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Mid-term In-depth Evaluation of the  
**Support to the work of the Conference of  
the Parties to the United Nations  
Convention against Transnational  
Organized Crime**

GLOT60  
Global

Independent Evaluation Unit  
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# ACRONYMS

CCPCJ	Commission on Crime Prevention and Criminal Justice
CEB	Corruption and Economic Crime Branch
CNA	Competent National Authorities
CND	Commission on Narcotic Drugs
COP	Conference of the Parties
CSS	Conference Support Section
DTA	Division for Treaty Affairs
HRMS	Human Resources Management Service
HTMSS	Human Trafficking and Migrant Smuggling Section
IMIS	Integrated Management Information System
ISS	Implementation Support Section
MLA	Mutually Legal Assistance
OCB	Organized Crime & Illicit Trafficking Branch
OIOS	Office of Internal Oversight Services
PROFI	Programme and Financial Information Management System
SHERLOC	Sharing Electronic Resources and Laws against Organized Crime
UN	United Nations
UNDP	United Nations Development Programme
UNGA	United Nations General Assembly
UNODC	United Nations Office on Drugs and Crime
UNTOC	United Nations Convention against Transnational Organization Crime

# EXECUTIVE SUMMARY

The United Nations Convention against Transnational Organized Crime (UNTOC), adopted by General Assembly resolution 55/25 of 15 November 2000, is the main international instrument in the fight against transnational organized crime. The Convention is supplemented by three Protocols, namely the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, the Protocol against the Smuggling of Migrants by Land, Sea and Air and the Protocol against the Illicit Manufacturing of and Trafficking in Firearms, their Parts and Components and Ammunition. UNTOC entered into force on 29 September 2003. The Conference of the Parties (COP) to the UNTOC has been established to improve capacity of States Parties to combat transnational organized crime, and to promote and review the implementation of the UNTOC. Till date, seven sessions have taken place. The global programme 'Support to the Work of the Conference of Parties to the UNTOC', also referred to as global programme T60 (GLOT60), was created retroactively as of first January 2008 to support States Parties, especially developing countries and economies in transition, in implementing the UNTOC. This report is the outcome of the mid-term in-depth evaluation of this global programme, which took place from mid-September to December 2014.

The objective of GLOT60, as formulated in the programme revision undertaken in 2013, is 'to enhance political commitment to combat transnational organized crime and build related legal and institutional frameworks'. The three outcomes given in the same document are the following: 'Member States ratify and implement the provisions of UNTOC and the Protocols into national legal systems'; 'Competent authorities cooperate internationally to investigate, prosecute and adjudicate organized crime related offences, as well as to effectively trace, seize, confiscate and dispose of the proceeds and instrumentalities of crime in line with the UNTOC'; 'Member States establish partnerships and identify tools or best practices to address new forms and dimensions of organized crime, such as trafficking in cultural property, cybercrime and environmental crimes, within the framework of the UNTOC'. A fourth key outcome given in the programme document and an earlier programme revision undertaken in 2011 has been on working towards establishing a mechanism to review the implementation of the UNTOC by States Parties.

Following a pilot project set up in 2010 with eleven volunteering States to test the feasibility and modalities of a mechanism for the review of the implementation of the UNTOC and its Protocols, UNODC has provided extensive support to facilitate the political process towards the establishment of such a mechanism. The issue was further discussed at both the sixth and seventh sessions of the COP, which were held in October 2012 and 2014, respectively. At the seventh session of the COP, the Conference requested UNODC to convene, within existing resources from the regular budget without prejudice to other mandated activities, at least one open-ended intergovernmental meeting with interpretation. Such a meeting should include Government officials with practical expertise on the implementation of the Convention and the Protocols thereto. The Conference also requested UNODC to submit to the Conference at its eight session a report with concrete recommendations for reviewing, through a possible mechanism or

mechanisms, the implementation of the Convention and the Protocols thereto, and recommendations for cooperating with relevant international and regional organizations and non-governmental organizations, in line with article 32 of the Convention and as guided by the principles and characteristics contained in its resolution 5/5. In addition, at the seventh session of the COP, the Conference decided that the Working Group on Trafficking in Persons, the Working Group on the Smuggling of Migrants and the Working Group on Firearms will be constant elements of the COP, and encouraged those working groups and the Working Group on International Cooperation and the Working Group of Government Experts on Technical Assistance to consider meeting on an annual basis.

The evaluation assessed the programme's overall performance from 1 January, 2008 until the end of October, 2014, including the seventh session of the COP, by analyzing the following evaluation criteria: relevance, design, efficiency, effectiveness, impact, partnerships and cooperation, sustainability and human rights and gender. Recommendations and lessons learned were derived from the analysis of the main achievements of this programme. The evaluation was undertaken by a team of two independent evaluators, joined by a staff member of the Independent Evaluation Unit at UNODC.

## Findings

The design of the global programme has been informed by the shift from account to programme management in 2009 and 2010 by UNODC. The programme adheres to mandates issued by the COP to support technical assistance on the implementation of UNTOC to developing countries and economies in transition, and also offers some support to the COP. However, donors also provide funding in this field to other UNODC programmes and projects, while GLOT60 also addresses mandates given by another political body, i.e. the Commission on Crime Prevention and Criminal Justice (CCPCJ). Although the global programme has clear benefits, including providing seed money for specific areas of work, and being a home for relatively small pledges, its broad orientation has compromised results-based management and only fits to some degree regular project design and reporting templates. The logical framework has improved over time, but still needs more fine-tuning. Some other remaining weaknesses are the consequence of the interpretation of the reasons to undertake programme revisions, and the existence of a more reactive instead of proactive attitude to develop components on the basis of an overall vision. In the absence of the review mechanism of the UNTOC, the lack of a clear vision guiding the programme has become more obvious.

GLOT60 has been relevant to UNODC, to the COP to UNTOC and its Working Groups, to regional networks, individual States Parties, as well as the CCPCJ. The high number of ratifications of the UNTOC, as well as resolutions and decisions adopted by the COP, the UN General Assembly (GA) and the UN Economic and Social Council (ECOSOC), confirm the continuous relevance of the programme and the related mandate of UNODC to support States Parties in the ratification and implementation of the Convention and its Protocols. For the COP and States Parties, GLOT60 has been a vehicle to develop, update and/or translate tools to support the implementation of the UNTOC and to support legislative and other technical assistance. The programme is aligned with UNODC's Strategic Framework for the period 2008-2011 and 2012-2015, as well as with the Thematic Programme on Action against Transnational Organized Crime and Illicit Trafficking, including Drug Trafficking for 2011-2013. Synergies have further been developed with other global activities and programmes, although with respect to GLOT32, a

partial overlap exists which shows a lack of coherence between the two global programmes. This could potentially lead to limited efficiency in programme implementation.

As GLOT60 has been a rolling programme with no definite end, the analysis of its efficiency could only be done to some degree, especially as output targets were only given in the last programme revision and difficulties arose with respect to assessing the level of attribution of activities and results. Planned outputs have partially been achieved, although the programme's implementation and reporting has especially in the early years been characterized by limited transparency and accountability. GLOT60's first annual progress report was prepared for the year 2010 despite the programme's retroactive start in 2008. Reporting about achievements under the programme has been provided to the COP, and – although more indicative of conditions of donors stipulated in their respective pledge letters - only nine donor reports for three donors have been produced. A comprehensive programme monitoring system has not been developed and implemented. Furthermore, although UNODC has a project-specific financial system in place that enables tracing of contributions under programmes and projects, i.e. the Programme and Financial Information Management portal (ProFi), to be replaced by Umoja as of November 2015, the detailed financial accounting modality operated at the section level since 2012 provided for a more substantive overview of expenditures per activity, which enhanced accountability and supported overall programme planning.

GLOT60 has contributed towards initiating, maintaining and the strengthening of partnerships and cooperation with different stakeholders, such as with States Parties, regional networks, the COP and related bodies and civil society organizations. Some of these have been driven by active field offices, contacts and networks set up through other programmes. The programme's contribution to servicing the COP and Working Group sessions and the provision of tools have further supported more efficient cooperation between States Parties. More interaction between UNODC and States Parties is however recommended to promote GLOT60.

GLOT60 has been effective to some degree, partly due to the fact that the review mechanism has not yet materialized to support a more comprehensive approach to identifying needs and good practices to tie the programme components together. Nevertheless, although data are not available on the scope of actual results, the programme has reportedly contributed to the implementation of provisions of the UNTOC and its Protocols. It has further improved cooperation of competent national authorities, established/maintained partnerships, supported the development and usage of high quality tools and compiled best practices to address new forms and dimensions of organized crime. The programme has contributed to enhancing political commitment to combat transnational organized crime and strengthen legal frameworks in accordance with the provisions given in the UNTOC. Only some anecdotal information is available regarding impact, e.g. changes in the legislation of Romania and Mexico and in draft legislation of Vietnam have been the result of work undertaken under GLOT60. No specific attention has further been given to the mainstreaming of human rights and gender in design and implementation since 2008, although anecdotal evidence is available that this has been done in some areas.

The programme's sustainability is directly linked to the mandate given by the COP and the availability of funding. At the same time, the programme's design does not adequately support pro-active planning, transparency, and resource-mobilization efforts. Furthermore, its characteristic of a 'rolling' programme with no completion date must be reviewed as its very nature rests on the assumption that un-earmarked resources will continue to be available. These issues have also been noted in a recent audit by the UNODC Board of External Auditors, and UNODC has reportedly begun to implement the recommendation to give global programmes a

completion date. With the largest part of the budget used on salaries of staff, the direct implication is that such positions may not be financially sustainable in the current funding climate. The sustainability of outcomes depends on the continued commitment of States Parties to implement the UNTOC and its Protocols, their institutional and technical capacity, the provision of adequate funding, the necessary political will to undertake legislative and/or institutional changes, as well as UNODC's proactive engagement in this process. The sustainability of outputs, such as increased knowledge among representatives of States Parties and the continued access to and relevance of existing tools, is directly linked to the continued updating of databases, up-to-date software, increased visibility and support of a sufficient number of staff to test and guide their further usage.

## Conclusions

Based on the evaluation findings, the evaluation team concluded that some of the working assumptions on which basis GLOT60 was established have changed over time. This not only requires a reflection on the characteristics of the programme; the nature of activities funded under this particular programme and synergies with similar programmes and projects; but also whether this format is actually the best way to 'host' the different sets of activities. Furthermore, a more proactive stance with respect to the development of proposals can be promoted to seek funding for particular activities. The 'rolling' and umbrella nature of GLOT60 provided certain advantages as it offered a framework to locate and use funds pledged for different types of activities, seed money for the development of another global programme in the field of cybercrime and co-fund the provision of legislative assistance in some countries. In addition, the staff funded under the programme has supported the overall work of the CSS in the field of financial management, servicing the COP, keeping the tools updated and overall providing support to the programme's activities and reporting. Anecdotal information available on impact shows the potential of the programme's aim to align national legislation with UNTOC norms. A more comprehensive monitoring system could however have provided further evidence to support this claim. The question is if the programme framework of GLOT60 is the most efficient and effective way to move forward. To enhance transparency and accountability, UNODC would need to discuss the pros and cons in light of current programme and project design and management processes, procedures and standards.

## Recommendations

One of the key recommendations of the evaluation team is to explore the options for the establishment of a mechanism for the review of the implementation of the Convention and its Protocols, with UNODC/OCB/CSS working more actively to support the political process to establish such a mechanism, including the proposal of a concrete action plan. UNODC/OCB/CSS is further recommended to undertake regular and systematic information gathering activities to assess the implementation of the UNTOC. In addition, UNODC/OCB/CSS is recommended to identify gaps in legislation and the implementation of the UNTOC, share relevant information and data, update databases and tools and provide technical assistance, guidance and training to help States Parties implement the UNTOC, as well as secure sustainable funding through active communication and the development of a resource mobilization strategy for improved fundraising in order for the CSS and the Secretariat to be accurately staffed to support and/or undertake relevant activities, including analysis and follow-up.

The evaluation team further recommends that UNODC/OCB in close collaboration with UNODC/CSS improve programme design and management at various levels and ensure more

transparency and accountability on programme results by disseminating these on a regular basis to States Parties. UNODC/OCB/CSS/ISS is further recommended to review the overlap between GLOT32 and GLOT60 and provide for a solution, possibly resulting in a renewed design of both programmes. In addition, last but not least, the evaluation team recommends that UNODC/CSS revises the log frame to strengthen the intervention logic, and to include SMART indicators at all levels, maintains a comprehensive monitoring system, as well as mainstreams human rights and gender into the design and implementation of the programme.

### Lessons learned

The evaluation team found that the advantage of a rolling programme is that it can easily absorb new funding and activities because of its broad orientation, although this has at the same time compromised result-based management. In addition, the broad nature of the programme has caused lack of clarity on the focus of the programme and on management at various levels. The programme must be more focused to ensure clarity at different levels, including by developing a clear intervention logic, SMART indicators and targets, and a realistic budget which is aligned with expected inputs and results. Furthermore, due to the absence of a comprehensive monitoring system, especially outcome and impact level indicators have not been closely tracked. A lesson learned is therefore that a weak log frame makes monitoring and evaluation more difficult and that it is necessary to invest more resources into the design, including with respect to the development of a monitoring system to support data collection and analysis.

# MANAGEMENT RESPONSE

The Management Team of GLOT60 of UNODC appreciates the efforts of the Independent Evaluation Unit (IEU) and the Evaluation Team on evaluating the Programme and wishes to thank all stakeholders for their active contribution in the evaluation exercise.

The report provides a range of useful recommendations, most of which will be taken into consideration. Moreover, the evaluation report and its recommendations are important in enabling the Organized Crime Branch of UNODC to overcome weaknesses in design and implementation of GLOT60, in order to assist the Conference of the Parties in carrying out its mandate in accordance with article 32, i.e. to facilitate the exchange of information; cooperate with relevant international and regional organizations and non-governmental organizations; review periodically the implementation of the Organized Crime Convention; and make recommendation to improve the Convention and its implementation.

We are satisfied to hear that GLOT60 has been relevant to UNODC, to the Conference of the Parties and its Working Groups, to regional networks, individual Member States, as well as the CCPCJ. Furthermore, it is gratifying to hear that GLOT60 has successfully functioned as a vehicle to develop tools to support the implementation of the Organized Crime Convention and support legislative and technical assistance. We also recognise the fact that the programme has only been efficient to some degree as the review mechanism has not yet materialized. GLOT60 will continue to strike a balance between supporting the inter-governmental processes and delivering independent technical assistance, with a focus on legislative assistance, in support of such processes. The Secretariat to the Conference of the Parties wishes to emphasise that, pursuant to article 33 of the Organized Crime Convention, its role is to “assist the Conference” and, “upon request, assist States Parties in providing information” as envisaged in article 32. Therefore, the recommendation to work more actively to support the political process to establish a review mechanism, including by proposing a concrete action plan is only partially accepted. The Secretariat has worked actively to support the Conference in establishing the review mechanism in preparation for COP 6 and 7. It will continue to do so in preparation for COP 8 in 2016, it being understood that a decision on a possible review mechanism is made by the States Parties. Pursuant to article 33 of the UNTOC, the Secretariat assists the Conference of the Parties upon request. The distinction made between management, CSS and the Secretariat is erroneous. Both management and CSS are part of the Secretariat as defined in article 33 of the Organized Crime Convention.

In undertaking the programme revision of GLOT60, the management team recognises the identified need for a more narrowly defined scope of outcomes, outputs and activities and a results-based management, with an end date and a monitoring system in place. Bearing the above in mind and in the absence of a review mechanism to the Organized Crime Convention, and pursuant to resolutions 7/1-7/4 of the Conference of Parties, GLOT60 will focus its efforts on 1) information gathering, analysis and dissemination, utilizing the SHERLOC knowledge management portal as the vehicle, 2) supporting States in ratification of the Organized Crime Convention and harmonization of legislation to comply with the Convention; as well as 3)

facilitation of international cooperation, with a focus on tools development and maintenance, in support of the inter-governmental process.

Finally, in accordance with the evaluation recommendation, the programme revision will mainstream human rights and gender equality into the design and implementation of GLOT60. UNODC appreciates the independence of the assessment and looks forward to the revision and future collaboration with interested States and other stakeholders, including the GLOT32 programme.

# SUMMARY MATRIX OF FINDINGS, EVIDENCE AND RECOMMENDATIONS

<b>Findings<sup>1</sup></b>	<b>Evidence (sources that substantiate findings)</b>	<b>Recommendations<sup>2</sup></b>
<b>Key recommendations</b>		
The programme has only been efficient to some degree as a mechanism to review the implementation of the Convention and the Protocols has not yet materialized.	UNTOC Programme documentation Interviews COP documentation	Work more actively to support the political process to establish a mechanism for the review of the implementation of the Convention and the Protocols, including by proposing a concrete action plan. (UNODC/OCB/CSS)
UNODC has taken on a passive role in the field of information gathering, and focused too much on developing a review mechanism as the only way to move forward. There are different avenues to support the collection of information, including by means of improving existing tools and promoting their usage when providing legislative and technical assistance to States Parties.	UNTOC Programme documentation Interviews COP documentation	Actively gather and share information and data, update databases and tools and provide guidance and training to help States Parties with the implementation of the Convention and its Protocols. (UNODC/OCB/CSS)
The programme's design as a 'rolling' programme rests on the assumption that there will be unlimited un-earmarked resources . In addition there is an overlap between GLOT60 and GLOT32 in the field of transnational organized	Programme documentation GLOT60 programme revisions Interviews	Secure sustainable funding through active communication and development of a resource mobilization strategy for improved fundraising in the field of transnational organized crime. (UNODC/OCB/CSS)

<sup>1</sup> A finding uses evidence from data collection to allow for a factual statement.

<sup>2</sup> Recommendations are proposals aimed at enhancing the effectiveness, quality, or efficiency of a project/programme; at redesigning the objectives; and/or at the reallocation of resources. For accuracy and credibility, recommendations should be the logical implications of the findings and conclusions.

crime, and there is limited awareness of States Parties of GLOT60.		
The broad nature of GLOT60 has caused lack of clarity on the focus of the programme and on management at various levels.	Programme documentation GLOT60 programme revisions Interviews	Improve the design of GLOT60 to make it more focused with clarity on mandated areas, including clear management responsibilities and roles of the Secretariat versus CSS, as well as by reviewing the format. (UNODC/OCB/CSS)
The broad scope of the programme has compromised results-based management, with limited transparency on results and detailed financial information on expenditures. In addition, a weak log frame makes monitoring and evaluation difficult.	Programme documentation GLOT60 programme revisions Interviews	Ensure more transparency and accountability by disseminating programme results and expenditure reports linked to results, differentiating between donor funding and regular budget, as well as by revising the log frame to include SMART indicators and targets at all levels to measure results. (UNODC/OCB/CSS)
Overlap between GLOT32 and GLOT60 shows a lack of coherence and could potentially lead to limited efficiency.	Programme documentation GLOT60 and GLOT32 programme revisions Interviews	Review the overlap between GLOT32 and GLOT60 to avoid duplication of work and reflect upon a possible renewed design of both programmes. (UNODC/ISS/CSS)
<b>Important recommendation</b>		
Human rights and gender have not been fully taken into account in design and implementation.	UNODC guidance documents Programme documentation Interviews	Ensure mainstreaming human rights and gender into the design and implementation of the programme through e.g. outreach activities, training. (UNODC/CSS)

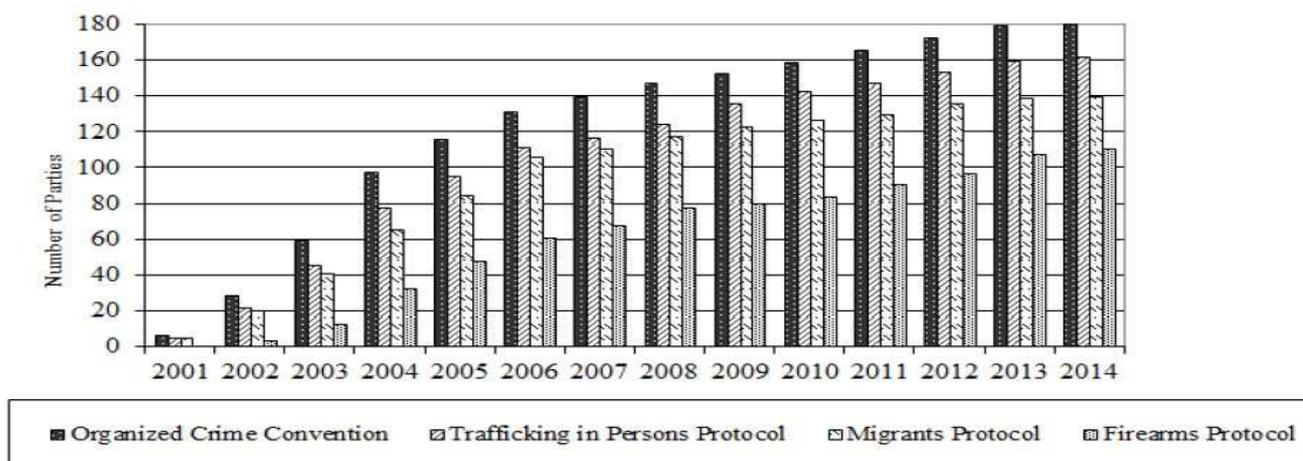
# I. INTRODUCTION

## Background and context

The United Nations Convention against Transnational Organized Crime (UNTOC), adopted by General Assembly (GA) resolution 55/25 of 15 November 2000, is the main international instrument in the fight against transnational organized crime. It opened for signature by Member States at a High-level Political Conference convened for that purpose in Palermo, Italy, on 12-15 December 2000 and entered into force on 29 September 2003. The Convention is further supplemented by three Protocols, which target specific areas and manifestations of organized crime: the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children; the Protocol against the Smuggling of Migrants by Land, Sea and Air; and the Protocol against the Illicit Manufacturing of and Trafficking in Firearms, their Parts and Components and Ammunition. The Convention represents a major step forward in the fight against transnational organized crime and signifies the recognition by States Parties of the need to foster and enhance close international cooperation in order to tackle those problems. States that ratify this instrument commit themselves to taking a series of measures against transnational organized crime. At the beginning of January, 2008, 151 States had already ratified the UNTOC Convention, and in 2014 the number had increased with 29 to up to 180 States Parties.

