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**Meta-Analysis of Evaluation Reports
01/2011-12/2014**

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ACRONYMS

AML	Anti-Money Laundering
AMLID	Anti-Money Laundering Information Network
CBT	Computer-based training
CBT	Computer-based training
CCPCJ	Commission on Crime Prevention and Criminal Justice
CFT	Countering the Financing of Terrorism
CND	Commission on Narcotic Drugs
COPAK	UNODC Country Office Pakistan
COPAK	UNODC Country Office in Pakistan
CP	Country Programme
CPP	Counter Piracy Programme
CPP	Counter Piracy Programme
CPS	Co-financing and Partnership Section
CSO	Civil Society Organisation
DAC	Development Assistance Committee
FCR	Full Cost Recovery
FRMS	UNODC Financial Resources Management Service
GP	Global Programme
GPML	Global Programme against Money Laundering
HQ	UNODC Headquarter
IDE	Independent In-Depth Evaluation
IEU	Independent Evaluation Unit

IMoLIN	Internalised Money Laundering Information Network
IPA	Integrated Programming Approach
IPA	Integrated Programming Approach
IPE	Independent Project Evaluation
ITS	Information Technology Services
MCP	UNODC Maritime Crime Programme
OECD	Organisation for Economic Co-operation and Development
OIOS	UN Office for Internal Oversight Services
RBM	Results Based Management
RP	Regional Programme
RPF	Regional Programme Framework
RPF	Regional Programme Framework
TOCTA	Transnational Organized Crime Threat Assessment
ToR	Evaluation Terms of Reference
TPB	UNODC Terrorism Prevention Branch
UN	United Nations
UNEG	United Nations Evaluation Group
UNODC	United Nations Office on Drugs and Crime

PREFACE

This is the first Meta-Analysis of evaluation findings, covering over 1000 recommendations which were issued by more than 100 independent evaluators between January 2011 and December 2014. Such an analysis has never taken place before in UNODC – as is often the case with novel undertakings, of the process was both cumbersome and insightful. The process of this exercise as well as the present report, while containing insights and lessons, will also serve as reference line, as the Independent Evaluation Unit (IEU) aims to deploy the same methodology and analytical approach on a biannual basis, tracking the changes within UNODC as regards evaluation – contributing thereby to UNODC’s accountability framework.

On the first pages of this report we summarize the aggregate findings, to which we have added no personal interpretation. The recommendations just speak for themselves and were labelled according to their content. In order to uplift and translate these findings to a “possible path forward”, strategic thinking from a range of internal and external stakeholders would be required. We are ventured into offering suggestions, which ought to be discussed, tossed or taken on board.

Which are these findings? Most importantly, independent evaluators conclude that UNODC continues displaying a outspokenly uneven approach to programme planning, inception and implementation. While there are positive examples of meeting good practices in designing projects and programmes, a significant weight of recommendations show that there is a need for a more structured investment in the area of design and programming. By the same token, while planning of projects and programmes might look good on paper – further implementation shows deficits in the area of building Results Based Management (RBM) into implementation, of involving stakeholders systematically, communicating with Member States in a predictable way, of coordinating investments with government counterparts and Civil Society Organisations (CSOs). Documenting successes and failures on the basis of evidence and data is also uneven within UNODC.

It may sound trivial, but identifying excellent practices and making sure these are seen and heard – and of course replicated and adjusted to local circumstances – may go a long way in further improving the quality of UNODC’s delivery of technical assistance. A transparent organisation, which is able to learn quickly, must be able to connect its people, to make visible what works and what does not – this report therefore advocates for structural investments in core functions, such as Knowledge Management, a dedicated approach to RBM, standard processes for Member States’ engagement throughout the programme cycles, transparent and effective coordination mechanisms - and, very importantly, the full use of UNODC’s potential as a broker and convener at the highest policy level.

This reports looks at UNODC through the lenses of evaluation – it is not a coincidence that findings in this report resonate with those present in other reports from oversight functions, such as the OIOS’ programme evaluation or recent audit reports. These reports also tend to show excellent practices within UNODC that often go unheard or unattended, meaning that institutional

learning is – to some degree – rather local and not always anchored at the institutional level, missing therefore chances of improving performance.

Last but not least, I thank the team of IEU for being fully devoted to this exercise: Adan Ruiz-Villalba, Charlotte Gunnarsson The analyst behind this exercise, Emanuel Lohninger, deserves particular praise. We all look forward to discussing this report with readers inside and outside of UNODC – with the aim of further enhancing UNODC’s transparency and accountability.

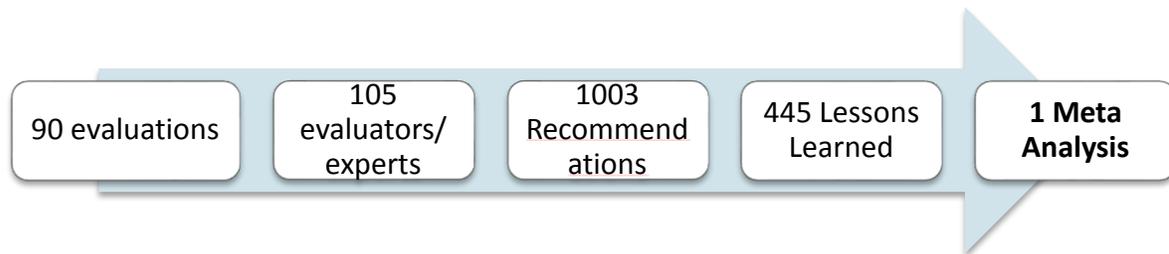
Sincerely yours,

Katharina Kayser

Chief,
Independent Evaluation Unit
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EXECUTIVE SUMMARY

BACKGROUND AND CONTEXT



Background information

The Independent Evaluation Unit (IEU) is leading and guiding evaluations in order to provide objective information on the performance of UNODC. IEU was established following the Commission on Narcotic Drugs (CND) resolution 52/14 and the Commission on Crime Prevention and Criminal Justice (CCPCJ) resolution 18/6 as an independent unit, reporting directly only to the Executive Director and Member States. IEU is committed to:

- Leading and guiding evaluations as well as supporting UNODC in developing and implementing an evaluation culture throughout the organization;
- Ensuring a coherent and consistent evaluation approach across UNODC;
- Developing evaluation capacity throughout UNODC;
- Sharing findings of project and programme evaluations and
- Examining areas with high improvement potentials.

This meta-analysis is the first of its kind in UNODC as well as one of the first approaches in the UN. Based on this methodological approach, also future evaluations will be analysed on a regular basis.

Objective of the meta analysis:

IEU aims to deploy the same methodology and analytical approach on a biannual basis, tracking the changes within UNODC as regards evaluation – contributing thereby to UNODC’s accountability framework.

Purpose of the meta-analysis

This meta-analysis tries to further increase accountability and learning for the organisation and its stakeholders, but also to take self-reflection on the previous years of evaluation in UNODC.

Through this present exercise, the Independent Evaluation Unit has engaged in change processes, ranging from more thoroughly mainstreaming the gender and human rights perspectives into the whole evaluation cycle, to seeking synergies with other evaluation units in the UN system on carrying out cross-organisational evaluations on specific themes, to building national evaluation capacity to spur accountability processes within Member States' institutions.

Methodology of meta-analysis

The methodological approach was based on an inductive category-building for all 1003 recommendations issued between 2011 and 2014. In line with deductive category-building, lessons learned were categorised in order to ensure consistency. Every recommendation and lesson learned was labelled with up to three categories, ensuring that all spheres of the recommendation/lesson learned are reflected in the analysis – therefore 1685 references were assigned to 1003 recommendations.

RESULTS

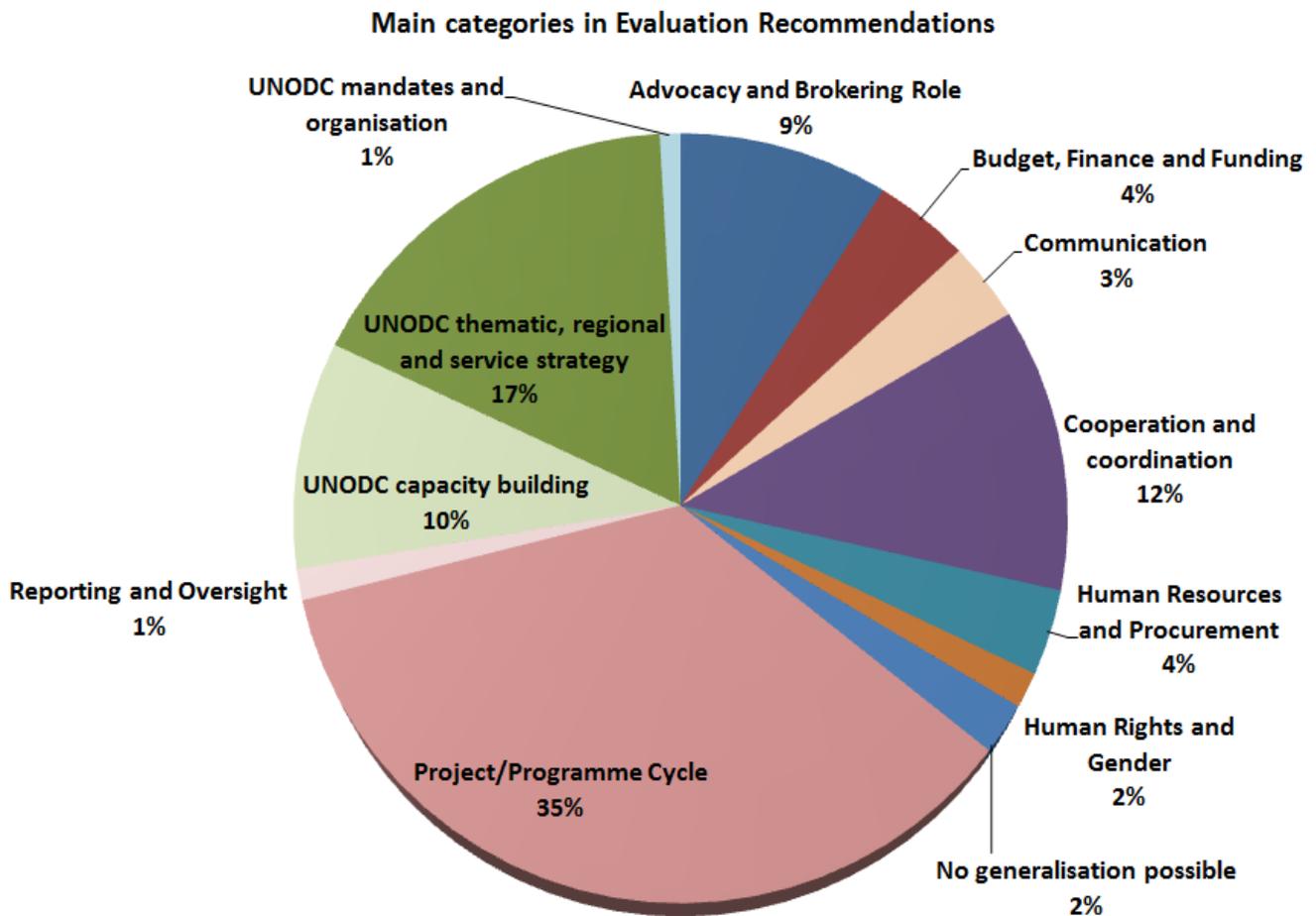


Figure 1. Evaluation recommendations by category

Main findings

Project/ Programme Cycle: A clear weight of all analysed recommendations falls on project and programme design and implementation phases. A results-oriented approach needs to be strengthened in all projects and programmes, at design and implementation phases. Feedback data from stakeholders is too often weak or non-existent. Furthermore, a sound stakeholder analysis, needs assessment, systematic country level engagement while taking into account local circumstances, strengthened involvement of different stakeholder groups, including a sustainability-plan and front-loading the project planning stage deserve increased attention, according to this analysis.

Strategic approaches: Recommendations point to the need to further invest in the inclusion of local stakeholders and partners with the aim of building increased regional cooperation and broader partner basis. Furthermore, UNODC should re-consider its intervention strategies and re-position some of its programmes on the basis of research, data, lessons learned and best practices from previous exercises including evaluations. External evaluators point to the need of developing a comprehensive capacity building strategy and assessing options for further connecting regional and thematic strategies

Cooperation and Coordination: The recommendations in this section show that the cooperation-mechanism with external partners should be re-thought and well working modalities should be replicated and possibly standardised. Maintaining good cooperation with the donor community and national partners has proven to increase the chances of successful UNODC interventions.

Advocacy and brokering role: UNODC should increase its relevance especially at the highest political levels to facilitate the collaboration between government departments as well as Member States and CSOs. Notably, the recommendations suggest UNODC to consider an institution-wide approach to advocacy.

Capacity building: According to the analysis, UNODC would benefit from developing a clear capacity building and especially training strategy, also focussing on computer-based approaches. Special importance should be given to Train-the-Trainer courses, which may increase the sustainability as well as impact of UNODC's interventions. Capacity building strategies should build on already proven practices and strengthen the cooperation and collaboration with ITS.

Human Rights and Gender: Human Rights and Gender need to be embedded in all future projects and programmes, regardless of the political environment. Also the promotion of regional policies for human rights and gender were suggested. Best practices should be used to inform future UNODC interventions in this regard.

Suggested Actions

The recommendations from the evaluation reports suggest various actions on how to further increase UNODC's delivery:

- Redefine and guide the approach to project/programme design;
- UNODC could improve the quality of its current strategic approaches as well as interconnectivity of its programmes;
- UNODC should invest in internal and external cooperation mechanisms;

- UNODC should communicate and use its comparative advantage;
- Human Rights and gender should be further mainstreamed in all of UNODC's work.

Lessons learned and best practices

Throughout this report, a large number of lessons learned and best practices are identified in order to on the one hand show various great examples that exist in UNODC and on the other hand to learn from those examples.

SUMMARY MATRIX OF FINDINGS, EVIDENCE AND POSSIBLE ACTION

Findings ¹	Evidence (evaluations that substantiate findings)	Possible action
<p><i>UNODC too often underinvests in project/programme design and implementation:</i></p> <ul style="list-style-type: none"> • RBM is not fully mainstreamed in project/ programme design, as well as throughout implementation • A differentiated stakeholder engagement strategy is not fully developed; • Sustainability of and exit plans for projects/programmes are not fully mainstreamed in the design and implementation phase 	<p>GLO/G32; CP Pakistan; IPA; CP Iran; CPP; Afghan Opiate Trade Project (GLO/V20); AFG/R87; XAS/S69; XSP/T33, LAO/K46; LAO/K18.</p>	<p><i>Review the standardised approach for project/programme design and development by e.g.:</i></p> <ul style="list-style-type: none"> • Front-loading of key elements of project/programme: including or upgrading of RBM, stakeholder analysis, needs assessment, sustainability- and exit-plan; • Ensuring strong country level engagement in the project/programme from the onset, taking full account of local circumstance.
<p><i>UNODC could benefit from regularly revisiting strategic approaches:</i></p> <ul style="list-style-type: none"> • Strategic approaches and inter-connectivity of programmes often not systematically developed; • Best practices in project/ programme development not made fully visible and utilised; • Overarching Capacity Building Strategy not in place; • Engagement strategies with local stakeholders and partners not fully mainstreamed throughout the project/programme cycle. 	<p>RPF East Asia/Pacific; CP Iran; GLO/V20; MMR/J63; MMR/J69; GLO/S83; GLO/T55; GLO/U40; GLO/G32; GLO/X42.</p>	<p><i>UNODC could improve the quality of its current strategic approaches as well as interconnectivity of its programmes, through e.g.</i></p> <ul style="list-style-type: none"> • Reconsidering strategic approaches, re-positioning programmes where needed and connect regional, thematic and service delivery strategies; • Basing strategic decisions more systematically on research, data, lessons learned and best practices; • Developing a comprehensive and inclusive capacity building strategy; • Broadening partner base by systematically including all relevant stakeholders throughout project/programme cycle.
<p><i>The quality of internal and external</i></p>	<p>CPP; CP Pakistan; CP Iran; Afghan</p>	<p><i>Strengthen internal and external</i></p>

¹ A finding uses evidence from data collection to allow for a factual statement.

