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Final In-Depth Evaluation of the  
**Regional Programme for Eastern Africa**  
**“Promoting the Rule of Law and Human**  
**Security in Eastern Africa”**  
**2009 - 2015**

Eastern Africa Region

Independent Evaluation Unit  
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## Abbreviations and Acronyms

ATS	Amphetamine Type Stimulants
CBO	community-based organization
CDC	Center for Disease Control
CCP	Container Control Programme
CT	Counter Terrorism
CTED	Counter-Terrorism Committee Executive Directorate
DFID	Department for International Development
EA	East Africa
EAASP	East African Airport Support Programme
EARP	Eastern Africa Regional Programme
ESAAMLG	Eastern and Southern Africa Anti-Money Laundering Group
EU	European Union
FCR	Full Cost Recovery
FEACC	Federal Ethics and Anti-Corruption Commission
GiZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GMCP	Global Maritime Crime Programme
GoE	Government of Ethiopia
GoD	Government of Djibouti
GP	Global Programme
HDI	Human Development Index
HQ	Headquarters
IBBS	Integrated Biological and Behavioural Surveillance
ICPAT	IGAD Capacity Building Programme against Terrorism
ICRC	International Committee of the Red Cross
IEU	Independent Evaluation Unit
IGAD	Intergovernmental Authority on Development
IOM	International Organization for Migration
IPA	Integrated Programming Approach
IPOA	Independent Police Oversight Authority
JIU	Joint Inspection Unit
LE	Law Enforcement
M&E	Monitoring and Evaluation
MAT	Medically Assisted Therapy
MCP	Maritime Crime Programme
MoH	Ministry of Health
MoJ	Ministry of Justice
MS	Member State
NA	Narcotics Anonymous
NACADA	National Drug Control Agency
NGO	Non Governmental Organization
NOSCAP	National AIDS and STI Control Programme
NOSET	Nairobi Outreach Services Trust
NSP	Needle and Syringe Programme
OCB	Organised Crime Bureau
OIOS	United Nations Office of Internal Oversight Services
OFID	OPEC Fund for International Development
OST	Opiate Substitution Therapy
PAF	Programme Acceleration Fund
PRC	Programme Review Committee
ProFi	Programme and Financial Information System

PLWHA	People Living with HIV/AIDS
PWID	Persons who inject drugs
ROEA	Regional Office in Eastern Africa
RP	Regional Programme
SGBV	Sexual and Gender Based Violence
SoM	Smuggling of Migrants
SP	Sub Programme
SPU	Strategic Planning Unit
TA	Technical Assistance
TB	Tuberculosis
TOCTA	Transnational Organized Crime Threat Assessment
TOCU	Transnational Organized Crime Unit
TOR	Terms of Reference
TOT	Training of Trainers
TP	Thematic Programme
TPB	Terrorism Prevention Branch
Treatnet	International Network of Drug Dependence Treatment and Rehabilitation
UAE	United Arab Emirates
UK	United Kingdom
UN	United Nations
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNCAC	United Nations Convention Against Corruption
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNFPA	United Nations Population Fund
UNICEF	United Nations Children's Fund
UNODC	United Nations Office on Drugs and Crime
UNON	United Nations Office Nairobi
UNTOC	United National Convention against Transnational Organised Crime
UN Women	United Nations Entity for Gender Equality and the Empowerment of Women
US	United States of America
USAID	United States Agency for International Development
WCO	World Custom Organization
WHO	World Health Organization
WFC	Wildlife and Forest Crime

# EXECUTIVE SUMMARY

In 2008, the United Nations Office on Drugs and Crime (UNODC) devoted high priority to identifying new opportunities for programme development while ensuring a well-coordinated and rapid response to the needs and requests of Members States (MS). This so-called Integrated Programming Approach (IPA) included the development of five Regional Programmes (RPs) to cover the geographical regions of East Asia and Pacific, Eastern Africa, Caribbean, Central America, and the Balkans. These areas were considered in urgent need of support to elaborate a new generation of technical cooperation programmes.

Under UNODC RP guidelines<sup>1</sup> there are five main areas where a RP should have an impact:

- Reducing illicit trafficking of people, drugs, arms, money and natural resources;
- Reducing corruption;
- Reducing serious crimes, including terrorism;
- Reducing the incidence of drug abuse;
- Reducing HIV/AIDS transmission among injecting drug users, prisoners and victims of human trafficking.

Additionally an internal guidance note on RPs<sup>2</sup> stated that "The RPs promote strategic regional initiatives by facilitating cross-border cooperation and dialogue, providing access to information and data about regional/global issues and trends, facilitating access to global technical expertise and supporting the implementation of the UN Conventions on drugs and crime, transnational organised crime (UNTOC) and corruption (UNCAC) and the UN standard and norms on criminal justice and crime prevention. They also contribute to build-up the political will of regional institutions and partner countries to take action within UNODC's mandated areas and put effective regional mechanisms in place. The RPs are designed to address the main drug and crime challenges of the concerned countries, and are developed through an extensive consultative process (i.e. experts and Ministerial meetings), in which regional/national "ownership" is the guiding principle. The RPs also facilitate UNODC's effective collaboration with the UNDG Regional teams, UN Country Teams (and related UNDAFs), as well as the World Bank, thus improving the opportunities for joint programming between UNODC and the UN system. The RPs should be considered as platforms for common action by UN agencies, IFIs and multilateral bodies, and not simply a vehicle for UNODC technical assistance. Priority should be given to the longer-term sustainability of the RPs, which may ultimately determine the success of our interventions."

It must be stressed at the outset that this is not an evaluation of individual projects, programmes, country programmes (CPs) or Sub Programmes (SPs) within the Regional Office for Eastern Africa (ROEA). This evaluation has found many examples of exceptionally well run projects, programmes and SPs from the ROEA by dedicated and professional individuals both within ROEA and the wider UNODC. This evaluation attempts to identify the impact that the RP approach has played in achieving these successes and from examining the five SPs within the RP to distil the essence of the EARP and how it can be improved.

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<sup>1</sup> IPU Note on UNODC Regional Programmes 4<sup>th</sup> December 2008,

<sup>2</sup> UNODC SPU and Programme Support and Oversight Unit, 2011

UNODC's Eastern Africa Regional Programme (EARP) was officially endorsed by 12 out of 13 Member States<sup>3</sup> through the signing of the Nairobi Declaration in November 2009. The EARP covers the following 13 countries: Burundi, Comoros, Djibouti, Eritrea, Ethiopia, Kenya, Madagascar, Mauritius, Rwanda, Seychelles, Somalia, Tanzania and Uganda. These countries can be grouped into three diverse geographical areas, namely the East African region (Kenya, Tanzania, Uganda, Burundi, and Rwanda), the Horn of Africa (Djibouti, Eritrea, Ethiopia and Somalia) and the Indian Ocean Islands off the East African coast (Seychelles, Comoros, Mauritius and Madagascar).

As one of the first RPs to be elaborated by UNODC, it was developed between 2008 and 2009 in four different phases, which included consultations with national stakeholders at the field and HQ levels, and extensive discussions during an expert group meeting held in Nairobi in February 2009. This evaluation notes that partnership, cooperation and consultation at the development and initial implementation of the EARP was good and the Regional Office in Eastern Africa (ROEA) identified and engaged with the appropriate stakeholders both internally and externally. From these consultations the **overall objective** of the EARP was agreed '**to support the efforts of Member States in the region to respond to evolving human security threats, with a focus on achieving a tangible impact.**' The objective itself is still relevant.

The guiding principle in elaborating the RP was to articulate a holistic, integrated and nationally-owned approach to key health, security and justice challenges and thereby provide a strategic guide for the work of UNODC in the region. It also sought to outline a clear framework that Member States (MS), other regional stakeholders and donor partners could refer to when considering how they might best collaborate with UNODC.

This independent in-depth final evaluation of the EARP aims to add to the body of knowledge of the EARP to assess results and achievements and provide guidance for any future EARP. It should be emphasized (as noted above) that although all five Sub Programmes (SPs) that constitute the EARP were evaluated, it was from the perspective of the EARP and not as stand-alone SPs. However, projects that had been evaluated were reviewed to find evidence regarding the overall performance of the RP. Additionally, the Global Maritime Crime Programme (GMCP) did not form part of the evaluation of SP 1 given that it will be subject to its own evaluation in the 2<sup>nd</sup> quarter of 2015. However, any GMCP aspects which directly impact on the EARP have been accounted for in this evaluation.

Shortly after its inception the EARP encountered a key difficulty that severely hampered its delivery; specifically, there was a long delay in recruiting two of the three SP managers to run the three SPs<sup>4</sup> that formed the EARP. Thus, the EARP, which was due to finish in 2012, was extended initially for one year (2013) and then for a subsequent two years (2015) after an internal review of the EARP had been completed by the ROEA and agreed by the Programme Review Committee (PRC) in March 2014. This theme of delays in recruitment is also seen in delays in other procurement areas which had a negative impact on some relationships between UNODC and governmental partners. Other staffing issues that impacted upon the RP included some instances where junior staff filled posts that required a higher level to gain credibility with government policy and decision makers and other UN partners.

Given the initial problems with rapid recruitment of programme managers, the EARP suffered from a lack of ownership almost from the start (the exception being Health and Livelihoods,

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<sup>3</sup> Eritrea did not participate in that meeting and approved the Nairobi Declaration in 2010.

<sup>4</sup> SP 1 Countering Illicit Trafficking, Organized Crime and Terrorism, SP 2 Fighting Corruption and Promoting Justice and Integrity, SP 3 Improving Health and Development

which has had the same manager who was present before the ROEA period under review). Without a proper regional governance structure, the impetus for the RP that had built up through the planning and consultation phases (in 2009) seemed to ebb away. There were little resources (time, personnel or funding) being allocated specifically to running the EARP. There has not been one EARP annual report or any other regular document that gives any systematic update on the EARP produced during the lifetime of the EARP. There were no further meetings of the stakeholders involved in its creation after the RP had been finalised. Any future EARP must ensure it has a proper, regional governance structure and that regular progress reports are provided. Additionally the new RP must have specific funding to allow dedicated ROEA resources directed toward implementing and maintaining the RP, its products and services.

As the EARP was one of the first RPs to be developed, it has suffered from not being able to learn lessons from other RPs. To its credit the ROEA identified that the RP was not functioning as it should and conducted its own internal review in 2014. This evaluation concurs with many of the findings within that review. There was an absence of a baseline / situational assessment which led to what would later be recognised as an overly ambitious RP that seemed to reflect national and donor priorities without any obvious regional aspect. This contributed to some stakeholder confusion over how the EARP was supposed to add value and not become simply the sum of the projects under the RP. This evaluation has also struggled to answer this question. Even after the internal review of the EARP and the splitting of SP 1 and SP 2 into two further SPs on terrorism prevention (now SP 3, with health and livelihoods now SP 5) and criminal justice (now SP 4) it is not clear how the RP contributes to the overall success of the SPs and the projects within those SPs or the impact that the RP has at a regional level.

This highlights a fundamental design issue that any new EARP must address with all relevant stakeholders, not only within the ROEA. At present it appears that the EARP does not have a working methodology to translate its objectives into reality. For example, there is no evidence of the RP having a system in place to conduct ‘operational’ cross SP and cross project analysis to identify potential improvements in effectiveness, efficiency or impact for regional benefit. There is no ‘master list’ of all the projects, their objectives, outcomes and outputs compared and contrasted against each other for that purpose. If the IPA at a regional level is to work better, then greater effort must be made to identify where this integration can take place between the SPs with areas such as corruption, human rights, gender and loss of livelihoods being possible cross-cutting areas to consider. Additionally all five SPs have as their No.1 objective ‘Strategic Information, Analysis and Awareness Raising’. Again, the responsibility of the new RP under this communal SP objective should be considered as there is a clear and definite role for the RP in coordinating this work. This could feed into a more ‘strategic’ plan on how the RP engages with external stakeholders at a policy level to ensure the regional approach maintains beneficiary and donor ‘buy-in’. The new EARP must be redesigned with clarity of purpose and a working methodology to achieve that purpose.

Any redesign must consider how Global Programmes (GPs) and Thematic Programmes (TPs) interact and integrate within the projects and SPs that form the RP. This evaluation noted that much of the work within the region was driven by GP and TP mandates that didn’t always reflect the regional and local context. Thus any new EARP should ensure GP work remains relevant to the region, but is grounded in country and regional contexts. Indeed the new RP should consider how best it could improve relevance for the region in general. The RP, for the period of the evaluation, mobilized 93% of its budget towards three countries (Kenya, Ethiopia and Somalia) leaving only 7% among the other ten countries.

This evaluation also found differing levels of communication and cooperation between some SP projects and the relevant GP / TP HQ departments / units / sections / branches / divisions. In some instances the cooperation worked well, in others there was friction between HQ and the SP

projects. Any new RP will have to agree to standard operating procedures that address issues such as who takes the lead in delivery, fund raising, funding of positions, lines of communication etc.

One of the main reasons for this evaluation being broadly unable to assess the added value and impact of the EARP is a lack of appropriate indicators and the monitoring and evaluating (M&E) regime to measure and analyse RP impact through these indicators. Additionally, the RP has no information management system, thus whatever data may be collected at a project or SP level on indicators, outputs and outcomes are not fed back to the RP level. The new log-frame for the EARP, as detailed in the internal review document of March 2014, does improve upon those SP indicators but they still fall short of what is required - and it is still SP rather than RP focussed. More detailed and effective RP indicators will need to be included in tandem with an appropriate M&E regime and RP information management system. All this will, naturally, be designed around the agreed purpose and methodology of the new RP.

This M&E regime to measure the impact of the RP could provide an excellent opportunity for the RP to engage closely with its external and internal partners. This evaluation found great interest among stakeholders in the area of M&E and by encouraging others to become involved in this aspect, the RP could further develop partnerships and stakeholder ownership of the RP. For example, some stakeholders questioned the value and impact of certain trainings. By developing the appropriate indicators and involving the beneficiaries in gathering appropriate data, e.g. participant feedback after 6 months, the partnerships and ownership are strengthened.

It should be noted that since the inception of the RP, ROEA's overall portfolio has grown significantly: the overall total budget stands at over US\$ 100 million and the number of staff recruited since 2009 has increased from around 20 to over 60 international and national personnel and eight programme / project offices. However, the extent to which the RP influenced this impressive expansion is difficult to assess. The data collected by this evaluation would suggest that the RP played a role at the beginning of its life in generating some funding, but subsequent donor funding decisions were made on factors that were not directly influenced by the RP but more on a case-by-case project proposal basis and because of UNODC's role in country. The lack of a proper advocacy strategy for the RP has almost certainly contributed to its reduced visibility to external stakeholders and the perception, quite widely held, that the RP is an irrelevance.

A main challenge for the new EARP is to determine where it can bring added value. As part of the United Nations (UN) family it is incumbent upon UNODC to ensure human rights and gender issues are mainstreamed into all its work. While individual SPs within the RP have tackled these issues with varying degrees of success, it tends to have been on a project and / or country basis with no overarching regional strategy. Given the importance and relevance of these issues across all projects, all GPs and all SPs, this is an area where a new RP could take the lead.

UNODC in the Eastern Africa region has developed a reputation with many stakeholders of being able to deliver results in a challenging security environment. This advantage that UNODC enjoys with many of its donors must be balanced against the appropriate security risk assessments. This evaluation contends that within the SPs of the RP, much impressive work has been undertaken. Many objectives have been realized and the general achievements of the ROEA and its management of the portfolio of projects and programmes within its remit should not be understated. However, when evaluating the EARP it must be concluded that the RP contributed little influence on these achievements.

This evaluation suggests that any new EARP should give careful consideration to redesigning the RP in a manner that will allow the RP to add real regional value to the work of UNODC. During this redesign, the ROEA, with appropriate HQ support, should re-engage with its stakeholders to

reassess the RP's overall purpose and instigate a proper governance structure. This evaluation provides some guidance in areas where a new RP might wish to focus.

# SUMMARY MATRIX OF FINDINGS, EVIDENCE AND RECOMMENDATIONS

Findings <sup>5</sup>	Evidence (sources that substantiate findings)	Recommendations <sup>6</sup>
Key recommendations		
<p>The 2009 RP started with a consultative process and expert inputs at the regional level, but did not follow through with a regional approach</p> <p>No regional governance mechanism that included representation from Member States. This resulted in a donor driven portfolio, which was unbalanced from a regional perspective in terms of countries and lack of priority to important areas such as terrorism and corruption</p>	<p>Formal governance mechanisms not in evidence following signing of Nairobi Convention in 2009.</p> <p>Interviews with donors and stakeholders from countries outside of Kenya</p>	<p>Planning should be based on strategic information and participatory planning done with a ROEA regional programme steering committee</p> <p>Invite Member States to appoint representatives to act as focal points and to work together on planning, coordinating implementation in country, monitoring and evaluation</p> <p>ROEA</p>
<p>Indicators of the RP were too broad to be meaningful, and there was a lack of planning for M&amp;E in the initial RP design although the revision of the logical framework of the RP in March 2014 has helped address this issue.</p> <p>RP did not include results framework with measureable achievement indicators, prioritised objectives and targets</p> <p>Little evidence of technical</p>	<p>Review of RP programme results framework; reviews of SP project frameworks</p> <p>HQ Audit (2010) identified these problems early on but they were not fixed</p> <p>Plans to hire an M&amp;E expert not carried out. Only project based reporting, which also lacks reporting of measureable indicators of outcomes (just outputs—e.g. number of persons trained, number of countries)</p>	<p>Design and budget for strong M&amp;E modalities and annual reporting in a future RP with feasible indicators</p> <p>Develop realistic outcomes reflecting priorities and targets for results frameworks with annual targets and measureable verifiable indicators</p> <p>Hire in-house expert for all SPs to ensure that this be done according to UNODC standards for reporting and M&amp;E</p>

<sup>5</sup> A finding uses evidence from data collection to allow for a factual statement.

<sup>6</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.

support and human resources on M&E	Almost no baseline data or attempts to start building baseline data base, except for SP 5, which at a later stage conducted some surveys on HIV prevalence among PWID and in prisons and size estimation of drug users in the two High Priority Countries for HIV in EA as well as in two additional countries and a victimization survey	Better guidance and support from HQ regarding M&E and reporting and technical assistance  ROEA / SPU / IEU
Conclusions on impact are barely possible, since no impact evaluations have been undertaken and since measuring impact was beyond the scope of this evaluation	No meaningful data on impact	Design and budget for rigorous impact evaluations (including at the end beneficiary level)  ROEA
RP based on little use of strategic information and weak situational analysis (this is different for the SPs)  The design of some SP activities reflected more global UNODC mandates and Thematic Programmes than regional and country contexts. It was not consistently or routinely based on any objective situational analyses.	Project documents and Thematic Programmes	Draft a more detailed and in-depth situational analysis emphasizing regional issues and SP-specific issues as a basis for a new RP  Demonstrate closer attention to country priorities through participatory consultations to improve relevance of UNODC to the region  Lessons learnt in the region should feed back into the revision of the Thematic Programmes  ROEA / SPU
No regional conferences or annual reports for RP; lack of visibility among UN and other partners	No documentation or mentions of any annual conferences for RP; little awareness of overall purpose of RP among stakeholders—RP viewed more as UNODC Regional Office	Hold annual conferences and / or public events, media coverage and donor updates to be provided during / as part of programme PSC meetings, or on the occasion of major events in programme implementation. To such events, RP countries and donors alike can be invited and contribute. UNODC activities, programmes and key achievements can be showcased to increase visibility and understanding of UNODC work. This would also provide an opportunity to provide updates on the different

		<p>fields/SPs and highlight areas that need to be addressed. Donors and other stakeholders should be invited to discuss topics and ideas of mutual interest</p> <p><b>ROEA</b></p>
<p>Resources mobilized during the period of the evaluation were fifty-seven percent mobilized to Kenya, followed by Ethiopia (22%) and Somalia (14%). Thus, only 7% was allocated to the other 10 EA countries.</p> <p>With addition of the GMCP and USAID Harm Reduction Programme (KENY16), more than ca. 95% of budget is allocated to Kenya and Maritime Crime.</p> <p>Without a regional situational assessment with the participation of Member States it is impossible to assess if this split of resources is a fair balance across the region.</p>	Budget review	<p>Aim to take a truly regional approach, including establishment of a regional governance mechanism with representatives and focal points from different states</p> <p>Use of strategic information and participatory planning and decision making among the Member States</p> <p>Decentralization of the RP programme planning and development structure through a) use of focal points in several countries. These focal points might be sourced from government ministries (e.g. MoH, MoJ and LE), and b) dedicated country officers (such as in Ethiopia and Somaliland) that are sourced from different SPs</p> <p><b>ROEA</b></p>
The RP has played a minor role in fundraising. Most funding comes from donors in the respective countries, and is given because of UNODC's role in country	<p>Interviews with donors and UNODC staff</p> <p>Discussions with RP management regarding fund raising for period of 2009-2014</p> <p>Some UNODC junior staff in countries outside of Kenya said that it was difficult to obtain credibility among leaders who preferred to speak to higher level staff</p>	<p>Consider an RP that serves as general framework, but put more emphasis on country-level projects, including regional linkages</p> <p>Deploy a dedicated fundraising officer at the regional level who works through the regional network of focal points and stakeholders and HQ. This officer could systematically assess opportunities and provide recommendations to the RP for developing proposals for donor funds</p>
No RP information management system, other than annual workplans, which	No evidence found for RP management systems	Better information management systems containing strategic information and M&E data

did not contain operational plans, targets etc.		would allow for analytical studies and development of annual reports.
No annual reports in some SPs or for the RP as a whole; only one review (retreat) done and this only resulted in the creation of an additional SPs.	No reports in evidence	Produce annual reports in all SPs and for the RP overall to help improve visibility and strengthen the identity of UNODC in EA. This requires some expenses but is useful in programme planning, M&E and increases chances for obtaining donor support for regional programming
Reports of delays in the hiring of programme and project managers lessened the effectiveness of the projects. For example, USAID funded project (SP5) in Kenya (KENY16) reported dissatisfaction with delays) in hiring a PM for this project  In some cases junior staff (e.g. volunteers) filled posts that required higher level staff that would have more credibility among government policy and decision makers and other UN partners.	Interviews with government stakeholders and donors.	A review of human resource management and an efficient system for hiring and performance reviews of staff is needed. Future assessments should examine the new E-performance system (INSPIRA) to evaluate whether it is helping to reduce HR deficiencies noted in this evaluation  Include staff structure and organograms into new RP and report on HR issues as part of the standardized reporting (quarterly and annual)
Slow procurement and procurement processes open for international bidders have soured some relationships between UNODC and governmental partners	Interviews with UN and government partners	Review procurement rules that allow companies to bid internationally, and strengthen and support local companies so they can win contracts in their countries
Many activities were funded and implemented through global programming.  The interaction between global and regional programmes has not been well defined. Staff in some SPs act in double roles. This can be a far stretch, and does not really allow for the development and fundraising for strong activities under the RP.	Review of RP project documents and budgets, as well as interviews with staff	Programme design and development requires more core funding for regional SPs (e.g. anti corruption work, health and livelihoods) and respective dedication of the regional office in order to develop a strong regional component that can complement global programming. Such funding could be used for gathering strategic information and analysis, coordination of Member States for planning and implementation

<p>It is difficult to measure achievements against the RP, as some activities have focused on the implementation of global programming.</p> <p>Additionally this lack of clarity between how and where global programmes (GPs) and the RP interact makes attributing achievements within the region to GPs and / or RPs difficult to measure.</p>		
<p>Most gender mainstreaming has taken place at the project / country level. Some SPs contain no gender considerations (e.g. SP 2), a lack which is also reflected in their respective Thematic Programmes as well as in the UNODC's Strategic Framework</p> <p>While UNODC has produced a gender mainstreaming document at HQ level, substantive discourses on the relevance of gender in criminal justice sector reform, and of some of the key challenges in creating access to justice for women have not been considered</p>	<p>Review of programme participant profiles of projects regarding gender representation, review of Thematic Programmes, UNODC Strategic Framework etc.</p>	<p>Gender components should be integrated across all SPs, consider collaboration with other UN agencies, such as UN Women or UNDP, if UNODC does not have the expertise</p> <p>Lessons from country programmes should support the region and HQ to develop a strong gender programme</p> <p>As part of the planned revision of some of the Thematic Programmes, some think tank or workshop activities should invite international gender expertise to develop substantive gender engagements for all SPs. Thematic Programmes, as policy frameworks, are the appropriate place to mainstream gender</p>
<p>In some cases, while consultants have done excellent work, deliverables could have gained from more in-depth contextual country knowledge.</p>	<p>Interviews with stakeholders and UNODC staff.</p>	<p>Strengthen and acknowledge the crucial role of local UNODC staff in 'translating' socio-cultural and political contexts</p> <p>This research can be done as TA and can be funded as a project or project component from XB funding.</p>
<p>Lack of use of the Integrated Programming Approach,</p>	<p>Absence of integration of areas mentioned in current</p>	<p>For future RP plans include a matrix that examines cross-</p>

<p>advocated by UNODC, for example:</p> <p>1) Possibility for LE and criminal justice policies and practices to work in cooperation with harm reduction programmes for drug users by use of alternative sentencing and providing health oriented treatment rather than only punishment, 2) SP 5 to use alternative sentencing to divert drug dependent offenders to treatment and rehabilitation, 3) well known relationship between human trafficking and drug dependence and HIV (particularly women who are involved in EW)</p>	<p>programme structure, with some exceptions (e.g. the SP 5 PM provided TA for SP 1 on their sustainable livelihoods programme)</p> <p>One harm reduction NGO in Tanzania was asked on more than one occasion by a magistrate to consider administering rehabilitation to divert the offender from incarceration. There is a recognised need for criminal justice to work in area of drug dependence sentencing policies.</p>	<p>cutting issues between the SPs to identify points of integration and possible synergies between SPs.</p> <p>Cross cutting issues that affect all SPs are: a) loss of livelihoods which causes migration and pursuit of unlawful income, b) security concerns for UN and programme staff, c) human rights - policies that ignore rights of women, children, HIV infected, drug dependents, d) Gender balance workshops and trainings, e) corruption at all levels, e) needless duplication of trainings and other capacity building activities.</p> <p><b>ROEA</b></p>
<p>Lack of UNODC appropriate level representation in most EA countries. There are few UNODC staff with the appropriate authority that can represent UNODC, take decisions at meetings or represent other SPs when needed</p>	<p>Only Kenya has appropriate level staff.</p>	<p>Appointment of a few SP Managers to assume a dual role as both SP manager and as a country proxy representative for UNODC. This could include assignments to more than one country</p>
<p align="center"><b>Additional Findings and Recommendations</b></p>		
<p>Governmental and other partners have little knowledge, but great interest in improving their M&amp;E on UNODC funded activities</p>	<p>Interview with other stakeholders and partners</p>	<p>Build technical assistance into projects to help partners with M&amp;E</p>
<p>Often there are one-off trainings without follow-up to see if programmes are implementing the suggested approaches and the skills are being used</p>	<p>Reports from participants of trainings that often there are long gaps between training and a lack of follow up regarding implementation, need for further assistance, lack of time or personnel to implement training etc</p>	<p>Follow-up assessments and continuing training are needed for effective capacity building. This needs to be structured into the planning process</p>
<p>SP 4 country managers in Ethiopia and Somaliland double up as respective Heads of Offices in country, representing the entire UNODC programme in country.</p>	<p>Review of management structure</p>	<p>Ensure that Heads of Office's responsibilities get full acknowledgment for their tasks.</p> <p>Develop a 'regional' mode where different SPs take on</p>

		country leadership roles, so these are equally divided across SP budgets.
In a few instances there were mentions of problems with particular staff that were seen as bereft in their duties (not attending important meetings, being unavailable or unresponsive).  Some of the problems may have been due to appointing staff that lacked the background and experience needed; or due to competing obligations and lack of resources both human and financial to respond to meeting invitations-- this needs further assessment.	Interviews with partners in countries visited	Representative and HR to take a more active role in overseeing and monitoring performance of staff. Without annual work plans with specific targets and indicators this is very difficult—see above points)  It would be the responsibility of the RP representative through SP managers to identify relevant priorities and to monitor and ensure that staff is performing their responsibilities as charged
Problems of wasted time due to HQ requirements of multiple signatures needed for making even small project revisions  It was mentioned that up to 50% of project managers' time is spent doing paperwork	Interviews with UNODC staff	Delegate responsibility for making minor project revisions, such as extension of a project duration date, to ROEA (with reporting to HQ of decisions made).
Given lack of offices or UNODC staff in every country there is a lack of access to technical expertise in many countries (e.g. Zanzibar, and other small Island countries; Eritrea, Rwanda, Burundi, Djibouti).	Interviews with partner organisations in states that do not have full-fledged projects or UNODC Offices and who meet with UNODC staff only on an occasional basis	One suggestion by several stakeholders was to bring in international mentors to do ‘twinning’ with national counterparts to help them build programmes and develop skills. Twinning would usually be for durations of six months, or long enough to build technical capacity
In some SPs, such as SP 2, the field has changed since the inception of the RP. Key donors have become more interested in channelling funds through private sector entities and see UNODC as an implementing partner that can deliver technical expertise	Interviews with donors and staff	UNODC programming should continue to define its niche and position itself on the basis of new circumstances
The current Thematic Programme for Criminal Justice is not reflective of	Review of programme documents and interviews with stakeholders in criminal	Revision of the Thematic Programme in order to accommodate current

<p>current debates by practitioners and academics in the justice sector reform field, including on the relevance of access to justice, political economy and legal pluralism.</p>	<p>justice</p>	<p>discussions in the field Reflection of revised Thematic Programmes in RP and country programming</p>
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# I. INTRODUCTION

## Background and Context

### *Regional Context*

Eastern Africa comprises three diverse geographical areas, namely the East African region (Kenya, Tanzania, Uganda, Burundi, and Rwanda), the Horn of Africa (Djibouti, Eritrea, Ethiopia and Somalia) and the Indian Ocean Islands off the East African coast (Seychelles, Comoros, Mauritius and Madagascar).

