



**MID-TERM INDEPENDENT JOINT EVALUATION  
UNITED NATIONS COUNTERING  
TERRORIST TRAVEL PROGRAMME**

**UNCCT-2018-02-82**

**March 2023**

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The views expressed in this independent evaluation report are those of the evaluation team. They do not represent those of UNODC and the Evaluation and compliance Unit (ECU) and UNOCT the Evaluation Management Group comprising IES and ECU and UNOCT respectively, nor any of the institutions or Member States referred to in the report. All errors and omissions remain the responsibility of the evaluation team.

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UNITED NATIONS SECURITY COUNCIL  
COUNTER-TERRORISM COMMITTEE  
EXECUTIVE DIRECTORATE



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# ABBREVIATIONS AND ACRONYMS

Abbreviation or Acronym	Full name
AIRCOP	Airport Communication Project
API	Advance Passenger Information
CSO	Civil Society Organization
CT	Counter-Terrorism
CTED	Counter-Terrorism Committee Executive Directorate
CTTP	Countering Terrorist Travel Programme
DPPA	Department of Political and Peacebuilding Affairs
ECU	Evaluation and Compliance Unit
EMG	Evaluation Management Group
EO	Executive Office
FGD	Focus Group Discussion
FTF	Foreign Terrorist Fighter
GMCP	Global Maritime Crime Programme
ICAO	International Civil Aviation Organization
IES	Independent Evaluation Section
IO	International Organization
INTERPOL	International Criminal Police Organization
IOM	International Organization for Migration
IP	Implementing Partner
IR	Inception Report
JAITF	Joint Airport Interdiction Task Force

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Abbreviation or Acronym	Full name
MoA	Memorandum of Agreement
MoU	Memorandum of Understanding
MS	Member State
MSC	Most Significant Change
NCE	No Cost Extension
NGO	Non-Governmental Organization
NIS	National Implementation Sites (database)
OICT	Office of Information and Communication Technology
OUSG	Office of Under Secretary General
OSCE	Organization for Security and Co-operation in Europe
PIU	Passenger Information Unit
PMT	Programme Management Team
PNR	Passenger Name Record
SARPs	Standards and Recommended Practices
SC	Serious Crime
SCR	Security Council Resolution
SPPSS	Strategic Planning and Programme Support Section
TAM	United Nations Programme on Threat Assessment Models for Aviation Security
TOR	Terms of Reference
TRIP	Travel Information Portal
UNCCT	United Nations Counter-Terrorism Centre
UNEG	United Nations Evaluation Group

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Abbreviation or Acronym	Full name
UNOCT	United Nations Office of Counter-Terrorism
UNODC	United Nations Office on Drugs and Crime
UNSSC	United Nations System Staff College
WCO	World Customs Organization

# MANAGEMENT RESPONSE

## NARRATIVE

The Programme greatly appreciates the recommendations contained in the evaluation report, and the work conducted by the evaluators, as well as the time and effort of all stakeholders involved in the Evaluation process.

The Programme Management acknowledges and would like to highlight the overwhelmingly positive assessment of the Programme, namely its relevance, coherence, efficiency, effectiveness, sustainability, impact, structure, and methodology. The report recognises and highlights the valuable contribution the Programme is making, while recommending how the Programme can be further strengthened and reinforced.

Implementation of the recommendations has already begun, although full implementation will go beyond the initially proposed timelines. Additionally, some recommendations in particular those related to overcoming the significant administrative challenges related to processes/procedures/approvals from EO/SPPSS/OUSG, will require Senior Management buy-in and action.

Looking at each of the 6 key recommendations:

1. **Theory of Change** CTPP. This recommendation will be incorporated and implemented during review of the Project document beyond 2023.
2. **Efficiency** measures
  - Partner Reporting – CTPP started to streamline reporting in Q4 2022, so that Partners now have an online portal to report on all activities in one place, with guidance on how to complete the report.
  - Administrative processes and procedures remain one of the major implementation challenges and will require Senior Management buy-in and action.
3. **Effectiveness:** Monitoring, Evaluation and Learning – action is being taken to implement these recommendations in the training strategy, and the original Risk matrix will become a ‘live’ document accessible to all partners.
4. **Gender mainstreaming collaboration** – the Programme has both a consultant (specialised in Human Rights and Gender) and a Gender focal point who are examining how gender can be further mainstreamed in the Programme and will further advise partners.
5. **Human rights capacity building** – additional mitigation measures are being put in place, including assessing how to monitor compliance post-deployment of goTravel, and training is being developed on privacy and data protection.
6. **Donors** – CTPP plans a high-level donor meeting on the margins of the UNGA to highlight these recommendations.

As the Programme is progressing to extend its mandate for 2024 and beyond, we will incorporate the findings and recommendations from this report in our practices and in the updated Project document.

## INDIVIDUAL RESPONSE

Recommendations	Management Response
<p>1. <b>Theory of Change:</b> Develop a full Theory of Change (ToC) that will i) provide a definitive programme objective intrinsically linked to; ii) a newly developed impact statement; iii) address how cross-cutting thematic areas such as serious crime travel and maritime domain API / PNR data can be integrated into the four-pillar Passenger Information Unit (PIU) intervention logic; iv) address how cross-cutting partner stakeholders such as WCO, IOM, and other IOs, ROs, and CSOs can be integrated into the four-</p>	<p>Accepted</p> <p>Although the Programme has a definitive objective already, there is value in adjusting the Project document to fully reflect a ToC, and also outline how maritime is integrated across the four pillars, and the role of other IOs. This will be done as part of the renewal of the Programme’s mandate in Q2/Q3 2023.</p>

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<p>pillar PIU intervention logic, and v) ensure the logical framework of the CTPP reflects the ToC.</p>	
<p><b>2. Efficiency:</b> Examine two key aspects to improve efficiency namely, i) reporting mechanisms, and ii) processes and procedures between UNOCT PMT Budapest and UNOCT Executive Office (EO) New York. This will help address the availability of sufficient / required internal support mechanisms relating to financial administration and administrative support. Further, it will help to remove duplicative and complex internal processes and procedures required for review and approvals resulting in inefficiencies and redundancies in the system.</p>	<p>Accepted.</p> <p>The reporting mechanisms deal with both reporting to donors and reporting by Partners – for the most part the Partners reporting has been streamlined since Q4 2022 using a new reporting system, whereby Partners report only once per activity. For donor reporting, the recommendations will be brought and proposed to the Programme’s existing donors during a donor event in Q3 2023.</p> <p>Regarding processes and procedures – given that the recommendations are related to areas of responsibility of EO, SPPSS, OUSG – it will require Senior Management action and potentially structural change, thus the timeline will not be in the control of the Programme.</p>
<p><b>3. Effectiveness:</b> Improve the overall effectiveness of the programme consideration should be given to developing an appropriate Monitoring, Evaluation, and Learning (MEL) methodology, and a programme risk register. An assessment of the benefits and challenges of engaging with ROs, IOs, CSOs, private sector and academia to be completed.</p>	<p>Accepted</p> <p>Although the timeline for development and implementation will stretch beyond 6 months.</p>
<p><b>4. Gender mainstreaming collaboration:</b> Improve the understanding regarding effective gender mainstreaming and equity, the programme should review the policies and guidelines of UNOCT and Implementing Partners, together with their gender focal points, as needed, to identify approaches and practices that could be applied to the programme. In addition, the programme should contemplate seeking advice from external (specialized) gender experts, along with sister UN agencies such as UNWOMEN, to improve the response in supporting gender mainstreaming and equity at programme and country level and help ensure a balanced workload among partners/ within the programme.</p>	<p>Partially accepted.</p> <p>The report makes clear that gender has been ‘nested in programme activities’, that early challenges ‘have been recognized and are now being more fully addressed’, and that the participation of women is encouraged throughout the Programme. The Programme has a Human Rights and Gender consultant who is currently undertaking a review of the Programme’s gender mainstreaming, and the Evaluation report’s findings will be further explored through the work of this consultant and the Programme’s designated gender focal point who participates within the UNOCT Gender Task Force and supports gender mainstreaming within the Programme’s workplan. The report says that ‘there is a possibility that more could be achieved by engaging with a wider range of gender experts and organizations. In this regard, the consultant will liaise with programme partners to look into the gender policies of the partners’ organizations, to identify good practices that could be relevant and applicable to the programme.</p>
<p><b>5. Human rights capacity building:</b> Increase focus on human rights, scenario-based capacity building through a standalone module within the current CTPP training approach, as well as in any future training development.</p>	<p>Accepted</p>
<p><b>6. Donors:</b> Convene a meeting with all donors to the programme to: i) discuss programme and donor priorities, ii) examine the possibility for soft-earmarked funding, including the use of a trust fund, iii) examine the likelihood of longer-term donor commitment, iv) understand key donor reporting requirements and to streamline and reduce resources required to meet varied donor reporting requirements that can be easily avoided by agreeing on core reporting aspects.</p>	<p>Accepted</p> <p>This should be led by the UNOCT Resource Mobilization and Donor Relations Section as well as Senior Management support to ensure a coordinated approach with implementing partners.</p> <p>Proposed timeline is not practical nor reasonable – recommend completion in 9 months</p>



## INTRODUCTION

### PROJECT DESCRIPTION AND OBJECTIVES

The United Nations (UN) Security Council adopted three key resolutions related to the collection of Advance Passenger Information (API) and Passenger Name Record (PNR) data to prevent and counter terrorism<sup>1</sup>. Under the management of the United Nations Office of Counter-Terrorism (UNOCT) the Countering Terrorist Travel Programme (CTTP) was launched in 2019 with the stated objective of ensuring “Member States (MS) have an enhanced capacity to detect, prevent, investigate and prosecute terrorist offences and other serious crimes, and related travel, in accordance with Security Council Resolutions (SCR), International Civil Aviation Organization (ICAO) standards and recommended practices, as well as other international law obligations”.

The CTTP intervention logic envisaged capacity building support to MS to enable them to develop Passenger Information Units (PIUs) within which API and PNR data could be legally housed and analysed. This was to be achieved by offering support under four key pillars, 1) provision of legislative assistance, 2) operational enhancement through building PIUs and other capacity-building support, 3) transport industry support through carrier engagement, and 4) technical support and expertise in goTravel software solutions and interoperability<sup>2</sup> with national and international databases and watchlists, including those of INTERPOL.

Each Pillar was to be led by an Implementing Partner (IP) or Partners with the UNOCT CTTP Programme Management Team (PMT) providing overall coordination.

### PURPOSE, SCOPE, AND METHODOLOGY OF EVALUATION

The evaluation covers the period from programme inception in 2019 to the completion of the data collection phase on 12 October 2022. The purpose of this mid-term, independent joint evaluation is two-fold:

1. To take stock of achievements to date to aid decision making, and
2. To gather initial lessons from programme implementation experiences

It will be used to help programme managers in all implementing partner entities, and stakeholders identify and understand successes to date, problems that need to be addressed, and provide stakeholders with an external, independent and objective view on the programme status, its relevance, how effectively it is being managed and implemented, and whether the programme is likely to achieve its overall objectives, including whether implementing partners are effectively positioned to achieve maximum impact.

This joint evaluation followed a mixed-methods as well as gender-responsive evaluation methodology, in line with United Nations Evaluation Group (UNEG) and United Nations Office on Drugs and Crime (UNODC) norms and standards, guidelines, and requirements, with adequate triangulation and counterfactuals to arrive at credible, reliable, and unbiased findings. A preliminary desk review was undertaken, and an Inception Report (IR) identified information gaps and designed data collection instruments (see Annex II) to fill those gaps. Telephone interviews were conducted, an online survey distributed (see Annex V), a three-country comparison undertaken, and a Most Significant Change (MSC) narration was completed.

The evaluation faced some limitations. Two anticipated field visits did not happen, nor did the focus group discussion. These were mitigated through extending the number of interviews and the scope of questioning along with an extended and enhanced document review. This evaluation report was prepared by an independent, external evaluation team consisting of two males, Mr. Peter Allan, Evaluation Expert; and Mr. Saeed Ullah Khan, Human Rights and Gender Expert; and one female, Ms. Chantelle Cullis, Substantive Expert.

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<sup>1</sup> Resolutions Nos. 2178 (2014), 2396 (2017), and 2482 (2019).

<sup>2</sup> It is the ability of computer systems and/or software to exchange and make use of information.

## MAIN FINDINGS

### RELEVANCE

The Countering Terrorism Travel Programme (CTTP) is fully relevant at the strategic level of the United Nations (UN) as evidenced by the programme's adherence to the appropriate Security Council Resolutions (SCRs)<sup>3</sup> and its instruction on Advance Passenger Information (API) and Passenger Name Records (PNR) data. As the programme has developed and more Member States (MS) request its support, the programme has looked to maintain relevance to MS by developing the serious crime travel aspect and developing maritime domain API and PNR assistance. In so doing the CTTP and its Programme Management Team (PMT) will have to ensure MS end-user relevance is continuously identified, assessed, and addressed.

### COHERENCE

The programme delivers well in providing the environment and structure required for coherent cooperation and collaboration between the implementing partners. The CTTP has been identified as an excellent example of the 'One-UN' approach. The programme has also identified and engaged with organizations and programmes in a manner which demonstrates an understanding of how existing and new partnerships can be leveraged to mutual benefit. As the programme has expanded this element has become more challenging to address, primarily with Regional Organisations (ROs) and Civil Society Organisations (CSOs). In attempting to implement broader strategic objectives the programme suffers from the lack of a well elaborated theory of change.

### EFFICIENCY

The programme uses its resources in a broadly efficient manner. The management and accountability structure, including the Accountability Framework and its associated documentation, provide the basis for an efficient multi-agency programme. There are efficiency dividends from having CTTP staff embedded in UN and non-UN agencies alike. Efficiencies can still be found in streamlining reporting mechanisms and improving the processes and procedures between UNOCT CTTP PMT in Budapest and DPPA Executive Office (EO) in New York.

### EFFECTIVENESS

The effectiveness of the programme in making progress toward the establishment of PIUs is good, even allowing for the challenges posed by Covid-19 travel restrictions. The capacity building activities were found to be effective including the training offered, the cohesion of the 'One-UN' approach, and the networks built both nationally and regionally. The programme recognises that each MS requires a different approach and that there is not a 'one size fits all' solution. Yet there are certain elements that are consistent across all MS, such as political buy-in, inter-agency friction, and lack of resources. The programme would benefit from taking a more pro-active approach to identifying, analysing, and mitigating risk in general, and in these common areas in particular.

### SUSTAINABILITY

The CTTP sustainability strategy relies heavily on the logical approach of creating a functioning PIU for the beneficiary MS. Each of the implementing partners within the four Pillars, when delivering on their own objective(s) within the programme, creates an environment within the MS where sustainability can be obtained. Yet longer term sustainability still relies on the beneficiary MS adhering to the PIU commitments it makes when partnering with the programme. From a CTTP sustainability perspective it is reliant upon donor funding. Longer term funding and greater flexibility in where those funds are directed would provide the opportunity for longer-term planning but must be coupled with a robust and transparent prioritisation methodology.

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<sup>3</sup> UN SCR Nos. 2178, 2396, 2482

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## IMPACT

The issue of defining and measuring impact has not been properly addressed in the intervention logic of the CTTTP, relying on the overall objective of the programme as its impact. However, in making progress toward establishing a PIU, some positive signs of impact have been identified. These include i) encouraging national and regional inter-agency, and inter-organisational cooperation, ii) awareness raising in MS of the importance of a cohesive approach that includes all four Pillars, and iii) the value of establishing a PIU. Looking forward the CTTTP will have to develop a Theory of Change (ToC) including an impact statement that reflects the purpose of the programme.

## HUMAN RIGHTS, GENDER EQUALITY, DISABILITY, AND LEAVING NO ONE BEHIND

Human rights and gender have been nested in programme activities predominantly pertaining to the use of data and data protection. Early challenges, in particular a lack of resources, in promoting human rights and gender in the programme have been recognised and are now being more fully addressed. Dedicated human rights programme resources are now available and human rights considerations remain a fundamental part of API and PNR documentation and implementation. The programme has also encouraged the participation of women in the programme, through for example, including gender promotion in the Memoranda of Understanding (MoU) signed with MS beneficiaries. However, insufficient presence of women in law enforcement in general was identified as a reason for low participation of women in programme activities. More broadly, how to integrate gender into CTTTP work remains a challenge.

## MAIN CONCLUSIONS

The CTTTP is a successful programme as measured under many metrics. It is relevant to Member States and their needs in addressing the UN SCRs on API/PNR data. The methodology used to assess needs and fill gaps through the CTED country consultations, and the subsequent development of national roadmaps toward the establishment of a PIU is sound. Although a fully functioning CTTTP inspired PIU has yet to be established the principle of a PIU is well understood and proven to work. Thus, the programme intervention logic from that perspective is valid. The CTTTP is broadly efficient although savings around some processes and procedures could be realised. The capacity building activities toward establishing a PIU are appropriate although there are minor areas where effectiveness may be improved. A key impact from programme activity has been around networking opportunities and the subsequent development of formal and informal working groups both cross-Pillar and intra-Pillar.

The four Pillar approach has evolved over the lifetime of the programme. Whilst there are challenges in coordinating intra-Pillar activities, a strong CTTTP PMT that has established good implementing partner relationships, under-pinned by a strong, cooperative ethos has helped minimise those challenges. Where the intervention logic falls short is in not having a fully developed Theory of Change where the anticipated impact of the programme is clearly defined, and consistent programme objectives developed.

The programme has understood a MS need to address Serious Crime travel and collect maritime API/PNR data. With the programme being identified as utilising the 'One-UN' approach to its advantage, the movement of the programme into these areas is logical given the UN (and other) expertise upon which it can draw. Additionally, the programme benefits from the UN brand, and it argues its case well that by involving the CTTTP the beneficiary is drawing on a whole UN package along with other key non-UN partners. This expansion presents resource challenges for a programme that is already fully stretched in key areas such as maritime, and carrier engagement. Closer engagement with the donor community coupled with a Theory of Change that helps set priorities and resource allocation will provide more clarity on sustainability for the programme.

Human Rights and Gender Equality (HR&GE) are recognised by the programme and its stakeholders as key issues. The programme's focus on HR has primarily centred under Pillar 1 and the legislative changes that may be required to deal with API/PNR data in a HR compliant manner. GE has been more challenging for the programme to achieve, as many factors for achieving greater equity lie outside the programme's control. Yet there is a possibility that more could be achieved by engaging with a wider range of gender experts and organizations.

## EXECUTIVE SUMMARY

## MAIN RECOMMENDATIONS

### RECOMMENDATION 1 – THEORY OF CHANGE

To develop a full Theory of Change (ToC) that will **i)** provide a definitive programme objective intrinsically linked to; **ii)** a newly developed impact statement; **iii)** address how cross-cutting thematic areas such as serious crime travel and maritime domain API / PNR data can be integrated into the four-pillar Passenger Information Unit (PIU) intervention logic; **iv)** address how cross-cutting partner stakeholders such as WCO, IOM, and other IOs, ROs, and CSOs can be integrated into the four-pillar PIU intervention logic, and **v)** ensure the logical framework of the CTPP reflects the ToC.

### RECOMMENDATION 2 – EFFICIENCY

To examine two key aspects to improve efficiency namely, i) reporting mechanisms, and ii) processes and procedures between UNOCT PMT Budapest and UNOCT Executive Office (EO) New York. This will help address the availability of sufficient / required internal support mechanisms relating to financial administration and administrative support. Further, it will help to remove duplicative and complex internal processes and procedures required for review and approvals resulting in inefficiencies and redundancies in the system.

### RECOMMENDATION 3 – EFFECTIVENESS

To improve the overall effectiveness of the programme consideration should be given to developing an appropriate Monitoring, Evaluation, and Learning (MEL) methodology, and a programme risk register. An assessment of the benefits and challenges of engaging with ROs, IOs, CSOs, private sector, and academia to be completed.

## MAIN LESSONS LEARNED AND BEST PRACTICE

The programme is clearly linked with international and national priorities and strategies, thus increasing its buy-in from all stakeholders at different levels. This reflects an important lesson that linking such strategic programmes with different stakeholders' own priorities helps to ensure a higher degree of relevance.

Efficiency stems not only from programme engagement with other stakeholders, but also from within programme itself and its own functions. Over burdensome reporting regimes can lead to a loss of efficiency.

Without a proper theory of change addressing the concept of impact, there is a risk of implementation of activities without direction or purpose.

Engagement with Civil Society Organisations (CSOs), private sector or academia requires special effort, but it is important to bring such stakeholders onboard, including from human rights and gender perspective, when programme activities are being designed and delivered.

The comprehensive, 'One-UN' approach has been effective for inter and intra- agency collaboration within and provides positive advocacy for the UN.

# SUMMARY MATRIX OF FINDINGS, EVIDENCE AND RECOMMENDATIONS

Findings	Evidence <sup>4</sup>	Recommendations <sup>5</sup>
<p>1. Based on findings:</p> <p>No.1 (Relevance),</p> <p>No.6 (Coherence)</p> <p>No.16 (Impact)</p>	<p>Desk Review</p> <p>Enhanced desk review</p> <p>Key Informant Interviews</p> <p>Most Significant Change</p> <p>Observation of activity (Togo Training)</p>	<p>1. <b>Theory of Change:</b> Develop a full Theory of Change (ToC) that will <b>i)</b> provide a definitive programme objective intrinsically linked to; <b>ii)</b> a newly developed impact statement; <b>iii)</b> address how cross-cutting thematic areas such as serious crime travel and maritime domain API / PNR data can be integrated into the four-pillar Passenger Information Unit (PIU) intervention logic; <b>iv)</b> address how cross-cutting partner stakeholders such as WCO, IOM, and other IOs, ROs, and CSOs can be integrated into the four-pillar PIU intervention logic, and <b>v)</b> ensure the logical framework of the CTPP reflects the ToC.</p> <p><i>Programme Management Team (PMT), Countering Terrorist Travel Programme (CTTP), the United Nations Office of Counter-Terrorism (UNOCT) – in consultation with all key stakeholders – to complete within 3 months of the formal publication of this report.</i></p>

<sup>4</sup> General sources that substantiate the findings.

<sup>5</sup> Should include the specific target group of implementing recipient(s) at UNODC.

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<p>2. Based on finding No.8 (Efficiency)</p>	<p>Desk Review</p> <p>Key Informant Interviews</p> <p>Observation of activity (PMT Meeting)</p>	<p>2. <b>Efficiency:</b> To examine two key aspects to improve efficiency namely, <b>i)</b> reporting mechanisms, and <b>ii)</b> processes and procedures between UNOCT PMT Budapest and DPPA Executive Office (EO) New York.</p> <p>Under <b>i)</b> reporting mechanisms, consideration should be given to i.e.:  <i>a)</i> reviewing the content and detail required for the weekly updates and consider moving to two-weekly.  <i>b)</i> weekly bi-lateral meeting frequency to be reviewed with possible move to two-weekly.  <i>c)</i> weekly PMT meeting frequency to be reviewed with possible move to two-weekly.  <i>d)</i> creating more detailed guidance what should be reported upon focusing on the information required for implementation partners' quarterly reporting to the CTTT PMT which should be the bedrock of IP reporting.  <i>e)</i> using a single portal for access to key reporting documents such as PMT meeting minutes, WG meeting minutes, quarterly reporting, the CTTT calendar etc. The National Implementation Site or a new comprehensive reporting tool might provide this portal. <i>UNOCT CTTT PMT – in consultation with all key stakeholders – to complete within 3 months of the formal publication of this report.</i></p> <p>Under <b>ii)</b> processes and procedures between UNOCT PMT Budapest and DPPA Executive Office (EO) New York, consideration should be given to:  <i>a)</i> allowing CTTT PMT access to financial data pertinent to the delivery of time-critical programme activity.  <i>b)</i> improving communication on time-critical procurement issues through an agreed Single Point of Contact (SPOC).  <i>c)</i> face-to-face discussion and agreement - through new or existing Service Level Agreements (SLAs) between UNOCT CTTT PMT Budapest and DPPA EO New York – of roles, responsibilities, and deliverables of each party. Other internal support mechanisms including from Strategic Planning and Programme Support Section and Office of Office of the Under-Secretary-General that also needs to be covered in these discussions.  <i>d)</i> Actively consider improving efficiency with regards to internal processes and procedures and ensure adequate internal support mechanisms are in place by: (i) Reviewing Delegation of Authority to ensure that Programme Manager has ability to approve travel, procurements, financial authorizations in a timely manner without having to go through New York; (ii) Reviewing existing internal process and procedures in place for the review/approval of HR packages, memos, notes, reports, etc. with a view to enhancing efficiency and reducing duplication of efforts.</p> <p><i>Programme Management Team (PMT), Countering Terrorist Travel Programme (CTTP), the United Nations Office of Counter-Terrorism (UNOCT) – in collaboration with DPPA EO New York – to complete within 3 months of the formal publication of this report.</i></p>
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Findings	Evidence <sup>4</sup>	Recommendations <sup>5</sup>
<p>3. Based on findings</p> <p>No.12 (Effectiveness)</p> <p>No.13 (Effectiveness)</p> <p>No.14 (Effectiveness)</p>	<p>Desk Review</p> <p>Key Informant Interviews</p> <p>Observation of activity (Togo Training)</p> <p>Survey</p> <p>Country Comparison</p>	<p><b>3. Effectiveness:</b> To improve the overall effectiveness of the programme consideration should be given to: <b>i)</b> developing an appropriate Monitoring, Evaluation, and Learning (MEL) methodology reflecting the new Theory of Change (ToC) and associated logical framework, <b>ii)</b> develop and maintain a programme risk register, <b>iii)</b> conduct an assessment of the benefits and challenges of engaging with ROs, IOs, CSOs, private sector and academia to determine future type and level of cooperation, <b>iv)</b> altering the training to:</p> <p><i>a) increase human rights and gender aspects,</i>  <i>b) highlight the use of API/PNR data in tackling serious crime,</i>  <i>c) introduce more tailored, scenario based, syndicate work, and</i>  <i>d) critically review participant job roles to ensure the training is relevant to their current or near future work.</i></p> <p><i>Programme Management Team (PMT), Countering Terrorist Travel Programme (CTTP), the United Nations Office of Counter-Terrorism (UNOCT) - in consultation with UN in-house MEL experts (for i and ii) to complete within 12 months of the formal publication of this report.</i></p>
<p>4. Based on findings</p> <p>No.6 (Coherence)</p> <p>No.18 (HRGE)</p>	<p>Desk Review</p> <p>Enhanced desk review</p> <p>Key Informant Interviews</p> <p>Survey</p>	<p><b>4. Gender mainstreaming collaboration:</b> To improve the understanding regarding effective gender mainstreaming and equity, the programme should review the policies and guidelines of UNOCT and Implementing Partners, together with their gender focal points, as needed, to identify approaches and practices that could be applied to the programme. In addition, the programme should contemplate seeking advice from external (specialized) gender experts, along with sister UN agencies such as UNWOMEN, to improve the response in supporting gender mainstreaming and equity at programme and country level and help ensure a balanced workload among partners/ within the programme.</p> <p><i>Programme Management Team (PMT), Countering Terrorist Travel Programme (CTTP), the United Nations Office of Counter-Terrorism (UNOCT) - to initiate such a request for support and complete the task within 6 months of the formal publication of this report.</i></p>

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Findings	Evidence <sup>4</sup>	Recommendations <sup>5</sup>
<p>5. Based on findings</p> <p>No.6 (Coherence)</p> <p>No.14 (Effectiveness)</p> <p>No.17 (HRGE)</p>	<p>Desk Review</p> <p>Enhanced desk review</p> <p>Key Informant Interviews</p> <p>Survey</p>	<p><b>5. Human rights capacity building:</b> To have an increased focus on human rights, scenario-based capacity building through a standalone module within the current CTTT training approach, as well as in any future training development. The training module – whilst remaining relevant to the CTTT training objectives – should cover aspects beyond data protection. Collaboration with Implementing partner’s Human Rights experts, along with other UN agencies such as UNHCR, and UNICEF should be developed.</p> <p><i>Programme Management Team (PMT), Countering Terrorist Travel Programme (CTTP), the United Nations Office of Counter-Terrorism (UNOCT) - to initiate collaboration, drive consultation, and complete delivery within 9 months of the formal publication of this report.</i></p>
<p>6. Based on findings</p> <p>No.1 (Relevance)</p> <p>No.8 (Efficiency)</p> <p>No.17 (Sustainability)</p>	<p>Desk Review</p> <p>Enhanced desk review</p> <p>Key Informant Interviews</p> <p>Most Significant Change</p>	<p><b>6. Donors:</b> To convene a meeting with all donors to the programme to: <b>i)</b> discuss programme and donor priorities, <b>ii)</b> examine the possibility for soft-earmarked funding, including the use of a trust fund, <b>iii)</b> examine the likelihood of longer-term donor commitment, <b>iv)</b> understand key donor reporting requirements and discuss the possibility of rationalising, synchronising, and streamlining reporting which could include one master donor report with confidential, donor specific annexes. This will help to streamline and reduce resources required to meet varied donor reporting requirements.</p> <p><i>Programme Management Team (PMT), Countering Terrorist Travel Programme (CTTP), the United Nations Office of Counter-Terrorism (UNOCT) - to action within 9 months of the completion of Recommendation No.1.</i></p>



## BACKGROUND AND CONTEXT

### OVERALL CONCEPT AND DESIGN

The United Nations (UN) Security Council adopted three key resolutions related to the collection of passenger data to prevent and counter terrorism. Resolution No. 2178<sup>6</sup> was adopted in 2014 and dealt only with Advance Passenger Information (API) by decides that with regard to foreign terrorist fighters, Member States shall prevent and suppress recruiting, organising, transporting, or equipping; prevent and suppress financing; and prevent travel. Resolution No. 2396<sup>7</sup> was adopted in 2017 and is a broader counter terrorism resolution dealing with Foreign Terrorist Fighters (FTFs) – this obliged all states to collect API from airlines, and to develop the capabilities to collect Passenger Name Record (PNR) data. Resolution No. 2482<sup>8</sup> was adopted in 2019 and expands the use of passenger data beyond terrorism to serious organised crime.