**Graph 1: Number of Parties to the UNTOC<sup>3</sup>**

**Number of Parties to the United Nations Convention against Transnational Organized Crime and the Protocols thereto between 2001 and 2014**



<sup>3</sup> Secretariat COP to the UNTOC, 2014d

The COP is a body composed of States Parties to the UNTOC. The UNTOC stipulates in article 32(1) that the COP has been established ‘to improve the capacity of States Parties to combat transnational crime and to promote and review the implementation of this Convention.’ Article 32(3) then introduces mechanism(s) to achieve these objectives, including the facilitation of activities by States Parties; the exchange of information on patterns and trends in transnational organized crime; cooperation with relevant international and regional organizations and non-governmental organizations, and the periodic review of the implementation of the UNTOC. COP sessions take place bi-annually with the first one held in 2004. The seventh session of the COP was organized from 6 to 10 October, 2014 in Vienna, with the participation of 108 delegations. The COP also established working groups dealing with, respectively; possible mechanisms to review implementation of the Convention, technical assistance, international cooperation, human trafficking, migrant smuggling and trafficking in firearms.

The Secretariat services the COP, and supports this body to carry out its activities. The Secretariat is located in the Organized Crime and Illicit Trafficking Branch (OCB) of the UNODC, which is part of the Division for Treaty Affairs (DTA). The OCB team under the leadership of the Secretary is responsible for organizing the sessions of the COP and all related meetings, with a large part of the work carried out by the Conference Support Section (CSS). Additional support is provided by staff located in the Implementation Support Section (ISS) and the Human Trafficking and Migrant Smuggling Section (HTMSS).<sup>4</sup> The Secretary function was transferred from the Chief of the CSS to the Chief of the OCB before the sixth session of the COP.

Article 30 (2) of the UNTOC stipulates that ‘States Parties shall make concrete efforts to the extent possible and in coordination with each other, as well as with international and regional organizations: [...] (c) To provide technical assistance to developing countries and countries with economies in transition to assist them in meeting their needs for the implementation of this Convention. To that end, States Parties shall endeavour to make adequate and regular voluntary contributions to an account specifically designated for that purpose in a United Nations funding mechanism.’<sup>5</sup> Along with adopting the Convention, the General Assembly (GA) also decided in resolution 55/25 of 15 November, 2000 that, until the COP to the UNTOC decided otherwise, that an account would be operated within the UN Crime Prevention and Criminal Justice Fund. States Parties to the Convention were requested to make concrete efforts to make ‘adequate and regular voluntary contributions’ to this account.<sup>6</sup> Mid 2008, twelve States and the Asia Crime Prevention Fund had pledged a total of USD 3,629,511 (of which USD 3,229,511 had been collected).<sup>7</sup>

In response to a shift from account to programme management in the UNODC, the global programme ‘Support to the Work of the Conference of Parties to the UNTOC’, which has also been referred to as global programme T60 (GLOT60), was developed in 2009 to provide a strategic and operational framework for available funds. In fact, the programme has in practice

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4 UNODC Organizational structure (26 July 2013)’. [www.unodc.org](http://www.unodc.org)

5 UNODC, 2004: 32

6 Secretariat COP to the UNTOC, 2008: 1

7 Secretariat COP to UNTOC, 2008c

often been referred to as a project (see for instance the evaluation ToR, the project document and the 2013 OIOS report) and has generally followed UNODC project management rules. The programme was developed retroactively, with the official starting date set at 01 January, 2008. In 2011 and 2013 project revisions were undertaken to respond to the mandates given by the COP following its fifth and sixth session.

The objective of GLOT60, as formulated in the programme revision undertaken in 2013, is ‘To enhance political commitment to combat transnational organized crime and build related legal and institutional frameworks’. The three outcomes given in the same document are the following:

- Member States ratify and implement the provisions of UNTOC and the Protocols into national legal systems;
- Competent authorities cooperate internationally to investigate, prosecute and adjudicate organized crime related offences, as well as to effectively trace, seize, confiscate and dispose of the proceeds and instrumentalities of crime in line with the UNTOC;
- Member States establish partnerships and identify tools or best practices to address new forms and dimensions of organized crime, such as trafficking in cultural property, cybercrime and environmental crimes, within the framework of the UNTOC.

A fourth key outcome given in the programme document and an earlier programme revision undertaken in 2011 has been in the field of working towards establishing a mechanism to review the implementation of the UNTOC and its Protocols by States Parties (see annex V for an overview of the objectives and outcomes). As part of achieving these outcomes, a major focus has been on the development of relevant tools to support the work of States Parties in implementing the UNTOC Convention, and by means of providing legal and technical advice to States Parties and other entities.

By October 2014 GLOT60 had an overall budget of USD 4,306,100, and a total of ten donors, namely nine States Parties and one international company.<sup>8</sup> The nine countries are the United States of America, Canada, France, Italy, the UK, Norway, the Russian Federation, Japan and Egypt. The international company was NHN, which was based in South Korea.<sup>9</sup> Seven of these donors have given more than one grant to GLOT60<sup>10</sup>, which ranged from a minimum of EUR 15,000 for the translation of one of the programme’s tools into one of the UN languages to a maximum amount of one million EUR without earmarking. The three latest pledges were from Japan, the UK and Italy in 2013 for earmarked activities.<sup>11</sup> At the time of the evaluation the programme only had limited funds available for 2015.

8 UNODC, 2014c

9 The only information available about this activity is <http://www.unodc.org/unodc/en/press/releases/2007-12-03.html>

10 In the case of two donors, only information has been received of the last (and only) pledges during the programme’s life-span (since 2008). However, the programme document also refers to the UK and Japan, and it can therefore be concluded that these countries have also contributed at an earlier stage to the programme.

11 Pledge letter Italy of 13 September, 2013; pledge letter UK of 14 November 2013; pledge letter Japan of 19 November, 2013.

The mid-term in-depth evaluation of GLOT60 was included in the programme revision of 2013 in line with consultation with the Independent Evaluation Unit (IEU). The evaluation took place from mid-September to December, 2014. The evaluation team comprised two independent evaluators, i.e. a lead evaluator and an expert, as well as a staff member of UNODC's IEU, a functionally and operationally independent unit within UNODC, which reports directly to the Executive Director. IEU's staff member managed the evaluation, providing quality assurance throughout the process and contributing to the evaluation process as a member of the evaluation team.

## Scope of the evaluation

The mid-term in-depth evaluation of GLOT60 assessed its overall performance by analyzing the following evaluation criteria: relevance, design, efficiency, effectiveness, impact, partnerships and cooperation, sustainability and human rights and gender. Recommendations and lessons learned were derived from the analysis of the main achievements of this global programme. The time-frame covered by the evaluation is from the first of January, 2008 until the end of October, 2014, including the seventh session of the COP.

## Evaluation methodology

The methodology of the mid-term in-depth evaluation of GLOT60 comprised different data collection and analysis methods. These methods included a desk review, semi-structured interviews, an online/offline survey with the usage of a standard questionnaire and observation. Data analysis was undertaken by means of quantitative and qualitative analysis methods, including the triangulation of sources.

A *desk review* was undertaken of relevant GLOT60 programme documents and documentation e.g. programme and programme revision documents, annual and semi-annual progress reports, mission reports, individual activity reports, donor reports and pledges, questionnaires filled in by Extended Bureau members, financial information (the Integrated Management Information System (IMIS), CSS financial database annual overviews), as well as outputs, such as the 'Model Legislative Provisions against Organized Crime', manuals, the knowledge management portal Sharing Electronic Resources and Laws against Organized Crime (SHERLOC), relevant COP documentation (especially of the fourth, fifth, sixth and seventh sessions of the COP), other UNODC documents (including programme documents of GLOT32, operational policies and guidelines), information obtained from the UNODC website related to the UNTOC and its protocols, UNGA resolutions and one OIOS report.

*Semi-structured interviews* were held in person and by means of Skype and telephone with staff from UNODC headquarters and representatives of States Parties. A mission to Vienna was undertaken by the two evaluators from 5 to 15 October, 2014. The seventh session of the COP,

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held from 6 to 10 October, 2014, offered opportunities to interview some representatives of States Parties and observe the different proceedings of this Conference. The evaluation team used a checklist with sample questions tailored to the different stakeholder groups (see annex II), and interview forms (structured on the basis of the evaluation criteria used for this evaluation). A total of 46 interviews were held with different stakeholders (see annex IV), including three donors and one UNODC field office, out of which some were undertaken via Skype or phone. One UNODC field office (Tanzania) filled in an interview form and some further information was elicited by emails from respondents and other UNODC staff

Additionally, a survey was undertaken by means of a questionnaire. The survey was intended to gauge the perspectives of States Parties regarding the legislative and technical assistance provided by UNODC, the tools, the services provided by the Secretariat and the mechanisms (e.g. working groups) put in place to support the COP. Respondents were also given the opportunity to give lessons learned and suggest ways to improve the different components of the programme. The questionnaire was not ‘field’ tested before its distribution because of lack of time, but questionnaires used for COP-related activities were used as an example, and inputs on the design were received from the GLOT60 programme management and IEU. Extensive efforts were undertaken to share information about the survey, and to disseminate the questionnaire.<sup>12</sup> Despite these efforts, only seven responses out of a total of 182 States Parties were received (five online, one in soft copy and one in paper copy), and for that reason no separate survey report was prepared. The data were however used in the overall data analysis undertaken for this report. This experience offers a lesson on the usage of surveys in these political contexts, and although such an environment already poses limitations by itself, more attention must be given to conditions in the field of accessibility, visibility and personal communication in order to determine if a survey is an effective evaluation method in such an endeavour.<sup>13</sup>

The evaluation team was further present during several sessions of the seventh session of the COP held from 6-10 October, 2014 to *observe* the discussions and deliberations in order to get

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12 Information about the mid-term evaluation and the related survey was shared on the webpage of the seventh COP. The questionnaire was transferred to survey monkey (managed by the IEU as the unit has its own corporate account), which ensured to a large degree the independence of this instrument. The link was on various occasions sent to States Parties as a reminder – before, during and two times after the seventh COP session – and on the last two days of the COP, paper copies were distributed (put on the desks beside the flags of States Parties, and boxes for the filled in questionnaires in the main conference room, next to one of the entrances and at the counter of the documentation corner).

13 One lesson can be drawn from the survey process and results, as a higher level of response could potentially be obtained if certain conditions are met. The first one is that the questionnaire in terms of substance and selected discourse must concur with the culture of the respondents, and although the survey made an attempt to address this by building the questionnaire on available in-house knowledge, in fact no field-testing was undertaken to test and possibly improve the questionnaire. Furthermore, although the evaluation took place alongside the seventh session of the COP, it was difficult to refer to the evaluation during any of the plenary sessions or side-events.. In addition, information about the mid-term evaluation and the questionnaire was sent to email addresses of States Parties, which in the overwhelming majority of cases comprised general mission email addresses instead of personal email addresses. The absence of a more direct, personal approach in contacting States Parties about the survey certainly contributed to this limited response rate. Furthermore, the highly political nature of the COP, the fact that only one questionnaire had to be filled out per State Party (often requiring internal coordination between diplomats and technical staff) and that GLOT60 was not known to all representatives of States Parties are likely other factors explaining the low response. Even if these conditions are met, then it is likely that the response rate will remain relatively low because of a survey fatigue among States Parties. The question is if in future evaluations of this nature a similar effort must be undertaken to use this method in order to promote a culture of accountability, participation and learning if conditions such as the means and political space to directly approach potential respondents are not available, or that other evaluation methods are more in tune with, and effective in such an environment, whereby the same aims can be met.

firsthand insight into the work and decision-making processes (and decisions) (under)taken by the COP.

Quantitative and qualitative methods were subsequently used for data analysis. Quantitative methods included statistical analysis of financial data and activities, which have been shared in graphs in chapter two. For the analysis of qualitative data, a minimum of at least two sources were cross-verified – the triangulation of sources is a key method for analyzing qualitative data.

This mid-term in-depth evaluation of GLOT60 aimed to be participatory in nature to build ownership of the process, findings and recommendations. The drafting of the evaluation ToR, and the selection of consultants, was undertaken under guidance by the IEU and by the CSS, with subsequent clearance by IEU. During the actual evaluation exercise, inputs were sought from all stakeholders involved in the global programme. The draft evaluation report has been shared with representatives of the Core Learning Group to confirm the main findings of the evaluation, and to build ownership for future activities of the CSS to support technical assistance to States Parties of the UNTOC.

Attributing financial and human resources to the outputs and outcomes of GLOT60 and the overall work of UNODC in the field of transnational organized crime and servicing the COP to the UNTOC has at times been a challenge in this mid-term in-depth evaluation.<sup>14</sup> This evaluation is however neither a comprehensive analysis of the servicing of the COP and its working groups nor of the overall work of the CSS. In fact, in combination with the analysis provided in the main body of this report, this would justify a section-wide, branch-wide or thematic evaluation to further unpack and evaluate the different components, to examine the achievements of the overall work of the Branch (or UNODC) on the promotion of the ratification and implementation of the UNTOC and its Protocols and to provide recommendations in support of a more coherent approach to supporting the implementation of the UNTOC in developing countries.

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<sup>14</sup> Only based on the GLOT60 progress report of 2011 and the CSS financial records for 2012 and 2013 (the records of 2014 were not shared with the evaluation team) some further detail could be obtained about the level of attribution, and the actual usage of inputs. Earlier detailed financial records were not available and other progress reports (only available from 2010 onwards) did not provide an indication of the level of attribution.

## II. EVALUATION FINDINGS

### Design

The design of GLOT60 has been informed by the shift from account to programme management in 2009 and 2010 by the UNODC, and the global programme was created retroactively with starting date the first of January, 2008. The subsequent events with respect to the development of the review mechanism further shaped the programme's design, and the extent to which it actually addressed the needs of the COP, States Parties and other stakeholders. The different components covered by the first and subsequent programme documents have not only been built on relevant decisions of the COP but also of another political body. The substance of the programme has further been informed by a move towards earmarked funding. The extent to which this vehicle has been supportive of the work of UNODC in the field of transnational organized crime will be further discussed below. An integral part of this discussion will also be the logic presented in the planning documents, including in the logical frameworks, which have to some extent in more recent years become increasingly aligned with UNODC rules concerning results-based management.

#### *The creation of GLOT60 and the budget*

The programme document of GLOT60 was created in 2009 and the beginning of 2010, and approved on 8 February, 2010, to support the change from account to programme management in UNODC.<sup>15</sup> GLOT60 started retroactively on 1 January 2008. The aim of the development of this global programme was to ensure more transparency about the usage of funds and facilitate reporting at different levels. GLOT60 adhered to the mandate issued by the COP at that time, and was for the first time mentioned in the Secretariat's note on financial and budgetary matters in 2012, which is one of the standard documents prepared for each COP session.<sup>16</sup>

In 2008 – and indicated again in 2010, 2012 and 2014 - note was made in COP documentation that donors used different accounts to support UNODC's work in the field of transnational

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<sup>15</sup> In fact, two FSA accounts were combined into an FSB (FSB 6342) account, which was provided by the IMIS financial accounting system for GLOT60.

<sup>16</sup> In 2012 reference was made to GLOT60 for the first time with the following statement: ' In line with article 30 of the Convention and pursuant to General Assembly resolution 55/25, the Secretariat invites Member States to contribute directly to the account specifically created to assist in the implementation of the Convention, with a view to enhancing transparency and reporting. Information on the current status of the account (UNODC Project GLOT60) is contained in Annex I to the present note, [...] (Secretariat COP to UNTOC, 2012b: 2) While in 2008 the Secretariat's note on the budget and financial matters contained a long list of proposed activities to potentially use the funds given in the account, the Secretariat's note in 2010 (and subsequent notes in 2012 and 2014) only offered tables with budget information.

organized crime.<sup>17</sup> Donor practice shows that funding is provided to different programmes and projects in the field of preventing and countering transnational organized crime. The current funding pattern of providing earmarked funding confirms this conclusion, as since 2008 most voluntary contributions to GLOT60 have been earmarked.<sup>18</sup> The pledged funds in 2013 only concerned earmarked activities in the field of legislative assistance (Myanmar), the development of guidelines for one newly emerging crime (trafficking in cultural property), and the cybercrime repository of SHERLOC. The earmarking had an impact on the course of the programme, and the unpredictability of future funding has compromised long-term planning of GLOT60.<sup>19</sup>

### *Mandated areas of work and the target group*

The provisions of the Convention, as well as resolutions by the COP, the UNGA and the UN Economic and Social Council (ECOSOC), provide a mandate to UNODC to support States in the ratification and implementation of the UNTOC and its Protocols, and have therefore – in practice – also directed the design of GLOT60. The programme’s main components have to some extent been based on priority areas given by the COP, although the programme document does not clearly refer to relevant COP decisions to offer more detail about their justification. Furthermore, although not explicitly stated in the logical framework of this document, GLOT60 was meant to ‘in particular, provide for a review of the implementation of the Convention and its Protocols in selected volunteer States Parties. Such in-depth review will help better identify implementation gaps and technical assistance needs.’<sup>20</sup>

Respondents noted not only the ambitious nature of the programme title considering the vast area of work of the COP, but also the fact that this was echoed in a pretentious programme design which lacked a clear vision regarding expected outcomes, and how to reach these as a result of programme implementation. Two main areas of tensions can be observed in the design of GLOT60:

- The main focus of the programme hinged on two aims, namely on the one hand providing support to the COP (servicing the COP as Secretariat) and on the other hand providing technical assistance in a variety of fields to States Parties of the UNTOC. Albeit in different degrees this dual aim has been visible since 2010;

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17 Secretariat COP to UNTOC, 2010b: 2; Secretariat COP to UNTOC, 2012b: 2; Secretariat COP to UNTOC, 2014k: 2

18 During the programme’s life span, most donors indicated specific activities they were willing to fund, or state that funding will be given on condition of a more detailed work plan. In several instances donors noted in their pledge letters that funding for GLOT60 is conditional on the approval of work plans which still had to be submitted and/or on the basis of further consultations (May 2009/NOR807 Norway; Sep 2009/US821 USA; Sep 2010/US 840 USA)

19 ‘The type and sources of funding as described in Chapter III give limited predictable income for UNODC programme support and administrative functions and no secured funds for the implementation of operational and technical activities as approved by the commissions. There is thus a risk concerning mandate implementation.’ (Zhang et al, 2010: 7)

20 UNODC, 2010a: 1

- The political body offering the justification and mandate of the programme's potential areas of work was at the same time the main beneficiary (at least if considering the programme title), whereas – arguably - the main target group comprised different professional groups of Governments of States Parties<sup>21</sup>.