<p><i>cooperation varies widely:</i></p> <ul style="list-style-type: none"> • Cooperation with external partners is uneven (e.g. Member States; government; UN agencies; CSOs; etc.) • Investments in the identification of partners in regions or thematic areas is not mainstreamed or standards are not applied consistently. 	<p>Opiate Trade Project (GLO/V20); NGA/T10; GLO/U68; XAP/U59; VNM/S79; GLO/G32; JOR/T36; XAC/X50; LBN/T94.</p>	<p><i>cooperation by e.g.:</i></p> <ul style="list-style-type: none"> • Investing in research and mapping exercises to identify existing initiatives and potential partners; • Institutionalise long-term sustainable cooperation with the donor community and national partners.
<p><i>UNODC underinvests in developing consistent strategies for capacity building:</i></p> <ul style="list-style-type: none"> • Comprehensive training delivery strategy is not fully developed; • Underinvestment in sustainability of capacity building strategy and train-the-trainer courses; • Use of best practices uneven. 	<p>GLO/G32; CP Pakistan, RPF East Asia and Pacific, ZAFT54, GLOT55, IDNT80, XAPU59, GLOU40, XCAS26.</p>	<p><i>UNODC should review and further develop its approach to capacity building:</i></p> <ul style="list-style-type: none"> • Develop a differentiated capacity building strategy which includes sustainability aspects and incorporates best practices; • Review and systematise cooperation with ITS in relation to capacity building initiatives. • Tightly monitor Train-the-Trainer modalities and feed lessons into implementation.
<p><i>UNODC's advocacy approach and brokering role is not fully utilised:</i></p> <ul style="list-style-type: none"> • UNODC has a major comparative advantage as neutral player, but does not consistently use its brokering role; • UNODC does not fully leverage its comparative advantage vis-à-vis national or international actors 	<p>GLO/G32; GLO/G32; IPA; CP Iran; IDN/T80; EGY/X49; CP Pakistan; RAS/H71; XSP/T33; GLO/X42</p>	<p><i>Communicate and use UNODC's comparative advantage through e.g.:</i></p> <ul style="list-style-type: none"> • Use UNODC's role as neutral convener to facilitate intra-governmental, inter-regional as well as CSOs collaboration; • Consider institutionalised approach to communication in regards to advocacy; • Systematically communicate UNODC's comparative advantage; • Given the perception of UNODC's neutrality, fully raise awareness of its mandates.
<p><i>Analysis in the area of human resources leaves room for improvement:</i></p> <ul style="list-style-type: none"> • Human resources strategies within projects and programmes 	<p>GLO/G32; CP Pakistan, PSE/X21, RPF East Asia and Pacific, AFG/I85, VNM/S79, SDN/X06.</p>	<p><i>UNODC to review its approach to human resources, taking into account that:</i></p> <ul style="list-style-type: none"> • Growth at project or programme level should correlate to the human resources approach, based

<p>require systematic assessments;</p> <ul style="list-style-type: none"> • At times no fulltime project coordinator is on board from the onset of projects or programmes.² 		<p>on clear criteria;</p> <ul style="list-style-type: none"> • A tailored induction training would support newly recruited staff's ability to deliver results.
<p><i>The recommendations highlight the importance of flexible funding mechanisms:</i></p> <ul style="list-style-type: none"> • The donor base is sometimes very small and not diverse enough; • Flexible funding is beneficial for UNODC; • Implications of FCR needs to be carefully assessed between Member States, UNODC HQ and Field Offices. 	<p>GLO/G32; CP Pakistan; GLO/U46; CPP; GLO/U68.</p>	<p><i>UNODC should review its funding mechanisms e.g.:</i></p> <ul style="list-style-type: none"> • To engage with a more diverse donor base and review projects that are implemented with one or two donors only; • To continue promoting soft-earmarked funding in order to ensure flexibility for implementation; • To engage in an inclusive dialogue on FCR between Member States, HQ and Field Offices.
<p><i>Communication with external partners leaves room for improvement:</i></p> <ul style="list-style-type: none"> • Member States are not always well enough informed about project activities, achievements, etc.; • Lessons learned of projects are not communicated consistently to internal and external partners; • Communication strategies in projects/programmes are not always explicit. 	<p>GLO/G32; GLO/S83; XSP/X65; EGY/X49; XAF/T40; GLO/K31; CPP.</p>	<p><i>UNODC to strengthen its approach to communication e.g. by introducing:</i></p> <ul style="list-style-type: none"> • A more inclusive and regular approach in communicating with partners, in particular Member States, and monitoring satisfaction rates; • Regular debriefings, and ad-hoc updates for external partners.
<p><i>Human rights and gender unevenly mainstreamed in all interventions throughout the whole project/programme cycle.</i></p>	<p>GLO/G32; CP Pakistan, CP Iran, CPP, GLO/G32, XNA/J58, LAO/K46, LBN/T94.</p>	<p><i>Human Rights and gender should be further mainstreamed in all of UNODC's work.</i></p> <ul style="list-style-type: none"> • Best practices could be used to inform future UNODC interventions in this regard. • UNODC could promote regional policy for human rights and gender. • IEU to continue focussing on human rights and gender aspects in all its evaluations.

² For example: PSE/X21; GLO/T63; NGA/T52

I. INTRODUCTION

Background and context

The objective of this meta-analysis is to increase knowledge and awareness of recurring recommendations and lessons learned contained in UNODC evaluation reports, as well as bring added value to management at large by presenting major patterns in evaluation reports, which should be taken into consideration when developing and implementing UNODC projects and programmes.

This meta-analysis, conducted by the UNODC Independent Evaluation Unit (IEU) is based on 90 evaluation reports, i.e. 76 Independent Project Evaluations (IPEs) and 14 In-Depth Evaluations (IDEs), published in the time-period of 01 January 2011 to 31 December 2014³ (please see Annex II for a list of all evaluations). These reports contain 1003 recommendations, 834 findings, as well as 445 lessons learned⁴ (please see table 1 below for detailed information). Moreover, IPEs account for 84% of evaluation reports included in this meta-analysis (76 evaluations) in comparison to 16% IDEs (14 evaluations). IDEs further account for 28.2% of all recommendations, whilst IPEs account for 71.8%.

Table 1. Statistics of evaluation reports

Type of evaluations	Number of evaluations	Recommendations	Findings	Lessons learned
Independent Project Evaluations	76	720	755	379
In-Depth Evaluations	14	283	79	66
Overall	90	1003	834	445

Source: IEU evaluation reports.

71% of the IPE reports analysed were final evaluations, whereas 29% were mid-term evaluations of a formative nature. This proportion is reverse for IDEs, where 67% are mid-term evaluations and 33% final evaluations. The reason is that programmes subject to IDEs (e.g. Global Programmes) often have a life span that goes beyond 4 years and therefore mid-term evaluations are more frequent. Even though a different methodological approach in mid-term and final evaluations is used, this does not influence the quality of recommendations, findings and lessons learned. Therefore no differentiation in this regard was made throughout the analysis and consequently in this meta-analysis.

Regarding the thematic coverage of this meta-analysis (figure 2), based on the nine UNODC strategic framework sub-programmes 2014/2015⁵, it is evident that the majority of evaluation reports reviewed are relating to Countering Transnational Organized Crime and illicit drug trafficking, i.e. 41 evaluations with 461 recommendations. The strategic framework sub-programme on prevention, treatment and reintegration, and alternative development accounts for

³ All UNODC evaluation reports are available on IEU's website:

<http://www.unodc.org/unodc/en/evaluation/publications.html>

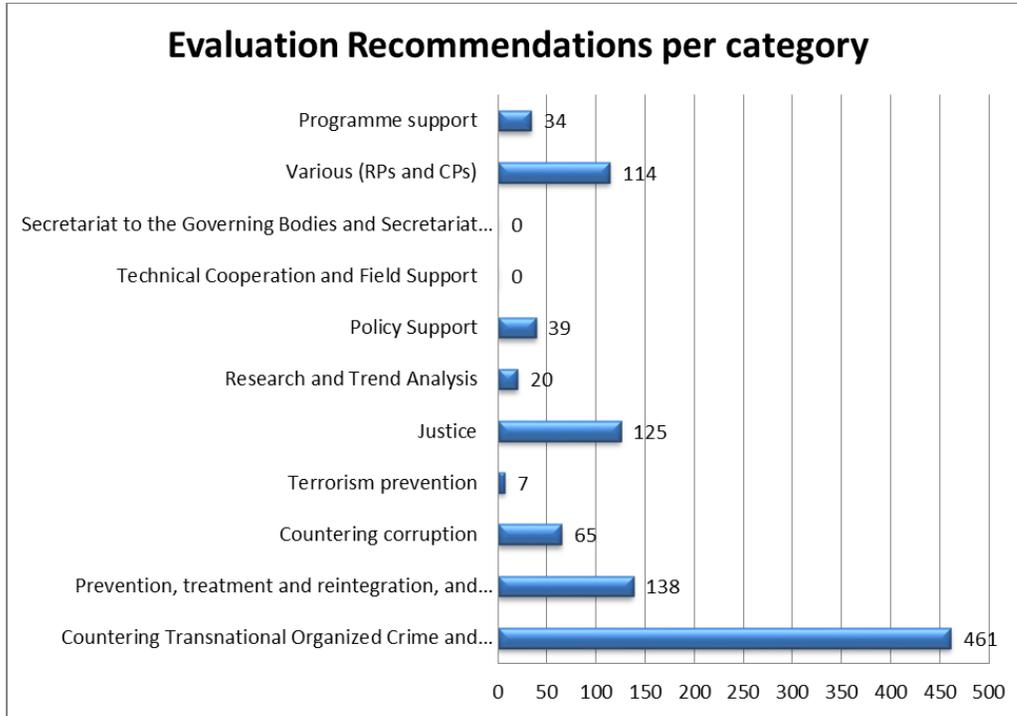
⁴ The recommendations and findings were extracted from the "Summary Matrix of Findings" of all analysed evaluation reports; the lessons learned were extracted from the chapter on "Lessons Learned".

⁵ UNODC Strategic Framework:

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

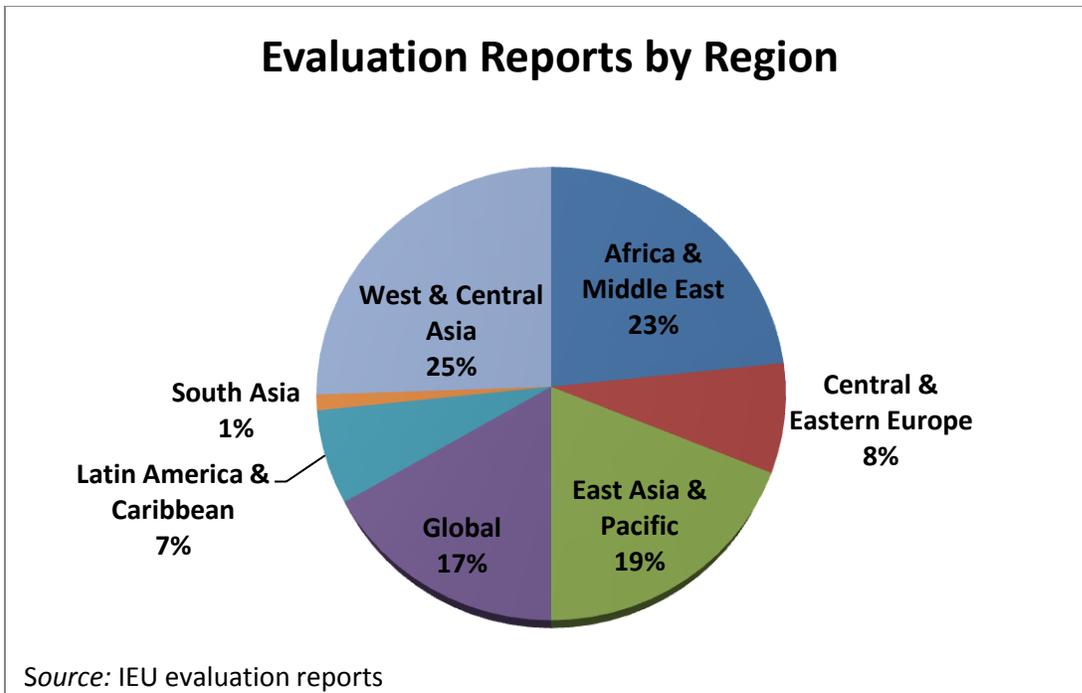
16 evaluation reports and 138 recommendations. The category “various” includes the RP East Asia and Pacific, CP Pakistan as well as the CP Iran – even though only three evaluations, they produced 114 recommendations. Furthermore, a detailed breakdown of the evaluation reports per region is shown in figure 3 below.

Figure 2. Analysed recommendations by UNODC Strategic Framework Sub-Programme



Source: IEU evaluation reports.

Figure 3. Analysed evaluation reports by Region



Source: IEU evaluation reports

Gender in evaluations

Based on the guiding principles of the United Nations Evaluation Group (UNEG), human rights as well as gender are mainstreamed in all UNODC evaluations as key criteria (supplementing the OECD Development Assistance Committee (DAC) criteria), starting from the Terms of Reference (TOR) to the Final Evaluation Report with both topics included since mid 2014. In order to provide gender disaggregated data of the UNODC evaluators, IEU is monitoring this information very closely.

From the data extracted from the 90 evaluation reports (please see figure 4 below) it is evident, that 71.3% of evaluators as well as experts contracted for UNODC evaluations between 2011-2014 were male. Especially in the years of 2011 and 2012, the gender disparity was extremely high with 78% and 84% of male evaluators/experts contracted for evaluations. There is however a positive trend towards gender disparity. In 2014 61.8% of the contracted evaluators/experts were male and 38.2% female. Based on this information, IEU has revised its consultant database and is aiming towards increased contracting of female evaluators/experts for its evaluations.

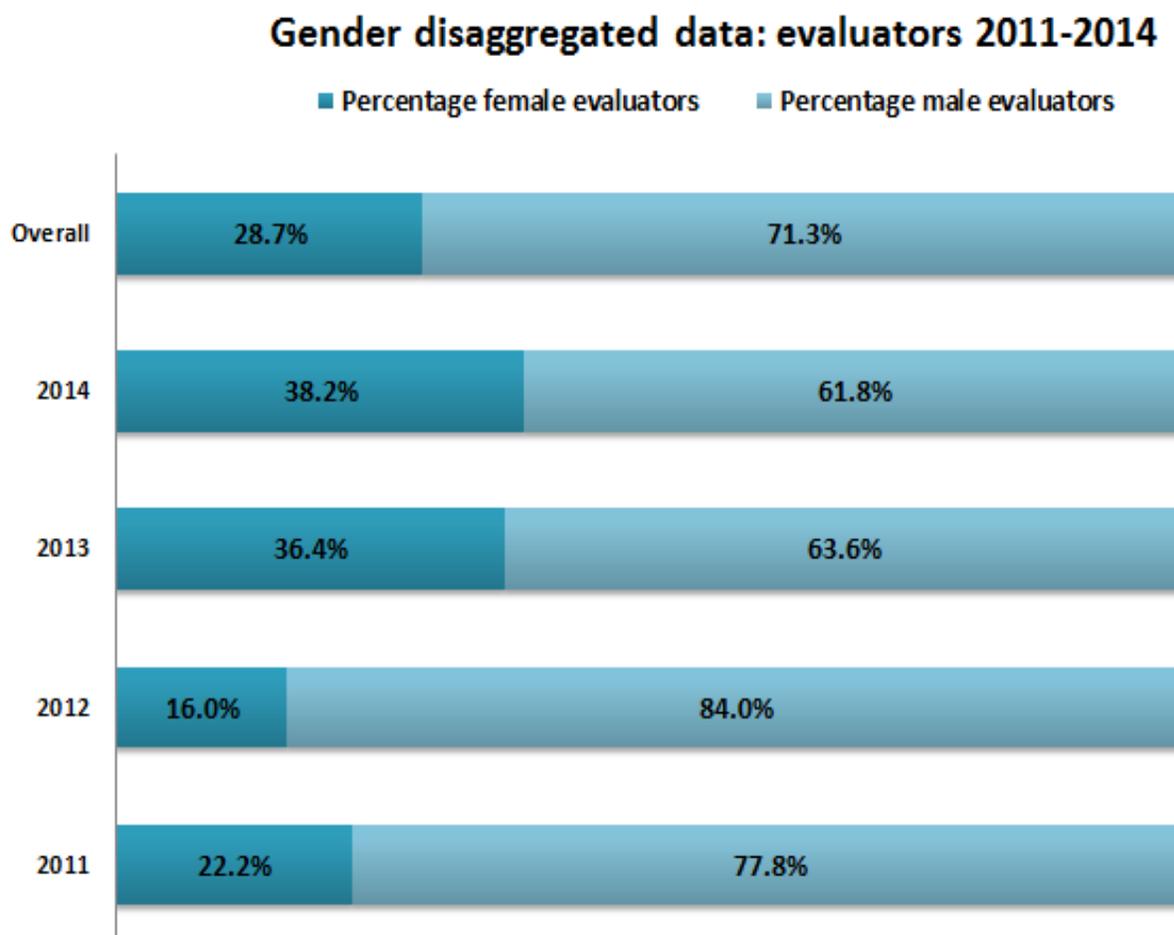


Figure 4. Gender disaggregated data - evaluators

Methodology

This meta-analysis of all UNODC evaluation reports published from January 2011 to December 2014 is based on a robust social-research methodology, described in detail in Annex I. All 1003 recommendations and 445 lessons learned of 90 published evaluation reports were used as data source for this analysis.