Natural disasters and civil war, recurrent food shortages and droughts have left the majority of the region's 180 million people struggling under extreme poverty. Poor governance, corruption<sup>7</sup> and human rights abuses have dramatically stunted the development opportunities in the region. In addition, Eastern Africa is the second region most affected by HIV in the world, which has an extremely negative impact on the development of the countries concerned. Most countries in this region are characterised by a low human developed index (HDI)<sup>8</sup>. Poor governance, insecurity, conflicts, poverty and economic disparities among and within countries of the region are providing opportunities for trans-national organized crime, as is evidenced in widespread illicit trafficking in drugs, persons, money, arms, wildlife and timber products, and the consequential generation of proceeds of crime and acts of money-laundering. The various Governments in Eastern Africa are facing severe challenges from transnational organized crime groups operating in and from this region as highlighted in UNODC's Threat Assessment for Eastern Africa<sup>9</sup>. The dramatic situation of Somalia has an increasingly adverse effect on the security and stability of neighbouring countries and the safety of the seas. Scarce rainfall, poor harvests, soaring food prices, dying livestock, and escalating violence have also contributed to the current emergency in the region.

### *Regional Programme Description*

The United Nations Office on Drugs and Crime (UNODC) Regional Programme (RP) for Eastern Africa was officially endorsed by 12 out of 13 Member States<sup>10</sup> through the signing of the

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<sup>7</sup> The Transparency International Corruption Perception Index 2014 ranks several countries of this region at the bottom of its list, indicating serious corruption practices: **Burundi: ranked 157/177**; Comoros: ranked 127/177; Djibouti: ranked 94/177; **Eritrea: ranked 160/177**; Ethiopia: ranked 111/177; Kenya: ranked 136/177; Madagascar: ranked 127/177; Mauritius: ranked 32/177; Rwanda: ranked 49/177; Seychelles: ranked 47/177; **Somalia: ranked 175/177**; Tanzania: ranked 111/177; Uganda: ranked 140/177. Source: <http://www.transparency.org/country#UGA>.

<sup>8</sup> UNDP 2014 Human Development Report, Statistical Tables, <http://hdr.undp.org/en/2014-report/download>: Burundi: ranked 180; Comoros: ranked 159; Djibouti: ranked 170; Eritrea: ranked 182; Ethiopia: ranked 173; Kenya: ranked 147; Madagascar: ranked 155; Mauritius: 63; Rwanda: ranked 151; Seychelles: 71; Somalia: n/a; Tanzania: ranked 159; and Uganda: ranked 164.

<sup>9</sup> UNODC (2013), *Transnational Organized Crime in Eastern Africa: A Threat Assessment*, [http://www.unodc.org/documents/data-and-analysis/Studies/TOC\\_East\\_Africa\\_2013.pdf](http://www.unodc.org/documents/data-and-analysis/Studies/TOC_East_Africa_2013.pdf)

<sup>10</sup> Eritrea did not participate in that meeting and approved the Nairobi Declaration in 2010.

Nairobi Declaration in November 2009 One of the first Regional Programmes to be elaborated by UNODC, it was developed between 2008 and 2009 in different phases, which included consultations with national stakeholders at the field and HQ levels, and extensive discussions during an expert group meeting held in Nairobi in February 2009.

The guiding principle in elaborating the RP was to articulate a holistic, integrated and nationally-owned approach to key security and justice challenges and thereby providing a strategic guide for the work of UNODC in the region. It also sought to outline a clear framework that Member States, other regional stakeholders and donor partners could refer to when considering how they might best collaborate with UNODC.

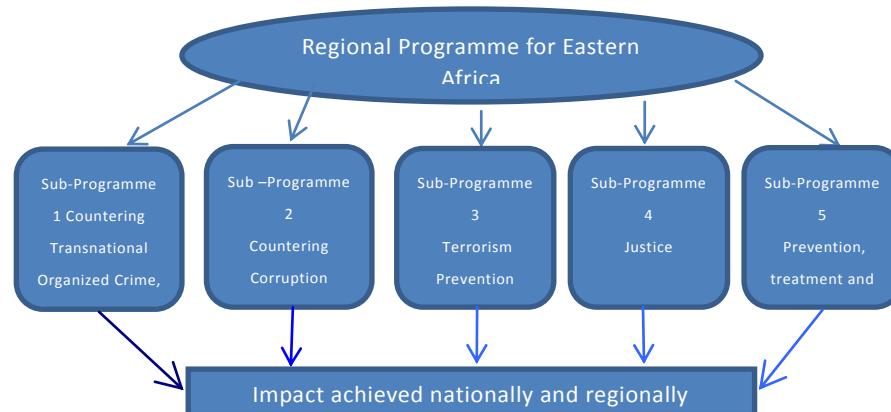
The RP for Eastern Africa was developed by UNODC in close consultation with the countries in the region, in order to support them to counter these challenges. The **overall objective** of the RP is to **support the efforts of Member States in the region to respond to evolving human security threats, with a focus on achieving a tangible impact**.

### *Structure and Time Coverage*

The RP initially covered the period 2009-2012. Implementation started in 2010 with available seed-money to kick-start activities. However, due to the delay in the recruitment of sub-programme managers, the Regional Office for Eastern Africa (ROEA) faced delays and difficulties in starting the full implementation of activities as originally planned. Consequently, in December 2012, UNODC Headquarters decided to extend the duration of the RP until the end of 2013.

A staff retreat and an internal review, respectively undertaken in 2012 and 2013 (the internal review was only finalized in early 2014), identified the following implementation challenges: absence of baseline; weak logical framework with no clear priorities; difficult coordination between the RP and a number of global projects; insufficient consideration of the country contexts; insufficient funding; no regional partner; considerable security problems in the field; and delays in the recruitment of sub-programme managers. The internal review report was presented to the Programme Review Committee (PRC) of UNODC in February 2014. Consequently, the RP was extended until 2015, and the logical framework redesigned with a new set of 5 Sub-Programmes (replacing the previous 3 Sub-Programme structure).

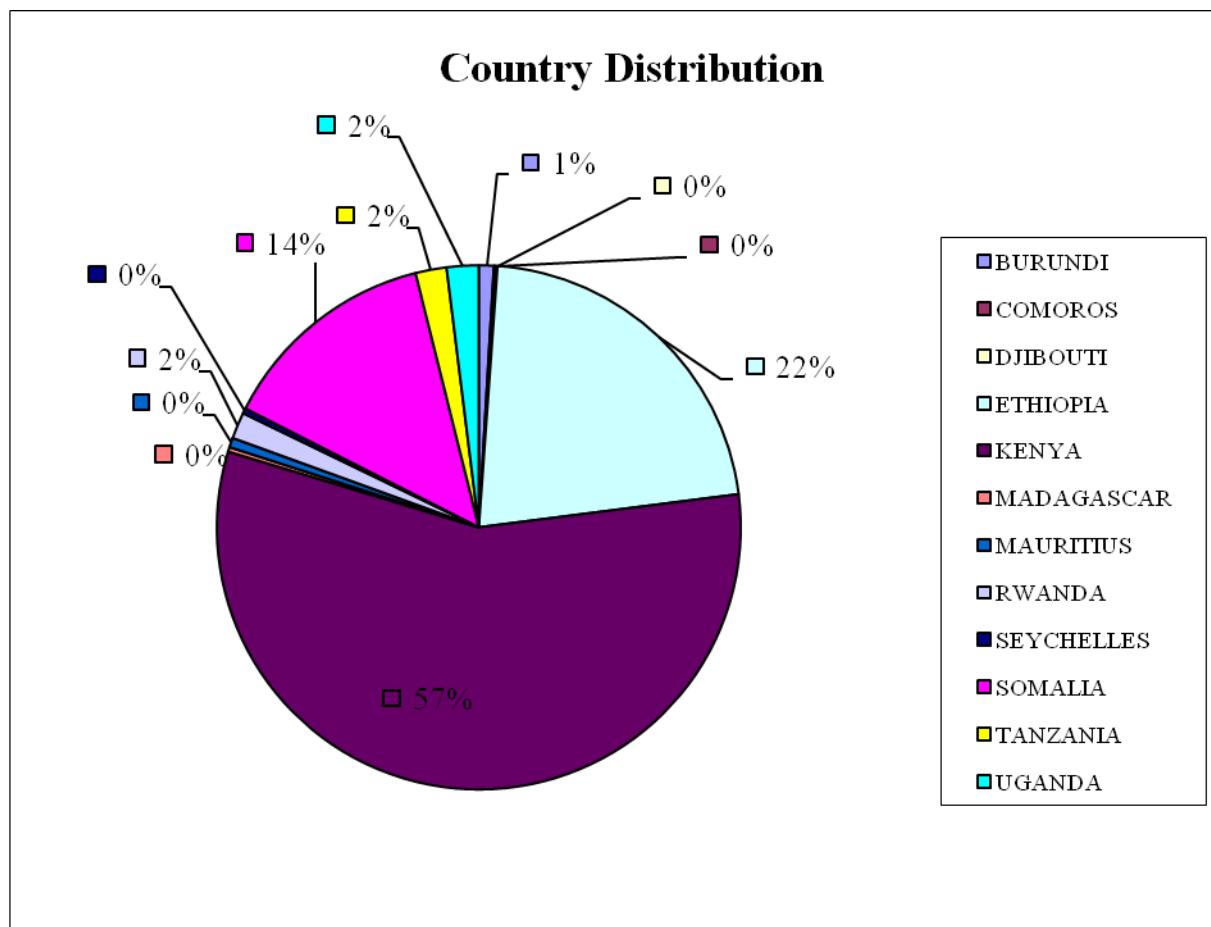
Figure 1 - Regional Programme Structure



## Geographical Coverage

The RP for Eastern Africa covers the following 13 countries: Burundi, Comoros, Djibouti, Eritrea, Ethiopia, Kenya, Madagascar, Mauritius, Rwanda, Seychelles, Somalia, Tanzania and Uganda. The budget for the period of evaluation is shown in terms of country distribution in Figure 2. Kenya receives the greatest allocation (57%), followed by Ethiopia (22%) and Somalia (14%)<sup>11</sup>. It is interesting to note that ten of the thirteen countries (including Eritrea which is not shown on the chart) had between 0- 2% of the total funding. This budget suggests a regional programme with a focus on only three countries. Going forward, with the recent increase in funding of the Maritime Crime Programme focusing on Somalia, and the KENY16 harm reduction programme, the RP could become a predominantly two-country programme with a low level of regional activity on the side.

**Figure 2. RP Budget allocation to countries (all SPs).**



<sup>11</sup> NB. These figures do not include the Global Maritime Crime Programme (GMCP) funds as the GMCP falls outside the ToR of this evaluation.

## Resource Mobilization

Since programme inception, ROEA's overall portfolio has grown significantly. In less than four years, the annual allocation has grown from around US\$ 2.7 million in 2009 to around US\$ 21.3 million in 2013 to US\$ 26.8 million as of July 2014. The breakdown of the financial status by sub-programme as of 30 June 2014 (without the GMCP) is shown in the below table.

#	Sub Programme	ProFi Proposed Budget	Approved Budget (pledged)	Expenditure till June 2014
1.	Sub-programme I: Countering Transnational Organized Crime, Illicit Trafficking and Illicit Drug Trafficking	\$9,171,941	\$4,364,575	\$3,829,988
2.	Sub-programme II: Countering Corruption	\$858,312	\$815,512	\$827,206
3.	Sub-programme III: Terrorism Prevention	\$750,564	\$556,764	\$262,975
4.	Sub-programme IV: Justice	\$24,743,348	\$11,405,716	\$5,962,970
5.	Sub-programme V: Prevention, Treatment and Rehabilitation, and Alternative Development	\$16,993,039	\$16,655,442	\$3,310,477
<b>Grand Total</b>		<b>\$52,517,204</b>	<b>\$33,798,009</b>	<b>\$14,193,615</b>

Funding for activities under the RP since 2010 has been provided by the following donors:

Non-global projects				
SP I	SP II	SP III	SP IV	SP V
Australia, US, Italy, Norway, Sweden, UK, Denmark, EU, IOM, UAE, ONE-UN Tanzania, Trust Fund to Support Initiatives of States to Countering Piracy off the Coast of Somalia	Ireland, Sweden, UK, ONE-UN Tanzania	UNDP, Canada, Sweden	Australia, Germany, Israel, Norway, Netherlands, Sweden, UK, US, UNICEF	Sweden, UNAIDS, US, Canada, UNDP, OFID, Austria, WHO, Global Health Communication, Netherlands, Australia
Global projects				
SP I	SP II	SP III	SP IV	SP V
EU, Norway, UAE, US	UK, Australia	Denmark, Germany, Norway, Sweden, Turkey, US, Italy, France, Belgium		US, Norway

## Regional Portfolio

The RP has been implemented through one country programme (National Integrated Programme for Ethiopia 2013-2017) and, since 2014, through five Sub-Programmes. Currently, there are 23 on-going projects and 6 ongoing global programmes being implemented in the region (not pertaining to the Maritime Crime Programme). All of these projects and programmes should be interconnected to the RP and contributing to broader programmatic outcomes at the regional level. A complete list of projects is provided in Annex IV.

## Evaluation Purpose and Scope

In 2010, the Joint Inspection Unit (JIU) undertook the Review of management and administration in UNODC.<sup>12</sup> In this Review, the Inspectors recommended (recommendation #9) a thorough independent evaluation of thematic and regional programming implementation to be conducted and be presented to the governing bodies.

As a response to the JIU recommendation, UNODC's Independent Evaluation Unit (IEU) engaged in systematically undertaking evaluations of RPs. In line with this approach, the evaluation of the RP for Eastern Africa was initiated by ROEA, in close coordination with IEU.

The **purpose** of the evaluation is summative in nature as it seeks to determine the extent to which planned objective and outcomes were produced, enabling decisions with regards to the continuation of the RP and the drafting of a new RP.

Deriving from this purpose, the **specific objectives** of this evaluation are to:

- contribute to organizational learning by identifying the strengths and weaknesses of UNODC in the region and under each thematic area;
- contribute to accountability by assessing the achievements of UNODC in the region and the appropriateness of the utilisation of resources;
- contribute to decision-making in relation to UNODC strategic orientation in the region and in thematic areas for the next Regional Programme.

To respond to the above objectives, this evaluation builds on (i) the Joint Inspection Unit report, (ii) the evaluation of the Integrated Programming Approach and the GLOU46 project ("Support for the Integrated Programming Unit to promote multidisciplinary and cross-sectoral technical cooperation"), and on (iii) the past RP evaluations (East Asia and the Pacific and Afghanistan and Neighbouring Countries), with the aim to learn from and complement these reports.

The intended main users of the evaluation are the recipient Governments and their respective beneficiaries, the Programme Coordinator and other project managers, as well as donors.

**Substantive scope.** Notwithstanding the adherence to the DAC Evaluation Criteria (Relevance, Effectiveness, Efficiency, Sustainability, and Impact), additional evaluation criteria such as design, partnerships and cooperation, knowledge management, and other cross-cutting issues such as gender and human rights are considered.

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<sup>12</sup> Review of Management and Administration in the United Nations Office on Drugs and Crime (UNODC), Joint Inspection Unit, JIU/REP/2010/10

In light of the above, the scope of Regional Programme Evaluations includes assessment of:

- The contribution to the objectives of the UNODC Medium-Term Strategy and of the UNODC Strategic Frameworks
- The contribution to the Millennium Development Goals (MDGs)
- UNODC regional/country offices' role in support of the RP
- The linkages between the RP, its building blocks (i.e. projects) and Global Projects
- The integration and synergies between the various programming instruments (Thematic, Regional, Country Programmes, if any)
- The contribution of the RP to UNODC Inter-Regional Approach for drug control
- The phasing out of existing projects into programming
- The coexistence in UNODC portfolio of programmes and national projects
- UNODC comparative advantage in the thematic areas
- UNODC partnerships
- The resource mobilization
- The administrative, oversight and governance processes
- The reporting mechanism(s) related to the RP
- The design of the RP

As the GMCP evaluation is planned to take place in the first quarter of 2015, it will be excluded from the scope of this evaluation. Only aspects related to the interaction between the MCP and the RP will be assessed, e.g. how the two can better mutually support and reinforce each other.

**Time scope.** The evaluation covers the period from November 2009 to September 2014.

**Unit of analysis.** The unit of analysis is the RP, including its 5 Sub-Programmes. This evaluation will assess the RP in a holistic way focusing on, inter-alia: the political and strategic linkages with on-going global and regional initiatives, buy-in by counterparts; and the effectiveness of the governance framework.

However, as the RP is “operationalised” through the implementation of projects, as mentioned under “Regional Programme Portfolio”, projects and sub-programmes are also considered as evidence in this evaluation. Under the timeframe of the Regional Programme, 38 projects were implemented (including CCP and MCP - please see the list in Annex IV). Out of these 38 projects, 12 were evaluated<sup>13</sup> and 6 are planned to be evaluated in the near future<sup>14</sup>.

As mentioned above, 19 global projects have also contributed to the implementation of the RP (6 ongoing). Ten global projects have been evaluated.<sup>15</sup>

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<sup>13</sup> KENI08 Mid-Term Independent Project Evaluation 2008, and Final Independent Project 2013. In-Depth Evaluation of UNODC Counter Piracy Programme (projects MUSX55, SOMX54, XAMT72, XAMX74, XEAX20, XEAX67, XEAX93, XSSX11, XEAX67), May 2013.

<sup>14</sup> XEAX67 Planned Final Independent Project Evaluation 2014. XEAX93 Final Independent Project Evaluation 2015. XSSV02 Final Independent Project Evaluation 2015. ETHX97 Final Independent Project Evaluation 2016. ETHX95 Final Independent Project Evaluation 2015. ETHX88 Final Independent Project Evaluation 2016.

<sup>15</sup> GLOG32 HIV/AIDS prevention, treatment, care and support for people who use drugs and people in prison settings,  
GLOJ71 Treating drug dependence and its health consequences / OFID-UNODC Joint Programme to prevent HIV/AIDS through Treatnet Phase II,  
GLOS48 Anti-Corruption Mentor Programme,  
GLOK31 The Paris Pact Initiative - A partnership to counter traffic in and consumption of Afghan opiates,  
GLOS83 Global Initiative to Fight Human Trafficking (UN.GIFT),  
GLOG80 Container Control Programme,

## Evaluation Methodology

### *Design*

The evaluation was designed and conducted in compliance with the UNODC Evaluation Policy<sup>16</sup>, the Terms of Reference (TOR) and accepted international programme evaluation standards.

It should be noted that UNODC evaluations and audits<sup>17</sup> form an important information base for the undertaking of the evaluation of the Regional Programme. All of these informed the analysis of efficiency, relevance and effectiveness of the RP evaluation. Not only did this approach provide the evaluation team with additional evidence and perspectives from multiple sources, it also avoided duplication of efforts. This report is drafted on the premise that readers are familiar with the aforementioned evaluations.

## Data Collection Instruments

A variety of data collection instruments were designed in order to gather and triangulate evidence:

### *Desk Review*

A review of regional programme and relevant project documentation was undertaken. A list of the documents reviewed can be found at annex III.

### *Semi-Structured Interviews*

Semi-structured interviews were conducted with a selection of stakeholders provided in an initial list. The interviews provided clarification on issues that were not discernable in the available documentation, and brought up additional information.

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GLOU68 Strengthening the Capacity of Civil Society Organizations in Africa to Combat Corruption and Contribute to the UNCAC Review Process

GLOT55 Promoting the implementation of the Protocol to Prevent, Suppress and Punish Trafficking in Persons, especially Women and Children, and the Protocol against Smuggling of Migrants by Land, Sea and Air, both supplementing the United Nations Convention against Transnational Organized Crime,

GLOU40 Global Programme Against Money-Laundering, Proceeds of Crime and the Financing of Terrorism (GPML), and

GLOU46 Support for the Integrated Programming Branch to promote multidisciplinary and cross-sectoral technical cooperation.

16 UNODC Evaluation Policy, 2008.

17 Joint Inspection Unit, Review of Management and Administration in UNODC, 2010

Office of Internal Oversight Services, Audit Report UNODC Regional Office for East Africa, July 2010

Office of Internal Oversight Services, Evaluation of UNODC, March 2013

Comparative audit analysis report, May 2012

In-Depth Evaluation of UNODC Integrated Programming Approach, October 2012

In-Depth Evaluation of UNODC Support for the Integrated Programming and Oversight Branch to promote multidisciplinary and cross-sectoral cooperation, project GLOU46, October 2012

In-Depth Evaluation of UNODC Counter Piracy Programme (projects MUSX55, SOMX54, XAMT72, XAMX74, XEAX20, XEAX67, XEAX93, XSSX11), May 2013

Independent In-Depth evaluation of the UNODC Global Programme on HIV/AIDS 2008-2012, April 2014<sup>18</sup>

In-Depth Evaluation of UNODC Regional Programme for East Asia and the Pacific, March 2013

In-Depth Evaluation of UNODC Regional Programme for Afghanistan and Neighbouring Countries, September 2014

ROEA OIOS audit, November 2014

### *On-line Questionnaire*

A survey questionnaire was sent out to the entire list of stakeholders provided with general and specific questions (see annex II). The response rate was 19.5%.

### *Sampling Strategy*

For all above data collection instruments a broad and inclusive sampling strategy was deployed as possible. The questionnaire was emailed to the full list of stakeholders as identified by ROEA and supplemented by additional stakeholders as identified by the evaluation team. The semi-structured interviews and the field visits to Kenya, Ethiopia, Tanzania, and Seychelles, and the video conference with stakeholders in Somaliland, were purposefully sampled but again encompassing as broad a range and depth of stakeholders, stakeholder groups and geographic coverage. This was mapped against all five SPs to further ensure horizontal coverage of the RP.

### *Limitations to the Evaluation*

The desk review material appeared sparse and lacking in certain areas, in particular reporting on RP activities although the evaluation team recognise the efforts made by the ROEA to retrieve documentation from the beginning of the RP in 2009. With regard to all Sub-Programmes (SPs) there were significant limitations to evaluate the impact on end beneficiaries of the RP activities. Specific activities would need to be followed in ‘case studies’ and interviews at the community level in order to understand whether activities impacted the actual delivery of justice and created more access to justice, whether corruption has been tackled, or how HIV/AIDS victims have benefitted. Or, alternatively victimization and corruption reports would need to be implemented, however, they don’t allow conclusions as to the effect of the RP amidst many factors that played out against corruption.

## II. EVALUATION FINDINGS

### *Design*

The initial design of the Regional Programme (RP) was proved challenging since it was one of the first two RPs to be designed and implemented. There was an obvious attempt made to ensure it adhered to the Integrated Programming Approach (IPA) and appropriate national stakeholders and experts were engaged during the design phase in an attempt to ensure relevance and political buy-in. The fact that the RP generated donor funding suggests that the concept and design process was appreciated by external stakeholders, especially donors.

It became apparent during the evaluation process that the medium and long-term added value of the RP design hadn't been clearly understood by all stakeholders. As noted earlier under 'Background and Context' (see Figure 1, p. 2) the RP went through a 'redesign' phase in 2012/13 and emerged from that process with five SPs rather than the original three SPs. The splitting of SP 1 and creating SP 3 as 'Terrorism Prevention' made sense from a RP perspective with a major Global Programme (GLOR35) having the Terrorism Prevention mandate. This Global Programme works with the ROEA and within the RP in pursuing its objectives which are mirrored in the revised RP log frame. Given a lack of donor funding to the RP for terrorism prevention work and the fact that GLOR35 had donor funding to pursue its anti-terrorism objectives the terrorism prevention work done within the RP is GLOR35 influenced. This raises the question how much of the RP design is driven by research and needs assessments and how much is driven by funding availability. A similar concern was expressed under SP 5 where the design covers the thematic areas under health and livelihoods through setting up an umbrella project (XEAU79) that integrates three global projects, an inter-regional project, and country projects. It is project driven in that the themes and countries were chosen by donors who funded projects rather than determined by an assessment of what needed to be done in EA countries in order to form a comprehensive and integrated regional programme. The lack of initial or subsequent RP baselines and needs assessments coupled with subsequent project and programme activity under the SPs driven by donor priorities and funding availability indicates that the RP design is primarily driven by donor priorities and SP rather than RP priority setting.

**A fundamental problem of the design is also that it is based on a generally weak situational analysis.** For example, in the area of criminal justice the situational analysis in the initial RP document in regional and country-specific criminal justice issues is weak. The RP design in regards to criminal justice was therefore barely context specific. It lacks a variety of information, including a regional and country specific needs assessment, analysis of different country contexts (e.g. political backgrounds, existing regional cooperation and strategies, socio-political challenges to anti-corruption work and criminal justice, knowledge of different normative orders and sources of law, etc...). Especially as UNODC's interventions in the criminal justice field target crime, drugs and terrorism (UNODC strategy for 2008-2001, Economic and Social Council, February 2007), programme design is ideally based on an understanding of national and local political economies as they underpin the delivery of justice. Crime, drugs and terrorism are often closely related to political groupings that act as relevant players in reform and state-building exercises.

This pointed to a more fundamental lack of strategic planning. For example, the SP 5 regional sub-programme is actually project XEAU79 (one project was formed for each of the three initial RP sub-programmes, supported by soft earmarked funding from the Swedish Government). This includes all 13 countries and covers all of the thematic areas mentioned in the programme goal (drug and HIV/AIDS prevention and treatment, and rehabilitation, including prisons). As such, it would have provided an opportunity to become a true regional programme, which would logically involve a sequence of steps following the signing of the Nairobi Declaration, beginning with a situation assessment (strategic information) of the EA region and setting up a steering committee (governance) consisting of representatives (or focal points) from each country. Advocacy and sensitization of government leaders for buy-in, leading to a jointly agreed upon plan of action with priorities would then become the basis for establishing a true regional programme. However, there is no strategic planning of this nature reflected in the current results framework or other documents. There was no participatory planning process to support it. What can be observed through the XEAU79 progress reports is the delivery of a series of outputs that fall under the thematic areas, such as awareness raising and advocacy regarding drug treatment and HIV, capacity building, surveys on HIV and injection drug use in a few countries (in more recent years); however, these are not linked to the objectives and outcomes of the RP Results Framework..

There are examples, however, of specific projects within different SPs creating the type of baseline and needs assessments that the RP hasn't undertaken. The Eastern Africa Trans-National Organised Crime Threat Assessment (TOCTA) that is SP 1 specific and helped inform priorities within that SP. Under SP 4, the study on Establishing Independent Policing Oversight<sup>18</sup> has informed the Kenya Police Reform Project (KENZ04). In Somaliland a thorough assessment was conducted<sup>19</sup>, which provided the frameworks for the Somaliland criminal justice programme. In Ethiopia, the 'UNODC Assessment of the Criminal Justice Sector in Ethiopia' partly formed the basis for the development of a Criminal Justice Programme in Ethiopia (ETHX97). DFID supported some scoping work on corruption in Somalia under the RP, which resulted in an excellent piece of analysis providing in-depth understanding of socio-political realities that underpin corruption.<sup>20</sup> Further studies on understanding of accountability in Somalia were written in 2014 based on four policy dialogues among the civil society, the private sector and the Government of Somalia, giving a local ownership to the programming on anti-corruption in Somalia.<sup>21</sup> **The design of a new RP should be built on best practice from SP-specific assessments in creating its own general regional assessment.**

Generally, the design of the RP and more specifically SP-related activities reflect UNODC mandates and thematic programmes, but it was weak on following the guidelines for M&E. For example, the design of SP 5 follows UNODC mandates and Thematic Programmes on 1) evidence-based drug prevention and treatment, on 2) HIV demand reduction among drug users and those in prisons. It does not follow the guidelines for monitoring and evaluation, as pointed out at the beginning during an audit by OIOS in 2010<sup>22</sup>. The outcomes and indicators changed

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<sup>18</sup> UNODC, Establishing Independent Policing Oversight in Kenya. Challenges and Opportunities, Nairobi, 2012.

<sup>19</sup> UNODC, An Analysis of the Criminal Justice Sector in Somaliland, July 2011.

<sup>20</sup> Fredrik Eriksson and Rick Messick, Strengthening Accountability in Somalia, unpublished report, commissioned by UNODC, 2013.

<sup>21</sup> Mohamed Abdi Warsame, Fredirk Eriksson and Admirela Ancion, Five unpublished policy papers and one large synthesis report analyzed anti-corruption entry points under "Understanding of Accountability in Somalia", 2014

<sup>22</sup> OIOS. (2010). Final Report Audit of UNODC Regional Office Audit Report for East Africa. UNODC:

substantially from the original programme document (2010) to the revised version resulting from the 2013 internal evaluation, and the name was changed from “Sub-programme 3” to “Sub-programme (or Pillar) 5”. The original results framework (2009) was far more detailed and comprehensive and showed more strategic thinking (it consisted of a framework that was 9 full pages in length; whereas the 2013 version is only one page). A few comments can be made about the new framework. First, the outcomes are vague and the indicators use “number of countries” as a metric for assessing progress. The proposed data collection to verify indicators refers to government reports and “observatories.” (There is only one observatory in Kenya, but no documents were provided on this – it may be still in the idea stage?) It remains to be shown that data are available that can be used to verify these outcomes. There have been no documented assessments done by SP 5 to use these government reports or data to assess achievement of expected outcomes.

The same counts for SP 2 and SP 4. An internal review of the RP (for the period of 2009 – 2013) found that the SP 2 ‘Fighting Corruption and Promoting Justice and Integrity’ was too complex to be treated under one framework. It recommended that both fields should be addressed under separate SPs, ‘Countering Corruption’ (SP 2) and ‘Criminal Justice’ (SP 4). The proposed division was reflected in the revised logical framework. This division also resembles thematic divisions at UNODC HQ, and is part of the strategic framework of UNODC for 2014-2015. The joint indicators of the original RP design for anti-corruption and criminal justice work were extremely broad and ambitious, including an increased capacity of Member States’ justice systems in trials and convictions; an increasing implementation of UNCAC by Member States and establishment of anti-corruption bodies in line with UNCAC. While the new indicators are better, some still seem sufficiently broad.

