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**Final Independent Project Evaluation of
the project
“Integrating crime, corruption, drugs and
terrorism related issues into the
preparation of national plans and
processes”
United Nations Development Account funded project
(1213V)**

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This evaluation report was prepared by an independent, external evaluator, Mr. Matjaž Šaloven. The Independent Evaluation Unit (IEU) of the United Nations Office on Drugs and Crime (UNODC) provides normative tools, guidelines and templates to be used in the evaluation process of projects. Please find the respective tools on the IEU web site:

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CONTENTS

	<i>Page</i>
Executive summary	01
Summary matrix of findings, evidence and recommendations	06
I. Introduction	08
Background and context	08
Evaluation methodology	09
II. Evaluation findings.....	11
Design.....	11
Relevance.....	12
Efficiency	14
Partnerships and cooperation	15
Effectiveness	16
Impact	18
Sustainability	19
Human Rights and Gender.....	19
III. Conclusions.....	20
IV. Recommendations.....	22
V. Lessons learned	24
<i>Annexes</i>	
I. Terms of reference of the evaluation.....	25
II. Evaluation tools: questionnaires and interview guides.....	52
III. Desk review list.....	55
IV. List of persons contacted during the evaluation.....	58

ABBREVIATIONS AND ACRONYMS

CSO	Civil Society Organisation
CLP	Core Learning Partners
DESA	United Nations Department for Economic and Social Affairs
DPA	Division for Policy Affairs and Public Affairs
MDG	Millennium Development Goal
MS	Member State
NGO	Non-Governmental Organisation
OECD-DAC	Organisation for Economic Co-operation and Development - Development Assistance Committee
SDG	Sustainable Development Goal
SPIA	Strategic Planning and Interagency Affairs Unit
UN	United Nations
UNCCA	United Nations Common Country Assessment Plans
UNDAF	United Nations Development Assistance Frameworks
UNDP	United Nations Development Programme
UN-Habitat	United Nations Human Settlements Programme
UNICEF	United Nations Children's Fund (formerly United Nations International Children's Emergency Fund)
UNODC	United Nations Office on Drugs and Crime
US\$	United States Dollars

EXECUTIVE SUMMARY

Background

Issues under the mandate of the United Nations Office on Drugs and Crime (UNODC), namely crime corruption, drugs and terrorism, are being recognized by the international community as major obstacles and threats to development, human security and good governance. These are inherently linked with the achievement of the Millennium Development Goals (MDGs) whilst the United Nations (UN) Millennium Declaration makes direct reference to areas that need to be strengthened which fall under the mandate of UNODC. The issues of crime and security have also reached high levels in various international forums. More specifically, the Twelfth United Nations Congress on Crime Prevention and Criminal Justice, held in Salvador, Brazil, in April 2010 focused strongly on emphasizing the criminal justice system as a central pillar in the rule-of-law architecture and highlighting the pivotal role of criminal justice systems in development.

Furthermore, there is currently an increased recognition that inclusive, safe, and resilient cities and societies are an important factor in sustainable development as reflected in the 2030 Sustainable Development Agenda, adopted by the UN in 2015. The Sustainable Development Goals (SDGs) aim to “Make cities and human settlements inclusive, safe, resilient and sustainable” (SDG 11) and to “Promote peaceful and inclusive societies for sustainable development, providing access to justice for all and build effective, accountable and inclusive institutions at all levels” (SDG 16).

The project “Integrating crime, corruption, drugs and terrorism-related issues into the preparation of national plans and processes” was implemented by the Strategic Planning and Interagency Affairs Unit (SPIA), Division for Policy Affairs and Public Affairs (DPA), UNODC. The project was funded by the UN Development Account (1213V) with a total approved budget of US\$ 650,000. The project implementation commenced, following a delay, in August 2014, and proceeded for two years, including a no-cost extension until June 2016. The project’s initial objective was to ensure that the issues of crime, corruption, drugs, and terrorism were integrated into the preparation of national development plans and processes in selected countries. The project’s concept approach was however changed to focus on the development of a Guide on the Framework to Guide Urban Policy-Makers and Practitioners for Governing Safer Cities. The intention of the Guide was to catalyse a policy debate and serve as a practical tool for UN system and those jurisdictions seeking to develop strategic responses to the challenges of crime, corruption or terrorism at the city level.

The Core Learning Partners (CLPs), i.e. the main stakeholders, as identified by the project manager, were involved throughout the evaluation process, i.e. in reviewing and commenting on the TOR and the evaluation questions, reviewing and commenting on the draft evaluation report, as well as facilitating the dissemination and application of the results and other follow-up action. The stakeholders have further been involved through the interviews and discussions held about the project’s outcome.

Purpose and methodology of the evaluation

The final Independent Project Evaluation was conducted by an external independent evaluator from December 2016 until January 2017. The purpose of the evaluation was to draw lessons from the project implementation to form the basis for instituting improvements to the existing and future project planning, design, and management. The project was evaluated following the OECD-DAC criteria: relevance, efficiency, effectiveness, impact and sustainability, as well as assessing design, established partnerships and cooperation, with a focus on human rights and gender. Prior to the evaluation, the draft ToR was shared with the evaluator. During the evaluation process, the external independent evaluator utilised an analysis of primary data (project documents) and secondary sources (interviews with the stakeholders and web-research of the evaluated subject.).

Based on the evaluator's desk review and interviews of the project staff and other stakeholders involved in the project implementation, as well as using questionnaires, the information obtained was cross-checked, verified and tested in order to obtain an objective, unbiased, and reliable assessment of the project achievements. It was decided not to develop and apply a survey for the project's stakeholders as part of the evaluation methodology since the main project output, i.e. the Guide, has not been used yet by the stakeholders.

Findings of the evaluation

Design

The project's logframe was developed based on an analysis of the problems and context related to impact of drugs, crime, and terrorism on security and development. The evaluation however shows that the baselines and project indicators were not appropriately defined. Due to high turn-over of the project management staff, there was further a delay in project initiation and the project did not start until August 2014 instead of November 2013. De facto, the project activities started in February 2015, at the date of the signing of the contract with the University of Cape Town. In addition to this, as the United Nations Department for Economic and Social Affairs (DESA) guidelines did not require identification of internal risks and a mitigation strategy, they were not properly elaborated. After the start of the project, the key project outcome (the Guide) was reconsidered and revised by the new project management staff. Instead of the development of a guidance tool for integrating crime, corruption, drugs, and terrorism-related issues into the preparation of national plans and processes, the project concept approach was changed to eventually develop a Guide on the Framework to Guide Urban Policy-Makers and Practitioners for Governing Safer Cities. This decision to revise the project objective reflected a precise strategic objective, i.e. to focus on urban safety on which UNODC had been working for years at the international, intra-regional, regional and national levels; the key missing link was the "city level" which was recognized as a global priority (2030 Agenda, UN New Urban Agenda), making it essential for SIPA to concentrate on it. In this context, the DESA' funded project was seen as an appropriate tool for this purpose. The contextual change in the project design, as well as the encountered delays, further resulted in the abandonment of the second and third specific project outcomes (outcome 2: drug, crime, and terrorism related issues incorporated in selected UN Common Country Assessment Plans (UNCCA) and United Nations Development Assistance Frameworks (UNDAF), outcome 3: joint UNDAF pilot programmes developed focused specifically on crime, corruption, drugs and terrorism for

joint fundraising purposes). Despite significant conceptual changes, a revision of the project document was not required by DESA which agreed to the changes and the project objectives remained unchanged until the end of the project.

Relevance

The evaluation shows that the project is relevant for the UN, UNODC, UN Member States (MS), and their urban communities. The UN MS as well as regional organisations, are increasingly turning to the UN for support to deal with security threats in order to facilitate development and promote greater security. Furthermore, the 2030 Agenda for Sustainable Development and in particular Goal (SDG) 16, recognises that reducing conflict, crime, violence, discrimination, and ensuring the rule of law, inclusion, and good governance are key elements of people's well-being and essential to securing sustainable development. Similarly, Goal 11 explicitly highlights the promotion of safe, inclusive and resilient cities which must be achieved through equitable development, safeguarded by fair, humane, and effective crime prevention and criminal justice systems as a central component of the rule of law.

The project's main outcome (the Guide) is thus relevant for identifying security gaps in pertinent development frameworks. Namely, many cities across the globe are increasingly being undermined by chronic insecurity and violence, which are often connected to crime challenges beyond their municipal borders. The Guide addresses these gaps in the development frameworks and provides a framework for better security governance and more sustainable development.

Efficiency

The project encountered several delays which were mainly related to the lengthy procedures such as procurement. For that reason, the project was extended for six months on a non-cost extension basis until June 2016 to enable the finalisation of a Guide on the Framework to Guide Urban Policy-Makers and Practitioners for Governing Safer Cities. The project's implementation rate was quite low (63.6%), and the unspent budget was returned to DESA. The project also encountered some difficulties related to the administration of the project according to DESA project management requirements. Nonetheless, the project funds were spent in a cost-effective manner through the amendment of the project's objective. The change of the project manager due to the sudden loss of the colleague that designed the project also had a negative impact.

Effectiveness

The initial objective of the project was to develop a guidance tool for integrating crime, corruption, drugs and terrorism-related issues into the preparation of national development plans and processes. However, the project deviated from that objective and focused its contextual approach to cities rather than on national development plans and processes. Given the amended project concept, the Guide was eventually developed as a framework tool to guide urban policy makers and practitioners whilst the second and third specific project outcomes were no longer relevant due to the contextual change. The first impressions of the Guide among UNODC staff are quite positive. Nonetheless, since the

Guide has not yet been applied in the practices of other stakeholders, its real applicability and effectiveness have yet to be determined.

Impact

The actual impact of the Guide as the main project outcome cannot be objectively assessed since it has not been used yet. However, the discussions held at the three regional workshops in Cape Town, Bangkok and Panama, dedicated to the development of the Guide, raised awareness on multi-dimensional approaches to security issues among nearly 100 participants from different continents and different institutions. According to stakeholders interviewed in the course of the evaluation, the Guide is likely to contribute to promoting policies and strategies for addressing issues in drugs, corruption, crime, and terrorism at the urban level, provided that it is appropriately introduced and used in the future.

Sustainability

The Guide's, and thus the project's sustainability, depends on the future introduction and use of the Guide. It has a good potential to provide sustainable results in security governance, particularly in mega and second-tier cities. This can be achieved with the application of the Guide, enabling better understanding of connections between local and city conditions and external influences. However, the Guide's sustainability heavily relies on further UNODC activities related to the promotion of the Guide at different forums and proper implementation in urban communities.

Human rights and Gender

Human rights and gender issues, also being a part of the SDGs, were appropriately addressed and embedded in the project, not only in the project design, but also discussed at the three regional workshops as well as included in the content of the Guide. Furthermore, two gender experts were engaged at the regional workshops in order to ensure appropriate inclusion of gender and human rights issues in the Guides' content. An analysis of the project management staff and the regional workshops' participants involved in the project revealed that the gender balance during the project's regional workshops was ensured by appropriate inclusion of men and women.

Key conclusions

After the start of the project, the key project outcome (the Guide) was reconsidered and revised. Instead of the development of a guidance tool for integrating crime, corruption, drugs, and terrorism-related issues into the preparation of national plans and processes as initially envisaged by the project design, the project developed a framework guide for urban policy-makers and practitioners for governing safer cities.

The project's conceptual change coincided with the realisation of the project management that urban settlements as emerging hybrids are increasingly coming into the front-line of the global security. Furthermore, the parallel development of the 2030 Agenda for Sustainable Development also encouraged the project management to revise the project's conceptual approach, linking it to SDGs 16 and 11.

The developed Guide identified possible entry points for addressing security issues through urban settlements and urban planning as well as for engaging with urban planners and policy makers in providing more secure cities. Since the Guide has not been used yet and its practical usability is unknown, it is central that UNODC keep the momentum and make efforts to promote/advertise the Guide and build upon that strategic document.

Key recommendations

Emphasis on linkages between illicit flows and safety governance

The UNODC overall approach should not be limited only to providing assistance to law enforcement and criminal justice, but also to addressing security issues and security governance in a broader context, considering the linkages between illicit (financial) flows, urban planning and safety governance.

Focus on urban communities

The focus on safety governance should not be put only on UN MS in the future, but also on their urban settlements, such as provinces, cities, and municipalities. With the constant growth of population in cities, opportunities and needs emerging from the growing insecurity in urban settlements should be taken.

