

FINAL INDEPENDENT PROJECT EVALUATION of INCB Databank for Precursor Control

GLO565
May 2021



This independent evaluation report was prepared by an evaluation team consisting of Ms. Sofia Guillot de la Puente (Lead Evaluator) and Mr. Ihor Malyniwsky (Substantive Expert on Precursor Control). The Independent Evaluation Section (IES) 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.

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The Independent Evaluation Section of the United Nations Office on Drugs and Crime can be contacted at:

United Nations Office on Drugs and Crime
Vienna International Centre
P.O. Box 500
1400 Vienna, Austria
Telephone: (+43-1) 26060-0
Email: unodc-ies@un.org
Website: <https://www.unodc.org/unodc/de/evaluation/index.html>

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ABBREVIATIONS AND ACRONYMS

Abbreviation or Acronym	Full name	Abbreviation or Acronym	Full name
1988 Convention	United Nations Convention against Illicit Traffic in Narcotic Drugs and Psychotropic Substances of 1988	ISSL	Limited International Special Surveillance List of Non-Scheduled Substances
ALR	Annual Legitimate Requirements (also referred to as the Simplified Estimates System)	ITS	Information Technology Service of UNODC
ATS	Amphetamine-type stimulants	MOU	Memorandum of Understanding
CCP	Container Control Programme of UNODC/WCO	NPS	New Psychoactive Substances
CICAD	Inter-American Drug Abuse Control Commission	OAS	Organization of American States
CNA	Competent National Authority	OECD	Organization for Economic Co-operation and Development
CND	Commission on Narcotic Drugs	OPIOIDS	Operational Partnerships to Interdict Opioids' Illicit Distribution and Sales
COPOLAD	Cooperation Programme between Latin America and the European Union on Drug Policies	PEN-online	Pre-Export Notification Online system
DAC	Development Assistance Committee	PICS	Precursors Incident Communication System
EC	European Commission	Project ION	International Operations on NPS
ECOSOC	United Nations Economic and Social Council	RB	Regular budget

Abbreviation or Acronym	Full name	Abbreviation or Acronym	Full name
EU	European Union	ROSEAP	Regional Office for South-East Asia and the Pacific
EUROPOL	European Union Agency for Law Enforcement Cooperation	SDG	Sustainable Development Goals
GRIDS	Global Rapid Interdiction of Dangerous Substances	SHERLOC	Sharing Electronic Resources and Laws on Crime
HONLEA	Heads of National Drug Law Enforcement Agencies	SES	Simplified Estimates System (also referred to as the Annual Legitimate Requirements)
ICPO-INTERPOL	International Criminal Police Organization	SINCB	Secretariat of the International Narcotics Control Board
IDS	International Drug Control System	TOR	Terms of Reference
IES	Independent Evaluation Section	UNODC	United Nations Office on Drugs and Crime
INCB	International Narcotics Control Board	WCO	World Customs Organization
IONICS	Project ION Incident Communication System	WHO	World Health Organization
		XB	Extra-budgetary funding

MANAGEMENT RESPONSE

Recommendation (incl. recipient)	Management Response (accepted/partially accepted/rejected)	Overview anticipated actions
<p>1: Design a new project with clear theory of change and M&E framework to enhance project implementation Precursors Control Section (PRE), Secretariat of the International Narcotics Control Board (SINCB), Division for Treaty Affairs (DTA), UNODC</p>	<p>Accepted</p>	<p>The INCB Secretariat’s ongoing treaty-mandated precursor-related work will be consolidated in a new programme, reflective of the INCB’s technical and operational role and its renewed strategic vision on the challenges and opportunities afforded under the 1988 Convention. The new programme will continue to operate under the substantive direction of INCB. Format and design of the new programme will be adapted to reflect a theory of change and incorporate standards of results-based management. What is known as “Project GLO565” for administrative purposes will continue to operate in its current form until all administrative and substantive issues for a new programme have been resolved and until it becomes operational.</p>
<p>2: Develop a communication strategy directed at Governments to promote the precursor control project (PRE/SINCB/DTA/UNODC)</p>	<p>Accepted</p>	<p>A communication strategy promoting the unique treaty-based role of INCB with regard to precursor control, from licit trade monitoring to diversion investigations, addressing contemporary challenges, and affording visibility and full and effective utilization of the INCB tools and resources will be integral part of the new programme. The communication strategy will also be integrated within any larger communication strategy of INCB.</p>

<p>3: Develop strategy to establish a more dependable source of funding that responds to current and future resource needs for precursor control activities.</p> <p>(PRE/SINCB/DTA/UNODC)</p>	<p>Accepted</p>	<p>A fund-raising strategy will be an integral part of the new programme. The new strategy will consolidate the existing funding sources and explore options for broadening the donor base while at the same time ensuring the technical independence of the Board’s activities.</p>
<p>4: Review the status of systems or tools such as IDS, PEN online and PICS and develop a long-term plan for their development, support and maintenance to meet current and future needs in order to ensure their proper functioning and funding.</p> <p>(PRE/SINCB/DTA/UNODC)</p>	<p>Partially accepted</p> <p>We accept the substantive content of this recommendation. However, since the IDS core system (INCB’s International Drug Control Database) is shared between different sections of the INCB Secretariat and there are also significant financial implications, the implementation of this recommendation will depend to a large extent on the ability to attract adequate funding to re-build the entire system and ensure its long-term maintenance.</p>	<p>All three IT systems will be reviewed. The PEN Online interface with IDS will be enhanced upon finalization of the redevelopment of the IDS. PICS upgrade is ongoing. Need for further upgrade will be examined once the new version has been deployed.</p>
<p>5: Develop a strategic plan to expand partnership opportunities with regional organizations and to strengthen and more clearly define the working relationship with UNODC and, where appropriate, with its regional and country offices. Develop mechanisms to engage other related private sectors.</p> <p>(PRE/SINCB/DTA/ UNODC)</p>	<p>Accepted</p>	<p>The new programme will incorporate plans to expand cooperation and partnerships with relevant regional and international organizations, including UNODC, and private sector players.</p>

INTRODUCTION

PROJECT DESCRIPTION AND OBJECTIVES

GLO565 was created in 1992 with the aim to respond to the mandate that the United Nations Convention against Illicit Traffic in Narcotic Drugs and Psychotropic Substances of 1988 assigned to the International Narcotics Control Board (INCB). Since insufficient Regular Budget resources were allocated, GLO565 was created using extra-budgetary resources secured through a process administered by UNODC. GLO565 is a project implemented by the Precursors Control Section of the INCB Secretariat within UNODC's Division for Treaty Affairs. This section supports the International Narcotic Control Board. From an administrative point of view, the staff of the INCB Secretariat Precursors Control Section are UNODC staff, as they are managed under UNODC rules and regulations. However, in general terms, the INCB Secretariat Precursors Control Section is considered INCB Secretariat staff, as it reports substantially to the Board.

The project has provided for the development and maintenance of the central databank on precursors, including administering Governments' reporting to the Board (Form D¹) and the operation of the system of pre-export notifications mandated under the 1988 Convention. The databank and the Pre-Export Notification (PEN) Online system have become the cornerstone of the international precursors monitoring and control system, providing a mechanism for global risk-assessment of precursor trade. They also feed into INCB-led international collaborative initiatives, such as Project Cohesion and Project Prism and the Precursors Task Force mechanism. The information generated also feeds into the assessment of chemicals for possible inclusion in Table I or II of the 1988 Convention, such as the recent international scheduling of precursors of fentanyl, and a number of designer precursors of amphetamine-type stimulants. As diversion is now primarily regional or domestic in nature, tools to enhance precursor control at national levels are also being developed and their implementation promoted in targeted high-risk areas. To facilitate investigations into precursor incidents, GLO565 also developed and now manages and maintains the Precursors Incident Communication System (PICS). Launched in March 2012, PICS is a secure communication platform which provides for the global real-time exchange of information concerning precursor seizures.

Initially, GLO565 had six outcome areas, which were extended to seven in 2013 through a project revision, to include the Operational Partnerships to Interdict Opioids' Illicit Distribution and Sales (OPIOIDS) and operational activities to reduce the availability of new psychoactive substances (NPS). However, these activities have been integrated into a new project GLOW95 and GLO565 has remained as it was originally designed with 6 outcomes, one of them (Outcome 4) is no longer relevant due to internal changes in UNODC. Between 2013 and 2019, inclusive, GLO565 received USD 6,877,484. During this time, 90% of the allocated funds were dedicated to paying staff costs for the Precursors Control Section, the area of INCB Secretariat responsible for executing GLO565. The rest of the funds were used to cover other expenditures such as development costs of new tools, IT platforms upgrades and training activities. There has been one independent evaluation of the programme in 2012 and three Project revisions of GLO565, taking place in 2013, 2015 and 2018.

PURPOSE, SCOPE AND METHODOLOGY OF EVALUATION

The final Independent Project Evaluation of GLO565 was carried out between November 2020 and April 2021 and had two main purposes: to inform the development of a potential successor project and enable the INCB Secretariat to continue to provide effective and efficient support to the Board. It aims to facilitate the

¹ Form D is the vehicle that governments use to report certain information to the INCB as required by the 1988 Convention.

continued implementation of a global regime for the monitoring and control of precursor chemicals as envisaged under the 1988 Convention yet adapting format and activities in response to present needs.

The evaluation was summative covering the period from the end of 2013 to the end of 2019. Additionally, the evaluation was formative, making use of the findings and conclusions as well as identified lessons learned and best practices to formulate forward-looking conclusions and recommendations. The overall methodological approach for the evaluation was non-experimental, making use of contribution analysis. The evaluation is aligned with United Nations Evaluation Group (UNEG) norms and standards and the UNODC Evaluation Guidelines, including the UNODC Evaluation Handbook. The process used followed the evaluation criteria defined by the OECD Development Assistance Committee (DAC): relevance, efficiency, effectiveness, impact, and sustainability of GLO565. In addition, criteria used by UNODC concerning coherence, human rights and gender mainstreaming as well as leaving no one behind, lessons learned, and best practices were added. The wide range of different stakeholders interviewed and surveyed in the evaluation of GLO565, and the specific criteria and questions posed responded to the needs and requirements defined by the UNEG Guidance on Integrating Human Rights and Gender in Evaluations. The evaluation aimed to be gender-sensitive and integrate human rights aspects by including a wide range of different stakeholders through interviews and surveys, and by maintaining a gender balance in the sampling of interviewees.

The evaluation applied a mixed methods approach, consisting of a desk review of relevant documents and online surveys to PEN Online users and Competent National Authorities (CNAs) and online surveys to Board Members. The PEN Online users and Competent National Authorities (CNAs) survey was answered by 69 respondents and the Board survey, by 5 members. In total 28 semi-structured interviews were conducted with 39 interviewees. (most were individual interviews; some were conducted with more than 3 participants). They were done remotely through online calls.

The information obtained was triangulated to validate information from different sources. This led to the formulation of findings under each evaluation criterion, addressing evaluation questions. Conclusions were based on findings, and recommendations were developed accordingly to address main issues in a forward-looking manner to serve the formulation of a potential successor programme. The evaluation team comprised two independent evaluators, i.e., a lead evaluator, specialized in sustainable development and evaluations, and a substantive expert on precursor control.

MAIN FINDINGS

Relevance

GLO565 continues to be relevant given its support for a mandate and activity within the 1988 Convention and the continued challenges presented by the use of precursors in illicit drug manufacture in a changing environment. It has provided INCB the tools, information, and expertise necessary to fulfil its mandate and support countries to control precursors scheduled in the Convention. It has also demonstrated its capacity to respond to new challenges and threats by providing a detailed analysis and investigation, of relevant information concerning new precursors and other potential threats, then disseminating this information through various means including the International Special Surveillance List (ISSL) and ultimately recommending scheduling of new substances as appropriate. The increasing number of non-scheduled precursors that are appearing, the frequency with which this is happening as well as the lengthy and time-consuming process of scheduling, represent important challenges to the success of GLO565.

Efficiency

Both staff paid by the GLO565 programme and staff paid by Regular Budget resources contribute interchangeably to the overall activities of the Precursors Control Section, making it difficult to differentiate and report them separately. Key tools like the International Drug Control System (IDS) require an urgent revamping in order to continue working for INCB and the countries involved. PEN Online continue to serve the purpose of the users although its design is outdated and requires some service improvements. Issues related to ongoing system maintenance remain unresolved which leads to difficulties in continuing to update the system as required. The logical framework of the programme does not reflect all that the programme is

doing and does not provide a consistent programme monitoring system with robust indicators that allow to systematically monitor progress towards results.

Coherence

The partnership between the INCB and UNODC has brought together the INCB's expertise in precursor control and closer access to some regions and countries through country and regional offices as well as some of UNODC's global programmes. This relationship has been closer and more beneficial when regional or country offices have in place a project related to precursor control. Partnerships with regional and global organisations have offered the opportunity to connect with a wider number of public and private entities involved in precursor use, trade and control, increasing their awareness of new challenges or threats and the tools and resources available through GLO565. The INCB has also succeeded in involving the chemical sector in precursor control by developing guidelines that help Governments to actively engaging this sector. Other related private sectors, such as small parcel carriers, Internet-related sectors (eCommerce, internet service providers, social media, B2B platforms, electronic mail services etc) could also benefit from such guidance.

Effectiveness

GLO565 has provided Governments with the capacity building support, tools, resources, information, analysis, training, and technical advice needed to increase their capacity and effectiveness in precursor chemical control. While it also responds to the training needs of some Governments, it does not have the financial and human resources to meet the needs of all the Governments that require its support. The PEN Online system and PICS are widely recognised as an effective mechanism to assist Governments in their control of precursor chemicals, promote information exchange and facilitate international cooperation. The reliability, accuracy and timeliness of data and information in GLO565 systems and data bases depend on the voluntary cooperation and diligence of Governments, which is not always forthcoming. Special operations, recommended by the Precursor Control Task Force, have helped to bring to light problematic precursors that may not have been identified from a national perspective. The INCB's Precursors Control Section has produced a number of technical documents and guidelines related to precursor control that have been of outstanding quality and usefulness. However, in the absence of data or measures, it is difficult to assess the extent to which Governments are aware of and have access to these tools and resources.

Impact

GLO565 has served to increase the awareness of many Governments regarding new precursors being diverted and used in illicit drug manufacture and it has also contributed to helping them in stopping diversion and the investigation of cases. While there is anecdotal information about impacts of the project, in the absence of data or specific measures it is difficult to quantify the extent to which GLO565 has helped Governments to identify and address weaknesses in the prevention of precursor diversion. Compliance with or implementation of advice received from INCB is in large part voluntary and the programme cannot monitor when INCB recommendations are in fact implemented by Governments. Although there is no clear and explicit link to the development goals in GLO565 design, the project has contributed to the SDGs, especially to goals 3 and 16.

Sustainability

The results of GLO565 are sustainable to the extent that countries continue to share and use information on a voluntary basis through the tools provided by the programme. It also depends on the willingness of Governments to take action and implement the recommendations received from the INCB and its Secretariat. External funding is key to sustaining the programme adequately. It is required to guarantee the work of its human resources, which require high technical capacity, and the operation of its technological resources, which require continuous maintenance and updating. While Regular Budget resources would help to better ensure the independence of the work of the INCB Secretariat Precursors Control Section and avoid earmarked funds, there is a risk that they may not be a reliable source of funding due to potential budget cuts. It is also recognised that access to such funds is probably unrealistic. Programme communication is an effective tool to promote awareness of the importance and potential benefits of GLO565 and to encourage countries to participate in the activities of the programme. It can also serve to make the results of the programme more visible and broaden the funding base.

Human Rights, Gender equality and Leaving no one behind

Human rights principle is not mainstreamed in the programme document, but it is reported in the Annual Report of INCB. The specific issue of precursor control as well as the mechanisms to control and monitor these substances are gender neutral. Gender is addressed in recruitment activities for staffing the programme and in training activities coordinated by INCB Secretariat Precursors Control Section. The Section applies the principle of leaving no one behind as it seeks to identify countries in need of further support, taking into account their performance in precursor control and the quality of their reporting. However, respondents pointed out that the INCB's ability to strengthen the capacity of countries, especially the most vulnerable ones, is limited by the (human and financial) resources available to it.

MAIN CONCLUSIONS

The evaluation report contains seven conclusions, based on the findings mentioned above. The programme continues to be relevant in its support for the mandate of the 1988 Convention. It is able to respond to new challenges and makes efficient use of its limited resources although the computer systems upon which it depends require ongoing maintenance and upgrading. The programme relies on a narrow donor base but makes use of partnerships, including with various entities and some UNODC programmes and sections, to maximize its impact and reach. The programme has been effective in strengthening the capacity of Governments to control precursors, but it is difficult to measure or quantify the impact. Issues related to gender, human rights and leave no one behind are being addressed where relevant. Sustainability of the programme depends on several factors, such as the availability of sufficient and reliable financial, human and technical resources, and voluntary support from Governments.

MAIN RECOMMENDATIONS

GLO565 should design a successor new project in an inclusive process, starting with the creation of a theory of change that provides a sound intervention logic, linking the programme to the Sustainable Development Goals, and providing a programme monitoring and evaluation system to measure progress towards results and incorporate corrective measures during implementation.

GLO565 should also develop a results-based communication strategy directed at Governments to promote the precursor control. It should also include a strategy to establish a more dependable source of funding that responds to current and future resource needs for precursor control activities. It should continue expanding partnership opportunities with regional organizations and strengthening and more clearly defining the working relationship with UNODC and, where appropriate, with its regional and country offices. The partnership strategy should also consider including mechanisms to engage other related private sectors.

Since technology is a very important aspect of the programme, the new design can also incorporate a long-term plan on how to address current and ongoing needs for changes, upgrades, support and maintenance to the technology systems in use.

MAIN LESSONS LEARNED AND BEST PRACTICES

There are three lessons learned identified in the main body of the report that are synthesized here: the voluntary cooperation of governments is essential to the success of this programme. A more strategic approach and long-term planning process helps to address more comprehensively strategic issues such as operational activities, communication, technology, resource mobilization and partnership development, among others. At the same time, a clear theory of change also facilitates implementation and monitoring and evaluation of the programme. In addition, new challenges and threats in precursor control mean that new actors, such as those in the private sector, need to be taken into account.

GLO565 has demonstrated several best practices worth highlighting: The specialized management, technical expertise, experience, flexibility and support of the INCB Secretariat precursor control staff and Precursor

Control Task Force members are critical to effective precursor control. In addition, the innovative approaches applied by GLO565 have enabled it to respond effectively to the new challenges that it faces with respect to the control of precursors.

SUMMARY MATRIX OF FINDINGS, EVIDENCE AND RECOMMENDATIONS

Findings	Evidence (sources that substantiate findings)	Recommendations (incl. recipient)
<p>Relevance</p> <p>GLO565 provides the INCB with the tools, information, and expertise necessary to fulfil its mandate to monitor the implementation of the 1988 Convention, ensure that precursors scheduled in the Convention are controlled, help countries with their capacity to control them and identify new challenges and non-regulated precursors.</p> <p>GLO565 continues to be relevant given its support for a mandate and activity within the 1988 Convention and the continued challenges presented by the use of precursors in illicit drug manufacture in a changing environment.</p> <p>Efficiency</p> <p>Both staff paid by the GLO565 project and staff paid by Regular budget resources contribute interchangeably to the overall activities of the Precursors Control Section, making it difficult to differentiate and report them separately.</p> <p>The logical framework of the project does not reflect all that the project is doing and does not provide a consistent monitoring framework with robust indicators that allow to systematically monitor progress towards results.</p> <p>Impact</p> <p>GLO565 has served to increase the awareness of many Governments regarding new precursors being diverted and used in illicit drug manufacture and it has also contributed to helping them in stopping diversion and the investigation of cases.</p>	<p>Desk review of annual reports and project revisions and other internal documents, interviews with INCB Secretariat staff, INCB Board, and UNODC staff, Partners, Survey to PEN Online and CNA</p>	<p>1. Design a new project with clear theory of change and M&E framework to enhance project implementation</p> <p>Recipient: INCB Secretariat Precursors Control Section (PRE), Secretariat of the International Narcotics Control Board (SINCB), Division for Treaty Affairs (DTA), UNODC</p> <p>Design of a new theory of change will allow to measure progress over a long-term period accompanied by a results framework that ensures that planned results follow a logical pathway. It will also help to design measurable indicators to perform more effective project monitoring, communicate results more clearly and better respond to partner and donor requests for information.</p> <p>A new successor project would also help to better link its contribution to the Sustainable Development Goals and incorporate more clearly the human rights approach and to leave no one behind. It would also help to plan more realistically for the resources needed, including human, financial, and technological. In addition, the new design would allow for a proper and comprehensive risk assessment to be incorporated, considering the new international reality in precursor control. It could also incorporate mitigation measures and contingency plans in case the risk materialises. The new project could also</p>

<p>In the absence of data or specific measures it is difficult to quantify the extent to which GLO565 has helped Governments to identify and address weaknesses in the prevention of precursor diversion.</p> <p>Although there is no clear and explicit link to the development goals in GLO565 design, the project contributes to the SDGs, especially to goals 3 and 16.</p> <p>Sustainability</p> <p>External funding is key to sustaining the project adequately. It is required to guarantee the work of its human resources, which require high technical capacity, and the operation of its technological resources, which require continuous maintenance and updating. While Regular Budget resources would help to better ensure the independence of the work of the INCB Secretariat Precursors Control Section and avoid earmarked funds, there is a risk that they may not be a reliable source of funding due to potential budget cuts. It is also recognised that access to such funds is probably unrealistic.</p> <p>Human rights, Gender, Leave no one behind</p> <p>Human rights principle is not mainstreamed in the project document, but it's reported in the Annual Report of INCB. The specific issue of precursor control as well as the mechanisms to control and monitor these substances are gender neutral. Gender is addressed in recruitment activities for staffing the project and in training activities conducted within GLO565.</p> <p>GLO565, applies the principle of leaving no one behind as it seeks to identify countries in need of further support, taking into account their performance in precursor control and the quality of their reporting. However, the ability of GLO565 to strengthen the capacity of countries, especially the most vulnerable ones, is limited by the (human and financial) resources available to it.</p>		<p>incorporate midterm evaluations that could help assessing how far the project is progressing and outline the effective ways forward. Considering the changing environment where GLO565 operates, a midterm evaluation can be helpful when considering changing or adding new components to a project.</p>
<p>Efficiency</p> <p>The logical framework of the project does not reflect all that the project is doing and does not provide a consistent monitoring framework with robust indicators that allow to systematically monitor progress towards results.</p>	<p>Desk review of annual reports and project revisions and other internal</p>	<p>2. Develop a communication strategy aimed at higher visibility to the activities and results of the project and the precursor control system with Governments and other partners.</p>

<p>Effectiveness</p> <p>The INCB’s Precursors Control Section has produced a number of technical documents and guidelines related to precursor control that have been of outstanding quality and usefulness. However, it is difficult to assess the extent to which Governments are aware and have access to these tools and resources.</p> <p>The PEN Online system and PICS are widely recognised as effective mechanisms to assist Governments in their control of precursor chemicals, promote information exchange and facilitate international cooperation. The reliability, accuracy and timeliness of data and information in GLO565 systems and data bases depend on the voluntary cooperation and diligence of Governments, which is not always forthcoming.</p> <p>Impact</p> <p>GLO565 has served to increase the awareness of many Governments regarding new precursors being diverted and used in illicit drug manufacture and it has also contributed to helping them in stopping diversion and the investigation of cases.</p> <p>Sustainability</p> <p>The results of GLO565 are sustainable to the extent that countries continue to share and use information on a voluntary basis through the tools provided by the project. It also depends on the willingness of Governments to take action and implement the recommendations received from the INCB and its Secretariat.</p> <p>Project communication is an effective tool to promote awareness of the importance and potential benefits of GLO565 and also to encourage countries to participate in the activities of the project. It can also serve to make the results of the project more visible and broaden the funding base.</p>	<p>documents, interviews with INCB Secretariat staff, INCB Board, and UNODC staff, Partners; Survey to PEN Online and CNA</p>	<p>Recipient: INCB Secretariat Precursors Control Section (PRE), Secretariat of the International Narcotics Control Board (SINCB), Division for Treaty Affairs (DTA), UNODC</p> <p>More intensive and results-based communication that clearly reflects the activities implemented by the project, as well as the results achieved, could serve to raise the profile of the issue of precursor control at the global, regional and national levels. It would also help to raise awareness among Governments of the importance of using the tools and resources available to the project and the benefits of their use. Updating the design and structure of the website and its content and making it more visually appealing could be a measure to consider, as well as monitoring its use through Google Analytics. The use of social networks like linked in, the design of brochures and audio-visual content would also be strategies to take into account.</p>
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<p>Effectiveness</p> <p>GLO565 has provided Governments with the capacity building support, tools, resources, information, analysis, training, and technical advice needed to increase their capacity and effectiveness in precursor chemical control. While GLO565 responds to the training needs of some Governments, it does not have the financial and human resources to meet the needs of all the Governments that require its support.</p> <p>Efficiency</p> <p>The logical framework of the project does not reflect all that the project is doing and does not provide a consistent monitoring framework with robust indicators that allow to systematically monitor progress towards results.</p> <p>Sustainability</p> <p>External funding is key to sustaining the project adequately. It is required to guarantee the work of its human resources, which require high technical capacity, and the operation of its technological resources, which require continuous maintenance and updating. While Regular Budget resources would help to better ensure the independence of the work of the INCB Secretariat Precursors Control Section and avoid earmarked funds, there is a risk that they may not be a reliable source of funding due to potential budget cuts. It is also recognised that access to such funds is probably unrealistic.</p>	<p>Desk review of annual reports and project revisions and other internal documents, interviews with INCB Secretariat staff, INCB Board, and UNODC staff, Partners; Survey to PEN Online and CNA</p>	<p>3. Establish a more dependable source of funding that responds to current and future resource needs for precursor control activities.</p> <p>Recipient: INCB Secretariat Precursors Control Section (PRE), Secretariat of the International Narcotics Control Board (SINCB), Division for Treaty Affairs (DTA), UNODC</p> <p>The INCB Secretariat Precursors Control Section should develop a strategy or plan to broaden this donor base to involve more governments that have benefited from the project. In this process, the INCB Secretariat Precursors Control Section could take advantage of the results-based communication strategy to highlight the benefits the project offers to potential donors, the successes or impacts achieved and the possible consequences of decreased precursor control.</p>
<p>Efficiency</p> <p>Key tools like IDS require an urgent revamping. PEN Online continue to serve the purpose of the users although its design is outdated and requires some service improvements. Issues related to ongoing system maintenance remain unresolved which leads to difficulties in continuing to update the system as required.</p> <p>Sustainability</p> <p>External funding is key to sustaining the project adequately. It is required to guarantee the work of its human resources, which require high technical capacity, and the operation of its technological resources, which require continuous maintenance and</p>	<p>Desk review of annual reports and project revisions and other internal documents, interviews with INCB Secretariat staff, INCB</p>	<p>4. Review the status of systems or tools such as IDS, PEN online and PICS and develop a long-term plan for their development, support and maintenance to meet current and future needs in order to ensure their proper functioning and funding.</p> <p>Recipient: INCB Secretariat Precursors Control Section (PRE), Secretariat of the International Narcotics Control</p>