The methodological approach was based on categorising all recommendations through an inductive category-building approach, which ensured that the labelling of recommendations was based on the material itself, minimizing thereby the subjectivity of the labelling-process. In this approach the categories are not built in advance (deductive approach), but rather throughout the analysis of the data. The inductive categories were reviewed constantly in the process and a final check of the reliability of the categories was conducted. Two staff members of IEU reviewed the labelling in order to offer a maximum of objectivity.

Based on the categories built through this inductive, qualitative approach, the lessons learned were categorised in line with deductive category-building in order to ensure consistency in the categories and therefore increase the utility of this meta-analysis. All recommendations were anonymized for the labelling-process in order to avoid influences resulting from the type, topic or scope of the evaluation. Every recommendation and lesson learned was labelled with up to three categories, ensuring that all spheres of the recommendation/lesson learned are reflected in the analysis. As a result, 1685 references were assigned to 1003 recommendations.

In the next steps of this analysis, the 83 inductive categories were hierarchically clustered and merged in two levels, i.e. “sub-categories” (42 categories) and “main categories” (12 categories). In the present report, the sub-categories are used for the detailed analysis in the Meta-Analysis Findings chapter.

After finalising the combined qualitative and quantitative analysis based on those categories, an exclusively qualitative analysis was conducted based primarily on recommendations of major programmatic IDEs in order to combine the quantitative with the qualitative analysis.

Furthermore, the inductive category-building approach was based on the recommendations at hand only. Therefore, the limitations are immanent to the tasks the evaluators were asked to carry out through their TORs. This means, for example, that the low weight of the recommendations relating to human rights may be explained by the fact that the TORs for an evaluation did not ask the evaluators to assess human rights dimensions in, for example, 2011. The limitations inherent in TOR must therefore be taken into account, as the dimensions of human rights and gender were included systematically and as mandatory part of the ToR in 2013 only. Throughout this meta-analysis IEU has made an attempt of highlighting these topics in order to counterbalance the limitations immanent to TOR.

II. META-ANALYSIS FINDINGS

Project/programme cycle (35%)

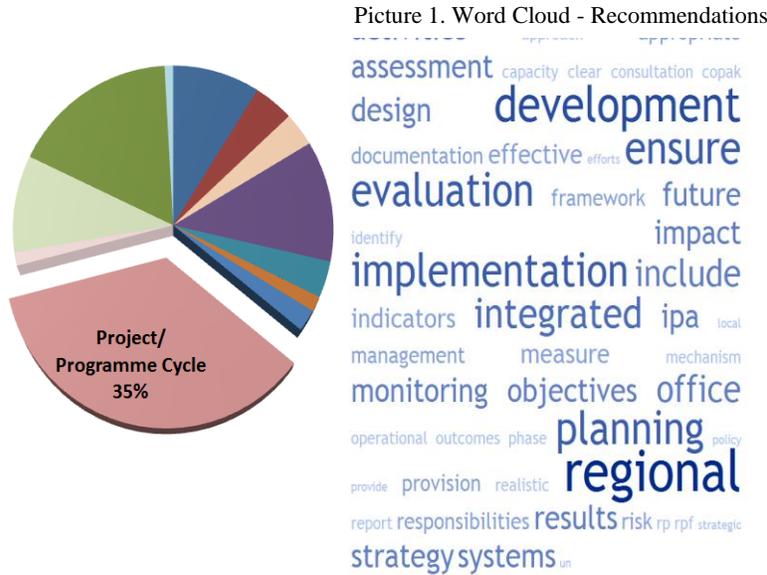


Figure 5. Sub-categories in Project/Programme Cycle



Key findings

UNODC too often underinvests in project/programme design and implementation:

- **RBM is not fully mainstreamed** in project/programme design, as well as throughout implementation
- A **differentiated stakeholder engagement strategy is not fully developed;**
- **Sustainability of and exit plans** for projects/programmes are **not fully mainstreamed** in the design and implementation phase

Possible action

Review the standardised approach for project/programme design and development by e.g.:

- **Front-loading of key elements of project/programme:** including or upgrading of RBM, stakeholder analysis, needs assessment, sustainability- and exit-plan;
- **Ensuring strong country level engagement** in the project/programme from the onset, taking full account of local circumstance.

Evidence

Evaluations of: GLO/G32; CP Pakistan; Integrated Programming Approach; Country Programme Iran; Counter Piracy Programme; Afghan Opiate Trade Project (GLO/V20); AFG/R87; XAS/S69; XSP/T33, LAO/K46; LAO/K18.

The category of Project/Programme Cycle accounted for 35% of all references (equals 593 references) in the analysed recommendations and is therefore by far the most noteworthy category. As visible in figure 5 above, the major directives in this category are Results Based Management (RBM; 26%), references to overall programming (16%), Project and Programme Development (16%) as well as Project/Programme Planning (12%) and Sustainability of Projects and Programmes (10%). Furthermore, taking into consideration local circumstances in Project/Programme Development and Implementation (8%) was raised in recommendations.⁶

Results Based Management (RBM)

Based on the qualitative analysis of 153 references (26%) it is evident that the approach to RBM as a whole, especially evaluation, monitoring and the logical framework, should be further strengthened throughout UNODC. Therefore many recommendations invite UNODC to “invest in more monitoring and evaluation capacity and systems” (GLO/G32, 2014) and to “develop comprehensive and systematic qualitative outcome and impact monitoring” (CP Pakistan, 2014).

Overall programming

The topic of RBM is also closely linked to the second largest category in Project/Programme Cycle with 16%. Recommendations often point out that UNODC should “prevent competition among its operational vehicles (Global Projects, Regional and Country Programmes)” (Integrated Programming Approach (IPA), 2012) and that UNODC headquarters (HQ) and field offices should “continue to review and develop measures for minimizing inefficiencies” (AFG/R87, 2013). In addition, it is evident that UNODC should further “invest in change management processes to support the transition from projects to programmes” (CP Iran, 2014).

Project/programme development

16% of all references in Project/Programme Cycle stress the need to strengthen the overall project/programme development, in particular by fully assessing and adjusting to local circumstances, mainstreaming results-oriented management into implementation and building on explicit sustainability and exit plans. In this regard, UNODC is recommended to include a “discrete sustainability plan (...) into project documentation and subsequent project reviews” (Counter Piracy Programme (CPP), 2013) and especially to “consider strengthening the process of consultation with local and regional offices and partners, as well as concerned donors” (GLO/T55, 2014) when developing new projects and programmes.

Remaining categories

Some recurring recommendations relate to taking into account local circumstances: “Future programme design should consider institutional capacity per recipient country, programme implementation structures, roles, responsibilities and mandates to ensure effective implementation” (XAS/S69, 2013). Furthermore, it is evident that steps should be taken “towards development of programmes through front-loading the planning stage” (CP Pakistan, 2014).

⁶ Please note, as pointed out in the Introduction, that the Guidelines for Evaluation Terms of References in UNODC include the OECD-DAC criteria as mandatory (Relevance, Efficiency, Effectiveness, Impact and Sustainability) as well as “Partnerships and Cooperation”. Further criteria can be added (depending on the nature of the project) and Human Rights and Gender are included as cross-cutting issue.

When developing projects or programmes, it is recommended that monitoring and evaluation systems are planned “in advance to ensure that it is operational and able to measure project effectiveness and impact from the outset” (XSP/T33, 2014).

Key findings

A clear weight of all analysed recommendations falls on project and programme design and implementation phases. RBM needs to be strengthened in all projects and programmes, at design and implementation phases. Feedback data from stakeholders is generally weak or non-existent. Furthermore, a sound stakeholder analysis needs assessment, strong country level engagement while taking into account local circumstances, strengthened involvement of all stakeholders, including a sustainability-plan and front-loading the planning stage are key elements of project and programme design and development, deserving increased attention.

Examples of good practices

- “**Utilizing Smartsheet as a programme management tool can improve the quality of monitoring and reporting**, although the design of the tool needs to be adapted to enable the assessment of outcome-level impact.”(CP Pakistan, 2014)
- “All countries expressed their satisfaction to the organizational arrangements and the partnerships created. The fact that this project has been able to **build on the foundation created during earlier UNODC-projects in the region has clearly contributed to this success**. And in similar lines, the fact that the parties have been working together with these issues may explain also the reduced need for further bureaucratic arrangements (...).” (XEE/T93, 2014)
- “As one of the best practices we can mention the "culture change", from a concept of interdiction to prevention. (...) In this sense, the project has allowed administrative authorities, control authorities and private enterprise to understand and assume that the prevention of diversion of precursor chemicals will benefit everyone in a scheme to "win win". **The benefits of prevention are being understood and start to build trust between businesses and state agencies**, which is shown as a result that was not explicitly mentioned in the formulation of the project, but represents a foundation for its sustainability in a second stage.” (XLA/K04; 2012)
- “Although the project document had clear outputs, it also **left sufficient flexibility for the project management to adapt and shape project activities** according to the beneficiaries’ needs and requests for technical assistance. This flexibility made room for cost-shared activities to take place as well as for greater cooperation amongst different UNODC offices than originally planned.” (XME/X19; 2014)
- “Staff also documented all GLOT55 activities in a **new, internal monitoring database** and made new evaluation processes and forms for workshop trainers and participants. Through the UNODC website, they also made key **project outputs and resources available externally** (...).” (GLOT55, 2014)

UNODC thematic, regional and service strategy approach (17%)⁷

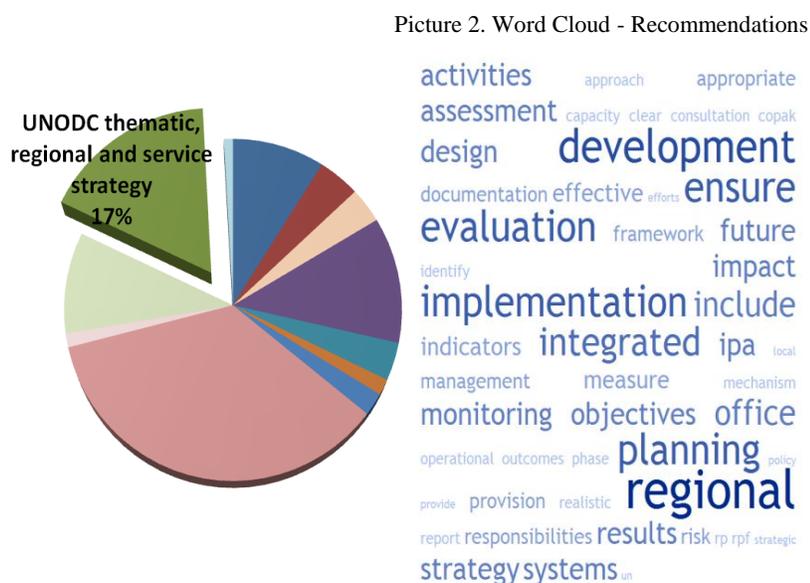
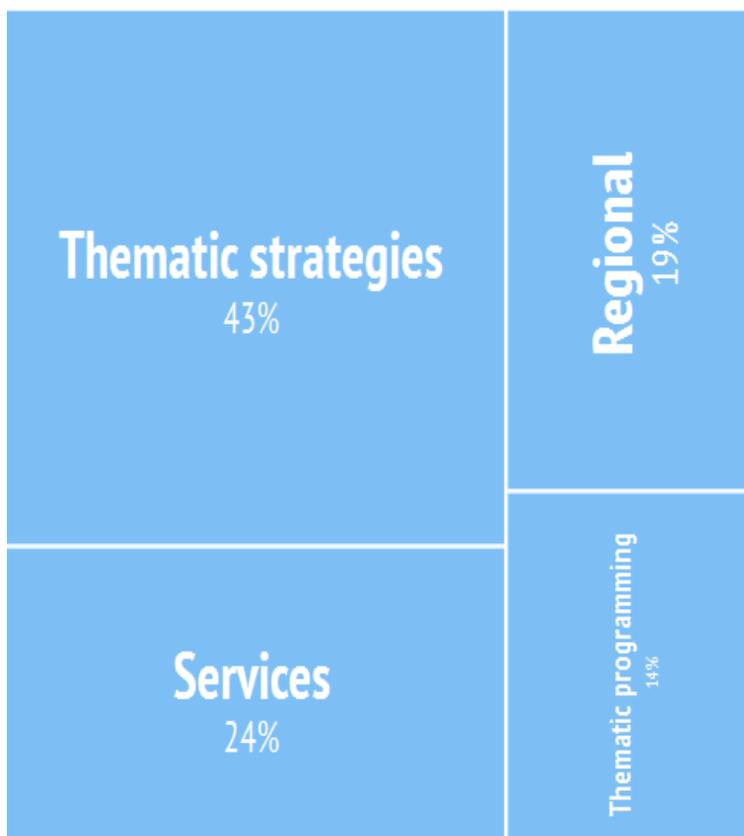


Figure 6. Sub-categories in UNODC Strategies



Key findings

UNODC could benefit from regularly revisiting strategic approaches:

- **Strategic approaches and inter-connectivity of programmes** often not systematically developed;
- **Best practices** in project/programme development **not made fully visible and utilised**;
- **Overarching Capacity Building Strategy not in place**;
- **Engagement strategies with local stakeholders** and partners not fully mainstreamed throughout the project/programme cycle.

Possible action

UNODC could improve the quality of its current strategic approaches as well as interconnectivity of its programmes, through e.g.

- **Reconsidering strategic approaches, re-positioning programmes** where needed and connect regional, thematic and service delivery strategies;
- **Basing strategic decisions more systematically on research, data, lessons learned and best practices**;
- Developing a **comprehensive and inclusive capacity building strategy**;
- **Broadening partner base** by systematically including all relevant stakeholders throughout project/programme cycle.

Evidence

Evaluations of: RPF East Asia/Pacific; CP Iran; GLO/V20; MMR/J63; MMR/J69; GLO/S83; GLO/T55; GLO/U40; GLO/G32; GLO/X42.

⁷ Service delivery is referring to all UNODC assistance provided to recipient countries (technical assistance; research and analytical work; normative work).