Promotion of the Guide

Efforts should be made to advertise, promote and raise awareness about the Guide at different global, regional, national, and sub-national fora, including targeting global, regional, national mayors' associations, as well as regional security organisations. The Guide should also be translated into other UN languages and further refined, if necessary.

Partnerships and collaboration with other UN entities

Partnerships with current UN entities (e.g. UN-Habitat, UNDP and UNICEF) should be maintained and reinforced and new possibilities to partner with other UN entities and other global networks to build upon the achieved result should be sought.

Follow-up action based on the achieved result

Finally, and most importantly, the momentum should be kept to build upon the project's achievement and develop a follow-up project action. Such may include the initiation of a pilot project to test the Guide in few selected cities in practice and later to initiate a global programme in the case of positive results. The existing cooperation administrative arrangements between UNODC and DESA should be reviewed and adapted as the implementation of the sustainable development goals is getting a new dimension.

SUMMARY MATRIX OF FINDINGS, EVIDENCE, AND RECOMMENDATIONS

Findings	Evidence (sources that substantiate findings)	Recommendations
Key recommendations		
UNODC's focus is mostly placed on law enforcement and criminal justice whilst the nexus between illicit flows and security governance is not sufficiently addressed.	Desk review, web-research, and interviews	Address security issues and security governance in a broader context, also considering the linkages between illicit financial and other flows, urban planning and safety governance. (UNODC)
UNODC's focus is mostly on UN Member States but much less on urban settlements such as provinces, cities, and municipalities, where insecurity is growing rapidly.	Desk review, web-research, and interviews	Consider the opportunities emerging from growing insecurity in urban settlements and provide assistance in security governance to provinces, cities, and municipalities and not solely address UN Member States' governments (UNODC)
The Guide has not been introduced to potential stakeholders.	Desk review and interviews	Advertise, promote, and raise awareness about the Guide at different global, regional, national and sub-national fora. (SPIA, UNODC)
City mayors' associations and security organisations are appropriate networks and associations where it could be presented.	Desk review and interviews	Target global, regional, and national mayors' associations and regional security organisations in order to present and introduce the Guide. (SPIA, UNODC)
The current version of the Guide is available only in the English language.	Desk review and interviews	Translate the Guide into other UN languages which would enhance the opportunities to introduce the Guide and improve security governance in urban settlements across the world. (SPIA, UNODC)
The Guide has not been tested and implemented yet.	Desk review and interviews	Consider the Guide to be a "living" document, and if necessary, refine it after a pilot use. (SPIA, UNODC)
Established good cooperation and partnerships with other UN institutions.	Desk review and interviews	Maintain partnerships with other UN institutions and seek new possibilities to collaborate with other UN

		agencies and other global networks to build upon the achieved result, e.g. civil society, non-governmental organisations, the private sector and universities. (SPIA, UNODC)
Partnership between and UN-Habitat provided benefits and mutual synergies in joint activities (development of the Guide and regional workshops).	Desk review and interviews	Further pursue partnership and cooperation particularly with other UN entities, such as UN-Habitat , UNDP and UNICEF in order to ensure and maintain synergies as well as to avoid potential overlaps. (SPIA, UNODC)
The theoretical and practical solutions identified in the Guide require a follow-up project action.	Desk review and interviews	Keep the momentum and build upon the project's achievement. A follow-up action should first pilot the Guide in a few cities or countries; after the piloting and, if tangible positive results are obtained, a wide global project should be launched. (SPIA, UNODC)
Implementation of the SDG is getting a new dimension and presents implementing a cross-sectoral prospective on policy advice.	Desk review and interviews	A revision of the existing technical cooperation due to a new nature of technical cooperation on implementing the 2030 Agenda on Sustainable Development as well as adapting the administrative arrangements. (SPIA, UNODC and DESA)

I. INTRODUCTION

Project overview and historical context

While two-thirds of the current world population is expected to reside in cities by 2030¹, the security challenges in urban communities are increasingly becoming a combination of the intersection between vulnerabilities and external illicit flows. Insecurity has become a primary development challenge of the 21st century. Two-thirds of the world's population are projected to live in urban areas by 2050. Transnational organised crime and global trafficking networks are having a major impact on the rule of law as well as development, business, and finance, and human security. This is fuelled by growing inequalities, disputes over the control of natural resources in the absence of alternative means to produce wealth and human development, and unfulfilled expectations among the youth.

The issues of crime, corruption, drugs, and terrorism are recognised by the international community as major obstacles and threats to development, human security and good governance. The past decade has seen a dramatic increase in organised crime² – specifically trafficking of drugs, human beings, firearms, and natural resources. These types of transnational organised crime are a growing concern for the international community as well as for regional organisations and national governments. These aspects were already highlighted as part of the MDGs as was outlined in the outcome of the UN High-level Plenary Meeting on the Millennium Development Goals (20-22 September, 2010, New York).

Furthermore, there is currently an increased recognition that inclusive, safe, and resilient cities and societies are an important factor in sustainable development as reflected in the 2030 Sustainable Development Agenda, adopted by the UN in 2015. The Sustainable Development Goals aim to “Make cities and human settlements inclusive, safe, resilient and sustainable” (SDG 11) and to “Promote peaceful and inclusive societies for sustainable development, providing access to justice for all and build effective, accountable and inclusive institutions at all levels” (SDG 16).

The overall objective of the evaluated project was to ensure that the issues of crime, drugs, corruption, and terrorism were integrated into national development plans and processes. The project consisted of three specific outcomes. The first outcome was to develop and disseminate a guidance tool (“Guide”) for mainstreaming issues of crime, corruption, drugs and terrorism in UNDAFs and development plans. The second outcome was to incorporate drug, crime, terrorism, and corruption issues in selected UNCCA and UNDAF, aimed at targeting policy-making institutions at the national levels as well as the work of the UN country teams in selected countries. The third outcome was to develop a joint UNDAF pilot programmes focusing on crime, corruption, drugs, and terrorism. The contextual change in the project design, as well as the encountered delays, resulted in the abandonment of the second and third project outcomes (outcome 2 – drug, crime, and terrorism related issues incorporated in selected UNCCA and UNDAF, outcome 3 – joint UNDAF pilot programmes

¹ <http://www.unfpa.org/urbanization>

² A Transnational Organized Crime Threat Assessment, UNODC, https://www.unodc.org/documents/data-and.../TOCTA_Report_2010_low_res.pdf

developed focused specifically on crime, corruption, drugs, and terrorism for joint fundraising purposes).

The project was implemented by SPIA, DPA, UNODC. The project implementation commenced, following a delay, in August 2014, and proceeded for two years, including a no-cost extension until end of June 2016. The overall budget of the project was US\$ 650,000, but the project only spent US\$ 413,443, whereby funds had to be returned to DESA. The University of Cape Town was contracted to develop the Guide. The Guide was further elaborated at three regional meetings organised in Asia, Africa, and Latin America, with the participation of different stakeholders from law enforcement, NGOs and UN agencies.

Evaluation Methodology

The final Independent Project Evaluation was conducted by an external independent evaluator from December 2016 until January 2017. The evaluator was hired specifically for the purpose of undertaking the evaluation due to his academic law background and working experience with prior UNODC evaluations.

Purpose of the evaluation

The overall purpose of the final evaluation was to draw lessons from the project implementation to form the basis for instituting improvements on the existing and future project planning, design, and management. In addition to this, the evaluation was to assist UNODC and other stakeholders in taking stock of the project, learning from its implementation process and results, and identifying gaps.

Evaluation criteria

The project was evaluated following the OECD-DAC criteria: relevance, efficiency, effectiveness, impact and sustainability, as well as assessing design, established partnerships and cooperation, with a focus on human rights and gender.

Development of the Terms of Reference

The draft Terms of Reference (ToR) for the evaluation of the evaluated project were developed by the project management staff. The draft ToR was shared with the evaluator who provided his comments and which were considered by the project management staff. Furthermore, the draft ToR was also shared with the Core Learning Partners (CLPs) for review and comments. The final TOR were reviewed and cleared by the Independent Evaluation Unit (IEU), UNODC.

Inception phase

During the evaluation inception phase, the external independent evaluator utilised an analysis of primary data (project documents) and secondary sources (interviews with the stakeholders, web-research of the evaluated subject).

Methodology and evaluation process

The desk review and analysis of primary sources included the review of the project documents and their revisions, progress reports and other relevant documents (the Guide, meeting reports of the three regional workshops, nine individual city studies, etc.). In concurrence with the project management it was decided not to develop and apply a survey for the project's stakeholders as part of the evaluation methodology since the main project output, i.e. the Guide, has not been used yet by the stakeholders.

The subsequent interviews (face-to-face, by telephone, and Skype) with key informants (various UNODC staff) and CLPs, the field mission to UNODC Headquarter in Vienna, observation, and triangulation of the received data and information, complemented and verified the initial evaluation findings. Thus, the information obtained through the desk review and interviews was cross-checked, verified and tested with other interviewees in order to obtain an objective, unbiased, and reliable assessment of the project achievements.

Several different and adapted semi-structured evaluation questionnaires were used during the evaluation process (General Questionnaire, Specific semi-structured questionnaire for UNODC regional offices, Specific semi-structured questionnaire for authors of the Guide and for other UN agencies). The questionnaires were used as a guide to facilitate the discussion with the content adapted to each interviewee; however, the key questions, with some adaptations, remained similar to all interviewees in order to ensure consistency and to foster reliability in evaluation findings. During the evaluation process, in total 18 persons were interviewed.

Limitations of the Evaluation

The project management provided all requested documents to the evaluator, however during the project lifespan, only two brief progress reports were developed, mostly providing information on the Guide's elaboration process, implying very limited information. Since the project's main outcome was the developed Guide, which has not been used yet, no surveys or questionnaires for stakeholders having already used the Guide were developed by the evaluator.

Nonetheless, the evaluator minimised possible biases due to limited available information through the verification and cross-checking of data and information as well as through in-depth interviews with a wide range of stakeholders at different levels from various institutions (UNODC, University of Cape Town and DESA). Out of 18 persons interviewed, 8 persons were interviewed per phone and Skype and 10 by face-to-face. No additional stakeholders were added as compared to the initial list defined in ToR as there were no further stakeholders. Unfortunately, no interview was held with the representatives of the United Nations Human Settlements Programme (UN-Habitat) despite several attempts by the evaluator and the project management to arrange an interview. Nevertheless, the UN-Habitat role and contribution in the project was discussed and confirmed by other interviewees.

II. EVALUATION FINDINGS

Design

The project's logframe was developed by SPIA (at that time was the Strategic Planning Unit) based on the analysis of the problems and context related to impact of drugs, crime, and terrorism on security and development. Increasingly, the issues of crime, corruption, terrorism and drugs are recognised by the international community as major obstacles to development, human security and good governance. It is estimated that circa one-and-a-half billion people live in areas affected by fragility, conflict, or large-scale, organised criminal violence. Insecurity has thus become a primary development challenge which also refers to the UNODC mandates. The project's logframe appropriately took into consideration the nexus between development and illicit flows in line the UN and UNODC strategic frameworks.³

However, due to deficiencies in the initial project design, the project was only approved by DESA after the improvement of the project design in 2015, which was two years later than initially envisaged. The initial project's logframe defined three specific outcomes to be achieved by the project:

- i) Development of a guidance tool for mainstreaming issues of crime, corruption, drugs and terrorism developed and disseminated;
- ii) Drug, crime, and terrorism-related issues have been incorporated in selected UN Common Country Assessment Plans (UNCCCA) and United Nations Development Assistance Frameworks (UNDAF); and
- iii) Joint UNDAF pilot programmes developed specifically on crime, corruption, drugs and terrorism for joint fundraising purposes.

The project's logframe however lacked the necessary baselines, specifically as regards the second and third specific outcomes. More concretely, the project's logframe did not provide information on a number of UNCCA/UNDAF projects that had references to corruption, drugs, crime and terrorism or what was the desired increase to be achieved by the project (e.g. increased number of projects). The same applies for the third project outcome since the project's logframe did not provide any information on the number of joint programmes developed by the UN Country Teams, focusing specifically on crime, corruption, drugs and terrorism (the third project's indicator stipulated "increased number of joint programmes..."). The project's logframe and inadequately defined project indicators thus prevented more effective and efficient monitoring and evaluation of the project progress. Stakeholders were further not included in the development of the design of the project, thereby not directly based on stakeholders' needs.

