MOPAN
Multilateral Organisation Performance Assessment Network

MOPAN
2019 ASSESSMENTS

United Nations Office on Drugs and Crime (UNODC)

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United Nations Office on Drugs and Crime (UNODC)

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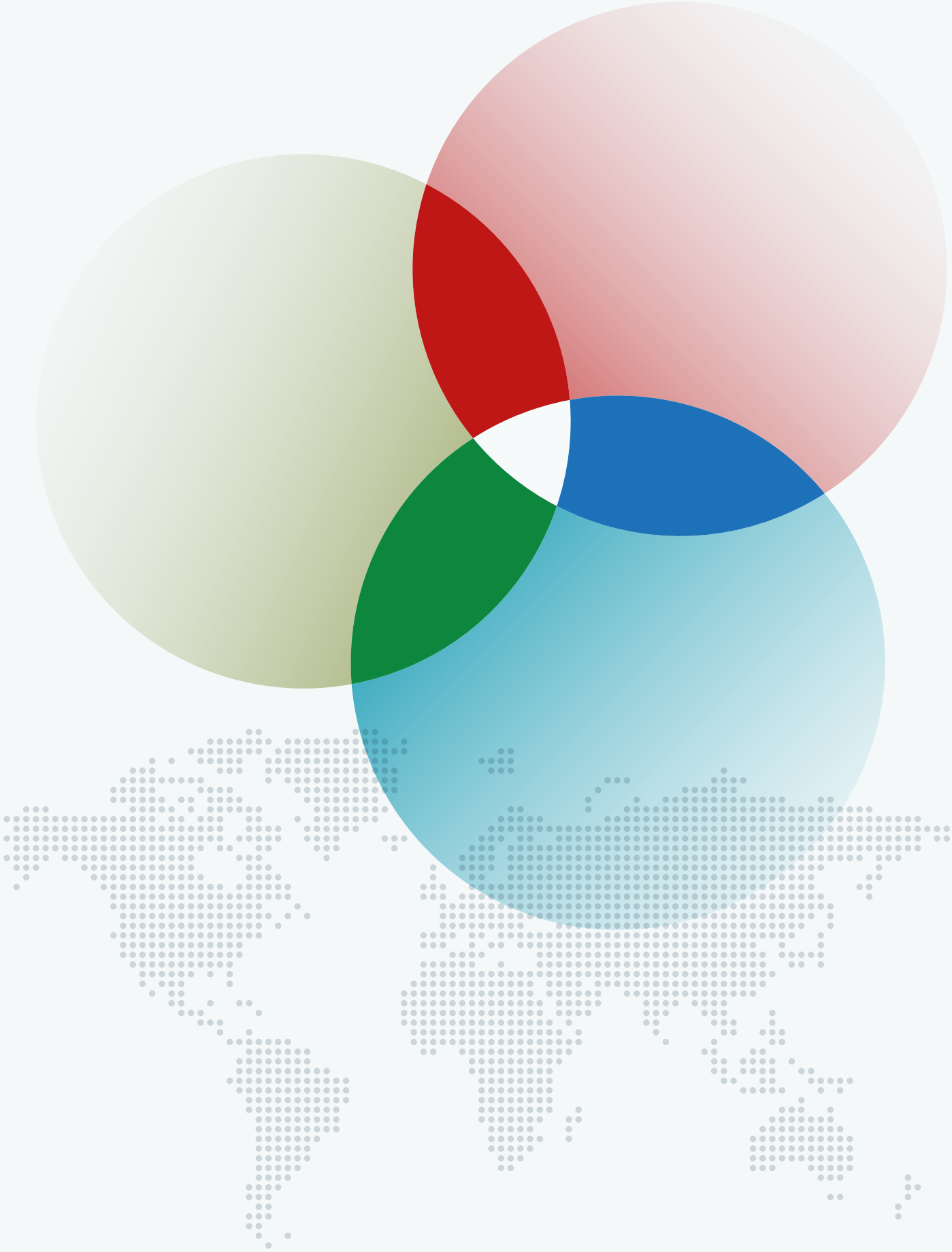

Preface

ABOUT MOPAN

The Multilateral Organisation Performance Assessment Network (MOPAN) comprises 19 countries[1] that share a common interest in assessing the effectiveness of the major multilateral organisations they fund. These include United Nations agencies, international financial institutions and global funds. The Network generates, collects, analyses and presents relevant and credible information on their organisational and development effectiveness. This knowledge base is intended to contribute to organisational learning within and among the organisations, their direct clients and partners, and other stakeholders. Network members use the reports for their own accountability needs and as a source of input for strategic decision-making.

MOPAN 3.0, first applied in 2015-16, is the latest operational and methodological iteration of how the Network assesses organisations. It builds on the former version, the *Common Approach*, which the Network implemented from 2009 through 2014. In 2019, MOPAN members agreed to a change in the rating scale, with the overall framework unchanged. To distinguish the new approach from the initial one, the methodology applied in 2019 is called MOPAN 3.0* (see Chapter 1, Introduction to this assessment).

In 2019, MOPAN assessed five organisations, including the United Nations Office on Drugs and Crime (UNODC). The other four are:

- CGIAR
- Multilateral Fund for the Implementation of the Montreal Protocol (MLF)
- United Nations Conference on Trade and Development (UNCTAD)
- United Nations Industrial Development Organization (UNIDO).

Operating principles

MOPAN generates assessments that are credible, fair and accurate. Credibility is ensured through an impartial, systematic and rigorous approach. MOPAN seeks an appropriate balance between coverage and depth of information from a variety of sources and through multiple streams of evidence. The Network gives priority to quality of information over quantity and uses structured tools for enquiry and analysis. An audit trail of findings ensures transparency. MOPAN applies efficient measures of assessment practice through building layers of data, with a view to limiting the burden on organisations assessed. A focus on organisational learning aims to ensure utility of the findings by multiple stakeholders.

Objectives of the MOPAN methodology

MOPAN seeks to provide a diagnostic assessment, or snapshot, of an organisation. It tells the story of an organisation's current performance. MOPAN is guided by framing questions which serve to understand the relevance, efficiency and effectiveness of multilateral organisations, while also garnering a sense of the sustainability of their results. The empirical design of MOPAN is based on a theory of change.

The methodology's key elements include a set of five performance areas against which the assessment takes place. The first four cover strategic, operational, relationship and performance management. The fifth area englobes the organisation's contribution to development, humanitarian and normative results. These areas are captured in the

1. Australia, Belgium, Canada, Denmark, Finland, France, Germany, Ireland, Italy, Japan, Korea, Luxembourg, the Netherlands, Norway, Sweden, Switzerland, the United Arab Emirates, the United Kingdom and the United States.

MOPAN indicator framework against which performance is measured using three evidence streams – a document review, surveys, and interviews and consultations – brought together in a combined approach.

A MOPAN assessment is not an external audit of an organisation, nor is it an institutional evaluation. MOPAN does not comprehensively assess all operations or all processes of an organisation, nor can it provide a definitive picture of all the organisation's achievements and performance during the time period of the assessment. Neither does MOPAN offer comprehensive documentation or analysis of ongoing organisational reform processes.

Acknowledgements

The MOPAN assessment was finalised under the overall strategic guidance of Suzanne Steensen, Head of the MOPAN Secretariat. It was prepared under the responsibility of Jolanda Profos, Policy Advisor. We are very grateful to the MOPAN institutional lead, Cecilia Romson Örnberg from Sweden, for championing this assessment of UNODC on behalf of the MOPAN membership.

The assessment was conducted with support from IOD PARC, an independent consultancy specialised in assessing performance and managing change in the field of international development. Dr Daniel Arghiros served as Team Lead for the assessment of UNODC, with support from Catherine Currie, who co-authored the report, and Henriette Kabell, under the overall leadership of Julian Gayfer.

The external partner survey was administered by Cristina Serra-Vallejo from the MOPAN Secretariat, who together with Emna Ben Khedher, also supported the finalisation of the report. The report benefited from a peer review conducted by Paul Balogun. Jill Gaston edited the report, and Andrew Esson provided layout and graphic design.

MOPAN is grateful to its Steering Committee representatives for supporting the assessment of UNODC. Finally, MOPAN would like to convey appreciation to UNODC management and staff for their input and comments at various stages, in particular those staff members who internally coordinated the process and provided substantive feedback on the final draft report. We are particularly grateful to Flavio Mirella, for acting as a focal point on behalf of UNODC.

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Acronyms and abbreviations

AML	Anti-money laundering
APR	Annual progress report
CCPCJ	Commission on Crime Prevention and Criminal Justice
CFT	Countering the financing of terrorism
CND	Commission on Narcotic Drugs
CPS	Co-Financing and Partnership Section
CSO	Civil society organisation
DAC	Development Assistance Committee
ECOSOC	United Nations Economic and Social Council
ERM	Enterprise Risk Management
FEEP	Framework on Engaging External Parties
FINGOV	UNODC's governance and finance working group
FIU	Financial Intelligence Unit
GP	Global programme
HR	Human resources
HRDDP	Human Rights Due Diligence Policy
HQ	Headquarters
IES	Independent Evaluation Section
JIU	Joint Inspection Unit
KPI	Key performance indicator
M&E	Monitoring and evaluation
MI	Micro-indicator
OIOS	Office of Internal Oversight Services
PPR	Professional Peer Review (of the Evaluation Function)
PSC	Programme support costs
QCPR	Quadrennial comprehensive policy review
RBM	Results-based management
SDG	Sustainable Development Goals
SOM	Smuggling of migrants
SP	Sub-programme
SPIA	Strategic Planning and Inter-agency Affairs Unit
TIP	Trafficking in persons
TPR	Thematic Programme on Research
UE2	Umoja Extension 2
UN	United Nations
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNCAC	United Nationals Convention against Corruption
UNDAF	United Nations Development Assistance Framework
UNEG	United Nations Evaluation Group
UNODC	United Nations Office on Drugs and Crime
UNOV	United Nations Office in Vienna
UNTOC	United Nations Convention against Transnational Organized Crime
WHO	World Health Organisation

Executive summary

In 2019, the Multilateral Organisation Performance Assessment Network (MOPAN), assessed the performance of the United Nations Office on Drugs and Crime (UNODC). The assessment looked at UNODC's organisational effectiveness (strategic, operational, relationship and performance aspects) and the results it achieves against its objectives. This is the first MOPAN assessment of UNODC.

CONTEXT

UNODC is the United Nations (UN) Secretariat office mandated to assist member states in tackling illicit drugs, crime and terrorism. It was established in 1997 when the United Nations Drug Control Programme and the Centre for International Crime Prevention were merged. Its mission is to "contribute to the achievement of security and justice for all by making the world safer from drugs, crime and terrorism". Its mandate thus straddles criminal justice, peace, security and development. UNODC is a guardian of several international legal instruments and standards and norms. It advocates for a number of Sustainable Development Goals (SDG) and is in charge of implementing several UN resolutions. These include three international drug control conventions, the United Nations Convention against Corruption (UNCAC), the United Nations Convention against Transnational Organized Crime (UNTOC) and its protocols, international legal instruments against terrorism, and the UN Standards and Norms in Crime Prevention and Criminal Justice. UNODC also implements a large number of programmes in its areas of competence, both from its headquarters in Vienna and through its broad field network, and conducts research and analytical work to inform policy. It therefore has both a normative and programmatic mandate.

Reflecting greater global attention for the agendas it tackles, the volume of funds that donors contribute to specific projects or programmes has increased, while the share of flexible funding has declined. The ratio of earmarked to unearmarked funds UNODC receives is 6%, while the average for the majority of UN agencies is approximately 21%. The shortage of unearmarked funding hinders UNODC's ability to implement its programme of work and to deliver its normative mandates effectively. In mid-2018, UNODC produced a resource mobilisation and partnerships strategy. Although this has led to a substantial increase in voluntary donor funding, it has not yet yielded sufficient results to materially improve UNODC's funding profile.

This is UNODC's first assessment by MOPAN. Therefore, there is no baseline against which to compare its current performance. To trace UNODC's performance journey, the assessment draws on UNODC's self-reporting of its prior performance.

KEY FINDINGS

The general conclusion of the 2019 MOPAN assessment is that for UNODC to be an effective multilateral organisation, it needs a clear overarching vision and long-term strategy to which it could align its financing, rather than supporting individual programmes. UNODC is currently somewhere between a multilateral organisation with a normative and operational mandate, and a donor-driven implementation office. Today, as the Office is only too aware, it has moved too far towards the latter. Rebalancing it would require more flexible funds so the organisation can chart its own agenda – enabling it to continue to drive normative standards and help member states implement them.

UNODC is effective at carrying out programmes that are seen to broadly deliver: the willingness of donors to increase the value of extrabudgetary programmes year on year testifies to this. It has relatively mature and satisfactory delivery systems. However, evaluations report inefficiencies in coordination, procurement of goods and services, and budget allocation, which affect timely delivery. Nonetheless, UNODC has ongoing initiatives to strengthen its operational machinery.

The evaluative evidence broadly indicates that UNODC's programmes and projects are effective and largely meet the varied needs of its target groups. The lack of monitoring data, especially at the outcome level, makes it difficult for UNODC to report the scale and breadth of its achievements with confidence. Within the scope of its mandate, and within limits set by donor funding, UNODC has a track record of being future facing: it has aligned its programme activities to address emerging threats. It has corralled the international community behind action to tackle new and evolving challenges and dangers – be it organised crime, cyber-crime, trafficking in persons or terrorism.

UNODC faces a strategic choice in relation to its de facto operating model. If it continues unchecked along its current trajectory, rather than simply being "donor driven", it risks becoming an implementation body for donor priorities at the output level. Its ability to lead international responses to global problems and to act strategically – targeting support to where it makes the most difference rather than where individual donors choose to invest – will further diminish. However, with a clearer vision and strategy and with a refreshed UNODC-specific Funding Compact with its donors, UNODC will be well-positioned to deliver its complex and critical mandate in the coming years.

The assessment identifies several key **strengths** of UNODC:

1. **UNODC plays a leading role in combatting ever-changing issues around drugs, crime, corruption and terrorism, and in adapting global responses to them.** It keeps abreast of changes in the threats posed by the global ills it tackles. It is nimble and responsive and adapts its normative and programmatic responses to keep them targeted, effective and relevant. Its current work on migration, human trafficking, terrorism, anti-money laundering and cyber-crime are strong examples of this. UNODC also leads in generating highly respected knowledge and research with a broad reach. UNODC has a central position in delivering seven SDGs and plays a key role in developing policy and support in otherwise neglected areas, such as drug use prevention and treatment.

2. **UNODC combines its normative and programmatic roles in mutually reinforcing ways where it is properly resourced and where planning is integrated across technical areas.** Addressing complex issues such as organised crime and influencing government attitudes towards drug dependence and to the spread of HIV/AIDS in prisons demonstrate UNODC's ability to combine multiple tools at different levels – global, regional and country – to good effect.

3. **With its strong field network, it builds influential partnerships.** UNODC works with a broad range of partners, including governments, non-governmental organisations and other UN agencies, and can work with government entities to which others do not have access. It uses these partnerships to good effect, sharing its expertise and developing capacity. UNODC's partnership with the Colombian government in support of the peace process, funded up to 90% by Colombian funds, is one example of a lasting relationship.

4. **UNODC strengthens governance** throughout its mandate and work. With a robust UNODC-specific gender strategy in place since 2018 and an action plan since 2019, UNODC should also be able to mainstream gender dimensions into its work. The strategy and action plan were introduced too recently for their impact to be reflected in this assessment.

5. **UNODC has robust financial corporate systems.** Its strong financial management systems fully meet international standards, and the organisation has a robust approach to risk management.

The assessment also finds a number of **areas for improvement**:

1. **Although UNODC has a clear mission statement, its vision and implementation strategy are less clear.** Its mandate is broad, and there is no clear direction on what it will prioritise. Interviews also indicate tension relating to the extent to which it should prioritise a law enforcement or a developmental/people-oriented approach to implementing its mandate. The conventions and protocols for which it is a guardian give primacy to the former but allow both. Its vision and strategy will need to determine its future operating model and structure.

2. **The low share of unearmarked funding UNODC receives limits its ability to deliver its mandate effectively.** The lack of general purpose funds prevents it from managing operations strategically and directing resources to where, in its own judgement, they are most needed. Its current funding model is responsible for many of the areas of weak practice this assessment identifies. It perpetuates the fragmentation of UNODC's engagement, drives a culture of internal competition for resources and weakens some core functions that must be "projectised", including results-based management (RBM), gender and evaluation.

3. **Programme performance management systems are not yet sufficiently mature.** UNODC's investment in results-based management is positive, but strong backing from its leadership is needed to implement RBM across the organisation. Likewise, UNODC's evaluation function has improved greatly. But the Independent Evaluation Section could benefit from further operational and structural independence. UNODC needs an organisation-wide monitoring system to ensure evaluation findings lead to improved practice.

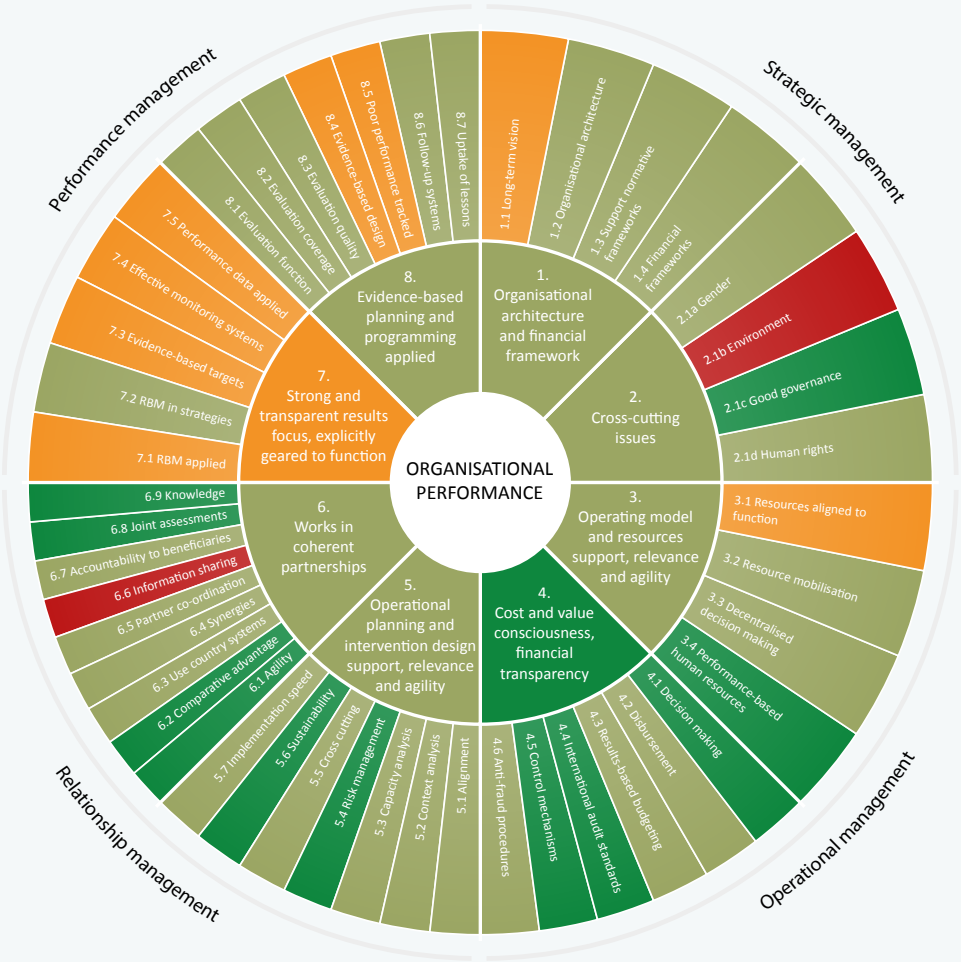
METHODS OF ANALYSIS

The MOPAN 3.0* methodology entails a framework of 12 key performance indicators and associated micro-indicators. It comprises standards that characterise an effective multilateral organisation. The methodology, including recent updates and any adaptations for this particular assessment, is further explained in Section 1.3 of this report.

The assessment covers UNODC's headquarters and regional and country field presence. It addresses organisational systems, practices and behaviours, as well as results achieved during the period 2017 to mid-2019. It relies on three lines of evidence: a review of more than 153 documents, interviews with 63 headquarters and field-office based staff members in Vienna (June 2019), and an online survey carried out among partners in 10 countries.

MOPAN conducted the assessment with support from IOD PARC, a consulting company located in the United Kingdom that specialises in results-based performance assessment in international development. Sweden acted as the institutional lead country, representing MOPAN members in this assessment process.

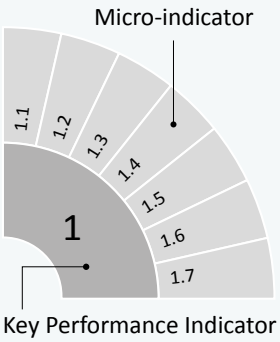
PERFORMANCE RATING SUMMARY FOR UNODC (MOPAN 3.0 – old rating scale system)



Changes to MOPAN rating system (MOPAN 3.0* scales)

The 2019 Assessment Cycle under MOPAN 3.0* includes a notable change on how ratings (and their corresponding colours) are applied based on the scores at MI and KPI level. Compared to previous cycles, the threshold for a rating has been raised to reflect the increasing demands for organisational performance in the multilateral system. The underlying scores and approach to scoring are unaffected. Further information can be found in Chapter 1, Section 1.3 Methodology changes in the 2019 Cycle.

How to read these charts



Highly satisfactory (3.01-4.00)

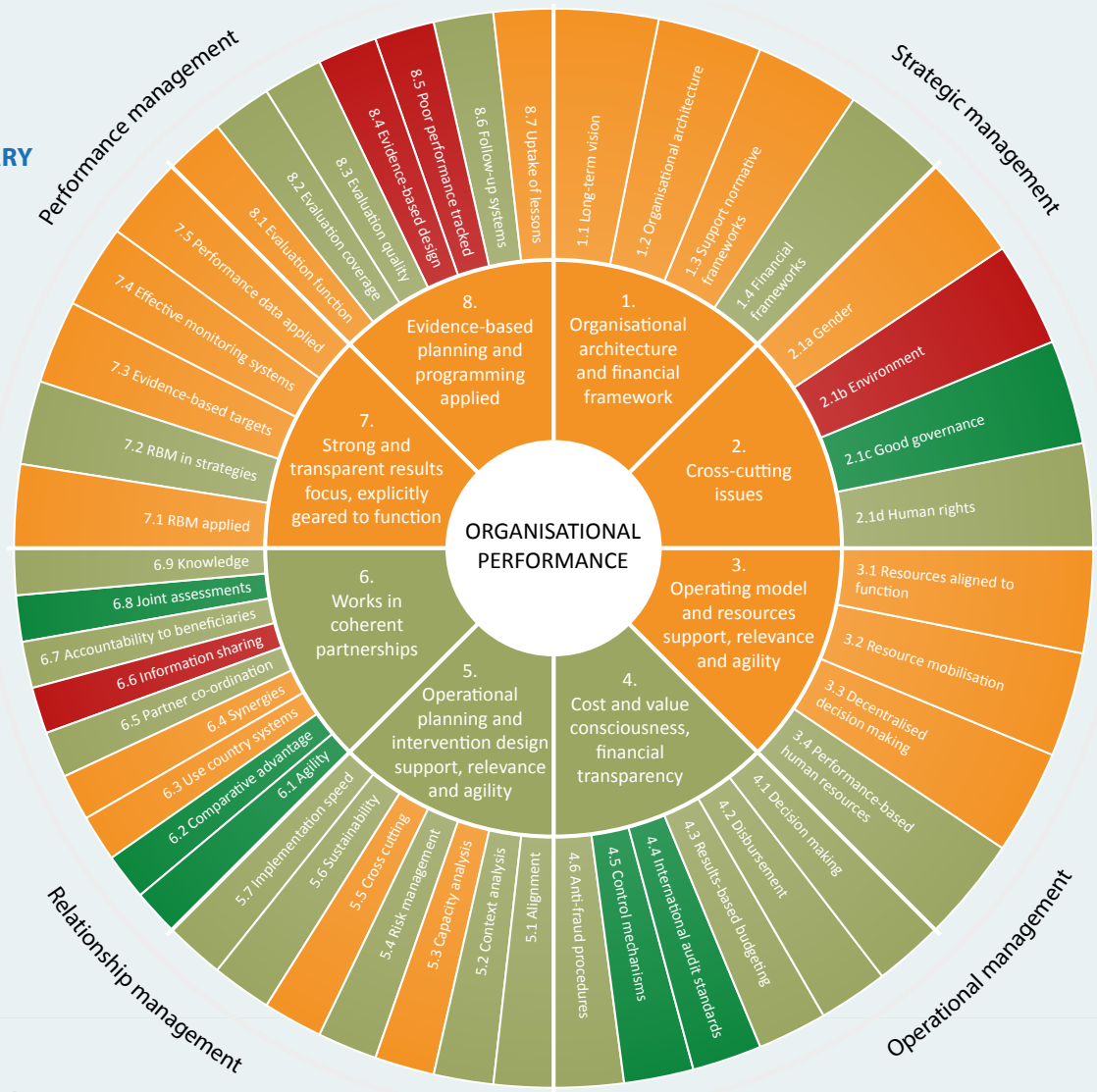
Satisfactory (2.01-3.00)

Unsatisfactory (1.01-2.00)

Highly unsatisfactory (0-1.00)

No evidence / Not applicable

PERFORMANCE RATING SUMMARY FOR UNODC (MOPAN 3.0* – new rating scale system)



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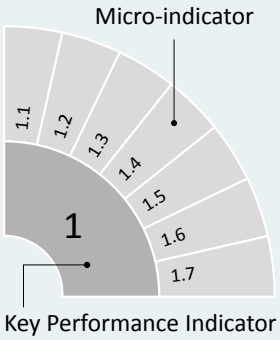


- **Highly satisfactory** (3.51-4.00)
- **Satisfactory** (2.51-3.50)
- **Unsatisfactory** (1.51-2.50)
- **Highly unsatisfactory** (0-1.50)
- **No evidence / Not applicable**

1. INTRODUCTION

Chapter 1. Introduction

1.1. STRUCTURE OF THE REPORT

This report has three chapters and three annexes. Chapter 1 introduces the United Nations Office on Drugs and Crime (UNODC) and the assessment process. Chapter 2 presents the main findings of the assessment in relation to each performance area. Chapter 3 provides the conclusions of the assessment. Annex 1 summarises the evidence gathered against each indicator with the detailed scores. Annex 2 lists the documents used for the analysis. Finally, Annex 3 provides an overview of the results of MOPAN's partner survey.

1.2. UNODC AT A GLANCE

Mission and mandate: UNODC is the United Nations (UN) Secretariat office mandated to assist member states in tackling illicit drugs, crime and terrorism. UNODC is the UN lead office in the fight against illicit drugs and transnational organised crime. It was established in 1997 when the United Nations Drug Control Programme and the Centre for International Crime Prevention were merged.

