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**Support for the Integrated Programming
and Oversight Branch to promote
multidisciplinary and cross-sectoral
cooperation**

GLOU46

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GLOSSARY OF TERMS AND ABBREVIATIONS

| | |
|---------|--|
| ASEAN | Association of South Eastern Nations |
| CARICOM | Caribbean Community |
| CICAD | Inter American Drug Control Commission |
| CP | Country Programme |
| ECOWAS | Economic Community of West African States |
| EH | Evaluation Handbook |
| FRMS | Finance Resource Management Services |
| IPA | Integrated Programming Approach |
| IEU | Independent Evaluation Unit |
| IMPACS | Implementation Agency for Crime and Security |
| IPB | Integrated Programming and Oversight Branch |
| IPU | Integrated Programming Unit |
| RP | Regional Programme |
| SADC | Southern Africa Development Community |
| SICA | Central American Integration System |
| SPU | Strategic Planning Unit |
| UNODC | United Nations Office on Drugs and Crime |

EXECUTIVE SUMMARY

The project GLOU46 (“Support for the Integrated Programming and Oversight Branch to promote multidisciplinary and cross-sectoral cooperation”), used as a funding vehicle by the Integrated Programming and Oversight Branch (IPB), has contributed substantially to the development and implementation of the Integrated Programming Approach (IPA). GLOU46 funds have been deployed to develop and implement the IPA which has subsequently helped drive forward seven Regional Programmes (RP). These are the RPs for Eastern Africa, Arab States, West Africa, South Eastern Europe, East Asia and the Pacific, Central America and Afghanistan and neighbouring countries. Additionally, funds have been used to start a process of needs assessment and political negotiations for a RP for the Caribbean, which will consolidate the integrated initiatives that UNODC has been developing with the regional actors. Moreover, several integrated Country Programmes (CP) for priority countries have been developed e.g. CP for Pakistan, the occupied Palestinian Territories, Yemen, Indonesia, Iran, Vietnam, Guatemala and Paraguay. Four years ago these programmes did not exist and the number of projects (in excess of 350) has been reduced and is now in appropriate IPA clusters. This is a clear success of GLOU46 funding and IPB driven development of the IPA. This evaluation also notes the use of GLOU46 funding in the production of various Guidance Notes on cross-cutting areas such as Cybercrime and environmental crime as well strategy notes in areas such as UNODCs engagement in post-conflict and fragile states and UNODC and UN reform.

GLOU46 funds are viewed as ‘seed funding’ to primarily assist in promoting the IPA which, in turn, gives impetus to developing and implementing RPs and CPs, which incorporate thematic programmes led by the Strategic Planning Unit (SPU). There is evidence that this seed funding has worked well with the IPA concept being accepted and implemented in the aforementioned regions and countries. Whether there has been successful implementation of the CPs and RPs is impossible to state until a full evaluation of all the RPs and CPs has been completed. For example, the support given to UNODC Regional Office of East Asia and the Pacific through GLOU46 funding has witnessed a far larger UNODC presence in the region however the success of the RP itself has still to be evaluated. Central America has benefitted from the intervention of GLOU46 funding with support in pushing forward the IPA with high profile country stakeholders. The role that GLOU46 funds have played in generating these outcomes should not be underestimated.

A further clear advantage of GLOU46 in assisting in the practical application and implementation of the IPA and the subsequent CPs and RPs is the concept of ‘soft-earmarked’ funds. This gave the project and programme managers the ability to apportion and place funds in areas where their experience and expertise suggested it would be of greatest benefit. An indicator of the usefulness of this type of funding can be witnessed by the fact that the Regional Programme for East Asia and the Pacific uses a similar funding vehicle ‘J18’ to help manage the projects within their RP. Coupled to this is the ability of GLOU46 to respond quickly to emerging global situations. The speed with which GLOU46 seed funding can be apportioned in – for example – the area of piracy has helped generate a substantial UNODC presence in this field.

The rapid increase in GLOU46 funding is testament to the vision and drive of the individuals behind the implementation of the IPA concept. Some incumbents within the Division of Operations saw the opportunity to try and bring cohesiveness to UNODCs work under the ‘One UN’ ethos and the ‘Medium Term Strategy 2008 – 2011’ document. This concept was then vigorously advocated to the donors and the increase in the GLOU46 budget from its starting point

of US \$ 623,000 to a current overall budget of US \$ 9,400,000 gives an indication of the appetite the donors have for the IPA and the way in which it was explained. This, naturally, included the UN ethos of development assistance and ensuring the funds ultimately helped the recipients 'on the ground'.

There is also almost universal agreement between all stakeholders (internal and external) that the IPA concept is sound and is one that UNODC as an Office should be promoting and pursuing. Prior to GLOU46, the IPA concept did not exist and the development of the IPU into IPB (via the Partnership and Development Branch) has been facilitated through GLOU46 funding. Its role in assisting in the development of this mutual agreement should be acknowledged as a clear success for the project in particular and IPB in general. There are – naturally – some areas that require further examination and clarification and this evaluation attempts to highlight those particular issues. This, however, must be taken in the context that GLOU46 and IPB have achieved a great deal over a short period of time.

In general, it is not difficult to promote the idea of integration. GLOU46 has helped raise the profile of UNODC whilst simultaneously raising expectations among donors of the potential dividend from this IPA. These expectations will have to be substantiated in the near future if continued donor funding and sustainability for the project is to be realised. This leads into a critical point that many stakeholders – in particular the donors – link GLOU46 funding not to the development and implementation of the IPA (and associated outcomes) but to the success (or failure) of the integrated CPs and RPs themselves. This perception could act as a barrier to further donor funding for GLOU46 should the CPs or RPs fail to live up to donor expectation.

At this moment in time there does not appear to be a robust enough mechanism in place across all UNODC ROs and FOs to measure the success of RPs and CPs and no mechanism to measure the success of the IPA. This is only in small part a failing of the GLOU46 project in not creating these mechanisms at the outset of the project. The implementation of RPs and CPs is a responsibility of the Field network and IPBs global/strategic role is essentially supportive of Field operations. It is primarily more a failing of UNODC in general as their control and reporting architecture is still exclusively project based. It is extremely difficult to accurately measure the success of a programme using the reporting architecture for a project.

In many interviews, one of the key advantages highlighted regarding donor funding of GLOU46 was that the majority of the money was 'soft-earmarked'. This has allowed IPB through GLOU46 to deploy funds in areas and budget streams where it has deemed it would be most effective. This evaluation has found that IPB has, for the most part, used these funds in an effective manner in pursuit of the IPA concept. One element of caution has to be highlighted here and it is in the use of GLOU46 funding to create and maintain salaried positions either at HQ or in the field. While there is an obvious need for expertise to be supplied in certain areas when developing and initiating the IPA, there should be an understanding that this type of funding is strictly time limited. GLOU46 is 'seed funding' and if it is used to pay salary costs there must be an explicit understanding and robust exit strategy that allows for the withdrawal of GLOU46 funding after the specified time period.

Even if the majority of GLOU46 funds appear to have been well used there is a lack of written procedure detailing how priorities were defined and how subsequent funding allocation decisions were justified. This lack of clarity in due process has allowed a culture of suspicion and mistrust to develop between IPBs use of GLOU46 funds and some of its key in-house partners. This lack of due process can be partially explained by the necessity of IPB staff to move quickly when the opportunities presented themselves to generate donor interest and funding for the GLOU46 project. Quick fund raising success led to a requirement to allocate and use those funds as promised and this left little time for suitable process, procedures and systems to be developed and

deployed for certain aspects of the administration of the project. However, in an area as sensitive as fund allocation (particularly when some other UNODC in-house staff have argued that GLOU46 funds could have more appropriately been channelled to ‘their’ projects) it is incumbent upon IPB to make that fund allocation process robust and transparent. In doing so this process should not be over administrative or burdensome. A short check-list of criteria – based upon the IPA conceptual model – to determine the validity of the funding request could be developed and applied with relative ease and speed.

Coupled to this lack of clarity in funding allocation is a perceived lack of communication from IPB to in-house – in particular Vienna HQ – partners on areas in which those in-house partners should be having an input. IPB have, to their credit, initiated and continue to promote inter-divisional task teams to be involved in the IPA and the drafting and early stage development of RPs and CPs. Subsequent to those task team meetings however there does not appear to be a systematic reporting procedure for keeping relevant in-house partners updated on key developments within the IPA and RPs or CPs. This has manifested itself in examples of IPB being involved in exclusively thematic areas without obvious reference to, or input from, the thematic experts at Vienna HQ.

This issue of thematic integration into the IPA is one which interests many in-house and external stakeholders. It should be noted that the thematic programmes are led by the SPU and potential disengagement between IPB and SPU could be a contributory factor. NB this issue is explored in greater depth within the IPA evaluation. This issue of thematic integration is of particular interest and importance to GLOU46 and IPB since they are viewed by the donor community (rightly or wrongly) as one and the same and crucial to the success of the IPA. The IPA itself attempts to achieve its objectives by utilizing two main work streams namely:

- (a) the development of integrated regional and country programmes
- (b) in tandem – and harmony – with UNODC thematic programmes

The extent to which these work streams are symbiotic and cross-cutting could be one indicator of the success of the IPA. It is a specific measure of success as far as the donor community is concerned. To date the RPs and CPs that make up the IPA do not appear to integrate the thematic areas as fully as possible. The feedback from the interviews and examination of the structure of the CPs and RPs themselves suggests that the majority of CPs and RPs are more a ‘retro-fit’ of existing country and regional projects rather than an in-depth examination of how existing projects can be integrated inter-alia within the IPA. This does not mean that a ‘retro-fitted’ IPA is any less valid; however the methodology to ensure that existing projects fit the IPA must be robust. This is difficult to achieve, however IPB have raised donor and other partner expectations in this area. To their credit IPB have recognized some of the system barriers within UNODC to proper cross thematic programme integration. Here IPB have tried to make some impact by supplying GLOU46 funds to examine the current systems and to adapt them for integrated programming purposes. The so-called ‘Dashboard’ has been developed, with the South East and the Pacific Regional Office (RO) and Information Technology at HQ, to assist in the financial management of the programme and its integrated projects. In order for GLOU46, IPB and – indeed – UNODC in general to deliver on its avowed aim to move from a ‘fragmented project’ to an ‘integrated programme’ approach, the current in-house systems must be changed to allow this to happen with greater efficiency and effectiveness.

The future direction of GLOU46 and IPB is of great importance. The two objectives of GLOU46 and IPB were to:

- (a) contribute to the operationalisation of UNODC Medium Term Strategy (2008 - 2011)
- and;

(b) to ensure that UNODC's work practices reflect a more coherent and integrated approach.

By definition, the first objective is now obsolete although the new Medium Term Strategy (2012 – 2015) suggests a continuation of the 'operationalisation of UNODC MTS'. Dependent on the outcome for GLOU46 after this evaluation that objective will have to be confirmed in any GLOU46 project revision. The second objective is still valid. The majority of GLOU46 funding has been aimed at the development and initial implementation of the IPA in priority areas and supporting the subsequent RPs and CPs. With the bulk of these now developed and being implemented the need for that GLOU46 and IPB function is diminishing.