The project design also only to a limited extent identified the potential risks that could have been encountered during the project implementation phase. The risks defined in the project design addressed only the external risks (e.g. political will, acknowledgement by the international community that the issues of drugs, crime, and

³ The project was linked to the UN Strategic Framework for the periods of 2012-2013, 2014-2015 (sub-programme 7) to facilitate policy and operational responses on issues related to drug control, crime prevention and criminal justice and the work of the international Narcotic Control Board.

terrorism are threats to development). As the United Nations Department for Economic and Social Affairs (DESA) guidelines did not require identification of internal risks and a mitigation strategy, they were not properly elaborated. This is significant since mostly the internal risks, which were related to the lengthy procedures such as procurement, negatively affected the project implementation. Consequently, the project design did not develop and include a mitigation strategy for these internal risks. Nevertheless, the project design appropriately considered gender equality and human rights issues (see findings on Human Rights and Gender).

After the start of the project, the key project outcome was reconsidered and revised by project management. Namely, urban settlements were recognised as emerging hybrids that are increasingly coming into the front-line of the global security. Moreover, the developments related to the 2030 Agenda for Sustainable Development in early 2015⁴ encouraged project management to revise the main outcome. Hence, instead of the development of a guidance tool for integrating crime, corruption, drugs, and terrorism-related issues into the preparation of national plans and processes, project management changed the concept approach and the project eventually developed the *Framework to Guide Urban Policy-Makers and Practitioners for Governing Safer Cities* (hereinafter referred as Guide).

The contextual change of the project design resulted in the omission of the second and third project outcomes. Furthermore, project management planned to pilot the Guide in practice, but this was impossible due to the delays (as further described in the chapter on efficiency) encountered during the project lifespan and which eventually led to the achievement of only one (revised) project outcome. Despite significant conceptual changes, in concurrence with DESA, a project revision was not required and the project document remained unchanged until the end of the project.

Nevertheless, based on the evaluator's review of the Guide and upon the interviews with different stakeholders, it can be established that the project managed to identify appropriate entry points for addressing linkages between security issues and development frameworks in urban settlements and identified possible opportunities for a holistic and strategic approach to challenges associated with security issues and safety governance in urban communities. The Guide thus provides a good opportunity and practical framework tool for urban policy makers and practitioners who work with urban communities and cities, enabling innovative approaches suited to the particular circumstances in urban communities.

Relevance

The project is very relevant for the UN, UNODC, UN MS and its communities. Issues of crime, corruption, drugs and terrorism are being recognised by the international community as major obstacles and threats to development, human security, and good governance. The issues of crime and security have also reached high levels in various international fora. The United Millennium Declaration, adopted on 20-22 September in 2000 in New York defines the MDGs and stipulates the importance of peace, security, and development, highlighting the need to strengthen respect for the rule of law; take concrete actions against international terrorism; implement commitments to counter the world drug problem; intensify efforts to fight transnational crime; and take concrete actions to end illicit traffic in small arms and light weapons. All these issues, which also fall within the UNODC mandate to

⁴ The 2030 Agenda for Sustainable Development was adopted by the United Nations in September 2015

fight organised crime, have an important global impact on worldwide sustainable development.

Furthermore, MS as well as regional organisations, are increasingly turning to the UN for support to deal with these threats in order to facilitate development and promote greater security. Most recently, the importance of challenges in security has been explicitly recognised by the international community in the 2030 Agenda for Sustainable Developments in which issues of crime, drugs, corruption and terrorism have become a part of the international development framework for the first time.

Based on the desk review, numerous interviews (representatives of different UNODC units, sections, divisions, branches, regional sections and field offices, University of Cape Town, participants of the regional workshop) and web research of the related content accessible on the internet⁶, it can be concluded that the project is pertinent for identifying security gaps in relevant development frameworks. Namely, many cities across the globe are being undermined by chronic insecurity and violence, which are often connected to crime challenges beyond their municipal borders. More specifically SDG 16, recognises that reducing conflict, crime, violence, discrimination, and ensuring the rule of law, inclusion and good governance, are key elements of people's well-being and essential to securing sustainable development. Furthermore, SDG 11 also explicitly highlights the promotion of safe, inclusive, and resilient cities, which must be achieved through equitable development, safeguarded by fair, humane, and effective crime prevention and criminal justice systems as a central component of the rule of law.

The challenge for urban institutions is thus to find ways to realistically engage in supporting communities and citizens both nationally and locally and to build viable and trustworthy propositions of governance. That reinforces the requirement to focus on the rule of law, and building fair and inclusive institutions, in line with SDG 16. Finally, the 2015 Organisation for Economic Co-operation and Development (OECD) States of Fragility Report⁷ recognised the urgency of moving towards a more multi-dimensional understanding of what is needed to achieve sustainable development.

The developed Guide identifies gaps in the development frameworks and provides a framework for improved security governance and more sustainable development. The Guide also presents a tool for urban planning and addressing security issues which also coincides with the UN Habitat concept of safer and more inclusive cities.

As mentioned above, the Guide is the main outcome of the project. Since the Guide has not yet been disseminated to the UN Regional Offices⁸ and to the potential beneficiaries (MS and their urban communities), the Guide's applicability, usefulness and relevance have not yet been tested and verified. Nonetheless, the participation of a wide array of stakeholders engaged in the elaboration of the Guide through the city studies and three regional workshops increased its potential. Based on the reviewed content as well as numerous interviews, the project's main outcome is relevant and likely to improve awareness of the relationship between policies and strategies, to promote sustainable development and address security challenges such as issues of

⁵ (A/RES/70/1)

⁶ Annex 3 of the evaluation report

⁷ <http://www.oecd.org/dac/conflict-fragility-resilience/states-of-fragility-report-series.htm>

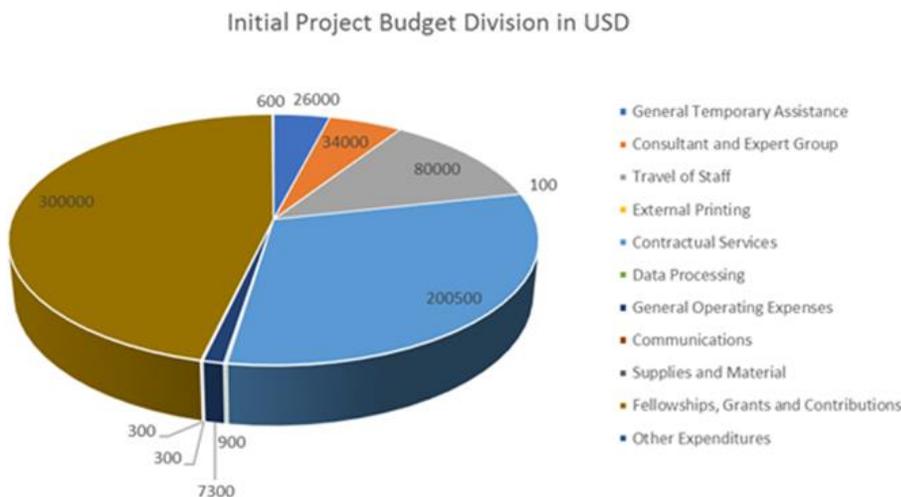
⁸ During the evaluation mission in December 2016 the project management staff was to publish the Guide on the UNODC web side

drugs, crime and terrorism in urban settlements. The guide thus has a good potential to provide sustainable results in security governance, particularly in mega and second-tier cities. This can be achieved by the application of the Guide, enabling better understanding of connections between local and city conditions and external influences.

Efficiency

The project was funded by the UN Development Account⁹. The total approved budget of the project was US\$650,000. Out of that, the project management spent US\$ 413,443 (63.6 %) whilst the remaining unspent amount of US\$150,000¹⁰ was returned to DESA, which manages this development account modality. The project implementation rate, as of 31st December 2015, was 28%.¹¹ By the end of the project, most of the project expenditures was spent on the conduction of the city studies and development of the Guide by the University of Cape Town (US\$172,194), which represents 41.64% of the budget spent.

According to the project design, the project should have started in November 2013 and finish in December 2015. Following the receipt of the Office of Programme Planning, Budget and Accounts, Program Planning and Budget Division, Department of Management, revised allocation in July 2014¹², the project started only in August 2014 with a procurement process to identify a contractor for the development of the Guide. As a result, the University of Cape Town was selected and the contract to develop the Guide was signed in February 2015. The delay in the conclusion of the contract as well as other subsequent delays were mainly related to the complex procedures related to the UN bidding process for assigning contracts. Loss of a staff



member in the design stage led to a certain extent in loss of institutional memory, diluting the ownership of the project and impacting the project's pace.

Given the encountered challenges as indicated above,

⁹ The Development Account was established by the General Assembly in 1997 through its resolution 52/12 B, as a mechanism to fund capacity development projects of the economic and social entities of the United Nations (DESA, ECLAC, ESCAP, ESCWA, ECE, ECA, UNCTAD, UNEP, UN-Habitat, UNODC)

¹⁰ The amount of US\$150,00 was originally allocated for three pilot projects, under the specific objective no. 3. UNODC and DESA agreed, that this amount could be spent for additional surveys in South Africa. However, due to the lack of time and due to the long administrative reasons this was not realised and the amount was returned to DESA.

¹¹ Second progress report

¹² Progress report for the period August 2014-January 2015

the project was extended for six months with the concurrence of DESA, up to 31st June 2016, in order to enable the finalisation of the Guide, without incurring additional costs. The project management envisaged testing the developed Guide in several urban communities, however, given the encountered delays, it turned out impossible to implement this by the end of the project in July 2016.

According to an estimation of SPIA, approximately 30% of the working time of one staff member in the Unit was dedicated to managing the administrative requirements and other staff members also worked for the project, whilst the DESA project modality did not cover UNODC staff costs but only the consultancies related to the development of the Guide.

Given the above-mentioned lesson learned, SPIA and DESA may want to seek possibilities to revise the future technical cooperation in particular in light of the 2030 Agenda for Sustainable Development and adapt the administrative arrangements accordingly.

Nonetheless, the project funds were spent in a cost-effective manner through the amendment of the main project objective. However, without a follow-up implementation of the Guide in practice, the resources invested in the project are likely to be lost.

Partnerships and cooperation

According to the project's design, it was aimed to join forces with other UN agencies, national authorities, international organisations, academia, and civil society.

Throughout the project life span, SPIA involved different UNODC offices and branches in the development of the Guide (e.g. Justice Section, Research and Trend Analysis Branch Organised Crime and Illicit Trafficking Branch and all Regional Offices.), resulting in the provision of useful contributions and comments on the Guide from different UNODC aspects.

Furthermore, UNODC and the University of Cape Town also engaged a wide reference group of external stakeholders (law enforcement, representatives of local governments, security agencies and the police.) to discuss and further elaborate on the draft guide at the three regional workshops in Cape Town, Bangkok and Panama. This included academics, law enforcement practitioners, civil societies and policymakers, engaged both in national and local strategic planning. The aim of the regional workshops was to discuss and further elaborate the draft Guide as initially developed by the University of Cape Town. The regional workshops provided an opportunity to discuss linkages between illicit flows and security governance in urban areas on different continents, taking into consideration specificities of different regions. In addition to this, UNODC invited other UN programmes, such as UN-Habitat¹³ and the United Nations Development Programme (UNDP)) to contribute to the development of the Guide. The representatives of UN-Habitat at the regional workshops helped to develop the Guide in line with the UN-Habitat objectives and the input provided was regarded highly valuable, providing for useful suggestions for further improvement of the draft Guide. The established partnership and cooperation,

¹³ The United Nations Human Settlements Programme (UN-Habitat) is the United Nations agency for human settlements and sustainable urban development.

particularly between UNODC and UN-Habitat, created a conducive environment for future cooperation.

Although beyond the project's lifespan, SPIA presented the Guide at one of the side events at the United Nations Conference on Housing and Sustainable Urban Development in October 2016. The Conference offered a good opportunity to introduce the Guide to the interested public, but further steps would need to be taken to promote the Guide among the UN MS as well as among interested local communities. The New Urban Agenda (Quito Declaration on Sustainable Cities and Human Settlements for All) as adopted at the UN Conference on Housing and Sustainable Urban Development¹⁴ (Habitat III) unfortunately does not explicitly include the issues related to integrating crime, corruption, drugs, and terrorism-related issues into national development plans and processes nor linkages between illicit flows and safety governance in urban settlements.