UNODC's work across the peace and security, human rights and development pillars of the UN is articulated around three broad interconnected and mutually supportive workstreams. These are:

- Normative work to assist states in the ratification and implementation of international treaties, the development of domestic legislation on drugs, crime and terrorism, and the provision of services to treaty-based and governing bodies.
- Field-based technical co-operation projects to enhance the capacity of member states to counter illicit drugs, crime and terrorism.
- Research and analytical work to increase knowledge and understanding of drugs and crime issues and expand the evidence base for policy and operational decisions.

Governance: When, in 1997, the United Nations Drug Control Programme and the Centre for International Crime Prevention were merged to create UNODC, their governing bodies, the Commission on Narcotic Drugs and the Commission on Crime Prevention and Criminal Justice, were preserved and were mandated to jointly but separately serve as UNODC's governing bodies. Each of these commissions had trust funds attached to them, and these continue to operate under the authority of the two commissions to this date. UNODC thus has two parallel governing bodies. It is the only UN Secretariat office with this arrangement. A "standing open-ended intergovernmental working group on improving governance and financial situation of UNODC" was established in 2009 to strengthen the performance and effectiveness of UNODC. It provides informal advice to the governing bodies and is referred to internally as FINGOV, a term also used in this report.

Organisational structure: UNODC is led by an Executive Director, who is appointed by the Secretary-General of the United Nations. Headquartered in Vienna, UNODC is organised into four divisions: the Division for Operations; Policy Analysis and Public Affairs; Treaty Affairs; and the Division for Management. The Division for Operations oversees UNODC's field operations. The Division for Management is accountable for all management-related issues, including administrative services and oversight. This division is simultaneously part of the United Nations Office in Vienna (UNOV) and operates under the leadership of the Executive Director, who serves as UNOV's Director-General. UNODC has a liaison office in New York.

Box 1.1. Services provided by UNODC

Related to its subprogrammes, UNODC offers member states a "menu of services". It identifies these as:

Organised crime and trafficking: UNODC helps governments prevent and counter the challenges posed by crimes like the smuggling of migrants and the illicit trafficking of drugs, firearms, human beings, natural resources, and counterfeit goods. It also addresses evolving forms of crime, such as cybercrime, trafficking in cultural artefacts and environmental crime, and other forms of serious crime as defined under the UN Convention against Transnational Organized Crime.

Corruption: UNODC partners with the public and private sectors, as well as with civil society, to combat corruption and to help states strengthen their prevention frameworks. In recent years, the Office has stepped up its efforts to assist states in recovering assets stolen by corrupt officials.

Crime prevention and criminal justice reform: UNODC promotes using training manuals and adopting codes of conduct and standards and norms that aim to guarantee that the accused, the guilty and the victims can rely on a fair criminal justice system that is grounded on human rights values.

Drug abuse prevention and health: Through educational campaigns and its research-based approach, UNODC works to reduce the use of drugs among youth, encouraging drug-dependent people to seek treatment. It also seeks to help governments address drug use as a health problem, not a crime. Through its Alternative Development programme, UNODC uses a development-oriented drug control approach to address illicit crop cultivation. UNODC works with poor and marginalised farming communities to provide licit sustainable livelihood alternatives.

Terrorism prevention: UNODC responds to requests from member states to provide normative and capacity-building support to prevent terrorism and violent extremism by, among other things, developing co-operation frameworks with member states at the national, regional and global levels.

UNODC operates in all regions through a large network of field-based entities. It has 8 regional offices, 7 country offices, 17 field offices and approximately 87 programme/project offices. In 2018, its total field office staff was approximately 1 945 people (of whom 146 were UN P-level staff and 634 considered "core" staff).

As an office of the UN Secretariat, UNODC's operational framework is set by the Secretariat. Its financial management, human resources and risk management frameworks are derived from Secretariat-wide policies; external and internal audit services are provided by the Secretariat, as are the online platforms UNODC uses for financial and programme management. UNODC's programmatic strategies are embedded within UN-wide documents, and its programme and budget and its results reporting frameworks are also determined by Secretariat practices.

Strategy: UNODC's 2018-19 strategic framework falls under the UN General Assembly's overall "biennial plan and priorities", currently listed as Programme 13. Its strategic framework identifies nine subprogrammes, six of which are thematic:

1. Countering transnational organised crime
2. A comprehensive and balanced approach to counter the world drug problem
3. Countering corruption
4. Terrorism prevention
5. Justice
6. Research, trend analysis and forensics.

UNODC's three remaining subprogrammes are cross-cutting and relate to providing support to field operations and services to member states:

7. Policy support
8. Technical co-operation and field support
9. Provision of secretariat services and substantive support to the United Nations intergovernmental bodies, the International Narcotics Control Board and the United Nations Congress on Crime Prevention and Criminal Justice.

UNODC's role in relation to the Sustainable Development Goals. UNODC is the custodian of 15 Sustainable Development Goal (SDG) indicators on its own or jointly with other agencies. It has a particular focus on the following:

- SDG 3 with its emphasis on combatting drug use, dependence and related HIV/AIDS
- SDG 11 on safer cities
- SDG 15 on wildlife crime
- SDG 16, with its targets of promoting the rule of law by addressing transnational threats such as organised crime, trafficking, terrorism and corruption.

UNODC has a mandate to lead the assessment of globally agreed drugs and crime conventions.

Box 1.2. UNODC's terminology for funding streams

Regular budget: assessed contributions under the authority of the Secretary-General and the General Assembly, received from the UN biennial programme budget.

Extrabudgetary resources:

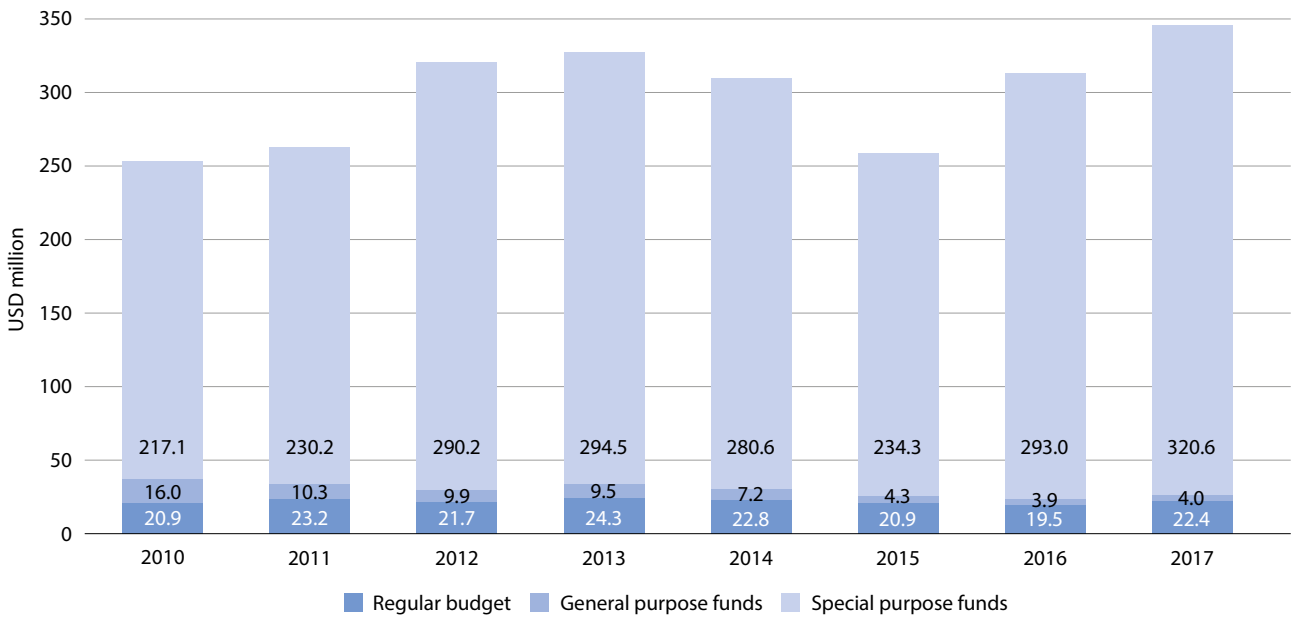
- **Special purpose funds:** earmarked voluntary contributions for technical co-operation projects in the field or headquarters.
- **Programme support cost funds:** overhead charge made against special purpose funds to cover costs that cannot be directly attributed to activities financed by voluntary contributions. Programme support costs recovered from voluntary contributions are set at 13% for most donors. The majority is used to support central services, under the Division for Management.
- **General purpose funds:** unearmarked voluntary contributions to finance core programmatic activities that are not funded by the regular budget (e.g. normative work, research).

Finances: UNODC is mainly funded through voluntary contributions: it relies on voluntary contributions, mostly from governments, for around 94% of its budget. The budget for the biennium 2018-19 of USD 752.2 million. It is comprised of extrabudgetary resources of USD 709.8 million, approved by the Commission on Narcotic Drugs and the Commission on Crime Prevention and Criminal Justice, as well as regular budget resources of USD 42.3 million approved by the General Assembly. The regular budget constitutes just 6% of the total budget for the biennium.

In 2018, special purpose contributions amounted to USD 326.2 million; general purpose contributions were USD 4.9 million; programme support costs were USD 28.8 million; and UNODC received USD 22.4 million in the form of the regular budget. In real terms, earmarked special purpose funds have increased while the share of the regular budget has decreased in recent years. The ratio between special purpose and general purpose funds decreased from 6.6% in 2006-09 to 2.5% in 2014-17 and now stands at 1.5%. According to UNODC documentation, UNODC is well below the average of the UN development system entities in terms of the share of core resources it receives. The average for the UN system in 2017 was 21%: UNODC was 7.7%. UNODC's core resources have since declined to 7.6% in 2017 and to 6% in 2018.

Organisational change initiatives: UNODC is in the process of managing several change initiatives. It is introducing initiatives to: raise more flexible and predictable donor funding; review how its field office network needs to adapt to align with the UN development system reform; improve its results-based management; strengthen the quality of evaluation systems; and roll out a strategy to mainstream a gender-sensitive approach through its programming and to promote gender equality. Within the Division for Management, there is a process to upgrade risk management, the enterprise resource planning system and human resource management. UNODC is also examining how to implement new UN Secretariat-wide policies on the delegation of authority and with respect to procurement. In addition, the UN Secretariat is considering more far-reaching changes to how corporate services are provided, including using regional service centres. Some change initiatives are too recent for evidence of implementation to be reflected in this report.

Figure 1.1. UNODC funding trends, 2010-17



Source: UNODC, "Matching UNODC Fundamental Roles with Core Resources". Presentation to FINGOV. April 2019.

UNODC has also taken measures to prevent and respond to sexual exploitation and abuse, and sexual harassment (see Box 1.3 for further details).

Box 1.3. Preventing sexual exploitation and abuse, and sexual harassment[1]

As an office of the UN Secretariat, UNODC implements the policies of the Secretariat in relation to SEAH. In line with Secretary General Bulletin ST/SGB/2018/4 (July 2018), all Secretariat staff are required to complete two relevant learning programmes:

- 'Prevention of sexual harassment and abuse by United Nations personnel – working harmoniously', and
- Prevention of sexual exploitation and abuse by United Nations personnel.

As a Secretariat member, UNODC must maintain data on reports of alleged sexual exploitation and abuse and to submit it to the Secretariat quarterly.

In terms of measures to combat sexual harassment, the Secretariat has established a 24-hour helpline so staff can access information and confidential support. It has also produced an information note on available reporting mechanisms and services. The Secretariat has made information on these measures available on a dedicated intranet page.

UNODC took part in an evaluation of the relevance and effectiveness of the prevention, response and victim support efforts against SEAH by UN Secretariat staff and related personnel. It was carried out by the UN's Office of Internal Oversight Services. UNODC intends to translate the outcome and recommendations in updates to the Offices' Action Plan. SEAH prevention-related clauses are included in funding agreements.

1.3. THE ASSESSMENT PROCESS

Assessment framework

This MOPAN assessment covers the period from 2017 to mid-2019. It addresses organisational systems, practices and behaviours, as well as results achieved. It focuses on the five performance areas presented in Box 1.4. The first four relate to organisational effectiveness, and each has two key performance indicators (KPIs). The fifth performance area relates to effectiveness of development, humanitarian and normative work, and comprises four KPIs. The assessment was conducted in line with the MOPAN 3.0* methodology, which can be found on MOPAN's website.[2]

Methodology changes in the 2019 Cycle

As part of MOPAN's efforts to ensure its assessments remain relevant to stakeholders and aligned to international best practice, the MOPAN methodology is always evolving. Lessons from each assessment cycle inform the next, and work is always being undertaken to explore how best to cover salient issues. In addition to relatively minor lessons learned from the 2017-18 Cycle conducted under the MOPAN 3.0 methodology, the MOPAN 3.0* methodology applied for the 2019 Assessment Cycle includes two notable changes.

1. The 2019 MOPAN assessment does not assess organisations' performance with regard to preventing and responding to sexual exploitation and abuse, and sexual harassment (SEAH). However, this topic will become an area of assessment in MOPAN starting 2020; indicators were under development at the time of writing. In the meantime, the assessment team simply collected key facts related to SEAH safeguards for information, based on documentation provided by the organisation. The assessment team did not verify the actual implementation of the instruments outlined therein, or analyse their effectiveness. Insights were gathered from the following sources: Seventh progress report on the accountability system in the United Nations Secretariat: strengthening the accountability system of the Secretariat under the new management paradigm (A/72/773), 1 March 2018; Secretary-General's Bulletin on UN Mandatory Learning Programmes, 17 July 2018.
2. MOPAN 3.0* Methodology Manual, 2019 Assessment Cycle, www.mopanonline.org/ourwork/2019assessmentcycle/

Box 1.4. Performance areas and key performance indicators[3]

Aspect	Performance area	Key performance indicator (KPI)
Organisational effectiveness	Strategic management	**KPI 1**: The organisational architecture and the financial framework enable mandate implementation and achievement of expected results
		KPI 2: Structures and mechanisms support the implementation of global frameworks for cross-cutting issues at all levels
	Operational management	**KPI 3**: The operating model and human and financial resources support relevance and agility
		KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency and accountability
	Relationship management	**KPI 5**: Operational planning and intervention design tools support relevance and agility within partnerships
		KPI 6: Partnership working is coherent and directed at leveraging and/or ensuring relevance and the catalytic use of resources
	Performance management	**KPI 7**: The focus on results is strong, transparent and explicitly geared towards function
		KPI 8: The organisation applies evidence-based planning and programming
Development/ humanitarian effectiveness	Results	**KPI 9**: Development and humanitarian objectives are achieved, and results contribute to normative and cross-cutting goals
		KPI 10: Interventions are relevant to the needs and priorities of partner countries and beneficiaries, and the organisation works towards results in areas within its mandate
		KPI 11: Results are delivered efficiently
		KPI 12: Results are sustainable

The first is on how ratings (and their corresponding colours) are applied based on the scores at micro indicator (MI) and KPI levels. Compared to previous cycles, the threshold for a rating has been raised to reflect the increasing demands for organisational performance in the multilateral system.[4] The underlying scores and approach to scoring are unaffected.

The second is that organisations had greater flexibility in selecting relevant partners and countries for the survey line of evidence. This approach allows for a more relevant sampling of organisations' external partners and geographic coverage.[5]

3. The MOPAN indicator framework was developed by MOPAN's Technical Working Group and draws on international standards and reference points, as described in Annex A of the Methodology Manual.

4. For example, previously if all elements for a MI were scored as a 2 and only one was scored a 3 (averaging above 2.01 at the MI level), this would have been rated satisfactory. Now, more than half of the elements need to score 3, averaging above 2.51, to achieve the same rating. More details on scoring and rating scales can be found in Annex 1.

5. This increased flexibility was enabled by a streamlined data collection process for the partner survey, which was carried out directly by the MOPAN Secretariat, rather than an external service provider, for the first time in the 2019 Cycle.

Applying the MOPAN methodology to UNODC

The assessment of performance covers UNODC in its entirety (headquarters, regional offices and extensive field presence) with the exception of the International Narcotics Control Board. While the Board's budget is drawn from UNODC's, it is functionally independent of UNODC. The Board is a quasi-judicial control organ for the implementation of the United Nations drug conventions.

The MOPAN 3.0* methodology was applied to reflect the realities of UNODC's mandate and operating systems (see also Annex 1). UNODC supports normative standards at global, regional and national levels and also implements interventions that can be broadly categorised as development programmes. The assessment team took care to give attention to both normative and programmatic activities.

In terms of identifying the impact on target groups or beneficiaries of UNODC's interventions (addressed in KPI 9), since much of UNODC's work is to build the capacity of government counterparts, these counterparts were identified as among the target groups/beneficiaries of UNODC interventions.

The MOPAN methodology assesses the extent to which organisations support global frameworks related to "good governance" (KPI 2.1c) – treating good governance as a cross-cutting agenda. The methodology includes the following within this definition: reducing inequality, providing access to justice for all, and building effective, accountable and inclusive institutions at all levels. These objectives are at the core of UNODC's mandate and all its programmatic work. There is therefore, by necessity, some overlap between the treatment of good governance and the assessment of results contained in KPIs 9 to 12.

Lines of evidence

This assessment relies on three lines of evidence: a document review, a partner survey, and staff interviews and consultations. The assessment team collected and analysed these in a sequenced approach, whereby each layer of evidence was informed by, and built on, the previous one, wherever possible.

The assessment team collected and reviewed a significant body of evidence:

- **A document review.** The assessment team reviewed a broad range of documentation including UNODC's policies and planning documents. The team also examined results documents ranging from evaluations to self-assessments. A draft of the resultant document review was shared with UNODC. The organisation provided feedback and additional documentation to update the review and address gaps before the review fed into the overall analysis. See Annex 2 of this report for a list of the 153 documents used. This list does not include a large number of internal documents that are unpublished.

- **An online survey.** There were 191 responses to the online partner survey, conducted between June and July 2019 (giving a response rate of 29%). These were drawn from people in 10 countries: Afghanistan, Colombia, Egypt, Kenya, Lebanon, Mexico, Myanmar, Nigeria, Thailand and Turkmenistan. The majority of the respondents represented partner governments (72), with bilateral partners (32) and UN agencies (24) the next most representative respondent groups. Respondents were also from non-governmental and international non-governmental organisations (21) and the judiciary. The survey was designed to gather both perception data and an understanding of practice from a diverse set of well-informed partners of UNODC. This included governments, non-governmental organisations, MOPAN donors and other multilateral organisations (see Annex 3 for a breakdown of respondents).

- **Interviews and consultations.** In June 2019, the assessment team interviewed 63 staff members of UNODC. The team met leaders from each of UNODC's departments, directorates and units – representing all UNODC's substantive areas of operation. The team also met heads and team members of offices and programmes in the same countries in which the online survey was administered: Afghanistan, Colombia, Egypt, Kenya, Lebanon, Mexico, Myanmar, Nigeria, Thailand and Turkmenistan. The assessment meetings in Vienna were arranged to coincide with UNODC's annual meeting of field office heads so that these consultations could be conducted face to face.

Discussions were held with the institutional lead of the UNODC assessment, as part of the analytical process. These served to gather insights on current priorities for the organisation from the perspective of MOPAN member countries.

General information about the sequence and details related to these evidence lines, the overall analysis, and scoring and rating process as applied to UNODC can be found in the MOPAN 3.0* methodology.

Limitations

The assessment is limited by the fact that the assessors interviewed staff from only 10 of the organisation's 104 field-based entities. That said, those to whom the assessors spoke represented each of UNODC's regional areas of operations and some of its largest country operations.

A number of change processes were in train at the time of the assessment. The results of some of these change processes are not reflected in the assessment, as they were still being rolled out during the assessment period. UNODC's work on gender mainstreaming is a significant area where this is evident.

While the assessment benefits from a strong sample of evaluations, this does not include evaluations above the project level for the Colombian or Mexican programmes. There are currently no evaluations available at the programmatic or country level of these programmes. An evaluation of the Colombian programme is due in 2020. Given that these programmes make up approximately 30% of UNODC's portfolio, their absence is notable in the assessment of KPIs 9-12.

2. DETAILED ASSESSMENT OF UNODC'S PERFORMANCE

Chapter 2. Detailed assessment of UNODC's performance

The performance is assessed on four dimensions of organisational effectiveness – strategic, operational, relationship and performance management – and on the results achieved by the organisation. These findings are constructed against the organisation's own strategic plan and performance indicators.

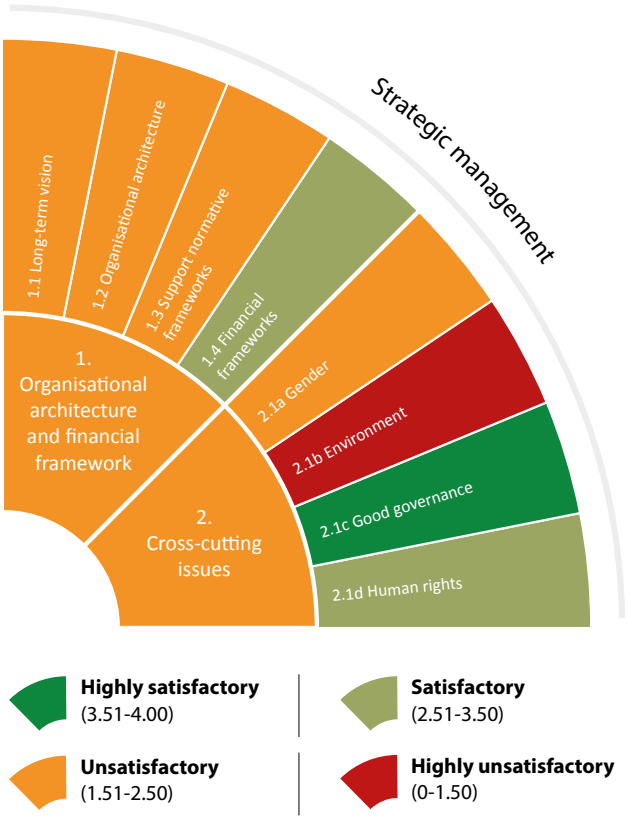
In this way, organisational effectiveness relates to a blended assessment of intent, effort and response. Organisational intent is expressed through commitments, strategies, policies and plans. The organisational effort is that which the organisation puts behind a particular agenda for performance and improvement including guidance issued. The organisational response is its reaction to the effects of this effort in relation to changing organisational direction, practice and behaviour.

Organisational effectiveness is juxtaposed alongside development effectiveness. The latter refers to the extent to which the organisation is making a difference in ways that reflect its strategic objectives and mandate.

2.1. ORGANISATIONAL EFFECTIVENESS

PERFORMANCE AREA: STRATEGIC MANAGEMENT

Clear strategic direction geared to key functions, intended results and integration of relevant cross-cutting priorities.



UNODC has a clear mission statement. Its mission is to "contribute to the achievement of security and justice for all by making the world safer from crime, drugs and terrorism".[1]

However, its vision and implementation strategy are less clear. Its strategic documents do not articulate a clear long-term vision except insofar as they refer to the Office's role in supporting the achievement of the international instruments for which the Office acts as "guardian and advocate", the Sustainable Development Goals (SDGs) and relevant United Nations (UN) resolutions.

At the time of the assessment, there was tension within UNODC relating to (i) the extent to which it works primarily in the field of law enforcement and security in support of development; and (ii) the extent to which its mandate is to promote human development in its fields of competence and contribute to development. The conventions and protocols for which it is a guardian largely focuses on criminal-justice and law-enforcement responses but allow both approaches. UNODC is keenly aware that its financial framework hinders its capacity to deliver its mandate effectively. Its lack of flexible core finance limits its ability to manage strategically and to direct funds to areas of the most need. The scarcity of core funds also underpins a culture of internal competition rather than collaboration.

1. E/CN.7/2007/14-E/CN.15/2007/5

UNODC has structures and mechanisms to support the implementation of global frameworks for cross-cutting issues of gender, human rights and governance but not, to date, of climate change or the environment. UNODC's mandate is to promote good governance, and this runs through all its work and is a genuine strength. Its framework in relation to gender equality has only recently been developed and, although a Gender Team and focal points have since been put in place, there was not yet evidence of implementation and results at the time of the assessment.

KPI 1: The organisational architecture and the financial framework enable mandate implementation and achievement of expected results.

This KPI focuses on the extent to which UNODC has articulated a coherent and strategic vision of how and for what purpose it has organised its human activity and capital assets to deliver both long- and short-term results.

UNODC's broad mission is clear, but there is demand for it to clarify its strategy and to define how it will deliver. A large proportion of those interviewed considered this a high and immediate priority. UNODC's mission statement, repeated in successive programme and budget documents, is that it will "contribute to the achievement of security and justice for all by making the world safer from drugs, crime and terrorism". However, it does not articulate a more detailed long-term vision except insofar as it refers to the Office's role in supporting the achievement of the international instruments for which the Office acts as "guardian and advocate", the SDGs and a series of UN resolutions. These include the three international drug control conventions, the United Nations Convention against Corruption (UNCAC), the United Nations Convention against Transnational Organized Crime (UNTOC) and its protocols, the international legal instruments against terrorism, and the UN Standards and Norms in Crime Prevention and Criminal Justice. UNODC's broad areas of mandate are clear and relatively uncontested within and outside the UN family – there are few areas of overlap with other multilateral organisations. However, as several interviewees noted, UNODC has not yet articulated strategically which elements of these very broad conventions and other standards it will prioritise, nor how it will support them. This is an area that several interlocutors consider a gap in UNODC's strategic outlook.

At the time of the assessment, there was tension within UNODC relating to its strategic role and future direction. Some within UNODC maintained that the Office works under a security and justice mandate that creates the conditions for development but considered that UNODC itself is not a development agency or organisation. Those that held this view felt that the rest of the UN system shared this perception, citing as evidence the recent decision by member states not to charge the 1% levy on UNODC's budget as a contribution to the UN Resident Coordinator System. On the other hand, several interviewees stated that, given how UNODC has positioned itself in relation to the SDGs and given the Secretary-General's recent directive for the UN family to be "people-centred", UNODC's core mandate is fundamentally about contributing to human development – not just creating the conditions for it.

The conventions and protocols for which UNODC is a guardian, while giving primacy to criminal-justice and law-enforcement perspectives, also call for a people-centred approach in some areas; and UNODC clearly takes a people-centred, developmental approach in several fields of competence. But interviews indicate that there were, at the time of the assessment, differences of opinion on the direction UNODC should take. For example, some staff within UNODC who considered that UNODC needs to become more people-centred thought it should re-orientate resources from headquarters to the field to better focus on beneficiaries. In specific areas of competence, interviewees reflected that a stronger people-centred approach would result in UNODC doing more to support victims of terrorism as well as prevention and investigation; victims of human trafficking in addition to pursuing traffickers; drug users, to reduce harm, as well as focus on prevention. UNODC needs a leadership-led consultation process and decision on its vision and strategic direction in the light of the Secretary-General's position.