Some areas of the RP showed a lack of an integrated approach between SPs and with GPs. The SP 3 terrorism prevention activities under the RP are built around the Global Programme on Terrorism Prevention (GLOR35) activities. However there does seem to be some potential ‘crossover’ between SP 1 activities under the Global Maritime Crime Programme (GMCP) component of that SP and counter terrorism (CT) / terrorism prevention (TP) work. This separation of what is primarily SP 1 Somali based CT / TP work and SP 3 GLOR35 based Terrorism Prevention Branch (TPB) work under the Global Programme (GP) suggests that the RP is not identifying potential areas where further integration between SPs **and** between Thematic and Global Programmes could be realised. Yet this apparent lack of integration is not universally replicated across the RP. Some of the outputs from SP 5 (awareness raising and advocacy regarding drug treatment and HIV etc.) were generated from Global (GLOG32 and GLOJ71), inter-regional (XSSV02) and regional projects (XFK45) that selected two or more countries from within East Africa as participants. The RP (XEAU79) was able to integrate these other projects into its planning umbrella and to expand their reach into other countries, such as to do capacity building for drug treatment using the GLOJ71 (Treatnet II) curricula and TOTs in many of the non-Treatnet countries. The GLOG32 and XSSV02 projects focussed on HIV harm reduction among drug users and in prisons, and in the countries that were selected by those projects where most progress has occurred. Thus, the success of individual countries in achieving the RP’s aims was somewhat determined by the selections made by Global and inter-regional projects. **The new RP should instigate a regime to identify where integration between SPs **and** with other GPs and thematic areas can be realised.**

The guiding principle in elaborating the RP was to articulate a holistic, integrated and nationally-owned approach to key security and justice challenges and thereby providing a strategic guide for the work of UNODC in the region. It also sought to outline a clear framework that Member States, other regional stakeholders and donor partners could refer to when considering how they might best collaborate with UNODC. A fundamental prerequisite in attaining that goal is the ability to design a RP that provides integration within UNODC family of projects and programmes that impact upon the region. The current RP does not have a detailed enough picture of the aims, objectives, outputs and outcomes of the different UNODC projects under (or impacting upon) their different SPs. There is no ‘master log-frame’ of current projects within the RP. That information can only be obtained by interrogating different parts of UNODC, different systems, different standalone spreadsheets / documents etc. This lack of centralised detailed knowledge makes ensuring that RP objectives and individual project and SP objectives are aligned difficult. As noted previously some SPs have attempted to integrate their work with other parts of UNODC but this has been done at an SP level with no reference to the RP. **The new RP should create this master log-frame and use it to help identify where greater integration within UNODC projects and programmes can be achieved and ensure all projects and programmes are aligned with the RP objectives.**

There is additionally a lack of clarity around the overall purpose of the RP. During the interviews with the different stakeholders many responded that they didn’t really know what the RP was supposed to achieve – or they had not heard about the RP at all. Those that did express an opinion would talk in vague terms about ‘integration’ and ‘buy-in’ without elaborating on how the RP manages to achieve this integration and buy-in. Their buy-in and ownership related to concrete country-specific projects.

There was also a lack of clarity on whether the RP was focussed solely on advocacy at the policy level and / or assisting on a more operational level nationally. In general there appeared to be recognition that working at a regional level should be encouraged but a lack of appetite to actually make it happen. Some UNODC staff argued that the RP has provided more political buy in, but that was not obvious in interviews with donors and stakeholders. In fact, the majority of governmental partners were little familiar with the RP.

There is a strong perception among HQ staff that the RP has been a helpful tool in fundraising. However, that seemed to mainly apply to the un-earmarked funding provided by Sweden at the beginning of the RP. No further un-earmarked funding was provided during the life time of the RP. In fact, most donors in the region stated that the RP was not a deciding factor for them to provide funding to UNODC. Most of them are country-based and spend according to their country priorities. Some even explained that regional aspects would make their funding situation more difficult, as they would need to cooperate with other Embassies in the region. They claim that their funding decision was only based on country analysis, or the fact that UNODC was already a stakeholder in the country. Only some donors favored the fact that there is a regional ‘umbrella’, or some sort of a comprehensive framework, behind the country-level project.

Some UNODC staff see the RP less in the light of its regionality, but as an administrative vehicle to place different funding. As the RP is sufficiently broad, it makes it easier to add funds without having to create new projects. For example, all projects in SP 4 are bilateral, with some regional aspects, or cross-border aspects. The RP can therefore serve as a basket fund type instrument that can absorb a broad array of funding. For example, when significant funds came in for the Kenya Police Project, a separate project was opened, which took one and a half years to do.

**The new RP must set out its objectives and run an advocacy campaign both internally and externally detailing precisely what the RP is, what it intends to achieve, how it intends to achieve it and why it is worth achieving it.**

This evaluation contends that the EARP requires redesigning. The extent to which it is redesigned will be determined by the objectives of the new RP. Regardless of how it is redesigned the RP cannot simply be a collection of projects within the ROEA. It must bring some form of added value to the RO, UNODC and its stakeholders and partners. Thus the fundamental question of ‘what is the EARP actually meant to achieve?’ has to be answered and, crucially the detail of how that will be achieved must be explained. At this moment in time it appears the RP is trying to be all things to all people (policy level advocacy, Global / Thematic integration, Sub-Programme integration, Sub-Programme support, country programme implementation, individual project support etc.) and therefore lacks a singular identity which the RO could support and which would be far easier to explain to external stakeholders and partners.

UNODC guidance on the design of a RP state “*UNODC RPs are designed and implemented together with the countries in the region and with leading regional organizations/entities and normally drive/support the implementation of regional drug and crime control policies, strategies and action plans. RPs are structured, as per the existing local context, to either contain: mostly regional level interventions; a mix of national, regional, inter-regional and global projects/segments; or interlinked, mostly country level action that is required to achieve regional objectives*”<sup>23</sup>. Thus the design of the RP must ensure it is addressing regional needs but how the Office as a whole and the RO specifically achieves this is dependent upon local context. The redesigned EARP must engage fully at a policy / strategic level with appropriate state and regional actors to ensure the RP reflects current regional priorities but also informs those same actors of potentially new priority areas or where a shift in focus would be beneficial. Once the new RP is agreed the ROEA, in consultation with appropriate HQ functions, has the flexibility to determine how best this can be achieved with their knowledge of the local context. **Thus the new RP should include a UNODC needs assessment based on its own in-house assessments from current SPs and relevant GPs. Once the RP is agreed a UNODC RP implementation strategy should be designed with the ROEA taking the lead, consulting with appropriate HQ functions, to determine how GPs and Thematic Programmes are integrated into the RP.**

### ***Relevance***

As noted above, the RP seems to have started life as extremely relevant to the majority of stakeholders who were involved at the beginning. The concept of having UNODC oversight on all, relevant, project and programme activity within the region that fell under the appropriate UNODC mandates and where UNODC could potentially add value was appealing to all stakeholder groups. However, due to well documented reasons, including a lack of resources to fund RP activity beyond the first few months, the RP fell from the consciousness of the majority of stakeholders concerned with its activities. That is not to say that there is now little or no relevance for an EARP, only that any new RP must: a) ensure its objectives are relevant and clearly understood within the Office and agreed with its external partners; develop a proper governance structure, c) be properly funded to achieve its objectives; d) have an objective and

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<sup>23</sup> The Integrated Programming Approach (IPA) A ‘How to’ Guide, June 2014

detailed RP plan (using results framework or similar planning framework as currently used by UNODC), and e) design a monitoring and evaluation regime that is adopted and implemented.

The relevance of each SP in the region does not necessarily reflect actual programming. For example, from an external perspective it would appear that SP 2 and 3 are extremely relevant to the region yet they form a very small part of the work of the EARP. In budgetary terms together SP 2 and SP 3 account for less than 8% of total annual spending across the five SPs.

In some ways, global programming in some thematic areas has dominated the work in the region. In SP 2, for example, XEAU77 is the main ‘umbrella project’, under which most activities in the region are implemented. Most funding, however, came from the global programmes (GLOX69 and GLOS48). There is a general sense that the RP did not make much difference to the implementation of anti-corruption initiatives in the region, since most activities were embedded in global programming. Most stakeholders think that the same interactions in SP 2 would have taken place without the RP. This perception is supported by donors in the region stating that anti-corruption programming was not really presented as part of the RP; and that the regional anti-corruption adviser, who was appointed as coordinator of SP 2, was funded by the global programme (GLOX69), with the main task to implement the latter.

In addition, circumstances in the anti-corruption field have changed significantly. The room for UNODC’s anti-corruption engagement has become significantly tighter in the last five years, with bilateral arrangements being developed. While countries like Uganda and Ethiopia are still very interested in technical advice from UNODC, some of these bilateral ventures implement major interventions with their pre-qualified private contractors. While they welcome UNODC facilitating initial meetings with local counterparts, the room for broader UNODC interventions has narrowed. SP 2 therefore remains mostly focused on the delivery of technical assistance, including on investigations and law enforcement. Support to UNCAC reviews – which did not exist at the time of the design of the RP – should help identify gaps in the anti-corruption work in each country and help to develop more structured action plans for anti-corruption interventions. This, and a shift from prevention to law enforcement, was discussed in the internal review of the RP in 2013. There is also a debate on the socio-cultural and political elements of corruption – such as local norms, perceptions, local understanding of justice, as well as political economies. As the type of engagement has shifted, UNODC with its experience could play a key role in stimulating the debate and developing / supporting pilot activities. There could be a role for UNODC to facilitate debate on how best to support bilateral engagements.

It is evident that the effect of UNODC anti-corruption efforts will depend on the political will of the Somali Government as well as donor commitment to see through anti-corruption work. Still a key donor in Somalia states that UNCAC and reviews, and the establishment of an anti-corruption commission are not the main issue in Somalia. In regards to Somalia, wider conceptual thinking – as initiated through the DFID-funded analysis and the subsequent consultations in Somalia, and is already included in the Somalia anti-corruption programming – may lead to successful anti-corruption work in fragile states such as Somalia.

The role of anti-corruption within the RP and its interaction with the appropriate Global Programme(s) is replicated with terrorism prevention and SP 3. The Global Programme on Terrorism Prevention (GLOR35) run from HQ by the Terrorism Prevention Branch (TPB) takes the lead in delivering UNODC’s terrorism prevention activities in the region. Following the 2002

approval by the General Assembly<sup>24</sup> of a strengthened UNODC programme in counter-terrorism, UNODC/TPB was mandated to promote and implement the international legal framework against terrorism that currently consists of 19 international legal instruments against terrorism, as well as several United Nations General Assembly and Security Council resolutions.<sup>25</sup> Given the current global terrorism environment there appears to be little doubt that the Eastern Africa region covered by the RP is of immense importance. It is therefore surprising that there is little documented evidence of either GLOR35 TPB or the EARP taking the lead in promoting – or at the very least assessing – the potential contribution UNODC could make to counter-terrorism and terrorism prevention under the RP within the region.

**Any new EARP should assess, with the support of the relevant GPs and external partners, the relevance and type of anti-corruption and terrorism prevention to the region. The new RP's methodology should then detail how the delivery of the desired support in these areas will be managed between the RP and HQ / GPs.**

The Global Maritime Crime Programme (GMCP) only forms part of this evaluation where it has some specific aspect that can inform the RP evaluation. It is interesting to note, therefore, that the CPP was extremely successful in generating funding for its activities yet these activities fell, for the most part, outside the RP until it (CPP) was integrated into SP 1. This could be an indicator that the RP and its relevance had been almost entirely forgotten by the very stakeholders (especially donors) who assisted in its early development. The GMCP has now been fully integrated under SP 1 and this consists of a number of on-going projects (SOMX54, SOMZ02, SOMZ15, SOMZ16 and XAMX74). The relevance of these projects to the individual countries has, to some extent, been addressed. However their relevance to the Regional Programme remains wholly unassessed. There is no documentation and no feedback from the interviews or questionnaire that suggests the RP had any input into the decision making on these projects with respect to their relevance to the region as a whole. Additionally the results that have been achieved by these projects do not seem to have been influenced in any way (positively or negatively) by the RP. To all intent and purpose the RP has been a nonentity to the stakeholders of the GMCP.

Outside the GMCP a main element of SP 1 is Project ETHX88 forming part of the National Integrated Programme for Ethiopia (2013-2016). It is part of the Regional Programme for Eastern Africa (2009-2015) and the Thematic Programme on Action against Transnational Organized Crime and Illicit Trafficking (2011-2013). It is relatively new (beginning in February 2014) and its relevance was established through an initial project proposal document which contained a patchy situation analysis which did not take the next step into a full needs assessment.

Another element of SP 1 is Project ETHX95. The objective of this project is to assist the Governments of Ethiopia (GoE) and Djibouti (GoD) in strengthening their capacities to provide protection to presumed victims of human trafficking, prosecute traffickers and smugglers, in a coherent and well-coordinated manner and in line with international standards and norms, and to strengthen cooperation between Ethiopia and Djibouti in the area of prevention and prosecution of cases related to Trafficking in Persons and Smuggling of Migrants. As with ETHX88 the initial

<sup>24</sup> A/RES/56/123 and 56/261

<sup>25</sup> In this context, in January 2003, UNODC/TPB launched the Global Programme on Strengthening the Legal Regime against Terrorism (GLOR35). GLOR35 was initially envisaged to last for a period of two years but in 2005 it was revised and changed from a ‘time-bound’ into an ‘ongoing’ programme. As of April 2014, the overall GLOR35 budget equalled USD 88,684,326.

project document contained a situation analysis that was not extrapolated into a needs assessment. The situation analysis did recognise that additional work was required in this area. For example “*In order to support the identification of gaps in the criminal justice responses in Djibouti, a Criminal Justice Assessment (focusing on TiP) will be conducted also in Djibouti. This will facilitate for both the Djiboutian and Ethiopian national stakeholders a comparison of their efforts and will create synergies and momentum in cooperating and collaborating*”.

In SP 4, XEAU 78 is the main ‘umbrella’ for activities however some initiatives have been framed as separate projects (ETHX97 – Criminal Justice – National Integrated Programme for Ethiopia; KENR80 – Strengthening the Integrity and Capacity of the Court System in Kenya; KENZ04 – The Police Reform Programme in Kenya). The programme is reflective of UNODC’s general approach to criminal justice reform.<sup>26</sup> While SP 4 has aligned well with the Thematic Programme on Crime Prevention and Criminal Justice Sector Reform 2012 – 2015, the question arises in how far the Thematic Programme has been built on field experience and ongoing debates in the field of justice. The thematic programme would be an ideal place to provide refined guidance to regional programmes and country-specific projects.

While these are all key elements of justice sector reform, the thematic programme partly ignores long-standing debates led by the UN and other practitioners and academics on the inefficiency of some of these ‘classic’ justice sector approaches. Assistance to rule of law in Member States has been provided through UN agencies since the early 1990s. However, the track record – especially in fragile states – has been questionable. While technical assistance to formal justice institutions remains an important element of justice sector reform, it has been widely acknowledged that approaches driven by socio-political considerations, by in-depth understanding of legally plural environments, and by a focus on justice outcomes for end beneficiaries, may have more impact on an improved rule of law. For example, it has been pointed out that justice sector assessments that are solely based on a ‘deficiency approach’ (focusing on which formal institutions need to be build or require capacity support, or which pieces of legislation are missing), do not capture the main drivers in a country that contribute to the delivery or denial of justice. Technical support for policies or legislation that is solely geared towards putting ‘standard’ systems in place often has the opposite effect when it has passed through local political economies or local normative systems. Support to effective case management does not address the socio-political root causes of inappropriate sentencing, or corruption in the judiciary. Support to restorative justice initiatives – which are often grounded in local justice systems – may not be what litigants desire by the time they have brought their case to the formal system.

State of the art thinking on justice sector reform has acknowledged that establishing a rule of law and a well-functioning criminal justice sector is a deeply social and political issue. Unless political economies that underpin justice delivery in a country, local normative orders that inform citizen’s perceptions of justice, and environments of legal pluralism are fully considered in justice

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<sup>26</sup> The main objective of UNODC’s criminal justice work is to strengthen the rule of law in Member States through the prevention of crime and the promotion of criminal justice systems in line with UN standards.<sup>26</sup> The UNODC thematic programme prescribes a number of approaches for the implementation of the core mandate, including criminal justice sector assessments; policy advise; legislative assistance; and the strengthening of particular justice institutions. Recommended activities include capacity building of the police; technical support to legislation for the judiciary; support to effective case management; promotion of restorative justice and legal aid; and work on prisons and alternative sentencing.

reform approaches, initiatives may have no effect or may even have negative consequences for justice.

Field operations are partly more aware of these issues, but could benefit from guidance on ongoing international debates on this. For example, Somali interviewees identified Shari'a and Xeer (customary justice) as key institutional and normative elements to justice provision in Somalia. Ongoing are discussions on how to 'harmonize' those with common law. A focus on support to modern formal institutions may not reflect what is really needed in building a solid and widely acknowledged rule of law in a fragile environment. Daily realities in justice provision have to be considered in any kind of justice assistance – otherwise strategies are not appropriate vehicles in fulfilling UNODC's main mandates. Such consideration of reality has to be the entry point for interventions – and not a side show. For example, if training of legal aid providers in Somaliland does not provide lawyers and paralegals with tools to navigate the plural legal environment in their country, the substance of the training misses its point. Even more so as most constitutions in the region do consider customary law as a source of law, as long as it is not a violation of international human rights standards. However, local stakeholders in several cases felt that international actors have too little contextual understanding of their situation, and simply see customary justice systems in permanent violation with gender equality and international human rights standards. On the other hand, they ignore that formal justice institution similarly may violate rights. In Ethiopia, stakeholders explained that imprisonment may not necessarily be perceived as a punishment. Putting people to jail can be part of negotiations between clans. This leads to a series of problems, including double punishment, because 'bills' are still open after imprisonment, communities are not reconciled. Work on criminal justice needs to tackle these socio-political and cultural issues, if it wants to be successful.

**All of these specifics within SP 4 reflect other comments within the other SPs that demonstrate the need for the RP to be flexible enough to remain relevant to the national context and to recognize the importance of understanding the local context. Any new RP must not be too prescriptive in how it instructs SPs to implement their projects. Rather it should describe in which areas the RP can lend support. This could extend to ensuring the mechanism exists to allow the RP to transmit lessons learned from the field to the thematic programmes.**

SP 5 is relevant in its alignment with UNODC Thematic Programmes and also its mid-term strategic framework for 2008-2011 (however the most recent version (2012-2015) include two new pillars (SPs): research trend analysis and forensics and policy support, which do not seem to be included within the RP Framework)<sup>27</sup>. The projects described above in the Design section are all relevant to thematic areas under Health and Livelihoods.

Both the heroin epidemic in Kenya, Tanzania and the four island countries (Seychelles, Mauritius, Zanzibar and Madagascar) and concern for HIV in Eastern Africa remains high (particularly regarding PWID and women in prisons), and the situation regarding HIV/AIDS and health in prisons is a long way from reaching acceptable standards. Work in prisons has advanced in Kenya, Tanzania, Mauritius, and to a lesser degree Ethiopia, which leaves the majority of countries in East Africa in need of attention (there have not been assessments regarding HIV and TB in prisons in many countries). In speaking with CLPs in the countries that were evaluated, the areas that UNODC covers were considered highly relevant. Online Survey

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<sup>27</sup> UNODC Mid-term Strategic Frameworks for 2008 - 2011 and 2012 – 2015. UNODC: Vienna.

responses from those working in SP 5 included nine (out of 14) who felt UNODC was either moderately or very relevant; the other five responded don't know and one commented "no relevance."

Work in prisons appears to be one of ROEA's strengths. Interviews with those from the prisons service in Kenya and also in Tanzania and Ethiopia indicated UNODC to be highly relevant to progress in health in prisons. UNODC was instrumental in facilitating surveys on HIV in prisons and among PWID in these countries (also in Seychelles and Mauritius). These surveys have been very useful in generating strategic information, advocacy and also in resource mobilization. Interviews also indicated that UNODC's work was highly relevant to progress in health in prisons. Prison work is particularly challenging because it requires high level advocacy with government and prisons to increase awareness and to change attitudes regarding the situation regarding HIV in prisons. UNODC has the technical expertise to address health concerns and was instrumental in facilitating surveys on HIV in prisons and among PWID and to use these for advocacy and policy changes in these countries (and also in Seychelles and Mauritius). Within SP 4 there is a general sense among stakeholders that prison work is something that UNODC does very well, and where it has a comparative advantage. This is supported by feedback within SP 1 and the GMCP which has a large prison reform component. **A new RP could – therefore – aggregate the current prison reform work being done within the different SPs with an aim to: a) assess how that type of work might be better integrated within the region; b) identify efficiencies that might be achieved, and c) identify lessons learned to improve effectiveness.**

Within SP 5 UNODC relevance is due to need for responses to the previously noted heroin epidemic in Kenya, Tanzania and the four island countries and the associated concerns for HIV in Eastern Africa, which remains high. EA has the second highest prevalence of HIV in the world, and the situation regarding HIV/AIDS and health in prisons is a long way from reaching acceptable standards. Work in prisons has advanced in Kenya, Tanzania, Mauritius, and to a lesser degree Ethiopia, which leaves the majority of countries in East Africa in dire need of attention (there have not even been assessments in prisons regarding HIV and TB done in many countries).

CLPs in the countries that were evaluated reported that UNOCD's coverage of HIV/AIDS is highly relevant. These included government drug control agencies, government ministries (health, education, and social affairs), department of corrections and community-based organisations (CBOs).

The evaluation of UNODC HIV/AIDS<sup>28</sup> Global Programme wrote the following regarding UNODC's work in Kenya (which was a case study of the global evaluation):

*UNODCs role in the Republic of Kenya has been extremely relevant. Advocating for key populations in the Republic of Kenya, in the context of a generalized epidemic was not of interest to donors until recently. UNODC has been advocating for the needs of PWID in the community and in prisons and closed settings when few else were interested.*

*As a partial consequence of UNODCs involvement, the Republic of Kenya has seen significant improvements in addressing HIV and injecting drug use in recent years with its first IBBS,*

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<sup>28</sup> IEU (2014). UNODC Global Programme on HIV/AIDS, 2008-2012.

*population size estimation, NSP increasing in coverage and with a firm base in rights based approaches (e.g., Mombasa and Malindi sites) and now with the soon to be initiation of OST.*

Given the low level of evidence-based drug treatment in the region (there had been some progress in Kenya prior to the RP) all of the country stakeholders that were interviewed expressed much appreciation for UNODC's help in building capacity for drug treatment, beginning with Treatnet (GLOJ71) capacity building training and the efforts to expand to other countries under XEAU79 and other projects. Rwanda, Burundi, Eritrea, Djibouti, had much lower levels of involvement and Somalia was not possible to work in due to a lack of interest from the government and partner UN agencies, especially WHO and UNAIDS, political conflict and security concerns. The SP 5 PM explained that many of these did not engage because they did not feel the need for assistance from UNODC or were not interested in working with the UNODC given its focused mandates on HIV, namely PWIDs and health in prisons.

Those working in the area of drug treatment in Kenya all reported that UNODC was very relevant for building EB programmes, and visits to CBOs in Kenya and Tanzania provided evidence of the results of capacity building and advocacy (e.g. NOSET, SAPTA, and the Mathare Hospital where a residential drug treatment programme was established).

Prevention has been slower to develop due to less interest and low donor support. Recent developments at UNODC HQ include the development of a new package to introduce an evidence-based family skills prevention programme (*Strengthening the Family*) and the International Standards on Drug Use Prevention. The global programme (GLOK01) has been introduced to all East African Countries and there have been two trainings (French speaking and English speaking countries) conducted in 2014. Eleven countries participated, which indicated an interest in developing prevention programmes in the region. Kenya has been supported by UNODC for many years (KENI08) and this included funding of prevention programmes through the national drug control agency (NACADA). Otherwise, it may be fair to say that evidence-based drug prevention is in its infancy in the region.

The regional geographic coverage of RP activities is, however, questionable. In SP 5, for example, there are many countries such as Eritrea, Djibouti, Somalia, Rwanda and Madagascar that have received minimal attention, such as training workshops without repeated follow-up work. There has been some relevance at the national level such as work with the African Union (AU) and inter-governmental authorities. Most of this work has been in the form of national and regional meetings and workshops, including one with Members of Parliament and two ministers. AU has developed its own drug control pan-African framework, with support and TA from UNODC. The same counts for SP 4, where the main focus of activities is at the country level. Having a steering committee to plan and oversee regional work would help to improve relevance at the regional level.

## *Efficiency*

During the evolution of the RP the interaction of the RP with the different thematic areas and global programmes has substantially improved in SP 1 and partially within SP 3. The integration of the CPP (later GMCP) into the RP structure has occurred insofar as the MCP activities are now fully held within SP 1. The extent to which this integration has led to improved efficiencies for the GMCP in particular and UNODC in general has yet to be established.

The main areas of work under SP 1 are Maritime Crime, Tip/SoM, Narcotics, Prosecutors Network, East African Airport Support Programme (EAASP), Container Control Programme (CCP), Wildlife and Forest Crime (WFC) and Aircop. Within those areas some of the key work being done at the moment includes support to piracy prosecution centres, piracy prisoner transfers, hostage support, academic training on piracy issues and the Indian Ocean Forum on Maritime Crime with sub-groups formed on TiP/SoM, WFC and heroin trafficking. In addition work continues in the area of Somali maritime law enforcement including working with the coastguard and continuing prison construction. There is also the continuing construction of Major Crimes Complex in Mogadishu which is planned to become a secure civilian court for terrorism, piracy, disengaged combatants and other major crime. TiP/SoM work is centred currently in Ethiopia and Djibouti.

One of the main areas of concern with regard to efficiency of the RP under SP 1 is the delivery arrangements with respect to HQ and HQ Global Programmes. The SP 1 Programme Coordinator contacted HQ and suggested the following arrangements. Specifically the ROEA takes full responsibility for the delivery of Maritime Crime, Prosecutors Network and Narcotics with HQ supporting ROEA delivery of TiP/SoM with funding through the RO. In the areas of WFC, AirCop and CCP HQ leads with ROEA supporting and HQ takes full responsibility for the delivery of Cyber Crime and ML through their GPs. Funding for these goes through HQ. Connected to this issue is the question of who decides if a GP should have a role and the nature and scope of that role. It was also felt that it was unclear where HQ – and in particular HQ driven GPs – actually add value. This is contrasted by HQ perception that the RP is unilaterally distancing itself from HQ and the GP and refusing HQ substantive support that is being offered to ensure the coherence of UNODC's approach and synergies with other initiatives. This all contributes to a lack of trust felt by some at HQ in the EARP.

Further examples of this apparent disconnect between the EARP and HQs is given in the area of the development of the Prosecutors Network. During the early days of its development it is asserted that there was good cooperation and collaboration through the Kenyan victim and witness protection work with an OCB expert working in the ROEA. Some at HQ expressed the opinion that since the CPP (now GMCP) gathered money and influence cooperation with HQ has substantially reduced.

However there are also examples of excellent communication and collaboration between the RP and HQ / GP. There is a very good working relationship between the justice section at HQ and SP 4 in the region. The HQ section is supporting assessments, drafting of TORs etc. There is a good communications flow between all offices (country, regional and HQ). Country programme staff is in direct contact with colleagues at HQ, which allows for timely communication. Staff appreciated a recent meeting in Vienna, where overall relations between countries, region and HQ were strengthened. SP5 staff report having an excellent relationship with HQ.

The ROEA / HQ / GP disconnect in some thematic areas and some SPs yet not in others suggest the difficulties are human / personal communication based issues. Nonetheless they will have to be addressed by the new RP which will have to reach explicit agreement with the appropriate HQ GPs on who does what and who funds what.

The creation of the separate SP 3 for terrorism prevention fully reflects the UNODC mandate pursued by the Terrorism Prevention Branch under their GLOR35 programme. Additionally further CT and TP work forms part of SP 1 through GMCP activities. As noted previously in this report the lack of a vibrant terrorism prevention programme under the RP given the geographical coverage of the ROEA is surprising. This evaluation contends that the new RP should examine in detail the needs of the region in CT and TP in conjunction with the Terrorism Prevention Branch (TPB) at HQ and determine how best the RP can ensure efficiency of CT delivery in the region.

Full Cost Recovery (FCR) is a new variable that has been introduced UNODC wide which could have a potential impact on efficiency of the RP although its direct impact is more likely to be felt in the area of cost-effectiveness and sustainability. Donors reflect on how the perceived additional cost alters their value for money calculations on the various projects and programmes they fund including the RP and the projects under its umbrella. This general reassessment by donors could have a detrimental effect on the RP if donors decide to shift their funding away from UNODC. With FCR perceived as increasing existing costs for donors, the regional office risks becoming viewed as less competitive in its market place. Donors mentioned that UNDP can deliver on similar things, but cheaper. This is even more pronounced in joint UN initiatives, such as the integrated mission in Somalia. There are current efforts of adding some work on anti-corruption to the UN TF in Somalia, but their overhead is 7%, unlike UNODC.

Donors say UNODC is attractive in regards to technical expertise (e.g. contracting of a consultant) or a small scale intervention to fragile countries, such as Somalia. Most attractive is hereby that UNODC work is embedded in UN security structures, which private contractors are not. However, for larger operations it is felt that UNODC could not field enough people while maintaining independence from other UN agencies. For example, the upper limit of 500 USD / day for a consultant in UNODC does not attract many good consultants to work in highly fragile environments. UNODC is therefore not competitive in the market, and some donors expressed concern over how UNODC can deliver. Some donors worry that since in Somalia there is an integrated mission, UNODC's work on corruption there could be hampered by a UN political stance.

Furthermore, the UN Global Focal Point on Rule of Law is currently in the driver's seat in developing the Somalia programme as a basis for a joint donor Trust Fund. The UN integrated programme approach prefers a joint funding modality, rather than single UN entities entering bilateral agreements with donors. However, the main decision making forums take place in New York, and there have been concerns over the ability of UNODC New York office to follow up on all relevant meetings and ensure that UNODC is a relevant partner in Somalia's Rule of Law Programme, and will receive adequate funding for the planned activities.

The main focus of UNODC's anti-corruption programming has been on the ratification of UNCAC by national governments and the implementation of its review process, which includes reviews of legislation and policies of Member States, as well as support to anti corruption agencies. Funding for reviews is generally provided through global programming. It further covers other technical assistance needs in addressing other parts of the convention, including prevention of corruption and asset recovery. Deficiencies in enforcement had been a key result of some UNCAC reviews. The regional adviser was based in ROEA worked with regional partners and regional agencies, followed up on reviews, and supported countries in harmonizing their legislation. He conducted leadership training, and supported the African Association for Anti-

corruption. He focused on financial investigation, prosecution and support to enforcement, while maintaining close relations to anti-corruption bodies in the region and responding to needs and demands for technical assistance. At HQ level, trainings have been delivered for reviews and support provided to the regional advisors.

There are a number of global programmes with the objective to fight corruption, which operate in the Eastern Africa region (GLOS48 and GLOX69, GLOT08, GLOU68, GLOU58). A strong RP with sufficient funding could have complemented global programming with more context-specific interventions in the region. However, due to limited core funding from the RP, this did not develop. Potential efficiency savings could be made here through a stronger suitably focused RP. One challenge are the different incentives where the RO will want to see the RP grow and develop, that is not necessarily the goal of the GP. It is important that HQ units help to build national programs in collaboration with the regional office. Substantive expertise and lessons learnt can be provided by HQ, while the regional office remains committed to administration of the interventions.