<p>updating. While Regular Budget resources would help to better ensure the independence of the work of the INCB Secretariat Precursors Control Section and avoid earmarked funds, there is a risk that they may not be a reliable source of funding due to potential budget cuts. It is also recognised that access to such funds is probably unrealistic.</p>	<p>Board, and UNODC staff, Partners; Survey to PEN Online and CNA</p>	<p>Board (SINCB), Division for Treaty Affairs (DTA), UNODC and INCB Secretariat</p> <p>Develop a long-term plan on how to address current and ongoing needs for changes based on the requirements defined by the INCB, external users, but also based on the recommendations of IT experts. As part of the plan to achieve the foregoing, it is necessary to consider the development, maintenance and general support activities related to the systems and tools and the funds required to pay for them.</p>
<p>Relevance</p> <p>GLO565 continues to be relevant given its support for a mandate and activity within the 1988 Convention and the continued challenges presented by the use of precursors in illicit drug manufacture in a changing environment.</p> <p>GLO565 has demonstrated its capacity to respond to new challenges and threats by providing a detailed analysis and investigation, of relevant information concerning new precursors and other potential threats then disseminating this information through various means including the International Special Surveillance List (ISSL) and ultimately recommending scheduling of new substances as appropriate. The increasing number of non-scheduled precursors that are appearing, the frequency with which this is happening as well as the lengthy and time-consuming process of scheduling, represent important challenges to the success of GLO565.</p> <p>Effectiveness</p> <p>GLO565 has provided Governments with the capacity building support, tools, resources, information, analysis, training, and technical advice needed to increase their capacity and effectiveness in precursor chemical control. While GLO565 responds to the training needs of some Governments, it does not have the financial and human resources to meet the needs of all the Governments that require its support.</p> <p>Special operations, recommended by the Precursor Control Task Force, have helped to bring to light problematic precursors that may not have been identified from a national</p>	<p>Desk review of annual reports and project revisions and other internal documents, interviews with INCB Secretariat staff, INCB Board, and UNODC staff, Partners; Survey to PEN Online and CNA</p>	<p>5. Expand partnership opportunities with regional organizations and strengthen and more clearly define the working relationship with UNODC, where appropriate, with its regional and country offices. Develop mechanism to engage other related private sector.</p> <p>Recipient: INCB Secretariat Precursors Control Section (PRE), Secretariat of the International Narcotics Control Board (SINCB), Division for Treaty Affairs (DTA), UNODC and INCB Secretariat</p> <p>The project should continue to explore such partnerships, looking to build the successes realized to date and expand to new areas or sectors. Consideration should also be given to entering into more formal agreements, where possible, using vehicles such as MOU for this purpose. UNODC and INCB should more clearly define their respective areas of responsibility related to precursors and how they could build on the successes they have realized, taking full advantage of what they each bring to the table. INCB should also explore the extent to which it might work more closely with other UNODC regional and</p>

<p>perspective. In some cases, the resulting investigations have led to better collaboration between agencies in two or more countries and to regulatory action, including scheduling at the national level.</p> <p>The INCB's Precursors Control Section has produced a number of technical documents and guidelines related to precursor control that have been of outstanding quality and usefulness. However, it is difficult to assess the extent to which Governments are aware of and have access to these tools and resources.</p> <p>Coherence</p> <p>The partnership between the INCB Secretariat Precursors Control Section and some UNODC sections/programmes has brought together the INCB's expertise in precursor control and closer access to some regions and countries through country and regional offices as well as some of UNODC's global programmes. This relationship has been closer and more beneficial when regional or country offices have in place a project related to precursor control such as the one in the Regional Office for South-East Asia and the Pacific (ROSEAP).</p> <p>Partnerships with regional and global organisations have offered the opportunity to connect with a wider number of public and private entities involved in precursor use, trade and control, increasing their awareness of new challenges or threats and the tools and resources available through GLO565.</p> <p>The INCB has also succeeded in involving the chemical sector in precursor control by developing guidelines that help Governments to actively engaging this sector in the control of precursors. Other related private sectors, such as small parcel carriers, Internet-related sectors (e-commerce, e-finance, service providers, social media, etc.) could also benefit from such guidance.</p>		<p>country offices where precursor control may become a more pressing issue.</p>
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BACKGROUND AND CONTEXT

OVERALL CONCEPT AND DESIGN

The Commission on Narcotic Drugs (CND) was established by Economic and Social Council (ECOSOC) in 1946, to assist the ECOSOC on policy issues related to drug control matters. In 1968, ECOSOC, based on a decision taken by the CND, established the International Narcotics Control Board (INCB). It is an independent and quasi-judicial monitoring body for the implementation of the United Nations international drug control conventions, including the United Nations Convention against Illicit Traffic in Narcotic Drugs and Psychotropic Substances of 1988. While independent and quasi-judicial, the INCB is required to present an annual report to the CND. The Secretariat of the INCB is organizationally located within the Division for Treaty Affairs of the United Nations Office on Drugs and Crime (UNODC). From an administrative point of view, the staff of the INCB Secretariat Precursors Control Section are UNODC staff, managed under the rules and regulations defined by the United Nations Secretariat. However, in general terms, the INCB Secretariat Precursors Control Section is considered INCB Secretariat staff, as it reports substantially to the Board.

GLO565 was created in 1992 with the aim to respond to the mandate that was assigned to the International Narcotics Control Board (INCB). Since insufficient Regular Budget resources were allocated, GLO565 was created using extra-budgetary resources secured through a process administered by UNODC. GLO565 is a project implemented by the Precursors Control Section of the INCB Secretariat that supports the International Narcotic Control Board.

GLO565 has provided for the development and maintenance of the central databank on precursors, including administering Governments' reporting to the Board (Form D²) and the operation of the system of pre-export notifications mandated under the 1988 Convention. The databank and the Pre-Export Notification (PEN) Online system have become the cornerstone of the international precursors monitoring and control system, providing a mechanism for global risk-assessment of precursor trade. They also feed into INCB-led international collaborative initiatives, such as Project Cohesion and Project Prism and the Precursor Control Task Force mechanism. The information generated also feeds into the assessment of chemicals for possible inclusion in Table I or II of the 1988 Convention, such as the recent international scheduling of precursors of fentanyl, and a number of designer precursors of amphetamine-type stimulants. As diversion is now primarily regional and domestic in nature, tools to enhance precursor control at national levels are also being developed and their implementation promoted in targeted high-risk areas. For example, there is a component within the project that focuses on enhancing public-private partnerships. To facilitate investigations into precursor incidents, project GLO565 also developed and now manages and maintains the Precursors Incident Communication System (PICS). Launched in March 2012, PICS is a secure communication platform which provides for the global, real-time exchange of information concerning precursor seizures.

Initially, GLO565 had six outcome areas, which were extended to seven in 2013 through a programme revision, to include the Operational Partnerships to Interdict Opioids' Illicit Distribution and Sales (OPIOIDS) and operational activities to reduce the availability of new psychoactive substances (NPS). However, these activities have been integrated into a new project GLOW95 and GLO565 has remained as it was originally designed with 6 outcomes described below:

² Form D is the vehicle that governments use to report certain information to the INCB as required by the 1988 Convention.

Outcome 1:	A functional databank available on precursors and other chemicals used in the illicit manufacture of drugs to provide the Board with a basis for its examination of the world situation related to precursor chemical control
Outcome 2:	Governments in a position to identify and address weaknesses in the prevention of diversion of precursors and other chemicals from licit international trade.
Outcome 3:	Available information relating to substances not yet under international control sufficiently organized and assessed for the Board's examination for possible scheduling of substances under the 1988 Convention
Outcome 4:	Other services of UNODC formulate and execute technical assistance programmes on, or including, precursor chemical control based on advice and other substantive backstopping provided by SINCB.
Outcome 5:	Global electronic pre-export notification system (PEN-online) and simplified estimates system ³ in use by Governments
Outcome 6:	Governments guide and direct their regulatory and law enforcement-related precursor control activities by international initiatives addressing diversions of precursors, such as Project Prism for amphetamine-type stimulant (ATS) precursors, and Project Cohesion for the chemicals used in the illicit manufacture of heroin and cocaine.

It is important to note that Outcome 4 has been transformed due to internal changes in UNODC. Initially, new UNODC projects and project revisions had to be cleared at UNODC by the substantive sections (among others) before approval. The INCB Secretariat Precursors Control Section served as the clearing house for precursor-related projects. However, the UNODC changed its internal procedures such that country-level projects that may be integrated into regional or global programmes (including those with a precursor control component) no longer required separate substantive approvals and input from the thematic expert sections at headquarters, such as the INCB Secretariat Precursors Control Section.

Between 2013 and 2019, inclusive, GLO565 received USD 6,877,484. During this time, 90% of the allocated funds were dedicated to paying the salaries and benefits for the Precursors Control Section, the area of INCB Secretariat responsible for executing GLO565. The rest of the funds were used to cover other expenditures such as the development costs of new tools, IT platform upgrades and training activities. There has been one independent evaluation in 2012 and three Project Revisions of GLO565, taking place in 2013, 2015 and 2018.

PURPOSE AND SCOPE

The final evaluation of GLO565 was carried out between October 2020 and April 2021. As defined in its Terms of Reference (ToR), it aims to inform the development of a potential successor programme. This new programme will enable the INCB Secretariat to continue to provide effective and efficient support to the Board. It will facilitate the continued implementation of a global regime for the monitoring and control of precursor chemicals as envisaged under the 1988 Convention yet adapting format and activities in response to present needs.

The evaluation is based on the DAC criteria: relevance, efficiency, coherence, effectiveness, impact and sustainability. In addition, the evaluation also specifically assesses how gender equality, human rights and leaving no one behind have been addressed by and mainstreamed into the programme. Furthermore, lessons learned, and best practices were also identified and recommendations, including those for the next global programme, were formulated based on the evaluation findings.

THE COMPOSITION OF THE EVALUATION TEAM

The evaluation team was comprised of two independent evaluators, i.e., a lead evaluator, specialized in sustainable development and evaluations, with 14 years of work experience implementing projects with various international organizations, bilateral cooperation agencies, and private sector organizations, and a

³ Also referred to as the Annual Legitimate Requirements (ALR)

substantive expert on precursor control with over 40 years of experience in the drug control area, including in providing technical assistance.

EVALUATION METHODOLOGY

This is a summative evaluation that covers the period from the end of 2013 to the end of 2019 and is aimed at informing future programming. Additionally, the evaluation is formative, making use of the findings and conclusions as well as identified lessons learned and best practices to formulate forward-looking conclusions and recommendations.

The overall methodological approach for the evaluation was non-experimental, making use of contribution analysis. The evaluation is aligned with United Nations Evaluation Group (UNEG) norms and standards and the UNODC Evaluation Guidelines, including the UNODC Evaluation Handbook. The process used followed the evaluation criteria defined by the OECD Development Assistance Committee (DAC): relevance, efficiency, effectiveness, impact, and sustainability of GLO565. In addition, criteria used by UNODC concerning coherence, human rights and gender mainstreaming as well as leaving no one behind, lessons learned, and best practices were added. The wide range of different stakeholders interviewed and surveyed in the evaluation of GLO565, and the specific criteria and questions posed responded to the needs and requirements defined by the UNEG Guidance on Integrating Human Rights and Gender in Evaluations. The evaluation aimed to be gender-sensitive and integrate human rights aspects by including a wide range of different stakeholders through interviews and surveys, and by maintaining a gender balance in the sampling of interviewees. Additionally, the evaluation includes specific criteria and questions on human rights and gender equality in the context of GLO565.

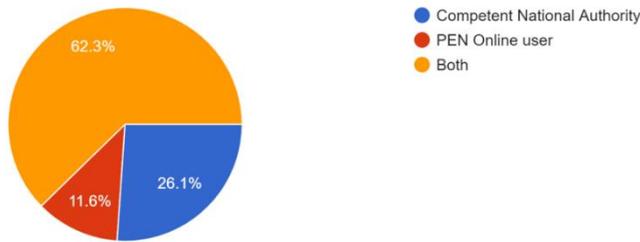
Under each criterion, specific evaluation questions and indicators were developed to guide the evaluation exercise. Evaluation criteria, questions, indicators, and related data sources were compiled into an evaluation matrix that served as the key guiding instrument throughout the evaluation.

Data collection:

The evaluation applied a mixed methods approach, making use of the following:

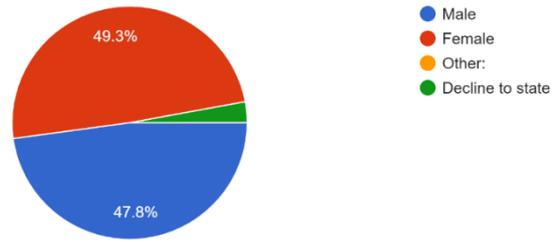
- a) **Desk review of relevant documents** and data provided by INCB Secretariat and obtained through own research of the evaluators.
 - 63 internal documents from INCB Secretariat related to GLO565 were reviewed including programme progress reports, programme revision documents, budgeting and staffing data, INCB Annual Reports, and different guidelines among others. It also included the Independent project evaluation that was conducted and published in 2012.
 - Relevant sections of the INCB Secretariat website although there was no access to Google Analytics data on the use of the platform.
 - Relevant UNODC handbooks and guidance notes, for example on human rights and gender mainstreaming or UNODC and the SDGs. Relevant quantitative and qualitative information from these documents was extracted and organized according to the evaluation criteria and questions included in the evaluation matrix.
- b) **Online surveys to PEN Online users and CNA;** The online survey was set up in Google Forms and the link was sent by email to all PEN Online users and CNA that the Precursors Control Section have registered in their internal list. The survey consisted of 16 questions. Survey responses were collected from January 14, 2021 until February 5, 2021. The PEN Online and CNA survey was answered by 69 respondents, 51 of them were PEN Online Users or Pen Online Users and CNA and 18 were only CNA. Almost half of the PEN Online /CNA surveyed were female and the other half were male. The respondents represent a 31% of the total registered PEN Online Users. They represent (Including PEN Online users and CNA) 4 continents and 56 countries.

Figure 2: Profile of PEN Online/CNA survey respondents



Source: Own elaboration

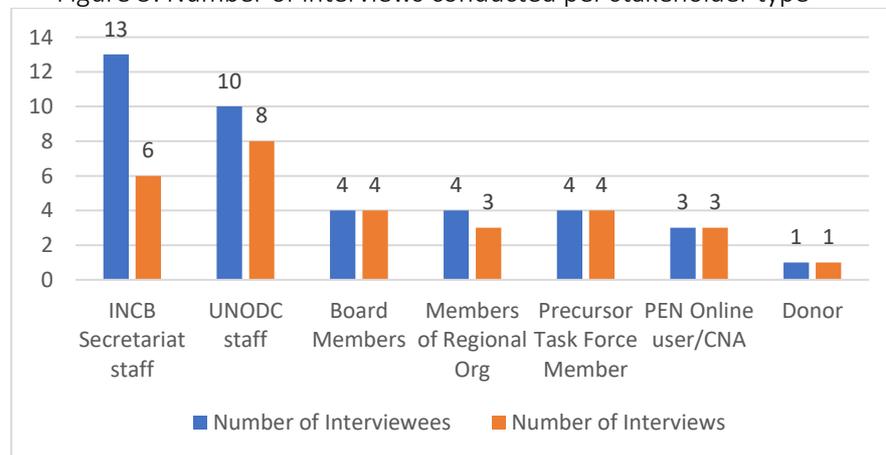
Figure 3: Gender of Pen Online/CNA survey respondents



Source: Own elaboration

- c) **Online surveys to INCB Board Members;** The online survey was set up in Google Forms and the link was sent by email to all INCB Board Members. The survey consisted of 15 questions. Survey responses were collected from January 26th, 2021 until February 18, 2021. The Board Members survey was responded by 5 members, which represent a 38% of the total. Due to the low response rate, the Board Members survey results were not used as stand-alone data, but the information was also triangulated with the qualitative information taken from the 4 interviews conducted to the Board Members and it has been integrated into the analysis as complimentary information, in combination with information taken from other interviews with INCB Secretariat staff.
- d) **Semi-structured interviews with INCB Secretariat Staff, INCB Board Members, Task Force Members, Regional Partners, and PEN Online/CNA, and Donor.** In total 28 semi-structured interviews were implemented with 39 interviewees (most were individual interviews; some were conducted with more than 2 participants). They were done remotely through online calls. To conduct the group discussions, consultants moderated the discussions selecting the most relevant questions of the interview guide and trying to generate discussion among the participants.

Figure 5: Number of interviews conducted per stakeholder type



Source: Own elaboration

In total, 64%, of interviewed stakeholders were male while 36% were female. Most of the interviewees were in Europe although many of them represent global or regional positions mostly in Vienna where UNODC HQ and the INCB Secretariat is located. However, other regions were included through interviews with Precursor Control Task Force members, PEN Online users, or Regional partners.

Figure 6: Percentage of Women and men interviewed

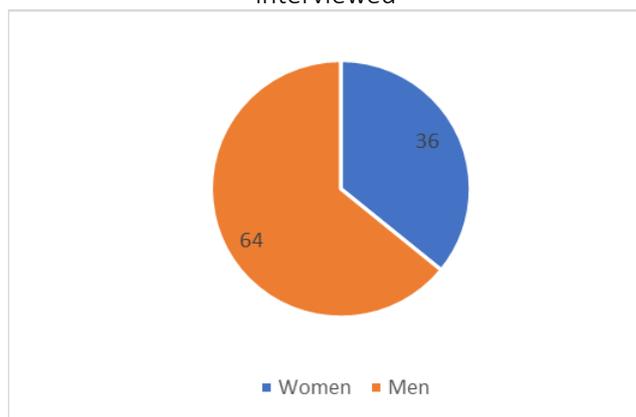
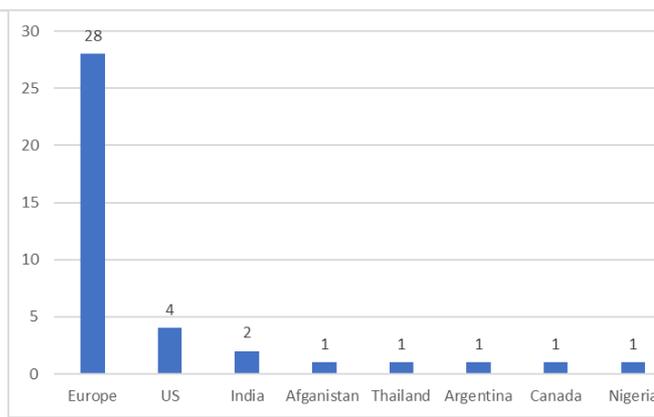


Figure 7: Geographic representation of interviewees



Source: Own elaboration

Data processing and analysis

For the surveys, the quantitative and qualitative data collected were extracted from Google Forms in Excel files for further processing and analysis. The respective data have been organized according to the evaluation criteria and questions included in the evaluation matrix.

For the interviews, evaluators took detailed notes while conducting the interviews, and most were also recorded with the consent of interviewees. This approach allowed for a thorough data cleaning and processing through which all information had been introduced into a data processing template in Excel format. This allowed for aggregation of quantitative information as well as comparison and aggregation of information from qualitative answers. The qualitative analysis was done manually by screening the recorded answers of interviewees for common topics and issues that were raised, and systematically compiling and organizing them according to the evaluation criteria and questions.

The information obtained through desk review, surveys and interviews was then triangulated to confirm and validate information across different information sources. This process led to the formulation of findings under each evaluation criterion, answering the respective evaluation questions. Conclusions were based on the findings, and recommendations were developed accordingly to address main issues included in the conclusions in a forward-looking manner to serve as actionable recommendations for the formulation of a potential successor programme of GLO565.

LIMITATIONS TO THE EVALUATION

The following limitations have been encountered in the evaluation process:

No.	Limitations	Mitigation measures
1	Some INCB Board members expressed their concern with the original Terms of Reference after the evaluation data collection process was completed. Four interviews were conducted and 5 of the 13 Board members responded to the online survey that was sent to them.	Evaluators had close communication with the project manager and evaluation manager and involved the IES office in the discussions with the Board Members to clarify some aspects of the evaluation and avoid misunderstandings. Evaluators made clear their position of independence and impartiality, so they did not engage in the internal discussions between the INCB and IES. They tried to show flexibility but at the same time, maintained their need to comply with the ToR from which they were hired to conduct this evaluation.

2	<p>Programme monitoring data are dispersed in narrative INCB annual reports and no other format is used to compile and aggregate data in a way to gain a sound overview on indicators and results over the years under evaluation. In addition, some of the activities performed are not included in the logframe and some indicators of the logframe do not fully inform the achievement of expected results.</p>	<p>Evaluators identified the most relevant indicators of the programme and requested the support of the Precursors Control Section to compile the data. They also tried to identify what activities were not included in the logframe and include them in the analysis.</p>
3	<p>The differentiation between UNODC staff and staff of the INCB Secretariat Precursors Control Section is sometimes difficult. From an administrative point of view, the staff of the INCB Secretariat Precursors Control Section are UNODC staff, as they are managed under UNODC rules and regulations. However, in general terms, the INCB Secretariat Precursors Control Section is considered INCB Secretariat staff, as it reports substantially to the INCB Control Board.</p>	<p>The evaluation document has differentiated INCB Secretariat Precursors Control Section staff from UNODC staff in order to avoid confusion and to be able to analyse the communication and coordination between the two. It has also differentiated INCB Secretariat Precursors Control Section from UNODC programmes or sections.</p>
4	<p>The content reflected in Outcome 4 is not entirely relevant as the INCB Secretariat Precursors Control Section is no longer obliged to authorise UNODC projects related to precursors. However, it still reflects the coordination and cooperation efforts between the two institutions as well as the challenges faced.</p>	<p>The level of coordination and cooperation between the INCB secretariat's Precursors Control Section and some UNODC programmes /sections has been analysed under the coherence section. Although it was initially intended to be analysed in the efficiency section, it was preferred to include it under coherence in order to better describe the partnership strategy between the two institutions.</p>
5	<p>It has been difficult to differentiate what activities the Precursors Control Section implements through the programme GLO565 and which not. As explained in the efficiency criterion, the Precursors Control Section has staff paid by the project and other staff paid by regular funds, but both contribute without distinction in the overall activities of the Precursors Control Section (except some specific activities).</p>	<p>Given this difficulty in differentiating the activities implemented and funded by the project, the report refers both to the work carried out by the Precursors Control Section as well as to the work carried out through GLO565.</p>
6	<p>Due to the Covid 19 pandemic, the consultants were unable to travel to Vienna for on-site interviews. This posed some difficulties, as some respondents were not familiar with the new techniques of online meetings and surveys. On the other hand, working remotely made it difficult for the consultants to understand the context of the project.</p>	<p>Thanks to the evaluation team's extensive experience in conducting research using remote methods, stakeholder interviews went smoothly and responses from different stakeholders were collected clearly and completely. When interviews were interrupted by internet connections or stakeholders' unfamiliarity with remote communication platforms, the evaluation team was able to keep the conversation on the phone. In addition, the online survey was designed in a simple and clear way to make it easy for respondents to answer the questions and provide feedback. The consultants also had very fluid communication with the project manager and the evaluation manager, which greatly facilitated the entire evaluation.</p>

II. EVALUATION FINDINGS

RELEVANCE

EVALUATION QUESTIONS:

To what extent were the project approach, strategy and funding model suited to the implementation of precursor control as a core activity of INCB mandated under the 1988 Convention?

To what extent has the project contributed to identifying and addressing current global challenges relevant to precursors control such as the emergence of non-scheduled chemicals and designer precursors?

This section assesses the extent to which the approach, strategy, and funding model of the GLO565 are suited to the implementation of precursor control as a core activity of INCB mandated under the 1988 Convention. It also considers the flexibility and capacity of GLO565 to respond to future challenges and threats including global and national threats represented by the emergence of non-scheduled chemicals and designer precursors, and whether it has remained relevant (or not) during its implementation. The analysis is based on information from desk review including INCB annual reports, project revisions and alerts, as well as tools, guidelines and other resource materials developed within GLO565. In addition, different stakeholders were surveyed and interviewed to secure their input regarding the relevance of the project.

[Alignment of GLO565's strategy and funding model with the implementation of precursor control as a core activity of INCB mandated under the 1988 Convention](#)

[Overall Strategy of GLO565 in response to the 1988 convention](#)

The work of GLO565 is essential in the implementation of the 1988 Convention and in the control of international trade in chemicals (including precursor chemicals). The activities of GLO565 are primarily related to article 12 of the Convention. This article relates to the control and prevention of diversion of chemical substances listed in Table I and Table II that are used *for the purpose of illicit manufacture of narcotic drugs or psychotropic substances...*.

Article 12 defines that parties are obliged to provide information on substances frequently used in the illicit manufacture of narcotic drugs and psychotropic substances. The monitoring of compliance with these requirements and the use of the data received falls within the activities and responsibilities of GLO565 executed by the Precursors Control Section of INCB Secretariat. That information, provided on form D⁴, assists the Board in monitoring and identifying trends in trafficking in precursors and illicit drug manufacture. It also enables the Board to provide Governments with recommendations concerning remedial action and policies, as necessary regarding their control of precursors.