The outcomes from these objectives have also been largely met, specifically:

(a) Field Offices design and implement a greater number of integrated programmes and;

(b) Greater UNODC participation in field-based programmes resulting from joint UN planning and programming missions.

The natural development for GLOU46 funds would now appear to be in supporting the Regional Offices (RO) and Field Offices (FO) in the on-going implementation and monitoring of the CPs, RPs and the IPA. IPB could act as the conduit of information and become the Single Point of Contact (SPOC) between ROs and FOs in these matters. This would include 'up-stream' liaison, greater thematic integration and forging links between Vienna HQ Divisions, Branches, Sections and Units and the FOs and ROs on the IPA. GLOU46 funds could even support a dedicated officer within appropriate FOs and ROs to ensure continuing impetus to the IPA. There will still be a need to develop and apply the IPA in other regions and countries and GLOU46 seed funding should continue to be used in broadly the same fashion as they have to date in promoting the IPA in these emerging areas. Furthermore the ability for GLOU46 funds to be deployed rapidly in regions where there is an immediate need – naturally within UNODC mandated areas – is a benefit that should be jealously retained.

Regarding the role of IPB and the continuing development and implementation of RPs, CPs and the IPA, there needs to be a UNODC wide discussion on how the thematic programmes can best be integrated into the IPA. There appears to be a lack of a common understanding on how this can be achieved. Most interviewees accepted that IPB is best placed to lead the development of this aspect of the IPA. There may be merit in establishing a cross-cutting working group with relevant UNODC thematic and IPB staff to help design and implement a strategy for thematic integration into the IPA. However, the aforementioned perceived lack of communication from IPB on their IPA modus operandi has not encouraged a positive mindset from certain in-house stakeholders to IPB and there may be resistance to see IPB undertake this task. If GLOU46 funding continues to be used by IPB to support the IPA it will have to build suitable communication bridges with its in-house partners and involve them to a far greater extent in the IPA process.

There is little doubt that the GLOU46 project was a child of its time. The soft-earmarked funds of GLOU46, gathered by a proactive and bold management pursuit of donors using the integrated programming approach ideal, led to an exponential growth of UNODC programmes in the field. This growth has increased global visibility for UNODC through the promotion of CPs and RPs as a key element of the IPA. This evaluation is in no doubt that GLOU46 under the guidance of IPB has to date been a qualified success. GLOU46 funds have helped promote the IPA and initiate CPs and RPs that have increased UNODC visibility in the field and encouraged wider stakeholder buy-in. It is still too early to determine whether the results from this IPA and the CPs and RPs it has helped spawn will translate into real success in the field but GLOU46 funds have helped provide a platform for potential success.

In order to consolidate the progress made to date a reassessment of GLOU46 objectives is required. This is in part driven by the fact that one of its main objectives of developing and implementing the IPA in priority regions has been largely achieved and the other objective is time expired. Key in this reassessment of objectives is the future role IPB should take in assisting FOs and ROs to implement, monitor, evaluate, review and refine the CPs and RPs within the IPA. This evaluation believes IPB should now concentrate its efforts in these main areas. Prior to undertaking these tasks, however the mechanics of proper communication between IPB and its internal partners must be agreed to ensure buy-in from the Office as a whole. IPB should also introduce a transparent and justifiable process for the allocation of GLOU46 funds to ensure in-house acceptance of the decisions made. As detailed within the report this evaluation foresees the GLOU46 funding pot used more for the support of FOs and ROs in the implementation, monitoring, evaluating, reviewing and refining of the CPs, RPs and the IPA. However, there will still be a – diminished – need for developing and implementing the IPA in new countries and regions as the global geopolitical environment continues to change. This rapid response ability should not be lost and soft-earmarked GLOU46 funds should continue to be used for this purpose.

MANAGEMENT RESPONSE

The Chief of the Integrated Programming Branch (IPB), and Officer in Charge of the Division for Operations, wishes to express appreciation to the evaluator for his comprehensive work, including conducting interviews with Permanent Missions at the UN Vienna to get an accurate picture of the achievements and lessons from the activities of the Project over the past years.

The Project has been under the IPB's supervision since 2008, when it was created to support the promotion of the Integrated Programme Approach (IPA). The project served as a flexible vehicle for the receipt and disbursement of soft and un-earmarked donor funds, acting as quickly-disbursable "seed money" for promoting the development of Regional Programmes in the field, and, as such, it was designed differently from a "project" in the traditional sense of the term. Nevertheless, IPB agrees with the evaluation's recommendation for clearly articulated criteria for funding allocation decisions, which IPB recognizes as important at the current stage of the project in order to ensure transparency in decision making and enable effective monitoring of the achievement of the project's outcomes.

In line with the evaluation's recommendations, IPB is currently finalizing the revision of project GLO/U46, to be extended till December 2013, to include more clearly articulated outcomes, backed up with better defined criteria of fundable activities that are in line with the outcomes. The revision reflects the updated status of the IPA development and challenges and places equal focus on supporting monitoring, evaluation, and accountable implementation as on programme development. Furthermore, for each future funding allocation proposal, the articulation of simple yet clear objectives and performance indicators is made a requirement, so as to enable the project-level outcome monitoring and reporting. Moreover, overall programming guidelines related to the IPA are being finalized/updated.

IPB agrees that "Future GLOU46 funding should not be routinely used to fund HQ or FO positions". As reflected in the project revision, the use of GLO/U46 funding for HQ or FO positions has been largely discontinued over the past year. This measure had been considered necessary at the early stage of the project, in view of the limited staffing and the huge workload generated by the launching of the IPA. Any future project funding for HQ/FO positions would be limited to exceptional cases only, with clear justification, time-line, and an exit strategy.

IPB also agrees that "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. UNODC will continue to encourage member states to increase the provision of un-earmarked or soft-earmarked funding that can be allocated in a timely and flexible manner to programme priorities as identified by the UNODC field staff, regional and national authorities, and the HQ inter-divisional task-teams. IPB will work strategically towards pursuing a possible phase II to the project following its expiration in December 2013.

IPB also concurs with the Evaluator's key point that "the systems should be made to fit the strategy and not make the strategy fit the systems. If integrated programming is a fundamental of UNODC Directorate driven strategy, then there must be proper investment in appropriate programme (not project) control, monitoring and evaluation systems". IPB will continue to

advocate for a UNODC corporate approach in the implementation of the IPA, accompanied by the necessary investment of resources. With the backing of the Executive Director, an inter-divisional task force on “delivery with accountability” has been established, to address, inter alia, issues highly relevant to programme control and monitoring, such as performance indicators and risk assessment. Such efforts are bearing concrete fruits already and have been much welcomed by UNODC Field Offices as seen at the 2012 Field Representatives Meeting in early July.

Finally, the Chief of IPB is pleased to note that the evaluator concluded that “GLOU46 funding has had a positive impact on a global scale. It has helped raise the profile of UNODC in certain countries and regions, has brought the concept of integrated programming to numerous stakeholders including member states and donors, who have – almost without exception – given a positive response. The drive, vision and determination of a key group of Division of Operations staff to promote this IPA must be recognized”.

SUMMARY MATRIX OF FINDINGS, EVIDENCES AND RECOMMENDATIONS

| Main findings | Supporting evidences | Recommendations |
|---|--|---|
| 1. Lack of a proper formal structure of the project. | A lack of clear, unambiguous, standard guidelines in areas such as participatory needs assessments, context analysis and baseline studies, indicator development and appropriate monitoring systems. | <p>IPB should develop project documentation that defines what the project does and how it should achieve its objectives.</p> <p>All of this should be standardised as far as possible to give HQ, Regional and Field Offices an integrated programming framework within which they can pursue the objectives of the Regional or Country Programmes and the integrated programming approach.</p> |
| 2. A large amount of institutional knowledge has been absorbed by IPB with regard to integrated programming. GLOU46 has acted well as a catalyst to develop this knowledge. | IPB has built up a bank of experience and knowledge in the development and initial implementation of integrated programming. GLOU46 has provided the funds to build this knowledge through the consultancies and meetings needed to get country and regional agreement on the IPA. | It is recommended that IPB – in conjunction with its core learning partners – determines how IPB in particular and UNODC in general can institutionalise this knowledge and – by so doing – consider if Phase 2 of GLOU46 should focus on supporting the implementation, monitoring, evaluating, reviewing and refining of CPs and RPs. |
| 3. The flexibility of the GLOU46 funding structure for programme implementation is seen as a great benefit. | Throughout this evaluation a common theme has emerged; that of the advantages of GLOU46 ‘soft-earmarked’ funds. Almost without exception, stakeholders have commented upon the flexibility of having funds that can be allocated as and when required in areas deemed necessary to pursue the objectives of integrated programmes. | 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. |

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| <p>4. The process and procedure for prioritising and justifying GLOU46 fund allocation is weak.</p> | <p>Although ‘soft-earmarked’ funding allows for greater flexibility in assisting integrated programming to meet its objectives the appropriate checks and balances must exist to ensure that funding is allocated in a fair, transparent and justifiable manner. At this moment in time these processes and procedures for deciding the allocation of GLOU46 funds is not robust enough.</p> | <p>IPB should introduce explicit process and procedure detailing the criteria for the prioritization and justification behind fund allocation.</p> |
| <p>5. Communication and advocacy of IPB - with respect to GLOU46 and the IPA - with its UNODC partners is inconsistent.</p> | <p>IPB has been criticized by some in-house partners of lacking a clear communication strategy to keep those partners informed of relevant on-going and proposed IPB work streams regarding GLOU46 and the IPA. As a result mistrust and suspicion has grown between IPB and some Vienna HQ organs.</p> | <p>It is recommended that IPB constructs and commits to paper a clear communication strategy to ensure all appropriate in-house stakeholders are aware of what IPB does, how it is doing it with respect to GLOU46 and the IPA and how other Divisions, Branches, Sections and Units will be kept informed.</p> |
| <p>6. Current UNODC systems are not flexible enough to provide the appropriate level of support required to administer integrated programming.</p> | <p>The requirements to control, monitor and evaluate a project are inherently different to those required to control, monitor and evaluate an integrated programme. At this moment in time the proper systems to allow for swift, effective and efficient programme management do not exist.</p> | <p>This evaluation strongly believes that the systems should be made to fit the strategy and not make the strategy fit the systems. If integrated programming is a fundamental of senior UNODC Directorate driven strategy, then there must be proper investment in appropriate programme (not project) control, monitoring and evaluation systems.</p> |

| | | |
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| <p>7. The methodology for integrating cross-cutting thematic areas within the integrated programming approach requires further development.</p> | <p>Although the issue of integrating across thematic areas is wider than simply GLOU46 and IPB it is crucial to the ultimate success of the integrated programming approach being championed by IPB in particular and UNODC senior management in general. There is scope for far greater collaboration between the thematic programmes to develop cross-cutting projects which can sit comfortably within the integrated programming framework (see recommendation No.1).</p> | <p>A cross-cutting working group should be established to determine a methodology that allows for better integration across thematic areas.</p> |
| <p>8. GLOU46 money has been well used however seed funding money should not be used to permanently fund HQ or FO positions.</p> | <p>The concept of seed funding is that is used to initiate growth and is not to be relied upon for permanent funding. There are some instances of GLOU46 funds being used in a manner which suggests it is seen as permanently funding specific positions.</p> | <p>Future GLOU46 funding should not be routinely used to fund HQ or FO positions. Funding allocations should be explicitly time bound and an appropriate exit strategy should be formulated to manage the withdrawal of GLOU46 seed funds after the allotted time period has expired. This could form part of the funding justification process.</p> |

I. INTRODUCTION

Background and context

Prior to GLOU46 UNODC was managing numerous separate projects. In 2008 the office shifted from a project driven to a programmatic approach. The idea behind the new method of work was ensuring that all mandates of the organisation are accommodated in comprehensive policy documents and exercised through Regional and Country programmes concluded in a highly consultative process.

