaluation team, comprised of one external independent lead evaluator and three external independent experts, conducted the evaluation and produced a written report that reflects the views of a broad range of partners and stakeholders in a balanced and well-analyzed manner. The evaluation process was managed and quality assured by UNODC's Independent Evaluation Section. The findings and recommendations are valid and highly practical, recognizing good practices in the development of the current RP, such as extensive consultations with regional bodies in the region (e.g. Senior Officials Meeting on Transnational Crime (SOMTC), the Memorandum on Drug Control in the Greater Mekong Region (Mekong MoU), the Bali Process on People Smuggling, Trafficking in Persons and Related Transnational Organized Crime (Bali Process), etc.), and raising gaps in operations that need to be reviewed and elevated during the development of the new RP for an effective management and programme implementation.

The evaluation highlights the importance of in-country presence, which is crucial for establishing trust and strengthening relationship with Member States' (MS) counterparts and, at the same time, enhancing coordination with other agencies.

The evaluation acknowledges that the current RP and CPs were designed prior to the launch of the SDGs. In addition, with the UN reform that placed greater emphasis on country-level results and joint programming among UN agencies, UNODC will have a new opportunity for cross thematic programming and joint initiatives with other UN agencies, as well as establish closer relationships with UN Country Teams. It is, therefore, a good opportunity for ROSEAP to consider renovating its business model, in line with the UN reforms, and integrate SDGs into a new RP to define what support it can provide to MS.

FINDINGS, RECOMMENDATIONS AND IMPLEMENTATION

Relevance and quality of design: The evaluation recognizes that the RP was designed in consultation with donors and MS, as well as with strategic institutions in the region such as the Mekong MoU, the Bali Process and the Association of Southeast Asian Nations (ASEAN). More importantly, the evaluation notes that the development of the RP and CPs drew on relevant research available in the region, such as a Transnational Organized Crime Threat Assessment (TOCTA). As a result, ROSEAP is pleased to see that the RP has been successful and received support from partners and stakeholders. This motivates ROSEAP to further expand its works to support MS in the region.

The evaluation notes that the design of the RP and CPs were relevant to regional and national priorities. As a strategic framework of UNODC works in the region, the RP connects to key regional platforms where MS have already been engaged, while the CPs were further tailored in response to the specific needs of MS. Both the RP and CPs were formulated in line with UNODC guidelines, with similar Sub-Programme (SP) formats and logical frameworks in support to UNODC mandates and Strategic Framework. According to the evaluation, stakeholders both regionally and nationally expressed appreciation for and trust in the work of UNODC. However, ROSEAP notes that the RP and CPs should be reviewed and developed by using theories of change or results chains to better present the entirety of what UNODC can support in the region.

Effectiveness and impact: ROSEAP is delighted to see the evaluation highlighting the success of deliveries where the RP and CPs combined activities represented more than 3,300 activities during the evaluation period. ROSEAP notes the recommendation of the evaluation that a theory of change (ToC) should be used to develop the new RP, as it will provide a better mechanism to measure effectiveness and impact for the RP and CPs. The use of a ToC will further provide better connections between outputs, preliminary outcomes and long-term outcomes, as well as identify keys for success at different output-outcome level.

Efficiency and sustainability: ROSEAP is pleased to see that the general perception of UNODC is widely positive among donors and partners in the region. The evaluation highlights that the RP and CPs were highly dependent on donor funding and that they were funded on the basis of objectives and longer-term visions of MS and donors' priorities. It is a pleasure that the evaluation recognizes that the RP and CPs managed to raise significant funds and that activities attracted funding beyond the timeframe of the current RP duration.

Nevertheless, ROSEAP acknowledges the concern that despite the delivery of some training of trainers and training modules to enhance capacity of law enforcement and judicial training schools, there is no guarantee of sustainability of the output-outcome and long-term impact without ownership from MS. Moreover, the evaluation raises another significant issue that there is concern from a human resources perspective as ROSEAP has a limited number of international staff and thematic experts. Slow procurement and financial management processes, done through Umoja, consumed time and jeopardized business operations as well as delayed deliveries in many respects. To mitigate these issues, ROSEAP is in the process to review the delegations of authority and the ability to clear Umoja's authorization in order to streamline operational processes for increased efficiency.

HUMAN RIGHTS, GENDER EQUALITY AND LEAVING NO ONE BEHIND

The evaluation notes that the most important finding is that human rights and gender mainstreaming principles were frequently mentioned in the RP and CPs activities. ROSEAP acknowledges the evaluation recommendations that human rights and gender should be included in the RP and CPs programme documents and integrated into all capacity-building activities as a specific focus with a dedicated section in capacity-building activities, rather than a general introduction to UNODC's mandate. In addition, similar to the SDGs, ROSEAP is of the view that the "Leaving No One Behind" principle, which was introduced after the launch of the current RP and CPs, should be integrated throughout the new RP.

INTRODUCTION

PROGRAMME DESCRIPTION

Southeast Asia is affected by drug trafficking, drug taking, high levels of criminality, transnational organized crimes and terrorism. Threats are fuelled by criminal networks which profit from the proceeds of illicit drug use, production and trafficking. Criminal organizations also channel illicit funds into activities that serve to destabilize states and their institutions, undermining peace and stability within the region. Combined, these issues hinder good governance, the rule of law, healthy socio-economic development and impact the lives of millions of people in the region.

PROGRAMME OBJECTIVES

In order to address the challenges in the region in a strategic and consolidated manner, UNODC, through its Regional Office for Southeast Asia and the Pacific (ROSEAP) and its network of Programme Offices (PO) including Indonesia, Myanmar and Viet Nam, provides strategic solutions to the challenges of transnational organized crime (TOC), terrorism and violent extremism, corruption, criminal justice reform, as well as drug and health issues. The UNODC Regional Programme (RP) for Southeast Asia 2014-2020¹ is a comprehensive, integrated platform of UNODC's technical assistance in the region, with the overall objective of strengthening the ability of Member States (MS) and institutions to effectively respond to drug, crime and security challenges. The RP has been used as a single vehicle for integrating UNODC's work into UN region-wide effect, as well as serving as a tool to promote partnerships with key regional partners such as the Association of Southeast Asian Nations (ASEAN).

PURPOSE AND SCOPE OF EVALUATION

This final In-depth Evaluation focussed on the RP for Southeast Asia and the UNODC Country Programmes (CP) in Myanmar (2014-2019) and Indonesia (2017-2020). As the RP for Southeast Asia and the CP for Myanmar were ending and the CP for Indonesia was approaching its mid-term, a strategic evaluation was undertaken to examine the inter connections between the programmes.

METHODOLOGY OF THE EVALUATION

The evaluation was designed to provide an overview of results and achievements, make recommendations, identify lessons learned and good practices, as well as support future programming. The evaluation further examined the alignment of UNODC's programmatic tools with the UN reform initiatives, and the extent to which UNODC interventions in the region support MS in their achievement of the Sustainable Development Goals (SDGs). The evaluation applied a mixed method approach using both qualitative and quantitative secondary and primary sources, ensuring triangulation and a gender-responsive and human rights-based approach. It used participatory methods and included interviews with all key stakeholders; 183 female and 226 male. The main data collection methods involved individual and small group interviews, direct observations, media analysis and a desk review of relevant documents. Field missions were conducted in Thailand, Myanmar, Indonesia, Laos PDR, Malaysia and Viet Nam.

¹ As of 12/2019 the Regional Programme and Country Programme for Indonesia have been extended until 12/2021. The Country Programme Myanmar is awaiting approval for extension until 12/2021 by the Programme Governance Committee of the UNODC Country Programme Myanmar.

EVALUATION TEAM

The team comprised of one external independent lead evaluator and three external independent experts. The process was managed and quality assured by UNODC's Independent Evaluation Section (IES).

MAIN FINDINGS

This evaluation used a new, innovative approach, strategically addressing both the RP and the CPs. The format of the evaluation report was revised from the standard configuration to promote readability and utilization. The report is structured around four sections, each which seeks to answer a main question, while at the same time covering the respective evaluation criteria of design, relevance, efficiency, effectiveness, sustainability, impact, partnerships and cooperation, human rights and gender (HR&G).

Why does UNODC intervene in Southeast Asia?

As the custodian of the UN Convention Against Transnational Organized Crime (UNTOC), UN Convention Against Corruption (UNCAC), the UN standards and norms in crime prevention and criminal justice as well as other drug and terrorism related treaties, UNODC has been operating in the region since the early 1990s, implementing activities through Country Offices and the regional hub based in Bangkok.

The 2013 UNODC report Transnational Organized Crime in South East Asia and the Pacific: A Threat Assessment (TOCTA) indicated that the major crimes afflicting Southeast Asia and Pacific were human trafficking (TiP) and the smuggling of migrants (SoM), drug trafficking, illegal trade, as well as the production and counterfeit goods and medicines². Furthermore, the region is affected by terrorism, corruption, transnational organized crime and infectious diseases³. Moreover, illicit drug production helps to finance and expand criminal networks across borders and shapes the revenue-generating activities of many rural areas.

The RP was developed through extensive consultation with a variety of stakeholders, including strategic regional platforms, MS and donors, ensuring its relevance to the regional context and in meeting the MS needs and priorities. ROSEAP responded to the threats by enhancing the capacity of MS via the provision of expert advice and other services. Although the RP was designed prior to the launch of the SDGs (in 2015), ROSEAP has aligned activities and reporting contribution, specifically to SDGs 3, 5, 9, 10, 11, 16, 17. The RP and CPs were developed without a Theory of Change (ToC) and their logical frameworks consisted of vague outcomes and indicators, in some cases without baselines or targets. This has in some respects prevented a clear understanding of the results that the RP and CPs sought to achieve.

What was UNODC's response to issues of drugs and crime in Southeast Asia?

The UNODC activities in the region targeted similar beneficiaries; primarily law enforcement officers and the judiciary. The evaluation found that while ROSEAP and the POs provided technical assistance and guidance on some training of trainers and training curricula, as a means of providing self-sustaining outputs and outcomes, UNODC expects to provide a similar level of support to MS for the foreseeable future. While the RP attracts donor funds, the sustainability and resilience of the CPs is more problematic, since country-level context can hamper activities and/or undermine expected results and outcomes; this is due to a variety of reasons, such as political changes, internal conflict, civil unrest and economic crises.

While human rights and gender principles were mentioned, with several good practises witnessed, in particular within Sub-programme (SP) 1 of the RP and in the CP for Myanmar, better integration of specific applications for HR&G across all activities was required.

² https://www.unodc.org/documents/data-and-analysis/Studies/TOCTA_EAP_web.pdf

³ Drugs and Organized Crime: The Challenges Facing Southeast Asia – Chatham House.

How were resources mobilized and managed for UNODC's response in Southeast Asia?

The RP raised over 80% of its budget but not all SPs were funded equally. 63% of the pledged funds for the RP were dedicated to SP1, demonstrating donor's priorities of combating TOC and trafficking. Similarly, the CPs did not receive equitable funding, with several SPs remaining underfunded. In order to overcome funding shortfalls, similar activities were sometimes implemented in-country through the RP or Global Programmes (GPs). Soft earmarking of funds also enabled UNODC the flexibility to respond to MS needs as they became known, however, this type of funding represented only 4% of the total budget. The RP was funded by 15 donors with Japan (\$11,088,657), China (\$7,211,809), Canada (\$6,785,118), the USA (\$6,020,987) and Australia (\$4,692,874) representing the largest donors.

UNODC delivered numerous activities across the region, however, the programmatic value of the RP or a specific CP was difficult to ascertain, as activities were implemented through a variety of delivery mechanisms (GP, RP, CP or in combination) and beneficiaries and donors did not differentiate between the implementing vehicles. However, from a management standpoint, the evaluation found that the RP provided a useful framework for UNODC work in the region. Strategic oversight and direction for the RP is provided by a Programme Governance Committee (PGC), including MS representatives while secretarial and technical support are provided by ROSEAP. The PGC, was identified as an effective vehicle, that meets annually to review RP progress and provides policy guidance and strategic advice.

The UN reform initiatives require more local presence and implementation, and this requires UNODC to think strategically about how it can maximize its resources, its structure and its positioning considering funding challenges. At the same time UNODC must reiterate that it is best placed in assisting specific priorities (e.g. Pillar 3 Security) by supporting regional mechanisms, as TOC can only be combated through a coordinated regional response. A new business model or modus operandi for UNODC is required.

What were the results and achievements of the UNODC response in Southeast Asia?

The reports produced by the RP and CPs provided data at the activity/output level but reporting against outcomes was more limited and tools for outcome level analysis, while developed in line with UNODC standards and support for UNODC HQ, were not adequate for clearly reporting on higher level results. There was a general lack of baseline studies and targets for proposed indicators, especially for global initiatives. Despite having been reviewed and approved through the UNODC Programme Review Committee (PRC), this lack of detail within the programme documents made assessing the impact of the RP extremely difficult. The RP and CPs were designed without the use of a ToC. These studies would have provided a useful visual representation of a causal links between outputs and outcomes, and the external drivers required to achieve the overall objectives. The evaluation team reconstituted a ToC at SP level in order to identify the gaps, analyse the connecting drivers between activities, outputs and outcomes and understand how the RP and CPs could be improved in the next programming cycle.

MAIN CONCLUSIONS

The RP and CPs were developed as strategic visions that define UNODC's mandate and identified priorities for the region and individual countries. Although the move to integrated programming has improved the overall delivery of UNODC's assistance, there is still room for improvement, including greater integration within the SPs. At the moment, the SPs and even the outcomes within each SP appear to be administrated and delivered as almost standalone projects, which share a central funding mechanism; that is the RP. Many activities were implemented at both the regional and country levels, especially within SP1, which raised the most funds. ROSEAP managed to gather MS around common objectives through key regional platforms that they are part of but not without challenges, as expected in such a large and diverse region.

The current UN reforms offer an opportunity for ROSEAP to innovate and modernize their operating model ('business plan') to further align and improve the delivery of assistance. This evaluation concludes that the RP and CPs engaged with many stakeholders across the 11 targeted countries in a manner that upheld UNODC's mandate and supported MS with expertise and well delivered activities. UNODC is a highly respected and relevant organisation that is still the first-choice partner for MS and many donors. However, UNODC's operating model at the regional and country levels considering the on-going UN reform initiatives will be a challenge. UNODC's current operating model needs to be adjusted to respond to the reforms. The development of a new RP that is flexible and adaptable to change is the key to success.

MAIN RECOMMENDATIONS

The evaluation provides seven strategic and implementation level recommendations for the next phase of UNODC programming. The two most strategic recommendations are included below, and all seven recommendations are included in the evaluation matrix that follows as well as in the main body of the report.

Over the next 12 months, ROSEAP, in collaboration with the respective programme offices and UNODC HQ, should:

RECOMMENDATION 1 – **NEW REGIONAL PROGRAMME**

Develop the New Regional Programme to cover the entirety of what UNODC delivers across the region including UNODC global, regional and national initiatives. It should be based on identified good practices in the development of the current RP, such as extensive consultations to include regional platforms and be based on sound research (such as the TOCTA). It should be a single delivery vehicle to support multiple UN Sustainable Development Cooperation Frameworks (UNSDCFs) across the region. The new RP should articulate the assistance UNODC can provide to MS in their attainment of the SDGs, subject to donor's priorities.

RECOMMENDATION 2 – **STRATEGIC FRAMEWORKS**

Develop Strategic Frameworks to serve as delivery mechanisms at the country level. They should, as a minimum foster ownership, articulate a periodic review mechanism and allow MS to formally authorise UNODC's participation, ensuring coherence between the RP and CPs, UNODC's strategic framework and mid-term strategy. Standardization is required in terms of the terminology (e.g. for trainings, workshops, capacity-building, research), defining the type of 'service delivery– activities' to help refine the value proposition and the business model overall.

LESSONS LEARNED AND BEST PRACTICES

There are eight lessons and best practices identified across the RP and the CPs. The two below represent the most important considerations. All eight are included in the main body of the report.

Best Practice

Consultations: The Pre-RP and CPs drafting consultation processes amongst regional bodies, MS and other stakeholders was appreciated and considered as best practice ensuring ownership and support for UNODC programming. The extensive consultation processes undertaken in the current RP and CP should continue.

Lessons Learned

Country presence: In-country presence is essential when developing trust and relationships with MS agencies and when coordinating with other agencies and will be imperative in the UNODC response to the UN reform initiatives.

SUMMARY MATRIX OF FINDINGS, EVIDENCE AND RECOMMENDATIONS

Findings (see note below)	Evidence (sources that substantiate findings)	Recommendations (see note below)
<p>1. The Regional Programme in its current format represents expected UNODC programme results at the macro level and was found to be a useful funding mechanism. There is a requirement to better align UNODC results and programming through the various delivery mechanisms (GPs, RP and CPs) and produce a single inclusive programme of activities for the entire region.</p>	<p>Interviews; desk review, field observation.</p>	<p>Over the next 12 months, ROSEAP, in collaboration with the respective Programme Offices and UNODC HQ should:</p> <p>1. Develop the New Regional Programme to cover the entirety of what UNODC delivers across the region including UNODC global, regional and national initiatives. It should be based on identified good practices in the development of the current RP, such as extensive consultations to include regional platforms and be based on sound research (such as the TOCTA). It should be a single delivery vehicle to support multiple UN Sustainable Development Cooperation Frameworks (UNSDCFs) across the region. The new RP should articulate the assistance UNODC can provide to MS in their attainment of the SDGs, subject to donor’s priorities.</p>
<p>2. In line with the UN reform initiatives which urge the organization to pursue a more regional and national approach, UNODC requires a more strategic delivery vehicle. The approach and terminology used to define activities under the various programmes was further unclear and not systematic which led to a lengthy process of designing or amending the programmes and getting them approved by all the relevant UNODC sections.</p>	<p>Interviews; desk review, field observation.</p>	<p>2. Develop Strategic Frameworks to serve as delivery mechanisms at the country level. They should, as a minimum, foster ownership, articulate a periodic review mechanism and allow MS to formally authorise UNODC’s participation, ensuring coherence between the RP, GPs, CPs, UNODC’s strategic framework and mid-term strategy. Standardization is required in terms of the terminology used (e.g. for trainings, workshops, capacity-building, research), defining the type of ‘service delivery - activities’ to help refine the value proposition and the business model overall.</p>

Findings (see note below)	Evidence (sources that substantiate findings)	Recommendations (see note below)
<p>3. ROSEAP functions as a regional hub. It acts as a centre of experts and administrative support for the rest of the programme and project offices. But more technical input and support is required for Programme Offices and project managers working in the field.</p>	<p>Interviews; desk review, field observation.</p>	<p>3. Collaborate to determine Staffing and Administration required to implement UNODC’s activities. This should include strengthening the roles of thematic experts as technical working group leads for each SP and appropriate staff levels required for effective management of Programme Offices, including authority for clearance in Umoja.</p>
<p>4. UNODC is highly respected and viewed as an expert in its field. However, it has yet to make a major impact amongst other UN agencies and in the various UN Country Teams (UNCTs). Despite the RP and CPs having implemented collaborative activities with other organizations, joint programming, where several organizations pool funding and implement jointly, rarely occurs.</p>	<p>Interviews; desk review, field observation.</p>	<p>4. Develop a Partnership strategy to enhance UNODC visibility to and engagement with UN Country Teams and in country UN entities. It should outline options to strengthen effective partnerships for joint financing and partnerships with other UN agencies, in addition to analysing cross-thematic programming across each SP and outcomes within the SPs. It includes better interaction with and integration of the private sector and civil society organizations.</p>
<p>5. The evaluation found that although the RP was designed before the SDGs were launched, the monitoring of the RPs and CPs contribution towards the Member States’ efforts in their achievement of SDGs is missing. In line with the UN reforms, it is critical for the RP and the CPs to better align themselves with the SDGs and monitor them more effectively.</p>	<p>Interviews; desk review, field observation.</p>	<p>5: Develop a system for Integration of the SDGs. Ensure a coordinated use of the SDGs across the area of expertise for integration at both micro level programming and outcome reporting.</p>
<p>6. Human rights and gender principles have been introduced during activities but not necessarily integrated into all activities or mainstreamed. Gender awareness was not uniformly informed or integrated across each SP of the RP and of the CPs.</p>	<p>Interviews; desk review, field observation.</p>	<p>6. Ensure full integration of Human Rights and Gender into all capacity-building activities as a specific focus, rather than simply as a general introduction to UNODC’s mandate.</p>

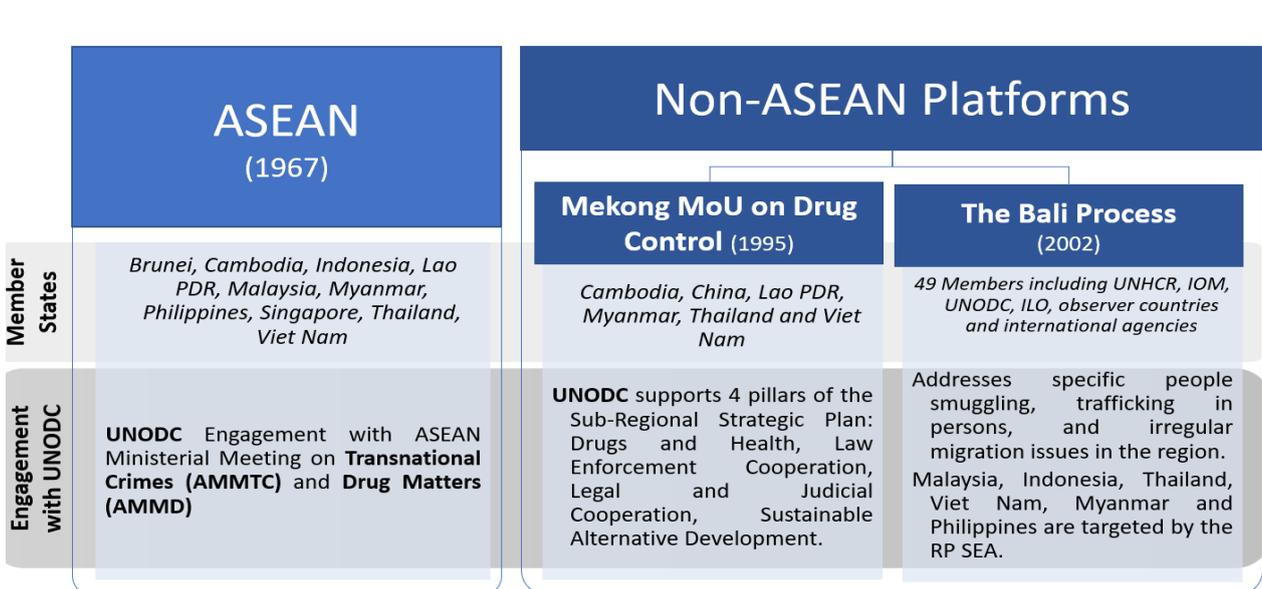
Findings (see note below)	Evidence (sources that substantiate findings)	Recommendations (see note below)
<p>7. The impact of the RP and CPs was difficult to measure and monitor as the Logical Frameworks often lacked baseline information, SMART indicators, outcome level indicators that could be measured, and mainly delivered activity and some output level reporting. While this was in line with the general UNODC approach, it limited the ability to confirm higher level results.</p>	<p>Interviews; desk review, field observation.</p>	<p>7. Define a Monitoring and Reporting framework with tools and reporting processes (schedules, reporting agents and methods) that seek to develop qualitative and systematic data. It would be used to populate the RP logical framework and associated theories of change with data relating to results at the outcome and objective level.</p>

BACKGROUND AND CONTEXT

UNODC has a long history of supporting Member States (MS) in Southeast Asia and the Pacific. Support commenced in 1990 when it was known as the United Nations International Drug Control Programme (UNDCP). The Regional Office for Southeast Asia and the Pacific (ROSEAP) based in Bangkok manages Programme Offices (PO) in six countries⁴ and has a mandate to cover 11 countries in Southeast Asia (SEA) and a total of 33 countries across the Pacific region. Currently, ROSEAP oversees 21 regional and national projects and 14 Global Programmes (GPs) within the region. According to 2013 UNODC report Transnational Organized Crime in South East Asia and the Pacific: A Threat Assessment (TOCTA) and other research⁵, trafficking, terrorism, corruption, Transnational Organized Crime (TOC) and infectious diseases represented the major threats affecting the region. Illicit drug production related finances and expanded transnational, criminal networks negatively impact the economies of many rural areas of the region⁶.

UNODC assistance seeks to strengthen MS and institutions to respond in a coordinated manner to the threats posed by drug, crime and terrorism. This includes working alongside several bodies of the Association of Southeast Asian Nations (ASEAN), such as the ASEAN Ministerial Meeting on Transnational Crime (AMMTC) and the ASEAN Ministerial Meeting on Drug matters (AMMD), and other non-ASEAN regional mechanisms, including the Memorandum on Drug Control in the Greater Mekong Sub-Region and the Bali Process on People Smuggling, Trafficking in Persons and Related Transnational Crime (Bali Process). These initiatives are regionally strategic and are engaged with UNODC on its mandated areas of work on TOC and drug control.

DIAGRAM 1: EXAMPLES OF ASEAN AND NON-ASEAN PLATFORMS



Source: Evaluation team based on information contained in UNODC reporting

To coordinate its efforts and implement activities within the region, UNODC via the ROSEAP delivers within the framework of a Regional Programme (RP). In 2013, ROSEAP developed the RP for Southeast Asia 2014 to 2017; subsequently extended until December 2021. The RP was developed in a consultative manner, holding

⁴ Programme Office Countries: Viet Nam, Lao PDR, Cambodia, Indonesia, Myanmar and Philippines

⁵ Drugs and Organized Crime: The Challenges Facing Southeast Asia – Chatham House.

⁶ https://www.unodc.org/documents/southeastasiaandpacific//Publications/2013/TOCTA_EAP_web.pdf

workshops and briefings with a variety of stakeholders. It was also based on research, including the TOCTA and lessons learned from the RP for Southeast Asia 2009-2013.

The RP focuses primarily on transnational organized crimes that are best addressed through a coordinated approach at a regional level, to include cross-border and intra-regional cooperation. The RP is aligned with the sub-programmes (SPs) of UNODC’s global mandate, namely:

1. Transnational Organized Crime and Illicit Trafficking
2. Anti-Corruption
3. Terrorism Prevention
4. Criminal Justice
5. Drugs and Health, and Alternative Development

MAP 1: TARGET COUNTRIES OF THE REGIONAL PROGRAMME FOR SOUTHEAST ASIA AND THE COUNTRY PROGRAMMES OF INDONESIA AND MYANMAR



Source: Evaluation team based on programme documents - mapchart.com

The RP provides support to eleven MS7 in Southeast Asia to address identified regional threats. In addition to the RP, Viet Nam, Myanmar and Indonesia, developed CPs to address country specific needs and priorities. The UNODC CPs for Myanmar, Indonesia and Viet Nam are linked to and/or contribute to the RP. While ROSEAP works with MS in the Pacific it does not address UNODC’s strategies or interventions in the Pacific to same level as in Southeast Asia⁸, as the current RP does not cover the Pacific region. ROSEAP oversees some standalone projects and has nominal oversight of the GPs which conduct activities in the Pacific region. The

⁷ Countries supported by the RP for Southeast Asia include Brunei Darussalam, Cambodia, Indonesia, Lao People’s Democratic Republic, Malaysia, Myanmar, the Philippines, Singapore, Thailand, Timor Leste, and Viet Nam. Although China is not part of that region, it is included in the RP due to its cooperation with UNODC through different cooperation frameworks, such as the Greater MoU Mekong on Drug Control and the COMMIT Process and is an ASEAN Dialogue Partner active in ASEAN transnational crime frameworks. China is also affected by many similar threats that the other countries are facing with regards to trafficking, transnational organized crime, drug production, consumption and trade. Furthermore, China neighbours many of the countries targeted by the RP SEA and is a key player in the region. Hence, China is also involved, not only as a donor but also as a beneficiary.

⁸The RP conducts few activities with Brunei.

2016 Office of Internal Oversight Services (OIOS) audit of the UNODC operations in Southeast Asia and the Pacific⁹ reported that there was a lack of baseline data and needs assessments for the Pacific region. In addition, based on interviews, the implementation of projects in the Pacific islands is very costly and is not a priority area for many donors. In 2016 UNODC drafted a TOCTA for the Pacific¹⁰ as means of understanding the underlying threats and how they relate to Southeast Asia.

The RP's vision statement indicates that the RP will contribute to *"a healthy safe community, free from the threats posed by organized drug and crime use and confident in the integrity of the criminal justice system to provide access to justice"*. The RP includes a 'results and monitoring framework' outlining outcomes and indicators. The RP was not developed with a Theory of Change (ToC) or logic model linking the efforts of UNODC to specific outcomes or objectives. Rather, the five SPs are operationalized through logical frameworks with separate outcomes, outputs and activities. These SPs have been created as separate UNODC projects under the RP. The RP has been revised in 2014 to adjust the staffing; and 2017 and 2019 to extend the duration of the programme until 2021. This structure is reflective of the standard UNODC programming practice for regional and country programming.

BOX 1: UNODC'S MID-TERM STRATEGY 2012-2015

Extract from UNODC's Mid-term Strategy 2012-2015

- The United Nations Office on Drugs and Crime (UNODC) works with MS to enhance their efforts to combat the intertwined problems of drug use, trafficking, transnational crime, corruption and terrorism by helping create and strengthen legislative, judicial and health systems to safeguard some of the most vulnerable persons in society.
- Global criminal activities are transforming the international system by posing an increasingly strategic threat to governments, civil societies and economies. Global trafficking networks are likewise having a major impact on security and development and on business and finance. Since these threats are transnational, responses to them must also be forged across borders. The UNODC aims to provide the community of nations with relevant fora to arrive at common strategies and tools to address these issues.

Source:

https://www.unodc.org/documents/commissions/CND/CND_Sessions/CND_54/4_CRP4_V1181367_E.pdf

The RP is aligned with the UNODC Mid-Term Strategy 2012-2015¹¹, the resolutions and decisions adopted by the Commission on Narcotic Drugs (CND) and the Commission on Crime Prevention and Criminal Justice (CCPCJ). Adopted by the UN Economic and Social Council (ECOSOC) in its resolution E/RES/2012/12, the UNODC Mid-Term Strategy 2012-2015¹² provided the overall direction for UNODC's work at a global level. Along with three crosscutting thematic areas (Gender and Human Rights and Leave No-one behind), this Strategy covers the five thematic areas of UNODC's work that are reflected in the five SPs of the RP.¹³ Although the RP and the CPs were designed before the Sustainable Development Goals (SDGs) were approved in September 2015 by the General Assembly in New York, the RP does assist MS to strengthen capabilities through the five thematic areas in support of SDGs 16¹⁴, 5¹⁵, 10¹⁶, 8¹⁷, 17¹⁸ and 3¹⁹.

⁹ Detailed results on an audit of United Nations on Drugs and Crime operations in Southeast Asia and the Pacific (Assignment No AE 2016/360/01).

¹⁰ https://www.unodc.org/documents/southeastasiaandpacific/Publications/2016/2016.09.16_TOCTA_Pacific_web.pdf

¹¹ https://www.unodc.org/documents/commissions/CND/CND_Sessions/CND_54/4_CRP4_V1181367_E.pdf

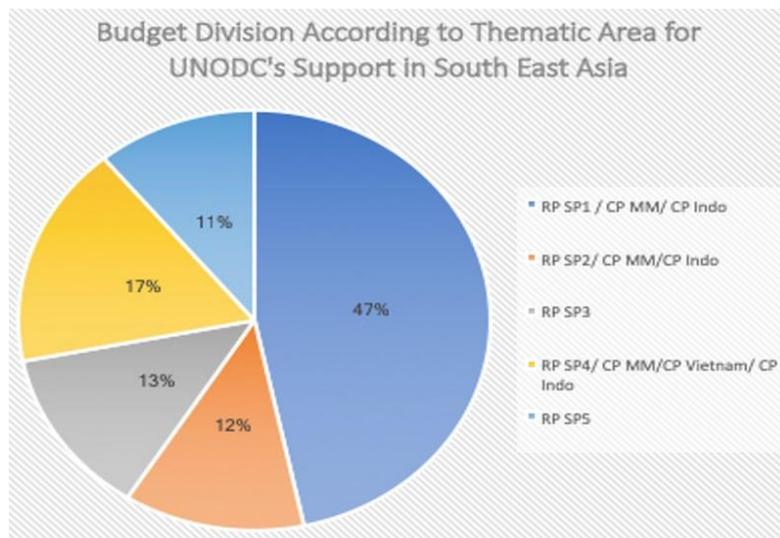
¹² https://www.unodc.org/documents/commissions/CND/CND_Sessions/CND_54/4_CRP4_V1181367_E.pdf

¹³ As per the ToR, the five SPs of the RP and the CP are drafted in accordance with the five thematic areas of UNODC Strategic Frameworks 2014-2015 and 2016-2017 so as to enable coordinated implementation of and reporting against UNODC's mandates. UNODC reports to and receives its mandates from the Commission on Narcotics and Drugs (CND) and The Commission on Crime Prevention and Criminal Justice (CCPCJ), both of which are governing bodies of UNODC. The CND is the central policy-making body for drug-related matters within the UN system, providing MS with a forum to exchange expertise, experiences and information on drug-related matters, and to develop a coordinated response. The CCPCJ is the central body within the UN system covering crime prevention and criminal justice policy, including rule of law issues broadly, aspects of counterterrorism and other non-drug transnational organized crime challenges.

Finally, the CPs were intended to be aligned with the national UN Development Assistance Frameworks (UNDAFs) or other national development plans, to ensure the proper integration of activities with the countries' priorities and other UN agencies, which is further developed in the findings section.

This RP has a total overall budget of \$59,880,655 USD, of which \$48,040,311.65 USD had been raised as of May 2019²⁰. SP1 on TOC attracted 47% of the funds, which reflects MS priorities within the region, as well as those of the donor community. The RP and the CPs received funds from Australia, ASEAN, Canada, China, Germany, Japan, Republic of Korea, New Zealand, Norway, Sweden, Thailand, UNDA and USA (regional level), Finland, Germany, Japan, Italy, UK, Sweden and Trust funds (Myanmar), Canada, Japan, Norway, USA (Indonesia), UN-WOMEN, UN One Plan Fund (Viet Nam), as well as the Prosperity Fund. Not all SPs of the CPs were funded, but all SPs of the RP were, as seen in diagram 2 "Budget Division According to Thematic Area".

DIAGRAM 2: BUDGET DIVISION ACCORDING TO THEMATIC AREA FOR UNODC'S SUPPORT (RP AND CP INDONESIA, MYANMAR AND VIET NAM)



Source: Evaluation team based on programme documents and annual progress reports 2019

Before addressing UNODC's RP and CPs in Southeast Asia in more detail, there are three areas that should be understood, as these impact how UNODC operates and might work in the region in the future: 1) the UN mechanisms in the region 2) the on-going UN reform initiatives and 3) UNODC's programmatic framework.

¹⁴ UNODC's existing portfolio of technical assistance activities concerning the implementation of criminal justice reforms directly contributes to achieving multiple SDGs, including SDG #16: 'Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels'. The Programme specifically responds to SDG targets 16.3, 16.5, 16.6, 16.a and 16.b.

¹⁵ SDG 5: Achieve gender equality and empower all women and girls;

¹⁶ SDG 10: Reduce inequality amongst countries.

¹⁷ SDG 8: Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all.

➤ ¹⁸ SDG 17 Revitalize the global partnership for sustainable development.

➤ ¹⁹ SDG 3 ensure healthy lives and promote well-being at all ages.

²⁰ According to Smartsheets May 2019.

UN Mechanisms at the regional level

Bangkok serves as the regional hub for UN activities in Southeast Asia promoting cooperation among countries in the region to achieve inclusive and sustainable development. ROSEAP is located within the UN compound along with the majority of other UN entities operating in the region, including the UN Economic and Social Commission for Asia and the Pacific (ESCAP).

ROSEAP engages with ESCAP in a variety of ways, including regular communication on the activities of the RP and invitations to participate in regional activities and to contribute to UNODC's research studies. Part of ESCAP's mandate is to coordinate the work of the UN agencies in the region. For that purpose, there are two mechanisms in place: the UN Regional Coordination Mechanisms for Asia Pacific²¹ and the UN Development Group Asia-Pacific²². UNODC participates as a member of both.

The UN Reform Initiatives

The UN Secretary General (SG) António Guterres proposed a set of reforms when he began his tenure in 2017. These reforms are designed to strengthen the delivery of the UN's mandate in three key areas: Development, Management and Peace and Security. According to the SG, "*the goal of reform is a 21st-century United Nations focused more on people and less on process, more on delivery and less on bureaucracy. The true test of reform will be measured in tangible results in the lives of the people we serve – and the trust of those who support our work*"²³. The specific reforms for each pillar are outlined in diagram 3.