In 2018 the UN Office of Counter-Terrorism (UNOCT), UN Counter-Terrorism Centre (UNCCT) produced a Project Document<sup>9</sup> proposing a global project<sup>10</sup> to ‘build Member State capacities to prevent, detect, investigate, and prosecute terrorist offences and other serious crimes, including related travel, by collecting and analysing passenger data, namely API and PNR data’.

The goal was stated as ‘Member States (MS) have an enhanced capacity to detect, prevent, investigate, and prosecute terrorist offences and other serious crimes, and related travel, in accordance with Security Council Resolution (SCR) 2396 (2017), International Civil Aviation Organization (ICAO) standards and recommended practices, as well as other international law obligations’<sup>11</sup>. It was noted that most MS<sup>12</sup> did not have the required capacity to effectively implement systems pertaining to API and PNR.

Underpinning the goal were four outcomes; i) enhanced awareness, ii) strengthened legislative frameworks, iii) Passenger Information Units (PIUs) in place, and iv) software solutions provided, primarily the Travel Information Portal (TRIP) software donated by the Kingdom of The Netherlands and within that the goTravel Air component. Sitting under those were the proposed outputs to achieve those outcomes, and a logical framework was provided that elaborated on activities and indicators. Over time four key pillars of work were developed 1) provision of legislative assistance, 2) operational enhancement through building PIUs and other capacity-building support, 3) transport industry support through carrier engagement, and 4) technical support and expertise in software solutions, primarily goTravel and interoperability<sup>13</sup> with national and international databases and watchlists, including those of INTERPOL.

The nascent programme recognised that these four essentially disparate elements had to come together to support implementation of UN SCR obligations related to API and PNR in a comprehensive approach. The logic deployed was to identify which agencies and organisations had the mandate to and best placed to deliver upon those outcomes and provide a programme management structure and function that would create the environment to allow each implementing partner to reach those outcomes. These key implementing partners were identified and originally consisted of United Nations Office of Counter-Terrorism (UNOCT) in cooperation with the Counter-Terrorism Committee Executive Directorate (CTED), the International Civil Aviation Organisation (ICAO), the United Nations Office of Information and Communication Technology (OICT) and the United Nations Office on Drugs and Crime (UNODC). Subsequently they were joined by the International

<sup>6</sup> <http://unscr.com/en/resolutions/2178>

<sup>7</sup> <http://unscr.com/en/resolutions/2396>

<sup>8</sup> <http://unscr.com/en/resolutions/2482>

<sup>9</sup> UNCCT ProDoc\_New API and PNR\_10.09.2018

<sup>10</sup> This subsequently became the CTPP and is referred to throughout this Evaluation Report as the ‘programme’ and not the ‘project’.

<sup>11</sup> UNCCT ProDoc\_New API and PNR\_10.09.2018 p.8

<sup>12</sup> As of 6 Aug 2018 Sixty-four MS were implementing API and twenty-three were implementing PNR. *Source: IATA API and PNR World Tracker*

<sup>13</sup> It is the ability of computer systems and/or software to exchange and make use of information.

## MID-TERM INDEPENDENT JOINT EVALUATION OF THE UNITED NATIONS COUNTERING TERRORIST TRAVEL PROGRAMME

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Criminal Police Organization (INTERPOL), the International Organization for Migration (IOM), and the World Customs Organization (WCO).

The logic contributing to this intervention model was derived in part from the previous UNCCT API project which was implemented in close partnership with CTED and other entities. That project sought to raise awareness about API requirements under resolution 2178 (2014) among Member States most affected by the FTF phenomenon. Additionally, the experience of UNODC's Airport Communication Project (AIRCOP) and their Joint Airport Interdiction Task Forces (JAITFs) was drawn upon. It was noted that this new initiative – what ultimately became the Countering Terrorist Travel Programme (CTTP) – would 'target countries most affected by FTFs and/or suffer from being a destination or transit country for the training and temporary housing of FTFs and will build on the gains made under the UNCCT's recently concluded API project, as well as the experience and expertise of Member States that are implementing, or have implemented, detection capacity using passenger data'<sup>14</sup>.

The broad intervention logic sits well at a strategic level providing a model to assist Member States meet their UN SCR obligations. It leverages UN and other partners expertise to fit together various pieces to provide a pathway for MS to fulfil their API and PNR responsibilities. The programme is primarily focussed on providing this route to ensure that Member States can collect and use API and PNR data effectively while observing human rights. The development of the 'Pillar' approach was understandable; however, the evaluation looks to assess if this is still the best intervention logic or if other approaches would be more suitable as the programme matures.

### PURPOSE AND SCOPE

The purpose of this mid-term independent joint evaluation is two-fold:

1. Taking stock of achievements so far to aid decision making, and
2. Gather initial lessons from programme implementation experiences.

It covers the period from programme inception in 2019 to the completion of the data collection phase on 12 October 2022. It is to be used to help programme managers in all Implementing Partner (IP) entities, and other stakeholders identify and understand successes to date, identify problems that need to be addressed and provide stakeholders with an external, independent and objective view on the programme status, its relevance, how effectively it is being managed and implemented, and whether the programme is likely to achieve its overall objectives, including whether implementing partners are effectively positioned to achieve maximum impact.

It delivers an assessment of the support provided to MS in realization, operationalization, and deployment of the 'goTravel' software system including assistance provided towards preparatory works related to enabling legislative frameworks and institutional arrangements. This is with the aim for MS to establish API and/or PNR systems in accordance with international standards and human rights, through a comprehensive technical assistance package that includes legislative, operational, and technical support and IT solutions.

It assesses the programme's concept and design, implementation, and the extent to which outputs, outcomes, and the programme objective(s) have been and are being achieved. It further assesses delivery of milestones by all IPs according to their respective workplans in support of the achievement of the overall programme objectives. It further examines how the initial intervention logic has been adapted to take account of the experience of MS implementation, the changing FTF and serious crime landscape, and other challenges to implementation, including Covid-19.

### THE COMPOSITION OF THE EVALUATION TEAM

The evaluation team consisted of: Mr. Peter Allan, Director of Allan Consultancy Ltd., an external independent lead evaluator with over 25 years of experience in evaluating international Law Enforcement (LE) projects and

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<sup>14</sup> UNCCT ProDoc\_New API and PNR\_10.09.2018 p.5

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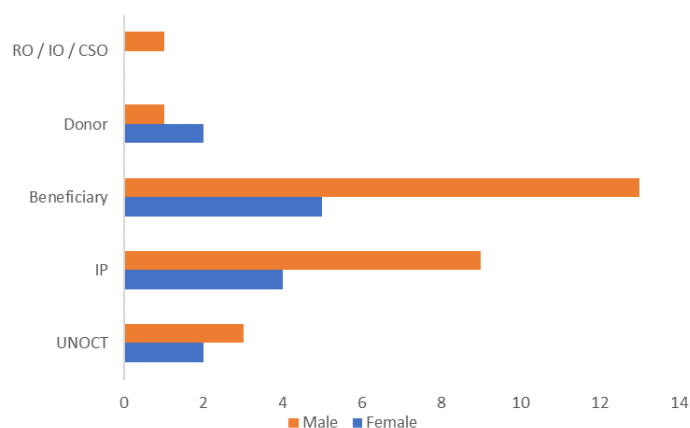
programmes; Mr. Saeed Ullah Khan, HRGE Expert, who has over 15 years of experience in programme design, implementation and evaluation with GLOW Consultants, Swiss Agency for Development and Cooperation, United Nations and others; and Ms. Chantelle Cullis, Substantive Expert with a LE and Border Security background, with 22 years of both domestic and international experience with Canada Border Services Agency, and 4 years of experience as an independent consultant.

### EVALUATION METHODOLOGY

This evaluation followed a mixed-methods as well as gender-responsive evaluation methodology in line with UNEG and UNODC norms and standards, guidelines, and requirements. The evaluation used purposive sampling<sup>15</sup> to obtain an accurate representation of the universe of the programme. This informed all the data-collection instruments including interviews, the online survey, the selection criteria for the country comparison, and activity observation. A list of key stakeholders and beneficiaries was prepared by the PMT and subsequent 'snowballing' by the evaluators helped to further expand on this list. The longlist of potential respondents composed of purposively selected individuals by PMT who could be consulted for this evaluation whereas final group of respondents were randomly selected by the evaluation team. It is important to mention all individual in the longlist had an equal probability to be consulted. The individuals were assumed to possess knowledge and experience with the phenomenon of interest and therefore would be able to provide information that was both detailed (depth) and generalizable (breadth). The interviewees were placed in one of five stakeholder groups: i) UNOCT, ii) Implementing Partner, iii) Beneficiary, iv) Donor, and v) International Organisation (IO), Regional Organisation (RO), Civil Society Organisation (CSO), private sector, and Academia.

1. Semi-Structured Interviews. These telephone interviews captured the feedback and voices of all stakeholder groups and strove to achieve gender balance. In total 40 people were interviewed, 13 females and 27 males. **NB** Five interviews (two with Implementing Partners and three with Beneficiaries) had more than one interviewee.

*Graph No.1 – Interviews by stakeholder group and gender<sup>16</sup>*



*Source: Evaluation team*

2. Most Significant Change (MSC) narration analysis. The theory and use of MSC narration is a well-documented and researched approach to evaluating and monitoring change programmes. The MSC question used for this evaluation was 'What is the most significant change you have seen as a direct result of this programme?' The question was asked of every interviewee.

<sup>15</sup> Purposive sampling (also known as judgment, selective or subjective sampling) is a sampling technique in which the researcher relies on his or her own judgment when choosing members of a population to participate in the study. In purposive sampling, personal judgment needs to be used to choose cases that help answer research questions or achieve research objectives. <https://research-methodology.net/sampling-in-primary-data-collection/purposive-sampling/>

<sup>16</sup> Annex IV

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3. Country comparisons. The evaluation report compared implementation activities, outputs, outcomes, and impact in Botswana, the Philippines, and Sierra Leone. The main criteria used for selection were i) geographic spread, ii) extent of progress toward a functional Passenger Information Unit (PIU), iii) maritime component, iv) type and extent of legal support provided, v) training recipients, vi) depth of country assessments, and vii) regional relevance.
4. Enhanced document review. Whilst the PMT supplied many informative documents sufficient for the desk review stage, the evaluation sourced more documentation during the evaluation (see Annex III).
5. Observation of activity. The team observed a five-day, online training course for Togo from 5<sup>th</sup> to 9<sup>th</sup> September 2022, and a PMT meeting on the 8<sup>th</sup> of September 2022.
6. Survey. The online survey was targeted at training and workshop participants and was disseminated through SurveyMonkey<sup>17</sup> to 180 individuals with 45 responses giving a 25% response rate and passing the ‘statistically significant’ threshold of 30 responses<sup>18</sup>. The survey received responses from 14 females, 30 males, and one person who identified as non-binary.

## LIMITATIONS TO THE EVALUATION

Limitations to the evaluation	Mitigation measures
Field visits to Hungary and the Philippines.	The Inception Report envisaged one field visit to the UNOCT CTPP office in Budapest (subsequently Vienna was added), and one to a country making progress toward a fully functioning PIU. Ultimately the Philippines was chosen. The Budapest trip didn’t happen due to various reasons including travel logistics. The face-to-face interviews envisaged in Budapest (and Vienna) were conducted on-line. The Philippines trip could not be arranged within the official data collection period but was scheduled for October 11 and 12. This subsequently did not happen due to evaluator illness. The interviews were conducted online, and additional desk review material was obtained to supplement data for the country analysis. These mitigation measures ensured there was no negative impact on the evaluation findings.
Focus Group Discussion (FGD)	It proved impossible to arrange an FGD with the CTPP Focal Points. A face-to-face FGD was ruled out due to Covid-19 restrictions and the fact that the participants were spread in multiple countries / cities. Due to time differences and participant availability an online FGD was also not possible. In lieu of the FGD, where possible individual interviews with those that would have attended the FGD were arranged and asked them questions which the FGD would have covered. This approach helped ensure sufficient anticipated data from the FGD was collected and integrated into the evaluation.
Key stakeholder interview gaps	The evaluation report envisaged using CARICOM IMPACS as a guide to assess the programme and its interaction with a regional organisation. No interview with a CARICOM IMPACS representative could be arranged. Additional documentation was sought and gained on CTPP / CARICOM IMPACS engagement.  Sierra Leone was one of three countries forming more in-depth country analysis. Only one interview could be arranged with a Sierra Leone beneficiary. Additional open-source research was conducted, and programme documentation was sought and gained on CTPP / Sierra Leone engagement.

<sup>17</sup> <https://www.surveymonkey.co.uk/>

<sup>18</sup> As determined by the Survey Monkey software

## II. EVALUATION FINDINGS

### RELEVANCE

#### EVALUATION QUESTIONS:

1. To what extent are the programme objectives and design responsive, consistent, and aligned with beneficiary, member state and donor needs, policies, and priorities, and implementing partner mandates?
2. How relevant has been the assistance provided enabling review and/or development of legislative or regulatory frameworks to regulate API and PNR data?
3. To what extent are the relevant Security Council resolutions synchronized for effective delivery of the programme objectives?

**Finding No.1:** The programme’s objective and design are well aligned with beneficiary and donor needs and implementing partner mandates. The programme’s objective has altered over time, and attempts have been made to reflect changing and increasing MS need and the global CT and serious crime travel context. Perception of CTPP relevance among all stakeholder groups is weakest with end-users where these end-users are the frontline staff at airports including immigration and border control staff.

**Finding No.2:** The programme’s activities, primarily the CTED country consultation and the subsequent Pillar 1 legislative interventions, have proven relevant in the review and development of the regulatory frameworks required by MS in the pursuit of a PIU that can legally collect, store and analyse API / PNR data.

**Finding No.3:** As the CTPP and its objective was developed – and continues to develop – from the relevant UN SCRs, the programme remains fully reflective of those UN SCRs. Indeed, the global weight behind UN SCRs and UNGA statements suggest they bring a positive influence for the CTPP.

The current CTPP objective is to “increase Member States ability to implement their obligations related to passenger data contained in Security Council resolutions 2178 (2014), 2396 (2017), 2482 (2019), and ICAO standards and recommended practices, relevant privacy laws, and human rights principles”<sup>19</sup>. Multiple data sources<sup>20</sup> referenced an understanding and broad agreement with the current definition. However, the expansion of the CTPP into the serious crime and maritime domains, and its closer working relationships with other International Organisations e.g., World Customs Organization (WCO), and the International Organization for Migration (IOM), may necessitate that this objective is revisited.

The programme attempts to address some of these issues in the programme’s logical framework where (under the term ‘objective’) it is stated that, ‘Partner countries are able to collect, analyse and share passenger data, both API and PNR, in the aviation and maritime domains, in accordance with Security Council resolution 2178 (2014) and 2396 (2017), 2482 (2019), ICAO Annex 9 SARPs, as well as other international law obligations; and to improve regional cooperation’<sup>21</sup>. The UNOCT website<sup>22</sup> gives another version of the objective introducing terminology on the ability to “prevent, detect, investigate, and prosecute terrorist offences and other serious crimes...” These different objectives make sense but create dissonance and potential confusion as it is unclear to which objective the programme is working. One explicitly mentions human rights, others don’t, one explicitly mentions maritime, others don’t, one explicitly mentions serious crime, others don’t. This

<sup>19</sup> 210930 PRB03 CTPP Programme Document p.9

<sup>20</sup> KIIs across all stakeholder groups, desk review, country comparison.

<sup>21</sup> 210930 PRB03 CTPP Programme Document p.12

<sup>22</sup> <https://www.un.org/cttravel/content/summary> - Captured 19.10.2022.

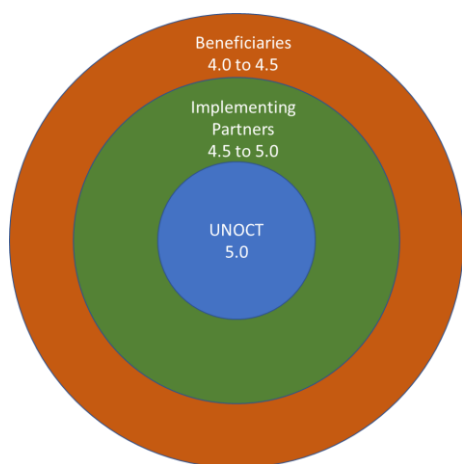
## MID-TERM INDEPENDENT JOINT EVALUATION OF THE UNITED NATIONS COUNTERING TERRORIST TRAVEL PROGRAMME

issue of multiple objectives is discussed further within the sub-section 'Coherence' (see p.7). Also linked to programme objectives is impact and this is discussed within the 'Impact' sub-section (see p.18).

Whilst the UN SCRs provide the primary basis for the CTTTP strategic approach, the importance of the activity undertaken by programme has also been recognised by the UN General Assembly (UNGA). Referencing the UN Global Counter-Terrorism Strategy, UNGA emphasized the importance of border security as a key component in stemming the flow of FTFs<sup>23</sup>. At the strategic level the approach taken by the CTTTP complements the UN Security Council and UNGA desire to tackle FTF and serious crime travel.

The development of the programme from FTF travel into FTF and serious crime travel and expansion into maritime API / PNR data is logical, supported by many stakeholders<sup>24</sup> and – for many countries – is of arguably greater relevance and value than only CT aviation. Expert opinion across all stakeholder groups<sup>25</sup> is that the effective integration of maritime API / PNR data into existing or new PIUs is several years away. If the maritime path is to be pursued it must be recognised that a comprehensive sustainability strategy will be required.

*Graph No.2: Relevance of CTTTP by Stakeholder Group*



Graph 2 illustrates the results from the interview question on the relevance of the programme on a scale of 1 to 5 with 5 being fully relevant. Those most closely associated with the programme scored it a minimum 5 with many also stating they would score it a 6 if possible. The scores reduced across the different stakeholder groups as shown. The mean scores are still high, indicating broad satisfaction with its relevance, however UNOCT CTTTP PMT should guard against assuming all stakeholders view the programme with the same degree of relevance as that perceived by the PMT.

*Source: Evaluation team*

During interviews with the beneficiaries, there was broad consensus that the programme was relevant to their national context and needs with almost all respondents rating those aspects a score of 5. Where the average dropped was when asked how relevant they felt the programme was to their own work<sup>26</sup>, where this could potentially be linked with the fact that end beneficiaries (e.g., officials at the airports) are yet to experience on-the-ground positive results of this project for them where the project is still in take-off phase.

<sup>23</sup> UNGA, A/RES/75/291, 02.07.2021, p.15

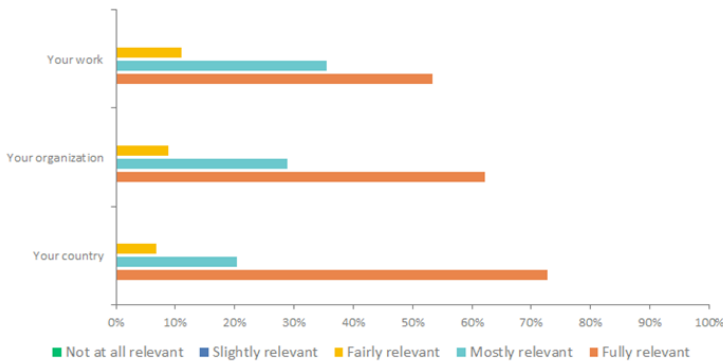
<sup>24</sup> KIIs, Desk Review, Country Comparison

<sup>25</sup> Numerous KIIs

<sup>26</sup> KII Nos.5, 14, 26, 29, and 31

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*Graph No.3: How relevant was the training / workshop for the participant.*



Although tangential in nature the 'relevance' question asked in the online survey supports the hypothesis that the programme is viewed as less relevant the closer you get to the end-user.

*Source: Evaluation team*

UNODC under Pillar 1 is responsible for the provision of legislative assistance, in close collaboration with ICAO, OHCHR and other specialised UN entities, through originally 2 Legal Officers (P4 and P3)<sup>27</sup> based in its Terrorism Prevention Branch (TPB). This assistance addresses inter alia relevant conflict of laws and human rights aspects including data protection measures and legal limitations pertaining to the collection, use, processing, and protection of API/PNR data, in line with ICAO Annex 9 SARPs, as well as relevant guidance material.

The Programme has supported 11 Member States and CARICOM with legal advice and legislative assistance. During 2021, CT Travel supported the Philippines, Azerbaijan, Cote d'Ivoire, Botswana, The Gambia, Togo, and Sudan with legal advice and legislative assistance regarding the development and/or review of national normative frameworks related to the collection, use, retention, transfer, and protection of API and PNR data, in line with ICAO SARPs and international human rights standards during 39 Legal Working Groups (LWG) meetings. On 20 September 2021, three pilot CARICOM countries were selected for drafting PNR legislation: Barbados, Saint Kitts and Nevis, Saint Lucia<sup>28</sup>. Multiple sources<sup>29</sup> have highlighted the Programme's ability to identify the legal aspects that need to be addressed, and the subsequent support provided by the programme as highly relevant.

### SUMMARY - RELEVANCE

The Countering Terrorism Travel Programme (CTTP) is fully relevant at the strategic level of the United Nations (UN) as evidenced by the programme's adherence to the appropriate Security Council Resolutions (SCRs)<sup>30</sup> and its instruction on Advance Passenger Information (API) and Passenger Name Records (PNR) data. As the programme has developed and more Member States (MS) request its support, the programme has looked to maintain relevance to MS by developing the serious crime travel aspect and developing maritime domain API and PNR assistance. In so doing the CTTP and its Programme Management Team (PMT) will have to ensure MS end-user relevance is continuously identified, assessed, and addressed.

<sup>27</sup> One more P-3 Legal Officer joined the programme in June 2022.

<sup>28</sup> Annual Report for Donors 2021

<sup>29</sup> KIIs, Desk Review, Country Comparison, Most Significant Change (MSC) Narration

<sup>30</sup> UN SCR Nos. 2178, 2396, 2482



## COHERENCE

### EVALUATION QUESTIONS:

4. How effective is the programme at creating the synergies and interlinkages among implementing partners to support the delivery of programme outputs/outcomes?
5. How effective is the programme at creating synergies with and between other ongoing programmes e.g., AIRCOP/TAM etc.?
6. To what extent is the programme partnering with other UN and non-UN entities (including private sector, CSO, Academia etc..) to implement broader strategic objectives?

**Finding No.4:** The programme is broadly effective at creating and maintaining the coherent environment required to support the delivery of programme activities and outputs. Although not exclusively acting as a Secretariat, the UNOCT CTP PMT acting in that role, delivers well in ensuring implementing partners, working across the four Pillars, are informed of relevant programmatic developments pertinent to those stakeholders.