Moving away from at least 350 individual projects to far fewer programmes, was also seen as a vehicle for gaining a greater understanding of the office's diverse activities among both internal and external stakeholders and thus better promoting its mission. Building linkages between UNODC's mandates and organising them under umbrellas of programmes was also aimed at integrating the office and reducing internal competitiveness.

The distribution of aid has attracted intense public scrutiny over recent years resulting in intensified international efforts to create guiding principles aimed at making the process more transparent, inclusive and therefore effective. OECD motivated the international community to integrate the work of both donor and beneficiary countries along with civil society representatives which resulted in the adoption of the Paris Declaration on Aid Effectiveness (2005) subsequently developed by the Accra Agenda for Action (2008).

The premises on which UNODC Medium Term Strategy 2008-2011 is based remain in line with the aforementioned documents. The ideas of shared responsibility, close cooperation in translating the internationally agreed standards into regional and national practice and building local capacity have become priority values present both in the OECD Declaration and UNODC Strategy.

The overall project objective is contributing to the operationalization of UNODC Medium Term Strategy (2008 - 2011). The concepts of thematic and regional programming provide a means for this operationalization. According to project documentation:

“(…) Thematic Programmes provide a conceptual synthesis of UNODC work (i.e. mandates, guiding principles, approaches, methodologies, assistance tools)” they also “elucidate the work of the Thematic Branches/ Sections (Organised Crime and Trafficking; Terrorism Prevention; Corruption; Justice; Drug Prevention and Health; Research and Trend Analysis and Policy Support) (...) and provide Member States with a clear overview of UNODC's work on key service lines, integrating the various components of the Office's expertise in the areas of advocacy, trends and threat analysis, legislative and legal support, norm setting and scientific/technical assistance”

whereas, “Regional Programmes are multi-year strategies, which take a results-based management approach to show how activities at the country level work together to achieve a development outcome for the region”.

Each Thematic Programme can be seen as policy guidance from HQ that needs an implementation vehicle in the form of a Regional or Country Programme. The latter are

composed of various thematic elements and are a tailor made response to concrete local needs. The new approach particularly stresses the highly consultative process in which each Regional or Country Programme ought to be concluded by all relevant stakeholders.

The immediate objective of the project is ensuring that UNODC's work practices reflect a more coherent and integrated approach and the Project Document attributes the responsibility for implementation of the objective to the IPB [U]. Both Thematic and Regional programmes are by definition the result of a consultative process and require close cooperation of all relevant stakeholders to come to existence, therefore along with the implementation of Thematic and Regional programming, the model of work within UNODC should become more "coherent" and "integrated" as the immediate objective of the project predicts.

The general aim of a UNODC project evaluation is determining fulfilment of the project's objectives along with the project's relevance, development efficiency, effectiveness, impact and sustainability. The purpose of the present evaluation is to assess whether GLOU46 funding has assisted in promoting the concept of integrated programming approach and whether this has been successful in materializing the values and objectives enshrined in UNODC Strategy 2008-2011 and if there was an increase in cooperation and coherence in the office's activities.

The time scope of the evaluation encompasses the period beginning on the 25th of August 2008 until 31st March 2012. The current end date of the project is 31st of December 2012.

Evaluation methodology

The elements that combined to create the initial logic model for the GLOU46 project should be identified and broken down into their component parts. From this the appropriate indicators that existed at the time of the conception and implementation of the project can be identified. These indicators should form the basis of the subsequent data collection, including the basis for both structured and semi-structured interviews and picking out relevant benchmarks from project documentation.

Naturally the entire data collection and analysis should not be skewed by a reliance on indicator analysis. A suitable technique to bring balance and perspective to the process would be to employ most significant change (MSC) narration analysis. It also has the advantage of being better suited to measuring impact than 'simple' indicator analysis. The theory and use of MSC narration is a well documented and researched approach to evaluating and monitoring change programmes. It is particularly useful in the evaluation of outcomes and impact and does not rely on the identification and monitoring of indicators. It is a systematic collection and then analysis of significant changes over a defined period of time.

The application of these two techniques (indicator and MSC analysis) will determine the best data collection methods. In particular the qualitative side of the data collection should not be understated. Time and effort should be put into ensuring the best questions are formulated to retrieve the right information from the interviews with the relevant stakeholders. One of the critical aspects of deploying this approach is to ensure that the synthesis and balance between indicator data and MSC data is well judged.

A desk based, content and results analysis based on the project documentation, with particular focus on all project revision documents and semi-annual and annual project progress reports will

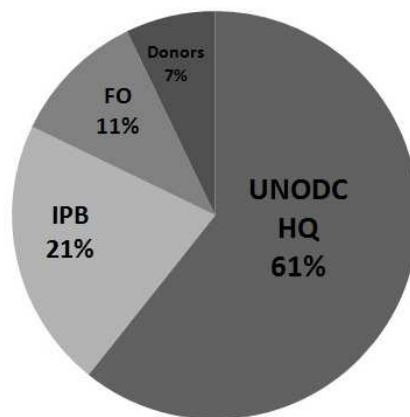
form part of the overall methodology and should specifically assist when evaluating the questions on the relevance and effectiveness of the project (as measured against the project objectives / outcomes).

By triangulating the analysis from different sets of stakeholders the effect that inherent biases have on the analysis and evaluation process can be reduced and objectivity of results increased. Thus the evaluation will look to interview as broad a cross section of stakeholders as possible and approach them with a pre-defined set of questions. Some of these questions will be closed to enable quantitative analysis and others will be open (including the MSC narration analysis) to facilitate qualitative analysis.

Taking all of the above into consideration the overall methodology aims to determine appropriate indicators as conceptualised at the start of the project. Suitable data collection tools, including structured and semi-structured interviews and desk based research are designed to illicit the information on those indicators. A concurrent MSC analysis of data collected during interviews with core learning partners and information derived from project documentation is the closing procedure with the purpose of providing answers to the evaluation questions.

The interviewed sample was mostly composed of UNODC HQ staff, however also other stakeholder groups comprising core learning partnership, namely the field staff and the donors were present, in line with the principles of tripartite review.

Chart 1. Stakeholder coverage



Limitations to the evaluation

The main difficulty was the lack of one comprehensive document or a “manifesto” outlining the concept of integrated programming, providing definitions, methodologies and setting up new procedures. The project document should, but does not serve that purpose.

The document for the Swedish donor “Sweden 2009 Contribution Support to UNODC Regional and Thematic Programmes, Prepared for UNODC visit to Stockholm, 16 April 2010” contains the most detailed description, but the document was addressed to one particular donor and wasn’t

designed to wider circulation. In effect the information about the IP is distributed among numerous documents, which makes the logic of the design and implementation of the approach difficult to reconstruct.

It would have been worthwhile designing and circulating a specific questionnaire among the stakeholders to improve the quantitative data however this would have required far greater time than was available.

Finally the evaluator would have appreciated greater time with representatives from FRMS however it is believed that a further evaluation on the Integrated Programming Approach and Integrated Regional Programmes will offer a suitable vehicle for FRMS input into the evaluation process.

II. EVALUATION FINDINGS

Design

Setting up a project should always be preceded by an extensive participatory needs assessment and context analysis. The aim of this initial phase is to determine the particular needs of assistance, projects already being implemented (by national or local governments, other international organisations or NGOs) and circumstances potentially impacting the development of the project. The end of this stage should result with a baseline study, being a prerequisite of progress monitoring throughout the whole project cycle.

The project under evaluation: “Support for the Integrated Programming Unit to promote multidisciplinary and cross-sectoral technical cooperation” concerns the internal reorganization and significant change of work methodology of UNODC. The Project Document informs that: “reconfiguration of the Division for Operations has highlighted the need to strengthen the integrated programming capacity in UNODC field operations” and the subsequent project documentation (Support to UNODC Regional and Thematic Programmes – a document prepared for the Swedish donor) quotes studies conducted within the UN system, which indicated that “Member States wish to see the UN shift "upstream", i.e. provide more policy advice to partner countries on how to design and implement national policies and strategies, rather than the direct delivery of aid.”.

The Project Document provides the following justification for the new approach: “The past year has seen a series of changes within UNODC’s Division of Operations, which, if successful, will be crucial in ensuring that the Office is able to meet the goals outlined within its Medium Term Strategy (2008 - 2011) by providing high quality integrated programmes designed to respond the specific needs of countries. Central to this objective is the requirement to strengthen integrated programming capacity in UNODC field operations.”

The project underlines the need to move away from “an Office that is delivering a variety of technical assistance in a fragmented way” and proposes integration of both its services and internal work procedures. The observation that the Office was lacking in coherence forms the premise on which the whole project architecture is based.

GLOU46 has two objectives:

(a) Immediate Objective: The immediate objective of this project, using the IPU as a vehicle for implementation, is to ensure that UNODC’s work practices reflect a more coherent and integrated approach.

(b) Overall Project Objective: IPU will contribute to the operationalization of UNODC Medium Term Strategy (2008 -2011).

According to UNODC Evaluation Handbook (EH) an objective is a: “description of an overall desired achievement involving a process of change and aimed at meeting certain needs of identified end-users within a given period of time.” The project document suggests that there was great enough consensus to adopt the IPA and that the end-users needs were correctly identified.

The EH further requires that a good objective must be:

- (a) impact-oriented,
- (b) measurable,
- (c) time-limited,
- (d) specific
- (e) and practical.

Both of the objectives fulfil the criteria of being impact oriented, as they instigate not only substantive, but also significant organisational change within UNODC. They can also be viewed as practical considering the increased efficiency of work envisaged as the consequence of the proposed approach.

However none of the objectives can be assessed as easily measurable, especially as no tools of measuring their achievement are proposed in the Project Document. Creating a monitoring mechanism would also be problematic as both of the objectives are very general and therefore difficult to verify.

The time frame of the project was initially 12 months; it was however extended by subsequent project revisions until the end of 2012. It must be noted that the overall objective ceased with the expiration of UNODC Medium Term Strategy (2008 -2011), so the only remaining valid objective is ensuring that UNODC's work practices reflect a more coherent and integrated approach - a very vague aim, which does not easily lend itself to measurement. One of the verification methodologies could be measuring the stakeholders perception of the project's performance, which would however require a professional opinion survey, encompassing a large enough sample of persons involved in the application of the project.