BOX 2: ESCAP

ESCAP's strategic focus is to deliver on the 2030 Agenda for Sustainable Development, which is reinforced and deepened by promoting regional cooperation and integration. It seeks to advance responses to shared vulnerabilities, connectivity, financial cooperation and market integration. ESCAP's research and analysis coupled with its policy advisory services, capacity building and technical assistance to governments, aims to support countries' sustainable and inclusive development objectives. The largest regional intergovernmental platform with 53 Member States and 9 associate members, ESCAP has emerged as a strong regional think-tank offering countries sound analytical products that offer insight into the evolving economic, social and environmental dynamics of the region.

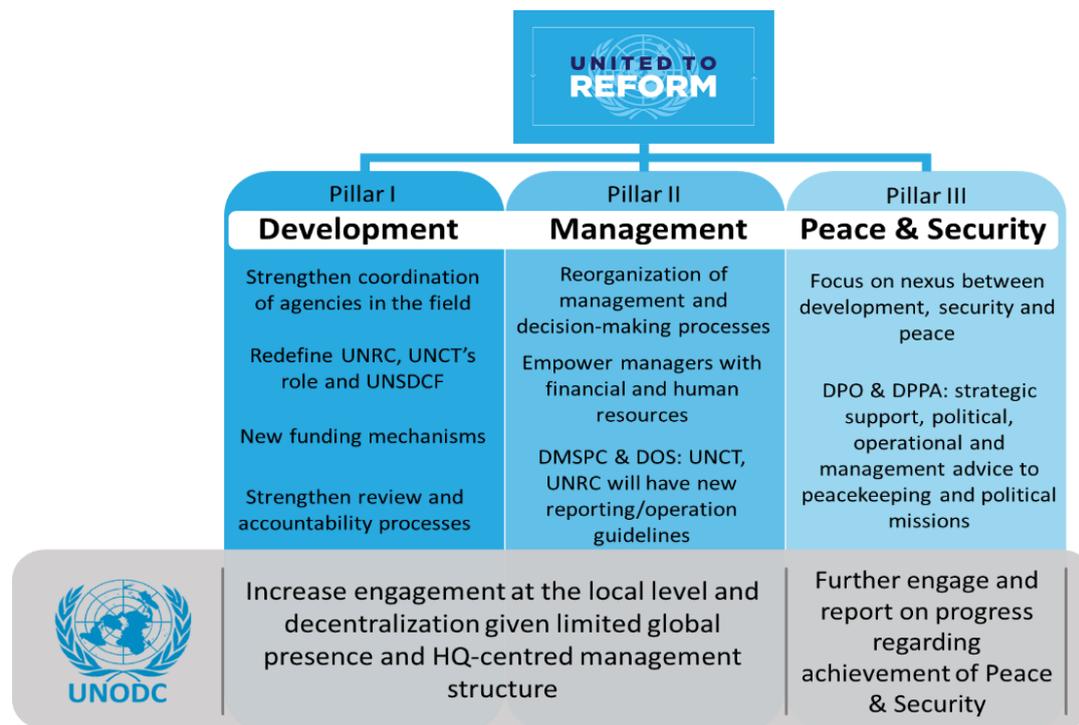
Source: ROSEAP

²¹ Established by Economic and Social Council resolution 1998/46, the Regional Coordination Mechanism provides the primary vehicle for strengthening policy coherence within the UN system and promoting cooperation and collaboration among UN entities and their development partners in addressing regional development issues. It also provides an important means of articulating regional concerns and priorities at the global level and acting as a bridge between global, regional and national agendas. The body works by consensus, with a focus on identifying shared concerns and priorities and leveraging synergies across the United Nations system in Asia and the Pacific in addressing regional challenges.

²² The United Nations Development Group Asia-Pacific (UNDG AP) is one of the most inclusive regional UNDGs with 19 agencies as its members: ESCAP, FAO, ILO, OCHA, OHCHR, UNAIDS, UNIDO, UNDP (APRO), UNEP, UNESCO Bangkok and Jakarta, UNFPA, UNHABITAT, UNHCR, UNICEF (ROSA and EAPRO), UN Women, UNODC, UNOPS, WFP, WHO. The main objective of the UNDG AP is to deliver more coherent, effective and efficient support to countries seeking to attain internationally agreed development goals, including the SDGs. The main work modalities include UN Development Assistance Frameworks and "Delivering as One". The UNDP Regional Office for Asia and the Pacific convenes the UNDG A-P.

²³ <https://reform.un.org/>

DIAGRAM 3: UNITED NATIONS REFORM PILLARS



Source: Evaluation team based on information in UNODC documents and UN reform documents

The evaluation found that the UN’s reform efforts are welcomed, and that agencies are working on identifying and addressing the changes required to integrate and align with the reforms. UNODC including ROSEAP are in the process of identifying a roadmap to align with the UN reforms. At the time of the evaluation (data collection ended May 2019) there were many unknowns and outstanding questions. They key questions for UNODC were: 1) how to strengthen its country presence with limited financial capabilities; 2) how to become more competitive and a partner of choice for other UN agencies that are not from the Secretariat and have more soft-earmarked voluntary contributions to cover office costs and more generally, what changes are required for UNODC to comply with the reforms and 3) more generally what changes are required for UNODC to comply with the reforms.

While a large portion of the UN reforms require a greater emphasis on in-country delivery in order to assist MS in their attainment of SDGs, UNODC is uniquely placed to assist regional peace and security (pillar 3) as it supports MS to combat TOC. These issues can only be solved on the basis of increased regional cooperation.

UNODC’s Programming Architecture

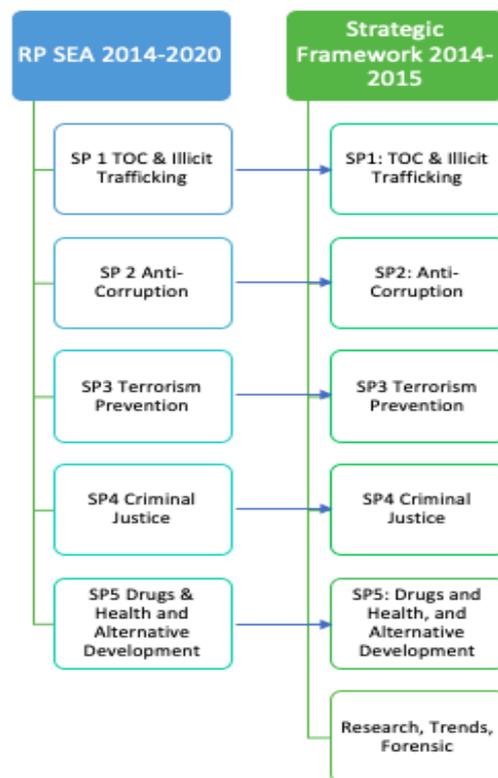
UNODC’s work is carried out through GPs managed from headquarters (HQ) in Vienna, RPs managed by offices located in strategic hubs and CPs located within strategic countries. It is important to note that despite this general structure, there are no UNODC corporate level requirements, criteria or guidance for the arrangement or resources for the various office types (regional, country, programme or project) to support this multi-layered type of programming. In Southeast Asia, there are six POs to include Myanmar, Indonesia, Viet Nam, Cambodia, the Philippines and Lao PDR. Whether an intervention is implemented via a GP, RP or CP, it is structured in alignment with UNODC’s corporate Strategic Framework, which is defined and approved every

two years during the Commission on Narcotics and Drugs (CND) and/or the Commission on Crime Prevention and Criminal Justice (CCPCJ). The strategic framework²⁴ is reviewed and commented upon by MS and recapitulates the focus on UNODC’s work around the world and thematic areas upon which the SPs focus. UNODC’s strategic framework also includes a set of indicators for each SP that are replicated and integrated into the GPs, RPs and CPs. The SPs of the RP are aligned with those of UNODC’s Strategic Framework of 2014-2015, as seen in diagram 4. However, as of 2016-2017, the order of the SPs in UNODC’s Strategic Framework changed but the topics remained the same and continued to be reflected in the RP and CPs.²⁵

PURPOSE AND SCOPE

In line with UNODC’s evaluation policy, a team of external independent evaluators were contracted to conduct an independent strategic evaluation of the work of UNODC in Southeast Asia through the RP and the CPs in Indonesia and Myanmar and Viet Nam. The CPs for Indonesia and Myanmar are covered in more detail in Annex V and VI. The CP Viet Nam was originally considered for a country focus, however, during the inception phase it was understood that the CP ended in 2017 and was not continued. It was determined that the CP Viet Nam and activities in the country would be covered under the overall RP evaluation and would not be included as a separate case study.

DIAGRAM 4: RP SEA SUB-PROGRAMMES MAPPED AGAINST UNODC’S STRATEGIC FRAMEWORK



Source: Evaluation team based on programme documents

The overall objective of this strategic evaluation was to assess the benefits and added value of the RP and the CPs by analysing their collective impact, relevance, efficiency, effectiveness, sustainability and draw lessons learned from their achievements and derive recommendations for future programming.

The specific purposes of the evaluation were: a) to determine the extent to which the planned objectives and outcomes under the RP and the CPs were produced; b) to assess the intended and unintended results achieved to date, whether positive or negative, and c) to understand how resources (human and financial) have been utilised. In line with the UN reform initiatives, the evaluation also provides recommendations to inform the development of a new RP and CPs where relevant. The evaluation also attempts to identify how the outcome and achievements of the CP and of the GPs contribute to the RP at large. Finally, the evaluation includes an assessment of the relevance, flexibility and the appropriateness of the RP and CP results chains.

²⁴https://www.unodc.org/documents/commissions/CND/CND_Sessions/CND_58Reconvened/ECN72015_CRP8_ECN152015_CRP8_e_V1508734.pdf

https://www.unodc.org/documents/commissions/CND/CND_Sessions/CND_55/E-CN7-2012-CRP2_V1251319_E.pdf

²⁵https://www.unodc.org/documents/commissions/CND/CND_Sessions/CND_58Reconvened/ECN72015_CRP8_ECN152015_CRP8_e_V1508734.pdf

The evaluation was conducted to address the strategic needs of UNODC in the region and to focus on utilization of the lessons learned and best practices. The methodology was innovative and participatory with an emphasis on beneficiaries. In addition, the format of the report has been revised from the standard (based on DAC criteria) to promote readability and utilization. The evaluation report is structured around four sections with several key evaluation questions for each, covering the respective evaluation criteria of design, relevance, efficiency, effectiveness, sustainability, impact, as well as partnerships and cooperation, human rights and gender. The evaluation results are intended for UNODC ROSEAP management, CP management, recipient Governments and their respective beneficiaries, Programme Coordinators and other project managers, as well as donors and other members of the international cooperation community. During the inception phase the evaluation questions were adjusted and reduced to ensure appropriate coverage within the given resources and constraints as well to reflect the evaluation and information needs of the RP and POs.

THE COMPOSITION OF THE EVALUATION TEAM

The evaluation team was composed of one external independent lead evaluator with expertise in anti-corruption and three external international experts, including an expert in criminal justice, transnational organized crime, and drug demand reduction and HIV. The Independent Evaluation Section (IES) managed the evaluation process and provided support to the evaluation to ensure that the methodology and process were aligned with United Nations Evaluation Group (UNEG) Norms and Standards as well as UNODC evaluation quality requirements.

EVALUATION METHODOLOGY

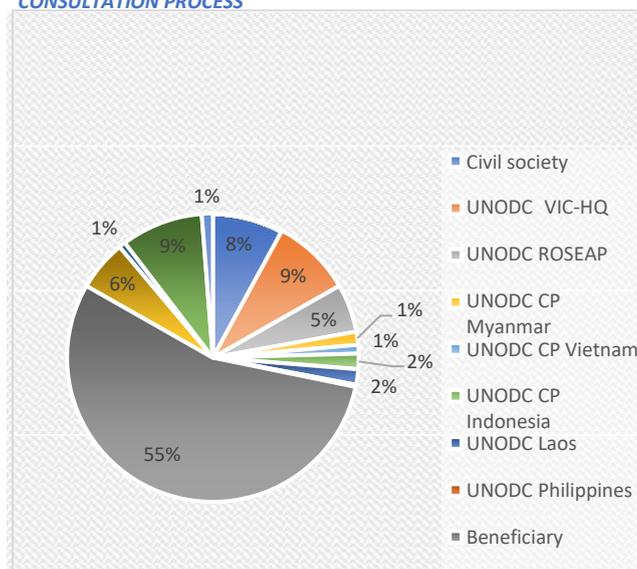
As planned by the programme and in line with UNODC Evaluation Policy, the evaluation took place between January 2019 and May 2019. The evaluation terms of reference (ToR) specified that the evaluation covered the period from January 2014 until the end of the field missions (May 2019) to seven countries (Thailand, Myanmar, Malaysia, Indonesia, Viet Nam, Lao PDR and Austria). The evaluation included an inception mission which consisted of four days of preliminary meetings and interviews with the ROSEAP management team and thematic experts in Bangkok in January 2019. This ensured the alignment of the evaluation methods and approach with the evaluation objectives, confirmed expectations, prepared the field missions and allowed the evaluation team lead to conduct an initial round of interviews. The field missions took place between March and May 2019, followed by additional interviews (phone/skype) with relevant stakeholders to complement the data collection process.

The evaluation used a mixed method approach using both qualitative and quantitative secondary and primary sources. A participatory approach was used, promoting the participation of stakeholders throughout the evaluation process, and included stakeholders from across the UNODC staff, consultants and experts, as well as beneficiaries (e.g. magistrates, law enforcement officers, governmental representatives) from different recipient governments from the SEA region, Civil Society Organizations (CSOs), other UN agencies, implementing partners, consultants and donors. A total of 409 stakeholders (183 female and 226 male) were interviewed via phone or in person. Stakeholder representation is shown in diagrams 5 and 6. The main data collection methods included field missions, the conduct of individual and small group interviews, direct observations, context analysis, media analysis²⁶ and a desk review comprising over 1,200 documents.

The evaluation ensured a gender-responsive and human rights-based approach by safeguarding equal representation throughout the evaluation and ensuring that the evaluation questions addressed specific gender and human rights issues; including how interventions affect and responded to women, men and vulnerable groups differently. Gender representation was requested during the evaluation process (as seen in diagram 6), and the evaluation team ensured that as many beneficiaries (diagram 5) as possible were interviewed in order to obtain different perspectives, and that their direct experience of the interventions delivered by UNODC were recorded.

The data collection addressed the evaluation criteria as applied to the RP as a whole and allowed for case studies of the CPs for Indonesia and Myanmar. This offered a holistic view of UNODC's work in the region and specific contributions to national priorities. Data analysis included several team working sessions to map interviews, group discussions and other information to the specific evaluation questions to develop findings and conclusions. A debriefing was held with ROSEAP and the POs to determine the validity of recommendations. The team used detailed process tracing and contribution analysis to identify what type of

DIAGRAM 5: STAKEHOLDER DIVISION OF THE EVALUATION CONSULTATION PROCESS



Source: Evaluation team based on programme documents

²⁶ The media analysis was conducted using online coverage as well as that provided by stakeholders. Sources of media coverage were also collected during the field missions.

contributions the RP and the CPs had made to the projected outcomes and the external factors impacted (positively or negatively) the achievement of these outcomes.

These different tools enabled the team to cross-reference and triangulate the data, to draw conclusions, identify lessons learned and best practices and devise a set of relevant and useful recommendations. The draft evaluation report underwent an external quality assurance review to identify and address any quality issues and ensure that the final report met all UNEG Norms and Standards, as well as UNODC quality requirements, including the mainstreaming of gender and human rights.

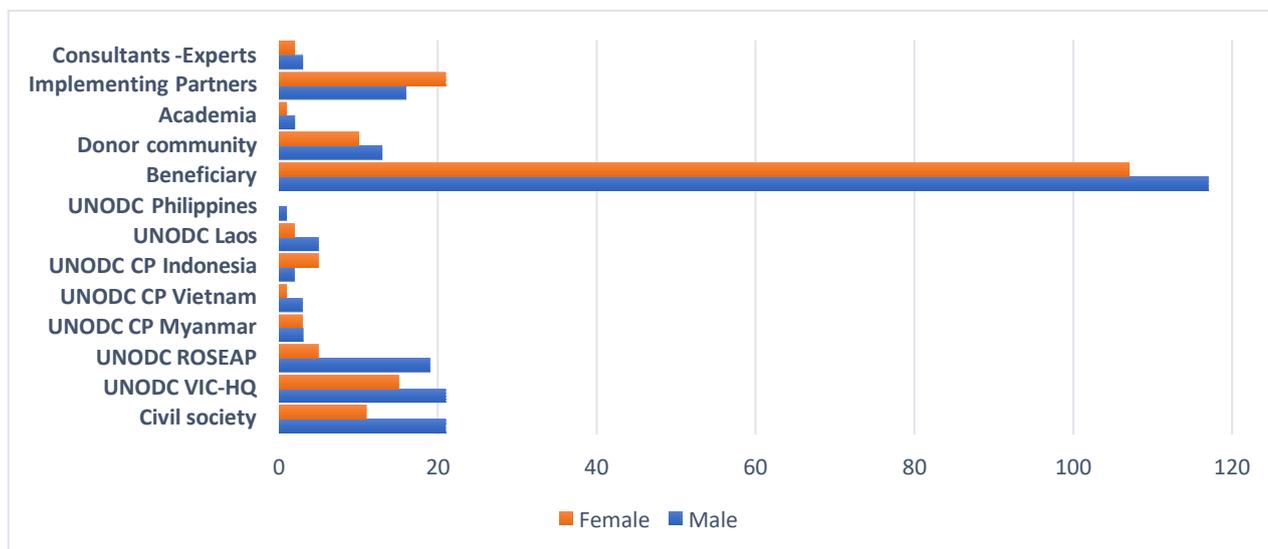
The final report was quality assured by IES, reviewed by the ROSEAP management team as well as by identified Core Learning Partners (CLPs) (a selection of the key stakeholders as identified by project management), and cleared by IES. The final report and the Evaluation Brief were distributed to relevant stakeholders, including the CLPs (Annex IV), and published on the UNODC IES website.

Sampling

The RP covered 11 countries in Southeast Asia and the evaluation team visited six of the 11 as well as UNODC HQ in Vienna. As part of this evaluation the CPs for Myanmar and Indonesia were evaluated in more depth. Viet Nam was selected to identify lessons learned and good practices from their CP experience and to understand the utility of a CP from a country, which had experiences of both operating with and without a CP. The final field missions were selected to represent a variety of UNODC interventions; global, regional and country level.

The selection of the interviewees was based on a purposive sampling methodology which was complemented when deemed relevant by a snowball sampling process during the field mission. A list of stakeholders was proposed by the ROSEAP team in the TOR; however, in order to ensure a balanced and diverse data source, additional stakeholders were requested by the evaluation team across beneficiaries, UNODC and donors as seen in diagram 6. The evaluation team was satisfied with the mixed sampling ratio and of the gender ratio (52% of male versus 48% female).

DIAGRAM 6: STAKEHOLDERS CONSULTED BY THE EVALUATION, DIVISION AND GENDER RATIO



Source: Evaluation team based on interviews from the field missions and preliminary kick off meeting

LIMITATIONS TO THE EVALUATION

A set of limitations were identified during the inception process. The evaluation team tried to mitigate these limitations, as follows:

Although the team was composed of 4 evaluators and experts, not all countries covered by the RP and the CPs could be visited within the time available. The field mission locations were selected based on the number of activities conducted and the overlap of global, regional and country level funding. The CPs for Indonesia, Myanmar and Viet Nam were chosen due to the presence of a CP and PO. In order to compensate for the countries that were not covered, the evaluation team conducted phone/skype calls with relevant stakeholders during and after the field missions. Despite this limitation, the evaluation team is confident that the full spectrum of UNODC activities and results was covered.

Stakeholders do not know from which programmatic and funding mechanism UNODC's assistance originates. Therefore, it was not always possible to identify the specific UNODC intervention the stakeholder was referencing. The evaluation team attempted to use various monitoring tools including Smartsheets and progress reports to clarify the situation. The evaluation team sought to obtain stakeholders' inputs as to UNODC's added value, to understand country contexts, UNODC's presence and visibility and assess the presence of other UN and international agencies on the ground. This data helped to identify trends and develop conclusions relating to the strategic value of the RP and the CPs as vehicles for programmatic implementation and funding.

Most beneficiaries of UNODC's technical assistance are law enforcement employees deployed outside of the capitals with limited internet access, therefore, the ability for them to respond to surveys and participate in discussions was limited. In addition, many law enforcement officers required their superiors to approve requests for interview or survey responses, which could influence their responses and delay the process. Given this situation, the evaluation did not conduct an online or email survey. However, to ensure representation of all groups, the evaluation observed several activities and conducted interviews in the margins of these activities.

While aligned with standard UNODC processes, the RP and CPs intervention logic was ill-defined and there was no ToC. While each SP of the RP did have an intervention logic in the form of a logical framework, these were a series of outputs and activities that were intended to be achieved for each specific outcome but not in the achievement of the combined objectives of the five thematic areas. Furthermore, baseline and target information were inconsistently defined, which assessed the long-term results difficult. Nonetheless, through the various data collection methods, some results were observed and are outlined within this report.

II. EVALUATION FINDINGS

SECTION I: WHY DOES UNODC INTERVENE IN SOUTHEAST ASIA?

EVALUATION QUESTIONS:

- Design: To what extent did the RP design follow the requirements, policies and structures that are in place for designing RPs and CPs?
- To what extent were the Regional and Country Programmes designed based on identified needs and priorities of stakeholders?
- Relevance: To what extent is UNODC's programming conducive to supporting Member States achievement of the SDGs?
- Are the RP and the CPs the most relevant UNODC programmatic tools to respond to the challenges in the region, including those identified by the Member States?

To what extent did the RP design follow the requirement, policies and structures that are in place for designing RPs and CPs?

The design and development of UNODC programmes are guided by UNODC's Programme and Operations Manual (POM).²⁷ While the POM does not include specific guidance on the development of RPs and CPs, there is a requirement to use logical frameworks (logframes), objectives, outcomes and performance indicators. In addition, the POM requires that performance indicators are Specific, Measurable, Attainable, Realistic and Time bound (SMART) to measure progress against outcomes and objectives. Prior to the development of the 2018 Results Based Management (RBM) Handbook, standard RBM principles were applicable to the RP and CPs.

The RP and CPs provide an overarching framework for UNODC's work in the region. The practical implementation of activities is then carried out under the SPs. The RP is built upon five SPs but does not have a logical framework of its own. The RP and CPs are based on the UNODC Mid-term Strategy 2012-2015 and Strategic Framework, 2014-2015²⁸ thus the logframes, including outcomes and indicators for the RP and the CPs are closely related.

The CPs broadly align with the RP and include elements which address the contextual challenges and priorities in each of the countries. The RP and the CP SPs are aligned with the UNODC Strategic Framework 2014-2015 and the UNODC Mid-term Strategy 2015²⁹. Although the order of the SPs within the RP and CPs change, their titles remain similar to the formulation of the outcomes and the proposed indicators to measure results, as seen in table 1.

²⁷ UNODC Programme and Operations Manual

²⁸ https://www.unodc.org/documents/commissions/CND/CND_Sessions/CND_55/E-CN7-2012-CRP2_V1251319_E.pdf

²⁹ https://www.unodc.org/documents/commissions/CND/CND_Sessions/CND_54/4_CRPs/E-CN7-2011-CRP4_V1181367_E.pdf

TABLE 1: EXAMPLES OF OUTCOMES' FORMULATION OF THE RP AND THE CP

RP SP OUTCOMES	CP MYANMAR	CP INDONESIA
1-MS more effectively identify and counter drug and pre cursor trafficking	Illicit drug and pre-cursor trafficking and operations identified and acted upon	National authorities more effectively counter trafficking in drugs, precursors and other illicit items
2-MS establish improved border control mechanisms and capabilities through cross border cooperation	Enhanced border control and capacity for cross border cooperation	
3-MS more effectively identify and counter money laundering	Money laundering operations identified and acted upon	Frameworks and capacities to address and identify money laundering and recover stolen assets strengthened
4-MS more effectively prevent, raise awareness of, detect, investigate and prosecute corruption	Myanmar more effectively prevents, raises awareness of, detects, investigates and prosecutes corruption	Frameworks and capacities to counter and prevent corruption affecting, and involving the private sector strengthened
5-MS implement improved prison management standards in line with international standards	Prison management improved in line with international standards	Prison management improved in line with international standards
6-MS increasingly implement evidence-based drug prevention strategies	Access to drug prevention, treatment care and rehabilitation services in line with scientific evidence enhanced	Access to effective drug use preventive measures enhanced Coverage of effectiveness of health services for drug dependence and HIV treatment and care increased

Source: Evaluation team based on programme documents

Despite clear interlinkages, RBM could have been better integrated into the design of the RP and CPs. The 2016 Office of Internal Oversight Services (OIOS) audit³⁰ found that performance measures and indicators for the RP were not SMART and, in many cases quantifiable targets and baselines necessary to measure progress could have been better defined. This evaluation confirmed that finding.

While baseline development was built into the RP's design plan, credible baseline data was not available during the design phase and the plan evolved to develop baseline data during the implementation phase. However, this was not consistently achieved, and there is still a lack of baseline information for many of the outcomes and outputs. In most instances, the baselines that do exist were defined without reference to any quantitative or qualitative data. They are often phrased generally, and do not provide any additional information to define how and/or what an improvement might be. Although the RP's design used the TOCTA from 2013 and references the World Drug Report, Global Report on Trafficking in Persons (TIP) report, trafficking routes etc., no additional baseline studies have been completed and no new data has been added to the SP's logframes since it was designed in 2013. The data available from UNODC's research department and assessments like the TOCTA were useful for ROSEAP to identify threats but were rarely utilized to define baselines.

It was noted by ROSEAP staff that generic outcomes and indicators provide more flexibility for the RP and CPs. They allow ROSEAP and the POs to plan work within generic outcomes without requiring programme revisions due to minor changes. While this may be true, measurement of results remains a challenge when there is no definable goal to work towards.

³⁰ Detailed results on an audit of United Nations on Drugs and Crime operations in Southeast Asia and the Pacific (Assignment No AE 2016/360/01).

A useful tool for programme design is a 'Theory of Change' (ToC)³¹. Neither the RPs or the CPs or associated SPs were developed using a ToC. There are three advantages for developing a ToC: i) it facilitates a common understanding of the programme; ii) it helps prioritise resources and iii) it forms the basis of reporting (by reading a ToC map the "if-then" logic indicates a causal pathway). While the RP is aligned with the UNODC's Strategic Framework, it was difficult to ascertain from the log frames, how the activities were designed to support change. A ToC could have provided a clearer causal pathway, linking the activities and outputs to the achievement of specific objectives in each of the SPs.

UNODC's approval process for large project and programmes includes a specific set of drafting and procedural processes. This includes initial concept approval by the Executive Director/Executive Committee, approval by PRC for policy compliance and by the Financial Resources Management Service (FRMS) for financial implications as well as review and input by additional UNODC sections and units at HQ. The full design and development of a programme is a lengthy process, which can take between six months and one year and includes an extended process of consultations with numerous stakeholders, both internal and external. While programme revisions are less cumbersome, they still require the full approval process through PRC.

To what extent were the Regional and Country Programmes designed based on identified needs and priorities of stakeholders?

The RP's design was driven by three factors: UNODC's mandate; the context and needs of MS within Southeast Asia and donor funding. UNODC is mandated to assist MS in their struggle against illicit drugs, crime and terrorism³². In this regard, UNODC has proven to be a well-recognized, trusted and respected UN organization in the region and is one of the only UN partners mandated to engage with law enforcement on a range of sensitive issues including national security, drug use and prisons.

The three pillars of the UNODC's work programme, which are pertinent to its work in Southeast Asia, are³³:

- Field-based technical cooperation projects to enhance the capacity;
- Research and analytical work to increase knowledge and understanding;
- Normative work to assist States in the ratification and implementation of the relevant international treaties and the development of domestic legislation.

ROSEAP used the development of the RP to identify and harmonize the work of UNODC with the needs and priorities of the region. The development of the RP followed a well-developed plan based on the identified threats facing the region and high-level strategic consultations. ROSEAP created a thorough plan and timeline for the design and development of the RP that included mapping of threats, workshops, briefings and consultations with a variety of stakeholders, including those from the regional cooperative frameworks³⁴. Thematic experts held a series of consultative meetings during 2013³⁵. These meetings were shaped by the 2013 TOCTA³⁶ and involved regional partners and donors³⁷. Meetings sought to adapt the design and define priorities of UNODC programming in the region. MS and key regional bodies (Mekong MoU, and ASEAN) were

³¹ Theory of Change Online, 2014.

³² <https://www.unodc.org/unodc/en/about-unodc/index.html>

³³ <https://www.unodc.org/unodc/en/about-unodc/index.html>

³⁵ ROSEAP Guidance notes to staff such as the Explanatory Note: Unit Cost Sheet for Use in Estimating Indicative Budgets for UNODC's Regional Programme for Southeast Asia 2014-2017.

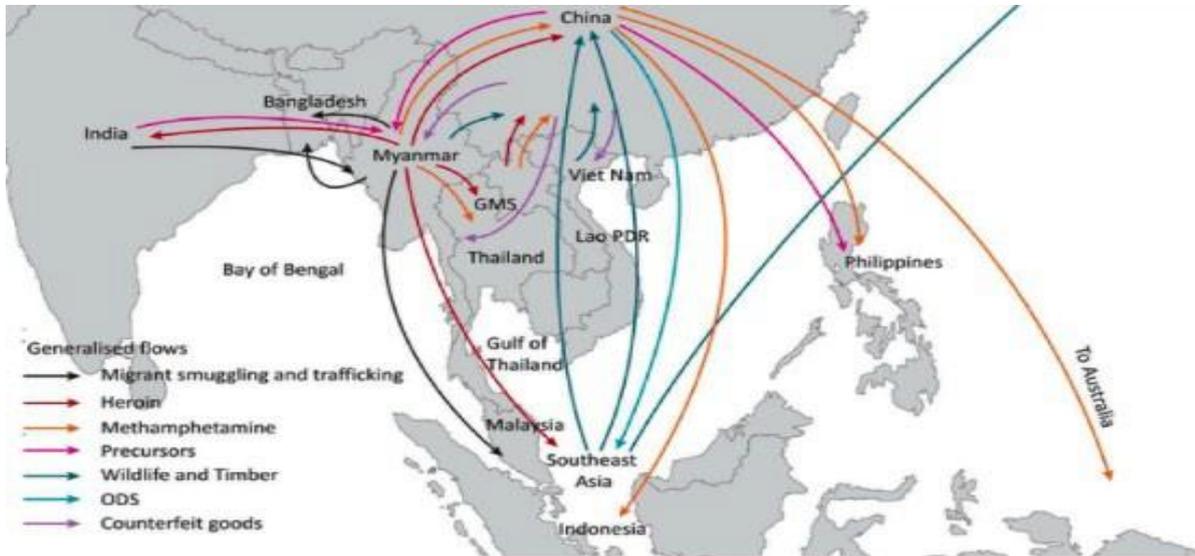
³⁶Source:https://www.unodc.org/res/cld/bibliography/transnational-organized-crime-in-east-asia-and-the-pacific-a-threat-assessment_html/TOCTA_EAP_web.pdf

³⁷ Review of meeting attendees and invitations.

consulted to align the RP with stated regional priorities. Direct beneficiaries did not contribute to the design of the RP, but consultations were held with the high-ranking government officials during the process.

Southeast Asia faces many threats such as transnational organized crime, corruption, terrorism, wildlife, human trafficking, smuggling of migrants and drug use.

MAP 2: TRANSNATIONAL ORGANIZED CRIME ROUTES IN SOUTHEAST ASIA



Source: UNODC TOCTA 2013

Although the RP did not consider the specifics of each country, individual MS and UN entities were involved in both its development and approval. These consultations helped align the RP to regional priorities, as well as encourage ownership and greater coordination amongst MS, international agencies and donors. Individual MS involvement in the CPs was more extensive. Specific MS' input on national priorities and needs was sought in the development of the CPs within the region, along with the GPs (14 GPs implement activities within the region). Their key objectives were to strengthen MS' and the regional actors' responsiveness, efficiency and effectiveness in addressing the challenges of drugs, crime and terrorism at the national and regional levels. In terms of the specific MS' priorities, the CPs were also intended to be aligned with MS' UNDAFs³⁸ or other national development strategies, to ensure the proper integration of activities within the countries' in line with other UN agencies.

The consultation process incorporated into the design of both the RP and CPs ensured relevance and ownership. Stakeholders reported that the substance of the CPs were aligned with the services and technical expertise of UNODC and were highly relevant to the MS. They noted that CPs were perceived as strategic frameworks and were useful to obtain MS' 'buy in'. In some cases, such as in Myanmar and Indonesia, they were essential formal strategic documents, which were required before the implementation of any activities. Following various briefings and presentations the RP was formally approved by the regional stakeholders and the CPs were formally signed by the MS government. The final RP was presented and approved by MS but unlike the CPs it was not signed by MS³⁹.

The RP was based on lessons learned and best practices from UNODC's previous interventions, including the previous RP (2009-2013). Furthermore, the RP is aligned with the UNODC Mid-Term Strategy 2012-2015⁴⁰, which was adopted by the UN Economic and Social Council in its resolution E/RES/2012/12 and provides the overall direction of UNODC work at a global level. Along with three crosscutting issues (Gender and Human

³⁸ With the exception of Myanmar, when the UNDAF was not yet signed at the time of the CP's inception

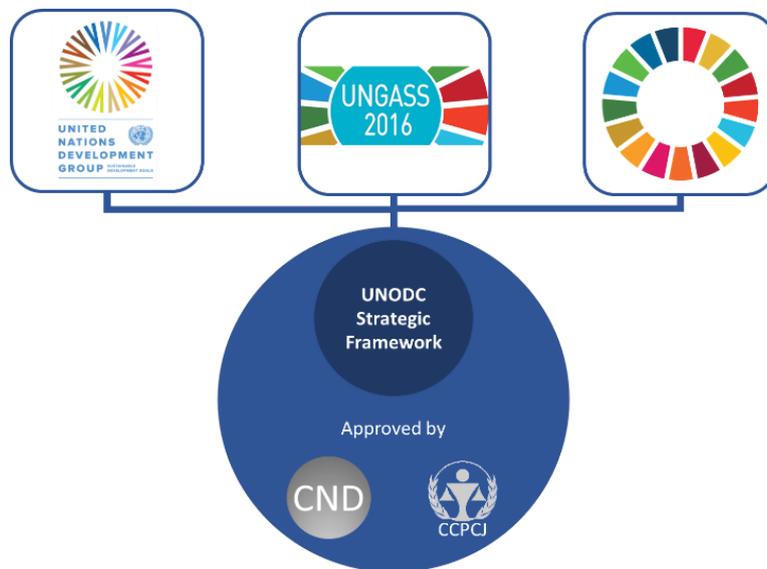
³⁹ In interview with UNODC staff.

Rights and Leave No-one behind), the Mid-Term Strategy covered the five thematic areas of UNODC’s work as reflected in the five sub-programmes of the RP⁴¹.

To what extent is UNODC’s programming conducive to supporting Member States achieve some of the SDGs?

As seen in graph 1, UNODC’s strategic framework and thematic focus arises from the CND, the CCPCJ, the UN General Assembly Special Sessions on Drugs (UNGASS) and the UN Development Group (UNDG). Furthermore, UNODC supports the UN’s 2030 Agenda⁴² by which it has pledged to support MS achieve the SDGs. The SDGs specifically recognize the importance of addressing the issues of ensuring a more prosperous, equitable and sustainable future for all, as well as the need to involve many different stakeholders across all sectors. SDG progress reports, specifically on SDG 16⁴³ have identified that the SDGs are interconnected, as in their success.

GRAPH 1: UNODC MANDATES



Source: ROSEAP

Stronger institutions provide greater security, increasing economic viability, which increases access to health care, and justice, that in the longer-term reduces inequality⁴⁴.

However, when discussing the contribution of the RP and CPs to the SDGs, it is important to highlight that the RP was designed in 2013, prior to the formal adoption of the SDGs in 2015. As such, the logical framework for the RP does not include SDG indicators or allocate them to specific outcomes. At the corporate level, UNODC has conducted a mapping exercise⁴⁵ and developed tools and publications to identify the SDGs that UNODC theoretically supports. In 2018, UNODC HQ identified the different tools and activities developed by UNODC to support MS in achieving the SDGs⁴⁶. As seen in diagram 8 ‘RP SEA 2014-2020 & the SDGs’, the RP’s activities relate to SDG 3, 5, 9, 10, 11, 16 and 17⁴⁷. SDG 16 is the most relevant to UNODC’s mandate, but the others are complementary.