With 17% of the overall references (288) in recommendations, “UNODC thematic, regional and service strategy” is the second largest in absolute terms. The sub-categories (figure 6, above) focus on the thematic strategies of UNODC topics (e.g. Countering Corruption; Countering Transnational Organised Crime; 43%) as well as the respective programmatic approach (14%). Furthermore, this category includes recommendations towards UNODC service delivery⁸ (24%) as well as UNODC’s regional positioning (19%).

Strategic approaches

Many of the recommendations are very detailed and refer to the need of UNODC’s positions in light of its thematic and regional as well as service delivery approaches. It is for example recommended regarding UNODC’s strategy in capacity building that further investments are needed e.g. through “developing a clear strategy for capacity building activities in the areas of trafficking in persons and smuggling of migrants” (GLO/T55, 2014).

Furthermore, many recommendations advise UNODC to review its regional strategies and approaches, e.g. “country strategies for the 24 priority countries should be identified in partnership with Civil Society Organisations (CSOs) and be reviewed through an equity lens. This will ensure that, where appropriate, the needs of various age groups, genders, socioeconomic status, educational status and geographic status are addressed” (GLO/G32; 2014). This is also evident, when it is recommended that UNODC lays “out the various scenarios, implications and potential UNODC responses for each country of the region in the context of the post 2014 situation in Afghanistan (CP Pak, 2014).

Moreover, many of the recommendations focus on incorporating lessons learned and best practices from previous evaluations, as well as experiences from project implementation in new strategies for example that “UNODC should publish the TOCTA for East Asia and the Pacific (...) and duplicate this exercise as a ‘best practice’”(RPF East Asia and Pacific; 2013). This would also further strengthen the leading role of UNODC on various topics, such as “UNODC should consider developing additional strategies to affirm a leading role in the global criminal justice response of trafficking in persons and smuggling of migrants” (GLO/T55; 2014).

Key findings

The recommendations point to the need to further invest in the inclusion of local stakeholders and partners in projects and programmes with the aim of building increased regional cooperation and broader partner basis. Furthermore, UNODC should re-consider its intervention strategies and re-position some of its programmes on the basis of research, data, lessons learned and best practices from previous exercises including evaluations. This would also be recommended for developing a comprehensive capacity building strategy and assess options for further connecting regional, thematic and the modality of delivery of technical assistance.

The recommendations in this chapter are also in line with recommendation number 1 of the OIOS report on UNODC (March 2013). This recommendation states that UNODC “should further focus on translating its corporate vision through fully integrating its functional areas and aligning its

⁸ Service delivery is referring to all assistance provided to recipient countries (technical assistance; research and analytical work; normative work).

thematic and geographic programmes, and also factor in research data and threat assessments when determining where it should concentrate its competencies and operations [paras. 40-41; 43-45; 47-48; 53-55 of the report]”.

Examples of good practices

- The instrumental **mechanisms developed by projects to coordinate actors in the approach to solve PWID challenges at national level are worth sharing** among different regions in order to cross-fertilize different types of joint solutions among a wide range of partners. (GLO/G32, 2014)
- “A clear message from the interviews in all regions (...) is the **invaluable role played by GPML’s long-term advisors and mentors in the regions**, with mentors being highly appreciated not only for their specific expertise, but also for their diplomatic and communication skills and networks. In addition, GPML is a very good example of the importance of networks in a specialized technical field. (...) GPML’s global approach enables the identification of expertise and best practices beyond the national or regional level, which is particularly important in the field of AML/CFT. (...)” (GLO/U40, 2011)
- “Pilot Data Collection Exercise (PDCE) was the **first effort in this region to collect regionally comparable crime data**. At the same time it was for many participants the first step towards the revision of their statistical systems in line with the EU acquis and international standards. Both were important steps. **All countries participated to the exercise and the exercise itself served well its basic functions. It, furthermore, carries a potential for replication and extension.**” (XEE/T53, 2011)

Cooperation and coordination (12%)

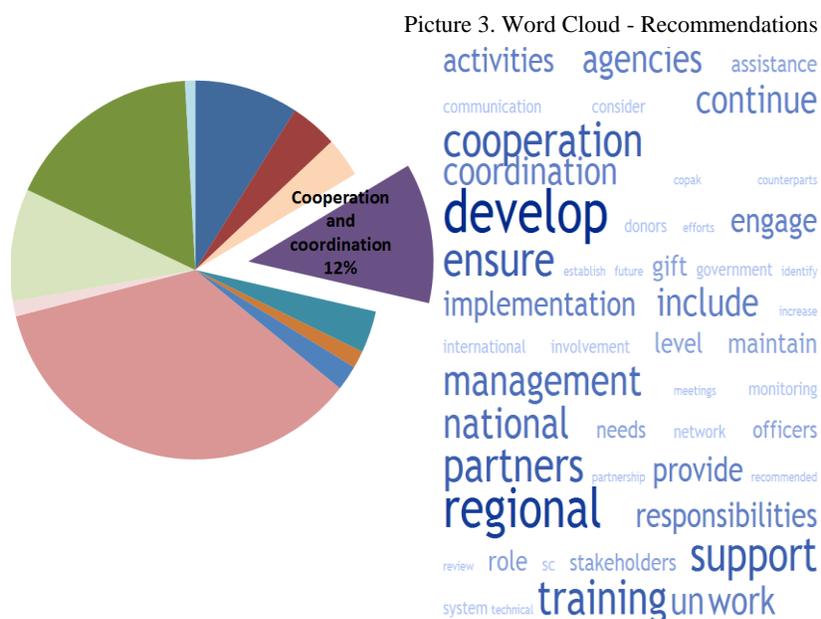
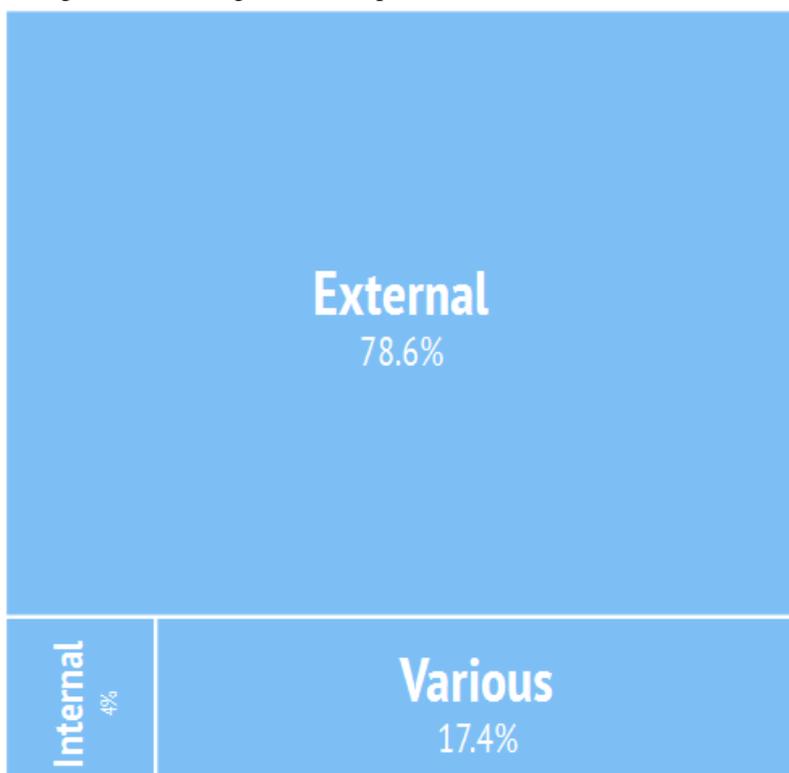


Figure 7. Sub-categories in Cooperation/Coordination



Key findings

The quality of internal and external cooperation varies widely:

- **Cooperation with external partners is uneven** (e.g. Member States; government; UN agencies; CSOs; etc.)
- **Investments in the identification of partners** in regions or thematic areas is **not mainstreamed** or standards are not applied consistently.

Possible action

Strengthen internal and external cooperation by e.g.:

- **Investing in research and mapping exercises** to **identify** existing **initiatives** and potential **partners**;
- **Institutionalise long-term sustainable cooperation** with the donor community and national partners.

Evidence

Evaluations of: Counter Piracy Programme; CP Pakistan; CP Iran; Afghan Opiate Trade Project (GLO/V20); NGA/T10; GLO/U68; XAP/U59; VNM/S79; GLO/G32; JOR/T36; XAC/X50; LBN/T94.

Cooperation and coordination is the third largest category, accounting for 201 references, which equals 12% of the overall references made in recommendations. The major sub-category (figure 7) encompasses cooperation and coordination with external, non-UNODC, partners (79%, or 158 references).⁹

Cooperation

Cooperation with external partners,¹⁰ as well as recipients and regional cooperation came out as salient aspect in this analysis. For example, it is recommended that COPAK and TPB “assess the terrorism threat (its extent, participants, their profile) and identify potential initiatives and corresponding partners in Pakistan” (CP Pakistan; 2014).

As an example, the evaluation of GLO/U68 recommends UNODC to “widen partnership base to include regional and sub-regional/international partners (...)” (GLO/U68; 2013). It is further recommended “for future regional partnerships to identify engagement to avoid overlap with other initiatives and to ensure adequate focus and support for in-country implementation” (XAP/U59; 2014). In respect thereof “UNODC should maintain and where possible further develop its relations with the donor community and national partners to maintain the cooperation network”(VNM/S79; 2014).

The involvement of CSOs in order to further strengthen partnerships and cooperation is another salient aspect – “It is recommended that country strategies for the 24 priority countries should be identified in partnership with CSOs and be reviewed through an equity lens. This will ensure that, where appropriate, the needs of various age groups, genders, socioeconomic status, educational status and geographic status are addressed.” (GLO/G32; 2014). However, not only the cooperation and coordination with CSOs and Member States should be further strengthened, but UNODC should also “strengthen collaboration with other UN agencies” (CP Pakistan; 2014).

Given that building good cooperation may enhance the implementation and sustainability of projects and programmes “more effort should be devoted to ensure the national ownership and commitment, through defining more detailed responsibilities and roles” (JOR/T36; 2014). Recommendations show that “close cooperation with other relevant partner agencies (...) becomes ever more important” (CPP; 2013), e.g. with the expansion of the CPP into the Maritime Crime Programme (MCP). “This expansion could be used as the impetus to attempt to revive relationships with any key potential partner that has been previously reticent at becoming involved with UNODC and the CPP” (CPP; 2013).

Key findings

The recommendations in this section show that especially the cooperation mechanism with external partners, such as recipient countries, governments, UN agencies, CSOs, as well as donors, should be re-thought and well working modalities should be replicated and possibly

⁹ Please note, as pointed out in the Introduction, that the Guidelines for Evaluation Terms of References in UNODC include the OECD-DAC criteria as mandatory (Relevance, Efficiency, Effectiveness, Impact and Sustainability) as well as “Partnerships and Cooperation”. Further criteria can be added (depending on the nature of the project) and Human Rights and Gender are included as cross-cutting issue.

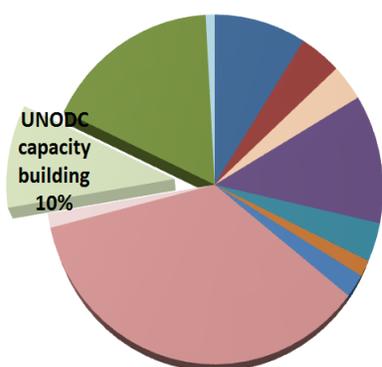
¹⁰ External partners include all partners that are not located within UNODC and this sub-category is referring to recommendations addressing various external partners, including other UN agencies, and not one specific.

standardised. This should be done through identifying potential initiatives and partners in the respective region or thematic area. Maintaining good cooperation with the donor community and national partners will therefore increase the success of UNODC's interventions.

Examples of good practices

- “The success of the PPI, particularly against the backdrop of challenges (...) lies in the **continued engagement by partners.**” (GLO/K31, 2012)
- “**Close implementation with partners was vital to identify the immediate needs and the necessary adjustments** that the project needed in order to better deliver results. Also, the coordination of different efforts, made possible through the regular meetings with other donors in the country, is a good practice to reduce (duplication), and to maximize results in times where resources are scarce.” (CPV/S28, 2012)
- “**Joint inter-departmental workshops** provided by UNODC ROSAF on the international legal framework pertaining to trafficking in persons to representatives from different government departments **provides better understanding of the roles, responsibilities and interdependencies between different government institutions.** It provides a **platform for networking and improved coordination and cooperation** between government officials from different departments.” (XAS/S69, 2012)
- “**CSOs are a key partner for UNODC success in its contribution to stop the HIV/AIDS epidemic** in key targeted populations. The good working relations and partnerships identified at national level should guide the future of the relations with CSO in international arena.” (GLO/G32, 2014)

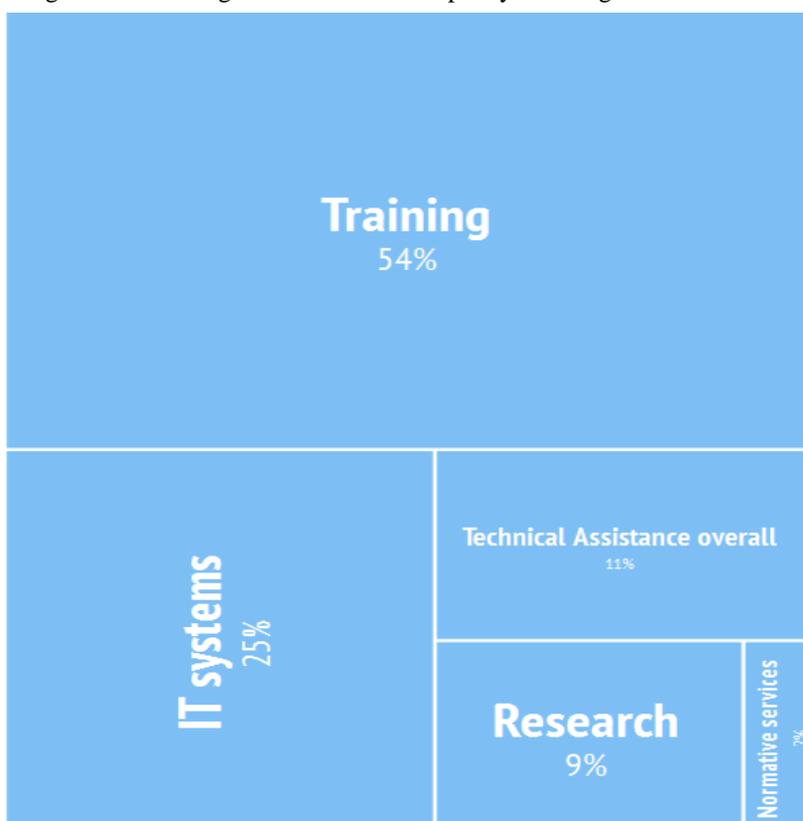
UNODC capacity building (10%)¹¹



Picture 4. Word Cloud - Recommendations



Figure 8. Sub-categories in UNODC Capacity Building



Key findings

UNODC underinvests in developing consistent strategies for capacity building:

- Comprehensive **training delivery strategy** is **not fully developed**;
- **Underinvestment in sustainability of capacity building strategy and train-the-trainer courses**;
- **Use of best practices uneven.**

Possible action

UNODC should review and further develop its approach to capacity building:

- **Develop a differentiated capacity building strategy** which includes sustainability aspects and incorporates best practices;
- **Review and systematise cooperation with ITS** in relation to capacity building initiatives.
- **Tightly monitor Train-the-Trainer modalities** and feed lessons into implementation.

Evidence

Evaluations of: GLO/G32; CP Pakistan, RPF East Asia and Pacific, ZAFT54, GLOT55, IDNT80, XAPU59, GLOU40, XCAS26.

¹¹ Service delivery is referring to all UNODC assistance provided to recipient countries (technical assistance; research and analytical work; normative work).