Such research could however only form part of the verification mechanism. Each project requires a progress monitoring system, which allows the management to observe the project's development. The Project Document of GLOU46 describes no such mechanism. In the "Logical Framework" there is evidence of the debate, as a sentence "How do you intend to measure this?" is placed under an indicator for one of the outputs. The fact that these have not been fully resolved, and that insufficient time was invested in the development of the Logical Framework suggests that the formal construction of the project was not as considered and robust as it should have been.

Too broad objectives determine the formulation of outcomes and outputs, which can either be very broad and unverifiable themselves or can only cover a part of the spectrum of the objectives. The two project's outcomes, namely:

(a) Outcome I: Field Offices design and implement a greater number of integrated programmes;

(b) Outcome II: Greater UNODC participation in field-based programmes resulting from joint UN planning and programming missions.

Introduce the concept of a regional or field-based programme; however there is no further explanation of how the programme is going to serve as the vehicle of implementing the objectives. The "greater number of programmes" or "greater UNODC participation" in them without further explanation does not automatically translate into supporting the achievement of the project's objectives. That said prior to GLOU46 funding there were no integrated national or

regional programmes. There are now seven programmes which have been designed and are at various stages of implementation. Similarly GLOU46 funds have been utilised to provide expert missions, consultants, research reporting and hosting programming meetings within the regions to promote the buy-in of country and regional stakeholders.

The Project Document fails to explain how more regional programmes with greater UNODC participation will operationalize the Strategy and increase coherence and integration in the Office's activities. The mechanism of Thematic and Regional programmes described in the document for the Swedish donor sheds more light on the processes designed to bring UNODC Medium Term Strategy into action. Such description should however be included in the Project Document.

Finally the outputs are standard UNODC activities: expert missions, trainings, development and dissemination of tools, placement of experts within partner organisations and also trust building, strategic planning and training exercises with GLOU46 stakeholders.

The evaluation concludes that GLOU46 fits neither the formal characteristics of a project nor programme. It should be viewed as a function being a consequence of the adopted approach and can be broken down into financial and administrative procedures supporting the implementation of the new, integrated work methodology. The integrated programming approach as a new policy of the office should have a sound, permanent management infrastructure including accounting and information technology systems tailored to suit the logic of the new approach. A project cannot serve this purpose. The shortcomings in this sphere often lead to lack of transparency, internal tensions and effectively hinder the development and expansion of the idea. The further sections of the report analyse the impact the GLOU46 structure had on its performance.

Even though the formal construction of the project does not fully conform with the UN results-based management principles, the idea of integrated programming, which GLOU46 is aimed to support is a valuable concept, representing the recent international developments in the approach to aid effectiveness and finding application in UNODC's fight against the "uncivil society".

The overall objective of GLOU46 refers to UNODC Medium Term Strategy (2008-2011), as superseded by the Medium Term Strategy (2012 – 2015), which the project should operationalize. The Strategy 2008 – 2011 is focused on three substantive themes:

- (a) rule of law;
- (b) policy and trend analysis;
- (c) prevention, treatment and reintegration, and alternative development.

Each theme is further translated into specific objectives and results. The Strategy also outlines the principles and premises on which the implementation of the objectives should be based. These *inter alia* include:

- (a) shared responsibility;
- (b) facilitating international cooperation;
- (c) and building domestic capacity.

The above three premises are also the core ideas of the IPA. In the section "Management Support" the Strategy further defines the results –based management principles essential to the

achievement of the objectives and enumerates the management support initiatives guided by General Assembly (GA) resolutions. Among the initiatives the “strengthened field capacity” is mentioned which directly relates to the concept of regional programming of GLOU46.

The previously quoted document for the Swedish donor refers to the OECD Paris Declaration on Aid Effectiveness (2005) and Accra Agenda for Action (2008), with which the Strategy shares its main principles. The document underlines the accordance of the IP with the new approach of the international community to aid effectiveness. The Paris Declaration formulated five principles:

- (a) Ownership: Developing countries set their own strategies for poverty reduction, improve their institutions and tackle corruption;
- (b) Alignment: Donor countries align behind these objectives and use local systems;
- (c) Harmonisation: Donor countries coordinate, simplify procedures and share information to avoid duplication;
- (d) Results: Developing countries and donors shift focus to development results and results get measured;
- (e) Mutual accountability: Donors and partners are accountable for development results.

The Accra Agenda for Action added two further principles of:

- (a) Inclusive partnerships: All partners - including donors in the OECD Development Assistance Committee and developing countries, as well as other donors, foundations and civil society - participate fully; and
- (b) Delivering results: Aid is focused on real and measurable impact on development.

The OECD documents, the Strategy and the Project Document all reflect the focus on integration, consultation and wide ownership of aid objectives. However the Project Document only generally outlines the vision of the project and does not describe how the integration is planned to be achieved. The most comprehensive description of the new approach is found in the document for the Swedish donor prepared for UNODC visit to Stockholm in April 2010. The document outlines the basic theory behind the new concept, namely the architecture of Thematic and Regional programmes, along with the relevant definitions and description of links between the two.

The evaluation considers integrated programming a valuable concept reflecting the approach adopted by the international community and therefore having potential of maintaining a stable level of stakeholder support. It is vital to enhance the technical infrastructure of the approach to ensure its effective implementation and development.

Relevance

The project’s design ensured its relevance to both UNODC Medium Term Strategy (2008 – 2011) and the “One UN” approach now being pursued, which was confirmed by the above analysis. Also the majority of subsequent activities of GLOU46 were assessed by the interviewees as reflecting the office’s strategic objectives.

UNODC is undertaking an overall evaluation process, based on a three-staged approach, as follows:

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- (a) Stage 1: The evaluation of the GLOU46 project in March;
 - (b) Stage 2: The evaluation of the Integrated Programming Approach in June;

(c) Stage 3: The evaluations of the Regional Programmes in the following months/years (the first one planned is the Regional Programme for East Asia and the Pacific).

However the main challenge of the present evaluation is determining the use of GLOU46 funds in promoting the IPA and the relevance of Regional Programmes – the project’s core concept – to the regional programming needs and priorities. The documentation available would suggest that the programmes developed and delivered are fulfilling needs but the available information was insufficient to determine if those needs are the top priorities.

The project documentation describes three phases of a Regional Programme lifecycle:

- (a) Regional / National Prioritisation;
- (b) Programme Development;
- (c) Implementation.

The first stage is the responsibility of inter-divisional task teams, which after collecting the baseline data and performing comprehensive assessment of needs, together with a strategic analysis of regional challenges, draft an initial programme document.

In the programme development phase the draft document is presented to the Member States and further discussed at a regional Expert Group meeting comprising all stakeholders of the programme. The effect of this phase is the ultimate endorsement of the programme by the Member States in the form of a signed Political Declaration.

In the last phase each thematic sub-pillar of the RP is expounded into a sub-programme, which implementation is the responsibility of the relevant Regional Office. The above described process aims to ensure widest possible participation in the creation of the document and therefore full ownership of the final RP and there is undoubted acceptance of the idea both within and outside UNODC. However the interviewees pointed out that the implementation of the consultative process has not always been successful. Moreover there is insufficient evidence in the project documentation of how the RPs was being developed and if the widest possible participation was in fact ensured.

As the process of achieving regional relevance has not been sufficiently evidenced, it is impossible to verify the various opinions of the interviewees, some of them very positive, but some highly negative. For example a point has been made about a convention review mechanism, the goal of which is to identify the state of implementation of convention obligations among countries. This mechanism leads to the creation of a very detailed list of technical assistance needs. It has been noted that IPB decided to perform needs assessments in countries where very concrete lists of needs have already existed. There have also been opinions that the projects already successfully operating have been retro-fitted into a regional programme. Although retro-fitting – if done well and with a methodology that ensures compliance with the IPA – need not be seen as a weak approach to integrated CPs and RPs. Some interviewees suggested that Regional Programmes cannot be seen as an answer to all organised crime problems. Global phenomena such as cocaine trafficking (production in South America, trafficking through Central America, the Caribbean and West Africa to destinations in Europe) are harder to address by a solution that is by definition regional in scope. There are however contrasting, highly positive opinions on both the process of the creation of RPs and their subsequent impact

There is also little written documentation on the extent to which UNODC staff from outside IPB has been involved with the project when analysing their 'day-to-day' interaction on the integrated programming approach. There is the evidence from the discussions during the conceptualisation of this integrated programming approach during 2008 and subsequent task team meetings. And there is sufficient documentary evidence to demonstrate their implied input and broad agreement of the approach. But there is very little in particular regarding the inclusion of the thematic programmes into the integrated programming approach.

The overall project relevance can be assessed positively, with the reservation that regional relevance could not be fully determined due to the lack of necessary data.

Efficiency

The EH defines efficiency of a project as a measure of how well inputs (funds, expertise, time etc.) are converted into outputs. According to UNODC Guidelines for Evaluation Reports one of the aims of a project evaluation is to assess the extent to which the planned outputs have been delivered and how they contributed to the attainment of the objectives.

It has previously been established that the present project was construed in a manner excluding the possibility of performing a full evaluation of its efficiency. The scope of the objectives makes assessing the contribution of the project's deliverables to their achievement unverifiable. The projects indicators of success are almost certainly different to donors' indicators of success and this is something that forms a real and present danger to GLOU46. Developing and getting agreement to implement a country / regional programme is only a first stage of success, tangible results being the effect of the implementation of such programme are a success understandable to the external stakeholders, especially the donors. The importance of this point cannot be understated. Interviews with donors have highlighted that they are expecting the success dividend from their GLOU46 funding investment to be delivered in the very near future. Their viewpoint is that GLOU46 success will be measured against the success of the integrated regional and country programmes as well as the IPA itself. This poses an obvious potential obstacle to gaining further donor support if the delivered results from GLOU46 fall short of donor expectation. Donor expectation should have been better managed and will now have to be addressed.

In the absence of a project progress monitoring system the findings of the present evaluation considering the project's efficiency are based mainly on stakeholders opinions and conclusions drawn from the project documentation, especially as the indicators presented in the Logical Framework (e.g. increased integration and cohesiveness of programmes, increased awareness of UNODC's comparative advantage within the UN system) are impossible to verify.

The speed with which the IPA was implemented had an impact on the coherence of GLOU46. Even though applying the new work methodology could be described as an interactive, learning process, insufficient time was invested in creating a system of verifiable indicators that would allow progress monitoring. In effect the IBP was left without a database for justifying their expenditure, which led to internal critique of not only GLOU46 but also the whole integrated programming approach. Little has been done to defend the concept with providing information about evidence based results of the IPA.

The lack of such a system has been especially harmful in the context of the sharing of the un-earmarked or soft-earmarked funds in the project's budget. During the course of interviews various stakeholders expressed the opinion that the allocation of funds via GLOU46 has been in many instances arbitrary. There is also very little information on the decision making process

behind fund allocation in the project documentation. This is a serious critique of the way IPA has been implemented, regarding that inclusiveness and cohesiveness were chosen as foundations of the concept.

Senior management, at the inception of GLOU46, should have invested more time and effort in constructing effective process and procedure and building system architecture for administering the project. If this had happened much of the current criticism regarding justification of funding allocation and internal communication could have been avoided. The negative legacy of this lack of administrative control is now being felt.