BOX 3: SDG 3

Example SDG 3 – Good Health and Well-being

SDG Target 3.5 - Strengthen the prevention and treatment of substance abuse, including narcotic drug abuse and harmful use of alcohol. SP5 of the RP makes a direct contribution via Outcomes 5.1, 5.2 and indirectly via Outcome 5.4, according to programme documents, and annual reports. SDG Target 3.3 - By 2030, end the epidemics of AIDS, tuberculosis, malaria and neglected tropical diseases and combat hepatitis, water-borne diseases and other communicable diseases. SP5 makes a direct contribution via Outcome 5.3.

Source: ROSEAP

⁴² <https://www.unodc.org/unodc/en/sustainable-development-goals/index.html> ⁴³ <http://visionofhumanity.org/app/uploads/2017/09/SDG16-Progress-Report-2017.pdf> ⁴⁴

Idem and interviews

⁴⁵ https://www.unodc.org/documents/SDGs/UNODC_tools_and_publications_relevant_to_the_Sustainable_Development_Goals_-_December_2018.pdf

⁴⁶ https://www.unodc.org/documents/SDGs/UNODC_tools_and_publications_relevant_to_the_Sustainable_Development_Goals_-_December_2018.pdf

The SDGs are inter-connected, and their achievements rely on multiple agencies, MS and other players working towards achieving these goals through a holistic lens and avoiding silos. One of the critiques identified during the evaluation was that monitoring processes to understand UNODC’s efforts and results related to progress towards helping MS achieve these SDGs was insufficient. The specific contribution of UNODC’s work supporting MS to achieve the SDGs was unclear.

GRAPH 2: RP SEA 2014-2020 & THE SDGS



Source: ROSEAP

ROSEAP use an online web-based project planning and monitoring tool called Smartsheets, to collect activity data and monitor outputs. This data is then used for progress reporting and additional reporting to donors. In 2018, as a result of limited SDG tracking, ROSEAP began using Smartsheets to map activity that contributed to SDGs. Smartsheets require outcome owners to indicate how each activity links to an SDG. However, not every outcome owner has conducted this exercise. Furthermore, ROSEAP semi-annual and annual reporting describe how the outcomes are meant to contribute directly or indirectly to certain SDGs (as seen in box 3 with the example SDG 3). However, no meta-analysis has been carried out and the detailed mapping is inconsistent across the RP, resulting in a lack of clarity on the linkage between the RP’s activities and outcomes to SDGs and their achievement in each MS.

Finally, the SDG indicators are generic, which allows for general connections, but it is more difficult to measure and assess specific contributions. Further analysis of how RP activities contribute to achievement of SDGs in each MS is required. This work will require a close working relationship with the MS that are reporting against the SDGs, and a detailed exchange of information, potentially through collaboration on the Voluntary National Reviews (VNR), the mechanism by which the MS report on SDG progress. Through the Research and Trends Analysis Branch, UNODC HQ collects annual data on the SDGs, but such data collection was not observed in the field. While cooperation between MS, UNODC ROSEAP and the PO was observed during the evaluation, the objective of this cooperation did not focus on collecting and exchanging regular data on the SDGs. As a result, while the mandate and the activities clearly support MS progress towards achieving the SDGs, further monitoring and data analysis is required to effectively conclude the specific linkages between UNODC’s programming and the achievement of the SDGs within the region.

⁴⁷ From ROSEAP monitoring platform on Smartsheets.

Are the RP and the CPs the most relevant UNODC programmatic tools to respond to the challenges in the region, including those identified by the Member States?

The evaluation found that UNODC is effectively responding to most of the threats currently faced by the region, with all beneficiaries noting their appreciation of the quality of UNODC interventions, underlining that they were considered well-organized and highly engaging. UNODC's activities respond to threats expressed by MS, including those identified in various regional initiatives and platforms⁴⁸, and those identified within the TOCTA⁴⁹. Trends from other UNODC reports such as the Global Report on Trafficking in Persons⁵⁰, the Southeast Asia Opium Survey⁵¹, and other data sets on trafficking routes are also addressed by the work of UNODC in the region and included in the RP.

While the PO focus on enhancing national capacity, the RP provides a framework to support the other pillars of UNODC's work within the region. Where there is insufficient expertise in the field, ROSEAP requests support from Vienna, often through the GPs. Several the GPs⁵² have staff based in ROSEAP and the work of these programmes supports ROSEAP's core work. In addition, some of the work conducted by the RP is focused at the country level. This can take the form of regional support or national level training (e.g. in Myanmar on SP1). ROSEAP in turn supports the programme offices with expertise. The flexibility offered by this model ensures that MS receive the best and most relevant assistance from UNODC regardless of where funds are raised. In many ways the RP should be considered as a single document that lists the sum of UNODC's work within the region, regardless of where funds or expertise originate.

In addition to meeting the demands of the regional bodies and MS, regional donor priorities were mapped⁵³ by ROSEAP to ensure that fundraising was evidence-based, addressed the threats in the region and responded to MS' priorities. Diagram 7 identifies overall threats in the region as classified by various research and organizations and indicate those that have been addressed by the TOCTA and those that are included in the RP. While UNODC has a mandate to address many of the identified threats some remain outside of UNODC's mandate.

⁴⁸ The Great Mekong MoU, ASEAN, and the Bali Process.

⁴⁹ TOCTA April 2013 https://www.unodc.org/documents/southeastasiaandpacific//Publications/2013/TOCTA_EAP_web.pdf

⁵⁰ https://www.unodc.org/res/cld/bibliography/global-report-on-trafficking-in-persons.html/GLOTIP_2014_full_report.pdf

⁵¹ https://www.unodc.org/documents/crop-monitoring/sea/SEA_Opium_Survey_2013_web.pdf

⁵² For example: Environmental Crime, Container Control, Maritime Crime Prevention and Global SMART

⁵³ Internal document 'Addressing Priority Crime, Drug and Security Challenges in Southeast Asia: Coordination of Development Agendas' October 2016, UNODC ROSEAP.

DIAGRAM 7: REGIONAL PROGRAMME'S ALIGNMENT TO REGIONAL THREATS

Threat	TOCTA	Regional Programme
Infectious Disease	●	●
Natural Disasters	✗	✗
Transnational Organized Crime	●	●
Piracy	✗	▲
Terrorism	✗	●
Poverty and Refugee Flow	●	●
Economic crisis	✗	✗
Environmental Degradation	●	●

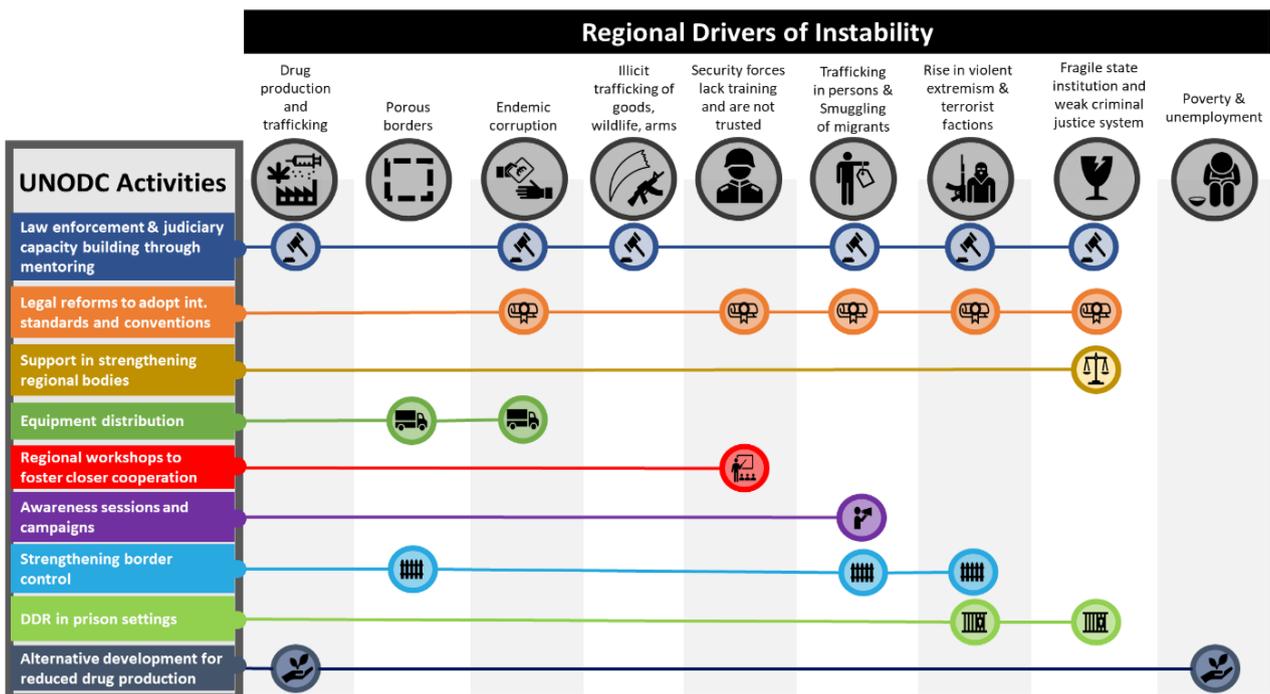
Legend

- ▲ Not identified, but obtains assistance from Global Maritime Crime Programme
- Identified/Addressed
- ✗ Not Identified

Source: Evaluation team based on programme documents and external research

While addressing the identified threats and priorities in the region, activities proposed by UNODC in the RP also address the drivers of instability in Southeast Asia and fit within UNODC’s mandate.

DIAGRAM 8: REGIONAL DRIVERS OF INSTABILITY



Source: Evaluation team based on programme documents and TOCTA and other sources - refer to documents in Annex III

Although corruption and weak state institutions were not identified by the TOCTA, they are endemic in some countries in the region and fall under UNODC’s mandate as guardian of the UNCAC and an expert agency in criminal justice. Diagram 8 links the RP activities to the specific drivers of instability, including corruption and fragile state institutions.

While the majority of stakeholders agreed on the strategic value of having a document that states the ‘ends’ of what UNODC hopes to achieve (globally, regionally and nationally) and a simple tool to raise funds against, the current design of the RP and the CPs hampers the ability to track the progress of outputs and outcomes, specifically where the baseline data is unavailable. The RP and CPs do include work plans which depict the planned activities, the overall budgets and staffing tables that are required in order to achieve the set objective. These documents are revised every year and funding is heavily dependent on donors’ pledges.

Proposed activities at the SP level are based on the annual requirements of the MS. Detailed coordination occurs on an annual basis through a variety of means, mainly via in country UNODC staff, annual outcome, RP review meetings and bilateral talks⁵⁴. MS’ requirements are matched to resources and a work plan of activities is then delivered by UNODC; to include technical assistance, capacity building and normative work. The evaluation found that stakeholders were content with this process and annual work plans were felt to be more flexible than a long-term work plan. Annual planning within the framework of the RP and CP provided sufficient flexibility to adapt to changing needs and the context. In addition, interlocutors stressed the importance of aligning interventions with the specific needs and competencies of beneficiaries, given that there are strongly divergent levels of development and risk within the region. In addition, many of the SP outcomes are funded on an annual basis, by the way of hard-earmarked funds, which are dedicated for a specific time period and create difficulty in planning activities over the long-term. Other beneficiaries⁵⁵ reported that they were more than content with the RP structure, stating that its aspirational objectives and outcomes were easy to understand, and that it could cover an even longer period (5-10 years) without the need to be revised. The latest extension of the RP until December 2021 was carried out without changing the design, which substantiates this finding. In addition, many beneficiaries did not see the need to make significant change to the current RP; it was viewed as a ‘road map’ or strategic framework that provided a structure for programmatic work within the sub-programmes.

SUMMARY

Overall, the RP for Southeast Asia (2014-2020) and the CPs for Myanmar and Indonesia were developed in a consultative manner and addressed the national and regional priorities and threats. Similarly, ROSEAP and the POs thematic focuses were found to be highly relevant to the donors and MS as they sought to address drivers of instability and endemic roots of transnational organized crime and illicit trafficking. While UNODC’s mandate aligns with the SDGs, further monitoring and data analysis is required to effectively conclude the linkages between programming and the MS achievement of the SDGs in SEA. The limited ability to measure contribution and results is applicable to the larger RP and CPs as targets and baselines are not consistently available.

Finally, ROSEAP and POs consulted with MS and donors prior to the formulation and approval of the RP and the CPs and their governance structure helps ensure ownership. What remains to be observed is the shared responsibility in achieving the outcomes.

⁵⁴ From interviews with UNODC staff and recipients of assistance.

⁵⁵ In interview with beneficiaries.

SECTION II: WHAT WAS UNODC'S RESPONSE TO ISSUES OF DRUGS AND CRIME IN SOUTHEAST ASIA?

EVALUATION QUESTIONS:

- Relevance: How does the current UNODC programming architecture and tools align with the UN reforms?
- Human Rights and Gender: To what extent have human rights and gender principles been integrated into the design and implementation of the RP and the CPs?
- Sustainability: Have ROSEAP, POMYA, POIDN fostered Member States' and other relevant stakeholders' ownership of the RP's and CP's objectives?

How does the current UNODC programming architecture and tools align with the UN reforms?

The UN Secretary General stated *"that we the peoples of the world face an ever-growing number of complex and inter-connected issues, such as violent conflicts, terrorism and extremism, drug trafficking, organized crime and irregular migration. Therefore, there is a need to act regionally, multi nationally and in accordance with international law."*⁵⁶

The UN reforms and the SDGs will require UN entities, including UNODC to have a renewed focus at the national and regional level and to work collaboratively. While UNODC is a signatory on multiple UNDAFs within the region, as seen in table 2, it is distant from many of the UN Country Teams⁵⁷ (UNCT) and there is limited evidence of UNODC's interventions within the actual UNDAFs. According to the findings, PO managers attend UNCT meetings and are members of thematic working groups (refer to country focuses on Myanmar and Indonesia in Annex V and VI respectively). However, it was reported by UNODC staff that consistent and active participation in UNCT activities and working groups is at times difficult due to the limited number of (P3 or P4) international staff in-country and the fact that these staff have full time project commitments and do not hold full time managerial posts. This is especially the case in countries without a PO. In these cases, ROSEAP lends support when possible but this is limited due to the staff location in Bangkok. Despite this involvement, UNODC's mandate was found to be insufficiently understood by different governmental and CSO stakeholders and too often associated with drug control only. Considering the new UN reforms, UNODC must refine its value proposition and strengthen its positioning and devote additional effort to establish relationships with the UNCTs and Resident Coordinators.

⁵⁶ UN Secretary General's address to the General Assembly, September 2017.

⁵⁷ In conversation with multiple UN CTs.

TABLE 2: UNODC UNDAF CONTRIBUTIONS IN SOUTHEAST ASIA

COUNTRY	Indonesia ⁵⁸	Myanmar ⁵⁹	Thailand ⁶⁰	Lao PDR ⁶¹	Viet Nam ⁶²	Cambodia ⁶³	Malaysia	Philippines ⁶⁴
UNDAF	Yes	Not yet signed by MS	Yes	Yes	Yes	Yes	No UNDAF	Yes
Signed by UNODC	Yes	Yes	Yes	Yes	Yes	Yes		Yes
UNDAF outcome linkage to UNODC	Outcome 4	Area 4	Outcome 1 - corruption	Pillar 3 outcome 8	Area 4	Outcome 3		Not clear
UNODC implementation or budget included in UNDAF	Not clear	Not clear	Not clear	7.5 Million USD	Not clear	Not clear		Not clear

Source: Evaluation team based on desk review

At the regional level, ROSEAP works closely with the major regional body in Southeast Asia, the Association of Southeast Asian Nations (ASEAN). This partnership is mainly at the policy level,⁶⁵ where there is a natural correlation between the work of the ASEAN Ministerial Meeting on Transnational Crimes (AMMTC) and the ASEAN Ministerial Meeting on Drug Matters (AMMDM) committee. ASEAN’s Political-Security Community Blueprint for 2025⁶⁶ is the vehicle whereby ASEAN elevates political and security cooperation to a higher level. There are many overlaps between the 2025 Blueprint, the SDGs and the UNODC RP. In addition to working with ASEAN, the 2016 UNODC mapping exercise⁶⁷ clearly shows how the RP relates to other regional and sub-regional bodies. There are four main areas⁶⁸, which intersect with UNODC’s mandate, the largest of which relate to TOC and Illicit Trafficking. The most important of these are the memorandum of understanding on Drug Control in the Greater Mekong Sub-region signed by UNODC, Cambodia, China, Laos PDR, Myanmar, Viet Nam, and Thailand and the Bali Process on Migrant Smuggling and Human Trafficking of which UNODC became a signatory in 2013.

The evaluation team heard from multiple stakeholders that in addition to working within the framework of the various regional bodies and agreements, the value of UNODC’s work in advancing sustainable regional solutions and agreements is significant. UNODC has the capacity to develop research and statistics, which are

⁵⁸ https://www.unfpa.org/sites/default/files/portal-document/Indonesia_UNPDF%202011-2015.pdf

⁵⁹ https://www.unfpa.org/sites/default/files/portal-document/Myanmar_UNDAF.pdf

⁶⁰ https://www.unfpa.org/sites/default/files/portal-document/Thailand_UNDAF%202012-2016.pdf

⁶¹ http://www.la.one.un.org/images/publications/LaoPDR_UNPF-FINAL-22082016_web.pdf

⁶² https://www.unfpa.org/sites/default/files/portal-document/Viet%20Nam_UNDAF%202012-2016.pdf.pdf

⁶³ https://www.unfpa.org/sites/default/files/portal-document/Cambodia_UNDAF%202011-2015.pdf

⁶⁴ https://www.unfpa.org/sites/default/files/portal-document/Philippines_UNDAF%202012-2018.pdf.pdf

⁶⁵ In interview with partners.

⁶⁶ ASEAN 2015 Forging Together - <https://www.asean.org/wp-content/uploads/2012/05/ASEAN-APSC-Blueprint-2025.pdf>

⁶⁷ UNODC and Non-ASEAN Regional Coordination Mechanisms: Addressing Priority Crime and Security Challenges in Southeast Asia Aug 2016.

⁶⁸ Transnational Organized Crime and Illicit Trafficking Bodies, Corruption and Anti-Money Laundering Bodies, Drugs, Health and HIV//AIDs bodies, youth and women bodies. Refer to annex II for table with relevant bodies

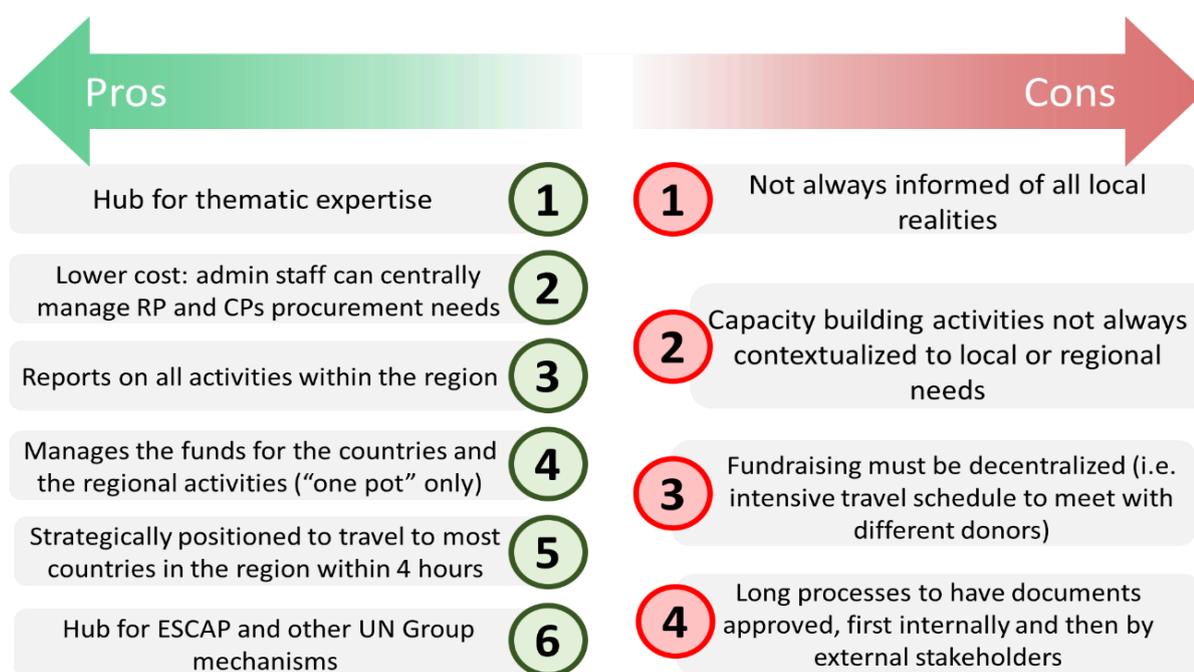
often used to identify trends and derive solutions to regional issues. One example was UNODC’s Southeast Asia Opium survey which had been used to address east-west trafficking corridors within the region.

UNODC’s reputation has also proven paramount in driving forward regional cooperation. UNODC has a specific MOU with ASEAN to address drug control and crime prevention cooperation with the MS. In addition, UNODC was previously an observer of the Bali Process and is now a member. UNODC’s reputation in the region has allowed it to move beyond programming, to support the region, to contribute to the advancement of regional objectives, as a partner.

Despite UNODC’s positive reputation and work, alignment with the UN reforms is at risk. Multiple stakeholders identified the limited resources and presence of UNODC within the region as problematic. A stronger presence at both the regional and national levels was required to work at the appropriate political levels to address issues of drugs, crime and terrorism. Several stakeholders, reported addressing this issue with UNODC HQ, including with the Office of the Executive Director (OED).

There are both benefits and disadvantages to the design and structure of RP, the CPs and the GPs. ROSEAP oversees 21 projects/ programmes in the region and several GPs have staff based in Bangkok. According to the desk review and interviews, their work supports core RP’s objectives and their activities are recorded on ROSEAP’s Smartsheets. However, the work of the GPs has not been incorporated into the design and reporting at the country or regional level. The distinction between RP, CP and GP was irrelevant to stakeholders, if the content met their needs. These programmatic tools were viewed as an internal UNODC process and made no difference to technical assistance. The evaluation team conducted a comparative analysis of the RP, CPs and GPs in to understand their respective strengths and weaknesses.

DIAGRAM 9: PROS AND CONS OF CURENT UNODC PROGRAMME STRUCTURE



Source: Evaluation team based on programme documents

Diagram 9 highlights the benefits and disadvantages of the current structure and design of the CPs to help establish a sustainable presence as they engage more closely with the MS. In support of the UN reforms, the CP is closer to implementation, which assists with coordination, mitigation in case of delays, and adaptation to changes and local trends. CPs help UNODC to be more visible amongst other UN agencies and offer potential joint programming. On the other hand, CPs are often short of technical experts, as experts are generally placed in the regional hubs or at HQ. A CP requires in country support to implement and it is costly to keep a physical office running, it requires the country manager to focus on fundraising rather than on implementation and

engagement with local partners and other UN agencies. As a result, it is expensive to maintain a network of Programme Offices (as seen with Indonesia, Viet Nam, Lao PDR and Cambodia) and it is difficult to fund international posts and local technical staff. In addition, only a few donors have local presence in every targeted country, which requires the Regional Representative and the PO Manager to raise funds internationally. However, interviews and the desk review emphasized that not having a local presence was detrimental to building networks, engaging with the relevant authorities, coordinating with other agencies, and managing time-sensitive challenges. In addition, it must be mentioned that a consultative and collaborative strategic document is required to work in some MS. While a CP that requires UNODC's approval through the PRC may not be necessary, the specifics would need to be negotiated with each MS.

GPs have strong thematic expertise at UNODC HQ in Vienna which can supplement programming at the regional and national level and influence strategic decisions. Thus, incorporating the GP's work into the RP and the CPs has benefits. As GPs are less focused on daily management challenges and stakeholder engagement, they can focus on the development of normative tools that support the technical assistance that UNODC offers to MS. On the other hand, while some GP experts are based in the region, most are located at HQ which represents substantial costs whenever they deploy to the field. In addition, while the GPs may have specific outcomes and objectives for the region or a country, this is not always communicated to ROSEAP or the POs. GP activities are often summarized by stakeholders as 'one-off workshops', and normative tool development. These short workshops are viewed as insufficient to build local stakeholders' capabilities or awareness in key thematic areas. In addition, multiple local government stakeholders reported that GPs implemented from UNODC HQ did not follow the appropriate protocol or coordinate sufficiently with UNODC POs prior to implementing their activities in a target country.

The implementation of several programmes within the same region requires significant coordination and puts pressure on those responsible for administrative functions such as procurement, finances, and clearances. These latter processes are carried out by UNODC management (PRC), and for payments' authorization via UNODC HQ (FRMS). According to the desk review and interviews, the RP, the CP or the GPs are organized within the same logframe, and SP thematic areas. While these templates enable programme teams to be consistent throughout UNODC work globally, their current design could be more flexible to adjust to the needs of MS. In addition, while adhering to UNODC standards and approved through PRC, indicators are often largely ill-defined (if at all), baselines, and targets which help measure the collective results of UNODC's work are often missing. Although the strategic value of the RP and the CP was confirmed during the evaluation, their programmatic purpose was not.

BOX 4: THE SURGE CAPACITY

A different approach - The Surge Capacity

- The Surge Capacity developed by UNODC Department of Operations at HQ is a pilot that uses a pool of experts deployed in strategic countries for a period of 3 months to foster partnerships with the government authorities or to fulfil the role of a thematic expert where needed. One expert was to be deployed in Indonesia (summer 2019) to support the programme office's work. This staff member will work on PVE matters in general in Indonesia and to help the UN Resident Coordinator in her objective to have a coordinated UN approach to PVE in the country.

Source: ROSEAP

UNODC is a small agency and does not have the financial capability to staff offices in every country. As a result, there is a requirement for a new operating model, innovative ways to be present in key countries without a fully staffed PO. Thus, strategic positioning such as the POs in Myanmar, Indonesia, Thailand and the Philippines are viewed as essential, according to interviews, to help MS address the threats in these countries as well as in the region. This need was mentioned repeatedly during the evaluation process. UNODC HQ, and field office respondents stated that they are keen to operate differently and are actively looking at new ways of 'conducting business' in light of the UN reforms. There is a desire to be more responsive, more effective and more flexible, with ideas such as the Surge Capacity (box 4) which was being piloted during the evaluation by UNODC HQ in different countries, as one of the means by which UNODC could become more field focused and agile in deploying international experts.

To what extent have human rights and gender principles been integrated into the design and implementation of the RP and the CPs?

Human Rights⁶⁹ and Gender Mainstreaming principles were frequently mentioned in the SPs on terrorism prevention and criminal justice, despite the fact that a dedicated section on both these issues was missing from the RP and the CP programme documents. Both the RP and CP Indonesia note that beneficiaries will be supported in accordance with human rights principles and rule of law-based standards. Similar to the situation with the SDGs, the 'Leave No One Behind' principles and guidelines were introduced after the RP and CPs were endorsed, thus, a reference to it was missing from all the programme documents. The evaluation found that the design of the RP and the CPs did not refer to key principles of human rights and international conventions⁷⁰. According to stakeholders' responses, UNODC's mandate is based on a human rights-based approach and therefore there was no need to develop this further. However, the evaluation could not confirm this. The human rights-based approach is common to all UN agencies and implies that their programmes are respectful of the principles of human rights as stated in the International Declaration of Human Rights. It also implies that certain human-rights-focused analyses is conducted prior any design phase of a project/programme in order to understand the human rights in the targeted countries, the grievances of rights' holders and the legal framework gaps in which the intervention will take place⁷¹.

According to the desk review and interviews, ROSEAP, and the POs did not conduct any separate gender or human rights analysis prior to the design of the RP or CPs. A gender analysis would be required to understand how UNODC's programming approach might affect women, men, boys and girls differently or how certain gender and human rights principles should be integrated to ensure gender sensitiveness, understand certain female-male power dynamics and the context of the targeted countries.

According to the desk review, UNODC does collect sex disaggregated data, for example data on female and male users in the World Drug Report⁷² and human rights related data in the bi-annual Trafficking in Persons report⁷³. These reports formed part of the context analysis conducted by ROSEAP and the PO before designing the RP and the CPs. According to stakeholders, these reports were used to understand specific themes. However, this approach was not systematically done for all SPs or each outcome. In addition, logframes do not have gender, human rights or 'leave no one behind' sensitive indicators, which makes it difficult to report against such issues. The evaluation team concluded that while gender and human rights were considered, their integration across the entire programme remains insufficient.

According to interviews and field observations, the issue of human rights was mentioned during workshops and trainings (on corruption⁷⁴, HIV prevention, criminal justice) or while presenting the mandate of UNODC but were rarely detailed within core activities. Human rights are more often integrated within normative work and in the development of new policies and strategic plans, but the respect and the implementation of human rights provisions have yet to be validated and observed by respondents.

While gender wasn't included in the initial design of the RP or CPs. Several good examples of gender in activities were found during the evaluation. Some specific workshops were dedicated to the role of women in

⁶⁹ <https://www.unodc.org/unodc/en/Human-rights/resources.html>

⁷⁰ CEDAW: Convention of the Elimination of all Forms of Discrimination Against Women; or the CRC the Convention of the Rights of the Child for instance.

⁷¹ <http://hrbportal.org/the-human-rights-based-approach-to-development-cooperation-towards-a-common-understanding-among-un-agencies>

⁷² <https://www.unodc.org/wdr2018/prelaunch/Pre-briefingAM-fixed.pdf>

⁷³ https://www.unodc.org/res/cld/bibliography/global-report-on-trafficking-in-persons.html/GLOTIP_2014_full_report.pdf

⁷⁴ <https://www.unodc.org/southeastasiaandpacific/en/what-we-do/anti-corruption/topics/22-addressing-the-interplay-between-gender-and-corruption.html>

combating corruption or in the criminal justice systems response to combating terrorism⁷⁵ or the elimination of gender bias in the criminal justice system⁷⁶. A good example of gender mainstreaming can be found in Box 5 below. The PO for Myanmar now employs both a national and international gender expert to support the work of the office. However, respondents mentioned that applying the many human rights and gender mainstreaming guidelines⁷⁷ were not always so straightforward in practice and further support was needed.

BOX 5: GENDER MAINSTREAMING GOOD PRACTICE IN UNODC



Gender Mainstreaming Good Practice: A joint programme between UNODC and UN Women is aiming to mainstream gender within the standard curriculum for Border Liaison Officers (BLOs) in the region. This is being done through the addition of a new component titled “UNODC Workshop on Improving the Capacity of Law Enforcement Officers to Address the Needs of Women and Girls in Cross-Border Situations”. The component was jointly developed with UN Women and is currently being piloted with target audiences. To date the training has been delivered in Cambodia, Thailand, Myanmar and Lao PDR. Once the pilot testing is complete, the finalized training component will be mainstreamed into the curriculum for BLOs.

Source: ROSEAP

ROSEAP’s and POs’ thematic experts have begun reporting disaggregated data on female and male participants during workshops and other activities. However, no further analysis has yet been done on whether this data has any impact at the outcome level and how it affects policies of the targeted countries with respect to human rights and gender equality.

While efforts have been made to incorporate gender and human rights into the work of UNODC at the regional and national levels, more can be done to mainstream both throughout and be more consistent.

Have ROSEAP, POMYA, POIDN fostered the Member States’ and other relevant stakeholders’ ownership of the RP’s and CPs’ objectives?

According to interviews and field observations, UNODC’s mandate is highly relevant to the MS’ and it conforms to donors’ priorities within the region. This, in combination with the extensive consultations conducted by ROSEAP and the POs, indicate clear efforts to foster ownership. These efforts were confirmed by multiple stakeholders during interviews as well as through a review of Programme Governance Committee (PGC) minutes. UNODC operates under the Paris Declaration Principles for Aid Effectiveness⁷⁸. The principles should be understood within a country’s context, and this can change how UNODC might operate and the level of

⁷⁵ https://www.unodc.org/documents/terrorism/Publications/17-08887_HB_Gender_Criminal_Justice_E_ebook.pdf

⁷⁶ <https://www.unodc.org/dohadecommunication/en/news/2018/12/modern-judicial-challenges-such-as-gender-and-ai-at-the-heart-of-debates-in-seoul.html>

⁷⁷ <https://www.unodc.org/unodc/en/gender/Resources.html>; <https://www.unodc.org/documents/Gender/UNODC-GuidanceNote-GenderMainstreaming.pdf>; https://www.unodc.org/documents/justice-and-prison-reform/UNODC_Human_rights_position_paper_2012.pdf

⁷⁸ <https://www.oecd.org/dac/effectiveness/45827300.pdf>

ownership a government can demonstrate. While UNODC complies with most principles some could be improved. A more detailed analysis of how UNODC complies with these principles is included in Table 3 below.

TABLE 3: UNODC RP SOUTHEAST ASIA 2014-2021 ALIGNMENT WITH PARIS DECLARATION

PARIS DECLARATION PRINCIPLES FOR AID EFFECTIVENESS	UNODC RP SOUTHEAST ASIA 2014-2021
1- Ownership by national governments of their development policies and strategies	Yes, for some countries but not always. UNODC tries to obtain their engagement, and empower them in the process, to share the responsibilities of the success of the CP/RP/GP. Some countries show commitment, and sometimes contribute through their own national funds to activities. UNODC tries to encourage shared responsibilities at the design phase and during the Programme Governance Committees.
2- Alignment of external support with the systems and procedures of country institutions	Designed and implemented in cooperation with key platforms in the region, such as the Great Mekong MoU, and ASEAN
3- Harmonization/ better coordination of donor support	Could be improved. Meetings with donors were carried at relevant points in the RP, such as during revisions. However, donors are not currently members of the annual PGC of the RP. A special session with the donors is organized every year by ROSEAP. Finally, ROSEAP has developed a donor engagement strategy which is regularly reviewed and updated.
4- Managing for development results	Governance structure in place to report to key counterparts. Further cooperation is required amongst UN agencies and internally within UNODC.
5- Mutual Accountability for development results	Insufficiently defined. The level of responsibilities of UNODC is set in the project document and the governance structure, but unsure what happens if one of the parties fails to comply with its responsibilities.

Source: Evaluation team based on programme documents

Extensive consultations with MS, UN entities and regional initiatives helped align the RP and the CPs with MS’ priorities. In addition, the CPs were signed by governmental authorities, which ensured alignment with their priorities. The evaluation team found a high level of responsiveness from governmental stakeholders and a great interest in working with UNODC. However, not all countries within the region are on an equal economic footing and while countries such as Thailand, Malaysia, Indonesia can contribute towards building their capabilities, either through cost-sharing activities or dedicating a budgetary line in their national budgets, other countries are not in the same position and require international support in their efforts to combat drugs, crime and terrorism. The level of ownership was perceived as represented by participation and on- going engagement with UNODC. Furthermore, the RP and CPs have their own PGC that helps keep MS and other relevant stakeholders informed of progress and challenges faced during the implementation phases. Finally, while the concept of shared responsibility was understood by most interviewed stakeholders, it was not yet completely observed for the same reasons explained above.

The international community attempts to identify ways to improve the impact, effectiveness and sustainability of their actions. The Paris Declaration is one amongst other principles, such as the Fragile States Principles

(OECD)⁷⁹ and Conflict Sensitivity programming⁸⁰ with the ‘Do No Harm Approach⁸⁰’. These principles were mentioned as relevant to the context of some Southeast Asian MS during the evaluation process. As a result, the evaluation team looked at how these principles were applied (see country focus on Indonesia and Myanmar in annex I) by the CPs and the RP. These principles are used by other agencies, including UN agencies (e.g. UNDP) but not by UNODC in a systematic manner.

SUMMARY

UNODC’s long-standing reputation and presence makes it well-situated to respond to the increasing national and regional focus of the UN reforms. The evaluation team found clear benefits and disadvantages to the programming structure of RP, CP and GPs. In response to the drug, crime and terrorism challenges in the region, ROSEAP will require additional coordination and collaboration during all phases of programming as well as resources to respond to MS’ needs at the appropriate time and political levels.

In addition, UNODCs’ current programming architecture is heavily based on experts from HQ rather than in the field. This structure will have to be reviewed considering the UN reforms.

While UNODC’s collaborative and consultative manner was found to have a positive effect on sustainability, there is still room for improvement.

Finally, with regards to human rights, gender and the ‘Leave No One Behind’ principles, UNODC applies the human rights-based approach that is yet to be improved through greater data analysis and monitoring. UNODC’s guidelines, conferences, workshops were found to present gender and human rights and several good practices were identified. However, gender mainstreaming will require further incorporation at the planning and design phase.

SECTION III: HOW WERE RESOURCES MOBILIZED AND MANAGED FOR UNODC’S RESPONSE IN SOUTHEAST ASIA?