**Finding No.5:** The programme has identified UN and other entity programmes with which it can liaise and leverage potential advantages for all stakeholders. The programme does well in leveraging the 'One-UN' four Pillar approach (covering legislative assistance, operational enhancement, carrier engagement, and goTravel software solutions) when partnering with the MS and its key national agencies. The programme is facing greater challenges in creating meaningful engagement with some Regional Organisations, and there is a lack of Civil Society Organization, private sector, and academia involvement. The challenge the programme faces is in assessing which of those partnerships are worth CTP resource allocation to initiate, promote, and then maintain.

**Finding No.6:** The programme suffers from the lack of clear strategic objectives and a coherent Theory of Change (ToC) – including a prioritisation strategy for programme resources – that would inform how those strategic objectives and impact can be achieved. Whilst the programme has identified and partnered with many UN and non-UN entities there is a lack of engagement with CSOs, private sector and academia.

The coherence based CTP targeted deliverables, primarily under the responsibility of UNOCT, are '*CT Travel Programme is efficiently and effectively coordinated and managed, with appropriate management reporting and continuous communication with and among Partners.*' And '*CT Travel Programme is implemented as an all-of-UN initiative and coordinated through regular communication and the use of national implementation sites.*'<sup>31</sup> The 'Products to be Developed and Related Activities' noted under these deliverables include several Secretariat type functions including liaison and coordination with partners and focal points, keeping focal point lists up-to-date, and meeting convening.

The CTP provides a good theoretical framework for a cohesive, 'all-of-UN', (and beyond) approach. Multiple sources have highlighted that the CTP is a good example of a coherent 'One-UN' programme and this was consistently highlighted as a programmatic positive impact (see p.19). The regular Programme Management Team meetings are an integral part of the coherence mechanism and contribute to ensuring all implementing partners are aware of key programme developments and promotes inter-agency coordination<sup>32</sup>. An additional part of the coherence methodology is the National Implementation Sites (NIS) database (including the NIS Dashboard) which gives a comprehensive overview of the state of programme implementation country by country. A further online resource is the Cooperative Online Platform (COP) which "*continues to be a key communications platform that enables CT Travel to maintain engagement with relevant stakeholders, especially the global Pool of Experts*"<sup>33</sup>. The CTP also holds coordination meetings with project implementing

<sup>31</sup> PLAN01d CT Travel 2022 Plan p.1

<sup>32</sup> KIIs, and observation of Programme Management Team meeting September 8, 2022

<sup>33</sup> Annual Report for All Donors 2021 p.17



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partners and working group focal points<sup>34</sup> along with Informal Working Group (IWG) (see p.18) meetings. The extent to which the coherence mechanisms and reporting requirements overlap and/or are overly burdensome are addressed within the 'Efficiency' sub-section (see p.10).

The CTPP has expended effort in identifying suitable programmes with which to partner. For example, within the framework of AIRCOP, their Joint Airport Interdiction Task Forces (JAITFs) – among many other functions – develop capacity building (training/mentoring) on risk analysis to target suspicious passengers through specialized training/mentoring. The CTPP and AIRCOP have recognised the potential advantages of close cooperation. *"In some cases, JAITFs may therefore be a good entity to also carry out the functions of a PIU, if desired by the Member State"*<sup>35</sup>. This is evidenced by cooperation in the Gambia where in June 2021 AIRCOP, in its role as an implementing partner of the CTPP, met with key stakeholders including the CTPP focal point, to promote the systematic collection and use of API and PNR data for targeting purposes<sup>36</sup>.

The CTPP also looks outside the UN family of organisations. For example, the programme collaborates with the Transnational Threats Department in the Organization for Security and Co-operation in Europe (OSCE). However, with the development of the CTPP into the serious crime field and maritime domain the number of UN and other entity run programmes with potential value to the CTPP greatly increases e.g., UNODC's Global Maritime Crime Programme (GMCP) and the International Maritime Organization (IMO). There has been no systematic mapping exercise of these UN and other entity programmes from these 'new' area perspectives. In addition, there is relatively little engagement with Civil Society Organisations (CSOs), private sector or academia. For example, other than official human rights institutions (which are mostly official and semi-official), there is no engagement with CSOs, nor there is any specific examples of engagement with training institutes or research entities.

As noted in the earlier sub-section on relevance (see p.5) although there is only one official programme objective there are multiple versions of the objective described in a variety of different sources. Additionally, the impact statement is only contained within the logical framework of the programme and is not a true impact statement and more a programme objective. The lack of a well elaborated Theory of Change (ToC), and without a clear impact statement and consistent programme objectives, creates challenges for the CTPP when considering where and how its limited resources can best be utilised.

Theory of Change (ToC) envisages the expected impact and objectives of the programme to inform activities, leading to outputs, and then outcomes, which lead to the achievement of the objectives and impact. Without an impact statement and objective(s) which provide clear programme parameters (for example the inclusion or exclusion of maritime domain API and PNR data), then the justification and rationale behind the prioritisation of programme activity and subsequent allocation of resources becomes opaque and potentially inefficient.

The intervention logic of the programme, based firmly on the so-called 'four-pillar approach' (see p.1-2) has its challenges; i) the timing of different intra-pillar activities to ensure they run in a logical sequence, ii) the integration of cross-pillar themes (e.g. serious crime and maritime), and iii) the integration of cross-pillar partners such as IOM, WCO, CSOs and – most notably – Regional Organisations (see p.16). Yet the programme has managed to elaborate to key partners how this four-pillar approach functions and the potential disadvantages of a complete restructure could outweigh any advantage. However, this assessment of retaining the four-pillar intervention logic only holds true if the programme commits to creating a Theory of Change that addresses the challenges noted.

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<sup>34</sup> Ibid p.10. In 2021 16 coordination meetings were held in the following countries: the Philippines, Azerbaijan, Botswana, Togo, Sudan, CARICOM, Sierra Leone, Cote d'Ivoire, The Maldives, Azerbaijan, and Ghana.

<sup>35</sup> 2021.09.30 PRB03 CTPP Programme Document p.6-7

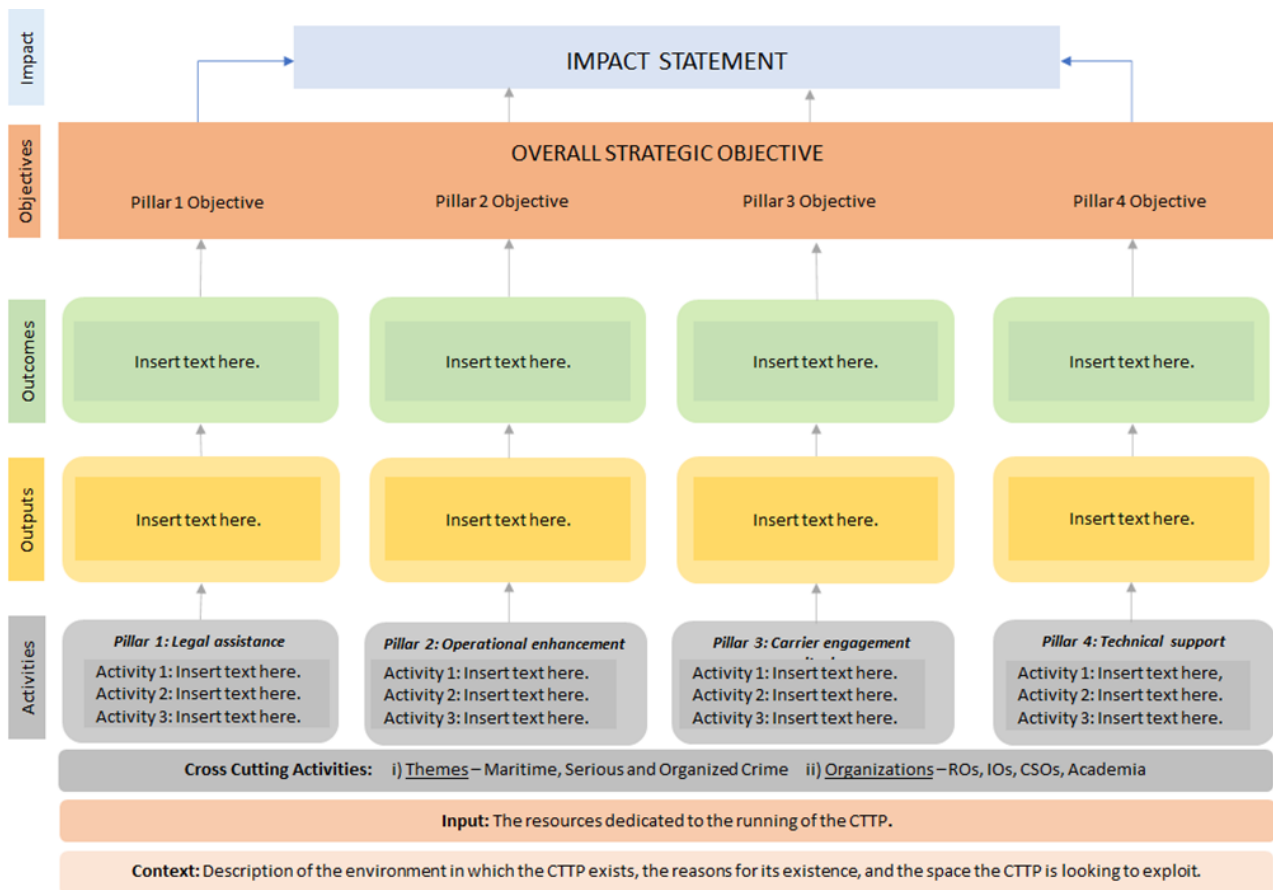
<sup>36</sup> [https://www.unodc.org/documents/AIRCOP/AIRCOP\\_Newsletter\\_June\\_2021-v3.pdf](https://www.unodc.org/documents/AIRCOP/AIRCOP_Newsletter_June_2021-v3.pdf) Captured 20.10.2022

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The absence of the ToC means there is a lack of elaboration of interactions between cross-cutting themes and organizations and how they can be incorporated into four-pillar approach. As a result, it is difficult to understand co-related different actions from an activity perspective.

A Theory of Change exemplar is provided overleaf. For example, the hypothetical impact statement includes an element on *‘improving international rules-based maritime security in Southeast Asia’*. Pillar 2 objective is to *‘create functioning PIUs that increase Member State capacity to improve maritime border security nationally and regionally’*. A Pillar 2 outcome is *‘ASEAN acts as an effective Chair for the Southeast Asian Informal Working Group (IWG)’*. A Pillar 2 output is that *‘the appropriate skills, knowledge, and support is provided to promote effective ASEAN collaboration within the IWG context’*. Various activities are then developed including *‘awareness raising with ASEAN and ASEAN Member States on potential regional maritime security dividends driven by Southeast Asian PIUs’*. In this activity it is identified that CTPP maritime expertise (thematic) and WCO Asia / Pacific (organizational) could contribute to the awareness raising activity.

Diagram No.1: Theory of Change exemplar



Source: Evaluation team

## SUMMARY – COHERENCE

The programme delivers well in providing the environment and structure required for coherent cooperation and collaboration between the implementing partners. The CTPP has been identified as an excellent example of the 'One-UN' approach. The programme has also identified and engaged with organizations and programmes in a manner which demonstrates an understanding of how existing and new partnerships can be leveraged to mutual benefit. As the programme has expanded this element has become more challenging to address, primarily with Regional Organisations (ROs) and Civil Society Organisations (CSOs). In attempting to implement broader strategic objectives the programme suffers from the lack of a well elaborated theory of change.

## EFFICIENCY

### EVALUATION QUESTIONS:

7. How efficient are the management and accountability structures of the programme in the delivery of outputs and outcomes?
8. Are the resources and inputs (funds, expertise, and time) being used to achieve outputs/outcomes in an efficient and timely manner?
9. To what extent is the Accountability Framework (negotiated and agreed by the principals of each Implementing Partner) an efficient mechanism in ensuring adherence to specific roles and responsibilities?

**Finding No.7:** Overall, the programme has a lean structure and operates with the minimal number of staff to cater for the needs of 54 MSs, many donors, and other stakeholders. The management and accountability structures are largely efficient. In-kind support from members provides efficiency savings.

**Finding No.8:** The programme uses its resources and inputs in an efficient manner. There is some inefficiency around the amount of reporting that is expected both **to** the CTPP PMT from implementing partners and **from** CTPP PMT to other stakeholders. UNOCT CTPP faces some efficiency challenges between their Budapest and New York offices.

**Finding No.9:** The Accountability Frameworks (and associated documentation) which are negotiated and agreed with different stakeholders, although broad in nature, are effective. They provide an overall framework for the programme, while leaving space for individual entities to adopt to their specific country/organisation requirements. They provide an efficient mechanism for determining roles and responsibilities although, on occasion, they are not used to their full potential.

The Covid-19 global pandemic had some impact upon the efficiency of programme output and outcome delivery. The travel costs for 2020 had been estimated at EUR €263,218 and ultimately only EUR €10,589 was spent.<sup>37</sup> Various training courses slated for 2020 and 2021 had to be postponed and/or conducted online. CTPP produced a four-page document<sup>38</sup> detailing how programme activity could continue under the new operating environment. This included advice and guidance for each of the four Pillars. This helped set the framework for the delivery of twelve online activities on API and PNR data for the following Member States: DRC, Sierra Leone, The Gambia, SADC, CARICOM and its 15 Member States, Mongolia, and the Philippines. These activities included seven self-paced foundational courses which constituted prerequisites for national

<sup>37</sup> Annex III Budget of Action amended

<sup>38</sup> COVID-19 Implications and Contingency Strategy, April 2020

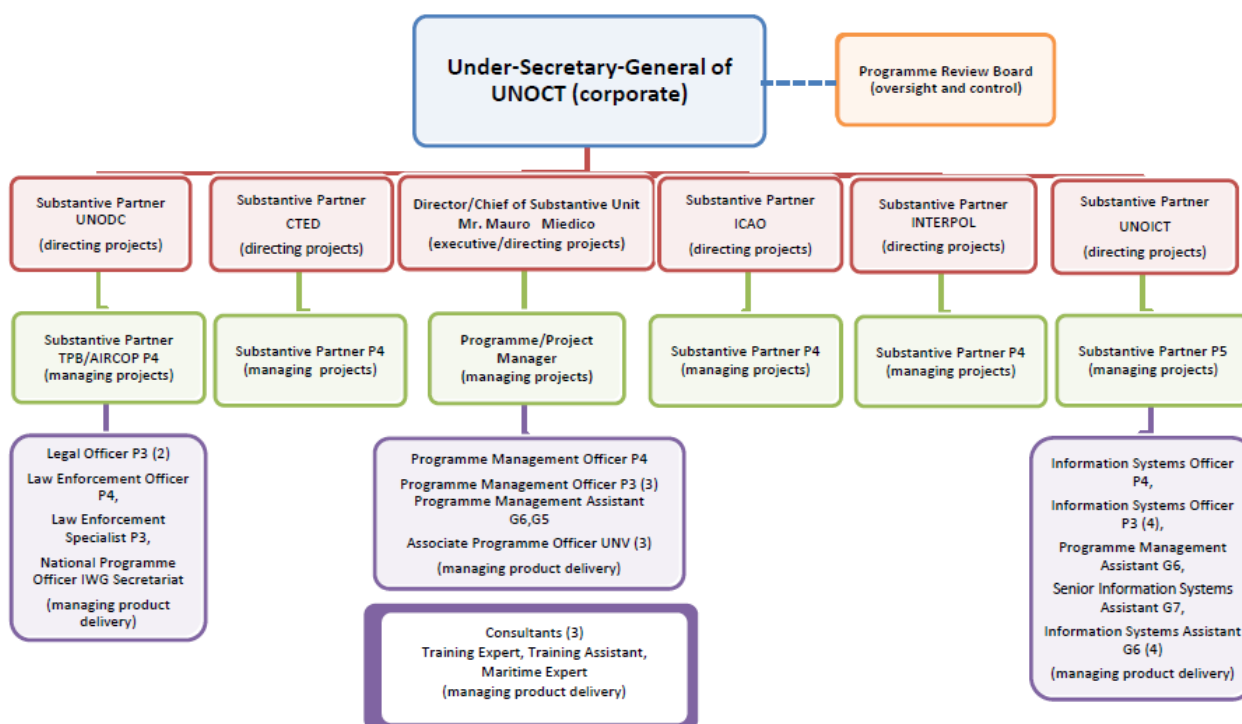
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representatives' participation in the national consultations on API and PNR. Broadly, the CTPP reacted well to the Covid-19 challenges and programme delivery continued relatively efficiently.

The adjusted annual budget for the programme for 2021-2023 is \$6-6.5 million per year, reaching a total of \$25.9 million budget required for the current duration. The largest costs are staff and other personnel costs. This is to be expected for a programme that is focused on bringing together and managing many different UN and non-UN partners. Furthermore, not all staff costs are directly related to UNOCT programme management as budget is used to fund and cost share implementing partner staff. It is informative to note that general operating and other direct costs linked specifically to activity delivery also form a large percentage of budget spending. This indicates a programme that – although staff cost heavy – is activity driven.

The CTPP has gathered human resources over the course of the programme and allocated them as detailed in diagram No.2. This structure directly supports the four Pillars.<sup>39</sup> With CTPP financed staff (fully funded or cost shared) sitting within key implementing partners there is a ready-made focal point and conduit for communication with UNOCT and between implementing partners. Additional support and assistance are provided by United Nations Volunteers (UNVs), and expert consultants in the following areas: communications, maritime domain, training, IWG coordination, technical support and developers<sup>40</sup> and human rights.

Diagram No.2 - Programme Management Organisation<sup>41</sup>



Source: UNOCT

This leveraging of other UN and non-UN agencies within the programme is a key efficiency dividend. Through embedding CTPP funded staff with implementing partners, various 'in-kind' benefits can be realised such as savings in rental for office space, the use of the specialized TRIP software, as well as the obvious advantages of tapping into the wider expertise held within those UN and non-UN entities. Whilst there is always the possibility that CTPP funded staff could get abstracted from their CTPP work there was no indication that this was a significant issue for the CTPP. Currently the UNOCT staffing/resourcing for the project entails: one

<sup>39</sup> UNODC is in charge of Pillars I and II under the overall coordination of the Terrorism Prevention Branch (TPB)

<sup>40</sup> OICT took over the management in 2021

<sup>41</sup> Supplied by CTPP PMT 16.09.2022

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Programme/Project Manager (P5), three Programme Management Officer (P4), five Programme Management Officer (P3), one National Programme Officer in Manila, two Programme Management Assistant (a G5 and G6 each), three Associate Programme Officers (UNV) as well as Expert Consultants on Human Rights, Maritime, Training Assistant, Training Expert (Technical)

One area of concern raised by a sizeable number of non-UNOCT stakeholders was a lack of clarity of the roles, responsibilities, and portfolios of CTPP personnel. The CTPP PMT have created a document<sup>42</sup> which looks to provide that information, yet that document has not been circulated widely, or at least not delivered to those stakeholders with whom this evaluation interacted.

An aspect where there was cross-stakeholder agreement that efficiencies could be realised was that the CTPP reporting mechanisms could be streamlined to reduce complexity and avoid duplication. It is noted that from the implementing partner perspective there are seven reporting formats: i) CTPP Calendar, ii) Weekly updates, iii) Quarterly reports, iv) Bilateral, weekly catch-up meetings, v) PMT weekly meetings, vi) WG meeting minutes, vii) National Implementation Sites. When this reporting is supplied to UNOCT PMT there is a resource implication for the PMT as well as they must verify, record, and disseminate the reporting appropriately. When this is coupled with CTPP donor reporting requirements, including varying timescales and formats, the impact on PMT human resources can be significant.

Overall UNOCT CTPP efficiency relies upon many aspects, one of which is the division of responsibility, the processes, and procedures between the UNOCT PMT office based in Budapest and internal support mechanisms (including the UNOCT Strategic Planning and Programme Support Section and Office of the Under-Secretary General) and the Executive Office (EO) of UNOCT based in New York. A key efficiency challenge is the lack of financial information that UNOCT PMT has on the programme. The programme does not get access to Umoja to allow it to interrogate budget lines. All financial information comes from the EO and – as a large programme – often by the time the information arrives from New York it is out-of-date vis-à-vis programme activity requirements.

Other financial aspects revolve around the speed at which funding is released to the programme. The programme enters into agreements with partners, signed at USG level, whereby the programme commits to provide funding to that partner. On occasion the programme has not been able to do that as they have not received those funds from New York. The EO also takes responsibility for all procurement issues including travel, accommodation, and recruitment. There have been documented instances where activities have had to be postponed or cancelled due to procurement delays. Whilst there is a single point of contact in New York for the PMT the effectiveness of this relationship, and the processes, and procedures between the PMT and the EO New York is sub-optimal.

The Roles, Responsibilities, and Accountability Framework<sup>43</sup> adds an explicit dimension to the efficient working of the programme through elaborating each implementing partner's commitment to the programme. During interviews it was highlighted that the importance of the accountability frameworks, Action Plans (and accompanying logical framework and indicators), MoUs, and MoAs was understood. Yet many identified a lack of resources in being able to supply detailed enough reporting on progress toward positive impact and success. There is no suggestion that the implementing partners are not discharging their duties, only that whilst the mechanism exists it is not being fully utilised. This lack of a more robust monitoring and evaluation regime is addressed under the following effectiveness sub-section.

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<sup>42</sup> CTPP Team updated roles 2022

<sup>43</sup> 201002 CTPP Prodoc Revised p.26

## SUMMARY – EFFICIENCY

The programme uses its resources in a broadly efficient manner. The management and accountability structure, including the Accountability Framework and its associated documentation, provide the basis for an efficient multi-agency programme. There are efficiency dividends from having CTPP staff embedded in UN and non-UN agencies alike. Efficiencies can still be found in streamlining reporting mechanisms and improving the processes and procedures between the UNOCT PMT office based in Budapest and internal support mechanisms (including the UNOCT Strategic Planning and Programme Support Section and Office of the Under-Secretary General) and the DPPA Executive Office (EO) in New York.

## EFFECTIVENESS

### EVALUATION QUESTIONS:

10. To what extent has the programme achieved or is on its way to achieving the required outputs and outcomes?
11. To what extent has the programme facilitated the development of roadmaps for implementation of effective API and PNR regimes in supported member states?
12. To what extent has the programme achieved or is on its way to achieving the establishment of effective PIUs?
13. To what extent has the programme improved national (with identified Competent Authorities) and international cooperation for effective API and PNR regimes?
14. How effectively has the programme management mitigated against risks/assumptions, adapted to unforeseen circumstances e.g., COVID, and other programme implementation delays?

**Finding No.10:** The programme is making steady progress toward achieving its expected outputs and outcomes. This is caveated by the fact that the programme has only recently helped establish its first functioning PIU.

**Finding No.11:** The programme has successfully established the development of 23 roadmaps for the implementation of API and PNR support by October 2022. Fifty-four Member States have asked for CTPP assistance.

**Finding No.12:** The programme is making steady progress toward achieving the establishment of PIUs. The extent to which these PIUs will be effective has yet to be tested. There may be gains to be achieved through altering training and awareness raising in using API / PNR to tackle serious crime.

**Finding No.13:** The programme has substantially improved national and international cooperation in many of the Member States in which it has operated. There remain challenges in certain areas, primarily in the engagement of Regional Organizations, Civil Society Organizations (CSOs), private sector and academia.

**Finding No.14:** Whilst the programme has dealt relatively well with certain risks such as Covid-19 there is a lack of foresight and planning when considering monitoring, evaluation, and risk management. There is no cohesive programmatic approach to identify, analyse, and mitigate risk.

The logical framework<sup>44</sup> for the programme notes the following outputs and outcomes. The progress made toward the outputs and outcomes are based upon programme reporting (primarily to donors), other desk

<sup>44</sup> 210930 PRB03 CTPP Programme Document, p.13-20



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review documentation, key informant interviews, and additional primary research including interrogation of programme databases.

**Outcome 1:** Assisted Member States have enhanced awareness of how to use passenger data to stem the flow of FTFs and other serious criminals, as required by Security Council resolution 2178 (2014), 2396 (2017) and 2482 (2019) and have a full understanding of the necessary steps to comply with these resolutions.

**Output 1:** The awareness of government agencies on the use of travel information to detect, track and counter terrorists and their travel, including to stem the flow of FTFs and other serious criminals, is enhanced.

**Programme Progress:** In 2021 CT Travel also delivered ten introductory briefings to the following countries: South Africa, Nigeria, Kenya, DRC, Argentina, Namibia, Moldova, Norway, Switzerland, and Benin, to introduce the Programme to representatives of relevant government agencies and establish a better understanding of the current national context on API and PNR to define the way forward for technical support. In addition, CT Travel delivered programmatic overviews during briefings to the representatives of the Permanent Missions of Burkina Faso and the capital Ouagadougou, the Southern African Development Community (SADC), the US Embassy in Kyrgyzstan, the Permanent Mission of Israel, Boeing's Global Security Leadership Team, IGAD Secretariat, the Mano River Union, the International Organisation for Migration (IOM) Field Office in Kenya, Namibia, Côte d'Ivoire, Sudan, DRC, Benin, and Privacy International.

After extensive consultations with MS, the Programme also produced 23 roadmaps by October 2022 for implementation including for The Maldives, Djibouti, Mongolia, South Africa, Norway, Iraq, Democratic Republic of the Congo, and Switzerland and held launch events for two regional IWGs.

**Outcome 2:** Assisted Member States have strengthened legislative frameworks to regulate the collection, transmission, use, retention and sharing of passenger data in compliance with internationally recognized standards on API and human rights and based upon a universal legal standard that supports the responsible use of PNR data and resolves conflicts of law that inhibit the international transfer and processing of PNR data.

**Output 2:** Legislative frameworks to regulate the collection, transmission, use, retention and sharing of passenger data are strengthened, in compliance with internationally recognised standards on API and human rights and based upon a universal legal standard on PNR enabling international transfer and processing of passenger data.

**Programme Progress:** CT Travel implementing partner, UNODC's Terrorism Prevention Branch (TPB), in coordination with ICAO, and other partners, developed a legal provisions guidance document for API and PNR legislation which they revised and updated in 2021. The provisions are utilized as a tool and resource to assist the Member States when drafting regulatory/legal frameworks relating to the collection, processing, use, transfer, retention, and protection of passenger data for law enforcement purposes.