On the other hand the increase in soft-earmarked funds, in the context of the Medium Term Strategy (2008 – 2011) must be seen as a success. The Strategy notes that “Currently 12 per cent (US\$ 16.1 million) of UNODC’s annual budget of US\$ 135.9 million comes from the regular budget of the United Nations. The remaining 88 percent comes from voluntary contributions of Member States to two separate trust funds. Most of these contributions are earmarked. Although the increase in earmarked contributions represents a vote of confidence in UNODC by Member States, it creates an unstable and unpredictable funding situation, making it difficult to plan even one year ahead. UNODC must grow to respond to the greater demand for its services. The resources provided to UNODC should be commensurate with the mandates and the tasks entrusted to it.” The availability of un-earmarked funds allows for greater flexibility and enables quick response to changing circumstances and therefore may potentially increase each project’s efficiency. GLOU46 management was successful in highlighting the benefits of the IPA to the donors, and consequently a resource of un-earmarked funds emerged. This model has been – in part – replicated within the East Asia and the Pacific region with their J18 project which operates in a similar fashion to GLOU46 at a regional level to assist in the implementation of the RP. The observations gathered during the present evaluation suggest that the concept of so called “FSA accounts” should be revisited and carefully analysed, as there is evidence that donors are ready to support even very broad programmes, provided that they are both well-designed and managed and most importantly produce tangible results.

The analysis of the project documentation suggests that the ‘value for money’ principle of the project is good. One indicator that could support this premise is the growth in donor funding to the project over a short period of time. Donors tend not to continue contributing to a project where they do not see value for money. From a starting budget of USD \$ 623,800 this has risen to a total of over USD \$ 9 m during its lifetime.

Regarding “seed funding” there are statements within IPB documentation that “for every dollar invested by IPB {U}, there is a significant return (estimated at well over \$100) in donor support for technical assistance activities in target countries.”, still there is no hard data to evidence this statement. There are examples where this seed funding has made a significant impact such as the USD \$ 40m plus anti-piracy programme which benefitted from initial GLOU46 seed funding. However, the RPs are at an early stage of implementation, so a simple comparison of programmes and outcomes, would not produce valid results, as the currently invested seed funding may or may not prove successful in fullness of time.

There is documentation on the process of turning resources into outputs and ‘prima facie’ this appears to have been achieved in a relatively cost-effective manner. One important observation is that the main budget streams for GLOU46 are personnel (including consultancy fees), travel and meetings. These can be justified by another observation, that at the initial stages of the project the consultative process of explain the IPA and creating CPs and RPs had to be ‘kick-started’ and without engagement and expertise of IPB staff this would never have come to life. There is a need to travel and deliver expert advice to country and regional stakeholders when describing the IPA and the ethos that drives the approach. This must be tempered however by stating that GLOU46

‘seed funding’ is precisely that...seed funding. It should not routinely be used to finance salaries for either HQ or FO positions. Where it is used for this purpose there should be an explicit understanding that the funding is time limited and a suitable exit strategy is developed and implemented once the GLOU46 funding is withdrawn.

It must be stated that IPB failed to design and implement a comprehensive internal communication strategy. The project documents mention field representative seminars, information sent to field offices via e-mail regarding the latest on any regional programme or integrated programming guidelines; however during the course of interviews it became apparent very quickly, that there are staff members within UNODC HQ with very little knowledge of either the IPA or GLOU46 or IPB activities in general. In consequence many internal stakeholders did not feel part of the process and did not even have easy, permanent access to the most recent developments regarding the new approach. Promoting the IPA on a piecemeal case-by-case basis and lack of a comprehensive marketing strategy had potentially harmful effect on the level of internal backstopping of the approach.

The evaluation concludes, taking into account highly diverse data, that the prima facie effectiveness of GLOU46 appears to be good, however, due to the aforementioned reasons, no further analysis of the project’s effectiveness was possible.

Partnerships and cooperation

Substantial effort is required to integrate local, national and regional priorities with donor preferences and UNODC strategic planning. Therefore, for an integrated programming approach to function successfully there must be an appropriate level of partnership and cooperation. IPB in executing the IPA has endeavored to build the most appropriate partnerships and foster cooperation between the relevant parties and stakeholders.

The success of this can be evidenced in the number of regional programmes that have been initiated and agreed by various different stakeholders. These amount to East Asia and the Pacific, Eastern Africa, Central America/Caribbean, South Eastern Europe, West Africa, Arab States, Afghanistan and neighbouring countries and Southern Africa.

Most notably IPB – in promoting GLOU46 as a funding vehicle for the IPA – has built a strong relationship with many donors. The increase in the funds being supplied to GLOU46 gives testament to that particular relationship. From a starting budget of US \$ 623,000 it has risen in less than 42 months to a current overall budget of US \$ 9,400,000. The feedback from the donors in connection with the efforts expended to keep them informed of GLOU46 and the IPA are generally very positive and this has doubtless helped maintain donor interest in the GLOU46 project.

There is much which IPB is doing well in the area of partnership and cooperation in particular with external partners. And internally, through the GLOU46 funding vehicle IPB has also built a number of working partnerships with some UNODC organs and projects. The nature of the ‘soft-earmarked’ funds has allowed IPB to lend support to a wide variety of projects covering the whole range of UNODC activities under the IPA umbrella.

However, this evaluation has identified that there are some key internal stakeholders who believe the way IPB operates has created barriers to in-house partnership and cooperation. Even those that have – on occasion – benefitted from GLOU46 funding and IPB intervention have raised these concerns. The evaluator has found no evidence of a systematic or deliberate attempt to

create barriers or exclude specific in-house partners, however it does appear that not enough has been done by IPB to inform the different Divisions, Branches, Sections and Units of the Office of the Executive Director in certain key areas, namely;

- (a) The process through which IPB allocates the funds within GLOU46;
- (b) The ethos of IPB and the methodology through which it tries to deliver the IPA;
- (c) The on-going work within IPB that may have an impact on other in-house partners.

The most critical of these areas affecting in-house partnership and cooperation is the issue of justification on the allocation of GLOU46 funds. There is anecdotal reporting that these decisions were made within a small cabal in IPB with little documentary evidence on how they were prioritized and justified. The evaluator has found no due process or procedure that provides a robust and transparent framework detailing how decisions were made regarding the allocation of funds from GLOU46 to the various recipients and projects. This is an area that must be addressed.

When a lack of justification on fund allocation is coupled with a lack of understanding on how (and what) IPB is attempting to achieve, this is bound to lead to suspicion and mistrust. For example, many interviewees raised the question of whether the best use of soft-earmarked funds were in the three main GLOU46 budget lines of personnel costs (including consultancy fees), travel and meetings. The implication being – and in some instances the express opinion – that money which went directly to GLOU46 from various donors would have been better spent going directly to other projects within UNODC. All of this suggests the internal advocacy of IPB is not as robust as is necessary since the arguments which justify the main GLOU46 budget line expenditures (personnel, travel and meetings) have not been duly explained and accepted in-house. This is given further weight by feedback received from internal stakeholders upon the circulation of this draft evaluation where one respondent noted they did neither understand nor benefit from GLOU46.

One final area of concern regarding barriers to cooperation and partnership in-house relates to the perception in some areas that IPB operates in its own vacuum and neglects to inform in-house partners of developments which naturally fall within their sphere of influence. There are examples of IPB completing country or regional assessments in thematic areas without reference to the thematic expertise available at HQ.

This area of in-house communication is vital. As noted previously the evaluator does not believe that there has been any desire to not communicate. However IPB and the IPA have grown very quickly due in no small part the foresight and energy of some highly motivated individuals. This rapid growth allowed little time for the development of due process and procedure and as a result little attention was given to formulating an internal communication strategy to foster in-house cooperation and partnership among different Divisions, Branches, Sections and Units.

This criticism must be tempered with the caveat that communication issues appear to have improved over the past 12 months with more documentary evidence of the continuing work of interdivisional task teams. This coupled with clearer reporting lines within IPB suggest a more systematic, process driven management structure is being introduced. This evolution is to be encouraged.

Effectiveness

IPB - by promoting the concept of GLOU46 as a funding vehicle for assisting in developing and implementing the IPA - has been exceptionally effective at generating donor funding. In a relatively short period of time it has grown from a project with an annual budget of less than USD \$ 1m to its current total budget in excess of USD \$ 9m.

This is not the only financial indicator of success. The GLOU46 concept is built around so-called 'seed funding' where funds are allocated in the anticipation that this will help generate additional project funding and support. Again there are examples where this has been effective such as the assistance given to the East Asia and the Pacific Office of UNODC. This RO is now boasts a strong and effective presence – running many large projects – in the region and this can be attributed – in part – to GLOU46 support. IPB vision, using GLOU46 support, has also generated additional funding in other regions and areas, for example in East Africa and in particular in tackling some of the issues around piracy. This initiative is now worth around USD \$ 40m.

There is written evidence, coupled with interviewee feedback, that the concept of the IPA and using GLOU46 as the vehicle to assist in its implementation has been effectively communicated to the donor and recipient communities. The number of CPs and RPs that have been instigated demonstrates this point. Just as it is important to recognise the importance of this success it is just as important to recognise that the donor and recipient communities will expect evidence of the effectiveness of the CPs and RPs. As noted previously in this evaluation UNODC do not have an effective mechanism for evaluating this aspect of programme success.

This evaluation notes that a large percentage of any expenditure over USD \$ 2,000 from GLOU46 has been in three main budget areas namely; personnel (including consultancy fees), travel and meetings. Given the global nature of the objectives of IPB and GLOU46 and the need to influence senior stakeholders in country the travel and meeting costs can broadly be justified. Similarly the speed with which IPB pursued the IPA meant that there was a need for increased human resource support. GLOU46 assisted here with human resource support in the field, for example funding the Head of Unit (Programme Support) position in the East Asia and Pacific region or the Crime Prevention Adviser posted in Guyana for a year. There has also been substantial expenditure on the use of consultants when developing the integrated country and regional programmes. In the majority of cases this expenditure appears justified and has been effectively deployed but without a formal process for demonstrating the justification for expenditure and a robust method for measuring success, this evaluation cannot expressly state that all funds have been used in the most effective manner possible.

If GLOU46 continues as a funding vehicle to assist in the development and implementation of integrated CPs and RPs where currently none exist – but where UNODC could use its comparative advantage (e.g. North Africa, Yemen etc.) – then expenditure on building resilience and expertise within the Field Offices will be required. Similarly programming meetings involving HQ, regional and field office staff along with country and regional stakeholders to influence up-stream policy and engender 'buy-in' to the IPA will also be required. The difficulty is in finding the correct balance between expenditure on personnel (including consultancy fees), travel and meeting costs and on supporting specific (cross) thematic projects within the IPA.

As noted in this evaluation it does appear that the initial support of funding specific personnel in a Field or Regional Office to impart the knowledge and provide the drive to develop and implement the IPA is effective. However, one of the main tenets of GLOU46 funding is that it is seen and used as 'seed funding' in particular when considering using it to employ personnel either at HQ or in the field. There must be a proper analysis and workable exit strategy in place if GLOU46 funds are to be used for the creation of UNODC salaried employees.