The activities within GLO565 have allowed for the implementation of a balanced approach that considers the need to control precursors and prevent their diversion while ensuring that these controls are not such that they interfere with the availability of precursors required for legitimate purposes. It ensures this control by providing real time exchange of information through various means including the pre-export notification system (PEN Online). This tool offers unique and centralized information that allows the ability to monitor the movement of precursors around the world. It also facilitates communication in real time between importing and exporting Governments regarding the international trade in precursors and leading to alerts and

⁴ Form D is the vehicle that governments use to report certain information to the INCB as required by the Convention.

investigations of suspicious transactions. It permits a proper analysis leading to increased awareness of a problem or need for action resulting in an informed decision.

As required by the 1988 Convention, Governments annually report seizures of precursors to the INCB using Form D. Information concerning precursor seizures that is up to a year old is stale dated and has limited operational utility. In response to this situation, PICS was developed in 2012 within GLO565 to allow Governments to report detailed seizure information in real time, at the time of the event. Information concerning chemical-related incidents such as seizures, shipments stopped in transit, diversion attempts and the dismantling of illicit laboratories is then available in a timelier manner for use in the monitoring and analysis activities undertaken within GLO565 as well as any investigative, or corrective actions that may be required.

The activities executed within GLO565 are carried out in a manner that is consistent with the provisions of Article 22 para.5 of the 1988 Convention. This article guarantees the confidentiality and security of information and data required by the Convention, a responsibility that the INCB Secretariat and Board take very seriously. As such, they have built a high level of trust and confidence among all those who provide them with information and with whom they work and interact in both the public and private sectors. With this level of trust INCB receives a great deal of information that it processes, analyses, and disseminates, with consideration to its confidentiality.

Funding Model in response to the 1988 convention

Although GLO565 fulfils a mandate of the 1988 Convention, its funding depends on voluntary contributions from donor countries and not on the Regular Budget of the United Nations. As such, this work was framed as a project because the funding model relied on external funds.

Some respondents challenged the characterization of GLO565 as a “project”. They consider it as an ongoing programme fundamental to the implementation of the Convention and as such should receive its core funding from the Regular Budget. According to them, this funding model brings an administrative burden that does not exist to the same extent when drawing on the Regular Budget. In addition to these administrative requirements, some stakeholders noted that in almost all instances voluntary contributions are specifically earmarked and may have additional restrictions as to how the funds may or may not be used.

Reliance on external funds also brings the uncertainties of continued support or fluctuations in levels of funding realized from year to year from voluntary contributions. Some stakeholders noted that this situation presents challenges for strategic planning or even the continuation of key activities. Others pointed to the history of budget shortfalls that have been experienced in the Regular Fund, suggesting that financial support for the project may not be as secure as one might hope should this funding source be viable. They considered that the project should continue to rely on external funding which will be guaranteed as far as the potential benefits and impact of the project are demonstrated to potential donors.

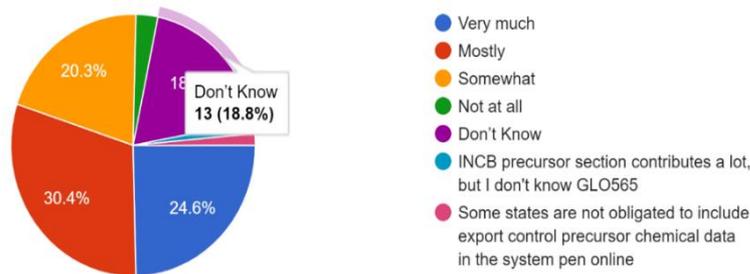
Capacity of GLO565 to adapt to new challenges and threats

The use of precursor chemicals in illicit drug manufacture is a dynamic issue. New precursors and methods of drug manufacture with these substances are constantly changing. In recent years, non-scheduled substances have steadily increased and most of them originate from countries different from where they are used for illicit purposes, e.g., chemicals sourced in Asia are often found in illicit laboratories in Europe. Given this changing environment, many stakeholders interviewed and surveyed noted the work that was being realized through GLO565 has been able to adapt to new circumstances and has shown the flexibility to respond to new challenges and threats.

In particular, 55% of PEN Online user and CNA surveyed felt that GLO565 very much or mostly contributed to or facilitated identifying and addressing current challenges in their country related to precursor control such

as the emergence of non-scheduled chemicals and designer precursors. An additional 20.3 % rated it as somewhat.

Figure 8: % Rate of Pen Online Users and CNA on the capacity of INCB Secretariat precursor control project (project GLO565) on identifying and addressing current challenges in your country related to precursor control such as the emergence of non-scheduled chemicals and designer precursors



Source: PEN Online and CNA Survey

Tools developed by the project have served to shine a spotlight on new precursors threats. Project staff have been able to draw on information from various sources including PEN online transactions, reports received through PICS, input from the Precursor Control Task Force and from operations initiated through Projects Prism and Cohesion. Further to detailed analysis and investigation, information concerning new precursors and other potential threats are then shared with the Board, Governments, and other concerned parties using various means including alerts and the eNewsletter. Precursors identified in this way may be placed on the limited International Special Surveillance List (ISSL) of non-scheduled substances or proposed for scheduling. Inclusion of precursors on the ISSL increases awareness of all countries regarding the diversion potential of the substance and the need to monitor its distribution and use.

The challenge for GLO565 is to identify, in a timely manner, precursors or “pre-precursors” that are not scheduled or controlled, to share this information with countries and pursue the appropriate means to control them. The biggest challenge of scheduling precursors is time, as it is often a lengthy process. Once a potential problem precursor is identified a notification (proposal) is made to the Secretary-General by a Government to schedule a substance. The Board can also submit a notification regarding a potential problem precursor identified through GLO565 activities following investigation and study. Governments are asked to provide input to the Board’s assessment and a recommendation is then shared with the CND which decides to follow the Board’s recommendation to schedule the substance, or not. Depending on the timing of the initial scheduling notification and the complexity of the case, it may take up to two years or longer for a scheduling decision to become effective. This includes the 6 months review period stipulated under the Convention. Some stakeholders suggested that continuing to use the scheduling process to control precursors may no longer be practical. They cited the increasing number of new, non-scheduled substances that are appearing in the illicit manufacture of drugs and the frequency with which it is happening as rationale for seeking other alternative approaches to scheduling.

While the Convention does not speak to the specific alternatives to scheduling, many countries have developed and implemented alternate approaches that allow for a timely response to the appearance of new, non-scheduled precursors. Some extend the range of controls over precursors based on similarity of class, or molecular structure of already controlled precursors. The specific alternate approaches that a country can implement are often limited or governed by things such as their constitution, legislation, existing powers, or other factors. As such, not all alternate approaches can be applied equally by all countries. Some interviewees noted the potential contribution of the Precursors Control Section and GLO565 to this challenge, as GLO565 could help identify or develop other approaches that countries could consider beyond scheduling.

In addition, GLO565 has generated guidelines on various subjects to help countries to strengthen their precursor control. Some of those interviewed noted that the guidelines on public-private partnerships were particularly important. The relationship between Government agencies tasked with controlling precursors and various sectors of the chemical industry that sell or distribute them has not always been positive. The guidelines are based on the premise that both sectors have a role to play in the control of precursors and that there are benefits for both to collaborate and work together to minimize diversion.

In 2019 the INCB Secretariat Precursors Control Section prepared guidelines regarding the control of materials and equipment used in illicit drug manufacture.⁵ In 2017, during the Precursor Control Task Force meeting, concerns were raised regarding the use of equipment including tablet presses, among others, in illicit drug manufacture. This led to several operations being conducted in 2018 and 2019. Some of those interviewed identified the use of specialized equipment including glassware and tablet presses in illicit drug manufacture as an area of increasing concern. As such, the control of such specialized materials and equipment will continue to be an area of concern for GLO565 and a priority area for the project.

One important area that can affect the capacity of GLO565 to adapt to new challenges and threats relates to the cooperation and voluntary participation of countries in data gathering and exchange. The use of PICS and PEN is an excellent example. While most agree that PICS is a useful tool it depends on the voluntary cooperation of countries reporting seizures and others reviewing the information captured. Both groups can then use the data to initiate investigations or consider activities to monitor or control new substances identified in this way. Similarly, PEN online relies on the cooperation of Governments to issue pre-export notifications for Table I substances. Importing countries are expected to respond to notices received in PEN online within a reasonable timeframe. Stakeholders noted that in some instances Governments either wait a long time to respond or do not respond at all. The successful implementation of PEN online depends on the voluntary cooperation of all parties to comply with procedures and responsibilities defined by this application. Stakeholders suggested that more should be done within GLO565 to encourage the voluntary cooperation and participation of countries in these, and other activities relate to precursor control.

SUMMARY - RELEVANCE

- GLO565 continues to be relevant given its support for a mandate and activity within the 1988 Convention and the continued challenges presented by the use of precursors in illicit drug manufacture in a changing environment.
- GLO565 provides the INCB with the tools, information, and expertise necessary to fulfil its mandate to monitor the implementation of the 1988 Convention, ensure that precursors scheduled in the Convention are controlled, help countries with their capacity to control them and identify new challenges and non-regulated precursors.
- GLO565 has demonstrated its capacity to respond to new challenges and threats by providing a detailed analysis and investigation, of relevant information concerning new precursors and other potential threats then disseminating this information through various means including the International Special Surveillance List (ISSL) and ultimately recommending scheduling of new substances as appropriate. The increasing number of non-scheduled precursors that are appearing, the frequency with which this is happening as well as the lengthy and time-consuming process of scheduling, represent important challenges to the success of GLO565.

⁵ INCB, *Guidelines to Prevent and Investigate the Diversion of Materials and Equipment Essential for Illicit Drug Manufacture in the context of article 13 of the United Nations Convention against Illicit Traffic in Narcotic Drugs and Psychotropic Substances of 1988*

EFFICIENCY

EVALUATION QUESTIONS:

To what extent have the resources been invested efficiently for project implementation?

This section assesses how far GLO565 has converted inputs such as funds, expertise, staff time, etc. into outputs in a timely and cost-effective manner. The analysis is based on information from desk review, budgets and staffing information, project revisions and annual reports. Additionally, interviews have been conducted with INCB Secretariat Precursors Control Section staff, the UNODC Financial Resources Management Service (FRMS) and the UNODC IT section. Interview data from other stakeholders on the perceived efficiency of GLO565 have also been taken into account.

Financial and human resources

The GLO565 project has allocated USD 6,877,484 from 2013 to 2019 distributed as shown in Figure 9. The resource allocation has remained stable over the period 2013-2019. Only in 2014, the funds were considerably reduced due to administrative and temporary issues of the donor.

Figure 9: Total XB Funding 2012-2019

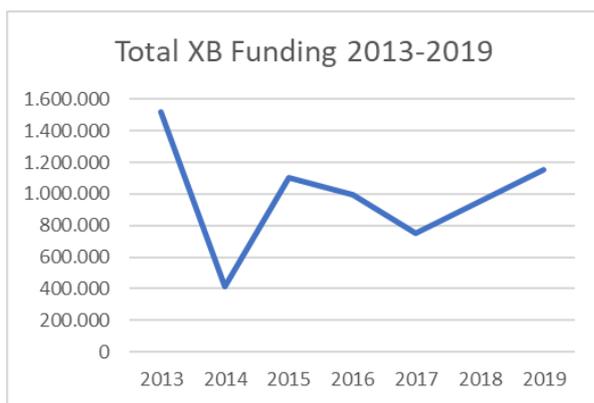
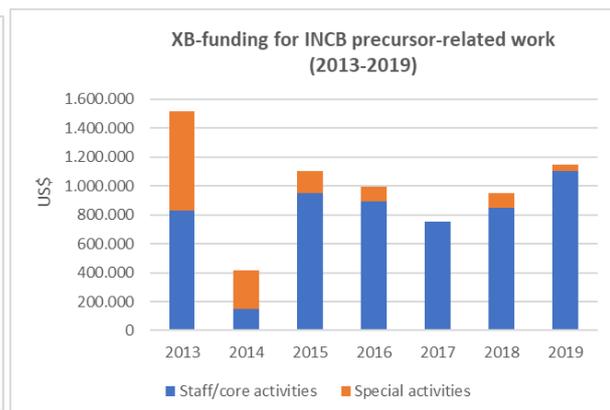


Figure 10: XB Funding for INCB precursor-related work



Source: INCB Secretariat Precursors Control Section

Until 2011, the majority of funds allocated were dedicated to paying staff with some used to cover the cost of meetings and travel. From 2011 onwards, more funds were made available to cover other activities such as the development of new tools, the upgrading of PICS and PEN Online (conducted in 2013), case meetings and trainings aimed at improving the capacity of Governments to share actionable information, track precursor seizures and investigate diversion attempts and identify diversion points. They also covered activities to promote public-private partnerships to prevent the diversion of chemicals.

The INCB Secretariat Precursors Control Section has a staff of 11, of which 5 are paid directly by GLO565 (XB) and 6 are paid from regular resources (RB). It is difficult to differentiate the tasks of the staff paid by XB project resources and those paid by RB, which creates confusion in reporting on project activities. Both contribute without distinction to the overall activities of the Precursors Control Section (except for Board Missions where only RB staff participate, as well as in the preparation of some regional chapters for the main INCB Annual report).

XB staff are involved in the activities described in the original logical framework of the project, but also in other activities that were not foreseen when the GLO565 started. These additional activities have been added during the last years and are related to their participation as experts in trainings, seminars, workshops, etc. on an ad hoc basis. They also relate to the elaboration of the chapters of the INCB annual report on precursor

control and the maintenance of the individual precursor incident tracking system. Other activities not foreseen in the log frame relate to the promotion of voluntary co-operation with industries/PPPs and to essential equipment/ (article 13 of the 1988 Convention). Secretariat staff including those related to GLO565 are also responsible for the maintenance of the INCB-wide database containing contact information of competent national authorities (i.e., precursors CNAs, as well as CNAs for narcotic drugs and psychotropic substances).

The 6 RB staff also contribute to implement activities of GLO565. The chief of section (manages the work of the entire section, including the GRIDS project), and a team assistant (RB) support both RB and XB-funded activities and also support related activities under the GRIDS project. The other 4 RB staff work on precursor-related activities including some activities of GLO565 but also have a responsibility vis-à-vis the Secretariat as a whole (participation in Board missions, drafting of chapters for the INCB Annual Reports, etc.).

Most of those interviewed agreed on the high professionalism of the INCB Secretariat Precursors Control Section staff, their technical expertise as well as their level of availability and responsiveness. Staff interviewed agreed that GLO565 works very efficiently, is professionally managed, and has smooth communication processes. Almost 90% of PEN Online/CNA users surveyed indicate that they have excellent or good communication with the INCB Secretariat Precursors Control Section. Board members also acknowledge that the Precursors Control Section is responsive and competent. They all agree on the good quality of the different tools and guidelines developed by the section, as well as with the content provided to produce the INCB Annual Precursor Report, which according to different interviewees, is characterised by the quality and accuracy of its content.

Most of the stakeholders consulted highlighted the motivation of the team, and their openness to receive proposals for improving the precursor control system. The staff of the Precursors Control Section has shown flexibility and capacity to respond to the demands and needs of the countries. They have dedicated part of their time to facilitate and contribute to meetings, seminars and training events aimed at raising awareness on the latest trends and challenges in precursor issues and the tools available to address them, especially Projects Prism and Cohesion, PICS and relevant operations. These capacity building activities have been positively valued by different stakeholders although they are not systematic and have an ad hoc nature. While it is widely recognised that the Secretariat has the knowledge and technical capacity to strengthen capacity of Governments that have weak control capacities, it doesn't have enough financial and human resources to support all Governments, even those that ask for assistance.

Technological resources

The management of the different technological systems used by the Precursors Control Section that facilitate the control of precursors (PEN Online, PICS and IDS) is done with the support of the IT section of UNODC.

- a) International Drug Control System (IDS) is a database that was put in operation in 2004 which includes information captured from Form D and the Annual Legitimate Requirements (ALR)⁶ submitted by countries, as well as information related to pre-export notifications submitted through PEN Online. The information maintained in IDS is sensitive and confidential. It is used by the entire Secretariat, including the Precursors Control Section. The evaluation of 2012 recommended to improve/upgrade or replace the IDS system and in the subsequent years ITS gradually addressed priority issues/bugs related to the IDS system and implemented some interim solutions. According to both INCB Secretariat staff and IT specialists at UNODC familiar with the system, IDS is currently running on old technology and is at risk of imminent failure. Technical experts at UNODC have indicated that IDS needs a total overhaul. UNODC's IT section is currently working on a new business requirements document with new system functions and features.
- b) PEN Online. Although launched in 2006, PEN Online was updated in 2015 with the inclusion of many features that allowed importing authorities to communicate with each other, and also included a

⁶ Also referred to as the Simplified Estimates System

telephone directory. IT experts confirm the system runs on a Net/Oracle backend, which is more suitable backbone than IDS. However, it requires support for maintenance and upgrades to the backend components because they present security risks. INCB Secretariat is working with IT section to identify the costs of updating the backend components (JS libraries, Telerik, and others). According to the IT experts, the design of PEN online is outdated and requires some service improvements, although nowadays it serves the purpose of the users. They commented that if a completely new system was to be developed, on a new platform, harmonization with the other INCB systems would be recommended.

There has been a difference of understanding between the INCB Secretariat and the UNODC IT support section regarding maintenance support for IDS and PEN online. The Secretariat has maintained that this support was included in the original design and expects this support to continue. The IT support section maintains that there is no agreement in place for maintenance support. Following the updating of PEN online, no annual maintenance component (hardware and software support and maintenance) was introduced due to the synergies that existed with other projects and INCB's regular budget component already with ITS. Based on the information available, PEN Online and IDS are minimally maintained by the UNODC IT Section, which makes only very minor changes and bug fixes, with minimal feature development. According to some interviewees, this minimal support leads to difficulties in continuing to update the system as required. The INCB submits requests for changes, but the IT Section only fixes bugs and makes simple changes as there is a fear that the changes will cause serious problems in the application and cause it to crash.

- c) PICS: PICS was built in 2012 on up-to-date technology which makes it easier to keep it running. Nowadays the IT section is working with the INCB Secretariat precursor controls section to develop a Project successor to PICS which should be rolled out in the first quarter of the year. The new project takes advantage of core structure/up to date technology. IT will train the people in INCB who will have to deliver the training at the national level. According to the IT people, the new project is user friendly and should be self-explanatory.

Monitoring data

The logical framework of the project is divided into 6 outcomes, one of which is no longer relevant for the project (Outcome number 4). This framework integrates some of the activities implemented in the project, but not all of them are included. The defined outcomes provide an overview of the project, although the way they have been structured is sometimes confusing and does not clearly reflect all that the project is doing and a clear causal pathway.

In line with the UNODC Results-based Management Handbook,⁷ one of the main shortcomings of the project is the absence of a monitoring framework that facilitates the "management for results" approach by providing a structured plan for the collection and use of data during the project implementation. Project monitoring data are dispersed in the INCB annual reports and no other format is used to collect and aggregate data in order to obtain a solid overview of indicators and results over the years evaluated. Most of the log frame indicators are not relevant and not systematically monitored, as the project is not able to collect this type of data which makes more difficult to detect issues that could interfere with the achievement of results. In this sense, the evaluation team had to request project manager this data per year in order to be able to conduct the evaluation. Other indicators do not fully report on the achievement of expected results.

⁷ UNODC Handbook, Results-based Management and the 2030 Agenda for Sustainable Development, 2018

SUMMARY – EFFICIENCY

- Both staff paid by the GLO565 project and staff paid by Regular budget resources contribute interchangeably to the overall activities of the Precursors Control Section, making it difficult to differentiate and report them separately. The financial resources of GLO565 have been used to pay 5 people who carry out activities that were initially foreseen in the project as well as other activities that were not initially planned. The Regular Budget funds from which some staff of the precursor section are paid, have also been partly dedicated to coordinate and implement GLO565 activities.
- Key tools like IDS require an urgent revamping in order to continue working for INCB and the countries involved. PEN Online continue to serve the purpose of the users although its design is outdated and requires some service improvements. Issues related to ongoing system maintenance remain unresolved which leads to difficulties in continuing to update the system as required.
- The logical framework of the project does not reflect all that the project is doing and does not provide a consistent monitoring framework with robust indicators that allow to systematically monitor progress towards results

COHERENCE

In this section, coherence is assessed in terms of the extent to which the project contributed to relevant coordination and cooperation efforts with national and international counterparts and partners, including some UNODC sections/programmes. This section considers the factors that may have hindered or facilitated these efforts to establish such partnerships. The analysis is based on desk review and interviews with INCB Secretariat staff, UNODC staff, Board members, Task Force Members, and regional partners. It explores whether existing cooperation was successful and whether all potential partnerships were sufficiently explored, and whether they could be better utilised in a GLO565 potential successor project.

EVALUATION QUESTIONS:

- To what extent has the project contributed to relevant coordination and cooperation efforts with national and international counterparts and partners?
- What were the facilitating and hindering aspects of the project's approach to partnerships and cooperation?
- To what extent has the ad hoc delivery of precursor-related expertise to UNODC field and other partners' projects and activities been efficient?

In the context of the project, GLO565 has created partnerships that involve collaboration or joint involvement in specific activities such as meetings, operations, seminars, training, and other activities. These relationships respond to a shared interest in an issue at a strategic level through which joint initiatives are pursued. The relationship between INCB through GLO565 and some UNODC sections/programmes is an example. These partnerships can be strategic and more formal in nature, defined by a formal agreement such as a Memorandum of Understanding (MOU). Such is the case with the relationship between the INCB and the World Customs Organization (WCO). There are also more informal partnerships that are pursued on an ad hoc basis. They tend to be limited to one or more activities where there is a shared interest or opportunity to collaborate.

[Partnerships with global, regional and national organizations](#)

Most interviewees have confirmed that the project contributed to relevant coordination and cooperation efforts with national, regional, and international or global counterparts and partners. In addition to partnerships pursued with WCO and Interpol, INCB Secretariat Precursors Control Section, through project GLO565, has partnered with regional entities like Europol, the European Commission and the Inter-American

Drug Abuse Control Commission (CICAD), part of the Organization of American States. In some cases, these ad hoc partnerships or collaborations have taken place around a meeting or training initiative organized by one of the parties involved. INCB Secretariat Precursors Control Section has been able to take advantage of these opportunities to share expertise and experience on new precursors, precursor control and other related subjects. It has benefited from these partnership opportunities to discuss the responsibilities of CNAs, resources that are available for them, increase awareness of tools like PICS and PEN online and provide training on their use. Stakeholders noted that the entities with which the INCB works through GLO565 can bring a different perspective on the issue. Working so closely in the area, these regional organizations have more and closer working relationships with a variety of entities providing the project with a greater outreach.

Some stakeholders pointed to the need for GLO565 to become more involved with and visible in other regions such as Central America and the Caribbean, South America, and Oceania. While the focus of attention in Central America and the Caribbean and South America has been on cocaine and the precursors used to produce it, it is clear that other precursors used in illicit manufacture of NPS and other synthetic drugs is an issue. Participation in the Precursor Task Force by officials from this region has also been inconsistent. The project would benefit from strengthening and expanding its partnerships with global and regional entities like CICAD and the EC through its Cooperation Programme between Latin America and the European Union on Drug Policies (COPOLAD), with which GLO565 has worked in the past. Both CICAD and COPOLAD are highly active in Central America and the Caribbean and South America and could provide such access. Stakeholders also expressed concerns regarding potential issues in Oceania and the need for the INCB to be more active in this region.

The project has also encouraged countries to engage in precursor control more actively at the national level. As INCB is generally seen as a convener and a trustworthy international entity, this has led in some cases to several national institutions working on precursor control coming together and working in a joint and more coordinated manner. INCB has also demonstrated its ability to build bridges between national parties that might otherwise have problems working together. This is clear from the work that it has done to help governments to more actively engage the private sector in the control of precursors.

[Partnership and collaboration with some UNODC sections/programmes](#)

INCB Secretariat is administratively linked to UNODC, but the Board is substantively independent. Until a few years ago, new UNODC projects and project revisions with a precursor control component had to be cleared by INCB Secretariat Precursors Control Section as being the relevant substantive office. The UNODC revised their approval process such that projects being developed and implemented at the regional level no longer needed to go through the same level of review and approval. As such, project GLO565 no longer was required to review project proposals. Nonetheless, INCB's Precursors Control Section continues to be recognised as the precursor expert within UNODC and collaboration is still taking place between them.

INCB Secretariat Precursor Control staff and staff of other UNODC sections/programmes interviewed acknowledge that UNODC and INCB work well in areas of common interest like the precursor area. These substances are used in illicit drug manufacture including New Psychoactive Substances (NPS), an area of concern for UNODC. As noted in the Concept and Design section, the INCB Secretariat organizationally is found within UNODC. There are sections within UNODC where interests related to drugs are linked with the INCB Secretariat. The relationship between the INCB Secretariat Precursors Control Section and some UNODC sections/programmes regarding these areas of mutual interest is rather ad hoc in nature and is based on spontaneous relationships responding to mutual needs. Whenever some UNODC sections/programmes require precursor specific inputs, or training in precursor controls, INCB Secretariat supports them. Vice versa, the Secretariat also reaches out to regional or country offices for on-the-ground support on an ad hoc basis, e.g., the identification of focal points for a precursor-related activity, nomination of meeting/workshop participants, or in cases where a Government is unresponsive to operational inquiries. In addition, coordination of the INCB Secretariat Precursors Control Section with UNODC country and regional offices facilitates communication and work with CNA and PEN online users. It also contributes to improving project communication and enhancing the level of use of the different INCB systems (PEN Online, PICS and Form D).

Collaboration with the field and regional level has happened, but not in a systematic manner. It has been stronger in UNODC Regional Office for South East-Asia and the Pacific (ROSEAP). The transfer of one of the former INCB Secretariat staff members to a newly created post at UNODC in Bangkok under a UNODC precursor control project has contributed to improved cooperation with UNODC. It has allowed INCB Secretariat Precursors Control Section to have a closer presence in this region, where the movement of synthetic drugs has increased exponentially. We see the same benefits realized in the UNODC country office in Afghanistan where a former INCB Secretariat staff member was located and where precursors have been an issue. These circumstances have naturally facilitated their work together. Consideration should be given to establishing or strengthening this same type of relationship in other regions like Latin America and the Caribbean where precursors used in illicit drug production of NPS and other synthetic drugs is an issue. However, cooperation of this nature becomes very difficult in the absence of a UNODC precursor focus/project in place at the regional office level.