The category of “UNODC capacity building” relates to the services provided by UNODC (including technical assistance; research and trends analysis; normative work) and accounts for 10% of all references in recommendations (equals 161 references). The sub-categories (figure 8) with the highest number of recommendations are focussing on training (54%). Furthermore, IT systems (relating to capacity building) are also of high relevance in the analysed recommendations (25%). The area of technical assistance overall (excluding training) is the third largest part with 11%. Research and trends analysis (9%) and normative services (2%) are less often referred to, which can be explained by the fact that research projects and programmes have only recently been evaluated.

Training

A large number of recommendations in this category advise UNODC to “develop a comprehensive capacity building and training strategy (...)” (CP Pakistan; 2014). The train-the-trainer courses are especially important in light of sustainability, therefore: “UNODC should ensure that train-the-trainer components of training interventions are fully implemented in future projects to ensure sustainability of training activities. Project design should make provision for intellectual property arrangements and to ensure that training material can be rolled-out on a broader scale after project life span without conditions” (ZAF/T54; 2013).

Moreover, it is evident that “UNODC should consider ways to increase the content and timeline of its capacity-building activities, for example, by developing computer-based training courses as well as materials or strategies for incorporating human trafficking and migrant smuggling topics (...)” (GLO/T55; 2014).

The connection of capacity building with developing and further strengthening computer-based training approaches is salient throughout the recommendations in this category. Good practices should be mainstreamed: “UNODC South East Asia Region should seek to export KERIS12 and the computer-based training (CBT) it developed as part of this project to other training projects”(IDN/T80; 2014). Another examples related to possible synergies between training and the Information Technology Service (ITS) is: “Support training opportunities for border officers by providing material, computer-based courses with modules and certificates, mobile learning units, as well as more joint and cross-border training. Different levels of training can also be envisaged e.g. 1) Anti-smuggling training, 2) Cross-border training and 3) Advanced training” (XAP/U59; 2014).

IT systems

In addition to the above, the coordination with ITS in delivering services calls for attention, for example regarding the promotion of joint products: “GPML should put more focus on promoting its various valuable products, like tools, publications, the IMoLIN¹³and AMLID¹⁴ database, as well as its AML/CFT¹⁵ Computer Based Training, and should continue to jointly promote the goAML software for Financial Intelligence Units developed by UNODC’s Information Technology Service.”(GLO/U40; 2011).

¹² Collaborative, Educational, Responsive, Immersive, Stimulation Training

¹³ International Money Laundering Information Network

¹⁴ Anti-Money Laundering International Database

¹⁵ Anti-Money Laundering/Countering the Financing of Terrorism

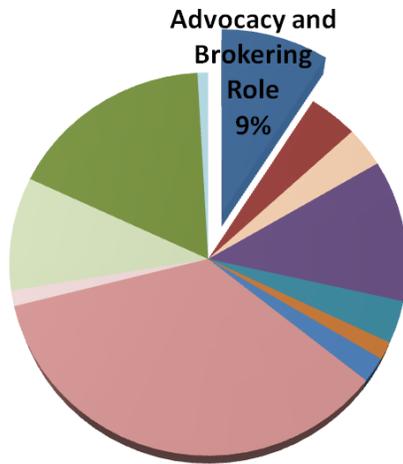
Key findings

From the recommendations in this section it is evident that UNODC should develop a clear capacity building and especially training strategy, also focussing on computer-based approaches. Special importance should be given to train-the-trainer courses, which may increase the sustainability, as well as impact of UNODC's interventions. The capacity building strategies should build on best practices and also strengthen the cooperation and collaboration with ITS to the benefit of future capacity building initiatives.

Examples of good practices

- “**Train-the-trainers programmes provide an effective strategy** for improving programme’s impacts on ground, **but they require enabling infrastructure and supportive environment** to realize their full potential.” (GLO/U40, Mekong Region; 2014)
- “Elements of best practice were also developed during project implementation. Evidence-based approaches and methodologies were confronted with the experience of stakeholders in their specific context. **Participatory approaches were sought.** Interventions carried out during the project have been quite successful with respect to capacity building, by **promoting methodological discussions and consensus on what constitutes effective implementation of services.** Advocacy was also conducted bearing in mind the benefits of participatory processes and geared towards consensus building among national stakeholders.” (XEE/T 20, 2011)

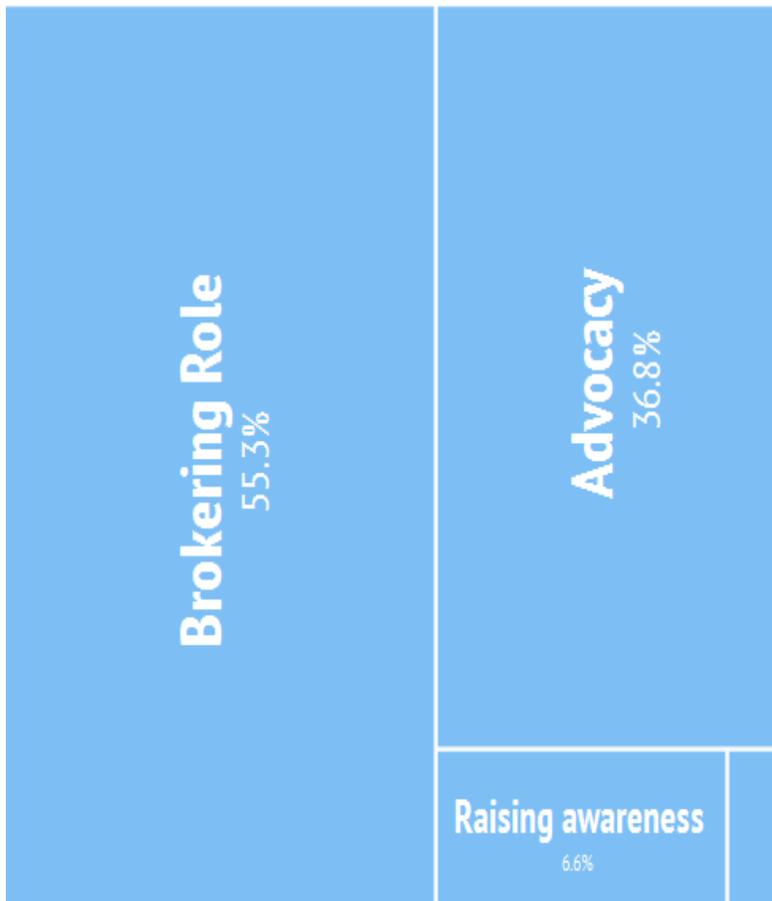
Advocacy and brokering role (9%)



Picture 5. Word Cloud - Recommendations



Figure 9. Sub-categories in Advocacy/Brokering Role



Key findings

UNODC's advocacy approach and brokering role is not fully utilised:

- **UNODC has a major comparative advantage as neutral player, but does not consistently use its brokering role;**
- **UNODC does not fully leverage its comparative advantage vis-à-vis national or international actors**

Possible action

Communicate and use UNODC's comparative advantage through e.g.:

- Use UNODC's role as neutral convener to **facilitate intra-governmental, inter-regional as well as CSOs collaboration;**
- Consider **institutionalised approach to communication** in regards to advocacy;
- **Systematically communicate UNODC's comparative advantage;**
- Given the perception of UNODC's neutrality, **fully raise awareness of its mandates.**

Evidence

Evaluations of: GLO/G32; GLO/G32; IPA; CP Iran; IDN/T80; EGY/X49; CP Pakistan; RAS/H71; XSP/T33; GLO/X42

This category on “Advocacy and Brokering Role” accounts for 9% of overall references in recommendations, which equals to 152. The major sub-category (55%) is related to UNODC’s brokering role at the intra-governmental level, between governments as well as CSOs. This sub-category is one of the largest single label of this analysis, which already reflects the importance of this topic. The second largest category is “Advocacy” (37%). The latter is often directly related to communication with external partners.

Brokering role

The recommendations of the evaluation reports showed that UNODC’s brokering role constitutes an important engagement-factor, e.g.: “UNODC’s convening role is an essential part of the solution, as well as a comparative advantage to problems in the health sector with linkages to other key sector in the country, such as law enforcement. UNODC should strengthen this convening role and expand it (...)” (GLO/G32; 2014)

This important brokering role often relates directly to UNODC at large e.g.: “UNODC should continue to increase its relevance at the upstream policy level by playing a more visible role in policy research and advocacy at the global and regional levels (...)” (IPA; 2012); but also at country and project level, for example when it is recommended that the “UNODC Country Office should play a stronger leading role for the Project, especially at the higher levels of national policy and decision-making required for sustainability” (IDN/T80; 2011).

It is evident that this brokering role should also be used to bridge the gap between governments and CSOs, which could be done e.g. through the project team, which “should directly engage civil society in discussion and debate with government counterparts on substantive issues” (EGY/X49; 2014).

Advocacy

The brokering role is often also connected to advocacy of UNODC. The recommendations show that UNODC’s advocacy approach should be further strengthened in order to clearly communicate UNODC’s comparative advantage, e.g. that the Country Office in Pakistan (COPAK) and the Terrorism Prevention Branch (TPB) “advocate UNODC comparative advantage in the area of terrorism prevention in order to negotiate and identify niche/focus area where no other partner is already engaged” (CP Pakistan, 2014). This is also directly connected to using this advantage by e.g. supporting “the objectives of the Global Programme by supporting harm reduction as a practical, evidence based solution in the Commission on Narcotic Drugs (CND) and other important international fora” (GLO/G32; 2014). Moreover it is evident that UNODC should also further increase its efforts to e.g. “advocate with the donors and respective governments for effective development initiatives to counter drug addiction and social re-integration of prisoners and also work with the UN co-sponsors (...)” (RAS/H71; 2014).

In addition, recommendations are also aiming at using this brokering role to strengthen the advocacy-approach and raise awareness, e.g. through carrying “out public awareness-raising activities through media campaigns and other activities (...)” (XSP/T33; 2014).

Key findings

UNODC should increase its relevance especially at the highest political levels to facilitate the collaboration between government departments, such as law enforcement and health, as well as governments and CSOs. The recommendations however suggest that UNODC should consider an institution wide approach to advocacy and in particular, utilising UNODC's convening and brokering role as a platform for advocacy. This would not only strengthen UNODC's outside perception, but also the awareness raising of UNODC's mandate.

Examples of good practices

- “Unintended results of the programme have been mainly positive, and there are **examples of collaboration of national government counterparts that are usually impossible to see in a real collaboration in many national contexts**. In particular, this occurs between the law enforcement and health authorities. The main lesson learnt here, is to take this unintended result and include it in every intervention as a systematic way to create strong bonds among these two types of administrations. In this way, they can engage together in providing a comprehensive response to the problems affecting key populations.”(GLO/G32, 2014)
- “**Prisons are restricted areas and the issue of HIV, sexual activity and drug use initially denied by prison officials were successfully overcome by the project through capacity building (...)**. Through this process, UNODC has also provided capacity building opportunities for civil society organizations.” (RAS/H71, 2014)
- “The way **training sessions brought together staff from various agencies was beneficial to the trainees** who had the opportunity to thoroughly exchange experience and skills. Most importantly this benefits mutual trust, which is a requirement for operational cooperation at domestic level.” (XAW/U53: 2011)

Recommendations point out that aspects related to human resources should receive increased attention, e.g. in order to “ensure sustainability and consistency of delivery through core functions being undertaken by staff, possibly supplemented by consultants who in turn ensure transfer of skills to staff” (CP Pakistan; 2014). This sustainability and consistency could be reached through recruiting “a fulltime international project coordinator from the very beginning of complex projects (...)” (PSE/X21; 2013). The length of the recruitment process is also referred to in other recommendations, e.g.: “UNODC’s recruitment procedures must be reviewed in order to speed up the hiring process for key functions in order to avoid vacant positions for several months or longer” (SDN/X06, 2014).

Recommendations are also referring to a stronger focus of the human resources, e.g.: “UNODC should conduct a “UNODC Human Capital Survey” each year as an internal process within the organization. The information collected by the Survey should be available to UNODC down to the level of project managers. (...)” (RPF East Asia and Pacific; 2013). Furthermore, recommendations refer to the hiring procedures and especially the handover phases, e.g. “COAFG should conduct a review of its hiring and retention procedures. Without handovers, or at worst long periods without an international (staff) projects risk stalling” (AFG/I85, 2013). In this regard it is also recommended that UNODC should ensure a “succession plan is developed for the loss of key personnel within the CPP team. This requires the organisation to identify individuals who could fill the role(s), develop their knowledge, skills, and abilities, and prepare them for advancement or promotion.” (CPP, 2013) Moreover, it is pointed out that “UNODC should invest in maintaining stable rosters on project coordination and substantive expert levels, as well assure continuing solid cooperation” (VNM/S79, 2014).

Key findings

It is evident that UNODC should invest time to review and further strengthen its human resources strategy by e.g. providing fully tailored induction training to new staff; reviewing staff capacities in light of project/programme growth and reviewing the staffing needs of projects and programmes from the onset, which may help avoiding implementation delays.

Examples of good practices

- “During this evaluation it became clear that the relative success of CARICC has been a combination of many different factors coming together at the same time. However one of those **key factors has assumed greater importance and could be loosely called ‘the human factor’**. **Many individuals commented on the positive difference that individuals have made to the project.**” (RER/H22, 2011)
- “This Project has shown that the **presence of International Staff** (permanent or consultant) is **what drives a project forward, particularly a project where mentoring and technical assistance are the key elements**. Without the presence of International subject matter expertise, there would have been no significant project achievements. Hiring and retaining suitably trained staff is key, and the UNODC administrative systems should support this reality by examining how its recruitment procedures help or hinder the Country Office’s ability to take on new staff and ensure that those they have a adequately cared for.” (AFG/I77, 2013)
- “The experience in this project proved that **including a national staff in the project team had increased the national ownership, secure better communication and higher level of coordination** between the implementing agency and the counterparts.” (JOR/T36, 2014)

Budget, finance and funding (4%)

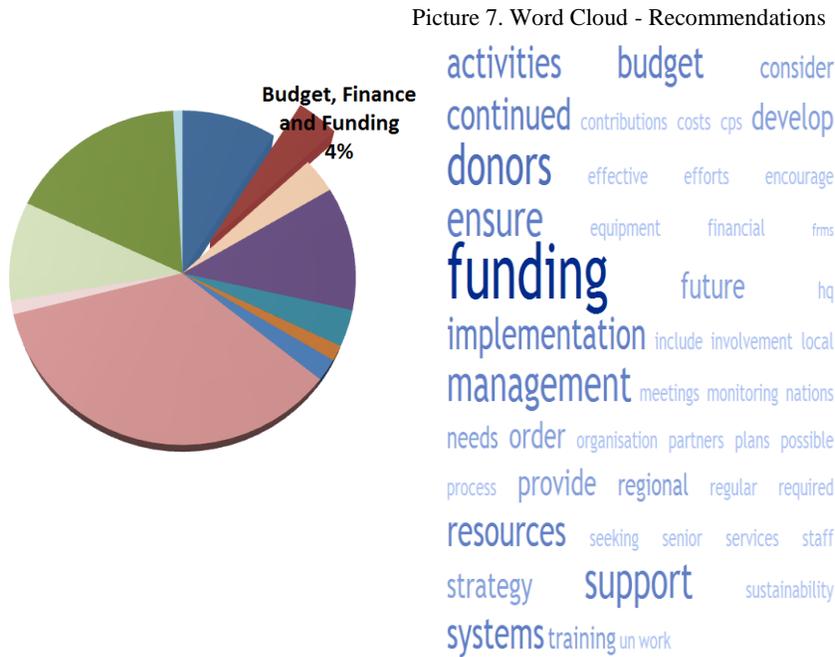
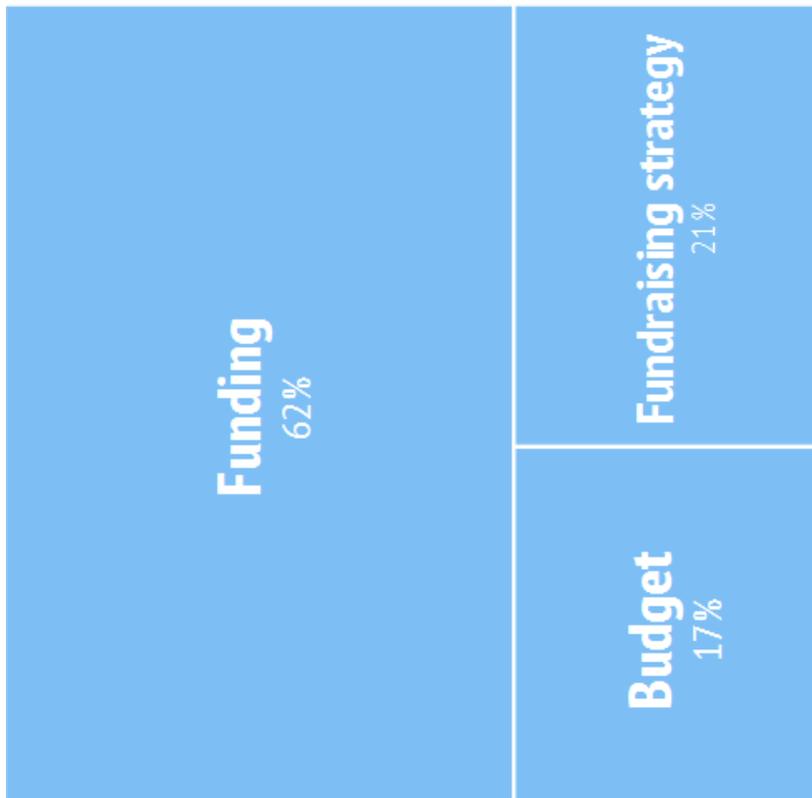


Figure 11. Sub-categories in Budget, Finance, Funding



Key findings

The recommendations highlight the importance of flexible funding mechanisms:

- The **donor base is sometimes very small** and not diverse enough;
- **Flexible funding is beneficial for UNODC;**
- **Implications of FCR needs to be carefully assessed** between Member States, UNODC HQ and Field Offices.