As noted elsewhere in this report, GLOU46 funding could also be used to assist Field and Regional Offices in their efforts to continue the evolution of their CPs and RPs. This could include GLOU46 supported fact-finding missions, reviews, consultancies in order to improve the CP and RP quality. The CPs and RPs are expected to continue for many years thus improved design and innovation will continue to be required in the field. If GLOU46 funding is to be diverted more into supporting existing CPs and RPs its objectives will have to be redefined.

It should be noted that one of GLOU46 objectives was to assist IPB in ensuring that UNODC's work practices reflect a more coherent and integrated approach. The other objective was to assist IPB in its contribution to the operationalization of UNODC Medium Term Strategy (2008 -2011), now superseded by the MTS 2012 - 2015. GLOU46 is not expected to ensure the success of the IPA only to ensure IPB has the resources to follow its 'coherent and integrated approach' which IPB has chosen to pursue through the IPA. Under this Project Document based definition GLOU46 has been largely effective.

It is more difficult to judge how well integrated these programmes are from a cross thematic viewpoint. When examining the RPs there is no clear guidance on how those areas deemed as a priority within the RP should be tackled from a cross-thematic perspective. For example, is each current project subjected to an IPA review to assess what parts of that project fit within the new RP and if elements of different (thematic based) projects should be combined? And at an HQ level there still does not seem to be a great deal of thematic integration which compounds the difficulties for ROs and FOs when trying to integrate their current projects or develop new integrated projects. There is also the issue of retro-fitting existing projects into the RP which is a legitimate approach but this retro-fitting should also have some mechanism to identify cross-thematic opportunities. It should be noted that the thematic programmes are led by the Strategic Planning Unit (SPU) and this division of responsibility between IPB for RP and CP and SPU for thematic area implementation could be a barrier to successful integration.

One fundamental area that impacts upon the extent to which thematic, country and regional programming can be integrated is not only the support of IPB and GLOU46 funding but also the support of UNODC systems to help administer, monitor, control and evaluate integrated programming. The current ProFi system does not easily allow for integrated programming financial management as every project is required to be associated to one theme and result area of UNODC Strategy. To the credit of IPB they have recognised this and through the use of GLOU46 funds they have attempted to develop with the Implementation Support Section (ISS) system(s) which assist in these areas. This has manifested itself in the development of the 'dashboard' for East Asia and the Pacific region. It is an attempt to introduce a 'programme friendly' management architecture using project based ProFi data. While it has proved a relative success in certain areas of financial management it is not the complete solution to programme management. There is an argument that GLOU46 funding could be used at a HQ level to bring about the methodological and administrative changes that are required to support the IPA.

Overall it is fair to state that the funds have been effectively used in the pursuit of the integrated programming approach and the development of integrated country and regional programmes. This is tempered with the knowledge that insufficient process and procedures exists on how funding decisions were taken to then use that data to compare against potential alternatives.

Impact

As this evaluation has highlighted GLOU46 funding has had a positive impact on a global scale. It has helped raise the profile of UNODC in certain countries and regions, has brought the concept of integrated programming to numerous stakeholders including member states and donors, who have – almost without exception – given a positive response. The drive, vision and determination of a key group of Division of Operations staff to promote this IPA must be recognized. They have helped to create a platform for UNODC on which it can build credibility and success in its areas of comparative advantage. The use of integrated programming to deliver operational results driven by the normative work of UNODC is an opportunity that should be exploited. This opportunity would have been far less likely without the development of IPB and GLOU46 funding.

It should be noted that GLOU46 funds were instrumental in supporting field offices that were in danger of closing. These included those in Nairobi, Bangkok and Pakistan. The Pakistan CP appears to be a good example of the IPA working in practice. There are numerous examples of programme development and support assistance having an impact with many missions to various countries and regions consisting of high-level, up-stream discussions on integrated programming. In the Caribbean support was given in hosting the ‘Ministerial Conference on Illicit Drug Trafficking, Transnational Organized Crime and Terrorism as Challenges for Security and Development in the Caribbean’ (Feb 2009). From this came the Action Plan for the Caribbean (which served as the RP for the Caribbean for the period 2009-2012) and two Regional Sub-Programmes negotiated with CARICOM IMPACS (UNODC-IMPACS Rule of Law and Organized Crime Sub-programme for the Caribbean) and the Organisation of Eastern Caribbean States (OECS) (OECS-UNODC Sub-programme on Strengthening the Rule of Law and Security); as well as the Santo Domingo Pact (XCAU81). In Central America support was given in hosting a similar event the ‘Ministerial Conference on Illicit Drug Trafficking, Transnational Organized Crime and Terrorism as Challenges for Security and Development in Central America’ (June 2009). Ultimately the RP for Central America was endorsed by Member States and the Central American Integration System (SICA), and the Santo Domingo Pact was transformed into a bi-regional initiative with the addition of the SICA-UNODC Mechanism component to the project.

GLOU46 has also assisted in certain specific arena where UNODC has identified areas of comparative advantage that fit within its integrated programmes. These include funding for prison reform and the development of the container programme which is bearing global success.

Of course not all interventions by IPB and GLOU46 funding have resulted in long term positive outcomes. The El Salvador programme has suffered from a lack of interest from potential international donors. UNODC was only able to launch limited activities in the area of crime prevention (estaciones creativas) with seed funding. However, support to El Salvador is being provided also through regional initiatives linked to the Central America RP, such as the Santo Domingo Pact and SICA-UNODC Mechanism (support to the police and prosecutors) and the Network of Organized Crime Prosecutors – REFCO (support to prosecutors).

As this evaluation has highlighted, under its existing objectives, GLOU46 is nearing the end of this first phase with the implementation of numerous country and regional programmes across the globe. For this impact to be maintained and improved decisions have to be taken regarding the future role of IPB and GLOU46 as the funding vehicle behind the implementation of the integrated programming approach as a whole.

Sustainability

The sustainability of GLOU46 rests upon the review of its objectives. Given that GLOU46 is the funding vehicle for IPB to develop and implement the IPA there is a finite end to this objective as each country and region receives the IPA. There will, in the short to medium term, still be some need for this objective as the global geopolitical environment provides new country and regional opportunities for the IPA to be developed and implemented. However additional objectives for GLOU46 should be formulated and should focus on using the wealth of experience IPB have built in integrated regional and country programming and the funding issues around those programmes. It would make sense for UNODC to consider how best it can retain and use this institutional knowledge. GLOU46 could conceivably continue as a 'soft-earmarked' funding vehicle to assist FOs and ROs in pursuing their integrated programming goals.

Naturally this approach needs the donors to understand and support this new 'Phase 2' role for GLOU46 funding. This will hinge to a greater extent on IPB and UNODC being able to demonstrate that the CPs and RPs are delivering integrated programming success. There will have to be a swift and effective evaluation of the IPA and its progress in order to demonstrate to donors that the approach is valid and bringing results. This is particularly important given the assertion elsewhere in this report that donor expectation for GLOU46 is already very high. If this message regarding 'Phase 2' of GLOU46 is not well communicated donors may be unwilling to invest funds to the same extent as previously.

There is clear ownership of integrated programming by IPB. Where the potential sustainability issues lie will be in the discussions regarding IPB's future objectives and how much of the implementation, control and monitoring of integrated programming remains under the remit of IPB. There is a danger that if too much is devolved to other organs of UNODC this concerted integrated programming effort will become diluted and lose impetus.

As highlighted elsewhere in this evaluation report it does appear that the integrated programming approach is conceptually sound. It has certainly raised the profile (and expectations) of UNODC within the wider stakeholder community including member states and donors. It will be vital that UNODC delivers upon the promises made if integrated programming (and by extension the need for continuing GLOU46 and IPB involvement) is to become a cornerstone of UNODC strategy in the future.

Innovation

Although not innovative in the strict sense that 'soft-earmarked' funds have been used by UNODC in other projects, GLOU46 is an excellent example of how – with a clear concept – funding can be generated that allows sufficient flexibility for UNODC to allocate funds where they determine it will have the greatest impact. This required innovative thinking in developing the integrated programming approach in such a fashion that it appealed to donors yet still delivered what the recipient countries actually wanted and needed. The breadth and depth of support for the IPA gives one indication of the success of this tactic.

III. CONCLUSIONS

This evaluation concludes that GLOU46 funding has had a positive impact on the work of UNODC globally and has contributed to raising the awareness of the Office with its various partners and stakeholders. GLOU46 has been involved across East Asia and the Pacific, Eastern Africa, Central America and the Caribbean, South Eastern Europe, West Africa, Arab States, Afghanistan and neighbouring countries and Southern Africa. A large part of this involvement has been high level ‘up-stream’ work with various non-UNODC partners including host country ministries, other UN organs, donors etc.

The use of GLOU46 funds as ‘seed funding’ has been a qualified success with many examples of projects and programmes that have continued to develop and grow on the strength of an initial input of funds from GLOU46. Some examples include, the Regional Programmes for East Asia and the Pacific, East Africa and Central America. In all these regions UNODC presence was in jeopardy and GLOU46 funds with the support of IPB, helped kick-start a coherent regional programme of assistance. In areas where UNODC presence was established the seed funding helped UNODC to move ‘up-stream’ and strengthen the cooperation between the regional entities and partner countries. This is evidenced by UNODCs interaction with ECOWAS, League of Arab States, CICAD, ASEAN and SADC for example.

It has also supplied funding to allow HQ experts to travel to the regions to provide substantive knowledge in such areas as Transnational Organised Crime, corruption, criminal justice etc. It has also funded research and analytical studies for the national governments in UNODC mandated areas.

One of the greatest assets of GLOU46 funding is the ‘soft-earmarked’ nature of the funds lending flexibility to their allocation. Much of this GLOU46 ‘soft-earmarked’ funding has been spent across three main budget streams namely; personnel, travel and meetings. Given the nature of the process in developing integrated Country Programmes (CP) and Regional Programmes (RP) – which involved the commitment from IPB to provide ‘up-stream’ policy support – the majority of the travel and meetings expenditure can be justified. Similarly personnel costs (including consultancy fees) can be broadly justified insofar as these CPs and RPs were being driven forward quickly and suitable expertise to support and assist them was required, was time critical and was not always readily available in-house. However there was a lack of clarity and justification on how the funds were allocated and should IPB and GLOU46 continue to follow the model of promoting soft-earmarked funds, greater control over due process and procedure must be maintained regarding fund allocation. This must include a clear communication strategy from IPB to ensure an inclusive approach at HQ level between all relevant in-house stakeholders.

There could be difficulties when it comes to delivering on donor expectation. The GLOU46 objectives are not intrinsically linked to the success of the integrated programming approach itself however the success of the integrated programming approach and the success of CPs and RPs is viewed by the donors as a key indicator of GLOU46 and IPB success. This issue of donor expectation has not been handled as well as it could have been and this poses a real threat to the future sustainability of the project. Great care will need to be taken when describing to the donors what ‘Phase 2’ of GLOU46 means and how its success will be measured. It is incumbent upon

IPB and UNODC to develop a robust system for managing the IPA and the integrated programmes. This includes developing the appropriate monitoring, evaluating, financial and administrative systems to allow for programme management as well as project management.