Collaboration has also happened through some UNODC global programmes like the Container Control Programme (CCP) in partnership with WCO. The INCB Secretariat Precursors Control Section, through GLO565, has worked in partnership with UNODC and the CCP to help front line workers in ports with their efforts to deal with precursor control, diversion and smuggling. The technical expertise available through the project has been used in training organized by CCP. GLO565 has also produced various tools and resources for the use of these frontline officers. They include information on chemicals including their characteristics, uses and various names by which they are called.

UNODC organizes the annual meetings of the Heads of National Drug Law Enforcement Agencies (HONLEA). The HONLEA is a subsidiary body of the Commission on Narcotic Drugs, which is the central policymaking body within the United Nations system dealing with drug-related matters. It promotes regional and subregional cooperation in the area of drugs. The regional HONLEA meetings bring together heads of law enforcement agencies concerned with illicit drugs. Following the recommendation of the 2012 evaluation, INCB has used the HONLEA meetings to promote the use of PEN online together with other of its precursor control activities. This has provided a unique opportunity for the Precursors Control Section and GLO565 to reach decision-makers in the drug enforcement community to share information concerning activities executed under GLO565 as well as new threats related to precursors and their use in illicit drug manufacture. The HONLEA meetings have also provided the opportunity to promote awareness regarding PICS and encourage its use by law enforcement officers.

On the other hand, the relationship between the INCB Secretariat and other UNODC sections/programmes has become more competitive in terms of accessing funds due to the growing interest of donors to fund programmes that combat synthetic drug manufacture. Given that both organizations rely on voluntary contributions to support some of their activities, they both target the same group of potential donors with limited funds.

Partnership with private sector

Stakeholders noted that INCB, through GLO565, has also been active in promoting public-private partnerships to improve precursor control. They highlighted the effectiveness of the guidelines prepared by GLO565 in assisting countries to engage the private chemical industry as active partners in precursor control. The guidelines provide suggestions on how these partnerships might be formed and function. Interviewees suggested that GLO565 should build on the successes of these guidelines, actively promote their use, and develop others concerning the private sector. While existing guidelines have focused on the chemical industry, other related sectors should be considered, including but not limited to small parcel, and postal carriers, internet-related sectors (eCommerce, internet service providers, social media, B2B platforms, electronic mail services etc). This will serve to build on the partnerships and relationships already established with these sectors.

Public-private partnerships between Governments and the private chemical industry sector are sometimes affected by a reluctance by some companies or sectors to controls extended over precursors. In addition, countries are often reluctant to challenge the private chemical industry sector given its political power and economic benefits it realizes for the country.

SUMMARY – COHERENCE

1. The partnership between the INCB Secretariat Precursors Control Section and some UNODC sections/programmes has brought together the INCB's expertise in precursor control and closer access to some regions and countries through country and regional offices as well as some of UNODC's global programmes. This relationship has been closer and more beneficial when regional or country offices have in place a project related to precursor control such as the one in the Regional Office for South East Asia and the Pacific (ROSEAP).
2. Partnerships with regional and global organisations have offered the opportunity to connect with a wider number of public and private entities involved in precursor use, trade and control, increasing their awareness of new challenges or threats and the tools and resources available through GLO565.
3. The INCB, through project GLO565, has also succeeded in involving the chemical sector in precursor control by developing guidelines that help Governments to actively engaging this sector in the control of precursors. Other related private sectors, such as small parcel carriers, Internet-related sectors (eCommerce, internet service providers, social media, B2B platforms, electronic mail services etc) could also benefit from such guidance.

EFFECTIVENESS

Effectiveness is assessed in terms of achieving the goals of the project, more specifically the extent to which intended outcome-level results of the project is being achieved. The evaluation assessed effectiveness using data analysis of information included in the annual report on precursor control and other quantitative information that was provided for the purposes of this evaluation. It also used data taken from semi-structured interviews with INCB Secretariat staff, Board Members, Task Force Members, PEN Online Users and CNA, donors, regional partners, and surveys for PEN Online Users and CNA, and Board Members.

Following the logical framework of GLO565 the evaluators have divided the section by analysing each outcome of the logical framework. Outcomes 1 and 3 have been analysed together, as they are closely interrelated. A part of outcome 4 which is related to the coordination between the INCB Secretariat Precursors Control Section and some UNODC programmes/sections is analysed in the Coherence section. It should be noted that all the outcomes analysed in this section are not distinct, but are linked, sharing certain commonalities.

EVALUATION QUESTIONS:

To what extent has the project facilitated in preventing diversion of precursors from licit international trade?

How effective is the project in terms of guiding Government counterparts to exchange actionable information and investigate precursor incidents?

Overall, the project was perceived as effective by INCB Secretariat staff, Board Members, Task Force Members, PEN Online Users, CNA, donors and regional partners, interviewed during the evaluation. Most of the PEN online users and CNA officials (87%) surveyed, agreed that the precursor control project had contributed to establishing a global regime for the monitoring and control of precursor chemicals as envisaged under the 1988 Convention.

Outcome 1: A functional databank available on precursors and other chemicals used in the illicit manufacture of drugs to provide the Board with a basis for its examination of the world situation related to precursor chemical control.

Outcome 3: Available information relating to substances not yet under international control sufficiently organized and assessed for the Board's examination for possible scheduling of substances under the 1988 Convention

Most stakeholders consulted agree that the Precursors Control Section within GLO565 has provided effective support to the Board and its members in their evaluation of the world situation related to precursor control. Through the implementation of GLO565, the INCB Secretariat Precursors Control Section has collected and analysed data available in its information systems and has informed the Board of global and national precursor control challenges, gaps and other developments.

Through GLO565, the Precursors Control Section supports the Board in the preparation of the Annual Report on the implementation of article 12 of the 1988 Convention. It also publishes technical reports on a range of issues related to precursors that provide Governments with useful information. Interviewees commented on the excellent quality of the various technical papers, guidelines and other documents produced by the precursor control project.

Members of the Board expressed their appreciation for the quality and timeliness of the information received from GLO565 in preparation for the Board meetings. Between Board meetings, which are held three times a year, the staff of the Precursors Control Section also keep members apprised of developments regarding precursors and the activities of the section while also responding to ad hoc requests for information. Although communication between the Board and the Secretariat is very well rated, some members expressed the possibility to add more periodic virtual meetings and discussions on issues in the intersessional period. This was seen as a way to further facilitate and maximize the work of the Board.

The monitoring activities of the project using resources like PICS and PEN online, and the use of the Limited International Special Surveillance List (ISSL) have been highly effective in identifying new precursors that require attention and possible scheduling. The work of GLO565 has served to lead to the Board's examination for possible scheduling of different substances. During the period under evaluation, six new substances have been included, which was considered a success by the interviewees consulted. In relation to the process of scheduling, some Board members highlighted that the project provides them with thoughtful and timely information, analysis, and recommendations for scheduling.

The project has also helped to regularly review and maintain the ISSL of non-scheduled substances. Different interviewees have described the ISSL as a useful tool in monitoring the evolution of precursors that are used in illicit drug manufacture. It includes the names of non-scheduled precursors that have been found to be used in illicit drug manufacture or suspected to be used for this purpose. The ISSL serves as a type of "early warning system" for Governments. It draws their attention to suspect precursors so that they can be more aware of the potential threat they represent. The information maintained on the ISSL as well as the continued monitoring by Governments and the INCB Secretariat Precursors Control Section through GLO565 contribute to the rationale and recommendation for potential scheduling shared with the Board.

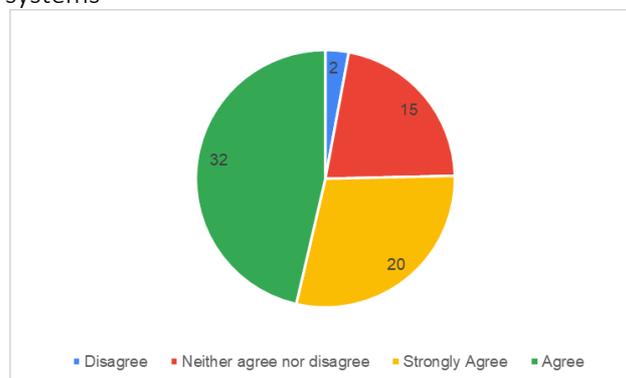
Outcome 2: Governments in a position to identify and address weaknesses in the prevention of diversion of precursors and other chemicals from licit international trade.

According to interviewees, the project has contributed to strengthening the capacity of Governments to control precursors and to increase their ability to identify and address weaknesses in their control systems.

There was general agreement among interviewees that INCB has provided compelling advice to Governments, so that their domestic and international monitoring systems and follow up systems have been improved. With the support of GLO565, they noted that controls at the national and international levels have also been implemented and strengthened.

Most of PEN Online users and CNA surveyed (73.9%) agreed or strongly agreed that GLO565 has contributed to increasing the capacity of Governments to control precursors and the ability to identify and address weaknesses in their control systems.

Figure 11: Rating of Pen Online Users and CNA on the capacity of INCB Secretariat precursor control project (project GLO565) on strengthening the capacity of Governments to control precursors and to increase their ability to identify and address weaknesses in their control systems



Source: Survey to PEN Online users and CNA

Information provided by Governments on Form D, assists the Board in monitoring and identifying trends in trafficking in precursors and the illicit manufacture of drugs. It also enables the Board to provide Governments with recommendations concerning remedial action and policies, as necessary. However, some incomplete submissions, data gaps and other problems encountered by Governments are often an indication of deficiencies in their national control mechanisms and/or health-care systems⁸. Such deficiencies may reflect problems in the implementation of treaty provisions, for instance gaps in national legislation, shortcomings in administrative regulations or a lack of training for staff of competent national authorities.

In order to respond to this challenge, INCB Secretariat and more specifically the Precursors Control Section has developed capacity-building activities under GLO565 to enhance precursor control while ensuring the availability of these internationally controlled substances for medical and scientific purposes. The project has organized training activities for staff of competent national authorities and others on a range of issues including precursor control, responsibilities of CNA's under the Convention and the use of tools such as PEN online and PICS among other subjects. Training is addressed through standalone seminars or ones organized as side events to conferences and meetings in Vienna or in-country. As noted, the project also organizes training events in partnership with other organisations such as UNODC, Interpol, CICAD, and COPOLAD, taking advantage of meetings or training that they have planned. Additional training is organized through the INCB learning platform which has also facilitated the development of e-learning modules to support Governments in adequately estimating and assessing their needs for internationally controlled substances. The e-learning modules also cover the area of precursor control among others and are available at no cost to officials of competent national authorities upon registration.

Some interviewees, as well as PEN online users and CNA surveyed, expressed the need for more tools and training to improve the capacity of Governments to ensure better precursor control. Some explained the challenge that some countries have when PEN online or PICS users of one country don't transfer the knowledge on how to use these systems to other colleagues. On some occasions when this happens, the Secretariat is requested to provide such training. Before COVID-19 there were no virtual trainings, seminars, workshops, or any other virtual meetings. Nowadays all meetings are virtual, including the INCB Learning events where the precursor programme participates. Although many agree that there is no substitute for face-to-face training, some suggested taking advantage of this new trend generated by Covid and creating virtual training to meet specific country needs. Despite the capacity building needs, as indicated in the efficiency

⁸ Annual Report 2019

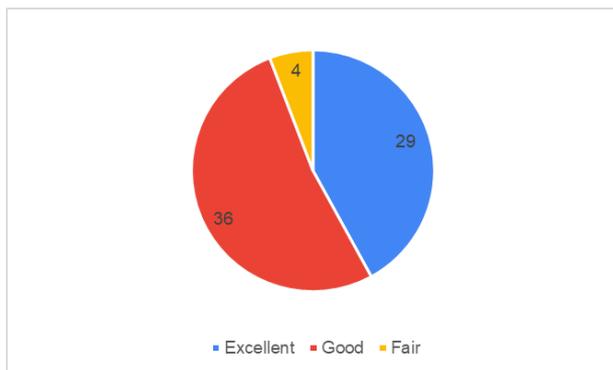
section of this report, the Precursors Control Section recognizes that it does not have sufficient financial and human resources to support all Governments with training even those that ask for assistance and support.

Other Tools and other resources produced in support to Governments

Interviewees and people surveyed also agreed that Governments have benefited from information received from the INCB through the development of tools and other resources such as alerts, eNewsletter, technical papers and guidelines, among others. Respondents noted that these resources and tools are very useful and important. They noted that no similar publications with the same quality and information are available anywhere else. In some countries they have been shared among officials in various agencies concerned with the control of precursors.

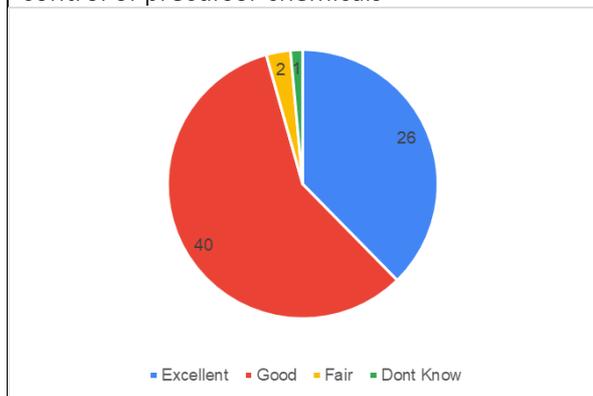
Some of this information comes from the databases and systems maintained under the project like IDS, PICS and PEN online. When asked about the quality of these tools and communication systems, 94.2% of PEN online users and CNA officials rated them as well as the secure web page, guidelines, and other resource materials as excellent or good. Further 95.7% of those surveyed rated the reliability of the foregoing tools and resources as excellent or good.

Figure 12: Rating of PEN Online Users and CNA on the quality of the INCB tools and communication systems for monitoring and control of precursor chemicals



Source: Survey PEN Online users and CNA 2021

Figure 13: Rating of PEN Online Users and CNA on the reliability of the INCB tools and communication systems for monitoring and control of precursor chemicals



Source: Survey PEN Online users and CNA 2021

In addition to PEN Online and PICS that will be detailed in sections below, INCB has developed a series of guidelines for use by Competent National Authorities. Respondents noted that these guidelines presented an independent view of the subject under consideration without the potential slant that a more regional treatment of the same subject might reflect. As noted, respondents positively valued the guidelines related to public-private partnerships with the chemical industry to encourage the engagement of this industry with national Government agencies in matters related to the control of precursors.

The INCB has developed a variety of technical papers related to the control of precursors, and the drugs they are used to produce. Information on what chemicals is controlled by each country is also available. These resources are available through the INCB web page with access to more sensitive papers or guidelines being limited to secure area of the site. In addition, the INCB, through project GLO565, disseminates alerts regarding new precursors, or the results of operations initiated under Projects Prism and Cohesion (see outcome 6).

The INCB also maintains a directory of officials in Competent National Authorities. Some respondents expressed concern regarding how current or up to date the information is, particularly with respect to the directory of competent national authorities and chemicals that are controlled by individual countries. The INCB relies on the countries to update this information when changes take place. Unfortunately, some of those who were interviewed suggested that these updates are not always timely which can create problems for them for operational purposes. They suggested that other options for updating this information should be explored.

Other respondents commented on the INCB web page, which was said to have an old design, and is not always easy to navigate or find the information required. One of the aspects that makes it difficult to navigate is its confusing structure. In addition, the content provided is not displayed in a very visual way and does not incorporate audio-visual content. INCB website was last updated in 2012, as approved by the Board. This was done within the scope of the technology available and provided by the UNODC IT Service with best efforts to meet UN requirements at that time. Secretariat staff from each section and the Office of the Secretary jointly maintain and update the web page but there are no human resources specialised in communication management.

Some members of the Board and Secretariat noted that they are not aware of the extent to which countries are downloading or otherwise using tools and resources developed by GLO565. The INCB Precursors Control Section of the Secretariat confirmed that at present, there is no monitoring or means to track the extent to which these tools are being used through Google analytics or other means. While CNA's are annually reminded of the availability of tools and resources generated by the project, information about their availability is not necessarily shared when staff changes take place. Some stakeholders suggested that more active promotion by the INCB of the availability of these tools and resources is required. INCB Secretariat Precursors Control Section has already used social networks like Twitter, using the INCB President's Twitter account (The Section's own account has been dormant since 2017). There is no LinkedIn profile of the section.

Outcome 5: Global electronic pre-export notification system (PEN-online) and simplified estimates system in use by Governments.

The information system that forms the basis of many activities within the INCB is the International Drug Control System (IDS). Information reported by Governments using Form D is captured in this database. Under the project GLO565, INCB Secretariat Precursors Control Section has developed several databases and tools to facilitate precursor control that are the Pre-Export Notification system (PEN) online and Precursors Incident Communication System (PICS). These tools serve to assist the project in its monitoring, technical analysis, investigations and resultant actions or recommendations and they are important components of the precursor control program. PICS and PEN online also assist Governments in their control of precursor chemicals, promote the exchange of information and facilitate international cooperation.

International Drug Control System

The International Drug Control System (IDS) is a database that was developed in 2004. It includes information reported by Governments using Form D, as well as data on proposed trade, interfaced from the PEN Online system. The information contained in IDS is used as a basic data resource by all areas of the INCB. This includes information on imports, exports and annual licit requirements for narcotics and psychotropic substances as required by the relevant Conventions. For its part, the Precursors Control Section uses the information of IDS and other sources to triangulate and assess the global trade in precursors which is then included in the Annual Report on precursors. Governments provide trade information for precursors on a voluntary and confidential basis, in accordance with Economic and Social Council resolution 1995/20. The voluntary provision of information on licit needs (annual legitimate requirements) for a subset of ATS precursors was also specifically requested in CND resolution 49/3 in 2006.

During the 2012 evaluation, it was noted that some Governments were not completing Form D. It was suggested that efforts should be made to reach out to these Governments. It was further recommended to review Form D with a view to possible streamlining and making it more user friendly and easier to complete. Form D was reviewed and revised; the updated form has been used since the 2014 reporting cycle.

Nonetheless, there continue to be issues (data gaps) with respect to compliance related to the completion of Form D). In addition, there is a need to update IDS system as noted in the efficiency section. Between November 1, 2019 and November 1, 2020, 172 Governments of the 190 States parties had provided an estimate for at least one ATS precursor. For this same period, 104 Governments furnished data on the licit uses of and/or requirements for one or more substance in Table I or Table II of the 1988 Convention (i.e., any of the controlled chemicals).

As a result of the added focus on ATS precursors, the Precursors Control Section takes the opportunity to remind Governments to try to assess and make their estimates available to INCB. The ALR information is used in conjunction with PEN transactions to enter a dialogue with Governments to investigate any apparent anomalies between import or exports and the estimates submitted by countries.

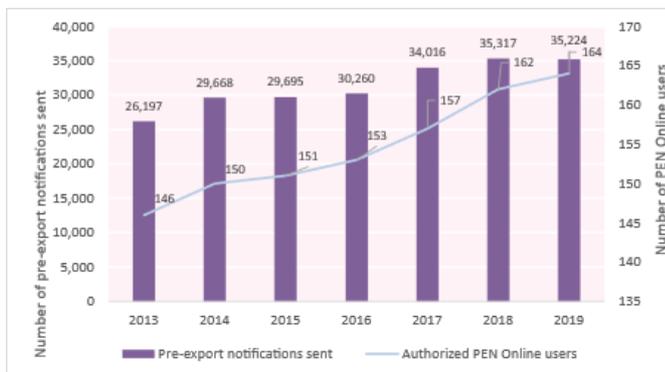
Pre-Export Notification system (PEN) online

Article 12 paragraph 10(a) of the 1988 Convention requires importing countries to be notified when certain precursor listed in the Convention are being exported to that country. Countries can also request pre-export notifications for other chemicals as well as they deem necessary. In the past this process was accomplished by fax and other hardcopy means. PEN online is an internet-based tool that replaces this paper-based process.

PEN online was first implemented in 2006. Since the midterm evaluation in 2012, there has been a steady increase in the number of countries using this tool. Of the 190 states parties to the 1988 Convention, 164 (86%) are currently registered users of PEN online. The number of transactions reported through PEN online have grown from 26,197 in 2013 to 35,224 in 2019, a 34% increase.

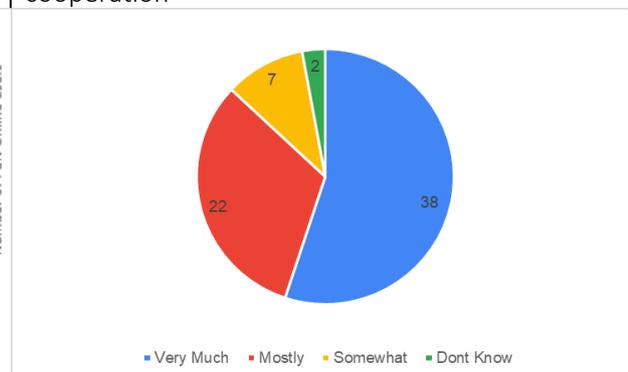
Monitoring use of the system also shows that 83% or 136 of PEN online users view notification at least 90% of the time. This data suggests a high level of interest in the tool and the information it provides. For the 26 countries (14%) who are not registered users of PEN online, exporting countries resort to emails and other technology to advise importing countries of a shipment of precursors. Some interviewees expressed concern regarding those countries which are not using PEN online. It was suggested that this situation increases the possibility of false permits and licenses being used, making it possible for more cases of diversion. In some of these cases, respondents remarked that some countries do not have the resources or technology including a dependable internet service to take advantage of the benefits offered by PEN online.

Figure 14: Number of Authorized PEN Online Users and Pre-export notifications sent 2013-2019



Source: INCB Secretariat Precursors Control Section

Figure 15: Rating of PEN Online Users /CNA of PEN Online as an effective mechanism in assisting Governments in their control of precursor chemicals, promoting the exchange of information and facilitating international cooperation



Source: Pen Online /CNA Survey

Most stakeholders consulted agree that PEN Online has increased the effectiveness and timeliness of information exchange regarding the international trade in precursors and it has contributed to minimizing international diversion of precursors. Respondents maintained that there is no other tool or system like PEN online. It applies or facilitates control over these substances while ensuring their availability for legitimate purposes.

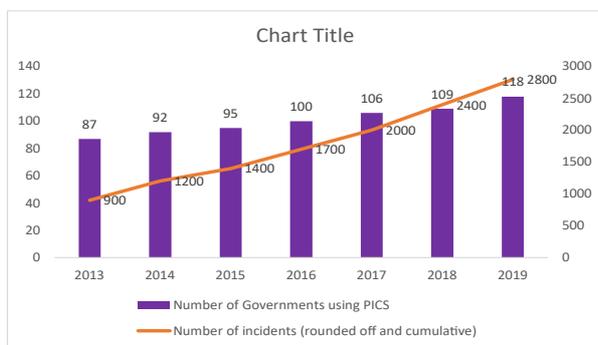
Interviewees who are familiar with PEN online confirmed that this is an excellent and very important tool. In addition, 60% of the surveyed PEN Users and CNA reported that PEN Online was an effective mechanism in assisting Governments in their control of precursor chemicals, promoting the exchange of information and facilitating international cooperation. Some of the interviewees gave examples where the use of PEN online lead to investigations and stopping a shipment that was determined to be suspicious.

While there is general satisfaction with PEN online, some users noted that sometimes they do not receive timely replies to PEN notifications from the importing countries. In other instances, countries complained that sometimes they fail to get a response at all. This is not a failing of the tool but rather in its application or use by countries. Some of the countries that fail to reply maintain that the absence of a reply means that they have no objection to the shipment. Many exporting countries do not feel that this is acceptable. Some respondents suggested that INCB should be more proactive in promoting the use of PEN online among the countries that are not current users. At the same time others suggested that more efforts should be made to encourage the proper use of the tool including timely replies to notifications.

Precursors Incident Communication System (PICS)

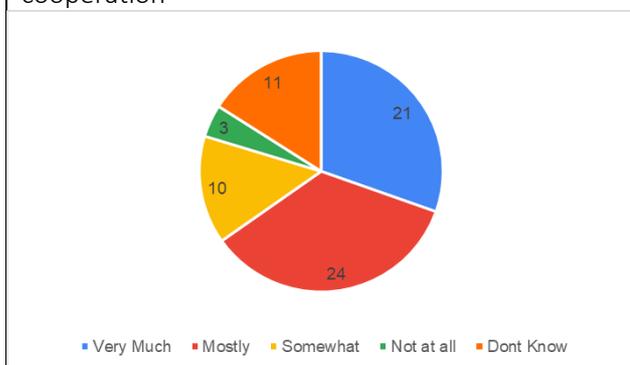
The Precursors Incident Communication System was created in 2012. It represents a unique system that allows countries to voluntarily report details regarding seizures of precursor chemicals and to review cases reported. Rather than having to wait for seizure data reported annually on Form D, PICS offers the project and Government’s access to this data in real time, shortly after the seizures were made. Information available through PICS can serve as the stimulus or foundation for an investigation or backtracking. It can cause a Government to examine the need to schedule a substance or take other administrative or regulatory action. It encourages and facilitates the exchange of information and cooperation among countries. From 2013 to 2019 the number of PICS user countries has grown from 87 to 118. In 2013, 180 agencies with 370 total users had access to PICS. In 2019 this number grew to 275 and 540 respectively. While there has been a 36% increase in the number of countries that are using PICS and there has been a 52% increase in the number of agencies and 46% increase in the number of individuals using PICS, there remain 68 countries (37%) of the 190 States parties to the 1988 Convention that are not using this tool.

Figure 16: Number of Governments using PICS and Number of Incidents 2013-2019



Source: INCB Secretariat Precursors Control Section

Figure 17: Rating of PEN Online Users /CNA of PICS as effective mechanisms in assisting Governments in their control of precursor chemicals, promoting the exchange of information and facilitating international cooperation



Source: Pen Online /CNA Survey

Interviewees who are familiar with PICS confirmed that it is an effective tool that works well. Of the PEN online Users and CNA surveyed, 45% very much or mostly agreed that PICS was an effective mechanism in assisting Governments in their control of precursor chemicals, promoting the exchange of information and facilitating international cooperation with an additional 10% somewhat agreeing with this statement.