Possible action

UNODC should review its funding mechanisms e.g.:

- To **engage with a more diverse donor base** and review projects that are implemented with one or two donors only;
- To **continue promoting soft-earmarked funding** in order to ensure flexibility for implementation;
- To **engage in an inclusive dialogue on FCR** between Member States, HQ and Field Offices.

Evidence

Evaluations of: GLO/G32; CP Pakistan; GLO/U46; CPP; GLO/U68.

“Budget, Finance and Funding” represents 4% (69) of all references in the recommendations. This category includes as the major sub-category “Funding” with 43 references (62%) as well as “Fundraising Strategy” with 14 references (21%) and budget-related recommendations. At this point it needs to be pointed out that this meta-analysis covers the period from 01/2011-08/2014 and therefore the impact of the discussion regarding Full Cost Recovery is not yet reflected in the evaluation reports, but this will probably change in the future. There is however one clear recommendation in this regard: “UNODC (FRMS, CPS) to carefully consider implications of the full-cost recovery model in close consultation with COPAK and to communicate the challenges and potential gains to COPAK” (CP Pakistan; 2014).

It is evident from the recommendations that the flexibility of funding is a very important issue, therefore “UNODC should ensure the continuing promotion and use of ‘soft-earmarked’ funds within the integrated programme environment which includes the flexibility to respond to immediate requests” (GLO/U46; 2012). This is also evident in various other recommendations, when it is pointed out that: “(...) Where a project or programme (such as the CPP) has demonstrated success and delivered to donor satisfaction donors should be encouraged to provide more ‘soft ear-marked’ funds where appropriate (...)” (CPP; 2013).

Furthermore, the risk of unsustainable funding is referred to in recommendations, e.g. when UNODC is advised to “explore funding opportunities to create a balanced project management structure with core and non-core posts to minimize the risk of collapse” (GLO/U68, 2013).

Key findings

The recommendations show that it is important to engage a broad and diverse donor base right from the beginning of the project/programme development and keep donors informed of the progress made. Furthermore, the flexibility of funding should be further promoted by UNODC. This aspect is also evident from the OIOS recommendation 4: “UNODC should further implement its fundraising strategy with special focus on reducing earmarking of extra budgetary contributions” (OIOS 2013, paras 46; 53). Regarding the FCR model, this needs to be carefully considered in a dialogue between Member States, UNODC HQ and field offices and an external evaluation might be called for.

Example of good practices

- “The structure of funding: **Non-earmarked and soft-earmarked funds seem to enhance performance** of specific projects and thus need to be accommodated in the financial administration of UNODC. **Integrated Programming requires soft-earmarked funds** in order to ensure the ability to react quickly to changing circumstances. The donor support for this approach and consequent soft-earmarked funds need to be maintained.” (GLO/U46, 2012)

Communication (3%)¹⁷

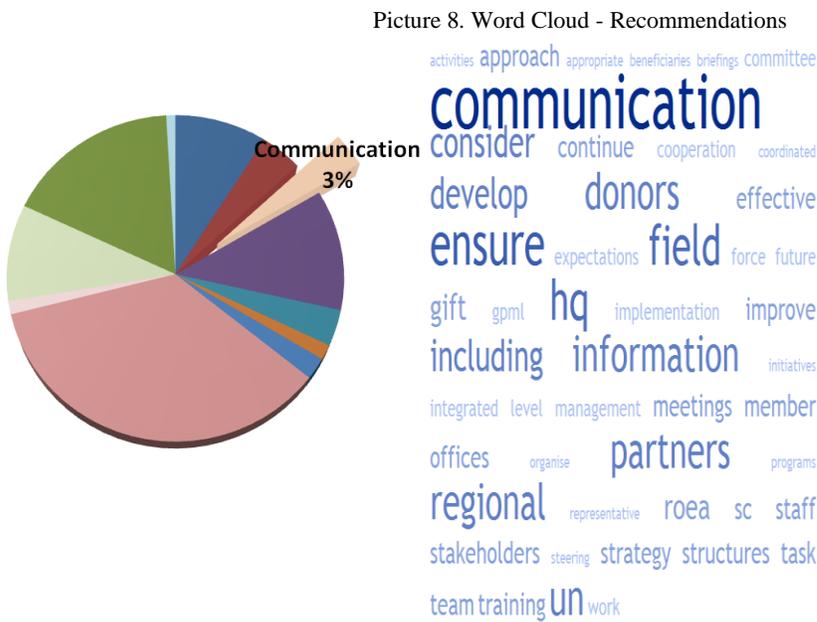
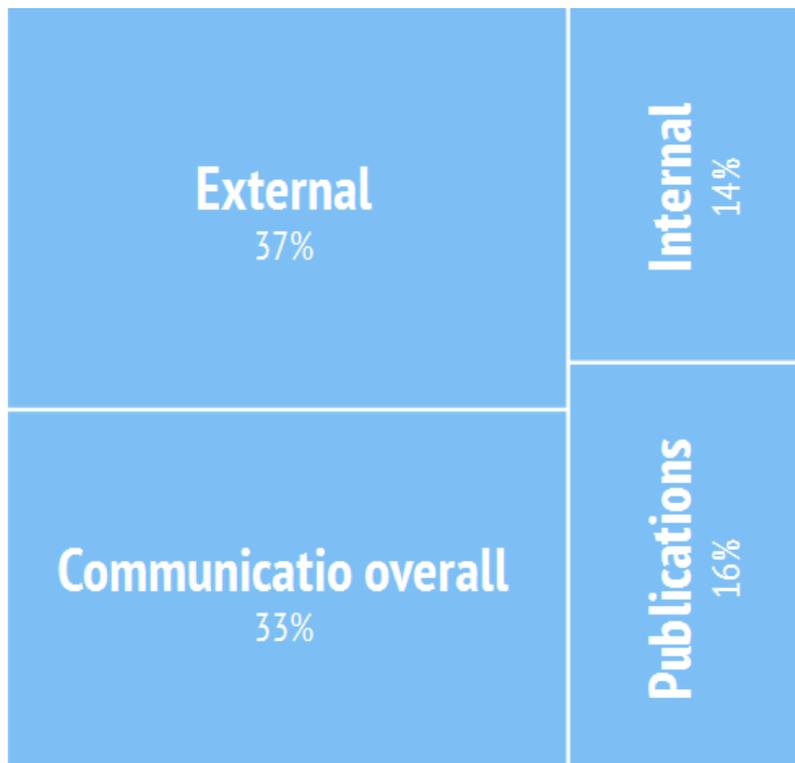


Figure 12. Sub-categories in Communication



Key findings

Communication with external partners leaves room for improvement:

- **Member States are not always well enough informed** about project activities, achievements, etc.;
- **Lessons learned** of projects **are not communicated consistently** to internal and external partners;
- **Communication strategies** in projects/programmes are **not always explicit**.

Possible action

UNODC to strengthen its approach to communication e.g. by introducing:

- **A more inclusive and regular approach in communicating with partners**, in particular Member States, and monitoring satisfaction rates;
- **Regular debriefings, and ad-hoc updates for external partners.**

Evidence

Evaluations of: GLO/G32; GLO/S83; XSP/X65; EGY/X49; XAF/T40; GLO/K31; CPP.

¹⁷ This chapter is closely linked with the one on “Advocacy” – therefore, please read this in conjunction with the chapter on “Advocacy”.

The category of “Communication” was referenced in 3% (57) of all recommendations. This category needs to be read in conjunction with the chapter on “Advocacy”. The breakdown of this category shows that UNODC’s communication with external counterparts, including Member States, recipients, UN organisations, CSOs, government counterparts (37%), is the major topic in conjunction with “Communication overall” (33%).

Data shows that communication with external partners, including Member States, is a prevalent topic. For example it is recommended that “Lessons learned should be drawn and shared among the appropriate stakeholders” (GLO/S83; 2014) and that UNODC project teams should “instigate a reporting regime and communication strategy with the donor that meets their expectations. Regular face-to-face debriefs and ad-hoc project updates should form part of this regime” (XSP/X65; 2013). More specifically, in relation to Steering Committees it is recommended that “the project team should fulfil the committee’s legitimate expectations by keeping the members regularly informed” (EGY/X49; 2014).

Furthermore, UNODC “should consider how to organise the cooperation between HQ and field even better, as well as how to improve the information flow between UNODC and other organisations of the UN family (...)” (XAF/T40, 2011).

Key findings

The recommendations in this chapter suggest that UNODC should further strengthen its communication with external as well as internal partners. A proactive and inclusive approach to communication with full involvement of Member States, e.g. through regular debriefings and ad-hoc updates (for example in the form of a newsletter) would be beneficial. Excellent practices regarding communication with external partners are at hand but are not consistently replicated.

Examples of good practices

- “**The key elements for success in the PPI have been communication and information management.** While there is room for further improvement in this regard in the PPI itself, UNODC could benefit from a similarly **proactive and inclusive approach** to communication and information management in other projects and programmes. As the PPI has shown, it is a combination of institutional/organisational, technical and individual elements that are required for information to be available in the appropriate form, at the right time, and to be utilised accordingly.” (GLO/K31; 2012)
- “Continue the **excellent communication strategy with external partners including the donor community.** Consider the value of rolling this approach out to all UNODC projects and programmes.” (CPP, 2013)

Human rights and gender (2%)

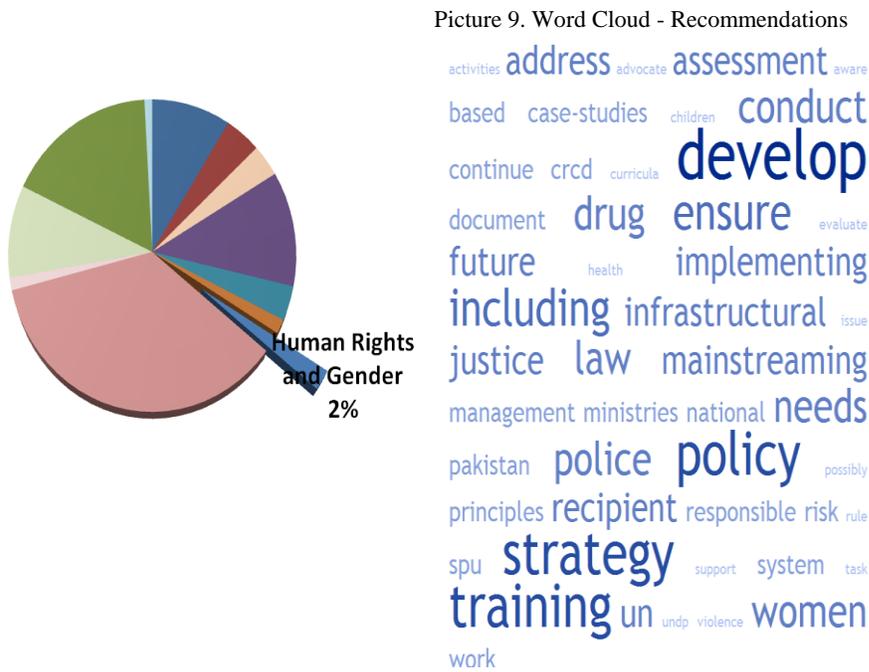
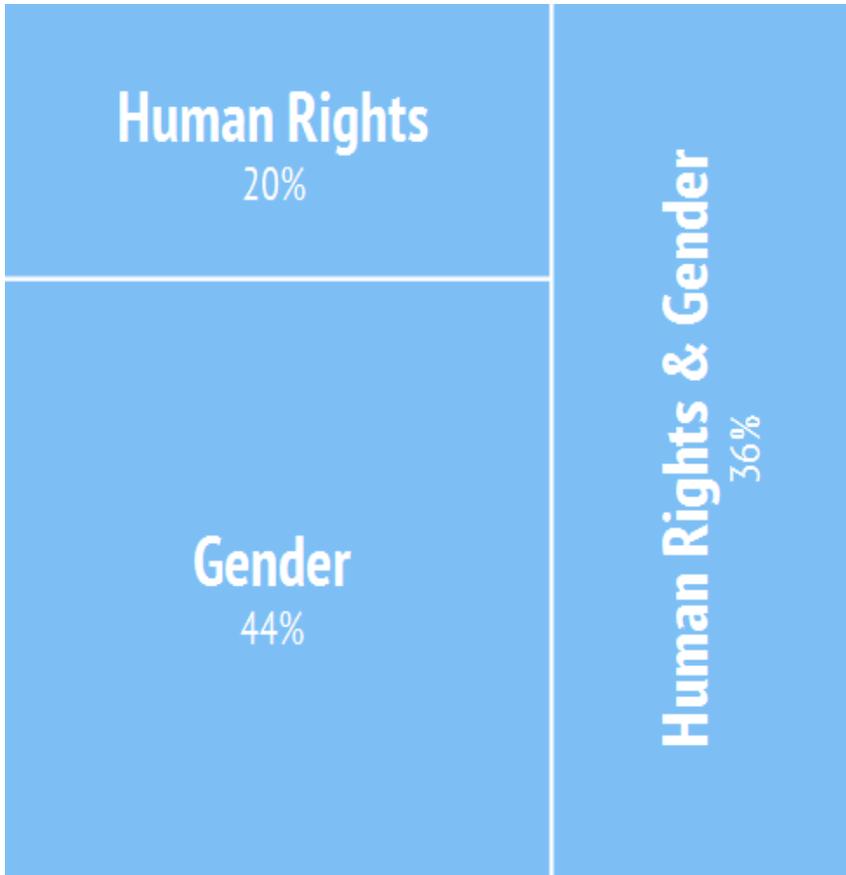


Figure 13. Sub-categories in Human Rights and Gender



Key findings

Human rights and gender unevenly mainstreamed in all interventions throughout the whole project/programme cycle.

Possible action

Human Rights and gender should be further mainstreamed in all of UNODC's work.

- **Best practices could be used to inform future UNODC interventions** in this regard.
- UNODC could **promote regional policy for human rights and gender.**
- **IEU to continue focussing on human rights and gender** aspects in all its evaluations.

Evidence

Evaluations of: GLO/G32; CP Pakistan, CP Iran, CPP, GLO/G32, XNA/J58, LAO/K46, LBN/T94.