At the country level, programmes have generally taken different shapes, depending on local contexts. For example, SP 4 has covered a broad variety of justice actors in Ethiopia, Kenya and Somaliland. Ethiopia has a country programme, which is based on a justice sector assessment, and which was negotiated with government stakeholders. Funding was provided by the Netherlands. After a delay caused by slow staffing, contents of the programme were renegotiated with government and work has been underway for one year. Some of the ‘access’ to government officials was difficult but there is broad consensus that UNODC occupies a prime position in the justice sector and has excellent relations with governmental partners. The country programme in Somaliland is also based on an initial criminal justice sector assessment. The programme is funded by INL, and is currently one of the main UN initiatives in the justice sector.

In Kenya, government interest in a country programme was small, which is why concrete project areas were developed, such as the support to the Kenya Police Reform. The new Constitution of Kenya had provided space for involvement in police and justice sector work generally, and a Task Force by Presidential Decree had decided on police reform. UNODC seized on the opportunity and Sweden and the United States provided the initial funding for a project. UNODC has built good relationships with various government bodies in this field.

In Ethiopia and Somaliland, there is staff presence. Both international SP 4 staff, in Ethiopia and in Somaliland, also fill the position of Head of Office, representing SP 4 as well as other SPs in country. Problematic for these heads of offices is that they only have line authority in one SP, while they have to represent other SPs in UN country team and other meetings. This can lead to difficulties, for example, when the Minister of Planning requests for a budget from one of the other SPs, the SP 4 staff may not be able to respond. This is an area where an effective RP with a clear strategic vision for the region would be able to interdict, by indicating which different SPs could take the lead in different countries.

Staffing in country also relates to the opportunity to fundraise. One finding of the internal review in 2013 related to inadequate capacity for fundraising activities. There still does not appear to be any fundraising strategy. There was a sense of dishonesty if projects are presented under the coherence of the RP – but the latter is barely funded. In some countries it became very obvious, that a simple core presence in country (even shared between different SPs) would make a big difference in access to funding and good coordination. This counts specifically for Tanzania, where the ‘One UN’ pilot considers UNODC as an important partner in the governance field, despite a continued absence at most meetings, and in Somalia, where the integrated UN mission and the establishment of Trust Funds would allow access to funding and coordination with other UN bodies in a more strategic way.

Presence in country helps to maintain relations with governmental stakeholders, being ‘on the ball’ with latest political developments, and being able to show donors where UNODC can play a role in the respective country. Having one central regional office in Nairobi to serve 11 countries (Ethiopia and Somaliland have their own country office with a presence also in Tanzania, Mauritius and Seychelles) has led to less active involvement with UNODC due to lack of presence at regular meetings with partners. While it is not cost effective to put an office in every country perhaps it would be possible to develop a system of focal points that are provided with support to attend important local meetings, for travel and attendance at regional meetings, for finding opportunities for funding and providing information to the regional office. Something like this was done for the XKAF45 livelihoods project, in which UN volunteers were placed in Uganda, Ethiopia, Kenya and Tanzania.

Structures surrounding fundraising possibilities are not always ideal. Fundraising requires initial programme development, which should be based on thorough analysis. Such, however, requires some core funding. Once a programme is designed – especially with government ownership – expectations of local and national stakeholders are raised. If the project ends up not being funded, relationships with partners may be strained. There are also certain trends that find the appetite of donors. Policy and strategy related work on security issues in the region are very favorable, whereas staff claims it has been very difficult to receive funding for general criminal justice sector reform.

In addition, some donors require in-depth involvement in project design, as they want to ensure their priorities are taken on board, and as project themes may be politically very sensitive. Some explicitly stated that they do not want a fully-fledged proposal from UNODC. Other donors expect a drafted proposal that has passed the stage of negotiations with government or other partners, and is ready to be implemented. Responding to these different donor needs requires financial and personnel flexibility in the RO.

There is unclear coordination between HQ and ROEA in regards to fundraising. It is recommended that global and regional programmes need to be better integrated for this reason. Clearer rules of fundraising would also help for a better image as one organization. Both sides, staff in the region and staff at HQ think that the main fundraising efforts should be in their respective places. This is not aided by the fact that most positions are funded through project funds, which has raised the competition within the organization for funding, sometimes in a counterproductive way. Donors also felt that there needs to be increased commitment and fundraising activities on the side of the RO. Others said that UNODC HQ should provide more core funding to the regions in order to do business development. They mentioned how funding is not always a blessing, if there is no capacity to implement. They feel that UNODC should not always say yes to everything, and be more directed and stricter. There was a sense that the relationship between the region and global programming seemed fragmented. A new RP should explicitly address the area of RP fund raising and how that is managed within the Office as a whole.

There are different donor requirements with which financial reporting has to comply. For example, funding from the European Union cannot be mixed with other funding, so separate projects have to be created for EU-funded activities. The United States want to receive exact reporting on how their funding was spent, while for Sweden and Norway the coherence of the programme is important, and they require reporting on the office.

Good reporting is key for donors. Regular and detailed annual work plans and annual progress reports have been provided for SP 4. In addition, SP 4 consultants have delivered consultancy reports, which provide a good overview on performed activities and challenges. Some donors suggested that a brief weekly or bi-weekly update on activities may keep them better informed.

This is reflected on the feedback from SP 1 and the GMCP which provides fortnightly updates that are well received by its donors and other stakeholders and partners. Regarding communication with donors for SP 5 there was only one interview conducted with a donor (USAID) Kenya. A good working relationship was reported, although there was some concern about the hiring of a project manager for KENY16, which had not taken place several months after the project funding agreement was signed (this delay being attributed to the inability to find the right professional for the post). SP 5 has also provided annual reporting and feedback. Yet the RP has not delivered a single annual report to donors or anyone else. The closest it has come was the RP review document which was a valiant attempt to address the RP issue but the lack of any annual RP reporting is indicative of the (lack of) importance it was given throughout its early life.

It was noted that most of the SPs use contracted consultants to be embedded in governmental institutions and deliver distinct pieces of work. One of the explanations given was that it takes 9-12 months to contract an NGO to perform a task, while the contracting of consultants is faster. This is important when operating with tight time lines. Some partners were very pleased with the way they have been involved in the development of TORs for consultants and in the selection process, as well as with the fact that the consultants were located in their respective offices.

However, in some cases it was pointed out that international consultants are not always familiar with national and local socio-political issues, including knowledge of environments of legal pluralism. This lead to a lack of consideration of contextual issues in final guidelines, trainings, or legislative frameworks. One local consultant explained that the language of a final product drafted by an international consultant was not acceptable to senior government officials, as the political environment at the time was very tense. The local consultant explained how he had to ‘translate’ what was otherwise a very good product into an acceptable ‘language’. One country office overcomes this lack of contextual knowledge by international consultants by providing guidance through local UNODC staff. For example, the staff explains cultural basics to international consultants for meetings, or explains the nature of appropriate approaches to senior government officials. One international consultant, for example, was not aware of hierarchical structures in the respective local organizations, and tried to address personnel not following protocol. Partners subsequently did not like the product. Lack of contextual knowledge has also led to an ‘assessment’ fatigue. One local staff claimed that if internationals were more verse in local contexts, interviews and conversations with local partners would assume a different character, as they would feel that their real problems are understood and addressed. **The support of local staff in bringing in local knowledge, or the teaming up of local and international consultants should be encouraged.**

Another issue that was pointed out by some national partners is that TORs of international consultants should include more elements of capacity building. In some cases they wish that consultants should increasingly share knowledge with local partners to contribute to their capacity building, as opposed to only leaving a product behind. This will increase staff time and the duration of a project, but it is an important element of local capacity building.

There was broad agreement that the entire RP was initially slow on staffing, and therefore the bulk of activities were only implemented from 2012 onwards. There have been a number of staff issues that have slowed down the implementation of some SPs since. For example, staff left in Ethiopia and Kenya, and the subsequent hiring process took long. One post, for example, was vacant for a whole year. Some donors in Kenya wish for better communication on UNODC staff related issues, for example when staff suddenly changes.

Some sections of HQ appear to somewhat underestimate the relevance of field presence. Field staff is key in creating relationships with donors and government and other stakeholders in country, nurture these relationships, create local ownership, develop in-depth contextual

understanding, and see emerging opportunities. Technical expertise from outside or HQ (e.g. guidance from the current thematic programmes) is sometimes not sufficiently context-specific, and does not take into account the ‘politicking’ that is required in country. It needs to be considered how the field presence can be strengthened and supported by the general organization— while acknowledging the important back-stopping that HQ is delivering.

One major challenge for ROEA appears to be the handling of administration and HR issues through local UN providers. Most administrative issues were handled by UNDP in Nairobi in the past. Due to some difficulties, these tasks were transferred to the United Nations Office in Nairobi (UNON). However, some staff, especially those not based in Nairobi, have been complaining about the slowness of UNON responses. Procurement processes, such as for hiring of consultants and staff, or releasing payments for venues or other items, take too long. For example, partners in Ethiopia claim that they have faced inconveniences with hotels and organizers in Ethiopia due to slow payment by UNODC. One partner in Kenya said that the procedures of procurement in UNODC are ‘almost to ensure that the event will not happen’. Somaliland does not have a proper banking system. It has a unique way of transmitting money through remittance agencies. This coupled with slow processes from UNON has slowed down project work. Staff claimed that there are local partners who do not want to partner with UNODC anymore.

One issue that has irritated partners in several countries is the fact that funding earmarked for their country is procured by UNON on an international basis.<sup>29</sup> This has led to Kenyan companies implementing work in Somaliland or Ethiopia instead of supporting local businesses. Local governments do not agree with this practice, as they wish support to local economies. However, UNON regulations require that contracts above a certain amount are subject to an open and competitive process, which allows any company within Eastern Africa to apply. This gives Kenyan companies a clear advantage. Somaliland companies are mostly not competitive in comparison. Ethiopia is said to have very bad phone lines and internet connections, which makes it difficult for local vendors to register with UNON in Nairobi. Procurement of translators for Somalia has resulted in Kenyan Somali translators, which speak a different dialect. This was unacceptable for official documents of the Government of Somaliland. The field office had to spend significant time in fixing the damage. Government partners in Ethiopia pointed out that air tickets for domestic flights for fieldwork in Ethiopia are booked through the Nairobi office and the Kenyan travel agents. That increases the costs of plane tickets, and provides income to non-Ethiopian travel companies. The government institutions in Ethiopia were not pleased about that. New procurement modalities and arrangements available to UN Secretariat organization be explored.

Monitoring and evaluation has generally been very weak across the RP and its SPs. Even at the project level, M&E activities were rather scarce. There is also barely any existing baseline data (except for the Kenya victimization survey, which could serve as such and potentially the TOCTA). Since the criminal justice work is very country focused, there is the question if and how progress can be measured vis-à-vis the region.

Even project partners desire stronger support in M&E of the activities they receive support for. They wish that UNODC could help them in establishing a way to measure their performance. It was mentioned that this is particularly important in the societies of the region that often have had

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<sup>29</sup> UNDP in Hargeisa provides basic types of services to UN agencies, including UNODC, as they are part of the UN Common Compound. They provide office space, connectivity, all common services, including electricity, as well as intelligence to all agencies. They run the UN dispensary, medical emergency team, and a security hub. This relationship has mainly been very constructive.

little transparency in their governance systems. Some stakeholders suggested that UNODC could engage in justice sector mapping exercises. Data needs to be organized in all areas of administration of justice, mapping of crimes, courts, prosecutors etc... Support to the strategic collection of such data can help to provide baselines, but can also feed into the design of projects. A new RP will require a strong M&E regime.

There has been a lack of governance mechanisms. For example, SP 5 did not include a regional governance mechanism based on participatory, planning, design, and implementation. Governance consisted more of coordination and facilitation of global and regional projects by the SP 5 PM along with a programme of regional campaigns and meetings to raise awareness, to do advocacy and to leverage global projects to build capacity in other countries.

However, discussions with UNDP in Tanzania regarding the One-UN programme revealed that UNODC was not in communication or in attendance at meetings, and this had resulted in missed opportunities, such as the possibility of involvement with the multi-million dollar funding for HIV. The UNAIDS representative in Tanzania mentioned the same thing regarding a missed opportunity to participate in the Global Fund proposal—the Tanzania office project manager had not attended or responded to emails or phone calls. There was also much funding becoming available from the US Government. In his view, there were niches that UNODC could have occupied regarding its areas of expertise in HIV/AIDS harm reduction and work in prisons. The RP manager said that the CDC/US Government was taking responsibility for harm reduction work in Tanzania, and thus there was no need to become involved. Oddly, at the same time the US Government (PEPFAR) is sponsoring UNODC in an eight million USD project to execute Harm Reduction for PWID in Kenya (KENI16). Why would UNODC not have the same advantages to offer in Tanzania? One service provider CLP in Tanzania questioned why UNODC has such a larger presence in Kenya considering that Tanzania has as a large PWID population and lags behind Kenya in terms of capacity for drug treatment and rehabilitation and harm reduction services in prisons. In consideration that Tanzania (along with Kenya) has been classified by UNAIDS as one of the 24 high priority countries in the world, and in light of the high level of funding that has become available, UNODC may be missing an important opportunity in Tanzania although the EARO have made representation to the HIV Unit in Vienna suggesting an increased UNODC presence in Dar es Salaam would be beneficial.

Use of resources for capacity building was efficient through building on global projects that provided training of master trainers and TOTs for drug treatment and work in prisons. Cascade training using TOTs was done, and this allowed as many as 2,000 workers to be trained on drug dependence treatment in Kenya, and hundreds to be trained in each of the remaining countries. According the SP 5 PM several countries are now considered to have sustainable capacity building through their own networks of TOTs for drug treatment of health workers and HIV/AIDS prevention, treatment and care in prisons.

## *Partnerships and cooperation*

Regarding the RP as a whole the comments made under relevance should be reemphasised. At the inception of the RP UNODC attempted – with a fair degree of success – to involve all appropriate partners in the development of the RP. Since then the RP has gone on to build partnerships as projects within the RP were developed. However the partnerships developed in the creation of the RP have not been maintained for RP purposes. **The issue of governance for the new RP will have to be crystallised during the (re)negotiation phase of the RP. There may be value in installing a steering committee of relevant stakeholders that would be mandated to meet at least annually to review progress of the RP against its explicitly agreed benchmarks.** As noted there are strong relationships within SPs and individual projects where good relations have been maintained. These can be used as a platform to build the partnerships for the new RP.

According to a recent presentation to the African Union, UNODC is in partnership with governments, African Union, inter-governmental authorities, regional economic commissions, civil society organizations and international NGOs and UN joint teams.<sup>30</sup> The African Union or IGAD were not available for interviews in Addis Ababa, and so it was not possible to ask for their opinions.

Under the different SPs, partnerships were formed with relevant entities. Within SP 1 a partnership was formed with the International Organization for Migration (IOM) to conduct a human trafficking assessment in Rwanda, whose findings led to the development of a Joint Programme (RWAX43 “Enhancing the capacity of the Government of Rwanda and its partners to address human trafficking”). Under the Container Control Programme (CCP) the RP is developing a partnership with the World Customs Organisation (WCO) and developing links with appropriate national stakeholders in Kenya, Tanzania and Uganda to push forward the implementation of a Joint World Customs Organisation (WCO)/UNODC Container Control Programme (CCP) in Mombasa, Dar-es-Salaam, Zanzibar and Kampala. An expanded UNODC presence in Tanzania is being pursued with an office just recently opened there.

Within SP 3 the ROEA has provided technical assistance and advisory services in the area of prevention and counter-terrorism in eleven countries out of the thirteen which are part of Eastern Africa and the Horn of Africa (no activities were conducted in Eritrea and Somalia). Past activities implemented include training workshops, legislative analysis, development of technical assistance tools and participation in workshops co-organized with other organizations and entities, including the Counter-Terrorism Capacity-Building Program of the Intergovernmental Authority on Development (IGAD/ICPAT), Counter-Terrorism Committee Executive Directorate (CTED), Interpol and the Eastern and Southern Africa Anti-Money Laundering Group (ESAAMLG).

There have been excellent relations between the anti-corruption adviser and the local and regional anti-corruption bodies. This is said to be mostly dependent on personalities and good networking skills of the regional advisor.

Within SP 4 inter-agency coordination within Kenya, Somaliland and Ethiopia seemed generally very good. There is excellent cooperation between UNODC and UNDP in Somaliland. UNICEF Somalia even provided funds to UNODC. Relationships were established through ongoing activities. From 2015 onwards all UN entities are scheduled to work under one joint Rule of Law Programme, under a multi partner Trust Fund. Cooperation between UNODC and UNDP is likely

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<sup>30</sup> UNODC ROEA (2014). *Drug dependence treatment in Eastern Africa In Support of the African Union Plan of Action*. PPT Presentation to African Union.

to become even closer. UNODC in Somaliland currently drafts the access to justice part of the Somaliland Development and Reconstruction Fund and Multi partner Trust Fund, while UNDP works on the police reform section.

In Ethiopia UNODC has developed a close relationship with UNICEF. Both organizations just partnered in order to implement a national justice assessment for children in all nine regions of Ethiopia. They plan to launch a joint programme on the basis of the assessment results. Furthermore, there is collaboration between UNICEF and UNODC in discussing the rehabilitation of a remand home for children in the capital city Addis Ababa. UNODC is generally a well appreciated partner in the justice field by other UN agencies. It was named as leading agency in the justice field, and was applauded for always involving other agencies on project activities and design. It has also been an important partner in the planning and implementation of the UNDAF. The head of the Ethiopia office has also headed the Justice and Rule of Law Group, which serves as a platform for donor harmonization, and is said to have been instrumental in advising donors on legal aid. UNODC has further led the discussion around indicators in the justice sector, as part of the donor group. UNODC has also maintained good working relationships with partners that are not engaged in any formal joint programming, such as ICRC in Ethiopia, whose staff comments on assessments or participate in knowledge exchange events. In Kenya, good coordination with GiZ, without formal joint programming, has been emphasized, and UNODC has been essential in coordinating police reform activities in the country.

In regards to SP 5, UNAIDS was interviewed in Tanzania, Ethiopia and Kenya. Two UNAIDS staff were interviewed in Kenya and they reported a good partnership and felt that UNODC was very influential in advancing the HIV agenda for drug users and in prisons in Kenya. They reported that UNODC SP 5 was an active participant of the UN Joint Team on HIV/AIDS.

Coordination has been challenging at other levels, not only within UNODC, but also within the UN, and donor cross-coordination. Staff made a call that there should be more strategic decisions on what UNODC can deliver, what the comparative advantage of UNODC in the anti-corruption field is. For example, UNDP is also very active in the anti-corruption field, while UNODC is still trying to identify its niche and adjust to new circumstances.

Reports from UNAIDS, in regards to SP 5, in the other two countries was not so positive. In Tanzania UNODC was reported to be absent from important meetings and in Ethiopia was reported as not effectively managing the survey on HIV prevalence among the general population. Likewise, in Tanzania UNODC was not visible and the country officer did not communicate with the UNAIDS Joint Team, the One-UN programme of UNDP or with the CCC of the Global Fund. The assessment was that UNODC was not actively pursuing opportunities and was a much weaker and less visible partner than other UN agencies (e.g. UNICEF, UNFPA or WHO). A similar assessment was made by ICRC in Ethiopia who was working in prisons—UNODC was not considered to be an effective partner. The Federal Prisons in Ethiopia, however, did acknowledge and regard positively the capacity building work done by UNODC. These findings are consistent with the view that UNODC is emphasizing work in Kenya, possibly at the expense of work in other countries. Both Ethiopia and Tanzania have one junior staff handling the SP 5 portfolio. Both of these staff members mentioned that having high level UNODC officers was necessary to have a more effective presence.

In Kenya the situation is very different. Regarding SP 5 UNODC is working in partnership with the national drug control agency (NACADA), the MoH and HIV/AIDS agency (UNAIDS, the JT on AIDS and NASCOP), the UN Country Team, government task forces and many CBOs in Nairobi and along the coast. This is perhaps a reflection of the high funding level, available expertise and staff, and the location of the RO in Nairobi. There is also a longer history of work in

the health area by UNODC in Kenya (going back into the 1990s) and this is continuing with the coming of the new KENY16 project.

The above examples demonstrate a commitment to pursuing and promoting partnership and cooperation. This partnership and cooperation philosophy is more due to the work of the individuals involved in specific projects at SP level rather than a guiding principle of the RP. The RP itself does not have any mechanism through which it gathers and analyses information on its current partnerships, the effectiveness of those partnerships, the regional barriers to partnership development etc. Thus there is no mechanism at a regional level to learn lessons from partnership building in the region. This would seem to be a missed opportunity for the RP.

### *Effectiveness*

A partial measure of effectiveness of the RP can be gained from looking at the achievements of the various outputs and outcomes under the different SPs within the RP. Taken from the internal review document of March 2014 the achievements under the different SPs were as follows:

<b>SP 1 (later SP 1 and SP 3)</b>		
<b>Objective</b>	<b>Outcomes</b>	<b>Outputs</b>
1. Strategic Information, Analysis and Awareness Raising	1.1 Data on illicit trafficking and organized crime trends and forms and laundered money and proceeds of crime consequences in the region improved and increased.	“Transnational Organized Crime in Eastern Africa: A Threat Assessment” – September 2013  Study on the “Causes of Piracy and links to Organized Crime” – October 2013  “Piracy Trails”- Study on the Illicit Financial Flows linked to Piracy off the Coast of Somalia (in cooperation with the World Bank and Interpol) – December 2012

	<p>1.2 Comprehensive strategies and policies to prevent and combat trafficking, organized crime, money laundering and terrorist financing established by Member States</p>	<p>Trafficking in Persons interventions in Rwanda and Burundi – 2009-2010</p> <p>Assessment Report on the Nexus between Criminal System Actors and Victim Trafficking and Migrant Smuggling in Kenya - 2012</p> <p>Assessments to facilitate the implementation of the Container Control Programme and the Airport Communication Project in Kenya, Ethiopia and Tanzania – May 2012</p> <p>Support to Financial Intelligence Centers/Units in Ethiopia and Rwanda on Anti Money Laundering and Countering the Financing of Terrorism – 2010</p>
2. Legislative and Policy Advice	<p>2.1 Member States take action to establish national and regional legal frameworks necessary to implement the illicit trafficking provisions of UNTOC and its Protocols, the three international drug control conventions and the international instruments against terrorism</p>	<p>Development of policy and legislative documents in Ethiopia, Kenya and Burundi in the area of Trafficking in Persons and Smuggling of Migrants – 2010/2013</p> <p>Review of Terrorism Legislation in Djibouti and Uganda – June and August 2010</p>

3. Capacity Building of National Institutions	3.1 Law Enforcement agencies show increased effectiveness in investigating trafficking in persons, migrants smuggling and illicit trafficking cases	<p>Assessment and guidance provided to the National Forensic Laboratory in Ethiopia and Tanzania – June 2010 - July 2011</p> <p>Capacity building of justice officials on Trafficking in Persons in Burundi and Rwanda 2011-2012</p> <p>Capacity building of frontline law enforcement officers on drug identification in Kenya – July 2011</p> <p>Support to the development of capacities in Wildlife and Forest crime in Kenya and Tanzania – 2012</p> <p>Capacity building workshop to address the cross-cutting issues of corruption and SoM in Kenya- September 2012</p>
	3.2 Judicial authorities show increased effectiveness in investigating and prosecuting illicit trafficking and piracy cases.	See in-depth evaluation of the Counter Piracy Programme
	3.3 National criminal justice officials in assisted countries apply the international legal instruments against terrorism and related implementing legislation, in accordance with the rule of law	See in-depth evaluation of the Global Programme on Terrorism Prevention.

	<p>3.4 Assisted countries use specialized knowledge on thematic legal aspects of countering and preventing terrorism</p>	<p>Support to key national institutions on Countering Terrorism in Eastern Africa and the Horn of Africa – 2010-2013</p> <p>Development of Counter-Terrorism Tools for Kenya and Indian Ocean Countries – 2010-2011</p> <p>Implementation of Anti-Money Laundering and Counter-Financing of Terrorism initiatives in Kenya, Ethiopia and the Seychelles – December 2012 and July 2013</p>
	<p>3.5 Law enforcement agencies and judicial authorities established and/or strengthened victim/witness assistance and protection mechanisms</p>	<p>Development of policy and legislative documents in Ethiopia, Kenya, Mauritius, Uganda and Tanzania on witness protection – 2009-2011</p> <p>Support for the establishment of a Witness Protection Agency in Kenya - 2009-2011</p> <p>Advisory services on operationalizing a Witness Protection Authority in Tanzania, Uganda, Ethiopia, Mauritius and the Seychelles – 2009-2013</p>
4. Cross-border and Regional Cooperation Mechanism	<p>4.1 Countries of the region are strengthened in their capacity to achieve effective cross-border cooperation</p>	No further details
	<p>4.2 The operational responses of border, air and seaport control officials are strengthened.</p>	No further details
	<p>4.3 Member States establish and operate national Transnational Organized Crime Units</p>	<p>Support to the establishment of Transnational Organized Crime Unit (TOCU) – 2010-2013</p> <p>Assessment of Regional and Cross Border Operations (Operation HOPE) in cooperation with Interpol – 2012</p>

<b>SP 5</b>		
Objectives	Outcomes	Outputs
1. Strategic Information, Analysis and Awareness Raising	1.1 Awareness of regional stakeholders and local populations is heightened as a result of effective public advocacy campaigns on drug prevention (26 June – International Day) and HIV/AIDS awareness and prevention (1 December – International HIV/AIDS) focusing on prison populations and young people.	<p>ROEA organized key events to mark the International Day Against Drug Abuse and Illicit Trafficking (26 June) by targeting policy makers (Members of the Parliament, Ministers and representatives of local administrations), as well as developing and widely distributing information, education and communication materials in support of advocacy campaigns and education of local communities on the harms related to drug use.</p> <p>The World AIDS Day on 1 December was marked in Kenya and Tanzania, in partnership with Government, Prisons Services and civil society organizations, to increase general awareness on the plight of drug users and prisoners, including those living with HIV, and to advocate for their rights to access services.</p>
2. Drug Prevention, Treatment and Rehabilitation	2.1 More evidence-based, ethical and low-cost drug dependence treatment and care services available	<p>Development of policy frameworks for Regional and National entities on Drug Prevention, Treatment and Rehabilitation – 2009-2013</p> <p>Strengthened the skills and professionalism of selected national personnel on Drug Dependence Treatment services - 2009-2013</p> <p>A seminar on “Prevention Strategy and Policy Makers” was held in Eastern Africa in August 2013</p>

3. HIV & AIDS Prevention and Care	3.1 Strengthened resource mobilization and coordination structure. (UBW 8)	Resource mobilization has been the most prominent in Kenya and to a limited extent in Ethiopia, Madagascar, Mauritius, Seychelles and Tanzania, and coordination structures have been greatly enhanced in Kenya, Ethiopia, Mauritius, Seychelles and Tanzania.
	3.2 Human resources and systems of government and civil society enhanced to develop, implement and scale up evidence informed comprehensive HIV responses. (UBW PO 3)	Similarly, human resources and systems of government and civil society have been enhanced in the same countries mentioned above, and in addition in Comoros, Madagascar and Uganda, to develop, implement and scale up evidence informed comprehensive HIV responses
	3.3 Human rights-based and gender-responsive policies and approaches to reduce stigma and discrimination are strengthened including as appropriate focused efforts on sex work, drug use, incarceration, and sex between men. (UBW PO 4)	) A strategic approach combining advocacy at the political and community levels, capacity building and sensitization, including among law enforcement officers has greatly reinforced human rights-based and gender-responsive policies which are reducing stigma and discrimination among drug users and prisoners.
	3.4 National capacity for scaling up HIV prevention, treatment care and support for injecting drug users, in prison settings and for PVHT are enhanced. (UBW PO 5)	Delivery of comprehensive HIV treatment, prevention and care for people who inject drugs training and service delivery improvement programmes in Eastern Africa and the Horn of Africa – 2009-2013
	3.5 Coverage and sustainability of programme for HIV prevention, treatment, care and support are increased and address the vulnerability and impact associated with drug use, incarceration, and human trafficking	Implemented Sustainable Livelihood programmes to provide HIV care and support for PWID and people in prisons in Ethiopia, Kenya, Tanzania/Zanzibar and Uganda - 2009-2013

<b>SP 2 and SP 4</b>		
<b>Objective</b>	<b>Outcomes</b>	<b>Outputs</b>
1. Strategic Information, Analysis and Awareness Raising	<p>Member States have Access and utilize strategic information for policy formulation</p> <p>Awareness of Regional Stakeholder and local populations is heightened as a result of effective public advocacy campaigns against corruption and youth crime.</p>	<p>Victimization survey Kenya (2010)</p> <p>Survey and situational analysis on prosecution Kenya (2011)</p>
2. Legislative and Policy Advise	<p>Member States are implementing national crime prevention, criminal justice and anti-corruption strategies and action plan</p> <p>UNCAC increasingly implemented by members states and the region</p> <p>Standards and Norms in Crime Prevention and criminal justice increasingly implemented by Member States at national and regional level</p>	<p>Assessments of Criminal Justice Systems in Uganda, Kenya, Somaliland, Ethiopia and Mogadishu/South Central Somalia – 2009-2012</p> <p>Development of programme documents for the establishment of a functioning justice system in Kenya, Ethiopia and Somalia 2010-2012</p> <p>Development of policy and legislative documents in Kenya and Somaliland 2010-2013</p>
3. Strengthening Integrity and Capacity of the Criminal Justice System	<p>Operational capacity of Crime Prevention and Criminal Justice Institutions in the region strengthened</p>	<p>Support to initiatives to strengthen ethics and integrity within the Judiciary in Kenya – August 2010 and May 2011</p> <p>Operational Manual for Investigators of the Independent Policing Oversight Authority (IPOA) in Kenya – June 2013</p> <p>Development of capacity building handbooks and manuals for legal practitioners in Kenya and Somaliland – March and July 2013</p> <p>Training Manual “Ending Sexual and</p>

	<p>Member States establish anti-corruption bodies in line with the requirements of the UNCAC</p> <p>Member Sates cooperate and coordinate efforts regionally to prevent and combat crime and corruption.</p> <p>Member Sates develop and start operating national prison reform programmes with a focus on rehabilitation of prisoners</p> <p>Member Sates create/strengthen Child Justice systems in line with relevant UN standards and norms and international good practices.</p>	<p>Gender-based Violence: The Role of the Prosecutor” in Kenya – October 2011</p> <p>Support to the mechanism for the review of the implementation of UNCAC in the region.</p> <p>Development of an anti-corruption legislative framework in Kenya – November 2010</p> <p>Development of an investigations manual for the Federal Ethics and Anti-Corruption Commission (FEACC) in Ethiopia – September 2011</p> <p>Support to anti-corruption initiatives in Somalia – 2010-2014</p> <p>Report on Alternatives to Imprisonment in Kenya, 2013.</p> <p>Joint Assessment of the Implementation of the Juvenile Act in Somaliland and Analysis of Government Infrastructure dealing with Children in Conflict with the Law – March 2013</p>
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The internal review highlighted some barriers in achieving the SP 1 (later SP 1 and SP 3) activities and outputs. “*The absence of staff in key countries in the region also led to the exclusion of UNODC programmes from country specific UNDAF programmes where One UN Teams were present, limited the possibility of promoting and giving visibility to the mandates of the Organization, as well as interacting with representatives of national institutions and key stakeholders within the international community*”. Additionally, “*a lack of adequate funding to facilitate programme development has hampered its implementation and expansion. Initial seed funds were utilized to generate immediate results and at the same time, stimulate the interest of donor countries to further support or give continuity to programmes and initiatives. However, notwithstanding the generous contribution of donors and the seed funding provided from global*

*programmes such as GLOT83 and GLOT55, which contributed to kick starting the Regional Programme, available resources were not sufficient to ensure that each and every output would be supported. As a result, many of the proposed activities could not be implemented and/or their relevance meaningfully promoted to Member States for financial support. In the absence of sufficient funding and knowledgeable staff to cover the specific thematic areas within the programme, as well as the vastly diverse countries in the region, the Programme Manager's time was spent on attempting to implement activities instead of focussing on programme development and expansion".* This evaluation concurs with this assessment and raises a key concern around the potential effectiveness of the RP namely, how is the new RP expected to be funded and specifically how are those funds to be utilised?