EVALUATION QUESTIONS:

- Efficiency: To what extent have the RP and the CPs been the most efficient programmatic tools?
- Sustainability: To what extent the RP and the CPs have been designed to ensure sustainability after the end of their programmatic cycles?

⁷⁹ OECD’s 10 fragile state principles that were defined to help policy, development and humanitarian assistance to be designed and implemented in fragile states. <http://www.oecd.org/dac/fragilestates/the10fragilestatesprinciples.htm>

⁸⁰ Conflict sensitivity - refers to the ability of an organization to: Understand the context in which it is operating, particularly intergroup relations; Understand the interactions between its interventions and the context/group relations; and Act upon the understanding of these interactions, in order to avoid negative impacts and maximize positive impacts.

Conflict-sensitive programming - involves close scrutiny of the operational context through regularly updating the conflict analysis, in order to avoid negative impacts and maximize positive impacts on the context. https://www.swisspeace.ch/fileadmin/user_upload/pdf/KOFF/KOFF_Documents/KOFF_Factsheet_Conflictsensitivity.pdf

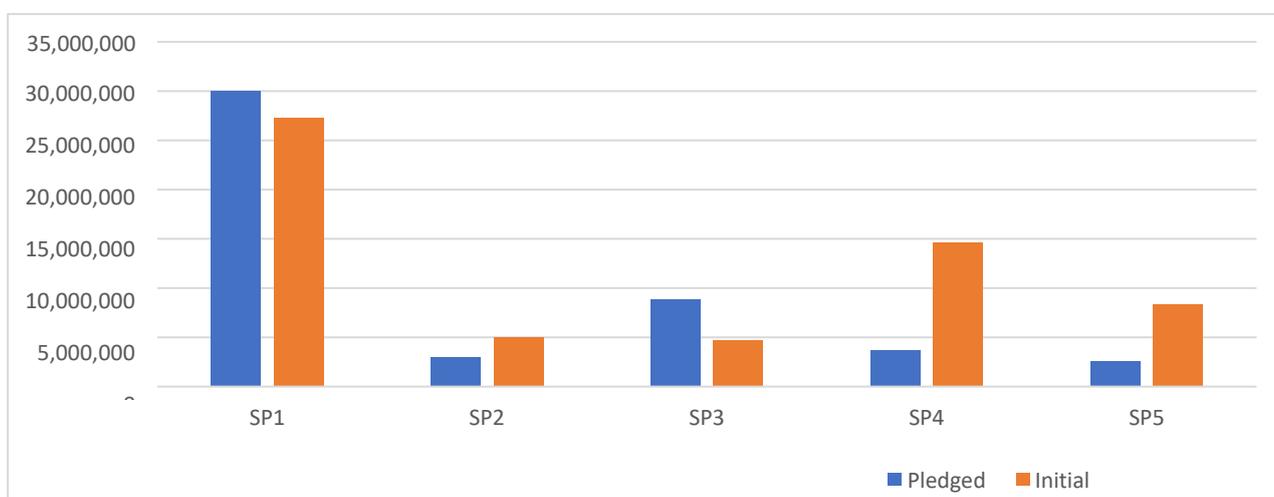
⁸⁰ Do No Harm (DNH) - Originated by CDA Collaborative (<http://cdacollaborative.org/programs/do-noharm/>) the practice of DNH is based on 6 important assumptions 1. Whenever an intervention of any sort enters a context it becomes part of the context.

To what extent have the RPs and the CPs been the most efficient programmatic tools?

The RP has a total overall budget of \$59,880,655 USD and an approved budget of USD \$33,216,921 USD⁸¹. As of May 2019, \$48,040,311.65 USD⁸² had been pledged. Although the RP was extended by 3 years, the budget remained extant. Unless additional pledges are received many activities will remain unfulfilled. According to interviews, budgetary objectives are always more ambitious and are based on forecasts of the potential pledges from donors. The evaluation found that most beneficiaries prefer longer term support from UNODC which can contribute to higher level results. With regards to donors, their priorities are unlikely to alter much over the coming years, with the major focus remaining TOC, terrorism prevention and to a lesser extent, anti-corruption.

Diagram 10 ‘RP: pledged funds vs initial budget⁸³’ indicates that SP1 has been funded to 110% of the initial budget and SP3⁸⁴ to 189% of the initial budget, while SP2 and SP4 were less successful with only 40% and 25% of their initial budgets, respectively. This clearly demonstrates where donor priorities lie.

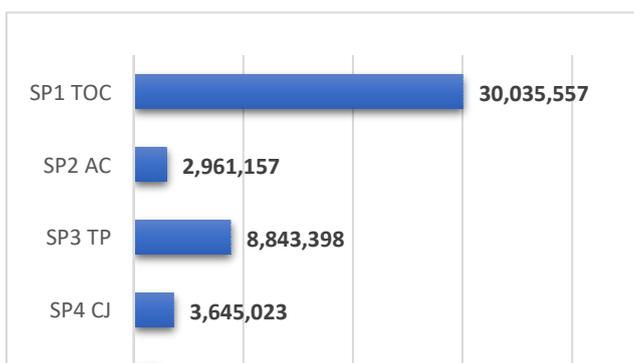
DIAGRAM 10: REGIONAL PROGRAMME PLEDGED FUNDS VS INITIAL BUDGET



Source: evaluation team based on ToR and Smartsheet

Through stakeholder consultations, the evaluation found that donors perceive UNODC as an expert with the mandate to address issues related to TOC and illicit trafficking and drug control. Furthermore, interviews, donor mapping, and diagram 11 ‘RP donors pledges’, confirm that SP1 is and remains the key priority for most donors. TOC by its nature cannot be tackled solely at the national level. It requires national level capabilities to work together in a coordinated manner and with other law enforcement agencies and the judiciary. This cross-border requirement highlights the willingness of many donors to investment in the RP as issues such as illicit drug smuggling can only be tackled through a regional approach. UNODC, as the guardian of the

DIAGRAM 11: RP SP FUND ALLOCATION 2014-2019



Sources for the above charts: Evaluation team based on Smartsheet data and annual reports

81 RP programme document and ToR.

82 ROSEAP 2019 Smartsheets.

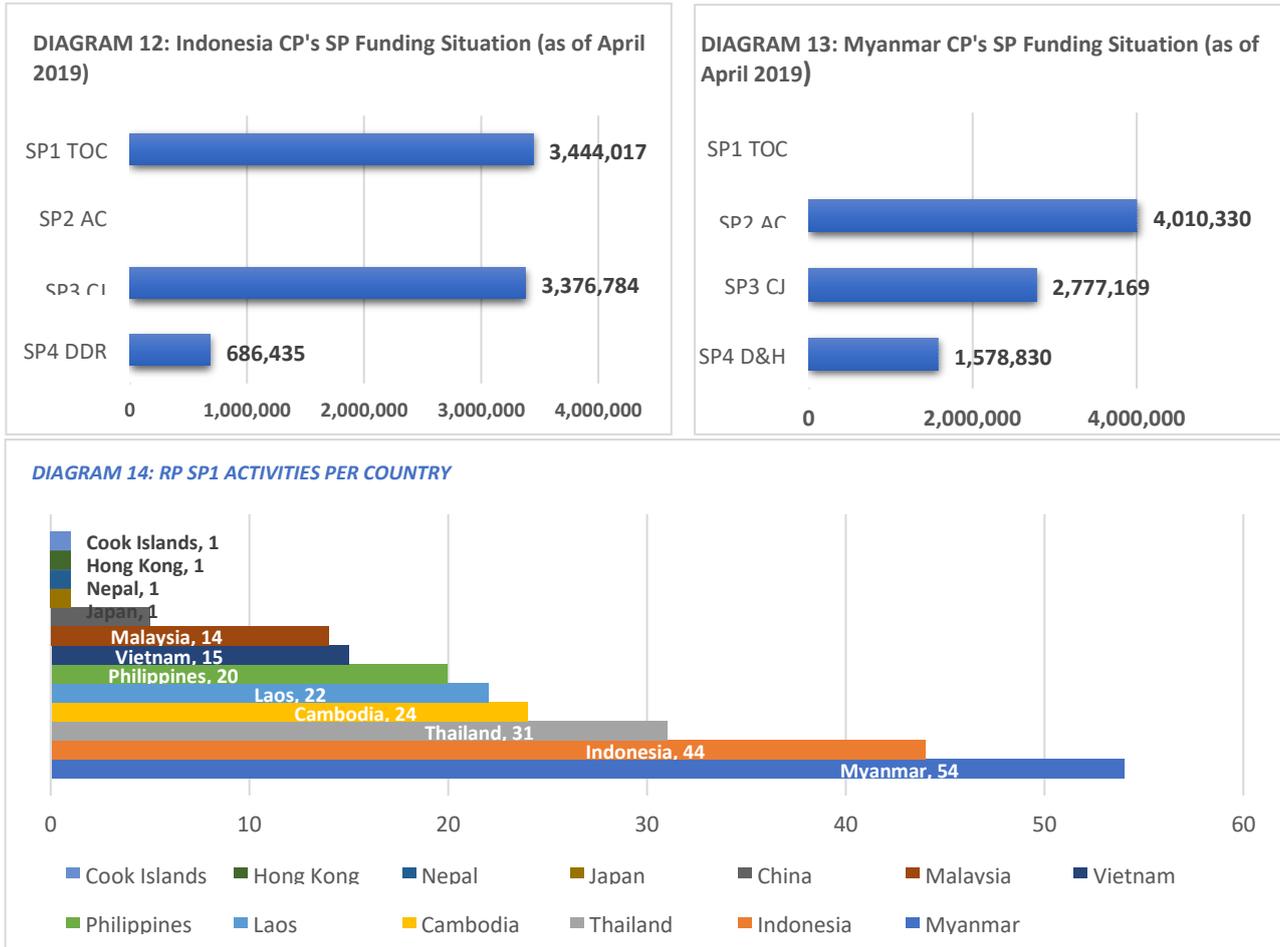
83 Data from Smartsheet May 2019

84 Data from Smartsheet as of May 2019

UN Convention against Transnational Organized Crime (UNTOC), advocates for a transnational approach. With the UN reforms focusing resources at the national level (the space in which most other UN agencies deliver) UNODC has the opportunity to strengthen its positioning as a regional actor, with unique expertise in TOC.

While some SPs within the CPs are unfunded, the RP has proven to be a flexible tool to cover some of these funding gaps as seen in diagram 14 below “the RP SP1 Activities Per Country”. According to the diagram, most SP1 activities were implemented at the country level in Myanmar⁸⁵ (54), followed by Indonesia (44).

DIAGRAMS 12-14: COUNTRY LEVEL FUNDING AND ACTIVITIES



Sources: Evaluation team based on Smartsheet data and annual reports.

Funding sources for UNODC and its impact on fundraising

UNODC field offices receive 98% of their funding from donors while 94%⁸⁶ of HQ UNODC’s funding is from donors and external sources. In 2018-2019, UNODC only received about 6% of its Regular Budget (RB) from the UN Secretariat⁸⁷. UNODC relies extensively on voluntary contributions by the MS to implement its mandate.

⁸⁵ Activities funded through the RP.

⁸⁶https://www.unodc.org/documents/commissions/CND/CND_Sessions/CND_61Reconvened/ECN72018_CRP11_ECN15_2018_CRP8_V1808288.pdf

⁸⁷https://www.unodc.org/documents/commissions/CND/CND_Sessions/CND_61Reconvened/ECN72018_CRP11_ECN15_2018_CRP8_V1808288.pdf

MS contributions have risen by 40% over the last eight years, which is a testimony to MS 'trust in UNODC's professionalism and the quality of their delivery'⁸⁸. With such a small regular budget there is pressure on field offices and UNODC HQ to raise money to deliver programming through the RP, the CPs or the GPs. Using the RP as a 'road map' or 'strategic framework' was found to be a useful tool for the MS and for donors, as it allowed them to discuss the overall vision of UNODC and its response and support to MS to achieve their objectives in the region.

The evaluation found that donors fund concept notes that are drafted by thematic experts at ROSEAP and UNODC HQ while no funds are allocated to the RP per se. However, the RP acts as a trust fund where all donations are concentrated and then distributed according to earmarking requirements. Earmarking is generally country, SP or activity focused. \$1,855,838.65 of the RP's funds are soft-earmarked⁸⁹ (or about 4% of the total). These donations from Sweden and Norway were viewed as very useful, as this funding could be adapted to meet countries' priorities and to cover funding gaps; with SP5 being the prime example⁹⁰.

In an effort to align the priorities of donors with the challenges and priorities in the region, ROSEAP carried out a donor mapping exercise and further developed a fundraising action plan in response to 2016 OIOS audit findings. These actions have, to some extent, been successful in closing the funding gaps, however, significant disparity between the funding of the SPs' still exists.

Earmarked funding creates difficulties in applying a tailored approach⁹¹ to programming as funds must to be allocated to certain countries and/or for a specific activity. According to interviews and desk reviews⁹², soft-earmarked funding is desired by UNODC staff members and appreciated by beneficiaries, as they can then tailor activities without having to seek approval. Within the context of the UN reforms, soft-earmarked funding could help UNODC respond more closely to MS' requests and local realities.

All UNODC programmes are charged Project Support Costs (PSC) of 13%. UNODC also applies Full Cost Recovery (FCR); an additional charge to cover field expenses. While PSC is a fixed rate, FCR can vary both regionally and nationally⁹³. ROSEAP applies a fixed FCR rate to the whole region. According to interviews with stakeholders, UNODC's PSC rate is expensive, compared to other UN agencies and the addition of FCR makes UNODC even more costly.

While fund raising is complicated, an increase in donations by 40% over the last few years indicates that the donor community is willing to fund UNODC and recognizes the value added. However, donors are not attracted by RP and CPs per se. The evaluation found that the determining factor for donors⁹⁴ is generally the relevance of the concept note to one or more of the SPs (if cross-thematic). In the future donors and the UN reforms will expect joint programming with other UN agencies or international bodies. This type of venture should be considered, as it places more resources at the front end, is simpler and might reduce the cost of delivery, as donors funding is consolidated within a single programme⁹⁵. Some joint initiatives such as those funded by the EU (GLO-ACT on Trafficking in Persons⁹⁶,) are starting to emerge within UNODC. Fine-tuning of

⁸⁸https://www.unodc.org/documents/commissions/CND/CND_Sessions/CND_61Reconvened/ECN72018_CRP11_ECN152018_CRP8_V1808288.pdf

⁸⁹ Donors contributions from Norway and Sweden- Pledges- ROSEAP Smartsheet 2019

⁹⁰ According to interviews, annual reports, and ROSEAP Smartsheets 2019.

⁹¹ Based on interviews.

⁹² The recommendations in this report state that flexibility of funding is a very important, therefore "UNODC should ensure the continuing promotion and use of 'soft-earmarked' funds within the integrated programme environment which includes the flexibility to respond to immediate requests" (GLO/U46; 2012). It was pointed out that: "(...) Where a project or programme (such as the CPP) has demonstrated success and delivered to donor satisfaction donors should be encouraged to provide more 'soft ear-marked' funds where appropriate (...)" (CPP; 2013). https://www.unodc.org/documents/evaluation/Meta-Analysis/UNODC_Evaluation_Meta-Analysis_2011-2014.pdf

⁹³ <https://profi.unodc.org/docs/FCR/4-page%20FCR%20Guidance%20Note%20for%20Member%20States.pdf.pdf>

⁹⁴ According to interviews.

⁹⁵ According to interviews.

⁹⁶ <https://www.unodc.org/unodc/en/human-trafficking/glo-act/overview.html>

the financial arrangements is still being ‘tested’, according to interviews, with a recently signed agreement⁹⁷ between UNODC and UN Women (signed in late 2018), to provide technical supports to skills building on anti-trafficking in women and children to governments, ASEAN, and civil society organizations. The modalities of cooperation and costs were agreed at 7% fixed costs for UNODC. Joint programming does not, however, lower indirect costs. For instance, UN-UN agreement always attract a reduced PSC rate of 7% (or less). However, this does not change the PSC rate that the lead agency would apply. If UNODC is the lead agency receiving the funds, it will charge 13% for the entire amount. The UN agencies would get 7% (UNODC would keep the difference). According to interviews, the results of this joint-programming project will enable a review of cost structures and operating models and help to define partnership modalities to align with the UN reforms.

Human resources

UNODC’s internal procedures require that each programme have an agreed staffing table before the budget is approved and recruitment initiated⁹⁸. In the CP for Indonesia, the staffing table foresaw the need to have thematic experts for each SP as well as programme managers⁹⁹. Funding was insufficient to recruit thematic experts and changes were required. However, this initiated a new review and approval process. The key challenges faced by ROSEAP and the POs are: a) raising sufficient funds for international positions to guarantee staff stability and engagement in the programmes and with the relevant stakeholders; b) Umoja requiring about 30%¹⁰⁰ of the staff’s working day; c) the clearance and review process; and d) the insufficient communication amongst CP, RP, and GP based in UNODC HQ.

These challenges pose a threat to the stability of the Regional Offices and POs; without funding to pay for core staff positions, these offices cannot function and/or grow. According to interviews, and desk review POs are dependent on having the appropriate level of staffing and resources to be effective and without them can diminish quickly, which threatens the sustainability of UNODC’s operations and effectiveness in these countries. The RP was not designed with an extended staffing table, which would allow swift recruitment of staff when new funds were pledged. Without an extended staffing table ROSEAP is required to go through the process of a project/programme revision hindering flexibility across the SPs.

ROSEAP is considered a hub for thematic expertise for the POs as well as a clearinghouse for procurement and the centre for reporting. UNODC has one bank account, which centralizes the movements of all funds and it uses Umoja¹⁰¹ as a procurement and financial structure. UNODC’s financial and procurement processes were often described as ‘time-consuming and tedious’. Many beneficiaries complained about UNODC’s processes (and indirectly about Umoja) because of the delays and the inflexibility that the system can impose on the timing and scope of activities. Payments and requests can only be cleared in Umoja by permanent fixed term staff. Almost all UNODC personnel, to include thematic specialists, are Service Contract holders and do not have delegated authority. If people with delegated authority are away or busy then travel, payments, procurement and other managerial functions are delayed. Delays and inflexibility were reported as major grievances by beneficiaries and partners. As means of mitigating delays, ROSEAP has recently assigned delegated authority to the core team in the Bangkok office. This process had not been running long enough for the evaluation to reach a conclusion at to its effect.

⁹⁷ https://sm.3.amazonaws.com/SmartsheetB1/6932041dd6ef424ebe835177fbfd9944?response-content-disposition=inline%3Bfilename%3D%22UNWOMEN-UNODC+agreement+c-signed+24.09.2018.pdf%22%3Bfilename*%3DUTF-8%27%27UNWOMEN-UNODC%2520agreement%2520c-signed%252024.09.2018.pdf&Signature=khf7kDwa1QHJ%2Bs63TFvOxCjk3uU%3D&Expires=1560370991&AWSAccessKeyId=11950YFEZZJFSSKB3G2

⁹⁸ According to UNODC RBM guidelines, logframe templates and interviews.

⁹⁹ Indonesia Country programme document.

¹⁰⁰ According to interviews at HQ and in the field.

¹⁰¹ Umoja was implemented as of 2014 across all UNODC and all UN Secretariat agencies.

ROSEAP and POs reported having regular exchanges on thematic issues and events planning. UNODC HQ, however, was seen as far away and not necessarily in touch with the countries' realities. Donors mentioned the need to see more cross-thematic programming and the UN reforms require more joint-programming to coordinate and operate less in siloes.

The RP and CP's Governance Structure

The RP and CPs hold bi-annual PGC meetings, during which key stakeholders are invited to review the progress and challenges faced by MS in the region. Donors are currently not members of the PGC. This represents a missed opportunity for donors to better understand MS' priorities and align aid accordingly. In addition to the PGC, the CPs for Indonesia and Myanmar have Technical Working Groups (TWG) for each SP, in which donors do participate. TWGs are led by the thematic experts who coordinate the event with stakeholders.

The RP and CPs submit bi-annual reports according to programme cycles and reporting guidelines through the Semi-Annual and Annual Project Progress Reports (APPR). According to interviews, some donors request quarterly reports and informal updates directly from the programme teams. While reporting was generally satisfactory, donors often required more information and informal financial-disbursement, and sometimes a narrative in support of qualitative reporting.

ROSEAP uses the Smartsheets software to report activities taking place throughout the region and for monitoring purposes. While it is a useful tool, data entry and data analysis need to be strengthened, at present it is a repository of data and not a reporting tool. For example, the meta-analysis, how outputs relate to the SP outcomes, the analysis of types of activities per country, and the number of beneficiaries per SP had not been completed. Data entry should be verified to avoid error¹⁰². The evaluation team found errors in the figures on funds allocated that led to miscalculations of the overall amounts each SP spent¹⁰³. Disaggregated data, SDGs, outputs-outcome, and other data points are missing and/or not systematically entered. The current level of data is insufficient to conduct a thorough analysis and understand the connection between activities and supporting MS in achieving the SDGs.

To what extent have the RPs and the CPs been the most efficient programmatic tools?

Sustainability is threatened by many factors, such as: political will, stability, financing, project or programme closure, staff rotation, policy and regime change. The Paris Declaration and the Fragile States Principles (see Part 2) provide guidance on maximizing sustainability following the end of programming through the design and implementation of international agencies' programmes and activities. Table 4 highlights some of the tools often used within international agencies to strengthen the ownership of activities and shared responsibility. The table indicates that many of the activities delivered by the RP and the CPs attempt to be sustainability-focused, however, interviews indicate that ownership and the shared responsibility were not always evident. The evaluation found that sustainability and ownership within a given MS varied due to economic stability, governance and political leadership.

¹⁰² Errors were found by the evaluation team in the entry of funds pledged in smartsheets. The numbers were mistakenly entered which was not allowing the excel programmes to calculate the total amounts raised for instance.

¹⁰³ It was noted by ROSEAP that the use of Smartsheet is not a corporate decision and therefore not all programme or project managers are obliged to report, insert their data into it when the activities take place in the region. For instance, global programmes that have activities in the region do not report into Smartsheet. So Smartsheet only reflects what is being done through the RP and the CPs.

TABLE 4: SUSTAINABILITY MATRIX FOR REGIONAL PROGRAMME AND COUNTRY PROGRAMMES

SUSTAINABILITY TOOL ¹⁰⁴	RP	CPs
Exit Strategy	No	No
Policy development (guidelines and strategies)	Yes	Yes
Enabling environment including legislation and regulatory framework	Yes	Yes
Human resource planning and development	No	No
Curriculum and academic course development	Yes, but not systematic	Yes, but not systematic
Pre- and in-service training and retraining	Only in-service	Only in-service
Training of Trainers	Yes, but not systematic	Yes, but not systematic
Mentoring	Yes, but not widespread and unequal across outcomes and across the SPs systematic	Yes, but not widespread and unequal across outcomes and across the SPs systematic
Secondment of consultants to beneficiaries	Yes	No
Development of Package services (basic, expanded, comprehensive, etc..)	No	No
Diversification of service provision public (voluntary) private community sector involvement	No not sufficiently yes, but not across all SPs	Yes not sufficiently yes, but not across all SPs
Budget provisions of the MS	Yes, but not systematically for each SP	Yes, but not systematically for each SP

Source: Evaluation team based on programme documents

In most countries, RP and CP activities are wholly dependent on donor funding, even when a country self-funds. Policy and behavioural change require long-term engagement which is an issue for UNODC. In Viet Nam when donor funding dried up the presence of the PO faded until all activities were implemented through the RP/GPs despite the clear strategic relevance and priorities of the Programme Office. The sustainability of activities and the achievement of outcomes is connected to presence, which is driven by funding. Some funding gaps at the PO level can be addressed through the RP but this is insufficient to fully fund a PO. The evaluation team didn't find plans for activities that could be funded through other agencies or governmental bodies, should UNODC pull out. Such a process is referred to as a 'catalytic effect' by the UN Peacebuilding Fund. Such a process ensures continuity, the attainment of long-term outcomes and is a viable exit strategy. UNODC does not currently have any exit strategies.

¹⁰⁴ Source: Paris Declaration or the Fragile States Principles.

SUMMARY

Through donor mapping and a follow up fundraising action plan ROSEAP focused on aligning the priorities of donors to the needs of the region. RP SP1 attracted the most funding and is seen as the SP that best responds to donor and MS priorities. However, funding gaps exist with some SPs underfunded. These gaps are addressed by implementing activities at other levels (RP, GP or CP). The programmatic value of the RP and CPs is not evident to the beneficiaries as they are perceived as strategic documents. It was however, noted that CPs allow for more ownership and involvement in UNODC's technical assistance.

A new business model or modus operandi for UNODC is required to match the expectations of the UN reforms, which demands more local presence, while supporting peace and tackling TOC requires regional initiatives. Implementation in line with the reforms will require UNODC to think strategically to maximize its resources, its structure and position itself to best achieve results at the national and regional levels.

Certain governance tools can be improved, and human resources are critical to the sustainability of the offices and the implementation of UNODC's mandate.

SECTION IV: WHAT WERE THE RESULTS OF THE UNODC RESPONSE IN SOUTHEAST ASIA?

EVALUATION QUESTIONS:

- Impact: To what extent have the RP and the CPs achieved its programme objectives?
- Effectiveness: How effective were the RP and the CPs in achieving their planned outcomes?

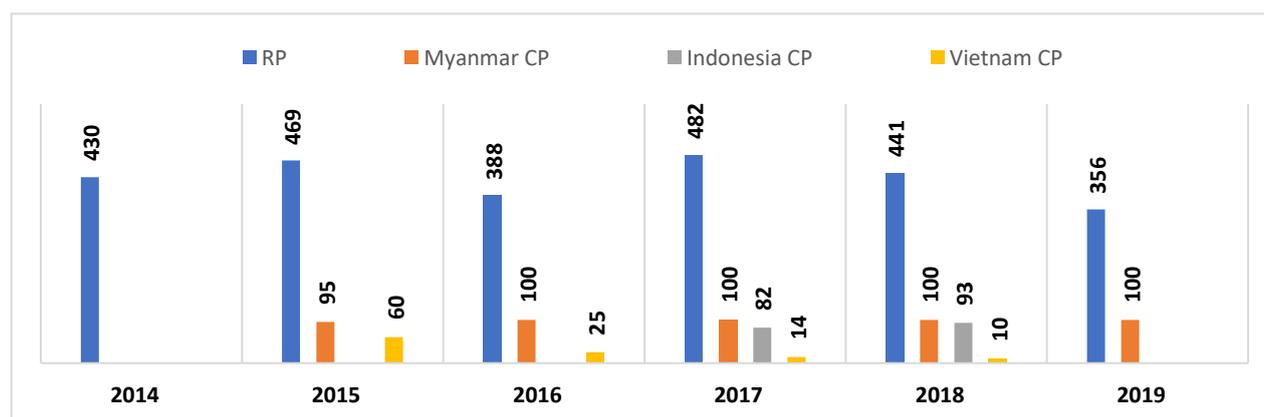
To what extent have the RP and the CPs achieved its programme objectives?

The RP and CPs implement their activities according to a yearly workplan, based on the programmes' objectives. A total of 2,566 activities¹⁰⁵ were undertaken by the RP SEA between 2014 and April 2019. In total 3345¹⁰⁶ activities had either been completed or were still ongoing in the region.

¹⁰⁵ ROSEAP SmartSheets. It is important to note that activities include workshops, missions, technical support, equipment disbursement, high level regional meetings and workshops across the five SPs of the RP. Some of the GPs activities that take place in the region are also included in these 2,566 counts but not all. The evaluation team wanted to underline that a large number of activities have been completed and or were ongoing at the time of the evaluation.

¹⁰⁶ Further details on each CP's budget, funds raised, and level of activities will be provided in the special dedicated sections in the main report.

DIAGRAM 15: ANNUAL UNODC ACTIVITIES MAPPED TO FUNDING MECHANISMS



Source: Evaluation team based on Smartsheet data

Using UNODC’s Smartsheets data across SP1 and SP3¹⁰⁷ from 2017-2019, the evaluation team analysed the number and type of major activities across the RP. While this analysis is indicative, a similar analysis was conducted for the Myanmar and Indonesia CPs (see country focus in Annexes V and VI) which contributed to triangulation of the findings. The most frequent activities across the RP were workshops (21%) and missions (13%), both focused on awareness raising and information sharing. Training activities accounted for 17% of total activities. Since 2017, there has been a shift towards more training and by 2019 training accounted for 41%¹⁰⁸. While capacity building / training activities were welcomed by all stakeholders, it was mentioned that the quality of training could be improved if: a) materials were contextualized to the local realities; b) repeated more often, as staff turnover was high amongst the beneficiaries; c) increased application of theory into practice; d) inform recipients of the learning objectives of the capacity building activities; and e) be more flexible in regards to logistics and the planning. It was reported that although some of UNODC’s training activities had become institutionalized within national training schools and academies, this was not standard practice. The institutionalisation of learning is a validated mechanism for generating institutional memory and the mainstreaming of learning, however, it was reported, by many respondents, that this process could not be developed in every country and every training institution.

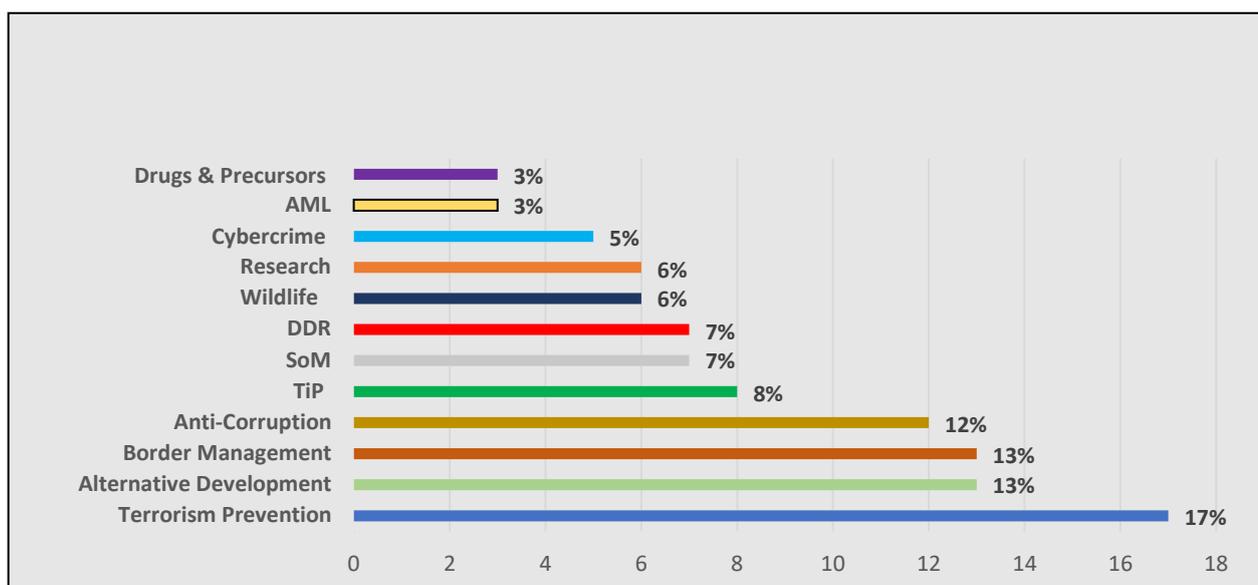
Diagram 15 above, ‘Annual UNODC Activities Mapped to Funding Mechanisms’, indicates the type of assistance UNODC planned for 2019¹⁰⁹. It demonstrates that the trends toward increased capacity building, as requested by MS. Diagram 16, ‘Type of Activities per Thematic Area’, shows that there are three major themes covered: Terrorism prevention 17% of the total of reported activities, Border Management 13%, Alternative Development 13% and Anti-corruption with 12%.

¹⁰⁷ These SPs were chosen to do the analysis as they are the most funded and have the most implemented activities.

¹⁰⁸ Data from ROSEAP Smartsheets.

¹⁰⁹ Data from ROSEAP Smartsheets for 2019.

DIAGRAM 16: TYPE OF ACTIVITIES PER THEMATIC AREA



Source: Evaluation team based on Smartsheet data and annual reports.

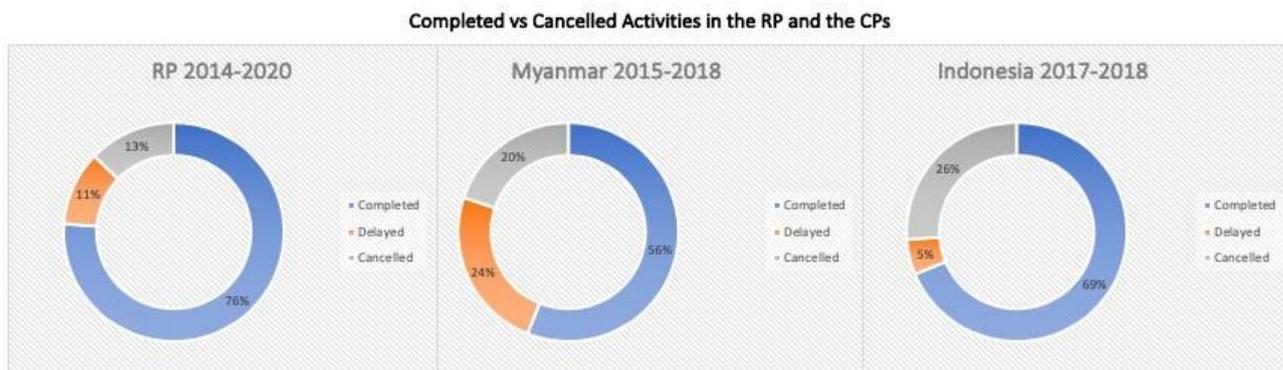
A similar pattern was observed at the CP level (refer to country focus on Myanmar and Indonesia in Annex V and VI). By studying the Smartsheets data, it was discovered that the RP and CPs target similar type of beneficiaries. The most common types of beneficiaries are law enforcement agencies, the judiciary, governmental institutions, regional bodies and, to a much lesser extent, civil society organizations and the private sector. The PO contribute to the identification of stakeholders and engage with them to ensure alignment and collaboration.

In addition, the desk review and interviews underlined the need to better define the expected outputs of workshops, training and mentoring. The terms workshop and training in particular appeared to be interchangeable and were used often when referring to information sharing sessions or capacity building activities. Although beneficiaries were satisfied with UNODC deliverables, they have requested more clarity on the objectives of sessions, additional sessions to ensure greater coverage amongst officials so that their respective agencies can better address the transnational organized crime and illicit threats affecting the region and their countries.

Activities report vs completed

The level of planned activities achieved is different for the RP and for the CPs. The RP's achieved 76% of planned activities, while Indonesia completed 69% and Myanmar 56%.

DIAGRAM 17: STATUS OF PLANNED ACTIVITIES



Source: Evaluation team based on Smartsheet data

Delayed or cancelled activities were often caused by changes in the political leadership, elections, conflicting agendas with the beneficiaries and staff changes within UNODC’ offices and thematic sections¹¹⁰.

Reporting across the RP and the CPs is done at the output level rather than at the outcome level. Some of the achieved results provided below across the RP and the CPs are connected to outcomes but the apportionment is difficult to assess due to often unavailable baseline indicators.

Examples of output level results across the SPs of the RP 2014-2020, reported during 2018 are:

SP1: TOC and Illicit Trafficking. Examples of results across the 7 outcomes of SP1:

- Output 1 Standard Operating Procedures for Border Liaison Officers (BLOs) were introduced to enhance communication capabilities and to facilitate the sharing of higher volumes of information amongst BLOs between China and its neighbouring countries.
- In 2018, 37 workshops and training activities such as anti-smuggling-controlled delivery’s, advanced training for border officers and trainings on Foreign Terrorists Fighters took place.
- As of 2018, 76 locations have BLOs network established across the Mekong Sub-region.
- The establishment of a human trafficking and migrant smuggling network of focal persons, drawn from victim protection, police, immigration and prosecution agencies.

SP2: Combating Corruption:

- UNODC assistance given to Cambodia, Myanmar, Viet Nam, and Indonesia to strengthen their anti-corruption legislations
- 79 CSOs were invited to participate in the implementation of UNCAC and anti-corruption efforts in general across the region;
- Brunei Darussalam, Cambodia, China, Hong Kong/China Indonesia, Japan, Republic of Korea, Lao PDR, Myanmar, Papua New Guinea, Philippines, Singapore, Thailand and Viet Nam participated in enhanced regional mechanisms to counter-corruption.

110 According to interviews and annual reports for the RP and the CPs

SP3: Strengthening/developing legislative frameworks, policies and strategies against terrorism:

- 1083 (738 male and 345 female) people were trained on counterterrorism and counter the financing of terrorism, inter-agency collaboration, investigation and prosecution of terrorism related cases, preventing and countering violent extremism, international public-private cooperation, foreign terrorist fighters, extradition and mutual legal assistance.
- 5 instances of cooperation with other international organizations (UNDP, IJ, INTERPOL, UN Women, IMO) in the joint development and delivery of TA on private public collaboration to counter the use of the internet for terrorist purposes; juvenile justice in a counter-terrorism; countering the financing of terrorism and the proliferation of weapons of mass destruction.