In 2021, CT Travel conducted preliminary legal analyses of the national legal and regulatory frameworks of beneficiary countries Djibouti, Mongolia, South Africa, Norway, Kenya, Iraq, Switzerland, and DRC – in view of the virtual national consultations with these countries.

The following national legislative and regulatory frameworks related to API and PNR were supported in beneficiary countries during 2021:

- a. Azerbaijan: draft amendment to the aviation law of Azerbaijan and draft presidential decree related to the aviation law of Azerbaijan (several reviews)
- b. Botswana: Draft API/PNR regulations of Botswana (several reviews);
- c. Côte d'Ivoire: draft amendment to Civil Aviation Code of Cote d'Ivoire and draft passenger data decree of Côte d'Ivoire (several reviews)
- d. The Gambia: initially, Draft API-PNR Law on both air and maritime passenger data; ultimately, Draft amendment to the Civil Aviation Act and Draft Advance Passenger Information (API) Regulations;
- e. The Philippines: Draft Advance Passenger Information System (APIS) Rules of the Philippines (several reviews);
- f. Sudan: Draft amendment to civil aviation law and Draft Regulations on passenger data of Sudan (several reviews).

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In addition, UNODC/TPB held, in 2021, 39 Legal Working Group meetings with eleven beneficiary Member States, as well as CARICOM IMPACS.

CT Travel also provided updates and conducted consultations through various relevant United Nations human rights and data protection structures, such as the United Nations Global Counter-Terrorism Coordination Compact Working Groups on Criminal Justice, Rule of Law and Countering the Financing of Terrorism and Border Management and Law Enforcement related to Counter-Terrorism.

**Outcome 3:** Assisted Member States have an effective Passenger Information Unit (PIU) in place, to facilitate a passenger data single window, which has the capacity to use an intelligence-led approach to conduct risk assessments, implement appropriate targeting measures, as well as identify, detect and intercept FTFs and other serious criminals based *inter alia* on the systematic collection, analysis, use and sharing of passenger data (API/PNR) in line with Security Council resolution 2178 (2014) and 2396 (2017), ICAO Annex 9 SARPs, and other international law obligations.

**Output 3:** PIUs with trained staff in place to facilitate a passenger data single window are established, which have the capacity to use an intelligence-led risk-based approach to conduct risk assessments, implement appropriate targeting measures, as well as identify, detect and intercept FTFs and other serious criminals based *inter alia* on the systematic collection, analysis, use and sharing of passenger data.

**Programme Progress:** CT Travel organized and led 39 operational working group meetings, to deliver guidance and recommendations on the establishment of PIUs to twelve beneficiaries. The following countries were involved: Azerbaijan (four meetings), Botswana (six meetings), CARICOM (one meeting), Cote d'Ivoire (six meetings), Gambia (three meetings), Kenya (one meeting), Mongolia (three meetings), Morocco (one meeting), Norway (one meeting), Philippines (two meetings), Sierra Leone (four meetings), Sudan (one meeting), Togo (six meetings). In addition, two meetings were held for the West and Central Africa region, three for the European region, and one for global. Philippines now has the PIU which is able to provide required services whereas not only Philippines but also the other receipt countries have better capacities resulting from training and workshops to have functioning PIUs.

The Programme also organized 16 meetings on intelligence-led targeting and one API targeting course with the following countries: Azerbaijan, Cote d'Ivoire, Gambia, Morocco, the Philippines, and Sudan and delivered three additional ones for the European region. These were among the first steps in explaining the PIU concept and the importance of intelligence-led targeting when API and PNR are collected systematically.

During the evaluation period, CT Travel organized 14 "virtual PIU visits" to share good practices of operational PIUs: Botswana visited the PIU of Finland, Côte d'Ivoire visited the PIUs of France and Belgium, Azerbaijan visited the PIUs of the UK, Finland and Belgium, Sierra Leone visited the Netherlands PIU, The Philippines visited the PIUs of Belgium, Latvia and Germany, Mongolia visited the PIUs of Finland and Belgium, and The Gambia visited the PIU of France.

In addition to the study visits, 21 carrier engagement working group meetings were held with Azerbaijan, Botswana, The Gambia, Sierra Leone, Cote d'Ivoire, Norway, The Philippines, Mongolia, Switzerland, and Togo, to discuss template guidance materials and highlight the specific phase and actions.

**Outcome 4:** Assisted Member States have access to an effective and supported UN software solution, goTravel, to be used by their PIUs in carrying out their functions.

**Output 4:** Effective access to the UN goTravel software solution, autonomously used by national PIUs and centrally enhanced.

**Programme Progress:** CT Travel signed two MoAs for the use of the software with CARICOM (13 January) and with Botswana (18 October) to facilitate the provision of technical assistance as per outputs 1 to 3, as well as maintenance, support, and further development.

CT Travel initiated pre-production deployment of goTravel in respective testing environments in 21 Member States. Republic of Azerbaijan, Republic of Côte d'Ivoire, Islamic Republic of the Gambia, Kingdom of Morocco, Republic of the Philippines and Republic of the Sudan, Switzerland, Norway plus CARICOM on behalf of its 15 Member States. This constitutes the first step in the installation and deployment of goTravel in partner



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Member States, which will facilitate the transmission and analysis of data pertaining to passengers of all inbound, outbound and transfer flights, as well as verification against up-to-date watchlists. CT Travel upgraded goTravel software and reduced the pre-production infrastructure from four virtual servers to one virtual server in version 2.4 enabling deployment time to be reduced from three days to less than an hour. This version was successfully deployed in Azerbaijan, Botswana, CARICOM, Cote D'Ivoire and Norway.

The Programme promoted API and PNR systems implementation in 67 events. CT Travel conducted over twenty consultations on API and PNR for beneficiary Member States including Djibouti, Mongolia, South Africa, Iraq, Norway, Switzerland, and DRC which has led to the development and launch of **23 roadmaps** by October 2022. In 2021, CT Travel, under the lead and coordination of CTED, completed seven national API and PNR consultations, bringing the total number of consultations conducted since the start of the Programme to 18. Djibouti, Mongolia, South Africa, Norway, Iraq, DRC, and Switzerland participated in national consultations during 2021. The Programme also produced 23 roadmaps by October 2022 for implementation including The Maldives, Djibouti, Mongolia, South Africa, Norway, Iraq, DRC and Switzerland.

The CTPP is a heavily activity- and output-driven programme and those activities and outputs are well documented. However, the mechanisms to capture how effective that capacity building is at an outcome level is less clear. The programme does not appear to have strong, in-built monitoring, evaluation, and learning (MEL) methodology. Nor is there a centrally held risk register which would assist the CTPP in mitigating recurring risks. For example, the country comparison of Botswana, the Philippines, and Sierra Leone identified that there was no one approach that suits all countries. However, there were some aspects which were consistent i.e. political will / buy-in, inter-agency friction, and lack of resources. A robust MEL and risk management approach would help the programme learn lessons on, for example, how to achieve political access and influence to cope with a changing political environment such as national / presidential elections. In the case of Botswana, the deep dive mentioned the buy-in from different departments as a major factor contributing to the success of project. In Philippines, extending APIs/PIUs to include maritime data will require additional resources. In case of Sierra Leone, lack of clarity in terms of inter-agency roles was one of the factors that affected PIU rollout.

The increasing number of MS – with many in the same geographical region – has led the programme to look toward engaging with different Regional Organisation (Ros). Some of these engagements have proven relatively successful, such as those with ASEAN, and OSCE, whilst others have proven more problematic such as that with CARICOM IMPACS and SADC. Cooperation requires a commitment on both sides and the dividend from operating with a RO will vary from organization to organization and what it can potentially bring to the programme.

The training that has been developed and delivered by the programme is widely agreed by participants to be of a high quality, well thought through, and delivered by experts.<sup>45</sup> In 2021 the Programme delivered seven online foundational courses and five interactive online training courses to a total of 543 participants, comprising 187 females and 356 males. Yet there are potential areas for improvement such as making trainings more interactive and case based to respond to different scenarios that PIUs staff may be faced with, as highlighted by key informants during their engagement with the evaluation team.

The training does not provide enough prominence to the application of API/PNR data in tackling serious crime as well as FTF and CT matters. Additionally, the six-month feedback from training participants, coupled with the results of the survey, note a lack of utility of the training in the participants' day-to-day work. Based on the training participants, as reflected in the graph below, more than 60% participants confirmed that since attending the training/workshop they had the opportunity to use the newly acquired skills. This includes aspects related "Learn" platform, goTravel infrastructure, collecting and processing passenger data of travellers, international legal framework and legal requirements relating to the collection and processing and protection of passenger data, development, and dissemination of a national implementation guide for stakeholders in the air transport industry and the operational establishment of a PIU.

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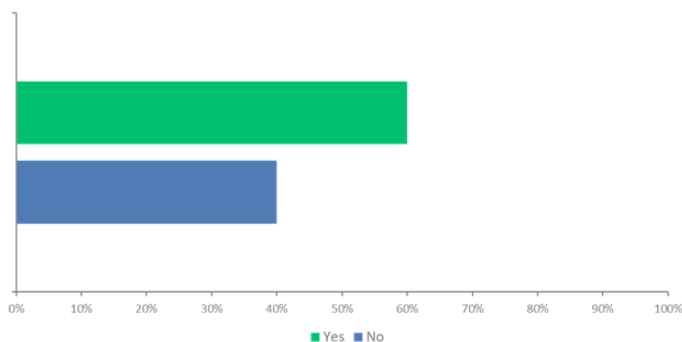
<sup>45</sup> Numerous training evaluation feedback forms and results from online survey (see Annex V)

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Graph No.4 – Use of training<sup>46</sup>

**Q10: Since attending the training / workshop have you had the opportunity to use the knowledge you gained?**

Answered: 45 Skipped: 0



Source: Evaluation team

Main reasons given for lack of use were: i) The program has not been implemented yet, ii) We have not started using API in our country, iii) My country is yet to implement it, and iv) My work is not directly linked to information on API and PNR. The timing of when some participants are invited to training, in particular those that will be working directly with the API/PNR data in a PIU, should be mapped against when the PIU is likely to be functional.

It would be of benefit to the programme to seek out opportunities across training sessions to increase interaction and direct engagement with participants, with a greater focus on group work<sup>47</sup>, increased scenarios, and practical simulations based on the specific country context. Further consideration could also be given to the tailoring of content based on seniority levels and operational status of participants, in terms of the relevance to an individual's current roles, as reflected in survey results. For example, give the trainees a PNR record and have them break it down in small groups and present their findings.

Given the complexity of the programme with 54 Member State beneficiaries, four pillars, five key implementing partners, many donors, and many Implementing Organisations working in each of the member states (e.g. civil aviation, immigration, customs, human rights department etc) , there are challenges in ensuring communication and coordination remains coherent. Whilst comment has been made on the efficiency of some reporting mechanisms (see p.11) it is generally recognised that the CTP PMT through various vehicles such as the accountability framework/action plan, and the regular PMT meetings, has established an effective governance framework. There was almost universal agreement that the PMT staff were approachable, pro-active, dedicated, and provided an atmosphere of positive collaboration.

<sup>46</sup> Online survey

<sup>47</sup> Q6 online survey highlighted a desire for more practical / group work

## SUMMARY – EFFECTIVENESS

The effectiveness of the programme in making progress toward the establishment of PIUs is good, even allowing for the challenges posed by Covid-19 travel restrictions. The capacity building activities were found to be effective including the training offered, the cohesion of the 'One-UN' approach, and the networks built both nationally and regionally. The programme recognises that each MS requires a different approach and that there is not a 'one size fits all' solution. Yet there are certain elements that are consistent across all MS, such as political buy-in, inter-agency friction, and lack of resources. The programme would benefit from taking a more pro-active approach to identifying, analysing, and mitigating risk in general, and in these common areas in particular.

## SUSTAINABILITY

### EVALUATION QUESTIONS:

15. What requirements should be provided both by target member states and the programme to ensure sustainability of outcomes under each pillar?

**Finding No.15:** The CTP PMT and implementing partners under each Pillar recognise the need for sustainability of outcomes at a MS level. The development of a functioning PIU is the key anchor of the programmatic (including individual Pillar) sustainability strategy. Yet the programme cannot guarantee that commitments made by MS to fund, staff, keep up-to-date, and utilise the PIUs – once functioning – are delivered. The impact dividends from various Pillar activities en-route to establishing a PIU can promote MS sustainability but provide no guarantee. Sustainability of the CTP itself is reliant upon donor funding. Longer term funding and greater flexibility in where those funds are directed would provide the opportunity for longer-term planning and prioritisation.

The programme does have a sustainability and exit strategy. It rests primarily upon the successful establishment of a PIU in each country. This, in turn, requires support and commitment from the CTP PMT and implementing partners and international organisations to a point where the PIU is functioning. It should be highlighted that with the creation of a PIU each of the four Pillars will have established a framework for longer-term sustainability. The legislation will have been tailored and enacted, the PIU will have been founded through various capacity building activities, carrier engagement will have been developed, and technological solutions provided. The knowledge, skill, networking, processes, and procedures that are necessary to create a PIU can become a sustaining legacy of the CTP.

However, the CTP PIU sustainability model has still to be fully tested although well-established non-CTP PIUs have demonstrated certain levels of success<sup>48</sup>. As noted, sustainability relies on a functioning PIU and there appears to be one crucial assumption being made regarding their operation post-programme support. *'The results that will be achieved during the implementation of the Programme in terms of the PIUs contribution to combatting terrorism and serious crime will serve as an additional motivation for the beneficiary Member States to maintain the PIUs after the conclusion of the Programme'*.<sup>49</sup> Once the PIUs are up and running this assumption needs to be tested.

And with ever more Member States requesting assistance<sup>50</sup> the sustainability horizon would seem to be moving further away. This is noted in programme documentation *'While the Programme's initial timeline is for five years (2019-2023), support to those Member States who have requested technical assistance and capacity-building support would be required beyond this period and thus an extension should be anticipated*

<sup>48</sup> KIIs, Desk review

<sup>49</sup> Programme Document Revision 2021 p.20

<sup>50</sup> Fifty-four as at 26.10.2022

## MID-TERM INDEPENDENT JOINT EVALUATION OF THE UNITED NATIONS COUNTERING TERRORIST TRAVEL PROGRAMME

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*which requires further donor funding*'.<sup>51</sup> This is potentially being further compounded by the expansion of CTPP into the maritime domain where the integration of maritime API / PNR data into a PIU (or similar body) is in its infancy.

It should be recognised that notwithstanding these issues the programme is attempting to garner political level MS commitment to sustainability. In 2021, CT Travel concluded six MoUs / MoAs with the following beneficiaries: CARICOM (13 January), Côte d'Ivoire (3 June), Botswana (10 June), the Philippines (7 July), Mongolia (7 October) and France (1 December). These include detail on the responsibilities of the MS (or organization) including their commitment to maintaining a certain level of support to the establishment and on-going maintenance of the PIUs. Naturally the programme cannot enforce these on the MS and many external factors (e.g., political change, economic downturn) will impact upon the likelihood of the MS adhering to those commitments.

The programme is currently working with the United Nations System Staff College (UNSSC) to develop a Training of Trainers (ToT) course which will target instructors in beneficiary MS, as well as the Pool of Experts. The intention is to enhance sustainability by supporting the facilitation of existing materials and to create a multiplying effect with beneficiary MS or regions with the support of the programme's Pool of Experts. The pilot ToT course will target a small group in 2022 and then be expanded in the following years by more trainers and experts.

The programme is also taking a creative approach to some other aspects of sustainability. Under Pillar IV the programme foresees the deployment, installation, and maintenance support to beneficiary MS that adopt goTravel. To ensure the sustainability of this programme component, the maintenance of goTravel will be considered as an ongoing activity by OICT, which is expected to be covered through yearly maintenance fees charged to Member States that will be using the system as soon as they initiate live operations. It is envisaged that the OICT component will be self-sustaining once 15-20 Member States have 'opted-in' and are paying for support and maintenance.

As noted in the impact section below a dividend of a MS pursuing the establishment of a PIU through the CTPP is the establishment of formal and informal networks. The CTPP Informal Working Groups (IWGs) form one of those networks. The IWGs bring together various actors such as targeting centres, civil aviation experts, PIUs, for exchange of best practices and to discuss regional issues. Already established are the Eastern Europe IWG in conjunction with OSCE, the West African IWG chaired by Sierra Leone working closely with AIRCOP with ECOWAS invited, and the Southern Africa IWG which will soon expand to cover 16 SADC Member States. These groups could form a MS legacy of the CTPP.

The sustainability of the CTPP itself is reliant upon donor funding. As previously highlighted the implementation of the programme and its desired outcomes is projected to run well after the programme's slated end date of 31 December 2023. At the current time, much of donor support is limited in length, and has already been subject to a series of No Cost Extensions (NCE):

- 2 no-cost extensions on funds (Japan) with request for change in workplans in 2020/2021
- 2 no-cost extensions on funds from AUS DFAT 21/22
- 3 no-cost extensions on funds from Netherlands 2019/20/21 with updated workplan

Donor funding is usually committed on a year-to-year basis and is often hard-earmarked. This reduces the flexibility and nimbleness of the programme to allocate funds where they may be most needed either i) strategically over a longer time, or ii) where a particular need arises. Greater longer-term surety on funding levels combined with greater flexibility in where those funds are directed would increase programmatic sustainability. This would only be fully effective when coupled with a robust and transparent methodology for prioritisation.

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<sup>51</sup> Annual Report for Donors 1 Jan – 31 Dec 2021 p.27

## SUMMARY – SUSTAINABILITY

The CTPP sustainability strategy relies heavily on the logical approach of creating a functioning PIU for the beneficiary MS. Each of the implementing partners within the four Pillars, when delivering on their own objective(s) within the programme, creates an environment within the MS where sustainability can be obtained. Yet longer term sustainability still relies on the beneficiary MS adhering to the PIU commitments it makes when partnering with the programme. From a CTPP sustainability perspective it is reliant upon donor funding. Longer term funding and greater flexibility in where those funds are directed would provide the opportunity for longer-term planning but must be coupled with a robust and transparent prioritisation methodology.

## IMPACT

### EVALUATION QUESTIONS:

16. To what extent has the programme generated or is expected to generate positive or negative, intended, or unintended effect?

**Finding No.16:** Although the programme has not yet achieved the implementation of a fully-functioning PIU, certain impacts – associated with the process of the establishment of PIUs – have been identified. These include Member States recognising the advantages of having a comprehensive approach, of increasing networking opportunities thereby encouraging national and regional inter-agency cooperation and having a cohesive UN approach to programming to achieve UN SCR compliance on API / PNR through the establishment of a PIU. There is a disconnect between the objective of the programme and its impact which is creating some confusion.

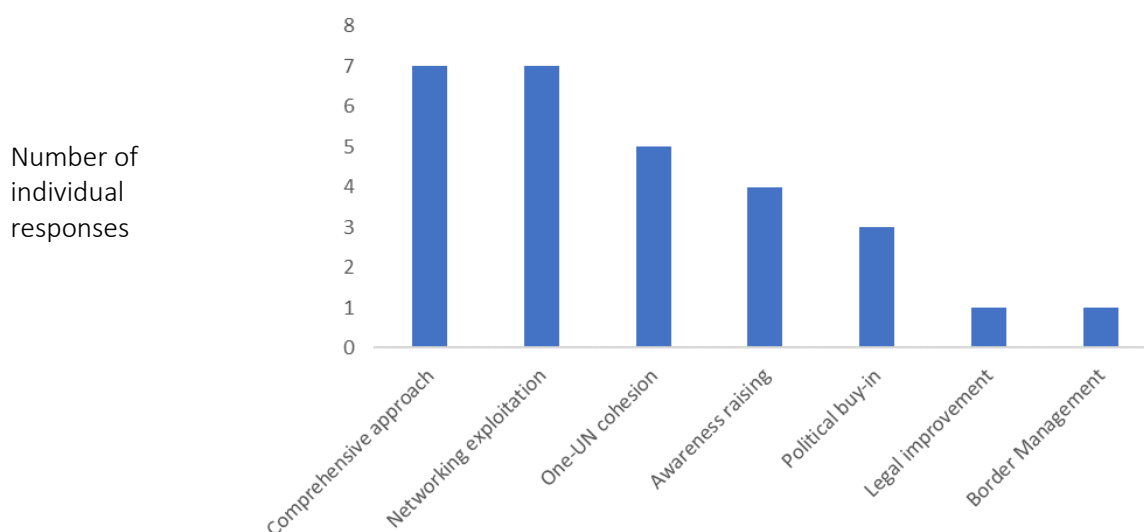
The intervention logic (acting as a de facto Theory of Change) of the programme does not properly address the issue of ‘impact’. The revised Project Document of 20 August 2020 notes impact as being the ‘Overall Objective’<sup>52</sup>. The Logical Framework within the next Project Document revision of 30 September 2021 notes impact as “*Member States have an enhanced capacity to detect, prevent, investigate and prosecute terrorist offences and other serious crimes, and related travel, in accordance with Security Council resolution 2178 (2014), 2396 (2017), 2482 (2019), ICAO standards and recommended practices, as well as other international law obligations*”<sup>53</sup>. Whilst this is not an impact statement (it does not detail what impact this enhanced capacity will bring) it did provide a basis around which the evaluation looked to identify (positive) change as a result of programme activity in enhancing MS capacity.

<sup>52</sup> 200820 PRB02 CTPP Prodoc Revised, p.30

<sup>53</sup> 210930 PRB03 CTPP Programme Document

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Graph No.5 – Areas of programme impact<sup>54</sup>



Source: Evaluation team

Graph No.5 above illustrates the most significant change that individuals involved with the programme (across all stakeholder groups) have identified. These changes are grouped together under seven criteria with the top three criteria accounting for 70% of the responses.

A most notable change is seen in the ‘**Comprehensive approach**’ criterion which indicates an appreciation of the value of having a methodology that addresses all aspects required to meet UN SCRs on API / PNR obligations. Not only was this the most heavily highlighted criterion, but it was also recognised across all stakeholder groups as a critical impact.

Connected to the comprehensive approach is the ‘**One-UN cohesion**’ criterion. Although this was only recognised by ‘internal’ stakeholders i.e., UNOCT and other UN implementing partners, there was a general appreciation that the One-UN concept works well under this programme. This is supported by two indicators *i)* the change identified under the ‘comprehensive approach’ which would not be possible without a cohesive One-UN approach and, *ii)* the lack of any criticism by non-UN actors of a disjointed UN approach.

The second ranked major criterion identified was in the ‘**networking opportunities**’ that the programme provides to beneficiaries. The formal and informal networks developed through programmatic capacity building activity that was seen as a catalyst for driving both national and regional inter-agency communication and cooperation.

The programme was also viewed as a useful vehicle for providing beneficiary drivers of change that can provide positive, operational impact at the national level to tackle CT and SC related travel. These drivers include *i)* enhanced human capacity, *ii)* enhanced technological capacity, *iii)* system-wide thinking at beneficiary country level, and *iv)* system-wide collaboration at beneficiary country level. These last two drivers are enhanced through CTED’s national consultations where Member States are asked to consider how their agencies, systems, and process operate together, where gaps exist, and improvements that could be made.

It should be recognised that in assessing positive change this data is gathered on programmatic activities to date. Once the PIUs are fully functioning more operational criteria such as ‘border management improvement’, and ‘counter-terrorism / serious crime travel disruption’ should be expected. As already highlighted the CTPP has not developed a Theory of Change which adequately addresses the concept of impact. Without this overarching acknowledgement of what success looks like for the programme, there is a risk the programme will move from request to request, activity to activity, without achieving effective impact.

<sup>54</sup> Most Significant Change (MSC) narration

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Thus, the programme has a fundamental question to answer. Does it exist to bring a Member State to the point of having a functioning PIU, or does it exist to ensure each Member State has an effective PIU? In answering this question an appropriate impact statement can then be developed. This is not necessarily an easy question to answer. The objective of the programme is framed in such a way that it addresses the UN SCR requirements for MS to have the capacity to meet their API / PNR obligations. By providing a functioning PIU the programme manages to achieve that objective, and as detailed above, the process of getting there provides certain, positive impacts. If that is the limit of programme support, then an impact statement can be developed around the dividends of pursuing a PIU. If the programme exists to help provide an effective PIU, then an impact statement around effectiveness, i.e., the operational dividends of the PIU, must be developed. Outcome 3 of the programme's logical framework suggests this 'effectiveness' criteria is the case, "*Assisted Member States have an effective PIU in place [...]*"<sup>55</sup>

### SUMMARY – IMPACT

The issue of defining and measuring impact has not been properly addressed in the intervention logic of the CTPP, relying on the overall objective of the programme as its impact. However, in making progress toward establishing a PIU, some positive signs of impact have been identified. These include i) encouraging national and regional inter-agency, and inter-organisational cooperation, ii) awareness raising in MS of the importance of a cohesive approach that includes all four Pillars, and iii) the value of establishing a PIU. Looking forward the CTPP will have to develop a Theory of Change (ToC) including an impact statement that reflects the purpose of the programme.

## HUMAN RIGHTS, GENDER EQUALITY AND LEAVING NO ONE BEHIND

### EVALUATION QUESTIONS:

17. To what extent has the programme mainstreamed cross-cutting issues of gender equality and human rights into programme activities along with adherence to the leaving no one behind principle? This will focus on including an assessment of the extent to which stakeholders' women, men, vulnerable groups, (including those with disabilities) have participated in the various capacity building activities in an active and meaningful manner, and the dignity of individuals.

18. How has the UN human rights due diligence policy been implemented by the programme throughout coordination, country assessment and delivery of Technical Assistance?

**Finding No.17:** Human rights is a core aspect of the programme; the programme has a focus on the right to privacy and the protection of personal data, they have been integrated in the provision of legal advice, legislative assistance, capacity building and implementation. A key challenge faced by the programme was the lack of capacity to provide support and guidance on human rights and gender at programme and country level. However, the staff has been actively engaged to fill the gap.

**Finding No.18:** Efforts have been made for gender mainstreaming under the programme; the CT Travel programme has made deliberate efforts to achieve appropriate participation of women in its activities. A key challenge was the lack of presence of women and transgenders in law enforcement, this limited the participation of women in training activities, however, the programme managed to ensure the engagement of an appreciable number of women in PIUs and as training participants.