UNODC is limited in its ability to ensure that all priority areas have adequate funding from the small amount of flexible finance it receives. The volume and share of earmarked voluntary contributions – "special purpose funds" – have been rising, reflecting higher donor investment in its activities. But core resources (general purpose funds and regular budget) have been declining in real terms and relative to non-core resources for several years. In financial year 2018, 86% of UNODC's total expenditure (USD 333 million) derived from earmarked special purpose funds; 6% from programme support costs funds, charged against special purpose contributions; and only 1% from unearmarked/general purpose funds (USD 4.7 million). A further USD 22.4 million, or 7%, of expenditure, came from UNODC's regular budget contribution. The volume of core resources UNODC receives is insufficient to finance functions that in other institutions would be considered integral (e.g. evaluation, gender, results management systems). UNODC must rely on special purpose funds – earmarked donor funds – to finance these functions. Most of its normative work is also financed from earmarked funds. UNODC is well below the average of the UN development system entities in terms of the share of core resources it receives. UNODC noted in a presentation to member states that the average for seven UN entities in 2016 was 22%;[2] for UNODC, the share was 10% in 2016 and declined to 7.6% in 2017 and 6% in 2018.

The operating model appears to support implementation of the strategic plan to a limited extent. UNODC's operating model is a function of its financial framework. UNODC is overwhelmingly reliant on tightly earmarked, often short-term donor contributions. As much as 90% of its total budget derives from voluntary donor contributions. It is therefore, to cite a phrase used by several interviewees, "donor driven". This is one of UNODC's fundamental challenges, of which it is keenly aware. Its ability to deliver value to beneficiaries is driven by what its donors are willing to finance. It has limited capacity to strategically commit resources to either thematic areas of its mandate or to target groups that it would consider priorities, unless donors are willing to provide finance.

UNODC recognises that its financial framework prevents it from delivering its mandate effectively. UNODC documents note that the lack of general purpose funds hinders its ability to: (i) strategically manage its operations; (ii) improve management processes; (iii) exercise effective corporate oversight; (iv) fund key activities; and (v) launch new initiatives and programmes. UNODC's external audits have also reflected the continuing trend and the same negative impact on UNODC's capacity to implement its mandate. This funding pattern hampers UNODC's ability to undertake sustainable planning or achieve long-term objectives since the financing of a significant share of activities and staff costs are only secured on an ad-hoc and short-term basis.

UNODCS's organisational architecture is only partially congruent with the strategic plan. Interviews indicated that there are several elements of the organisational architecture that stakeholders consider in need of reform: some mentioned a lack of clarity and collaboration between headquarters' units and between field entities. They noted a sometimes unhelpful gap between them, and the division of labour and allocation of responsibility is not sufficiently clear.

Some consider that UNODC is not doing enough to ensure it adapts to and aligns with the new UN development delivery model. Interviewees raised concerns that UNODC as an organisation has not yet reviewed its business model in the light of the ongoing UN development system reform and has not yet identified and communicated internally or externally how it will adapt. There does not appear to have been organisation-wide discussions on this challenge and opportunity. However, the Division of Operations, which is responsible for the delivery of field-level interventions through UNODC's regional and field network, has initiated an internal review of how UNODC needs to adapt. But the Office does not appear yet to have identified its strategic position and developed a corresponding and sufficiently comprehensive change management plan. UNODC is not helped by the fact that the centre of gravity for these changes is New York, where it has inadequate representation. When UNODC conducts a comprehensive review

2. UNODC, "Matching UNODC Fundamental Roles with Core Resources". Presentation to FINGOV. April 2019.

it would need to include the role and fit of global and thematic programmes delivered by headquarters and in line with UNODC's normative mandate and member states' needs. These programmes are sometimes designed without adequate alignment to country needs and existing UNODC programming.

UNODC's de facto operating model, while in principle allowing for co-operation across the organisation and with other agencies, also sometimes undermines the potential for internal collaboration. In practice, UNODC's operating model incentivises staff to secure donor funding to finance the vast majority of UNODC's activities. Interviewees noted that there is often competition between units for donor funding: competition between headquarters entities and field offices and between headquarters entities themselves. The incentives for collaboration across the organisation are weakened by the imperative to raise funds that can be managed to sustain a unit's or programme's activities and staff. While there are cases of strong cross-organisation working, internal competition and a lack of internal collaboration were strong enough concerns to be raised by many of those interviewed.

UNODC has a strategic results framework in place, with accountability for normative and programmatic results, but the Office does not yet track the delivery of results. There is a clear accountability trail for the achievement of normative results within UNODC. Branches and divisions within the Secretariat are responsible for delivering subprogrammes – in which normative results are embedded – and they are also in principle accountable, under the authority of the Executive Director, for their programmatic results. The subprogrammes in UNODC's 2018-19 strategic framework define the results that the Office aims to achieve; they relate to each element of its normative mandate. Funding is allocated to the normative work in UNODC's biennual budget document and is clearly identified within each of the subprogrammes. UNODC's ability to track programmatic results is not yet effective, as outlined under KPI 7.

A UN Secretariat initiative to introduce annual programme and budget cycles risks driving UNODC to focus on short-term activities. UNODC's governing bodies renew and review the strategic plan every two years, and, in step, the Programme and Budget is produced every two years. Beginning in 2020 and on a trial basis, the Programme and Budget will be reviewed on an annual basis. Unless UNODC can develop a longer-term strategic vision, the assessment team considers that the change risks encouraging UNODC to focus on what can be achieved in an even shorter timeframe (one rather than two years) – further promoting an operational rather than strategic focus.

UNODC is seeking to introduce incentives to encourage donors to provide more flexible/un-earmarked funding at global and country levels, but this initiative has had limited impact to date. UNODC is trying to raise multi-year funding and manages to obtain longer-term commitments in some cases. It is structuring regional and country programmes in ways that allow donors to provide support to multi-year elements of the programme. It concluded multi-year funding agreements with Australia and Qatar in 2016 and with Germany, Norway and the United Kingdom in 2018. However, a significant proportion of donors continue to provide small funding commitments that are often only valid for one year and are also often earmarked for very specific purposes. Sweden, on the other hand, has a track record of providing flexible funding. In April 2019, UNODC presented to FINGOV a document applying the proposed Funding Compact to UNODC. The UN's Funding Compact aims to raise core contributions to the UN to 30% of their budgets to help them support the achievement of the SDGs. UNODC also invited member states to engage in a dialogue to explore whether donors are prepared to attach support to financing initiatives that UNODC considers its "fundamental roles". These have yet to yield results.

KPI 2: Structures and mechanisms support the implementation of global frameworks for cross-cutting issues at all levels.

This KPI looks at the articulation and positioning within UNODC's structures and mechanisms of the cross-cutting priorities to which the organisation is committed, in pursuit of its strategic objectives.

UNODC has structures and mechanisms to support the implementation of global frameworks for cross-cutting issues on gender, human rights and governance but not, to date, on climate change or the environment. Its framework in relation to gender has only recently been developed, and there was little evidence of implementation at the time of the assessment. UNODC's mandate is to promote key aspects of good governance, and this is a genuine strength.

UNODC has a clear strategy on gender equality, but it is too soon to identify results, and the strategy depends highly on future earmarked donor funding. The UNODC Strategy for Gender Equality and the Empowerment of Women was approved in December 2017 and is still in the early stages of being implemented. The Action Plan to operationalise the strategy was adopted in December 2018 – leaving just six months for implementation in the assessment period (January to June 2019). UNODC has established a system of gender focal points, is training staff on gender equality and is beginning to use gender screening checklists for new interventions. But, as the strategy and action plan were in the early stages of implementation at the time of this assessment, there was not yet any consolidated evidence showing their use. Reflecting UNODC's lack of core funding, its gender equality and mainstreaming work (staff and activities) is funded by extrabudgetary funds and is framed as a "global programme". UNODC is dependent on future donor commitments for its gender work, and therefore its sustainability is not guaranteed. The gender unit and programme have been placed within the Office of the Executive Director.

Gender equality indicators and targets have recently been integrated into the organisation's strategic plan and corporate objectives. UNODC aims to deliver against 14 targets (or strategic performance areas), with 2019 as the mid-term and 2021 as the end-of-term targets. The targets are based on the five-level rating system of the UN System-wide Action Plan framework, which allows UN entities to assess themselves and report against each performance indicator. Specific actions for reaching the targets and monitoring implementation are outlined in the action plan for 2018-19. Accountability systems (including corporate reporting and evaluation) that reflect gender equality indicators and targets are being put in place, but there is not yet evidence of their use.

UNODC does not have a dedicated, Office-specific policy statement on environmental sustainability and climate change but is expected to implement a recent UN Secretariat policy framework. As a UN Office, UNODC is obliged to endorse UN-wide policies on environmental sustainability and climate change. It subscribes to the Ten Principles of the UN Global Compact, three of which relate to the environment. UNODC, alongside the United Nations Office in Vienna, is a member of the interagency Issue Management Group on Environmental Sustainability. The group created the Strategy for Sustainability Management in the UN System 2020-30, which was endorsed by the High-Level Committee on Management. The UN also adopted a UN Secretariat Climate Action Plan in September 2019, which was in draft form at the time of the assessment. UNODC can be expected to implement both over the coming years.

Despite the lack of an Office-specific policy, UNODC implements programmes that support environmental sustainability. Its Alternative Development interventions, which promote alternatives to illicit crop cultivation – notably in Colombia, Laos and Myanmar – aim to prevent forest degradation. They support the preservation and sustainable use of natural resources through land stabilisation projects and by helping to build resilience in communities affected by climate change. UNODC's Global Wildlife and Forest Crime Programme also contributes to environmental sustainability by combatting illegal threats to biodiversity – assisting countries to combat illegal logging, wildlife poaching and trafficking, and fisheries crime and corruption.

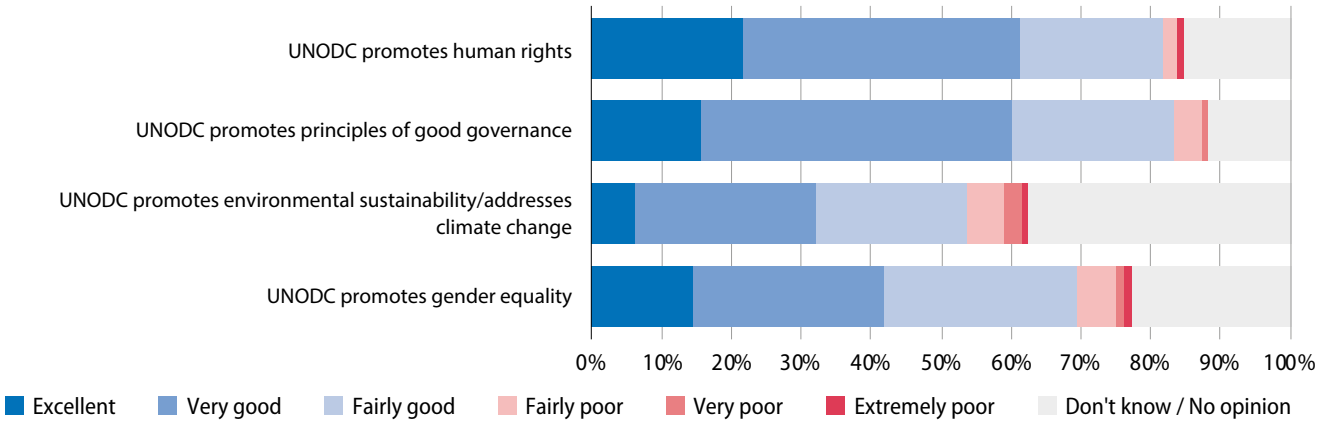
Good governance is at the core of UNODC's mandate and represents one of UNODC's primary strengths. Given its mandate and operational focus, UNODC has the necessary structures and mechanisms to help implement global frameworks for cross-cutting issues relating to good governance. UNODC's core mandate concerns promoting good governance. It aims to help countries "foster good governance, robust criminal justice systems that observe human rights, security sector reform and, consequently, also sustainable development, through strengthening states' capacities to prevent, confront and defeat transnational organized crime". In terms of its priority governance areas, UNODC focuses on countering transnational organised crime, combatting drug use, countering corruption, preventing terrorism and ensuring justice. Sixty percent of respondents to the MOPAN partner survey considered that UNODC's promotion of good governance is "excellent" or "very good"; while 62% held the same views with respect to its work in promoting human rights. The majority of UNODC's stakeholders surveyed were aware of UNODC's approach to good governance: 57% stated they know it very well or know a fair amount about it. See Figure 2.1 for views on UNODC's performance on all cross-cutting issues.

A real strength of UNODC's is its track record of mobilising innovative multifaceted, mutually reinforcing interventions to resolve complex governance problems. Its work to tackle organised crime is an example of how it can combine multiple tools to address complex problems. UNODC supports states to build their capacities to prevent, investigate and prosecute organised crime by providing technical assistance. It helps authorities to develop crime prevention strategies and build capacities for investigation and prosecution, including training staff of law enforcement agencies, customs and border agencies, prosecutorial offices, the judiciary, and financial intelligence units. UNODC also promotes and strengthens international co-operation among law enforcement and judicial practitioners through regional networks and anti-organised crime units, and it has developed software tools and databases to facilitate information sharing. It has taken similar multifaceted approaches to addressing cyber-crime and terrorism, as well as the social and health costs of drugs use.

Good governance indicators and targets are integrated into UNODC's strategic plan and corporate objectives as part of results frameworks for UNODC's nine subprogrammes. Because each of UNODC's subprogrammes essentially focuses on improving governance, all UNODC's accountability systems (including corporate reporting and evaluation) reflect good governance indicators and targets.

UNODC's mandate in the security and justice sector gives it the responsibility to safeguard and promote human rights. UNODC works in the security sector with law enforcement agencies that in some countries could be associated with human rights abuses; some of the law enforcement capabilities it provides could be abused to

Figure 2.1. Cross-cutting issues



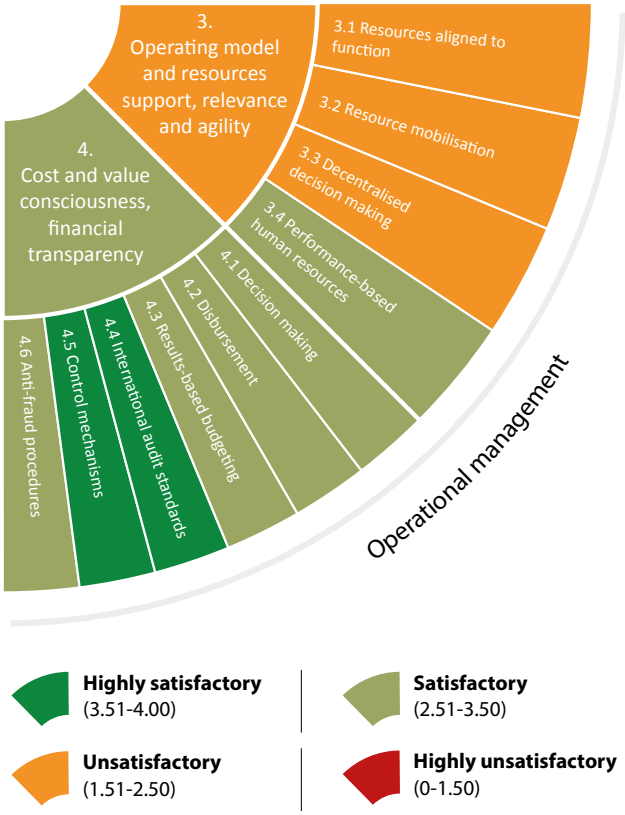
Source: Based on responses to the 2019 MOPAN External Partner Survey: UNODC, June-July 2019.

harm human rights. In terms of safeguards, UNODC is obliged to implement and report against the UN's Human Rights Due Diligence Policy (HRDDP). In its report on implementation in 2017, the UN noted that UNODC is among entities that took "significant steps in progressing implementation" of the policy and has systems in place to promote compliance. The Office has established a Human Rights Advisory Group, composed of UNODC senior managers from all divisions. In addition, its Programme Review Committee is tasked with ensuring that all programmes comply with human rights-related requirements through its Human Rights Advisory Group, which addresses HRDDP implementation and provides advice to UNODC's Executive Director. While UNODC has these systems and procedures in place, two interviewees considered that, in practice, they may not be implemented adequately and equally across the organisation – and that some interventions in sensitive areas lack sufficient scrutiny. This assessment did not have the scope to examine the extent to which these concerns were justified and simply noted these views. UNODC may wish to review the robustness of its compliance systems.

UNODC also delivers human rights risk mitigation measures in its programmes. For example, the Office is mandated to promote the application of UN standards and norms with respect to the UN Standard Minimum Rules on the Treatment of Prisoners (Nelson Mandela Rules), the UN Principles and Guidelines on Access to Legal Aid, and the Basic Principles on the Use of Force and Firearms by Law Enforcement Officials.

PERFORMANCE AREA: OPERATIONAL MANAGEMENT

Assets and capacities organised behind strategic direction and intended results, to ensure relevance, agility and accountability.



UNODC has adequate financial management systems for its programmes; however, its de facto operating model and the scarcity of core resources greatly circumscribe its ability to direct resources to either programmatic or corporate strategic priorities. UNODC is waiting for the next iteration of the UN Secretariat-wide Umoja information technology platform (Umoja Extension 2)[3] to be able to strengthen its systems. The structural relationship between the Division for Management and UNODC requires the former to report to UNODC's Executive Director/Director-General and makes it accountable to the UN Secretariat. Interviews indicate that staff in UNODC consider that the Division for Management interprets UN Secretariat regulations conservatively and that this impedes UNODC's ability to deliver.

UNODC's donors largely determine how resources are allocated. UNODC has limited discretionary finance – unearmarked funding – and therefore highly depends on donors' priorities. It has limited freedom to choose interventions and allocate resources to partners. UNODC does seek to apply principles of results-based budgeting, and its systems for doing this are relatively mature. UNODC's external and internal audit functions fully meet

3. Umoja is the UN Secretariat's implementation of Enterprise Resource Planning software intended to simply the management of finances, resources and assets and implemented by all the Secretariat's entities, including UNODC. Umoja Extension 2 will cover areas not previously automated and extend the user base. It will allow donors, vendors, implementing partners and member states to access data.

all international standards, and it has in place systems to address issues and concerns raised by internal control mechanisms. UNODC adopts and implements the policies and procedures of the UN Secretariat to prevent, detect, investigate and sanction cases of fraud, corruption and other financial irregularities.

KPI 3: The operating model and human and financial resources support relevance and agility.

This KPI focuses on how key operational functions (e.g. human resources, resource generation and programming) are continuously geared to support strategic direction and deliver results.

The way that UNODC mobilises resources complicates delivering of its core mandate and strategic priorities. In practice, resource mobilisation in UNODC is highly decentralised, and responsibility is devolved to units that manage funded programmes. Staff need to secure funding to ensure the continuity of existing programmes, fund new programmes, and continue paying the salaries and support costs of their units or field offices. The fact that individual programme managers and staff in headquarters branches and field offices are responsible for raising funds for "their" programmes encourages internal competition for resources and at least partially explains the multitude of global programmes. Predictable and flexible funding remains a challenge for UNODC to support the 2030 Agenda and address the growing demands of member states.

The volume of funds UNODC receives is increasing, but the ratio of flexible funding is diminishing. As indicated in Figure 1.1 in Chapter 1, the proportion of unearmarked funds it receives is declining. In 2010, 14.5% of its funding was either regular budget or general purpose funds. In 2017, this had halved to 7.6%. The low levels of unearmarked or softly-earmarked funding are a key challenge to effectively implementing the mandates and programmes and put a strain on UNODC's management, co-ordination and normative functions. In mid-2018, UNODC produced a resource mobilisation and partnerships strategy that sought to increase unearmarked donations as well as raise funds per se. Donor funding increased from USD 355 million in 2018 to USD 416 million in 2019, but tight earmarking continued. UNODC has not yet succeeded in making itself less driven by donors' priorities.

The incentive to pursue extrabudgetary programme support has led to internal competition for resources and undermines internal collaboration. UNODC's resource mobilisation strategy does not contain measures to reduce competition for resources between headquarters entities themselves and between headquarters and field offices. This tendency has been noted in several reports and was reflected in assessment interviews and the stakeholder survey. For example, an in-depth mid-term cluster evaluation of the Global Programme against Trafficking in Persons and the Global Programme against Smuggling of Migrants stated that the "lack of [regular budget] across UNODC at large, puts of a lot a pressure on the programme teams to raise funding, which causes internal competition and by consequence a lack of integrated and co-operative programming across sections, field offices as well as within the same units".

There is mixed evidence on whether institutional procedures support or hinder the speed of implementation: they appear fit for purpose, though staff expressed concerns that they would benefit from further streamlining. UNODC's implementation systems are proven and mature both in headquarters and in country contexts – they have been used to implement many high-volume programmes. However, some interviewees considered that UNODC needs to improve its institutional procedures by modernising and streamlining its administrative and management systems.

Staff in management and delivery roles consider that UNODC currently gives insufficient operational decision-making autonomy to offices at country and regional levels. Several interviewees from headquarters and field entities alike expressed the view that UNODC is over-centralised. As noted above, they considered that the Division for Management applied UN Secretariat rules and guidelines conservatively: they expressed concern that this jeopardised the ability

to deliver effectively. They considered that they have a responsibility to raise programme funding but very limited decision-making authority over routine implementation issues.

An early 2019 UN Secretariat policy on delegated authority may help UNODC streamline delivery, which staff would welcome. UNODC has inherited a new delegated authority framework from the UN Secretariat. The ambition underpinning the policy is to streamline delivery. At the time of the assessment, it was not clear what impact it would have. As of June 2019, there was a lack of clarity regarding how UNODC would implement it.

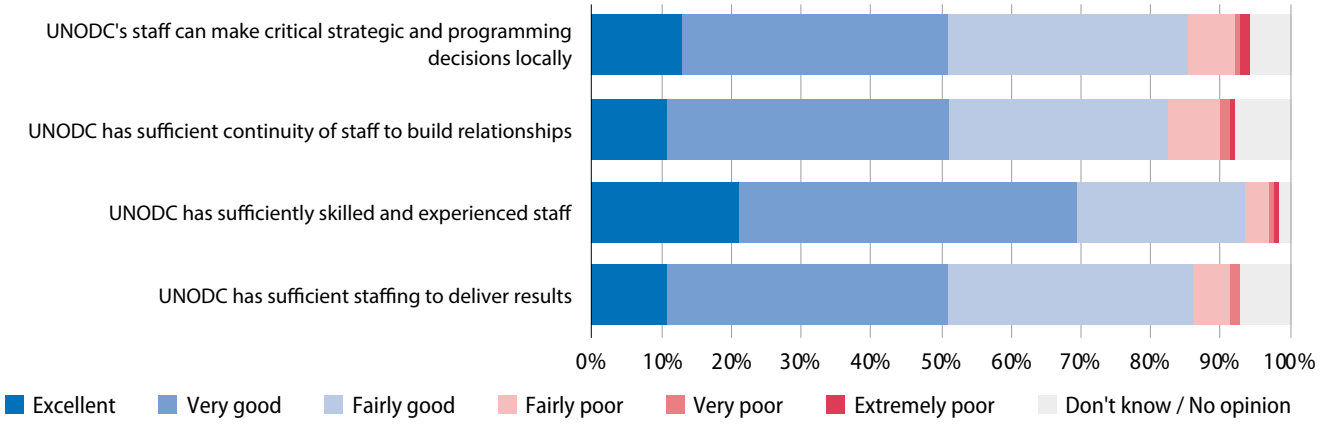
The UN Secretariat's new delegated authority policy risks introducing new blockages in relation to procurement. Concern was raised within UNODC that new guidelines on procurement may make it more rather than less difficult to decentralise procurement, as they now require the sub-delegation of procurement only to specialist procurement staff. UNODC does not have enough specialists in its field offices to conduct decentralised procurement under these terms. At the time of the assessment, UNODC was presenting its concerns to the Department of Management Strategy, Policy and Compliance and the Department of Operational Support to seek to mitigate this potential impact. The UN Secretariat apparently introduced the policy without consulting UNODC. In late 2019 and early 2020, the Secretariat was to introduce more fundamental changes to which UNODC will need to adapt: the UN General Assembly was scheduled to announce its decision at the end of 2019 on Secretariat proposals for a new global service delivery model. UNODC would be expected to implement it in 2020.

The relationship between UNODC's policy/programme divisions and the Division for Management is complex, and institutional incentives may not be aligned to promote responsiveness. UNODC's Division for Management, while functionally part of UNODC, is also part of the United Nation Office in Vienna (UNOV). Through this Division, UNOV provides UNODC with corporate services, including human and financial resources management, procurement, and information technology and communication services. UNODC's Executive Director is simultaneously the Director-General of UNOV (by appointment by the UN Secretary-General). UNODC and UNOV have equal status as Offices outside the main UN Secretariat headquarters.

While UNOV provides services to UNODC, UNODC cannot choose which entity supplies them. The Executive Director of UNODC has an institutional incentive for UNOV to continue to provide services to UNODC. During interviews, the assessment team consistently heard concerns from staff of other divisions that the Division for Management absorbed too high a proportion of core resources and staff. Also, although the allocation of programme support cost resources are governed by the financial regulations and rules applicable to UNODC (ST/SGB/2015/4), staff considered that the allocation and use of programme support costs were not sufficiently transparent. As mentioned above, staff also consider that the Division for Management's interpretation of UN Secretariat regulations is often "narrow" and impedes UNODC's ability to deliver (in relation to issues such as human and financial resource management). The assessment team is not in a position to comment on the justification for these concerns. However, they point to a need to take a closer look at the situation, and to take remedial action if necessary, to prevent these tensions from hampering UNODC's operational effectiveness.

UNODC seeks to align and adjust its organisational structures and staffing but has limited room for manoeuvre. The scarcity of core resources circumscribes UNODC's ability to direct resources to either programmatic or corporate strategic priorities. In its 2020 budget, UNODC anticipates that, of its 634 core staff, only 124 posts (20%) will be funded by the regular budget: 510 will be funded by extrabudgetary resources. All other staff will be on donor-funded contracts. UNODC is limited in its ability to deploy resources – independent of donor programme funding – to functions that ordinarily would be financed by core funds. As mentioned above, evaluation, results-based management and gender mainstreaming are all examples of functions that have had to be "projectised" and that depend to some extent on continuing donor funding. See Figure 2.2 for stakeholder views on aspects of staff performance.

Figure 2.2. Staffing



Source: Based on responses to the 2019 MOPAN External Partner Survey: UNODC, June-July 2019.

UNODC has robust human resource management systems. As part of the UN Secretariat, UNODC is obliged to implement all the Secretariat's human resource management policies and systems. These have been designed to support the achievement of results and are detailed and comprehensive in all the aspects one would expect. UNODC has a programme to strengthen its implementation of these policies. With respect to performance management, some staff felt that success in fundraising is valued and rewarded over other professional competences. A number of interviewees considered that staff are "judged on the basis of their ability to attract funds" rather than on other professional competences and that fundraising performance also informs promotion and postings prospects. This is a logical consequence of UNODC's dependence on individual programme managers for securing funding for their programmes. This incentive is also likely to lead to competition rather than collaboration across the organisation.

UNODC is considering how to engage better with the emerging UN development system in the field, but there is not yet an agreed way forward. Several interviewees, echoing the Secretary-General's call to focus on taking the UN closer to its ultimate beneficiaries, considered that UNODC should rebalance its staffing profile so that a smaller proportion of staff are based in headquarters and more are closer to the point of delivery in the field. Some individual branches have rebalanced the ratio between headquarters and field locations of their staff. But there does not appear to have been a systemic review or a policy to pursue this change.

KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency and accountability.

This KPI examines how UNODC uses its external and internal control mechanisms to meet the standards it sets on financial management and transparency.

UNODC seeks to allocate resources in line with its current organisational priorities and goals, but the scarcity of core funds limits its scope to do so. Flexible core funds (regular budget, general purpose funds) are scarce and in high demand. Some interviewees considered that the allocation of these scarce core funds is not strategic in practice, claiming that the funds are spread so thinly as to have little strategic impact. The assessment team also heard repeated concerns from staff that the Division for Management absorbed too high a proportion of core resources and that the allocation and use of programme support costs were not sufficiently transparent. Whether or not this is true – which is difficult to assess – it indicates a need for a more explicit and transparent approach.

UNODC applies the principles of results-based budgeting, and its systems for doing this are relatively mature; but the Office's ability to systematically track costs from activity to result is dependent on the UN Secretariat upgrading the shared platform Umoja. UNODC's recent organisational budget – and its composite budgets – align financial resources with strategic objectives and intended results of the current strategic plan. The 2018-19 consolidated budget and the 2018-19 programme budget match financing with objectives for the biennium: the objectives, expected "accomplishments" and indicators of achievement are identified along with the resources allocated. UNODC's budget document provides clear costings for the achievement of each management result. In the consolidated budget for the biennium 2018-19, budget tables show the distribution of resources by components and by programme of work, and they cost for the biennium's objectives, expected accomplishments, indicators of achievement and performance measures.

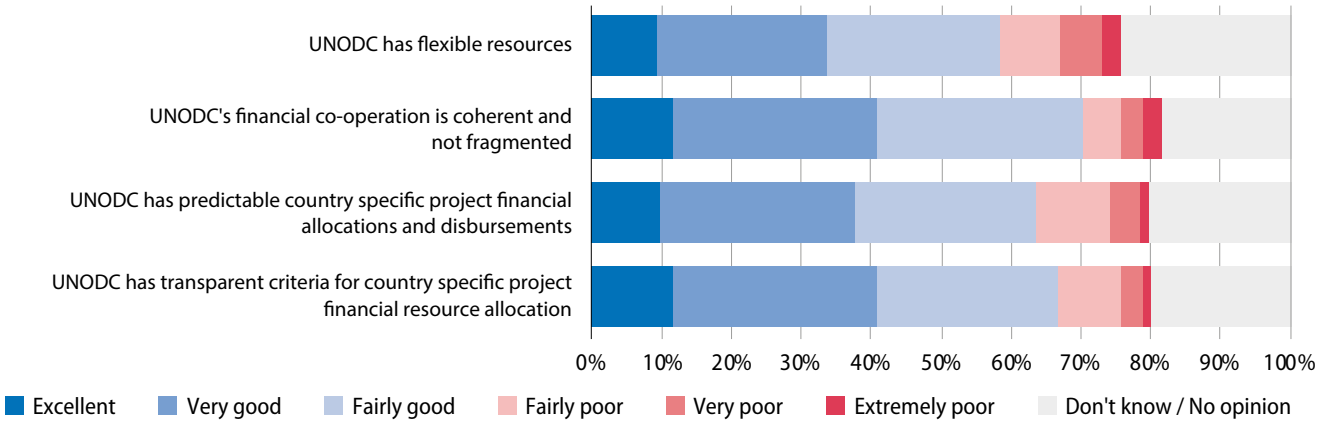
Because UNODC has limited discretionary finance – unearmarked funding – it is highly dependent on donors' priorities: its donors therefore largely determine how resources are allocated. The Office has limited freedom to choose its interventions and in turn allocate resources to partners. However, it does have discretion over the use of its regular budget (7%, USD 22.4 million in 2018) and its programme support costs (6%, USD 21.4 million in 2018). These resources are mostly allocated to core costs and rarely to partners or development interventions.

UNODC has adequate policies and systems to allocate and manage donor funding and to manage recipient partners. UNODC's Framework on Engaging External Parties and associated manuals provide the overarching framework: they set out the principles and criteria guiding how staff should select both implementing partners and grant recipients and how to engage external parties. A 2017 internal audit report on the adequacy and effectiveness of the Framework for Engagement of External Parties concludes that it generally achieved its objectives while noting that some aspects of the framework and implementation need to be strengthened. A UN Office of Internal Oversight Services review of 24 contribution agreements made under one global programme (Strengthening the Legal Regime against Terrorism) concluded that controls and disbursement of earmarked funding were adequate. When the next iteration of the UN Secretariat-wide programme and financial management platform, Umoja Extension 2, is introduced, UNODC should be able to map the entire contract and partner system and monitor it on one unified database. At the time of the assessment interviews, the new Umoja function to track projects had been designed by the UN Secretariat without any substantive input from UNODC: staff pointed out that, due to the lack of consultation, there is a risk that it does not fully meet UNODC's needs.

UNODC's extension and approval procedures have been changed to allow for flexibility in partnerships. UNODC has differentiated planning, extension and approval processes for lower- and higher-value revisions to projects. These proportionate controls enable agility within partnerships and appear to allow changes within a reasonable timeframe. Evaluations have identified bottlenecks in implementation, and UNODC is looking to speed up its processes; however, any changes are too recent to be reflected in this assessment.

Across the Office, allocated resources are generally disbursed as planned, and UNODC has systems in place to track variances. Each programme sets clear targets for disbursement to partners and for disbursement by UNODC staff for projects under direct implementation. Costed workplans set out key activity milestones and the quarter they are supposed to be implemented. Programme management staff are responsible for continuously monitoring whether financial targets are met. In case of variances, staff must fill out specific forms to record what corrective action is taken or planned. There are two reports a year on each UNODC intervention submits two reports a year, which include reporting on variances. Variances generally result from a combination of internal and external factors. Stakeholder views on UNODC's financial resource management are presented in Figure 2.3.

Figure 2.3. Financial resources



Source: Based on responses to the 2019 MOPAN External Partner Survey: UNODC, June-July 2019.

UNODC's costing of management and development results has improved over time. UNODC has progressively improved its costing of standard budget inputs – making programme budgets more accurate. UNODC's introduction of the full cost recovery model in the 2014-15 consolidated budget – and the resultant need to accurately calculate direct and indirect costs – increased its ability to cost inputs more precisely. At present, systems are able to track costs from activity to result only at a relatively high level. At programme level, managers use workplans (normally costed by activity) to monitor implementation in quantitative terms. These are not online, which makes office-wide analysis complex: at present Umoja lacks modules to track programme management. Umoja Extension 2 will introduce this facility when it is rolled out.

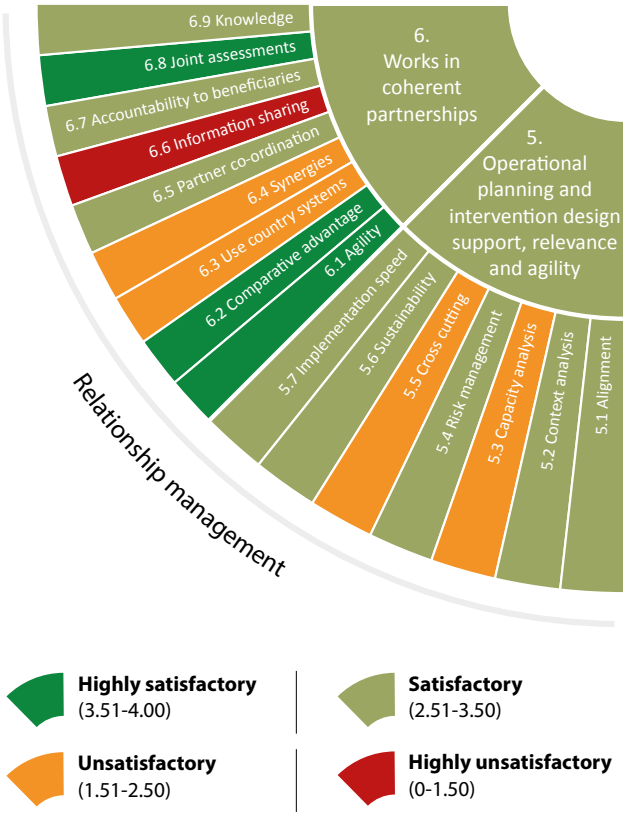
UNODC's external and internal audit functions fully meet all international standards. External audits for the 2017 and 2018 financial years confirm UNODC's compliance with international financial management standards. The Office provides audit responses and tracks its performance in responding to and implementing recommendations. The UN Secretariat provides UNODC's internal audit function, which is in Geneva, not Vienna. Internal audit reports issued by the UN Office of Internal Oversight Services (OIOS) are publicly available and easily found on OIOS' website. However, they are difficult to find on UNODC's own website using its search facility.

UNODC has systems in place to address issues or concerns raised by internal control mechanisms. These systems are mandated by UN Secretariat policies, and the Office of Internal Oversight Services is responsible for ensuring UNODC adheres to them. UNODC reports on its implementation of audit recommendations in its biennual budget documents and the Audit Board reports against progress in its annual audits. It states that 62% of recommendations made in its 2017 audit were under implementation at the end of 2018, meaning that a sizeable proportion of recommendations were not yet met after 12 months.

UNODC implements the policies and procedures of the UN Secretariat to prevent, detect, investigate and sanction cases of fraud, corruption and other financial irregularities. UNODC is subject to the UN Secretariat's internal and external oversight bodies, namely: OIOS, the Board of Auditors, the Joint Inspection Unit and the Independent Audit Advisory Committee. The External Audit Board has identified certain shortcomings, which UNODC is in the process of addressing. UNODC has developed its own risk register, and an interdivisional team is developing risk mitigation plans. UNODC anticipates that this will be available on its intranet in the third quarter of 2019.

PERFORMANCE AREA: RELATIONSHIP MANAGEMENT

Engaging in inclusive partnerships to support relevance, to leverage effective solutions and to maximise results (in line with Busan Partnerships commitments).



Partnerships are central to UNODC's mandate and operating model, and the organisation has a rich network. UNODC plays a leading global role in monitoring compliance with specialist norms and standards and SDG implementation. It regularly generates high-quality knowledge that supports this and influences the framing of global norms. However, evaluations have noted a tendency for its research to be conservative – a trend that, if continued, could undermine the integrity of its research.

Planning and programming procedures contain clear mechanisms to promote relevance through context analysis, alignment with national priorities and the ability to adapt its interventions – though UNODC needs to ensure that global and thematic programmes are delivered consistently in line with country needs. UNODC has a track record of building capacity that is likely to be sustained in specialist areas but has a mixed record for country-level interventions. Some of UNODC's institutional procedures have been found to slow implementation, while improvements rely to some extent on the broader policies of the UN Secretariat. UNODC is working on strengthening its approach to risk identification and mitigation; however, the transparency of its data is currently at a very basic level.

KPI 5: Operational planning and intervention design tools support relevance and agility within partnerships.

This KPI focuses on the scope and robustness of UNODC's processes and practice to support timely, flexible and responsive planning and intervention design for partnerships.

Country programmes tend to be well aligned with national priorities. UNODC links country programme results and monitoring frameworks to national priorities. When surveyed, UNODC's partners were positive about UNODC's ability to carry out interventions that are appropriate to the context: 22% considered that UNODC is "excellent" at ensuring its interventions fit national programmes and results, and 45% said it is "very good" at doing so. Stakeholders' views on key elements of UNODC's operational performance are presented in Figure 2.4.

However, while some of UNODC's global and thematic programmes align with member states' needs and with UNODC's normative mandate, others were judged to be less well aligned and sometimes to duplicate in-country efforts. Certain global and thematic interventions are designed with insufficient attention to local needs or priorities and allow for duplication. Those designing global and regional programmes are not required to consult staff responsible for countries' strategies. This appears to be a gap in either UNODC's policies or its practice. Interviewees cited instances in which interventions financed by global programmes were "parachuted" into countries without consultation with the local office, sometimes duplicating existing work.

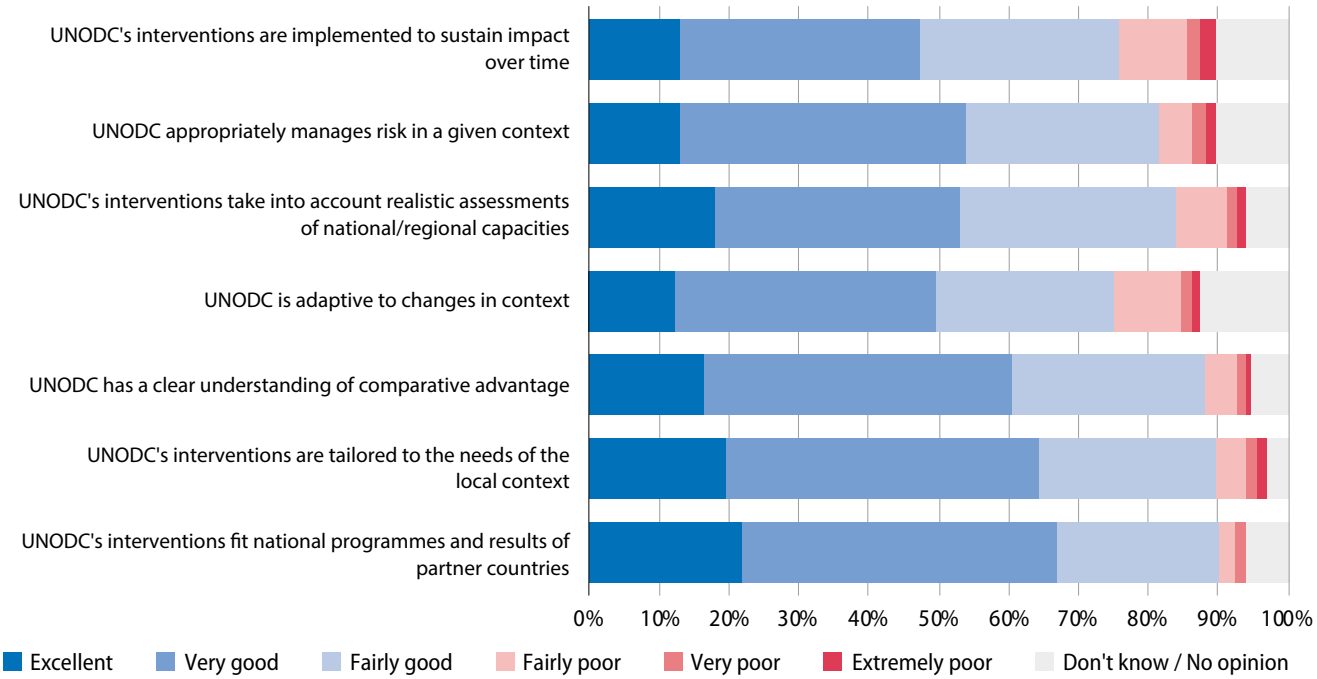
Country programming is based on strong governance analysis. As could be expected, situation analyses tend to examine governance and fragility issues closely. Global and regional programmes are weaker on contextual analysis, largely because of the broader target context. In terms of cross-cutting issues, UNODC's programmes address gender, human rights and governance issues, but, at the time of this assessment, were not yet required to address environmental issues or climate change. As noted in relation to KPI 2, UNODC has only recently spelled out its strategy on gender mainstreaming, so the inclusion of a gender-sensitive approach in intervention designs is likely to be stronger in future.

UNODC national programmes tend to analyse pre-existing capacity, and this informs intervention design. National programmes appear to undertake detailed capacity analysis for target recipients; regional and global programmes seem to do so to a lesser extent.

UNODC has developed innovative e-learning, with global reach, as well as specialist toolkits to assist its face-to-face capacity-building support. The Justice Section of UNODC's Division of Operations produces a broad range of products that serve as tools to help practitioners both perform specialised capacity analysis and develop capacity. These products establish global standards in their specialist areas. UNODC's Global eLearning Programme contains over 400 modules covering governance issues such as wildlife crime, transnational organised crime, illicit drugs, the tracking in persons, the smuggling of migrants, and issues relating to border control, forensic investigations, controlled deliveries, security and travel documents, and intelligence analysis. The Global eLearning Programme allows UNODC to reach a much broader population than would otherwise be possible. The platform gives access to more than 1 000 manuals and guidelines. As of 2018, it had more than 42 000 registered users.

The quality of UNODC's capacity building activity is mixed: it has been judged highly effective in cases, but there are gaps in sustainability planning. Evaluations found evidence of both positive practice and weaknesses. For example, a 2017 evaluation-based analysis of UNODC's implementation of capacity building cites several examples of programmes that have used best practice to assess existing capacity. These programmes enabled trainers to follow

Figure 2.4. Design and implementation of interventions



Source: Based on responses to the 2019 MOPAN External Partner Survey: UNODC, June-July 2019.

up their training with bespoke support, thereby enhancing the chances of sustaining participants' capacity. UNODC's Global Programme against Money-Laundering was highlighted as demonstrating good practice. However, some evaluations have advised other UNODC programmes to include clear strategies for addressing weaknesses, with a view to ensuring any improvements are sustained.

Much of UNODC's normative work, by its very nature, aims to introduce sustained change, and UNODC has achieved success in driving systemic national policy changes. UNODC's interventions include both normative/standard setting programmes, some of which are global programmes designed to address the needs of member states, and country-level delivery programmes. UNODC's support to countries to implement international conventions and related protocols is aimed at securing sustained capability to deliver an enabling policy or legal environment; its interventions also seek to ensure partner governments or agencies have the capability to implement these normative standards. UNODC carries out this role with respect to a broad range of conventions and protocols (see KPI 1). Its ability to support reform processes using its regular budget in all jurisdictions is limited by resource constraints; but where extrabudgetary funds have been committed, it has been able to provide consistent and targeted support. UNODC's interventions show evidence of its attempts to support shifts in policy and legislation in a proactive way. One of many examples is from the Central Asia cluster evaluation of UNODC's law enforcement and border control programme, which facilitated the development of legislation that led countries to sign up to international conventions. As outlined under KPI 12, the sustainability of programmatic results is uneven: UNODC lacks the financial freedom to invest in building the sustainability of results, and donor funding for specific interventions is frequently short term.

UNODC is strengthening its treatment of risk at all levels and is developing stronger risk management standards. UNODC follows the UN Secretariat's guidance on Enterprise Risk Management, which itself is evolving. The risk registers of UNODC address strategic, political and operational risk, and reputational risk. UNODC liaises with the newly established Enterprise Risk Management unit within the UN Secretariat's Department of Management Strategy, Policy and Compliance to keep step with Secretariat guidance and lessons. Within the framework of the corporate Enterprise Risk Management, UNODC has developed risk registers and response plans for its field offices. Each programme document contains a risk assessment table which is monitored through a tripartite review mechanism (beneficiaries, funding partners and UNODC) that is generally established in each programme. Recent intervention designs now include detailed analysis of, and mitigation strategies for, operational risk – both in headquarters and for country or regional programmes. The assessment team reviewed the January 2019 Risk Register update by the Division of Treaty Affairs and found an impressively comprehensive and pragmatic treatment of risk.

KPI 6: Partnership working is coherent and directed at ensuring relevance and the catalytic use of resources.

This KPI looks at how UNODC engages in partnerships to maximise the effect of its investment resources and its wider engagement.

Donors' increasing support reflects their strong confidence in the Office's capacity to work with partners. UNODC's partnerships are based on its comparative advantages in technical knowledge, convening power, policy dialogue and advocacy. UNODC's government and donor partners highly value its specialist areas of competences, as well as what it contributes to partnerships. The steady increase in the value of extrabudgetary support it receives is a clear reflection that donors have confidence in the value of UNODC's contribution. UNODC's partners greatly respect the specialist skills and experience of its staff. Of the survey respondents, 21% considered the skills and experience of staff "excellent", and a further 48% judged them to be "very good". These are attributes that several member states highlighted. The clearest evidence that UNODC's partners value its capability is when developing country partners themselves fund UNODC programmes in their own countries. Colombia has commissioned UNODC to deliver a USD 200 million programme, 85% of which the Colombian government funds itself (in 2019-21). Figure 2.6 presents stakeholder views on different aspects of UNODC's work with partners.

UNODC has a track record of working in strong partnerships with national governments and has intensified efforts to engage with UN Sustainable Development Cooperation Frameworks (former United Nations Development Assistance Frameworks). In most of its operations, UNODC provides technical and policy development support directly to government counterparts. It therefore works with, and largely backs, government capacity and systems. UNODC participates in collective UN efforts to enhance coherence and efficiency at the country level by, among other things, aligning its planning and programming within Cooperation Frameworks; UNODC has recently committed additional core resources for this in high priority contexts. As noted elsewhere in this report, UNODC has not yet signalled its strategic alignment with emerging UN reforms.

UNODC strategies and designs clearly recognise the importance of synergies but UNODC is limited by the lack of flexible funding and inadequate representation in New York, in taking advantage of new opportunities. The Proposed Programme Plan for the Biennium sets expectations of synergies across the subprogrammes. UNODC's procedures ask staff to explicitly consider the potential for synergies at the design stage. However, because such a high proportion of subprogramme interventions reflect donor priorities rather than strategic priorities identified by UNODC's own analysis, it is hard for UNODC to deliver cross-subprogramme synergies, or to extend a programme to an adjacent geographical area, even if there are sound operational reasons for doing so. Some programmes have been able to build in synergies at the design stage: the project document for the Global Programme on Cybercrime is a good example of this. Staff consider that the low level of UNODC representation in New York prevents the Office from exploiting the potential for partnerships with other parts of the UN family, specifically with UN Peacekeeping.

Establishing dynamic and innovative multi-stakeholder partnerships is one of UNODC's key strengths. UNODC has established joint projects and co-ordination groups on a spectrum of subjects involving a broad range of partners within and outside the UN system. These include access to justice for children (the United Nations Children's Fund); gender equality and women's empowerment (UN-Women); drug prevention, treatment and rehabilitation (the World Health Organization); border management (the World Customs Organization); corruption (UNDP); trafficking in persons and migrant smuggling (the International Organization for Migration, the Office of the United Nations High Commissioner for Refugees and the Inter-Agency Coordination Group against Trafficking in Persons); and terrorism prevention (the Office of Counter-Terrorism of the Secretariat and the entities established in connection with the United Nations Global Counter-Terrorism Coordination Compact). The Office is also a co-sponsor of the Joint United Nations Programme on HIV/AIDS (UNAIDS) and is the substantive leader in the area of HIV prevention, treatment and care among people who use drugs, including in prison settings. UNODC is also engaged in delivering a Joint Action Plan with the Secretariat of the Organization for Security and Co-operation in Europe.

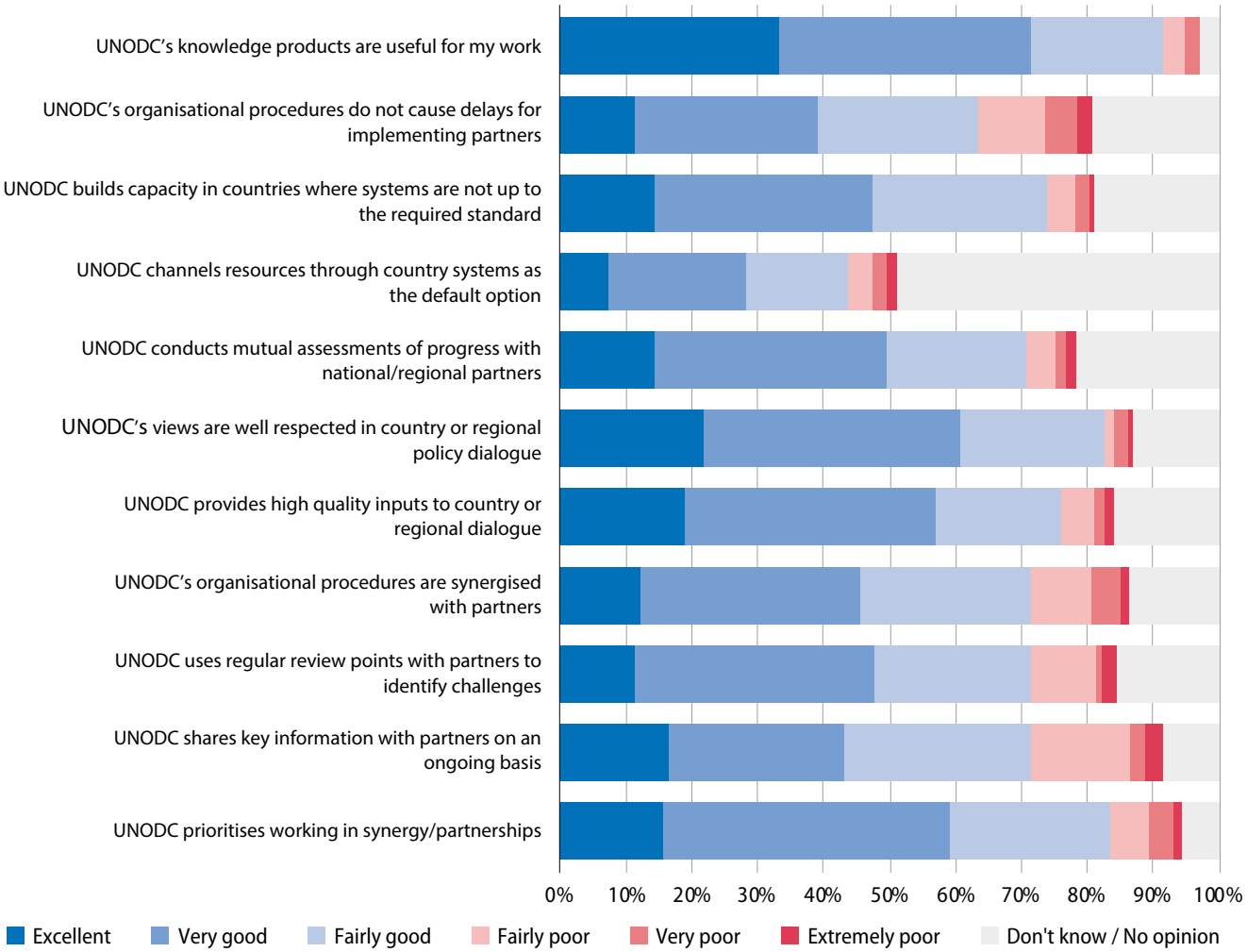
UNODC plays a leading role in joint monitoring of SDG implementation and other global standard-setting instruments. UNODC is the custodian of 15 SDG indicators on its own or jointly with other agencies. It has a particular focus on SDG 3, with its emphasis on combatting drug use, dependence and HIV; SDG 11 on safer cities; SDG 15 on wildlife crime; and SDG 16, with its targets of promoting the rule of law through addressing transnational threats such as organised crime, trafficking, terrorism and corruption. It has a mandate to lead in the assessment of globally agreed drugs and crime conventions. Headquarters-based sectors, regional offices and global programmes lead or participate in multi-stakeholder dialogue at the global, regional and national levels. UNODC is also involved at the country level in mutual assessments in its areas of competence, using its influence to encourage partner governments to improve performance. UNODC's work in support of a stronger consensus to tackle corruption is a good example of this: a December 2017 resolution and decisions of the Conference of the States Parties to the United Nations Convention against Corruption represent significant steps forward.