Nevertheless, the Quito Declaration on Sustainable Cities and Human Settlements for All does reaffirm global commitment to sustainable urban development as a critical step for realising sustainable development in an integrated and coordinated manner at the global, regional, national, subnational, and local levels. The new Urban Agenda contributes to the achievement of the SDGs, including Goal 11 of making cities and human settlements inclusive, safe, resilient, and sustainable. Furthermore, the Quito Implementation Plan envisages integrating inclusive measures for urban safety and prevention of crime and violence including terrorism and violent extremism conducive to terrorism. Such measures should, where appropriate, engage relevant local communities and non-governmental actors in developing urban strategies and initiatives, including taking into account slums and informal settlements as well as vulnerability and cultural factors in the development of policies concerning public security and crime and violence prevention.

In conclusion, UNODC expressed its commitment to take part in the Quito Implementation Plan and to contribute to the UN joint effort aimed at "localising" the 2030 agenda. However, these intentions have yet to be realised.

Effectiveness

Although the primary objective of the project was to integrate crime, corruption, drugs and terrorism related issues into the preparation of national development plans and processes, the project deviated from that objective and focused its contextual approach on cities rather than on national development plans and processes as envisaged in the project design. As explained by the project management staff, the conceptual shift was agreed upon together with DESA, but the project design remained unchanged.¹⁵ Thus the Guide was eventually developed as a framework tool to guide urban policy makers and practitioners. Given the amended conceptual approach, the second and third specific project outcomes were no longer relevant. Although the project management staff considered a possibility of piloting/testing the Guide within the project lifespan, it was realised that within the remaining project period that would not be feasible. Hence the Guide has not been used yet.

¹⁴ The UN Conference on Housing and Sustainable Urban Development took place in Quito, Ecuador from 17-20 October 2016

¹⁵ Even if DESA complied with the conceptual change, the project design remained unchanged.

Nonetheless, the Guide was broadly consulted with a wide range of stakeholders to achieve maximum possible buy-in (nearly 100 participants took part at the three regional workshops in Cape Town, Bangkok and Panama as well as other UNODC staff reviewed the draft Guide). During the development of the Guide, ten¹⁶ individual city studies were conducted in the cities located, mostly in the Global South (i.e. Sao Paulo, Medellin, Kingston, Mexico City, Lagos, Nairobi, Istanbul, Karachi, Manila, and Cape Town), providing a substantial input to the Guide. Although the individual city studies slightly differ from each other in terms of the content and conceptual approach, they still provide useful insights and identify some good practices about the intersections between the global illicit flows and cities' security. After the completion of the city studies and the development of the first draft Guide, the draft was later presented at the three regional workshops in which nearly 100 participants took part, representing national governments, local governments, law enforcement, civil society, and UN programmes such as UN-Habitat and UNDP. The draft Guide was revised and finalised upon the inputs, comments and contributions provided by the participants at the three regional workshops. The draft Guide, which initially contained approximately 150 pages, was perceived as too scientific and less practical. For that reason, the size of the guide was later reduced to approximately 45 pages, enabling more practical application for end users.

The Guide's content addresses intersections between external and global flows and their interface with local urban dynamics and vulnerabilities. Part 1 of the Guide provides an overview of the problems that are confronting cities and communities in the first half of the 21st Century, Part II develops a framework for understanding the connections between global flows and local insecurity, while Part III develops the concept of "security governance" that is proposed to help guide cities and communities in addressing their key security challenges. Based on the interviews held with different stakeholders, the first impressions of the Guide are quite positive, which establishes a good basis for its future application. Nonetheless, since the Guide has not yet been applied, its real effectiveness and consequently the project's effectiveness is yet to be determined.

As previously stated, the project's original focus was amended in order to include the development of the Guide. Apart from the individual city studies, three regional workshops and the presentation of the Guide at the UN-Habitat III conference¹⁷ have been implemented, other strategic opportunities were not identified and explored. This can be partially contributed to the high staff turn-over as well as to the lack of time given to the encountered delays.

In the framework of the project, the project management decided to support countries' and cities' capacities to produce high quality data on crime victimisation and access to justice through the development of guidelines to produce standard victimisation surveys indicators. The aim of such was to develop a tool for measuring the eventual impact of the Guide that essentially aims at assisting city administrations to combat crime. The need for the development of guidelines was also reiterated by the national experts on crime statistics (National UN Survey of Crime Trends Focal

¹⁶ Nine city reports were drafted in the course of the project; no city report was drafted for Cape Town since the Guide was primarily developed by the University of Cape Town, familiar with the situation there.

¹⁷ <https://habitat3.org/about>

Points)¹⁸ at the first Global Meeting held in Vienna in May 2016¹⁹ in order to constitute a reference source for such indicators at global level.

Based on that, SPIA developed the Guidelines on the Production of SDG Indicators based on Victimisation Surveys. The Guidelines are a stand-alone tool that will be used in different ways by various key stakeholders and counterparts, especially as it also helps to measure progress towards SDG targets (most notably 16.1, indicators 16.1.3 and 11.7.2). However, due to the unforeseeable implementation constraints (e.g. regulation changes in contracting with the external parties), the victimisation surveys were not conducted.

In conclusion, it can be established that only one of the three specific outcomes have been achieved.

Impact

According to the Guide's Terms of Reference, it should serve two purposes: firstly, to catalyse policy debate in jurisdictions that require sensitisation to the issues, or are only beginning to become cognisant of it; secondly, to serve as a practical tool for the UN system (i.e. UNCTs/UNDAFs) and those jurisdictions (local or national) seeking to develop strategic responses to the challenges of crime, corruption or terrorism within their community.

The target audience should primarily be national and local policymakers and practitioners grappling with the challenges of achieving sustainable development in contexts where crime, corruption, and terrorism are of concern. Furthermore, one of the aims was also to facilitate multi-dimensional collaborative approaches, combining state, non-state actors, civil society organisations and the private sector as well as to facilitate South-South dialogue and cooperation by providing a basis for the exchange of policies and best practices in approaching specific security-development issues.

Since the Guide has not been used yet, its actual impact on the afore-mentioned expected effects cannot be objectively assessed. However, as pointed out by several participants at the three regional workshops, the discussions held to a certain extent raised awareness on multi-dimensional approaches to security issues among various participants (e.g. academia, majors, law enforcement, etc.).

Nonetheless, the real impact of the project and respectively of its Guide is yet to be determined. Apart from the Guidelines on the Production of SDGs Indicators based on Victimisation Surveys, no other results were achieved beyond the project and there were no unintended impacts.

The Guide has a good potential to contribute to long-term economic, environmental, social, cultural, and behavioural changes in communities as well as to promote better safety governance, however requiring being well promoted and used. If the Guide is well promoted in the future, it may be used to support policies and strategies for addressing issues regarding drugs, corruption, crime, and terrorism at different global, regional, national, city, and local community levels.

¹⁸ <https://www.unodc.org/unodc/en/data-and-analysis/statistics/global-meeting-un-cts.html>

¹⁹

https://www.google.si/?gws_rd=cr,ssl&ei=teGiVKaKCYPoywONl4KYCw#q=Guidelines+on+the+Production+of+SDG+Indicators+based+on+Victimisation+Surveys

Sustainability

Some limitations were given in responding to this evaluation question considering the fact that the Guide has not been used yet. Namely, the project's and Guide's sustainability depend on its application in the future and associated activities for this purpose. If the Guide is further piloted and subsequently widely used by end users, it has a good potential to provide sustainable results in security governance, particularly in the (mega) cities on which its focus is placed.

However, without future promotion and use of the Guide, the project's sustainability is endangered and is likely to diminish after the project. In order to ensure better sustainability and wider application of the Guide, the Guide should be translated into other UN languages.

Furthermore, the Guide should be subject to further revisions and refinements in case of potential deficiencies encountered during the Guide's practical application in the future. The Guide's sustainability is thus heavily reliant on further UNODC activities to promote the Guide at different forums and levels.

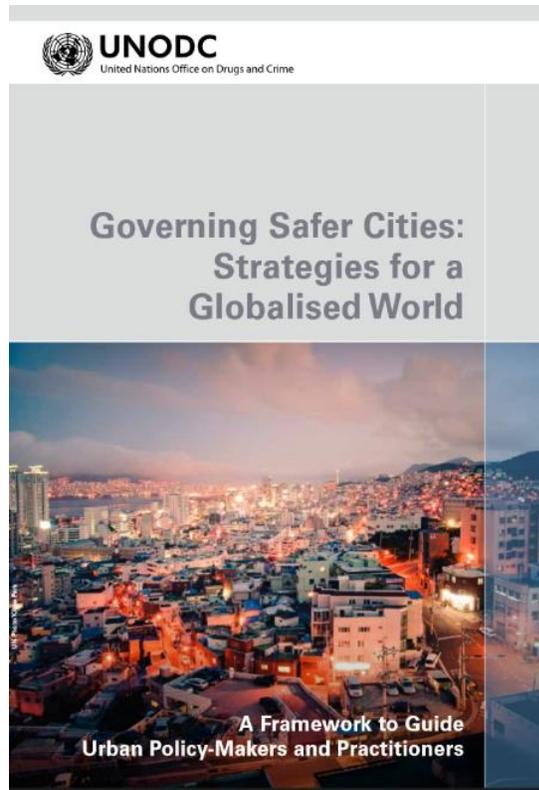


Table 2: Front page of the Guide

Human Rights and Gender

The project design envisaged several measures to be taken during the project to address human rights and gender issues. The project design thus indicated gender and human rights issues in the project design as well as envisaged to consider different needs of men and women during the implementation of the project (e.g. consideration of the MDG 3 – promotion of gender equality, consideration of different needs of men and women in the national strategies, consideration of gender disaggregation of data collected in the national strategies, etc.). However, the project progress reports do not contain gender disaggregated data and do not report on human rights issues.

Nevertheless, the Guide developed under the project does consider the human rights and gender issues and specifically indicates them in the Guide's content (e.g. inequality issues, addressing women, children and other vulnerable groups, etc.).

Furthermore, two gender experts were engaged at the regional workshops specifically with the aim of ensuring appropriate inclusion of gender and human rights issues in the content of the Guide. The analysis of the project management staff and workshop's participants involved in the project revealed that the gender balance during the project's regional workshops was ensured by the appropriate inclusion of men and women, although detailed sex-disaggregated data do not exist.

III. CONCLUSIONS

The project's **design** was developed based on an analysis of the problems and context related to impact of drugs, crime, and terrorism on security and development, with its main objective to integrate crime, corruption, drugs, and terrorism-related issues into the preparation of national plans and processes. There was a delay in the project design/initiation due to a loss of a staff member who was in charge of the initial stage of the project. The baselines and project indicators were not appropriately defined and internal risks and a mitigation strategy were not elaborated. After the start of the project, the key project outcome (the Guide) was reconsidered and revised by project management staff. Instead of the development of a guidance tool for integrating crime, corruption, drugs, and terrorism-related issues into the preparation of national plans and processes, the project concept approach was changed and the project eventually developed a Guide on the Framework to Guide Urban Policy-Makers and Practitioners for Governing Safer Cities. The contextual change in the project design, as well as the encountered delays, further resulted in the abandonment of the second and third project outcomes. However, the developed Guide identified possible entry points for addressing security issues through urban planning in urban settlements as well as engaging with urban planners and policy makers in providing more secure cities.

The project outcome, i.e. the Guide, is **relevant** for the UN, UNODC, UN MS and their urban communities. MS, as well as regional organisations, are increasingly turning to the UN for support to deal with security threats in order to facilitate development and promote greater security. The 2030 Agenda for Sustainable Development recognises that reducing conflict, crime, violence, discrimination, and ensuring the rule of law, inclusion, and good governance are key elements of people's well-being and essential to securing sustainable development (particularly reflected in SDG 16). Similarly, Goal 11 explicitly highlights the promotion of safe, inclusive and resilient cities which must be achieved through equitable development, safeguarded by fair, humane, and effective crime prevention and criminal justice systems as a central component of the rule of law.

The project's **efficiency** was limited due to the encountered delays, mostly related to the lengthy internal procedures for implementing the project, such as those for procurement. For that reason, the project was extended for six months until June 2016 to enable the finalisation of the Guide. Despite that, the project's implementation rate was quite low (63.6%), and the unspent budget was thus returned to DESA. The change of the project manager due to the sudden loss of the colleague that designed the project also had a negative impact.

The project's **impact** cannot be objectively assessed since the Guide has not been used yet. Nonetheless, according to the opinion of different stakeholders interviewed in the course of the evaluation, the Guide, has potential to support policies and strategies for addressing issues in drugs, corruption, crime, and terrorism at the urban level, provided that it is appropriately promoted and used in the future.