Due to the importance of the topic, the number of references (2%) is extremely low. The fact that human rights and gender were mainstreamed into all evaluation TOR in 2013 may affect this number and IEU will also review its approach in this regard in order to focus more systematically on this important area, as already pointed out in the Executive Summary. In addition, IEU is currently reviewing all its evaluation guidelines in order to further increase the prioritisation of human rights and gender in all evaluation products.

Based on the recommendations it is evident that human rights and gender need to be mainstreamed into all UNODC activities, for example: “COPAK to continue awareness about, understanding of and respect for human rights among law enforcement professionals in the execution of their tasks, through training” (CP Pakistan; 2014). This is also recommended: “By engaging appropriate thematic experts ensure that human rights are enshrined in the existing CPP and expanded in the MCP. (...) This evaluation suggests that any future development of the CPP should include this human rights risk assessment approach” (CPP; 2013).

UNODC should review its project and programme portfolio in light of the human rights and gender integration: “Human rights considerations and principles should be embedded in any future strategy and or intervention. UNODC should consider developing a strategy document on how to improve human rights mainstreaming within its projects and the overall global strategy of the Programme. All future projects should be reviewed for human rights, legal and policy issues, regardless of the political environment” (GLO/G32; 2014). The fact that human rights and gender needs to be mainstreamed into all UNODC projects and programmes was already evident in 2011 evaluations: “Incorporate and mainstream gender and human rights into all new policy and strategy documents developed by the project and establish a regional policy forum to promote gender and human rights based drug legislation and policy” (XNA/J58; 2011).

Key findings

Human rights and gender need to be embedded in all future projects and programmes, regardless of the political environment. The promotion of regional policy for human rights and gender was further suggested. Best practices should be used to inform future UNODC interventions in this regard.

Example of good practice

- “The Global Programme has done a **commendable job in addressing the needs of women and key populations**. Intervention models that have proven effective at national and regional levels” (GLO/G32; 2014)
- “The project **addressed human rights issues, but did so through activities that were not perceived only as human rights activities**, e.g. training which had many human rights aspects, was not solely about human rights. This approach **reduced the risk of alienating government officials who may be defensive and reluctant** to engage when international organisations use human rights as their unique entry point.” (LBN/T94; 2014)

III. CONCLUSIONS

The review and analysis of 90 independent evaluation reports, entailing 1003 recommendations and 445 lessons learned from January 2011 to December 2014 showed that there are various topics of major importance to UNODC. From project/programme cycle to cooperation and coordination and UNODC's brokering role. This meta-analysis will also be used as a basis for IEU's own review of its criteria in e.g. evaluation TORs and how areas that are not covered at the moment be further mainstreamed in the ToR for future evaluations.

The recommendations generated the insight that especially the project and programme design and development needs to be further strengthened, especially by including well-developed RBM in all initiatives, conducting a sound stakeholder analysis and needs assessment, including a sustainability plan, taking into account the specific, local circumstances and incorporating all stakeholders, such as local counterparts, even more.. To integrate those local circumstances even more would further increase regional cooperation and at the same time broaden UNODC's partner base for interventions.

Cooperation is further crucial with other partners, which is evident from a wide range of recommendations in this regard. Therefore, cooperation with donors, government, UN agencies, CSOs, etc. should be strengthened by identifying potential initiatives and partners in line with UNODC's regional and thematic approach. This cooperation can be based on best practices that already exist. Especially the engagement with donors would most likely secure sustainable funding and thereby even further increases the success of UNODC's interventions.

The recommendations also revealed that UNODC should base strategic decisions more systematically on lessons learned and also best practices from previous interventions and evaluation. In this regard a comprehensive capacity building strategy should be developed and connected with regional and thematic strategies in order to further increase UNODC's implementation. This should also entail a clear strategy for training, including approaches regarding computer-based trainings, and fully include a mainstreamed approach towards train-the-trainer courses in order to further strengthen the sustainability of UNODC's capacity building activities. A closer cooperation with ITS should further be reviewed in light of UNODC's services, especially for capacity development.

One further important aspect from the recommendations is the comparative advantage of UNODC as a broker, not only between governments and government departments, but also between governments and CSOs. This approach needs to be further strengthened by actively and more strategically advocating exactly that role and thereby strengthening the perception of UNODC as a whole including raising awareness of its mandate. This also closely relates to the recommendation that UNODC should strengthen its communication strategy with external partners, especially recipient countries and donors, in order to ensure a proactive and inclusive approach. This would not only ensure more ownership, but also lead to a more diverse donor base.

As pointed out in various recommendations, UNODC should also review its human resources strategy in order to further increase the efficiency of its projects. This can be reached through a full and thorough review of the current strategy, including solid induction trainings of new staff and ensuring that project coordinators are hired from the start of a project/programme in order to reduce implementation delays.

Two topics that were under-represented in this meta-analysis are gender and human rights. Even though both are of immense importance, only few recommendations were aiming at those topics. One of the reasons for this is that IEU evaluation TOR only started incorporating human rights and gender as of 2013 in its mandatory template. As a result, in evaluations from the beginning of 2011 to the beginning of 2013, those topics were not mandatory in all evaluation TOR. From the recommendations it is however evident that UNODC should further promote human rights and gender and this should be done regardless of the political environment. As a matter of fact, UNODC may even promote regional policies in this regard.

This meta-analysis did not fully cover the issue of Full Cost Recovery, as such was not fully reflected in the time period covered by this meta-analysis. It is however evident that a dialogue between HQ and field offices needs to be conducted very thoroughly in this regard.

ANNEX I. METHODOLOGICAL APPROACH

The qualitative and quantitative analysis for this meta-analysis included the review of 90 published UNODC evaluation reports from the time period of 01 January 2011 to 31 December 2014¹⁸. All 1003 recommendations, as well as 445 lessons learned were used as data source for this meta-analysis.

Based on qualitative and quantitative social science research standards, the following steps built the basis for this analysis:

1. The analysis of the recommendations and lessons learned was based on inductive category development (following the approach of the social scientist Philipp Mayring). This approach ensures that the categories used for labelling the recommendations and lessons learned are based on the material and not already pre-judged before the analysis took place. This ensures that the data material is fully reflected in the analysis and therefore minimised the subjectivity of the labelling-process. The main steps of the this approach as used for this analysis are as follows¹⁹:
 - a. Research object (data source);
 - b. Determination of category definition and levels of abstraction;
 - c. Step-by-step formulation of inductive categories out of the material;
 - d. Revision of categories after 10% and 50% of the material (and also of 100% a final review was conducted);
 - e. Formative check of the reliability of the categories;
 - f. Finalising labelling;
 - g. Final check of reliability of categories;
 - h. Quantitative (of all recommendations) as well as Qualitative interpretation of the results, especially focussing on In-Depth Evaluation recommendations and lessons learned. The qualitative analysis focussed on recommendations of major programmatic IDEs, where IEU is part of the evaluation team.

¹⁸ All evaluation reports are available on the public IEU website:

<http://www.unodc.org/unodc/en/evaluation/publications.html>

¹⁹ Mayring, Philipp: Qualitative Content Analysis, June 2000 – online available: <http://www.qualitative-research.net/index.php/fqs/article/view/1089/2385>

This approach ensures that the correct "level" of categories is used for the recommendations and lessons learned (and not either too low or too high category-levels are developed). Furthermore, all recommendations were anonymized for the labelling-process in order to avoid influences resulting from the type, topic or scope of the evaluation.

2. After all recommendations and lessons learned were labelled, the quantitative analysis was conducted in Microsoft Excel. Furthermore, the qualitative analysis of the material, focussing on IDEs, was connected with the quantitative information of numbers of labels, etc. and lead to the final meta-analysis report. As one recommendation and also one lesson learned was labelled with up to 3 different labels, this gave a much broader data source for the quantitative and qualitative analysis and is necessary, as most recommendations and lessons learned are not referring to only one category. Therefore 1685 references were assigned to 1003 recommendation and 658 references were assigned to 445 lessons learned.
3. Apart from analysing the recommendations and lessons learned, the categories also give important insight in the areas which are not covered by recommendations and lessons learned, which also leaves space for IEU to reflect on the findings in this meta-analysis (e.g. in relation to the criteria mainstreamed in all evaluation TOR).
4. Limitations: one of the key limitations of qualitative research relates to the subjectivity of labelling and category building, as many recommendations, as well as lessons learned, leave naturally room for interpretation. In order to mitigate this limitation, recommendations and lessons learned were labelled with up to three categories. This did not only reduce the subjectivity of the rating, but also ensured that all aspects of the recommendations and lessons learned were covered in the category-system and this lead to an even more detailed analysis.
 - a. Furthermore, the inductive category-building approach is based on the material and therefore areas are not covered that are not reflected in the recommendations or lessons learned. As all evaluations are based on evaluation TORs in line with UNEG norms and standard and the OECD DAC criteria, the scope of evaluations is focussed on those categories. In this regard is the focus of evaluation TOR also introducing some limitations in this meta-analysis, e.g. in relation to human rights and gender, which was included as mandatory part of the ToR in 2013 and therefore is not reflected in evaluations in 2011 and 2012. In order to clearly analyse which categories are not considered but should be present, IEU included those respective findings in the Executive Summary and the Conclusions.

After all recommendations were labelled, the next step was to cluster the labels in order to prepare the ground for the analysis and begin with the quantitative analysis. The clusters were built on the inductive categories, leading to a number of major clusters as well as some sub-clusters (major cluster e.g. "Project/Programme Cycle", sub-cluster e.g.: "Project/Programme Cycle - development"). A short definition of all categories is attached to this meta-analysis in Annex IV.

In order to deepen the analysis and further enhance knowledge management through this meta-analysis, lessons learned of all conducted evaluations were analysed and labelled with the same approach as this was done with recommendations, with one exception: the category-building was deductive, as the categories of the recommendations were used in order to ensure consistency in

the analysis. This approach allowed IEU to complement the findings of the recommendations with either best practices or lessons learned.

ANNEX II. LIST OF EVALUATIONS REVIEWED²⁰

Project/Programme evaluated	Project/ Programme Number and Link	Year of evaluation
Support for a Counter Narcotics Training Unit within the Afghan Police Academy	AFG/I77	2013
Regional Cooperation in Precursor Control between Afghanistan and neighbouring countries	AFG/I85	2013
Strengthening Provincial Capacity for Drug Control Project	AFG/I87	2013
Strengthening the Operational Capability of Counter Narcotics Police of Afghanistan	AFG/J43	2013
Integrated Border Control Project in Western / South-Western Afghanistan	AFG/J55	2013
Strengthening Anti-Corruption Measures in Afghanistan	AFG/R86	2013
Prison System Reform in Afghanistan–Extension to the provinces	AFG/R87	2013
Criminal Justice Capacity Building–Extension to the provinces	AFG/T03	2013
Strengthening of Enhanced Capacities for Border Control and Criminal Justice Response towards illicit Trafficking and Organized Crime in Albania	ALB/G70	2013
AD/BRA/05/S07 4th Forum on Fighting Corruption and Implementation of Anti-corruption Measures in Brazil	BRA/S07	2011
AD/BRA/05/S25 Counteracting human trafficking in Brazil	BRA/S25	2011
Support to the National Secretariat of Justice for improving the implementation of the National Policy to Fight Human Trafficking	BRA/X63	2014
UNODC Country Programme for the Islamic Republic of Iran (2011-2014)	CP Iran	2014
Country Programme: Promoting the Rule of Law and Public Health in Pakistan (2010-2015)	CP Pakistan	2014

²⁰ All evaluation reports are available on IEU's website: <http://www.unodc.org/unodc/en/evaluation/index.html>

In-depth Evaluation of the Counter Piracy Programme. Combating maritime piracy in the Horn of Africa and the Indian Ocean. Increasing regional capacities to deter, detain and prosecute pirates (XAMT72, XEAX20, XSSX11, SOMX54, MUSX55, XEAX67) (June 2013)	CPP	2013
CPVS28 Anti-organized crime and counter-narcotics enforcement in Cape Verde Project (ANTRAF)	CPV/S28	2012
UNODC Country Office Afghanistan (COAFG) compilation of 3 Projects (AFG/H09; AFG/G68; AFG/H87)	Drug Demand Cluster, AFG	2013
Supporting Measures to Combat Corruption and Money Laundering, and to Foster Asset Recovery, in Egypt	EGY/X49	2014
GLO565 INCB Databank for Precursor Control	GLO/565	2012
UNODC Global Programme on HIV/AIDS 2008-2012	GLO/G32	2014
Container Control Programme	GLO/G80	2013
GLO/H42 Good practices on preventing ATS abuse among young people	GLO/H42	2011
In-Depth evaluation of Paris Pact Phase III GLOK31	GLO/K31	2012
GLO/S83 United Nations Global Initiative to Fight Human Trafficking (UN.GIFT)	GLO/S83	2011
Global Initiative to Fight Human Trafficking (UN.GIFT)	GLO/S83	2014
Promoting the implementation of the Protocol to Prevent, Suppress and Punish Trafficking in Persons, especially Women and Children, and the Protocol against Smuggling of Migrants by Land, Sea and Air, both supplementing the United Nations Convention against Transnational Organized Crime	GLO/T55	2014
GLO/T63 Support to Crime Prevention and Criminal Justice Reform	GLO/T63	2012
GLO/U40 United Nations Global Programme against Money Laundering, Proceeds of Crime and the Financing of Terrorism (GPML)	GLO/U40	2011
Global Programme Against Money-Laundering, Proceeds of Crime and the Financing of Terrorism (GPML), Activities in the Mekong Region	GLO/U40 - activities in the Mekong Region	2014
In-depth evaluation of the Support for the Integrated Programming and Oversight Branch to promote multidisciplinary and cross-sectoral cooperation (GLOU46) (Oct 2012)	GLO/U46	2012

Strengthening the Capacity of Civil Society Organizations in Africa to Combat Corruption and Contribute to the UNCAC Review Process. Looking Beyond: Towards a Strategic Engagement with Civil Society on Anti-Corruption, and Drugs and Crime Prevention	GLO/U68	2013
GLO/V20 Afghan Opiate Trade Project (AOTP)	GLO/V20	2014
GLO/X42 Management of the Voluntary Trust Fund for Victims of Trafficking in Persons, Especially Women and Children	GLO/X42	2014
IDN/T71 Strengthening the capacity of anti-corruption institutions in Indonesia	IDN/T71	2011
IDN/T80 Support to improved security by provision of capacity building to the Jakarta Centre for Law Enforcement Cooperation (JCLEC)	IDN/T80	2011
Support to improved security by provision of capacity building to the Jakarta Centre for Law Enforcement Cooperation	IDN/T80	2014
IDN/T81 Support to the fight against corruption in Indonesia	IDN/T81	2011
IDN/T81 Support to the fight against corruption in Indonesia	IDN/T81	2014
In-depth evaluation of the Integrated Programming Approach (IPA) (Oct 2012)	IPA	2012
EC-UNODC Support to the Juvenile Justice System in Jordan	JOR/T36	2014
KAZ/176 Strengthening drug and related crime control in measures in selected checkpoints in Kazakhstan	KAZ/176	2013
Establishment of Interagency Law Enforcement Mobile Groups in Kyrgyzstan: Counter-narcotics enforcement.	KGZ/175	2011
KGZT90 Support to Prison Reform in the Kyrgyz Republic	KGZ/T90	2011
LAO/K18 Reduce the spread of HIV harm associated with Injecting Drug Use amongst men and women in the Lao PDR: HAARP Country Flexible Program Lao PDR.	LAO/K18	2014
LAO/K46 Phongsaly Alternative Livelihood and Food Security Project (PALAFS)	LAO/K46	2014
LBN/T94 Reinforcing Human rights and Democracy in Lebanon – Penal reform focusing Prison reform	LBN/T94	2014
In-depth evaluation of the UNODC Partnership for the Reduction of Injecting Drug Use, HIV/AIDS and Related Vulnerability in Myanmar and Reducing the Spread of HIV/AIDS among Drug Users through the HAARP Country Flexible Programme in Myanmar (MMRJ63 and MMRJ69) (Sep 2012)	MMR/J63/J69	2012