UNODC is highly respected for the quality of its specialist research reports, but the value of its research risks being undermined by a "culture of conservatism". The objective of one of UNODC's six substantive subprogrammes is to "enhance knowledge" of trends on drugs and crime to support evidence-based policy. UNODC's Research and

Trend Analysis Branch produces several flagship publications periodically, and there is strong evidence that these are used and valued. Individual programmes also tend to contain a research component. However, a recent cluster evaluation of research undertaken between 2011 and 2017 noted that UNODC "has allowed political concerns to take precedence over credible research" and that this has encouraged a "culture of conservatism" that is not in UNODC's long-term interest. Interviews confirmed that this is an issue of concern internally. UNODC's Research Branch is more dependent on programme funds than was the case historically; this further undermines its ability to maintain the independence of the topics on which it focuses and of its findings.

Information transparency is shallow, but further transparency depends on the UN Secretariat. UNODC lacks a clear corporate statement on the transparency of key programmatic information, and only a superficial level of corporate data is publicly available. On its website, UNODC has static graphs giving top-level figures of revenues and expenditure, expenditure by theme and region, and the number of donating member states. More generally, several links to documents on UNODC's public website lead to empty or outdated pages. The UN Secretariat has not yet signed up to the International Aid Transparency Initiative, and UNODC does not currently report outflows on the Creditor Reporting System of the OECD Development Assistance Committee. The Office is dependent on the UN Secretariat's forthcoming enhancements to Umoja (i.e. Umoja Extension 2) to be able to publish data according to the International Aid Transparency Initiative and on other Secretariat-led changes to improve to its website.

Figure 2.5. Managing relationships



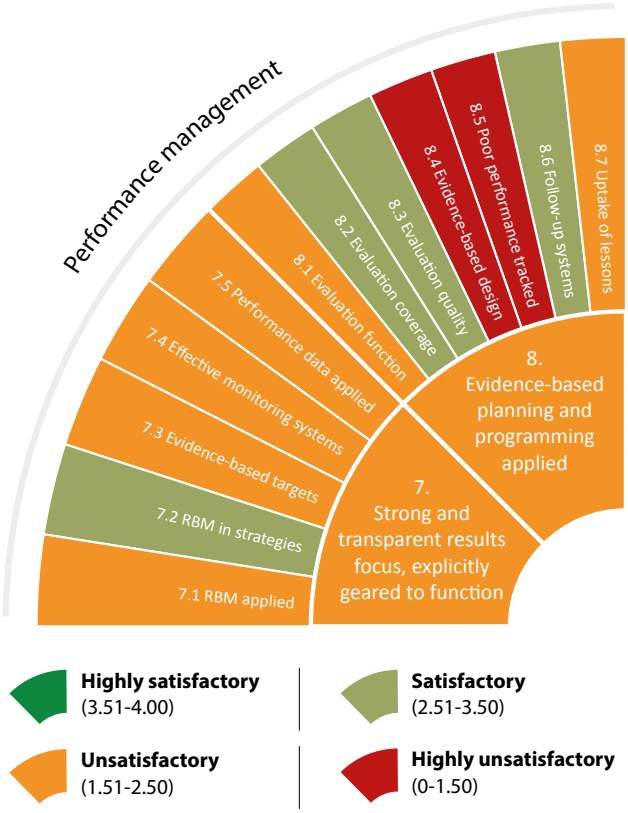
Source: Based on responses to the 2019 MOPAN External Partner Survey: UNODC, June-July 2019.

PERFORMANCE AREA: PERFORMANCE MANAGEMENT

Systems geared to managing and accounting for development and humanitarian results and the use of performance information, including evaluation and lesson learning.

As a UN Secretariat office mandated to assist member states in tackling illicit drugs, crime and terrorism, UNODC's work is both normative and operational. UNODC's scope includes three international drug control conventions, the UN Convention against Transnational Organized Crime and its three protocols, international legal instruments against terrorism, and the UN Standards and Norms in Crime Prevention and Criminal Justice. It also implements a large number of programmes in its areas of competence.

While recent results-based management (RBM) investments are a move in the right direction, the results focus of UNODC lacks resources and leadership to apply an RBM approach across the organisation. For 2019 the biennial Strategic Framework's corresponding programme plan includes an organisation-wide results framework. But the linkages between different levels and the new layers added to UNODC's corporate objectives remain unclear. Results targets are, in the main, quantitative and set at the output level.



The Peer Review of the Evaluation Function and the Meta-Synthesis of Evaluation Reports (2017 and 2018) note significant shortcomings in the monitoring conducted by UNODC projects and programmes. The document review and interviews validate this finding. Monitoring and its use in management are not a priority for UNODC. Monitoring is treated as a donor requirement. There is little evidence to suggest that, as a rule, UNODC transparently applies performance data in planning and decision-making.

There have been significant improvements in the evaluation function within UNODC. Many strengths are associated with UNODC's programming, and this assessment validates the almost universal integration of evaluation into projects. But the independent evaluation section is not yet sufficiently operationally, nor structurally or behaviourally independent. Also, UNODC could adopt a more systematic approach to evidence-based planning and ensure systems are in place to improve the quality of programmes and address critical weaknesses. External Annual Quality Reviews demonstrate that, over time, the quality of evaluations is improving. The recent introduction of Unite Evaluations, a new information technology platform developed by UNODC, focuses on improving the design and planning of evaluations UNODC-wide. But the Office does not yet have a system to identify poorly performing interventions against their objectives and delineate responsibility to act.

KPI 7: The focus on results is strong, transparent and explicitly geared towards function.

This KPI looks at how UNODC transparently interprets and delivers an organisation-wide focus on results.

While recent RBM investments are a move in the right direction, UNODC lacks resources and leadership to ensure the application of an organisation-wide RBM approach. The Draft RBM Peer Review (as of June 2019) notes, and this assessment confirms, that due to the lack of resources, UNODC is far from having in place what is required to institutionalise a culture of managing for results at all levels and in all corporate and strategic documentation. Stakeholders' perceptions of UNODC's RBM are presented in Figure 2.6.

UNODC's results focus is a shared responsibility. The responsibility for a corporate commitment to a results culture lies with the Office of the Executive Director. The Strategic Planning and Inter-agency Affairs Unit is responsible for ensuring that a results-based management approach is mainstreamed into all of the Office's global, regional and national programming efforts. However, UNODC's resources are limited in terms of personnel and budget; it has to rely on voluntary programme funding to produce its Annual Results-Based Report for member states, rather than being able to draw on regular resources. Since 2015, the responsibility for the quality of results frameworks rests with field offices and with regional sections and thematic units in each division at headquarters; all are expected to support and monitor the implementation of RBM in programme management. Recent advances include a 2018 "Handbook on Results-based Management and the 2030 Agenda for Sustainable Development", which OIOS judges noteworthy, and a revised results framework for each office's area of intervention.

UNODC does not treat monitoring and the use of RBM in management as a priority. Monitoring is simply regarded as a reporting requirement to individual donors. Limited resources are available for monitoring (and for evaluation in general). The resources allocated to monitoring are inadequate relative to needs. Evaluative evidence demonstrates that there is, at present, no corporate monitoring system and little outcome-level data. It is reasonable to assume that key corporate results may therefore not be captured. The Draft RBM Peer Review (as of June 2019) confirms that support and guidance on RBM is underfunded and adds that support documents are not used consistently.

The biennial Strategic Framework's corresponding programme plan includes an organisation-wide results framework for 2019, but the linkages between different levels and new layers to UNODC's corporate objectives remain unclear. Results targets are in the main quantitative and set at the output level. Regional and country strategies include results frameworks. However, the linkages between different levels (how projects contribute to programmes) and new layers (e.g., with the recent addition of SDGs) to UNODC's corporate objectives remain unclear. The Triennial Review (2016) of how UNODC implements recommendations of the programme evaluation found that UNODC had made progress in integrating function areas and aligning thematic and geographic programmes. However, more recently, the Draft RBM Peer Review (as of June 2019) notes that, while various levels in UNODC align with the SDGs, a document bringing together the overall strategic direction is missing. The MOPAN assessment validates this finding and underscores the need to continue harmonising UNODC's programming.

Annual reporting at the corporate level (across UNODC) demonstrates weaknesses in managing for results; reporting lacks transparency around exceeding, meeting or missing targets and what this means for the programmes going forward. Some evidence exists of a sound RBM focus and logic in certain thematic branches and in field offices and/or regional programmes. However, there is no consistent organisation-wide adoption of an RBM focus and logic in corporate strategies or in regional, country and global programmes.

There is currently no aggregated annual performance discussion with UNODC's governing bodies at a corporate level on the performance of all subprogrammes. UNODC's annual performance reporting comprises (i) the report

of the Executive Director on Activities of the United Nations Office on Drugs and Crime submitted to the Commission on Narcotic Drugs and the Commission on Crime Prevention and Criminal Justice and (ii) an Annual Results-Based Report which shares UNODC's performance story with member states. There are also frequent updates to FINGOV on programme and project performance and discussion of evaluation results.

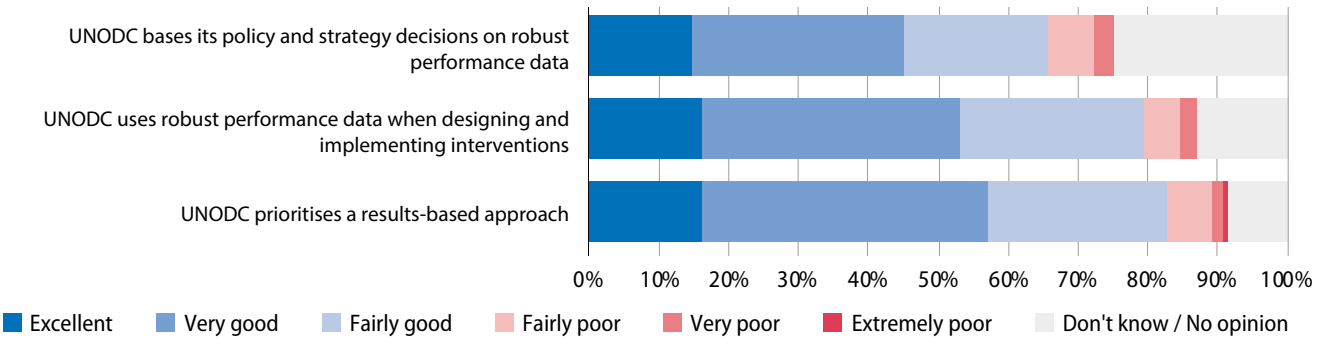
The evaluative evidence and a review of programme documentation highlight that a sound evidence base and logic are missing for many of UNODC's results targets, particularly those above output level. The programme budget, Strategic Framework, regional programmes and country programmes all include targets (some more complete than others), indicators, outcomes and outputs; however, their focus is quantitative and set mainly at the output level. The link between these targets and corporate or higher-order objectives is not clear or documented. This assessment validates the Draft RBM Peer Review (as of June 2019) finding that UNODC's funding structure and the lack of continuity between different global, regional and country programmes and their reiterations make it difficult to measure the degree of goal achievement and limit what can be usefully done through review.

Applying logframes in UNODC is an accepted practice. Theories of change have recently been introduced and are now recognised as a tool for planning and evaluation. Each project in UNODC produces a logical framework which includes targets, indicators, baselines and risks. Project managers then review these logframes every six months. However, as the Draft RBM Peer Review (as of June 2019) notes, the theories of change for the Office, the corporate level and all corresponding strategic levels (linking regional programmes and country programmes) are missing.

The Peer Review of the Evaluation Function and the Meta-Synthesis of Evaluation Reports (2017 and 2018) recognise significant shortcomings in the monitoring conducted by UNODC projects and programmes. This assessment notes that UNODC has no corporate monitoring system feeding into annual and semi-annual reporting. There is a limited budget available for monitoring, whether it be corporate (against the Strategic Framework), regional (against the programme), global (against the programme) or project and country levels. Where systems are in place, they are normally at the level for individual projects or sections/branches.

There is a scarcity of evaluative evidence concerning UNODC's ability to apply performance data transparently in planning and decision-making. The Draft RBM Peer Review (as of June 2019) is explicit about the weaknesses of UNODC's planning and use of performance data: "[A] clearly defined and resourced planning stage for projects is practically nonexistent". There is no available evidence showing that adjustments to interventions are informed by performance data at the corporate or programme level in a systematic manner. However, evidence states that certain regions and sections use monitoring systems and therefore, in these instances, is available for planning and decision-making.

Figure 2.6. Performance management



Source: Based on responses to the 2019 MOPAN External Partner Survey: UNODC, June-July 2019.

While the Programme Review Committee reviews annual progress reports for UNODC's strategic framework subprogrammes and approves new or revised projects over USD 10 million, it is unclear how or if the Office uses the data in these reports for planning or decision-making. Output-level performance data, as found in the Strategic Framework, supports dialogue at the normative, regional and country levels. However, there is a major gap in performance data (as discussed above) at the outcome level. This gap's impact on partnerships dialogue is unclear.

KPI 8: The organisation applies evidence-based planning and programming.

This KPI focuses on the evaluation function and its positioning within UNODC's structures, attention to quality, accountability and putting learning into practice.

There have been significant improvements in the evaluation function. UNODC's Evaluation Policy expects 100% coverage, and evaluations have been integrated almost universally into projects. The Independent Evaluation Section (IES) has worked hard to put systems in place to build the quality of evaluations and to ensure annual independent reviews of evaluations provide learning and feedback to the section. These reviews have demonstrated an improvement in the quality of evaluations over time. Accountability systems in UNODC have improved with the introduction of Unite Evaluations, a web-based platform introduced in March 2019 that focuses on the design and planning of evaluations across UNODC. The OIOS 2019 report cites Unite Evaluations as an example of good practice because they can aggregate recommendations for corporate-level reporting. Further, the OIOS report on SDGs highlights that Unite Evaluations also allows reporting of evaluation results at an aggregate level against each SDG, which in turn can strengthen implementation, recommendation follow-up and associated action plans.

However, the systems that support operational, structural and behavioural independence are not sustainable. Firstly, the lack of budgetary autonomy negatively affects the independence of IES. Secondly, in practice, it could be argued that IES does not have full discretion over the evaluation programme. The work of IES is mandated by various resolutions, in particular Commission on Narcotic Drugs resolutions 52/14 and 54/10 and Commission on Crime Prevention and Criminal Justice resolutions 18/6 and 20/1. In line with these resolutions, IES is an independent evaluation function; however, these resolutions do not include the work of UNODC's Division for Management or UNOV. Consequently, there is no evaluative evidence of the impact of policies or practices on the performance of other Divisions or UNODC's strategic results.

The limited number of staff and the absence of stable operational financial resources for IES make it challenging to effectively manage 100% evaluation coverage. IES does not have a funded evaluation plan or budget. When the pressure for resources is coupled with delegated responsibility, the coverage and quality of evaluations are adversely affected. The systems in place to build the quality of In-depth Evaluations are satisfactory, but they are light for decentralised or independent project evaluations. IES retains responsibility for planning centralised evaluations, such as of global programmes, and for some in-depth and/or cluster programme evaluations. But there is no discreet organisation-wide evaluation plan and budget to demonstrate a systematic and periodic coverage of UNODC's interventions and priorities. The lack of regular budget resources further translates into fewer corporate and/or strategic-level evaluations which are, by definition, resource heavy. However, IES assures the quality of all evaluation plans submitted on ProFi, UNODC's information management software. In-depth Evaluations are planned according to the cycles of global, regional and country programmes as well as in consultation with senior management and member states.

There is an absence of a systematic approach to using evidence when designing new interventions and in planning more generally. Systems to improve the quality of programmes and address critical weaknesses are under-resourced. Interviews made it clear that UNODC depends on IES to bring to the attention of programme managers lessons learned that are relevant to new interventions. With limited resources, IES reviews and clears

all independent project evaluations. However, its ability to backstop other assessments, reviews and some of the decentralised evaluations is limited. This therefore affects the application of lesson learning. Although interviewees spoke of using programme evaluations to steer programming, there is no substantive evidence that this occurs. There is currently no formal requirement to demonstrate how lessons are taken into account in the design of new interventions; no system to identify poorly performing interventions against their objectives (a qualitative, comparative assessment) and delineate responsibility to take action; and no current annual report on the status and implementation of evaluation recommendations.

In theory, the ProFi database should facilitate tracking, distilling and sharing lessons internally. But there is limited evidence of lessons informing new interventions. Furthermore, country and regional programmes sit outside ProFi and are not part of the ProFi workflow or reporting. So ProFi does not have the status of an organisation-wide solution. Further, ProFi is not a sustainable solution, as it was scheduled to be replaced by the new Umoja Extension 2 in late 2019. Unite Evaluations, the new integrated web-based evaluation management application, does, however, facilitate the utilisation of lessons. It makes it easier to navigate, filter and extract lessons. Unite Evaluations is funded mainly, though not exclusively, by extrabudgetary resources. The development of the application, like the substantive work in IES, is funded through donor contributions (e.g. the IES Focal Point developing Unite Evaluations is funded exclusively by extrabudgetary resources from Norway, Sweden and the United States). Without these extrabudgetary resources, Unite Evaluation could not have been developed or maintained.

There is no system to identify poorly performing interventions against their objectives (a qualitative, comparative assessment) or delineate responsibility to take action. A few country offices and/or regional offices have put in place tools to compensate for this and enable them to identify, track and address poor delivery against objectives. But UNODC does not require implementation monitoring across the entire organisation. In contrast, financial monitoring is done in several ways. Field Offices and the Division for Operations co-ordinate with the Division for Management to flag any financially challenged field offices and portfolios to ExCom on a monthly basis; poor budgetary performance triggers a response and action by the Division for Management and the Co-Financing and Partnership Section. This section monitors implementation rates and seeks a justification for any variance, but it does not yet relate those back to the overall programming objectives. The counterweight to these systemic weaknesses is IES's work to improve the quality of evaluations (through design, planning and implementation) and evidence-based planning.

Independent External Annual Quality Reviews demonstrate that over time the quality of evaluations is improving. The Independent External Quality Assessment of UNODC Evaluation Reports (2017) found that "(t)he 15 published evaluation reports in 2017 were mostly rated highly and reveal the continuous improvement in the quality of UNODC evaluations over time. Eighty-seven percent were rated as "good" or "very good". The 2018 Independent Quality Assessment of UNODC Evaluation Reports highlighted that 100% of reports were rated "good" or "very good". IES's recently introduced Unite Evaluations platform focuses on improving the design and planning of evaluations across UNODC. Since March 2019, much of the planning process has been automated by the Unite Evaluations information technology solution: Unite Evaluations is an integrated web-based evaluation management and knowledge sharing application.

The Unite Evaluations platform can retrieve detailed evaluation plans and aggregate information about UNODC subprogrammes and regions against the SDGs. It also includes a detailed workflow system with dedicated roles and responsibilities for project/programme managers, IES and the independent evaluators. This process is fully aligned with the United Nations Evaluation Group's Norms and Standards. Functions for planning include importing information from Umoja to plan evaluations, recording evaluation plans and searchable evaluation plan database. There are also several useful evaluation management functions: one evaluation workflow to manage all evaluation processes, recording and saving all uploaded documents and comments, as well as manual entry and recording of

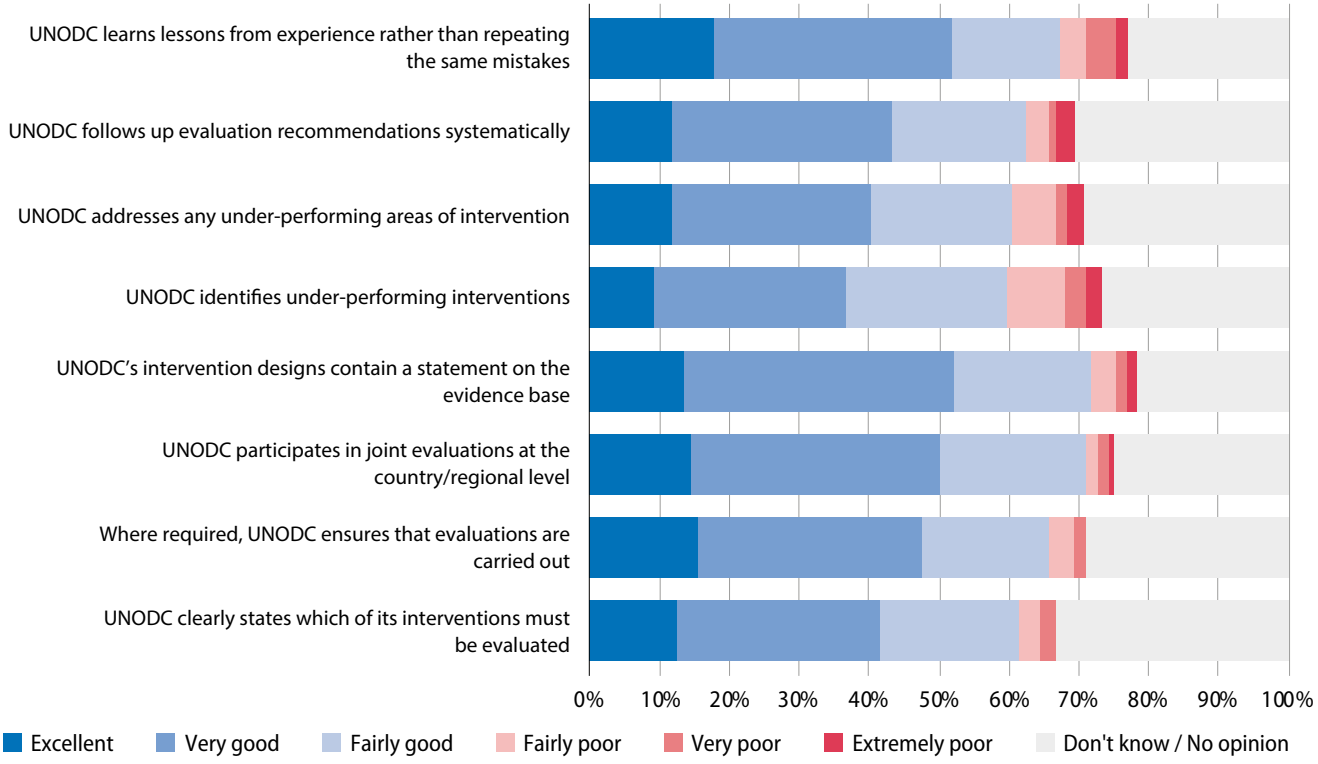
evaluation quality assessment. The use of these functions by teams should lead to an improvement in evaluation planning and management in UNODC. Figure 8 shows stakeholder views of the current implementation and use of evaluations.

All evaluations follow the same quality assurance process. An evaluation focal point system, developed several years ago and now inactive, has been replaced by Unite Evaluations. The systematic tracking of evaluation budgets, activities, results and recommendations is done through Unite Evaluations. OIOS finds Unite Evaluations to be "notable good practice". Overall, the evaluation quality assurance process entails an in-depth review of each evaluation deliverable as well as clearance of each deliverable and of the proposed evaluation team. Furthermore, IES maintains a database of highly qualified evaluators.

The purpose is to improve accountability and evidence-based learning across the organisation, but critical gaps remain. It will take time for the new Unite Evaluations functions to be used consistently by UNODC staff and to be embedded into organisation-wide culture and practice. There has been a detailed design to ensure the Unite Evaluations platform is integrated into the new project management module of Umoja Extension 2, but, as yet, no decision has been taken about what will happen to Unite Evaluations after the introduction of Umoja Extension 2.

At present, detailed Evaluation Follow-Up Plans are made available to member states through projects.un.org, and In-depth Evaluations are presented to member states. However, while many evaluations include management responses (having the management response template in evaluation reports is standard practice), it is not a mandatory requirement. The status of use and implementation of evaluation recommendations is also currently not public.

Figure 2.7. Evidence-based planning and programming

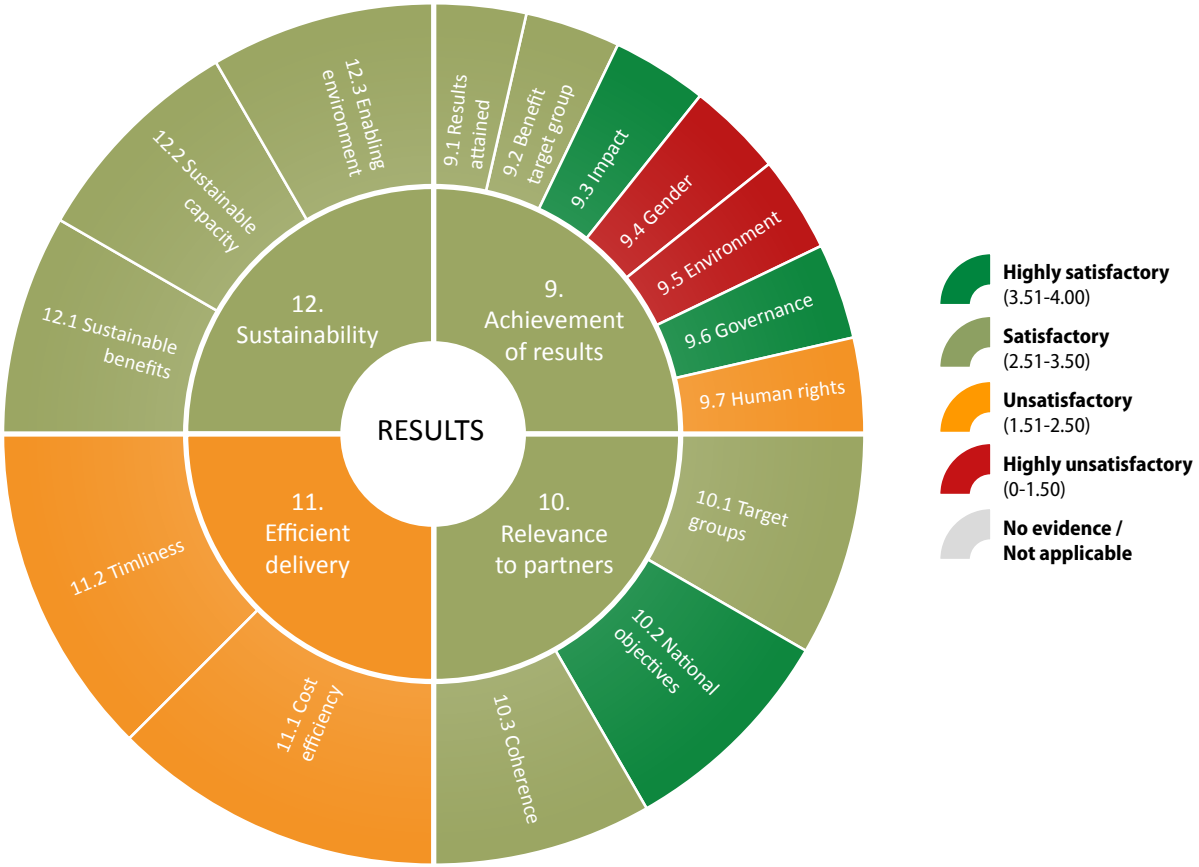


Source: Based on responses to the 2019 MOPAN External Partner Survey: UNODC, June-July 2019.