The Guide's and thus the project's **sustainability** depends on the future dissemination and application of the Guide. It has potential to provide support in the area of security governance, particularly in mega and second-tier cities. However, the Guide's sustainability heavily relies on further UNODC activities related to the promotion of the Guide at different forums and proper implementation in urban communities.

Human rights and **gender** issues, also being at the centre of the SDGs, were appropriately addressed and embedded in the project. These issues were addressed not only in the project design but also discussed at the three regional workshops as well as appropriately addressed in the content of the Guide.

IV. RECOMMENDATIONS

Key overall recommendations

Recommendation 1 - Stronger emphasis on safety governance

The overall UNODC approach to address transnational crime, corruption, terrorism, and drugs should not be limited to providing assistance to law enforcement and criminal justice, but also address security issues and security governance in a broader context, considering the linkages between illicit flows, urban planning and safety governance.

Recommendation 2 – Focus on urban communities

The focus on safety governance in the future should not be put only on UN MS, but also on their urban settlements such as provinces, cities, and municipalities. With the constant growth of population in cities, opportunities and needs, emerging from the growing insecurity in urban settlements should be taken

Recommendations related to the Guide

Recommendation 3 - Promotion of the Guide

Advertise, promote and raise awareness about the Guide at different global, regional, national, and sub-national fora. There are several events and institutions where this could be done, e.g. the UN Congress on Crime Prevention and Justice; UN meetings or side events; at the Commission on Crime Prevention and Criminal Justice; at the Department of Political Affairs and its field offices; and at the UN Development Group' Regional and Country Teams.

Recommendation 4 – Addressing international associations and security organisations

Target global, regional, and national mayors' associations and regional security organisations in order to present and introduce the Guide.

Recommendation 5 – Translation of the Guide into other UN languages

Translate the Guide into other UN languages. That would increase the awareness about the Guide as well as enhance opportunities to introduce it and to improve security governance in urban settlements across the world.

Recommendation 6 – Further refinements of the Guide

The Guide should be considered to be a “living” document, subject to potential further revisions and amendments after a pilot use, allowing the possibility to add subsequently identified good practices on safety governance that could be replicated in other urban communities.

Recommendations related to partnerships

Recommendation 7 – Collaboration with other UN entities

Maintain partnerships with other UN entities (e.g. UN-Habitat, UNDP and UNICEF) and new possibilities to partner with other UN agencies and other global networks to build upon the achieved result. In addition, attract and engage civil society, non-governmental organisations, private sector and universities.

Recommendation 8 – Continuation of the cooperation with UN-Habitat

Pursue synergies particularly with UN-Habitat in order to complement each other and to avoid potential overlaps. The potential changes of the Guide should complement the UN-Habitat International Guidelines on Urban and Territorial Planning.

Recommendations related to follow-up activities

Recommendation 9 – Test the Guide

Keep the momentum and build upon the project achievement by applying the theoretical and practical solutions identified in the Guide in a follow-up project action. It seems the most appropriate solution would be to initiate a pilot project in few selected cities to test the Guide in practice and later initiate a global programme in case of positive results.

Recommendation 10 – Initiate a follow-up project or programme

A follow-up pilot project to engage selected countries to implement the Guide, providing on-job assistance at the municipality or city level to design interventions to combat transnational organised crime (e.g. a training course on governing safety in globalised world for senior policy makers at national provincial governments and city governments, with the aim of training them on the conceptional or strategic functions to manage cities in a global world, integrating security issues).

Recommendation 11- Review of the cooperation framework between UNODC and DESA

Revise the existing cooperation framework on implementing the 2030 Agenda for Sustainable Development as well as adapt the existing administrative arrangements and procedures. As the implementation of the SDGs is getting a new greater dimension, the current cooperation framework do not correspond anymore to the increased cross-sectoral needs to tackle urban security issues horizontally and in a multi-disciplinary fashion.

V. LESSONS LEARNED

The topics under the mandate of UNODC, namely crime, corruption, drugs and terrorism, are being recognized by the international community as major obstacles and threats to development, human security and good governance.

The project placed great importance on creating synergies with other United Nations entities that address internationally recognized public concerns and global public threats (e.g. crime, drugs and terrorism) in order to ensure a balanced approach in respecting national priorities in security governance on the one hand and internationally agreed development goals and treaty obligations on the other.

The project thus applied a multi-faceted approach, involving representatives of several UNODC units, sections and branches at the three regional workshops to discuss the draft Guide. Project management staff also engaged two external gender experts in the regional conferences and in the review of the draft Guide. The applied approach resulted in a consolidated development of the Guide, providing an added value with the provision of different external (NGOs, civil society, law enforcement and policy makers.) and UNODC insights, ensuring a coverage of all UNODC mandates.

The partnership between UNODC and UN-Habitat provided benefits and mutual synergies in the joint activities, such as the development of the Guide and the three regional workshops.

Nonetheless, the project encountered several delays which were mainly related to the lengthy procedures such as procurement. These internal risks and corresponding mitigation strategy were not considered and elaborated in the project design as this was not required. Though the project was extended for 6 months to enable the finalisation of the Guide, the project implementation rate was rather low (63,6 %) and the unspent amount of US\$ 150,000 was thus returned to DESA.

ANNEX I. TERMS OF REFERENCE OF THE EVALUATION

UNITED NATIONS OFFICE ON DRUGS AND CRIME
Vienna

**Terms of Reference of the
Final Independent Project Evaluation**

**“Integrating crime, corruption, drugs and
terrorism related issues into the
preparation of national plans and
processes”**

**United Nations Office on Drugs and Crime
United Nations Development Account funded project
(1213V)**

Vienna

September 2016



UNITED NATIONS

CONTENTS

I. Background and context	03
II. Disbursement history.....	08
III. Purpose of the evaluation.....	08
IV. Scope of the evaluation.....	09
V. Evaluation criteria and key evaluation questions	09
VI. Evaluation methodology	12
VII. Timeframe and deliverables.....	15
VIII.Evaluation team composition	16
IX. Management of evaluation process.....	16
X. Payment modalities	18
Annexes	
I. Terms of reference for evaluators.....	19
II. List of background documents for desk review	32
III. List of CLP members	33
IV. List of Stakeholders to be interviewed (tentative)	34

I. BACKGROUND AND CONTEXT

Project number:	1213V
Project title:	Integrating crime, corruption, drugs and terrorism related issues into the preparation of national plans and processes
Duration:	November 2013 – June 2016 (2 years 8 months)
Location:	Vienna, Austria
Linkages to Country Programme:	This project was undertaken with support from the UNODC Justice Section and Public Affairs and Policy Support Branch, as well as the UNODC regional offices in South Africa, Thailand, and Panama.
Linkages to Regional Programme:	
Linkages to Thematic Programme:	
Linkages to Global Programme:	
Executing Agency:	UNODC
Partner Organizations:	University of Cape Town, South Africa; UN HABITAT
Total Approved Budget:	USD 650 000
Donors:	United Nations Development Account
Project Manager/Coordinator:	Mr. Stefano Polacco (retired) Mr. Gautam Babbar (Officer-in-Charge, Strategic Planning and Interagency Affairs Unit)
Type of evaluation (mid-term or final):	Final Independent Project Evaluation
Time period covered by the evaluation:	November 2013 – September 2016.
Geographical coverage of the evaluation:	Vienna, Austria
Planned budget for this evaluation:	USD 20 000
Core Learning Partners ²⁰ (entities):	University of Cape Town; UN HABITAT; UN DESA

²⁰ The Core Learning Partnership (CLP) are the key stakeholders of the subject evaluated (project, programme, policy etc.) who have an interest in the evaluation. The CLP works closely with the Evaluation Manager to guide the evaluation process.

Project overview and historical context in which the project is implemented

The approach of the project is to demonstrate the substantive and conceptual linkages between sustainable development and issues of crime, corruption, drugs and terrorism. Working together with criminal justice practitioners, local government officials, and academics, the project has aimed to show how these are connected in practice, and to illustrate potential avenues for addressing these issues in a local developmental context.

Context

Increasingly, issues of crime, corruption, drugs and terrorism, are being recognized by the international community as major obstacles and threats to development, human security and good governance. These are inherently linked with the achievement of the Millennium Development Goals (MDG's) as was highlighted in the outcome of the High-level Plenary Meeting on the Millennium Development Goals (20-22 September, 2010, New York). The United Nations Millennium Declaration, furthermore, makes clear reference to areas that need to be strengthened which fall under the mandate of UNODC. The Declaration clearly stipulates the importance of peace, security and development highlighting the need to: strengthen respect for the rule of law; take concerted action against international terrorism; implement commitment to counter the world drug problem: intensify efforts to fight transnational crime in all its dimensions; and take concerted action to end illicit traffic in small arms and light weapons. All these issues have an important impact – albeit indirect – on achieving the MDG's and reducing poverty in the long term.

UNODC has conducted various research studies and threat assessments looking at problems of drugs, crime and terrorism and how such affect security and development. It is due to this evidence-based research that the UN Policy Committee has decided to focus attention on this issue by requesting the elaboration of a draft policy paper on *“Trans-national organized crime and drug trafficking as threat to security and stability.”* The issues of crime and security have also reached high levels in various international forums. The Twelfth United Nations Congress on Crime Prevention and Criminal Justice held in Salvador, Brazil in April 2010 focused strongly on bringing forth the criminal justice system as a central pillar in the rule-of-law architecture and highlighting the pivotal role of criminal justice systems in development. The importance is therefore recognized of the threat to sustainable development posed by crime, corruption, drugs and terrorism, and the centrality of adequate systems of rule of law, justice and security in addressing these threats.

Insecurity has become a primary development challenge of our time. It is estimated that circa one-and-a-half billion people live in areas affected by fragility, conflict or large-scale, organized criminal violence. Transnational organized crime and global trafficking networks are having a major impact on the rule of law and development, business and finance, and on human security. This is fuelled by growing inequalities, disputes over the control of natural resources in the absence of alternative means to produce wealth and human development, and unfulfilled expectations among the youth. It has become clear that is essential to bring forth an integrated development agenda which highlights the interconnections between security, governance and development in order to effectively address national development challenges both now and beyond 2015.

The past decade has seen a dramatic increase in organized crime – namely trafficking of drugs, human beings, firearms and natural resources. These types of transnational

organized crime are a growing concern for the international community as well as regional organizations and national governments. Transnational organized crime has a broad and devastating impact on peace, security, development and good governance, as well as on the fundamental basics of the rule of law, public health and human rights.

As a result, the United Nations Member States as well as regional organizations are increasingly turning to the UN for support to deal with these threats to development and security. The World Summit Outcome Document of 2005 expresses “grave concern at the negative effects of development, peace and security and human rights posed by transnational crime.” The World Development Report 2011 “Conflict, Security and Development,” echoed a similar message. The report stressed that development is linked with violence and insecurity in instances “where states and sub-national governments do not provide security and access to justice, markets do not provide employment opportunities, and communities have lost the social cohesion that contains conflict.” Most recently, the importance of challenges in security has been explicitly recognised by the international community in the 2030 Agenda for sustainable development (A/RES/70/1), where for the first time issues of crime, drugs, corruption and terrorism have become an explicit part of the international development framework.

Justification of the project and main experiences / challenges during implementation

The project aimed to contribute to addressing the lack of operational technical assistance activities that deal with drugs, crime, corruption and terrorism and their links to sustainable development. Though there is now greater recognition and visibility of these issues and their importance for sustainable development (particularly since the adoption of the 2030 Agenda), the relative novelty of such linkages means that existing interventions and approaches in addressing insecurity do not take into account the broader developmental context. The project therefore tried to improve conceptual understanding of how practical approaches might be understood and designed, particularly at a local level where citizens’ insecurity is most keenly felt.

Key Challenges encountered during project implementation:

- Changes in the UNODC/UNOV modalities for engaging external parties introduced added uncertainty and delays in the project implementation
- Roll-out of the UMOJA Enterprise Resource Planning system resulted in delays in project implementation

Key problems addressed by the project:

- Lack of operational technical assistance activities addressing drugs, crime and terrorism and their links to development. Low level of awareness of their impact towards achieving the MDG’s
- Lack of reference in policy documents and action plans at the global, regional and national levels on the impact of drugs, crime and terrorism to achieve development and the MDG’s.
- Limited knowledge of the impact of drugs, crime and terrorism on development at the global, regional and national level

- Insufficient knowledge among development stakeholders of the impact justice, security and rule of law can have in terms of hampering development and the achievement of the MDG's.