<sup>55</sup> 2021.09.30 PRB03 CTPP Programme Document, p.17



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The programme has made conscious efforts to consider human rights and gender as part of its activities. This effort manifests itself in terms of responsible use of data, data protection, strengthening of human rights systems at the country level, and highlighting and facilitating the role of women in countering terrorism through leadership roles and capacity building measures. At a global level, the programme has designed comprehensive strategies for both human rights and gender mainstreaming, alongside dedicated human resources, to guide the processes. The following statement by one of the key informants provides a good overview of this approach, where this statement is confirmed by other key informants and secondary data:

*“Gender and human rights have been a core aspect of our work. We have increased capacity within the team to consider gender and human rights aspects as part of our work. In our country assessment, we are taking gender and human rights as a key consideration. There have been discussions and dialogues with other UN agencies whose work also supports us. We engage in conversation with national counterparts to listen to them and to share our expectations with respect to gender and human rights. More so, we support national entities with legal framework prior to extending our support and solutions to them.”*

The programme, as evidenced during the evaluation, furthered the promotion and protection of human rights and gender as key components of efforts to counter terrorism. In the context of the collection, use, and sharing of API and PNR data, two important human rights considerations guided the process. Firstly, the right to privacy and other potential human rights concerns (e.g., data protection, retention, and discriminatory profiling), that are inherent in the collection, transmission, use, retention and sharing of passenger data. And secondly, the inclusion of potential human rights risks that exist independently from the implementation of API and PNR programming (e.g., conflicting data protection laws)

Lack of capacity to provide support and guidance on human rights and gender at the programme and country level was a key challenge that the programme faced. The importance of this challenge was recognised, and dedicated staff were engaged to fill the gap. This helped accelerate the mainstreaming of human rights and gender as part of the programme. CT Travel has adopted multiple processes to ensure that human rights considerations are addressed such being part of the initial CTED national consultation with a beneficiary MS, inclusion in the national MoU on engagement with the programme, and the subsequent implementation roadmap.<sup>56</sup> As a result, human rights considerations are now an integral part of overall API and PNR implementation with documentation providing clear steps to protect human rights and making API and PNR systems compliant with international standards, including in relation to the rule of law and human rights.

The programme’s human rights safeguards – primarily focused on the right to privacy and the protection of personal data – are integrated in the provision of legal advice, legislative assistance, capacity building and implementation. This was achieved through having checks and balances embedded within the national roadmaps, institution-building support and capacity-building training activities and the phased approach towards implementation all work to ensure that human rights safeguards are in place before the Programme’s software solution, “goTravel” may be transferred to beneficiary Member States. Furthermore, “goTravel,” is made compliant with human rights, privacy and data protection principles by design including aspects such as technical safeguards for data retention, deletion, depersonalization, and re-personalization of data.

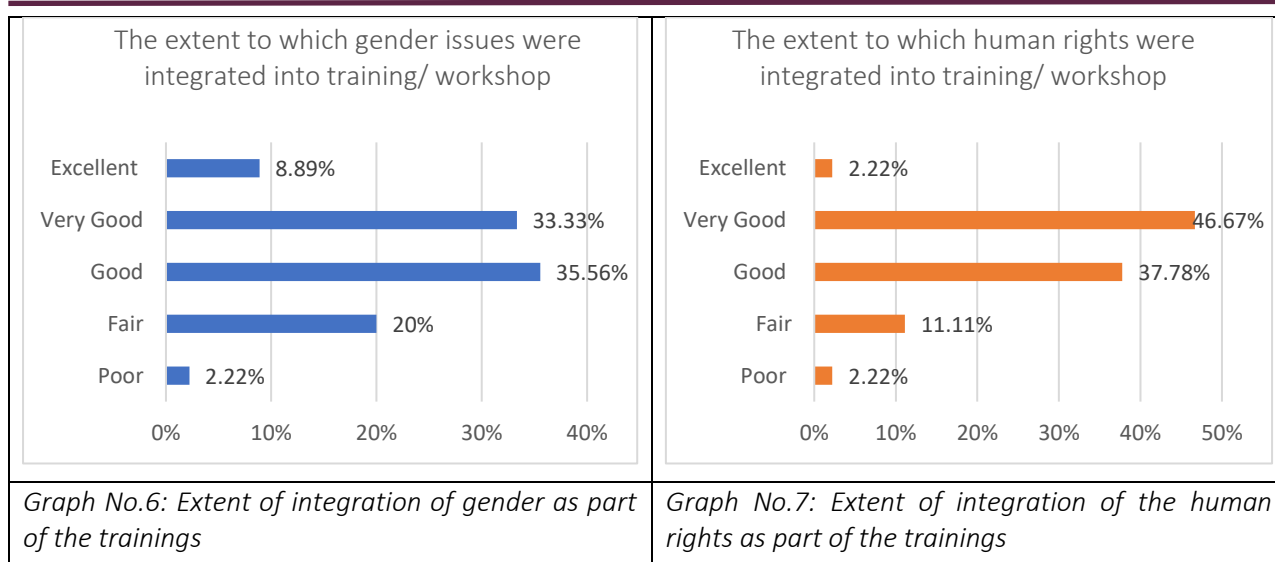
Human rights and gender were included as part of the capacity building training, where over 80% of the participants during the evaluation survey confirmed they were broadly satisfied with the extent to which gender and human rights issues were integrated into the training.

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<sup>56</sup> Based on the conversation with stakeholders from across different organisations who are part of this initiative and documents review made available to the evaluation team, within the programme framework



## MID-TERM INDEPENDENT JOINT EVALUATION OF THE UNITED NATIONS COUNTERING TERRORIST TRAVEL PROGRAMME



Source: Evaluation team

Source: Evaluation team

The Sixth Review Resolution of the United Nations Global Counter-Terrorism Strategy calls upon all Member States to highlight the important role of women in countering terrorism. During interview with one of the key informants, the importance and way forward with respect to women was mentioned as follow:

*“We can’t have a travel programme which treats women differently than men. Women can be both victims as well as perpetrators from this programme perspective, and national capacities by having more women in the forces are to be built to safeguard against terrorism, drug trafficking and serious crimes.”*

CT Travel incorporated a two-pronged approach to gender mainstreaming which included efforts to achieve the appropriate participation of women in all programme activities and possible designation of women as team leaders and members of PIUs. For this purpose, the programme included gender promotion as part of the MoUs with beneficiary Member States. During the capacity building trainings, the programme invited the nomination of women from PIUs and national law institutions to participate in training events that are organized to contribute toward increasing the pool of women trained on counter-terrorism. The lack of presence of women and transgender in law enforcement was a challenge which hindered the presence of a higher percentage of women as part of different trainings, however, the programme was still able to attract women as part of the training participants as well as in the PIUs.

Despite the efforts of the programme to engage women in all activities, there was a lack of knowledge regarding effective gender mainstreaming in the programme. Currently this engagement is mainly related to having more women staff as part of the team or training participants. As a result, further support will be required ‘in-house’ from Implementing Partner and other sister UN organizations such as UNWOMEN to draft a strategy accentuating gender mainstreaming in future programming.

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

Human rights and gender have been nested in programme activities predominantly pertaining to the use of data and data protection. Early challenges, in particular a lack of resources, in promoting human rights and gender in the programme have been recognised and are now being more fully addressed. Dedicated human rights programme resources are now available and human rights considerations remain a fundamental part of API and PNR documentation and implementation. The programme has also encouraged the participation of women in the programme, through for example, including gender promotion in the Memoranda of Understanding (MoU) signed with MS beneficiaries. However, insufficient presence of women in law enforcement in general was identified as a reason for low participation of women in programme activities. More broadly, how to integrate gender into CTP work remains a challenge.

### III. CONCLUSIONS

The CTTTP is a successful initiative. The programme is helping Member States achieve their obligations under UN SCRs related to the collection of API/PNR data to prevent and counter terrorism and is achieving buy-in from an ever-increasing number of MS (standing at 54 by October 2022). This indicates an awareness and recognition that Foreign Terrorist Fighters (FTF) and Serious Crime (SC) actors continue to pose a substantial global threat, and that the establishment of PIUs can play a critical role in countering terrorism and serious criminal travel. Not only is the programme currently relevant to the needs of MS, it is also anticipated its relevance will increase over time, especially with development of the SC travel aspect and the expansion into maritime API/PNR data.

The CTED country consultations help ensure the programme addresses the needs of the MS and keeps the programme and its capacity building activities relevant. The programme is well situated in terms of promoting the significance of API/PNR data in detecting and preventing terrorist travel, but there is room in current activities and initiatives to create further awareness of SC travel and the benefits of SC travel inclusion in the API/PNR data gathering and analysis process. Expansion into maritime will serve to complement and enhance the overall effectiveness and impact of the CTTTP, but will be a resource heavy endeavour, with challenges unique to these additional modalities that will take a significant amount of time to be addressed.

Although there is not a fully functioning CTTTP inspired PIU, the programme is well on its way to establishing those PIUs. Its impact to date has been dividends of the process of establishing PIUs such as the building of formal and informal, national, and regional networks around API/PNR work such as the Informal Working Groups (IWGs). The value of a cohesive, One-UN approach has also been recognised and the programme does well in leveraging this 'One-UN' four Pillar approach (covering legislative assistance, operational enhancement, carrier engagement, and goTravel software solutions) when partnering with the MS and its key national agencies. The programme is facing greater challenges in creating meaningful engagement with some Regional Organisations (ROs), and there is a lack of Civil Society Organization (CSO), private sector and academia involvement.

Whilst realising the complementary nature of the four Pillars, it was unilaterally understood that Pillar 1, legislative change, creates the foundation from which all other initiatives flow. The evaluation concludes that the programme, implementing partners, donors and beneficiaries recognised the importance, and challenges, of creating a sound legislative basis upon which the PIU could operate.

The programme has not created a Theory of Change (ToC). When the programme was smaller and the number of requests more manageable, this was not necessarily a problem. However, as the programme has expanded, and resources are being stretched this lack of a well-elaborated ToC has led to some difficulties in prioritisation. There is a lack of an overall impact statement (i.e., what does success look like?) and some confusion over objectives e.g., to create a functioning PIU or an effective PIU. Clarity in these areas will help direct activity and resources. The rapid expansion has also created a greater need for a more robust system for the programme to learn lessons, identify and deploy good practice, and manage risk.

The programme uses its resources efficiently although some resources such as maritime and carrier engagement are over-stretched. The intra-CTTTP implementing partner to PMT reporting mechanisms achieve good management accountability but appear overly cumbersome and are not fully efficient. The processes and procedures between the UNOCT PMT office based in Budapest and internal support mechanisms (including the UNOCT Strategic Planning and Programme Support Section and Office of the Under-Secretary General) and the Executive Office (EO) of UNOCT based in New York create programme activity delivery inefficiencies. Further, there are inefficiencies and the lack of internal support available from UNOCT's SPPSS as well as from OUSG.

It is assessed that the programme will continue beyond its 31 December 2023 end date. However, this is dependent upon continued donor funding, and whilst there is no indication this will not be provided it cannot be taken for fact. Closer programme engagement with the donor community will provide the basis for a

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relationship that will encourage continuity and streamlined processes that should improve sustainability and address mutually agreed priorities. The creation of a PIU creates an issue of how the PIU itself is sustained. The programme has taken all reasonable steps to ensure beneficiary commitment to its long-term future but many external factors – well beyond the influence of the programme – will contribute to whether the beneficiaries adhere to their promised commitment.

During CTTP design and implementation, human rights and gender has remained a key consideration. This adherence is manifested by programme focus on building capacity, enabling legislative framework, and required protocols related to safe storage and ethical usage of data. Additionally, the legislative requirements related to human rights as precursor to the rollout of the programme has delivered a significant contribution to improving the MS human rights environment in general. The efforts of the programme to engage women in training and PIU leadership roles has helped the programme achieve a higher female participation in relation to the average number of women in law enforcement. Yet the issue of gender integration and equity remains a challenge for the programme.

## IV. RECOMMENDATIONS

### RECOMMENDATION 1 – THEORY OF CHANGE

Develop a full Theory of Change (ToC) that will **i)** provide a definitive programme objective intrinsically linked to; **ii)** a newly developed impact statement; **iii)** address how cross-cutting thematic areas such as serious crime travel and maritime domain API / PNR data can be integrated into the four-pillar Passenger Information Unit (PIU) intervention logic; **iv)** address how cross-cutting partner stakeholders such as WCO, IOM, and other IOs, ROs, and CSOs can be integrated into the four-pillar PIU intervention logic, and **v)** ensure the logical framework of the CTPP reflects the ToC.

*Programme Management Team (PMT), Countering Terrorist Travel Programme (CTTP), the United Nations Office of Counter-Terrorism (UNOCT) – in consultation with all key stakeholders – to complete within 3 months of the formal publication of this report.*

Based on findings No.1 (Relevance), No.6 (Coherence), No.16 (Impact)

### RECOMMENDATION 2 – EFFICIENCY

Examine two key aspects to improve efficiency namely, i) reporting mechanisms, ii) processes and procedures between UNOCT PMT Budapest and UNOCT Executive Office (EO) New York. This will help address the availability of sufficient / required internal support mechanisms relating to financial administration and administrative support. Further, it will help to remove duplicative and complex internal processes and procedures required for review and approvals resulting in inefficiencies and redundancies in the system.

Under **i)** reporting mechanisms, consideration should be given to i.e.:

- a) reviewing the content and detail required for the weekly updates and consider moving to two-weekly.
- b) weekly bi-lateral meeting frequency to be reviewed with possible move to two-weekly.
- c) weekly PMT meeting frequency to be reviewed with possible move to two-weekly.
- d) creating more detailed guidance what should be reported upon focusing on the information required for implementation partners' quarterly reporting to the CTPP PMT which should be the bedrock of IP reporting.
- e) using a single portal for access to key reporting documents such as PMT meeting minutes, WG meeting minutes, quarterly reporting, the CTPP calendar etc. The National Implementation Site (NIS) or a new comprehensive reporting tool might provide this portal<sup>57</sup>.
- f) explore producing one single joint donor report instead of making individual reports for different donor.

Under **ii)** processes and procedures between the UNOCT PMT office based in Budapest and internal support mechanisms (including the UNOCT Strategic Planning and Programme Support Section and Office of the Under-Secretary General) and the Executive Office (EO) of UNOCT based in New York, consideration should be given to:

- a) allowing CTPP PMT access to financial data pertinent to the delivery of time-critical programme activity.
- b) improving communication on time-critical procurement issues through an agreed Single Point of Contact (SPOC).
- c) face-to-face discussion and agreement - through new or existing Service Level Agreements (SLAs) between UNOCT CTPP PMT Budapest and EO New York – of roles, responsibilities, and deliverables of each party. Other internal support mechanisms including from Strategic Planning and Programme Support Section and Office of the Under-Secretary-General that also needs to be covered in these discussions.
- d) Actively consider improving efficiency with regards to internal processes and procedures and ensure adequate internal support mechanisms are in place by: (i) Reviewing Delegation of Authority to ensure that Programme Manager has ability to approve travel, procurements, financial authorizations in a timely manner

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<sup>57</sup> UNOCT announced recently that they developed a “new reporting modality involving MS lists” that would allow a single reporting of activities / engagements, which could then be subsequently transformed into BI visuals. A test phase is scheduled early next year (2023) for the reporting of activities in Q4 2022. Partners are invited to provide feedback on this new tool, following the test phase.

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without having to go through New York; (ii) Reviewing existing internal process and procedures in place for the review/approval of HR packages, memos, notes, reports, etc. with a view to enhancing efficiency and reducing duplication of efforts.

*Programme Management Team (PMT), Countering Terrorist Travel Programme (CTTP), the United Nations Office of Counter-Terrorism (UNOCT) – in collaboration with EO New York – to complete within 3 months of the formal publication of this report.*

Based on finding No.8 (Efficiency)

### RECOMMENDATION 3 – EFFECTIVENESS

To improve the overall effectiveness of the programme consideration should be given to: **i)** developing an appropriate Monitoring, Evaluation, and Learning (MEL) methodology reflecting the new Theory of Change (ToC) and associated logical framework, **ii)** develop and maintain a programme risk register, **iii)** conduct an assessment of the benefits and challenges of engaging with ROs, IOs, CSOs, private sector and academia to determine future type and level of cooperation, **iv)** altering the training to:

- a) increase human rights and gender aspects,
- b) highlight the use of API/PNR data in tackling serious crime,
- c) introduce more tailored, scenario based, syndicate work, and
- d) critically review participant job roles to ensure the training is relevant to their current or near future work.

*Programme Management Team (PMT), Countering Terrorist Travel Programme (CTTP), the United Nations Office of Counter-Terrorism (UNOCT) - in consultation with UN in-house MEL experts (for i and ii) to complete within 12 months of the formal publication of this report.*

Based on findings No.12, 13, and 14 (All Effectiveness)

### RECOMMENDATION 4 – GENDER MAINSTREAMING COLLABORATION

To improve the understanding regarding effective gender mainstreaming and equity, the programme should review the policies and guidelines of UNOCT and Implementing Partners, together with their gender focal points, as needed, to identify approaches and practices that could be applied to the programme. In addition, the programme should contemplate seeking advice from external (specialized) gender experts, along with sister UN agencies such as UNWOMEN, to improve the response in supporting gender mainstreaming and equity at programme and country level and help ensure a balanced workload among partners/ within the programme.

*Programme Management Team (PMT), Countering Terrorist Travel Programme (CTTP), the United Nations Office of Counter-Terrorism (UNOCT) - to initiate such a request for support and complete the task within 6 months of the formal publication of this report.*

Based on Findings No.6 (Coherence), No.18 (HRGE)

### RECOMMENDATION 5 – HUMAN RIGHTS CAPACITY BUILDING

To have an increased focus on human rights, scenario-based capacity building through a standalone module within the current CTTP training approach, as well as in any future training development. The training module – whilst remaining relevant to the CTTP training objectives – should cover aspects beyond data protection. Collaboration with Implementing partner's Human Rights experts, along with other UN agencies such as UNHCR, and UNICEF should be developed.

*Programme Management Team (PMT), Countering Terrorist Travel Programme (CTTP), the United Nations Office of Counter-Terrorism (UNOCT) - to initiate collaboration, drive consultation, and complete delivery within 9 months of the formal publication of this report.*

Based on Findings No.6 (Coherence), No.14 (Effectiveness), No.17 (HRGE)

## RECOMMENDATION 6 – DONORS

To convene a meeting with all donors to the programme to **i)** discuss programme and donor priorities, **ii)** examine the possibility for soft-earmarked funding, including the use of a trust fund, **iii)** examine the likelihood of longer-term donor commitment, **iv)** understand key donor reporting requirements and discuss the possibility of rationalising, synchronising, and streamlining reporting which could include one master donor report with confidential, donor specific annexes. This will also help to streamline and reduce resources required to meet varied donor reporting requirements.

*Programme Management Team (PMT), Countering Terrorist Travel Programme (CTTP), the United Nations Office of Counter-Terrorism (UNOCT) - to action within 9 months of the completion of Recommendation No.1.*

Based on findings No.1 (Relevance), No.8 (Efficiency), No.17 (Sustainability)



# V. LESSONS LEARNED AND GOOD PRACTICES

## LESSONS LEARNED

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### Relevance

The programme is clearly linked with international and national priorities and strategies, thus increasing its buy-in from all stakeholders at different levels. This reflects an important lesson that linking such strategic programmes with different stakeholders' own priorities helps to ensure a higher degree of relevance.

### Effectiveness

There has been relatively little engagement with Civil Society Organisations (CSOs), private sector or academia in this programme, hence their views are not fully reflected in the programme design and activities. Unless specific efforts are made to bring such these stakeholders onboard, including from human rights and gender perspective, these perspectives will not be captured.

### Efficiency

Efficiency stems not only from programme engagement with other stakeholders, but also from within programme itself from its own functions. Over burdensome reporting regimes are leading to a loss of efficiency. This should be considered when designing similar interventions in the future.

### Impact

Without a proper theory of change addressing the concept of impact, there is a risk of implementation of activities without direction or purpose.

### Human Rights and Gender Equality

Structural issues such as a limited pool of female staff primarily within member state national agencies impedes programme ability to effectively mainstream gender into the programme. On a related theme, limited capacity to provide guidance and support on human rights and gender considerations within programming activity creates an environment where HRGE can slip down the priority list. HRGE should be 'designed in' from the start of any programme.

## GOOD PRACTICES

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### Relevance

Relevance with the priorities and needs: The CTPP programme is highly relevant. The alignment of the programme interventions with the country's needs makes it easier to engage government and local stakeholders. Due to its relevance the programme has been effective at maintaining a coherent environment necessary for the implementation of programme activities and outputs.

### Efficiency

Resource efficiency: Minimal staff dealing with the needs of member states, donors and stakeholders increases cost efficiency of management and accountability structures and reduces staff related costs.

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Cost sharing: In kind support from donor and implementing partners improves cost efficiency of the programme by minimising admin related cost.

### **Effectiveness**

Context specific roadmaps: the roadmaps have been established as per the requirements of specific member states making implementation of programme outputs and activities easier to achieve.

### **Coherence and Impact**

Comprehensive/ One- UN approach: Comprehensive/ One-UN approach used for this programme has been an effective approach for inter and intra- agency collaboration within this programme and has provided positive advocacy for the UN as a whole.

Digital Platforms: Presence of digital platform has proven to be effective not only in terms of coordination but also in providing state of programme implementation in different countries.

### **Human Rights and Gender Equality**

Two-pronged approach for gender mainstreaming: the two-pronged approach used for gender mainstreaming has been effectively incorporated into the programme strategy to mainstream gender concerns in all related programme activities.

## ANNEX I: TERMS OF REFERENCE

Project/Programme number:	UNCCT-2018-02-82
Project/Programme title:	Building the capacity of member states to prevent, detect and investigate terrorist offenses and related travel by using advance passenger information (API) and passenger name record (PNR) data (CT Travel)
Duration (dd/mm/yyyy-dd/mm/yyyy):	1/1/2019-31/12/2023
Location:	Global
Pillars of the GCTS:	Pillar II
Linkages to the SDG targets to which the programme contributes:	SDG16
Executing Agency:	UNOCT
Partner Organizations:	CTED, UNODC, OICT, ICAO, INTERPOL
Total Approved Budget (USD):	2019-20/\$22,5M 2021-23 &18,9M
Total Overall Budget (USD):	\$ 41,4M
Total Expenditure by date of initiation of evaluation (USD):	\$13M
Donor(s):	Netherlands, Qatar, USA, EU, India, Germany, Australia, Japan, Hungary
Name and title of Project/Programme Manager and UNOCT office/section/unit:	Christine Bradley Chief of CT Travel Section
Type and time frame of evaluation: ( <i>start and end date of the evaluation process</i> )	Joint independent mid-term evaluation April-November 2022
Time frame of the programme covered by the evaluation ( <i>until the end of the evaluation field mission/data collection phase</i> ):	May 2019- until the end of the data collection phase
Geographical coverage of the evaluation:	Global
Budget for this evaluation in USD:	\$100,000
Number of independent evaluators planned for this evaluation:	Three
Type and year of past evaluations (if any):	Non

## I. Project overview

The United Nations Countering Terrorist Travel Programme (CT Travel Programme), a flagship global initiative of the United Nations Office of Counter-Terrorism (UNOCT), assists Member States in building their capabilities to detect and counter terrorists and serious criminals by using advance passenger information (API), passenger name record (PNR) data to improve the use of international databases of known and suspected terrorists and criminals and enhance international information exchange, in accordance with Security Council resolutions 2178 (2014), 2396 (2017), and 2482 (2019), international standards and best practices, human rights principles, and relevant privacy laws.

In terms of outcomes, the programme aims to achieve the following with assisted member states:

- enhanced awareness of how to use passenger data to stem the flow of FTFs and other serious criminals, as required by Security Council resolution 2178 (2014), 2396 (2017) and 2482 (2019) and have a full understanding of the necessary steps to comply with these resolutions. CTED is responsible for consultations on this outcome. After determining a state's existing level of implementation, the Programme produces a "roadmap" for the Member State that identifies subsequent steps for implementation across the four pillars.
- Establishment and/or strengthened legislative frameworks to regulate the collection, transmission, use, retention, sharing and protection of passenger data in compliance with UN Security Council resolution obligations, internationally recognized standards on API and PNR (ICAO Annex 9 SARPs) human rights standards and fundamental freedoms that supports the responsible use of PNR data and resolves conflicts that inhibit the international transfer and processing of PNR data. UNODC is responsible for the provision of legislative assistance, in close collaboration with ICAO, OHCHR and other specialized UN entities.
- effective Passenger Information Unit (PIU) in place for assisted member states, embedded in their national law enforcement structure, to facilitate a passenger data single window, which has the capacity to use an intelligence-led approach to conduct risk assessments, implement appropriate targeting measures, as well as identify, detect and intercept terrorists and other serious criminals based inter alia on the systematic collection, processing, analysis, use and sharing of passenger data (API and PNR) in line with Security Council resolution 2178 (2014) and 2396 (2017), ICAO Annex 9 SARPs, and other international law obligations. UNODC (AIRCOP) is responsible for the provision of technical advice and capacity-building for setting up PIUs, in close collaboration with INTERPOL and Member State experts, including collaboration with UNOCT for provision of operational assistance.
- access to an effective and supported UN software solution, goTravel, to be used by their PIUs in carrying out their functions. OICT is responsible for the provision of expertise on information and communication technology (ICT), including deployment, installation and maintenance support to beneficiary countries that will adopt the UN goTravel version of the TRIP system.

In an "All-of-UN" partnership with the United Nations Counter-Terrorism Executive Directorate (CTED), the United Nations Office on Drugs and Crime (UNODC), the International Civil Aviation Organization, the United Nations Office of Information and Communication Technology (OICT), and INTERPOL, with overall programme coordination and resource mobilization by UNOCT, the programme provides comprehensive and tailored assistance to beneficiary Member States in legislative, operational, transport industry engagement, and technical areas. This includes the licensing and deployment of the United Nations 'goTravel' software system. The programme has been designed in accordance with human rights principles and United Nations policies in this regard in line with the overall principle "do no harm. Due diligence to incorporate cross-cutting aspects of human rights and gender equality have been applied and all activities have been subject to a detailed human rights and fundamental freedoms compliance and risk assessment/mitigation.