2.2. DEVELOPMENT/HUMANITARIAN EFFECTIVENESS

PERFORMANCE AREA: RESULTS

Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results in an efficient way.



The assessment of results is limited because available evaluative evidence did not include the programmatic or country-wide evaluations of the Colombian or Mexican programmes, which have yet to be done. The evaluative evidence obtained indicates that UNODC's programmes and projects are broadly effective and largely meet their varied target groups' needs. According to several evaluations, projects and programmes are on track to achieve their stated objectives. Further, there is strong evidence of UNODC contributing to change at the normative level. As per its mandate, improving governance is UNODC's primary contribution to development and human security. On balance, UNODC's interventions are relevant to the needs and priorities of its mixed targets groups.

UNODC's effectiveness is greatly challenged by fragmented programming, its funding modality, a lack of available monitoring data (especially at the outcome level) to assess results and its lack of a systematic approach to planning projects.

While financial sustainability has improved overall, only a few evaluations present evidence of value for money and general satisfaction in terms of project efficiency. There is a little evaluative evidence of timely implementation. In the main, evaluations report inefficiencies in co-ordination, procurement of goods and services, and budget allocation, all of which have an impact on timely delivery. There are strong indications of sustainability from evaluations. Legislative and policy changes, as well as Memoranda of Understanding with national governments, demonstrate ownership at the national level. But, in the same evaluations, sustainability of institutional capacity is an area of concern. The current funding modality makes it difficult to harmonise projects and to integrate long-term sustainable strategies into their projects and regional programming in order to focus on sustaining institutional capacity.

KPI 9: Development and humanitarian objectives are achieved, and results contribute to normative and cross-cutting goals.

This KPI examines the nature and scale of the results UNODC is achieving against the targets it sets and its expectations on making a difference.

The available evaluative evidence broadly indicates UNODC's programmes and projects are effective and largely meet their various target groups' needs. According to several evaluations, projects and programmes are on track to achieve their stated objectives. Further, there is strong evidence of the Office's contribution to change at the normative level: for example, where UNODC is supporting member states in the fight against human trafficking and migrant smuggling and certain regional programmes, such as in South East Asia. UNODC's mandate means its primary contribution to development and human security lies in improving good governance. UNODC understands good governance as effective governance based on the rule of law and transparent institutions. It therefore follows that the majority of UNODC's normative, analytical, technical assistance and operational work is designed to support good governance.

Target group members for UNODC are varied: they include member states, national counterparts, readers of publications and analysis, as well as beneficiaries of project and programme interventions. UNODC delivers technical assistance to member states in the form of global and thematic programmes. The technical assistance is related directly to member states' obligations to comply with conventions or protocols to which they are signatories. UNODC also delivers interventions as subprogrammes on certain thematic topics (e.g. sustainable livelihoods, trafficking, drug-related crime, transnational crime) as part of UNODC Country or Regional Programmes (e.g. Myanmar, Central Asia, Latin America).

The evaluative evidence provides a strong picture of performance in realising benefits for member states and counterparts, but critical elements of UNODC's portfolio are missing from this evidence base. Examples of UNODC's contribution include new legislation and the signing of international agreements through the implementation of its core mandates (as a custodian of five different conventions on drugs, corruption and organised crime, and relevant General Assembly resolutions), as well as the reforms of national policies and systems at both the country and regional levels. Further, it supports the delivery of at least 10 SDGs (3, 5, 6, 8, 10, 11, 14, 15, 16 and 17). The evaluative evidence against this KPI does not currently include programmatic- or country-level results for either the Colombian programme, which accounts for 30% of UNODC's overall budget and a third of all UNODC staff, or the work of the last remaining Liaison and Partnership Office in Mexico, which accounts for 230 staff. Evaluative evidence of these portfolios was not available at the time of the assessment.

One further example of UNODC's contribution is in the compiled evidence of its contribution to international-level change through the Review of the Implementation of the UNCAC. It notes that "86% of States' parties reported legislative reform efforts such as the adoption of new laws or the amendment of current laws to bring them into line with the requirements of the Convention. Further, 58% noted the positive impact of the reviews on strengthening their co-operation capacities, at both the domestic and international levels; the Mechanism had helped create a global community of practitioners fighting corruption". Many states also outlined how the ratification or accession process itself had prompted them to consider their anti-corruption systems in greater detail.

Evaluative evidence, verified by interviews, suggests that certain centralised programmes have a limited appreciation of local context and remain separated from local UNODC country-based programming. This fragmentation has impacts on UNODC's effectiveness and results. This is in direct contrast to where UNODC has long-term in-country and regional presence, for example South East Asia: in these contexts projects and programmes are highly integrated, monitored at the outcome level with government, and adjusted based on counterpart need. In these circumstances, interventions contribute to national development goals and objectives.

While UNODC is effective, its effectiveness is greatly undermined by fragmented programming, its funding modality, a lack of monitoring data (especially at the outcome level) to assess results and the lack of a systematic approach to planning projects. The accepted practice of extending or revising projects, rather than completing or redesigning them, also limits UNODC's effectiveness**.** Some global programmes are, in practice, loosely related projects that have lifespans of greatly varying lengths, sometimes extending beyond ten years; in some cases their original objectives, targets and indicators have never been revised.

In the main, the preference is to deliver "crime specific" outputs to counterparts rather than to harmonise work at the outcome level as "one UNODC" with partners. This may be driven by competition for scarce resources and the current organisational culture of limited inter-divisional, cross-theme working. Evaluations report that national capacity-building results are mixed. The evaluation-based analysis of good practices in UNODC's approach to capacity building (2017) suggests that results would improve with a corporate-level results framework that brings together all training under a long-term agreed framework for one country or region. The absence of such a framework has impacts on the effectiveness of UNODC's interventions and their ability to indirectly influence and affect change. A standout example which exemplifies best practice is UNODC's work with the World Health Organization to improve treatment, care and rehabilitation services for people with drug use disorders in 23 countries.

Recent progress in mainstreaming gender equality has yet to fully filter through to programming. Interventions do not systematically include an analysis of gender dimensions in planning, monitoring or reporting. IES upholds and promotes standards around mainstreaming gender into evaluations. Since 2018 the Office of the Executive Director has been responsible for mainstreaming gender through UNODC's normative, technical, analytical and operational work. As outlined in KPI 2, UNODC has made progress in this area, launching a strategy in 2017 and formulating an action plan for its implementation in 2018. IES invested extrabudgetary funding in mainstreaming gender equality in all UNODC evaluations. However, given the short timeframe, evaluations understandably report a lack of focus on gender in all phases of the programme cycle. This absence of a systematic approach results in polar opposites of quality. For example, there are cases of excellence, like the work of the HIV/AIDS section with UNAIDS. At the same time, in other areas, such as some of UNODC's normative work, the Office appears gender blind.

Overall, there is little evaluative evidence available to assess whether UNODC has helped improve environmental sustainability or helped address the effects of climate change to date. Environmental sustainability and tackling the effects of climate change are present in the subprogramming of UNODC, but they are not a corporate priority.

While the logical link to human rights improvements is clear, there is no systematic application of a human rights-based approach across the organisation. UNODC's governing bodies are the Commission on Narcotic Drugs and the Commission on Crime Prevention and Criminal Justice. Providing technical assistance to member states, in accordance with these conventions, is grounded in the protection of human rights. UNODC focuses, at the regional and global levels, on criminal justice, peace and security, and development interventions. At the level of project delivery outputs, there is evaluative evidence of the application of the human rights framework.

KPI 10: Interventions are relevant to the needs and priorities of partner countries and beneficiaries, and the organisation works towards results in areas within its mandate.

This KPI centres on the relevance of the UNODC's engagement given the needs and priorities of its partner countries and its results focus.

On balance, UNODC's interventions are relevant to the needs and priorities of its various target groups. However, evaluative evidence is mixed. On the one hand, it clearly indicates that UNODC delivers its interventions in a way that makes them highly relevant and of critical importance. On the other hand, there is also evidence that, to

deliver more effectively, UNODC should better align with needs. UNODC's fragmented approach to programming and the current funding modality limit its ability to provide results.

Under certain circumstances, UNODC's interventions are highly responsive to needs. For example, UNODC responds directly to member states' requests for technical advice and support on areas relating to the ratification and implementation of the UNCAC and UNTOC Conventions as well as General Assembly agreements. Another example is the way the Office works in partnership with government counterparts (e.g. Colombian and South East Asia programmes).

UNODC's overall mandate seeks to address diverse expectations simultaneously through normative, analytical, technical and operational work with very mixed target groups. It is common for these needs and target groups to be transnational and to exist in highly sensitive and political contexts. While UNODC's regional and country programmes are well aligned to the needs of target groups and global programmes which focus on UNODC's normative mandate are aligned to member states' needs, there is limited evaluative evidence that global and thematic programmes meet specific target groups' needs at the country and region levels.

From its headquarters, UNODC runs global and thematic programmes with various lifespans in different regions and countries. Due to the absence of a systematic UNODC planning phase, global and thematic programmes are not necessarily aligned with regional and country priorities, although they may align with UNODC's normative mandate. Further, some global programmes appear to be baskets of similar projects rather than genuine programmes whose components are linked by a clear rationale. As the Draft RBM Peer Review (as of June 2019) states, the structure of global programmes seems to have been borne out of administrative need rather than target groups' needs. These programmes appear to be operational vehicles that ensure ongoing support to member states on specific projects. There is no systematic approach to align, integrate and verify alignment of all interventions in one country, region or programme with a target group's needs. The lack of a systematic approach and the pressure of scarce funding sources result in instances of parallel programming and an overly fragmented approach.

UNODC's mandate remains highly relevant to member states and counterparts. At the output level, there is evaluative evidence that UNODC delivers as part of a coherent response at the country or at the regional level and through elements of global programmes. However, beyond this level, it is difficult to verify the coherence. Because of the lack of a systematic approach to align, integrate and verify all interventions and the limited portfolio- or outcome-level monitoring, there is little evaluative evidence at the outcome level of how UNODC delivers programmes (see KPI 9).

KPI 11: Results are delivered efficiently.

This KPI looks at the extent to which UNODC is meeting its own aims and standards on delivering results efficiently.

While financial sustainability has improved overall, only a few evaluations present evidence of value for money and general satisfaction in terms of project efficiency. Behind the few positive headlines are a greater number of evaluations which point to (i) difficulties in accessing the management information necessary to conduct more detailed analyses; and (ii) inefficiencies in terms of portfolio management at the country and regional levels. Several evaluations also identify inefficiencies in relation to programme design and management and the lack of a regular budget for normative functions.

There is a little evaluative evidence of timely implementation. In the main, evaluations report inefficiencies in co-ordination, procurement of goods and services, and budget allocation, all of which affect timely delivery.

The majority of evaluations report inefficiencies in co-ordination (duplication of activities) and budget allocation. The fragmented approach makes it difficult to harmonise programming (i.e. leveraging comparative skills and encouraging cross-sectoral programming) between regional desks at headquarters, thematic experts and field offices.

Evaluations consistently raise the implications for efficiency when core funding is scarce: teams are reliant on extrabudgetary, hard-earmarked funds. Due to its current funding modality, UNODC is not yet positioned well enough to take advantage of efficiencies that it could create by better co-ordinating interventions across divisions/branches and subprogrammes. Interviews indicated that many staff are aware of this and see it as sub-optimal. The Terrorism Prevention Branch is currently restructuring a global programme to break down regional divides and integrate thematic experts.

It should be noted that the MOPAN assessment timeframe coincided with the implementation of the financial accounting element of Umoja in UNODC. UNODC now runs two systems: ProFi, its in-house workflow management system that co-ordinates the management of donor funding, and Umoja, which complies with all financial accounting standards. ProFi was due to be phased out in December 2019, but, due to delays in the deployment of Umoja Extension 2, will be in place longer than planned.

KPI 12: Results are sustainable.

This KPI looks at the degree to which UNODC successfully delivers results that are sustainable in the longer term.

Evidence on the sustainability of results is mixed: there are strong indications of success but also areas of concern. Legislative and policy changes as well as Memoranda of Understanding with national governments demonstrate ownership at the national level and are indications of sustainability. But the current funding modality makes it difficult for UNODC offices to harmonise projects and to integrate long-term sustainable strategies into projects and regional programming. The shortage of unearmarked funds and the dependence on hard-earmarked funds undermine intermediate and longer-term results.

Given its unique and highly regarded mandate, UNODC is the preferred supplier of services to many counterparts and agencies. UNODC's primary contribution to development and human security is improving good governance and contributing to significant changes in national development policies and programmes (see KPI 9). In many cases, its interventions also build sustainable institutional capacity. However, institutionalising policies, regulations and legislation requires sustainable capacity development by UNODC and national governments over the medium to long term. The ability to deliver this depends on flexible financial support (through the regular budget and extrabudgetary support) from member states. The high degree of hard earmarking across UNODC's portfolio affects the ability of the Office and its sections and branches to provide this support.

UNODC's mandate involves working towards the institutionalisation of ownership among key stakeholders on various fronts. Evaluative evidence shows that, in certain cases, the Office has contributed to institutional capacity and that outcomes are sustainable. But evaluations also point out that institutions and governments depend on UNODC to continue to provide normative support to achieve institutional sustainability.

There is no evidence to demonstrate how UNODC currently prioritises the use of its resources. It is not clear how the Office chooses which resolutions to put first, which technical assistance to provide, which global programme receives priority in a country, and how this fits within the overall national or regional plan/strategy to strengthen sustainable institutional capacity. The dominant focus is at the project output level, rather than at the outcome, portfolio or indeed organisational level (across UNODC). This fragmentation has major implications for the sustainability of results.

UNODC's five conventions on drugs, corruption and organised crime, plus the relevant General Assembly resolutions and its support to SDGs, strengthen the enabling environment for development. All of UNODC's units and sections are clear about how their expected results from the former Biennial Strategic Framework map to the SDGs and the broader Agenda 2030. A recent (2019) OIOS report highlights UNODC's role as a thematic lead, providing primary SDG support. However, as indicated against KPI 1, interviews clearly pointed to a fundamental tension in UNODC: how it articulates its role in relation to development. UNODC delivers as an Office of the UN Secretariat, and its mandate straddles criminal justice, peace, security and development. The member states decided mid-2019 that UNODC is not eligible to pay the 1% co-ordination levy for the Resident Coordinator System. To some interviewees, this signals UNODC's role is to *support* development, while for others in UNODC, its role remains to *contribute* to development. This creates internal dissonance which has impacts on effectiveness, efficiency, relevance and sustainability.

3. OVERALL PERFORMANCE OF UNODC

Chapter 3. Overall performance of UNODC

The performance conclusions first consider four key attributes of an effective organisation: (i) whether it understands future needs and demands; (ii) whether it is organised and makes use of its assets and comparative advantages; (iii) whether it has mandate-oriented systems, planning and operations; and (iv) whether it makes consistent developments according to its resource level and operational context. The journey of the organisation is then mapped against external assessments of UNODC.

Lastly, the assessment report presents the key findings: the observed strengths and areas for improvement.

3.1. CURRENT STANDING AGAINST THE REQUIREMENTS OF AN EFFECTIVE ORGANISATION

Is UNODC future facing?

Within the scope of its mandate and within limits set by donor funding, UNODC has a track record of being future facing: it has aligned its programme activities to address emerging threats. It has united the international community behind action to tackle evolving challenges and dangers – be it organised crime, cyber-crime, trafficking in persons or terrorism. Some people in the organisation believe it can do more to keep abreast of global challenges, for example address environmental crime and pursue a more robust anti-corruption agenda. Others consider that its capacity to do horizon scanning is diminished by a lack of resources. But, in general, UNODC's areas of expertise are future facing.

However, the same cannot be said of the organisational side of UNODC. It has two inter-related problems that, once addressed – preferably together – will put UNODC in a stronger position to thrive and better deliver in future**.**

UNODC needs a clear vision and strategy; it also needs to increase the proportion of flexible funding it receives in order to act more as a multilateral and less as a project implementation body.

UNODC lacks a clear and comprehensive vision for the future and a compelling strategy for moving beyond its current difficulties. Its leadership needs to identify – within its broad mandate – what UNODC will prioritise, how it will tackle these challenges and how it will finance this work. The lack of such a vision and strategy is probably the single most important gap that UNODC needs to fill to be well-positioned for the future. It is an issue that a large proportion of the assessment team's interviewees raised.

This assessment has returned time and again to the fact that UNODC lacks flexible funds. UNODC's operating model is a function of its financial framework. UNODC overwhelmingly relies on tightly earmarked, often short-term donor contributions. It is, to repeat a phrase used by several interviewees, "donor driven": UNODC's ability to deliver value to beneficiaries is driven by what its donors are willing to finance. Without donors' willingness to provide finance, it has limited ability to strategically commit resources to thematic areas of its mandate or to target groups that it would consider priorities. In short, this funding model has a pervasive and significant organisational impact on the fabric of all UNODC does and is. It has contributed to fragmenting UNODC's effort and underlies a harmful culture of internal competition.

This report and its annexes spell out the robust work UNODC is doing to encourage donors to give more flexible funding. UNODC is forward-facing in the sense that it is trying to develop solutions to improve its financial framework; it has made some progress, but the impact has been marginal. Clearly, for these efforts to be effective, a new approach to fundraising will need to be accompanied by a new vision and broader strategy that win donors' confidence and that are driven by the organisation's leadership.

In clarifying its vision, UNODC also needs to decide what kind of an organisation it will be. As described in the body of this report, at the time of the assessment, there was tension within the Office over whether UNODC should implement its mandate from a law enforcement and security perspective or respond to the Secretary-General's call for a human-centred, developmental approach. The issues UNODC addresses are integral to the Sustainable Development Goals (SDGs), as UNODC itself acknowledges in its literature; and it is noteworthy that several prominent bilateral organisations fund work, using eligible official development assistance, that is essential to UNODC's mandate.

Related to this is how UNODC ensures it is engaging with and adapting to changes in the United Nations (UN) Development System. The Division of Operations has led a process to ensure the field network is incentivised to align with these changes. However, at the time of this assessment, UNODC as an organisation had not defined how it would mesh with the changes. It is also disadvantaged by the fact that most discussions on the shape of the new system are held in New York, where UNODC has inadequate representation.

If UNODC has a clear and sound vision and strategy, its donors may have more confidence in giving flexible funds. In a meeting with the assessment team, some donors indicated that they would be prepared to programme their funds in more flexible ways. But they would want to see UNODC make changes that give them greater confidence in how funds would be used. It will be up to UNODC's leadership to agree on a way forward.

Is UNODC making best use of what it has?

UNODC has long-standing partnerships with governments and counterparts that are inaccessible to many other agencies or governments – and that are of great value – and has highly skilled, specialist and committed staff and a global network. Its work with the Government of Colombia shows a government's willingness to use its own taxpayers' money to bring in the expertise of UNODC at scale. UNODC retains an in-house specialist research capacity and can implement interventions from both headquarters and field offices.

However, the norm is for units to work to raise and retain funding without the discipline of a clear framework, and sometimes without necessarily collaborating with parts of the organisation that could add value. This is partially due to the short supply of flexible funding. It is also because units and field offices must raise donor funds to sustain their programmes and sometimes their positions.

Incentives to collaborate and co-ordinate across the Office are weak. The result is that UNODC is less likely to mobilise the totality of its assets and capabilities strategically – unless a specific donor has funded it. If current trends persist, it will be increasingly rare for all parts of the organisation to work as a single body on an initiative. It will be even rarer for UNODC to use all the attributes that make it so special, namely: its political and influencing weight, its field network and its research. UNODC will perform optimally when it mobilises all these capabilities to combat a problem.

One of UNODC's three strategic pillars is research. UNODC's research is highly respected, and it has a broad reach. Several of UNODC's reports have the status of global flagship publications in their fields. However, evaluations and our interviews indicated that a "culture of conservatism" has diluted the integrity of some of UNODC publications. Reportedly, a degree of political censorship has crept in to prevent report findings from offending member states. If this trend continues, UNODC will not be able to make the best use of its research capability: it would gradually lose the reputation that has been built. One model that UNODC may want to consider is giving its Research and Trend Analysis Branch the same degree of structural independence that multilateral entities' evaluation units have, in line with the standards of the United Nations Evaluation Group. Specifically, this would allow the branch to publish research without requesting clearance from senior management.

UNODC faces a strategic choice in relation to its de facto operating model. If it continues unchecked along its current trajectory, rather than simply being "donor driven" it will become an implementation body for donor priorities at the

output level. Its ability to lead international responses to global problems and to act strategically will further diminish. It would cease to be a functional multilateral organisation and would become an implementation body for donors.

Is UNODC a well-oiled machine?

UNODC is a relatively well-oiled machine insofar as it can deliver highly relevant donor-funded programmes effectively to the satisfaction of its donors. UNODC's planning and operations are largely fit for purpose and, in the main, are geared to delivering and reporting on individual programmes. However, evaluations report inefficiencies in co-ordination, procurement of goods and services, and budget allocation, which affect timely delivery. UNODC has ongoing initiatives to strengthen its operational machinery.

UNODC's effectiveness is greatly undermined by fragmented programming, its funding modality and a lack of available monitoring data, especially at the outcome level – data that is needed to assess results. There is also no systematic approach to planning projects. Fragmented programming and the accepted practice of extending or revising projects, rather than completing or redesigning them, also limit UNODC's effectiveness. Some of UNODC's global programmes, or baskets of loosely related projects, have operated for more than ten years without their original objectives, targets and indicators ever being revised. While this may be appropriate for addressing an ongoing normative mandate, it is not reflective of a results-oriented organisation. UNODC has improved and strengthened its results-based management systems but does not have a strong corporate commitment to a results culture. There is not yet an effective Office-wide monitoring system in place. UNODC's results focus is not consistent across all sectors or field offices, and there is a tendency to measure outputs, not outcomes. Recent progress in mainstreaming gender has yet to permeate through programming: interventions do not yet systematically analyse gender dimensions through the programme cycle. This should change as UNODC's new gender mainstreaming policy and strategy are implemented.

There is a widely held view within UNODC that the Division for Management interprets UN Secretariat policies conservatively and that this impedes UNODC's ability to deliver. There is also a lack of trust in the transparency of allocation of the small amount of flexible resources at UNODC's disposal. The MOPAN assessment cannot judge the extent to which these concerns are justified. But its status as part of the United Nations Office in Vienna (UNOV) dilutes its incentives to be responsive to its own operational needs. Resolving the latter issue may require the UN Secretariat to revisit the unusual governance relationship it has mandated between the Division for Management, which is part of both UNOV and UNODC.

The sustainability of many of UNODC's improvement initiatives is fragile and depends on continued earmarked donor support. UNODC's progress in treating gender, evaluation and results-based management (RBM) results from funding by special donor projects. In better-funded multilateral organisations, improvements to these core functions should be covered by regular budget resources. Without larger volumes of flexible finance, these critical functions will remain dependent on donor support.

The UN Secretariat largely frames the direction, scope and pace of improvements to UNODC's corporate systems. UNODC has limited influence over the decision-making by the Secretariat, as it is based in New York and UNODC has inadequate representation there. UNODC needs to consider how to increase its operating policy environment so that policies and systems better meet its specific needs.

Is UNODC making a difference?

The evaluative evidence broadly indicates UNODC's programmes and projects are effective and largely meet the varied needs of their target groups. According to several evaluations, projects and programmes are on track to achieve their stated objectives, although the evaluative evidence base for this assessment did not include results of programmatic or country-level evaluations from Colombia or Mexico, which make up a significant proportion of total

UNODC programming. More broadly, however, the lack of monitoring data, especially at the outcome level, makes it difficult for UNODC to report the scale and breadth of its achievements with confidence.

The available evaluative evidence strongly indicates that UNODC contributes to change at the normative level. Good examples include UNODC's work to support member states both in the fight against human trafficking and migrant smuggling and in some regional programmes, such as South East Asia. Its contribution to change at the international level through the Review of the Implementation of the United Nations Convention against Corruption (UNCAC) is also notable – with 86% of parties to the Convention reportedly introducing changes to bring domestic legislation into line with some of the Convention's standards. UNODC's mandate means that its primary contribution to development and human security is through improving governance. UNODC's five conventions on drugs, corruption and organised crime, plus the relevant UN General Assembly resolutions and its contribution to SDGs, further strengthen the enabling environment for development. On balance, UNODC's interventions are relevant to the needs and priorities of its mixed target groups.

However, UNODC's effectiveness in driving normative change and improvements in-country is greatly challenged by fragmented programming, its funding modality and its lack of a systematic approach to planning projects. Furthermore, as indicated in earlier sections, UNODC's lack of flexible funds means it has minimal latitude to invest in interventions it considers would make the greatest strategic difference, for example those leading to more sustained change.

3.2. PERFORMANCE JOURNEY

This is UNODC's first assessment using the MOPAN methodology. Therefore, there is no baseline against which to compare its current performance. In terms of tracing UNODC's performance journey, the assessors have drawn on UNODC's self-reporting of its prior performance.

UNODC is undoubtedly effective at implementing programmes that are seen to broadly deliver: the willingness of donors to increase the value of extrabudgetary programmes year on year is testament to this. UNODC has relatively mature and satisfactory delivery systems. But successfully implementing donors' priorities will not always coincide with being an effective multilateral organisation that delivers a normative mandate as well as programmes.

The general conclusion of the 2019 MOPAN assessment is that, to be an effective multilateral organisation, UNODC needs a clear vision and strategy: it needs to identify what kind of multilateral organisation it wants to be. And it would benefit from aligning financing to its strategy rather than to individual projects. UNODC is currently somewhere on a continuum between an organisation with a normative and operational mandate on the one hand, and a donor-driven implementation office on the other. Today, as UNODC is only too aware, it has moved too far towards the latter. UNODC needs to take decisive action to ensure it moves in the other direction.

UNODC's mandate is unique and critical and perhaps has never been as important as it is now. The Office is the only globally accepted body able to develop norms and help implement them in this complex, neglected but critical space. Working in the fields of drugs, organised crime, money-laundering, cyber-crime and terrorism is not easy, nor is it risk-free. It is highly political, and UNODC has shown real skill in navigating the disparate interests of its member states to win agreement for its current work. UNODC is staffed by strongly committed and highly talented individuals. But it is at a juncture that requires true vision and leadership. Its vision must situate UNODC in the new UN-wide ethos for which the Secretary-General has won approval.

With a clearer vision and strategy and a far-reaching, tailored Funding Compact with its donors, UNODC will be well-positioned to deliver its complex and critical mandate in the coming years.

Boxes 3.1 and 3.2 present strengths and weaknesses identified in the current 2019 assessment.