While in general, countries see that PICS is useful, some of them and their agencies are reluctant to input information. In some instances, there are constitutional or legal impediments or prohibitions in doing so. In others it’s a matter of not having resources to enter the data. Some other potential users are happy to access information but prefer not to share any. The reasons for this attitude can vary and be as basic as mistrust of anyone they do not know accessing information that they input to the system. Some fear that others accessing the information may cut into their own investigation and thus realize credit for any arrests that might come about.

In addition, timeliness is also a challenge in the use of PICS. In some national agencies, rather than immediately reporting the seizure, their standard operating procedures require the officers to await until a certain point in the investigation to do so. That can take weeks or months potentially affecting the operational or investigative utility of the information in another country. The usefulness of PICS, however, depends largely on the timeliness of the information provided so that it can facilitate immediate follow-up and cooperation to identify those responsible for the diversion of and trafficking in precursors.

[Outcome 6: Government's guide and direct their regulatory and law enforcement-related precursor control activities by international initiatives addressing diversions of precursors, such as Project Prism for amphetamine-type stimulant \(ATS\) precursors, and Project Cohesion for the chemicals used in the illicit manufacture of heroin and cocaine](#)

Projects Prism and Project Cohesion provide a framework for the execution of special, focused operations. Through these operations, countries are invited to monitor the distribution of a specific precursor for a set period of time. These precursors are often identified by the Precursor Control Task Force as substances suspected of being used in illicit drug manufacture. These time-bound operations serve to close the information gap and contribute to preventing the diversion of controlled and non-controlled substances from international trade and domestic distribution channels.

Some precursors for which controls are required have been identified through operations and subsequent investigations initiated within Projects Prism and Cohesion. Between 2013 and 2019 there have been 8 operations involving between 25 and 50 participating countries. Interviewees agreed that countries had benefited from participation in these activities organized within the precursor control project. Task Force members acknowledged that while there has been good support for these operations, this could always be improved with broader participation of countries. These operations were said to provide an insight into possible problem precursors in a way that may not be possible or visible from their national perspective. In some instances, the resultant investigations generated by operations served as a vehicle for collaboration between agencies of two or more countries. This has led to regulatory action including scheduling at a national level. Respondents noted that Governments have used information generated through such operations to initiate actions including investigations or efforts to control the precursor in question.

As noted, these operations are the product of discussions undertaken by the Precursor Control Task Force within the precursor project. The Task Force is a forum that brings together precursor experts from different regions of the world to exchange information about new trends regarding precursors and non-scheduled precursors encountered. Members also share experiences with respect to approaches to deal with these substances. The meetings of the Task Force also provide the INCB with an opportunity to secure input on a range of issues and potential activities related to GLO565. Stakeholders stressed that the Task Force Members also serve as a valuable resource for the INCB and its precursor control project as a sounding board for potential issues or approaches to address them. Respondents noted that the Task Force has served as an important vehicle for communication between countries to address problems related to the control and movement of precursor chemicals.

Some interviewees commented on the overrepresentation of membership from one region but acknowledged the contribution these members have made. The composition of the Task Force changes but at present 6 of the 16 members represents Europe. Of these, 2 represent the European Commission and the other 4 are from Germany, Switzerland, The Netherlands and the Russian Federation. There are two members representing North America (Mexico and US) and 3 from the Asian region (China, India, and Turkey) with 1 from Oceania (Australia). There is only one representative from Africa (Nigeria). Colombia, representing South America, sometimes has sent a representative, but their participation has been irregular. Interpol and the WCO are also represented with one participant each, while UNODC has in the past been represented by the Container Control Programme. In addition to the members of the Task Force, experts from Canada and France usually attend the meetings. Those interviewed suggested the need to expand the membership to bring in other regions that are not currently as involved in the Task Force like Central America and the Caribbean, South America, and Oceania.

The Task Force has been operating for many years. While there have been no formal assessments of the composition of the Task Force, the INCB Precursors Control Section has, on an ad hoc basis, periodically questioned the continued need for this forum, how it is organized and its functions. Interviewees suggested that a review of this nature should be repeated on a regular basis, noting that it is important to make a periodic self-examination to identify any changes that might be required.

SUMMARY – EFFECTIVENESS

- GLO565 has provided Governments with the capacity building support, tools, resources, information, analysis, training, and technical advice needed to increase their capacity and effectiveness in precursor chemical control. While GLO565 responds to the training needs of some Governments, it does not have the financial and human resources to meet the needs of all the Governments that require its support.
- The PEN Online system and PICS are widely recognised as effective mechanisms to assist Governments in their control of precursor chemicals, promote information exchange and facilitate international cooperation. The reliability, accuracy and timeliness of data and information in GLO565 systems and data bases depend on the voluntary cooperation and diligence of Governments, which is not always forthcoming.
- Special operations, recommended by the Precursor Control Task Force, have helped to bring to light problematic precursors that may not have been identified from a national perspective. In some cases, the resulting investigations have led to better collaboration between agencies in two or more countries and to regulatory action, including scheduling at the national level.
- The INCB's Precursors Control Section has produced a number of technical documents and guidelines related to precursor control that have been of outstanding quality and usefulness. However, it is difficult to assess the extent to which Governments are aware and have access to these tools and resources.

IMPACT

The evaluation of impact of GLO565 assesses the extent to which the project contributed to the overall objective included in the logframe: “To assist INCB and its Secretariat in establishing a global regime for the monitoring and control of precursor chemicals as envisaged under the 1988 Convention”. This has been assessed by interviewing INCB secretariat staff, Task Force members, Board members and by surveying and interviewing PEN Online users and CNA.

EVALUATION QUESTIONS:

To what extent has the project made a difference to beneficiaries at different levels, e.g., Governments, policy makers, regulatory and law enforcement officials?

To what extent did the project contribute to the Sustainable Development Goals?

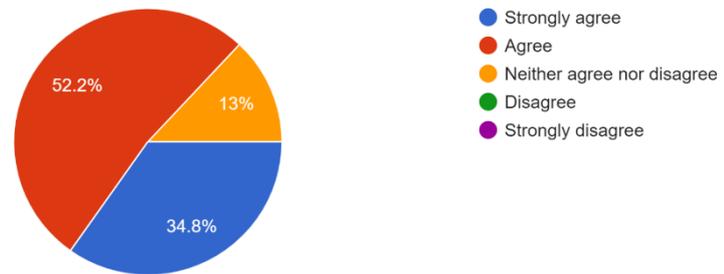
INCB Secretariat Precursors Control Section of the INCB Secretariat is recognized as the focal point for precursor control at global level. According to some interviewees, the Project has not just provided coordination to control precursors at global level, but it had realized real international control of precursor chemicals. Through the efforts of the INCB and the GLO565 project, most stakeholders consulted agree that the international diversion of precursor has been reduced to a minimum with most diversion taking place at the regional or national levels. Some stakeholders noted that traffickers are constantly targeting other unscheduled or uncontrolled precursors for use in illicit drug manufacture, which could be an indication of the project's contribution.

Most of the PEN Online Users and CNA (87%) surveyed agree or strongly agree that INCB’s precursors control project (project GLO565 “INCB Databank for Precursor Control”) has contributed to establishing a global regime for the monitoring and control of precursor chemicals as envisaged under the 1988 Convention.

GLO565 has served to increase the awareness of many governments regarding newer precursors being diverted and used in illicit drug production. It has also helped them in the investigation of cases and in stopping diversion. The project has also encouraged some countries to go above the basis requirements of the Convention. The INCB has also helped countries to get more involved in precursor control and thus reduce diversion.

Most interviewees agreed that without the project, the control of precursors would be less efficient and lack uniformity. Industry would be faced with different controls and requirements defined by different countries or regions. Industry compliance would be more complicated and more expensive. Countries would have a lower ability to identify new threats related to precursors.

Figure 18: PEN Online Users /CNA rating of INCB’s precursors control project (project GLO565 “INCB Databank for Precursor Control”) as having contributed to establishing a global regime for the monitoring and control of precursor chemicals as envisaged under the 1988 Convention



Source: Own elaboration

The Secretariat and Board communicate with Governments in writing and sometimes in person to share concerns regarding shortcomings, weaknesses, or other issues regarding their control of precursors. INCB uses its Annual Report on precursors to make note of serious problems with specific countries and to provide examples of Governments that have benefited from the support provided by the project. However, compliance with or implementation of advice received from INCB is in large part voluntary. The INCB Secretariat confirmed that there are no statistics or data available within the project to note when recommendations are in fact implemented by countries. In the absence of data or specific measures, it is difficult to quantify the extent to which it has helped them to identify and address weaknesses in the prevention of precursor diversion. As some stakeholders noted, the project can provide a qualitative image of the precursor situation but getting a more quantitative image is more challenging.

United Nations Sustainable Development Goals

INCB annual reports state that INCB is committed to continuing to support Member States in achieving the health and welfare aims of the three drug control conventions and Sustainable Development Goal 3 which is to ensure healthy lives and promote well-being for all at all ages. Achieving that Goal entails, inter alia, access to high-quality essential healthcare services and access to safe, effective, high-quality and affordable essential medicines; ending the epidemic of AIDS; and strengthening the prevention and treatment of substance abuse, including narcotic drug abuse. GLO565 serves to prevent the diversion of these substances that are used in illicit drug production. In doing so, GLO565 contributes to the reduction in availability of addictive drugs and in this way increases the potential for health and well-being.

The activities undertaken within GLO565 to identify and help address weaknesses in precursor control respond also to Goal 16.a. which refers to strengthening relevant national institutions, including through international cooperation, for building capacity at all levels, in particular in developing countries, to prevent violence and combat terrorism and crime. The project supports the development of effective institutions that affect illicit drug manufacture, reduce the availability of such drugs and ultimately have an impact on organized criminal groups and the associated violence and criminality in the countries that the project serves.

While stakeholders, who were interviewed and surveyed, perceive a contribution of the project to these goals, no further evidence on this could be found in the project documents. Project GLO565 came into being before

the adoption of the 2030 Agenda and as such there was no reference to the SDG's in its design. Similarly, specific goals have not been added to the project design in any of the revisions.

SUMMARY – IMPACT

- GLO565 has served to increase the awareness of many Governments regarding new precursors being diverted and used in illicit drug manufacture and it has also contributed to helping them in stopping diversion and the investigation of cases.
- It is difficult to quantify the extent to which GLO565 has helped Governments to identify and address weaknesses in the prevention of precursor diversion. Compliance with or implementation of advice received from INCB is in large part voluntary and the project cannot monitor when INCB recommendations are in fact implemented by Governments.
- Although there is no clear and explicit link to the development goals in GLO565 design, it appears that the project has contributed to the SDGs, especially to goals 3 and 16.

SUSTAINABILITY

The analysis of sustainability focuses on whether the benefits of the project are likely to continue, what were the facilitating and hindering factors that impacted sustainability and specifically, what factors facilitated or hindered donor interest and funding. It also analyses how the project has contributed to establishing capacity and willingness of Governments for preventing and addressing chemical diversions. To this end the evaluators analysed and triangulated key findings of the previous sections of the report. Interviews with INCB Secretariat Staff, Board Members, Task Force members and regional partners as well as with donors complement the information from desk review.

EVALUATION QUESTIONS:

The extent to which the net benefits of the intervention continue or are likely to continue.

To what extent has the project contributed to establishing capacity and willingness of Governments for preventing and addressing chemical diversions?

The work of GLO565 is essential in the implementation of the 1988 Convention and in the control of international trade in chemicals. The growth in magnitude and complexity of precursor use suggests that there will be a continued need for the work undertaken under GLO565, especially with the proliferation of new non-scheduled precursors.

INCB is widely recognized as the neutral focal point for the control of precursors, an area that is very political and sensitive in nature. It serves as the point of intersection between legitimate trade in precursors and their control and preventing their diversion for using in illicit drug manufacture. It also has the support of Governments, due to its independence, confidentiality, and neutrality. INCB and the precursor control project are recognized to provide a useful and relevant service to Governments and provide a unique international platform that has been able to encourage cooperation between Governments in the control of precursors. As some stakeholders noted, the importance that countries give to this project can be measured in part by the frequency with which new responsibilities are added by ECOSOC and the CND through their various resolutions.

[Voluntary and timely participation of governments and private sector organizations](#)

As of 2019, most States parties to the Convention used PEN online (164 of 190) and 118 used PICS. In addition, between 25 and 50 countries participated in the 8 operations conducted between 2013 and 2019 within the

framework of Prism and Cohesion projects. In this regard, Governments and their agencies involved in precursor control, need to continue to voluntarily participate in the activities of the project to guarantee its sustainability. GLO565 also depends on the willingness of Governments to take action and implement the recommendations received from the INCB and its Secretariat. In the absence of political will to implement these recommendations, efforts to increase precursor control capacity cannot be fully realised.

Countries also need to fulfil their responsibilities to respond to pre-export notifications in a timely manner. The success of PICS and the utility of the information it contains depends on timely reporting of seizures by Governments. Failure to report or receive information through PEN online and PICS in a timely manner significantly affects its utility for investigative or collaborative purposes.

To ensure the voluntary participation of countries and to raise awareness of the project's activities, some stakeholders pointed out the need for enhanced communication with Governments and the agencies concerned with the control of precursors. This would provide the opportunity to also promote the use of the tools and other resources it produces and stress the importance of sharing and reporting information in a timely manner. This could also serve to raise the profile of the issue of precursor control, highlight its importance for countries and involve them in all activities carried out under GLO565. Some stakeholders expressed concern that countries not using the online PEN system offer the potential for increased diversion and represent a major gap in global precursor control. The opportunities for investigating diversion and achieving success in this regard increase if more countries use PICS, provide more information and do so in a timely manner.

At a more strategic level, some interviewees highlighted the need to raise awareness among decision-makers of the benefits to be gained by using these tools. At an operational level, they noted that more information on the use of the tools, including training, would be useful. Other tools available and prepared by GLO565, such as the website, the e-newsletter and various technical and reference documents (lists of controlled chemicals per country, contacts within the CNA, etc.) could also be better promoted. This self-promotion would ensure that new staff in the countries are aware of the project, its activities, the resources and tools at their disposal and their individual responsibilities.

GLO565 has been successful in encouraging greater participation not only from the chemical private sector, but also from other sectors, such as those involved in mail, e-commerce and others. Some interviewees highlight the need to build on the successes realized with the private sector involved in precursor control. Increased communication with this sector could serve to further encourage their participation in the project and to stimulate interest and potential partnerships with organisations in different countries.

[Human, technological, and financial resources](#)

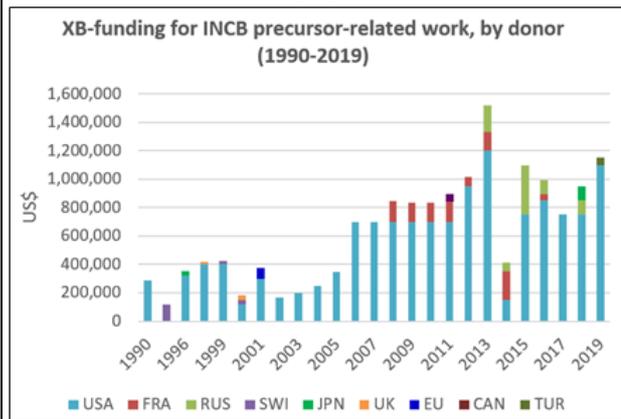
The sustainability of the results realized by the project also depends on the human, technological (systems, tools, resource materials), and financial resources available. GLO565 depends on having in place personnel with the specialized technical expertise necessary to undertake the monitoring and analysis required and provide the support and advice that Governments need to increase their capacity to control precursors. As noted in the efficiency section, not all the personnel that contribute to the project are paid by extra budgetary funds of the project but by Regular Budget. Continued success and sustainability of GLO565 also depends on the availability and development of tools like IDS, PICS and PEN online as well as the other technical resources and activities that project develops or implements. In this regard, the project needs to continuously update and maintain these platforms to ensure that they are fully operational and do not present security risks.

As noted previously, in the absence of access to the Regular Budget, the project GLO565 must rely on external sources of funding through voluntary contributions.

The donor base for support to GLO565 has historically been relatively narrow. GLO565 funding comes mostly from a single donor, the United States, which provides 85% of the funding. Other donors such as France, the Russian Federation, Japan, and Turkey have contributed between 0.5% and 6% of the total funds since 2013.

The funding challenges presented by the project are related to countries' political priorities. While the drug issue and the need for precursor control remain to be important, there are other issues that present themselves and, in the process, distract attention and potential funding. For example, some noted that the funding priorities of some donors shifted towards terrorism after the events of September 11, 2001. While both drug control and counter-terrorism efforts are important, donor funding is limited, and countries are forced to make decisions on the disbursement of these limited funds.

Figure19: XB Funding of GLO565 by donor 1990-2019



Source: INCB Secretariat

Two other constraints related to external funding for project implementation are earmarking of funds and funding, that in some instances, is tied to donor-imposed restrictions. Although the UN has encouraged donors to provide unearmarked funds to allow for greater project flexibility, donors have been reluctant to provide general financial support of this nature. In addition, some donors impose certain restrictions on the funding. They may specify which countries may or may not benefit from the funding it provides. This adds another level of complexity to project implementation. Some interviewees suggested that access to Regular Budget funds could help to minimise the above noted problems, although they acknowledged that access to such funds is likely unrealistic. Others maintained that the Regular Budget may not be a reliable source of funding, citing Regular Budget cuts in the recent past. Therefore, some believe that external resources may be a more interesting and sustainable alternative.

An increased focus on communication with countries could serve also to encourage investment in GLO565 and its activities through voluntary contributions. Some interviewed expressed a concern that the work and accomplishments of the precursor control program are not sufficiently visible or recognized. Stakeholders pointed out the need for the INCB to continue to demonstrate the added value of the project and the benefit it brings to countries and the international community. In the absence of funding, the project will not be able to fulfil its mandate as it relates to the implementation of the 1988 Convention. This will have consequences related to the control of precursors at the national, regional, and global levels. Some suggested that the Board could play a more active role with both the UN in New York and with potential donors to secure additional funding. They suggested the Board could use country missions as an opportunity to promote awareness of the precursor control project and seek funding support. In attempting to expand the funding base, some stakeholders suggested that the INCB could approach major chemical producing or consuming countries as well as the private sector. Others pointed to the potential impact that funding support from the private sector might have on the perception of the Board's independence.

A communication and resource mobilization strategy could help approaching potential donors, through establishing a direct and frequent contact with counterparts at both the strategic and operational levels in relation to funding. This can help to increase potential donors' knowledge of what the project is doing and the results it achieves. It can also help the potential areas of interest and needs of the donor as well as understanding the funding donor cycle and the times in that cycle when it would be best to contribute.

SUMMARY – SUSTAINABILITY

- The results of GLO565 are sustainable to the extent that countries continue to share and use information on a voluntary basis through the tools provided by the project. It also depends on the willingness of Governments to take action and implement the recommendations received from the INCB including through project GLO565.
- External funding is key to sustaining the project adequately. It is required to guarantee the work of its human resources, which require high technical capacity, and the operation of its technological resources, which require continuous maintenance and updating. While Regular Budget resources would help to better ensure the independence of the work of the INCB Secretariat Precursors Control Section and avoid earmarked funds, there is a risk that they may not be a reliable source of funding due to potential budget cuts. It is also recognised that access to such funds is probably unrealistic.
- Project communication is an effective tool to promote awareness of the importance and potential benefits of GLO565 and also to encourage countries to participate in the activities of the project. It can also serve to make the results of the project more visible and broaden the funding base.

HUMAN RIGHTS, GENDER EQUALITY AND LEAVING NO ONE BEHIND

The evaluation looked at cross-cutting topics to analyse to what extent human rights, gender equality and leaving no one behind have been integrated into GLO565 project design and implementation. This was done through desk review and interviews with INCB Secretariat Precursors Control Section staff, Task Force members and Board members.

EVALUATION QUESTIONS:

To what extent were gender equality, human rights and disability inclusion considerations included in the project design and implementation?

HUMAN RIGHTS AND GENDER EQUALITY

Human rights principle has not been mainstreamed in the design of the project and its periodic project revisions. It is not reflected in the revised log frame and outcomes. However, since GLO565 responds to the 1988 Convention, it is consistent with the international human rights framework. Compliance with the 1988 Convention leads to the direct and positive realisation of human rights, especially the realisation of the universal right to health, which includes access to treatment. The INCB Annual Report does make specific mention of the human rights. It appeals to all States parties to pursue drug control policies that respect and protect all human rights and are consistent with international human rights instruments. It reminds that drug abuse and drug-related activities cannot be lawfully addressed without ensuring the protection of human rights and compliance with the international drug control conventions.

Interviewees agreed that the specific issue of precursor control as well as the mechanisms to control and monitor these substances are gender neutral. Gender is only addressed in recruitment activities for staffing the project. Of the 5 XB funded staff in the Precursors Control Section, 3 are female as are 3 of the 6 RB funded staff. Similarly, Governments invited to nominate participants to training activities organized by the Precursor Control Project are asked to consider gender when making their selections. Gender considerations are also encouraged for Task Force participation. Of the 16 members of the Task Force, 7 are female and 9 are males. At the country level, interviewees agree that many of the officials dealing with the regulatory control of

precursors are in fact women. However, the extent to which gender is considered by countries in their selection of staff is beyond the scope of the project.

LEAVING NO ONE BEHIND

GLO565 serves to increase the capacity of governments to control precursors and minimize diversion. Some interviewees acknowledged that not all governments have in place mechanisms to ensure effective control of precursors. They further noted that while GLO565 has generated information resources and tools to enhance or facilitate precursor control, some of the least developed and developing countries may not have the human and financial resources to take advantage of these resources. At the same time, stakeholders noted that there are some countries, which are large, wealthy and have a significant chemical industry, that do not have the necessary controls in place.

Through GLO565, the Precursors Control Section tries to identify those countries that need more support by considering their performance in precursor control and their quality of reporting. Often the support required relates to training or help establishing regulatory controls. However, interviewees pointed out that the ability of GLO565 to respond to the needs of these most vulnerable countries is limited by the resources (human and financial) that are available within the project.

Interviewees acknowledged that GLO565 has not always been successful in its efforts to increase precursor control capacity in all countries. At the same time, they noted that success in this regard is often beyond the control or influence of the activities executed under GLO565. For example, the absence of reliable internet services can affect a government's ability to access training or use certain tools like PEN online or PICS. Others interviewed noted how issues such as corruption at different levels and the lack of political will can influence the extent to which Governments are able or prepared to increase their capacity to control precursors.

Some stakeholders suggested, that UNODC could help to extend the reach of GLO565 with respect to the least developed and developing countries through its regional and field offices. This would be possible if a UNODC global programme on precursors existed throughout, but it only exists in UNODC Regional Office for South East Asia and the Pacific (ROSEAP). They also noted that a potential successor project could develop a strategy to include these countries in the work and ensure continuity of support already provided.

SUMMARY – HUMAN RIGHTS, GENDER EQUALITY AND LEAVING NO ONE BEHIND

- Human rights principle is not mainstreamed in the project document, but it's reported in the Annual Report of INCB. The specific issue of precursor control as well as the mechanisms to control and monitor these substances are gender neutral. Gender is addressed in recruitment activities for staffing the project and in training activities conducted within GLO565.
- GLO565, applies the principle of leaving no one behind as it seeks to identify countries in need of further support, taking into account their performance in precursor control and the quality of their reporting. However, the ability of GLO565 to strengthen the capacity of countries, especially the most vulnerable ones, is limited by the (human and financial) resources available to it.

III. CONCLUSIONS

Conclusion 1 - Relevance

GLO565 project remains relevant as it is the main project supporting the mandate of the 1988 Convention related to precursor control given to the INCB. The project has been able to respond to the new challenges generated by the proliferation of non-scheduled substances although much remains to be done.

GLO565 provides the INCB and Governments with the expertise, tools, information, and other resources to better enabling them to effectively control these substances while ensuring their availability for legitimate purposes. The environment of precursor control is one characterized by frequent changes with new, often non-scheduled, substances appearing with increasing frequency. GLO565 has been able to respond to these new challenges and threats through ongoing monitoring, data collection, technical expertise, investigations, and detailed analysis. The information gathered is disseminated to all parties through various means including the International Special Surveillance List (ISSL) and recommending scheduling of new substances as appropriate. Support is also offered to strengthen the capacity of Governments to control precursors. The increasing number of unscheduled precursors appearing, the frequency with which this occurs as well as the lengthy process of scheduling, means that the scheduling as the primary means of controlling precursors may no longer be practical.

Conclusion 2 - Efficiency

Project implementation has been efficient in an environment of limited human and financial resources. GLO565 relies on highly specialised staff, on external funding from a narrow donor base and on technological resources that are vital to the project but require continuous upgrading. Efficiency is undermined by the design of its results framework and its project monitoring system.

Although it fulfils a mandate of the 1988 Convention, GLO565 does not receive direct support from the Regular Budget. Funding received from external sources between 2012 and 2019 has come largely from one donor, the United States, and has fluctuated over the past few years. To meet the demands of the project, both planned and unplanned, it has been necessary to supplement the work of GLO565's paid staff with support from Regular Budget funded staff.

GLO565 has made use of information technology, developing various systems such as IDS, PEN online and PICS that are essential for the implementation of the project in its efforts to control precursors. While PICS has been kept up to date, the IDS system urgently requires revamping. PEN online, despite being an old system that requires further upgrades, is still functioning relatively well. Both the design of IDS and PEN Online did not include a maintenance plan which is now necessary for them to continue to function properly.

The logical framework of the project does not adequately reflect what the project is doing and does not allow for systematic monitoring of activities, outputs and outcomes.

Conclusion 3 - Coherence

The implementation of GLO565 has benefited from partnerships and collaboration with other entities involved in precursor control, but most of these have been based on ad hoc arrangements that lack a strategic approach to partnership building and management. The partnership between the INCB Secretariat Precursors Control Section and some UNODC sections and programmes has been mutually beneficial although it has been more successful in some regions than in others.