CT Travel Programme has global coverage and seeks to support all requesting states to enhance their detection capabilities. Fifty Member States have officially joined the Programme as of date. This increase in the number of beneficiary Member States demonstrates the continued appeal and strength of the Programme and increased interest of Member States to receive capacity-building and technical assistance support to meet

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their obligations related to the safety of passenger travel. In its first year of implementation, the Programme focused on awareness-raising and establishment of new partnerships, achieving significant results in 2019, concrete technical progress in 2020 and continued moving towards concrete technical implementation in 2021. The Programme promoted API and PNR systems implementation in 67 events, conducted 18 national consultations on API and PNR which has led to the development and launch of 18 roadmaps. The programme launched and supported the set-up of two regional Informal Working Groups in Eastern Europe and West Africa regions. In support of awareness and capacity building efforts of the Programme, a comprehensive training syllabus was developed and launched in 2020. The CT Travel Programme facilitated the first pilot, online course for Botswana which was followed by the delivery of six online foundational courses and four interactive online training courses for a total of 636 participants.

The CT Travel concluded seven MoUs formalizing each Member States' commitment to the Programme and its collaboration with UNOCT. Additionally, two MoAs providing a framework for the use of the goTravel software were concluded. The Programme initiated pre-production of the software and deployment in a testing environment for 21 beneficiaries. Furthermore, the Programme developed the INTERPOL migration module, which is now fully operational. In addition to supporting countries with the collection and analysis of API and PNR data from air carriers, the CT Travel Programme is expanding its scope of assistance to include a maritime component. This type of assistance has been requested by several beneficiary Member States that are island states or countries with coastal or inland waterways to prevent nefarious actors exploiting multiple modes of transportation. To support this component of the Programme, the World Customs Organization (WCO) and the International Maritime Organization (IMO) expressed interest in partnering with CT Travel.

### II. PURPOSE AND SCOPE OF THE EVALUATION

UNOCT, in cooperation and collaboration with donors and project partners, intends to undertake an independent mid-term evaluation (MTE), following the United Nations Evaluation Groups Norms and Standards, of the Global Travel programme to serve two immediate purposes: taking stock of achievements to aid decision-making, and gather initial lessons from programme implementation experiences the basis upon which recommendation shall be provided to all programme partners. The independent mid-term evaluation will help programme managers in all implementing partner entities, and stakeholders identify and understand successes to date, identify problems that need to be addressed and provide stakeholders with an external, objective view on the programme status, its relevance, how effectively it is being managed and implemented, and whether the programme is likely to achieve its overall objectives, including whether implementing partners are effectively positioned to achieve maximum impact.

The mid-term independent evaluation of the CT Travel Program will be formative in nature and cover an assessment of the support provided to member states in realization, operationalization, and deployment of the 'goTravel' software system including assistance provided towards preparatory works related to enabling legislative frameworks and institutional arrangements in this regard. The evaluation will cover the period from inception in 2019 to date and will assess the Programme's concept and design, implementation to date, and the extent to which outputs, outcomes, and the programme objective have been and are being achieved. The evaluation will also assess delivery of milestones by all implementing partners (according to their respective workplans) in support of the achievement of the overall programme objectives. In terms of coverage, and in observant of the COVID 19 restrictions, missions will be undertaken as necessary to the UNOCT Regional Programme Office in Budapest: consultations with implementing partners, namely UNODC, CTED, ICAO and OICT, donors<sup>4</sup> and selected beneficiary partners and member states, which will be identified by the evaluation team jointly with PMT (e.g., Botswana, Sri-Lanka, the Philippines, and CARICOM IMPACS).

### III. EVALUATION CRITERIA

The evaluation will be conducted based on the following DAC criteria<sup>5</sup>: relevance, coherence, efficiency, effectiveness, and sustainability, as well as human rights and gender equality including a criterion to assess donor contribution to the programme. The following evaluation criteria and questions have been selected for this evaluation with the possibility for further refined when drafting the Inception Report by the Evaluation team.

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**Criteria**

**Evaluation Questions**

**Relevance**

*Is the programme doing the right thing?*

- To what extent are the programme objectives and design responsive and consistent with beneficiaries, donors and implementing partners' needs, policies, and priorities?
- To what extent are the programme deliverables aligned with the priorities and policies of the recipient member states?
- How relevant has been the assistance provided towards preparatory works related to crafting enabling legislative frameworks and creating institutional arrangements?
- To what extent are the relevant Security Council resolution synchronized for effective delivery of the programme objectives?

**Coherence**

*How well does the intervention fit?*

- How effective are the synergies and interlinkages among implementing partners to support the delivery of programme outputs/outcomes?
- How effective are synergies with other ongoing programmes e.g., AIRCOP/TAM etc.
- To what extent is the programme partnering with other UN and non-UN entities (including private sector, CSO, Academia etc..) to implement strategic objectives beyond individual project entities

**Efficiency**

*The extent to which the intervention delivers, or is likely to deliver, results in an economic and timely way*

- How efficient are the management and accountability structures of the programme in terms of adherence to respective workplans and timelines in support of a coordinated approach and synergies in the delivery of out/puts and outcomes?
- Are the resources and inputs (funds, expertise, and time) being used to achieve outputs/outcomes in an efficient and timely manner?

- To what extent is the Accountability Framework negotiated and agreed by the principals of each Implementing Partner efficient in ensuring adherence to specific roles and responsibilities?

## Effectiveness

*Is the programme achieving its objectives?*

- To what extent has the programme achieved or is on its way to achieving the required outputs and outcomes in a timely manner to date?

- To what extent has the programme facilitated the development of roadmaps for implementation of effective API/PNR regimes in supported member states?

- To what extent has the programme achieved or is on its way to achieving the establishment of effective PIUs, including the improvement of national (with identified Competent Authorities) and international cooperation for effective API/PNR regimes?

- How effectively are the achieved outputs/outcomes contributing or likely to contribute to the attainment of the programme objectives including to the prevention, detection and/or investigation of terrorist offenses in nominal terms?

- How effectively has the programme management mitigated against risks/assumptions, adapted to unforeseen circumstances e.g., COVID, and other programme implementation delays?

## Sustainability

*Will the benefits last?*

- Based on the holistic approach followed by CT Travel and the fact that the programme targets the delivery of measurable outputs under each pillar, what requirements should be provided both by target member states and the programme to ensure sustainability of outcomes under each pillar?

## ***Human rights, gender equality, and leaving no one behind***

*Has the programme been inclusive and addressed human rights, gender equality*

- To what extent has the programme mainstreamed cross-cutting issues of gender equality and human rights into programme activities, including an assessment of the



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*vulnerable groups, including those with disabilities?*

*To which extent has the programme applied the UN human rights due diligence policy?*

extent to which stakeholders' women, men, vulnerable groups, including those with disabilities) have participated in the various capacity building activities in an active and meaningful manner, dignity of individuals including adherence to leaving no one behind principle.

- How has the UN human rights due diligence policy been implemented by the programme throughout coordination, country assessment and delivery of TA?

### Lessons learned and best practices

- What lessons, experiences and insights can be gained from the implementation of the programme since inception?

- Determine and identify problems that need to be addressed to successfully attain the programme objectives.

## IV. EVALUATION METHODOLOGY

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

The evaluation team present a summarized methodology (including an evaluation matrix) in the Inception Report outlining the evaluation criteria, indicators, sources of information and methods of data collection. The evaluation methodology must conform to the United Nations Evaluation Group (UNEG) Norms and Standards as well as the, UNOCT Evaluation Policy and UNODC Evaluation Policy, Norms and Standards. This evaluation follows the UNODC templates and guidelines for In-Depth Evaluations<sup>6</sup>.

While the evaluation team shall fine-tune the methodology for the evaluation in an Inception Report, a mixed-methods approach of qualitative and quantitative methods is mandatory due to its appropriateness to ensure a gender-sensitive, inclusive, respectful and participatory approach and methodology to capture disability and gender equality issues, as well as voices and opinions of both men, women and other marginalized groups, ensuring gender related and disaggregated data (e.g. age, sex, countries etc.). Special attention shall be paid to an unbiased and objective approach and the triangulation of sources, methods, data, and theories. The limitations to the evaluation need to be identified and discussed by the evaluation team in the Inception Report, e.g., data constraints (such as missing baseline and monitoring data). Potential limitations as well as the chosen mitigating measures should be discussed.

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The main elements of the evaluation process are the following:

- Preparation and submission of an Inception Report (containing a desk review summary, refined evaluation questions, data collection instruments, sampling strategy, limitations to the evaluation, and timetable) to the evaluation management group through Unite Evaluations (<https://evaluations.unodc.org>) for review and clearance at least one week before any field mission/data collection phase may take place (may entail several rounds of comments);
- Initial meetings and interviews with the Programme Management team and other staff as well as stakeholders during the Inception Phase and in preparation for the field mission/data collection phase;
- Interviews (face-to-face or by telephone/skype/Teams etc.), with the Programme Management team, other staff and key programme stakeholders and beneficiaries, both individually and (as appropriate) in focus groups, as well as using surveys/questionnaires or any other relevant quantitative and/or qualitative tools as a means to collect relevant data for the evaluation (respecting potential COVID-related restrictions on travel and in-person meetings);
- Analysis of all available information in a structured manner, ensuring that data is fully triangulated;
- Preparation of the draft evaluation report (based on the UNODC IDE Report template). The Evaluation Expert submits the draft report to evaluation management group only through Unite Evaluations for review and clearance (may entail several rounds of comments). A briefing on the preliminary findings and draft report with programme management will be organized for their review and comment. This will be based on discussion with evaluation management group and the programme management team.
- Preparation of the final evaluation report and a draft and final Evaluation Brief (2-pager) (based on the UNODC Evaluation Brief template) including full proofreading and editing, submission to evaluation management group through Unite Evaluations for review and clearance (may entail several rounds of comments). It further includes a PowerPoint presentation on final evaluation findings and recommendations;
- Presentation of final evaluation report with its findings and recommendations to the target audience, stakeholders etc. (in person or if necessary, through Skype/Teams etc.).
- In conducting the evaluation, the UNOCT, UNODC and the UNEG Evaluation Norms and Standards are to be taken into account.
- All tools, norms and templates to be mandatorily used in the evaluation process can be found on the IES website: <https://www.unodc.org/unodc/en/evaluation/guidelines-and-templates.html>

### V. TIMEFRAME AND DELIVERABLES

<b><i>Evaluation stage</i></b>	<b><i>Start date 7(dd/mm/yy)</i></b>	<b><i>End date (dd/mm/yy)</i></b>	<b><i>Subsumed tasks, roles</i></b>	<b><i>Guidance / Process description</i></b>
<b><i>Inception Report (3-5 weeks)</i></b>	<i>01/04/2022</i>	<i>30/04/2022</i>	<i>Draft IR; Review by Evaluation Management Group, Programme management team; Final IR (note: this is an internal document)</i>	<i>Includes 2 weeks for review by Evaluation Management Group and Programme Management Team</i>
<b><i>Data collection (incl. field missions)</i></b>	<i>09/05/2022</i>	<i>30/06/2022</i>	<i>Field missions; observation; interviews; etc.</i>	<i>Coordination of data collection dates and</i>

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<b>(2-6 weeks)</b>				<i>logistics with Programme management team.</i>
<b>Draft report (6-9 weeks)</b>	01/07/2022	29/08/2022	<i>Data analysis; Drafting of report; by evaluators</i>	<i>Includes 2 weeks for review by Evaluation Management Group, 1 week by Programme management team</i>
	29/08/2022	23/09/2022	<i>Review by Evaluation Management Group; review by PMs; revision of draft</i>	
<b>Draft report for CLP comments (2 weeks)</b>	30/09/2022	07/10/2022	<i>Compilation of comments by Evaluation Management Group</i>	<i>Comments will be shared by Evaluation Management Group with evaluators</i>
<b>Final report, Brief and PowerPoint slides (3-4 weeks)</b>	10/10-/2022	28/10/2022	<i>Revision by evaluation team; review/approval by Evaluation Management Group, UNOCT/UNODC; completion of MR and EFP by Programme management team</i>	<i>Evaluation report, Brief and slides are finalised. Includes 1 week for review by Evaluation management group and for Programme Management Team</i>
<b>Presentation (1 day)</b>	TBA	TBA	<i>Presentation organised</i>	<i>Date of presentation of results to be agreed with Programme management team.</i>

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

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### Absence of Conflict of Interest

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

### VI. EVALUATION TEAM COMPOSITION

The Evaluation team will be composed of three experts as presented in the table.

Role	Number of consultants <sup>9</sup> (national/international)	Specific expertise required <sup>10</sup>
Evaluation Expert	1 International	Evaluation methodology,
Substantive Expert	1 International	Expertise in Border Security Management
Human Rights and Gender expert	1 International	Evaluation, human rights, gender equality and disability issues

### VII. MANAGEMENT OF THE EVALUATION PROCESS

The evaluation will be overseen and supervised by the Evaluation Management Group and will be supported by the Programme management team, and the Core Learning Group. Under the co-leadership of UNOCT and UNODC, the evaluation management group will comprise evaluation personnel from UNODC, CTED, OICT and INTERPOL as necessary – in line with the requirements of the UNEG Norms and Standards and to avoid a potential or perceived conflict of interest, personnel participating in this group must not have been part of the CT Programme implementation and must be independent from this Programme. The programme management team will comprise project personnel from implementing partners. A Core Learning Group will be identified and selected by the programme management team. The Core Learning Group will consist of key partners, donors, and other relevant stakeholders who will be involved at appropriate stages during the evaluation process. The mid-term evaluation will utilize the UNODC's Unite Evaluation system and other templates as necessary to manage the evaluation effectively. The following section present specific roles and responsibilities for the Programme management team and the Evaluation Management Group.

#### Roles and Responsibilities

##### Programme Management team:

- contribute to and provide information for drafting and finalizing the ToRs;
- identifying stakeholders and selecting Core Learning Partners (representing a balance of men, women and other marginalised groups);
- UNOCT programme management will recruit the evaluation team following clearance by Evaluation Management Group, ensuring issued contracts ahead of the start of the evaluation process in line with the cleared ToR. In case of any delay, Evaluation Management Group and the evaluation team are to be immediately notified.
- compiling and providing desk review materials (including data and information on men, women and other marginalised groups) to the evaluation team;
- reviewing the draft report and draft Evaluation Brief for factual errors;
- completing the Management Response (MR) and the Evaluation Follow-up Plan (EFP) for usage of the evaluation results;
- facilitating the presentation of final evaluation results;

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- disseminating the final evaluation report and Evaluation Brief and communicating evaluation results to relevant stakeholders;
- recording of the status of the implementation of the evaluation recommendations in United Evaluations using the EFP template.

The Programme management team will be **providing logistical support** to the evaluation team including arranging the field missions of the evaluation team, including but not limited to:

- All logistical arrangements for the travel/data collection phase including travel details; DSA-payments; transportation; etc.);
- All logistical arrangement for the meetings/interviews/focus groups/etc., (respecting potential COVID-related restrictions on travel and in-person meetings), ensuring interview partners adequately represent men, women and other marginalised groups and arrangements for the presentation of the evaluation results;
- Ensure timely payment of all fees/DSA/etc. (payments for the evaluation team must be released within 5 working days after the respective deliverable is cleared by Evaluation Management Group).

### **Evaluation Management Group:**

- provides mandatory normative tools, guidelines, and templates to be used in the evaluation process<sup>11</sup>.
- provide guidance, supervise and provide quality assurance, as well as interacts with the programme managers and the evaluation team throughout the evaluation process.
- provide advice on the evaluation process, timeline, approach, etc. as necessary at any point throughout the evaluation process with possible recommendations for possible changes, including changes to the evaluation process.
- review, comments on and clears all steps and deliverables during the evaluation process: Terms of Reference; Selection of the evaluation team, Inception Report; Draft Evaluation Report; Final Evaluation Report, Evaluation Brief and PowerPoint slides on the final evaluation results; Evaluation Follow-up Plan.
- publish the final evaluation report and the Evaluation Brief on the UNODC and UNOCT websites, as well as send the final evaluation report to an external evaluation quality assurance provider as necessary.

### **Core Learning Partners:**

- review and provide comments on the draft ToRs.
- participate in the data collection for the evaluation by being available for interviews, surveys, etc. as feasible.
- review the final draft evaluation report and provide comments to the evaluation team through the evaluation management group for consideration.
- contribute to the dissemination of the final evaluation report and Evaluation Brief.
- contribute, as feasible, to the process leading to a Management Response and Evaluation Follow-up Plan for usage of the evaluation results.

## VIII. PAYMENT MODALITIES

The evaluation team will be issued consultancy contracts and paid in accordance with UN rules and regulations. The payment will be made by deliverable and only once approved and cleared by Evaluation Management Group, and deliverables which do not meet UNOCT, UNODC and UNEG evaluation norms and standards will not be cleared for payment.

The Evaluation and Compliance Officer will be responsible to request payments to be released in relation to the evaluation.

# ANNEX II: EVALUATION TOOLS: QUESTIONNAIRES AND INTERVIEW GUIDES

## Semi-structured interview guides

The United Nations Office of Counter-Terrorism (UNOCT), in cooperation and collaboration with donors and project partners, is undertaking an independent mid-term evaluation (MTE) following United Nations Evaluation Group (UNEG) norms and standards, of the 'UN Countering Terrorist Travel Programme'. The evaluation is being carried out by a team of external independent evaluators, consisting of an Evaluation Expert (Mr. Peter Allan), a Substantive Expert on Border Management (Ms. Chantelle Cullis), and a Human Rights and Gender expert (Mr. Saeed Ullah Khan).

The aim of the evaluation is to derive recommendations, best practices and lessons learned, whilst also identifying areas of improvement, getting feedback, and recording achievements reached during programme implementation. It will provide findings and recommendations to help programme managers in all implementing partner entities, and stakeholders identify and understand successes to date, identify problems that need to be addressed, thus informing future decision taking.

As a stakeholder to the programme your views are very important to this evaluation. To this effect, the independent evaluation team would appreciate the opportunity to interview you to gather your thoughts on the programme. If you are willing to participate, we will reach out to you shortly to arrange a day and time that suits your calendar.

**Confidentiality:** The interview is entirely confidential with all information received being aggregated and anonymised. No individual will be quoted nor will the organization they represent be identified. All information supplied will be deleted upon final clearance of the report.

## UNOCT QUESTIONS

- Q1. On a scale of 1 to 5 where 1 is irrelevant and 5 is fully relevant, how relevant is the programme to i) Member States, ii) beneficiaries, and iii) donors?
- Q2. What is the rationale behind the Accountability Framework and how well does it work?
- Q3. How could the effectiveness of the project be increased/improved?
- Q4. Has the programme contributed to legislative or policy change? If so, how was this achieved?
- Q5. Is there evidence of programme promoted enhanced inter-agency coordination? Examples?
- Q6. In your opinion, how well did the programme take into account the dimensions of human rights and gender mainstreaming during the design and implementation phase?
- Q7. In your opinion, how well have the various capacity building activities undertaken during the implementation of programme engaged men, women, and vulnerable groups (including those with disabilities) in an active and meaningful manner?
- Q8. What, in your view, are the key elements needed to ensure programme sustainability?
- Q9. Do you believe the programme has been successful or not? Why?
- Q10. What is the most significant change you have seen as a direct result of this programme?

## IMPLEMENTING PARTNER (CTED, ICAO, INTERPOL, OICT, and UNODC) QUESTIONS

- Q1. On a scale of 1 to 5 where 1 is irrelevant and 5 is fully relevant, how relevant is the programme to your needs?
- Q2. What coordination and communication structures/procedures are in place between yourselves and the PMT? Are they satisfactory? How could they be improved?

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- Q3. How effective is the programme at promoting and helping to facilitate inter-pillar coordination?
- Q4. What is your understanding of the rationale behind the Accountability Framework and how well does it work?
- Q5. What challenges have you faced in delivering activities and achieving outcomes?
- Q6. In your opinion, how well did the programme take into account the dimensions of human rights and gender mainstreaming during the design and implementation phase?
- Q7. In your opinion, how well have the various capacity building activities undertaken during the implementation of programme engaged men, women and vulnerable groups (including those with disabilities) in an active and meaningful manner?
- Q8. What, in your view, are the key elements needed to ensure programme sustainability?
- Q9. What is the most significant change you have seen as a direct result of this programme?

### DONOR QUESTIONS

- Q1. On a scale of 1 to 5 where 1 is irrelevant and 5 is fully relevant, how relevant is the programme to your country?
- Q2. How satisfied are you at quality of reporting you receive from the programme?
- Q3. How well does the programme respond to your needs and priorities as a donor?
- Q4. Are there any changes the programme could make to make to encourage you to provide more i) soft-earmarked and, ii) longer-term funding?
- Q5. How likely is it you will continue funding past December 2023?
- Q6. In your opinion, what measures has the programme has taken to ensure the capacity building activities are inclusive, for example engaging men, women and vulnerable groups (including those with disabilities)? Please elaborate on these measures. Give examples, if possible.
- Q7. What tangible results you would expect from the HRGE perspective from the programme?
- Q8. What, in your view, are the key elements needed to ensure programme sustainability?
- Q9. What is the most significant change you have seen as a direct result of this programme?

### BENEFICIARY including MEMBER STATES QUESTIONS

- Q1. On a scale of 1 to 5 where 1 is irrelevant and 5 is fully relevant, how well did the programme meet your needs?
- Q2. In your view, what are the key needs and priorities – nationally and regionally – that this programme is designed to address? Is the programme missing key needs?
- Q3. To what extent is the programme effective in strengthening and promoting cooperation and collaboration with national and international entities?
- Q4. How effective has the programme been in meeting your own / organisational / country needs?
- Q5. Has the programme been operated efficiently?
- Q6. In your opinion has the type of assistance provided by the programme been effective?
- Q7. In your opinion, how well did the programme take into account the dimensions of human rights and gender mainstreaming during the design and implementation phase?
- Q8. In your opinion, how well did the UN software solution take the domains of human rights and gender mainstreaming into consideration? If yes, how? Kindly give examples. If no, why this is not the case.
- Q9. What, in your view, are the key elements needed to ensure programme sustainability?
- Q10. From your experience working with the programme, can you think of any lessons to be learned that would improve its performance, results, and effectiveness in the future? Is there any good practice that should be replicated?
- Q11. What is the most significant change you have seen as a direct result of this programme?



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**OTHER PARTNER (CSOs, IOs, Academia) QUESTIONS**

- Q1. On a scale of 1 to 5 where 1 is irrelevant and 5 is fully relevant, how relevant is the programme to your organisation?
- Q2. What coordination and communication structures/procedures are in place between yourselves and the programme? Are they satisfactory? How could they be improved?
- Q3. How might the programme better leverage and integrate your expertise?
- Q4. In your opinion, how well is the programme taking into account the dimensions of human rights and gender mainstreaming?
- Q5. How might the programme take into consideration HRGE in future phases?
- Q6. What, in your view, are the key elements needed to ensure programme sustainability?
- Q7. What is the most significant change you have seen as a direct result of this programme?

**FOR ONLINE SURVEY QUESTIONS AND ANSWERS SEE ANNEX V**

## ANNEX III: DESK REVIEW LIST

### PROGRAMME DOCUMENTS

Document – name	Comments, if applicable
UNCCT Project Concept Note _ API and PNR_05.06.2018	
200810 PRB02 LONG Gender Mainstreaming	
200827 CTPP Prodoc Revised	
CTTP Structure_ Deliniation of Responsibilities 2021	
CTTP Team_ Updated Roles 2022	
OCT-21-00232 NCEs 3 projects	
220530_ Letter to Australia_ NCE CT travel Programme	
UN-EU CT Travel Partnership Progress Report 2021	
200820 PRB02 CTPP Human Rights Mainstreaming	
200820 PRB02 CTPP Gender Mainstreaming	
goTravel Fundraising Strategy Document - 003	
CT Travel Programme 2022 Q1 Newsletter Summary - AA	
2019.05.28 - Report on the CCT Initiative to Strengthen Border Security and Information Sharing - FINAL DRAFT	
Request for adjustment of workplan_ NCE - CTPP_ Japan_ clean (004)	
UNOCT-OICT fundraising (internal food-for-thought paper)	
Annex VIII - Description of Outcomes and Activities	
CORRECT_ TRAI Training courses	Entire folder
CORRECT_ TRNG Training material	Entire folder
PRO DOCS 2020/2021	
Annual Reports 2019, 2020, and 2021	
All Quarterly Management Reporting	
All Quarterly All Donor Reporting	
Individual donor reports including annual donor reports	
200108 DON00 Cost Plan 2020	
CTTP Cost Plan for 2022	
Donor Agreements (Australia, EU, Germany, India, Japan, Netherlands, Qatar, and US)	
v.4 UN Countering Terrorist Travel Programme Flow Chart - ProDoc Methodology	
2021 CTTS Org Chart	
220615 PRB03 Programme Management Organizational Chart	
Partner Agreements (CTED, ICAO, INTERPOL, OICT, and UNODC)	
Gender Mainstreaming Guidelines for UNOCT Projects	
210930 PRB03 Cost Plan 2021 2023 final	
210930 PRB03 CTPP Programme Document	
210930 PRB03 CTPP Briefing Note for PRB members	
PLAN01a PAP signed 2020	
PLAN01d CT Travel 2021 Plan Endorsed	
UNOV/UNODC's Strategy for Gender Equality and the Empowerment of Women (2018-2021)	
Gender-Responsive Evaluations in the Work of UNODC (2018)	
UNODC Gender Guidance for Project Managers and Evaluators	
UNODC evaluation guidelines, templates, handbook, policy	

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Evaluation Inception Report Template	
UNEG: Integrating human rights and gender equality in evaluations	
UNEG Norms and Standards for Evaluation (2016)	
UNEG Ethical Guidelines for Evaluation (2020)	
Roadmap for Implementation UN CT Travel Programme API-PNR	
CTTP- Updated Gantt chart for the Philippines Sep 2022	
Agenda and minutes for Programme Management Team meetings	
Agenda and minutes for Steering Committee meetings	
Overview of programme implementation status per country	
Any pre-programme documentation on Theory of Change or intervention logic i.e. the rationale behind 'the pillar' approach.	