Box 3.1. Main strengths identified in the MOPAN 2019 assessment

- **UNODC plays a leadership role in combatting and adapting global responses to ever-changing crises related to drugs, crime, corruption and terrorism.** UNODC keeps abreast of changes in the threats posed by the global ills it combats, and it adapts its normative and programmatic responses to keep them effective. This requires a degree of nimbleness and responsiveness, which UNODC demonstrates. Its current work on migration, people-trafficking, terrorism, anti-money laundering and cyber-crime are strong examples of how the Office keeps its responses targeted and relevant. UNODC has a central position in helping member states achieve SDG targets and has a key role in the development of policy and support in otherwise neglected areas such as drug prevention and treatment.
- **UNODC combines its normative and programmatic roles in mutually reinforcing ways.** Where it is properly resourced and where planning is integrated across technical areas, UNODC has a track record of mobilising a range of mutually reinforcing normative and programmatic interventions to tackle complex problems. Its work to fight organised crime exemplifies how it can combine multiple tools at different levels – global, regional and country – to good effect. Another example is its multi-level work to influence government attitudes towards drug dependence and the spread of HIV/AIDS in prisons.
- **Based on a strong field network, it has a track record of building influential partnerships.** UNODC works with a very broad range of partners, including governments, non-governmental organisations and other UN agencies. Partners appreciate that UNODC can work with government entities to which others do not have access and that it uses these partnerships to good effect; donors and partners alike appreciate its expertise and capacity-building support. UNODC's partnership with the Colombian government in support of the peace process, funded up to 90% by Colombian funds, is one example of a lasting relationship.
- **Robust financial corporate systems underpin project delivery.** UNODC has strong financial management systems that fully meet international standards; it has robust systems for managing grants it makes to partners, has systems in place to enable implementors to adapt delivery to changing circumstances and is taking a healthy approach to risk management.
- **UNODC mainstreams governance effectively and now has a robust gender strategy and action plan in place.** UNODC's mandate is to strengthen governance, and this is mainstreamed throughout all it does. The gender action plan should enable UNODC to fully integrate gender dimensions into all its work, though it was introduced too recently for its impact to be reflected in this assessment.
- **UNODC is a global leader in knowledge generation**. Its research is highly respected and has a broad reach. Several of its reports have the status of global flagship publications in their fields. Member states use UNODC's reports to inform their own national policy making. However, the integrity of UNODC's research is being challenged (Box 3.2).

Box 3.2. Main areas for improvement identified in the MOPAN 2019 assessment

- **UNODC lacks a clear strategic vision and strategy.** Many internal and external stakeholders agree on this. Its mandate is broad, and there is no clear direction on what it will prioritise. Interviews also indicated tension relating to the extent to which UNODC should promote a law enforcement or a people-oriented approach to implementing its mandate. The conventions and protocols for which it is a guardian give primacy to the former but allow both. The Office's vision and strategy will need to determine its future operating model and structure.
- **The low proportion of unearmarked funding UNODC receives limits its ability to be effective.** UNODC is aware that its financial framework undermines its capacity to deliver its mandate effectively. The lack of general purpose funds impedes its ability to strategically manage operations and prevents it from directing resources to where, in its own judgement, they are needed. UNODC's current funding model is responsible for many of the areas of weak practice this assessment has identified. It perpetuates the fragmentation of UNODC's engagement and drives a culture of internal competition for resources. It underpins the fragility of core functions that it has had to "projectise", including on RBM, gender and evaluation.
- **Programme performance management systems are not yet mature.** UNODC's investment in RBM is positive, but stronger backing by its leadership is needed to secure organisation-wide implementation. Likewise, UNODC's evaluation function has improved greatly. But the Independent Evaluation Section is not yet operationally or structurally independent. UNODC needs an organisation-wide monitoring system to ensure evaluation findings lead to improved practice.
- **A lack of trust between the Division for Management and the rest of the Office undermines the potential for operational effectiveness.** Some doubt whether the small amount of flexible resources at UNODC's disposal is sufficiently transparent. There is also concern that the Division for Management is not properly incentivised to be responsive to the operational needs of the organisation.
- **Political concerns challenge the integrity of the Research and Analysis Branch's outputs.** As indicated earlier, UNODC's research products and function is one of UNODC's real strengths. For this to continue, the integrity of its products must be beyond question. UNODC can ensure that, to quote an evaluation, "political concerns" do not "take precedence over credible research" and that a "culture of conservatism" does not take root. It could do this by giving the branch the structural autonomy awarded to evaluation functions in line with UN Evaluation Group standards.
- **UNODC suffers from its thin representation with the United Nations in New York.** Policy discussions that have an impact on UNODC's substantive and operational work take place in New York. But because UNODC is Vienna-based and lacks adequate representation in New York, it risks having no voice and thereby inheriting disadvantageous policies. Discussions on the future of the UN development system are a case in point, as are operational policy changes that the UN Secretariat has adopted. The UN Secretariat issued its policy on the delegation of authority without considering how new procurement provisions would affect UNODC. In addition, a critical new upgrade of the Secretariat-wide financial and programme management platform (Umoja Extension 2) was designed without detailed reference to UNODC's needs.

ANNEXES

Annex 1. Performance ratings and evidence table

Methodology for scoring and rating

The approach to scoring and rating under MOPAN 3.0* is described in the 2019 Methodology Manual. It draws from the OECD *Handbook on Constructing Composite Indicators: Methodology and User Guide* (OECD/EU/JRC, 2008). It uses a rating scale that has been adjusted from previous MOPAN assessments. Each rating, ranging from highly unsatisfactory to highly satisfactory, still represents the averaged numerical score attributed to each element, micro-indicator (MI), and key performance indicator (KPI). However, the threshold for each rating has been raised by 0.5 points compared to assessments prior to 2019.

In this assessment, in line with the 2019 Methodology Manual, each of the key performance indicators (KPIs) is rated according to the following rating scale:

3.51 - 4.00	Highly satisfactory
2.51 - 3.50	Satisfactory
1.51 - 2.50	Unsatisfactory
0.00 - 1.50	Highly unsatisfactory

Each of the 12 KPIs contains a number of micro-indicators (MIs), which vary in number. The KPI rating is calculated by taking the average of the ratings of its constituent MIs.

For **KPI 1-8,** the MIs are made up of elements representing international best practice. The number of elements also varies. The rating of MIs is calculated by taking the average of the constituent elements' scores. At element level, scores ranging from 0 to 4 are assigned, according to the extent to which an organisation implements the element. The following criteria frame the scores for elements:

4 = Element is fully implemented/implemented in all cases
3 = Element is substantially implemented/implemented in the majority of cases
2 = Element is partially implemented/implemented in some cases
1 = Element is present, but not implemented/implemented in zero cases
0 = Element is not present

For **KPIs 9-12,** the rating of MIs is based on thresholds defined in the methodology, rather than on elements.

A score of "N/E" means "no evidence" and indicates that the assessment team could not find any evidence but was not confident of whether or not there was evidence to be found. The team assumes that "no evidence" does not necessarily mean that the element is not present (which would result in a zero score).
Elements rated N/E are excluded from any calculation of the average. A significant number of N/E scores in a report indicates an assessment limitation (see the Limitations section at the beginning of the report).

A note indicating "N/A" means that an element is considered to be "not applicable". This usually owes to the organisation's specific nature.

Strategic management

KPI 1: Organisational and financial framework

- 1.1 Long-term vision
- 1.2 Organisational architecture
- 1.3 Supports normative frameworks
- 1.4 Financial frameworks

KPI 2: Structures for cross-cutting issues

- 2.1a Gender equality
- 2.1b Environment
- 2.1c Good governance
- 2.1d Human rights

Operational management

KPI 3: Relevance and agility

- 3.1 Resources aligned to functions
- 3.2 Resource mobilisation
- 3.3 Decentralised decision-making
- 3.4 Performance-based HR

KPI 4: Cost-effective and transparent systems

- 4.1 Decision-making
- 4.2 Disbursement
- 4.3 Results-based budgeting
- 4.4 International audit standards
- 4.5 Control mechanisms
- 4.6 Anti-fraud procedures

Relationship management

KPI 5: Relevance and agility in partnership

- 5.1 Alignment
- 5.2 Context analysis
- 5.3 Capacity analysis
- 5.4 Risk management
- 5.5 Design includes cross-cutting
- 5.6 Design includes sustainability
- 5.7 Implementation speed

KPI 6: Partnerships and resources

- 6.1 Agility
- 6.2 Comparative advantage
- 6.3 Country systems
- 6.4 Synergies
- 6.5 Partner coordination
- 6.6 Information sharing
- 6.7 Accountability
- 6.8 Joint assessments
- 6.9 Knowledge deployment

Performance management

KPI 7: Results focus

- 7.1 RBM applied
- 7.2 RBM in strategies
- 7.3 Evidence-based targets
- 7.4 Effective monitoring systems
- 7.5 Performance data applied

KPI 8: Evidence-based planning

- 8.1 Evaluation function
- 8.2 Evaluation coverage
- 8.3 Evaluation quality
- 8.4 Evidence-based design
- 8.5 Poor performance tracked
- 8.6 Follow-up systems
- 8.7 Uptake of lessons

Results

KPI 9: Achievement of results

- 9.1 Results deemed attained
- 9.2 Benefits for target groups
- 9.3 Policy/capacity impact
- 9.4 Gender equity results
- 9.5 Environment results
- 9.6 Good governance results
- 9.7 Human rights results

KPI 10: Relevance to partners

- 10.1 Target groups
- 10.2 National objectives
- 10.3 Coherence

KPI 11: Results delivered efficiently

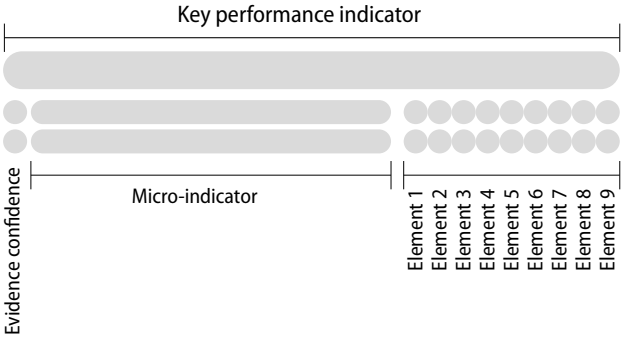
- 11.1 Cost efficiency
- 11.2 Timeliness

KPI 12: Sustainability of results

- 12.1 Sustainable benefits
- 12.2 Sustainable capacity
- 12.3 Enabling environment

High confidence
Medium confidence
Little to no confidence

Highly satisfactory
Satisfactory
Unsatisfactory
Highly unsatisfactory
No evidence/Not applicable



STRATEGIC MANAGEMENT

Clear strategic direction geared to key functions, intended results and integration of relevant cross-cutting priorities

KPI 1: The organisational architecture and financial framework enable mandate implementation and achievement of expected results	KPI score
Unsatisfactory	**2.40**

UNODC's strategic documents do not articulate a detailed long-term vision except insofar as they refer to the Office's role in supporting the achievement of a series of international instruments for which the Office acts as "guardian and advocate", the SDGs and a series of United Nations (UN) resolutions. There does not appear to be a strong, clear and unifying long-term vision that drives the Office – and that is articulated publicly.

UNODC's organisational architecture is only partially congruent with the strategic plan. The operating model appears to support the implementation of the strategic plan to a limited extent. This is one of UNODC's fundamental challenges, of which it is keenly aware. UNODC's operating model is a function of its financial framework. UNODC is overwhelmingly reliant on tightly earmarked, often short-term donor contributions. Its ability to deliver value to beneficiaries is driven by what its donors are willing to finance. UNODC is keenly aware of this consequence, noting that its financial framework hinders its ability to deliver its mandate effectively.

The strategic plan is aligned to wider normative frameworks. The activities of UNODC are grounded in a series of international instruments for which the Office acts as "guardian and advocate". They include the three international drug control conventions, the United Nations Convention against Corruption (UNCAC), the United Nations Convention against Transnational Organized Crime (UNTOC) and its protocols, the international legal instruments against terrorism, and the UN Standards and Norms in Crime Prevention and Criminal Justice. In addition to its foundational mandates, UNODC sees itself as responsible for supporting the delivery of certain SDGs and a series of UN agreements.

UNODC has very limited ability to ensure that all priority areas have adequate funding. Its ability to do this is restricted by its lack of access to flexible finance. The volume of core resources UNODC receives is insufficient to finance functions that in other institutions would be considered integral (e.g. evaluation, gender, results management systems). UNODC must rely on special purpose funds – earmarked donor funds – to finance these functions. Most of its normative work is also financed from earmarked funds.

MI 1.1: Strategic plan and intended results based on a clear long-term vision and analysis of comparative advantage	Score
Overall MI rating	**Unsatisfactory**
Overall MI score	**2.00**
Element 1: A publicly available strategic plan (or equivalent) contains a long-term vision	2
Element 2: The vision is based on a clear analysis and articulation of comparative advantage	2
Element 3: A strategic plan operationalises the vision, including defining intended results	2
Element 4: The Strategic Plan is reviewed regularly to ensure continued relevance	2

MI 1.1 Analysis	Source document
UNODC's Proposed programme budget for the 2018-19 biennium contains a mission statement, namely: to "contribute to the achievement of security and justice for all by making the world safer from drugs, crime and terrorism" (4/69). UNODC's strategic documents do not articulate a more detailed long-term vision except insofar as they refer to the Office's role in supporting the achievement of a series of international instruments for which the Office acts as "guardian and advocate", the Sustainable Development Goals (SDGs) and a number of UN resolutions. There does not appear to be a strong, clear and unifying long-term vision that drives the Office – and that is articulated publicly. The strategy framework mirrors the budget reporting cycle and is refreshed every two years. There is thus no longer-term vision that drives or underpins UNODC's programme budget. Interviews with UNODC's stakeholders and staff indicated that there is a strong appetite for a current and clear strategic vision across the Office – a high-level, long-term vision as well as a vision on more specific areas such as how the Office will align itself with a reforming UN system. UNODC's vision, as it stands, is in line with its comparative advantage, which in turn is identified from the mandates given to it by the UN. Its mandate derives from a series of international instruments for which the Office acts as "guardian and advocate". They include the three international drug control conventions, the UNCAC, the UNTOC and its protocols, the international legal instruments against terrorism, and the UN Standards and Norms in Crime Prevention and Criminal Justice. The broad areas of UNODC's mandate are clear and relatively uncontested within and outside the UN family – there are few areas of overlap with other multilateral organisations. However, as several interviewees noted, UNODC has not yet articulated strategically which elements of these very broad conventions and other standards it will prioritise, or how it will support them. This is an area that several interlocutors consider a significant gap in UNODC's strategic outlook. UNODC does have strategic-level documents that aim to operationalise its mandate and that seek to set out to define intended results. UNODC's strategic planning is encapsulated in two documents: its biennial strategic framework and its budget. Both seek to operationalise its mandate and define the intended results to which the organisation contributes. As UNODC is an Office of the UN Secretariat, its 2018-19 strategic framework is embedded within the General Assembly's overall "biennial plan and priorities", currently listed as Programme 13. Its strategic framework identifies nine subprogrammes. Each has an objective followed by an "expected accomplishment of the Secretariat" with "indicators of achievement" – i.e. the intended results. UNODC's strategic plan then includes an outline of its strategy to implement each subprogramme. UNODC has six thematic subprogrammes: 1. Countering transnational organised crime 2. A comprehensive and balanced approach to counter the world drug problem 3. Countering corruption 4. Terrorism prevention 5. Justice 6. Research, trend analysis and forensics And three cross-cutting subprogrammes that provide services to member states: 1. Policy support 2. Technical co-operation and field support 3. Provision of secretariat services and substantive support to the United Nations intergovernmental bodies, the International Narcotics Control Board and the United Nations Congress on Crime Prevention and Criminal Justice.	1, 2, 3, 4, 5, 6, 7, 8

UNODC's Programme and Budget for 2018-19 seeks to operationalise the strategic plan by allocating funding and staff resources to each of the subprogrammes. It further identifies the expected accomplishments of the Secretariat, indicators of achievement and the biannual performance measures as well as outputs. However, the "expected accomplishments" and "indicators of achievement" – or results – tend to be at the level of outputs rather than outcomes. The strategic plan is renewed and reviewed by UNODC's governing bodies every two years, and the Programme and Budget is produced every two years as well. Beginning in 2020 and on a trial basis, the Programme and Budget will be reviewed on an annual basis. Unless UNODC is able to develop a longer-term strategic vision, this change may encourage UNODC to focus on what can be achieved in an even shorter timeframe (one rather than two years) – encouraging an operational rather than strategic focus. UNODC will continue with the current biennial cycle for its consolidated budget. UNODC's plans do reflect new priorities that are substantive challenges in UNODC's area of competence. However, reviews do not appear to have reflected on the need for a clearer vision and do not present a strategic response to UNODC's strategic challenges: to a large extent, it is dependent on direction from the provision of donor finance, as outlined below. There is tension within UNODC relating to its strategic direction. On the one hand, some consider that UNODC is not a development agency. This view holds that UNODC works to a security and justice mandate that creates the conditions for development but that it is not a development agency or organisation itself. Those that hold this view cite the recent decision not to charge the 1% levy on UNODC's budget as a contribution to the UN Resident Coordinator System. Certain donors also hold this view – with some representing member states' law enforcement agencies. On the other hand, several interviewees consider that, given the Secretary-General's recent directive for the UN family to be "people-centred" and given the focus of the SDGs, UNODC's core mandate is fundamentally about making a contribution to development. The conventions and protocols for which UNODC is a guardian, while giving primacy to criminal-justice and law-enforcement perspectives, also call for a people-centred approach in some areas, and UNODC clearly takes a people-centred, developmental approach in several fields of competence. But interviews indicate that there were, at the time of the assessment, differences of opinion on the direction UNODC should take. For example, some staff within UNODC who considered that UNODC needs to become more people-centred thought it should re-orientate resources from headquarters to the field to better focus on beneficiaries. In specific areas of competence, interviewees reflected that a stronger people-centred approach would result in UNODC doing more to support victims of terrorism, as well as prevention and investigation; victims of human trafficking, in addition to tackling traffickers; drug users, to reduce harm, as well as focus on prevention. The tension between these views of UNODC's strategic direction has yet to be resolved. There is a need for a leadership decision on its vision and strategic direction in the light of the Secretary-General's position.	1, 2, 3, 4, 5, 6, 7, 8
MI 1.1 Evidence confidence	**High confidence**

MI 1.2: Organisational architecture congruent with a clear long-term vision and associated operating model	Score
Overall MI rating	**Unsatisfactory**
Overall MI score	**2.20**
Element 1: The organisational architecture is congruent with the strategic plan	2
Element 2: The operating model supports implementation of the strategic plan	2
Element 3: The operating model is reviewed regularly to ensure continued relevance	2
Element 4: The operating model allows for strong co-operation across the organisation and with other agencies	2
Element 5: The operating model clearly delineates responsibilities for results	3
MI 1.2 Analysis	**Source document**
UNODC's organisational architecture is only partially congruent with the strategic plan. UNODC is a Vienna-based office of the United Nations Secretariat: it was established to assist member states in tackling illicit drugs, crime and terrorism. UNODC is positioned as the UN lead office in the fight against illicit drugs and international crime. It was established when the United Nations Drug Control Programme and the Centre for International Crime Prevention were merged in 1997. Responsibility for delivering each of UNODC's substantive subprogrammes is divided between and among its divisions. The Office is divided into four divisions: Operations; Treaty Affairs; Policy Analysis and Public Affairs; and Management. The Division for Operations is responsible for overseeing the field network and contains four regional sections. UNODC operates in all regions through a network of field offices. The division oversees eight regional offices, seven country offices, 17 field offices and 87 programme/project offices. It also houses UNODC's Drug Prevention and Health Branch and its Justice Section. The Division for Treaty Affairs houses branches on organised crime and illicit trafficking; corruption and economic crime; and terrorism prevention. It also holds the Secretariat of the Governing Bodies. The semi-autonomous Secretariat of the International Narcotics Control Board is linked to the Division for Treaty Affairs, although it is functionally independent. The Division for Policy Analysis and Public Affairs houses UNODC's Public Affairs and Policy Support Branch and its Research and Trend Analysis Branch (RAB). Interviews indicated that there are several elements of the organisational architecture that stakeholders consider in need of reform: some mentioned that there is a lack of clarity and collaboration between headquarters units and between field entities. They noted there is sometimes an unhelpful gap between them, and the division of labour and allocation of responsibility are not sufficiently clear. The International Narcotics Control Board is an independent and quasi-judicial control organ for the implementation of the United Nations drug conventions. It plays an important role in monitoring enforcement of restrictions on narcotics and psychotropics and in deciding which precursors should be regulated. Its budget is included in that of UNODC, but it is operationally and functionally independent, and therefore this assessment does not address it. The operating model appears to support the implementation of the strategic plan to a limited extent. This is one of UNODC's fundamental challenges, of which it is keenly aware. UNODC's operating model is a function of its financial framework. UNODC is overwhelmingly reliant on tightly earmarked, often short-term donor contributions. As much as 90% of its total budget derives from voluntary donor contributions. It is therefore, to use a phrase from several interviewees, "donor-driven". Its	1, 3, 4, 5, 8

ability to deliver value to beneficiaries is driven by what its donors are willing to finance. It has limited ability to strategically commit resources to either thematic areas of its mandate or to target groups that it would consider priorities unless donors are willing to provide finance. UNODC is keenly aware of this consequence, noting that its financial framework hinders its ability to deliver its mandate effectively:

"The unprecedented decline in general-purpose funds is unquestionably hindering the ability of UNODC to: (a) strategically manage its operations; (b) improve upon its management processes; (c) exercise effective corporate oversight; (d) fund key activities; and (e) launch new initiatives and programmes. As the flow of sustained unearmarked resources is key to the Office's viability, UNODC continues to make calls to Member States to pledge adequate general-purpose contributions." (7/111)

UNODC's external audits have also reflected the continuing trend and the same negative impact on UNODC's ability to implement its mandate: "The continuous decline, in absolute and percentage terms, of general purpose income negatively affects the medium-term ability of UNODC to: (a) implement its strategy; (b) improve upon its management processes; (c) exercise effective corporate oversight; and (d) launch new initiatives and programmes."

Operationally, UNODC manages global, thematic, regional and country programmes through a combination of Vienna, regional and national field offices. This structure allows it to engage with a wide cross-section of stakeholders including regional entities, partner countries, multilateral bodies, civil society, research institutes and the mass media.

UNODC's governing bodies – its two commissions and the UN General Assembly – can consider the Office's operating model when reviewing and approving its budget documents. The assessment team did not, however, find evidence that the Office has initiated fundamental reviews of its operating model.

Interviewees raised concerns that UNODC as an organisation has not yet reviewed its business model in the light of the ongoing UN development system reform and has not yet identified and communicated internally or externally how it will adapt. There does not appear to have been organisation-wide discussions on this challenge and opportunity. The Division of Operations, however, which is responsible for the delivery of field-level interventions through UNODC's regional and field network, has initiated an internal review of how UNODC needs to adapt. It is using the performance management system to encourage its staff to engage fully with the reforms. However, the Office does not appear yet to have identified its strategic position and developed a change management plan. Further, this review will not look at the global and thematic programmes delivered from headquarters.

There is evidence that UNODC's de facto operating model, while in principle allowing for co-operation across the organisation and with other agencies, also sometimes undermines the potential for internal collaboration. UNODC's operating model incentivises staff to secure donor funding to finance the vast majority of UNODC's activities. Interviewees noted that there is often competition between units for donor funding – competition between headquarters entities themselves and between headquarters entities and field offices. The incentives for collaboration across the organisation are weakened by the imperative to raise funds that can be managed to sustain a unit's or programme's activities and staff.

Some subprogrammes are implemented by more than one division, which UNODC states allow for the leveraging of complementarities and synergies. And there were, of course, cases of strong cross-organisation working. But internal competition and a lack of internal collaboration were strong enough concerns to be raised by the majority of those interviewed.

UNODC's current and draft 2020 strategic plans delineate which division or divisions have the responsibility for delivering the results set out in each subprogramme. Successive programme and consolidated budgets from 2014-15 have steadily improved how responsibility for results is identified. However, results remain aggregated at the level of subprogramme. There is no aggregation of results at the portfolio (organisation-wide) level. The relationship between UNODC's policy and delivery units and the unit responsible for supporting delivery, the Division for Management, introduces a degree of complexity to UNODC's ability to deliver. UNODC's Division for Management, while functionally part of UNODC, is simultaneously part of the UN Office of Vienna (UNOV). This is explored in detail in the text on MI 3.1.	1, 3, 4, 5, 8
MI 1.2 Evidence confidence	**High confidence**

MI 1.3: Strategic plan supports the implementation of wider normative frameworks and associated results, including Agenda 2030 and others where applicable (e.g. the quadrennial comprehensive policy review (QCPR), replenishment commitments, or other resource and results reviews)	**Score**
Overall MI rating	**Satisfactory**
Overall MI score	**2.40**
Element 1: The strategic plan is aligned to wider normative frameworks and associated results, including Agenda 2030, and others, such as the QCPR and the Grand Bargain (where applicable)	3
Element 2: The strategic plan includes clear results for normative frameworks, including Agenda 2030, and others, such as the QCPR and the Grand Bargain (where applicable)	3
Element 3: A system to track normative results is in place for Agenda 2030, and any other relevant frameworks, such as the QCPR and the Grand Bargain (where applicable)	2
Element 4: The organisation's accountability for achieving normative results, including those of Agenda 2030, and any other relevant frameworks, such as the SDGs and their targets and indicators, the QCPR and the Grand Bargain (where applicable), is clearly established	2
Element 5: Progress on implementation on an aggregated level is published at least annually	2
MI 1.3 Analysis	**Source document**
The strategic plan is aligned to wider normative frameworks. The activities of UNODC are grounded in a series of international instruments for which the Office acts as "guardian and advocate". They include the three international drug control conventions, the UNCAC, the UNTOC and its protocols, the international legal instruments against terrorism, and the UN Standards and Norms in Crime Prevention and Criminal Justice. In addition to its foundational mandates, UNODC sees itself as responsible for supporting the delivery of certain SDGs and a series of UN agreements. Within these mandates, UNODC gathers and analyses evidence that identifies trends and serves as a platform for action. It does this across and within five areas – or "service lines", to use its terminology. Each service line also implements programmes (some of which are cited as examples). • Organised crime and trafficking – Mandate: UN Convention against Transnational Crime (Palermo Convention) and three protocols. UNODC and the World Customs Organisation implementing the Container Control Programme or the UNODC Blue Heart Campaign raising worldwide awareness about modern forms of slavery. • Corruption – Mandate: UN Convention against Corruption. Combatting environmental crime and corruption in Indonesia.	2, 3, 4, 5, 6, 8, 9, 10, 48

- Crime prevention and criminal justice reform – Mandate: UN Standards and Norms in Crime Prevention and Criminal Justice. Building capacity to combat piracy off the Horn of Africa or Prison reform in Occupied Palestinian Territories.
- Drug prevention and health – Mandate: Commission on Narcotic Drugs and three international drug control treaties as well as guardian of Standard Minimum Rules for the Treatment of Prisoners. Promoting universal access to drug dependence treatment and care in Serbia or Preventing spread of HIV in prisons in South Africa.
- Terrorism prevention – Mandate: 19 international legal instruments, Security Council and General Assembly Resolution 60/288 on UN Global Counter-Terrorism Strategy and the 2017 Security Council resolutions to prevent human trafficking in conflict situations, looting and the sale of cultural heritage to finance terrorism. Building counter-terrorism capacity in Colombia and Yemen.