Despite the more informal nature of the partnerships, GLO565 has been able to benefit from the relationships it has established with other entities, both regional and global, that share a concern for precursor control. The activities and innovative approaches implemented by GLO565 have been effective in raising awareness and fostering coordination with the private sector in efforts to increase effective precursor control. This has included the chemical industry, but also other related sectors, such as those involved in Internet-related activities and services. Partnership with some UNODC sections and programmes has allowed INCB Secretariat

Precursors Control Section to work closer and establish synergies in the field with some UNODC regional offices that are working on precursor control. It has also enabled UNODC to benefit from the INCB's experience in this area of activity.

Conclusion 4 – Effectiveness

Through its support to the Board, GLO565 has contributed to strengthening the capacities of governments to increase their effectiveness in controlling precursor chemicals. It has provided them with quality information and variety of tools that have allowed them to better control precursors although their effectiveness always depends on the voluntary participation and use of countries.

Governments have benefited from the capacity building support, tools, resources, information, analysis, training, and technical advice that have been made available to them through GLO565. Tools such as PEN online and PICS have been increasingly used by countries and widely recognized for their quality and utility. The project has also produced several technical documents and guidelines related to precursor control that have been of outstanding quality and usefulness. Special operations have helped to bring to light problematic precursors that may not have been identified from a national perspective and in some cases, it has facilitated collaboration between two or more countries. In addition, information on illicit precursors and nonscheduled substances through the ISSL has served as a type of “early warning system” for Governments in order to bring their attention of the potential threat they represent. The information maintained on the ISSL as well as the continued monitoring by Governments and the INCB Secretariat Precursors Control Section through GLO565, has also contributed to the rationale and recommendation for potential scheduling shared with the Board.

However, the effectiveness of GLO565 activities ultimately depends on the voluntary participation of countries who are sometimes reluctant to use and share information, or do not have the capacity to use the tools provided. There is a sense that GLO565 would benefit from increasing awareness among Governments of the tools and resources that it produces as well as the impact and potential benefits of the project.

Conclusion 5 - Impact

While GLO565 has contributed to generate a shift in diversion methodology from international to more regional or national levels, its it is challenging to clearly measure this impact or that of any of its other activities. The project’s contribution to the SDGs is not determined in its design although it is mentioned in the reporting documents.

Through the efforts of the INCB and the Precursor Control Project, most stakeholders consulted agree that the international diversion of precursor chemicals has been reduced to a minimum. Some also noted that traffickers are constantly targeting other unscheduled or uncontrolled precursors for use in illicit drug manufacture, which could be an indication of the project's contribution. GLO565 has served to increase the awareness of many governments regarding newer precursors being diverted and used for this purpose. It has also helped them in the investigation of cases and in stopping diversion. However, there is no data available that measures the extent to which INCB recommendations are in fact implemented by countries since compliance with or implementation of advice received from INCB is in large part voluntary and not tracked. On the other hand, without knowing the magnitude of illegal activity such as precursor diversion in quantifiable terms it becomes difficult to measure impact, with any degree of credibility, based on actions taken.

Conclusion 6– Human rights, gender, leaving no one behind

Cross-cutting issues including human rights and leaving no one behind have been partly addressed by the project although they have not been systematically integrated or mainstreamed. The control of precursors chemicals does not have gender implications.

Although the project document and its revisions have not incorporated the human rights approach, the Annual Report clearly addresses it. Precursor control is gender neutral, as it does not affect men and women differently. However, the project has tried to integrate a gender perspective in areas within its control such as when recruiting new staff and organising training for national competent authorities and PEN online users.

In terms of leaving no one behind, the project has tried to reach out to countries with the least capacity to control precursors, even though it lacks sufficient resources to cover many of the gaps they face.

Conclusion 7 - Sustainability

The sustainability of GLO565 depends on securing sufficient, dependable financial resources, human resources with the specialized technical knowledge and expertise required by the project, information systems and tools that are current and maintained and the voluntary support of the Governments to provide and share information in a timely manner.

It is likely that funding for this project or its successor will depend on external sources. Success in securing these resources will depend on various factors, none the least of which will be promoting the importance of precursor control at the global, regional, and national levels as well as the benefits that can be realized through the GLO565's successor. The project needs to show Governments and potential donors the project's value added for them. Similarly, it will be important to highlight the ability of the project to effectively meet the changing challenges presented by precursor control in the future in support of Governments. In this way, GLO565 will have the potential to expand its donor base not only in the number of the supporters it can secure but also diversify of the sectors from which they are drawn.

IV. RECOMMENDATIONS

RECOMMENDATION 1 – DESIGN OF A NEW PROJECT

Design a new project with clear theory of change and M&E framework to enhance project implementation

Recipient: Precursors Control Section (PRE), Secretariat of the International Narcotics Control Board (SINCB), Division for Treaty Affairs (DTA), UNODC.

GLO565 has been running for 30 years, which implies that some of the expected results are no longer relevant, as is the case for outcome 4. This also implies that the project design does not reflect a clear theory of change and logical framework that sustains it. The adoption of a theory of change will allow to measure progress over a long-term period and would help to set solid foundations for more effective results-based management.

The theory of change should be accompanied by a results framework that ensures that planned results follow a logical pathway. It will also help to design measurable indicators to perform more effective project monitoring, communicate results more clearly and better respond to partner and donor requests for information. A new successor project would also help to better link its contribution to the Sustainable Development Goals and incorporate more clearly the human rights approach and to leave no one behind. It would also help to plan more realistically for the resources needed, including human, financial, and technological. In addition, the new design would allow for a proper and comprehensive risk assessment to be incorporated, considering the new international reality in precursor control. It could also incorporate mitigation measures and contingency plans in case the risk materialises. The new project could also incorporate midterm evaluations that could help assessing how far the project is progressing and outline the effective ways forward. Considering the changing environment where GLO565 operates, a midterm evaluation can be very helpful when considering changing or adding new components to a project.

RECOMMENDATION 2 – COMMUNICATION

Develop a communication strategy aimed at higher visibility to the activities and results of the project and the precursor control system with Governments and other partners.

Recipient: Precursors Control Section (PRE), Secretariat of the International Narcotics Control Board (SINCB), Division for Treaty Affairs (DTA), UNODC

The project depends on the political will and active participation of Governments in precursor control. This relates to the extent to which Governments respond to and implement the recommendations offered by INCB but also depends on the sharing and exchange of information through tools such as the Form D, PEN Online and PICS. More intensive and results-based communication that clearly reflects the activities implemented by the project, as well as the results achieved, could serve to raise the profile of the issue of precursor control at the global, regional and national levels. It would also help to raise awareness among Governments of the importance of using the tools and resources available to the project and the benefits of their use. Updating the design and structure of the website and its content and making it more visually appealing could be a measure to consider, as well as monitoring its use through Google Analytics. The use of social networks like LinkedIn, the design of brochures and audio-visual content would also be strategies to take into account.

RECOMMENDATION 3 – RESOURCE MOBILIZATION

Establish a more dependable source of funding that responds to current and future resource needs for precursor control activities.

Recipient: Precursors Control Section (PRE), Secretariat of the International Narcotics Control Board (SINCB), Division for Treaty Affairs (DTA), UNODC

The Precursors Control Project responds to a mandate defined by the 1988 Convention. Funding to support activities has come from external sources rather than from the regular UN budget. The donor base for these external funds has been relatively narrow and limited to funding from a few governments. The INCB Secretariat Precursors Control Section should broaden this donor base to involve more governments that have benefited from the project. In this process, the INCB Secretariat Precursors Control Section could take advantage of the results-based communication strategy to highlight the benefits the project offers to potential donors, the successes or impacts achieved and the possible consequences of decreased precursor control. As part of the effort to expand its funding base, the INCB may wish to explore the possibility of securing resources from the regular fund.

RECOMMENDATION 4 – UPDATE TECHNOLOGY

Review the status of systems or tools such as IDS, PEN online and PICS and develop a long-term plan for their development, support and maintenance to meet current and future needs in order to ensure their proper functioning and funding.

Recipient: Precursors Control Section (PRE), Secretariat of the International Narcotics Control Board (SINCB), Division for Treaty Affairs (DTA), UNODC and INCB Secretariat

The systems and tools developed through the project need, to varying degrees, to be updated if not now, then in the near future. It is necessary to examine the systems and tools to determine what changes are needed and the potential risks of not making those changes. Based on this, it is recommended to develop a long-term plan on how to address current and ongoing needs for changes based on the requirements defined by the INCB, external users, but also based on the recommendations of IT experts. As part of the plan to achieve the foregoing, it is necessary to consider the development, maintenance and general support activities related to the systems and tools and the funds required to pay for them.

RECOMMENDATION 5 – PARTNERSHIPS

Expand partnership opportunities with regional organizations and strengthen and more clearly define the working relationship with UNODC, where appropriate, with its regional and country offices. Develop mechanism to engage other related private sector

Recipient: Precursors Control Section (PRE), Secretariat of the International Narcotics Control Board (SINCB), Division for Treaty Affairs (DTA), DIVISION of Operations UNODC and INCB Secretariat

The INCB has used partnerships to take advantage of opportunities to address shared concerns with other entities, minimize duplication of effort and expand its reach to target populations and organizations. Most of these partnerships have been developed on an ad hoc basis. INCB can also promote partnerships between the Governments and other related private sectors, such as Internet-related sectors (e-commerce, e-finance service providers, social media, etc.) to engage them in the control of precursors. The project should continue to explore such partnerships, looking to build the successes realized to date and expand to new areas or sectors. Consideration should also be given to entering into more formal agreements, where possible, using vehicles such as MOU for this purpose.

The project has a shared interest with UNODC regarding precursors given their use in illicit drug production including NPS. The INCB Precursors Control Section has a particularly close working relationship with certain regional and country offices where there is a specific project in place regarding precursors or there is a particular interest in this issue. UNODC and INCB should more clearly define their respective areas of responsibility related to precursors and how they could build on the successes they have realized, taking full advantage of what they each bring to the table. The Precursors Control Section should also explore the extent to which it might work more closely with other UNODC regional and country offices where precursor control may become a more pressing issue.

V. LESSONS LEARNED AND BEST PRACTICES

LESSONS LEARNED

- The active voluntary participation of Governments through timely information sharing and exchange, the willingness to cooperate and collaborate with others and to implement recommendations received from the INCB are essential to the success of this project.
- The more realistic and clearer the theory of change of the project is, the more facilitating it will be for implementation, monitoring, and evaluation. It also allows for better reporting and communicating of results achieved.
- While precursor control has traditionally been seen as a regulatory and administrative function carried out by government agencies, the current situation of precursor trafficking shows that the private sector can also play an important role in this process.
- The spontaneity of an ad hoc approach allows the project to be flexible and take advantage of opportunities as they arise. At the same time, a more strategic approach and long-term planning process helps to address more comprehensively strategic issues such as operational activities, communication, technology, resource mobilization and partnership development among others.

BEST PRACTICES

- The specialized management, technical expertise, experience, and support of the INCB Secretariat staff and Precursor Control Task Force members are critical to effective precursor control.
- The innovative approaches applied by GLO565 have enabled it to respond effectively to the new challenges that it faces with respect to the control of precursors. This is demonstrated through its development of tools like PEN online and PICS, and the various other resources, papers and guidelines that have been made available to Governments as well as its efforts to engage other stakeholders such as those in the private sector and regional experts, through the Precursor Control Task Force.

ANNEX I: TERMS OF REFERENCE

Independent Project Evaluation of INCB Databank for Precursor Control (GLO565)

BACKGROUND AND CONTEXT

Project/Programme number:	GLO565 – SB-004832
Project/Programme title:	INCB Databank for Precursors Control
Duration (dd/mm/yyyy-dd/mm/yyyy):	01/01/1992 - 31/12/2021
Location:	Global – HQ Vienna
Linkages to Country, Regional and Thematic Programmes:	Sub programme 9: Provision of secretariat services and substantive support to the governing bodies and the International Narcotics Control Board.
Linkages to UNDAF’s strategic outcomes to which the project/programme contributes ⁹	N/A
Linkages to the SDG targets to which the project contributes:	SDG3, SDG16
Executing Agency:	UNODC/DTA/SINCB/PRE
Partner Organizations:	N/A
Total Approved Budget (USD):	USD 12,790,079
Total Overall Budget (USD):	USD 23,907,356
Total Expenditure by date of initiation of evaluation (USD):	18,015,463* (for background, see “Project Overview”)
Donors:	Australia, Canada, European Union, France, Japan, Russian Federation, Switzerland, Turkey, United Kingdom, and United States of America
Project/Programme Manager:	Barbara Remberg
Type and time frame of evaluation: (Independent Project Evaluation/In-depth Evaluation/mid-term/final)	Final Independent Project Evaluation
Time frame of the project covered by the evaluation (<i>until the end of the evaluation field mission</i>):	01/01/2013 - 31/12/2019
Geographical coverage of the evaluation:	Global

⁹ United Nations Development Assistance Framework

Budget for this evaluation in USD ¹⁰ :	Up to 50,000
Number of independent evaluators planned for this evaluation ¹¹ :	1 Lead Evaluator, 1 Precursors Expert
Type and year of past evaluations (if any):	Mid-term project evaluation, 2012

Project overview

When the United Nations Convention against Illicit Traffic in Narcotic Drugs and Psychotropic Substances of 1988¹² came into force, it was understood that Regular Budget resources were to be made available to ensure that the International Narcotics Control Board (INCB) was in a position to discharge its mandated functions under the Convention¹³. As these resources were not fully forthcoming, project GLO565 was created to fill the gap.

Activities under Project GLO565 are therefore part of the core mandate of INCB in the area of international precursor control, namely supporting Governments in identifying and addressing weaknesses in control systems and preventing chemicals from being diverted from licit channels and used in illicit drug laboratories. Activities to that end include: (i) the monitoring of licit trade in chemicals listed in Table I and II of the 1988 Convention, (ii) facilitating investigations into suspected diversions and seizures, and (iii) assessing chemicals for international control.

Over the last close to 30 years since its inception in 1992, the project has provided for the development and maintenance of the central databank on precursors, including administering Governments reporting to the Board (Form D) and the operation of the system of pre-export notifications mandated under the 1988 Convention. The databank and the Pre-Export Notification (PEN) Online system have become the cornerstone of the international precursors monitoring and control system, providing a mechanism for global risk-assessment of precursor trade, also feeding into INCB-led international collaborative initiatives, such as Project Cohesion and Project Prism and the Precursor Control Task Force mechanism. The information generated also feeds into the assessment of chemicals for possible inclusion in Table I or II of the 1988 Convention, such as the recent international scheduling of precursors of fentanyl, and a number of designer precursors of amphetamine-type stimulants. As diversion is now primarily domestic in nature, tools to enhance precursor control at national levels are also being developed and their implementation promoted in targeted high-risk areas, for example, through a component under the project that focuses on enhancing public-private partnerships. To facilitate investigations into precursor incidents, project GLO565 also developed and now manages and maintains the Precursors Incident Communication System (PICS), a secure communication platform which provides for the global real-time exchange of illicit precursor intelligence and information, launched in March 2012.

In its 2013 revision, the project included, as an additional outcome, operational activities to reduce the availability of new psychoactive substances (NPS), building on the experiences and successes from the Task Force approach to scheduled and non-scheduled precursors. The outcome was initially added on a temporary basis, with the aim of being subsequently transferred into a separate new project but was later continued under GLO565 with the donor's agreement. In response to the synthetic opioids overdose crisis driven by emerging, non-medical fentanyl-related substances, the Board initiated its Operational Partnerships to Interdict Opioids' Illicit Distribution and Sales (OPIOIDS) project in 2017, which was incorporated into the same outcome. Since February 2020, both activities have been integrated into a new project GLOW95 (aka GRIDS - Global

¹⁰ Including fees for evaluation team, travel, printing, editing, translation, interpretation, etc.

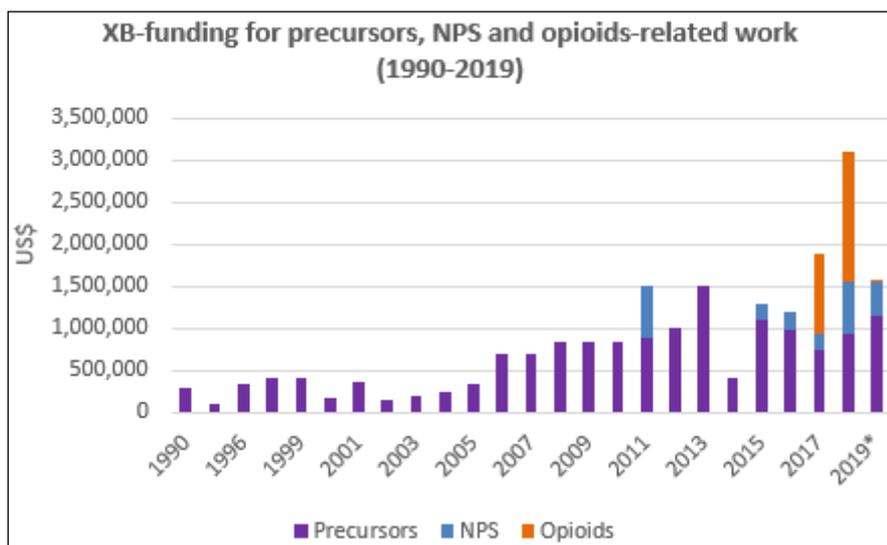
¹¹ Please note that the minimum for any UNODC evaluation is two independent evaluators, i.e. one lead evaluator and one team member.

¹² https://www.unodc.org/pdf/convention_1988_en.pdf

¹³ See Resolution 3 adopted by the plenipotentiary conference, and ECOSOC Resolution 1992/29, OP13.

Rapid Interdiction of Dangerous Substances) and are being gradually phased out under GLO565.¹⁴ The activities related to NPS and OPIOIDS, may therefore, not be included within the scope of the present Evaluation and the same may be limited to Outcomes 1 – 6, i.e. outcomes related to the original mandate of the project – precursor chemicals.

Further, the following chart would indicate the extent of funding for the project towards the aforesaid original mandate of precursors. Evidently, in the last few years, the budget and spending on precursor related activities has in fact levelled off or declines, while most of the increased budget has gone towards activities related to NPS and non-medical synthetic opioids.



* Additional amounts for opioids-related work were pledged under project GLOW95 (GRIDS).

Over the years, more than 90 per cent of the available extra-budgetary resources for precursor control and related activities have related to staffing. GLO565 is therefore not a typical technical assistance project, but rather a vehicle to supplement Regular Budget resources mostly to fund the staff. The single most prevalent challenge of the project has therefore been its sustainability, in other words: how to secure the project's independence from potentially volatile voluntary donor contributions while ensuring continued funding availability and stability for (a) the large staffing component required to deliver core mandated activities, and for (b) the maintenance and continuously required upgrades of three complex IT platforms that underpin the international precursors control framework today (the INCB databank on precursors, PEN Online, and PICS). In essence, the nature of the work is not strictly project-related yet required to operate as if it were – with all associated risks and peculiarities of a project environment.

It is also important to note that INCB is administratively linked with UNODC but substantively independent. The practical implications of this situation have surfaced on a recurrent basis and have impacted precursor-related work both substantively (e.g., in the areas of precursor investigations/ case work, Internet-facilitated trade/cybercrime, and data-sharing between the two agencies considering that some Government data is shared with INCB on a confidential basis) and administratively (e.g., in relation to project approvals¹⁵ and potential competition for the same donor funding). The possibility for overlap that has thus been created and the associated coordination challenges may impact negatively on both agencies' efforts in the area.

¹⁴ Remaining funds in GLO565 for activities related to synthetic opioids and NPS will be used in line with pledge letters and for the duration of GLO565 lifetime; any funds remaining in project GLO565 upon its closure will be transferred to project GLOW95, in agreement with the donors.

¹⁵ For example, activities under outcome 4 have significantly decreased in recent years.

PURPOSE OF THE EVALUATION

Project GLO565 was launched in 1992 as a direct consequence of the coming-into-force of the 1988 Convention, to enable INCB to discharge its additional core functions under that Convention for which Regular Budget resources were to be made available but were not forth-coming. An [independent project evaluation](#) was conducted in 2012, focusing on assessing the available tools and mechanisms for licit trade monitoring and chemical diversion investigations developed under the project and covering the period 2007-2011.

The purpose of the present evaluation is to inform the development of a successor project that will enable the INCB Secretariat to continue to provide effective and efficient support to the Board and facilitate the implementation of a global regime for the monitoring and control of precursor chemicals as envisaged under the 1988 Convention yet adapting format and activities to the present needs. Given that the new project is expected to replace project GLO565 which was formulated almost 30 years ago, a special focus of the evaluation is on assessing how the relevance and effectiveness of activities can be further improved to meet the precursor-related challenges of the 21st century and how impact can be measured in a meaningful way (see also key evaluation questions in section III, below).

To put the evaluation into context, it will be important to acknowledge that activities undertaken under project GLO565 are part of the core mandate of INCB and cannot be separated easily from other activities performed by staff funded from the Regular Budget.

In addition, on the understanding that the aim is to create a successor project for GLO565 with a focus on carrying forward and better streamlining precursors-centred activities, the evaluation will be better served to focus on outcomes 1-6 which are expected to be carried over into a new global project. Activities related to new psychoactive substances (NPS) and non-medical synthetic opioids, included in outcome 7, may not be included to the same extent. These activities were temporarily included in project GLO565 in 2013 and 2017, respectively, and will not be the main focus of the present evaluation. They may be considered with a view to determining how to ensure that their transition and integration into project GLOW95 can continue to provide synergies and methodological links.

The following DAC criteria will be assessed during the evaluation: relevance, efficiency, coherence, effectiveness, impact and sustainability. In addition, aspects of human rights and gender mainstreaming will be assessed. The evaluation will specifically assess how gender equality, human rights and disability aspects have been addressed by and mainstreamed into the project. Furthermore, lessons learned and best practices will be identified and recommendations, including for the next global project, will be formulated based on the evaluation findings.

EVALUATION CRITERIA

The evaluation will be conducted based on the following DAC criteria¹⁶: relevance, efficiency, coherence, effectiveness, impact and sustainability, as well as design, partnerships and cooperation, human rights, gender equality and leaving no one behind as well as lesson learned and best practices. All evaluations must include gender, human rights and no one left behind, including disability. Ideally these are mainstreamed within the evaluation questions. The evaluation criteria will be addressed as appropriate to the evaluation purpose. Evaluation criteria and questions should be selected to meet the needs of the stakeholders and evaluation

¹⁶ <https://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

context. The evaluation criteria and questions will be further refined by the Evaluation Team in the drafting of the Inception Report.

Relevance: Is the intervention doing the right thing?
<i>Relevance is the extent to which the activity is suited to the priorities and policies of the target group, recipient and donor.</i>
1. To what extent were the project approach, strategy and funding model suited to the implementation of precursor control as a core activity of INCB mandated under the 1988 Convention?
2. How has the project contributed to identifying and addressing current global challenges relevant to precursors control such as the emergence of non-scheduled chemicals and designer precursors?
Coherence¹⁷: How well does the intervention fit?
<i>The compatibility of the intervention with other interventions in the country, sector or institution</i>
3. To what extent has the project contributed to relevant coordination and cooperation efforts with national and international counterparts and partners?
4. What were the facilitating and hindering aspects of the project's approach to partnerships and cooperation?
Efficiency: How well are resources being used?
<i>The extent to which the intervention delivers, or is likely to deliver, results in an economic and timely way.</i>
5. Have the resources been invested efficiently for project implementation?
6. How efficient is the ad-hoc delivery of precursor-related expertise to UNODC field and other partners' projects and activities?
Effectiveness: Is the intervention achieving its objectives?
<i>The extent to which the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups.</i>
7. To what extent has the project facilitated in preventing diversion of precursors from licit international trade?
8. How effective is the project in terms of guiding Government counterparts to exchange actionable information and investigate precursor incidents?
Impact: What difference does the intervention make?
<i>The extent to which the intervention has generated or is expected to generate significant positive or negative, intended or unintended, higher-level effects.</i>
9. What difference has the project made to beneficiaries at different levels, e.g., the Board, Governments, policy makers, regulatory and law enforcement officials?
10. To what extent did the project/programme contribute to the Sustainable Development Goals?
Sustainability: Will the benefits last?
<i>The extent to which the net benefits of the intervention continue or are likely to continue.</i>
11. To what extent has the project contributed to establishing capacity and willingness of Governments for preventing and addressing chemical diversions?
Human rights, gender equality, and leaving no one behind: Has the intervention been inclusive and human rights based?
<i>The extent to which the project/programme has mainstreamed human rights, gender equality, and the dignity of individuals, i.e. vulnerable groups, including those with disabilities.</i>
12. To what extent were gender equality, human rights and disability inclusion considerations included in the project design and implementation?
Lessons learned and best practices
<i>Lessons learned concern the learning experiences and insights that were gained throughout the project/programme.</i>
13. To what extent did the project/programme implement recommendations of relevant previous evaluation(s)?
14. What lessons can be learned and best practices be identified (which should be replicated) from the implementation of the project?

¹⁷ Includes the previous criteria of partnerships and cooperation

The methods used to collect and analyse data

This evaluation will use methodologies and techniques as determined by the specific needs for information, the questions set out in the TOR and further refined in the Inception Report, as well as the availability of stakeholders. In all cases, the evaluation team is expected to analyse all relevant information sources, such as reports, project documents, thematic projects, internal review reports, project files, evaluation reports (if available), financial reports and any other additional documents that may provide further evidence for triangulation, on which their conclusions will be based. The evaluation team is also expected to use interviews, surveys or any other relevant quantitative and/or qualitative tools as a means to collect relevant data for the evaluation. While maintaining independence, the evaluation will be carried out based on a participatory approach, which seeks the views and assessments of all parties identified as the stakeholders of the project/programme. The Core Learning Partners (CLP).

The evaluation team will be asked to present a summarized methodology (including an evaluation matrix) in the Inception Report outlining the evaluation criteria, indicators, sources of information and methods of data collection. The evaluation methodology must conform to the United Nations Evaluation Group (UNEG) Norms and Standards as well as the UNODC Evaluation Policy, Norms and Standards. Given that this is a summative evaluation aimed at informing future programming, special emphasis will be given to identifying lessons learned and best practices as well as to providing recommendations for the project management of successor projects to GLO565.