SP4: Supporting MS improve regional criminal justice systems

- Revised Penal Code and Criminal Procedure Code for Viet Nam
- Cambodia was reviewing its MLA legislation by formally establishing a Central Authority as the process of updating MLA law.
- UNODC supported the 8th meeting of senior officials on the treaty on mutual legal assistance in criminal matters amongst ASEAN countries. All ASEAN states ratified the treaty. UNODC supported the MS to overcome some legal and practical challenges.
- UNODC supported the senior official meeting of the Great Mekong MoU to ensure effective collaboration on legal and judicial cooperation on drug trafficking cases.

SP5: Supporting MS in their drug use prevention, treatment and care efforts

- UNODC developed a training toolkit ‘community-based services for people who use drugs in Southeast Asia’. Several members states have adopted and adapted the toolkit, available in the following languages: Laotian, Khmer, Thai, Chinese, Myanmar and Vietnamese.
- UNDOC supported the drafting of the Myanmar Drug Policy.
- UNODC provided inputs on the specific provisions in the Dangerous Drug Board (DDB) of the Philippines Laws, bills and board regulations.

Project documents are often missing solid indicators, and objectives, outcomes and outputs have not been developed using the SMART criteria. The annual and semi-annual reports produced by the SPs provide information on the activities and outputs implemented under each outcome tries to ascertain the correlation between outputs and outcomes.

How effective were the RP and the CPs in achieving their planned outcomes?

While UNODC’s POM mentions the terms, monitoring framework, impact, activity and intervention logic, they are not widely understood. According to interviews and the desk research, the RP and CPs documentation does not provide a clear definition of what is meant by ‘impact’ and RP/CP staff member do not have a common understanding of the term, in the context of either the RP or the CPs. Furthermore, there is no common agreed definition of impact means across UNODC at large or within the RBM guidance.

The tools to measure effectiveness and progress are developed during the design phase of a programme. This did not occur with the RP¹¹¹. The RBM framework and the reports are not tools to measure the impact of the RP and the CPs. Furthermore, the level of many informed baselines or measurable outcome-level indicators, are missing from several outcomes. While most donors mentioned wanting to see more impact level reporting, they also understood that it requires a different system in place and requires time and resources to harvest outcomes and map the contribution of UNODC at that level. Finally, the RP and the CPs are structured on the standardized templates but there is no ToC to better assess impact level results and understand external factors that can contribute to the achievement or non-achievement of those results.

The evaluation team considered recreating a ToC for each programme but soon realised that the value of a ToC would be at the SP/outcome level. A ToC for the SP2 of the CP Myanmar and RP SP1 were created by the evaluation team as a comparative exercise. These ToCs seek to understand keys to success at the SP level and help draw pathways from outputs to outcomes. As each SP represents a theme covered by UNODC's mandates and has a different approach, different context, challenges, beneficiaries and types of activities, the evaluation found that it was not logical for ROSEAP to spend time creating an overall ToC when it would be more relevant and effective to do it at the SP level and even more effective at the outcome level (refer to ToC of Outcome 1 of SP 1).

In addition, while the outcomes at the SP level are more easily defined and measurable, those of the RP are not aligned with any judgment criteria for what success looks like. The RP helps propose UNODC's service offering and value added to MS through an overall strategy; each SP is built on the same type of beneficiaries, same type of implementing partners and activities. The keys to success are the same across the CPs and the RP and the SPs. With respect to monitoring, ROSEAP recruited a monitoring officer responsible for collecting data across the different SPs but has yet to conduct a meta-analysis and draw conclusions on their effectiveness and impact compared to the expected outcomes.

SUMMARY

The RP's level of activity completion is greater than the CPs, which could lead, to the conclusion that the RP is more effective in delivering than the CPs. However, the RP and CPs design is not conducive to effective monitoring and reporting. Outcome level measurements and meta-analysis of the level of achievements and contribution of the RP and the CPs to the overall objectives are not possible with the current logframes and monitoring tools.

No ToC for the RP could be reconstituted with enough details to underline the pathways to preliminary outcomes and then to the impact, but it was found that a ToC at the SP and at the outcome level, would offer a clearer picture of the interaction between outputs and the outcomes. The RP and the CPs have achieved results despite the challenges. Many activities have been delivered and contributed to addressing MS' priorities. Thus, a series of best practices and lessons learned were extracted to help ROSEAP, POMYA and POIDN with future programming.

¹¹¹ Donors stated that they often had to assist UNODC staff to design and populate log frames and results frameworks

III. CONCLUSIONS

Design and relevance of the RP and the CPs

The RP was designed in consultation with strategic platforms in the region, such as the Great Mekong MoU, the Bali Process and ASEAN. Donors and MS were consulted to a lesser degree. However, individual MS were involved extensively in the design of their own CPs. The development of the RP and CPs was evidence-based and drew on relevant research including the TOCTA. The design process resulted in a RP and CPs, that were relevant to the regional and national priorities. The RP, as a strategic framework, is therefore, highly relevant as it connects UNODC to pivotal regional platforms; platforms in which MS already have agreements covered by UNODC's mandate. Stakeholders both regionally and nationally expressed appreciation for and trust in the work of UNODC.

The RP and the CPs followed UNODC guidelines for programme design and used similar SP formats and logframes in support of UNODC's strategic framework and the mid-term strategy. The RP was articulated according to the context at the time of writing, which required the integration of several dozen projects into an integrated programme. The design lacked an overall logic but there is now an opportunity to create a new RP using a ToC logic. The RP and CPs were formulated in line with standard UNODC practice, including the use of logical frameworks, at the time of their development. This resulted in the RP and CPs' logframes lacking some baseline information, SMART indicators, and outcome level indicators that could be measured. The new RP should be designed with a clear ToC or results chain. The sum of UNODC's research, reports and data should be used to develop SMART indicators and baselines. A great deal of time is spent designing, clearing and approving programmes and revisions (an average of 6 months to write and revise), which makes them inflexible to change. The new RP should be aspirational in its goals, represent the totality of what UNODC can provide in the region (GPs, RP and CPs), and be more flexible to changes and alterations in delivery.

The SDGs and the UN reforms

The RP and the CPs were designed prior to the launch of the SDGs. ROSEAP and the POs have started to indicate which activities assist MS to achieve certain SDGs. However, not every activity and outcome has been mapped. The new RP provides an opportunity for ROSEAP to examine the SDGs and define what it can do to assist MS, and then ensure that micro level planning is conducted to provide the assistance that directly supports the attainment of SDGs. This type of planning in detail should also assist with reporting, as the reporting process would then be tied to SDG indicators and/or assist in defining UNODC's contribution to SDG indicators.

The UN reforms offer a welcomed opportunity to innovate. They require a greater field presence, and joint and cross-thematic programming. UNCT's will require subject matter expertise as they develop new plans. While UNODC is viewed as an expert in its field, it has yet to make a major impact amongst other UN agencies, in part due to its inconsistent presence. While UNODC assistance was relevant to the MS it supported, the RP and CPs were not completely connected to many of the UNDAFs in the region. While this did not appear to hamper delivery, it could create potential issues when working through or with the UNCTs. With so many UNDAFs in the region (all running on different 4 to 5-year cycles), the evaluation found that it is impossible for UNODC to effectively synchronize the RP with all of them. However, UN reforms place a greater emphasis on the country level results and joint programming with other agencies, the new UNDAF/UNSDCF will require UNODC's presence at UNCT and UNSDG meetings. Thus, reinforcing the need for the new RP to be more holistic.

With respect to implementing the reforms, UNODC could follow the lead of other UN agencies, and begin the process of adjusting its *modus operandi*. At the time of the evaluation, no road map had been devised. Stakeholders expressed a desire to radically alter the way UNODC delivers, especially considering programming from a distance; however, this level of change may not be possible. The desire to change should,

therefore, prompt UNODC management at UNODC HQ and in the field to think differently.

The challenge for UNODC HQ managerial sections and ROSEAP is to fine-tune its positioning amongst other agencies, refine its value add and review how it does business based on the changes that will follow. The main dilemma is how to combat TOC (a regional and sometimes global issue) while most of the UN is focused at the national level. UNODC will need to constantly explain that it delivers more against the UN reforms, including pillar three on Peace and Security and SDG 16. While national level capacity building is required it's the sum of national level initiatives with facilitated regional cooperation and action that yields results.

Effectiveness and impact

During the evaluation period the RP and CPs combined implemented 3,345 activities. Their level of completion was viewed as satisfactory but could be improved. Activities such as 'workshop, training, to awareness raising' were often ill-defined, which sometimes led to beneficiaries' expectations not being met. Although some activities included follow-up mentoring sessions, this was not always the case.

Effectiveness and impact could not be measured as expected, as the RPs and CPs were not developed with the benefit of a ToC. A ToC would have helped draw pathways and establish clearer connections between output, preliminary outcomes and longer-term outcomes as well as identify keys for success at different levels versus those achieved results. However, developing a ToC for the entire RP and each CP would not help link outputs and outcomes, nor highlight the potential contribution of UNODC to projected outcomes, since each SP has its own intervention logic, activities and key indicators of success. In SPs where there is more than one outcome, it could be beneficial to develop the ToC for each outcome. While a general ToC at outcome level is desirable as a mechanism for reporting progress, areas where more than one outcome operates in the same space should be mapped in detail via a ToC to ensure that activities can be deconflicted and effects reinforced. Due to some subtle differences at national level, a single ToC might not suffice, and some outcomes might require a national level ToC.

Private sector (PS) and CSOs are key stakeholders that can contribute to the work of UNODC in the region. Both sets of stakeholders were engaged, although not through on-going activities but rather through symposiums or awareness raising sessions. Their engagement was found to be insufficient and lacking as an engagement strategy.

Efficiency

By May 2019, the RP managed to raise about 80% of its required funding. However, not all SPs and outcomes were equally funded. SP1 of the RP accounted for 61% of the RP's total budget and SP3 exceeded its initial requirement. These facts clearly demonstrate donor and MS priorities within the region. The RP and the CPs were funded on the basis of their objectives and longer-term visions, which are in accordance with donors and MS' priorities.

The SPs were sub-divided into different outcomes and it is these that are funded by donors, mainly through concept notes. Although the fundraising for some of the SPs was very successful, others raised only limited funding. This raises another question as whether UNODC is trying to do too much by covering all the SPs and developing concept notes for SPs that are of less interest to donors in order to cover all UNODC's mandates. Instead, ROSEAP and POs could refine the strategic framework based on identified priorities by cross-referencing donors and MS 'priorities.

From a human resources perspective, the limited number of international staff at the PO level means that drafting a CP takes time and staff away from important (delivery) tasks. The more projects, the more staff effort is required within the PO, ROSEAP and at UNODC HQ, which all must approve programmes. Conducting workshops and sharing drafts with partners and beneficiaries also takes extensive time and effort. Procurement and financial management procedures done through Umoja can also be delayed due to missions and/or shortfalls in staff. The delegation of authority and the ability to clear Umoja's authorizations have been

reviewed by ROSEAP in order to streamline that process, minimize experts' time and to make it more effective and efficient.

'Human rights and gender and leave no one behind'

Human rights and gender principles were included in all SPs, mainly during presentations but not necessarily integrated into all activities. Some gender disaggregated data has been included, but UNODC's more recent gender mainstreaming guidelines are yet to be integrated into the programme at large. With regards to 'Leave No One Behind', no evidence of integration was found in either the RP or the CPs, but this could be attributed to the principle after the programme had been approved. UNODC should more thoroughly foster international standards on gender and human rights and reinforce the contribution to peace, sustainability, prosperity.

Human rights should be fully integrated into all capacity-building activities as a specific focus, rather than simply as a general introduction to the UNODC's mandate in relation to human rights. UNODC has general global human rights guidelines and tailoring this content to outcomes would strengthen the messaging.

Gender awareness was not uniformly informed or integrated across the SPs. While the correct UN and UNODC policies were referenced and SDG 5 was supported on numerous occasions, interventions were not systematically designed or implemented with gender in mind. Positively, there were workshops that were exclusively focused on gender and other good practices were identified. Staff should seek to systematically align gender equality and participation goals with those stated in the UNDAF for each MS. Gender equality, is a national level consideration and can't be implemented in isolation by one UN agency.

Sustainability

The RP and CPs are highly dependent on donor funding. While the RP and CPs did not raise all the required funds, they did manage to raise significant funds and certain activities attracted funding beyond the timeframe of the current RP. From a sustainability perspective, neither the RP nor the CPs have exit strategies as ROSEAP and the POs consider that many of their activities will continue beyond the end dates of these programmes.

UNODC designs its programmes on the basis of international principles, such as the Paris Declaration on Aid Effectiveness, which requires MS 'ownership of projected results'. The evaluation found that, given of the geo-political diversity of the region, the Fragile States Principles (OECD) and/or Conflict Sensitive Programming Principles could contribute to the effectiveness and impact of the RP and CPs in certain MS, if they were taken into consideration when designing activities. Such principles, especially the Paris Declaration on Aid Effectiveness, are key to building ownership and strengthen the sustainability of the outputs and outcomes. While the RP and the CPs did deliver some training of trainers and training modules for law enforcement and judicial training schools, sustainability was not a precondition of assistance. Although sustainability is a permanent agenda it requires more attention.

Overall Conclusions

In order to have a meaningful effect in a country UNODC must have presence there. While occasional short strategic visits, are viewed as useful for bringing in subject matter experts, this level of assistance does not develop the same level of relationships that are formed when UNODC has a fulltime presence within a country. Maintaining POs in a country is, however, costly and difficult to sustain. Although the UN reforms seek to bring expertise and implementation closer to the field, UNODC's current budget does not support this model, with many experts based in HQ. UNODC's field operations are 98% donor-driven and it does not have the means to deliver its normative work within a country unless there are sufficient funds to accommodate a programme office.

ROSEAP is viewed as a strong office with a professional staff that effectively covers a large number of thematic areas. However, UNODC will have to reposition and sell itself amongst the plethora of UN agencies operating within each of the MS in the region, which is why the UNCT is useful for UNODC as it aims to position itself and advocate for its mandate.

In order to be more competitive, it is clear UNODC needs to streamline its procurement and administrative functions which are currently centralized in HQ with limited delegation of authority. Procurement takes far too long, there are delays with official clearances and payments are often stalled and frequently late. There is a perception that Umoja, which is generally centralized in HQ limits the flexibility of procurement processes. Thus, UNODC should consider minimizing procurement procedures, Umoja's clearing delays, and consider how it can increase effectiveness and efficiency by decentralizing authority to dedicate more time to implementation of assistance. For example, one possible solution would be for ROSEAP to recruit staff more easily without going through the process of having to conduct a programme revision. Another would be for ROSEAP to have increased delegated authority for sign off and procuring of goods and for engaging with UN partners and civil society.

This evaluation concludes that the RP and CPs engaged with many stakeholders across the 11 targeted countries in a manner that upheld UNODC's mandate and supported the MS with a great number of well delivered activities. Despite some administrative, procurement and design challenges, UNODC is highly respected and a relevant organisation that is still the partners of first choice for MS and many donors. UNODC's current operating model will nonetheless need to be adjusted and decentralized considering the UN reforms. The development of a new RP that is more flexible and adaptable to changing circumstances is key to address the challenges mentioned in this report.

IV. RECOMMENDATIONS

Statement on the COVID-19 Pandemic: This evaluation was conducted and data collection finalized prior to the outbreak of the COVID-19 Pandemic in 2020. While the effects of the Pandemic on UNODC work in the region is not reflected in the findings and conclusions of this report, the management response and implementation of recommendations will require consideration of COVID-19 on future UNODC work in the region. In particular, recommendations 1 and 2 addressing the development of the next phase of programming will require consideration of any constraints or challenges related to COVID-19.

The RP in its current format represents what UNODC is trying to achieve at the macro-level and is a useful tool for approaching donors. The current format of the RP does not require any large-scale alterations or amendments, however, there a number of working practices which could be improved.

RECOMMENDATION 1 – NEW REGIONAL PROGRAMME

Over the next 12 months, ROSEAP, in collaboration with the respective programme offices and UNODC HQ, should develop the new RP as a framework which covers the entirety of UNODC’s activities and work across the region, including UNODC global, regional and national initiatives. The new RP should be based on identified good practices in the development of the current RP such as extensive consultations to include regional platforms and be based on sound research (such as the TOCTA). It should be a single delivery vehicle to support multiple UN Sustainable Development Frameworks (UNSDCFs) across the region. The new RP should articulate the assistance UNODC can provide to MS in their attainment of the SDGs, subject to donor’s priorities.

A ToC exercise is useful for identifying the logical steps required to initiate change, factors that block change and risks to delivery. More attention at the delivery level, rather than at the programme level would assist ROSEAP with their reporting, aligning outcome/outputs with the SDGs and identifying what donor funding delivers. ToCs should be considered at two distinct levels. The first is at the outcome level; this would be standard to most programmes. This exercise would seek to identify the steps required to achieve an outcome, in outline, and would form the basis of a reporting mechanism. The second is where there is a confluence of activities. For example, violent extremism is countered by a combination of actives delivered by SP1, 3 and 4. In this case a bespoke ToC could be used to examine the issue in detail. This would assist in avoiding a duplication of effort and ensure the correct sequencing of activities.

A ‘menu of services’ should be developed based on UNODC’s technical assistance and expertise that would serve as a framework from which MS identified threats and needs could be addressed. These services should be aligned with a set of activities that can be adapted to the context of the specific country. This drop-down style menu of services approach could be used by ROSEAP to collaborate with MS to select the services and set of activities that are relevant to the region and to each member state.

RECOMMENDATION 2 - STRATEGIC FRAMEWORKS

Over the next 12 months, ROSEAP, in collaboration with the respective programme offices and UNODC HQ, should develop strategic frameworks to serve as delivery mechanisms at the country level. Where these documents are required, they should, as a minimum, foster ownership, articulate a periodic review mechanism and allow MS to formally authorise UNODC’s participation via a signature. The frameworks would ensure coherence between the RP, CPs, GPs and UNODC’s strategic framework and mid-term strategy. Standardization is also required in terms of the terminology that is used across UNODC’s programmes, such

as trainings, workshops, capacity-building, defining the type of ‘service delivery’ – activities’ would help refine the value proposition and the business model overall.

Based on the overall RP, a country level strategic framework could be developed in MS where signature is required for UNODC programming in the country. This would serve the same purpose of the current CPs and would be developed in consultation with the MS. However, they would allow for more flexibility and would eliminate the requirement for cumbersome programme approval and review processes required for country programmes. These frameworks should be based on the same drop-down menu of services as articulated above and contextualized to the objectives and outcomes that UNODC will seek to implement in a MS. Having a streamlined macro-level planning process in place ROSEAP should re-invest the resources and effort saved into micro level planning and improving delivery. This approach would be in tune with the UN reforms that require the UN agencies to align their programming with the new UNSDCFs and not have separate country programmes’ strategies with decentralized logic.

Micro-level Programming

RECOMMENDATION 3 - STAFFING AND ADMINISTRATION

ROSEAP, in collaboration with the respective Programme Offices and UNODC HQ, should collaborate to determine the appropriate staffing and resource levels Staffing and administration for ROSEAP and Programme Offices that are required to implement UNODC’s activities. This should include strengthening the roles of thematic experts as the technical working group leads for each SP and appropriate staff levels required for effective management of Programme Offices. This further includes authority for clearance in Umoja.

The role of these experts would be to become a ‘cabinet of experts’ and they would provide direct support to both ROSEAP and POs. They could provide thematic input for high-level meetings, or act as backstop units for concept note development support. Capacity building services should be adapted based on the skillsets of these thematic experts. Some are practitioners but lack programme management experience while some are programme managers and would benefit from thematic reinforcement. A gap assessment should be done for every recruit or new posting to assess their strength and weaknesses and have senior thematic experts and project manager ‘shadow’ and train the new recruits, based on a set of qualifications they need to acquire. The pre-training gap assessment should be measured against post-training questionnaires and capability test. With the UN reforms, programme managers need additional support to develop suitable activities, which are cognizant of local contexts and have sound thematic insights. These leads would be free to send resources forward for discreet periods of time to strengthen the country office’s capability, similarly to how the Surge capacity supports field operations and make UNODC more visible when and where required.

In line with UN reforms, which seek to enable field operations, UNODC should delegate more authority to the Regional Office, including expanding and streamlining the administrative functions in Bangkok and review recruitment processes and criteria. The aim is to provide clearance and approval in Bangkok, as close to the where managerial oversight is provided. The result would be two-fold, in that it would free up other managers from administrative tasks and avoid clearing and disbursement delays when approvers are absent/on a mission. Overall, this improved system could improve procurement and other administrative processes and ensure that UNODC is agile enough to adapt to changing situations; especially as the authority would reside in the same time zone as the claimant.

RECOMMENDATION 4 - PARTNERSHIPS

ROSEAP, in collaboration with the respective Programme Offices and UNODC HQ, should develop a strategy to enhance UNODC visibility to and engagement with UN Country Teams and in country UN entities. This strategy should outline options to strengthen effective partnerships, for joint financing, and for programming partnerships with other UN agencies, in addition to analysing cross-thematic programming across each sub-programme and outcomes within the SPs. This also includes better interaction with and integration of the private sector and civil society organizations.

Effective financial and output level joint and cross-thematic programming would help align ROSEAP and UNODC offices overall within the UN reforms, strengthen the support of MS to achieve the SDGs and possibly assist in raising additional funds. This review should help thematic experts understand programmatic areas where the nexus between peace, development and prosperity can be established and measured.

Better interaction with Private Sector (PS) and Civil Society Organizations (CSO) should be implemented. Staff should conduct a thorough mapping of PS and CSOs that are active in the different SPs of the RP. PS and CSO are key stakeholders that can contribute to the different SPs, on raising awareness by supporting campaigns (e.g. on human trafficking and smuggling of migrants in hotels, airports and other public places where businesses can deliver services or specific industries; on corruption; on drug abuse and HIV prevention for instance). PS can also potentially help raise money or become an 'in-kind' donation through staff time or accommodation, transport, catering. In addition, CSOs can contribute to ensuring inclusiveness of UNODC programming in the region, leaving no one behind. CSOs play a key role in the dissemination of policies, raising awareness in big cities and in remote areas outside of the capital cities where most of UNODC's activities take place.

Improved delivery

Just as all the SDGs are interconnected so too are the solutions and the assistance that MS require to attain the SDGs.

RECOMMENDATION 5 - INTEGRATION OF THE SDGS

During the development of the next RP, ROSEAP, in collaboration with the respective Programme Offices and UNODC HQ and thematic experts should develop a consistent system and ensure the coordinated use of the SDGs across their area of expertise. The aim should be a smarter integration of the SDGs with both micro level programming and outcome reporting.

RECOMMENDATION 6 - HUMAN RIGHTS AND GENDER

During the development of the next RP, ROSEAP, in collaboration with the respective Programme Offices and UNODC HQ, should ensure full integration of human rights and gender equality into all capacity-building activities as a specific focus, rather than simply as a general approach to UNODC's mandate.

This would include better consideration of gender equality and women's empowerment. Staff should seek to align gender equality and participation goals within all areas of the RP. In addition, a gender analysis is required to understand how UNODC's programming approach might impact or how certain gender and human rights principles could be integrated to ensure gender sensitivity, understand female-male power dynamics and the context of the targeted countries.

Better integration of HR principles should also be considered. Staff should leverage UNODC's position as a UN agency to highlight, where violations of international human rights, particularly those relevant to the thematic areas under the RP. Although this might be sensitive in certain contexts, UNDOC cannot shy away from its duties. Human rights should be fully integrated into all capacity-building activities as a specific focus, rather than simply as a general introduction to the UNODC's mandate in relation to human rights. UNODC has human

rights guidelines but tailored content to the SP and outcome would strengthen the messaging and apply HR directly to the beneficiaries' daily work.

RECOMMENDATION 7 - REPORTING

Within the new RP, ROSEAP, in collaboration with the respective Programme Offices and UNODC HQ, should define a monitoring and reporting framework, with tools and reporting processes (schedules, reporting agents and methods) that seek to develop qualitative and systematic data. This reporting would be used to populate the RP logical framework and associated theories of change with data relating to results at the outcome and objective level.

This new reporting system needs to demonstrate how results are linked to the SDGs, and which are gender sensitive and human rights compliant. An M&E strategy and guidelines should be developed either internally or with the help of a consultant, to design tailored tools, define SMART indicators, create a set timeline for monitoring and train the staff on how to collect and utilize the data for actionable and useful reporting. This work would need to be coordinated with UNODC HQ as it has wider practicality across UNODC.

V. LESSONS LEARNED AND BEST PRACTICES

LESSONS LEARNED

Country presence: in-country presence is essential when developing trust and relationships with MS and when coordinating with other agencies. Although an in-country presence seems to be the obvious solution, establishing an office in a country requires a sustained source of funding. UNODC is a small agency and it is difficult for it to maintain a programme office in each country. Thus, country managers need to have fundraising capabilities, diplomatic and managerial skills and be a project manager, if they are to successfully sustain a presence on the ground.

Project design is time consuming: CPs and RP take time to be developed and approved. This time and effort are opportunities that could be dedicated to the implementation of the programme, especially when these documents are more of an umbrella document than effective programmatic tools; as many programmes are copied from a standard UNODC template with some situational changes depending on the country. The RP and CPs are used as strategic frameworks to get an approval from Member State Government Counterparts and the logframe serve a template for ROSEAP to report on. Its programmatic value is questionable. As each programme document needs an internal review and approval from HQ, before it is shared with MS for their own revision and approval, this process takes time, which could be better spent on delivery.

‘Do No Harm’ or the Fragile States Principles: every country has a different set of priorities and challenges. While the RP and CPs activities were found to be relevant, stronger country context could be integrated, especially for capability building and awareness raising activities. Furthermore, certain principles, such as “Do no harm” were not used, and these should be considered in future designs. Such principles could help address certain challenges (such as sensitive engagements with the governments agencies) in the next programmatic cycle.

Monitoring and reporting take time and human resources: Smartsheets used by ROSEAP captures most the planned and completed activities across the region at the RP and CP levels and (some but not all) GPs. However, analysing the data and defining a reporting framework requires expanded resources, including human resources and tools. This process is critical for data analysis, reporting and impact measurement and requires more effort or more people.

UN reforms require joint-programming and the need for expertise to be closer to the field: UNODC RPs, CPs and HQ do not sufficiently explore cross-thematic programming internally and with other agencies. Such joint programming would seek to strengthen the nexus between development, peace and economic prosperity and address the UN mandates on TOC, UNCAC and drugs and health. Furthermore, stronger RP-CP-HQ communication was said to be essential for informing MS’ beneficiaries and avoiding issues and the duplication of activities.

Soft earmarking: such funding was reported as flexible as it enabled ROSEAP and the POs to respond to the MS’s needs more closely through tailored approaches. It also helped fill funding gaps at the SP or outcome level as well as recruit technical and managerial staff without the need to for a programme revision.

Private sector and civil society organisations: The private sector and civil society were not sufficiently integrated in the RP and CPs. Minimal engagement at this level meant that large sectors of society were not involved or consulted in the activities implemented by the RP and CPs. Further engagement would increase the coverage of key stakeholders in one country and offer opportunities of additional funding and cooperation.

Umoja: The limited flexibility and delegation of authority related to Umoja and the centralization of processes takes time from every expert and employee of ROSEAP, the POs and all departments within UNODC. From evidence gained during interviews, it causes delays in payments and in procurement that impact delivery and is seen as making ROSEAP and POs inflexible.

BEST PRACTICES

The following good practices and lessons learned were identified across the RP and CPs. They should be applied in the next regional programming cycle and can be considered across UNODC programmatic work.

Stakeholder consultations: prior to the RP design, ROSEAP carried out multiple rounds of consultations with regional and national stakeholders. This is a good practice that should be continued for the future RP. This process helped to align the RP with the priorities in the region and at national levels and helped to generate greater ownership of the RP's objectives.

Donor mapping and fundraising strategy: The development of a donor mapping and accompanying fundraising strategy is a good practice that should be regularly reviewed and updated throughout the lifecycle of the RP.

ANNEX I: TERMS OF REFERENCE

Final In-depth Cluster Evaluation of UNODC Regional Programme for Southeast Asia

(including the Country Programme for Myanmar, the Country Programme for Indonesia, and the Sub-Programme 4 of the Country Programme for Vietnam)

Projects XAP/A07, XAP/A08, XAP/A09, XAP/A10, XA/PA11, MMR/Z35, MMR/Z36, MMR/Z37, MMR/Z48, IND/W16, IND/W17, IND/W18, IND/W19, VNM/T28, VNM/K16 and VNM/X92

Southeast Asia

October 2018

Background and Context

Project/Programme number:	XAP/A07, XAP/A08, XAP/A09, XAP/A10, XAP/A1, MMR/Z35, MMR/Z36, MMR/Z37, MMR/Z48, IND/W16, IND/W17, IND/W18, IND/W19, VNM/T28, VNM/K16 and VNM/X92
Project/Programme title and duration:	Regional Programme for Southeast Asia 2014 – 2019 Country Programme Myanmar 2014 – 2019 ² Country Programme Indonesia 2017-2020 Strengthening capacity of law enforcement and justice sectors to prevent and respond to domestic violence in Viet Nam (VNM/T28) 2008-2016 HIV prevention, care, treatment and support in prisons including pre-trial detention centres in Viet Nam (VNM/K16) 2010 -2017 Sub-Programme 4 of the Country Programme for Vietnam (VNM/X92) 2016-2019
Location:	Southeast Asia
Linkages Thematic Programmes:	1. Countering Transnational Organized Crime and Illicit Trafficking 2. Anti-Corruption 3. Terrorism Prevention 4. Criminal Justice 5. Drugs and health (Drugs and HIV), and alternative development
To which UNDAF is the project/programme linked to (if any)	The Programmes/projects to be evaluated are related to all UNDAFs developed in the Southeast Asian region. See Terms of Reference text for details.
Executing Agency:	UNODC
Main Partner Organization:	Association of Southeast Asian Nations (ASEAN)
Total Approved Budget:	XAP/A07 – USD 20,427,726 XAP/A08 – USD 1,686,458 XAP/A09 – USD 6,576,817 XAP/A10 – USD 2,278,321 XAP/A11 – USD 2,247,599 MMR/Z35 – USD 0 MMR/Z36 – USD 3,388,299 MMR/Z37 – USD 1,965,488 MMR/Z48 – USD 1,505,830 IND/W16 – USD 3,444,016.82 IND/W17 – USD 0 IND/W18 – USD 2,235,088 IND/W19 – USD 686,435 VNM/T28 – USD 293,423 VNM/K16 – USD 1,191,489 VNM/X92 – USD 1,810,333 Total: USD 51,191,737
Total Overall Budget	XAP/A07 – USD 27,280,000 XAP/A08 – USD 4,966,800

² Excluding Sub-programme 5 (MMRZ39) on Alternative Development (Mid-term Independent Project Evaluation Sustainable and Development in Myanmar 2017-2019 August 2018), which was evaluated in 2018.

	XAP/A09 – USD 4,665,000 XAP/A10 – USD 14,617,000 XAP/A11 – USD 8,351,855 MMR/Z35 - USD 11,915,000 MMR/Z36 – USD 4,252,800 MMR/Z37 – USD 8,227,800 MMR/Z48 – USD 5,479,700 IND/W16 – USD 7,143,400 IND/W17 - USD 1,991,200 IND/W18 – USD 6,000,000 IND/W19 – USD 1,606,300 VNM/T28 – USD 3,187,900 VNM/K16 – USD 1,830,000 VNM/X92 – USD 2,880,700 Total: USD 114,395,455
Donors:	Australia, ASEAN, Canada, China, Germany, Japan, Republic of Korea, New Zealand, Norway, Sweden, Thailand, UNDA and USA (Regional level) Finland, Germany, Japan, Planetek Italia s.r.l, UNAIDS, UNFPA, UNDP, UK, USA, Sweden and Trust funds (Myanmar) Canada, Japan, Norway, USA (Indonesia) UN-WOMEN, UN One Plan Fund (Vietnam)
Project Managers/Coordinators:	Jeremy Douglas, Regional Representative, Regional office for Southeast Asia and the Pacific (ROSEAP), UNODC Troels Vester, Country Manager, Country Office in Myanmar (COMYA), UNODC Collie Brown, Country Manager, Project Office in Indonesia (POIND), UNODC Ms Minh Nguyen Nguyet, Acting Country Manager/Programme Specialist, Country Office in Vietnam (COVIE), UNODC
Type and time frame of evaluation:	Cluster in-depth Evaluation
Time frame of the project covered by the evaluation:	2014 – end of the evaluation mission (tentatively April 2019)
Geographical coverage of the evaluation:	Southeast Asia (Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, the Philippines, Thailand and Vietnam)
Budget for this evaluation in USD:	US\$ 200,000
Number of independent evaluators:	3 evaluators
Type and year of past evaluations (if any):	In-depth Evaluation of the UNODC Regional Programme Framework for East Asia and the Pacific 2009-2012 (June 2013) Independent project evaluation – XAP/X37 (June-2016) Independent project evaluation – IND/A02 (September-2016) Independent project evaluation – LAO/X26 (September-2016) Independent project evaluation – GLO/U40 – Mekong region (March 2017) Independent project evaluation – IND/A06 (October-2017) Independent project evaluation – IND/A03 (April-2018) Independent project evaluation – XAP/A10 component (January-2018) Independent project evaluation – MMR/Z39 (August -2018)

Core Learning Partners (entities) ³ :	UNODC senior management (ROSEAP and HQ), UNODC Regional Section in HQ, UNODC project field staff, the Association of Southeast Asian Nations (ASEAN), the Programme Governance Committee (PGC), Member States, Partner Organizations (UN and NGOs) and donors. ⁴
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Programmes overview and historical context

UNODC has a long history of supporting Member States in Southeast Asia and the Association of Southeast Asian Nations (ASEAN) to address non-traditional crime and security challenges. As the process of ASEAN integration continues, the range of issues that weaken governance institutions and sustainable socio-economic development in Southeast Asia has increased.

UNODC assistance in the region aims to strengthen Member States and institutions in the region to effectively respond in a coordinated manner to these drug, crime and terrorism challenges. It does so by working alongside several ASEAN bodies, such as the ASEAN Ministerial Meeting on Transnational Crime (AMMTC) and the ASEAN Ministerial Meeting on Drug matters (AMMD), and other non-ASEAN regional mechanisms, including the Memorandum on Drug Control in the Greater Mekong Sub-Region and the Bali Process on People Smuggling, Trafficking in Persons and Related Transnational Crime (Bali Process). The details of UNODC strategic objectives are mentioned in the Regional Programme of Southeast Asia (2014-2019)

The Regional Programme outlines the proposed scope and focus of UNODC’s work in Southeast Asia, providing a framework delivering a coherent programme of work to: (i) give clear focus to supporting Member States and regional actors; and (ii) increase the responsiveness, efficiency and effectiveness of UNODC’s support to the region.

The Regional Programme focuses primarily on regional crime and drug challenges that are best addressed through a coordinated approach at that level, in addition to cross-border and intra-regional cooperation. The Regional Programme is focused on five independent areas of work: Countering Transnational Organized Crime and Illicit Trafficking; Anti-Corruption; Terrorism Prevention; Criminal Justice; Drugs and Health (Drugs and HIV), and Alternative Development.

Strategic oversight and direction for the Regional Programme is provided by a Programme Governance Committee (PGC), including Member State representatives with secretarial and technical support from the Regional Office for Southeast Asia and the Pacific (ROSEAP). The PGC meets annually to review RP progress and provide policy guidance and strategic advice.

The UNODC Country Programmes for Myanmar, Indonesia and Vietnam are linked to and/or contribute to the Regional Programme, serving as building blocks at the national level for a more effective response at the regional level, and to focus on specific national needs and support requirements.

Linkage between the Regional Programme and Country Programmes



The Regional Programme and the Country Programmes are supported by a team of expert that ensures consistency of approach and sharing knowledge between jurisdictions. Below is the inter connectivity of the

³ Core Learning Partners are the key stakeholders of the subject evaluated (project, programme, policy, etc., who have an interest in the evaluation. The CLP work closely with the Evaluation Manager to guide the evaluation process.