In fact, mandates given to UNODC by another political body have also justified the inclusion of specific activities in GLOT60. Thus, resolutions from the CCPCJ, accompanied with earmarked funding, provided the mandate to UNODC to work on trafficking in cultural property and to expand the SHERLOC portal to serve as a data repository on cybercrime. These activities were subsequently added under the outcome concerning newly emerging crimes, an area of work which was made more explicit in the programme revisions of 2011 and 2013 following COP decision 5/4 on emerging crimes.<sup>22</sup>

Different perspectives with respect to the advantages and disadvantages of a rolling umbrella programme came to the fore during the interviews, all of which are not necessarily mutually exclusive. The value of the umbrella function of GLOT60 was highlighted, as the programme was able to absorb extra-budgetary funds easily because of its broad orientation in the field of transnational organized crime and the implementation of the UNTOC. This avoided the creation of numerous smaller programmes or projects, and the more extensive administrative process or hurdles which had to be dealt with before funds could be accessed. In addition, the programme was also seen as a vehicle to provide seed money for new activities, such as in the field of cybercrime (which now has its own global programme GLOX76) and to provide some support to field-level activities, such as providing resources (partially co-funded) for legislative assistance in the case of Vietnam and Tanzania. Even if the umbrella function is retained, the focus could be clarified as a programme with a wide coverage leaves space to interpretation on the proportion of inputs given to each component. For instance, some respondents viewed that in the past too much attention had been given to emerging crimes at the cost of other mandated areas covered by the programme.

### *Needs-based design*

The design of GLOT60 has responded to the main priority areas identified and confirmed by the COP, as well by the CCPCJ. One of the initial objectives of GLOT60 was to provide capacity to analyze submitted questionnaires on the implementation of the UNTOC by States Parties and to provide technical assistance to developing countries. This aim would then evolve after the setting up and implementation of the review mechanism, and the development of activities based on gaps identified during these exercises would in principle have supported the envisaged needs-based design of GLOT60. However, the note prepared by the Secretariat for the working group on technical assistance 'Information-gathering under article 32, paragraph 5, of the Organized Crime

21 See Annex V for a comparison of programme objectives and outcomes

22 CCPCJ Draft resolution VI 'International Guidelines for Crime Prevention and Criminal Justice Responses with Respect to Trafficking in Cultural Property and Other Related Offences' (CCPCJ, 2014: 9-13 and 48-58); CCPCJ's Resolution 22/8 (in which UNODC was requested to serve as a central data repository of cybercrime laws and lessons learned with a view to facilitating the continued assessment of needs and criminal justice capabilities and the delivery and coordination of technical assistance).

Convention’ concludes the following: ‘[...] lack of consensus on the finalization of an efficient and user-friendly information-gathering software and on a review mechanism have effectively stalled the reporting requirements under the Organized Crime Convention since 2008.’<sup>23</sup>

Views differ whether more could have been done to assist with information gathering and the development of activities based on the outcome of such exercises. Some noted that activities can only be undertaken if the mandate to do so is given to the UNODC. Other interviewees pointed out that a more pro-active stance could have been taken to explore opportunities with and to offer support to individual States instead of waiting for mandates to arrive from the Conference. A more coherent, structured approach could have been developed to initiate such activities to cover all developing countries and economies in transition, including in close cooperation with existing field offices, and with more leadership to back this up. UNODC’s decision to take on a more reactive stance regarding the identification of States’ needs, the ongoing discussion of the COP about the review mechanism to the UNTOC from 2010 onwards and overall the limited action undertaken by UNODC to direct the design of GLOT60 also had an impact on the programme’s design and possible resource mobilization efforts.

### *The programme manager*

Respondents have indicated that during the shift from account to programme management more attention could have been given to delineate the responsibilities related to programme management and clarify this function in relation to the one of the Secretariat.<sup>24</sup> The Secretariat is located in the OCB with the Secretary function moved from the Chief of the CSS to the Chief of the OCB before the sixth session of the COP. Although all three sections, i.e. CSS, ISS and HTMSS service the COP, it is predominantly CSS staff funded by the regular budget facilitating the servicing of this body. There are various views on the role of the Secretariat, which is partially a consequence of different perspectives on how a fine balance must be sought between facilitating and providing impartial technical expertise without dictating or driving the COP. Some staff members contribute not only to the Secretariat function but also have programme management responsibilities at the same time. Both functions could potentially involve and be executed to

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<sup>23</sup> The note continues as follows: By the seventh session of the Conference, six years will have passed, representing half of the time that the Convention has been in force, since systematic information-gathering efforts have been carried out, pursuant to article 32 of the Convention. Furthermore, it should be noted that 34 new parties have ratified or acceded to the Convention since 2008, illustrating the pressing need for the Conference to be informed of efforts by States parties in implementing the Convention. A request, sent by note verbale in 2013 to States parties by the extended Bureau, requesting voluntary reporting via the omnibus survey software, resulted in only six responses. This lack of information on implementation of the Convention and the Protocols thereto make it very difficult to gauge effectively the implementation of the Convention the Protocols thereto, in order to improve the capacity of States parties to combat transnational organized crime and to promote and review the implementation of the Convention, including through technical assistance. (Secretariat COP to the UNTOC, 2014I: 8)

<sup>24</sup> The location and structure of the Secretariat has not been defined in relevant legal documents. Article 33 (1) of the UNTOC stipulates that the Secretary-General of the UN shall provide the necessary secretariat services to the COP. The UNTOC tasks the Secretariat to ‘Assist the Conference of the Parties in carrying out the activities set forth in article 32 of this Convention and make arrangements and provide the necessary services for the sessions of the Conference’ (article 33 (2)(a)). For further information see for instance also the section ‘The Role of UNODC Conference Support Section, Organized Crime Branch’ in the 2013 brochure of the Conference Support Section of the Organized Crime Branch.

respond to different interests. Views have been provided that the Secretariat should remain independent from other entities, including potential interests to shape GLOT60 in a certain way, as the Secretariat reports to the COP on all programmes and projects in the field of transnational organized crime, and not specifically on GLOT60, except with respect to the budget. It is recommended that OCB in close collaboration with CSS improve programme design and management at various levels, including by means of developing a more focused programme with a realistic budget to support the management of expectations and transparency in decision-making.

### *Planning documents – the programme document and programme revisions*

The programme document and the two programme revisions undertaken in 2011 and 2013, following the fifth and sixth sessions of the COP in 2010 and 2012, delineate the hierarchy of objectives with the last revision offering a seemingly more comprehensive and concise logical framework. For instance, the original number of seven outcomes was reduced to six in 2011, and reached the current total of three outcomes (in combination with eight outputs). Measurable indicators have further been provided along with baseline data and targets at the output level. In comparison with the original programme document, the indicators in the latest logical framework largely correspond to the SMART criteria.<sup>25</sup>

In some areas of the logical framework, however, there is space for improvement. When considering the three outcomes, there is – to some degree – an overlap as the areas covered are not mutually exclusive. Some of the limitations of the current logical framework of GLOT60 can further be explained by the range of areas covered by the programme. Thus, the logical causal connection between some outcomes and outputs and some results and related indicators is relatively weak. For instance, the logical framework prepared for the 2013 programme revision introduces two outputs related to the servicing of the COP, which however are CSS-level outputs, as these results are only to a limited degree the consequence of GLOT60 inputs. In addition, indicators referring to regional networks actually cover networks that have predominantly been supported by other programmes or projects, including GLOT32, thereby obscuring to some degree the level of attribution of inputs to the overall result. Furthermore, the programme's broad orientation poses a challenge to provide a limited number of more specific indicators. Some of the outputs therefore encompass different results in one output. The indicators at the outcome level are to some extent output-oriented, and more qualitative indicators are missing. In addition, activities sometimes refer to the CSS as assistance provider to implement certain activities, whereas in other areas no specific staff or entity is given to clarify the onus of responsibility. Overall, a more narrowly defined global programme (and/or dividing up this programme into several global programmes or projects) could benefit a more results-oriented approach to planning and implementation, and ensure that output-level results can be fully attributed to inputs.

Since its creation, programme revisions of GLOT60 have only been undertaken in response to outcomes of each COP session. Although the possibility has been given that a programme revision could also be initiated following a CCPCJ session, this has not been done in practice.

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<sup>25</sup> Specific – target a specific area for improvement.; Measurable – quantify or at least suggest an indicator of progress; Assignable – specify who will do it; Realistic – state what results can realistically be achieved, given available resources; Time-related – specify when the result(s) can be achieved.

The rationale of revising a programme on the basis of a revised COP mandate instead of also linking programme revisions to new funds and/or a change in circumstances has however resulted in a programme which is not fully connected to available resources. Furthermore, donor pledges have at times been provided on the condition of the provision of a clear action plan, but such plans have not been integrated into a (revision of) the programme document. Hence, the GLOT60 programme revisions neither provide for an up-to-date programme plan nor up-to-date logical framework, which makes comprehensive planning of activities, monitoring and evaluation difficult. It is therefore recommended to actually undertake programme revisions on the basis of a change in available resources and/or other circumstances to remedy this situation.

Furthermore, in programme revisions only the logical framework and the text are revised, and new donors are added to the already existing donor list. No reference is however made to utilized funds and possible results in these areas and/or the fact that some donors on the list are not contributing to the programme since its last revision. Although the rationale for this practice is that all donors have contributed to the programme, and thus to the work undertaken to achieve its goals, the lack of more specific information can lead to some confusion about available resources and actors with an interest in the programme. Up-to-date financial information about pledges per donor, the amounts spent and the balance is however available in the Programme and Financial Information Management (ProFi) portal which can be considered together with the programme document and programme revisions. The detailed financial accounting modality operated at the section level since 2012 has further provided for a substantive overview of expenditures per activity, which has enhanced accountability and supported overall programme planning

## **Relevance**

GLOT60 has been relevant to the COP to the UNTOC and its established working groups, to regional networks, States Parties, donors and UNODC. The high number of ratifications of the UNTOC, as well as resolutions and decisions adopted by the COP, the CCPCJ, the UNGA and the ECOSOC confirm the political commitment to the ratification and implementation of the UNTOC, and the relevance of activities which support States in these tasks. GLOT60 has offered a vehicle to develop, maintain, strengthen and expand tools necessary to support the implementation of the UNTOC, as well as to conduct studies and provide legislative and technical assistance. Interviews with representatives of States Parties provided evidence in support of the overall relevance of the tools and other work undertaken in the field of legislative assistance, international cooperation and newly emerging crimes, although some concern was expressed that the programme lacked a clear strategy, and that, despite the ongoing discussions regarding the review mechanism, more could have been done to identify needs and support activities to assist States Parties with addressing these to support the implementation of the UNTOC.

Donors showed their commitment by means of providing funds to GLOT60. More information must however be shared with this target group, including potential donors, to clarify the programme's objectives and its relationship with different political bodies. An internal review of GLOT60, either resulting in a new design of the different components and/or a revised design of GLOT60, must first be undertaken before a resource mobilization strategy can be developed.

GLOT60 has been relevant to UNODC throughout its existence as it is aligned with its mandate and Strategic Frameworks for 2008-2011, 2012-2015 and 2014-2015<sup>26</sup>, as well as with its Thematic Programmes on Action against Transnational Organized Crime and Illicit Trafficking, including Drug Trafficking of 2008-2011 and 2011-2013.<sup>27</sup> Synergies have further been visible in UNODC's work on corruption with activities supporting the United Nations Convention Against Corruption (UNCAC). For instance, the Omnibus software has been developed to also support the UNCAC review mechanism<sup>28</sup>, the regional training held in Barbados in 2009 was organized back to back with a meeting on international cooperation under UNCAC, and staff supporting the implementation of both conventions jointly held a training in 2014 (Myanmar). More cooperation between these thematic areas and other related branches and divisions could however be explored. More efforts are therefore further recommended to explore synergies between GLOT60 and other global programmes, such as the Global Programme Against Money-Laundering, Proceeds of Crime and the Financing of Terrorism (GPML) (GLOU40).

GLOT60 has further occupied a particular niche in the field of transnational organized crime activities implemented by the OCB. Except for the 'Global Programme for Strengthening the Capacities of Member States to Prevent and Combat (Transnational) Organized and other Serious Crimes' (GLOT32), no overlap has been observed between GLOT 60 and other programmes and projects located in the OCB. This concerns global programmes in the field of trafficking in persons (GLOS83/GLOT55/GLOT59/GLOX42), smuggling of migrants (GLOT92), firearms (GLOX34) and the new global programme on cybercrime (GLOX76), created in 2013. The CSS has serviced the COP working groups on the first three topics, and some earmarked funding had been included into GLOT60 to support the working group on the smuggling of migrants, namely to cover translation costs and travel of three participants.

With respect to GLOT32, which started in September 2008, a clear distinction between the profiles of this programme and GLOT60 is missing, and there is clearly an overlap in objectives (at least when considering the original GLOT60 one – see annex V).<sup>29</sup> In practice, for instance in the field of fraudulent medicine and international cooperation, the ISS and CSS have collaborated well, although it has been pointed out that this is because of good working relationships between staff members, whereas a more institutional solution ought to be sought to establish clear profiles of these two global programmes. This situation has further not contributed to transparency about

<sup>26</sup> ECOSOC, 2013: 32-33

<sup>27</sup> The draft Thematic Programme on transnational organized crime for 2014-2015 was only submitted to the Office of the Executive Director in November 2014

<sup>28</sup> Secretariat to the UNTOC, 2014: 9

<sup>29</sup> The explanation must be sought in the fact that – at least in the design of GLOT 32 and the design and implementation of GLOT60 - both programmes provide technical assistance, especially in the field of transnational organized crime and international cooperation, use the tools developed under GLOT60 (while GLOT 32 took the digest, and developed this further), deal with emerging transnational crimes (in the case of GLOT 32 wildlife, terrorism, fraudulent medicines) and also provide support to the COP (the working group on international cooperation). GLOT60 has focused more on providing legislative assistance to States Parties to revise existing legislation, whereas GLOT 32 directs its efforts to support criminal justice experts and related regional networks, also covers some activities in the field of human trafficking and has international and national staff in the field to initiate and support activities (UNODC GLOT 32 Project revision Aug 2010; Project revision 11 Sep 2013; Project revision 22 November 2013).

the activities of UNODC in the field of transnational organized crime, including communication to donors.<sup>30</sup> Thus, in addition to a possible reshuffle of areas between the two programmes to delineate distinct areas of work while adhering to section-level strategies, one OCB-level resource mobilization strategy is recommended to promote one common UNODC position with respect to fund-raising in this thematic area.

Synergies with other areas of work covered by the CSS exist, although the extent to which these have been fully explored is unclear from the rather concise annual work plans of the section. The connection between the work on transnational crime and drugs is therefore difficult to measure, as these two areas are combined in one indicator and one target. Not enough information is provided to understand the level of overlap, distinctions and synergies between the conventions, and the planned work to promote their ratification and implementation.<sup>31</sup> In fact, the legal library and the CNA Directory were both created to support the promotion and implementation of the international drug conventions. Legislation in the field of transnational organized crime and data on central authorities were added to the library and the directory respectively, after the UNTOC came into being. As drug trafficking is a form of transnational organized crime, it is recommended to promote the ratification and implementation of the UNTOC and the drug conventions in a more synergistic manner.

## **Efficiency**

### *Cost-efficiency*

GLOT60 started out with the proposed programme budget of USD 3,657,158, which consequently increased to USD 9,452,314 in 2011. In 2013 the overall proposed programme budget of GLOT60 was USD 4,306,100. The drastic drop in proposed budget in 2013 in comparison to 2011 in table 1 is a consequence of the anticipated review mechanism which failed to materialize in 2012, and the deduction of USD 1,778,816 from the overall budget. The latter amount had reportedly been inaccurately recorded in ProFi, thereby giving evidence for ‘insufficient control over expenditures and the delay in the reconciliation between the two systems, i.e. IMIS and ProFi’. The overview of pledged and collected amounts in graph 2 confirms this finding as it shows that both amounts increase from around four to around five million USD between 2008 and 2011, with a maximum of USD 5,424,286, and then experience a sudden drop of over USD 1 million to a total of USD 4,063,689 in 2012.<sup>32</sup>

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30 See for instance pledges Feb 2012/US875; Sep 2012/US887

31 See for an analysis of the drugs and crime prevention mandates of the UNODC, Zhang et al, 2010

32 This has also been reflected in the budgets given in the programme document and the two budget revisions, in which the revision undertaken in 2011 (and approved by Financial Resources Management Service (FRMS) and HMRS) reflects the increase of the overall budget with USD 2,461,191 of un\_earmarked funds in October 2010 (Murray, 2012.: 1) and the development and anticipated implementation of the UNCTOCUNTOC Convention’s review mechanism.

**Table 1: Overall budget and budget revisions GLOT60 2010, 2011, 2013 (in USD)**

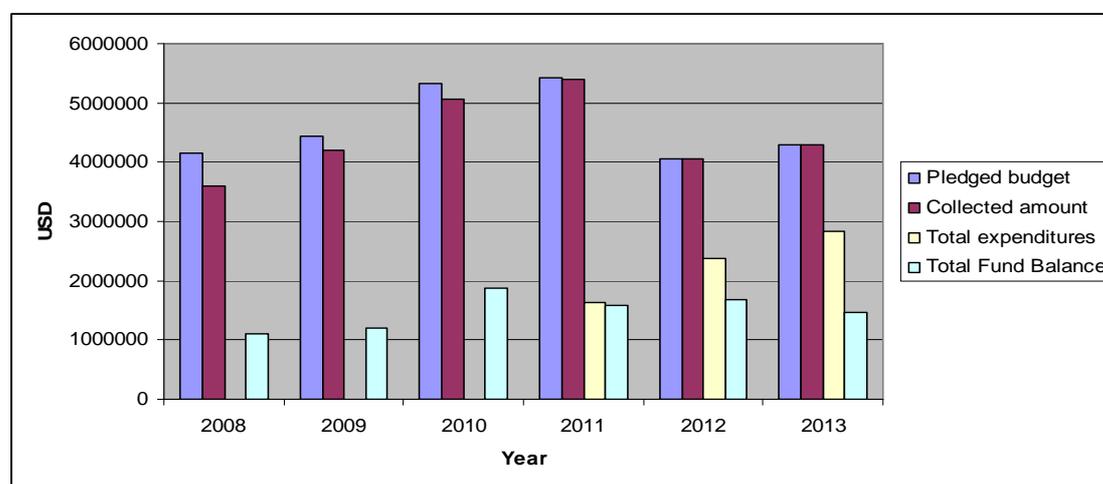
	Programme/project document 2010	Revision 2011	Revision 2013
Previously proposed overall budget		3,657,158	9,452,314
Proposed increase or decrease in proposed overall budget		5,795,156	-4,611,930
(New revised) proposed overall budget	3,657,158	9,452,314	4,840,384

Graph 2 shows that the pledged and collected funding have become increasingly equal, thereby pointing to a greater efficiency in using received funds. As un-earmarked funds pledged in 2007 and 2008 were only spent in 2012, one of the GLOT60 donors temporarily stopped funding the global programme until more clarity was provided about the usage of funds.

In 2013 three new donor pledges for earmarked funding were provided. As the largest part of the budget has however been used on salaries for a P-3 post and two General Service staff (G5) posts, this may not be financially sustainable in the current funding climate with an emphasis on providing earmarked funding. The programme's total expenditures since 2011 have increased, whereas the overall balance clearly decreased over time. In October 2014, the programme's available budget was nearly depleted.<sup>33</sup> Due to new funding expected from an existing donor, the planned budget and programme duration have however been increased in the last project revision of December 2014. The anticipated new funding would allow for payment of salaries to continue in preparation of a full substantive project revision to take place in early 2015, taking into consideration the results of this evaluation.

<sup>33</sup> The 2014 Project Detailed Annual Cost Work plan forecasts a total expenditure in 2014 of USD 1,133,300. Total disbursement according to UNODC Management Expenditure Reporting at 30 June is USD 573,765. All figures include Project Support Costs. Certified financial reporting is provided by the UNODC Financial Resource Management Service and is available in ProFii (UNODC, 2014b). ProFii information shared with the evaluation team on 14 October however showed that of the USD 1,133,300 requested for 2014, still USD 438,000 was left. As of the financial year only six weeks were left, the allocation for 2014 would have to be reduced, and then used for 2015 combined with the USD 329,000 which had not yet been allocated.

**Graph 2: Overview of pledged and collected amounts, total fund balance and total expenditures of GLOT60 per year (31 December figures)<sup>34</sup>**



The CSS started with its own independent financial accounting system in 2012 in order to keep track of all expenditures per activity per pledge/budget line. This section-level modality monitored expenditures and also allowed for advance planning. It has therefore been considered a good practice as it resulted in a more transparent financial management system at that level. This is undertaken in addition to ProFi, i.e. a programme/project-specific financial system that enables tracing of contributions. As the usage and maintenance of two separate systems has not been efficient, it is recommended to establish a more integrated system<sup>35</sup>. This is now in the implementation stage as ProFi is to be replaced by Umoja as of November 2015.

GLOT60 has not overspent its budget, and has to a large extent been cost-efficient. UN Rules and Regulations have been followed, such as when recruiting contractors to perform work under the global programme.