## EXTERNAL DOCUMENTS

Document – name	Comments, if applicable
UNODC Strategy 2021-2025	
CTED Impact of the Covid-19 pandemic on terrorism, counter-terrorism and countering extreme violence.	
CTED and its cooperation with ICAO on travel document security	
5th OSCE-wide PDE Outcome Document	
The EU PNR Directive on the use of PNR data April 2016	
EC Gender-sensitive responses to returnees from foreign terrorist organisations: insights for practitioners	
PI briefing on the UN CT travel programme	

## ANNEX IV: STAKEHOLDERS CONTACTED DURING THE EVALUATION

Number of stakeholders	Type of stakeholder (see note below)	Sex disaggregated data
5	UNOCT	Male: 3 Female: 2
11	Implementing Partner	Male: 9 Female: 4
13	Beneficiary	Male: 13 Female: 5
3	Donor	Male: 1 Female: 2
1	Other (CSO, NGO, RO, IO, Academia)	Male: 1 Female: 0
Total: 40		Male: 27 Female: 13
Stakeholder groups as determined during the Inception Report phase.		

### STAKEHOLDERS PARTICIPATING IN SURVEYS OR OTHER FORMS OF WRITTEN FEEDBACK

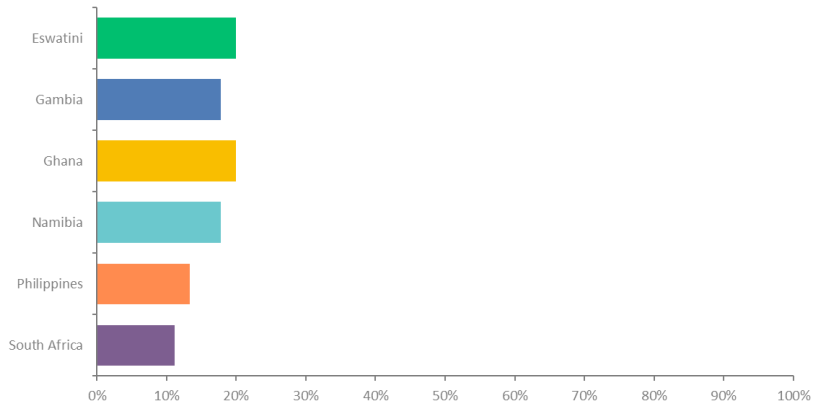
Type of stakeholder	Number of responses	Sex disaggregated data
Beneficiary – Training and Workshop participants 180 participants were contacted giving a 25% response rate.	45	Male: 30 Female: 14 Non-binary: 1

Note: There may be stakeholders interviewed and the same individuals may also have replied to surveys, which cannot be tracked to ensure confidentiality and anonymity. Therefore, these numbers cannot be combined.

# ANNEX V: SURVEY RESULTS

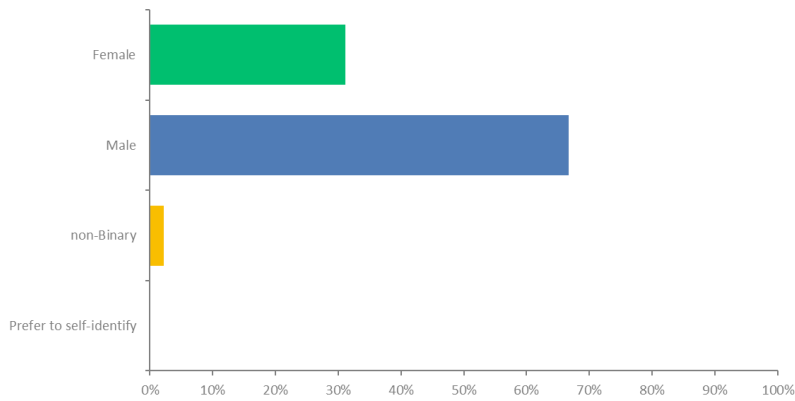
## Q1: What Member State do you represent?

Answered: 45 Skipped: 0



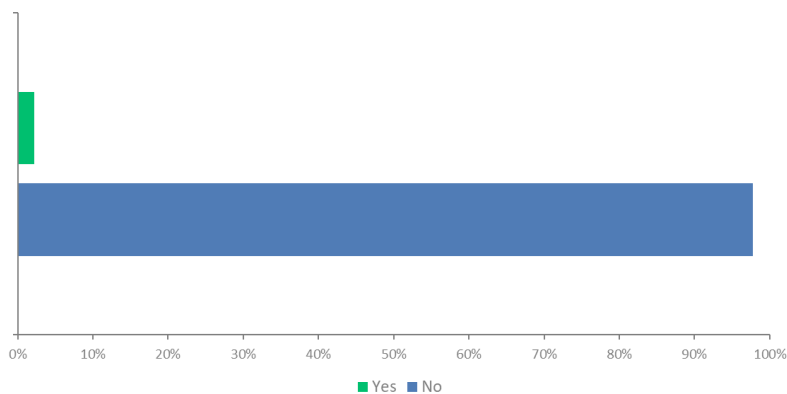
## Q2: With what gender do you identify?

Answered: 45 Skipped: 0



## Q3: Do you identify as someone who has special needs or a disability?

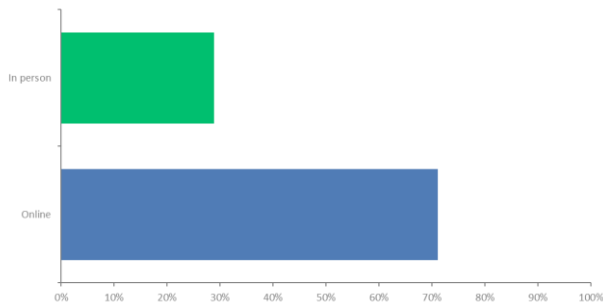
Answered: 45 Skipped: 0



# MID-TERM INDEPENDENT JOINT EVALUATION OF THE UNITED NATIONS COUNTERING TERRORIST TRAVEL PROGRAMME

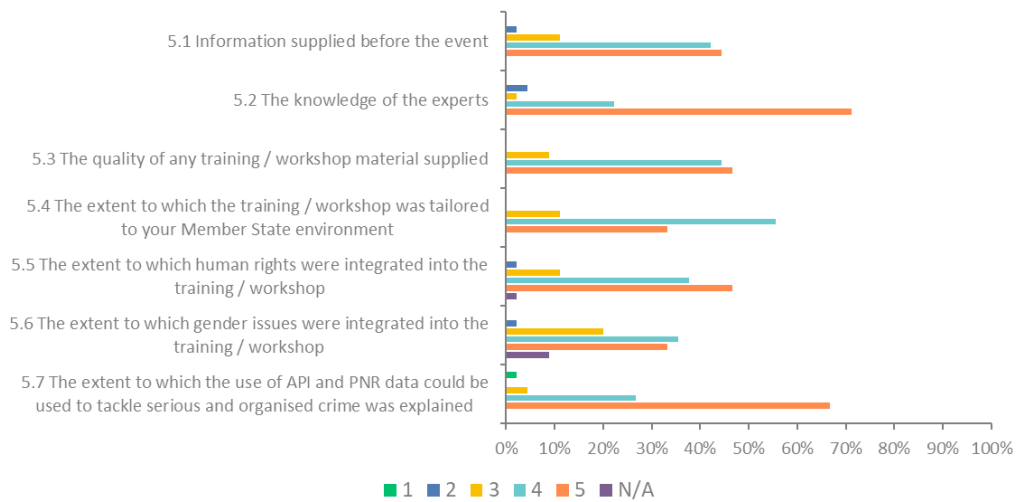
## Q4: How did you attend the training?

Answered: 45 Skipped: 0



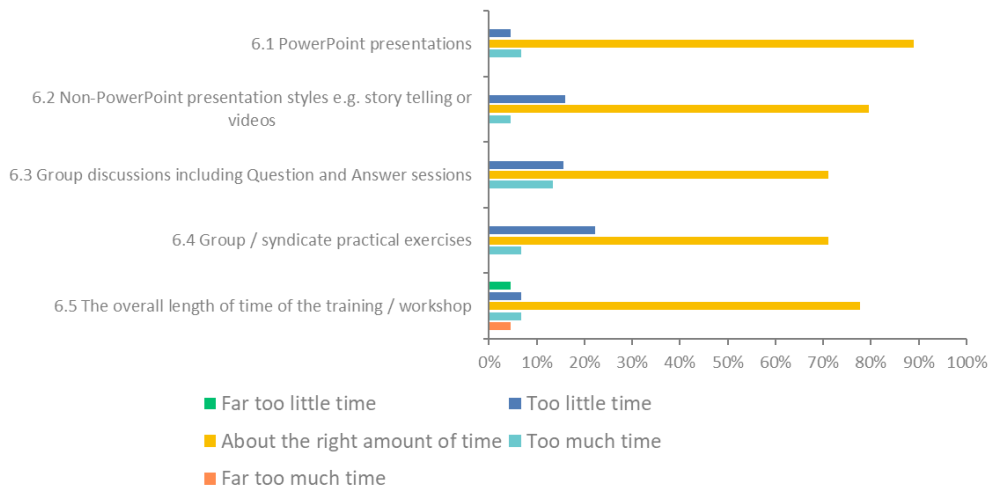
## Q5: How would you assess the following aspects of the training / workshop. Please rate from 1 (poor) to 5 (excellent)

Answered: 45 Skipped: 0



## Q6: How would you assess the amount of time spent on each of the following aspects of the training / workshop.

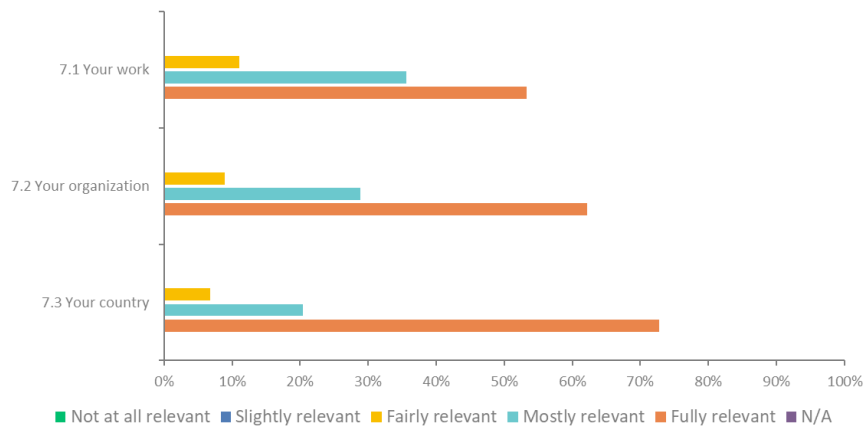
Answered: 45 Skipped: 0



# MID-TERM INDEPENDENT JOINT EVALUATION OF THE UNITED NATIONS COUNTERING TERRORIST TRAVEL PROGRAMME

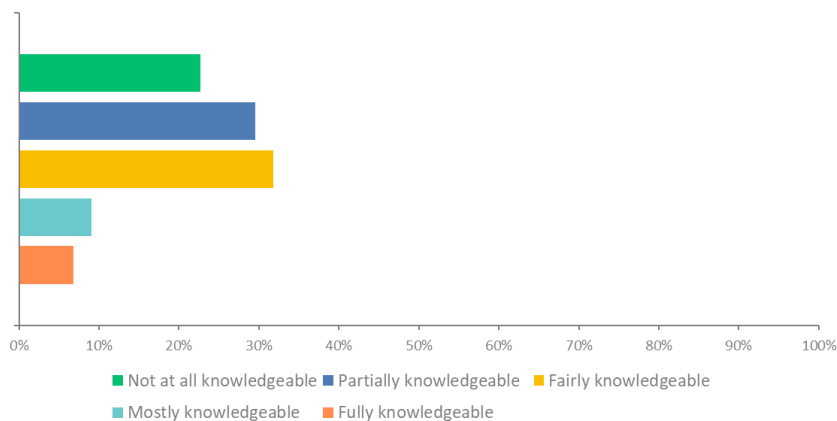
## Q7: How relevant did you find the training / workshop in terms of:

Answered: 45 Skipped: 0



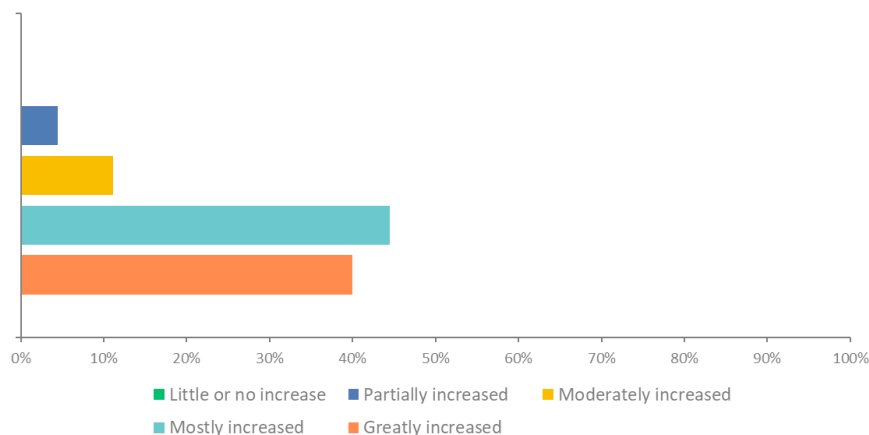
## Q8: Prior to attending the training / workshop how would you have described your knowledge on API and PNR?

Answered: 44 Skipped: 1



## Q9: After attending the training / workshop to what extent had your knowledge increased?

Answered: 45 Skipped: 0



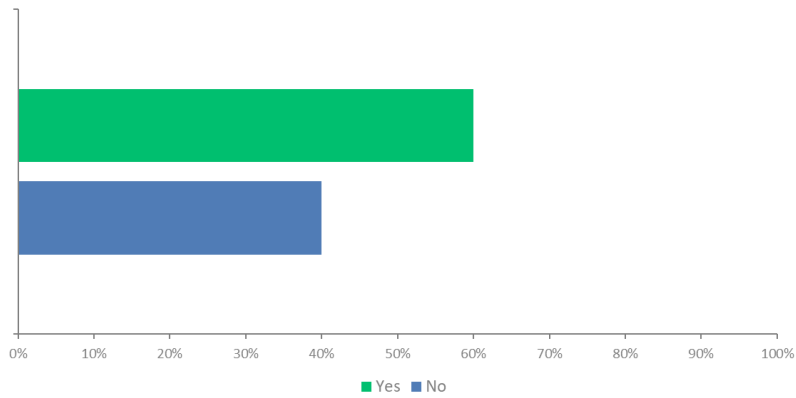


MID-TERM INDEPENDENT JOINT EVALUATION OF  
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**Q10: Since attending the training / workshop have you had the opportunity to use the knowledge you gained?**

Answered: 45 Skipped: 0



## Additional Analysis

Gender	No of respondents	Percentage
Male	30	66.7%
Female	14	31.1%
Non-Binary	1	2.2%
Total	45	100%

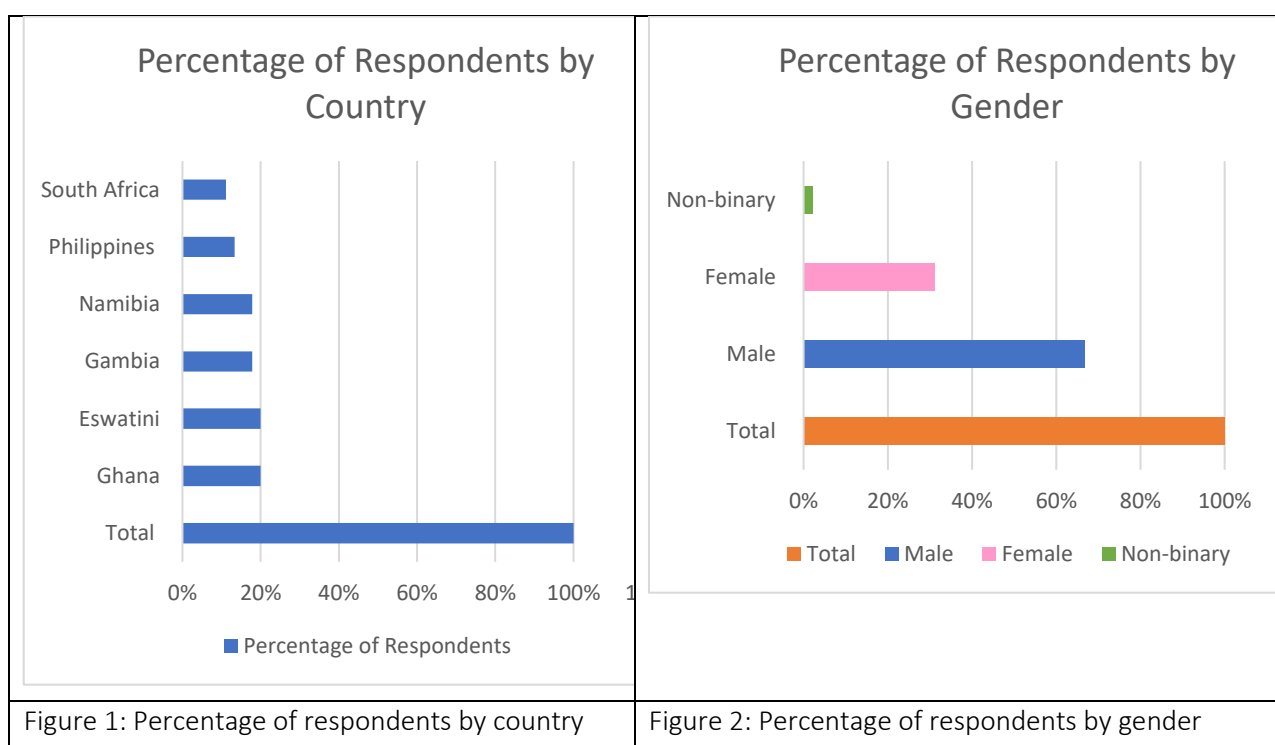


Figure 1: Percentage of respondents by country

Figure 2: Percentage of respondents by gender

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Mode of training	No of respondents	Percentage
Online	32	71.1%
Inperson	13	28.9%
Total	45	100%

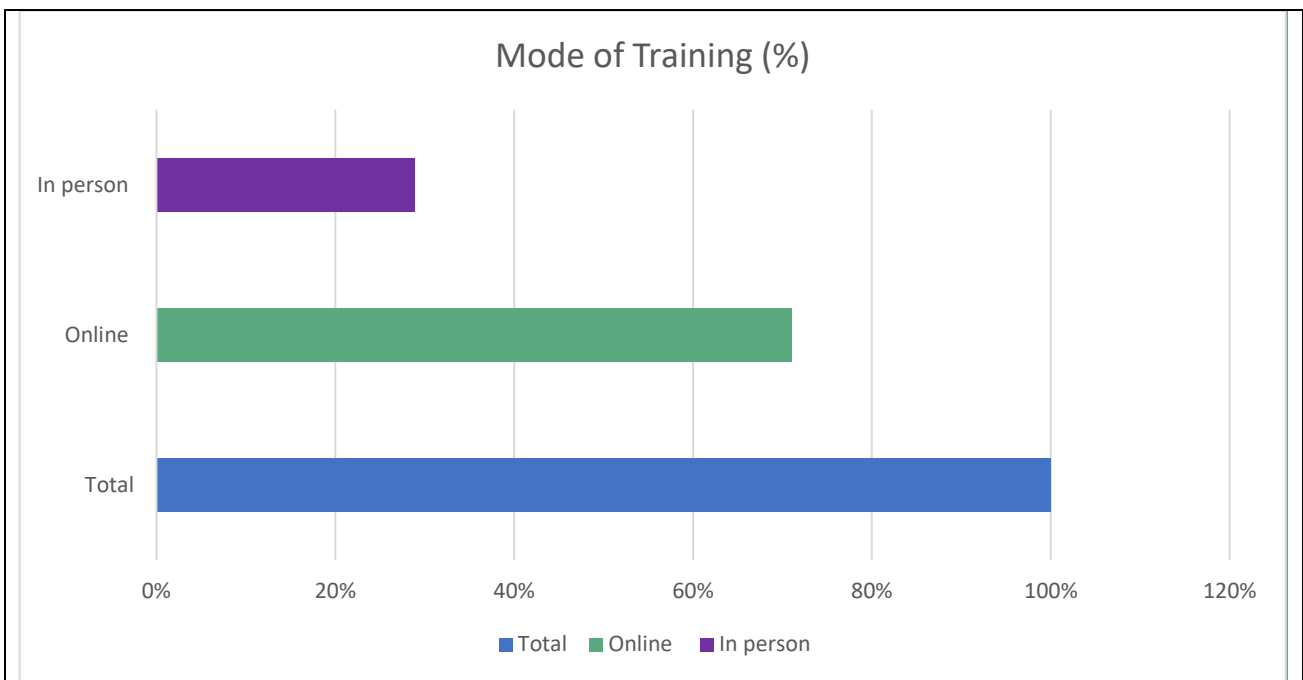


Figure 3: Respondents reporting mode of training (%)

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Q5. How would you assess the following aspects of the training /workshop? Please rate from 1 (poor) to 5 (excellent)?

5.1 Information supplied before the event	Respondents	Percentage
Poor (1)	0	0%
Fair (2)	1	2.2%
Good (3)	5	11.1%
Very Good (4)	19	42.2%
Excellent (5)	20	44.4%
Total Respondents	45	100%

5.2 The knowledge of the experts	Respondents	Percentage
Poor (1)	0	0%
Fair (2)	2	4.4%
Good (3)	1	2.2%
Very Good (4)	10	22.2%
Excellent (5)	32	71.1%
Total Respondents	45	100%

5.3 The quality of any training / workshop material supplied	Respondents	Percentage
Poor (1)	0	0%
Fair (2)	0	0%
Good (3)	4	8.9%
Very Good (4)	20	44.4%
Excellent (5)	21	46.7%
Total Respondents	45	100%

5.4 The extent to which the training / workshop was tailored to your Member State environment	Respondents	Percentage
Poor (1)	0	0%
Fair (2)	0	0%
Good (3)	5	11.1%
Very Good (4)	25	55.6%
Excellent (5)	15	33.3%

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Total Respondents	45	100%
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5.5 The extent to which human rights were integrated into the training / workshop	Respondents	Percentage
Poor (1)	0	0%
Fair (2)	1	2.2%
Good (3)	5	11.1%
Very Good (4)	17	37.8%
Excellent (5)	21	46.7%
N/A	1	2.2%
Total Respondents	45	100%

5.6 The extent to which gender issues were integrated into the training / workshop	Respondents	Percentage
Poor (1)	0	0%
Fair (2)	1	2.2%
Good (3)	9	20%
Very Good (4)	16	35.6%
Excellent (5)	15	33.3%
N/A	4	8.9%
Total Respondents	45	100%

5.7 The extent to which the use of API and PNR data could be used to tackle serious and organised crime was explained	Respondents	Percentage
Poor (1)	1	2.2%
Fair (2)	0	0%
Good (3)	2	4.4%
Very Good (4)	12	26.7%
Excellent (5)	30	66.7%
Total Respondents	45	100%

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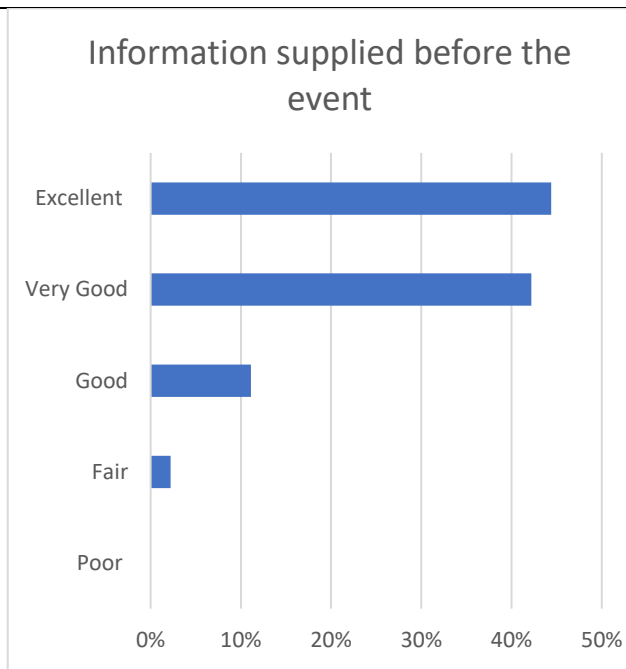


Figure 4: Respondents rating the information supplied before the event.



Figure 5: Respondents rating the knowledge of experts

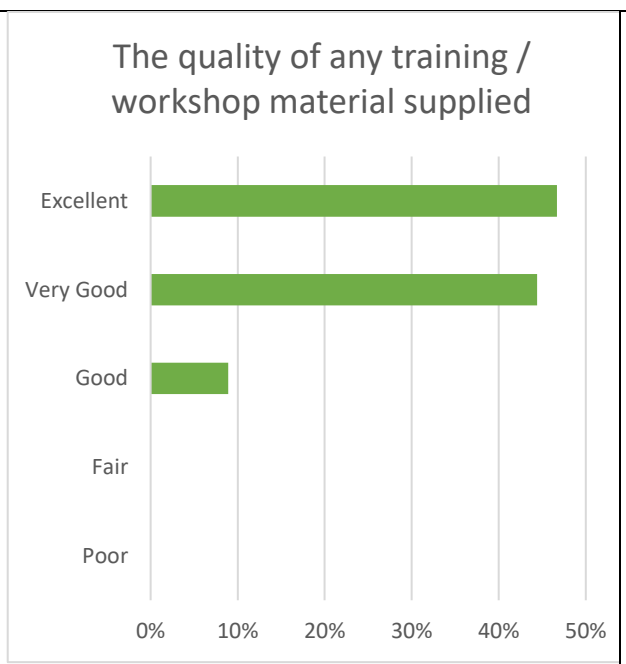


Figure 6: Respondents rating the quality of any training / workshop material supplied



Figure 7: Respondents rating the extent to which the training / workshop was tailored to your Member State environment

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Figure 8: Respondents rating the extent to which human rights were integrated into the training / workshop.