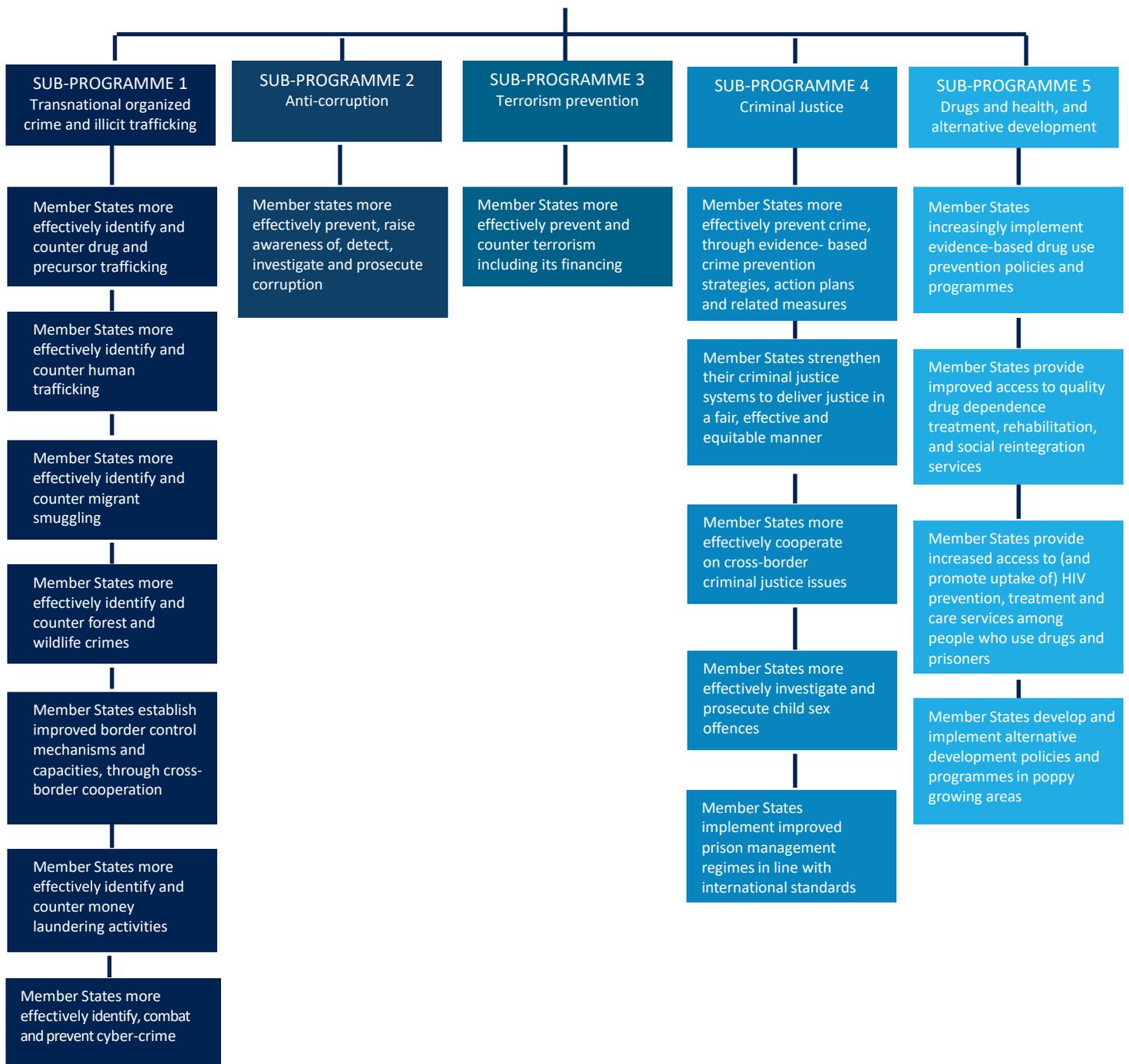
⁴ See list in ANNEX IV.

individuals Sub-Programmes within the framework of the overarching Regional Programme and Country Programmes.

Project Number	Title	Thematic area	Approved budget
XAP/A07 MMR/Z35 IND/W16	Sub-Programme 1 of the RP Sub-Programme 1 of the CP for Myanmar Sub-Programme 1 of the CP for Indonesia	Transnational Organized Crime and Illicit Trafficking	USD 23,871,742.82
XAP/A08 MMR/Z36 IND/W17	Sub-Programme 2 of the RP Sub-Programme 2 of the CP for Myanmar Sub-Programme 2 of the CP for Indonesia	Anti-Corruption	USD 6,349,456.27
XAP/A09	Sub-Programme 3 of the RP	Terrorism Prevention	USD 6,576,817.00
XAP/A10 MMR/Z37 VNM/X92 IND/W18 VNM/T28	Sub-Programme 4 of the RP Sub-Programme 3 of the CP for Myanmar Sub-Programme 4 of the CP for Viet Nam Sub-Programme 3 of the CP for Indonesia Strengthening capacity of law enforcement and justice sectors to prevent and respond to domestic violence in Viet Nam	Criminal Justice	USD 8,762,368.00
XAP/A11 MMR/Z48 IND/W19 VNM/K16	Sub-Programme 5 of the RP Sub-Programmes 4 of the CP for Myanmar Sub-Programme 4 of the CP for Indonesia HIV prevention, care, treatment and support in prisons including pre-trial detention centres in Viet Nam	Drugs and Health and Alternative Development	USD 5,631,353

The UNODC programmatic documents for the Southeast Asian region included the promotion of gender balance and human rights. For example, the Regional Programme contributes to the improvement of human rights in the region by enhancing criminal justice mechanisms and increasing access to justice. Moreover, to promote gender equality, UNODC actively encouraged women's participation in all trainings, workshops and other activities conducted.

In addition, violence against women represents a serious violation of human rights and dignity. This problem is significant in Southeast Asia, particularly in the context of domestic violence, conflict, and human trafficking. In many countries of the region, violence against women is often viewed as a private matter that takes place behind closed doors. Some countries in Southeast Asia have inadequate laws that criminalise violence against women, while others have the laws, but these are not implemented. UNODC programmatic frameworks in the region actively contributed to countering human trafficking, as well as supporting legislation against violence. UNODC advocated for the adoption and implementation of the UN standards and norms on crime prevention and criminal justice throughout the region. This included the dissemination of guidelines and toolkits, with a specific emphasis on protecting human rights and meeting the specific needs of vulnerable groups who come into contact with the criminal justice system (e.g. prisoners, children, and victims of crime)



Main challenges during implementation

The prevailing volatile security and political situation in several of the countries in the ASEAN region remains the main challenge and complicates programme development and implementation, in particular with regards to:

- Initiating and promoting regional activities in ASEAN in areas such as cross-border cooperation has proven difficult during the period of political transition experienced by many countries due to increased focus of the national authorities on internal reforms.
- High staff turnover in national governments that are in transition, and thus change project focal points and staff who have the authority to approve UNODC interventions/projects.
- Security restrictions in some of the countries (e.g. in 2017 with the Marawi crisis in the Philippines and the situation in North Rakhine States in Myanmar) caused delays in programme implementation.
- Fundraising for regional and country programmes, which has been and remains challenging as the donor community continues to review and assess the political situation as well as the level of assistance needs thus leading it to not yet fully engage into broader funding agreements.
- Some delays in activity implementation were caused by organisation-wide reforms, notably the financial management system called “Umoja” and the related reduced delegation of authority that followed had a deep detrimental effect on the speed of project implementation.
- The number of countries covered by the Regional Programme, knowing that UNODC does not have physical presence in all of them. In addition, special monitoring measures and communication routine needed to be in place to ensure good coordination and information between UNODC's outposts in the region and the Regional Office in Bangkok.
- The Regional Programme and Country Programme/project documents included some of the indicators, of which not all could be reported (e.g. the indicator set out are difficult to measure in practice, or the relevant data is not reported by the Member States. Moreover, the lack of baselines for some Sub-Programmes made it difficult to report on results and to measure change.

Project documents and revisions of the original project document

A copy of the initial Regional Programme and Country Programmes, as well as a copy of the revised Regional Programme and Country Programmes, together with official letters, are provided as separate attachments in Annex V.

Main objectives and outcomes

Please also find main objectives and outcomes of the Regional Programme and the Country Programmes in Annex V mentioned above.

Objective of the Regional Programme (as per project document/revision):

The RP aims to contribute to a healthy safe community free from the threats posed by drugs and organized crime, and confident in the integrity of the criminal justice system to provide access to justice.

Objective of the Country Programme Myanmar (as per project document/revision):

This CP will aim to elevate UNODC assistance to the country from implementing a series of relatively small stand-alone projects to a more substantial and coherent programme of work, focused on contributing to defined strategic outcomes. The CP focuses primarily on supporting the Government of the Republic of the Union of Myanmar (GoM) strengthen its capacity to deal with national drugs and crime challenges and build national-level foundations to enable its contribution to cross-border and intra-regional cooperation promoted through the RP SEA.

Objective of the Country Programme Indonesia (as per project document/revision):

The primary objective of the CP is to support the enhancement of national capacities, policies, and programmes to respond to the pressing challenges of drugs and crime in Indonesia. This will be achieved through an integrated and balanced approach based on international cooperation and capacity-building. Furthermore, the CP will address Indonesia's national priorities while linking closely with the 2030 Agenda and the SDGs. It will also support regional collaborative efforts and frameworks.

Objective of the Sub-Programme 4 of the Country Programme for Vietnam (VNM/X92) 2016-2019 (as per project document/revision):

The Sub-Programme aims to enhanced criminal justice system response to vulnerable and disadvantaged groups

Objective of project “Strengthening capacity of law enforcement and justice sectors to prevent and respond to domestic violence in Viet Nam (VNM/T28) 2008-2016” (as per project document/revision):

The project objective is to strengthen the technical capacity of law enforcement, justice and social sectors to prevent and respond to domestic violence.

Objective of project “HIV prevention, care, treatment and support in prisons including pre-trial detention centres in Viet Nam (VNM/K16) 2010 -2017” (as per project document/revision):

The project objective is to reduce the risks of HIV transmission for populations in prisons and other detention settings in Viet Nam. It contributes to the efforts of the country towards achieving universal access in particular for prison population.

Contribution to the following thematic programme(s):

The five Sub-Programmes of the Regional Programme and the Country Programmes are drafted in accordance with the five thematic areas of UNODC Strategic Frameworks 2014-2015 and 2016 -2017 so as to enable coordinated implementation of and reporting on mandates. UNODC reports to and receives its mandates from the CND and CCPCJ, both of which are governing bodies of UNODC. The CND is the central policy-making body for drug-related matters within the UN system, providing Member States with a forum to exchange expertise, experiences and information on drug-related matters and to develop a coordinated response. The CCPCJ is the central body within the UN system covering crime prevention and criminal justice policy, including rule of law issues broadly, aspects of counterterrorism and other non-drug transnational organized crime challenges.

The Regional Programme and the Country Programmes have operated within the policy framework of the below Thematic Programmes:

- Thematic Programme on Action against Transnational Organized Crime and Illicit Trafficking
- Thematic Programme on Corruption
- Thematic Programme on Terrorism Prevention
- Crime Prevention and Criminal Justice Reform
- Addressing health and human development vulnerabilities in the context of drugs and crime

Linkage to UNDAFs

Although the Regional Programme is not necessarily directly referred to in the UNDAFs of Member States in the region, UNODC actively engages UN Country Teams by working with other UN agencies and the local authorities in the region to help the country achieve the objectives set out in those documents and in the Sustainable Development Goals through technical assistance and the sharing expertise. This has also taken the form of inter-agency programmes and cooperation, e.g. on HIV/AIDS and human trafficking.

At the Country Programme level, UNODC has worked with the UN Country team concerned on the development of the UNDAFs. In Myanmar, no UNDAF has been signed yet. For Indonesia and Vietnam, information on linkages is below:

Disbursement History

Time periods throughout the <u>lifetime of the project</u>	Total Approved Budget	Expenditure <i>(up until 26th September 2018)</i>	Expenditure in %
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Regional Programme 2014 -2019	USD 34,491,620.27	USD 24,635,394.64	71%
Country Programme Myanmar 2014-2019 (MMR/Z35, MMR/Z36, MMR/Z37 and MMR/Z48)	USD 6,856,617.00	USD 3,773,845.23	55%
Country Programme Indonesia 2017-2020 (IND/W16, IND/W17, IND/W18 and IND/W19)	USD 6,365,539.82	USD 1,331,595.84	21%
Sub-Programme 4 of Country Programme Vietnam 2016 - 2019 (VNM/X92) Strengthening capacity of law enforcement and justice sectors to prevent and respond to domestic violence in Viet Nam (VNM/T28) 2008- 2016 HIV prevention, care, treatment and support in prisons including pre-trial detention centres in Viet Nam (VNM/K16) 2010 -2017	USD 3,474,960.00	USD 3,385,565.47	97%

Purpose of the Evaluation

In line with UNODC evaluation rules and regulations, the Regional Programme, the Country Programme for Myanmar, and Sub-Programme 4 of the Country Programme for Vietnam as well as to individual projects in Vietnam all provide for a final in-depth evaluation when nearing their conclusion, while the Country Programme Indonesia would be subject to a mid-term evaluation. It is important to note that there was no evaluation of the entire RP and CPs, but only for some sub-programmes and for the previous Regional Framework. Therefore, this evaluation will deliver a comprehensive picture of the RP at large, and show how the implementation of CPs can feed into the RP.

The reason of such an evaluation is to assess the benefits/added value that the Regional Programme and Country Programmes brought by analysing their collective impact, relevance, efficiency, effectiveness and sustainability, and then derive recommendations and lessons learned from their achievements and identify areas of improvement.

The purpose of the evaluation is to determine the extent to which the planned objectives and outcomes under the Regional Programme and the Country Programmes were produced, to assess the results achieved to date, and how the resources have been utilised. In line with the UN reform, the evaluation will also inform whether to develop new Regional Programme and Country Programmes or to adjust and extend the existing Regional and Country Programmes. The evaluation should also clearly identify how the outcome and achievements of the country programmes can contribute to the regional programme at large.

The intended main users of the evaluation are UNODC management, recipient Governments and their respective beneficiaries, the Programme Coordinators and other project managers, as well as donors.

The following DAC criteria will be assessed during the evaluation: relevance, efficiency, effectiveness, impact and sustainability. In addition, established partnerships and cooperation, as well as aspects of human rights and gender mainstreaming, will be assessed. The evaluation will specifically assess how gender aspects have been mainstreamed into the project.

Scope of the Evaluation

The evaluation will cover the UNODC Regional Programme for Southeast Asia (2014-2019), the Country Programme for Myanmar (2014-2019), Sub-Programme 4 of the Country Programme for Vietnam (2016-2019) and the Country Programme for Indonesia (2017-2020). The period to be evaluated is from the start of the Regional Programme and the Country Programme Myanmar in 2014 (the Country Programme Indonesia started in 2017 and Sub-Programme 4 in Vietnam in 2016) to the end of the field mission (tentatively April 2019).

This means the full lifetime of the Regional Programme, the Country Programme Myanmar, Sub-Programme 4 of the Vietnam Country Programme and the half-way of the Country Programme for Indonesia, as well as project VNM/T28 and project VNM/K16 which ended in 2016 and 2017 respectively, will be covered.

However, this evaluation will not cover Sub-Programme 5 of Country Programme Myanmar: Sustainable Livelihoods and Development (MMR/Z39) as its mid-term evaluation was conducted in late 2017 and the report was released in early 2018. Its results can be fed into the larger evaluation of the Regional Programme and the Country Programme Myanmar.

It is important to note that there is no activity that has been carried out under Sub-Programme 1 of the Country Programme Myanmar on: Transnational organized Crime and Illicit Trafficking (MMR/Z35), which has just received funding, and the following elements within the Country Programme for Indonesia: Sub-Programme 1: Transnational Organized Crime and Illicit Trafficking (IND/W16) and Sub-Programme 2 on: Anti-Corruption (IND/W17), as none of them has received any funding. This evaluation also covers these sub-programmes to address the relevance and cohesiveness of these sub-programmes within the rest of the CPs and RP to consider recommendations on moving forward with or make revision to these sub-programmes.

Unit of analysis (full project/programme/ parts of the project/programme; etc.)	Regional Programme for Southeast Asia (XAP/A07, XAP/A08, XAP/A09, XAP/A10 and XAP/A11) Country Programme for Myanmar (MMRZ/35, MMR/Z36, MMR/Z37, and MMR/Z48) Country Programme for Indonesia (IND/W16, IND/W17, IND/W18 and IND/W19) Sub-Programme 4 of Country Programme Vietnam (VNM/X92) Strengthening capacity of law enforcement and justice sectors to prevent and respond to domestic violence in Viet Nam (VNM/T28) HIV prevention, care, treatment and support in prisons including pre-trial detention centres in Viet Nam (VNM/K16)
Time period of the project/programme covered by the evaluation	<ul style="list-style-type: none"> • Regional Programme for Southeast Asia (2014-2019) • Country Programme for Myanmar (2014-2019) • Sub-Programme 4 of Country Programme for Vietnam (2016-2019) • Country Programme for Indonesia (2017-2019) • Strengthening capacity of law enforcement and justice sectors to prevent and respond to domestic violence in Viet Nam (2008-2016) • HIV prevention, care, treatment and support in prisons including pre-trial detention centres in Viet Nam (2010 -2017)
Geographical coverage of the evaluation	Southeast Asia, with field missions to selected countries (to be decided jointly with the evaluation team, Programme Management and IES during the Inception Phase).

Key Evaluation Questions

Design	
<i>The Design of a project or programme measures the extent to which the logical framework approach was adopted.</i>	
1.	To what extent was the Regional Programme and Country Programmes designed on clearly identified needs of government counterparts and priorities in UNODC mandate areas?
2.	To what extent is the Regional Programme and Country Programmes based on sound and realistic theory of change and RBM principles as understood in 2014?
Relevance	

<p><i>Relevance is the extent to which the activity is suited to the priorities and policies of the target group, recipient and donor.</i></p>
<p>3. To what extent were the Regional Programme and Country Programmes flexible to respond to changing priorities and/or challenges in the Region, including those identified by the Member States?</p>
<p>4. To what extent have the Regional Programme and Country Programmes helped Member States in their progress towards achieving the SDGs?</p>
<p>Efficiency <i>Efficiency measures the outputs - qualitative and quantitative - in relation to the inputs.</i></p>
<p>5. To what extent has the existence/use of the Regional Programme and Country Programmes structures supported the development of project management processes between the regional office and programme offices? If so, did they increase operational efficiency? If so, what/how?</p>
<p>6. To what extent and in what ways has the organizational structure of UNODC - UNODC HQ-based management, including UNODC financial and human resource management - been supporting the Regional Programme and Country Programme's operations?</p>
<p>Effectiveness <i>Effectiveness is a measure of the extent to which an aid activity attains its objectives.</i></p>
<p>7. To what extent has the Regional Programme and Country Programmes achieved its planned results (objectives and outcomes)?</p>
<p>8. Has the Regional Programme helped to establish a more integrated programme of work for UNODC in the region? What is the value added of the Regional Programme in the region?</p>
<p>Impact <i>Impact is the positive and negative changes produced by a development intervention, directly or indirectly, intended or unintended.</i></p>
<p>9. To what extent have the Regional Programme and Country Programmes contributed to impact at the country, sub-region and regional level?</p>
<p>10. What factors have contributed to hinderance or success of the programme objectives?</p>
<p>Sustainability <i>Sustainability is concerned with measuring whether the benefits of an activity are likely to continue after donor funding has been withdrawn.</i></p>
<p>11. To what extent and how has the ownership of key stakeholders in the country been sought and institutionalized by the programmes and projects?</p>
<p>12. To what extent have the projects/programmes supported national and regional counterparts/international partners' commitment to continue working towards the Regional Programme and Country Programmes objectives after their end? What have been the success and hindering factors of these efforts?</p>
<p>Partnerships and cooperation <i>The evaluation assesses the partnerships and cooperation established during the project/ programme as well as their functioning and value.</i></p>
<p>13. How, and to what extent, was the Regional Programme conducive to the strengthening/development of existing/new partnerships at the bilateral, regional and international level?</p>
<p>14. Were the Regional Programme and Country Programmes successful tools to foster partnerships with donors and to what extent were funding requirements met?</p>
<p>Human rights, gender equality, and leaving no one behind <i>The evaluation needs to assess the mainstreaming throughout the project/programme of human rights, gender equality, and the dignity of individuals, i.e. vulnerable groups.</i></p>
<p>15. To what extent have human rights and gender principles been integrated into the design and implementation the Regional Programme and Country Programmes, bearing in mind local circumstances and context as well as UN norms and standards?</p>
<p>16. To what extent were under-represented and vulnerable groups included in the project design and implementation?</p>

Lessons learned and best practices

Lessons learned concern the learning experiences and insights that were gained throughout the project/ programme.

- | |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 17. What lessons can be learned from the implementation of the Regional Programme and Country Programmes in order to improve performance, results and effectiveness in the future? |
| 18. What lessons can be learned from the design and monitoring system of the RP and CPs to inform the future design of new RPs/CPs or the extension of the RP/CPs? |
| 19. What good practices, if any, can be identified in the RP/CPs and should be replicated in the future? |

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 stakeholders. In all cases, the evaluation team is expected to analyse all relevant information sources, such as reports, programme documents, thematic programmes, internal review reports, programme files, evaluation reports (if available), financial reports and any other documents that may provide further evidence for triangulation, on which their conclusions will be based. The evaluation team is also expected to use interviews, surveys or any other relevant quantitative and/or qualitative tools as a means to collect relevant data for the evaluation. While maintaining independence, the evaluation will be carried out based on a participatory approach, which seeks the views and assessments of all parties identified as the key stakeholders of the project/ programme, the Core Learning Partners (CLP).

The present ToR provide basic information as regards to the methodology, which should not be understood 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 the Inception Report.

In addition, the evaluation team will be asked to present a summarized methodology (including an evaluation matrix) in the Inception Report outlining the evaluation criteria, indicators, sources of information and methods of data collection. The evaluation methodology must conform to the United Nations Evaluation Group (UNEG) Norms and Standards as well as the UNODC Evaluation Policy, Norms and Standards. The evaluation methodology, approach, sampling strategy and tools developed in the Inception Report should clearly address how the evaluation will cover the regional programme, the country programmes and individual projects, and how it will address the evaluation questions for the full thematic and geographic scope of the evaluation. While the evaluation team shall fine-tune the methodology for the evaluation in an Inception Report, a mixed-methods approach of qualitative and quantitative methods is mandatory due to its appropriateness to ensure a gender-sensitive, inclusive methodology. 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 need to be gender sensitive as well as inclusive. The credibility of the data collection and analysis are key to the evaluation.

The limitations to the evaluation need to be identified and discussed by the evaluation team in the Inception Report, e.g. data constraints (such as missing baseline and monitoring data). Potential limitations as well as the chosen mitigating measures should be discussed.

When designing the evaluation data collection tools and instruments, the evaluation team needs to consider the analysis of certain relevant or innovative topics in the form of short case studies, analyses, etc. that would benefit the evaluation results.

The main elements of the evaluation process are the following:

- Preliminary desk review including initial discussions/meetings with Programme Managers and review of all relevant project documentation, (Annex II of the evaluation ToR), as provided by the Programme Manager and as further requested by the evaluation team, as well as relevant external documents (e.g. UNDAFs; SDGs; National policies and strategies, UN and global/regional strategies; etc.);
- 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), clearly indicating the approach that will allow the evaluation to cover all the various programmatic initiatives that are to be evaluated together. The Inception Report will be for IES's review and clearance before any data collection field missions take place;

- Initial meetings and interviews with the Programme Managers and other UNODC staff as well as stakeholders during the field missions;
- Interviews (face-to-face or by telephone/skype), with key project stakeholders and beneficiaries, both individually and (as appropriate) in small groups/focus 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. IES may participate in any stage of the evaluation process, including through the participation in field missions;
- Presentation of the preliminary findings and/or overview of data collection at the end of the field missions;
- Analysis of all available information; triangulation of findings and evidence;
- Preparation of the draft evaluation report (based on Guidelines for Evaluation Report and Template Report to be found on the IES website <http://www.unodc.org/unodc/en/evaluation/index.html>). The lead evaluator submits the draft report to IES for review and quality assurance. After IES clearance, the draft report will be shared with Programme Managers for the review of factual errors. Subsequently IES shares the final draft report with all CLPs for comments.
- Preparation of the final evaluation report and an Evaluation Brief (2-pager). The evaluation team incorporates the necessary and requested changes and finalizes the evaluation report in accordance with the feedback received from IES, the Programme Managers and CLPs. It further includes a PowerPoint presentation on final evaluation findings and recommendations;
- Presentation of final evaluation report with its findings and recommendations to the target audience, stakeholders etc. (in person or through Skype).
- 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 IES 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 include, among others, interviews with key stakeholders (face-to-face or by telephone), the use of surveys and questionnaires, field missions for case studies, focus group interviews, observation and other participatory techniques. Secondary data sources will include project documents and their revisions, progress and monitoring reports, previous evaluation reports, external reports and strategies (e.g. UNDAFs; SDGs; country/regional/global strategies; etc.) and all other relevant documents, including visual information (e.g. eLearning, pictures, videos, etc.).

Desk Review

The evaluation team will perform a desk review of all existing documentation (please see the preliminary list of documents to be consulted in Annex II of the evaluation ToR). This list is however not to be regarded as exhaustive as additional documentation may be requested by the evaluation team. The evaluation team needs to ensure that sufficient external documentation is used for the desk review.

Phone interviews / face-to-face consultations

The evaluation team will conduct phone interviews / face-to-face consultations with identified individuals from the following groups of stakeholders:

- Member States (including recipients and donors);
- relevant international and regional organizations;
- Non-governmental organizations working with UNODC;
- UNODC management and staff at HQ and in the field;
- UN Resident Coordinators;

Specific stakeholders will be identified during the desk review and inception phase and confirmed with programme teams.

Questionnaire

A questionnaire (on-line or mobile) may be developed and used in order to help collect the views of additional stakeholders (e.g. trainees, counterparts, partners, etc.), if deemed appropriate.

Timeframe and Deliverables

<i>Duties</i>	<i>Time frame</i>	<i>Location</i>	<i>Deliverables</i>
Desk review and drafting of Inception Report	1 st December 2018 – 11 January 2018 (12 working days for lead evaluator and 10 for team member)	Home based	Draft Inception report in line with UNODC evaluation norms and standards ⁵
Inception Mission (discussion with all programme managers in Bangkok and skype/teleconference calls as necessary on methodological approach)	Between 17 December and 20 December (2 working days for lead evaluator)	Thailand	Draft Inception report in line with UNODC evaluation norms and standards ⁶
Review of draft Inception Report by IES	21 January 2019 – 25 January 2019		Comments on the draft Inception Report to the evaluation team
Incorporation of comments from IES (can entail various rounds of comments from IES)	28 January 2019 - 30 January 2019 (3 w/d for lead evaluator and 2 for team members) <i>(1 week for IES review)</i>	Home based	Revised draft Inception Report
Deliverable A: Final Inception Report in line with UNODC evaluation norms, standards, guidelines and templates	By 7 February 2019 (overall 17 w/d for lead evaluator and 12 for team member)		Final Inception report to be cleared by IES at least one week before the field mission can get started
Evaluation missions: briefing, interviews with staff at UNODC HQ/FO (including by phone/skype); observation; focus groups; presentation of preliminary observations (if applicable)	18 February 2019 – 8 March 2019 (15 w/d for lead evaluator and 10 w/d for team members)	Austria Thailand Myanmar Indonesia Vietnam	Interviews and data collection. Preliminary findings from the evaluation mission to be discussed with the programme managers and IES
Deliverable B: Evaluation field missions conducted in line with UNODC norms, standards and guideline	By 8 March 20 19 (overall 15 w/d for lead evaluator and 10 for team member)		Evaluation missions conducted in line with IES requirements
Drafting of the evaluation report; submission to IES;	11 March 2019 – 29 March 2019 (15 w/d for lead evaluator and 13 for team member)	Home based	Draft evaluation report
Review of IES for quality assurance	1 st April 2019 – 12 April 2019		Comments on the draft evaluation report to the evaluation team

⁵ https://www.unodc.org/unodc/en/evaluation/normative-tools.html#Inception_Report

⁶ https://www.unodc.org/unodc/en/evaluation/normative-tools.html#Inception_Report

Incorporation of comments from IES (can entail various rounds of comments from IES)	15 April 2019 – 17 April 2019 (3 w/d for lead evaluator and 3 for team member)	Home based	Revised draft evaluation report
IES shares the draft report with Programme Managers for review of factual errors	18 April 2019 – 25 April 2019		Comments on the draft evaluation report to the evaluation team
Comments to be included/considered in the report	26 April 2019 – 2 nd May 2019 (4 w/d for lead evaluator and 2 for team members)	Home based	Revised draft evaluation report
Deliverable C: Draft Evaluation Report in line with UNODC evaluation norms, standards, guidelines and templates	By 2nd May 2019 (overall 22 w/d for lead evaluator and 18 for team member)		Draft evaluation report, to be cleared by IES
IES to share draft evaluation report with Core Learning Partners for comments	3 rd May 2019 – 17 May 2019		Comments of CLPs on the draft report
Consideration of comments from Core Learning Partners and preparation of draft Evaluation Brief	20 May 2019 – 24 May 2019 (4 w/d for lead evaluator and 2 for team members)	Home based	Revised draft evaluation report
Final review by IES; incorporation of comments and finalization of report and Evaluation Brief (can entail various rounds of comments from IES)	27 May 2019 – 5 June 2019 (4 w/d for lead evaluator and 2 for team member)	Home based	Revised draft evaluation report; draft Evaluation Brief
Presentation of evaluation results (to be reviewed and cleared by IES)	Tentative: 7 June 2019 (2 w/d for lead evaluator)	Bangkok Vienna	Presentation of evaluation results
Deliverable D: Final evaluation report; presentation of evaluation results; Evaluation Brief (2-pager)	By 7 June 2019 (overall 10 w/d for lead evaluator and 4 for team member)		Final evaluation report; Evaluation Brief and presentation of evaluation results, both to be cleared by IES
Programme Management: Finalise Evaluation Follow-up Plan	By 21 st June 2019		Final Evaluation Follow-up Plan to be cleared by IES
Project Management: Disseminate final evaluation report	By 28 June 2019		Final evaluation report disseminated to internal and external stakeholders
IES: facilitate the external Evaluation Quality Assessment of the Final Report			

Evaluation Team Composition

Role	Number of consultants/ evaluators (national/international)	Specific expertise required
Team leader	1 international consultant	Evaluation methodology, including human rights and gender equality

Team members	1 regional consultant 1 regional consultant 1 regional consultant	Law enforcement Criminal justice systems Health and human development
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The evaluators will not act as representatives of any party and must remain independent and impartial. The qualifications and responsibilities for each evaluator are specified in the respective job descriptions attached to these Terms of Reference (Annex 1). The evaluation team will report exclusively to the Chief or Deputy Chief of the UNODC Independent Evaluation Section, who are the exclusive clearing entity for all evaluation deliverables and products.

Absence of Conflict of Interest

According to UNODC rules, the evaluators must not have been involved in the design and/or implementation, supervision and coordination of and/or have benefited from the programme/project or theme under evaluation. Furthermore, the evaluators shall respect and follow the UNEG Ethical Guidelines for conducting evaluations in a sensitive and ethical manner.

Management of the Evaluation Process

Roles and responsibilities of ROSEAP Management, with support as needed by Country Programme Managers

The ROSEAP Management and the Evaluation Focal Point are responsible for:

- drafting and finalizing the ToR,
- selecting Core Learning Partners (representing a balance of men, women and other marginalised groups) and informing them of their role,
- recruiting the evaluation team following clearance by IES, ensuring issued contracts ahead of the start of the evaluation process in line with the cleared ToR. In case of any delay, IES and the evaluation team are to be immediately notified,
- providing desk review materials (including data and information on men, women and other marginalised groups) to the evaluation team including the full TOR,
- liaising with the Core Learning Partners,
- reviewing the draft report for factual errors only,
- developing a follow-up plan for the usage of the evaluation results and recording of the implementation of the evaluation recommendations (to be updated once per year),
- disseminate the final evaluation report and communicate evaluation results to relevant stakeholders as well as facilitate the presentation of evaluation results;
- ensure that all payments related to the evaluation are fulfilled within 5 working days after IES’s request - non-compliance by Project/Programme Management may results in the decision to discontinue the evaluation by IES.

The ROSEAP Management and the Evaluation Focal Point, with support from the Country Programme Managers will be in charge of **providing logistical support** to the evaluation team and IES staff participating in this evaluation including arranging the field missions of the evaluation team, including but not limited to:

- All logistical arrangements for the travel, including for IES staff (including travel details; DSA-payments; transportation; etc.)
- All logistical arrangement for the meetings/interviews/focus groups/etc., ensuring interview partners adequately represent men, women and other marginalised groups (including independent translator/interpreter if needed); set-up of interview schedules; arrangement of ad-hoc meetings as requested by the evaluation team; transportation from/to the interview venues; scheduling sufficient time for the interviews (around 45 minutes); ensuring that members of the evaluation team and the respective interviewees are present during the interviews; etc.)
- All logistical arrangements for the presentation of the evaluation results;
- Ensure timely payment of all fees/DSA/etc. (payments for the evaluation team must be released within 5 working days after the respective deliverable is cleared by IES).

Roles and responsibilities of the evaluation stakeholders

Members of the Core Learning Partnership (CLP) are identified by the project managers. The CLPs are the main stakeholders, i.e. a limited number of those deemed as particularly relevant to be involved throughout the evaluation process, i.e. in reviewing and commenting on the TOR and the evaluation questions, reviewing and commenting on the draft evaluation report, as well as facilitating the dissemination and application of the results and other follow-up action. Stakeholders include all those to be invited to participate in the interviews and surveys, including the CLPs.

Roles and responsibilities of the Independent Evaluation Section

The Independent Evaluation Section (IES) provides mandatory normative tools, guidelines and templates to be used in the evaluation process. Please find the respective tools on the IES web site <http://www.unodc.org/unodc/en/evaluation/evaluation.html>. Furthermore, IES provides guidance, quality assurance and evaluation expertise, as well as interacts with the project manager and the evaluation team throughout the evaluation process. IES may change the evaluation process, timeline, approach, etc. as necessary at any point throughout the evaluation-process. Specific responsibilities are included below:

- Manage the evaluation process
- Oversee the work of the evaluation team in all stages of the evaluation process;
- Contribute to the development of the evaluation methodology;
- Provide quality assurance throughout the evaluation-process;
- Participate in field missions and jointly carry out interviews;
- Participate in the data analysis process;
- Review all deliverables of the evaluation;
- Final clearance of all deliverables of the evaluation;
- Ensure that the evaluation is disseminated according to IES guidelines;
- Ensure that the evaluation findings are shared simultaneously with management and external stakeholders as per the respective resolution and IES guidelines;
- Ensure that recommendations are followed by an action plan, which will detail how and when recommendations will be implemented.

ANNEX II: EVALUATION TOOLS: QUESTIONNAIRES AND INTERVIEW GUIDES

General

This Annex consists of a number of data collection tools and questionnaires. Each one has been designed for a different target audience. The data collection tools and questionnaires are as follows:

- A. General interview guide.
 - Appendixes:
 - 1. UNODC HQ.
 - 2. UNODC regional and field offices.
 - 3. UN Regional Coordinator
 - 4. Beneficiary Member States.
 - 5. Donors.
 - 6. Civil Society Organizations and private sector.
 - 7. Partners and other UN Agencies.
 - 8. Experts (trainers or legal advisors).
- B. Generic group discussions guide.
- C. On-Site Direct Observation Guide

A. General Interview Guide

In order to collect the needed information amongst all stakeholders and ensure due process, it was best to design a series of interview guidelines. All interview guidelines will start with the following key points:

Evaluation team members:

Name of stakeholder (female and male):

Position:

Date and location of the interview:

- The evaluator thanks the interviewee for awarding time to answer our questions
- Restate objectives of the evaluation.
- 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 and that their participation will be taken as the informed consent.
- Ask first question about that interviewee's responsibility or affiliation with the RP or the CPs to get context and level of engagement.

Interview guidelines will be divided according to the types of stakeholders as identified above (sampling) and according to GE&HR guidelines and considerations for 1) UNODC HQ; 2) UNODC regional and field offices; 3) Beneficiary Member States; 4) Donors; 5) Civil Society Organizations and private sector; 6) experts (trainers or legal advisors for e.g).

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. Leave the right part of the page for note taking and comments – additional questions. A question excel sheet has been prepared with sub-questions to each question found in the matrix above. The excel sheet is changeable according to the type of stakeholder being interviewed.

Interview notes guideline – at the end of each day, each team member will review her/his notes and summarize them to send to the team leader following the template below. If possible, a debrief amongst team members will take place at the end of each day to discuss the data collection process, issues that may have arisen and missing information that is yet to collect.

Minutes template for interviews

Stakeholder (female and male):

Location:

Date:

Stakeholders 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.