Another reason for the implementation difficulties that ROEA encountered can be found in the programme document and the design of the RP itself. While the overall implementation structure envisaged in the RP, placed counter-terrorism related work under sub-programme 1, the counter-terrorism related work under the RP was interrupted at the end of 2011 and from then on remotely implemented through TPB's global project (GLOR35) from HQ, because of the lack of human expertise due to the resignation of the CT expert who was replaced in December 2012, as well as financial resources for implementation of counter-terrorism related activities in the region. Since then, ROEA has been stressing the importance of closely coordinating all counter-terrorism activities implemented by TPB under its global project (GLOR35) with ROEA and aligning it to the activities foreseen under the Regional Programme. The overall cooperation and alignment with the Regional Programme has been strengthened since the recruitment of a new CT expert in December 2012, which clearly demonstrates the importance of the GP placing staff on the ground to ensure an integrated and coordinated implementation of activities in the region.

This evaluation is keen to stress that it is an evaluation of the RP and not of individual SPs which have been evaluated from the perspective of the RP. It attempts to evaluate the effectiveness of the RP in achieving its objectives which are partially achieved through support of the SPs in achieving their objectives. The RP must be more than the sum of all the SPs. With respect to SP 1 and SP 3 the RP support has been relatively ineffective outside the initial impetus given at the start of the RP vis-à-vis stakeholder support for the concept and the generation of initial funding. The internal review of the RP and the subsequent changes made were a genuine attempt to improve the effectiveness of the RP but without dedicated resources to fully implement these changes there is still a large efficiency deficit in the RP. **Any future RP must include a methodology of how the RP will support which SP activities in order to achieve the new RPs objectives.**

Where the RP could show its effectiveness would be in identifying and addressing common areas between the different SPs that reduce the overall effectiveness of the delivery of the specific SP outputs and, by extension, outcomes. Additionally the RP should identify common areas between the SPs that could benefit from a more integrated approach. It should be well noted here that the relatively new Regional Representative for the ROEA has led and encouraged greater communication between SP staff and is aiming to create an office culture of SP information exchange. This is encouraging and further steps to achieving this such as team building exercises or the creation of an 'open plan' UNON – such as the GMCP has achieved through the removal of office partitions etc. – should be considered.

In regards to SP 2 and SP 4, the log-frame was changed in 2013. For 2014 annual progress reports exist. Up to 2013 a significant amount of analytical work in different areas had been implemented, but evidence-based achievement of outcomes are not available. Notably, in SP 2 and SP 4, few activities have addressed prevention of crime and corruption.

Some external factors in SP 2 impacted project progress. For example, under XEAU77, capacity constraints of partners led UNODC to not allocate funds for regional cooperation: ‘Consultations with the General Secretary of the EAACA took place in October 2010. However, due to the limited capacity of the EAACA staff and the lack of leadership of senior managers, UNODC recommended that no funds would be allocated to activities in favor of the EAACA.’ (2010 Annual Progress Report)

Internal factors also played a role in the lack of progress in some outcomes. For example, in the Annual Progress Report of 2010/ XEAU77 it is mentioned that the delay in staff recruitment in UNODC poses an obstacle to progress: ‘UNODC in consultation and cooperation with the Crime Prevention Officer based in Addis Ababa and staff of the FEACC, initially planned to conduct a needs assessment of FEACC in 2010. However, delay in the recruitment process of the UNODC Crime Prevention Expert for Ethiopia until late August 2010 and the absence of a dedicated Anti-Corruption Advisor led to the postponement of the assessment to 2011’.

As can be seen SP 5 produced substantial outputs and achievements during the four years of operation. The strongest outcome area was drug dependence treatment, which was done in all countries; at least to an initial degree (exceptions are Rwanda and Somalia). There has been no assessment of the quality of treatment programmes and services or treatment outcomes. A visit by the SP 5 evaluator to CBOs in Nairobi indicated that drug counselors were using evidence-based treatment approaches, as taught in the UNODC Treatnet curricula, such as treatment planning, motivational counseling, use of self-help support groups (e.g. NA), outreach workers and drop-in centers.

Effectiveness can also be seen in the area of advocacy among high level government officials, although this is not well documented.

**Thus the overall effectiveness of the RP on all five SPs is impossible to assess. Where a future RP could be looking to improve effectiveness would be in the area of ‘Strategic Information, Analysis and Awareness Raising’ since this is the first objective of all SPs. There may be value in the RP taking the lead responsibility for this objective under a redesigned RP to generate and mobilise funds that would assist all 5 SPs achieve this objective in their particular areas. This would also feed into the concept of a RP working at a policy / strategic / regional level and could be attractive to donors who want to encourage a more evidence based integrated programming approach.**

## *Gender and Human Rights*

Human rights have often been the main objective in activities, as UNODC's mandate is closely linked to international human rights standards. For example, under the GMCP in SP 1 human rights form a cornerstone of the work. It was this aspect that – in large part – drove the policy on construction and refurbishment of prisons and ensured juveniles arrested and accused of piracy were treated in line with all relevant UN Human Rights conventions. There was strong agreement that human rights were also at the core of SP 4's activities. Especially interventions such as the police reform in Kenya attended to human rights in the form of support to police oversight bodies. However without gathering data on the impact this has on human rights it is not clear whether activities indeed contributed to increased adherence to human rights standards or not (e.g. human rights abuses in prison built through projects, justice institutions or policies being abused politically etc...).

Some analytical work under SP 4 has focused exclusively on human rights issues with the view of mainstreaming human rights into programming. The Kenya Police Reform Project (KENZ04) has commissioned a study on 'Mainstreaming Human Rights in the Police Sector: A Comprehensive Assessment on Existing Legislative Frameworks, Policies and Strategies'.

Regarding SP 5, human rights issues are being addressed in high level advocacy meetings with leaders regarding HIV/AIDS prevention, care and treatment, and in capacity building training in Kenya, Tanzania, Ethiopia, Uganda the Island countries. There is scope for much more work in this area and a need for much more funding and programming, particularly regarding female prisoners who have been found to have a high HIV prevalence (> 20%) and are often incarcerated together with children. Human rights are integrated into all programme activities (drug treatment, harm reduction, prisons).

It should be noted that ROEA staff was trained on Human Rights programming by the senior human rights adviser at UNDP/OHCHR to increase their proficiency to mainstream human rights in their work.

Gender mainstreaming in SP 4's work was more strongly in project work at the country level. For example, in Somaliland, SP 4 has been funding the Women's Lawyers Association to provide legal advice for women. Work in Somaliland furthermore integrated a focus on women wherever feasible, e.g. activities are held at market place to address women. In Ethiopia, the country programme has been active in child justice. In Kenya, there were initiatives on SGBV in the earlier phase of the RP.

Some projects have been designed without taking gender issues into account, e.g. Strengthening Kenya's Court System (KENR80) was done without taking any gender specifics into account. The regional justice project (XEAU78) addresses violence against women issues, but there is no particular focus on the role of gender-based violations/victimization in regards to trafficking, drug abuse or terrorism – which are all at the core of UNODC's mandate.

Some gender analysis has been conducted at the project level. For example, under the Police Reform Project in Kenya Police (KENZ04) (e.g. study on gender and human rights in the Standing Service Orders etc.). Analytical work on the criminal justice sector in Ethiopia and the criminal justice sector assessment in Somaliland has also investigated gender related questions. However, data of the victimization survey in Kenya is not disaggregated by gender - not even in

the questions related to violence. The study on prosecution services in Kenya is not gender specific either.

In regards to SP 2, to a large extend neither the RP nor project activities acknowledge that corruption can have gender specific dynamics. In Somalia the accountability dialogues in 2014 included some gender mainstreaming. This gap also occurs in the UNODC strategic framework and the Thematic Program on Corruption. While the anti-corruption unit at HQ has had some minor engagements on gender issues elsewhere, there have been only minor activities in the region.

In SP5, gender considerations are systematically mainstreamed in its work, and activities are gender-sensitive and responsive. This is reflected in all training, while all outcomes data are disaggregated by gender.

It has been positively noted that a gender mainstreaming guidance note exists for UNODC, with good reference on how to mainstream gender in UNODC's work. However, there is barely any substantive guidance on how gender issues should be addressed or handled in the different thematic fields. This includes gender in criminal justice work. Promoting women's access to justice and promoting women in the justice sector are two very controversial fields. There is no cookie cutter approach on how to increase access to justice for women. In fact, in countries with strongly pronounced versions of legal pluralism, access to justice for women has not been as simple as increasing women's access to formal justice institutions. The latter can even have a serious backlash for women. A careful approach to assisting women in legally plural environments, with a holistic view on opportunities, possible negative consequences, the role of society in justice, and the actual end outcomes for women in justice processes should be defined. Important in gender work is also to get away from simply looking into number of women in the justice sector, but to seriously think how to overcome some of the societal challenges that will lead to increased justice for women. Ideally, this should be part of a revised thematic programme on criminal justice. **A new RP should provide a distinct contextual approach to gender mainstreaming throughout the regional work.**

The lack of pronounced thematic engagement and guidance in the field of gender and criminal justice has barred the development of a gender focus in the regional office. For example, sexual and gender based violence (SGBV) was named a key issue in the criminal justice field, but there were doubts raised by other UN agencies as to UNODC's mandate in this field. Without a clearer 'identity' of UNODC's added value in this subject, it may be difficult to defend the space in the field.

Aside from differing project to project efforts in human rights and gender mainstreaming there appears to be no systemic RP approach to assess how this can be achieved or how effective it is in existing projects. Prima facie this would appear to an area over which the RP should take ownership since these are fundamental cornerstones of all UN work and a RP would be best placed to oversee and monitor the delivery of human rights and gender issues within the projects under the RP.

## *Impact*

This evaluation has struggled to be able to assess the impact specifically of the RP but also of the SPs and many of the projects within those SPs. This is the case as no effective impact evaluation strategies have been built into programme design. Some attempt can be made at answering impact related questions on a project by project basis however this does not – de facto – answer questions on the impact of the RP.

Anecdotal based reporting, coupled with generally increasing funding to some projects under the RP, would suggest the RP concept has had a positive impact from a fund raising perspective although this assumption cannot be tested and many other factors will have had an impact on increased funding for the RP which is skewed by heavy funding for the GMCP under SP 1.

As mentioned previously SP 5 claimed many outputs that might be expected to lead to achievement of the programme outcomes and goals and thus hopefully make an impact. However, it is not possible to measure impact without having baseline information and a programme model that links outputs to measureable outcome indicators. This might best be done using pilot projects, which can be more easily managed and controlled. At a regional level the amount of funding and programme outputs was far too little to be expected to have an impact. At best, an impact might have occurred in Nairobi and along coastal areas of Kenya, where most of the resources were allocated.

SP 5 was considered to have made a significant beginning in some countries in introducing drug dependence treatment, HIV harm reduction programmes for PWID and work on HIV prevention, treatment and care in prisons. One lesson learned is that it takes considerable time when working with governments, where the process of sensitization, advocacy and commitment can take many years. The same is true in working with civil society where there are deeply engrained stigmas against drug users and those infected with HIV.

SP 4 has arguably had different layers of ‘impact’. As most assistance is provided through UNODC consultants and focuses on drafting of legal frameworks, policies, etc... the programme has had a direct impact, as frameworks and strategies were developed and adopted. However, it is not clear whether the activities have created increased access to justice for citizens, or whether justice has improved for the end beneficiary. There is no evidence on the actual impact of justice sector work on the end beneficiary.

As noted consistently throughout this evaluation the lack of measurable indicators for RP performance in many areas, including impact, is a serious shortcoming. **Any redesigned RP must develop impact measurement indicators.** Potentially some of the reporting produced under the RP during its existence to date, for example the East African TOCTA, could be used as a basis to develop more robust indicators for measuring RP impact.

## *Sustainability*

In some of the SP 1 and SP 3 areas sustainability is not an issue. For example the ratification of UNTOC conventions or ratification of the 19 legal instruments for prosecuting terrorism, once they are adopted, are by definition sustained within that countries legislature. Where sustainability does become an issue is in the implementation of these instruments as it requires trained judges and prosecutors to obtain the required knowledge to ensure they are properly utilised.

Some outputs, such as the support to ‘anti-corruption-days’ are not measurable in their sustainability. However, outputs such as training on economic crime investigation; development of a code of judicial conduct for Kenya; development of policy and legislative documents in Kenya and Somaliland; development of anti-corruption legislative framework in Kenya; development of investigations manual for the Federal Ethic and Anti-Corruption Commission in Ethiopia; support to the Mechanism for the Review of the Implementation of the UNCAC in the region; training manual on SGBV for prosecution in Kenya; Operational Manual for Investigators of the Independent Police Oversight Authority; capacity building handbooks for legal practitioners in Kenya and Somaliland are activities that are likely to be sustainable.

In many SPs there appears to be strong local ownership of programming. This does not extend to the RP, as barely any local stakeholder is aware of the RP. At the project level, however, significant efforts have been undertaken to respond to governments’ needs and to establish good working relations and create local ownership. For example, in the development of the Police Reform Project, the interventions were based on the findings of a Kenyan Task Force on Police Reform, who had in a broad effort asked the people of Kenya what kind of police force they would like to see. UNODC tried best to capture that moment. In Ethiopia, the justice programme had been negotiated closely with the respective government entities. The Government of Somaliland claimed that the degrees of local ownership have changed, and that it is now much more involved in the design of activities. It establishes its priorities and feels that it owns the products. In general, local partners felt that UNODC is ready to engage and listen to them. Local UNODC staff, such as in Somaliland, played an important role in explaining and liaison with government.

With the UNCAC review mechanism, governments are involved in reviews. The UNCAC review process is done by two countries reviewing each other. That has provided some kind of ownership. Governments are therefore the main counterparts and are on board with the resulting recommendations.

This, however, always bears the question whether the buy-in from government institution does create genuine local ownership. Also, governments in the region have changed often, challenging the idea of ownership of projects. Academic literature has also sufficiently questioned the concept of local ownership, whose local ownership? How does local ownership present different views in country, of different social interest groups? What is the value of local ownership in an authoritarian government? How does ownership help in systems with endemic corruption?

Real ownership is often difficult to create, and takes a lot of time, which project implementation deadlines are not geared to provide. For example, in the drafting of legislative frameworks, strategies and guidelines, local ownership could be increased by hiring consultants who do not draft the products, but facilitate the drafting process in the respective offices. This way products

would be truly owned, and are written in a ‘language’ that is acceptable to government partners. However, that would come with a much higher input in staff costs and time, which may be difficult to do under the financial pressures.

Evidence found in the annual reports for XEAU79 support the claim for SP5 that capacity building in certain areas of drug dependence treatment is sustainable within several of the countries health departments and CBOs. The basis for this assertion is that Master Trainers and TOTs are established and can continue to train new staff and thus sustain capacity. While this might be true it would be safer to assume that all countries will need continuing support, particularly because the situation regarding drug use and HIV can change, sometimes rapidly as in the case of escalation of use of a new drug (e.g. ATS). This underlines the importance of building strategic information systems in order to keep informed of drug and HIV trends and changes in key populations. Another threat to sustainability that was mentioned by interviewees was turnover in staff. Many of those who have been trained have shifted to work in areas unrelated to SP 5.

For countries and organizations that were involved in SP 5 ownership was good. UNODC’s role was primarily to provide the technical assistance, guidance and capacity building, and so it was necessary for government and community to provide most of the resources needed. This helped to develop the sense of local ownership.

There were some indications of reliance upon UNODC to supply funds for foods to the sustainable livelihoods project, which ended August 2014. There were comments from CBOs and others about the need for continued funding because it would be important to provide meals to MAT participants in order to ensure their adherence to coming every day. Organizations will need to become more self-reliant in order to have real ownership. Perhaps providing training to NGOs/CBOs on how to find funding would be a good investment. Some CBOs were resourceful and able to do this; others will need assistance. There were comments in Ethiopia about the desire for higher per diems to attend training workshops and meetings. While it may be a hardship for some to travel long distances, there should be appreciation for the benefits of capacity building to the individual and organization to offset this.

### III. CONCLUSIONS

While there is evidence in the SPs that impressive work is being delivered, this evaluation focused on the RP and its design and contribution. One of the key questions considered was whether an RP – as opposed to single thematic country programmes – has any added value.

Evaluating the RP against its own design and promises, one can only conclude that it has fallen short of its aims. However, the sense of this exercise is more to learn and understand what its contributions were in view of the input, and to use important lessons towards recommendations for a new RP. It is further geared to acknowledge some of the outstanding work that has been done under the SPs and to consider how these approaches and successes can be ‘pulled together’ in a more strategic way and used as cornerstones of a new RP.

While the initial design process of the RP included Member States of the region as well as experts, this kind of local ownership was unfortunately not carried through the life of the RP. Once the Nairobi declaration was signed, the ‘pen was dropped’, and to a large extend separate SPs in a small number of countries in the region developed their own partnerships and programmes.

The RP therefore lacked some kind of governance mechanism, which could have steered it and advised it. Such mechanism could have ensured that the RP remains relevant vis-à-vis its different SPs, it could have ensured continued country ownership, and the address of newly arising regional issues. This would have also created pressure to launch into a wider geographical coverage of the region.

The RP could not work as anticipated, as core funding was not sufficient to serve the whole region and keep all Member States on board. In particular two of the main regional issues in Eastern Africa, terrorism and corruption, were significantly under-funded. Core funding did not allow all SPs to launch into all countries – at least with analytical work – to build the foundation for solid project proposals. On the other hand, donors have been funding concrete projects in concrete countries without consideration of the RP. Fashionable topics, such as maritime crime, received funding that the RP itself could not compete with.

While there seems to be a general perception at HQ that the RP is a good fundraising mechanism, no donor in the region confirmed this view. In fact, donors felt that an underfunded RP is making unwarranted promises and that that is insincere. Donors fund on the basis of their own country assessments and the reputation and standing of UNODC in a specific country, and have shown little interest in funding regional initiatives.

This is also a reason why UNODC country presence is key to broader geographical coverage. However, ROEA has only maintained offices in Nairobi, Addis Ababa, Hargeisa, and one staff with a home office in Dar es Salam. If SPs had coordinated better, they could have posted SP staff in different countries, and double tasked them with the implementation of a single SP and

the coordination of a country office. So far, only SP 4 staff is performing this role in Ethiopia and Somaliland.

Another weakening factor was the overall presence of a number of global programmes that implement in the region. This has created confusion of staff loyalties and double reporting. In some SPs global programming is stronger (and better financed) than the regional RP elements, and therefore the RP could not become relevant. In some parts there seems to be competition between HQ and RO, which makes it difficult for RP to develop.

While some SPs implement excellent work in their respective fields and countries, a regional perspective among SPs has barely developed. Arguably, though, some themes are more made for that than others, and there is a danger in enforcing regional aspects to where they play no role, or to dropping them where they are important. RPs have to be careful not to produce ‘cookie-cutter’ approaches.

Many SPs have designed their activities in close consideration of the UNODC mandate, strategic framework, and thematic papers. This has made some interventions less regionally contextual, and has not allowed experience to be fed back to HQ in order to revise thematic programmes. Some Thematic Programmes also lack updates on state-of-the-art discussion in their fields, or gender mainstreaming elements, which may hamper the implementation of UNODC’s main mandate. Regional and country programmes should ‘feed back’ more of their experience in this regard.

This would warrant better understanding of actual impacts of programming. At the RP level and to a lesser but still substantial degree at the SP and project level, solid M&E strategies have been absent, barely any baselines have been established, and no impact evaluations – including at the end beneficiary’s level – have been designed, planned or budgeted for. At a time where governmental partners are requesting help to conduct their own M&E of UNODC-funded activities, M&E and the project and SP level are a must. Similarly, a new RP needs to contain reasonable, less broad, and achievable indicators. Impact evaluations need to be budgeted for in the design, as impact is the most crucial point in order to allow us to even see whether we are doing anything useful and no harm.

Gender mainstreaming remains one of the weakest areas, despite some of the SPs considering gender issues. but unless there is a more strategic approach from HQ, more concrete guidelines and assistance on how to mainstream gender in the different thematic areas, being more up to date with current debates on mainstreaming gender in some of the thematic areas, and a definition of what gender means in UNODC’s work (the identification of a niche), it will not develop into a meaningful cross-cutting issue. An RP should aide the development of a gender focus, but this has not happened in this case.

Last, but not least, slow and complicated administrative issues need to be reviewed, as well as the impact that human resource management and procurement issues have on relationships with partner governments. Often overlooked, slow release of funds, delayed hiring of staff, or procurement processes that are culturally inappropriate can have a long lasting impact on relationships with partners.

## IV. RECOMMENDATIONS

The following recommendations are provided as either ‘key’ or ‘important’. They reflect the findings and evidence provided in the summary matrix (see p.x).

### Key

1. The Eastern Africa Regional Programme (EARP) needs to be redesigned and planned utilising more detailed and in-depth situational and strategic analyses for the region and its countries as provided by the Sub Programmes (SPs) of the current Regional Programme (RP) and through the commissioning of bespoke regional analyses.
2. A new governance structure for the EARP needs to be elaborated. This should include a steering committee (SC) to which donors, key external agencies and Member States (MS) will be invited to appoint representatives to act as focal points. This SC should assist in the redesign of the EARP and should convene on an annual basis to review RP progress. The RP should provide its annual report to the SC. A standing agenda item of the SC meetings should address the relevance of the RP to each of the 13 countries.
3. A strong and robust Monitoring and Evaluation (M&E ) regime must be installed and budgeted for. Within this regime appropriate indicators to measure RP impact must be developed along with an express information management system to capture the data required to measure the indicators and analyse the impact. The SC should be invited to become part of this process. HQ support and expertise should be sought and obtained.
4. The new EARP must develop a methodology for ensuring Global Programmes (GPs) are fully integrated into the projects and SPs that form the RP. Additionally integration between and within SPs should be addressed. A matrix of all projects, their objectives, outcomes and outputs should be constructed with the RP obligated to assess those to identify where better integration could be achieved.
5. The new EARP should reach agreement with appropriate HQ GP personnel on who takes the lead for the delivery of services and products within the RP. Issues including fund raising for projects, funding of posts, the type of support expected, lines of communication and responsibilities should be agreed. The RP should nominate an ROEA staff member as the single point of contact for regional fund raising activities.
6. Create an advocacy programme around the RP to improve and then maintain its visibility with key external stakeholders. This could include annual conferences and / or public events, media coverage and donor updates to be provided during / as part of programme PSC meetings, or on the occasion of major events in programme implementation. To such events, RP countries and donors alike can be invited and contribute. UNODC activities, programmes and key achievements can be showcased to increase visibility and understanding of UNODC work.

7. The new RP should identify and – where appropriate – take the lead in dealing with cross cutting issues that affect all SPs. Most notably the new RP should consider its role with regard to human rights and gender mainstreaming. It should form partnerships with the appropriate UNODC experts and other UN agencies to develop strategies to improve human rights and gender mainstreaming across all projects and SPs in the region. Other cross cutting areas the RP should consider taking the lead and promulgating a regional response are loss of livelihoods, corruption, and security concerns for UN and programme staff.

8. Core funding for the administration of the RP and its new activities must be fully scoped and delivered including personnel costs for staff dedicated specifically to the RP.

**Additional Recommendations:**

9. A review of the procurement processes for staff and services should be conducted and any potentially critical delays that could impact on the delivery of RP activities should be highlighted and contingency plans developed.

10. The EARP should examine lessons learned and good practice from the projects and programmes being run within the RP and disseminate those appropriately. These could include gender and human rights mainstreaming, (in)effective training practices, RP and GP / TP collaboration, advocacy work, mentoring and twinning etc.

11. The new EARP should ensure the importance of recognising and embedding interventions in local context. This should – where relevant - include a standard approach that requires those producing key RP and SP products to have been given a sound knowledge of that local context, including socio-political issues, political economies, socio-cultural context. The products should be quality controlled for this aspect before being delivered.

12. The new EARP should ensure that RP personnel at the appropriate level of seniority interact with their state and other external actors. This may mean some SP managers assuming a country proxy representative role and representing the RP at key meetings.

13. The Regional Representative through the SP managers and in conjunction with human resources to take a more active role in overseeing and monitoring staff performance. This should become more quantifiable when the RP develops annual work plans with specific targets and indicators under its M&E regime.

14. Examine the procedures for making small project revisions as these still incur a large amount of administrative time and effort. One possibility may be to delegate responsibility for making minor revisions to ROEA with subsequent reporting to HQ.

15. Encourage intra SP communication through UNODC regional staff team building exercises and the creation of an ‘open plan’ UNON with the removal of office partitions to create a large, open space for all SP staff to work within. The experience of the Global Maritime Crime Programme in this aspect should be sought.

## V. LESSONS LEARNED

With any programme that looks to bring about positive change it is vitally important to understand the situation before the programme begins. To this end an in-depth baseline situational assessment is a necessary pre-requisite if change is to be determined. Continuous re-assessment throughout the life of the RP and sufficient programmatic flexibility will allow staff to respond to newly emerging issues (e.g. terrorism in EA).

Coupled to this any change or impact must be achievable and measurable. Thus appropriate indicators, which can be measured for change over a period of time must be developed. In addition, further in-depth evaluations at the level of the end-beneficiary are key in order to demonstrate successes.

A robust Monitoring and Evaluation methodology must be developed including an appropriate information management system to capture and analyze indicator data. Such must be planned and budgeted for at the programme design stage.

Local ownership of the RP must be determined throughout the life span of the RP.

There must be a realistic likelihood of raising sufficient funds for the RP in order to make it possible to achieve its objectives; otherwise it is a false promise to those who do provide funding.

Country level UNODC staff should be seen as key implementers of UNODC's mandate. They should be able to understand and operate in country political contexts and should have appropriate contract security. Their tasks should be formally acknowledged in the TORs. They should further function as the key resource people for the revision of thematic programmes.

UNODC needs to review and smoothen its capacities to implement projects, which is not engrained in its original set up as a UN entity. It will otherwise be little competitive with UN agencies in countries.

Thematic Programmes have heavily informed RP / SP activities. That shows that Thematic Programmes are also the key guidelines in the implementation of UNODC's mandate. They therefore need to be revised and brought up to date with current debates in the respective fields, and they need to be revised in order to better reflect cross-cutting issues such as gender and human rights.

## ANNEX I. TERMS OF REFERENCE OF THE EVALUATION



### In-Depth Evaluation of the Regional Programme for Eastern Africa “Promoting the Rule of Law and Human Security in Eastern Africa” (2009- 2015) Terms of Reference

Type of evaluation:	Final independent evaluation
Time period covered by the evaluation:	November 2009- September 2014
Geographical coverage of the evaluation:	Out of the 13 countries covered by the Regional Programme (Burundi, Comoros, Djibouti, Eritrea, Ethiopia, Kenya, Madagascar, Mauritius, Rwanda, Seychelles, Somalia, Tanzania and Uganda), the evaluation team will visit Ethiopia, Kenya, Seychelles, Somalia and Tanzania
Core Learning Partners <sup>31</sup>	UNODC Managers, Member States, Beneficiaries, Project field staff (current and previous), Partner Organizations (UN and NGOs) and donors
Evaluation start date:	<b>September 2014</b>
Evaluation end date:	February 2015
Evaluation team:	Three international consultants and one member of IEU

Programme Title	Regional Programme for Eastern Africa “Promoting the Rule of Law and Human Security in Eastern Africa (2009-2015)”
Programme Number	The Regional Programme is composed of five sub-programmes, which cover 23 ongoing projects and segments of 6 ongoing global programmes that do not pertain to the Counter-Piracy Programme (CCP) or the Maritime Crime Programme (MCP), which will not be considered in the

<sup>31</sup> The Core Learning Partnership (CLP) encourages a participatory evaluation approach by allowing its members to participate in and provide feedback on key steps of the evaluation process. CLP members 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. The list of CLP members is to be found in Annex.

	context of this evaluation, as the former was already evaluated in 2013 and the latter will be evaluated in 2015 (please see the list in Annex 6).
Duration:	<b>2009 – 2015</b>
Location:	Regional Office for Eastern Africa (ROEA): Nairobi, Kenya; Programme Offices in Ethiopia; Somalia (Hargeisa, Garowe <sup>32</sup> , Somaliland) and Tanzania <sup>33</sup> .
Linkages to Country Programme	National Integrated Programme for Ethiopia 2013-2016/17
Linkages to Thematic Programme	Action Against Transnational Organized Crime and Illicit Trafficking (2011-2013) Terrorism Prevention (2008-2012 and 2012-2015) Corruption (2010-2012 and 2012-2015) Crime Prevention and Criminal Justice Reform (2012-2015) Addressing Health and Human Development Vulnerabilities in the context of Drugs and Crime, including Sustainable Livelihoods (2009-2011)
Executing Agency:	UNODC
Partner Organizations:	<u>Regional Organizations</u> : African Union Commission (AUC), Eastern African Community (EAC), European Union (EU), the Intergovernmental Authority on Development (IGAD), the Southern African Development Community (SADC), the Indian Ocean Commission (IOC), International Conference on the Great Lakes Region (ICGLR). <u>International Organizations</u> : INTERPOL, the World Customs Organization (WCO), the Eastern and Southern Africa Anti-Money Laundering Group (ESAAMLG), the Eastern African Police Chiefs Cooperation Organization (EAPCCO), the World Bank, the African Development Bank (AfDB). <u>UN System</u> : UNDG regional team for Eastern Africa and UN Country Teams (UNCTs), UNDP, UN Office for Disarmament Affairs' Regional Centre for Peace and Disarmament in Africa (UNREC), UNAIDS, WHO, Counter-Terrorism Implementation task force (CTITF), United Nations Security Council Committees dealing with counter-terrorism, UNHABITAT, International Organization for Migration (IOM). <u>NGOs/civil society groups</u> (at both the international and local levels): e.g. Muslim Education and Welfare Association (MEWA), Reachout Centre Trust (RCT), The Omari Project (TOP), Nairobi Outreach Trust (NOSET)...
Overall Budget:	\$41,736,387
Pledged funding:	\$22,292,671
Total Approved Budget:	\$14,027,842
Donors:	Australia, Canada, Denmark, European Union, Finland, France, Germany, Ireland, Israel, Italy, Japan, Netherlands, Norway, Sweden, United Arab Emirates, United Kingdom, United States of America, UNAIDS, Gender Equality and Women's Empowerment in Kenya, OPEC, UNDP, One UN Tanzania, IOM, UNFPA, Trust Fund to Support Initiatives of States to Countering Piracy off the Coast of Somalia, UNICEF
Programme Manager/Coordinator:	Regional Representative, Mr. José Vila del Castillo

## 1. BACKGROUND AND CONTEXT

UNODC's Regional Programme (RP) for Eastern Africa was officially endorsed by 12 out of 13 Member States<sup>34</sup> through the signing of the Nairobi Declaration in November 2009. One of the first Regional

<sup>32</sup> Only MCP activities are being implemented in Garowe.