Project documents and revisions of the original project document

The project document was approved by the DESA in 2014. Only budgetary revisions were made to this project document.

UNODC strategy context, including the project's main objectives and outcomes and project's contribution to UNODC country, regional or thematic programme

The objective of the project was to ensure that the issues of crime, corruption, drugs and terrorism are integrated into national development plans and processes. There is a wide understanding among the international community that addressing peace and security is a prerequisite for development. This is highlighted in the 2011 World Bank World Development Report which documented the development challenges connected to criminal violence. It argued that *"more than 1.5 billion people live in countries affected by fragility, organized criminal violence or conflict"*. New threats—organized crime and trafficking, civil unrest due to global economic shocks, terrorism—have supplemented continued preoccupations with conventional war between and within countries. The central message is that strengthening legitimate institutions and governance to provide citizen security, justice, and jobs is crucial to break cycles of violence.

The Secretary-General's 2010 "Keeping the Promise" report (A/64/665) also recognized that in order to achieve the Millennium Development Goals, "integrity, accountability and transparency are crucial....for managing resources, recovering assets and combating the abuse, corruption and organized crime that are adversely affecting the poor." Good governance and accountability have been recognized as major factors that shape the MDG progress and are emphasized in UNDP's forward looking "Beyond the Midpoint: Achieving the Millennium Development Goals" The final report of the UN-wide Task Team on the Post-2015 Development Agenda also echoes the same concerns including an explicit recognition of the Rule of Law as an important dimension. In addition, the General Assembly recently stressed that the interrelationship between the rule of law and development will need to be considered in the Post-2015 consultations.

Project Objective: To ensure that the issues of crime, corruption, drugs and terrorism are integrated into the preparation of national development plans and processes in selected countries

- Expected Accomplishment 1 (EA 1): A guidance tool for mainstreaming issues of crime, corruption, drugs and terrorism into UNDAF's and development plans developed and disseminated.

- Expected Accomplishment 2 (EA 2): Drug, crime and terrorism related issues have been incorporated in selected United Nations Common Country Assessment Plans (UNCCA) and United Nations Development Assistance Frameworks (UNDAF)
- Expected Accomplishment 3 (EA 3): Joint pilot programmes developed to address crime, corruption, drugs and terrorism issues

II. DISBURSEMENT HISTORY

<i>Total Approved Budget (Nov 2013-Aug 2016)</i>	<i>Expenditure (time period)</i>	<i>Expenditure in % (time period)</i>
650 000USD	400 000USD	62%

III. PURPOSE OF THE EVALUATION

Reasons behind the evaluation taking place

This final independent project evaluation initiated by the UNODC is an end of project (final) evaluation as per the project document and in line with UNODC Evaluation Policy, which was planned and budgeted for at the project design phase.

Assumed accomplishment of the evaluation

The overall expectation of the evaluation is to draw lessons from project implementation that form the basis for instituting improvements to the existing and future project planning, design and management. It will also help UNODC and other stakeholders to take stock of the project, learn from its implementation process and results, and identify gaps. Furthermore, as it is a final evaluation, the accomplishments of the project will be assessed against the planned outputs, outcomes and objective.

The main evaluation users

The main users of this evaluation will be UNODC to use the findings, lessons and recommendations for future programming.

IV. SCOPE OF THE EVALUATION

The unit of analysis to be covered by the evaluation

The scope of the evaluation is limited to activities undertaken in United Nations Development Account Project 1213V, and their implications for future programming.

The time period to be covered by the evaluation

The evaluation will cover the time period from November 2013 to September 2016.

The geographical coverage of the evaluation

Global, with a focus on developing and emerging countries in Africa, Asia and Latin America.

V. EVALUATION CRITERIA AND KEY EVALUATION QUESTIONS

The evaluation will be conducted based on the following DAC criteria: relevance, efficiency, effectiveness, impact, sustainability, as well as partnerships and cooperation, gender and human rights and lesson learned, and, will respond to the following below questions, however, provided as indicative only, and required to be further refined by the evaluator with particular regard to future strategic and programming implications for UNODC.

<i>Design</i>
<i>the extent to which the logical framework approach was adopted, with measurable expected Performance Indicators at the country and regional levels, outcomes and outputs, performance indicators, including gender equality and human rights, targets, risks, mitigation measures and assumptions.</i>
a. To what extent was the project design based on problem and context analyses?
b. Was the design the most appropriate to meet the needs identified?
c. Was there clarity, logic, and coherence of the original project design?
d. Did the project design identify appropriate entry points for action to address linkages between development and issues in crime, corruption, drugs and terrorism?
<i>Relevance</i>
<i>is the extent to which the objectives of a project are continuously consistent with recipients' needs, UNODC mandate and overarching strategies and policies.</i>
a. How relevant is the project in helping to identify gaps in relevant development frameworks?
b. How relevant is the project to other key stakeholders' (executing agencies, partner organizations, including other UN agencies, NGOs etc.) needs and priorities?
c. To what extent does the project contribute to improving awareness of the relationship policies and strategies to promote sustainable development, and issues in drugs, crime and terrorism?
<i>Efficiency</i>
<i>is a measure of how resources/inputs (funds, expertise, time, etc.) are converted into outputs.</i>

a. To what extent were the resources and inputs converted to outputs in a timely and cost-effective manner?
b. To what extent were UNODC management, coordination and monitoring efficient and appropriate for the project?
<i>Effectiveness</i>
<i>is the extent to which a project or programme achieves its objectives and outcomes. Analysis of intervention's effectiveness involves assessing the way in which results were defined, monitored, and achieved.</i>
a. To what extent were the planned objectives and outcomes in the project document achieved?
b. During implementation of the project were strategic opportunities identified and exploited, especially with regard to the 2030 Agenda?
c. What options are there for UNODC to build on the project results in the future, particularly in the context of HABITAT III?
<i>Impact</i>
<i>is the positive and negative, primary and secondary long-term economic, environmental, social change(s) produced or likely to be produced by a project, directly or indirectly, intended or unintended, after the project was implemented.</i>
a. Has the project contributed or is likely to contribute to promoting policies and strategies for addressing issues in drugs, corruption, crime and terrorism at an urban level?
b. What, if any, are the results achieved beyond the logframe? Is there any unintended impact?
<i>Sustainability</i>
<i>is concerned with measuring whether the benefits of a project or programme are likely to continue after its termination. Projects need to be environmentally as well as financially sustainable. Additionally the evaluator also assesses project design, partnerships and cooperation, and innovation.</i>
a. To what extent are the project results (impact if any, and outcomes) likely to continue after the project?
b. What were the key factors which influenced the achievement or non-achievement of sustainability of this project?
<i>Partnerships and cooperation</i>
is a measure of the level of UNODC cooperation with partners and implementing partners (e.g. donors, NGOs, Governments, other UN agencies etc.)
a. To what extent have partnerships been sought and established (including UN agencies as well as UNODC-internal) and synergies been created in the delivery of assistance?
b. To what extent will the partnerships continue even after the end of the project?
<i>Innovation</i>
<i>is the extent to which a project or a programme initiates efficient and effective innovative practices</i>
a. Are there any innovative practices that this project can boast of (also in regards of the potential future engagement of UNODC in the thematic area of this project)?
<i>Human rights and gender</i>
<i>Human rights</i>
a. To what extent have human rights been mainstreamed/addressed in project design

and implementation?
<i>Gender</i>
b. To what extent was gender considered as important factor during project designing and during project implementation?
c. To what extent did the project improve awareness of gender (including marginalised groups)?
<i>Lessons learned and Best Practices</i>
a. What are the main lessons of the project for replication in future projects/programmes?
b. How might these lessons best be applied in future UNODC support to Member States?
c. What best practices can be identified that are applicable to other UNODC projects and programmes?

The Evaluator should focus on crucial and strategic issues during project design and implementation, and especially their implications for future strategic direction and programme development in UNODC. The evaluation will also analyse project design, and project implementation.

The Evaluator will also assess whether the desired results have been achieved, and if not, whether there has been some progress made towards their achievement, whether the programme addresses the identified needs/problem (relevance), whether the programme/project contributes to a priority area or comparative advantage for UNODC, and how the UNODC may best build on project results going forward.

The Evaluator will ensure that lessons learnt and best practices from the project will be recorded and recommendations on possible follow-up actions will be made as appropriate. The evaluation will also assess any achievements beyond the project mandate. While analyzing the challenges in implementation, the efforts made to address the challenges will also be evaluated including efforts made to sustain the activities. This ToR guiding the evaluation defines the major parameters and core questions/issues which the evaluation seeks to answer in its final report. The Evaluator will develop specific questions and required instruments (questionnaire/checklist) to gather field information in order to fulfil the evaluation ToR requirements.

The Evaluator shall assess the achievements of project objectives, quality and quantity of outputs produced and of outputs likely to be produced, outcomes and impact achieved or expected to be achieved by the project. This should encompass an assessment of the achievement of the immediate objectives and the contribution to attaining the project objectives. The Evaluator should, in particular, assess:

- a. The anticipated positive and negative, intended and unintended, effects of interventions on beneficiaries, institutions, and the physical environment after implementation of project.
- b. The perceptions of the different stakeholders, especially UNODC headquarters thematic sections and field offices, implementing partners, and other relevant agencies (including partner UN agencies), about the overall impact of project interventions.
- c. The sustainability of project results after the project completion in terms of continuity of the project activities either by the government or by implementing partner after the project funding.

The Evaluator shall make recommendations, as appropriate. Recommendations may also be made in respect of issues related to the planning, execution and implementation of the project. They should constitute ideas and proposals for concrete action, which could be taken in future to improve and rectify undesired outcomes and provide possible areas for future UNODC strategic or programmatic engagement.

The Evaluator should record lessons learned and best practices from the project, which are valid beyond the project itself. The evaluation shall also record the difference this project has made to the beneficiaries and their willingness to sustain the activities.

Recommendations made should be:

- Understandable and clear for the users
- Useful and relevant: recommendations must be realistic and reflect potential constraints to follow up on them
- Actionable and implementable: recommendations should identify what should be done, by whom and by when. Each recommendation should clearly identify its target group and stipulate the recommended action and rationale.
- Timely

VI. EVALUATION METHODOLOGY

The methods used to collect and analyse data

This evaluation will use methodologies and techniques as determined by the specific needs for information and the questions set out in the TORs. In all cases, evaluators are expected to analyse all relevant information sources, such as reports, programme documents, thematic programmes, internal review reports, programme files, evaluation reports (if available), financial reports and any other documents that may provide further evidence for triangulation on which their conclusions will be based. Evaluators are also expected to use interviews, surveys or any other relevant quantitative and/or qualitative tools as a means to collect relevant data for the evaluation. While maintaining independence, the evaluation will be carried out based on a participatory approach, which seeks the views and assessments of all parties identified as main evaluation users, the Core Learning Partners (CLP). Furthermore, the evaluator is expected to develop a gender-sensitive evaluation methodology.

The present ToR provides basic information as regards to the methodology, however this should not be regarded as exhaustive. It is rather meant to guide the evaluator in elaborating an effective, efficient, and appropriate evaluation methodology that should be proposed, explained and justified in an Inception Report.