Relevance:

Key Takeaways and additional information to collect

Examples:

- Had information on GE&HR & left no one behind
- Outcomes indicators are difficult to integrate on policy and legislative technical support because of lack of resources for data collection and for country level assessment before programming

Interview guide for use with HQ UNODC Staff (Vienna and New York)

Appendix 1

Introduction:

In line with UNODC Evaluation Policy and Norms and Standards, the external independent evaluation team (introduce each evaluator) has been hired to conduct a joint cluster evaluation of the RP for South East Asia

and the Pacific and of the CPs of Indonesia and Myanmar. As part of the evaluation process, your feedback is very important. Feedback, whether positive or negative, will help shape any future UNODC initiatives. Your responses will be kept confidential. You do not have to answer a question if you do not wish to do so; we can stop the interview when you wish. Only summaries and non-attributable assessments will be presented in the evaluation report. Thank you in advance for contributing to this evaluation.

Background Ask the interviewee to introduce himself/herself. “Please state your name, your position and what you know of the RP or the CPs.” Since when you have been at in this position and working for UNODC?

<p><u>Design</u></p> <ul style="list-style-type: none"> • What was the formal manner in which ROSEAP/CP/UNODC indented and agreed priorities with MS? • How does the RPs design comply with SG reforms? How might the RP and UNODC's regional architecture have to change in the future? • Are the RP and CPs based on sound and realistic theory of change? If not, how can HQ UNODC ensure that this occurs? • Does the RP use RBM? If not, how can HQ UNODC ensure that this occurs? • Were the RP and CPs designed based on evidence and data or on prior existing UNODC projects in the region? • What are the normal procedures for a RP and CP to be approved by UNODC HQ? 	
<p><u>Relevance</u></p> <ul style="list-style-type: none"> • Are UNODC's CPs and RP sufficiently flexible in responding to changing priorities? If not, what might have to change? • Are the RP's and the CP's outputs realistically linked with the SDGs? If not, what might have to change? 	
<p><u>Efficiency</u></p> <ul style="list-style-type: none"> • Does having two programmatic vehicles (CP and RP) enhance operational efficiency? • Were the RPs and CPs resources (financial and human) sufficient to support the implementation of the RP and the CPs? • Did the UNODC's structures and procedures help or hinder the RP? 	
<p><u>Effectiveness</u></p> <ul style="list-style-type: none"> • To what extent have the RP and CP achieved their planned results (objectives and outcomes)? Can you provide any examples? • Is there an added value with the Regional Programme compared to Country Programmes? 	
<p><u>Impact</u></p> <ul style="list-style-type: none"> • How do you define Impact? Do you think Impact was clearly defined in the RP? And in the CPs? 	

<ul style="list-style-type: none"> • In your opinion and experience what kind of impact can be observed at the RP level and at the CPs? • What has helped or hindered this impact? 	
<p><u>Sustainability</u></p> <ul style="list-style-type: none"> • What type of sustainability tools are commonly used by UNODC programming? At the RP, CP or GP levels? According to you, have ROSEAP, COMYA and POIND fostered member states' and other relevant stakeholders' ownership of the RP's and CP's objectives? • According to you what factors are key for UNODCs achievements to sustain after the end of the RP and the CPs' programming? • What could be done differently? 	
<p><u>Partnerships and cooperation</u></p> <ul style="list-style-type: none"> • Who were the existing partners of UNODC at the design phase of the RP and the CPs? Did they play a role? • Was a stakeholder mapping exercise conducted before the RP and the CPs were designed? Were they done per SPs? • Did new partnership emerge through the RP and the CPs? • What partnerships were renewed with the RP and the CPs? • Were any joint activities implemented or cost-shared at the RP and the CPs levels? 	
<p><u>Human rights and gender</u></p> <ul style="list-style-type: none"> • To what extent have human rights and gender principles been integrated into the design and implementation of the RP and the CPs? • How did UNODC's interventions support vulnerable groups? 	
<p><u>Lessons learned and best practices</u></p> <ul style="list-style-type: none"> • What can be learned from the RP and CPs' implementation to improve the next RP and CPs? • What can be learned from the RP's and CPs' designs and M&E for future programming? • What good practices can be identified in the RP/CPs that could be replicated in the future? 	
<p><u>AOB</u></p> <ul style="list-style-type: none"> • Do you have any additional comments or suggestions? 	
<p><u>THANK YOU!</u></p>	

Introduction:

In line with UNODC Evaluation Policy and Norms and Standards, the external independent evaluation team (introduce each evaluator) has been hired to conduct a joint cluster evaluation of the RP for South East Asia and the Pacific and of the CPs of Indonesia and Myanmar. As part of the evaluation process, your feedback is very important. Feedback, whether positive or negative, will help shape any future UNODC initiatives. Your responses will be kept confidential. You do not have to answer a question if you do not wish to do so; we can stop the interview when you wish. Only summaries and non-attributable assessments will be presented in the evaluation report. Thank you in advance for contributing to this evaluation.

Background

- Ask the interviewee to introduce himself/herself. “Please state your name, your position and what you know of the RP.” Since when you have been at in this position and working for UNODC?
- What are the key challenges faced by the country that can be addressed by UNODC’s mandate? Have they changed since the beginning of the RP and the CPs or other UNODC activities in your country?
- (see specific questions for Myanmar and Indonesia) under the country focus questions at the end of these tools.

<p><u>Design</u></p> <ul style="list-style-type: none"> • How did ROSEAP engage with MS when the RP and CP were developed? How were priorities developed and agreed? • How does the RP and CP design comply with SG reforms? What might have to change? • Can you explain how TOC and RBM have been applied to the RP/CP? • Can you explain how the RP / CPs designed using examples of evidence and data that was used to shape the design 	
<p><u>Relevance</u></p> <ul style="list-style-type: none"> • Were the RP and CPs sufficiently flexible in responding to changing priorities and/or challenges? • Are UNDOCs interventions assisting MS attain SDGs? If so how? 	
<p><u>Efficiency</u></p> <ul style="list-style-type: none"> • Have the RP and the CPs’ programmatic structures fostered greater programmed management processes and exchange between the regional and the country offices? Have these two programmatic vehicles enhanced operational efficiency? • Was the RP/CP sufficiently resourced? What gaps were there? Was there any overlap? 	

<ul style="list-style-type: none"> How did the current UNODC’s organizational structure help implement the RP and the CPs? 	
<p><u>Effectiveness</u></p> <ul style="list-style-type: none"> To what extent have the RP and CP achieved their planned results (objectives and outcomes)? Can you provide any examples? What is the value added of the Regional Programme compared to Country Programmes? What were the key performance for success (KPS) that helped the RP and CPs achieve results? Were there any unintended (negative and positive) results observed at the RP and the CPs levels? Have any results generated catalytic effects for joint programming with other agencies or that can be built on in future programming? 	
<p><u>Impact</u></p> <ul style="list-style-type: none"> Have the RP and CPs yielded any measurable impact? And to what extent have the RP and the CPs contributed to their achievement? What factors contributed to the hindrance or successes for the RP and CPs’ objectives? 	
<p><u>Sustainability</u></p> <ul style="list-style-type: none"> How was MS ownership developed and do MS feel as if they own the interventions? Will the results achieved sustain or not? What more can or should be done? 	
<p><u>Partnerships and cooperation</u></p> <ul style="list-style-type: none"> Can you provide examples of UNODC working in partnerships with other agencies and state how this helped? Or did it hinder delivery? In your view why did the RP/CP receive limited funding? 	
<p><u>Human rights and gender</u></p> <ul style="list-style-type: none"> To what extent have human rights and gender principles been integrated into the design and implementation the RP and the CPs? How did UNODC’s interventions support vulnerable groups? 	
<p><u>Lessons learned and best practices</u></p> <ul style="list-style-type: none"> What can be learned from the RP and CPs’ implementation to improve the next RP and CPs? What can be learned from the RP’s and CPs’ designs and M&E for future programming? What good practices can be identified in the RP/CPs that could be replicated in the future? 	
<p><u>AOB</u></p> <ul style="list-style-type: none"> Do you have any additional comments or suggestions? 	
<p>THANK YOU!</p>	

Introduction:

In line with UNODC Evaluation Policy and Norms and Standards, the external independent evaluation team (introduce each evaluator) has been hired to conduct a joint cluster evaluation of the RP for South East Asia and the Pacific and of the CPs of Indonesia and Myanmar. As part of the evaluation process, your feedback is very important. Feedback, whether positive or negative, will help shape any future UNODC initiatives. Your responses will be kept confidential. You do not have to answer a question if you do not wish to do so; we can stop the interview when you wish. Only summaries and non-attributable assessments will be presented in the evaluation report. Thank you in advance for contributing to this evaluation.

Background

- Ask the interviewee to introduce himself/herself.
“Please state your name, since when you have been in your post as RC in this country.”
- Can he/she explain the level of engagement with UNODC?
- Is he/she aware of the RP or the CPs?

<p><u>Design</u></p> <ul style="list-style-type: none"> • According to him/her, are the RP or CPs reflecting the MS’ priority? And the region’s priorities? • How can the UN agencies best engage with each other in his/her opinion to fit within the new SG reforms? • What needs to change in his/her opinion with regards UNCT and how UN agencies have cooperated so far? 	
<p><u>Relevance</u></p> <ul style="list-style-type: none"> • Are UNDOCs interventions assisting MS attain SDGs? In your opinion 	
<p><u>Efficiency</u></p> <ul style="list-style-type: none"> • How can the work of the different agencies be more efficient in a country or at the regional level in your opinion? 	
<p><u>Effectiveness</u></p> <ul style="list-style-type: none"> • How effective are the CTs in coordinating the UN agencies activities in your country/ies? (If the RC covers several countries.) • What will the CT and the UN agencies have to do differently in your opinion to meet the SG reforms? • Will that impact how programming is currently done by UNODC and other agencies? 	
<p><u>Partnerships and cooperation</u></p> <ul style="list-style-type: none"> • How often does UNODC participate within the UNCT? • How does the CT help foster partnership? • How will UN agencies partner in your opinion to meet the SG reforms? What should be done differently? 	
<p><u>Lessons learned and best practices</u></p>	

<ul style="list-style-type: none"> • What can be learned from the previous CTs and how UN agencies have cooperated so far? • What could be replicated to meet the new SG reforms? 	
<p><u>AOB</u></p> <ul style="list-style-type: none"> • Do you have any additional comments or suggestions? 	
<p>THANK YOU!</p>	

Interview guide for use with Beneficiary Member States

Appendix 4

Introduction:

In line with UNODC Evaluation Policy and Norms and Standards, the external independent evaluation team (introduce each evaluator) has been hired to conduct a joint cluster evaluation of the RP for South East Asia and the Pacific and of the CPs of Indonesia and Myanmar. As part of the evaluation process, your feedback is very important. Feedback, whether positive or negative, will help shape any future UNODC initiatives. Your responses will be kept confidential. You do not have to answer a question if you do not wish to do so; we can stop the interview when you wish. Only summaries and non-attributable assessments will be presented in the evaluation report. Thank you in advance for contributing to this evaluation.

Background

- Ascertain the identify and the position of the stakeholder. Since when in that position?
- Since when the stakeholders have been engaging with UNODC? And for what specific activities?
- Have the priorities of his/her country changed over the last few years?
- (see specific questions for Myanmar and Indonesia) in the annex of the IR

<p><u>Design</u></p> <ul style="list-style-type: none"> • What information was shared with UNODC during the design phase? Did UNODC use your priority assessments or develop their own? • What information does UNODC require you to provide during and after an intervention? • What are the typical types of assistance you have received from UNODC over the last 5 years? Have you observed any changes in the process? 	
<p>Relevance</p> <ul style="list-style-type: none"> • Were the RP and CPs sufficiently flexible in responding to changing priorities and/or challenges? • Are UNDOCs interventions assisting MS attain SDGs? If so how? What would you like UNODC do to help you achieve the SDGs? 	
<p><u>Efficiency</u></p> <ul style="list-style-type: none"> • In your view how efficient have UNODC been at delivering interventions? Can you provide an example? • Where you informed sufficiently in due time? • What would like UNODC do things differently, if anything? 	
<p><u>Effectiveness</u></p> <ul style="list-style-type: none"> • Can you provide an example of what has been achieved with UNODC assistance? • How is UNODC keeping you informed of progress in your country? • Have you participated any progress report meetings or programme governance committee? • How would like to be kept informed of progress in your country? 	
<p><u>Impact</u></p>	

<ul style="list-style-type: none"> • In your opinion what is the impact of UNODC's assistance in your country? Can you provide an example? • What in your view stopped or hindered UNODC achieving its objectives in your country? 	
<p><u>Sustainability</u></p> <ul style="list-style-type: none"> • In your opinion how can the activities implemented by UNODC be sustainable? Do you have in mind certain activities that are already sustainable and no longer relying on UNODC's support? • What can UNODC do to help these activities become sustainable even after they no longer provide funding? • How do you see the role of your administration in the engagement with UNODC? 	
<p><u>Partnerships and cooperation</u></p> <ul style="list-style-type: none"> • What other UN agencies do your administration work with? • When UNODC starts approaching you with new proposals, would you prefer them to be unilaterally delivered by UNODC or in partnership with other agencies? 	
<p><u>Human rights and gender</u></p> <ul style="list-style-type: none"> • Part of UNODC's mandate as any other UN agency is to advance and promote the respect of HR, Gender and No one left behind principles. Do you think UNODC's activities help your country advance on the promotion of these principles? Can you give examples on how such principles are now integrated within your national policies or activities? (except for Myanmar – see questions on HR in the case study questions) underneath- as HR issues are sensitive in the country. • What vulnerable groups in your society could be better supported by UNODC's work? • How have UNODC activities helped to promote gender equality in your country? Can you give examples? 	
<p><u>Lessons learned and best practices</u></p> <ul style="list-style-type: none"> • In your opinion, what are the key lessons learned in your engagement with UNODC that could be applied for future programmatic activities? • Are there any practices/processes that you think are worth replicating in future programmes and activities? • Anything you would like UNODC to do differently? 	
<p><u>AOB</u></p> <ul style="list-style-type: none"> • Do you have any additional comments or suggestions? 	
<p>THANK YOU!</p>	

Introduction:

In line with UNODC Evaluation Policy and Norms and Standards, the external independent evaluation team (introduce each evaluator) has been hired to conduct a joint cluster evaluation of the RP for South East Asia and the Pacific and of the CPs of Indonesia and Myanmar. As part of the evaluation process, your feedback is very important. Feedback, whether positive or negative, will help shape any future UNODC initiatives. Your responses will be kept confidential. You do not have to answer a question if you do not wish to do so; we can stop the interview when you wish. Only summaries and non-attributable assessments will be presented in the evaluation report. Thank you in advance for contributing to this evaluation.

Background

- **Ascertain the background knowledge of the interviewee. “Please state your name, your position and what you know of the RP and the CPs.”**
- **Is that your first engagement with UNODC?**

Design

- Did you fund the RP or the CP? Or GPs activities that were earmarked for certain countries?
- Were the proposals aligned with your priorities?
- How did UNODC articulate the needs of recipients in its proposals? Did UNODC make use of your own assessments?
- Was UNODC’ intervention logic clearly stated in the proposals?
- Were the stakeholders clearly identified in the country/ies to implement the RP or the CPs or GPs activities that you funded?
- Where HR, Gender and No one left behind well integrated in the proposals?

Relevance

- Were the priorities identified in the RP and the CPs or in the UNODC proposals aligned with yours and the country/ies needs?
- In your opinion are UNDOCs’ interventions assisting MS attain SDGs? If yes how and if not, why not?
- Were the RP and CPs sufficiently flexible in responding to changing priorities and/or challenges?

Efficiency

- In your opinion were the RP/CPs or GPs activities efficient tools for UNODC to implement their activities? Any preference from RP to CP? Or GP?
- Were you satisfied with the level of reporting on progress by UNODC’s teams? Were you engaged with RP/CP or GPs level managers?
- Do you know what the programme governance committees are? Have you ever attended one?

Effectiveness

- In your opinion did the RP/CP achieve the desire effects as you had expected?
- If yes, can you give examples?

<ul style="list-style-type: none"> • Can you attribute the achieved results to UNODC? Or do you fund other agencies on the same thematic in the same country? • If not, can you explain from your perspective what can UNODC do differently to achieve its objectives more effectively? 	
<p><u>Impact</u></p> <ul style="list-style-type: none"> • In your opinion what impact have the CPs or RP had? Can you provide an example? • What in your view stopped or hindered UNODC achieving its objectives? • What would you recommend UNODC to do differently? 	
<p><u>Sustainability</u></p> <ul style="list-style-type: none"> • Have the RP, and the CPs fostered Member States' and other relevant stakeholders' ownership of the RP's and CP's objectives? • In your opinion, do member states understand the shared responsibility that the RP and the CPs objectives represent? What processes are in place for the MS to take ownership of the outcomes of the RP and the CPs? • Does UNODC have tools to build the foundations for long-term sustainability of its activities through the RP and/or the CPs and GPs? 	
<p><u>Partnerships and cooperation</u></p> <ul style="list-style-type: none"> • How does UNODC approach you? through headquarters, regional or country offices? • Did UNODC approach you with a unilateral proposal or in conjunction with other agencies? • In your view, what would make the fundraising efforts undertaken by UNODC be more successful? 	
<p><u>Human rights and gender</u></p> <ul style="list-style-type: none"> • Are you content with UNODC's attempts to integrate HR, gender and No one left behind principles into all its activities? What more in your opinion can UNODC do? • In your opinion, what type of UNODC activities help in the advancement of gender sensitive policies? • How in your opinion does UNODC's interventions support vulnerable groups? • With these principles, what would you like UNODC to do differently? 	
<p><u>Lessons learned and best practices</u></p> <ul style="list-style-type: none"> • What lessons learned from the activities you have funded are worth taking into consideration for future programming? • What best practices are worth replicating in your opinion? 	

In line with UNODC Evaluation Policy and Norms and Standards, the external independent evaluation team (introduce each evaluator) has been hired to conduct a joint cluster evaluation of the RP for South East Asia and the Pacific and of the CPs of Indonesia and Myanmar. As part of the evaluation process, your feedback is very important. Feedback, whether positive or negative, will help shape any future UNODC initiatives. Your responses will be kept confidential. You do not have to answer a question if you do not wish to do so; we can stop the interview when you wish. Only summaries and non-attributable assessments will be presented in the evaluation report. Thank you in advance for contributing to this evaluation.

Background

- Ascertain the background knowledge of the interviewee. “Please state your name, your position and what you know of the RP, CPs or what type of activities did you receive from UNODC.”
- Ask them to briefly present their organization’s mandates and how they were approached by UNODC.

<p><u>Design</u></p> <ul style="list-style-type: none"> • In your opinion are UNODC's interventions based on accurate needs of the MS they support or your country’s key priorities? • Were they consulted prior the activities they received by UNODC? • Were HR, Gender and No one Left behind principles integrated into the activities you received? Did UNODC consult you on the best way to approach these topics in the context of your activities? 	
<p><u>Relevance</u></p> <ul style="list-style-type: none"> • Are the UNODC activities proffered to your organization relevant to your mandate? • What type of activities did you receive? • What would you like to be done differently? 	
<p><u>Efficiency</u></p> <ul style="list-style-type: none"> • How did UNODC help your organization attend or organize the activities? Were you informed in due time? What could have been done differently? 	
<p><u>Effectiveness</u></p> <ul style="list-style-type: none"> • Were the objectives of the activities achieved according to you? • Did UNODC’s activities overlap with others? Were they redundant? Or complementary with other organizations’ activities? • Did UNODC conduct any follow-up monitoring on how the activities are serving your organization or your beneficiaries? • What could be done differently, if anything, in your opinion? • Did you attend any UNODC RP or CP’s progress report meetings with other stakeholders? 	
<p><u>Impact</u></p> <ul style="list-style-type: none"> • In your opinion what is the impact of the RP or the CPs or the activities you received from UNODC? • Is the UNODC the sole player working toward achieving these objectives? 	

<ul style="list-style-type: none"> • What is the level of contribution of UNODC towards achieving the objectives set forth in the activities and the overall objectives of the RP/CPs? 	
<p><u>Sustainability</u></p> <ul style="list-style-type: none"> • In your opinion are the RP/CPs or UNODC’s activities owned by UNODC or the MS? • Will UNODCs achievements sustain after the end of the RP and the CPs’ programming in your opinion? • What is required in your opinion to sustain these activities in your country? 	
<p><u>Partnerships and cooperation</u></p> <ul style="list-style-type: none"> • Do you cooperate with other UN agencies? On the same thematics or others? • Are there any other partners that UNODC should be working with to achieve greater effect in your opinion? 	
<p><u>Human rights and gender</u></p> <ul style="list-style-type: none"> • Is UNODC integrating HR in its activities that you received? Is that the best way to approach these principles in your opinion in your country? What else can UNODC do? • Were gender equality and mainstreaming principles integrated into the activities? Is that the best way to approach these principles in your opinion in your country? What else can UNODC do? • How are vulnerable groups considered in UNODC’s activities? 	
<p><u>Lessons learned and best practices</u></p> <ul style="list-style-type: none"> • What lessons learned from the activities you received from UNODC are worth taking into consideration for future programming? • What best practices are worth replicating in your opinion? • What would you like UNODC to do differently? 	
<p><u>AOB</u></p> <ul style="list-style-type: none"> • Do you have any additional comments or suggestions? 	
<p>THANK YOU!</p>	

Interview guide with Partners

Appendix 7

Introduction:

In line with UNODC Evaluation Policy and Norms and Standards, the external independent evaluation team (introduce each evaluator) has been hired to conduct a joint cluster evaluation of the RP for South East Asia and the Pacific and of the CPs of Indonesia and Myanmar. As part of the evaluation process, your feedback is very important. Feedback, whether positive or negative, will help shape any future UNODC initiatives. Your responses will be kept confidential. You do not have to answer a question if you do not wish to do so; we can stop the interview when you wish. Only summaries and non-attributable assessments will be presented in the evaluation report. Thank you in advance for contributing to this evaluation.

Background

- **Ascertain the background knowledge of the interviewee.**
“Please state your name, your position in your entity, and the mandate of your entity.
- **Ask them to briefly present the nature of their partnership with UNODC? And since when? Do they know if they are engaged through the RP or the CPs or the GPs?**

Design

- In your opinion are UNODC's interventions based on accurate needs of the MS they support or your country's key priorities? (depending if the partner is Regional institution or a country entity)
- Were you consulted before the RP or the CPs was designed?
- Were HR, Gender and No one Left behind principles integrated into the activities you received? Did UNODC consult you on the best way to approach these topics in the context of your country or your regional body's mandate?
- Are UNDOCs interventions assisting MS or your country attain SDGs?

Relevance

- Are the UNODC activities proffered to your country or regional entity relevant?
- Were the terms of the partnership with UNODC relevant to your country or to your entity?
- What would you like to be done differently?

Efficiency

- In your view how efficient have UNODC been at delivering interventions? Can you provide an example?
- Was the RP/CP sufficiently resourced? What information and reporting did UNODC share with you? Was this sufficient?

Effectiveness

- Can you provide an example of what has been achieved with UNODC assistance?
- How is UNODC keeping you informed of progress in your country?
- Have you participated any progress report meetings or programme governance committee?

<ul style="list-style-type: none"> • Do you work with other UN agencies on the same thematic? Is there an overlap of activities between UNODC and other agencies? • How would like to be kept informed of progress in your country? 	
<p><u>Impact</u></p> <ul style="list-style-type: none"> • In your opinion what is the impact of the RP or the CPs or the activities implemented by UNODC? • Is the UNODC the sole player working toward achieving these objectives? • Can you attribute results to UNODC only? If yes, why and if not, why not? • What is the level of contribution of UNODC towards achieving the objectives set forth in the activities and the overall objectives of the RP/CPs? 	
<p><u>Sustainability</u></p> <ul style="list-style-type: none"> • In your opinion are the RP/CPs or UNODC’s activities owned by UNODC or the MS? • Will UNODCs achievements sustain after the end of the RP and the CPs’ programming in your opinion? • What is required in your opinion to sustain these activities in your country? 	
<p><u>Partnerships and cooperation</u></p> <ul style="list-style-type: none"> • Can you explain what are the terms of your partnership with UNODC? Do you have an MoU in place or another partnership agreement? • Are the parties’ responsibilities clear and understood? • How do you communicate with each other? And is it through HP, the regional office or the country managers? • What would you like to be done differently, if anything? 	
<p><u>Human rights and gender</u></p> <ul style="list-style-type: none"> • Is UNODC integrating HR in its activities in your opinion? Is that the best way to approach these principles in your opinion in your country or for your regional entity? What else can UNODC do? • Were gender equality and mainstreaming principles integrated into the activities? Is that the best way to approach these principles in your opinion in your country or for your regional entity? What else can UNODC do? <p>How are vulnerable groups considered in UNODC’s activities? What else can be done?</p>	
<p><u>Lessons learned and best practices</u></p> <ul style="list-style-type: none"> • What lessons learned from the activities you received from UNODC are worth taking into consideration for future programming? • What best practices are worth replicating in your opinion? • What would you like UNODC to do differently? 	
<p><u>AOB</u></p> <ul style="list-style-type: none"> • Do you have any additional comments or suggestions? 	
<p>THANK YOU!</p>	

Introduction:

In line with UNODC Evaluation Policy and Norms and Standards, the external independent evaluation team (introduce each evaluator) has been hired to conduct a joint cluster evaluation of the RP for South East Asia and the Pacific and of the CPs of Indonesia and Myanmar. As part of the evaluation process, your feedback is very important. Feedback, whether positive or negative, will help shape any future UNODC initiatives. Your responses will be kept confidential. You do not have to answer a question if you do not wish to do so; we can stop the interview when you wish. Only summaries and non-attributable assessments will be presented in the evaluation report. Thank you in advance for contributing to this evaluation.

Background

- **Ascertain the background knowledge of the interviewee.**
“Please state your name, your position and since when and for what have you been engaged by UNODC? Was it for activities under the RP, the CPs or the GPs?”

<p><u>Design</u></p> <ul style="list-style-type: none"> • From your standpoint as trainer or expert, are there any advantages of having an RP or a CP to design and implement your activities? • Were you consulted on the design of the activities you were recruited for? • Do you think the activities are designed to best fit the needs of the trainees? • Were HR, gender and No one Left behind policies integrated into the trainings, or capacity building activities you delivered? • Were the training activities based on identified needs? Or prior consultations with the stakeholders? 	
<p><u>Relevance</u></p> <ul style="list-style-type: none"> • Were the topics approached relevant to the trainees or stakeholders that received the technical assistance? 	
<p><u>Efficiency</u></p> <ul style="list-style-type: none"> • Were the trainings and technical assistance activities organized efficiently? • What could have been differently? 	
<p><u>Effectiveness</u></p> <ul style="list-style-type: none"> • Are the trainings and capacity building activities an effective tool to achieve the expected outcomes? • How are the outcomes of the activities monitored? • Do you conduct a pre-training survey and post-training questionnaire? • Do you or UNODC’s managers conduct follow up monitoring activities with the stakeholders to understand how the trainings have been useful or not in their daily work? 	
<p><u>Impact</u></p> <ul style="list-style-type: none"> • In your opinion, how are the training and TA helping the stakeholders achieve the set objectives as per the CP or the RP? 	
<p><u>Sustainability</u></p>	

<ul style="list-style-type: none"> • Do you know if the trainings or the TA are integrated within the curriculum of LE and the judiciary academies or specific training bodies in the country or at the regional level? • Can similar TA and trainings be implemented without UNODC’s funding and technical expertise? 	
<p><u>Partnerships and cooperation</u></p> <ul style="list-style-type: none"> • Are the trainings or TA implemented with other UN agencies or other partners? If yes, with whom? And what was your opinion of the partnership? 	
<p><u>Human rights and gender</u></p> <ul style="list-style-type: none"> • How were the HR, Gender and No one left behind principles integrated into your activities? • What challenges did you encounter when you approached these principles? If any, 	
<p><u>Lessons learned and best practices</u></p> <ul style="list-style-type: none"> • What key lessons learned in the design and implementation phases of the trainings and the TA be applied to future programming in your opinion? • What are the best practices you would like UNODC to replicate in future trainings and RP and CPs? 	
<p><u>AOB</u></p> <ul style="list-style-type: none"> • Do you have any additional comments or suggestions? 	
<p>THANK YOU!</p>	

B. Generic Group Discussions

In line with UNODC Evaluation Policy and Norms and Standards, the external independent evaluation team (introduce each evaluator) has been hired to conduct a joint cluster evaluation of the RP for South East Asia and the Pacific and of the CPs of Indonesia and Myanmar. As part of the evaluation process, your feedback is very important. Feedback, whether positive or negative, will help shape any future UNODC initiatives. Your responses will be kept confidential. You do not have to answer a question if you do not wish to do so; we can stop the interview when you wish. Only summaries and non-attributable assessments will be presented in the evaluation report. Thank you in advance for contributing to this evaluation.

Background: Ascertain the background knowledge of the interviewee. “Please state your name, your position and what you know of UNODC activities you have received/benefitted from.”

Questions:

- What is your organisation and what support did it receive from UNODC–
- What, from your organization’s perspective were the added value of UNODC’s interventions?
- How relevant were UNODC’s activities to your job/role in your organisation/s?
- How well was the training or technical assistance delivered?
- Has the performance of your organisation increased during the last couple of years, if so by how?
- What follow up training or assistance might you or your associates need to ensure there is no skill fade? Have UNODC managers or experts been in contact with you several months after the trainings to assess how the activities have served you?
- How does your organisation coordinate its activities with other agencies? What other agencies do you work with? And are they covering the same topics as with UNODC?
- What human rights considerations did UNODC discuss or introduce as part of your training or assistance?
- How were gender equality and gender mainstreaming included in your training or assistance?
- Were different vulnerable groups considered in the activities received by UNODC?
- What are best takeaways from the trainings or the Technical assistance proffered by UNODC you remember?
- Going forward, what are the issues going forward and what are the risks to success?
- What could be done differently?

AOB

Do you have any additional comments?

THANK YOU!

On-Site Direct Observation Guide

Objectives for the evaluators: collect photos, but also observe how equipment are used or not; how some training rooms have been equipped, whether the supposed equipment (as per activities in the CPs and RPs) have been delivered or not; are they still in their boxes or are they operational? Is the room where the equipment (for computers or laboratory equipment) is being used or is locked and no one is there. If vehicles, do they look like they being used? Or they licenced?

To take pictures: as for permission- if not allowed, you reiterate that it is not a problem and you put your phone or your camera away. Do not raise any issue.

In some countries, check the areas – in the streets- where you will take pictures – if there is a governmental building you might not be able, and a security guard will ask you to delete the photos right away or you might be arrested (e.g. Egypt that can happen). So, make sure you check the area before you take any pictures. With local communities, ask first if you can take pictures.

ANNEX III: DESK REVIEW LIST

UNODC DOCUMENTS

	General UNODC and other UN documents
1	UNODC organigram
2	UNODC Menu of Services
3	UNODC website: UNODC and the Sustainable Development Goals ⁷
4	UNODC and the Sustainable Development Goals ⁸
3	UNODC: Better Data to monitor violence, trafficking, corruption and access to Justice (2017) ⁹
4	ECOSOC Report of the Inter-agency and Expert Group on Sustainable Development Goal Indicators (E/CN.3/2017/2*) ¹⁰
5	UNODC Independent Evaluation Unit: Meta-Analysis 2011-2014 ¹¹
6	UNODC Independent Evaluation Unit: Meta-Analysis 2015-2016 ¹²
7	UNODC IES: Evaluation-based analysis of good practices in UNODC's approach to capacity building ¹³
8	UNODC Position Paper on Human Rights (2012) ¹⁴
9	UNODC: Guidance Note on Gender Mainstreaming in UNODC (2013) ¹⁵
10	UNODC evaluation guidelines, templates, handbook, policy ¹⁶
11	UNODC Inception Report Guidelines and Template ¹⁷
12	UNODC Evaluation Report Guidelines and Template ¹⁸
13	UNODC Evaluation Quality Assessment ¹⁹
14	UNEG: Integrating human rights and gender equality in evaluation ²⁰
15	UNEG Norms and Standards for Evaluation (2016) ²¹
16	UNEG Ethical Guidelines for Evaluation ²²
17	UN: United Nations Development Assistance Framework Guidance (2017) ²³
18	Professional Peer Review of the Evaluation Function of UNODC
19	UNODC Programme and Operations Manual
20	UNODC Annual Report 2016
21	UNODC_IES_Evaluation-based_Capacity_Building_Analysis_final_October_2017
22	UNODC Final ToR RP SEA and CPs Evaluation 30Nov2018
23	UNODC Handbook on Results-based Management and the 2030 Agenda for Sustainable Development
24	UNODC Mandate
25	UNODC Evaluation Report Guidelines and Template
26	UNODC World Drug Report 2018, 2017, 2016
27	The Great Mekong Sub-Region, MOU on Drug Control, 2015
28	Audit Reports: UNODC operations in SEA and Pacific (Assignment No. AE 2016/260/01), LAO K44, MMR AD

⁷ <https://www.unodc.org/unodc/en/about-unodc/sustainable-development-goals/sdgs-index.html>

⁸ https://www.unodc.org/documents/SDGs/UNODC-SDG_brochure_LORES.pdf

⁹ https://www.unodc.org/documents/data-and-analysis/Crime-statistics/Brochure_goal16_2017_web.pdf

¹⁰ <https://unstats.un.org/unsd/statcom/48th-session/documents/2017-2-IAEG-SDGs-E.pdf>

¹¹ http://www.unodc.org/documents/evaluation/Meta-Analysis/UNODC_Evaluation_Meta-Analysis_2011-2014.pdf

¹² http://www.unodc.org/documents/evaluation/Meta-Analysis/UNODC_IES_Evaluation_Meta-Analysis_2015-2016.pdf

¹³ http://www.unodc.org/documents/evaluation/Knowledge-Products/UNODC_IES_Evaluation-based_Capacity_Building_Analysis_final_October_2017.pdf

¹⁴ https://www.unodc.org/documents/justice-and-prison-reform/UNODC_Human_rights_position_paper_2012.pdf

¹⁵ <http://www.un.org/womenwatch/directory/docs/UNODC-GuidanceNote-GenderMainstreaming.pdf>

¹⁶ <https://www.unodc.org/unodc/en/evaluation/guidelines-and-templates.html>

¹⁷ https://www.unodc.org/documents/evaluation/Guidelines/UNODC-IES_Inception_Report_Guidelines.pdf

¹⁸ https://www.unodc.org/documents/evaluation/Guidelines/Guidelines_for_UNODC_Evaluation_Reports.pdf

¹⁹ <https://www.unodc.org/unodc/en/evaluation/evaluation-quality-assessments.html>

²⁰ <http://www.uneval.org/document/detail/1616>

²¹ <http://www.uneval.org/document/detail/1914>

²² <http://www.uneval.org/document/detail/102> <http://www.unevaluation.org/document/detail/100>

²³ <https://undg.org/document/2017-undaf-guidance/>

	Programme OIOS outstanding recommendations ROSEAP update 2017
29	Voluntary national Reviews of the SDGs ²⁴
30	UNDAF: Myanmar, Philippines, Cambodia (Indonesia – UNDPF, Lao – UNPF, Thailand – UNPAF, Vietnam – One (UN) Plan)
31	ASEAN-UN POA_9 March 2017
	ROSEAP Documents
32	Organigram
33	Annual Costed Workplan _All Sub Programmes
34	Regional Programme Booklet 2017
35	Sub-Programme 1 2017 XAPA07
36	Sub-Programme 2 2017 XAPA08
37	Sub-Programme 3 2017 XAPA09
38	Sub-Programme 4 2017 XAPA10
39	Sub-Programme 5 2017 XAPA11
40	Team Profile 2017
41	Myanmar_Shan_Opium_Poppy_Report March 2016
42	Alternative_Development_Working_Paper_2015
43	Mekong River Drug Threat Assessment
44	Myanmar Opium Survey 2017
45	The Challenge of Synthetic Drugs in East_2015
46	The_Challenge_of_Synthetic_Drugs_in_East_and_South-East-Asia_2017
47	Trafficking Route Report_Final
48	MOU Brochure
49	Booklet
50	MOU Diagram
51	MOU Folder
52	Thematic Area 1
53	Thematic Area 2
54	Thematic Area 3
55	Thematic Area 4
56	MoU 2103 Ministerial Meeting Report
57	MoU 2015 Ministerial Meeting Report
58	2nd Amendment to the addendum 21 May 2015
59	1993 MoU& 1995 Protocol Revision
60	Addendum on Partnership 2001-2002
61	Amendment to Addendum on Partnership Signature 17 Jul 2009/with signing pictures and signatories
62	China 2017 pledge to UNODC
63	China 2017 pledge to ROSEAP
64	2016 Thailand Letter
65	AFP UNODC Joint for Drug Test kits
66	Australian fund to the test kits
67	Letter to Fedotov on contributions
68	NCE workshop for ASEAN Regional Forum ATTIC
69	Note 1, Pledge letter 2016
70	Note Verbale, China, US 2013
71	Pledge letter ASEAN
72	Pledge letter China 2018
73	Pledge letter Thailand 2
74	Pledge letter Thailand US 22 Oct 2014
75	Programming Chine 2018 for XAPA07 and XAPA 11