While the evaluation team shall fine-tune the methodology for the evaluation in an Inception Report, a mixed-methods approach of qualitative and quantitative methods is mandatory due to its appropriateness to ensure a gender-sensitive, inclusive methodology. Special attention shall be paid to an unbiased and objective approach and the triangulation of sources, methods, data, and theories. The limitations to the evaluation need to be identified and discussed by the evaluation team in the Inception Report, e.g. data constraints (such as missing baseline and monitoring data). Potential limitations as well as the chosen mitigating measures should be discussed.

The main elements of the evaluation process are the following:

- Preparation and submission of an Inception Report (containing initial observations of the desk review, refined evaluation questions, data collection instruments, sampling strategy, limitations to the evaluation, and timetable) to IES through Unite Evaluations (<https://evaluations.unodc.org>) for review and clearance at least one week before any field mission may take place (may entail several rounds of comments);
- Initial meetings and interviews with the Project Manager and other UNODC staff as well as stakeholders during the field mission;
- 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 IES website <http://www.unodc.org/unodc/en/evaluation/index.html>). The lead evaluator submits the draft report to IES only through Unite Evaluations for review and clearance (may entail several rounds of comments). A briefing on the draft report with project/programme management may also be organized. This will be based on discussion with IES and project/programme management.
- Preparation of the final evaluation report and an Evaluation Brief (2-pager), including full proofreading and editing, submission to IES through Unite Evaluations for review and clearance (may entail several rounds of comments). It further includes a PowerPoint presentation on final evaluation findings and recommendations;

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

TIMEFRAME AND DELIVERABLES

<i>Evaluation stage</i>	<i>Start date (dd/mm/yy)</i>	<i>End date (dd/mm/yy)</i>	<i>Subsumed tasks, roles</i>	<i>Guidance / Process description</i>
<i>Inception Report</i>	<i>12/10/20</i>	<i>07/12/20</i>	<i>Draft IR; Review by IES, PM; Final IR</i>	<i>Includes 2 weeks for review by IES</i>
<i>Data collection</i>	<i>07/12/20</i>	<i>29/01/21</i>	<i>observation; interviews; etc.</i>	<i>Coordination of data collection dates and logistics with PM.</i>
<i>Draft report</i>	<i>01/02/21</i>	<i>26/02/21</i>	<i>Drafting of report; by evaluators</i>	
<i>Draft report for CLP comments</i>	<i>01/03/21</i>	<i>19/03/21</i>	<i>Compilation of comments by IES</i>	<i>Comments will be shared by IES with evaluators</i>
<i>Final report and Brief</i>	<i>22/03/21</i>	<i>23/04/21</i>	<i>Share with CLPs; revision by eval; review/approval by IES; incorporation of MR by PM</i>	<i>Evaluation report and Brief are finalised. Includes 1 week for review by IES</i>
<i>Presentation and Powerpoint (1 week)</i>	<i>26/04/21</i>	<i>30/04/21</i>	<i>PPT reviewed and finalised; presentation organised</i>	<i>Date of presentation of final results to be agreed with PM.</i>
<i>Evaluation Follow-up Plan (4-6 weeks)</i>	<i>03/05/21</i>	<i>11/06/21</i>	<i>EFP submitted.</i>	<i>PM to submit EFP to IES within 6 weeks after approval of final report.</i>

The UNODC Independent Evaluation Section may change the evaluation process, timeline, approach, etc. as necessary at any point throughout the evaluation-process.

EVALUATION TEAM COMPOSITION

The evaluation shall be carried out by a team of 2 Evaluators – 1 Lead evaluator with expertise in evaluation and another team member who shall be the subject matter expert. At least one of the two should have expertise in human rights and gender equality. The detailed expertise required by the evaluation team is indicated here under.

Role	Number of consultants¹⁸ (national/international)	Specific expertise required¹⁹
Lead evaluator	1 (international consultant)	Evaluation methodology; solid understanding of different UN mandate-types and organizational setups, including Regular Budget and extra-budgetary environments; expertise in Gender Equality and Human Rights evaluation approaches
Team member/expert	1 (international consultant)	Expertise in Precursor control (both regulatory and law enforcement/operational aspects); understanding of different UN mandate-types and organizational setups, including Regular Budget and extra-budgetary environments

The evaluation team will not act as representatives of any party and must remain independent and impartial. The qualifications and responsibilities for each evaluation team member are specified in the respective job descriptions attached to these Terms of Reference (Annex 1). The evaluation team will report exclusively to the Chief or Deputy Chief of the UNODC Independent Evaluation Section, who are the exclusive clearing entity for all evaluation deliverables and products.

Absence of Conflict of Interest

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

Furthermore, the evaluation team shall respect and follow the UNEG Ethical Guidelines for conducting evaluations in a sensitive and ethical manner.

MANAGEMENT OF THE EVALUATION PROCESS

Roles and responsibilities of the Project/Programme Manager

The Project/Programme Manager is responsible for:

- *(for Independent Project Evaluations: managing the evaluation process)*
- drafting and finalizing the ToR,
- identifying stakeholders and selecting Core Learning Partners (representing a balance of men, women and other marginalised groups) and informing them of their role,
- recruiting the evaluation team following clearance by IES, ensuring issued contracts ahead of the start of the evaluation process in line with the cleared ToR. In case of any delay, IES and the evaluation team are to be immediately notified,
- providing desk review materials (including data and information on men, women and other marginalised groups) to the evaluation,

¹⁸ Please note that an evaluation team needs to consist of at least 2 independent evaluators – at least one team leader and one team member.

¹⁹ Please add the specific technical expertise needed (e.g. expertise in anti-corruption; counter terrorism; etc.) – please note that at least one evaluation team member needs to have expertise in human rights and gender equality.

- reviewing the draft report for factual errors,
- developing a follow-up plan for the usage of the evaluation results and recording of the implementation of the evaluation recommendations (to be updated once per year),
- disseminate the final evaluation report and communicate evaluation results to relevant stakeholders as well as facilitate the presentation of evaluation results;

The Project/Programme 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 (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 and arrangements for the presentation of the evaluation results;
- Ensure timely payment of all fees/DSA/etc. (payments for the evaluation team must be released within 5 working days after the respective deliverable is cleared by IES).

Roles and responsibilities of the Independent Evaluation Section

The Independent Evaluation Section (IES) provides mandatory normative tools, guidelines and templates to be used in the evaluation process²⁰. Furthermore, IES provides guidance, quality assurance and evaluation expertise, as well as interacts with the project manager and the evaluation team throughout the evaluation process. IES may change the evaluation process, timeline, approach, etc. as necessary at any point throughout the evaluation process.

IES reviews, comments on and clears all steps and deliverables during the evaluation process: Terms of Reference; Selection of the evaluation team, Inception Report; Draft Evaluation Report; Final Evaluation Report, Evaluation Brief and PowerPoint slides on the final evaluation results; Evaluation Follow-up Plan. IES further publishes the final evaluation report and the Evaluation Brief on the UNODC website, as well as sends the final evaluation report to an external evaluation quality assurance provider.

PAYMENT MODALITIES

The evaluation team will be issued consultancy contracts and paid in accordance with UNODC rules and regulations. The payment will be made by deliverable and only once cleared by IES. Moreover, 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. Deliverables which do not meet UNODC and UNEG evaluation norms and standards will not be cleared by IES.

IES is the sole entity to request payments to be released in relation to evaluation. Project/Programme Management must fulfil any such request within 5 working days to ensure the independence of this evaluation process. Non-compliance by Project/Programme Management may result in the decision to discontinue the evaluation by IES.

²⁰ Please find the respective tools on the IES web site <http://www.unodc.org/unodc/en/evaluation/evaluation.html>.

ANNEX II: EVALUATION TOOLS: QUESTIONNAIRES AND INTERVIEW GUIDES

Interview Guides

1. Semi-structured interview guide for INCB Board Members

Date/ Location	
Interviewers	
Name of interviewee	
Organization/Entity	
Position of interviewee	
Contact Details (Email / Tel)	

Before starting the interview:

Welcome and thank interviewee(s) for their participation and time. Explain the purpose of the interview:

The Independent Evaluation Section of United Nations Office on Drugs and Crime (UNODC) is in the process of undertaking a Final Independent Project Evaluation of Project GLO565 supporting the Board's work in the area of global precursor control.

The purpose of the evaluation is to inform the development of a successor project that will enable the INCB Secretariat to continue to provide effective and efficient support to the Board, yet adapting format and activities to present needs. Given that the new project is expected to replace project GLO565 which was formulated almost 30 years ago, a special focus of the evaluation is on assessing how the relevance and effectiveness of activities can be further improved to meet the precursor-related challenges of the 21st century. Consideration will also be given to how impact can be measured in a meaningful way and provide recommendations and lessons learned.

The evaluation is being carried out by a team of two external independent evaluators, Ms. Sofia Guillot de la Puente (Evaluation Expert) and Mr. Ihor Malyniwsky (Thematic Expert on {Precursor Control}).

All information from the interview is treated confidentially, and no individual information will be disclosed in the evaluation report.

Ask if the interviewee agrees to the interview being recorded for facilitation of data processing – all recordings will be deleted afterwards. Please note that some of the questions have already been asked in the survey sent _____ (specify date) , so if you have already answered them, this interview will only serve to complement them and obtain more qualitative information.

Intro: General Description

1. Please tell us about your current activities (country of origin how long you have been a member of the Board)

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Relevance

2. To what extent has the precursor control programme (Project GLO565) contributed to or facilitated the implementation of precursor control as a core activity of INCB mandated under the 1988 Convention?

3. In your view, to what extent has the precursor control programme (project GLO565) contributed to or facilitated your role in monitoring Governments' control over precursors and other chemicals used in the illicit manufacture of drugs, and to assist them in preventing the diversion of those chemicals into illicit trafficking?

4. To what extent has the precursor control programme (project GLO565) contributed to or facilitated your work on the Board in identifying and addressing current global challenges related to precursor control such as the emergence of non-scheduled chemicals and designer precursors? To what extent has the project had sufficient flexibility and capacity to respond to these challenges and threats?

Coherence

5. What have been the key partnerships established under the precursor programme (GLO565), with which institutions and what have been the main achievements in this regard?

What were the facilitating and hindering aspects of the programmes's approach to partnerships and cooperation?

Effectiveness

- At the outset of the GLO565 project a number of outcomes and outputs were identified. To what extent would you assess the effectiveness of the project to have contributed to each of these outcomes or outputs?
- *Outcome: INCB establishes a global regime for the monitoring and control of precursor chemicals as envisaged under the 1988 Convention*

Assessment:

Please explain: Where do you see main achievements as well as facilitating and hindering factors?

- *Output 1: Provided support to the Board with a basis for its examination of the world situation related to precursor chemical control through a functional databank available on precursors and other chemicals used in the illicit manufacture of drugs*

Assessment:

Please explain: Where do you see main achievements as well as facilitating and hindering factors in this support?

- *Output 2: Governments have strengthened their capacities to identify and address weaknesses in the prevention of diversion of precursors and other chemicals from licit international trade.*

Assessment:

Please explain: Where do you see main achievements as well as facilitating and hindering factors?

- *Output 3: Provided support to the Board in the process of examination and approval of scheduling of substances not yet under international control under 1988 convention*

Assessment:

Please explain: Where do you see main achievements as well as facilitating and hindering factors in this support?

- *Output 5: Mechanism in place to promote and support the use of Global electronic Pre-Export Notification system (PEN-online) and Simplified Estimates system (known as annual legitimate requirements, ALRs) in use by Governments*

Assessment:

-

Please explain: Where do you see main achievements as well as facilitating and hindering factors?

- *Output 6: Governments have strengthened their capacity of regulating and controlling precursors through participation in Project Prism for amphetamine-type stimulant (ATS) precursors (now expanded to synthetic drug precursors more generally), and Project Cohesion for the chemicals used in the illicit manufacture of heroin and cocaine*

Assessment:

Please explain: Where do you see main achievements as well as facilitating and hindering factors?

Efficiency

6. Please explain your level of satisfaction with the quality and timeliness of substantive services in relation to precursor issues provided by the Secretariat to the Board.

7. How would you assess the manner and extent to which the INCB Secretariat communicates with Board members in relation to precursor issues? Can you share some examples of particularly good practices applied in this regard?

8. What, if any, challenges to effective communication do you feel exist?

Impact

11. To what extent has the project made a difference to beneficiaries at different levels, e.g., Governments, policy makers, regulatory and law enforcement officials?

To what extent has the project contributed to the United Nations Sustainable Development Goals?

Sustainability

12. What do you see as facilitating and hindering factors for the sustainability of the programme or any of its results?

13. What are the main factors that hinder or facilitate donor interest and funding?

14. What changes would you recommend to the programme to attract more donor interest?

Gender, human rights and leaving no one behind

15. In your view, how have issues of Human rights, Gender Rights and “leaving no one behind” been integrated in the GLO656 project?

16. What opportunities do you see for the GLO565 successor programme to integrate HR, GR and “leaving no one behind” in its design? What would be key to addressing these aspects?

Lessons Learned and Best Practices

17. Can you share with us any lessons learned or best practices that could be applied in the formulation and/or implementation of the GLO565 successor programme, including the integration of Gender Rights and Human rights and “leaving no one behind” aspects?

18. What changes would you make in designing GLO565 successor programme?

Additional comments

2. Semi-structured interview guide for INCB Secretariat and UNODC staff

Date/ Location	
Interviewers	
Name of interviewee	
UNODC division	
UNODC section	
Position of interviewee	
Contact Details (Email / Tel)	

Before starting the interview:

Welcome and thank interviewee(s) for their participation and time. Explain the purpose of the interview:

The Independent Evaluation Section of United Nations Office on Drugs and Crime (UNODC) is in the process of undertaking a Final Independent Project Evaluation of Project GLO565 supporting the Board’s work in the area of global precursor control.

The purpose of the evaluation is to inform the development of a successor project that will enable the INCB Secretariat to continue to provide effective and efficient support to the Board, yet adapting format and activities to present needs. Given that the new project is expected to replace project GLO565 which was formulated almost 30 years ago, a special focus of the evaluation is on assessing how the relevance and effectiveness of activities can be further improved to meet the precursor-related challenges of the 21st century. Consideration will also be given to how impact can be measured in a meaningful way and provide recommendations and lessons learned.

The evaluation is being carried out by a team of two external independent evaluators, Ms. Sofia Guillot de la Puente (Evaluation Expert) and Mr. Ihor Malyniwsky (Thematic Expert on {Precursor Control}).

All information from the interview is treated confidentially, and no individual information will be disclosed in the evaluation report.

Ask if the interviewee agrees to the interview being recorded for facilitation of data processing – all recordings will be deleted afterwards. Please note that some of the questions have already been asked in the survey sent _____ (specify date), so if you have already answered them, this interview will only serve to complement them and obtain more qualitative information.

Intro: General Description

For INCB Secretariat staff

1. Please briefly explain your specific tasks related to INCB’s precursor control programme GLO565

2. Please indicate how long you have been working for the INCB Secretariat and for the precursor control area

For UNODC staff from other sections/programmes

3. Please briefly explain what you do and what is your relation with / your level of knowledge about the INCB’s precursor control programme (GLO565)

Relevance:

For INCB Secretariat staff

4. To what extent has the precursor control programme (Project GLO565) contributed to or facilitated the implementation of precursor control as a core activity of INCB mandated under the 1988 Convention?

5. In your view, to what extent has the precursor control programme (project GLO565) contributed to or facilitated the Board’s role in monitoring Governments’ control over precursors and other chemicals used in the illicit manufacture of drugs, and to assist them in preventing the diversion of those chemicals into illicit trafficking?

For INCB Secretariat and UNODC staff

6. To what extent has the precursor control programme (project GLO565) contributed to or facilitated identifying and addressing current global challenges related to precursor control such as the emergence of non-scheduled chemicals and designer precursors? To what extent has the project had sufficient flexibility and capacity to respond to new challenges and threats?

Coherence

For INCB Secretariat

7. What have been the key partnerships established under the precursor programme (GLO565), with which institutions and what have been the main achievements in this regard?

8. What were the facilitating and hindering aspects of the programme's approach to partnerships and cooperation?

Effectiveness

For INCB Secretariat staff and selected UNODC staff

9. At the outset of the GLO565 project a number of outcomes and outputs were identified. To what extent would you assess the effectiveness of the project to have contributed to each of these outcomes or outputs?

- *Outcome: INCB establishes a global regime for the monitoring and control of precursor chemicals as envisaged under the 1988 Convention*

Assessment:

Please explain: Where do you see main achievements as well as facilitating and hindering factors?

- *Output 1: Provided support to the Board with a basis for its examination of the world situation related to precursor chemical control through a functional databank available on precursors and other chemicals used in the illicit manufacture of drugs*

Assessment

Please explain: Where do you see main achievements as well as facilitating and hindering factors in this support?

- *Output 2: Governments have strengthened their capacities to identify and address weaknesses in the prevention of diversion of precursors and other chemicals from licit international trade.*

Assessment

Please explain: Where do you see main achievements as well as facilitating and hindering factors?

- *Output 3: Provided support to the Board in the process of examination and approval of scheduling of substances not yet under international control under 1988 convention*

Assessment

Please explain: Where do you see main achievements as well as facilitating and hindering factors in this support?

- *Output 5: Mechanism in place to promote and support the use of Global electronic Pre-Export Notification system (PEN-online) and Simplified Estimates system (known as annual legitimate requirements, ALRs) in use by Governments*

Assessment

Please explain: Where do you see main achievements as well as facilitating and hindering factors?

- *Output 6: Governments have strengthened their capacity of regulating and controlling precursors through participation in Project Prism for amphetamine-type stimulant (ATS) precursors (now expanded to synthetic drugs precursors more generally), and Project Cohesion for the chemicals used in the illicit manufacture of heroin and cocaine*

Assessment

Please explain: Where do you see main achievements as well as facilitating and hindering factors?

For INCB Secretariat staff

10. What are the main challenges that the Board faces in its role of supporting Governments in identifying and addressing weaknesses in their control systems and effectively preventing chemicals from being diverted from licit channels and used in illicit drug laboratories?

- ✓ Insufficient information
- ✓ Timeliness of information
- ✓ Lack of political will to make necessary changes identified
- ✓ Lengthy/complicated/bureaucratic procedures and/or requirements
- ✓ Don't know
- ✓ Other:

11. The GLO565 programme includes a number of tools and mechanisms to assist Governments in their control of precursor chemicals, promote the exchange of information and facilitate international cooperation? In your view, are these mechanisms effective in achieving these objectives? What, if any, limitations do feel exist in each of them? What could be done to improve each?

- 11.1 **PEN Online:** monitoring and facilitating the exchange of actionable information on legitimate international trade in precursors to identify, stop or suspend, investigate, and prevent suspicious transactions and diversions

- 11.2 **Precursors Incident Communication System (PICS) On-line:** facilitating the reporting and exchange of actionable information concerning trafficking or other unauthorized activity involving a precursor chemical

12. What other tools, mechanisms or resources have been implemented in the programme to assist Governments in their control of precursor chemicals, promote the exchange of information and facilitate international cooperation?

Impact

For INCB Secretariat staff and selected UNODC staff

13. To what extent has the project made a difference to beneficiaries at different levels, e.g., the Board, Governments, policy makers, regulatory and law enforcement officials? To what extent has the project contributed to the United Nations Sustainable Development Goals?

Efficiency

For INCB Secretariat and UNODC staff

14. On a scale from 1 (not efficient at all) to 5 (extremely efficient), how would you overall rate the efficiency of GLO565 in terms of converting inputs into outputs, considering staff, financial resources and time allocation?

1 – 2 – 3 – 4 – 5

Please explain: where do you see the main achievements and what are the hindering factors?

15. What changes, have been introduced in the programme further to the recommendations of the evaluation conducted in 2012?

16. What changes or improvements in management processes, including programme monitoring, have been introduced since the last evaluation in 2012? Are these changes being introduced because of the UNODC RBM requirements or policies? What additional actions are needed to improve them?

17. To what extent have INCB staff and UNODC staff cooperated and coordinated with each other in relation to precursor issues? What internal coordination/communication (vertical/horizontal) mechanisms have been implemented between UNODC and INCB secretariat in that regard? Where do you see main achievements as well as facilitating and hindering factors?

18. To what extent do you think there are any overlaps, synergies, or complementarities of the GLO565 programme with activities in UNODC related to the control of precursor chemicals? (Please explain why/why not) If yes, have synergies been actively explored and promoted?

19. Within the precursor programme budget, what percentage comes from the regular fund vs donor funding? How has this evolved over time? For what reasons?

For INCB Secretariat Staff

20. To what extent is the INCB Secretariat responsive to the training needs of countries or suggestions for changes to the following systems: PEN Online/PICS system? In case you consider that they have not been responsive, how could this be improved? Any good examples of responsiveness that can be shared?

For UNODC staff (questions will be adapted to each type of UNODC staff: financial, legal etc)

21. How does the financial administration/accounting of GLO565 work? Is there any results-based budgeting and spending overview available?

Sustainability

For INCB Secretariat staff and UNODC staff

22. What do you see as facilitating and hindering factors for the sustainability of the programme or any of its results?

23. What is the donor strategy of the project? Has donor funding evolved since 2012 and what do you see as the reasons for this development?

24. What, if any, changes would you recommend to the programme to attract more donor interest?

Human Rights and Gender Equality

For INCB Secretariat staff

25. In your view, how have issues of HR, GR and “leaving no one behind” been integrated in the GLO656 project?

26. What opportunities do you see for the GLO565 successor programme to integrate HR, GR and “leaving no one behind” in its design? What would be key to addressing these aspects?

Lessons Learned and Best Practices

For INCB Secretariat staff

27. Can you share with us any lessons learned or best practices that could be applied in the formulation and/or implementation of the GLO565 successor programme, including the integration of GE, HR and “leaving no one behind” aspects?

28. What changes would you make in designing GLO565 successor programme?

Additional comments

3. Semi-structured interview guide for PEN Online users/Competent National Authorities

Date/ Location	
Interviewers	
Name of interviewee	
Organization/Entity	
Position of interviewee	
Contact Details (Email / Tel)	

Before starting the interview:

Welcome and thank interviewee(s) for their participation and time. Explain the purpose of the interview:

The Independent Evaluation Section of United Nations Office on Drugs and Crime (UNODC) is in the process of undertaking a Final Independent Project Evaluation of Project GLO565 concerned with some of the precursors-related work of the INCB Secretariat. The project has complemented the United Nations Regular Budget-funded mandated work of INCB since 1992, because those funds have been insufficient.

The purpose of the evaluation is to inform the development of a successor project that will enable the INCB Secretariat to continue to provide effective and efficient support to the Board yet adapting format and activities to present needs. Given that the new project is expected to replace project GLO565 which was formulated almost 30 years ago, a special focus of the evaluation is on assessing how the relevance and effectiveness of activities can be further improved to meet the precursor-related challenges of the 21st century. Consideration will also be given to how impact can be measured in a meaningful way and provide recommendations and lessons learned.

The evaluation is being carried out by a team of two external independent evaluators, Ms. Sofia Guillot de la Puente (Evaluation Expert) and Mr. Ihor Malyniwsky (Thematic Expert on {Precursor Control}). *All information from the interview is treated confidentially, and no individual information will be disclosed in the evaluation report.*

Ask if the interviewee agrees to the interview being recorded for facilitation of data processing – all recordings will be deleted afterwards. Please note that some of the questions have already been asked in the

survey sent _____ (specify date), so if you have already answered them, this interview will only serve to complement them and obtain more qualitative information

Intro: General Description

1. Please indicate the country in which you work

In which area(s) of precursor control do you work? Probing:

- Competent National Authority
- PEN Online user
- Both

What are your main responsibilities as a PEN Online user and Competent National Authorities?

- Program manager
- National Estimates
- PEN Online user
- Issue license
- Issue permits (import/export)
- Investigate potential diversion
- Regulatory control of companies
- Receive/send PEN online notifications
- Investigate proposed imports
- Maintain the PEN Online data elements
- Training
- Identification of proposed changes to the system for consideration by INCB
- Other:

4. Please briefly explain your level of knowledge about the INCB's precursor control programme (GLO565)

Relevance

5. To what extent has the precursor control programme (project GLO565) contributed to or facilitated identifying and addressing current global challenges as well as those faced by your country related to precursor control such as the emergence of non-scheduled chemicals and designer precursors? To what extent has there been sufficient flexibility and capacity to respond to new challenges and threats?

Effectiveness

6. At the outset of the GLO565 project a number of outcomes and outputs were identified. To what extent would you assess the effectiveness of the project for each of these outcomes or outputs?

- *Outcome: INCB establishes a global system for monitoring and control of precursor chemicals as envisaged under the 1988 Convention.*

To what extent has the project programme contributed to establishing a system for controlling of precursor chemicals as defined in the 1988 Convention.

Assessment:

Please explain: Where do you see main achievements as well as facilitating and hindering factors?

- *Output 2: Governments have strengthened their capacities to identify and address weaknesses in the prevention of diversion of precursors and other chemicals from licit international trade.*

Assessment

Please explain: Where do you see main achievements as well as facilitating and hindering factors?

- **Output 5:** *Mechanism in place to promote and support the use of Global electronic Pre-Export Notification system (PEN-online) and Simplified Estimates system in use by Governments.*

Assessment

Please explain: Where do you see main achievements as well as facilitating and hindering factors?

- *Output 6: Governments have strengthened their capacity of regulating and controlling precursors through participation in Project Prism for amphetamine-type stimulant (ATS) precursors (now expanded to synthetic drugs precursors more generally), and Project Cohesion for the chemicals used in the illicit manufacture of heroin and cocaine*

Assessment

Please explain: Where do you see main achievements as well as facilitating and hindering factors?

7. To what extent do you consider the following as effective mechanisms in assisting Governments in their control of precursor chemicals, promoting the exchange of information, and facilitating international cooperation? What limitations have you found in each of them, what would you like to improve?

- a. **PEN Online:** monitoring and facilitating the exchange of actionable information on legitimate international trade in precursors to identify, suspend/stop, investigate and prevent suspicious transactions and diversions

- b. **Precursors Incident Communication System (PICS) On-line:** facilitating the reporting and exchange of actionable information concerning trafficking or other unauthorized activity involving a precursor chemical

8. The INCB assists Governments in their control of precursor chemicals by making available, among other things, information, guides and alerts on-line through both the open and secured access portions of its web site. It also provides various communication platforms like PICS and PEN Online. How would you assess the quality and relevance of this information and the tools/platforms? Do you find them useful?