The evaluator will present a summarized methodology in an Inception Report which will specify the evaluation criteria, indicators, sources of information and methods of data collection. The evaluation methodology must conform to the United Nations Evaluation Group (UNEG) Norms and Standards as well as the UNODC Evaluation Norms and Standards.²¹

²¹ The mandatory templates and guidelines can be found on the IEU website:
<http://www.unodc.org/unodc/en/evaluation/index.html>

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

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

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

The main elements of method will include:

- Preliminary desk review of all relevant project documentation, (Annex II), as provided by the Project Manager and as further requested by the evaluator;
- Preparation and submission of an Inception report (containing preliminary findings of the desk review, refined evaluation questions, data collection instruments, sampling strategy, limitations to the evaluation, evaluation matrix, and timetable) to IEU for review and clearance before any field mission may take place;
- Initial meetings and interviews with the Project Manager and other UNODC staff followed by an informal briefing on preliminary hypotheses;
- Interviews (face-to-face or by telephone/skype), with key project stakeholders and beneficiaries, both individually and (as appropriate) in small groups/focus groups, as well as using surveys, questionnaires or any other relevant quantitative and/or qualitative tools as a means to collect relevant data for the evaluation.
- Analysis of all available information;
- Preparation of the draft evaluation report (based on Guidelines for Evaluation Report and Template Report to be found on the IEU website <http://www.unodc.org/unodc/en/evaluation/index.html>). The evaluator submits the draft report to the Project Manager for the review of factual errors and the Project Manager shares with IEU for review, comments and clearance. Subsequently the Project Manager shares the final draft report with all Core Learning Partners for comments on factual errors.
- Preparation of the final evaluation report. The evaluator incorporates the necessary and requested changes and finalizes the evaluation report; following feedback from IEU, the Project Manager and CLPs for IEU clearance. It further includes a PowerPoint presentation on final evaluation findings and recommendations;

- Presentation of final evaluation report with its findings and recommendations to the target audience, stakeholders etc. through Skype.
- In conducting the evaluation, the UNODC and the UNEG Evaluation Norms and Standards are to be taken into account. All tools, norms and templates to be mandatorily used in the evaluation process can be found on the IEU website: <http://www.unodc.org/unodc/en/evaluation/index.html>)

The sources of data

The evaluation will have to utilize a mixture of primary and secondary sources of data. The primary sources for the desk review may include, among others, interviews with key stakeholders (face-to-face or by telephone), the use of surveys and questionnaires, field missions for case studies, focus group interviews, observation and other participatory techniques. Secondary data sources will include the project documents and their revisions, progress and monitoring reports and all other relevant documents, including visual information (e.g. eLearning, pictures, videos, etc.).

Desk Review

The evaluator will perform a desk review of existing documentation (please see the preliminary list of documents to be consulted in Annex II). This list is however not to be regarded as exhaustive, as additional documentation may be requested by the evaluator (please find attached a preliminary list of documents).

Primary Research Methods

Primary sources of data include, among others:

- Qualitative methods: structured and semi-structured interviews with key stakeholders, key representatives of different entities (face-to-face, by telephone or by webcam).
- Quantitative methods: survey questionnaires.
- Field mission

Phone interviews / face to face consultations

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

- Member States
- relevant international and regional organizations;
- Non-governmental organizations working with UNODC;
- UNODC management and staff.
- Etc.

Questionnaire

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

In conducting the evaluation, the UNODC and the UNEG Evaluation Norms and Standards are to be taken into account. All tools, norms, guidelines and templates to be mandatorily used in the evaluation process can be found on the IEU website: <http://www.unodc.org/unodc/en/evaluation/index.html>

VII. TIMEFRAME AND DELIVERABLES

Time frame for the evaluation

The evaluation will be carried out in **November 2016 – February 2017 with allowing 40 days** consultancy. Assuming that by 15 November 2016 the contract will be completed and the consultant will resume his/her work on 16 November 2016. The evaluation will be finalized by 28 February 2017.

Time frame for the field mission

<i>Duties</i>	<i>Time frame</i>	<i>Location</i>	<i>Deliverables</i>
Desk review and preparation of Draft Inception Report	16/11/2016 to 29/11/2016 (10 working days)	Home base	Draft Inception report containing: preliminary findings of the desk review, refined evaluation questions, data collection instruments (including questionnaire and interview questions), sampling strategy, evaluation matrix and limitations to the evaluation
Review and subsequent clearance of draft Inception Report by IEU (can entail various rounds of comments)	30/11/2016 (1 working day)		Revised draft Inception Report
Deliverable A – Final Draft Inception Report in line with UNODC Evaluation guidelines, handbook, templates, norms and standards	By 05/12/2016		To be cleared by IEU
Interviews with staff at UNODC; Evaluation mission: briefing, interviews; presentation of preliminary findings	06/12/2016 to 14/12/2016 (5 working days) Mission dates to be confirmed	UNODC; mission to Vienna	Presentation of preliminary findings
Conduct of further interviews as needed; drafting of the evaluation report; submission to Project Management for review of factual errors and IEU for review	15/12/2016 to 19/01/2017 (15 working days)	Home base	Draft evaluation report (to be reviewed and cleared by IEU; can entail various rounds of comments)
Consideration of comments from the project manager and incorporation of comments from IEU (can entail various rounds of comments)	26/01/2017- 30/01/2017 (4 working days)	Home base	Revised draft evaluation report
Deliverable B – Draft Evaluation Report in line with UNODC Evaluation guidelines, handbook,	By 31/01/2017		To be cleared by IEU

templates, norms and standards			
IEU/Project Management to share draft evaluation report with Core Learning Partners for comments	01/02/2017 to 10/02/2017		
Consideration of comments from Core Learning Partners, project management and IEU	13/02/2017 to 17/02/2017 (4 working days)	Home base	Revised draft evaluation report
Presentation of evaluation results	By 20/02/2017 (1 working day) Date to be confirmed	Home base/Skype	Presentation to internal and external stakeholders
Deliverable C - Finalized Evaluation Report incl. Management response; Presentation	By 20/02/2017 Same date as the presentation of results	Home base; UNODC	Final evaluation report; Presentation of final evaluation findings and recommendations All to be cleared by IEU
Project Management: Finalise Evaluation Follow-up Plan in ProFi	By 28/02/2017		Final Evaluation Follow-up Plan to be cleared by IEU

VIII. EVALUATION TEAM COMPOSITION

Number of evaluators needed

An independent, external evaluator will be hired to undertake the evaluation. Under the overall guidance of the UNODC Independent Evaluation Unit, the evaluation process will be coordinated by the Strategic Planning and Interagency Unit in UNODC headquarters, Vienna.

The evaluation will be undertaken by one international/Regional/National Consultant who will be appointed on the basis of experience in project evaluation, monitoring, implementation and knowledge of the subject and whose selection will be cleared by IEU.

The Evaluator should possess extensive knowledge of, and experience in applying, qualitative and quantitative evaluation methods; a strong record in designing and leading evaluations; technical competence in the areas of human security and/or city governance (advanced University degree, published research and/or practical experience) and excellent oral communication and report writing skills in English. Relevant work experience with the UN will be an asset.

The evaluator is contracted by UNODC. The qualifications and responsibilities for the evaluators are specified in the respective **Terms of reference of evaluator (Annex I)**.

The evaluators will not act as representatives of any party and must remain independent and impartial.

More details will be provided in the respective **Terms of reference for evaluator in Annex I**.

Absence of Conflict of Interest

According to UNODC rules, the consultant must not have been involved in the design and/or implementation, supervision and coordination of and/or have benefited from the programme/project or theme under evaluation.

IX. MANAGEMENT OF EVALUATION PROCESS

Roles and responsibilities of the Project Manager

The entire process will follow the UNODC Human Resources rules and regulations, and contract will be made accordingly.

The Project team, led by the Project Coordinator will brief the Evaluator. The Evaluator will also consult the Director of the Division for Policy Analysis and Public Affairs (UNODC/DPA) and the Chief of the Policy Analysis Branch (UNODC/DPA/PAB) and any others persons/agencies as s/he deems appropriate. Based on the finalized evaluation methodology the Evaluator will be provided with the mission plans and the project team

will facilitate interviews and discussions in the project sites. The Evaluator will present the findings in a concise but comprehensive report.

The timetable of the missions and the allocated budget (as per the UN guidelines) shall be shared with the selected Evaluator.

Roles and responsibilities of the Project Manager

The Project Manager is responsible for:

- managing the evaluation,
- drafting and finalizing the ToR,
- selecting Core Learning Partners (representing a balance of men, women and other marginalised groups) and informing them of their role,
- recruiting evaluators following clearance by IEU,
- providing desk review materials (including data and information on men, women and other marginalised groups) to the evaluation team including the full TOR,
- reviewing the inception report as well as the evaluation methodology,
- liaising with the Core Learning Partners,
- reviewing the draft report for factual errors,
- developing an implementation plan for the evaluation recommendations as well as follow-up action (to be updated once per year),
- disseminate the final evaluation report and facilitate the presentation of evaluation results;

The Project Manager will be in charge of **providing logistical support** to the evaluation team including arranging the field missions of the evaluation team, including but not limited to:

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

For the field missions, the evaluation team liaises with the UNODC Regional/Field Offices and mentors as appropriate

Roles and responsibilities of the Core Learning Partners (CLPs)

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

Roles and responsibilities of the Independent Evaluation Unit

The Independent Evaluation Unit (IEU) provides mandatory normative tools, guidelines and templates to be used in the evaluation process. Please find the respective tools on the IEU web site <http://www.unodc.org/unodc/en/evaluation/evaluation.html>.

IEU reviews and clears all deliverables of this evaluation – Terms of Reference; Selection of consultants; Inception Report; Draft Evaluation Report; Final Evaluation Report; Evaluation Follow-up Plan

Logistical support responsibilities

The Project Manager will be in charge of providing logistical support to the evaluation team including arranging the field missions of the evaluation team.

X. PAYMENT MODALITIES

Consultants will be issued consultancy contracts and paid in accordance with UNODC rules and regulations. The contract is a legally binding document in which the consultant agrees to complete the deliverables by the set deadlines. Payment is correlated to deliverables and three instalments are typically foreseen:

- The first payment (11 working days) upon clearance of the Inception Report (in line with UNODC evaluation guidelines, templates, handbook, norms and standards) by IEU;
- The second payment (24 working days) upon clearance of the Draft Evaluation Report (in line with UNODC evaluation guidelines, templates, handbook, norms and standards) by IEU;
- The third and final payment (05 working days) only after completion of the respective tasks, receipt of the final report (in line with UNODC evaluation guidelines, templates, handbook, norms and standards) and clearance by IEU, as well as presentation of final evaluation findings and recommendations.

75 percent of the daily subsistence allowance and terminals is paid in advance, before travelling. The balance is paid after the travel has taken place, upon presentation of boarding passes and the completed travel claim forms

ANNEX I. TERMS OF REFERENCE FOR EVALUATOR

Terms of Reference

Title:	Independent Evaluator (Team Leader)
Organisational Section/Unit:	Independent Evaluation Unit
Name and title of Supervisor:	Gautam Babbar, Programme Management Officer and Inter-Agency Affairs Officer
Duty Station:	Home-based with travel to Vienna, Austria
Proposed period:	Period I: 21 November – 31 December 2016 Period II: 1 January - 20 February 2017 * (*contract will be extended to cover Period II)
Actual work time:	40 working days (Period I and II) * (*contract will be extended to cover Period II)
Fee Range:	C

1. Background of the assignment:

The approach of the project was to demonstrate the substantive and conceptual linkages between sustainable development and issues of crime, corruption, drugs and terrorism. Working together with criminal justice practitioners, local government officials, and academics, the project has aimed to show how these are connected in practice, and to illustrate potential avenues for addressing these issues in a local developmental context.

Insecurity has become a primary development challenge of our time. It is estimated that circa one-and-a-half billion people live in areas affected by fragility, conflict or large-scale, organized criminal violence. Transnational organized crime and global trafficking networks are having a major impact on the rule of law and development, business and finance, and on human security. This is fueled by growing inequalities, disputes over the control of natural resources in the absence of alternative means to produce wealth and human development, and unfulfilled expectations among the youth. It has become clear that is essential to bring forth an integrated development agenda which highlights the interconnections between security, governance and development in order to effectively address national development challenges both now and beyond 2015.

The past decade has seen a dramatic increase in organized crime – namely trafficking of drugs, human beings, firearms and natural resources. These types of transnational organized crime are a growing concern for the international community as well as regional organizations and national governments. Transnational organized crime has a broad and devastating impact on peace, security, development and good governance, as well as on the

fundamental basics of the rule of law, public health and human rights.

As a result, the United Nations Member States as well as regional organizations are increasingly turning to the UN for support to deal with these threats to development and security. The World Summit Outcome Document of 2005 expresses “grave concern at the negative effects of development, peace and security and human rights posed by transnational crime.” The World Development Report 2011 “Conflict, Security and Development,” echoed a similar message. The report stressed that development is linked with violence and insecurity in instances “where states and sub-national governments do not provide security and access to justice, markets do not provide employment opportunities, and communities have lost the social cohesion that contains conflict.” Most recently, the importance of challenges in security has been explicitly recognised by the international community in the 2030 Agenda for sustainable development (A/RES/70/1), where for the first time issues of crime, drugs, corruption and terrorism have become an explicit part of the international development framework.