<sup>33</sup> Field Office in Tanzania to be established during the 3<sup>rd</sup> Quarter of 2014.

Programmes to be elaborated by UNODC, it was developed between 2008 and 2009 in four different phases, which included consultations with national stakeholders at the field and HQ levels, and extensive discussions during an expert group meeting held in Nairobi in February 2009.

The guiding principle in elaborating the RP was to articulate a holistic, integrated and nationally-owned approach to key security and justice challenges and thereby providing a strategic guide for the work of UNODC in the region. It also sought to outline a clear framework that Member States, other regional stakeholders and donor partners could refer to when considering how they might best collaborate with UNODC.

### **Programme Overview and Historical Context**

Eastern Africa comprises three diverse and culturally different geographical areas, namely the East African region (Kenya, Tanzania, Uganda, Burundi, and Rwanda), the Horn of Africa (Djibouti, Eritrea, Ethiopia and Somalia) and the Indian Ocean Islands off the East African coast (Seychelles, Comoros, Mauritius and Madagascar).

Natural disasters and civil war, recurrent food shortages and droughts have left the majority of the region's 180 million people struggling under extreme poverty. Poor governance, corruption<sup>35</sup> and human rights abuses have dramatically stunted the development opportunities of these countries. In addition, Eastern Africa is the second region most affected by HIV in the world, and this has an extremely negative impact on the development of the countries concerned. The countries in this region are characterised by a low human developed index (HDI)<sup>36</sup>. Poor governance, insecurity, conflicts, poverty and economic disparities among and within countries of the region are providing opportunities for trans-national organized crime, as is evidenced in widespread illicit trafficking in drugs, persons, money, arms, wildlife and timber products, and the consequential generation of proceeds of crime and acts of money-laundering. The various Governments in Eastern Africa are facing severe challenges from transnational organized crime groups operating in and from this region as highlighted in UNODC's Threat Assessment for Eastern Africa<sup>37</sup>. The dramatic situation of Somalia is having an increasingly adverse effect on the security and stability of neighbouring countries and the safety of the seas. Scarce rainfall, poor harvests, soaring food prices, dying livestock, escalating violence and shrinking food aid have also contributed to the current emergency in the region.

The RP for Eastern Africa was developed by UNODC in close consultation with the countries in the region, in order to support them to counter these challenges. The overall objective of the RP is to support the efforts of Member States in the region to respond to evolving human security threats, with a focus on achieving a tangible impact.

The RP initially covered the period 2009-2012. Implementation started in 2010 with available seed-money to kick-start activities. However, due to the delay in the recruitment of the sub-programme managers, ROEA

<sup>34</sup> Eritrea did not participate in that meeting and approved the Nairobi Declaration in 2010.

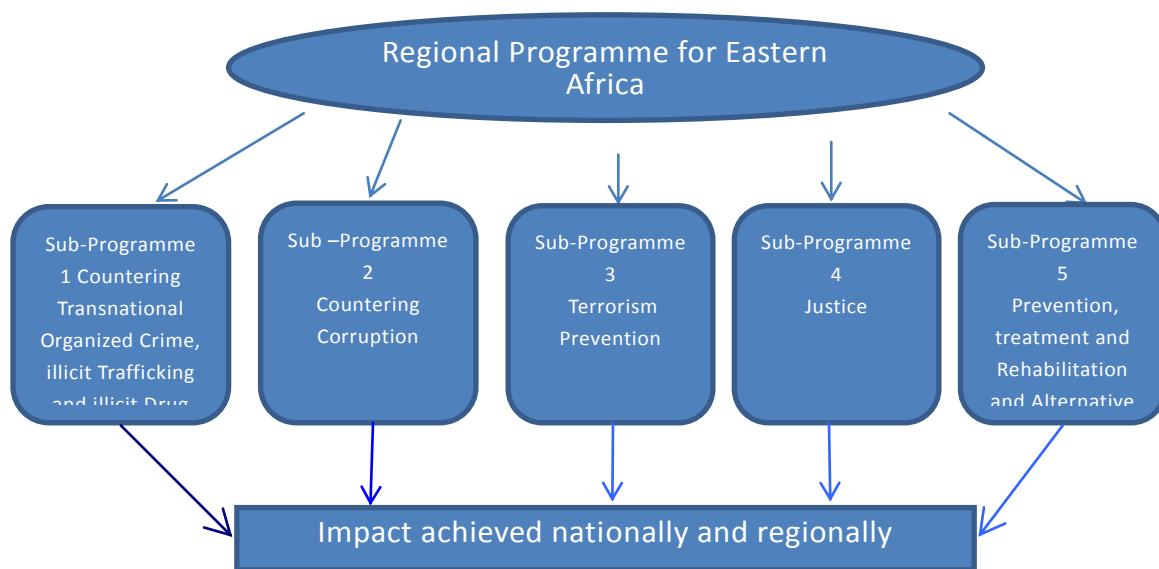
<sup>35</sup> The Transparency International Corruption Perception Index 2014 ranks several countries of this region at the bottom of its list, indicating serious corruption practices: **Burundi: ranked 157/177**; Comoros: ranked 127/177; Djibouti: ranked 94/177; **Eritrea: ranked 160/177**; Ethiopia: ranked 111/177; Kenya: ranked 136/177; Madagascar: ranked 127/177; Mauritius: ranked 32/177; Rwanda: ranked 49/177; Seychelles: ranked 47/177; **Somalia: ranked 175/177**; Tanzania: ranked 111/177; Uganda: ranked 140/177. Source: <http://www.transparency.org/country#UGA>.

<sup>36</sup> UNDP 2014 Human Development Report, Statistical Tables, <http://hdr.undp.org/en/2014-report/download>: Burundi: ranked 180; Comoros: ranked 159; Djibouti: ranked 170; Eritrea: ranked 182; Ethiopia: ranked 173; Kenya: ranked 147; Madagascar: ranked 155; Mauritius: 63; Rwanda: ranked 151; Seychelles: 71; Somalia: n/a; Tanzania: ranked 159; and Uganda: ranked 164.

<sup>37</sup> UNODC (2013), *Transnational Organized Crime in Eastern Africa: A Threat Assessment*, [http://www.unodc.org/documents/data-and-analysis/Studies/TOC\\_East\\_Africa\\_2013.pdf](http://www.unodc.org/documents/data-and-analysis/Studies/TOC_East_Africa_2013.pdf)

faced delays and difficulties in starting the full implementation of activities as originally planned. Consequently, in December 2012, UNODC Headquarters decided to extend the duration of the RP until the end of 2013. A Staff Retreat was organised in 2012 in order to identify the challenges faced in the implementation of the RP and the best way to overcome these challenges. An interim and internal review to evaluate and analyse the various lessons learned, best practices and challenges of the RP from both a substantive, organizational and programmatic perspective. The report was presented to the Programme Review Committee of UNODC in February 2014. One of the outcomes of the review was the further extension of the duration of the RP up to 2015, and the redesigning of the logical framework with a new set of 5 Sub-programmes (replacing the previous 3-pillar structure), aimed at clarifying and better prioritising objectives, which was a key recommendation formulated on the basis of the internal review.

Below is an overview of the revised RP structure. Please see Annex 1 for the full RP revised logical framework.



### Geographical Coverage

The RP for Eastern Africa covers the following 13 countries: Burundi, Comoros, Djibouti, Eritrea, Ethiopia, Kenya, Madagascar, Mauritius, Rwanda, Seychelles, Somalia, Tanzania and Uganda.

### Baseline

As the RP for Eastern Africa was one of the first RPs to be developed by UNODC, limited experience was available at the Headquarters and in the field at the time of its drafting. Although extensive consultations took place with national stakeholders in the region, no situational assessment and data gathering was undertaken due to the limited funds available for programme development. Therefore the RP does not include baselines. In order to address this lack of data and for the purpose of overall programming, several studies, surveys and reports on various thematic areas covered by the Regional Programme (please see Annex 3) were prepared and some published such as the *Transnational Organized Crime in Eastern Africa: A Threat Assessment* in 2013 by UNODC.

### Target Groups

The work of ROEA in the region is being undertaken in full consultation and partnership with a range of partners at the national, regional, and international level, including within the UN system.

**The beneficiaries of the programme consist of different stakeholders in the 13 Member States covered by the RP. For a more detailed account of the programme's stakeholders, please see Annex 6.**

### Main Challenges

As identified, in particular, during the internal review conducted in 2013, the following challenges were faced in the development and implementation of the RP:

- *No baselines were established*, which, as mentioned above, to address this, several studies, surveys and reports on various thematic areas covered by the Regional Programme (please see Annex 3) were prepared and some published such as the *Transnational Organized Crime in Eastern Africa: A Threat Assessment* in 2013.
- *The logical framework did not reflect clear priorities, sometimes lacked clarity and contained a number of inaccuracies; and the objectives were too ambitious in light of available resources and beneficiaries' absorption capacities*, which the revision of the logframe was to address.
- *Coordination between the RP and a number of global projects has sometimes proven challenging* (in particular, in the areas of counter-maritime crime, terrorism prevention and counter trafficking in persons). The full integration of the MCP into the RP, and the placement of global programmes staff in the field has contributed to improve that coordination.
- *The approach has sometimes insufficiently taken the specifics of countries into consideration* and has been essentially regional in nature.
- *Initial funding was insufficient to allow for the envisaged development and expansion of the RP and for ensuring sufficient presence in the field*, which could have given visibility to UNODC and facilitated fundraising.
- *The RP did not benefit from a strong regional partner's policy and political support*, unlike the RP for West Africa 2010-2014, for example, which was developed in order to support the implementation of the ECOWAS Regional Action Plan against Illicit Drug Trafficking, Organized Crime and Drug Abuse.
- *Considerable security problems in the field* have been a significant obstacle to effective implementation of activities, in particular in Somalia.
- *Delays in the recruitment of project coordinators have occurred at the inception of the Programme*.

### Regional Programme Portfolio

Since 2013, the RP has been implemented through 5 sub-programme programmes and one country programme (National Integrated Programme for Ethiopia). Currently there are 23 ongoing projects and 6 ongoing global programmes being implemented in the Region (not pertaining to the MCP). All of these projects and programmes have been linked to the five sub-programmes and are therefore interconnected by their outcomes to the RP outputs. They have thus been logically contributing to broader programmatic outcomes at the regional level. A complete list of projects is provided in Annex 6.

### Revisions of the original programme document

As mentioned above, an internal review of the RP was undertaken by ROEA and the Regional Section for Africa and the Middle East (RSAME) in 2013 and finalized in early 2014 (see Annex 3). Consequently, a decision was made to extend the project until 2015. The aim of the internal review was to:

1. Review achievements and impact as well as challenges faced under the three sub-programmes;
2. Review the Regional Programme design and programme relevance;
3. Review the Regional Programme logical framework's performance indicators to ensure that they are SMART<sup>38</sup> and to adapt them as needed for the extension; and
4. Assess the effectiveness of programme oversight, coordination and sustainability.

It needs to be further highlighted that the various sub-programmes and projects did undergo project revisions to absorb additional funding, to extend the duration of the programmes, to tailor them to the new needs on the ground and to make changes to the staffing table. None of the revisions altered the original objectives of the projects in any substantive way.

## **UNODC Strategic Context**

### *UNODC Medium-Term Strategy*

UNODC's Medium-Term Strategies, reflected in ECOSOC Resolution 2007/19 and 2012/12, provides the result based framework guiding the programmatic activities of the Office for the period 2008-11 and 2012-15<sup>39</sup>.

### *Thematic Programmes*

The Regional Programme operates within the policy framework of the below Thematic Programmes:

- Action Against Transnational Organized Crime and Illicit Trafficking (2011-2013)
- Terrorism Prevention (2008-2012 and 2012-2015)
- Corruption (2010-2012 and 2012-2015)
- Crime Prevention and Criminal Justice Reform (2012-2015)
- Addressing Health and Human Development Vulnerabilities in the context of Drugs and Crime, including Sustainable Livelihoods (2009-2011)

### *Country Programmes and National Frameworks*

The RP for Eastern Africa provides the overall framework for the National Integrated Programme for Ethiopia 2013-2016/17.

## **Background Information**

For material to be used by the evaluation team for the desk review please see Annex 3.

It should be noted that UNODC evaluations and audits form an important information base for the undertaking of the evaluation of the Regional Programme. The following should be carefully considered:

- Joint Inspection Unit, Review of Management and Administration in UNODC, 2010
- Office of Internal Oversight Services, Audit Report UNODC Regional Office for East Africa, July 2010
- Office of Internal Oversight Services, Evaluation of UNODC, March 2013
- Comparative audit analysis report, May 2012
- In-Depth Evaluation of UNODC Integrated Programming Approach, October 2012

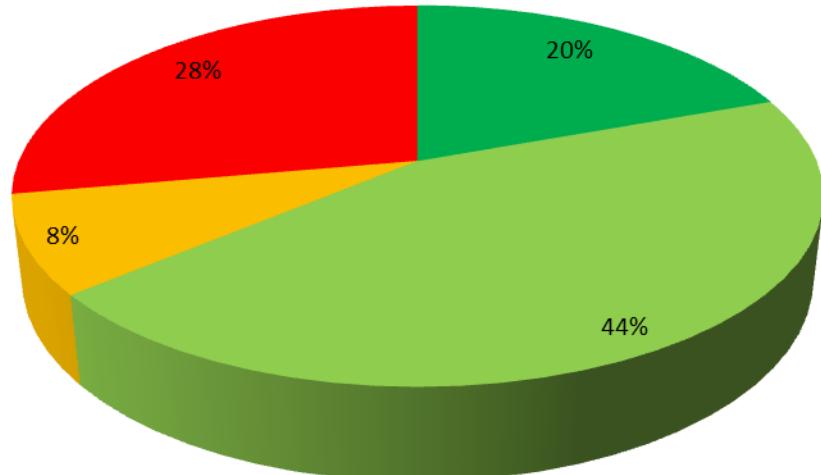
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<sup>38</sup> SMART: Specific, Measurable, Achievable, Relevant and Time-bound.

<sup>39</sup> Strategy for the period 2008-2011 for the United Nations Office on Drugs and Crime: <http://daccess-dds-ny.un.org/doc/UNDOC/GEN/V07/806/72/PDF/V0780672.pdf?OpenElement>

Strategy for the period 2012–2015 for the United Nations Office on Drugs and Crime:

[http://www.unodc.org/documents/about-unodc/UNODC\\_2012 - 2015\\_Resolution\\_ECOSOC\\_merged.pdf](http://www.unodc.org/documents/about-unodc/UNODC_2012 - 2015_Resolution_ECOSOC_merged.pdf)



ROEA will undergo an OIOS audit in September-October 2014, and synergies between this evaluation and the audit should be used, where feasible.

This RP evaluation will also feed into the upcoming Maritime Crime Programme (MCP) evaluation which is scheduled for the first quarter of 2015.

## 2. RESOURCE MOBILIZATION AND DISBURSEMENT HISTORY

Since programme inception, ROEA's overall portfolio has grown significantly. In less than four years, the annual allocation has grown significantly from around US\$ 2.7 million in 2009 to around US\$ 21.3 million in 2013 to US\$ 26.8 million as of July 2014.

The breakdown of the financial status by sub-programme as of 30 June 2014 is shown in the below table.

#	Sub Programme	ProFi Proposed Budget	Approved Budget (pledged)	Expenditure till June 2014
1.	Sub-programme I: Countering Transnational Organized Crime, Illicit Trafficking and Illicit Drug Trafficking	\$9,171,941	\$4,364,575	\$3,829,988
2.	Sub-programme II: Countering Corruption	\$858,312	\$815,512	\$827,206
3.	Sub-programme III: Terrorism Prevention	\$750,564	\$556,764	\$262,975
4.	Sub-programme IV: Justice	\$24,743,348	\$11,405,716	\$5,962,970
5.	Sub-programme V: Prevention, Treatment and Rehabilitation, and Alternative Development	\$16,993,039	\$16,655,442	\$3,310,477
<b>Grand Total</b>		<b>\$52,517,204</b>	<b>\$33,798,009</b>	<b>\$14,193,615</b>

Funding for activities conducted in the framework of the RP since 2010 has been provided by the following donors:

Non-global projects				
SP I	SP II	SP III	SP IV	SP V
Australia, US,	Ireland, Sweden,	UNDP, Canada,	Australia,	Sweden,

Italy, Norway, Sweden, UK, Denmark, EU, IOM, UAE, ONE-UN Tanzania, Trust Fund to Support Initiatives of States to Countering Piracy off the Coast of Somalia	UK, ONE-Un Tanzania	Sweden	Germany, Israel, Norway, Netherlands, Sweden, UK, US, UNICEF	UNAIDS, US, Canada, UNDP, OFID, Austria, WHO, Global Health Communication, Netherlands, Australia
<b>Global projects</b>				
SP I	SP II	SP III	SP IV	SP V
EU, Norway, UAE, US	UK, Australia	Denmark, Germany, Norway, Sweden, Turkey, US, Italy, France, Belgium		US, Norway

### 3. RATIONALE AND PURPOSE OF THE EVALUATION

In 2010, the Joint Inspection Unit (JIU) undertook the Review of management and administration in UNODC.<sup>40</sup> In this Review, the Inspectors recommended (recommendation #9) a thorough independent evaluation of thematic and regional programming implementation to be conducted and be presented to the governing bodies.

As a response to the JIU recommendation, UNODC's Independent Evaluation Unit (IEU) engaged in systematically undertaking evaluations of RPs. In line with this approach, the evaluation of the RP for Eastern Africa was initiated by ROEA, in close coordination with IEU and the RSAME.

The **purpose of the evaluation** is summative in nature as it seeks to determine the extent to which planned objective and outcomes were produced, enabling decisions with regards to the continuation of the RP and the drafting of the new RP.

Deriving from this purpose, the **specific objectives** of this evaluation are to:

- Contribute to organizational learning by identifying the strengths and weaknesses of UNODC in the region and under each thematic area;
- Contribute to accountability by assessing the achievements of UNODC in the region and the appropriateness of the utilisation of resources;
- Contribute to decision-making in relation to UNODC strategic orientation in the region and in thematic areas for the next Regional Programme.

To respond to the above objectives, this evaluation builds on (i) the Joint Inspection Unit report, (ii) the evaluation of the Integrated Programming Approach and the GLOU46 project ("Support for the Integrated Programming Unit to promote multidisciplinary and cross-sectoral technical cooperation"), and on (iii) the

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<sup>40</sup> Review of Management and Administration in the United Nations Office on Drugs and Crime (UNODC), Joint Inspection Unit, JIU/REP/2010/10

past RP evaluations (East Asia and the Pacific and Afghanistan and Neighbouring Countries), with the aim to learn from and complement these reports.

The intended main users of the evaluation are the recipient Governments and their respective beneficiaries, the Programme Coordinator and other project managers, as well as donors.

#### **4. SCOPE OF THE EVALUATION**

##### **Substantive scope**

Notwithstanding the adherence to the DAC Evaluation Criteria (Relevance, Effectiveness, Efficiency, Sustainability, and Impact), additional evaluation criteria such as design, partnerships and cooperation, knowledge management, and other cross-cutting issues such as gender and human rights are considered.

In light of the above, the scope of Regional Programme Evaluations includes assessment of:

- The contribution to the objectives of the UNODC Medium-Term Strategy and of the UNODC Strategic Frameworks
- The contribution to the Millennium Development Goals (MDGs)
- UNODC regional/country offices' role in support of the RP
- The linkages between the RP, its building blocks (i.e. projects) and Global Projects
- The integration and synergies between the various programming instruments (Thematic, Regional, Country Programmes, if any)
- The contribution of the RP to UNODC Inter-Regional Approach for drug control
- The phasing out of existing projects into programming
- The coexistence in UNODC portfolio of programmes and national projects
- UNODC comparative advantage in the thematic areas
- UNODC partnerships
- The resource mobilization
- The administrative, oversight and governance processes
- The reporting mechanism(s) related to the RP
- The design of the RP

##### **Geographical scope**

The geographical coverage of the evaluation will be as follows: Kenya, Ethiopia, Tanzania, Seychelles and Somaliland. The selected countries provide a representative coverage of the RP. Please see the Sampling Strategy in Annex 4 for further information.

##### **Time scope**

The time coverage of the evaluation will be from November 2009 to September 2014.

##### **Unit of analysis**

The unit of analysis is the RP, including its 5 Sub-Programmes. At one level this evaluation will assess the RP at a holistic level focusing on, inter-alia: the political and strategic linkages with ongoing global and regional initiatives, buy-in by counterparts; and the effectiveness of the governance framework. At another level the evaluation will look into the specifics of each Sub-Programme individually.

However, as the RP is "operationalised" through the implementation of projects, as mentioned under "Regional Programme Portfolio" (p. 5), projects are also considered in this evaluation. Under the timeframe of the Regional Programme, 38 projects were implemented (including CCP and MCP - please see the list in Annex 6). Out of these 38 projects, 12 were evaluated and 6 are planned to be evaluated in the near future.

Past Independent project Evaluations:

- KENI08 Mid-Term Independent Project Evaluation 2008, and Final Independent Project 2013
- In-Depth Evaluation of UNODC Counter Piracy Programme (projects MUSX55, SOMX54, XAMT72, XAMX74, XEAX20, XEAX67, XEAX93, XSSX11, XEAX67), May 2013

Planned Independent Project Evaluations:

- XEAX67 Planned Final Independent Project Evaluation 2014
- XEAX93 Final Independent Project Evaluation 2015
- XSSV02 Final Independent Project Evaluation 2014
- ETHX97 Final Independent Project Evaluation 2016
- ETHX95 Final Independent Project Evaluation 2015
- ETHX88 Final Independent Project Evaluation 2016

As the MCP evaluation is planned to take place in the first quarter of 2015, it will be excluded from the scope of this evaluation. Only aspects related to the interaction between the MCP and the RP will be assessed, e.g. how the two can better mutually support and reinforce each other.

As mentioned above, 19 global projects have also contributed to the implementation of the RP (6 ongoing). GLOG32, GLOJ71, GLOS48, GLOU40 and GLOU46 have been evaluated. Evaluations for GLOT55, GLOS83, and GLOR35 have been scheduled for 2014.

## 5. EVALUATION CRITERIA AND KEY EVALUATION QUESTIONS

The evaluation may be guided by the below indicative questions. Please note that these are only indicative and will be further developed by the evaluation team as necessary.

### Relevance

*Extent to which the objectives of a project are continuously consistent with recipients' needs UNODC mandate and overarching strategies and policies.*

- Are UNODC mandates (e.g. Strategic Framework, Medium Term Strategy and Thematic Programmes) translated adequately into the RP and projects?
- Has the RP been successful in addressing the needs expressed by countries? Has the 2013 TOCTA and other studies, surveys, and reports included in Annex 3 contributed to adjusting UNODC activities under the RP to the situation in the field?
- How relevant was the RP for the implementation of UNODC projects in the region? What was the added value of the RP? Could the projects easily fit into the RP framework?
- Is the geographical coverage of the RP adequate?

### Design

*Extent to which (i) the logical framework approach was adopted, with measurable expected Performance Indicators at the country and regional levels, outcomes and outputs, performance indicators, including gender equality and human rights, targets, risks, mitigation measures and assumptions; and (ii) an appropriate participatory needs assessment and context analysis took place.*

- To what extent is the design of the RP document clear, well-structured, coherent and to what extent does it convey UNODC's overall vision in a clear and consistent manner?

- To what extent was the design of the RP in line with UNODC's integrated programming approach?
- To what extent was the RP designed through consultative processes? To what extent was the decision to develop the RP based on clearly identified needs of government counterparts and priorities in UNODC mandate areas, and if so, what were they? How were counterparts identified and involved in identifying needs and priorities?
- Were the internal review's conclusions on the design of the RP (in particular, over-ambitious objectives, and lack of clarity and prioritisation of objectives) accurate and to what extent has the revised logical framework addressed these issues?
- How could the balance between the regional and national approaches be improved in the future?
- Has the 2013 TOCTA and other studies, surveys, and reports included in Annex 3 been used in programme/project development/revisions with a view to compensating for the absence of baselines in the RP?

### **Efficiency**

*Measure of how resources/inputs (funds, expertise, time, etc.) are converted into outputs.*

- Has the interaction between field-led projects and global projects and thematic sections been efficient?
- Has the full integration of the MCP into the RP addressed the previously noted interaction issues between those programmes? What synergies were developed in the last three years to bring the CPP/MCP in line with the overall vision of the RP?
- How efficient are the reporting mechanisms related to the RP?
- Were the resources and inputs, including technical equipment used appropriately and efficiently, and converted into outputs in a timely and cost-effective manner?
- To what extent was the programme funding mobilization and utilization efficient? Did the financial setup of the RP enable the implementation of the goals?
- What are the consequences of Full Cost Recovery (FCR) and other Secretariat obligations upon the efficiency, cost-effectiveness and sustainability of the RP?

### **Partnerships and cooperation**

*Measure of the level of UNODC cooperation with partners and implementing partners.*

- Are UNODC partnerships in the region efficient and effective? Was the buy-in from partners satisfactory? Were national and regional partners committed? Which were? Which were less? Why?
- Where (substantive matters, countries, regions) has donor interest and commitment occurred, where not and why?  
What has been the effect of regional partners policy and political support for the RP?

### **Knowledge management**

*Measure of how knowledge is selected, managed and used in the formation and implementation of UNODC and counterparts policies and programmes.*

- To what extent has the RP contributed to improve UNODC knowledge about the drug abuse and crime situation in the region?
- To what extent did UNODC share and use this knowledge?
- To what extent did this knowledge influence global, regional and national policies?

### **Effectiveness**

*Extent to which a project or programme achieves its objectives and outcomes.*

- To what extent has the RP achieved its planned results (objectives and outcomes) based on evidence?
- To what extent have other results, which are not explicit in the programme document, been achieved?

- To what extent is the progress or lack thereof made so far, the result of external factors rather than of RP's activities? How did external factors impact on the effectiveness of RP's activities? In particular, to what extent have the considerable security issues in a number of areas impacted the RP implementation's effectiveness?
- In general, what can be done to make the RP more effective?
- Future planning. To what extent would it be valuable for the RP to reorient its strategy for the future? What process could be recommended for that purpose?

**Impact**

*Positive and negative, primary and secondary long-term economic, environmental, social change(s) produced or likely to be produced by a project, directly or indirectly, intended or unintended, after the project was implemented.*

- What has been the overall impact of the Regional Programme? Has UNODC action had more impact in some areas? What are these?
- What difference has the Regional Programme made to Member States, key stakeholders, and beneficiaries at the local level?
- To what extent does the absence of baselines constitutes an obstacle to assessing impact? To what extent can the 2013 TOCTA and other studies, surveys, and reports included in Annex 3 compensate for this lack of baselines?

**Sustainability**

*Measure of whether the benefits of a project or programme are likely to continue after its termination.*

- To what extend are the programme results (impact if any, objectives and outcomes) likely to continue after the programme?
- To what extent has local ownership by beneficiaries and national and regional stakeholders been achieved?

**Gender and Human Rights**

*Measure of (i) how the intervention is designed and implemented to align and contribute to HR & GE as defined by international conventions; (ii) how results were defined, monitored and achieved (or not) on HR & GE and processes that led to these results were aligned with HR & GE principles; (iii) how HR & GE integration led to benefits and related costs; (iv) how the intervention has advanced key factors that need to be in place for the long-term realisation of HR & GE. Further guidance on the incorporation of gender and human rights issues is provided in Annex 8.*

- To what extent have men and women benefited /can be expected to benefit from the programme?
- Have gender and human rights been mainstreamed in the implementation of the programme?  
Have gender and human rights analyses been included in baseline studies, monitoring and reporting?

**Innovation**

- To what extent have interventions under the RP been innovative?
- To what extent have systems under the RP been innovative?
- What have been the costs and benefits of innovations under the RP?

**Lessons learned**

Lessons learned are a key component of any knowledge management system and they are important for continuously improving the performance of organizations like UNODC. Sometimes these lessons will be derived from success and sometimes they will be derived from areas where there is room for improvement. The purpose of a lesson learnt is to see what works and what does not. Lessons can be success stories that should be repeated or they can be areas in which change towards improvement is to take place. They can

offer advice on how to improve processes (how things were done) or products (outputs). The evaluation report should focus on the most important lessons, especially those with wider applicability and those that have the following characteristics:

CHECKLIST	
Knowledge can be applied to future activities	<input type="checkbox"/>
Supporting evidence is relevant: the more rigorous the evidence and the greater the triangulation of sources, the more meaningful the lesson is.	<input type="checkbox"/>
Formulation is concise and clear <sup>41</sup>	<input type="checkbox"/>
Context is relevant for future activities in the area or can be adapted	<input type="checkbox"/>
Clear application domain and target users are defined	<input type="checkbox"/>
Suggested practices and guiding actions are proposed	<input type="checkbox"/>
The "why" question is addressed.	<input type="checkbox"/>

This evaluation is interested to explore lessons learned in some key topics that are illustrated by the following questions:

- a) What lessons can be learned from the implementation in order to improve performance, results and effectiveness in the future?
- b) What lessons could feed into the development of the next Regional Programme?
- c) What best practices emerged from the implementation of the regional portfolio?
- d) Can these best practices be realistically replicated?
- e) What lessons can be drawn from the working arrangements with partners (global, regional, and national)?
- f) What lessons can be drawn from the engagement with civil society and private sector stakeholders?