#### *Personnel and consultants*

GLOT60's capacity has been much more limited than the four technical assistance posts initially proposed in the original programme document to support – among others – the expected review mechanism of the UNTOC. The global programme started with one P3, one P2 and one General Service (G4) post. At the end of 2012, the composition of the team was revised to include one P3 post and two General Service (G-5) posts. The P3 position was discontinued at the end of 2014. The project revision undertaken in December, 2014, mentions that expected resources are to be

<sup>34</sup> Sources: GLOT60 financial reports 2008-2013

<sup>35</sup> Murray, 2012: 2

used for ITS staff salaries to expand the SHERLOC portal and increase the use of technology resources for UNODC technical assistance tools. The new resources would further provide for payment of salaries, as well as to possibly establish a P2 post to replace a recently terminated JPO post, as well as the terminated P3 post, to ensure sufficient staffing to provide for the requested services under the programme.

The responsibilities of the P-3 post funded under GLOT60 largely remained unchanged since the beginning. Main responsibilities included providing overall support to different programme-related activities, including the pilot project. One of the G-5 staff has been responsible for the financial administration of CSS, whereas the other G-5 staff has mainly worked on the international cooperation portfolio, including the CNA Directory. Both G-staff members have worked in the Section since 2010. The OCB team under the leadership of the Secretary is responsible to varying degrees for organizing COP sessions and related meetings, with the bulk of the work carried out by the CSS.<sup>36</sup> The COP and working group sessions have been organized with funding from the regular budget and only some additional support has been covered by GLOT60.

**Table 2: Overview staff funded under GLOT60<sup>37</sup>**

GLOT60 progress report	Staff – levels and numbers funded under GLOT60	In comparison: CSS staff 2013/2014 <sup>38</sup>
Semi-annual 2014	1 P3; 2 G5	2 P5
Annual 2013	1 P3; 2 G5	3 P4
Semi-annual 2013	1 P3; 2 G5.	3 P3
Annual 2012	1 P3; 2 G5	3 P2
Semi-annual 2012	1 P3, 1 G4; 1 G5; 1 G6 and one individual contractor.	1 G6
Annual 2011	1 P3; 1 G4 and two individual contractors	3 G5
Semi-annual 2011	1 P3; 1 G4. The Project Expert (P2) was extended to work on UNTOC and Protocols implementation.	
Annual 2010	1 P3; 1 G4. The Project Expert (P2) was extended to work on UNTOC and Protocols implementation.	

Several contractors, including consultants, were hired under GLOT60 to support the development and/or update and/or translation of tools as well as meeting costs (interpretation at the Working Group on Smuggling of Migrants held in 2012). In 2012 and 2013, three consultants were contracted to support the development of the knowledge management portal SHERLOC. Some additional experts were only partially funded under GLOT60, such as in the case of the 'Model Legislative Provisions against Organized Crime' published in 2012, and two issue papers for the COP in 2013 on participation in an organized criminal groups and the obstruction of justice. The remaining costs have been covered by UNODC's regular budget.

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 36 For instance, during COP 7, one of the G5 Staff members supported the G6 in the Conference Secretariat, which was responsible for draft resolutions and the draft report (among others). The other G5 staff member funded under GLOT60 was – together with another four persons, responsible for the list of participants/credentials/general information and support. (UN, 2014: 9).

37 UNODC, 2010b: 14; 2011a: 9; 2012c: 8; 2013d: 14; 2014b: 12

38 UNODC/CSS work plan 2013: ; Interviews

## *Outputs*

As GLOT60 has been a rolling programme with no definite end in sight, the analysis of its efficiency could only be done to some degree, especially as prior to 2013 no targets were given in the programme documents. The number of outputs was reduced from 34 in 2010 to eight in 2013, which has made it easier to measure outputs. In addition to lack of detailed financial and reporting data to get clarity on levels of attribution (2008, 2009, 2010, 2011 and 2014), no internal reporting was done for 2008 and 2009. The majority of outputs have been achieved during its lifetime, although the scope is more limited than what could possibly be expected of a global programme considering the number of States Parties to the UNTOC.

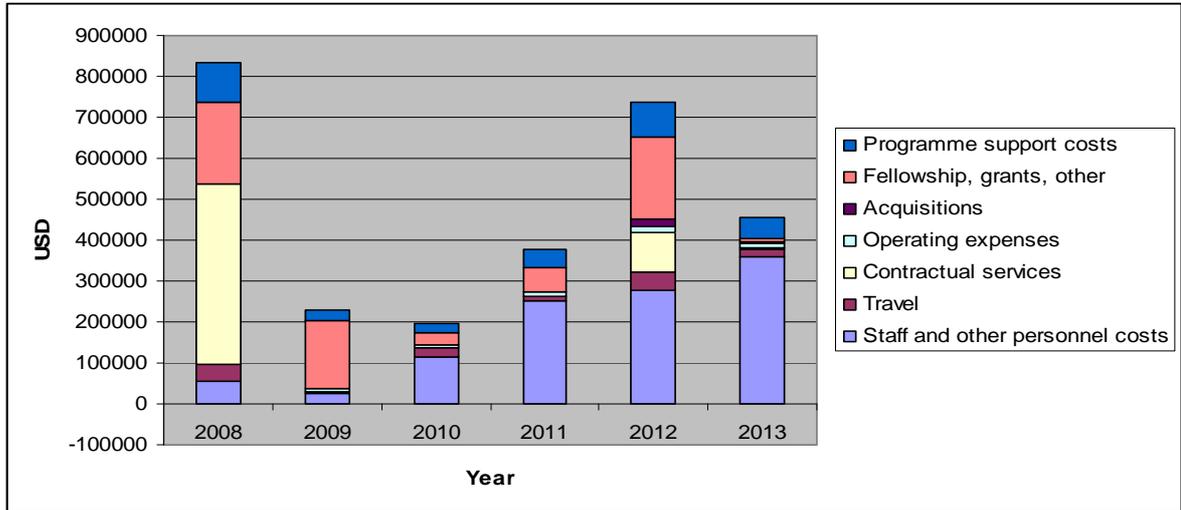
The total annual programme expenditures range between slightly less than USD 200,000 in 2010 to over USD 800,000 in 2008, followed by over USD 700,000 in 2012. In GLOT60's first year of existence, over half of all expenditures were for contractual services while such has since then only been used to a limited degree with the exception of 2012.<sup>39</sup> In 2008, 2009 and 2012 a sizeable amount was also used for fellowships, grants and other items. Costs related to travel, acquisitions and operating expenses have been relatively low. Except for 2008, 2009 and 2012 over half of the expenditures was to cover staff and other personnel costs, while in 2013 almost 80 percent of the annual expenditures were used to cover this budget item. The relatively high level of expenditures in 2012 can be attributed to the contractual services (handbook translation) and fellowship, grants, other (translations costs for the Working Group on Smuggling of Migrants, travel for an expert group meeting on confiscation, catering costs for a side event at the sixth session of the COP, as well as costs for translation of the omnibus tool).<sup>40</sup>

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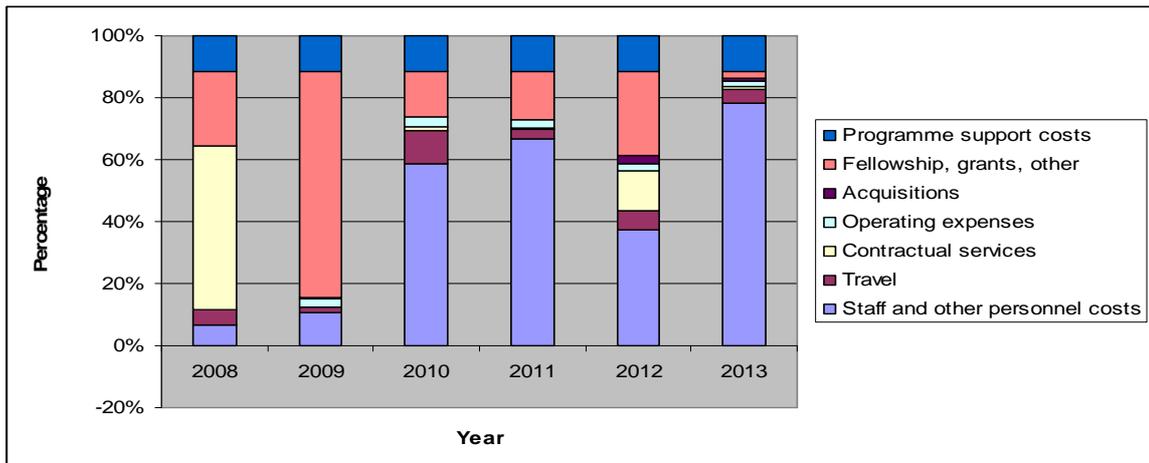
39 In 2012, a new budget line classification system was introduced. Until 2011 the following budget lines were used: Staff and other personnel costs, Travel, Contractual services, Operating expenses, Acquisitions, Fellowship/grants/other, Programme support costs (13%). From 2012 onwards the following budget lines were used: Personnel, Travel, Subcontracts, Miscellaneous, Equipment, Training, Support costs. For the above analysis, the amounts given in the following budget lines have been compared: staff and other personnel costs with personnel, travel with travel, contractual services with subcontracts, operating expenses with miscellaneous, acquisitions with equipment, fellowship/grants/other with training and programme support costs with support costs. The only other change (excl terminology) is premises which falls under miscellaneous and not equipment.

40 The information regarding the 2012 expenditures, including the translation of the omnibus, has been taken from UNODC, 2013a. Figures between the annual financial overview of 2012 do not concur with the figures per budget line given in the CSS GLOT60 annual data for 2012 (BL subcontracts)

**Graph 3: Annual programme expenditures per budget line (31 December figures/in USD)**



**Graph 4: Programme expenditures in percentage per year (31 December percentages)**



Legal and other technical assistance for the ratification and implementation of the UNTOC has been provided (output 1.1). Support for the ratification of the UNTOC has generally been given under the regular budget, except in 2011 when specialized legal advice and technical assistance were provided to three States on becoming Party to the UNTOC and its Protocols. Assistance regarding the implementation of the UNTOC has been given since 2012. In 2012, the mission of one CSS staff member was supported to give presentations and facilitate a working group during a meeting of the Bali Process on People Smuggling, Trafficking in Persons and Related Transnational Crime (also referred to as the Bali Process). Furthermore, three legislative assistance workshops were held in 2013 and 2014 in Asian and African countries (Indonesia, Tanzania and Vietnam), and recommendations were given to address existing gaps in legislation with respect to the UNTOC, including to the Protocol on the Smuggling of Migrants in Vietnam. In the first half of 2014, 24 States received legal and policy advice on international cooperation in criminal matters during two workshops held in the Middle East, with one of them funded under

GLOT60. Only one Least Developed Country (LDC) has been in receipt of direct legislative assistance, namely Tanzania.<sup>41</sup> A more comprehensive approach could be recommended to support LDCs on amending their legislative framework to enhance the implementation of the UNTOC. The 'Model Legislative Provisions against Organized Crime' was further completed in 2012, and the latest tool, the needs assessment guide, is still a draft, and has been published as four Conference Room Papers of the Working Group of Government Experts on Technical Assistance held on 6 and 7 October 2014, in Vienna, Austria, parallel to the seventh session of the COP.

Furthermore, tools to improve the capacity of States to ratify and implement the provisions of the UNTOC and the Protocols have been developed and disseminated. The SHERLOC portal has been set up and regularly updated. As of mid-year 2014, 1024 entries have been made in the legislation database and 125 cases and SHERLOC Portal.<sup>42</sup> In 2014, 1487 entries were made in the Legislation Database, 417 cases were uploaded to the Case Law Database and 295 abstracts to the new Bibliographic Database.<sup>43</sup> The SHERLOC portal has been increasingly accessed and used during the past two years.<sup>44</sup> Respondents acknowledged the usefulness of the portal, in particular for lawmakers and students, although its actual usage by legal practitioners remains unknown. It was also pointed out that the portal is still in its infancy, and that more work is required to bring it up to standard.

**Table 3: Overview number of printed copies of tools per year<sup>45</sup>**

	Number of Copies <sup>46</sup>			
	2011	2012	2013	2014
Manual on Extradition and Mutually Legal Assistance		700	380	285
Manual on International Cooperation for the Purposes of Confiscation of Proceeds of Crime		700		285
CNA Directory	675 in June/ 687 in Dec	675/ 682 Dec/ 650 June/ 100 Oct	684 June /670 Dec	695 June/695 Dec/ 200 Oct.
Model Legislative Provisions against Organized Crime		700	300	350
MLA tool	427			
UNTOC Convention and Protocols		1200	560	1150
Legislative guide		600	270	300
Travaux		550	70	350

41 [http://www.un.org/en/development/desa/policy/cdp/ldc/ldc\\_list.pdf](http://www.un.org/en/development/desa/policy/cdp/ldc/ldc_list.pdf)

42 UNODC, 2014b.

43 Statistics for 2014 were shared by CSS.

44 Number of visits (hits) to the SHERLOC portal between October and December 2013: 851; Number of unique visitors to the SHERLOC portal between October and December 2013: 244. In the first half of 2014, 3,000 users accessed the SHERLOC portal, which resulted in 25,000 page views. 60 per cent of the users were new (UNODC, 2014b)

45 Some of the tools, such as the CNA Directory, are printed with regular budget funds.

46 Statistics have been taken from the semi-annual and annual reports, and revised/updated by CSS for this evaluation.

Under GLOT60, support for the servicing of the Conference and its subsidiary bodies is provided (output 1.3, output 2.3), although this financial and personnel support is supplementary to the overall support provided by UNODC's regular budget. Overall, the servicing of the COPs has been viewed in a positive light by respondents, and the fact that staff funded under GLOT60 also participated in servicing the COP, has certainly contributed to this positive result.

Legal and other technical assistance has been provided to strengthen the capacity of central authorities to investigate, prosecute and adjudicate organized crime-related offences and to effectively trace, seize, confiscate and dispose of the proceeds and instrumentalities of crime in line with the UNTOC (outcome 2/output 2.1). Legal and technical assistance has been provided to authorities of individual States and to regional networks by means of supporting mission travel of UNODC staff. Furthermore, the CNA Directory has been regularly updated with support of the G5 staff member. The hard copy of this directory is issued twice per year, while the electronic database is constantly updated with new data, as provided by the State Parties. The CNA Directory has a total of 824 registered users and 196 new accounts were created in 2014. Some respondents pointed out that some contact information given in the directory is outdated, but available information reflects the data provided by States Parties. It was argued that it would be useful to have one directory for all competent authorities in the field of transnational organized crime, corruption and drugs. The MLA User Tool has 986 registered users and 167 new accounts were created in 2014. These tools have together with available manuals been used for training activities, and different stakeholders viewed them as highly useful for relevant authorities.<sup>47</sup>

Networking at the regional and inter-regional levels among central and other competent authorities has also been undertaken as part of GLOT60 to improve international cooperation in criminal matters (output 2.2), and especially in the field of judicial cooperation and some of the newly emerging crimes discussed below. Except for the regional judicial cooperation in the Middle East (a regional meeting held from 24-28 February, 2014), confiscation (expert group meeting held in 2012), and the Working Group on Smuggling of Migrants (2012), GLOT60 has supported the travel of CSS (and in one case ISS) staff to participate, give a presentation and/or training in such meetings.

Furthermore, legal and other technical assistance on new forms and dimensions of organized crime has been provided, and studies, publications and tools have been prepared, translated and disseminated (outcome 3/output 3.1). Although not specifically given as an indicator in the last programme revision, from 2010 to up to 2013, GLOT60 offered travel assistance to CSS staff to participate in meetings and conduct workshops to improve the prevention and response to cybercrime.<sup>48</sup> In 2013, guidelines for crime prevention and criminal justice responses with respect to trafficking in cultural property and other related offences were finalised during the third meeting of the Expert Group on Protection Against Trafficking in Cultural Property (held in Vienna on 15-17 January 2014). In 2011, some staff time covered by GLOT60 was further spent on providing inputs with respect to environmental crimes. Some strategic partnerships with other entities and organizations working on emerging crimes have been established/enhanced with

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<sup>47</sup> See mission report Barbados 2009

<sup>48</sup> Mission travel statistics correlated with budget information of 2012 show that over half of all missions (namely 13 missions/one staff member) funded under GLOT60 were dedicated to cyber crime.

GLOT60 support (output 3.2 – see section on partnerships and cooperation). However, although public information material on some new forms of organized crime was developed by UNODC's Advocacy Section, this material has not been covered by GLOT60's budget, and partnerships with the private sector and civil society have not been developed in these areas.

As envisaged in the programme document and revision of 2011, the work on establishing a review mechanism was undertaken until 2012, although this mechanism was never set up. In May 2010, the pilot 'project' to review the implementation of the UNTOC was launched to test the feasibility and modalities of a review mechanism on a voluntary basis. Three country visits were conducted in Mexico, Romania and Serbia, and eleven country reports (France, United States, Romania, Serbia, Colombia, the Philippines, Peru, Chile, Mexico, Indonesia and Italy) were finalized. Two methods were tested, namely the expert review and the peer review. A concise evaluation report was prepared on the basis of these experiences in 2012, and shared at the sixth session of the COP. Following this pilot, the UNODC provided extensive support to facilitate the political process towards the establishment of a mechanism to review the implementation of the UNTOC and its Protocols. The working group meetings were covered by the regular budget and some of the staff costs were funded by GLOT60.<sup>49</sup>

The establishment of a mechanism for the review of the implementation of the Convention and its Protocols was discussed during both the sixth and seventh session of the COP, which were held in October 2012 and 2014, respectively. At the seventh session of the COP, the Conference requested UNODC to convene, within existing resources from the regular budget, at least one open-ended intergovernmental meeting with the participation of Government officials with practical expertise on the implementation of the Convention and its Protocols. The Conference also requested UNODC to submit to the Conference at its eighth session a report with concrete recommendations for reviewing, through a possible mechanism or mechanisms, the implementation of the Convention and its Protocols, and recommendations for cooperating with relevant international and regional organizations and non-governmental organizations, in line with article 32 of the Convention and as guided by the principles and characteristics contained in its resolution 5/5.

### *Monitoring and reporting*

As GLOT60 was created retroactively, the first internal report prepared was the annual progress report for the year 2010, after which semi-annual and annual progress reports have always been prepared. Thus, except for the annual financial reports, no more detailed information is available with respect to the usage of funds of GLOT60 for 2008 and 2009. The annual and semi-annual progress reports for 2010, 2011 and 2012 only reported on activities and outputs respectively undertaken and achieved during the reporting period. Only for the year 2011, some more specific information is given as a clear reference was made to the costs covered by the regular budget and the costs covered by the programme, i.e. 'the meetings were funded from regular budget and some of staff costs through this programme'. A reference to the proportion of funding through

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<sup>49</sup> Information consultations did not have any cost implications beyond the staffing costs. UNODC provided delegations with all required information on the financial implications of a review mechanism and facilitated the adoption of draft terms of reference, a blueprint, guidelines and a proposed allocation of articles that were submitted to the Conference for its consideration.

GLOT60 would however have provided for an even better understanding of the level of attribution and the usage of both budgets.

In earlier years in progress reports, less detail was however given on the one hand but more general references (e.g. activities of UNODC, the Secretariat) on the other hand, thereby obscuring the actual direct intervention radius of the programme funds. If new activities were planned for and covered by the GLOT60 budget, but not reflected in the log frame, then these activities were not reported on (e.g. 2012). This has been the consequence of a weak log frame, the dependence of programme revisions on COP mandates and limited forward planning, due to which not all activities were reflected in the programme's design. This situation has not enhanced transparency and accountability with respect to the usage of funds. Following the latest programme revision of GLOT60 in 2013, reporting on outputs has however improved.

Information on the programme has been shared with the COP, although further efforts could have been made in order to keep States Parties more informed about the activities and results of GLOT60.

Only nine donor reports have been produced with respect to GLOT60 (two for France but without a reference to the year, one for Norway in 2012, and six quarterly reports in 2013-2014 for the USA). This relatively small number, considering the amount of pledges, indicates an earlier culture in which fund reporting was scarce. Donors were apparently further not demanding this level of detail with respect to the usage of extra-budgetary funds. The absence of detailed donor reports does not contribute to a situation of transparency and further weakens institutional memory as semi-annual and annual progress reports only provide for summarized information about activities and results. ProFi however has financial information regarding all projects and programmes, including GLOT60, including an updated status of pledges per donor, the amounts spent and the balance. This information is accessible to donors. In November 2015, ProFi is to be replaced by the integrated system Umoja

### **Partnerships and cooperation**

As part of the overall efforts of especially CSS, but also of ISS and HTMSS and the overarching OCB and DTA, GLOT60 has supported activities and some staff to initiate, maintain and/or strengthen partnerships, in particular in the field of legislative assistance, international cooperation, cybercrime and trafficking in cultural property. The different activities have been tailored to the needs of individual States Parties, regional networks, the COP and related bodies, and as a result have supported new and existing partnerships in support of the implementation of UNTOC. Furthermore, partnerships with international organizations and civil society organizations have at times also been buttressed by funding provided by GLOT60.