9. What, if any, changes would you suggest in what information is made available and how for consideration in the development of the successor programme?

10. Precursors are used in the manufacture of new psychoactive substances. To what extent does the precursor control programme contribute to your country's efforts to control these drugs?

Efficiency

11. To what extent is the INCB Secretariat responsive to the needs of your country for training or suggestions for changes to the following systems: PEN Online/PICS? In case you consider that they have not been responsive, how could this be improved?

12. To what extent does the INCB Secretariat communicate with you on precursor-related issues? What could be done to improve or facilitate communication?

Lessons Learned and Best Practices

13. Can you share with us any lessons learned or best practices for the formulation and/or implementation of the GLO565 successor programme, including the integration of Gender equality and Human rights and "leaving no one behind" aspects?

14. What changes would you make in designing a GLO565 successor programme?

Additional comments

Semi-structured interview guide for Core Learning Partners and Precursor Task Force Members

Date/ Location	
Interviewers	
Name of interviewee	
Organization/Entity	
Position of interviewee	
Contact Details (Email / Tel)	

Before starting the interview:

Welcome and thank interviewee(s) for their participation and time. Explain the purpose of the interview:

The Independent Evaluation Section of United Nations Office on Drugs and Crime (UNODC) is in the process of undertaking a Final Independent Project Evaluation of the UNDOC programme GLO565 concerned with the control of precursor chemicals as required under the provisions of the 1988 Convention.

The purpose of the evaluation is to inform the development of a successor project that will enable the INCB Secretariat to continue to provide effective and efficient support to the Board. It will also facilitate the implementation of a global regime for the monitoring and control of precursor chemicals as envisaged under the 1988 Convention yet adapting format and activities to present needs. Given that the new project is expected to replace project GLO565 which was formulated almost 30 years ago, a special focus of the evaluation is on assessing how the relevance and effectiveness of activities can be further improved to meet the precursor-related challenges of the 21st century. Consideration will also be given to how impact can be measured in a meaningful way and provide recommendations and lessons learned.

The evaluation is being carried out by a team of two external independent evaluators, Ms. Sofia Guillot de la Puente (Evaluation Expert) and Mr. Ihor Malyniivsky (Thematic Expert on {Precursor Control}).

All information from the interview is treated confidentially, and no individual information will be disclosed in the evaluation report.

Ask if the interviewee agrees to the interview being recorded for facilitation of data processing – all recordings will be deleted afterwards.

Intro: General Description

1. Please indicate the country you represent.

2. What is your position or responsibilities in your home country?

3. Please indicate how long you have been a member of the Precursor Task Force

4. Please briefly explain how and to what extent you have been involved with the INCB's precursor control programme (GLO565)

Relevance

5. To what extent has the precursor control programme (Project GLO565) contributed to or facilitated the implementation of precursor control as a core activity of INCB mandated under the 1988 Convention?

6. To what extent has the precursor control programme (project GLO565) contributed to or facilitated identifying and addressing current global challenges related to precursors control such as the emergence of non-scheduled chemicals and designer precursors? To what extent has the project had sufficient flexibility and capacity to respond to new challenges and threats?

Coherence

7. What have been the key partnerships established under GLO565, with which institutions and what have been the main achievements in this regard?

8. Are there any other partnership that should have been pursued?

9. What were the facilitating and hindering aspects of the project's approach to partnerships and cooperation?

Effectiveness

10. At the outset of the GLO565 project a number of outcomes and outputs were identified. To what extent would you assess the effectiveness of the project for each of these outcomes or outputs?

- *Outcome: INCB establishes a global regime for the monitoring and control of precursor chemicals as envisaged under the 1988 Convention*
To what extent has the project programme contributed to establishing a system for controlling of precursor chemicals as defined in the 1988 Convention.

Assessment

Please explain: Where do you see main achievements as well as facilitating and hindering factors?

- *Output 1: Provided support to the Board with a basis for its examination of the world situation related to precursor chemical control through a functional databank available on precursors and other chemicals used in the illicit manufacture of drugs*

Assessment

Please explain: Where do you see main achievements as well as facilitating and hindering factors in this support?

- *Output 2: Governments have strengthened their capacities to identify and address weaknesses in the prevention of diversion of precursors and other chemicals from licit international trade.*

Assessment

Please explain: Where do you see main achievements as well as facilitating and hindering factors?

- *Output 5: Mechanism in place to promote and support the use of Global electronic Pre-Export Notification system (PEN-online) and Simplified Estimates system (better known as annual legitimate requirements, ALRs) in use by Governments*

Assessment

Please explain: Where do you see main achievements as well as facilitating and hindering factors?

- *Output 6: Governments have strengthened their capacity of regulating and controlling precursors through participation in Project Prism for amphetamine-type stimulant (ATS) precursors (now expanded to synthetic drugs precursors more generally), and Project Cohesion for the chemicals used in the illicit manufacture of heroin and cocaine*

Assessment

Please explain: Where do you see main achievements as well as facilitating and hindering factors?

11. The INCB includes a number of tools and mechanisms to assist Governments in their control of precursor chemicals, promote the exchange of information and facilitate international cooperation. In your view, are these mechanisms effective in achieving these objectives? What, if any, limitations do feel exist in each of them? What could be done to improve each?

- 11.1 **PEN Online:** monitoring and facilitating the exchange of actionable information on legitimate international trade in precursors to identify, suspend/stop, investigate and prevent suspicious transactions and diversions

- 11.2 **Precursors Incident Communication System (PICS) On-line:** facilitating the reporting and exchange of actionable information concerning trafficking or other unauthorized activity involving a precursor chemical

12. The INCB assists Governments in their control of precursor chemicals by making available, among other things, information, guides and alerts on-line through both the open and secured access portions of its web site. It also provides various communication platforms like PICS and PEN Online. How would you assess the quality and relevance of this information and the tools/platforms? Do you find them useful?

13. What, if any, changes would you suggest in what information is made available and how for consideration in the development of the successor programme?

Impact

14. To what extent has the project made a difference to beneficiaries at different levels, e.g., Governments, policy makers, regulatory and law enforcement officials?

15. To what extent has the project contributed to the United Nations Sustainable Development Goals?

Efficiency

16. How would you assess the level and nature of cooperation and coordination between staff of the INCB Secretariat and the Task Force?

17. What if any changes would you make to improve the foregoing?

Sustainability

18. What do you see as the facilitating and hindering factors for the sustainability of the programme or any of its results?

19. Are you familiar with the funding of the precursor-related work of the Secretariat of INCB and its partial reliance on voluntary contributions?

If yes, are you familiar with the donor strategy of the project? If so, what is it in your view? How could the programme attract more donor interest?

Gender Equality (GE), Human Rights (HR) and Leaving no one behind

20. What key aspects need to be considered for the GLO565 successor programme to integrate HR and GE and leaving no one behind aspects in its design?

Lessons Learned and Best Practices

21. Are there any lessons learned or best practices that could be applied in the formulation and/or implementation of the GLO565 successor programme?

22. What changes would you propose in designing the GLO565 successor programme?

Additional comments

Surveys

The Independent Evaluation Section of United Nations Office on Drugs and Crime (UNODC) is in the process of undertaking a Final Independent Project Evaluation of Project GLO565 supporting the Board's work in the area of global precursor control.

The purpose of the evaluation is to inform the development of a successor project that will enable the INCB Secretariat to continue to provide effective and efficient support to the Board yet adapting format and activities to present needs. Given that the new project is expected to replace project GLO565 which was formulated almost 30 years ago, a special focus of the evaluation is on assessing how the relevance and effectiveness of activities can be further improved to meet the precursor-related challenges of the 21st century. Consideration will also be given to how impact can be measured in a meaningful way and provide recommendations and lessons learned.

The evaluation is being carried out by a team of two external independent evaluators, Ms. Sofia Guillot de la Puente (Evaluation Expert) and Mr. Ihor Malyniwsky (Thematic Expert on {Precursor Control}).

As a stakeholder, your views are very important to this evaluation. To this effect, the independent evaluation team would appreciate your assistance by completing this short questionnaire.

Confidentiality

All information from the interview is treated confidentially, and no individual information will be disclosed in the evaluation report.

For any question, please contact directly the Evaluation Expert, Ms. Sofia Guillot de la Puente (sofiaguillotconsultant@gmail.com).

Thank you very much for your participation!

1. Online survey to Board Members

General Information

1. Please indicate your nationality

2. Please indicate your gender

- Male
- Female
- Other:
- Decline to state

3. Please indicate your work activities in your home country

4. Please indicate for how long you have been a member of the Board

- 0-1 year
- 2 years
- 3 years

- More than 5 years

INCB Secretariat (Precursors Control Section) support to Governments and to the Board

5. In your view, to what extent has the staff of the Precursors Control Section been able to support the Board's work in monitoring Governments' control over precursors and other chemicals used in the illicit manufacture of drugs, and assisting them in preventing the diversion of those chemicals into illicit traffic?
- Very much
 - Mostly
 - Somewhat
 - Not at all
 - Don't Know

Comments

6. To what extent do you agree with the following statement:

The INCB's precursors control programme (including through project GLO565 "INCB Databank for Precursor Control") has contributed to establishing and maintaining/further developing a global regime for the monitoring and control of precursor chemicals as envisaged under the 1988 Convention?

- Strongly agree
- Agree
- Neither agree nor disagree
- Disagree
- Strongly disagree
- Don't know

Comments

7. To what extent do you agree with the following statement:

The staff of the Precursors Control Section has the capacity to assist the Board in providing relevant support to Governments for identifying and addressing weaknesses in their control systems and effectively preventing chemicals from being diverted from licit channels and used in illicit drug laboratories

- Strongly agree
- Agree
- Neither agree nor disagree
- Disagree
- Strongly disagree
- Don't know

Comments

8. In your view, what seem to be the challenges that the **INCB Secretariat** (staff of the Precursors Control Section) faces in their role of assisting the Board in its efforts to support Governments in identifying and addressing weaknesses in their control systems and preventing chemicals from being diverted from licit channels and used in illicit drug laboratories effectively? (Multiple options)

- Insufficient financial resources (for the Secretariat)
- Reliance on voluntary financial contributions
- Insufficient information
- Timeliness of information
- Lack of political will to make necessary changes identified
- Insufficient personnel in Secretariat
- Lengthy/complicated/bureaucratic procedures and/or requirements
- Need for additional computerized systems
- More responsive to needs of countries
- Need for more technical resources (web based)
- Don't know
- Other:

Comments

9. Please select the main challenges that **the Board** faces in their role of supporting Governments in identifying and addressing weaknesses in their control systems and preventing chemicals from being diverted from licit channels and used in illicit drug laboratories effectively? (Multiple options)

- Insufficient information
- Timeliness of information
- Lack of political will to make necessary changes identified
- Lengthy/complicated/bureaucratic procedures and/or requirements
- Don't know
- Other:

Comments

10. Overall, how would you rate the **quality** of substantive services in relation to precursor issues provided by the staff of the Precursors Control Section of the Secretariat to the Board?

Services	Excellent	Good	Fair	Poor	Don't Know
Respond to ad hoc requests for information					
Initiate action with Government requested by Board					
Prepare documents/reports requested by Board					
Prepare documents/information for proposed scheduling changes					
Prepare documents/reports for Board meeting					
Other: please explain					

Comments:

11. How would you rate the **timeliness** of substantive services in relation to precursor issues provided by the staff of the Precursors Control Section of the Secretariat to the Board?

Services	Excellent	Good	Fair	Poor	Don't Know
Respond to ad hoc requests for information					
Initiate action with Government requested by Board					
Prepare documents/reports requested by Board					
Prepare documents/information for proposed scheduling changes					
Prepare documents/reports for Board meeting					
Other: Please explain					

Comments:

How would you assess the manner and extent to which the staff of the Precursors Control Section of the INCB Secretariat communicates with Board members?

- Excellent communication
- Good communication
- Fair communication
- Poor communication
- Don't Know

Can you share some examples of particularly good practices applied in this regard?

Comments:

13. What would you propose to further improve or facilitate communication?

14. How would you rate the capacity of staff of the Precursors Control Section of the INCB secretariat to establish partnerships with other entities, organizations, or key partners?

- Excellent
- Good
- Fair
- Poor
- Don't Know

Comments:

15. Are there any other partnership that should have been pursued?

16. In your view, to what extent is the precursor control programme result: “*INCB establishes a global regime for the monitoring and control of precursor chemicals as envisaged under the 1988 Convention*” sustainable?

- Very much
- Mostly
- Somewhat
- Not at all
- Don't Know

Comments:

(In case respondents answer Mostly, Somewhat or Not at all they will directed to the next question 17.)

17. What factors or issues need to be addressed to further facilitate sustainability? (Multiple options)

- Provide additional financial resources
- Remove reliance on voluntary financial contributions
- Address issues related to the reporting relationship between INCB Secretariat and the UNODC
- Provide additional personnel
- Expand existing computerized systems or tools
- Enhance response to needs of needs of countries
- Expand web-based resources
- Expand opportunities for partnerships and collaboration with other entities dealing with the control of precursor chemicals
- Don't Know
- Other:

Comments:

Additional feedback (optional)

Online survey to National Competent Authority /PEN Online

The Independent Evaluation Section of United Nations Office on Drugs and Crime (UNODC) is in the process of undertaking a Final Independent Project Evaluation of the UNODC programme GLO565 concerned with the control of precursor chemicals as required under the provisions of the 1988 Convention.

The purpose of the evaluation is to inform the development of a successor project that will enable the INCB Secretariat to continue to provide effective and efficient support to the Board. It will also facilitate the implementation of a global regime for the monitoring and control of precursor chemicals as envisaged under the 1988 Convention yet adapting format and activities to present needs. Given that the new project is expected to replace project GLO565 which was formulated almost 30 years ago, a special focus of the evaluation is on assessing how the relevance and effectiveness of activities can be further improved to meet the precursor-related challenges of the 21st century. Consideration will also be given to how impact can be measured in a meaningful way and provide recommendations and lessons learned.

The evaluation is being carried out by a team of two external independent evaluators, Ms. Sofia Guillot de la Puente (Evaluation Expert) and Mr. Ihor Malyniwsky (Thematic Expert on {Precursor Control}).

As a stakeholder, your views are very important to this evaluation. To this effect, the independent evaluation team would appreciate your assistance by completing this short questionnaire.

Confidentiality

All information from the interview is treated confidentially, and no individual information will be disclosed in the evaluation report.

For any question, please contact directly the Evaluation Expert, Ms. Sofia Guillot de la Puente (sofiaguillotconsultant@gmail.com).

Thank you very much for your participation!

General Information

1. Please indicate the country in which you work

2. Please indicate your gender

- Male
- Female
- Other:
- Decline to state

3. Is your country using the International Narcotics Control Board's online pre-export notification system (PEN Online) to cooperate in the monitoring of international trade in controlled precursor?

- Yes
- No

4. Please indicate in which of the following areas of precursor control you work

- Competent National Authority (if selected, will be directed to 5.1)
- PEN Online user (if selected, will be directed to 5.3)
- Both (if selected, will be directed to 5.2)

5. Please indicate your main responsibilities (multiple options)

5.1 If you are a Competent National Authority:

- Program manager
- National Estimates (ALRs)
- PEN Online user
- Issue licenses
- Issue permits (import/export)
- Investigate potential diversion
- Regulatory control of companies
- Other: _____

5.2 If you are a PEN Online user and Competent National Authorities (Multiple options)

- Program manager
- National Estimates
- PEN Online user
- Issue license
- Issue permits (import/export)
- Investigate potential diversion
- Regulatory control of companies
- Receive/send PEN online notifications
- Investigate proposed imports
- Maintain the PEN Online data elements
- Training
- Identification of proposed changes to the PEN Online system for consideration by INCB
- Other: _____

5.3 If you are PEN Online user (multiple options)

- Receive/send PEN online notifications
- Investigate proposed imports
- Maintain the PEN Online data elements
- Training
- Identification of proposed changes to the PEN Online system for consideration by INCB
- Other: _____

6. To what extent has the INCB precursor control programme (project GLO565) contributed to or facilitated identifying and addressing current challenges in your country related to precursor control such as the emergence of non-scheduled chemicals and designer precursors?

- Very much
- Mostly
- Somewhat
- Not at all
- Don't Know

Comments:

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7. To what extent do you agree with the following statement:

The INCB's precursors control programme (project GLO565 "INCB Databank for Precursor Control") has contributed to establishing a global regime for the monitoring and control of precursor chemicals as envisaged under the 1988 Convention?

- Strongly agree
- Agree
- Neither agree nor disagree
- Disagree
- Strongly disagree

Comments:

8. To what extent do you agree with the following statement:

The INCB Secretariat has the capacity to support Governments in identifying and addressing weaknesses in their control systems and preventing chemicals from being diverted from licit channels and used in illicit drug laboratories effectively

- Strongly agree
- Agree
- Neither agree nor disagree
- Disagree
- Strongly disagree

Comments:

9. In your view, what factors adversely affect the ability of the INCB Secretariat to fulfil its responsibilities in this regard? (Multiple options)

- Insufficient financial resources
- Reliance on voluntary financial contributions
- Insufficient personnel
- High workload or demand for assistance
- Need for additional computerized systems
- More responsive to needs of countries
- Need for more technical resources (web based)
- Other:

10. Overall, how would you rate **the quality** of the INCB tools and communication systems for monitoring and control (this includes the computerized systems like PEN online, PICS, the secure web page, guides and other resource materials) of precursor chemicals as envisaged under the 1988 Convention ?

- Excellent
- Good
- Fair
- Poor
- Don't Know

Comments

11. Overall, how would you rate **the reliability** of INCB the INCB tools and communication systems for monitoring and control of precursor chemicals as envisaged under the 1988 Convention (this includes the computerized systems like PEN online, PICS, the web page, secure data bases, guides and other resource materials)?
- Excellent
 - Good
 - Fair
 - Poor
 - Don't Know

Comments:

12. To what extent do you consider the following as effective mechanisms in assisting Governments in their control of precursor chemicals, promoting the exchange of information and facilitating international cooperation?

Mechanisms	Very Much	Mostly	Some what	Not at all	Don't Know
PEN Online					
Precursors Incident Communication System (PICS) On-line					

Comments

13. Has your country participated in Project Prism for amphetamine-type stimulant (ATS) and other synthetic drug precursors, and/or Project Cohesion for the chemicals used in the illicit manufacture of heroin and cocaine?
- Yes (if selected, will be directed to question number 14)
 - No (if selected, will be directed to question 15)
 - Don't know (if selected, will be directed to question 15)

14. If so, to what extent did this participation strengthen your government's regulatory and control activities on precursors?

- Very much
- Mostly
- Somewhat
- Not at all
- Don't Know

Comments

15. To what extent do you agree with the following statement:

Precursor chemicals are used in the manufacture of new psychoactive substances. The INCB's precursor control programme contributes to my country's efforts to control these drugs

- Strongly agree
- Agree
- Neither agree nor disagree
- Disagree
- Strongly disagree

Comments:

16. Please rate how well the INCB Secretariat communicates with you:

- Excellent communication
- Good communication
- Fair communication
- Poor communication
- Don't Know

Comments:

17. What would you propose to further improve or facilitate communication?

18. To what extent do you agree with each of the following statements?

Statements	Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree	Do not use
PEN Online system has contributed to facilitating the monitoring and exchange of actionable information on legitimate international trade in precursors, the identification, stopping/suspending, preventing and investigating suspicious transactions and diversions						
PEN Online system has satisfied the needs of my country						

PEN Online system is user-friendly						
PEN Online system website is easy to navigate						
PEN Online is up to date						
Precursors Incident Communication System (PICS) has contributed to facilitating the exchange of actionable information and investigating precursor incidents in my country						
Precursors Incident Communication System (PICS) has satisfied the needs of my country						
Precursors Incident Communication System (PICS) is user-friendly						

Comments:

19. To what extent is the INCB Secretariat responsive to the needs of your country for training or suggestions for changes to the following system?

Trainings	Very Much	Mostly	Some what	Not at all	Don't Know
PEN Online					
Precursors Incident Communication System (PICS)					

In the event you consider that they have not been responsive, how can this be improved?

20. Additional feedback (optional)

ANNEX III: DESK REVIEW LIST

UNODC DOCUMENTS

Number	Title
1	Independent project evaluation of the INCB Databank for Precursor Control -Project number GLO 565 (April 2012)
2	Project Revision - GLO565 - INCB Databank for Precursor Control (November 2006)
3	Project Revision – GLO 565 - INCB databank for precursor control (September 2013)
4	Project Revision – GLO 565 - INCB databank for precursor control (August 2015)
5	Project Revision – GLO 565 - INCB databank for precursor control (January 2018)
6	Project Revision – GLO 565 - INCB databank for precursor control (September 2018)
7	Progress Report - GLO565: INCB databank for precursor control (2013)
8	Progress Report - GLO565: INCB databank for precursor control (2014)
9	Progress Report - GLO565: INCB databank for precursor control (2015)
10	Progress Report - GLO565: INCB databank for precursor control (2016)
11	Progress Report - GLO565: INCB databank for precursor control (2017)
12	Progress Report - GLO565: INCB databank for precursor control (2018)
13	Progress Report - GLO565: INCB databank for precursor control (2019)
14	Project Cohesion Special Alert (March 3, 2014)
15	Project Cohesion Special Alert (July 21, 2015)
16	Project Cohesion Special Alert (January 27, 2016)
17	Project Cohesion Special Alert (July 7, 2017)
18	Project Cohesion Special Alert (July 4, 2018)
19	Project Cohesion Special Alert (December 18, 2019)
20	Project Prism & Cohesion Special Alert (June 24, 2015)

Number	Title
21	Project Prism & Cohesion Special Alert (November 10, 2017)
22	Project Prism & Cohesion Special Alert (May 18, 2018)
23	Project Prism Special Alert (February 20, 2013)
24	Project Prism Special Alert (June 25, 2014)
25	Project Prism Special Alert (December 5, 2014)
26	Project Prism Special Alert (November 26, 2015)
27	Project Prism Special Alert (May 18, 2016)
28	Project Prism Special Alert (7 July 2017)
29	Project Prism Special Alert (May 28, 2018)
30	Project Prism Special Alert (July 16, 2018)
31	Project Prism Special Alert (February 20, 2018)
32	Project Prism Special Alert (February 21, 2018)
33	Project Prism Special Alert (22 July 2019)
34	SPECIAL ALERT - Fentanyl pre-precursor (January 30, 2019)
35	SPECIAL ALERT - Methaqualone precursor (November 28, 2019)
36	PUBLIC-PRIVATE PARTNERSHIPS Concept and Related Activities in Precursor Control, http://www.incb.org/documents/PRECURSORS/PROJECTS/PPP/Public-Private_Partnerships_Brochure.pdf
37	Precursors Incident Communication System (PICS) Version 2.0 – Users Guide
38	PEN Online Version 1.0 – Users Guide
39	GUIDELINES FOR USE BY COMPETENT NATIONAL AUTHORITIES – various, https://www.incb.org/incb/en/publications/guidelines-for-use-by-competent-national-authorities.html
40	Organizational chart of the Secretariat of INCB

Number	Title
41	Organizational chart - United Nations system of drug control
42	INCB Annual Reports (2012-2019), https://www.incb.org/incb/en/publications/annual-reports/annual-report.html
43	Terms of Reference- Final Evaluation GLO565
44	Evaluation Handbook Guidance for designing, conducting and using independent evaluations at UNODC, 2017
45	The Sustainable Development Goals, https://www.unodc.org/unodc/en/about-unodc/sustainable-development-goals/sdgs-index.html
46	UNEG: Integrating human rights and gender equality in evaluation[12], http://www.uneval.org/detail/980
47	UNEG Norms and Standards for Evaluation (2016)[13], www.unevaluation.org/document/download/2601
48	UNEG Ethical Guidelines for Evaluation[14], www.uneval.org/document/download/548
49	UNODC Independent Evaluation Section: Evaluation-based analysis of good practices in UNODC's approach to capacity building (2017)
50	UNODC Position Paper on Human Rights (2011)
51	Gender-Responsive Evaluations in the Work of UNODC (2018)
52	UNOV/UNODC's Strategy for Gender Equality and the Empowerment of Women (2018-2021)
53	UNODC evaluation guidelines, templates, handbook, policy
54	UNODC Guidance Note for Managers and Evaluators during the COVID-19 Crisis (2020)
55	UNODC Inception Report Template
56	UNODC IDE Report Template + UNODC IPE Report Template
57	UNODC Evaluation Brief Template IDE + UNODC Evaluation Brief Template IPE
58	UNODC Evaluation Quality Assessments
59	UNEG: Integrating human rights and gender equality in evaluation

Number	Title
60	UNEG Norms and Standards for Evaluation (2016)
61	UNEG Ethical Guidelines for Evaluation (2020)
62	Gender mainstreaming in the work of UNODC, 2013
63	UNODC Handbook, Results-based Management and the 2030 Agenda for Sustainable Development

Total number of UNODC documents reviewed: 63

ANNEX IV: STAKEHOLDERS CONTACTED DURING THE EVALUATION

Number of interviewees	Organisation	Type of stakeholder (see note below)	Sex disaggregated data	Country
1	U.S. Department of State, Bureau of International Narcotics and Law Enforcement Affairs (INL)	Donor	Male: Female: 1	United States
4	European Commission/ Inter-American Drug Abuse Control Commission	Regional Organization	Male: 2 Female: 2	Belgium, United States
3	National Drug Law Enforcement Agency, United Kingdom Home Office	Government recipient (PEN online/CNA)	Male: 1 Female: 2	India, France, United Kingdom
4	Dutch Ministry of Finance, Mission Nationale de Controle des Précurseurs Chimiques, Drug Enforcement Administration, Royal Canadian Mounted Police,	Task Force Member	Male: 4 Female: 0	Netherlands, France, United States, Canada,
23	UNODC/INCB staff		Male: 15 Female: 8	Austria, Afghanistan, Thailand
4	INCB-Board member		Male: 3 Female: 1	India, France, United States, Netherlands
Total: 39			Male: 25 Female: 14	

Note: A stakeholder could be a Civil Society Organisation; Project/Programme implementer; Government recipient; Donor; Academia/Research institute; etc.