The project aimed to contribute to addressing the lack of operational technical assistance activities that deal with drugs, crime, corruption and terrorism and their links to sustainable development at a local level, in cities and urban communities. Though there is now greater recognition and visibility of these issues and their importance for sustainable development (particularly since the adoption of the 2030 Agenda), the relative novelty of such linkages means that existing interventions and approaches in addressing insecurity do not take into account the broader developmental context. The project therefore tried to improve conceptual understanding of how practical approaches might be understood and designed, particularly at a local level (in particular in cities and urban communities) where citizens’ insecurity is most keenly felt.

2. Purpose of the assignment:

The purpose of this assignment is to conduct an independent final project evaluation in line with UNODC evaluation norms, standards, templates and guidelines. The overall expectation of the evaluation is to draw lessons from project implementation that form the basis for instituting improvements to the existing and future project planning, design and management. It will also help UNODC and other stakeholders to take stock of the project, learn from its implementation process and results, and identify gaps. Furthermore, as it is a final evaluation, the accomplishments of the project will be assessed against the planned outputs, outcomes and objective. Since one of the main outputs of the project was the development of a framework for urban security governance, the evaluation should identify ways in which UNODC can build upon this project to support municipal and urban authorities to build resilience in their communities and combat transnational threats to their populations’ security, especially in light of the 2030 Agenda for Sustainable Development and the outcome document of the HABITAT III conference to be held in Quito, Ecuador in October 2016.

The evaluation will further assess design, relevance, efficiency, effectiveness, partnerships and cooperation, gender and human rights mainstreaming of the implementation of the project activities, as well as be forward-looking and assess sustainability and impact.

3. Specific tasks to be performed by the consultant:

Under the guidance of the Independent Evaluation Unit, the key responsibilities of the evaluator include:

- (i) development of the evaluation design with detailed methods, tools and techniques that are gender-inclusive and gender-sensitive, generating information from and about men, women and other marginalised groups as well as about key gender as well as human rights issues;
- (ii) ensuring adherence to the UNEG Norms and Standards, UNODC evaluation norms, standards, guidelines and templates and the evaluation TOR; and
- (iii) ensuring that all deliverables are submitted in a timely and satisfactory manner and in line with the quality criteria checklist.

4. Expected tangible and measurable output(s)/deliverable(s):

The evaluator will be responsible for the quality and timely submission of his/her specific deliverables, as specified below. All products should be well written, inclusive and have a clear analysis process.

- Draft inception report, containing a refined work plan, methodology and evaluation tools; in line with UNODC evaluation norms, standards, guidelines and templates.
- Presentation of preliminary evaluation findings and recommendations to internal and external key stakeholders (if applicable).
- Draft evaluation report in line with UNODC evaluation norms, standards, guidelines and templates, including an analysis of the performance of the project to adequately address gender as well as human rights issues, with concrete findings and conclusions, and, if needed, specific recommendations on how to improve.
- Revised draft report based on comments received from the various consultative processes (IEU, internal and external).
- Final evaluation report, in line with UNODC evaluation norms, standards, guidelines and templates.
- Final presentation of evaluation results to stakeholders.

According to UNODC rules, the evaluator must not have been involved in the design and/or implementation, supervision and coordination of and/or have benefited from the programme/project or theme under evaluation.

The evaluator shall respect the UNEG Ethical Guidelines.

5. Dates and details of deliverables/payments:

Deliverable	Output	Working Days	To be accomplished by (date)
A.	Inception Report	11	05 December 2016
B.	Draft Evaluation Report *	24	31 January 2017
C.	Final Evaluation Report *	5	20 February 2017

* Note: Contract to be extended until 20 February 2017 to cover Deliverable B and C.

Payments will be made upon satisfactory completion and/or submission of outputs/deliverables.

6. Indicators to evaluate the consultant's performance:

Timely, satisfactory and high-quality delivery of the above mentioned outputs as assessed by IEU (in line with UNODC norms, standards, guidelines and templates as well as UNEG Standards and Norms).

7. Qualifications/expertise sought (required educational background, years of relevant work experience, other special skills or knowledge required):

- Advanced University Degree (Master's degree or equivalent) in law or social sciences (especially criminology, international development, or international relations)
- At least 10 years of working experience in law, police cooperation, government, or international organisations
- At least 7 years of working experience in applying, qualitative and quantitative evaluation methods
- A record in designing and conducting evaluations; technical competence in evaluation of projects or programmes in the area of crime prevention, governance (especially local governance), sustainable development, or rule of law
- Demonstrated understanding of the connections between issues in security and sustainable development, through either prior work experience or academic publications
- Excellent communication and drafting skills; fluency in oral and written English is required., proven by previous evaluation reports. Knowledge of another language relevant to the evaluation is an advantage

- Experience and knowledge on gender equality and women's empowerment, gender mainstreaming, gender analysis and the related mandates within the UN system – as well as experience and knowledge on human rights issues, the human rights based approach to programming, human rights analysis and related mandates within the UN system.

ANNEX II. EVALUATION TOOLS: QUESTIONNAIRES AND INTERVIEW GUIDES

A semi-structured interview guide will be applied for the interviews with different stakeholders as identified in the annex III of the ToR. The discussion points and evaluation questions will be adapted and adjusted to an interviewee's engagement in the project or particular project activities.

The proposed general semi-structured interview guide:

1. Could you please describe your role/position in the project or/and in particular project activities?
2. Were you informed about the project objectives?
 - How did you find the project design?
 - Was the project design appropriate to meet the envisaged objectives?
 - What were the drawbacks and advantages of the project design?
3. Was the project important in identifying gaps in development frameworks?
 - Was the project important to other non UNODC stakeholders? To which extent?
 - To which extent the project managed to improve awareness of the relationship policies and strategies to promote sustainable development and issues in drugs, crime, corruption and terrorism?
4. Were the project activities performed in a cost-efficient manner?
 - Were there any delays?
 - Reasons for delays and how were they addressed?
 - What is the quality of the outputs?
 - Is there anything that could have been done in a better way?
5. Which project results have not been achieved?
 - What are the reasons for non-achievement?
 - If any, what kind of strategic opportunities have been identified during the implementation of the project? (in particularly with regard to 2030 Agenda)
 - Are you familiar with Habitat III and the New Urban Agenda? If yes, how do you see the project outcomes and the UNODC role in the context of the New Urban Agenda in the future?
6. What is your opinion about the project's impact on promoting policies and strategies for addressing issues in drugs, corruption, crime and terrorism?
7. Did the project manage to create any new partnerships and cooperation? (within UN and within UNODC). Any other synergies?
8. Did the project bring-out any innovative practices?
9. To what extent were human-rights and gender issues mainstreamed in the project activities?
10. Recommendations or any other issues to be mentioned?

The proposed specific semi-structured interview guide for the UNODC staff engaged in the development and implementation of the project

Design:

1. Was the project design based on problem and context analysis?
2. Was the design appropriate to meet the identified needs?
3. Did the project design identify appropriate entry points for actions?

Relevance:

4. How relevant was the project to other key stakeholders? (executive agencies, partner organisations, other UN agencies, NGOs?)
5. Did the project contribute to improving awareness of the relationship policies and strategies to promote sustainable development and issues in drugs, crime?

Efficiency:

6. Was the project implemented in a cost-effective manner?
7. Could you please explain the monitoring mechanism enforced during the project implementation?
8. Reasons for the delays and how did the delays impact on the project achievements?

Effectiveness:

9. What kind of (if any) opportunities have been identified and exploited, in particularly in regard to the 2030 Agenda?
10. What are the project's possibilities to build upon the project results and particularly in the context of HABITAT 3 and the Agenda for Future?

Impact:

11. Where there any results achieved beyond the logframe?
12. Any unintended impact?

Sustainability:

13. How is ensured the sustainability of the project results?

Partnership and cooperation:

14. Could you please indicate if and what kind of partnerships have been established? (including in the UN agencies and external partnerships)

Innovation:

15. Did the project bring-out any new practices that this project can boast of?

Human rights and gender:

16. To what extent have been human rights and gender issues embedded in the project activities and in the project implementation?

Lessons learned and best practices:

17. Anything beneficial that could be replicated in other projects?

Other discussion points:

- The Guide
- The Regional workshops
- Achievements of the project objectives per programme logframe
- Delays and project expenditures
- Reasons for the reallocation of the funds
- Reasons for conducting additional studies in South-Africa
- Why the Guide address cities instead of national plans and processes as indicated in the project overall objective?
- How will be the Guide used in the future?
- Why joint UNDAF projects were not developed as envisaged and the pledged funds were thus shifted to additional city-studies?
- Have been the drugs issues included in the UN Common Assessment County Plans and in the UN National Development Assistance Frameworks?

The proposed specific semi-structured interview guide for the representatives of the UNODC regional and field offices

1. How relevant was the project to other key stakeholders? (executive agencies, partner organisations, other UN agencies, NGOs?)
2. Did the project contribute to improving awareness of the relationship policies and strategies to promote sustainable development and issues in drugs, crime?
3. Role of the Guide for UNDAF and UNCCCA?
4. Outputs of the regional conferences?
5. Usefulness of the Guide and its application by the regional and country UNODC offices?

The proposed specific semi-structured interview guide for the authors of the Guide

1. Could you describe what are the Guide's entry points for action to address linkages between development and issues of crime?
2. What were the reasons that the Guide did not consider integrating crime in the preparation of national plans and processes?
3. To whom is the Guide intended for?
4. Was the Guide tested or piloted by a sample of future users?
5. How the Guide will be used in the future?
6. Drawbacks and advantages of the drafting process?
7. Gender issues and human rights
8. Recommendations and lessons learned

The proposed specific semi-structured interview guide for the other UN agencies (UN Habitat, DESA – Department of Economic and Social affairs)

1. What are the project outputs that will contributed to UN Habitat III and its Agenda for development?
2. If and how will be the project outputs further embedded in Habitat III and Quito Implementation plan ?
3. What were, are or will be the benefits of the projects outcomes for DESA?
4. Recommendations and lessons learned

ANNEX III. DESK REVIEW LIST

- Terms of Reference of the Final Independent Project Evaluation “Integrating crime...”
- Project Document “Integrating crime, corruption, drugs and terrorism related issues into the preparation of the national plans and processes”
- First Progress Report for the period from August 2014 to January 2015
- Second Progress Report for the period from January 2015 to December 2015
- Final Project Report
- A Framework to Guide Urban Policy-Makers and Practitioners – Governing Safer Cities, Strategies for a Globalised World (the Guide)
- Nine City Studies Reports
- Contract between UN and University of Cape Town (for the development of the Guide)
- Terms of Reference for the development of the Guide
- List of participants of the regional workshop in Cape Town
- Background document of the regional workshops in Bangkok and Panama
- Mission Report of the regional workshops in Cape Town and Thailand
- Guidelines on the production of SDG indicators derived from victimisation surveys on the basis of existing survey instruments and methodologies, including specific guidance to produce these indicators at city level
- 2030 Agenda for Sustainable Development
- UNODC Organigram
- 2014-2015 Allotment Advice
- The New Urban Agenda– Draft outcome document of the UN Conference on Housing Sustainable Urban Development (Habitat III)
- Igarapé Institute Safer Cities Project <http://fragilecities.igarape.org.br/>

- States of Fragility 2015: Meeting Post-2015 Ambitions, the Development Assistance Committee: Enabling effective development
- Safety and Violence Initiative, University of Cape Town <http://www.savi.uct.ac.za/>
- AUDITS Project, European Forum for Urban Security
<https://efus.eu/en/topics/tools-and-methods/audits-and-evaluation/efus/3556/>
- Common Country Assessment and UN Development Assistance Framework
- Presentations of the regional workshop held in Panama
- UN HABITAT Safer Cities Programme (<http://unhabitat.org/urban-initiatives/initiatives-programmes/safer-cities/>)
- UN Development Account Guidelines
<http://www.un.org/esa/devaccount/projects/guidelines.html>

Number of documents review: 25

ANNEX IV. LIST OF PERSONS CONTACTED DURING THE EVALUATION

<i>Number of interviewees</i>	<i>Organisation</i>	<i>Sex disaggregated data</i>	<i>Country</i>
1	University of Cape Town	male	Vienna
1	Department of Economic and Social Affairs (DESA)	male	New York
12	UNODC	Male: 10 Female: 2	Vienna
1	Centro de Excelencia (CdE) para Información Estadística de Gobierno (Mexico),	female	Mexico City, Mexico
1	UN Habitat	male	Nairobi, Kenya
1	International Centre for the Prevention of Crime (ICPC),	female	Montreal, Canada
1	Griffith Criminology Institute at Griffith University (Australia),	male	Queensland, Australia
Total: 18		Male: 14 Female: 4	