Partnerships between UNODC and individual States Parties have been strengthened because of tailored legislative and technical assistance activities undertaken by staff, including with respect to advisory, capacity-building and information gathering activities undertaken in a regional context, judicial cooperation, cybercrime and trafficking in cultural property. Some of the activities have been undertaken at the request of States Parties and in close cooperation with UNODC field offices, such as with respect to direct legislative assistance provided by the CSS and the pilot 'project', but in other cases the involvement of the Section was based on an

invitation to participate in particular meetings, initiated through the organizers of these meetings (e.g. international organizations, States Parties). Whereas these activities were appreciated by all recipients, not all representatives of States Parties were aware of the activities of GLOT60, and it is therefore recommended that specific information, including results, of this global programme is more regularly shared with relevant actors.

CSS staff participated in meetings geared at improving international cooperation between relevant States representatives at the regional level, such as during the Barbados regional training workshop on ‘Strengthening Central Authorities in International Judicial Cooperation and Assessing the Implementation of the UN Instruments against Transnational Organized Crime and Cooperation – Promoting a Common Approach to Crime Prevention, Human Security and Integrity’ held in 2009, the UNODC/European Judicial Network joint focal point meeting to inter-connect the Regional Judicial Platform Network for Sahel and Indian Ocean Commission countries in 2011, and two regional meetings in the Middle East, of which the second one was partially funded by GLOT60 and held in February 2014 with 52 representatives of Ministries of Justice and Ministries of Interior. This meeting resulted in the adoption of a document requesting UNODC to support the establishment of an Arab judicial cooperation network, as well as to proceed with the establishment of a Gulf Network of central authorities and prosecutors against transnational organized crime.

It is possible that cooperation between some States Parties – bilaterally, regionally and beyond – has been strengthened due to the programme, but also as a result of some of the tools (the CNA directory and the MLA Request Writer Tool) and the servicing of the COP and working groups, although no solid data are available to measure this result. COP sessions, the regional COP networks and the working groups, provide ample opportunities to network, share experiences and establish, maintain and strengthen short and long-term partnerships. For instance, the seventh session of the COP was attended by representatives of 108 States out of a total of 180 States Parties, with several hundreds of participants gathering together for this one-week Conference.

In addition to this, ongoing partnerships with other international organizations, especially UNESCO and more recently the UN World Tourism Organization (UNWTO) in 2013, with respect to the trafficking of cultural property (as well as ICOM, INTERPOL, the International Institute for the Unification of Private Law, the World Customs Organization, the EU and the OSCE in this thematic area) have been initiated and/or maintained as a result of activities funded by GLOT60. The global programme also covered mission travel, and/or supported the development of guidelines in the field of the illicit trade in tobacco, small arms, and cyberspace.

As part of the work on cybercrime, partnerships with for instance the Commonwealth Secretariat, the Cybercrime Convention Committee of the Council of Europe (CoE), the International Criminal Law Network, and the Task Force Argos of the Queensland Police have been initiated and/or maintained. Furthermore, CSS partnerships with some academic institutions, such as Georgetown University, the Academy of European Law, and the International Institute of Higher Studies in Criminal Law, were also supported by the programme in 2012. Furthermore, the University of Queensland Migrant Smuggling Working Group, the World Bank Group & Global Forum on Law, Justice and Development, the USC Gould School of Law & Women’s Law

Association (WLLLA) and the UN online volunteers have all provided technical support to the SHERLOC portal.<sup>50</sup>

Partnerships with civil society have only to a limited degree been supported under GLOT60 by means of mission travel and with respect to the provision of technical support (see above). Although there is potentially scope to strengthen this partnership in specific areas, the main target groups of this global programme comprise States Parties and the COP.

## Effectiveness

GLOT60 has been effective to some degree. The three outcomes given in the latest programme revision have been achieved, and the same applies – to some degree – to the objective. Since the global programme’s beginning, States have continued to ratify and implement the UNTOC (outcome 1), although there is only anecdotal information available with regard to actual changes in legislation and practice (see section on impact).

Although no data are available regarding the extent to which competent authorities cooperate as a result of the programme’s investments and outputs, it is possible that these have most likely contributed to more international cooperation between such authorities in the field of transnational organized crime (outcome 2). The number of countries with designated central authorities increased in the CNA Directory and requests to create accounts to access the directory continue to be received by UNODC. The CNA Directory has 824 registered users and 196 new accounts were created in 2014. The actual usage of the directory is however not known, and a feedback/evaluation function in the online CNA Directory can therefore be recommended.

GLOT60 has contributed to establishing partnerships with States Parties and identifying tools or best practices to address new forms and dimensions of organized crime, such as trafficking in cultural property, cybercrime and environmental crimes (Outcome 3). In the first half of 2014, the guidelines for crime prevention and criminal justice responses to trafficking in cultural property by the Expert Group on Protection against Trafficking in Cultural Property were finalized. Since the fifth session of the COP, activities in the field of cybercrime and trafficking in cultural property have been undertaken by relevant staff, including by establishing and strengthening existing partnerships with other agencies in this particular field.

The outcome with respect to the review of the implementation of the UNTOC and its Protocols was phrased as the ‘effective review of the implementation’ of the Convention, whereas in the 2011 programme revision the emphasis had shifted to the establishment of a review mechanism. In the last revision it had been removed in response to developments during the sixth session of the COP, but this issue has been an integral part of the work until 2012. The pilot project, which was launched in May 2010, actually led to the review of the implementation of the UNTOC and its Protocols of eleven States, i.e. Chile, Colombia, France, Indonesia, Italy, Mexico, Peru, the Philippines, Romania, Serbia and the United States of America. As a result of this initiative,

<sup>50</sup> <http://www.unodc.org/cld/acknowledgements/index.html>

Romania and Mexico have been able to approve legislative changes based on the recommendations of the reviews undertaken under the project.

GLOT60 has certainly contributed to enhancing political commitment to combat transnational organized crime and build and implement related legal and institutional frameworks in accordance with the provisions given in the UNTOC, although the extent of its contribution is not known. The programme has certainly enhanced the commitment of some States Parties, which translated into action as a result of available tools and the guidance provided by UNODC. However, neither indicators have been provided which comprehensively measure this objective, nor the expected proportion of States Parties with enhanced political commitment has been estimated as a result of activities and outputs in a target. It is therefore not possible to measure the extent to which the objective has been met. Whether this objective will be achieved to a larger extent in the future is dependent on decisions taken with respect to the future course of the programme.

## **Impact**

The impact of GLOT60 has not been as profound as was initially envisaged, which can be explained by the limited information gathering activities on the implementation of the UNTOC and the absence of a review mechanism which was originally envisaged to more robustly provide shape and substance to the programme. In addition, the weaknesses identified in the logical framework have also had implications for the availability of data to actually measure impact. The inputs and different results at the output and outcome level have however certainly contributed to the implementation of the UNTOC and its Protocols, to strengthening interagency and international cooperation and to getting certain emerging transnational crimes more on the political agenda.

Furthermore, the impact of the pilot project, which was evaluated in 2012, shows the potential of a mechanism to review the implementation of the UNTOC. The report of the Secretariat concludes the following: 'All the responding States indicated that the pilot programme had helped them to ascertain ways and means to strengthen implementation of the Organized Crime Convention. They considered that it had been particularly helpful at identifying implementation gaps and providing practical advice on the development of efficient policies against transnational organized crime. One State, in particular, indicated that the programme had helped it realize that it had not yet substantially complied with certain criminalization and international cooperation requirements of the Convention. Another State pointed out that the programme had contributed to the review and subsequent amendment of its legislation. Most States also indicated that the overall review exercise contributed to strengthening inter-agency coordination, as well as international cooperation.'<sup>51</sup>

Forward steps taken in legislative processes or actual legislative change in some countries have been achievements of GLOT60. Such processes must be monitored over a long period of time in order to actually be able to note change. For instance in one of the pilot countries, namely Romania, legislative change was enacted in 2012 following the legal advice given during the pilot

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<sup>51</sup> Secretariat COP to the UNTOC, 2014a: 2

review undertaken in 2010 as the ‘serious crime’ definition was modified. Mexico also reported on legislative amendments as a result of the pilot project, and Vietnam reportedly implemented the recommendations of the assessment on the draft penal code immediately following the workshop funded by GLOT60 in October, 2014. The latter example is the ideal scenario for reporting on impact, but this is more the exception than the rule in being able to illustrate that change actually took place as a result of UNODC inputs.

More impact is expected in the longer term as a result of the usage of the tools that have been developed or expanded under the global programme (such as the CNA Directory, the SHERLOC portal, guidelines and the MLA Request Writer Tool), and the ongoing participation of States Parties in the COP and its working groups. Their continued political commitment to undertake legislative and/or institutional changes to strengthen the implementation of the UNTOC, as well as UNODC’s proactive engagement to support such processes, is however a necessary condition for such change to take place. Available resources, sustained relevance and the continued mandate of the COP to work on these issues are key factors expected to positively impact on effecting sustainable change. There is however no monitoring system in place to trace these over time. More collaboration on this could be envisaged by existing regional and/or country offices. Although SHERLOC could potentially fulfil this role as it collects legislation over time, this information is neither complete nor analyzed. Especially in States with a strong central planning tradition, such as in the case of Vietnam, the adaptation of new legislation can be easily tracked and possible dates of completed steps included in such a monitoring system. An assessment on how to use existing sources and mechanisms, and possibly propose new ones, to collect such information could therefore be recommended.

## **Sustainability**

Sustainability can be viewed at different levels, and with respect to different types of results in the context of GLOT60, namely by reviewing the sustainability of a rolling global programme, the sustainability of outcomes and outputs as well as UNODC’s capacity to support the design and implementation of different programme components. Furthermore, as part of the discussion on the future of the programme, attention must also be given to the justification of GLOT60, its broad focus as well as the main target groups in order to narrow down its scope, and support a stronger intervention logic.

The sustainability of a ‘rolling’ broad global programme, such as GLOT60, must be reviewed as its very nature rests on the assumption of the continued availability of resources. However, as the donor and funding landscape has changed, and mainly earmarked funding is available for programming activities, a reflection on the consequences of this situation on the programme’s design is necessary. Furthermore, the role of the programme vis-à-vis the sustainability of the work of the CSS, the absence of a clear vision underlying the programme, and the overlap between GLOT60 and GLOT32, must also be taken into regard when reviewing the different components before re-assembling these into a new design. Furthermore, UNODC is also advised to more clearly define the characteristics and functions of global programmes in general, and the extent to which these must follow project standards, rules and regulations to provide adequate support to sections.

Several suggestions on the future of GLOT60 were offered during interviews held with staff members, including the separation of the different components of the global programme into distinct programmes or projects, such as support to the COP (for extra-budgetary activities such as meetings (e.g. interpretation), the tools (possibly in combination with technical and/or legislative assistance, although views differed on this issue), and newly emerging crimes (although cybercrime has its own global programme now). If a review mechanism for the UNTOC would materialize after 2016, this could possibly be captured in a separate project or programme. Creating different programmes would furthermore enhance transparency, potentially facilitate fund-raising, and make it easier to follow a regular programme or project cycle with a beginning and an end. Although moving beyond the scope of this evaluation, such changes would need to be undertaken in concurrence with an overall vision for the OCB, including the division of labour between the CSS and the ISS, the link between the different areas of GLOT60 and other global programmes, and possibly the coherence of the work from a criminal justice chain perspective. Thus, it is recommended to develop an OCB-level strategy to link the different sections, and by doing so also examine links with other global programmes.

The sustainability of the programme's achievements in the field of legislative change and strengthened capacity to facilitate international cooperation depends on a host of factors, including the commitment of States Parties to implement the UNTOC and its Protocols, their institutional and technical capacity to undertake the necessary legislative and institutional changes and/or implement legislation and policies, as well as UNODC's proactive engagement in this process. The continued existence of partnerships will only be a consequence of ongoing investments in these relationships – by UNODC staff at headquarters, at the regional and/or at the country level as well as through the COP. In fact, a strong field presence and staff working in relevant areas supporting the implementation of the UNTOC is very important in this respect. As the COP and working group meetings, half of the support staff and most technical staff of the CSS, and ongoing work on cybercrime is covered by the regular budget or separate programme funding, most of these connections are not directly dependent on GLOT60.

The extent to which the tools are sustainable is directly linked to their main objectives, the usage of information and communication technology to support their implementation and the availability of capacity to support their regular updating to ensure their continued relevance. The usage of information-gathering tools is – among others – linked to the execution of the reporting obligation of States Parties, their practical applicability (e.g. functioning up-to-date software, type of requested information, available personnel/databases/level of coordination required to use the tools etc.), and the guidance provided by UNODC to support their application. Other tools, such as the 'Model Legislative Provisions against Organized Crime' and the MLA Request Writer Tool must continue to be relevant and used by States Parties. Support offered by UNODC in the field of legislative assistance and the usage of practical mechanisms to support international cooperation to address transnational organized crime is of crucial importance. Further training to provide guidance on the usage of such tools to enhance capacity is therefore necessary to strengthen bilateral and regional cooperation between States Parties.

Databases, such as the CNA Directory and SHERLOC, must be regularly updated to keep their relevance. The extent to which these tools are comprehensive is directly correlated with the information provided by States Parties. Furthermore, such as in the case of the Omnibus, these tools must be based on up-to-date software to facilitate their use. In order to further strengthen these tools, it is necessary to improve related search engines, ensure quality control, especially when external partners will be asked to enter data directly into the system (for instance by

involving a graduate institute to support this type of work as is done with the trafficking database), and increase their visibility with a clear link on UNODC's webpage. Expanding the academic network of service providers could be another recommendation to further strengthen SHERLOC. Furthermore, the introduction of a survey on the SHERLOC portal and as part of the online CNA Directory to assess their usage and identify possibilities for their further development is another suggestion to keep these databases relevant. The request of States Parties to continue with the development of the technical tools in the latest set of resolutions adopted at the seventh COP confirm their continued relevance at this stage.

The continuation of the posts funded by GLOT60 has been addressed by the most recent programme revision of December, 2014. The anticipated new resources would provide for the continuation of the payment of salaries. The termination of posts under GLOT60 may otherwise have had implications for the international cooperation portfolio, with the transfer of their responsibilities to staff funded under the regular budget and/or their duties no longer being performed.

## **Human rights and gender**

GLOT60 was created several years before policies on the mainstreaming of human rights and gender were issued in respectively 2012 and 2013 by the UNODC. In 2011, the UN Secretary-General endorsed the 'Human Rights Due Diligence Policy for UN support to Non-UN Security Forces', in 2012 UNODC issued the Position Paper 'UNODC and the Promotion and Protection of Human Rights', while in 2013 the guidance note 'Gender Mainstreaming in the Work of UNODC' was approved. Furthermore, UNODC developed a project document template in 2014 which provides explicit guidance on addressing human rights and gender issues in programme /project design and implementation. This guidance should be taken into consideration during subsequent programme revisions as human rights and gender issues have not been addressed in the main programme documents in the past.

Nevertheless, despite the absence of human rights and gender issues in the programme's design, human rights and gender issues were addressed in some activities and outputs of GLOT60 as well as mentioned in section-level planning tools. For example, the Work Plan of the CSS for 2014 contains references to facilitate the mainstreaming of gender and human rights into its activities, although respondents confirmed that this has not been done in a comprehensive manner during the programme's implementation. Some anecdotal information was however shared about referencing to particular human rights instruments and obligations during training sessions, and requesting States Parties to also select women to take part in such training activities to support gender equality. Furthermore, one training mission report provided information about the number of female and male participants in conducted workshops. Different outputs developed under the programme contain, inter alia, provisions related to human rights and gender. For instance, the 'Model Legislative Provisions against Organized Crime' contains specific provisions on the protection of witnesses as well as provisions aimed at the protection of prisoners. Furthermore, the 'Model Law against the Smuggling of Migrants' refers to necessary protection and assistance measures for migrants (e.g. right to urgent medical care, protection of migrants against violence, the right to get access to consular officials, etc), protection measures for smuggled migrants in the return process and reiterates on several occasions that States Parties must take the special needs of women and children into regard in their programmes.

On 31 January 2014, UNODC had a total of 315 professional staff: 172 men (55%) and 143 women (45%). No information is available regarding the sex distribution of consultants recruited under GLOT60. When comparing this information with the gender distribution of UNODC professional staff (with over 50 percent of female staff at the P3 level), then no conclusive comments can be drawn because of the limited number of professional staff recruited under the programme. Nevertheless, GLOT60 should increase its efforts to promote gender equality in different programme activities in the future, and it is recommended that human rights and gender issues are mainstreamed in a comprehensive manner in the design and implementation of GLOT60 in accordance with UNODC policy and international norms.

### III. CONCLUSIONS

GLOT60 is intertwined with UNODC's institutional transformation since 2008, which includes inter alia the move from account to programme management, the creation of the CSS as part of the reorganization of the OCB, and the process to strengthen performance management. Additionally, the global programme cannot be separated from the ongoing work of the COP to the UNTOC, mandates provided by the CCPCJ, the ongoing challenges that surfaced during the political process of negotiating the adoption of the review mechanism and the transformed funding landscape, which shows a clear shift towards earmarked funding and more stringent reporting requirements. Some of the working assumptions on which basis GLOT60 was established have therefore changed over time. This not only requires a reflection on the characteristics of global programmes in general; the nature of activities funded under this particular programme and synergies with similar programmes but also whether this format is actually the most efficient and effective way to 'host' the different sets of activities.

The umbrella and 'rolling' nature of GLOT60 provided certain advantages to UNODC, as it offered a framework to host financial funds pledged for different types of activities with respect to the prevention and response to transnational organized crime, and seed money for the development of another global programme in the field of cybercrime. The global programme also co-financed the provision of legislative assistance in a few countries which otherwise could not have been provided. In addition, staff funded under GLOT60 has supported the overall work of the CSS in the field of financial management, servicing the COP (although this cannot be solely attributed to their work), keeping the tools updated and overall providing management support to the programme's activities and reporting. The limitations of such a broad rolling global programme, as well as some of the weaknesses of this particular programme, have also come to the fore during this evaluation, namely its broad focus, poor strategic vision, as well as weak performance management tools and reporting.

The above has resulted in a global programme which has been efficient to some degree only, although this criteria could only be measured partially because of a lack of clarity on attribution, and the absence of narrative reports and detailed financial information on expenditures of the early years of the programme. The programme has to some degree been effective, contributing to enhancing political commitment to combat transnational organized crime and to build, implement and/or strengthen related legal and institutional frameworks in accordance with the provisions given in the UNTOC. GLOT60 has also supported work undertaken in the field of newly emerging crimes, such as cybercrimes and trafficking in cultural property, and has invested in activities and outputs in support of information-gathering and the development of a review mechanism for the implementation of the UNTOC. Anecdotal information available on impact shows the possibilities of the programme to align national legislation with UNTOC norms, to enhance inter-agency cooperation and strengthen international cooperation, and these must be built on by developing and implementing one or more comprehensive programme(s) to capitalize on this potential.

## IV. RECOMMENDATIONS

The following key recommendations are addressed to UNODC/OCB/CSS. A distinction has been made between recommendations with respect to the design of GLOT60 and recommendations in support of the relevance, efficiency, effectiveness, sustainability and the mainstreaming of human rights and gender in the programme design and activities.

One of the key recommendations of the evaluation team is to explore the options for the establishment of a mechanism for the review of the implementation of the Convention and its Protocols, with UNODC/OCB/CSS taking on a more pro-active role in developing programme proposals to support the implementation of the UNTOC in close cooperation with field offices, and to develop a comprehensive strategy to offer support to States Parties to undertake information-gathering activities. UNODC/OCB/CSS is further recommended to undertake regular and systematic information gathering activities to assess and identify gaps in legislation and the implementation of the UNTOC and provide technical assistance, guidance and training to help States Parties implement the UNTOC.

The evaluation team further recommends that UNODC/OCB/CSS improves programme design and management at various levels, including by means of developing a more narrowly focused design of the global programme. The UNODC/OCB/CSS is further recommended to examine how to use existing tools, mechanisms and sources, and possibly propose new ones, to collect relevant data to measure programme results, design and implement a comprehensive monitoring system and to create stronger synergies between the work on promoting the UNTOC and the drug conventions. Important recommendations further include that the Section undertakes programme revisions on the basis of profound changes in resources, justifies activities by linking these to existing legal and political mandates, and revises the log frame by establishing a clear intervention logic of activities of the global programme, and includes SMART indicators and targets at all levels to measure performance.