The model of running integrated programmes and utilizing soft-earmarked funds for the purposes of generating new (or supporting existing) projects that – ideally – are integrated across thematic areas appears compelling. GLOU46 has proved the validity of this approach and the subsequent development of a similar model using the J18 project within the East Asia and Pacific Regional Office to support their regional programme lends weight to the conceptual argument in favour of this methodology. Where difficulties arise is in the proper control and monitoring of these types of funding vehicles and the programmes they support. This evaluation believes that it is the systems and procedures that need to change to fit the new paradigm rather than have the methodology change to fit the systems. In short UNODC and its standard operating procedures need to become more programme orientated. Project control and monitoring systems do not easily translate into programme control and monitoring systems.

As the initial aims and objectives of the GLOU46 project come close to completion a review of GLOU46 and IPBs role must be undertaken. This evaluation contends that careful consideration should be given regarding how the institutional knowledge that IPB has gained in developing integrated programmes can best be utilized. As the CPs and RPs continue there is a need for these to be controlled, monitored, evaluated and adjusted as necessary with reference to any IPA. There could be a role for GLOU46 funds and IPB expertise to support this process. This could take the form of fully funding or cost sharing personnel costs for direct assistance in ROs and FOs. It could be supporting the Independent Evaluation Unit in evaluating the regional programmes or by driving forward the process of integration of thematic programmes.

VI. RECOMMENDATIONS

Ensuring proper formal structure of the project

The project developed quickly and while certain aspects were pursued vigorously the necessary formalisation of the structure for the project was lacking. If IPB and GLOU46 are to continue to be involved in the integrated programming approach then this formalisation must occur. There must be clear standard guidelines regarding participatory needs assessments, context analysis and baseline studies, verifiable indicators and appropriate monitoring systems. All of this should be standardised as far as possible to give HQ, Regional and Field Offices an integrated programming framework within which they can pursue the objectives of the Regional or Country Programmes and the integrated programming approach.

Institutionalise IPB knowledge in integrated programming by determining the future role and objectives of GLOU46

IPB has built up a bank of experience and knowledge in the development and initial implementation of integrated programming. This knowledge should be institutionalized within UNODC. This evaluation recommends that IPB – in conjunction with its core learning partners – determines how IPB in particular and UNODC in general can best utilise this knowledge. This will necessitate a review of GLOU46 objectives and careful consideration should be given to developing a ‘Phase 2’ of the project which will take an active role in supporting the implementation, monitoring, evaluating, reviewing and refining of CPs and RPs.

Retain the flexibility of the GLOU46 funding structure for programme implementation

Throughout this evaluation a common theme has emerged; that of the advantages of GLOU46 ‘soft-earmarked’ funds. Almost without exception, stakeholders have commented upon the flexibility of having funds that can be allocated as and when required in areas deemed necessary to pursue the objectives of integrated programmes which includes the ability to respond to immediate needs. This approach has been mirrored in the East Asia and Pacific Region with their own ‘J18’ project to assist in implementing their integrated regional programme. UNODC should ensure the continuing promotion and use of ‘soft-earmarked’ funds within the integrated programme environment.

Improve the process and procedure for prioritising and justifying GLOU46 fund allocation

Although ‘soft-earmarked’ funding allows for greater flexibility in assisting integrated programming to meet its objectives the appropriate checks and balances must exist to ensure that funding is allocated in a fair, transparent and justifiable manner. At this moment in time these processes and procedures for deciding the allocation of GLOU46 funds is not robust enough. IPB should introduce explicit process and procedure detailing the criteria for the prioritization and justification behind fund allocation. This need not – indeed should not – be an overly administrative or burdensome process. This evaluation envisages a one page document, developed by the IPB seeking advice where necessary, with criteria based upon the IPA conceptual model that will determine the validity of the funding request.

Improve the advocacy of IPB within its UNODC partners

IPB has been criticized by some in-house partners of lacking a clear communication strategy to keep those partners informed of relevant on-going and proposed IPB work streams with regard to the IPA. As a result mistrust and suspicion has grown between IPB and some Vienna HQ colleagues. This, however, appears to be improving – in particular over the past year – and this evaluation does recognize the work of the interdivisional task teams in trying to ensure IPB message is communicated across the Office. Greater effort is still required in this area and it is recommended that IPB constructs and commits to paper a clear communication strategy to ensure all appropriate in-house stakeholders are aware of what IPB does, how it is doing it and how other Divisions, Branches, Sections and Units will be kept informed. This could include regular newsletters (such as those from Afghanistan for example), workshops, guidance notes etc. and gathering feedback from the HQ and FOs about their knowledge and acceptance of the approach.

Invest greater effort in ensuring UNODC systems adapt to suit programming needs as well as project needs

The requirements to control, monitor and evaluate a project are inherently different to those required to control, monitor and evaluate an integrated programme. For example, the current Pro-Fi system is proving incapable of providing the flexibility required to assist in the implementation, control and monitoring of cross thematic, integrated programming objectives. It is set up to administer discrete projects and does not easily allow for cross-cutting, integrated projects to be administered. This evaluation recognizes the attempt made by IPB through GLOU46 funding to tackle this area with the introduction of the ‘dashboard’ in East Asia and the Pacific. Whilst this is a step in the right direction – and the ‘dashboard’ should be considered for rolling out to other ROs and FOs – it is not enough. This evaluation strongly believes that the systems should be made to fit the strategy and not make the strategy fit the systems. If integrated programming is a fundamental of senior UNODC Directorate driven strategy, then there must be proper investment in appropriate programme (not project) control, monitoring and evaluation systems.

Examine the methodology for integrating cross-cutting thematic areas in the integrated programming approach

Although the issue of integrating across thematic areas is wider than simply GLOU46 and IPB it is crucial to the ultimate success of the integrated programming approach being championed by IPB in particular and UNODC senior management in general. Coupled to the earlier recommendation of developing the in-house systems required to make integrated programming administratively effective a more robust methodology must be found for dealing with cross thematic integration. There is scope for far greater collaboration between the thematic programmes to develop cross-cutting projects which can sit comfortably within the integrated regional programming framework (see recommendation No.1). This will require the thematic branches to ensure their work is aligned in a regional rather than global manner. A cross-cutting working group should be established to determine a methodology that allows for better integration across thematic areas.

GLOU46 seed funding not to be routinely used for funding permanent positions

GLOU46 money has been well used however seed funding money should not be routinely used to permanently fund HQ or FO positions. The concept of seed funding is that is used to initiate growth and is not to be relied upon for permanent funding. There are some instances of GLOU46 funds being used in a manner which suggests it is seen as permanently funding specific positions. Future GLOU46 funding allocations should be explicitly time bound and an appropriate exit strategy should be formulated to manage the withdrawal of GLOU46 funds after the allotted time period has expired. This could form part of the funding justification process. There may be exceptional cases where GLOU46 funding is used for funding a permanent position (e.g. hard-earmarked donor funds) however the default position should be that it is 'seed funding' only.

V. LESSONS LEARNED

Lesson Learned

Priority Setting

There is a need for clarity and focus on priority setting within the integrated programming regime. This of itself will help ensure that some of the abstract aspects of integrated programming are translated into measurable results in the field. The ability to use UNODCs comparative advantage in taking normative work and promoting its operationalisation will be enhanced by robust priority setting.

Sustainable management infrastructure

The integrated programming approach expanded very quickly but the management infrastructure to support this expansion did not keep pace. The accounting and information technology systems are not tailored to suit the project and work is needed to make these systems fit for purpose.

Transparency

All funding allocations to specific projects need to be made in a transparent procedure with all relevant stakeholders involved in the process. This helps engender ‘buy-in’ from the various stakeholders and minimise disputes and discontent over funding allocation.

Internal communication and marketing

The importance of keeping in-house stakeholders fully informed and engaged cannot be overstated. There has to be a strategy in place for ensuring the key tenets of policy are transmitted to – and understood by – those who need to know.

Best practices

Promising development of Regional Programming

Regional Programming – as part of integrated programming – has many supporters and potentially brings many advantages. The RPs for the Central America and East Asia and the Pacific are two examples of functioning and developing RPs. There are also examples of integrated programming encouraging the development of strategies to prioritise and then tackle additional areas of concern. In Colombia, for example, there is now a strategy for tackling corruption as well as ‘drug control’.

The structure of funding

Non-earmarked and soft-earmarked funds seem to enhance performance of specific projects and thus need to be accommodated in the financial administration of UNODC. Integrated Programming requires soft-earmarked funds in order to ensure the ability to react quickly to changing circumstances. The donor support for this approach and consequent soft-earmarked funds need to be maintained.

Flexibility

The speed and flexibility with which GLOU46 funds can be directed to areas where there is greatest need is an obvious advantage. In a world where the geopolitical environment is in a permanent state of flux the ability to be able to commit funds where need dictates, under an IPA that allows the flexibility to do that, lends great credibility not only to the GLOU46 project but to UNODC and the perception of it as a proactive, impactful organisation.

ANNEX I. TERMS OF REFERENCE OF THE EVALUATION

UNOV UNODC

United Nations Office at Vienna United Nations Office on Drugs and Crime

| | |
|---|---|
| Project Title: | Consultant – External Evaluation - Project No. GL0U46: “Support for the Integrated Programming Unit to promote multi-disciplinary and cross-sectoral technical cooperation” |
| Project duration: | 25/08/2008 - 31/12/2012 |
| Organizational Section/Unit: | UNODC, DO/IPB/ Programme Support & Oversight Unit |
| Evaluation Team: | One international consultant |
| Duty Station: | Vienna and home based |
| Evaluation start and end date: | 27 February to 10 April 2012 |
| Actual work time: | 29 working days |
| Type of evaluation (mid-term or final): | Mid-Term Independent Project Evaluation |
| Time period covered by the evaluation: | 25/08/2008 to date |
| Core Learning Partners (entities): | IPB and selected Field Offices |

Background of the assignment

Project GLOU46 was designed in 2008 to provide support to UNODC’s Integrated Programming Unit, now referred to as the Integrated Programming and Oversight Branch (IPB), to enhance cross-sectoral and inter-divisional programming, thus improving the coherence and focus of UNODC support provided to Member States.

The project commenced in August 2008 with a relatively modest budget of US \$ 623,800 and has since undergone six revisions to reflect substantive expansion of activities along with significant increases in the project’s budget (current overall budget US \$ 9,400,000) and extensions of the project’s duration (current duration 2008-2011).

Throughout the duration of the project, the overall and immediate objective remained unchanged.

Overall Objective: IPU will contribute to the operationalisation of UNODC Medium Term Strategy (2008 - 2011).

Immediate Objective: The immediate objective of the project, using IPU as a vehicle for implementation, is to ensure that UNODC’s work practices reflect a more coherent and integrated approach.

Outcomes

Outcome 1: UNODC capacity to meet Member States' priorities is increased through integrated regional programming.

Outcome 2: UNODC's programming capacity is enhanced in some priority countries.

Outcome 3: UNODC's Capacity to address integrated programming and substantive cross-cutting themes is strengthened via related guidance notes/tools

In pursuit of these objectives and outcomes, the project has acted over the past three years as the main seed-funding vehicle through which UNODC was able to increasingly launch and adopt an Integrated Programming Approach in its operational work. This approach was embodied in the launching of Regional Programmes in several parts of the world.