## 6. EVALUATION APPROACH AND METHODOLOGY

While maintaining independence, the evaluation will be carried out based on a **participatory approach**, which seeks the views and assessments of all parties. 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. In particular, this means involving stakeholders in selecting the evaluation team, defining 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 evaluation team 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 7).

A summarized methodology (evaluation matrix) will be presented in the 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 evaluation team shall fine-tune the methodology for the evaluation in an Inception Report, a mixed approach of **qualitative and quantitative methods** is proposed as per below. 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. As it

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<sup>41</sup> Like recommendations, lessons learnt should be SMART and, in addition, clear, relevant, targeted and actionable

will not be possible to visit all 13 countries party to the RP, efforts will be made to solicit their inputs through surveys/questionnaires (to be elaborated in the inception report).

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

As noted above, the evaluation team will develop a methodology to take advantage of the concomitant OIOS audit of ROEA (from 22 September to 9 October 2014). Synergies between this evaluation and the audit should be used, where feasible.

The first step in defining the evaluation methodology is a grouping of the units of analysis (RP, SP and projects) with regard to the methodology used. Some guidelines are provided hereafter.

## ➤ **Regional Programme Methodology**

### ***Secondary Research Methods***

#### **1. Desk Review**

The evaluation team will perform a desk review of existing documentation (please see the preliminary list of documents to be consulted in Annex 3).

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

- The project document and revisions
- Monitoring data
- Baselines (where these exist)
- Annual and progress reports
- Tools developed under the project and other supplementary documents
- Official communications with Member States and key stakeholders
- Thematic Programmes and Strategic Documentation
- Evaluations and audits

### ***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.

#### **1. Sampling Strategy**

As the selected countries should provide a representative coverage of the Regional Programme and its SPs, the proposed field visits are as follows: Kenya (all SPs), Ethiopia (all SP 1, 4 & 5), Tanzania (SP 1, 2 & 5), Somaliland (SP 4) and Seychelles (SP 5).

	I - TOC	II - Corruption	III - Terrorism prevention	IV - Justice	V - Drug abuse prevention
<b>Kenya</b>	X	X	X	X	X
<b>Ethiopia</b>	X			X	X
<b>Tanzania</b>	X	X			X
<b>Seychelles</b>					X
<b>Somalia</b>				X	

The evaluation team is responsible for further refining the proposed sampling strategy (see Annex 4), based on objective criteria, when drafting the Inception Report. This includes identifying, with the support of the ROEA, site visits within each country selected. The evaluation team also develops the sampling techniques that will be applied for the different data collection instruments.

## 2. Phone interviews / face to face consultations

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

- UNODC staff at ROEA and HQ;
- Partner government officials who are benefitting from and are directly involved in UNODC's work in those countries where UNODC has implemented the RP;
- End beneficiaries such as drug users;
- Relevant Permanent Missions in Vienna;
- Representatives of development partner/donor agencies who are contributing to UNODC's work;
- Other UN agencies, civil society stakeholders, etc.

## 3. On-line questionnaire

To ensure the evaluation considers the views of all in a systematic manner, IEU will frontload the first phase of the evaluation with quantitative data collection methods, i.e. the methodology will focus on developing online questionnaires which results will form the basis for any further undertaking, such as interviews during the field visits. Therefore, IEU proposes a staged approach, see the Timeframe paragraph.

The on-line questionnaires 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 evaluation team. ROEA will directly assist the evaluation team by providing a list of email contact details. It is expected that a readily available online software package (e.g. Survey Monkey or Adobe Forms Central) be used to develop and administer the survey. ROEA or IEU will assist the evaluation team to install and use the software.

## 4. Field visits

Out of the countries receiving UNODC's assistance through the modality of the RP, the evaluation team will undertake field visits to the following countries, based on the proposed site sampling strategy provided in the Annex 4.

The proposed itinerary could be as follows but may be subject to change:

- UNODC Headquarters in Vienna
- Kenya (Nairobi);
- Ethiopia (Addis Ababa);
- Tanzania;
- Somalia (Somaliland); and
- Seychelles.

## **5. Feedback on preliminary findings and recommendations**

Prior to the end of the field mission, the team will provide a short debriefing to the CLP on its preliminary observations.

Following the preparation of a first full draft of the evaluation report cleared by IEU, the key findings, conclusions and recommendations could be presented to UNODC management, partner governments or donor agencies for their comments and feedback.

The team may make its final presentation of the evaluation at UNODC Headquarters, where Member States and donor representatives will participate, as required.

### **➤ Sub-Programmes Methodology**

Sub-Programmes' contribution to the RP overall objective will be assessed through the same methodology stated above. In particular, the following will be applied: an assessment of the Sub-Programmes design and intervention logic; a validation of available progress information through interviews with key stakeholders and beneficiaries; a context analysis of the Sub-Programmes to validate implicit and explicit assumptions and risks, including interviews with government agencies and donors regarding the developments and tendencies in the Sub-Programmes -specific environment.

### **➤ Projects Methodology**

The evaluation should cover a project portfolio that is representative of what is done in the region and allows the evaluation to answer the questions identified in the ToR. However, the evaluation will not consider all the projects that fall under the RP with the same methodological lens.

Individual projects composing the RP will not be subject to a fully-fledged evaluation during this RP evaluation (they would still have to undergo separate independent project evaluations as planned) but rather will be looked into to assess their contribution, or lack thereof, to achieving the objectives of the Sub-Programmes and, in turn, of the RP. This will be done through a review of the available documentation; a validation of the foreseen intervention logic/design with a special focus on the relevance to national priorities and to UNODC's strategic priorities.

For projects already evaluated, independent project evaluations should be used as one piece of evidence to respond to the evaluation questions. In particular, the evaluation team will review the quality of the independent project evaluations to ascertain their validity as a source of information. For this purpose, the evaluation team can use the guidelines on the quality of evaluation reports (please see Annex 6). The evaluation team will also identify the information gaps to be filled through other data collection methods in order to be able to answer the ToR questions.

## **7. TENTATIVE TIMEFRAME AND DELIVERABLES**

The lead evaluator will have the overall responsibility for the quality and timely submission of all deliverables, as specified below:

- Clearance of the Inception Report, containing an evaluation matrix, a refined work plan, methodology and evaluation tools.
- Draft Evaluation Report in line with UNODC evaluation policy and guidelines.
- Final Evaluation Report.
- Presentation of evaluation findings and recommendations to CLP and other key stakeholders in the field and in HQ, as required.

Duties	Dates	Responsible Party/Location	Deliverable
Preparation of desk review material and HQ/ field missions	September 2014	ROEA/RSAME	
Evaluation team undertakes desk review; develops, disseminate and analyse the results of the online questionnaires; and prepares Inception report	22 September-24 October 2014	Evaluation Team Home based/HQ Vienna	Online questionnaires Questionnaire results analysis Draft Inception Report
Finalisation and clearance of Inception Report	By 24 October 2014	Evaluation Team/IEU	Final Inception Report
HQ mission	28-31 October 2014	Evaluation Team	Interview notes
Field missions to Kenya, Ethiopia, Tanzania, Somalia and Seychelles	3 - 29 November 2014	Evaluation Team	Interview notes and delivery of debriefing on preliminary observations in the field
Analysis of data collected and drafting of report	By 30 December 2014	Evaluation Team	Delivery of 1 <sup>st</sup> Draft Evaluation Report
Review of Draft Report	Early January 2015	IEU HQ	Quality assessment Sheet and comments
Revision of Draft Report as needed to meet IEU quality standards	Early January 2015	Evaluation Team Home based	2nd Draft Evaluation Report
IEU submission to internal and then external stakeholders for comments	January 2015	CLP and other stakeholders	Comments provided
Revision of Draft Report as needed to address stakeholders comments and	January 2015	Evaluation Team	3rd and 4 <sup>th</sup> Draft Evaluation Report

meet IEU quality standards			
Potential presentation of preliminary findings to CLP	January-February 2015	Evaluation Team	PowerPoint presentation
Consider feedback received during the presentation	February 2015	Evaluation Team	Revision of Evaluation Report as needed
Clearance of Evaluation Report	February 2015	IEU	Final Evaluation Report
Presentation of the final Evaluation Report to Member States	February 2015	Evaluation Team	PowerPoint presentation

Field visits are foreseen as follows:

Field visits	28-31 Oct.	Vienna/Austria	SP 1&3&5 experts
	3-7 Nov.	Kenya/Nairobi	Entire team/all SPs
	8 – 14 Nov.	Kenya/Nairobi	SP 1&3 expert
	8 – 14 Nov.	Seychelles	SP 5 expert
	8 – 14 Nov.	Somaliland	SP 2&4 expert and IEU/SP 4
	15-21 Nov.	Ethiopia/Addis	Entire team/all SPs
	22-29 Nov	Tanzania	Entire team/all SPs – VTC presentation

## 8. EVALUATION TEAM COMPOSITION

The evaluation will be composed of four members:

- One team leader expert in Evaluation and Transnational Organised Crime, Law Enforcement and Terrorism Prevention (Pillars I and III),
- One evaluator expert in anti-corruption and criminal justice (Pillars II and IV),
- One evaluator expert in Health and Development (Pillar V), and
- A staff member from IEU.

Team composition	Sub-Programme Coverage				
	SP 1 - OC	SP 2 - Corruption	SP 3 - Terrorism	SP 4 - Justice	SP 5 – Health and AD
Team Leader, pillar I&II					
Expert pillar V					
Expert pillar II&IV					
IEU member					

The lead evaluator, with the support of the two other experts, will carry out the drafting of the evaluation report, following the ToR and norms and standards of UNEG, as well as the guidelines set by the IEU Handbook.

Job Descriptions for the experts are provided in Annex 2.

**Roles and Responsibilities of the Lead Evaluator**

- carry out the desk review;
- develop the evaluation methodology in consultation with the second evaluator;
- draft the inception report and finalize evaluation methodology incorporating relevant comments;
- lead and coordinate the evaluation process;
- implement quantitative tools and analyse data;
- ensure that all aspects of the terms of reference are fulfilled;
- draft an evaluation report in line with UNODC evaluation policy;
- finalize the evaluation report on the basis of comments received;
- present the findings and recommendations of the evaluation, as required.

**Role and Responsibilities of the Experts in Anti-Corruption and Criminal Justice and in Health and Development**

- contribute to carrying out the desk review;
- assist the lead evaluator in the evaluation process, as per the respective ToR;
- draft interview protocol(s);
- participate in a mission to the selected evaluation countries in order to interview government officials, donors and other stakeholders;
- support the lead evaluator in the drafting of the final report;
- support the lead evaluator in presenting the findings and recommendations of the evaluation.

The evaluation team shall act independently, in line with UNEG Ethical Guidelines and in their individual capacities and not as representatives of any government or organization that may present a conflict of interest. Members of the evaluation team must not have been involved in the design and/or implementation, supervision and coordination of and/or have benefited from the project under evaluation. They cannot have previous, current or foreseen involvement with any of the related activities of the RP that are under evaluation.

The evaluators will not act as representatives of any party, must remain independent and impartial, and should take into consideration local customs and religious beliefs.

**9. MANAGEMENT OF EVALUATION PROCESS****Management Arrangements**

The independent evaluation will be carried out following UNODC's evaluation policy and UNEG Norms and Standards. The evaluation team will work closely with UNODC's Independent Evaluation Unit.

**Independent Evaluation Unit**

The evaluation is managed by the Independent Evaluation Unit (IEU), which provides quality assurance through the provision of guidelines, formats, assistance, advice and clearance on key deliverables during the evaluation process. IEU further ensures that the evaluation conforms with the UNEG Norms and Standards.

In particular, the IEU guides the process of this evaluation, endorses the TOR, approves the selection of the proposed evaluation team and liaises closely with evaluators throughout the entire evaluation process. IEU

comments on and approves the evaluation methodology and provides methodological support throughout the evaluation; IEU comments on the draft report, endorses the quality of the final report, supports the process of issuing a management response, if needed, and participates in disseminating the final report to stakeholders within and outside of UNODC.

### **Regional Office for Eastern Africa**

Under the guidance of the Regional Representative for Eastern Africa and the various sub-programme managers, the Programme Management Officer, in her function as Focal Point for the Evaluation in ROEA, is responsible for the provision of desk review materials to the evaluation team, commenting on the evaluation methodology, developing the programme of the mission, liaising with the core learning partners, as well as commenting on the draft report and developing an implementation plan for the evaluation recommendations.

RP staff will be in charge of providing logistical support to the evaluation team including arrangements for field missions.

### **Core Learning Partners**

Key stakeholders of the programme – called “Core Learning Partnership” (CLP) – will participate in the evaluation process during key stages. The CLP will comprise of beneficiaries, such as, recipient countries, donors, and others to be determined (please see Annex 4). These will provide information and assistance to the evaluation team. They will also comment on key steps of the evaluation such as the ToR, draft findings and the draft evaluation report.

Members of the CLP will be selected by the Programme Coordinator in consultation with IEU.

### **10. PAYMENT MODALITIES**

The RP will arrange for and bear the costs of the consultant's travel for related field missions, issuing a travel authorization. 75 % of the daily subsistence allowance and terminals will be paid in advance, before travelling. The balance will be paid after the travel has taken place, upon presentation of boarding passes and the completed travel claim forms.

The consultants will be paid in accordance with United Nations rules and procedures. Payment will correlate to deliverables – three instalments are foreseen:

- The first payment (20% of the consultancy fee) will be made upon clearance by IEU of the Inception Report;
- The second payment (30 % of the consultancy fee) will be made upon clearance by IEU of the Draft Evaluation Report;
- The third and final payment (50 % of the consultancy fee, i.e. the remainder of the fee) will be made only after completion of the respective tasks and receipt of the final report and its clearance by IEU. This includes delivery of the necessary evaluation presentation(s) in the field and in HQ, and evaluation brief.

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

Supplementary Questions and Questions that could not be answered by desk review.

### **SPs 1 and 3**

#### **RP EA Sub-Programme I – CTOC, IT and IDT Questionnaire**

**Q1. In your opinion how much assistance has the Sub-Programme provided in achieving ratification of UNTOC and its protocols within the region?**

- Substantial assistance
- Some assistance
- Little assistance
- No assistance

**Q2. In your opinion how much assistance has the Sub-Programme provided in achieving improved border control systems within the region?**

- Substantial assistance
- Some assistance
- Little assistance
- No assistance

**Q3. In your opinion how much assistance has the Sub-Programme provided in achieving capacity building within the region?**

- Substantial assistance
- Some assistance
- Little assistance
- No assistance

**Q4. In your opinion how focused has the Sub-Programme been in the following areas;**

	Fully	Substantially	Partially	Minimally	None
Money Laundering	<input type="checkbox"/>				
Witness and Victim protection	<input type="checkbox"/>				
Encouraging a regional response to tackling TNOC	<input type="checkbox"/>				

**Q5. In your opinion how effective has the Sub-Programme been in providing the assistance required for tackling human trafficking in Ethiopia and Djibouti?**

- Highly effective
- Effective
- Neutral
- Ineffective
- Highly ineffective

**Q6. In your opinion how well has the Sub-Programme identified the appropriate national stakeholders with whom to work?**

- Fully
- Substantially
- Partially
- Minimally
- None

**Q7. In your opinion how well has the Sub-Programme managed partnership and cooperation with the appropriate national stakeholders?**

- Fully
- Substantially
- Partially
- Minimally
- None

**Q8. In your opinion how well do the Sub-Programme activities reflect regional priorities?**

- Fully
- Substantially
- Partially
- Minimally
- None

**Q9. How effective would you describe the interaction between the Sub-Programme and the Eastern Africa Regional Programme?**

- Highly effective
- Effective
- Neutral
- Ineffective
- Highly ineffective

**Q10. How efficient would you describe the interaction between the Sub-Programme and the Eastern Africa Regional Programme?**

- Highly efficient
- Efficient
- Neutral
- Inefficient
- Highly inefficient

**Q11. In your opinion have the Sub-Programme activities addressed gender issues sufficiently?**

- Yes
- No
- Partially
- Don't know

**Q12. In your opinion have the Sub-Programme activities facilitated the mainstreaming of human rights?**

- Yes
- No
- Partially
- Don't know

### RP EA Sub-Programme III – TP

**Q1. In your opinion how much assistance has the Sub-Programme provided in establishing national legal frameworks to counter terrorism?**

- Substantial assistance
- Some assistance
- Little assistance
- No assistance

**Q2. In your opinion how much assistance has the Sub-Programme provided in improving capacity of national criminal justice system entities to implement the legal provisions in accordance with the rule of law?**

- Substantial assistance
- Some assistance
- Little assistance
- No assistance

**Q3. In your opinion how much assistance has the Sub-Programme provided to countries in the region to enhance their expertise in counter-terrorism?**

- Substantial assistance
- Some assistance
- Little assistance
- No assistance

**Q4. In your opinion how much assistance has the Sub-Programme provided to enhance sub-regional and international cooperation in criminal matters pertaining to terrorism?**

- Substantial assistance
- Some assistance
- Little assistance
- No assistance

**Q5. In your opinion how fully has the Sub-Programme identified the appropriate national stakeholders with whom to work?**

- Fully
- Substantially
- Partially
- Minimally
- None

**Q6. In your opinion how fully has the Sub-Programme managed partnership and cooperation with the appropriate national stakeholders?**

- Fully
- Substantially

- Partially
- Minimally
- None

**Q7. In your opinion how fully do the Sub-Programme activities reflect regional priorities?**

- Fully
- Substantially
- Partially
- Minimally
- None

**Q8. How effective would you describe the interaction between the Sub-Programme and the Eastern Africa Regional Programme?**

- Highly effective
- Effective
- Neutral
- Ineffective
- Highly ineffective

**Q9. How efficient would you describe the interaction between the Sub-Programme and the Eastern Africa Regional Programme?**

- Highly efficient
- Efficient
- Neutral
- Inefficient
- Highly inefficient

**Q10. In your opinion have the Sub-Programme activities addressed gender issues sufficiently?**

- Yes
- No
- Partially
- Don't know

**Q11. In your opinion have the Sub-Programme activities facilitated the mainstreaming of human rights?**

- Yes
- No
- Partially
- Don't know

**SPs 2 and 4**

**General Questions to all stakeholders:**

- Have the programme activities been nationally owned?
- What has been the advantage of the regional programme (how has the fact that it is regional been positive for programme activities (design, implementation and outcomes)? Has there been a disadvantage, e.g. in responding to particular country contexts?)
- Is the RP truly holistic, or are there important elements not considered?
- Have the activities been truly nationally ‘owned’, or have they been subject to differences between different ‘national owners’?
- How is the tension overcome between the ‘nationally owned’ aspect (often based on local norms and politics) and the strict adherence to UNODC thematic programs / the fact that UNODC stands for international norms and standards?
- Have the outcomes of analytical work been reflected adequately in programmes and projects?

- Were the resources and inputs, including technical equipment used appropriately and efficiently, and converted into outputs in a timely and cost-effective manner?
- To what extent is the progress or lack thereof made so far, the result of external factors rather than of RP's activities? How did external factors impact on the effectiveness of RP's activities? In particular, to what extent have the considerable security issues in a number of areas impacted the RP implementation's effectiveness? How has progress been influenced by political groupings?
- In general, what can be done to make the RP more effective?
- Future planning. To what extent would it be valuable for the RP to reorient its strategy for the future? What process could be recommended for that purpose?
- What has been the overall impact of the Regional Programme? Has UNODC action had more impact in some areas? What are these?
- What difference has the Regional Programme made to Member States, key stakeholders, and beneficiaries at the local level?
- To what extend are the programme results (impact if any, objectives and outcomes) likely to continue after the programme?
- To what extent have interventions under the RP been innovative?
- To what extent have systems under the RP been innovative?
- To what extend have interventions had a true impact on the end beneficiaries?
- To what extend have design and implementation of activities been tailored to a countries' norms, socio-cultural elements and political economies?
- How did SP II relate to regional anti-corruption bodies?
- How did SP II relate to the UNDAF in Tanzania?

Questions only for UNODC staff:

- In how far have country and regional project experience and lessons learnt informed global policies and programmes?
- How has the interaction been between field-led, global projects and thematic units?
- The internal evaluation in 2013 says there were not enough staff to take care of fund raising. Has that changed since?

- How was the separation of SP II and SP IV implemented? How was the additional coordinator and dedicated activities funded? Was there an implementation or fundraising strategy?
- Are UNODC partnerships in the region efficient and effective? Was the buy-in from partners satisfactory? Were national and regional partners committed? Which were? Which were less? Why?
- Where (substantive matters, countries, regions) has donor interest and commitment occurred, where not and why?
- What has been the effect of regional partners policy and political support for the RP?
- What is, in your view, the theory of change of your project/programme? Where is the project in regards to the initial ‘path’ (what has been achieved, what is ongoing)? Have any external factors evolved and changed assumptions and then approaches?
- How much do you collaborate with other SPs?

Questions for UN or Donor partners:

- Where (substantive matters, countries, regions) has donor interest and commitment occurred, where not and why?

Questions for Ethiopia Country Programme

- How efficient were the UN partnerships as part of the ‘Delivering as One’ process and structure; with UNICEF in regards to children; with NGOs relating to human rights; with ICRC for prison reform?

**SP 5 Additional questions:**

**Relevance:**

1. How has the RP made use of these projects built on them to extend and scale up capacity building throughout the member countries, for example by TOT and cascade training approaches.
2. What was the added value of RP to these Global projects (e.g. role in organizing and facilities, interventions, trainings, etc) needs to be assessed.

3. Geographic coverage selective and uneven. How were decisions made regarding allocation of resources and programmes among the 13 member countries? A review of projects indicates that Kenya received the lion's share of attention. It appears that the farther one goes from Kenya the less attention is seen. Only a small number (usually about five) of countries are covered by most projects, and some countries are received minimal attention (e.g. Rwanda, Somalia, Madagascar). There was no (documented) needs assessment used to decide on prioritization and allocation of programme resources. These decision processes will need to be investigated, but for global projects (e.g. J71 and G32) that would have been determined by the global team based on their own criteria. It is unclear if there was a coordinated effort to focus on countries with greatest needs.
4. Further examination is needed on how thematic programmes, gender and human rights, were translated into the RP programmes.
5. The added value of having a regional programme in terms of management, administration, coordination is not clear because one can only see outcomes through the lens of individual projects. The concept of a regional programme is to get away from "projects" and develop integrated and comprehensive programmes, in this case that address need for evidence based drug and HIV prevention and treatment programmes, HIV and drug programmes for prison settings and livelihood programmes for PWID and other high risk groups (victims of trafficking, sex workers, MSM). And yet SP 5 is defined as one umbrella project (XEAU79 working in parallel with global and regional projects (and country programmes in Kenya and Ethiopia, POEA)).
6. Is the RP truly holistic, or are there important elements not considered?
7. Have the activities been truly nationally 'owned', or have they been subject to differences between different 'national owners'?
8. How is the tension overcome between the 'nationally owned' aspect (often based on local norms and politics) and the strict adherence to UNODC thematic programs / the fact that UNODC stands for international norms and standards?

**Design:**

1. Request documentation on the planning activities with member countries and HQ Vienna in 2009/2010.
2. Request annual reports that were written for donors (e.g. Sweden, UNAIDS, US Gov).
3. Ask to see SI and M&E system and reporting mechanisms.

4. Map out the various projects, partnerships, donors and other stakeholders (create a systems model and ToC) as they relate to SP 5 objectives: Prevention, Treatment, HIV/AIDS prisons and IDUs, Livelihoods

**Efficiency:**

1. What has been the advantage of the regional programme (how has the fact that it is regional been synergistic for programme activities (design, implementation and outcomes)? Has there been any disadvantages, e.g., in responding to particular country contexts?
2. How were decisions made in terms of where to allocate resources and programme activities? Did geographical location, language, cultural, political or other factors determine where programme efforts were directed or not? (e.g., French speaking versus English speaking/ language barriers, political unrest or resistance at policy levels, Kenya central location versus more distant countries).
3. To what degree were there cost savings by integrating global programmes (e.g. GL32, J71) into RP SP 5 agenda?
4. Were donors' agenda consistent with RP SP 5 agenda—did they drive the SP 5 agenda?
5. What percentage of project costs were matched or shared by member country governments?
6. What type of cost saving measures (e.g. using TOT cascade training) employed to reduce cost of using expert training consultants)?
7. Have the outcomes of analytical work been reflected adequately in programmes and projects?
8. Were the resources and inputs, including technical equipment used appropriately and efficiently, and converted into outputs in a timely and cost-effective manner?
9. To what extent is the progress or lack thereof made so far, the result of external factors rather than of RP's activities? How did external factors impact on the effectiveness of RP's activities? In particular, to what extent have the considerable security issues in a number of areas impacted the RP implementation's effectiveness? How has progress been influenced by political groupings?
10. How do budgets take into account the regional and global project budgetary contributions?

**Effectiveness:**

1. Regarding effectiveness, would you agree with the following initial assessment from the desk review:

- Use of Strategic Information at SP 5: little or none, no M&E system in place

- Prevention of HIV/Drug (life and family skills programmes): Partial effectiveness-- see above table that explains reasons regarding copyright problems with Life Skills curriculum. (Also GLOK01 contributed)
  - Evidence-based treatment: introduced throughout the member countries (largely through Treatnet II, J71)—probably the highest achievement outcome?
  - HIV/drug treatment in prisons: implemented in Kenya, Seychelles, Mauritius, Tanzania, Ethiopia (also through XSSV02). This was done selectively in these countries? Was this based on a need assessment?
  - Harm reduction policies and programmes: Some progress made in few countries (Tanzania, Kenya, Mauritius, Seychelles, Zanzibar).
  - Livelihoods Programmes-- good evidence of impact in terms of number of persons reached in several countries (also through XAFK45)
2. How would you rate coverage of the 13 member countries in terms of each achievement (prevention, treatment, prisons, livelihoods etc; can use online survey to collect ratings).
3. In general, what can be done to make the RP more effective?
4. What were the restraining and facilitating factors across the EA region in rolling out the programme according to the intended outcomes in the Project Document?

**Impact:**

1. What can you say about the overall impact of the Regional Programme? Has UNODC action had more impact in some areas? What are these?
2. The RP SP 5 was not designed with baseline information, clear results/framework, measureable indicators and any assessment available of from secondary indicators from government health departments, prisons-criminal justice, or other organisations. Nevertheless, there can be some questions regarding stakeholder's judgments regarding impact during field interviews, which will be useful if they can provide concrete information to back up any assertions.
3. What difference has the Regional Programme made to Member States, key stakeholders, and beneficiaries at the local level?
4. To what extent have interventions had a true impact on the end beneficiaries?
5. Are any plans being made for an impact evaluation?
6. (The online survey might provide some idea on judgments of impact)

**Partnerships and cooperation:**

1. Please describe partnerships and cooperative arrangements/agreements.

(As mentioned above, a systems model of stakeholders, including partners (e.g. UNAIDS, CBOs, Government counterparts) will be developed through interviews by reviewing a diagram that will be developed as part of the instrument package.)

2. The online-survey, if there are sufficient responses, might provide clues on quality of partnerships and cooperative arrangements.

#### **Knowledge management:**

1. What are specific outputs that provided strategic information useful for planning (e.g. surveys, research studies, M&E reports, needs assessments) and was this shared with UNODC (evidence perhaps in PPT presentations, reports).
2. Why was there no results framework or other system for deciding on targets and measureable achievement indicators?
3. Is there a data management system (e.g. using spreadsheet) that tracks important indicators by country?
4. Are there annual reports available that were done separately for donors or other organizations, e.g. The Government of Sweden or other donors? Were these shared with UNODC HQ and other partners?

#### **Sustainability:**

1. Check on existence of (and participation in) work groups and technical working groups and fora regarding, HIV, Prisons, Substance Abuse, etc.
2. Discussion with donors on priorities for funding in next cycle
3. Determine degree to which countries are committing to funding
4. Have the programme activities been nationally owned?
5. Future planning. To what extent would it be valuable for the RP to reorient its strategy for the future? What process could be recommended for that purpose?

#### **Gender and human rights:**

1. To what extent do projects disaggregate data by gender, and incorporate gender issues into design of interventions (e.g. livelihoods programmes)?
2. What information is available on drug and HIV prevalence by gender, and what plans are there for doing surveys to learn more about needs of women who are PWUD/PWID and PLHA?

#### **Innovation:**

1. What were barriers to innovation (e.g. lack of flexibility imposed by donor constraints, political factors, lack of budget, staff or resources?)
2. Did other regional programmes (e.g. East Asia) provide ideas that might be innovative in EA?

**Questions only for UNODC staff:**

1. Can you describe the history of the development of SP 5, such as consultative processes in development the project document, decision regarding priorities and specific country needs?
2. What was your role in the initial formulation and development of the RP (SP 5)? Was this documented? Was it done in accordance with UNODC Strategic plans and mandates?
3. Have you been able to receive timely reporting and information through M&E to monitor the progress of SP 5
4. To what extent have country and regional project experience been able to formulate their experiences and lessons learnt and feed them back to global policies and programmes?
5. How has the interaction been between field-led, global projects and thematic sections?
6. Internal evaluation of 2013 says there were not enough staff to take care of fund raising. Has that changed since?
7. What role did difficulties in filling SP management positions affect SP 5?
8. Are UNODC partnerships in the region efficient and effective? Who do you consider the main partners? Was the buy-in from partners satisfactory? Were national and regional partners committed? Which were more so, which were less so, and why?
9. Where (substantive matters, countries, regions) has donor interest and commitment occurred, where not and why? Have donor agendae driven SP 5 objectives and expected outcomes?
10. What has been the effect of regional partner policy and political support for the RP?
11. What, in your view, would a theory of change or programme model of SP 5 look like? (Show an example of a possible ToC). Where is SP 5 in regards to the initial ‘path’ (what has been achieved, what is ongoing)? Have any external factors evolved and changed assumptions and then approaches?
12. How much do you collaborate with other SPs? (For example, for SP 5 is concerned with HIV/AIDS and drugs in prisons, so would you work the criminal justice and human trafficking SPs?)
13. To what degree has staff capacity (expert knowledge, abilities, management skills, affected their ability to execute the programme?