Further recommendations of the evaluation team are that the UNODC relates evaluation results to the development of guidance and appropriate templates on the nature, design and implementation of global programmes, considers alternatives to their 'rolling nature' and proposes ways to deal with the issue of attribution in programme design, implementation and reporting. UNODC/OCB/CSS is furthermore recommended to develop a resource mobilization strategy, and to share relevant information (funding needs, programme results etc.) on a regular basis with donors to create more transparency and strengthen accountability.

Recommendations can further be given to UNODC/OCB/CSS to strengthen the design and review the different components and target groups of GLOT32 and GLOT60 to find a solution for the current overlap between the two programmes. Furthermore, UNODC/OCB/CSS is recommended to examine the management arrangements of the programme, and to ensure more transparency on programme results by disseminating these on a regular basis to States Parties.

In addition, UNODC/OCB/CSS is recommended to continue updating databases and other tools, change/upgrade software used for existing tools, ensure more visibility for the tools by developing and implementing a communication plan, strengthen partnerships with UNODC regional and field offices in support of the promotion of the tools and the collection of monitoring data. The evaluation team further recommends that the Section makes a clear effort to mainstream human rights and gender into programme design and implementation, and that relevant indicators are included in a future monitoring system.

## V. LESSONS LEARNED

Lessons learned are defined in the TOR as: “Generalizations based on evaluation experiences with projects, programmes, or policies that abstract from the specific circumstances to broader situations. Frequently, lessons highlight strengths or weaknesses in preparation, design, and implementation that affect performance, outcome, and impact”.

### **Design**

The evaluation team found that the following good practices and lessons learned can be given with respect to the design of GLOT60:

The advantage of this rolling global programme has been its broad orientation including different technical components and general target groups. Such a programme can easily absorb new funding and activities, and offer seed money to develop new programmes or projects. The disadvantage of these characteristics, as well as the fact that it was a programme with no end in sight, have been a difficulty in measuring results because of the absence of a clear intervention logic, SMART indicators and targets. A lesson learned is that a programme must be sufficiently focused to support the finalization of a clear intervention logic, select specific target group(s), and develop a log frame with attainable results, SMART indicators and realistic targets. In addition, a programme should have a completion date.

Furthermore, in the absence of a comprehensive monitoring system, it has been difficult to keep track of outcome and impact-level indicators. Undertaking programme revisions only after each COP session has further not captured changes as a result of new/changed funding or a change in circumstances and therefore fails to provide a comprehensive overview of programme developments. A lesson learned is therefore that an absent monitoring system and no regular programme revisions undertaken on the basis of profound changes in resources or circumstances makes monitoring and evaluation more difficult.

Another lesson learned is related to the broad nature of the programme which has caused lack of clarity on focus of the programme and management at various levels. More resources must therefore be invested into the design phase of the programme, including by – as already indicated above – developing a more targeted programme, as well as by providing a realistic budget based on available funding which is directly correlated with planned inputs and results.

Furthermore, the design has not been based on the actual level of involvement of staff funded under GLOT60, but attributes results to the programme which can only be attributed to the work of CSS. This has provided a lack of clarity on the actual performance of the programme, thereby resulting in limited transparency and confusion about its profile. The existence of two main target groups, namely the COP to the UNTOC and individual States Parties, as well as the existence of mandates given by different political bodies, has confounded this situation even further. These

issues must therefore be properly looked into when designing similar programmes in order to enhance transparency about the actual substance of such a vehicle, as well as its main target groups and focus areas in order to ensure a coherent design.

## **Implementation**

The overlap between activities of GLOT32, which is located in the ISS, and GLOT60, which is managed by CSS staff, could potentially lead to limited efficiency, thereby negatively impacting on the work of the Branch. Furthermore, the lack of coherence between cross-branch work in transnational organized crime can potentially undermine the work in this field. A lesson learned is therefore that more attention must be given to synergies to not only avoid the duplication of efforts, thereby creating a situation which could potentially lead contradictory messages to donors, but also to strengthen overall efforts in this thematic area.

Even though ProFi provides for financial information regarding all projects, including GLOT60, with an updated status of pledges per donor, the amounts spent and the balance, CSS has developed its own accounting system to keep track of all expenditures per activity per pledge/budget line to allow for advanced planning. A lesson learned is that such a separate system supports transparency and accountability, but integrated financial systems should in principle offer sufficient detail to support programme management, monitoring and evaluation – especially in the case of such complex programmes as GLOT60. This is now in the implementation stage as ProFi is to be replaced by Umoja as of November 2015.

The global programme's broad orientation has further negatively impacted on results-based management as the hierarchy of objectives has not provided the causal connections between the different levels of expected results. In the absence of a comprehensive monitoring system, it has been difficult to keep track of outcome and impact level indicators, such as with respect to legislative change in the field of transnational organized crime in countries which have received direct assistance under GLOT60. A lesson learned is therefore that a weak log-frame in general, and especially the absence of SMART indicators at the appropriate level accompanied by a monitoring system to get relevant data, makes it difficult to get and showcase results.

Activity reports, such as workshop or mission reports, provide another mechanism to present and analyze data with respect to that particular activity. Different reporting formats have however provided different sets of information which do not all concur with data necessary for monitoring purposes. A lesson learned is therefore to invest more time in the development of proper and coherent reporting formats to ensure better monitoring, and consider these as an integral part of a programme monitoring system.

## ANNEX I. TERMS OF REFERENCE

### I. BACKGROUND AND CONTEXT

Project number:	GLOT60
Project title:	Support to the work of the Conference of the Parties to the UNTOC Convention
Duration:	January 2008-December 2014
Location:	Global
Linkages to Country Programme:	Although other UNODC Country and Regional Programmes may refer and have activities that deal with implementation of UNTOC and other organized crime issues, GLOT60 has not been linked with these programmes on an operational or implementation level. There is, however, a link to GLOT32 “Global Programme for Strengthening the Capacities of Member States to Prevent and Combat Organized and Serious Crimes” and many of our activities are implemented jointly.
Linkages to Regional Programme:	See above comment
Linkages to Thematic Programme:	Thematic Programme “Action against Transnational Organized Crime and Illicit Trafficking, including Drug Trafficking”, Sub programme 1 “International Policy, Knowledge and Trends”  Outcome 2 “Supporting and advising the Conference of the Parties to the Transnational Organized Crime Convention and its Working Groups and undertaking mandated activities to ensure the development of a comprehensive legal regime against transnational

	organized crime”  and  Outcome 5 “Building international understanding, awareness and capacity to address new and emerging forms of crime”
Executing Agency:	UNODC
Partner Organizations:	n/a
Total Approved Budget:	\$3,976,950
Donors:	United States of America, NHN Corporation, Canada, France, Norway, Italy, Egypt, Russian Federation, United Kingdom, Japan
Project Manager/Coordinator:	Ms. Tejal Jesrani, Crime Prevention Expert
Type of evaluation (mid-term or final):	Mid-term In-depth Evaluation
Time period covered by the evaluation:	January 2008 – end of evaluation mission to Vienna ; tentatively October 2014
Geographical coverage of the evaluation:	Global
Core Learning Partners <sup>52</sup> (entities):	UNODC Staff and Managers in the Conference Support Section, Implementation Support Section, Financial Resources Management Service, Co-financing and Partnership Section and Strategic Planning Unit. States parties to the Convention and Protocols, Extended Bureaux to the Conference of the Parties and donors

<sup>52</sup> The Core Learning Partnership (CLP) are the key stakeholders of the subject evaluated (project, programme, policy etc.) who have an interest in the evaluation. The CLP works closely with the Evaluation Manager to guide the evaluation process.

## Project overview and historical context in which the project is implemented

Transnational organized crime poses significant threats to individual countries as well as to the international community. While organized criminal groups continue to operate in “traditional” areas such as racketeering and trafficking in drugs, many of them are now diversified and involved in other criminal activities. Such activities include trafficking in persons, migrant smuggling, wildlife and forest crime, illicit manufacturing of and trafficking in firearms, trafficking in cultural property, identity-related crime, cybercrime and money laundering. This testifies to the capacity of criminal groups to quickly move to exploit any opportunity to make money. In addition, other traditional forms of organized crime, such as kidnapping and piracy, are also undergoing a period of resurgence.

Transnational organized crime, therefore, is manifested in many different and changing ways. If one crime or particular market is displaced, the criminal group will likely seek to exploit a different opportunity. As a result, the most effective way to combat transnational organized crime is to adopt a global and holistic approach that focuses on all of the manifestations of the organized crime phenomenon and not simply on a particular crime. Transnational organized crime requires a coordinated transnational response. As organized criminal networks span the globe, efforts to combat them must likewise cross borders so as to ensure that organized crime networks do not simply divert their activities to countries or regions where weak cooperation means weak criminal justice responses.

The United Nations Convention against Transnational Organized Crime (UNTOC), which was adopted by the General Assembly on 15 November 2000, provides a broad legal framework for States to cooperate to prevent and combat all kinds of organized crime effectively and in a coordinated manner. A key feature of the UNTOC is its emphasis on international cooperation, in particular in the area of cooperation in criminal matters, but the Convention also contains provisions which aim to facilitate and promote international cooperation in other ways. The Conference of the Parties to the Convention was established to improve the capacity of States Parties to combat transnational organized crime and to promote and review the implementation of UNTOC. According to article 32, the Conference is to agree upon mechanisms for achieving these objectives, including: (i) facilitating the provision of training and technical assistance; (ii) facilitating the exchange of information among States Parties on patterns and trends in transnational organized crime, (iii) reviewing periodically the implementation of this Convention, (iv) making recommendations to improve implementation of the Convention.

The Conference of the Parties to the UNTOC has held six sessions to date and will meet for its seventh session in October 2014. Over the last ten years, the Conference has adopted a number of resolutions and decisions, tasking UNODC with a variety of mandates and activities in order to assist it in its functions and to support the implementation of the UNTOC. This includes functions related to the reporting obligations of the States Parties as foreseen by the Convention as well as the provision of legislative and technical assistance and the development and dissemination of tools; UNODC has pursued many of these activities within the availability of voluntary contributions. The Conference of the Parties has also established six working groups dealing with, respectively: possible mechanisms to review implementation of the Convention, technical assistance, international cooperation, human trafficking, migrant smuggling and trafficking in firearms. Such working groups are held on a regular basis and require resource-intensive servicing. In addition, each of the working groups has recommended that UNODC carries out related activities.

The Conference of the Parties must be able to rely on an effective Secretariat, from the organization and servicing of all meetings foreseen, to the analysis of the body of implementing legislation adopted by States and the facilitation of trainings to improve international cooperation. This project was therefore developed to support the Conference by providing a mechanism to carry out extra-budgetary mandates emanating from the resolutions of the Conference.

The objective of the project as designated in the original project document was “Member States take effective action against transnational organized crime guided by the Convention and the Protocols. In order to achieve this, the outcomes of the project, as designated in the original project document, were:

- Ratification of or accession to the UNTOC and its supplementary Protocols promoted and awareness, information and knowledge of its potential and provisions increased, and improved effectiveness and decision making of the Conference of the Parties to UNTOC
- MS take action to include provisions of UNTOC and the Protocols thereto into national legal systems
- Effective review of the implementation of UNTOC and the Protocols thereto.
- Strengthened capacities of competent authorities and institutions to effectively prevent and control organized crime domestically and to cooperate internationally to investigate, prosecute and adjudicate all organized crime
- Strengthening of international coordination and improvement in the consistency of policies, strategies, programmes and projects with the provisions of the UNTOC.

- MS have access to relevant tools, services and easy-to-understand information in order to address emerging crimes, such as trafficking in cultural property, cybercrime and trafficking in organs and environmental crimes, within the framework of the UNTOC.
- UNODC field office network supported in the development of technical assistance projects, programmes and activities geared towards assisting Member States with the full implementation of the UNTOC and the Protocols.

As of the most recent project revision (2013), the objective of the project has been slightly reformulated

“To enhance political commitment to combat transnational organized crime and build related legal and institutional frameworks”. In order to reach this objective, the outcomes of the project are:

Outcome 1: Member States ratify and implement the provisions of UNTOC and the Protocols into national legal systems

Outcome 2: Competent authorities cooperate internationally to investigate, prosecute and adjudicate organized crime related offences, as well as to effectively trace, seize, confiscate and dispose of the proceeds and instrumentalities of crime in line with the UNTOC.

Outcome 3: Member States establish partnerships and identify tools or best practices to address new forms and dimensions of organized crime, such as trafficking in cultural property, cybercrime and environmental crimes, within the framework of the UNTOC

## Justification of the project and main experiences / challenges during implementation

The provisions of the Convention, as well as resolutions and decisions by the Conference, the General Assembly and the Economic and Social Council, provide a clear mandate for UNODC to support Member States in the ratification and implementation of the provisions of the Convention and its Protocols. Further, they request Member States and the Secretary General to provide UNODC with the resources necessary to enable it to promote in an effective manner the implementation of the Convention. UNODC possesses significant comparative advantages for addressing technical assistance needs related to the implementation of the Convention and supplementary Protocols. UNODC has accumulated a wealth of experience in the development of

technical assistance initiatives supporting countries in the prevention and control of organized crime.

With the entry into force of the UNTOC and the rapidly growing number of ratifications, in particular by developing countries and countries with economies in transition, UNODC is the natural point of reference for countries requiring technical expertise, policy guidance as well as long-term support in designing and establishing laws, institutions, policies and procedures to effectively comply with the Convention. UNODC possesses the necessary technical multi-disciplinary competence required to design programmes, projects and as well as practical tools and instruments to respond to these needs. As the guardian of the Convention, UNODC is well placed among the providers of technical assistance, as it combines expertise on the requirements of the Convention with long-standing experience in the provision of technical assistance in the area of crime prevention and criminal justice.

With regard to the main experiences and challenges during implementation of the project, the following is noteworthy. One of the original goals of the project was to support the Conference of the Parties in fulfilling extra budgetary mandates given to the Secretariat. Some of these mandates were related to supporting the Conference in its deliberations to establish a review mechanism on the Convention and the Protocols. During implementation of the project (in 2012), the Conference could not agree on the terms of reference for such a review mechanism, and the process was stalled until the current time. Therefore, the project managers subsequently switched the focus of the project, reduced the budget by approximately half and significantly scaled down the activities under the project, which was reflected in a project revision of late 2012. Instead of providing a vehicle for extra budgetary funding to undertake reviews of the implementation of UNTOC and the Protocols, the project and budget were revised to concentrate more on providing legislative assistance and technical assistance to implement the Convention, including in international cooperation.

## Project documents and revisions of the original project document

During the project duration, there have been a total of two project revisions. Due to the nature of this work, the project document requires revision after each session of the Conference, and also possibly after each session of the Commission on Crime Prevention and Criminal Justice. The project builds around key themes addressed by the Conference, such as implementation of the UNTOC Convention and the Protocols thereto, international cooperation in criminal matters and new forms and dimensions of organized crime. It seeks to reinforce the efforts of the Conference and its mandated bodies to carry out their functions and fulfil their mandates in an effective manner.

Date of project revision	Reason
01/03/2013	Changes in outcomes and activities, changes in

	the staffing table, decrease in budget
14/07/2011	Changes in outcomes and activities, changes in the staffing table, increase in budget

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

This project has linkages to the Thematic Programme “Action against Transnational Organized Crime and Illicit Trafficking, including Drug Trafficking”, Sub programme 1 “International Policy, Knowledge and Trends,” specifically Outcome 2 “Supporting and advising the Conference of the Parties to the Transnational Organized Crime Convention and its Working Groups and undertaking mandated activities to ensure the development of a comprehensive legal regime against transnational organized crime” and Outcome 5 “Building international understanding, awareness and capacity to address new and emerging forms of crime.” Although other UNODC Country and Regional Programmes may refer and have activities that deal with implementation of UNTOC and other organized crime issues, GLOT60 has not been linked with these programmes on an operational or implementation level. There is, however, a link to GLOT32 “Global Programme for Strengthening the Capacities of Member States to Prevent and Combat Organized and Serious Crimes” and many of our activities are implemented jointly.

## II. DISBURSEMENT HISTORY

	<i>Total Approved Budget (2008-2014)</i>	<i>Expenditure (2008-2014)</i>	<i>Expenditure in % (2008-2014)</i>
	\$3,951,466	\$3,417,413	\$3,951,466/ \$3,417,413*100%= <b>85.93%</b>

\* 2014 expenditure is not a final expenditure yet and is not treated as an official expenditure by Finance. Should you still want to use expenditure that is currently showing up in ProFi for 2014 please see the figures.

## III. PURPOSE OF THE EVALUATION

## Reasons behind the evaluation taking place

Every project and programme in UNODC must be evaluated. Projects and programmes lasting four years or more must undergo a mid-term evaluation as well as a final evaluation before completion of the project or programme.

A mid-term evaluation is an evaluation performed half-way through the implementation of a project or programme with the aim to assess whether the performance indicators and targets have been reached and whether sufficient progress has been made for the objectives to be achieved on time and within the available resources, and it recommends corrective measures if needed. It can also be conducted as part of a larger evaluation initiative.

As GLOT60 is a rolling project and has been on-going since 2008 without an evaluation, it was decided in consultation with the Independent Evaluation Unit at the time of the last project revision in 2013, to plan for a mid-term evaluation in 2014

## Assumed accomplishment of the evaluation

Evaluation drives organizational learning. Evaluation allows learning about the factors that led to either success or failure of a particular project, the results achieved and the wider applicability of those lessons. With a view to informing ongoing implementation, as well as future policy-making and new projects and programmes, evaluation aims at deriving lessons.

Evaluation serves as an input to provide decision-makers with knowledge and evidence about performance and good practices [6]. Based on credible, evidence-based information, evaluation can be a powerful tool that can make programmes and projects, and therefore the Organization, more effective and efficient. The vision is that evaluation enables UNODC to meet its mandate and helps attracting funding.

Evaluation supports managerial decisions, present and future planning and strategies and policies by providing targeted recommendations to Project Managers, and UNODC management at all levels, at Headquarters and in the field, as well as to Member States and donors. The CLP and other evaluation stakeholders should participate actively in the entire evaluation process to ensure recommendations are practical, relevant and realistic.

The mid-term In-Depth Evaluation will be carried out by one independent international evaluator and one expert, in close coordination with the Independent Evaluation Unit (IEU) and with the project management team of the Conference Support Section of the Organized Crime Branch, UNODC.

The primary rationale behind the evaluation is that an evaluation at this stage will enhance the work carried out by the project and also inform future changes (amendments & revisions). The purpose of the evaluation is formative in nature as it seeks to determine the extent to which planned objective and outcomes have been achieved by the project and what needs to be done to enhance delivery in the future.

With this purpose in mind, the evaluation will:

- Assess the efficiency of project implementation, including mobilisation and management of resources.
- Assess the effectiveness of the project in delivering on its objectives – in terms of outputs delivered by itself and the contributions of the project to larger outcomes
- Assess if there were any unanticipated results (positive or negative) arising from the implementation of the project and if yes, then what caused these results.
- Assess the overall impact of the project on this thematic area and the sustainability of the benefits arising from the project
- Assess the relevance of the current project design to the present-day situation and, if appropriate, identify areas that require changes.
- Assess possible cost effectiveness
- Assess the extent to which synergies and linkages were developed with thematic, country, regional and global programmes and projects.

## The main evaluation users

The users of evaluation are those stakeholders who will be consulted in the course of the evaluation exercise and who have a stake in the evaluation recommendations and/or responsibilities in implementing them. The intended main users of the evaluation are UNODC Staff and Managers in the Conference Support Section, Implementation Support Section, Financial Resources Management Service, Co-financing and Partnership Section and Strategic Planning Unit. States parties to the Convention and Protocols, Extended Bureaux to the Conference of the Parties and donors

## IV. SCOPE OF THE EVALUATION

The unit of analysis of the mid-term evaluation is project GLOT60, which is administered by the Conference Support Section of the Organized Crime Branch of UNODC, in relation to the services as provided to the Conference of the Parties (COP) to the UNTOC Convention and its Protocols carried at UNODC Headquarters in Vienna, Austria, as well as sustained legal and technical assistance provided to States Parties.

The scope of the evaluation further includes the established Working Groups of the COP (six working groups dealing with, respectively: possible mechanisms to review implementation of the Convention, technical assistance, international cooperation, human trafficking, migrant smuggling and trafficking in firearms) and related Meetings of Experts. In this regard, background documentation for the meetings, organization and functioning of the meetings and

meeting reports are instructive. In addition, tools and resources mandated by the Conference and developed under GLOT60 are relevant. These include manuals, model laws, legal tools, issue papers and the SHERLOC Knowledge Management Portal.

Since 2012, there is a switched focus of the project, due to a stalled process of the establishment of a review mechanism on the Convention and the Protocols, to concentrate more on providing legislative assistance and technical assistance to implement the Convention, including in international cooperation. In this regard, mission reports and other documents relating to the assistance provided are instructive.