Figure 9: Respondents rating the extent to which gender issues were integrated into the training / workshop

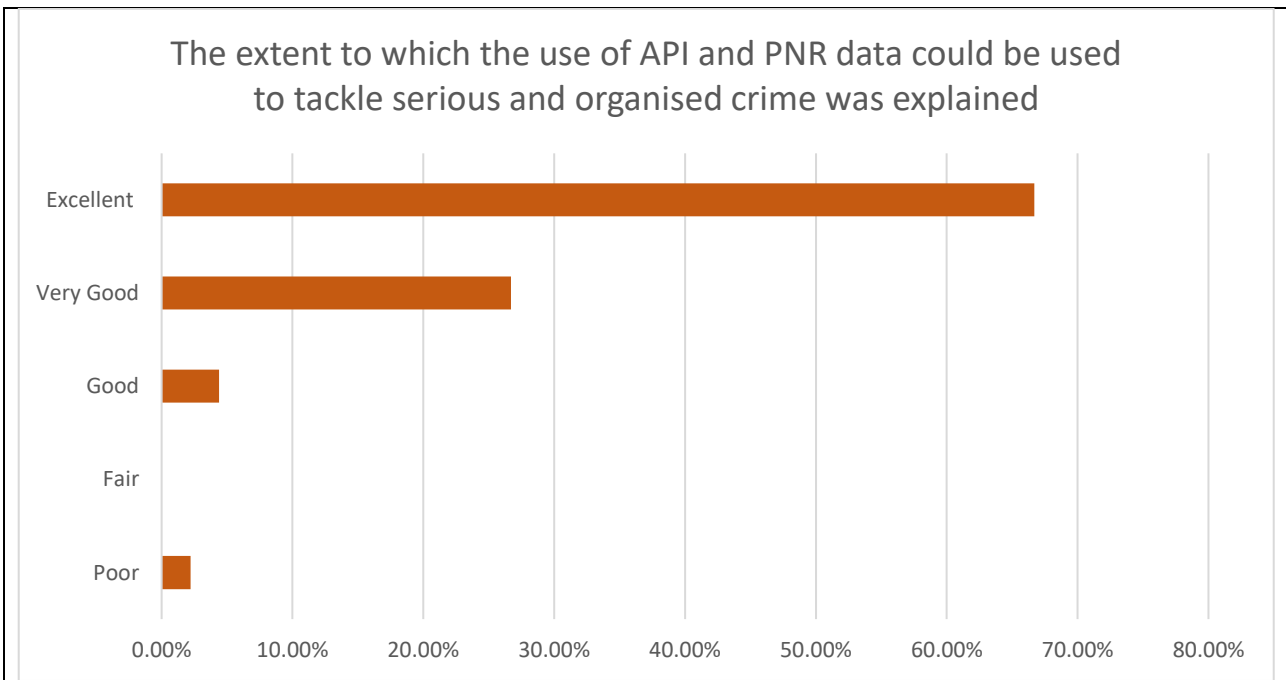


Figure 10: Respondents rating the extent to which the use of API and PNR data could be used to tackle serious and organised crime was explained

Q6. How would you assess the amount of time spent on each of the following aspects of the training / workshop.

6.1 PowerPoint presentations	Number of respondents	Percentage
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Far too little time	0	0%
Too little time	2	4.4%
About the right amount of time	40	88.9%
Too much time	3	6.7%
Far too much time	0	0%
Total	45	100%

6.2 non-PowerPoint presentation styles e.g., story telling or videos	Number of respondents	Percentage
Far too little time	0	0%
Too little time	7	15.6%
About the right amount of time	36	80%
Too much time	2	4.4%
Far too much time	0	0%
Total	45	100%

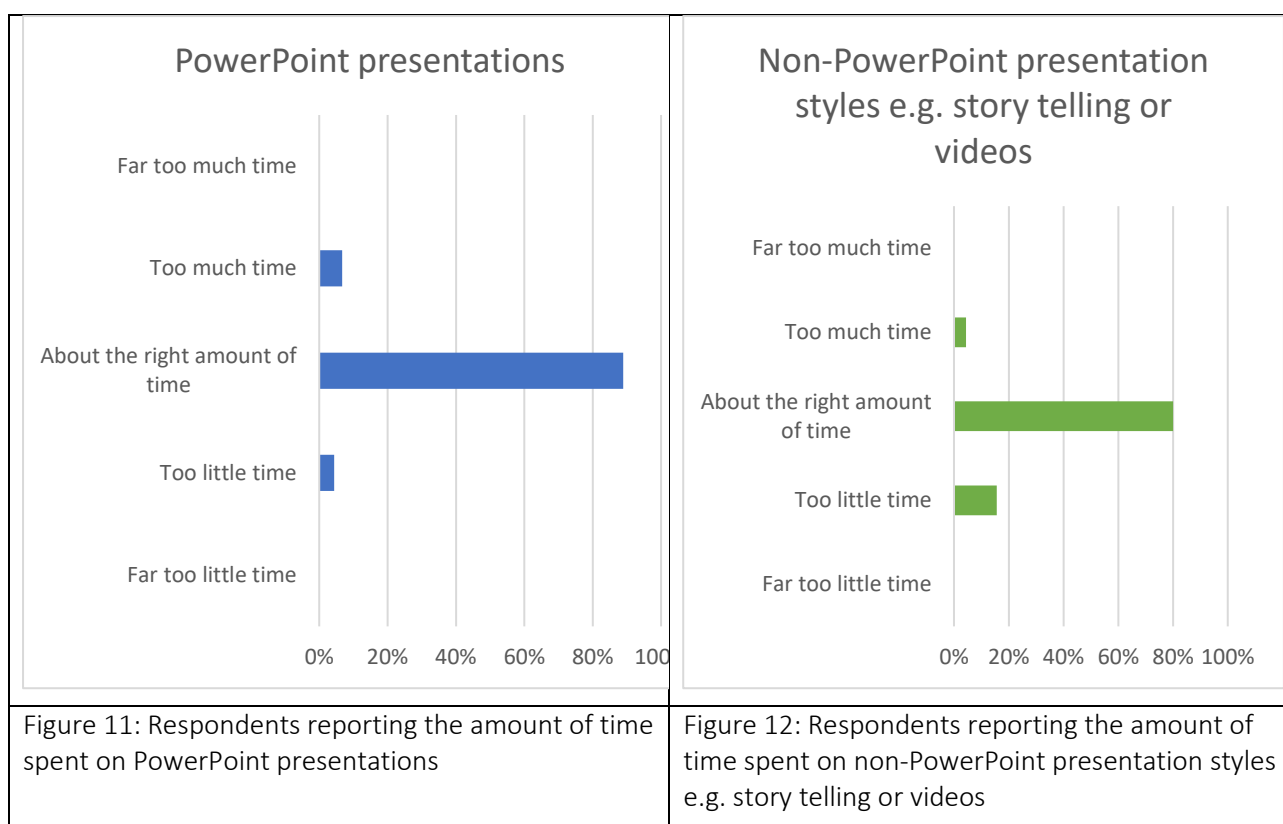
6.3 Group discussions including Question and Answer sessions	Number of respondents	Percentage
Far too little time	0	0%
Too little time	7	15.6%
About the right amount of time	32	71.1%
Too much time	6	13.3%
Far too much time	0	0%
Total	45	100%

6.4 Group / syndicate practical exercises	Number of respondents	Percentage
Far too little time	0	0%
Too little time	10	22.2%
About the right amount of time	32	71.1%
Too much time	3	6.7%
Far too much time	0	0%
Total	45	100%



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6.5 The overall length of time of the training / workshop	Number of respondents	Percentage
Far too little time	2	4.4%
Too little time	3	6.7%
About the right amount of time	35	77.8%
Too much time	3	6.7%
Far too much time	2	4.4%
Total	45	100%



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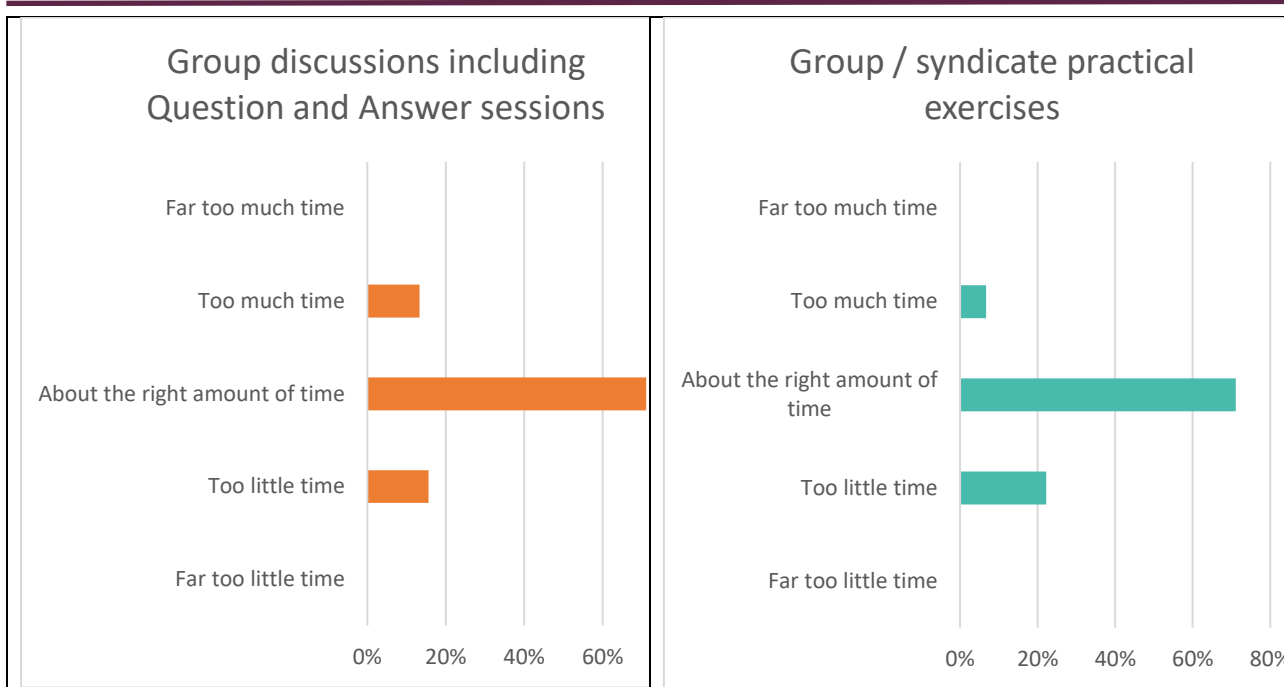


Figure 13: Respondents reporting the amount of time spent on group discussions including question and answer sessions

Figure 14: Respondents reporting the amount of time spent on group / syndicate practical exercises

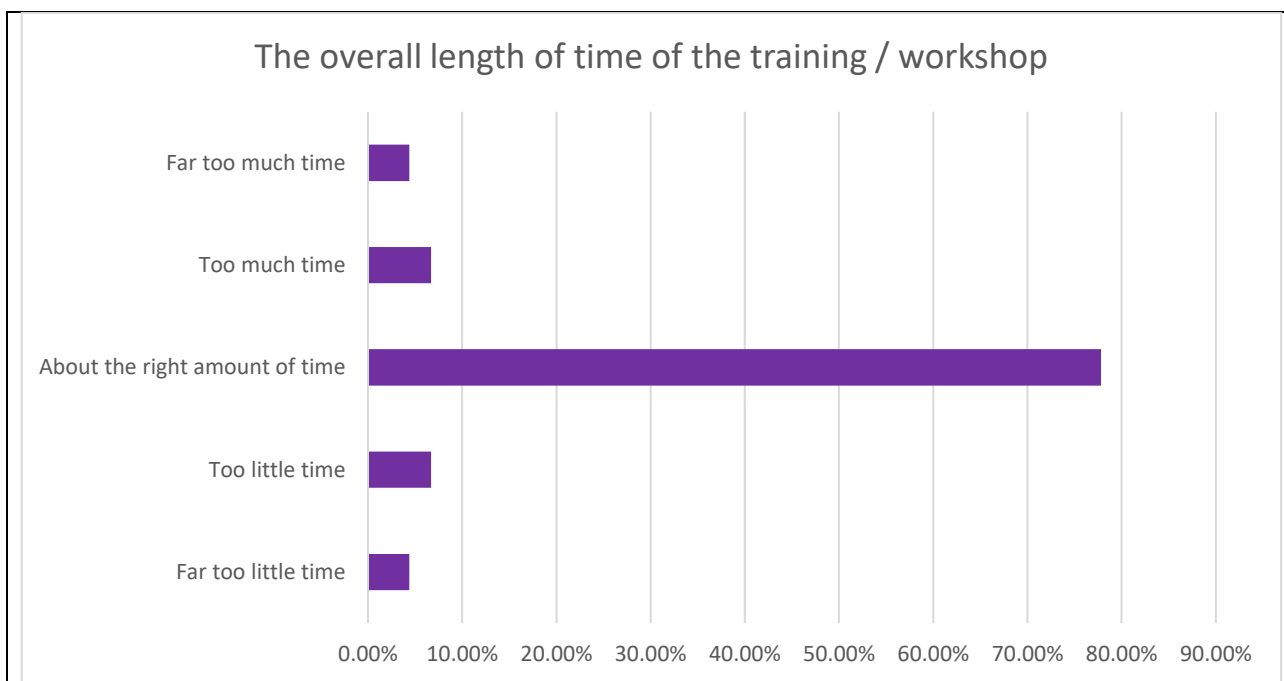


Figure 15: Respondents reporting the overall length of time of the training / workshop

Q7. How relevant did you find the training / workshop in terms of:

7.1 Your work	Number of respondents	Percentage
Not at all relevant	0	0%
Partially relevant	0	0%

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Fairly relevant	5	11.1%
Mostly relevant	16	35.6%
Fully relevant	24	53.3%
Total	45	100%

7.2 Your organization	Number of respondents	Percentage
Not at all relevant	0	0%
Partially relevant	0	0%
Fairly relevant	4	8.9%
Mostly relevant	13	28.9%
Fully relevant	28	62.2%
Total	45	100%

7.3 Your country	Number of respondents	Percentage
Not at all relevant	0	0%
Partially relevant	0	0%
Fairly relevant	3	6.7%
Mostly relevant	9	20%
Fully relevant	33	73.3%
Total	45	100%

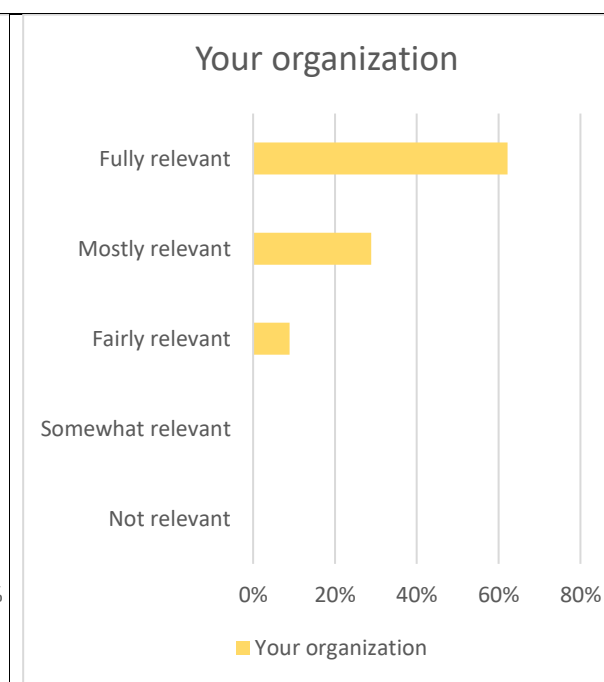
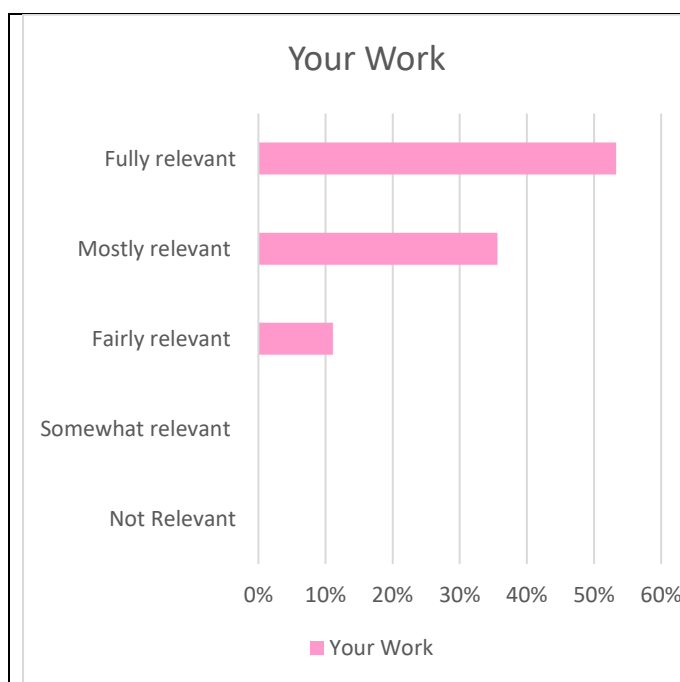


Figure 16: Respondents reporting the relevance of their work

Figure 17: Respondents reporting the relevance of their organization

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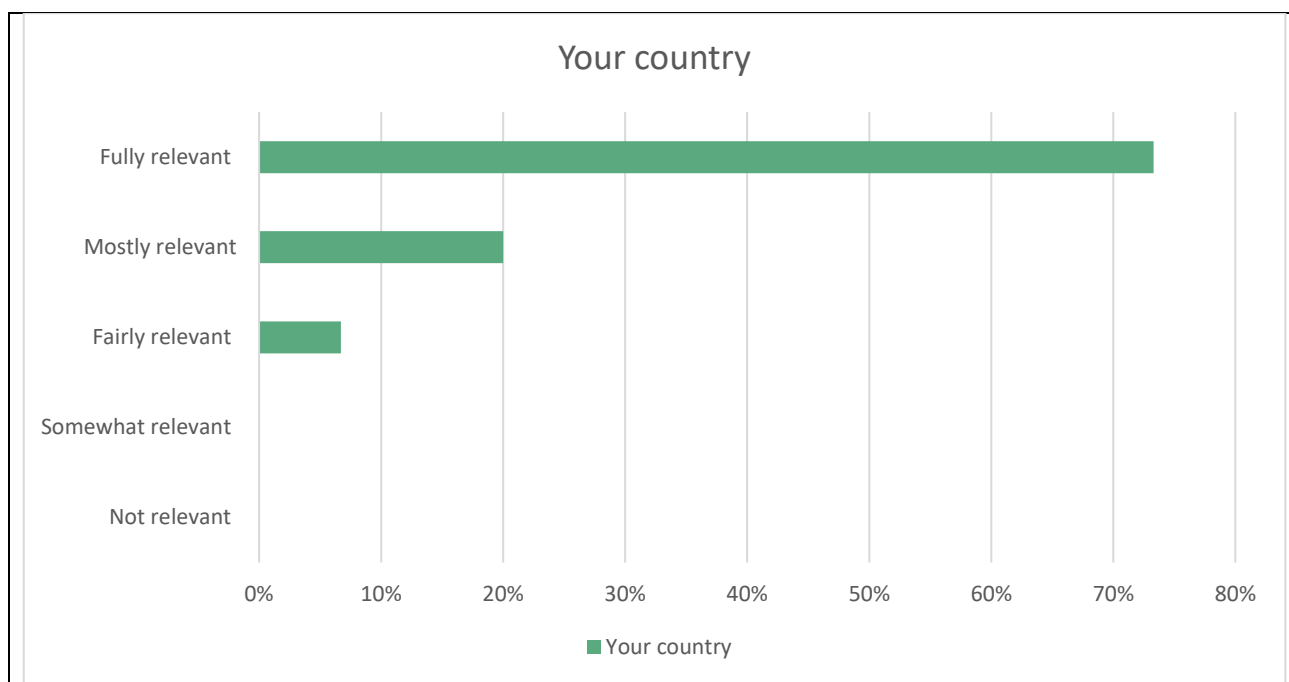


Figure 18: Respondents reporting the relevance of their country

Q8 Prior to attending the training / workshop how would you have described your knowledge on API and PNR?

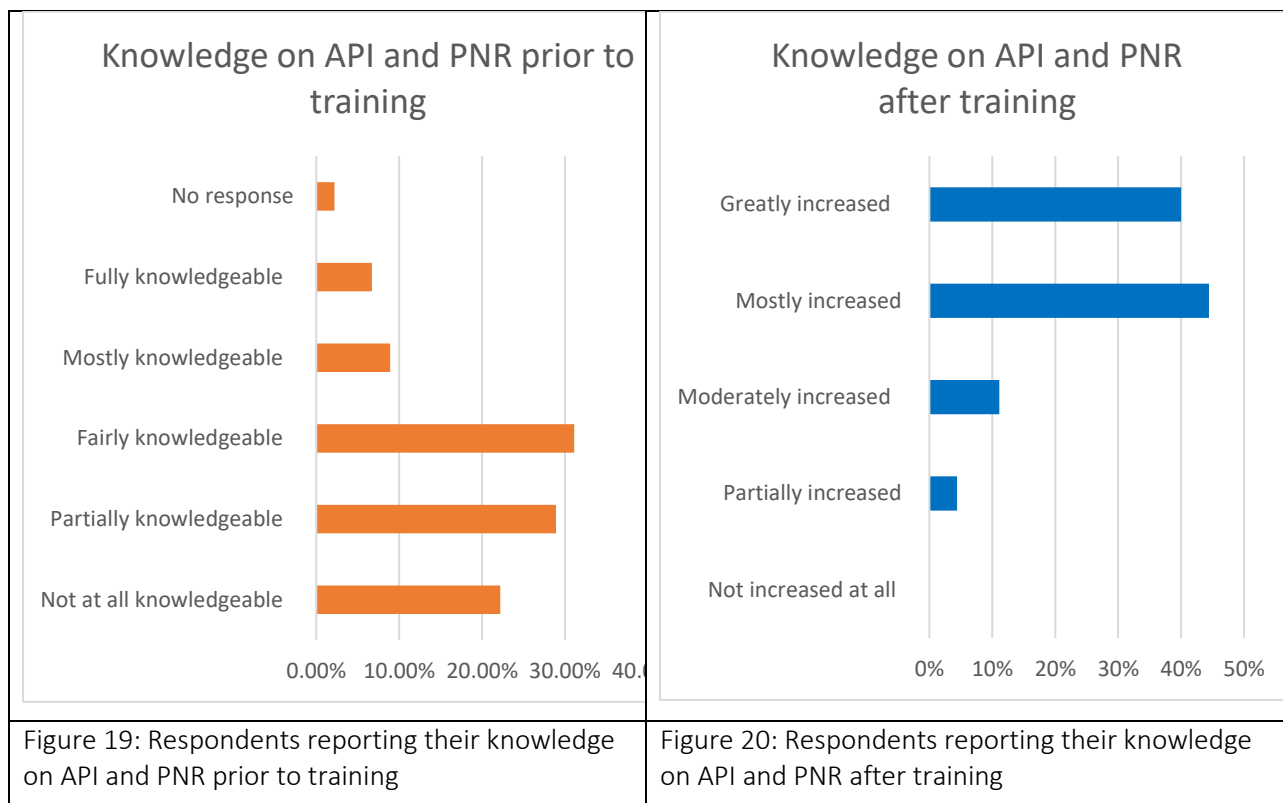
knowledge on API and PNR prior to training	Number of respondents	Percentage
Not at all knowledgeable	10	22.2%
Partially knowledgeable	13	28.9%
Fairly knowledgeable	14	31.1%
Mostly knowledgeable	4	8.9%
Fully knowledgeable	3	6.7%
No response	1	2.2%
Total	45	100%

Q9. After attending the training / workshop to what extent had your knowledge increased?

knowledge on API and PNR after training	Number of respondents	Percentage
Not increased at all	0	0%
Partially increased	2	4.4%
Moderately increased	5	11.1%
Mostly increased	20	44.4%
Greatly increased	18	40.0%

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Total	45	100%
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Q10 Since attending the training / workshop have you had the opportunity to use the knowledge you gained?

Response	Respondents	Percentage
Yes	27	60%
No	18	40%
Total respondents	45	100%

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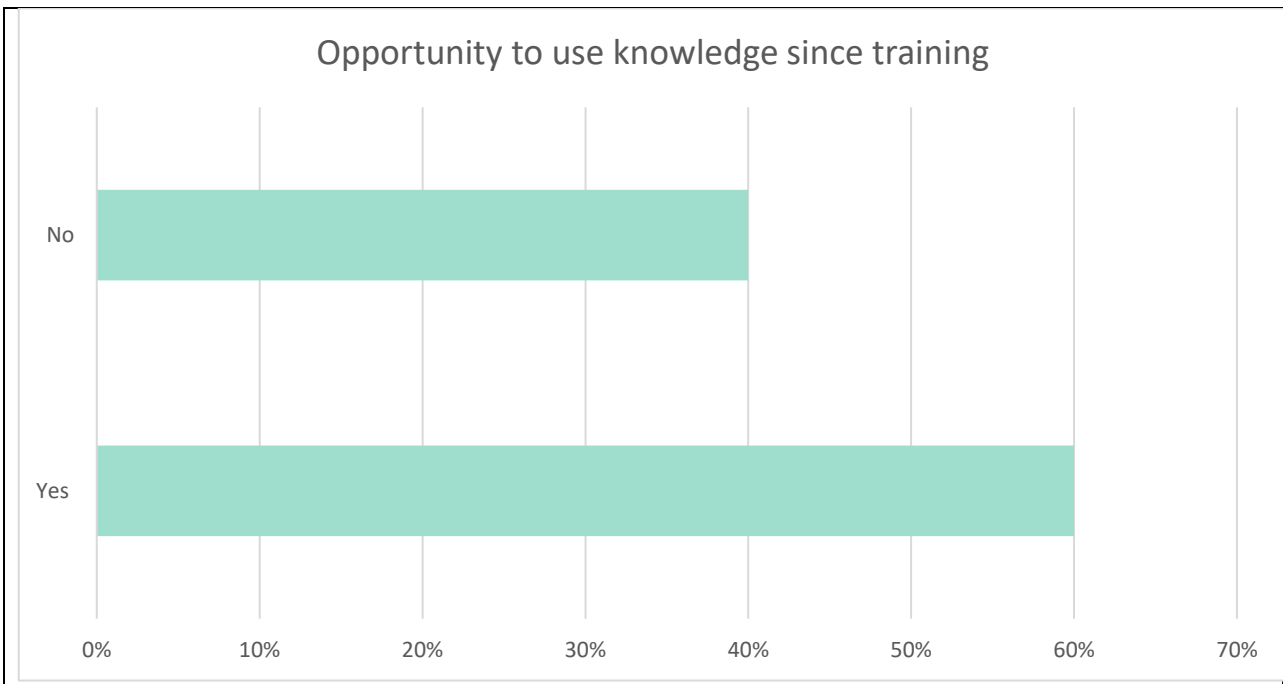


Figure 21: Respondents reporting the opportunity to use knowledge gained since training.