14. Have particular expertise of the sub-programme manager and deputy affected emphasis of various content areas (e.g. experience in HIV/AIDS, drug demand reduction, criminal justice/prisons).

**Questions for UN or Donor partners:**

1. Where (substantive matters, countries, regions) has donor interest and commitment occurred, where not and why?
2. For your organization what have been the funding priorities over the period of review (2009-2014)? Were they reflected well in SP programme document?
3. Are these likely to change for 2015 going forward?
4. For specific donors for SP 5, such as Government of Sweden, please describe cooperation of UNODC with you in meeting your objectives, reporting, perception of effectiveness and impact, etc?

## **ANNEX III. DESK REVIEW LIST**

### **General Documents**

- UNODC: The Integrated Programming Approach (IPA), A “How To” Guide, June 2014
- UNODC: Thematic and Regional Programmes: An integrated approach, concept note.

### **Strategies**

- UNODC Strategic Alignment, Nov 2012
- General Assembly, A/67/6(Prog. 13), Proposed strategic framework for the period 2014-2015, Part two: biennial programme plan, Programme 13: International drug control, crime and terrorism prevention and criminal justice, Feb 2012
- The Nairobi Declaration

### **Evaluations**

- OIOS Audit Report of UNODC Regional Office for Africa, July 2010
- OIOS Audit Report of UNODC Regional Office for Africa, June 2013
- UNODC Internal Report Comparative Audit Analysis Report: Lessons learned and good practices from FO audits
- UNODCS Vienna, In Depth Evaluation of the UNODC Regional Programme Framework for East Asia and the Pacific, 2009-2012, June 2013
- UNODC, Promoting the Rule of Law and Human Security in Eastern Africa, Internal Review Report Regional Programme 2009-2013, Feb 2014.
- UNODC Regional Office for Eastern Africa, 2012 Office Retreat, Report
- UNODC ROEA Draft Annual Internal Oversight Report 2013
- ROEA Evaluation Portfolio 2014
- UNODC, Promoting the Rule of Law and Human Security in Eastern Africa, Internal Review Report Regional Programme 2009-2013

### **Workplans ROEA**

- ROEA Workplan 2010
- ROEA Workplan 2011
- ROEA Workplan 2012
- ROEA Workplan 2013
- ROEA Workplan 2014
- ROEA Workplan 2014, revised

### **RP Documents**

- Regional Programme for ROEA: List of Stakeholders
- UNODC Regional Programme 2009 – 2012: Promoting the Rule of Law and Human Security in Eastern Africa
- UNODC Regional Programme 2009 – 2015: Promoting the Rule of Law and Human Security in Eastern Africa
- ROEA Organigram 2014
- List of ROEA Projects 2014
- UNODC Field Office Network ROEA: 2013 Summary of Achievements

### **Sub Programme I: CTOC, IT and IDT**

- Illicit Trafficking, Organised Crime, Border Control and Terrorism – Sub-Programme 1 of the NIP for Ethiopia (ETHX88)
- Semi Annual Report – ETHX88 4<sup>th</sup> September 2014
- Strengthening criminal justice responses to TiP and SoM in Ethiopia and Djibouti (ETHX95)
- 2013 Annual project progress report – ETHX95
- Thematic Programme on Organised Crime – April 2011
- Transnational Organised Crime in Eastern Africa – A Threat Assessment 2013

### **Sub Programme II: Anti-Corruption**

#### Programme Development

- UNCAC
- UNODC Thematic Programme Corruption 2010 – 2012
- UNODC Thematic Programme Action Against Corruption, Economic Fraud & Identity-Related Crime 2012 - 2015

#### Programme Design

- The Anti-Corruption Mentor Programme (GLOS48)
  - o Programme Document 2006
- Joint Action towards a Global Regime against Corruption (GLOX69)
  - o Programme Document 2012
- Anti-Corruption (XEAU77)
  - o Programme Document 2010

#### Programme Implementation

- The Anti-Corruption Mentor Programme (GLOS48)
  - o Annual Reports 2010-2013
  - o Project Revision Documents
- Joint Action towards a Global Regime against Corruption (GLOX69)
  - o Annual Reports 2012 – 2013
  - o Project Revision Documents
- Anti-Corruption (XEAU77)
  - o Annual Reports 2010 – 2013
  - o Project Revision Document
- Looking Beyond: Towards a Strategic Engagement with Civil Society on Anti-Corruption, and Drugs and Crime Prevention (GLOU68), Independent mid-term project evaluation of the Strengthening the Capacity of Civil Society Organizations in Africa to Combat Corruption and Contribute to the UNCAC Review Process, July 2013
- UNODC, Strengthening Accountability in Somalia, Discussion Draft, 2013

### **Sub Programme III: Terrorism Prevention**

- Annual Progress Reports GLOR35 2009 to 2013 inclusive
- Project revision documents GLOR35 2010 to 2013 inclusive
- Thematic Programme for Terrorism Prevention 2012 – 2015
- Promoting the rule of law and human security in Eastern Africa – Programme Document (XEAU76)
- Strengthening the legal regime against terrorism in Yemen – Project Document (YEMX24)
- Project Revision Document in 2012 for YEMX24
- Project Progress Reports for YEMX24 2011 to 2103 inclusive

### **Sub Programme IV: Criminal Justice**

#### **Programme Development**

- The Somali Compact
- Security Council, S/2014/330, Report of the Secretary-General on Somalia
- UNODC Assessment of the Criminal Justice Sector in Ethiopia, Nov. 2013
- Ethiopia United Nations Development Assistance Frameworks 2012 to 2015
- UNODC Thematic Programme: Crime Prevention and Criminal Justice Report 2012 – 2015, June 2012.
- United Nations Development Assistance Framework for Kenya, 2014-2018
- UNODC, An Analysis of the Criminal Justice Sector in Somaliland, 2011

#### **Programme Design**

- Justice (XEAU78)
  - o Programme Document March 2010
- The Police Reform Programme in Kenya (KENZ04)
  - o Project Document 2013 – 2015
- Strengthening the Integrity and Capacity of the Court System in Kenya, 2009 - 2011 (KENR80)
  - o Project Document, 2009
- Criminal Justice – National Integrated Programme for Ethiopia (sub-programme 2) (ETHX97)
  - o Project Document March 2013 – Dec. 2016
- Vocational training for prisoner rehabilitation and at-risk youth in Somalia (SOMZ02)
  - o Project Document 2013

#### **Program Implementation**

- Justice (XEAU78)
  - o Annual Project Progress Report 2010-2013
  - o Project Revision Documents
- UNODC, Victimization Survey in Kenya, Executive Summary, April 2010
- Establishing Independent Policing Oversight: Challenges and Opportunities, 2012
- UNODC, Report on the UNODC Prisons Assessment Mission to Uganda: Persisting challenges and emerging strengths: findings and recommendations, 2009
- The Police Reform Programme in Kenya (KENZ04)
  - o Annual Project Progress Report, 2013
  - o Gender Mainstreaming Monthly consultancy report, 2014
  - o Preparation of Strategic and Operational Plans for IPOA, consultancy report, 2014
  - o Police Reform Programme Kenya: Final Report
  - o Technical Advisor Investigation (IPOA): Monthly Report
  - o Mainstreaming Human Rights in the Police Sector: A Comprehensive Assessment on Existing Legislative Frameworks, Policies and Strategies
- Criminal Justice – National Integrated Programme for Ethiopia (sub-programme 2) (ETHX97)
  - o Annual Project Progress Report, 2013

- A Second Chance: Report on Alternatives to Imprisonment and the social Reintegration of Offenders in Kenya, 2012
- Final Report: Towards Professionalized Prosecution Services in Kenya: A Situational Analysis of the State of Prosecution Services and the Way Forward,
- UNODC, OHCHR and UNICEF, Assessment of the Prison System in Mogadishu/South Central Somalia

#### **Sub-Programme V: Health and Livelihoods**

#### **UN Strategic and ROEA Plans:**

- UNODC Strategy 2012-2015;
- UNODC ROEA Regional Programme 2009-2012;
- UNODC ROEA – National Programme for Ethiopia 2012-2015;
- UNODC ROEA Work Plan Regional Programme: 2010, 2011, 2012, 2013;
- Joint Inspection Unit, Review of Management and Administration in UNODC, 2010
- Office of Internal Oversight Services, Audit Report UNODC Regional Office for East Africa, July 2010
- Office of Internal Oversight Services, Evaluation of UNODC, March 2013
- Comparative audit analysis report, May 2012
- In-Depth Evaluation of UNODC Integrated Programming Approach, October 2012
- In-Depth Evaluation of UNODC Support for the Integrated Programming and Oversight Branch to promote multidisciplinary and cross-sectoral cooperation, project GLOU46, October 2012
- Executive Summary and Matrix of Recommendations of the In-Depth Evaluation of UNODC Regional Programme for East Asia and the Pacific, March 2013

#### **Evaluations and mid-term evaluations:**

- KENI08 Mid-Term Independent Project Evaluation 2008, Mid-Term Independent Project Evaluation 2010 and Final Independent Project 2013
- RAFG60 Final Independent Project Evaluation 2013
- XAFK45 Final Independent Project Evaluation 2013
- XSSV02 Mid-Term Independent Project Evaluation 2012
- GLOG32: UNODC Global Programme on HIV/AIDS 2008-2012  
Global Independent Evaluation Unit April, 2014

#### **Project documents and progress reports (ProFi) for:**

- XEAU79 (Umbrella for RP SP 5)
- GLOG32 (Global)
- GLOJ71 (Global)
- XAFK45 (Global)
- XSSV02 (Inter-regional—South Africa and East Africa)
- KENY16 (Country)

#### **Research Studies:**

Respondent driven sampling study and IDU size estimation in Kenya, Seychelles and Mauritius;

HIV in Prison study in Kenya (finalized) Tanzania (first draft report) and Ethiopia (study protocol - ongoing).

National Guidelines for the Comprehensive Management of Health Risks and Consequences of Drug Use

A Comprehensive package of interventions for HIV Prevention, Treatment and care in Prisons and Other Closed Settings, June 2012.

## ANNEX IV. Stakeholder interviews

Name	Role	Organization	Location
Abdi Abdullahi	Director of Judiciary	Ministry of Justice	Somaliland
Abebe Haile	Director, Employment Promotion, Ministry of Labour and Social Affairs	Ministry of Labour and Social Affairs	Ethiopia
Adams Mzee		National Counter-Terrorism Centre	Tanzania
Admasu Nebebe	UN agencies & regional Economic Cooperation Directorate	Ministy of Finance and Economic Development	Ethiopia
Admirela Ancion	Programme Officer	UNODC ROEA	Nairobi
Aine Mushi	Non-Resident UN Agencies (NRAs) Coordination Specialist	One UN Tanzania	Tanzania
Alain Ancion	Deputy Ambassador-Somalia	Dutch Embassy	Kenya
Alan Cole	Senior Programme Officer (Regional Coordinator MCP)	UNODC ROEA	Kenya
Alankar Malviya	Strategic Information Advisor	UNAIDS	Ethiopia
Aldo Lale-Demoz	Director, Division for Operations	UNODC	Austria
Alessandra Testoni	Emergency Programme, NGOs and Humanitarian Affairs Italian Development Cooperation – Embassy of Italy	Embassy of Italy	Ethiopia
Alfred Omangi	Prosecutor	Immigration Department of Kenya	Kenya
Alice Ondiek	Director	Witness Protection Agency	Kenya
Anders Ronquist	Head of Development Cooperation (SIDA)	Embassy of Sweden	Kenya
Andrew Kipkoech		Witness Protection Agency	Kenya
Ane Skov Birk-Kamara	Associate Expert	UNODC	Kenya
Angela Me	Chief, Research and Trend Analysis Branch	UNODC	Austria
Anna Giudice	Drug Control and Crime Prevention Officer, Justice Section	UNODC	Austria
Anne Ljung	Programme Manager		
Anselm Mwampoma	Assistant Director, Head – Transnational and Specialized Crimes Section	Directorate of Public Prosecutions	Tanzania
Assefa Abiyu	Director General, Federal Police Commission	Federal Police Commission	Ethiopia
Atsbeha Egziabher	HIV Lab Team Leader	Ethiopian Public Health Institute	Ethiopia
Barkhad Omer	Deputy Attorney General of Somaliland	Office of the Attorney General	Somaliland
Beng Teoh	Chief, Procurement Unit	UNODC	Austria
Berhanu Tsegaye	State Minister	Ministy of Justice	Ethiopia
Bettina Ambach		Wayamo Organisation	
Bianca Kopp	Former staff, Regional Section for Africa & Middle East	UNODC	Austria
Billen Girmay	Legal Advisor	Federal Ethics and Anti-Corruption Commission	Ethiopia
Birgitte Hagelund	Attaché, Governance and civil society (EU)	EU	Ethiopia
Bitseat Shimelis	Team Leader	Food, Medicine and Health Care Administration and Control Authority (FMHACA)	Ethiopia
Boniface Mwiliu	Director	National Counter-Terrorism Centre	Kenya
Caitlin Chittenden	Crime Prevention and Criminal Justice Officer	UNODC POETH	Ethiopia
Caleb Angira	Project Coordinator	Nairobi Outreach Services Trust (NOSET)	Kenya
Camilla Sudgen	Conflict Advisor DFID Kenya	British High Comission (DFID)	Kenya
Candice Welsch	Chief of Section, Implementation Support Section, Corruption and Economic	UNODC HQ	Austria
Catherine Perret	Chief, Budget Section, FRMS	UNODC	Austria
Cecile Plunet	Programme Officer, Regional Section for Africa and the Middle East, Integrated Programming Branch	UNODC HQ	Austria
Cherine Rahmy	Chief, Regional Section for Africa & Middle East	UNODC	Austria
Chris Halliday	Second Secretary, Political/Security	British High Comission (DFID)	Kenya
Chris Horwood	Coordinator	Regional Mixed Migration Group	Kenya
Chrisantus Makokha	Commissioner of Prisons	Kenya Prisons Service	Kenya
Chrystanthus Ayangafac	Governance Advisor	UNDP	Ethiopia
Colonel Oday	Chief of the Police Training Committee	Police Headquarters	Somaliland
Commander Desta Asmelash	Advisor, to the Director General	Federal Police Commission	Ethiopia
Courtenay Morris	Programme Officer	Bureau of International Narcotics and Law Enforcement Affairs	Kenya
Cyristanthus Ayangafac	Governance Advisor	UNDP	Ethiopia
Dagmar Thomas	Senior Inter-Regional Advisor, Field Operations Management Support Section	UNODC	Austria
Daniel Abebe	Curriculum	Ministry of Education	Ethiopia
Daniella Malulu		Ministry of Health	Seychelles

Name	Role	Organization	Location
Daniella Malulu		Ministry of Health	Seychelles
David Kimaiyo	Inspector General	Kenyan Police Force	Kenya
David Nsalasatta	Deputy Commissioner Genral of Prisons	Uganda Prisons Service	Uganda
Dayib Nuur	Technical Advisor for the High Judiciary Council	High Judicial Council of Somaliland	Somaliland
Dennis Harveaux	Country Director at UNAIDS	UCC, UNAIDS	Tanzania
Dennis Thaichawalit	Director, Division for Management	UNODC	Austria
Desta Asmelash	Deputy Commander	Ethiopia Federal Police	Ethiopia
Desta Kassa	TB/HIV Directorate Director	Ethiopian Public Health Institute	Ethiopia
Dimitri Vlassis	Chief, Corruption and Economic Crime Branch	UNODC	Austria
Dires Desyibelew	Project Manager	UNODC	Ethiopia
Djanabou Mahonde	Chief Child Protection Programme	UNICEF Ethiopia	Ethiopia
Dorcus Oduor	Deputy Director of Public Prosecutions	Office of the Director of Public Prosecutions	Kenya
Dorothea Grieger	Team Leader Promotion of Good Governenece to Strengthen Integrity & Accountability in Kenya	GIZ	Kenya
Alemu Asigedom (Dr.)	Disease Prevention and Health Services Directorate Director	Federal Prison Administration	Ethiopia
Juma A Malewa (Dr.)	Commissioner of Prisons	Ministry of Home Affairs	Tanzania
William N Okeedi (Dr.)	CEO, National Authority for the Campaign Against Alcohol and Drug Abuse	Kenyan Govt.	Kenya
William Sinkelle (Dr.)	Executive Director	Support for Addiction Prevention and Treatment in Africa (SAPTA)	Kenya
Edward Hoseah	Director-General	Prevention and Combating of Corruption Board (PCCB)	Tanzania
Edwin Okello	Assistant Deputy Director of Public Prosecutions	Directorate of Public Prosecutions	Kenya
Eliezer Feleshi	Director of Public Prosecutions	Directorate of Public Prosecutions	Tanzania
Elisabeth Leiss	Team Leader Promotion of Good Governenece to Strengthen Integrity & Accountability in Kenya	GIZ	Kenya
Elisabeth Sundstroem			
Eliud Kinuthia	Advisor	Police Reform Implementing Committee	Kenya
Elizabeth Mattfeld	Project Coordinator, Prevention, Treatment and Rehabilitation Section	UNODC	Austria
Elizabeth Saenz	Expert, Prevention, Treatment and Rehabilitation Section	UNODC	Austria
Elizabeth Schwabe Hansen	Counsellor Political Affairs	Embassy of Norway	Tanzania
Emma Mwambura	Prevention Specialist	USAID	Kenya
Ernest J. Mangu	Inspector General	Inspector General Office	Tanzania
Eshetu Asfaw	Director for Curriculum Development and Implementations Directorate, MOE	Ministry of Education	Ethiopia
Eyob Getachew	Prosecutor	International Cooperation on Legal Affairs Directorate	Ethiopia
Fabienne Hariga	Senior Adviser (HIV Prevention & Care in Prison Settings), HIV/AIDS Section	UNODC	Austria
Fasika Hailu	Coordinator, Children's Legal Protection Center	Child Justice Office, Federal Supreme Court	Ethiopia
Fernanda Lombardi	Programme Officer, Implementation Support Section	UNODC	Austria
Florens Turuka	Permanent Secretary	Government of Tanzania, Prime Minister's Office	Tanzania
Francis Maertens	Former Director, Division for Operations	UNODC	Austria
Gautam Babbar	Programme Management Officer and Inter-Agency Affairs officer	UNODC	Austria
Gedion Kimila	Deputy Director	Criminal Investigations Department	Kenya
Gemechu Adimassu	Governance Coordinator, DFID Ethiopia	DFID	Ethiopia
George Puthuppally	Chief of Section, Terrorism Prevention Branch	UNODC	Austria
Gillian Murray	Chief, Public affairs and Policy Support Branch	UNODC	Austria
Gina Michel	Programme Manager / Mental Health and Cancer	Ministry of Health	Seychelles
Girma Worku	UNCAC Focal Point	Federal Ethics and Anti-Corruption Commission	Ethiopia
Hirbod Aminlari	Programme Coordinator (Police Reforms Programmes in Kenya)	UNODC ROEA	Kenya
Hon. Justice Dr. Willy M. Mutunga	Chief Justice and President	Judiciary of Kenya / Supreme Court of Kenya	Kenya
Hussein A. Aideed	Minister of Justice	Ministry of Justice	Somaliland
Ibrahim Mzee Ibrahim	Director of Public Prosecutions Zanzibar	Public Prosecutions Zanzibar	Tanzania
Ilias Chatzis	Chief of Section, Human Trafficking and Migrants Smuggling Section (HTMSS)	UNODC HQ	Austria
Immaculate	Project Manager	UNODC	Ethiopia
Irene Oloo	Chief Executive Officer	Usalama Forum	Kenya
Isaiah M. Osugo, Cbs	Commissioner of Prisons	Kenya Prisons Service	Kenya
Jacinta Nyamosi	Senior Principal State Counsel	Sexual and Gender-Based Offences Division / Office of the Director of Public Prosecutions	Kenya

Name	Role	Organization	Location
Jackson Kitili	Acting Director	Financial Reporting Centre	Kenya
Jacob Ondari	Deputy Director of Public Prosecutions	Office of the Director of Public Prosecutions	Kenya
James Ndungu	Programme Manager	SaferWorld	Kenya
Jan Petter Holtedahl	Permanent Representative	Norway Embassy	Kenya
Jane Kalweo		UNAIDS	Ethiopia
Javier Montano	Law Enforcement Expert - Trade Supply Chain Security Expert	UNODC	
Jean-Pierre Bardoul		European Union	Kenya
Jenna Dawson-Faber	Programme Officer, Regional Section for Africa & Middle East	UNODC	Austria
Jennifer Savary Bradford			
Jerim Oloo	Director	Probation and Aftercare Services	Kenya
Jian Zhao		IOM	Ethiopia
Joanna Nickolls	RCO	UNDP Somalia	Kenya
Joel M. Ngugi	Judge, High Court of Kenya & Head, Judiciary Transformation Secretariat & Director, Judiciary Training Institute	Judicial Training Institute	Kenya
John Nyaulingo	Deputy Director	National Counter-Terrorism Centre	Tanzania
Johnson.O.R. Byabashaija	Commissioner General of Prisons	Uganda Prisons Service	Uganda
Johnston Kavuludi	Chairperson	The National Police Service Commission	Kenya
Jorge Rios	Chief, Sustainable Livelihood Unit, DHB	UNODC	Austria
Jose Vila Del Castillo	Representative	UNODC ROEA	Kenya
Josiah Ogina	Chief of Mission	IOM	Ethiopia
Julien Bouzon	Head of Section Macroeconomics, Governance & Private Sector	European Union delegation to the Republic of Kenya	Kenya
Justice Tettey			
Karen Kramer			
Kathryn Okedi	CEO	National Agency for the Campaign Against Drugs and Alcohol (NACADA) Authority	Kenya
Katra Sambili	Programme Officer	National Council on Administration of Justice (NCAJ)	Kenya
Keriako Tobiko	Director of Public Prosecutions	Office of the Director of Public Prosecutions	Kenya
Kerry McBride	Programme Officer Africa Region, Haiti and Dominican Republic	State Department	Kenya
Ketil Ottersen	Senior Programme Coordinator, Implementation Support Section	UNODC	Austria
Kevin Curreri	Child Protection Specialist	UNICEF Somalia	Kenya
Khashayar Ghashghai	American Presence Officer	State Department, US Embassy in Kenya	Kenya
Kheriyangu Khamis	Director , CNCDC	Commission for National Coordination and Drug Control Zanzibar (CNCDC)	Tanzania
Kioko Kamula	Deputy Director of Public Prosecutions	Directorate of Public Prosecutions	Kenya
Lilian Obuo	Senior Principal Prosecution Counsel	Directorate of Public Prosecutions	Kenya
Linda William-Melanie	Principal Secretary for Social Development	Social Affairs Department	Seychelles
Lisa Bostwick	Senior Experts	StAR Initiative	USA
Loide Lungameni	Chief (D-1) of the Organized Crime and Illicit Trafficking Branch (OCB), DTA,	UNODC HQ	Austria
Macharia Njeru	Chairperson	Independent Policing Oversight Authority	Kenya
Mahmoud Hassan	Programme Officer	UNODC	Somalia
Mary Chepkonga	Head, AIDS Control Unit	Kenya Prisons Service (KPS)	Kenya
Matteo Pasquali	Head of Justice Programme	UNODC ROEA	Kenya
Medhin Kiros	Vice President, Federal Supreme Court	Federal Supreme Court	Ethiopia
Mengistab Woldearegay	Deputy Director General, FMHACA	Food, Medicine and Health Care Administration and Control Authority (FMHACA)	Ethiopia
Merida Delcy	Principal Secretary	Ministry of Education	Seychelles
Mganga Biswalo	Head of the Asset Recovery Unit	Office of the Directorate of Public Persecutions (DPP)	Tanzania
Michel Van Winden	Deputy Permanent Representative	Embassy of the Kingdom of the Netherlands	Kenya
Michiel Van Dyk	Anti-Money Adviser, Implementation Support Section	UNODC	Austria
Million Assefa	Director	Federal Justice Organs Professionals Training Center (JOPTC)	Ethiopia
Minilik Demissie	HIV and Related Survey and Surveillance Leader	Ethiopian Public Health Institute	Ethiopia
Miri Sharon	Drug Control and Crime Prevention Officer, Justice Section	UNODC	Austria
Mohammed Negat	Judge at Federal Supreme Court	Justice Organs Professional Training Centre (JOPTC)	Ethiopia
Morgane Nicot	Crime Prevention and Criminal Justice Officer, Human Trafficking and Migrants Smuggling Section (HTMSS)	UNODC HQ	Austria

Name	Role	Organization	Location
Muki Jerneloev	Chief, Co-financing and Partnership Section	UNODC	Austria
Murshid Mohamed	Commissioner	National Police Service Commission	Kenya
Muthoni Kimani	Senior Deputy Attorney General	Office of the Attorney General	Kenya
Neema Makya	Key Population Focal Person	National AIDS Control Program (NACP)	Tanzania
Nigel Bartlett	Senior Experts	StAR Initiative	USA
Nikodimos Alemayehu	Child Protection Specialist	UNICEF Ethiopia	Ethiopia
Nyambura Ngugi	Programme Expert	UN Joint Programme on Gender Equality and Empowerment through MPTF	Kenya
Obey Nkya	Prime Minister's Office	Government of Tanzania, Prime Minister's Office	Tanzania
Oliver Stolpe	Chief, Conference Support Section	UNODC	Austria
Onno Koopmans	Counsellor Political Affairs Embassy of the Kingdom of the Netherlands	Embassy of the Kingdom of the Netherlands	Ethiopia
Paola Foschiatto	Programme Manager	UN Women Somalia	Kenya
Patrick Brenny	Country Director at UNAIDS	UCC, UNAIDS	Tanzania
Paul Geurts	Prison Systems Advisor	International Committee of the Red Cross (ICRC)	Ethiopia
Peggy Vidot	Principal Secretary	Ministry of Health	Seychelles
Peter Kiama	Executive Director	Independent Medical Legal Unit (IMLU)	Kenya
Peter Ndjike	State Attorney DPP Tanzania	Attorney DPP Tanzania	Tanzania
Pfiriaeli Kiwia	Director	Kimara Peer Educators and Promoters	Tanzania
Polinikis Sophocleous	Chief, FRMS	UNODC	Austria
Rangaiyan Gurumurthy		UNAIDS	Kenya
Reagan Beauchamp	Programme Officer	Bureau of International Narcotics and Law Enforcement Affairs	USA
Renate Van De Wiel	Senior Officer Development Cooperation	Embassy of the Kingdom of the Netherlands	Ethiopia
Retu Alemu Nega	Director General	Ministry of Foreign Affairs / International Legal Affairs	Ethiopia
Reychad Abdoool	Senior Expert (HIV/AIDS Prevention and Care)	UNODC ROEA	Kenya
Richard Nash	Governance Advisor (Accountability)	DFID	Kenya
Richard Ndambuki	Legal Officer	National Counter-Terrorism Centre	Kenya
Richard Ogetti		National Counter-Terrorism Centre	Kenya
Rie Sjoerslev Hansen	Permanent Representative	Royal Danish Embassy	Ethiopia
Roberto Arbitrio	Director, Office of the Executive Director	UNODC	Austria
Rugiya Yusuf	Executive Director	Somaliland Women's Lawyers Association	Somaliland
Ruth Juliet Nyambura Gachanja		The Cradle Childrens Foundation	Kenya
Ruth Laibon		UNAIDS	Kenya
Sara Greenblatt	Director, Organized Crime Branch	UNODC HQ	Austria
Selamawit Girmay	Coordinator	Child Justice Office, Federal Supreme Court	Ethiopia
Sharon Dimanche	Migration Management Programme Coordinator	IOM	Ethiopia
Sheema Sen Gupta	Chief Child Protection Programme	UNICEF Somalia	Kenya
Simon Charters	Programme Coordinator (Criminal Justice programme in Somaliland)	UNODC POSOM	Somaliland
Simon Kahonge	Psychiatrist	Mathari Mental Teaching and Referral Hospital	Kenya
Simon Martin	Advisor	British High Comission (DFID)	Kenya
Sobbie Mulindi	Former Deputy Director	National AIDS Control Council (NACC)	Kenya
Solene Philippe	Associate Expert, Regional Section for Africa and the Middle East, Integrated Programming Branch	UNODC	Austria
Stefano Polacco	Programme Management Officer, Strategic Planning and Inter-Agency Affairs	UNODC	Austria
Stephen Kinloch-Pichet	Head of Sub-Office UNDP	UNDP	Somaliland
Steve Lee	Senior Governance Advisor	UNDP	Tanzania
Tarek Sharif	Head of Division, Defense and Security, Peace and Security Department	African Union	Ethiopia
Tariku Tilahun	Acting Director International Cooperation on Legal Affairs Directorate, Ministry	Ministry of Justice	Ethiopia
Tariku Tilahun	Acting Director	International Cooperation on Legal Affairs Directorate	Ethiopia
Tesfaye Ayele	Team Leader	Ministry of Education	Ethiopia
Thomas Huyghebaert	Head of Governance, Economic and Social Section	European Union	Ethiopia
Tim Steele	Senior Advisor, Anti-Corruption	UNODC Eastern and Southern Africa	South Africa
Titus Naikuni			Kenya

Name	Role	Organization	Location
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Uchenna Emelonye	Senior Human Rights Adviser, Office of the UN Resident and Humanitarian	UNDP	Kenya
Udaya De Silva	Area Project Manager, Civilian Police Project	UNDP	Somaliland
Uwe Wissenbach	First Counsellor	European Union delegation to the Republic of Kenya	Kenya
Valerie Lebaux	Chief of Justice Section	UNODC HQ	Austria
Victor Okioma	Deputy Principal Secretary	Ministry of Interior and Coordination of National Governement	Kenya
William Okedi	CEO	National Agency for the Campaign Against Drugs and Alcohol (NACADA) Authority	Kenya
William Thwere	Chief of Staff Kenyan Police	Kenyan Police Force	Kenya
Wondu Mamo	Public Prosecutor and Head of Legal Research, Training and Legal Education	Ministry of Justice	Ethiopia
Yesuf Jemaw	Senior Advisor	Ministry of Justice	Ethiopia
Yonas Getahun	Case Team Leader, Ministry of Finance and Economic Development	Minisry of Finance and Economic Development	Ethiopia
Yovin Laurent	Head of Department of Control, Investigation amd Research	Drug Control Commission (DCC)	Tanzania
Zebib Kavuma	Country Director	UN Women / UN Joint Programme on Gender Equality and Empowerment	Kenya