In support of the Integrated programming approach the project undertook the following key activities:

- (a) assessment and programme development missions;
- (b) expert advice through external consultants;
- (c) support to Field Offices in the design and implementation of integrated regional/country programmes;
- (d) provision of "seed funding" to Field Offices to support new initiatives;
- (e) identification, coordination and driving forward of cross-cutting strategic issues pertaining to UNODC mandates.

The latest substantive project revision was prepared in January 2010 to reflect substantive expansion of the project's activities. Major results foreseen in the 2010 project revision include:

- (a) Support to implementation of five regional programmes to cover the geographical regions of East Asia and Pacific, Eastern Africa, Caribbean, Central America, and the Balkans.
- (b) Support the development of regional Programmes for an additional seven regions: North Africa and Middle East, West Africa, Central Africa, Southern Africa. Brazil & Southern Cone, Central Asia & West Asia, and South Asia.
- (c) Support to programming initiatives for the following countries: Southern Sudan, Occupied Palestinian Territories, Liberia, Sierra Leone, Indonesia, Somalia, Papua New Guinea, Panama, Guatemala, El Salvador and others as required.
- (d) Support provided for development of Thematic programmes (policy documents).
- (e) Development of "Guidance Notes" for circulation to HQ and FOs, including Guidance Notes on: UNODC and Cybercrime, Regional and Thematic Programmes, Gender and others as required.

Disbursement history

| | |
|----------------------|-----------------|
| Overall Budget Total | Approved Budget |
| US \$ 9,400,000 | US \$8,727,112 |

Purpose of the evaluation

This evaluation has been requested by UNODC's Integrated Programme and Oversight Branch. In line with UNODC's evaluation policy an independent project evaluation is required for projects with a budget exceeding US\$ 1 million.

Following more than three years of implementation, this evaluation is timely in order to assess the results that the project has achieved to date, and to inform the decision making process with regard to the future of the project. The evaluation is further expected to provide recommendations and lessons learned derived from project implementation and serve as a basis for UNODC forthcoming regional programme evaluations.

This evaluation follows a two step approach as it feeds as an input into the evaluation of the Integrated Programming approach, which will take place in May 2012. The findings collected by the present evaluation will then be fully utilized and incorporated by the Integrated Programming approach evaluation. Findings of the Integrated Programming evaluation will be presented at the Field Representative seminar which will take place in July 2012.

The main stakeholders of the evaluation will include: IPB staff directly involved in the implementation of the project, other UNODC sections/branches (e.g. OED, SPU, FRMS, CPS, HR), selected UNODC Field offices that benefitted from project interventions (East Africa, Bangkok Regional office, Cairo Office), and other stakeholders as appropriate.

Scope of the evaluation

The evaluation will cover the whole life span of the project since its inception in August 2008 up to the beginning of 2012.

Evaluation criteria and key evaluation questions

With the support of the Chief of the Programme Support and Oversight Unit (PSOU), and in Coordination with the Chiefs of the Regional Desks, IPB and the Chief IEU, the Consultant will assess the below evaluation criteria:

(a) Relevance

(i) Assess the relevance of the principles and main strategic criteria that have inspired UNODC's organizational and operational changes in pursuit of a coherent and integrated programming approach.

How relevant is the project to UNODC needs and priorities, in particular to LJNODC Medium Term Strategy (2008 to 2011)?

To what extent was the project relevant to the regions' programming needs and priorities?

To what extent were stakeholders and I.JNODC staff in a position to participate in the allocation of seed money from the project?

To what extent is the approach in line with UN policies at large, such as the Paris Declaration?

(b) Efficiency

(ii) Assess the support provided to the thematic Branches in addressing the regions' programming needs and priorities;

(iii) Assess the coordination role of the Integrated Programming Unit in managing the project;

(iv) Assess if the resources provided by the project have been used efficiently ("value for money" principle).

(v) Assess the efficiency of measures put in place during planning and implementation of the project to ensure efficient use of resources.

(vi) Assess the efficiency of "seed funding" provided by the project for the design and implementation of Regional/Country programmes, recruitment of consultancies and programming missions to the field;

Were the resources converted into outputs in a timely and cost-effective manner?

To what extent was the management role of IPB efficient?

To what extent was the coordination role of IPB efficient?

To what extent was the disbursement of the seed funding efficient?

(c) Effectiveness

vii. Assess the effectiveness of support provided by the project in the development and implementation of integrated programmes as detailed in the project document and its revisions.

Were the planned objectives and outcomes in the project document achieved?

To what extent are the Thematic/Regional/Country programmes (designed and implemented thank to seed funding from the project) integrated?

(d) Internal cohesion

To what extent are UNODC's work practices coherent and integrated?

(e) External cohesion

To what extent were Member States and donors involved in the delivery of the services derived as part of the project?

(f) Sustainability

Has the project contributed or is likely to contribute to long-term benefits for UNODC?

To what extent is there ownership of the approach within UNODC?

(g) Impact

To what extent are the project results (objectives and outcomes) likely to continue if the project is terminated?

Evaluation methodology

The evaluation will be undertaken at UNODC HQs in Vienna through analysis and review of the relevant documentation that will be made available by IPB and other HQs Branches. A list of the documentation is provided in annex.

The evaluator will also undertake interviews with relevant UNODC stakeholders.

The evaluation methodology, including interview guides and questionnaires, will be collected in the inception report based on UNODC guidelines and will be shared with IEU.

ANNEX II. STAKEHOLDER COVERAGE AND INTERVIEWEES

| <i>Individual</i> | <i>Stakeholder Group</i> | <i>Position</i> | |
|-------------------|--------------------------|-----------------|---|
| Serguei | AGADJANOV | UNODC HQ | Chief, Human Resources Management Services |
| Ricarda | AMBERG | UNODC HQ – IPB | Programme Officer, Programme Support and Oversight Unit, IPB |
| Amado Philip | de ANDRÉS | UNODC HQ – IPB | Team Leader for Latin America and the Caribbean |
| Gautam | BABBAR | UNODC HQ | Chief, Strategic Planning Unit |
| Sandeep | CHAWLA | UNODC HQ | Director, Division for Policy Analysis and Public Affairs |
| Jeremy | DOUGLAS | Field Office | Pakistan Country Representative |
| Maurizio | GAZZOLA | UNODC HQ | Chief, Corporate Software Solutions Section |
| Gilberto | GERRA | UNODC HQ | Chief, Drug Prevention and Health Branch |
| Kayoko | GOTOH | UNODC HQ – IPB | Chief, Integrated Programming and Oversight Branch |
| Anna | GIUDICE-SAGET | UNODC HQ | Drug Control and Crime Prevention Officer, Criminal Justice Section |
| Katharina | KAYSER | UNODC HQ | Chief, Independent Evaluation Unit |
| Irka | KULESHNYK | UNODC HQ | Senior Coordinator, Regional and National Terrorism Prevention Unit |
| Aldo | LALE-DEMOZ | Field Office | Columbian Country Representative |

| | | | |
|-----------|-----------|-----------------|--|
| Pierre | LAPAQUE | UNODC HQ | Chief, Implementation Support Section, OCB |
| Gary | LEWIS | Regional Office | Regional Representative, Regional Centre for East Asia and the Pacific |
| Hans | LUNDBORG | Donor | Swedish Ambassador, Ministry of Foreign Affairs |
| Francis | MAERTENS | Ex UNODC HQ | Former Director, Division of Operations |
| Andrea | MANCINI | UNODC HQ – IPB | Regional Desk for West and Central Asia |
| Angela | ME | UNODC HQ | Chief, Statistics and Survey Section |
| Catherine | PERRET | UNODC HQ | Chief, Budget Unit, FRMS |
| Thibault | le PICHON | UNODC HQ | Chief, Studies and Threat Analysis Section |
| Cecile | PLUNET | UNODC HQ | Programme Officer, Corruption and Economic Crime Branch |
| Stefano | POLACCO | UNODC HQ – IPB | Chief, Programme Support and Oversight Unit, IPB |
| Cherine | RAHMY | UNODC HQ – IPB | Team Leader for Middle East, North East and Southern Africa |
| Trond | RUDI | Donor | Senior Adviser, Norwegian Ministry of Foreign Affairs |
| Sana | SARROUH | UNODC HQ | Programme Assistant, Monitoring and Support Unit |
| Mark | SHAW | Ex UNODC HQ | Former Head of IPB |
| Dagmar | THOMAS | UNODC HQ | Senior Inter-Regional Adviser, Security and Programme |
| Narumi | YAMADA | UNODC HQ | Chief, Regional Section for South Asia, East Asia and the Pacific |

ANNEX III. EVALUATION TOOLS

GLOU46 Questionnaire

1. As a Field / Regional Officer how much input did you have in helping to formulate the Integrated Programming approach?
2. To what extent has IPB involved you / your unit / your department / your office in explaining and including you in their work?
3. What data can you (dependent on stakeholder) supply that may demonstrate how successfully the Integrated Programming approach has been translated into effective field outputs and outcomes.
4. In your opinion how well has IPB managed to bring cohesion to the working practices of UNODC through its Integrated Programming approach?
5. As a donor are you well sighted on how your funds have been used and are you satisfied with the return on your investment?
6. As a donor, if GLOU46 did not exist, would you reapportion your funds elsewhere within UNODC?
7. What is the most significant change that GLOU46 and the integrated programming approach has brought to UNODC?
8. What is / was the most significant barrier to the success of GLOU46 and the integrated programming approach?
9. What is the most significant improvement GLOU46 and IPB could make to improve the effectiveness of the integrated programming approach?

ANNEX IV. DESK REVIEW LIST

1. IPU Project Document July 2008
2. GLOU46 Project Revision Document January 2009
3. GLOU46 Project Revision June 2010
4. GLOU46 Project Revision Budget June 2010
5. GLOU46 Project Revision log frame June 2010
6. GLOU46 Project Revision December 2010
7. Final revised budget PPC submission December 2010
8. GLOU46 Project Revision March 2011
9. Budget revision staffing table March 2011
10. GLOU46 Project Revision June 2011
11. Budget revision staffing table June 2011
12. Evaluation in Regional and Country Programmes
13. IPU activities January 2010
14. Report for Canada on GLOU46 December 2009
15. ECOSOC resolution July 2009
16. Egypt segment January 2011
17. Interim Report for Sweden 2010
18. IPB Report on results Canada 2010
19. IPU Report 2008 - 2009
20. Guiding Principles for regional programmes December 2008
21. Paper ECN72009_CRP6 March 2009
22. Regional and thematic integration presentation July 2011
23. GLOU46 expenditure over USD \$ 2.000

24. Donor Funding Breakdown
25. UNODC Strategic Alignment SPU Nov 2011
26. UNODC Regional Programme RCEAP Oct 2009
27. Interdivisional Task Force meeting Minutes Nov 2011
28. Interdivisional Task Team Agenda ROSEN Oct 2010
29. Interdivisional Task Force 4th meeting Minutes RP SP4 Jan 2012
30. Guidance on Implementation of Integrated Programmes (Draft) Jan 2011
31. Towards strengthened, coherent and integrated UNODC field operations Sep 2008