²⁴ <https://sustainabledevelopment.un.org/memberstates/brunei>; <https://sustainabledevelopment.un.org/memberstates/cambodia>; <https://sustainabledevelopment.un.org/memberstates/lao>; <https://sustainabledevelopment.un.org/memberstates/thailand> <https://sustainabledevelopment.un.org/memberstates/myanmar> <https://sustainabledevelopment.un.org/memberstates/malaysia> <https://sustainabledevelopment.un.org/memberstates/philippines> <https://sustainabledevelopment.un.org/memberstates/vietnam> <https://sustainabledevelopment.un.org/memberstates/singapore> <https://sustainabledevelopment.un.org/memberstates/indonesia> <https://sustainabledevelopment.un.org/memberstates/timorleste>

76	UNODC acknowledgement letter, China/ US
77	Viet Nam 2016-2018
78	SAP 1X v9
79	Workplans for SAP Sam 20150306
80	SAP X Final
81	Phnom Penh Declaration on the Drug Problem
82	Global Affairs Canada 2017 08 01
83	Global Affairs Canada 2018 01 31
84	150 364 UNODC 122 ACCBO 2015 Proposal Investigators Prosecutors v3
85	161101 CCBP 364 interim report v1
86	180917 Final Results and Operations report v1
87	ACCBP 2015 364 Grant Arrangement Signed by IGD March 29 2016
88	170419 VRS MSRC Phase II Progress Report v4
89	180720 VRS MSRC Phase II Programme Report 18 Months v2
90	VRS Steering Committee Meeting 2018
91	VRS Steering Committee Meeting 2015
92	VRS Steering Committee Meeting 2016
93	Pacific Stakeholders Workshop Oct 2018
94	160308 PIU Germany Proposal v1
95	1705011 XAP A07 Approval No Cost Extension
96	180702 PIU Interim Report v2
97	181210 PIU Final Report XAP A07 - Human Trafficking
98	Donor Agreement PIU
99	160329 INL Workshop
100	180124 2017 INL Q4 Report XAPA 07
101	180409 2018 INL Q1 Report XAPA 07
102	180625 2018 INL Q2 Report XAPA 07
103	181116 INL Final Report XAPA 07
104	160329 Joint RSO Proposal v2
105	170601 Joint RSO Proposal logical Framework
106	USD Funds for XAPA 07 Southeast Asia
107	SAF Final Inception Report
108	180705 UN Agency to UN agency contribution
109	181023 UNODC SAF Technical input 1
110	181214 UNODC SAF Technical input 2
111	UNWOMEN-UNODC Agreement 24092018
112	Criminalisation of SoM in ASEAN Member States 2018
113	Criminalisation of SoM in Myanmar 2018
114	Final Report SOM in Border Communities
115	Full Draft UNODC Facilitators of SOM Working shops in South East Asia
116	Main Report Migrant Smuggling and the Internet in South East Asia
117	Migrant Smuggling in Asia and the Pacific Current Trends and Challenges V2 July 2018
118	Trafficking in persons to Thailand report Aug 2017
119	BLO User Guide to drugs and Precursors
120	BLO User Guide FTF
121	BLO Guide Irregular Migration
122	BLO User Guide Migrant Smuggling
123	BLO User Guide Wildlife
124	BLO Brochure
125	TOC Manual (Eng, Khmer, Thai, Burmese)
126	Interim Report _Japan (Apr-Sept 17) _XAPA07 (Border Management Myanmar)
127	2018_BM_XAPA07 (Border Management Myanmar)
128	2017 INL Q3 report (XAPA07 Regional Border Management)
129	2017 INL Q4 report (XAPA07 Regional Border Management)
130	2018 INL Q1 report (XAPA07 Regional Border Management)

131	2018 INL Q2 report (XAPA07 Regional Border Management)
132	2018 INL Q3 report (XAPA07 Regional Border Management)
133	UNODC_RP Outcome 7 Cyber Crime
134	One pager ASEAN Crypto currencies Project /Cyber CT
135	One Pager Interim Report Japanese fund (Apr-Sept 2018) XAPA07 Cybercrime Cyber CT and Cyber CRYPTO Project
136	SE Asia Counter Terrorism in Cyberspace_Jap SB revised 2018
137	SE Asia Cybercrime and Crypto currencies Japan SB revised 2018
138	Allocation of Supplementary budget Feb 2018
139	ED acknowledgement letter for the 2018 supplementary budget
140	Pledge letter from Japan for 2018 supplementary budget Feb 2018
141	Online Child sexual Exploitation SEA OSCE Conference (Concept Note, agenda, invitation let.)
142	UNODC ECPAT DSI 2018
143	Philippines, Oct 2018, LRLG (Agenda, notes, mission report)
144	Regional Cryptocurrencies Investigation Training 18-22 July, 19-22 Sept 2017
145	Cybercrime Roundtable in the Philippines 20-24 Nov 2017
146	Round table discussion Bangkok 26-30 March 2018
147	Thailand National Capacity Building on Cyber Crime 2018
148	Indonesia Cyber Crime training 2-6 July 2018
149	Project Proposal Against Internet use for Terrorism 15-17 Aug 2018
150	Laos Cybercrime Roundtable
151	Laos Cybercrime Training
152	Lao Mission Report
153	Fiji Cybercrime Roundtable
154	Fiji Cybercrime 3-7 Sep 2018
155	Fiji Mission Report
156	Vietnam Cybercrime CITC&NCRD 24-28 Sept 2018
157	Vietnam Mission Report
158	OSCE Conference 2-3 Oct
159	Cryptocurrencies Working Group Bangkok 10-12 Oct 2018
160	Bangkok Mission Report
161	Lao Phase 2 15-19 Oct 2018
162	Lao Phase 2 Mission Report
163	Internet Child Protection with ICME 22-26 Oct 2018
164	CITC Malaysia 14-16 Nov 2018
165	Malaysia Mission Report
166	Criminal Justice -Vietnam 12-16 Dec 2018
167	Vietnam Mission Report
168	Southeast Asia Conference 17-19 Oct 2017
169	Philippines 2-3 Oct 2018
170	Manila Mission Report
171	Philippines National Capacity Building, Jan 2019
172	Indonesia National Capacity Building, Feb 2019
173	Malaysia NCRD, Feb 2019
174	NCRD CITC Philippines, Feb 2019
175	1 st Regional Cybercrime Phuket, Thailand Feb 2019
176	2 nd Regional Cybercrime and CT, Bali Mar 2019
177	Regional WG on Cryptocurrencies, Singapore Mar 2019
178	WS on enhancing cooperation Japan, Mar 2019
179	NCRD CITC Cambodia, Mar 2019
180	NCRD CITC Myanmar, Apr 2019
181	ASEAN Korea Digital Forensic Project Assessment, Nov 2019 (plan)

182	2013 11 28 UNODC RP Outcome 7 Cyber Crime
183	SP1 Project Document 14 05 2014
184	SP1 Project Revision 09 12 2014
185	SP1 Project Revision 21 09 2017
186	XAPA07 LogFrame
187	XAPA07 Budget
188	PRC Meeting minutes
189	SP1 Staffing and Job Profiles
190	Substantive info 2014
191	Overall indicative costing, 2017
192	Programme TORs
193	Project revision summary
194	Substantive info 2017
195	XAPA 07 APPR 2014
196	XAPA 07 APPR 2015
197	XAPA 07 APPR 2016
198	XAPA 07 APPR 2017
199	XAPA 07 SAPPR 2014
200	XAPA 07 SAPPR 2015
201	XAPA 07 SAPPR 2016
202	XAPA 07 SAPPR 2017
203	XAPA 07 SAPPR 2018
204	Project document XAPA08 2014
205	Project revision XAPA08 2017
206	PRC Meeting SEA
207	SP2 budget
208	SP2 Logframe (original, revised)
209	SP2 Staffing and Job Profiles
210	SP 2 Substantive info 2014
211	SP 2 Substantive info 2017
212	GLOX 69 missions and activities
213	GLOZ99 mission and activities
214	UNCAC missions and activities
215	Anti-Corruption Academic (ACAD) Asia events
216	SEA PAC events
217	CRA missions
218	CRA reports
219	Gender and Corruption events
220	XAPA 08 APPR 2014
221	XAPA 08 APPR 2015
222	XAPA 08 APPR 2016
223	XAPA 08 SAPPR 2014
224	XAPA 08 SAPPR 2015
225	XAPA 08 SAPPR 2016
226	XAPA 08 SAPPR 2017
227	XAPA 08 SAPPR 2018
228	XAPX37 Sub-Programme CT East and Southeast Asia final evaluation report 2016
229	SP3 budget
230	SP3 Logframe (original, revised)
231	SP3 Staffing and Job Profiles
232	SP3 Substantive info 2014

233	SP3 Substantive info 2017
234	STRANGERS WITH GUNS: FOREIGN TERRORIST FIGHTERS AND SOUTHEAST ASIA
235	TOWARD A JUST RESPONSE: VIOLENT EXTREMISM AND CRIMINAL JUSTICE IN SOUTHEAST ASIA DRAFT REPORT Benjamin Zawacki, UNODC
236	Draft guide and consideration for compliance with UNDCR 1373
237	XAPX37 Sub Programme Counter Terrorism
238	XAPA 09 SAPPR 2018
239	XAPA 09 SAPPR 2017
240	XAPA 09 SAPPR 2016
241	XAPA 09 SAPPR 2015
242	XAPA 09 APPR 2017
243	XAPA 09 APPR 2016
244	XAPA 09 APPR 2015
245	SP 3 Project document 14 05 2014
246	SP 3 Project Revision 21 09 2017
247	2017 FTF Frontline Report
248	2015 Conference Report
249	2018 Interim Reports to Japan
250	2017 Interim Reports to Japan
251	I Progress Report (May 2012- April 2013)
252	II Progress Report (May-Dec 2013)
253	III Progress Report (Jan -April 2014)
254	IV Progress Report (May 2014 - Aug 2015)
255	Final Report EU UNODC Joint Initiative Project
256	20160505 1st Report to Canada MM
257	20160502 IM&PMF MM CTCBP
258	2018113 Annual Project Results Report
259	20181113 LM&PMF MM CTCBP
260	20150527 UNODC Proposal CT Myanmar
261	20160329 LM&PMF MM CTCB Proposal
262	CTCBP 20160144 First narrative Report
263	CTCBP 2016 0144 First LM&PMF
264	CTCB_ 2016 0144 Financial Report
265	2017 0310 CT IMPB Proposal
266	2015 0807 Proposal CLMV CT2014 546
267	20170821 1st Report Canada CLMV
268	2018 11 21 Annual Project Results Report
269	Draft guide and consideration for compliance with UNDCR 1373
270	Philippines AMLC SOPs 2017
271	Myanmar FIU SOPs 2016
272	CTCB 2016 00040 First Narrative Report
273	CTCB 2016 00040 Second Narrative Report
274	UNODC UNSCR 2178 Agreement
275	2015 04 15 AUS CT Proposal
276	Regional Conference FTF
277	2015 0423 AUS UNSCR 2175
278	20150603 PIF Session 1 Outcome
279	2016 Canadian Proposal FTF 2016 2019 Narrative
280	CTCB 2016 00040 First Narrative Report
281	CTCB 2016 00040 Second Narrative Report
282	UNODC UNSCR 2178 Agreement
283	2015 04 15 AUS CT Proposal

284	2017 FTF Frontline
285	GSF Report Project Completion Report final
286	FR2017 XAPA09 (SB-004797) New Zealand M1-32FSB-000840
287	2016.09.16 GSF - Frontline Protection against FTF
288	Project Proposal UNODC FTF_FINAL
289	CT-FTF SEA Conference proposal, Budget
290	2015.12.03 GSF Report NZ Final
291	2015.12.03 Financial Report NZ
292	CT Interim Report Jap ASEAN 2017
293	CT Interim Report Jap ASEAN 2018
294	CT Interim Report Jap TH 2017
295	CT Interim Report Jap TH 2018
296	CT Interim Report Jap PH 2017
297	CT Interim Report Jap PH 20178
298	SP 4 Project document XAPA 10 2014
299	SP 4 Project revision XAPA 10 2017
300	PRC Meeting SEA
301	SP4 budget
302	SP4 Logframe (original, revised)
303	SP4 Staffing and Job Profiles
304	SP 4 Substantive info 2014
305	SP 4 Substantive info 2017
306	XAPA 10 APPR 2014
307	XAPA 10 APPR 2015
308	XAPA 10 APPR 2016
309	XAPA 10 APPR 2017
310	XAPA 10 APPR 2018
311	XAPA 10 SAPPR 2015
312	XAPA 10 SAPPR 2016
313	XAPA 10 SAPPR 2017
314	US-INL 1 st National WS on Mutual Legal Assistance/Extradition/Cross-Border CJ
315	• Cambodia
316	• Lao PDR
317	• Myanmar
318	• Vietnam
319	US-INL 2 nd National Workshop
320	• Cambodia
321	• Lao PDR
322	• Myanmar
323	• Vietnam
324	Pledge letters
325	2017 INL Q3 report (XAPA10_ILA)
326	2017 INL Q4 report (XAPA10_ILA)
327	2018 INL Q1 report (XAPA10_ILA)
328	2018 INL Q2 report (XAPA10_ILA)
329	2018 INL Q3 report (XAPA10_ILA)
330	2017_UNODC ROSEAP_Cambodia_Assessment Report
331	2017_UNODC ROSEAP_Vietnam_Assessment Report
332	2017_UNODC ROSEAP_Lao PDR_Assessment Report
333	2017_UNODC ROSEAP_Myanmar_Assessment Report
334	2017 Summary Report of ILA Conference

335	Assessment of Central Authorities in ASEAN 2015_Final
336	Overview UNODC Assistance to Central Authorities in ASEAN
337	Pledge Letters Korean MoJ
338	Strengthening Cross-Border Criminal Justice Cooperation in relation to Digital Evidence in Selected Southeast Asia and Neighbouring Countries
339	More effectively cooperate on cross-border criminal justice issues
340	KIC progress report_March2016_rev with Financial (cover)
341	Pledge Letters Korean Institute of Criminology (KIC)
342	21.05.2018_Interim report Japanese fund_(Jan-Mar) _XAPA10_ (Prison Management)
343	Pledge Letters from Japan for the Crime Fund
344	UNODC-UNAFEI Training Proposal
345	2015 UNDA
346	2016 UNDA
347	2017 UNDA (final report)
348	UNODC_XAPA10_Final_Independent_Project_Evaluation_Report_January_2018
349	02.11.2018_Interim report Japanese fund_ (April-September 2018) _XAPA10_ (Childhood)
350	21.05.2018_Interim report Japanese fund_(Jan-Mar) XAPA10_ (Childhood)
351	Final Childhood Progress Report as of 19.1.2018
352	Second pledge letter for Crime for 2015 (GoJ)
353	Interim report Japanese fund (Apr-Sept 2018) XAPA10 (Strengthening Prosecution in SE Asia)
354	Interim report Japanese fund (Jan-Mar 2018) XAPA10 (Strengthening Prosecution in SE Asia)
355	2017 Prosecution (activity)_proposal
356	2017 Prosecution (personnel)
357	2018 Prosecution (personnel)
358	Pledge letters Japan MoJ
359	Child Sexual Exploitation in Travel_Cambodia_Report_2014
360	Child Sexual Exploitation in Travel Lao PDR_Report_2014
361	Child Sexual Exploitation in Travel_Thailand_Report_2014
362	Child Sexual Exploitation in Travel_Vietnam_Report_2014
363	Legal Report of CSE in Lao PDR 2017
364	Legal Report of CSE in Cambodia 2017
365	Legal Report of CSE in Vietnam 2017
366	Legal Report of CSE in Cambodia, Lao, Vietnam 2017
367	2017 UNODC ROSEAP Needs Assessment Report Cambodia
368	2017 UNODC ROSEAP Needs Assessment Report Myanmar
369	2017 UNODC ROSEAP Needs Assessment Report Lao PDR
370	2017 UNODC ROSEAP Needs Assessment Report Vietnam
371	Trainers Guide (Investigating CSE for Frontline Officials) 2014 (4 modules)
372	Trainers Guide (Investigation CSE for Specialist Investigators) 2014 (6 modules)
373	Trainers Guide (prosecuting and adjudicating of CSE) 2017 (4 modules)
374	Trainers Guide (prosecuting and adjudicating of CSE) 2017
375	2013.11.28_UNODC RP Outcome 12 International cooperation
376	MLA Report (2015)
377	MLA Report (2016)
378	Summary_Report_of_ILA_Conference_April 2017
379	SP 5 Project document XAPA 11 2014
380	SP 5 Project revision XAPA 11 2017
381	PRC Meeting SEA
382	SP 5 budget
383	SP 5 Logframe (original, revised)
384	SP 5 Staffing and Job Profiles
385	SP 5 Substantive info 2014

386	SP 5 Substantive info 2017
387	XAPA 11 APPR 2014
388	XAPA 11 APPR 2015
389	XAPA 11 APPR 2016
390	XAPA 11 APPR 2017
391	XAPA 11 APPR 2018
392	XAPA 11 SAPPR 2015
393	XAPA 11 SAPPR 2016
394	XAPA 11 SAPPR 2017
395	CBTx brief
396	CBTX Regional Training Manual (9 modules)
397	CBTx full flip chart
398	CBTx full presentation
399	Community Based Treatment Reference Package 16 05 15
400	Adult Learning Guides
401	M1 T1 International and National Trends
402	M1 T2 Types of Substance Use
403	M1 T3 Models of Substance Use
404	M1 T4 Harms Related to Substance Use
405	M2 T1 Principles of the Community-Based Approach
406	M2 T2 The Community-Based Service Delivery Model
407	M2 T3 Components and Roles of a Community-Based Approach
408	M2 T4 Working together partnerships for implementation
409	M3 T1 Screening for Alcohol and Other Drug Use Disorders
410	M4 T1 Treatment Options
411	M4 T3 Treatment (care) plans
412	M4 T4 Reviewing Treatment Progress
413	M4 T5 Relapse Prevention and Sustained Recovery Management
414	M5 T1 Types of Counselling CBT
415	M5 T1 Types of Counselling Motivational Interviewing
416	M5 T2 Context and Structure for Counselling
417	M5 T3 Basic Counselling Skills
418	M5 T3 Workplace Strategies for Mental Health
419	M5 T4 The Stages of Change
420	M6 T1 Part 1 - Outreach
421	M6 T1 Part 1 - Outreach _ Harm Reduction
422	M6 T1 Part 2 - First Aid and Overdose Response
423	M6 T2 Medical _ Pharmacotherapy in Detox ATS
424	M6 T2 Medical _ Pharmacotherapy in Detox Opioids
425	M6 T2 Medical _ Pharmacotherapy in Detoxification All Other
426	M6 T3 Medication-Assisted (Opioid Substitution Treatment)
427	M6 T4 Medications to Support Relapse Prevention
428	M7 T1 Overview of Mental Illness
429	M7 T4 Psychotic Disorders
430	M7 T5 Personality Disorders
431	M9 T1 Steps towards Building Recovery Capital
432	Discussion Paper on Transition from CCDUs_Edited_Final4_04Sept15
433	CBTx guidance EN
434	CBTx guidance Philippines
435	CBTx Poster HR Conference
	POMYA Documents
436	Myanmar CP Booklet

437	Myanmar CP Sub1
438	Myanmar CP Sub 2
439	Myanmar CP Sub 3
440	Myanmar CP Sub 4
441	Myanmar CP Sub 5
442	SP 5.1 Costed WP
443	Costed WP UNAIDS (NCE)
444	2019 budget Norway
445	2019 budget Sweden
446	POMYA Organigram
447	MMR UNDAF 2018-2022
448	SP 1 Project document MMRZ35 2015
449	SP 1 Project revision MMRZ35 2017
450	POMYA CP final 2014
451	SP 1 budget Sheet staffing table SP1
452	SP 1 Logframe (original, revised)
453	SP 1 Staffing and Job Profiles
454	SP 1 Substantive info 2015
455	SP 1 Substantive info 2017
456	SP 2 Project document MMRZ36 2015
457	SP 2 Project revision MMRZ36 2017
458	SP 2 budget Sheet staffing table
459	SP 2 Logframe (original, revised)
460	SP 2 Staffing and Job Profiles
461	SP 2 Substantive info 2015
462	SP 2 Substantive info 2017
463	Interim FR2018 MMRZ36 - Sweden (M1-32FSB-000938) as of 31 August 2018
464	MMRZ36 APPR 2017
465	MMRZ36 APPR 2018
466	MMRZ36 SAPPR 2017
467	MMRZ36 SAPPR 2018
468	Semi-annual report 2018 PROFI
469	AC Law Myanmar Version (final)
470	Commentary on Bangalore Principles (Myanmar) final
471	Final Extradition Law Booklet
472	Symposium Report Final (Myanmar)
473	TNA Report for ACC Final (Eng)
474	Training curriculum on AD and SO Final (Eng)
475	Training curriculum on Director and DD Final (Eng)
476	Training curriculum on Investigator and SS Final (Eng)
477	UNODC Norway Agreement on support to address corruption in the fishery sector
478	Agreement Sweden and UNODC Support Anti-Corruption MM
479	Re_ Delegation of Authority, funding agreement with the Swedish Government
480	FR2017 MMRZ36 (SB-007617) _Sweden_ M1-32FSB-000938
481	Interim FR2018 MMRZ36 - Sweden (M1-32FSB-000938) as of 31 August 2018
482	SP 3 Project document MMRZ37 2015
483	SP 3 Project revision MMRZ37 2017
484	SP 3 budget Sheet staffing table
485	SP 3 Logframe (original, revised)
486	SP 3 Staffing and Job Profiles
487	SP 3 Substantive info 2015

488	SP 3 Substantive info 2017
489	MMRZ37 APPR 2016
490	MMRZ37 APPR 2017
491	MMRZ37 SAPPR 2015
492	MMRZ37 SAPPR 2018
493	MMRZ37 APPR 2018
494	Standard Operating Procedures for Health Care in Prisons
495	UNODC MPF Training Needs Assessment
496	Investigation Manuals Junior E1 M1
497	Investigation Manuals Junior E2 M1
498	Investigation Manuals Junior E3 M1
499	Investigation Manuals Mid Ranks E1 M2 A
500	Investigation Manuals Mid Ranks E1 M2 B
501	Investigation Manuals Mid Ranks E2 M2
502	Investigation Manuals Mid Ranks E3 M2
503	Senior E1 M3
504	Senior E2 M3
505	Senior E3 M3
506	Pledge letters 3MDG
507	001 Final Financial Report up to Dec 15_UNODC-HIV-3MDG-C2-13-00086224
508	01 Sep to Dec 2016_UNODC-HIV-3MDG-C2-16-10636-003 Revised
509	02 Jan 17 to Jun 17_UNODC-HIV-3MDG-C2-16-10636-003
510	03 Jul 17 to Dec 17_UNODC-HIV-3MDG-C2-16-10636-003
511	04 Jan 18 to Jun 18_UNODC-HIV-3MDG-C2-16-10636-003
512	G32 HIV-3 MDG fund_UNODC_Jan-Jun2015_Final
513	G32 HIV-3 MDG Fund_UNODC_Jul-Dec2015_Final
514	G32 HIV-3MDG fund UNODC Sept-Dec 2014
515	MMRZ48- 3 MDG fund UNODC TR Jul- Dec 2017_ Final
516	MMRZ48- 3MDG fund UNODC TR Jan-Jun 2017_Final
517	MMRZ48-3MDG fund UNODC TR Jan-Jun 2018_Final
518	MMRZ48-3MDG fund UNODC TR Jul-Dec2016_Final
519	UK CP Pledge letters
520	UNODC UK Narrative Report February to October 2017
521	UNODC UK Narrative Report May to October 2018
522	UNODC UK Narrative Report November 2017 to April 2018
523	UNDP Pledge letters
524	2016 Mid-Year Report UNDP SSR
525	2016 Annual Report UNDP SSR
526	UNFPA Pledge letters
527	2017 annual report
528	2017 bi-annual report
529	2018 annual report
530	2017 bi-annual report
531	US-INL Pledge letters
532	Q1_2017_ MMRZ37
533	Q2_2017_ MMRZ37
534	Q3_2017_ MMRZ37
535	Q4_2017_ MMRZ37
536	SP 4 Project document MMRZ39 2015
537	SP 4 Project revision MMRZ39 2017
538	SP 4 budget Sheet staffing table

539	SP 4 Logframe (original, revised)
540	SP 4 Staffing and Job Profiles
541	SP 4 Substantive info 2015
542	SP 4 Substantive info 2017
543	MMRZ39 APPR 2015
544	MMRZ39 APPR 2016
545	MMRZ39 APPR 2017
546	MMRZ39 APPR 2018
547	MMRZ39 SAPPR 2015
548	MMRZ39 SAPPR 2016
549	MMRZ39 SAPPR 2018
550	Pledge letters GoF
551	2016 Progress Report Finland
552	FR2016 MMRZ39 Finland UNODC Format
553	Progress Report Finland August 2016
554	Progress Report Finland Jan-Oct 2016
555	Interim FR2017 MMRZ39 Finland_UNODC Format
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575	2016 Q1 US-INL (MMRZ39 outcome 1)
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578	2017 Q1 US-INL (MMRZ39 outcome 1)
579	2017 Q2 US-INL (MMRZ39 outcome 1)
580	2017 Q3 US-INL (MMRZ39 outcome 1)
581	2017 Q4 US-INL (MMRZ39 outcome 1)
582	2018 Q1 US-INL (MMRZ39 outcome 1)
583	2018 Q2 US-INL (MMRZ39 outcome 1)
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585	SP 5 Project document MMRZ48 2015
586	SP 5 Project revision MMRZ48 2017
587	SP 5 budget Sheet staffing table
588	SP 5 Logframe (original, revised)
589	SP 5 Staffing and Job Profiles

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591	SP 5 Substantive info 2017
592	MMRZ48 APPR 2015
593	MMRZ48 APPR 2016
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763	VNMT28_APPR_2014
764	VNMT28_APPR_2015
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ANNEX IV: STAKEHOLDERS CONTACTED DURING THE EVALUATION

Number of interviewees	Organisation	Type of stakeholder (see note below)	Sex disaggregated data	Country
36	UNODC HQ-VIC	UNODC Staff/Consultant	Male: 21 Female: 15	Austria
24	UNODC ROSEAP	UNODC Staff/Consultant	Male: 19 Female: 5	Thailand
6	UNODC CP Myanmar	UNODC staff/Consultant	Male: 3 Female: 3	Myanmar
7	UNODC Lao	UNODC Staff/Consultant	Male: 5 Female: 2	Lao PDR
7	UNODC CP Indonesia	UNODC Staff/Consultant	Male: 2 Female: 5	Indonesia
4	UNODC CP Vietnam	UNODC Staff/Consultant	Male: 3 Female: 1	Vietnam
1	UNODC Philippines	UNODC Staff/Consultants	Male: 1 Female:	Philippines
2	WHO	UN partner	Male: 2 Female:	Myanmar
2	UNAIDS	UN partner	Male: 1 Female: 1	Myanmar
4	UNOPS	UN partner	Male: 4 Female:	Myanmar
1	UNICEF	UN partner	Male: 1 Female:	Myanmar
1	UNFPA	UN partner	Male: Female: 1	Myanmar
2	UN WOMEN	UN partner	Male: 1 Female: 1	Myanmar
1	UNDP RC	UN Partner	Male: 1 Female:	Myanmar
3	DEA	Donor	Male: 3 Female:	Myanmar

1	USAID	Donor	Male: 1 Female:	Myanmar
1	INL	Donor	Male: Female: 1	Myanmar
2	UK	Donor	Male: 1 Female: 1	Myanmar
2	EU	Donor	Male: Female: 2	Myanmar
1	Gov. of Sweden	Donor	Male: Female: 1	Myanmar
1	Gov of Finland	Donor	Male: Female: 1	Myanmar
1	Gov of Australia	Donor	Male: 1 Female:	Myanmar
15	CCDAC	Government Counterpart/Beneficiary	Male: 14 Female: 1	Myanmar
9	Fin Investigation Unit	Government Counterpart/Beneficiary	Male: 7 Female: 2	Myanmar
3	UAGO	Government Counterpart/Beneficiary	Male: Female: 3	Myanmar
11	Supreme Court	Government Counterpart/Beneficiary	Male: 7 Female: 4	Myanmar
4	Anti-Corruption Centre	Government Counterpart/Beneficiary	Male: 2 Female: 2	Myanmar
2	Min of Health and Sports	Government Counterpart/Beneficiary	Male: 2 Female: 1	Myanmar
2	Rehab Dept	Government Counterpart/Beneficiary	Male: 2 Female:	Myanmar
2	Min of Home Affairs	Government Counterpart/Beneficiary	Male: 2 Female:	Myanmar
1	Pyi Gyi Khin	Civil Society	Male: Female: 1	Myanmar
1	MCBR	Civil Society	Male: Female: 1	Myanmar
1	Myanmar Association of Drug Users	Civil Society	Male: 1 Female:	Myanmar
1	Medecins du Monde	Civil Society (INGO)	Male: Female: 1	Myanmar

1	UNDSS	UN Partner	Male: 1 Female:	Indonesia
1	UNAIDS	UN Partner	Male: Female: 1	Indonesia
1	UN ASEAN Coordinator	Partner	Male: 1 Female:	Indonesia
3	ASEAN	Partner/Regional Platform	Male: 1 Female: 2	Indonesia
2	CT	Government Counterpart/Beneficiary	Male: 1 Female: 1	Indonesia
3	PPATK	Government Counterpart/Beneficiary	Male: 2 Female: 1	Indonesia
3	KPK	Government Counterpart/Beneficiary	Male: 1 Female: 2	Indonesia
4	NNB	Government Counterpart/Beneficiary	Male: 1 Female: 3	Indonesia
3	Min Social Affairs	Government Counterpart/Beneficiary	Male: 2 Female: 1	Indonesia
2	DG Corrections	Government Counterpart/Beneficiary	Male: 1 Female: 1	Indonesia
9	DG Immigration	Government Counterpart/Beneficiary	Male: 7 Female: 2	Indonesia
12	Prison	Government Counterpart/Beneficiary	Male: Female: 12	Indonesia
2	MFA	Government Counterpart/Beneficiary	Male: 1 Female: 1	Indonesia
1	National Development Agency	Government Counterpart/Beneficiary	Male: Female: 1	Indonesia
2	GoJ	Donor	Male: 2 Female:	Indonesia
1	Rumah Foundation	Civil Society	Male: 1 Female:	Indonesia
1	IOM	UN Partner	Male: Female: 1	Lao PDR
1	UNICEF	UN Partner	Male: Female: 1	Lao PDR
2	UN Women	UN Partner	Male: Female: 2	Lao PDR

1	UN RC	UN Partner	Male: 1 Female:	Lao PDR
1	INL	Donor	Male: 1 Female:	Lao PDR
1	UK	Donor	Male: 1 Female:	Lao PDR
1	EU	Donor	Male: 1 Female:	Lao PDR
2	AMLIO	Government Counterpart/Beneficiary	Male: 1 Female: 1	Lao PDR
1	SIAA	Government Counterpart/Beneficiary	Male: 1 Female:	Lao PDR
3	TiP (MPS)	Government Counterpart/Beneficiary	Male: 3 Female:	Lao PDR
4	Immigration (MPS)	Government Counterpart/Beneficiary	Male: 3 Female: 1	Lao PDR
4	MoH/Hospital	Government Counterpart/Beneficiary	Male: 2 Female: 2	Lao PDR
3	DCB (MPS)	Government Counterpart/Beneficiary	Male: 3 Female:	Lao PDR
3	AD (MPS)	Government Counterpart/Beneficiary	Male: 3 Female:	Lao PDR
2	Forensic PD (MPS)	Government Counterpart/Beneficiary	Male: 2 Female:	Lao PDR
4	Corruption	Government Counterpart/Beneficiary	Male: 2 Female: 2	
4	Border Mgmt (Lao Women's Union)	Civil Society	Male: 1 Female: 3	Lao PDR
5	Gender event (NGOs/CSOs)	Civil Society	Male: 3 Female: 2	Lao PDR
3	TIP/SOM CSOs	Civil Society	Male: Female: 3	Lao PDR
1	Asia Foundation	Civil Society	Male: Female: 1	Lao PDR
1	ASEAN Training Centre	Partner/Regional Platform	Male: Female: 1	Philippines (phone)
8	CVE WG	Multiple Partner	Male: 3 Female: 5	Thailand

1	UN DPA	UN Partner	Male: Female: 1	Thailand
2	UN ESCAP	UN Partner	Male: 1 Female: 1	Thailand
1	UNSDG	UN Partner	Male: Female: 1	Thailand
1	MO	Donor	Male: 1 Female:	Thailand
1	Bali Process	Partner/Regional Platform	Male: 1 Female:	Thailand
1	ARTM	Civil Society	Male: 1 Female:	Macao (phone)
1	No Box	Civil Society	Male: Female: 1	Philippines (phone)
2	ANPUD/Ozone	Civil Society (Regional /National NGO)	Male: 1 Female: 1	Thailand
30	CVE WG	Civil Society/ Government Counterpart Beneficiary	Male: 25 Female: 13	Thailand
6	SEA-HATTC	Academic/Beneficiary	Male: 2 Female: 4	Thailand
1	Adelaide University	Academic	Male: 1 Female:	Thailand
5	AMLO	Government Counterpart/Beneficiary	Male: 3 Female: 2	Thailand
4	Customs	Government Counterpart/Beneficiary	Male: 2 Female: 2	Thailand
1	NED	Government Counterpart/Beneficiary	Male: 1 Female:	Thailand
3	PCU	Government Counterpart/Beneficiary	Male: Female: 3	Thailand
1	ANPDD	Government Counterpart/Beneficiary	Male: 1 Female:	Thailand
3	Anti-Corruption	Government Counterpart/Beneficiary	Male: 1 Female: 2	Thailand
1	Dept SI	Government Counterpart/Beneficiary	Male: 1 Female:	Thailand
3	RTP	Government Counterpart/Beneficiary	Male: 1 Female: 2	Thailand

1	MFA	Government Counterpart/Beneficiary	Male: Female: 1	Thailand
1	Immigration	Government Counterpart/Beneficiary	Male: 1 Female:	Thailand
2	Dept health	Government Counterpart/Beneficiary	Male: 2 Female:	Philippines (phone)
2	Danger Drugs	Government Counterpart/Beneficiary	Male: Female: 2	Philippines (phone)
1	Mak	Government Counterpart/Beneficiary	Male: 1 Female:	Thailand
3	Malaysian Anti-Corruption Commission	Government Counterpart/Beneficiary	Male: 1 Female:2	Malaysia
4	Bank Negara Malaysia – Fin’l Intelligence & Enforcement Dep	Government Counterpart/Beneficiary	Male: 2 Female: 2	Malaysia
4	Nat’l Strategic Council for TIP/SoM (MAPO), Min of HA	Government Counterpart/Beneficiary	Male: 2 Female: 2	Malaysia
1	DPA Bangkok	Government Counterpart/Beneficiary	Male: Female: 1	Malaysia
1	ESCAP	Government Counterpart/Beneficiary	Male: Female: 1	Malaysia
6	Pengasih	Civil Society	Male: 5 Female: 1	Malaysia
1	UN RC	UN Partner	Male: 1 Female:	Vietnam
2	MPS_Health	Government Counterpart/Beneficiary	Male: Female: 2	Vietnam
2	MPS_Counter Narcotic Police	Government Counterpart/Beneficiary	Male: 2 Female:	Vietnam
5	MPS_Criminal Police	Government Counterpart/Beneficiary	Male: 3 Female: 2	Vietnam
1	Ministry of Justice	Government Counterpart/Beneficiary	Male: Female: 1	Vietnam
6	Government Inspectorate	Government Counterpart/Beneficiary	Male: 4 Female: 2	Vietnam
2	Supreme People's Court_Judicial Dept	Government Counterpart/Beneficiary	Male: 1 Female: 1	Vietnam

6	Supreme People's Procuracy, SPP University	Government Counterpart/Beneficiary	Male: 4 Female: 2	Vietnam
2	Ministry of Justice_Legal Aid Agency	Government Counterpart/Beneficiary	Male: Female: 2	Vietnam
4	Vietnam Network of People who use Drugs	Civil Society	Male: 1 Female: 3	Vietnam
Total:	401		Male: 235 Female: 167	