NGAS84 Capacity Building for NAPTIP's Implementation of the Action Plan against Human Trafficking	NGA/S84	2012
NGAT10 Promoting Ethics and Transparency in Business Transactions in Nigeria	NGA/T10	2011
NGA/T52 Improving the Nigeria Prison Service adherence to international standards in the treatment of prisoners through human resource development	NGA/T52	2011
NGAT97 Partnership in Bayelsa Expenditure and Income Transparency Initiative (BEITI) and Judicial Integrity Action Programme (JIA)	NGA/T97	2012
AD/PER/99/D06 Desarrollo Alternativo en el Distrito de Pólvora - San Martín	PER/D06	2011
Strengthening the Management of the Palestinian Penitentiary System and the Rehabilitation of Inmates in Civil Prisons Administered by the Palestinian Authority (phase II)	PSE/X21	2013
RAFG66, Implementation of drug demand reduction components of national action plans in West Africa	RAF/G66	2013
Prevention of Spread of HIV Among Vulnerable Groups in South Asia	RAS/H71	2014
AD/RER/00/F23 Strengthening Drug Law Enforcement Capacities in Data & Information Collection	RER/F23	2012
Computer-based training in Central Asia	RER/F60	2013
TD/RER/H22 Establishment of the Central Asian Regional Information and Coordination Centre - CARICC	RER/H22	2011
ROM/J19 HIV/AIDS prevention and care among injecting drug users and in prison settings in Romania	ROM/J19	2011
UNODC Regional Programme Framework for East Asia and the Pacific	RP for EAandP	2013
TDRUS/J12 Support to HIV/AIDS and Drug Abuse Prevention	RUS/J12	2011
Assisting the Process of Prison reform in Southern Sudan - phase III	SDN/X06	2014
Strengthening the enforcement capacity of Customs Administration of Serbia	SRB/T82	2011
TD/TAJ/03/H03 Tajikistan Drug Control Agency (DCA), Phase 2	TAJ/H03	2012
Strengthening border control along the Turkmen-Uzbek border, in particular at Farap checkpoint.	TKM/J92	2013

UZB/J49 Strengthening Termez River Port Checkpoint on the Uzbek-Afghan Border	UZB/J49	2011
VIE/H68 Technical Assistance to Treatment and Rehabilitation at Institutional and Community Level and VNM/J04 Drug Abuse and HIV Prevention among Ethnic Minorities in Northwest Viet Nam	VIE/H68	2012
VNM/S65 Strengthening of the legal and law Enforcement Institutions in Preventing and Combating Money Laundering in Viet Nam	VNM/S65	2012
Strengthening Viet Nam criminal justice response to human trafficking and migrant smuggling through enhanced border control capacities and international cooperation	VNM/S79	2014
XAC/I97 Counter-Narcotics Training of Central Asian, Afghan and Pakistani Law Enforcement Personnel	XAC/I97	2011
Strengthening the capacity of the Central Asian Republics to protect and assist victims of human trafficking and smuggled migrants, especially women and children, in partnership with NGO and civil society actors.	XAC/X44	2014
XAC/X50 Strengthening Criminal Justice Capacities of Central Asian Countries to Counter Terrorism in Compliance with principles of Rule of Law	XAC/X50	2014
Access to legal aid in Africa	XAF/T40	2011
XAM/T15 Support to South Africa's Victim Empowerment Programme	XAM/T15	2012
Partnership Against Transnational-Crime through Regional Organized Law-Enforcement (PATROL)	XAP/U59	2014
XASS69 Capacity building for Member States of the Southern African Development Community (SADC) in the ratification and the implementation of the United Nations Convention against Transnational Organized Crime and its two first additional Protocols	XAS/S69	2012
XAST17 Development of effective law enforcement responses to violence against women in the Southern Africa region	XAS/T17	2012
XAWU53 Law Enforcement Capacity Building in the Fight against Illicit Drug Traffickers in Selected Countries in West Africa	XAW/U53	2011
XCAS26 Proyecto Regional contra la Trata de Personas y el Tráfico Ilícito de Migrantes	XCA/S26	2012
XEE/J20 HIV/AIDS prevention and care among injecting drugs users and in prison settings in Estonia, Latvia and Lithuania	XEE/J20	2011
XEE/T53 Development of monitoring instruments for judicial and law	XEE/T53	2011

enforcement institutions in the Western Balkans		
Assessment of corruption and crime in the Western Balkans	XEE/T93	2014
TD/XLA/K04 Prevention of the diversion of drugs precursors in the Latin American and Caribbean Region	XLA/K04	2012
Strengthening the framework of the Arab Region for improving the implementation of the National Policy to Fight Human Trafficking	XME/X19	2014
XNAJ58 Promoting good practices and networking for reducing demand for and harm from drugs	XNA/J58	2011
PROJECT CHILDHOOD: Protection Pillar: Enhancing law enforcement capacity for national and transnational action to identify and effectively act upon travelling child-sex offenders in the Mekong	XSP/T33	2014
XSPT78 Smuggling of Migrants: Establishment of a Coordination and Analysis Unit (CAU) for East Asia and the Pacific	XSP/T78	2014
Strengthening Operational Law Enforcement Capacity to Prevent and Combat Maritime Migrant Smuggling in South East Asia	XSP/X65	2013
Establishment of One-Stop Centres to Counteract Violence against Women in Pretoria and Vryburg	ZAF/S15	2013
Strengthening Law Enforcement Capacity (Border Control Operations) and Criminal Justice Response to Smuggling of Migrants and Trafficking in Perosn	ZAF/T54	2013

ANNEX III. CATEGORIES – OVERVIEW AND STATISTICS

Categories	Overall-number
Advocacy	56
Brokering Role	84
Donor engagement	2
Raising awareness	10
Advocacy and Brokering Role	152
Budget	12
Funding	43
Fundraising Strategy	14
Budget, Finance and Funding	69
Communication overall	19
External	21
UNODC internal	8
Publications	9
Communication	57
Various	35
External	158
UNODC internal	8
Cooperation and coordination	201
Human Resources	58
Procurement	2
Human Resources and Procurement	60
Human Rights	5
Gender	11
Human Rights and Gender	9
Human Rights and Gender	25
No generalisation possible	36
Project/Programme development	92
Documentation	3
Flexibility	3
Project/Programme Integration	26

Knowledge and information Management	29
Local circumstances	45
Various	96
Planning	73
RBM	153
Risk Management and Assessment	9
Security situation	6
Sustainability	58
Project/Programme Cycle	593
Reporting and Oversight	22
Training	87
IT systems	40
Research	14
Normative services	3
Technical Assistance-overall	17
UNODC capacity building	161
Services strategy	70
Strategy for thematic programming	41
Regional strategy	54
Thematic strategies	123
UNODC thematic, regional and service strategy	288
UNODC mandate(s)	8
UNODC structure/organisation	7
UNODC mandates and organisation	15

ANNEX IV. DEFINITIONS

Main category	Sub-Categories	Definition
Advocacy and Brokering Role	Advocacy	Referring to advocacy in UNODC (including public relations)
Advocacy and Brokering Role	Brokering role	Referring to UNODC as broker between different entities; also building on the neutral state of the UN; also including the convening role of UNODC
Advocacy and Brokering Role	Donor engagement	Referring to the active engagement of donors in projects/programmes.
Advocacy and Brokering Role	Raising awareness	Referring to UNODC's role to raise awareness on various topics within its mandate.
Budget, Finance and Funding	Budget	Referring to everything related to the budget of projects and programmes.
Budget, Finance and Funding	Cost-sharing	Referring to cost-sharing of staff; activities; etc.
Budget, Finance and Funding	Finance-management	Referring to the management of finances, not budget-related.
Budget, Finance and Funding	Funding	Referring to everything that is funding-related.
Budget, Finance and Funding	Fundraising strategy	Referring to the fundraising strategy of UNODC at project/programme level or at large.
Budget, Finance and Funding	Host government resources	Referring to the usage of host government resources, also in relation to host government funding
Budget, Finance and Funding	Outsourcing	Referring to outsourcing specific parts of UNODC's implementation to private companies or e.g. CSOs
Budget, Finance and Funding	Reallocation of resources	Referring to the reallocation of resources of a specific project/programme
Communication	Communication	Referring to recommendations that are including various partners, e.g. external and internal partners, etc.
Communication - external	Communication - donors	Referring specifically to communication with donors.
Communication - external	Communication-external partners	Referring to communication with various external partners.
Communication - external	Communication-recipients	Referring to communication with recipient governments, ministries, etc.
Communication - external	Communication-UN-organisations	Referring to communication with other UN-organisations
Communication – publications	Publications	Referring to UNODC strategies for publications or procedures for publications
Communication - UNODC internal	Communication-internal	Referring specifically to internal UNODC communication.
Cooperation and coordination	Cooperation-overall	Referring to cooperation without specific partners, but overall.
Cooperation and coordination	Cooperation-roles&responsibilities	Referring to the roles and responsibilities in the cooperation with partners.

Cooperation and coordination	Coordination	Referring to overall coordination
Cooperation and coordination – external	Cooperation - recipients	Referring to UNODC-cooperation with recipient governments; institutions; etc.
Cooperation and coordination – external	Cooperation external partners	UNODC cooperation with external partners, including Steering Committees, etc. as well as cooperation with multiple partners
Cooperation and coordination – external	Cooperation-CSOs	Referring to cooperation with Civil Society Organisations.
Cooperation and coordination – external	Cooperation-donor	Referring to cooperation and also engagement with donors.
Cooperation and coordination – external	Cooperation-private sector	Referring to cooperation with the private sector, but not CSO
Cooperation and coordination – external	Cooperation-regional	Referring to cooperation within a specific region
Cooperation and coordination – external	Cooperation-UN agencies	Referring to the cooperation with other UN agencies.
Cooperation and coordination – UNODC internal	Cooperation - internally	Referring to UNODC-internal cooperation, including with ITS.
Human Resources	Human Resources	Referring to everything related to human resources as well as human resources strategy
Human Resources	Pool of experts	Referring to the creation of pools of experts for e.g. trainings; also including trainers, etc.
Human Resources	Staff development	Referring to the development of specific skills for UNODC staff.
Human Rights and Gender	Gender	Referring to "Gender" in project/programme development or implementation as well as capacity building, etc.
Human Rights and Gender	Human Rights	Referring to "Human Rights" in project/programme development or implementation as well as capacity building, etc.
Human Rights and Gender	Human Rights and Gender	Referring to "Human Rights and Gender" in project/programme development or implementation as well as capacity building, etc.
No generalisation possible	No generalisation possible	Referring to recommendations that are either too wide; too specific or the language used is not adequate.
No generalisation possible	Recipient action	Referring to direct action to be taken by recipient, without UNODC involvement.
Procurement	Procurement	Referring to procurement of UNODC.
Programming – development	Programme development	Referring to the development-phase of programmes and also projects overall, including recommendations for future projects.
Programming – development	Programme Development - consultations	Referring to internal and external consultations when designing programmes
Programming – development	Readiness assessment	Referring to the readiness assessment when engaging in a country
Programming – development	Threat assessment	Referring to threat assessments in project and programme planning.

Programming – documentation	Project documentation	Referring to the documentation of projects.
Programming – flexibility	Flexibility of prog/proj	Referring to the flexibility of projects and programmes, especially regarding design or implementation.
Programming – integration	Programming-integration	Referring to integration of programmes or projects within UNODC (integrated programming)
Programming - Knowledge and information Management	Information sharing	Referring to the sharing with information of projects/programmes, either internally or also externally.
Programming - Knowledge and information Management	Knowledge Management	Referring to internal and external knowledge management.
Programming - Knowledge and information Management	Lessons Learned	Referring to recommendations that point out lessons learned.
Programming – local circumstances	Local circumstances	Referring to taking into account specific circumstances when planning and implementing proj/prog (e.g. geographical; security; etc.)
Programming – local circumstances	Local expertise	Referring to the usage of local expertise in project/programme implementation.
Programming - overall	Best practices	Referring to recommendations that point out best practices.
Programming – overall	Programming overall	Referring to programming-strategies overall in UNODC
Programming – overall	Reducing implementation	Referring to reducing activities or to exit from various activities and e.g. leave this activity to CSOs.
Programming - planning	Future development of proj/prog	Referring to either an already planned future phase of the project/programme or further implementation (e.g. when evaluation was mid-term).
Programming – planning	Feasibility study	Referring to a feasibility study when developing the Programme/Project document
Programming – planning	Needs analysis	Also included are needs assessments.
Programming – planning	Planning	Referring to planning for future phases of projects/programmes, etc.
Programming – planning	Re-focus	Referring to re-focus or specifically focus the services, etc. of a proj/prog
Programming - RBM	Quality assurance	Referring to quality-assurance processes in UNODC
Programming - RBM	RBM	Everything relating to Results-Based Management, including M&E as well as Performance Indicators; also included RBM for capacity building, etc.
Programming - RBM	RBM-evaluation	Referring to everything related to evaluation of projects/programmes; but not capacity building (as this is covered in RBM)
Programming - RBM	RBM-logframe	Referring directly to the lograme; can also include performance indicators; M&E, etc.
Programming - RBM	RBM-monitoring	Referring to monitoring in RBM.
Programming – Risk Management	Risk Management	Referring also to Risk Assessments.
Programming – Security situation	Security	Referring to the security situation in recipient countries.
Programming - sustainability	Follow-up proj/prog	Referring to future follow-up programmes/projects.

Programming – sustainability	Exit strategy	Referring to the exit strategy for projects or programmes.
Programming – sustainability	Extending projects/programmes	Referring to the extension of the specific project or programme.
Programming – sustainability	Prog/Proj length	Referring to the length of the project/programme (e.g. was to short; future projects should be longer; etc.)
Programming – sustainability	Sustainability	Referring to the sustainability of projects, programmes (also e.g. funding-related)
Reporting and Oversight	Oversight	Referring to oversight-relations, especially regarding report and implementation.
Reporting and Oversight	Reporting	Referring to all kinds of reporting of projects and programmes; also financial reporting and donor reporting
UNODC Services - IT systems	IT systems	Referring to IT systems as well as programmes, including computer-based training; databases; eLearning; etc.
UNODC Services - normative	Normative service	Referring to normative services provided by UNODC.
UNODC Services - Research	Research	Referring to conducting further research; gathering further data on specific subjects.
UNODC Services - Technical Assistance	Technical assistance-overall	Referring the specific service of technical assistance.
UNODC Services - Technical Assistance	Technical Assistance-ToT	Referring to UNODC capacity building in the form of train-the-trainer approach
UNODC Services - Technical Assistance	Technical Assistance-Training	Referring to UNODC Capacity building in the form of training
UNODC strategy and structure – regional strategy	Regional strategy	Referring to the strategic approach in a specific region for future programmes and projects
UNODC strategy and structure - service strategy	Services strategies	Referring to the strategy for implementing UNODC services like technical assistance; normative assistance; etc.
UNODC strategy and structure - service strategy	Services strategies-Training	Referring to the strategic approach in trainings (as part of technical assistance)
UNODC strategy and structure - service strategy	Services strategies-Technical assistance	Referring to the strategy of providing technical assistance/capacity building in general
UNODC strategy and structure - Thematic Programming	Thematic Programming	Programming in UNODC regarding the thematic coverage, e.g. for future projects/programmes
UNODC strategy and structure - Thematic strategies	Thematic strategies	Referring to UNODC strategies in thematic areas overall, including re-focusing thematic approaches e.g. on corruption at large, or e.g. on specific strategies on HIV/AIDS prevention
UNODC strategy and structure - UNODC mandate(s)	UNODC mandate(s)	Referring to the mandates of UNODC, also including e.g. focus; etc.
UNODC strategy and structure - UNODC structure/organisation	UNODC structure/organisation	Referring to the structure as well as organisation of UNODC;