### The time period to be covered by the evaluation

The time period of the mid-evaluation will cover the period since the establishment of GLOT60 in 2008 until the end of the evaluation mission, tentatively October 2014

### The geographical coverage of the evaluation

One independent international evaluator (lead evaluator) and one consultant/expert will carry out the mid-term evaluation of the implementation of work under the global project GLOT60 in relation to the services as provided to the Conference of the Parties to the UNTOC Convention and its Protocols carried at UNODC Headquarters in Vienna, Austria, as well as sustained legal and technical assistance provided to all States parties, including sustained technical and legislative assistance on implementation of the Organized Crime Convention in Tanzania and Viet Nam. A mission to UNODC HQ in Vienna is planned but a field mission is not included as it is deemed that such would not elicit useful information that cannot be gained more efficiently through using other methods, including teleconference/ phone interview, as well as questionnaires.

## V. EVALUATION CRITERIA AND KEY EVALUATION QUESTIONS

The evaluation will be conducted based on the following DAC criteria: relevance, efficiency, effectiveness, impact, sustainability, as well as partnerships and cooperation, gender and human rights and lesson learned, and, will respond to the following below questions), however, provided as indicative only, and required to be further refined by the Evaluation Team.

<i>Relevance</i>
1. To what degree do the project's objectives remain valid?

2. To what extent are the activities and outputs consistent with its key goals and attainment of objectives?
3. How relevant are the project activities to the recipients?
4. To what extent has the programme been aligned with the mandate, overarching strategies and policies of UNODC?
<i>Efficiency</i>
1. How cost efficient were project activities?
2. To what extent were objectives achieved on time?
3. How efficient was the project implementation compared to alternatives?
4. To what extent have the resources/inputs (funds, expertise, staff time, etc) been converted to outputs in a timely and cost-effective manner?
<i>Effectiveness</i>
1. To what degree were the project's objectives achieved, or are anticipated to be achieved?
2. What chief factors were responsible for the achievement or failure of the objectives?
3. To what extent are the project's activities and outputs consistent with its intended impacts and effects?
4. To what extent has a monitoring system been set up for relevant and reliable monitoring of results throughout the programme?
<i>Impact</i>
1. What impact occurred as a direct result of the project?
2. What real difference was made to the beneficiaries as a result of this project?
3. To what extent has the project contributed, or is likely to contribute, to long-term impact and/or intermediate results (directly or indirectly, intended or unintended) for its recipients?
<i>Sustainability</i>
1. To what degree did the project's benefits persist following the end of the activity?
2. What chief factors were responsible for the achievement or failure of the project's overall sustainability?
<i>Partnerships and cooperation</i>
1. How did the implementing section work with other sections at HQ and relevant field offices to undertake relevant activities under this project?
3. How well did the implementing section provide services to the Extended Bureau of the Conference of the Parties to UNTOC and its Protocols?
4. How well did the implementing section organize and run the Conference of the Parties to the UNTOC and its Protocols?
5. To what extent were partnerships sought for with relevant internal and external stakeholders (e.g. internal UNODC; external institutions; CSOs; private sector; etc.)?
<i>Human rights and gender</i>

1. To what extent were human rights considerations present in the design and implementation of the project?
2. To what extent were gender considerations present in the design and implementation of the project?
<i>Lessons learned/Best practice</i>
1. Were lessons learned/best practice taken into consideration in the design of project revisions?
2. Were any other formal mechanisms put in place to cycle lessons learned/ best practice into implementation of the project?
3. What best practices emerged from the project implementation?
4. What lessons can be learned from the project implementation in order to improve performance, results and effectiveness in the future?

## VI. EVALUATION METHODOLOGY

### The methods used to collect and analyse data

This evaluation will use methodologies and techniques as determined by the specific needs for information, the questions set out in the TORs and the availability of resources and the priorities of stakeholders. In all cases, consultants are expected to analyse all relevant information sources, such as reports, programme documents, internal review reports, programme files, and any other documents that may provide further evidence for triangulation on which their conclusions will be based. Consultants are also expected to use interviews, surveys or any other relevant quantitative and/or qualitative tools as a means to collect relevant data for the final evaluation. While maintaining independence, the evaluation will be carried out based on a participatory approach, which seeks the views and assessments of all parties, UNODC Staff and Managers in the Conference Support Section, Implementation Support Section, Financial Resources Management Service, Co-financing and Partnership Section and Strategic Planning Unit. States parties to the Convention and Protocols, Extended Bureaux to the Conference of the Parties and donors.

The evaluation uses a participatory approach through the active participation of the evaluation stakeholders, in particular the Core Learning Partners (CLP), in the evaluation process. These should share responsibilities for the evaluation planning, implementation and reporting, this means involving stakeholders in reviewing the TOR and the evaluation questions, collecting the data and reviewing the draft evaluation report.

The present ToR provides basic information as regards to the methodology, however this should not be regarded as exhaustive. It is rather meant to guide the evaluators in elaborating an effective,

efficient, and appropriate evaluation methodology that should be proposed, explained and justified in an Inception Report (please see guidelines in Annex 5).

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

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

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

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

The main elements of method will include:

- Preliminary desk review of all relevant project documentation, (Annex II), as provided by the Project Manager;
- Preparation and submission of an Inception report (containing preliminary findings of the desk review, refined evaluation questions, data collection instruments, sampling strategy, limitations to the evaluation, and timetable) to IEU and the Project Manager for review and clearance by IEU before any field mission may take place;
- An initial set of meetings and interviews with IEU, the Project Manager and other UNODC staff as well as stakeholders at UNODC Headquarters in Vienna;
- Interviews (face-to-face or by telephone), with key project stakeholders and beneficiaries, both individually and (as appropriate) in small groups, as well as using surveys, questionnaires or any other relevant quantitative and/or qualitative tools as a means to collect relevant data for the final evaluation; a mission to UNODC HQ Vienna is included but no field mission is planned as it is deemed that such would not elicit useful information that cannot be gained more efficiently through using other methods, including teleconference/ phone interview, as well as questionnaires.
- Analysis of all available information;
- Preparation of the draft evaluation report (based on Guidelines for Evaluation Report and Template Report to be found on the IEU website <http://www.unodc.org/unodc/en/evaluation/index.html>). The evaluators submit the draft report to IEU and the Project Manager for review of factual errors or omissions and the

evaluators incorporate the necessary changes and for IEU clearance. It further includes a draft Evaluation Brief as well as a draft PowerPoint presentation;

- Preparation of the final evaluation report. The evaluators incorporate all the necessary and requested changes and finalizes the evaluation report; following feedback from IEU, the Project Manager and stakeholders for IEU clearance. It further includes a final Evaluation Brief and a final PowerPoint presentation on final evaluation findings and recommendations;
- Presentation of final evaluation report with its findings and recommendations to the target audience, stakeholders etc. at a meeting at UNODC Headquarters.
- In conducting the evaluation, the UNODC and the UNEG Evaluation Norms and Standards are to be taken into account. All tools, norms and templates to be mandatorily used in the evaluation process can be found on the IEU website: <http://www.unodc.org/unodc/en/evaluation/index.html>)

## The sources of data

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

### Desk Review

The evaluators will perform a desk review of existing documentation (please see the preliminary list of documents to be consulted in Annex 2).

Secondary sources for the desk review will include, among others:

The project document and revisions

Baselines (where these exist)

Reports developed under the Project and other supplementary documents

Official communications with Member States and key stakeholders

Strategic Documentation

### Primary Research Methods

Primary sources of data include, among others:

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

Quantitative methods: survey questionnaires.

Phone interviews / face to face consultations

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

UNODC staff at HQ (Vienna, Austria)

Partner government officials who are benefitting from UNODC's work

Permanent missions (Vienna) and headquarters (capitals) of donor countries of the Project.

Other Relevant Permanent Missions in Vienna;

Relevant international organizations in close working relations

Representatives of development partner/donor agencies

Other UN agencies, civil society stakeholders, etc.

#### On-line questionnaire

If feasible, an on-line questionnaire will be developed and used in order to help collect the views of some stakeholders (e.g. from within UNODC, donor agencies and government partner agencies) who it might not be possible to directly interview/consult through face-to-face meetings.

The on-line questionnaire will be clear and concise, and appropriately targeted. It will be administered by the evaluator and expert. GLOT60 staff in Vienna HQ will directly assist the evaluators by providing a list of email contact details. It is expected that a readily available online software package (e.g. Survey Monkey) be used to develop and administer the survey. GLOT60 staff in Vienna HQ will assist the evaluators to install and use this software.

## VII. TIMEFRAME AND DELIVERABLES

### Time frame for the evaluation

The evaluation will commence in September 2014 and be completed by the beginning of 2015.

### Time frame for the field mission

Mission to UNODC HQ in Vienna planned for 6-15 October 2014. No field mission is included under this evaluation as it is deemed that such would not elicit useful information that cannot be gained more efficiently through using other methods, such as a teleconference/ phone interview, as well as questionnaires.

### Expected deliverables and time frame

The evaluators will be responsible for the following deliverables, as specified below:

- Inception Report (containing preliminary findings of the desk review, refined evaluation questions, data collection instruments, sampling strategy, limitations to the evaluation, and timetable, as well as a questionnaire), to be drafted and submitted to IEU and the Project Manager for review and comments by 23 September 2014. Further, incorporating all comments by the IEU and the Project Manager. IEU clears the Inception Report before the mission to UNODC HQ in Vienna can take place;
- Presentation of preliminary evaluation findings and recommendations during the mission to UNODC HQ in Vienna in October 2014;
- Draft Evaluation Report to be drafted and submitted to IEU for review and comments by 5 November 2014. Further, incorporating all comments and submit for clearance by IEU. Once the draft evaluation report is cleared by IEU and reviewed by the project managers and comment have been incorporated, it will be sent by IEU to stakeholders for their review and comments;
- Final Evaluation Report, incorporating all comments by the stakeholders, to be submitted to IEU for comments and clearance by 15 December 2014; together with a final Evaluation Brief and a final PowerPoint presentation on final evaluation findings and recommendations;
- Presentation of the final evaluation findings and recommendations to the target audience, stakeholders etc. at UNODC Headquarters in Vienna, (TBD).

<i><b>Duties</b></i>	<i><b>Tentative time frame</b></i>	<i><b>Location</b></i>	<i><b>Deliverables</b></i>
Desk review and inception report	12-23 Sep	Home base	Inception report Evaluation tools List of adapted questions Questionnaire/survey
Review and comments on inception report by IEU and project manager., incorporation of requested changes by evaluators. Further review by IEU, possible further amendment by evaluators, and clearance of inception report by IEU.	24 Sep-6 Oct	Home base	Inception report 1.1.
Mission to UNODC HQ with interviews	6-15 Oct During and 3 days after COP	UNODC/HQ	Interviews Debriefing Preliminary findings

Draft evaluation report	15- Oct- 5 Nov	Home base	Draft Evaluation Report
Review and comment on the draft evaluation report (IEU)	6-12 Nov		
Incorporate comments by IEU (evaluator(s))	13-17 Nov	Home base	Evaluation Report Draft 1.1
Further review by IEU and possible further amendments to be made by evaluators/ clearance of draft evaluation report by IEU	18-25 Nov		Evaluation Report Draft 1.2
Review by project managers	26 Nov – 1 Dec		
Incorporation of comments by project managers	2-4 Dec		
Review by stakeholders	5-11 Dec		
Incorporate stakeholders' comments as well as finalize Evaluation Brief and Power Point presentation	12-15 Dec	Home base	Final Evaluation Report Evaluation Brief PowerPoint Presentation
Clearance of final evaluation report (IEU)	16-17 Dec		
Management Response (Project Manager)	12-14 January 2015		Management Response
Finalization of report (IEU)	15 January 2015		
Presentation of the final report by lead evaluator	1 day in January 2015 TBD	UNODC/HQ	Presentations of final evaluation findings and recommendations and other dissemination materials
Publish evaluation report on website (IEU)			
Dissemination of evaluation report (Project Manager)			Dissemination of evaluation report
Follow-up plan on evaluation recommendations (Project Manager)			Follow-up plan on evaluation recommendations

## VIII. EVALUATION TEAM COMPOSITION

### Number of evaluators needed

This evaluation envisages two independent external evaluators, with one acting as the lead evaluator and one as independent consultant (expert) who will perform their duties under the management of one IEU staff assigned to this specific evaluation.

The evaluators are contracted by UNODC. The qualifications and responsibilities for the evaluators are specified in the job description attached to these Terms of Reference (Annex I).

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

### The role of the lead evaluator

- Lead and coordinate the evaluation process and the oversee the tasks of the expert;
- Undertake the desk review of all relevant project documentation, (Annex II), and on this basis oversee the finalization of the evaluation methodology, in compliance with the UNODC and UNEG evaluation norms and standards;
- Produce an Inception Report based on the UNODC Evaluation guidelines, as well as a Questionnaire;
- Implement quantitative tools and analyse data; triangulate data and test rival explanations;
- Undertake mission to UNODC HQ in Vienna and provide appropriate briefings;
- Provide timely coordinated inputs throughout the process to help to ensure that all aspects of the Terms of Reference are fulfilled;
- Draft the evaluation report, to be circulated for comments and factual validation to IEU and the Project Manager. Once the draft evaluation has been cleared by IEU, it is further sent to stakeholders for their review and comments;
- Incorporate comments received from the Project Manager, IEU and evaluation stakeholders, in particular comments as regards factual verification;
- Finalize the final evaluation report on the basis of comments received, as well as the Evaluation Briefs and PowerPoint presentation on final evaluation findings and recommendations;
- Present the final evaluation report and its evaluation findings and recommendations.

All tools, norms and templates to be mandatorily used in the evaluation process can be found on the IEU website: <http://www.unodc.org/unodc/en/evaluation/index.html>

More details will be provided in the job description in Annex I.

## The role of the evaluation consultant (expert)

Assist the Lead Evaluator in all stages of the evaluation process, as per the respective TOR; participate in the drafting of the inception report based on the UNODC Evaluation guidelines, as well as a Questionnaire; participate in mission to UNODC HQ in Vienna; provide methodological evaluation quality assurance throughout the evaluation process; participate in the drafting of the draft and final evaluation report, Evaluation Brief and PowerPoint presentation; assist with incorporating comments received from IEU, the Project Manager and evaluation stakeholders; apply methodological tools; support the IEU staff member and provide timely coordinated inputs throughout the process to help to ensure that all aspects of the Terms of Reference are fulfilled.

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

## Conflict of interest

The evaluators shall not act as a representative of any party and must remain independent and impartial. The evaluators must not have been involved in the design and/or implementation, supervision and coordination of and/or have benefited from the project under evaluation.

## Reference to job description detailing qualifications and responsibilities

The independent international evaluator (lead evaluator) should have the following technical qualifications:

- Advanced university degree in international development, law, public administration, public health, social science, or in a related field, and preferably formal training/education on evaluation methodologies and principles;
- A minimum of 5 years of professional technical experience in the field of evaluation, including a track record of conducting various types of evaluation, preferably with experience in conducting one of several contributions to the accomplishment of evaluations for the United Nations, involving high complexity and impact;
- A minimum of 5 years of progressive expertise in the subject of evaluation such as law enforcement, criminal justice, countering illicit trafficking and organized crime, drug trafficking, anti-corruption, justice and health areas or other related areas preferred;
- Extensive knowledge of, and experience in applying, qualitative and quantitative evaluation methods and experience in gender sensitive evaluation methodologies and analysis, and understanding of human rights and ethical issues related to evaluation;
- Expertise and knowledge of the UN System, and preferably of UNODC;
- Excellent communication and evaluation report drafting skills in English;
- Fluency in oral and written English is required; the ability to communicate in another UN language is a strong asset.

The independent international evaluator (expert) should have the following technical qualifications:

- Advanced university degree in international development, law, public administration, public health, social science, or other level university degree in a related field (preferred, but other relevant educational background may be accepted in lieu of);
- A minimum of 3 years of professional technical experience in the field of evaluation and evaluation methodologies and techniques, including a track record of involvement in various types of evaluation, preferably with experience to the accomplishment of evaluations for the United Nations, involving high complexity and impact (preferred, but other relevant expertise may be accepted in lieu of);
- A minimum of 3 years of progressive expertise in the subject of the evaluation such as law enforcement, criminal justice, countering illicit trafficking and organized crime, drug trafficking, anti-corruption, justice and health areas or other related areas preferred;
- Understanding of human rights and ethical issues related to evaluation;
- Expertise and knowledge of the UN System, and preferably of UNODC;
- Excellent communication and drafting skills in English;
- Fluency in oral and written English is required; the ability to communicate in another UN language is a strong asset.

## The role of IEU staff

IEU staff will have the overall responsibility for the quality and timely delivery of all activities and reports, and for liaising with the UNODC units and member states.

More specifically, IEU staff will be responsible for the following tasks:

- Discuss the work plan with the evaluator and expert and guide the evaluation process to ensure that all aspects of the Terms of Reference are fulfilled;
- Provide support to the presentation of the preliminary findings at UNODC Headquarters;
- Ensure that the evaluation will be conducted in a timely, high quality manner, in line with the related UN Guidelines, Norms and Standards as specified under the item 6 (Evaluation Methodology)

In particular, the IEU staff together with the IEU team will guide the process of this evaluation, endorse and clear the TOR, approve the selection of the proposed evaluator and liaise closely with the evaluators throughout the entire evaluation process. IEU may provide substantive comments to be incorporated by the evaluators and approves the evaluation methodology (Inception Report) and provides methodological support throughout the evaluation; IEU may provide substantive comments to be incorporated by the evaluators and clears the Inception Report, draft report, the final report, the Evaluation Brief and PowerPoint presentation. IEU further supports the process of issuing a management response, and posts the final evaluation report on the evaluation website.

## IX. MANAGEMENT OF EVALUATION PROCESS

### Roles and responsibilities of the Project Manager

The UNODC Project Manager is responsible for:

- drafting and finalizing the ToR;
- selecting Core Learning Partners and informing them of their role;
- supporting IEU to liaise with the Core Learning Partners for the review of the draft TOR;
- the provision of desk review materials;
- the coordination of the compilation of the relevant background documents;
- recruiting the evaluator and expert (in line with consultation with IEU);
- reviewing the evaluation methodology in the inception report and providing comments (if any);
- the coordination of the schedule of interviews and briefings to take place with UNODC staff, donors, stakeholders, beneficiaries etc. at HQ and in the field;
- travel arrangements and logistics;
- supporting IEU to liaise with the Core Learning Partners for the review of the draft evaluation report;
- reviewing the draft preliminary and final reports, providing comments on factual errors (if any);
- the coordination of a Management Response to the final evaluation report; and
- disseminating the final evaluation report to the relevant stakeholders;
- developing a follow-up plan for the evaluation recommendations in a corporate manner.

## Roles and responsibilities of the evaluation stakeholders

Members of the Core Learning Partnership (CLP) are selected by the project managers. Members of the CLP are selected from the key stakeholder groups, including UNODC Staff and Managers in the Conference Support Section, Implementation Support Section, Financial Resources Management Service, Co-financing and Partnership Section and Strategic Planning Unit. States parties to the Convention and Protocols, Extended Bureaux to the Conference of the Parties and donors.

The CLPs will work closely with the Project Manager, the evaluator and IEU to guide the evaluation process and it may be tasked with facilitating the dissemination and application of the results, and other follow-up action. Specifically they will also have the following functions:

- provide input to the evaluation Terms of Reference;
- review the draft evaluation report and provide comments;
- facilitate the participation of those involved in the evaluation design;
- facilitate the evaluator's access to all information and documentation relevant to the intervention, as well as to key actors and informants who should participate in interviews, focus groups or other information gathering methods;
- disseminate the results of the evaluation.

Core learning partners are different from key informants that are individuals selected on the basis of criteria such as knowledge, compatibility, age, experience, which provide information about specific aspects of evaluation.

## Roles and responsibilities of the Independent Evaluation Unit

The Independent Evaluation Unit (IEU) provides norms, tools and templates for the different stages of the evaluation process. IEU also advises on evaluation matters and is involved in the process described in the Roles and Responsibilities table for In-depth Evaluations (to be found on the IEU website, <http://www.unodc.org/unodc/en/evaluation/index.html>). IEU clears the final Terms of Reference, the inception report, the draft evaluation report and the final evaluation report. IEU supports the process of issuing a management response, and posts the final evaluation report on the evaluation website.

## Logistical support responsibilities

The UNODC Project Manager will be in charge of providing logistical support to the evaluation, including arranging with interview schedules, tickets, payment of DSA and terminals etc in relation to the mission to UNDOC HQ in Vienna of the evaluation team.

## X. PAYMENT MODALITIES

The Evaluators will be issued consultancy contracts and paid in accordance with UNODC rules and regulations. The contract is a legally binding document in which the consultant agrees to complete the deliverables by the set deadlines. It is the responsibility of the requesting office to carefully consider and determine the estimated time period that the evaluator would need, to be able to produce quality work and fully complete all the expected deliverables on time. It is particularly essential that sufficient time is planned for the drafting and finalizing of the report, including the process of consultation and incorporation of comments and changes. Payment is correlated to deliverables and four instalments are typically foreseen (25%, 25%, 40% and 10% of total fees):

- The first payment (25 per cent of the consultancy fee) upon receipt and clearance by IEU of the Inception Report, including Questionnaire;
- The second payment (25 per cent of the consultancy fee) upon receipt and clearance by IEU of the Draft Evaluation Report, including Draft Evaluation Brief and Draft PowerPoint Presentation;
- The third payment (40 percent of the consultancy fee) only after completion of all respective tasks apart from the final presentation, receipt of the Final Report and clearance by IEU, including Final Evaluation Brief and Final PowerPoint Presentation of final evaluation findings and recommendations;
- The fourth payment (10 percent of the consultancy fee) after presentation of final evaluation findings and recommendations.

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

## ANNEX II. EVALUATION TOOLS: QUESTIONNAIRES AND INTERVIEW GUIDES

### A. QUESTIONNAIRE & LETTER TO PARTIES

VIENNA, 25 SEPTEMBER, 2014

Excellency,

As part of the Mid-term In-depth Evaluation of the Support to the work of the Conference of the Parties to the United Nations Convention against Transnational Organized Crime (GLOT60), you are hereby kindly invited to participate in a survey to obtain the views of State Parties regarding the services provided by the Secretariat since the start of this project in 2008, until the seventh session of the Conference of the Parties, which will be held from 6 to 10 October, 2014 in Vienna.

The survey focuses on the support of the Secretariat since the beginning of the project in 2008, as well as expectations on the upcoming seventh session of the Conference of the Parties. In addition, the survey also addresses the working groups and the tools developed under the project, and offers the opportunity to share lessons learned.

You can access the survey through the following link:

The deadline for completing the questionnaire is Monday 20 October, 2014.

Please note that it is important to only fill in one consolidated questionnaire per State Party.

Please further note that the information given in the questionnaires will be treated in a confidential manner and will only be used in an aggregated manner in the final evaluation report to guarantee the confidentiality of States Parties

The evaluation is led and managed by the Independent Evaluation Unit, UNODC, and carried out by two external international independent evaluators. The evaluation is scheduled to take place between September 2014 and January 2015.

We thank you for your active participation in this evaluation.  
Please accept the assurance of our highest consideration.  
Independent Evaluation Unit  
UNODC

### Questionnaire

**on assistance and tools provided by UNODC to States Parties of the UN Convention against Transnational Organized Crime and the Protocols thereto, including the quality of support provided by the Secretariat to the Conference of the Parties from 2008 till date.**

#### **1. Efficiency of the project GLOT 60**

How efficient has the project been in implementing the project activities, such as technical assistance, legal assistance activities, training etc.?

1. Highly efficient;
2. Efficient;
3. Efficient to some extent
4. Not efficient
5. Don't know

Please explain your answer:

#### **2. Quality of legislative and technical support provided by UNODC**

If relevant, please provide an assessment of your overall satisfaction with the support provided by the UNODC in providing legislative and technical assistance to accede/ratify and/or harmonize domestic legislation with the provisions of the UNTOC Convention:

1. Excellent
2. Very good
3. Satisfactory
4. Needs improvement
5. Unsatisfactory
6. Don't know

Please explain your answer:

#### **3. Relevance of legislative and technical support provided by UNODC**

To what extent has the support provided by the UNODC in relation to the project activities, such as technical assistance, legal assistance activities, training etc been relevant for your country?

1. Highly relevant;
2. Relevant;
3. Not relevant
4. Don't know

Please explain your answer:

#### **4. Quality of support provided by the Secretariat to the Working Groups**

Please rate the quality of the support provided by the Secretariat to the Working Groups, including provisional agendas, reports, and other relevant documentation:

1. Excellent
2. Very good
3. Satisfactory
4. Needs improvement

- 5. Unsatisfactory
- 6. Don't know

Please explain your answer:

**5. Quality of support provided by the Secretariat to previous sessions of the CoP**

Please provide an assessment of your overall satisfaction with the services provided by the Secretariat to the previous sessions of the CoP, with a particular emphasis on the 4<sup>th</sup>, 5<sup>th</sup> and 6<sup>th</sup> sessions:

- 1. Excellent;
- 2. Very good;
- 3. Satisfactory;
- 4. Needed improvement
- 5. Unsatisfactory
- 6. Don't know

Please explain your answer:

**6. Quality of preparatory support provided by the Secretariat to the 7<sup>th</sup> session of the CoP**

Please provide an assessment of your overall satisfaction with the preparatory support provided by the Secretariat to the 7<sup>th</sup> session of the Conference, including the quality and timeliness of the documentation provided:

- 1. Excellent
- 2. Very good
- 3. Satisfactory
- 4. Needs improvement
- 5. Unsatisfactory
- 6. Don't know

Please explain your answer:

**7. The Working Groups**

Please provide information about your attendance of the six working groups, and rate the usefulness of these working groups:

	Do/did you attend this working group?	Please rate its usefulness
a) Working Group on International Cooperation	Always/sometimes/no	Very useful/useful/not useful
b) Working Group on Technical Assistance	Always/sometimes/no	Very useful/useful/not useful
c) Working Group on Trafficking in Persons	Always/sometimes/no	Very useful/useful/not useful
d) Working Group on Migrant Smuggling	Always/sometimes/no	Very useful/useful/not useful
e) Working Group on Trafficking in Firearms	Always/sometimes/no	Very useful/useful/not useful
f) Working Group on the Review Mechanism	Always/sometimes/no	Very useful/useful/not useful

**8a. Tools developed under the project**

Please provide an indication of your familiarity with the tools given in the table below. In case of a positive answer, please give further information about usage and to what results.

	Are you familiar with this tool?	If yes, how would you rate the quality of this tool (1 is poor/5 is excellent)	If yes, have you used this tool?
SHERLOC Knowledge Management Portal	Yes/No	1/2/3/4/5/don't know	Yes/No
Mutual Legal Assistance Request Writer Tool	Yes/No	1/2/3/4/5/don't know	Yes/No
Model Legislative Provisions against Organized Crime	Yes/No	1/2/3/4/5/don't know	Yes/No
Model Law against the Smuggling of Migrants	Yes/No	1/2/3/4/5/don't know	Yes/No
Model Law against Trafficking in Persons	Yes/No	1/2/3/4/5/don't know	Yes/No
Model Law against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition	Yes/No	1/2/3/4/5/don't know	Yes/No
Manual on International Cooperation for the Purposes of Confiscation of Proceeds of Crime (2012)	Yes/No	1/2/3/4/5/don't know	Yes/No
Competent National Authorities Directory	Yes/No	1/2/3/4/5/don't know	Yes/No
Manual on Mutual Legal Assistance and Extradition (2012)	Yes/No	1/2/3/4/5/don't know	Yes/No
Digest of organized crime cases	Yes/No	1/2/3/4/5/don't know	Yes/No
Omnibus self-assessment software	Yes/No	1/2/3/4/5/don't know	Yes/No
Guidelines for crime prevention and criminal justice responses with respect to trafficking in cultural property and other related offences	Yes/No	1/2/3/4/5/don't know	Yes/No

8b. Please state any examples how/on what occasions/with what results you used any of the above tools:

**9. Sustainability of the tools of the project**

Do you think that the tools developed under the project, such as model laws, manuals, handbooks, etc. provide sustainable outputs?

1. Yes
2. No
3. Don't know

Please explain your answer

**10. Sustainability of the legislative and/or technical advice**

If relevant, do you think that the results of the legislative and/or technical advice provided by the UNODC under the project are sustainable?

1. Yes
2. No
3. Don't know

Please explain your answer

**11. Human rights**

To what extent have human rights provisions been taken into regard in the activities and outputs of the project? (1 is the lowest score – ‘not at all’ & 5 is the highest score – ‘fully taken into regard’)

1      2      3      4      5      DK

Please explain your answer

**12. Gender issues**

To what extent have gender issues been taken into regard in the activities and outputs of the project? (1 is the lowest score – ‘not at all’ & 5 is the highest score – ‘fully taken into regard’)

1      2      3      4      5      DK

Please explain your answer

**13. Lessons learned**

Please provide lessons learned of the project:

**14. Suggestions for improvements**

Please provide suggestions for ways to improve the Conference of the Parties, the working groups and/or the services and tools provided by UNODC to assist with the implementation of the UNTOC Convention and the Protocols thereto:

**15. Any further comments:**

**Member State:**

**Date:**

**Region**

- a. Africa and Middle East
- b. Central and Eastern Europe
- c. East Asia and Pacific
- d. Latin America and Caribbean
- e. South Asia
- f. West and Central Asia
- g. Global
- h. Other

Optional: Email-address (for verification reasons only):

**Thank you for your cooperation!**

## **Checklists - Sample questions**

### **Evaluation Questions**

The scope of the evaluation will cover criteria such as relevance, effectiveness, efficiency, impact, sustainability, partnership and cooperation gender and human rights and lessons learned. The key questions have been elaborated in the second chapter of this inception report. These questions serve as reference. The more detailed questions given below tailored to particular groups of stakeholders also serve as reference as questions must be tailored to the person interviewed and the interview process. The evaluators will assess, based on the interview, what questions to focus on while keeping the interviews open for suggestions, storytelling and sharing best practices.

### **Sample questions for Donors**

How does this project fit with your Government/organisation's priorities?

Has your Government/organisation been providing budget support without giving any conditions, or have you only be funding particular activities?

Have you given any conditions while providing funding, thereby impacting on the design of the project?

What is your opinion about the current design and focus of the project?

Has your country/institution been providing the same amount of financial support to Secretariat of the Conference of the Parties to the UNTOC Convention every year? If not, what have been the reasons for the increase or decrease of financial support?

Are you satisfied with the design, implementation and results of the project?

Are you satisfied with the reporting and backstopping undertaken/provided by UNODC?

To what extent have human rights and gender issues have been addressed in project activities, processes and outputs?

What are the lessons learned from this project?

How could the project be improved in the future?

### **Sample questions for senior government counterparts/representatives of State Parties**

What has been your involvement/role in this project?

Please provide us your general feedback concerning the project and support of the Secretariat to your country?

In what ways has the authority/institution/Government you represent benefited from it? What impact occurred as a direct result of the project and its activities in your country?

How would you measure achievements and improvements in your country that may be attributed to this project? Has the project contributed to an intermediate and/or a long term impact in your country?

What are the main obstacles which have been hindering the adoption/ratification/implementation of the UNTOC and Protocols thereof in your country? How could the project address these obstacles in the future, and to what extent has this project (and/or other UNODC projects and/or other actors) already attempted to address these issues?

In other words, do you feel that the design of the project, including the main outputs, outcomes and overall objective, are appropriate for the issues that must be addressed to result in adoption/ratification and improved implementation of the UNTOC and Protocols in your country? And what is your opinion with respect to other countries?

How well did the implementing section organize and run the Conference of the Parties to the UNTOC and its Protocols, the working groups and the Extended Bureau meetings?

What kind of activities and mechanism seems to be the most efficient for the implementation of the UNTOC and Protocols thereto? (Training, technical assistance, facilitation of the information exchange on patterns and trends, etc.)

Are you familiar with the SHERLOC web page? If yes, how often do you use it and how helpful is for your work?

Are you familiar with the different law models? If yes, how often do you use them and how helpful are they for your work?

Are you familiar with CNA? If yes, how often do you use it and how helpful is for your work?

How have been different target groups as general public, youth, scholars, academia, civil society, and NGOs addressed by the project in your country?

To what extent were partnerships sought with relevant internal and external stakeholders (e.g. internal UNODC; external institutions; CSOs; private sector; etc.)?

Does the UNTOC information exchange and mutual legal assistance processes overlap with the other regional and worldwide initiatives (EURPOL, INTERPOL and EUROJUST)? What kind of measures has been taken in order to prevent overlaps with other global and regional programmes, initiatives, projects, etc.?

Are the results of the project sustainable? Please explain.

To what extent have human rights and gender issues have been addressed in project activities, processes and outputs?

Do you have any recommendations to sustain the achievement of the project?

Could you please identify some lessons learned or best practices that emerged from the project implementation in your country or at the international level?

How could the project be improved in the future?

### **Sample questions for UNODC staff**

Has the logical framework over time (in the project document, and in the two project revisions in respectively 2011 and 2013) been logical and appropriate considering the operational reality of the project?

Do you find that the log frame has been useful to monitoring project progress?

Have the indicators been SMART (specific, measurable, achievable, realistic and time-bound) – from your experience – and have the targets been realistic?

How difficult is it to plan on an annual basis considering the rolling nature of the project?

How are the available result-based tools being used, and are there any suggestions for further improvements?

What is the results-oriented strategy driving the work of GLOT 60, and are there any suggestions for improvements to support project design and implementation?

How is transparency ensured in management decisions and activities?

Which feedback mechanisms have been introduced to ascertain how successful the introduced tools have been for beneficiaries?

What are the real possibilities for the introduction of a implementation review mechanism?

How relevant have the project activities been for State Parties?

How cost-efficient have the project activities been, and to what extent have the project resources and inputs corresponded to the expected outputs?

Has the capacity of the Secretariat been sufficient to achieve the outputs, outcomes and objectives of the project since 2008? Please explain.

What are your views about the original project document, and the two project revisions undertaken in respectively 2011 and 2013. How has the project revision (2013) impacted on project implementation? Are there specific areas which require improvement?

Have the programming tools been supportive of monitoring the activities and results of the project? Please explain.

Is there a need to increase the project budget in the future?

What have been the main reasons causing delays in implementation?

Is the implementation of the project on track if considering the 2014 annual work plan?

To what degree were the project's objectives achieved?

What are the main factors responsible for failure of the objectives?

How often do the State parties request for technical assistance activities?

What is the procedure for requesting the technical assistance? (is it complicated or not)

What is the tendency concerning the technical assistance requests from the State Parties? (E.g. increase, decrease)

Are the State Parties legislations, harmonised with the TOC and its Protocols, efficiently and effectively implemented or only "a dead letter on paper"?

How could awareness-raising campaigns about UNTOC be organized in a more effective and more efficient manner?

Does the UNTOC information exchange and mutual legal assistance processes overlap with the other regional and worldwide initiatives (EURPOL, INTERPOL and EUROJUST)? What kind of measures has been taken in order to prevent overlaps with other global and regional programmes, initiatives, projects, etc.?

Have partnerships with other UN agencies (and other intergovernmental agencies) been effective and supportive of your work? Kindly explain.

How important is the reporting (obligation) mechanism for the review and evaluation of the implementation of the UNTOC in the State Parties, what is the current status, what are your views on the prospective of restarting discussions on the ToR, and what is necessary to achieve this?

How successful was the Omnibus self assessment checklist?

What was the main reason that the conference could not agree on the TOR for the review mechanism on the Convention and protocols?

What kind of activities and mechanism seems to be the most efficient for the implementation of the UNTOC and Protocols thereto? (Training, technical assistance, facilitation of the information exchange on patterns and trends, etc.)

To what extent have human rights and gender issues have been addressed in project activities, processes and outputs?

How could be the project strengthened and improved in the future and what are the project potentials for the future?

How successfully have the UNODC field offices been involved and supported the development of TA projects?

What have been the bad and good experiences and challenges identified throughout the implementation of the project? What lessons have been learned? Is there any mechanism in place to identify best practices?

## ANNEX III. DESK REVIEW LIST

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## ANNEX IV. OVERVIEW OF INTERVIEWS

Table 4.1: Overview of interviews held in October, 2014

<b>ORGANISATION</b>	<b>Number of people interviewed</b>	<b>RELATION TO PROJECT</b>	<b>MODE</b>
<i>UNODC/current CSS staff</i>	8	Staff of the project implementing section	Face-to-face
<i>UNODC/former CSS staff</i>	6	Previously related or involved in the design and/or implementation of the project	Face-to-face & skype
<i>UNODC/ISS</i>	1	Staff of another OCB section managing another project in the field of transnational crime/providing technical assistance to States	Face-to-face
<i>UNODC/OCB</i>	2	Senior management of the Branch	Face-to-face
<i>UNODC/SPS</i>	3	Section providing strategic guidance on project management	Face-to-face
<i>UNODC/CPS</i>	1	Section providing resource mobilization support	Face-to-face
<i>UNODC/Civil society</i>	1	Section providing support to the involvement of civil society in UNODC's work	Skype
<i>UNODC Vietnam</i>	1	UNODC field office in receipt of GLOT60 activities	Skype
<i>UNODC/CSS consultant</i>	1	Consultant hired under GLOT60 to provide technical support to the develop SHERLOC	Face-to-face
<i>States Parties</i>	17	States parties to the COP	Face-to-face
<i>Donors</i>	5	Donor	Face-to-face
<i>UN agencies</i>	1	Partner organization	Face-to-face
<i>EU</i>	1	Partner organization	Face-to-face
<i>Total</i>	46		

## ANNEX V. OVERVIEW OF OUTCOMES AND OBJECTIVES

Table V.1: Comparison objectives and outcomes of GLOT60 - 2008, 2011 and 2013  
(with the categorization of the outcomes of 2008 and 2011 in relation to the ones concluded in 2013)

Objectives & expected results	2009	2011	2013
<b>Objective</b>	Member States take effective action against Transnational organized crime guided by the convention and the Protocols	Member States maintain their political commitment to effective action against transnational organized crime, guided by UNTOC and the Protocols, and use the Conference of the Parties as a key forum to develop strategy and share good practice in the fight against transnational organized crime	To enhance political commitment to combat transnational organized crime and build related legal and institutional frameworks
<b>Outcomes</b>	<p><b>Outcome 1:</b> Ratification of or accession to the UNTOC and its supplementary Protocols promoted and awareness, information and knowledge of its potential and provisions increased, and improved effectiveness and decision making of the Conference of the Parties to UNTOC..</p> <p><b>Outcome 2:</b> MS take action to include provisions of UNTOC and the Protocols thereto into national legal systems,</p>	<p><b>Outcome 1:</b> Member States increase ratification and implementation of the provisions of UNTOC and the Protocols</p> <p><b>Outcome 2:</b> Those activities mandated by the Conference of the Parties to the UNTOC Convention, and which are subject to voluntary contributions, are implemented</p>	<b>Outcome 1:</b> Member States ratify and implement the provisions of UNTOC and the Protocols into national legal systems
	<p><b>Outcome 4:</b> Strengthened capacities of competent authorities and institutions to effectively prevent and control organized crime domestically and to cooperate internationally to investigate, prosecute and adjudicate all organized crime related</p> <p><b>Outcome 5:</b> Strengthening of international coordination and improvement in the consistency of policies, strategies, programmes and projects with the provisions of the UNTOC.</p>	<b>Outcome 4:</b> Competent authorities and institutions increasingly and effectively prevent and control organized crime domestically and cooperate internationally to investigate, prosecute and adjudicate all organized crime related offences (including Protocol offences and emerging crimes).	<b>Outcome 2:</b> Competent authorities cooperate internationally to investigate, prosecute and adjudicate organized crime related offences, as well as to effectively trace, seize, confiscate and dispose of the proceeds and instrumentalities of crime in line with the UNTOC.

	<p><b>Outcome 6:</b> MS have access to relevant tools, services and easy-to-understand information in order to address emerging crimes, such as trafficking in cultural property, cybercrime and trafficking in organs and environmental crimes, within the framework of the UNTOC</p>	<p><b>Outcome 5:</b> Member States make use of tools and services to address emerging crimes, such as trafficking in cultural property and environmental crimes, within the framework of the UNTOC.</p>	<p><b>Outcome 3:</b> Member States establish partnerships and identify tools or best practices to address new forms and dimensions of organized crime, such as trafficking in cultural property, cybercrime and environmental crimes, within the framework of the UNTOC</p>
	<p><b>Outcome 3:</b> Effective review of the implementation of UNTOC and the Protocols thereto.</p>	<p><b>Outcome 3:</b> State parties work to establish a mechanism to review implementation of the Convention and its Protocols</p>	<p>No such outcome</p>
	<p><b>Outcome 7:</b> UNODC field office network supported in the development of technical assistance projects, programmes and activities geared towards assisting Member States with the full implementation of the UNTOC and the Protocols.</p>	<p><b>Outcome 6:</b> UNODC field office network develops and implements technical assistance projects, programmes and activities geared towards assisting Member States with the full implementation of the UNTOC</p>	<p>No such outcome</p>