UNODC has drafted a results-based management approach in its strategic framework for 2018-19 and proposed 2020 programme budget, as required by the QCPR resolution. It also seeks to reflect national ownership, full participation in the reform of the UN Country Teams and unified reporting on the 2030 Agenda in these documents.

The subprogrammes detailed in UNODC's 2018-19 strategic framework (embedded within the General Assembly's overall "biennial plan and priorities") state the results it is aiming to achieve relating to each element of its normative mandate. Funding is allocated to the normative work in UNODC's biennual budget document and is identified within each of the subprogrammes. Against each of UNODC's normative mandates, the strategic framework defines the "expected accomplishments of the Secretariat' and, in a separate column, "indicators of achievement". For example, to promote effective responses to transnational organised crime and illicit trafficking, the Secretariat will provide support to promote the ratification of conventions; one of the indicators is cited as an increased number of states parties ratifying the relevant convention.

The way UNODC measures results is set within the UN Secretariat action plan for the implementation of results-based management. Within UNODC, the Strategic Planning and Inter-agency Affairs Unit is responsible for ensuring that a results-based management (RBM) approach is mainstreamed into UNODC's global, regional and national programming. The unit co-ordinates the formulation of the strategic framework of UNODC and develops institutional standards, methodologies and tools for results-based management for UNODC programmes and projects. As outlined in the Results section below (7.1), UNODC's ability to track either normative or programmatic results is not yet effective. An organisation-wide RBM approach is not practised – though it exists in policy. UNODC is far from what is required to institutionalise a culture of managing for results at all levels.

There is, in principle, accountability for the achievement of normative results within UNODC. Branches and divisions within the Secretariat are responsible for the delivery of subprogrammes – in which normative results are embedded – and they are accountable, under the authority of the Executive Director, for their results. However, in practice, accountability systems are weak, as monitoring is largely absent (see MI 7.4). The following commissions and conferences of the parties covering UNODC's mandates meet regularly and review budgetary and administrative issues.

- The Commission on Narcotic Drugs (CND)
- The Commission on Crime Prevention and Criminal Justice (CCPCJ)
- The Conference of the Parties to the United Nations Convention against Transnational Organized Crime
- The Conference of the States Parties to the United Nations Convention against Corruption.

Insofar as the two commissions (CND and CCPCJ) give strategic direction to UNODC, they share accountability for normative results. The two conferences, in theory, also share accountability for their specific mandate areas. UNODC reports on the implementation of some normative results at least annually. It reports on implementation at an aggregate level against the achievement of normative frameworks in its institution-wide annual report. Reporting in the annual report tends to be at the level of the activities and outputs. Insofar as UNODC's global programmes are designed to implement the Office's normative mandates, the Annual Results-Based Report examines implementation progress (this is an internal report for member states only). The latest available report covers 2018. Some of UNODC's flagship reports – for example, its World Drugs report – also include reference to normative results the organisation has supported.	2, 3, 4, 5, 6, 8, 9, 10, 48
MI 1.3 Evidence confidence	**High confidence**

MI 1.4: Financial Framework (e.g. division between core and non-core resources) supports mandate implementation	**Score**
Overall MI rating	**Satisfactory**
Overall MI score	**3.00**
Element 1: Financial and budgetary planning ensures that all priority areas have adequate funding in the short term or are at least given clear priority in cases where funding is very limited	3
Element 2: A single integrated budgetary framework ensures transparency	3
Element 3: The financial framework is reviewed regularly by the governing bodies	3
Element 4: Funding windows or other incentives in place to encourage donors to provide more flexible/un-earmarked funding at global and country levels	3
Element 5: Policies/measures are in place to ensure that earmarked funds are targeted at priority areas	3
MI 1.4 Analysis	**Source document**
UNODC has very limited ability to ensure that all priority areas have adequate funding. Its ability to do this is restricted by its lack of access to flexible finance. The volume and share of earmarked voluntary contributions – "special purpose funds" have been rising, reflecting higher donor investment in its activities. But core resources (general purpose funds and regular budget) have been declining in real terms and relative to non-core resources (special purpose funds) for several years. Core resources (general purpose funds) were forecast to be less than 1% in 2018-19. The volume of core resources UNODC receives is insufficient to finance functions that in other institutions would be considered integral (e.g. evaluation, gender, results management systems). UNODC must rely on special purpose funds – earmarked donor funds – to finance these functions. Most of its normative work is also financed from earmarked funds. UNODC is well below the average of the UN development system entities in terms of the share of core resources it receives. The average for the UN system in 2017 was 21%; UNODC was 10% in 2016 and declined to 7.6% in 2017. Within these constraints, there is mixed evidence in relation to UNODC's financial and budgetary planning to ensure priority areas have adequate funding. For example, the initial 2018-19 budget made an inadequate core funding commitment to the Research Trend Analysis Branch rendering the branch – which was largely dependent on core funds – vulnerable. The budget was rejected by member states and resubmitted with an allocation from core funds – including programme support costs (PSCs) (10/111).	2, 3, 4, 5, 11, 12, 49

UNODC's terminology for funding sources is as follows: • general purpose funds: unearmarked voluntary contributions to finance core programmatic activities that are not funded by the regular budget (e.g. normative work, research) • regular budget: received from the UN biennial programme budget • special purpose funds: earmarked voluntary contributions for technical co-operation projects in the field or at headquarters (HQ) • programme support costs: overhead charge made against special purpose funds. PSCs are indirect costs that cannot be readily and directly attributed to, and are recovered from, activities financed from voluntary contributions (as per the supplement of the financial regulations and rules applicable to UNODC (ST/SGB/2015/4). PSCs are set for most donors at 13% (the European Union is charged 7%) and used to support central services. UNODC income projections for the biennium 2018–19 highlight the divergence between earmarked and unearmarked funding. Income from special purpose funds (earmarked) was projected at USD 662.4 million (86.8%), and income from general purpose funds (unearmarked) was projected at USD 6.8 million (0.9%). The other two funding sources, programme support cost funds and the regular budget, account for 7.1% and 5.2% of the Office's income. UNODC continues to face a persistent deterioration in general purpose income and added pressures on its regular budget and programme support cost funds. As indicated above, UNODC is also explicit that its financial framework hinders its ability to deliver its mandate effectively. The lack of general purpose funds reduces its capacity to: "(a) strategically manage its operations; (b) improve upon it management processes; (c) exercise effective corporate oversight; (d) fund key activities; and (e) launch new initiatives and programmes". UNODC's external audits have also reflected the continuing trend and the same negative impact on UNODC's ability to implement its mandate. UNODC creates a single integrated budgetary framework and has done so at least since 2014. However, voluntary contributions are also budgeted and accounted for separately under the two funds under which UNODC was established: the Fund of the United Nations International Drug Control Programme and the United Nations Crime Prevention and Criminal Justice Fund. Each biennial consolidated budget reports against the financial position of each fund separately. The reports set out anticipated general purpose income, the allocation of income from programme support costs to the Fund and anticipated special purpose income. Each Fund budget identifies the proposed commitment to each individual subprogramme. The financial framework is reviewed regularly by the governing bodies. In line with General Assembly resolutions, the budget of general purpose funds (the "programme of the funds"), is presented to the commissions for approval. The budgets for special purpose funds (extrabudgetary support) and the related administrative and programme support cost budget (programme support cost funds) are presented to the commissions for endorsement only. UNODC is seeking to introduce incentives to encourage donors to provide more flexible/un-earmarked funding at global and country levels, but, to date, this initiative has had limited impact. UNODC's "Consolidated budget for the biennium 2018-19" and other documents state that "UNODC continues to make pleas to Member States and donors for unearmarked contributions". Its draft annual programme implementation plan for 2020 states that UNODC is working on the assumption that there will be "less strictly earmarked special purpose contributions", though without evidence that this will happen.	2, 3, 4, 5, 11, 12, 49

UNODC does seek multi-year funding and manages to get longer-term commitments in some cases. UNODC is structuring regional and country programmes in ways that allow donors to provide support to multi-year elements of the programmes. It concluded multi-year funding agreements with Australia and Qatar in 2016 and with Germany, Norway and the United Kingdom in 2018. However, a significant proportion of donors continue to provide small funding commitments that are often only valid for one year and are also often earmarked for very specific purposes. This funding pattern hampers UNODC's ability to undertake sustainable planning and achieving long-term objectives since the financing of a significant share of activities and staff costs are only secured on an ad hoc and short-term basis. The "standing open-ended intergovernmental working group on improving governance and financial situation of UNODC" (referred to internally as FINGOV) is an informal advisory body of member states. It is regularly briefed on the status of the budget, and its members are encouraged to provide more unearmarked contributions. In April 2019 UNODC presented to FINGOV a document applying the proposed Funding Compact to UNODC. The Funding Compact aims to raise core contributions to the UN to 30% of their budgets to help them support the achievement of the SDGs. Through the Funding Compact, member states are committing to bringing core resources to at least 30% in the next five years. UNODC repeated its plea to member states to provide less hard-earmarked funding. It asked that, if general purpose funding cannot be provided, donors "soft earmark" their contributions. It also asked donors who have to "soft earmark" their contributions to dedicate them to one or more of UNODC's "fundamental roles" or to specific thematic and/or geographic areas. UNODC identified its fundamental roles under four headings: normative work, strategic direction and policy support, knowledge leadership, and cross-cutting support functions. The latter includes roles or functions such as results-based management, evaluation and gender mainstreaming. UNODC invited member states to engage in a dialogue to explore increased support to UNODC's fundamental roles and how these roles could be matched with core resources. UNODC noted that it could highlight, in the consolidated budget, any funding gaps for fundamental roles that are currently funded through PSCs, extrabudgetary support or are not funded at all. UNODC's procedures and policies for planning and budgeting provide the overall framework governing how earmarked funds are targeted. However, given that around 90% of its budget derives from voluntary contributions, it is inevitable that funds are targeted to areas that are priorities for its donors as well as priorities UNODC identifies. In 2014, to address falling general purpose income, UNODC introduced arrangements to achieve full cost recovery of donor financed programmes. In line with Secretariat-wide policies, UNODC costed its technical co-operation assistance. Since 2014, UNODC has continued to apply full cost recovery to all programmes and projects funded from voluntary contributions. UNODC has stated that it has developed a monitoring and early warning dashboard on full cost recovery (the "full cost recovery barometer") as a risk management tool to provide senior management with monthly and quarterly updates on full cost recovery implementation, to enable it to understand its cost base and to monitor recovery rates and their impact on the field office network and programme activities.	2, 3, 4, 5, 11, 12, 49
MI 1.4 Evidence confidence	**High confidence**

KPI 2: Structures and mechanisms support the implementation of global frameworks for cross-cutting issues at all levels	KPI score
Unsatisfactory	2.42

UNODC has structures and mechanisms to support the implementation of global frameworks for cross-cutting issues on gender equality, human rights and governance but not, to date, climate change or the environment. Its framework in relation to gender sensitivity and equality, however, has only recently been developed, and there is little evidence of implementation. A core part of UNODC's mandate is to promote good governance; its governance work is a strength.

UNODC has a clear strategy on gender equality. It was approved in December 2017 and is still in the early stages of being implemented. The Action Plan to operationalise the strategy was adopted in December 2018 – leaving just six months for implementation in the assessment period (January to June 2019). Because there has been insufficient time to drive delivery of the plan, there is not yet consolidated evidence showing use.

UNODC does not have a dedicated, office-specific policy statement on environmental sustainability and climate change. As a UN Office, UNODC subscribes to UN-wide policies on environmental sustainability and climate change. It contributed to the creation of the UN Sustainability Strategy (2019) and subscribes to the UN Secretariat's Climate Action Plan (2019) and the Ten Principles of the UN Global Compact, three of which relate to the environment. Although these frameworks are very recent, UNODC has been addressing certain aspects pertaining to environmental sustainability and climate change in some of its projects. Systematic checklists for screening, however, do not yet exist.

Given its mandate and operational focus, UNODC has the structures and mechanisms to support the implementation of global frameworks for cross-cutting issues relating to good governance. This is a strength. UNODC's core mandate concerns promoting good governance.

UNODC's mandate is in the security and justice sector, and it has a responsibility to safeguard human rights as well as promote them. UNODC reports against the UN's Human Rights Due Diligence Policy that relates to UN Support to Non-UN Security Forces (HRDDP) – and did so in 2017, contributing to the 2018 review. It was among the entities that "have taken significant steps in progressing implementation through advisory groups, SOPs [standard operating procedures], task forces and the development of related tools and guidance". While UNODC has systems and procedures to ensure to ensure its interventions safeguard hunan rights, some interviewees considered that, in practice, these might not be implemented adequately and equally across the organisation.

MI 2.1 Corporate/sectoral and country strategies to respond to and/or reflect the intended results of normative frameworks for cross-cutting issues	
MI 2.1a: Gender equality and the empowerment of women	**Score**
Overall MI rating	**Unsatisfactory**
Overall MI score	**2.33**
Element 1: Dedicated policy statement on gender equality available and showing evidence of use	3
Element 2: Gender equality indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	3
Element 3: Accountability systems (including corporate reporting and evaluation) reflect gender equality indicators and targets	2
Element 4: Gender screening checklists or similar tools used for all new Interventions	2
Element 5: Human and financial resources (exceeding benchmarks) are available to address gender issues	2
Element 6: Capacity development of staff on gender is underway or has been conducted	2

MI 2.1a Analysis	Source document
UNODC has a clear policy and strategy on gender equality (Document number 17). It was approved in December 2017 and is still in the early stages of being implemented. The Action Plan to operationalise the strategy was adopted in December 2018 – leaving just six months for implementation in the assessment period (January to June 2019). Because there has been insufficient time to drive delivery of the plan, there is not yet consolidated evidence showing use. Reflecting UNODC's lack of core funding, its gender equality and mainstreaming work (staff and activities) is funded by extrabudgetary funds and is framed as a "global programme". UNODC's dependence on donor funding for its gender equality work means it is dependent on future donor commitments, and therefore its sustainability is not guaranteed. The gender unit and programme have been placed within the Office of the Executive Director. Gender equality indicators and targets have recently been integrated into the organisation's strategic plan and corporate objectives. UNODC aims to deliver against 14 targets (or strategic performance areas) with 2019 as the mid-term and 2021 as the end of term targets. The targets are based on the five-level rating system of the UN System-wide Action Plan framework, which allows UN entities to assess themselves and report against each performance indicator. Specific actions for reaching the targets and monitoring implementation are outlined in an action plan for 2018-19. Accountability systems (including corporate reporting and evaluation) that reflect gender equality indicators and targets are now being put in place, but there is not yet evidence of their use. The Executive Director is responsible for delivering and accomplishing the implementation plans' goals and targets, and senior management is responsible for reviewing results and strengthening implementation. UNODC's strategy provides for a mid-term review and final independent evaluation. Gender screening checklists have been developed and have begun to be used in relation to new interventions. Capacity development of staff on gender equality is underway, and a system of gender focal points has been established. But, as with UNODC's policy and implementation, this is in the early stages of implementation. The element scores in this micro-indicator reflect that UNODC's gender policy and implementation plan are so recent that there has not been adequate time to demonstrate results: they are either partially implemented or implemented only in some cases. It is important to note that this score is not a reflection on the quality of either the policy or the systems that have been put in place: these appear of high quality.	6, 9, 13, 14, 16, 17, 50
MI 2.1a Evidence confidence	**Medium confidence**

MI 2.1b: Environmental Sustainability and climate change	Score
Overall MI rating	**Highly uatisfactory**
Overall MI score	**0.67**
Element 1: Dedicated policy statement on environmental sustainability and climate change available and showing evidence of use	2
Element 2: Environmental sustainability/ climate change indicators and targets are fully integrated into the organisation's strategic plan and corporate objectives	0
Element 3: Accountability systems (including corporate reporting and evaluation) reflect environmental sustainability and climate change indicators and targets	1
Element 4: Environmental screening checklists / impact assessments used for all new Interventions	0
Element 5: Human and financial resources (exceeding benchmarks) are available to address environmental sustainability and climate change issues	1
Element 6: Capacity development of staff on environmental sustainability and climate change is underway or has taken place	0
MI 2.1b Analysis	**Source document**
UNODC does not have a dedicated, office-specific policy statement on environmental sustainability and climate change. As it is a UN Office, UNODC subscribes to UN-wide policies on environmental sustainability and climate change. UNODC is a member of the UN Environment Management Group, and the Issue Management Group on Sustainability Management in the UN System. The group created the new Strategy for Sustainability Management in the UN System 2020-2030, adopted by the UN in May 2019. In September of the same year, a new Climate Action Plan for the UN Secretariat was released. However, both policies are too recent for evidence of their implementation within UNODC to apply to this assessment. UNODC subscribes to the Ten Principles of the UN Global Compact, three of which relate to the environment. Although the UN policy was only put in place in 2019, some of UNODC's programmes do support sustainability. Its Alternative Development interventions, which promote alternatives to illicit crop cultivation, contribute to the prevention of forest degradation. They contribute to the preservation and sustainable use of natural resources through land stabilisation projects and by helping to build resilience in communities affected by climate change. UNODC's Global Wildlife and Forest Crime Programme also contributes to environmental sustainability by addressing threats to biodiversity – supporting efforts to combat illegal logging, wildlife poaching and trafficking, and fisheries crime and corruption. It works with a network of over 40 countries and seeks to build international consensus to tackle the illegal exploitation of natural resources. Environmental sustainability and climate change indicators and targets are not yet integrated into the organisation's strategic plan and corporate objectives. UNODC's operational environmental footprint is reported under UNOV's submission on the UN's Greening the Blue website. Figures submitted only appear to cover its core activities and not programmatic activities outside of its Vienna headquarters. UNODC does not yet have environmental sustainability screening checklists or comparable tools for new interventions. Human and financial resources are not committed to addressing environmental sustainability and climate change issues outside the specific programmes mentioned above. There are no dedicated positions in UNODC working solely on these issues.	9, 13, 14, 16, 18, 51, 142

UNODC does not conduct specific staff capacity development on environmental sustainability and climate change. The scores against the elements in this micro-indicator reflect UNODC's absence of a formal policy or supporting framework – though, as noted above, there is now an overarching Secretariat policy which should frame its future policy.	9, 13, 14, 16, 18, 51, 142
MI 2.1b Evidence confidence	**Little to no confidence**

MI 2.1c: Good governance (peaceful and inclusive societies for sustainable development, reduced inequality, provide access to justice for all and build effective, accountable and inclusive institutions at all levels)	**Score**
Overall MI rating	**Highly satisfactory**
Overall MI score	**3.67**
Element 1: Dedicated policy statement on the principles of good governance and effective institutions available and showing evidence of use	4
Element 2: Indicators and targets related to the principles of good governance and effective institutions are integrated into the organisation's strategic plan and corporate objectives	3
Element 3: Accountability systems (including corporate reporting and evaluation) reflect the principles of good governance and effective institutions	4
Element 4: New interventions are assessed for relevant governance/institutional effectiveness issues	4
Element 5: Human and financial resources are available to address the principles of good governance and issues related to effective institutions	4
Element 6: Capacity development of staff on the principles of good governance and effective institutions is underway or has taken place	3
MI 2.1c Analysis	**Source document**
Given its mandate and operational focus, UNODC has the structures and mechanisms to support the implementation of global frameworks for cross-cutting issues relating to good governance. This is a strength. UNODC's core mandate concerns promoting good governance. It aims to help countries "foster good governance, robust criminal justice systems that observe human rights, security sector reform and, consequently, also sustainable development, through strengthening states' capacities to prevent, confront and defeat transnational organized crime". In terms of its priority governance areas, UNODC focuses on countering transnational organised crime; combatting drug use; countering corruption; terrorism prevention; and justice. Sixty percent of survey respondents consider that UNODC's promotion of good governance is "excellent" or "very good"; while 62% hold the same views with respect to its work in promoting human rights. A high proportion of UNODC's stakeholders surveyed were more aware of UNODC's approach to good governance: 57% stated they know it very well or know a fair amount about it. Using its work to combat organised crime as just one example, UNODC supports states to build their capacities to prevent, investigate and prosecute organised crime by providing technical assistance to develop crime prevention strategies and build capacities for investigation and prosecution, including training staff of law enforcement, customs and border agencies, prosecutorial offices, the judiciary, financial intelligence units and other related officials; it promotes and strengthens international co-operation in criminal matters among law enforcement officials, judicial practitioners and other relevant actors through a variety of mechanisms, including through	4, 6, 13, 14, 16, 18, 19, 20

regional and inter-regional networks and anti-organised crime units, and the development of software tools and databases to share information. UNODC drives cutting-edge work in several areas – its work on cyber-crime and terrorism are highlights. Good governance indicators and targets are integrated into the organisation's strategic plan and corporate objectives as part of results frameworks for UNODC's nine subprogrammes. Because all UNODC's subprogrammes are essentially focused on improving governance UNODC's accountability systems (including corporate reporting and evaluation), they reflect good governance indicators and targets throughout. UNODC does not use specific checklists, nor should this be expected because each of its interventions operates in specific sub-sectors relating to good governance. Outcomes are designed to improve governance. It has produced toolkits and checklists that both its own staff and global partners can use in designing specific good governance interventions. For example, it has produced toolkits for assessing criminal justice systems, programming support to women's access to justice, and combatting migrant smuggling and trafficking in persons. Most of UNODC's human and financial resources are directed at addressing good governance issues: its budgets demonstrate this financial commitment. UNODC has an eLearning programme that is a resource to build the governance capacity of staff and member state personnel alike. Its Global eLearning Programme contains over 400 modules covering governance issues such as wildlife crime, transnational organised crime, illicit drugs, tracking in persons and smuggling of migrants, and issues relating to border control, forensic investigations, controlled deliveries, security and travel documents, and intelligence analysis.	4, 6, 13, 14, 16, 18, 19, 20
MI 2.1c Evidence confidence	**High confidence**

MI 2.1d: Human rights	**Score**
Overall MI rating	**Satisfactory**
Overall MI score	**3.00**
Element 1: Dedicated policy statement on human rights issues available and showing evidence of use	3
Element 2: Human rights indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	3
Element 3: Accountability systems (including corporate reporting and evaluation) reflect human rights indicators and targets	3
Element 4: Human rights screening checklists or similar tools used for all new interventions	3
Element 5: Human and financial resources (exceeding benchmarks) are available to address human rights issues	3
Element 6: Capacity development of staff on human rights is underway or has been conducted	3
MI 2.1d Analysis	**Source document**
UNODC's mandate is in the security and justice sector, and it has a responsibility to safeguard human rights as well as promote them. UNODC reports against the UN's Human Rights Due Diligence Policy that relates to UN Support to Non-UN Security Forces (HRDDP) – and did so in 2017, contributing to the 2018 review. The Human Rights Due Diligence Policy sets out measures that all UN entities must take to ensure any support they provide is consistent with the purposes and principles of the UN Charter. It was among the entities that "have taken significant steps in progressing implementation through advisory groups, SOPs [standard operating procedures], task	6, 13, 14, 16, 19, 21, 22, 23, 24, 25, 26, 27, 28, 52, 86

forces and the development of related tools and guidance". UNODC has systems and procedures that aim to embed the UN's Human Rights Due Diligence Policy i.e. to ensure to ensure its interventions safeguard human rights. However, some interviewees considered that, in practice, these might not be implemented systematically across the organisation. UNODC works in the security sector with law enforcement agencies that in some countries could be associated with human rights abuses; it also has a mandate to provide capabilities that could be abused to harm human rights. There is thus a greater onus on UNODC that it "does no harm" than on multilateral organisations not involved in the security sector. A 2012 position paper sets out the relevance of international human rights standards to UNODC's mandate and the relationship between UNODC drug control, crime prevention, criminal justice mandates, and human rights obligations and standards. It identifies how programme staff should be aware of the ways human rights could be supported or compromised in these areas and gives practical advice. There is evidence that the policy is implemented – both in UNODC's submission to a 2018 report on entities' compliance with the Human Rights Due Diligence Policy on UN Support to Non-UN Security Forces (HRDDP) and on the UN's HRDDP report itself, which appraises UNODC's submission. UNODC has established a Human Rights Advisory Group, composed of UNODC senior managers from all divisions. It is tasked with advising the Executive Director on structures, tools and procedures required to mainstream human rights at headquarters and in the field. UNODC reports that its Human Rights Advisory Group regularly assesses programmes for HRDDP compliance and launched a guidance tool to assess human rights risks in programme planning in 2017 (superseding a 2014 Human Rights Risk Assessment tool). UNODC states that its Programme Review Committee ensures that all programmes comply with human rights-related requirements through its Human Rights Advisory Group, which addresses HRDDP implementation and provides advice to UNODC's Executive Director. Two interviewees were not confident that, in practice, scrutiny was undertaken as consistently or as robustly as necessary, and they were concerned that some interventions in sensitive areas could progress without enough scrutiny. This assessment did not have the scope to examine the extent to which these concerns were justified and simply noted these views. UNODC also delivers human rights risk mitigation measures in its programmes. For example, the Office is mandated to promote the application of UN standards and norms with respect to the UN Standard Minimum Rules on the Treatment of Prisoners (Nelson Mandela Rules), the UN Principles and Guidelines on Access to Legal Aid or the Basic Principles on the Use of Force and Firearms by Law Enforcement Officials. Human rights indicators and targets are not listed in UNODC's strategic plan and corporate objectives as discrete indicators or targets, but objectives to respect and enhance human rights are mainstreamed into each thematic area in UNODC. For example, each thematic area explicitly considers human-rights related developments in the 2017 annual report. UNODC programmes/projects on crime prevention and criminal justice reform include performance indicators that allow for measuring issues related to human rights compliance. Human rights risks and mitigation are included in the UNODC programming cycle (strategy setting – programme development – resource mobilisation implementation and monitoring – evaluation). Programme/project documents are required to include background evidence on human rights to determine the human rights-related effects of proposed activities, as well as information on risks and risk mitigation strategies; the project document template is particularly explicit on its treatment of human rights. Performance reviews are conducted, including on human rights issues, for example through the submission of Annual Programme Progress Reports. Evaluations also analyse the human rights impact of interventions, in line with UNODC's Evaluation Policy.	6, 13, 14, 16, 19, 21, 22, 23, 24, 25, 26, 27, 28, 52, 86

UNODC staff are requested to use human rights screening checklists for all new interventions. A 2018 guidance note instructs staff on how to assess whether actions improve state capacity, observance and fulfilment of human rights. As noted above, some interviewees expressed concern that not all potentially sensitive interventions receive the degree of scrutiny that UNODC's policy requires. Given that several core programmes address human rights issues, dependent on extrabudgetary funding, resources to support human rights are available. To raise staff awareness at the headquarters level, UNODC has developed an e-learning module on human rights on the work of UNODC, which includes extensive reference to the HRDDP, as well as exercises and case studies. This complements mandatory training on UN Human Rights Responsibilities.	6, 13, 14, 16, 19, 21, 22, 23, 24, 25, 26, 27, 28, 52, 86
MI 2.1d Evidence confidence	**High confidence**

OPERATIONAL MANAGEMENT

Assets and capacities organised behind strategic direction and intended results, to ensure relevance agility and accountability

KPI 3: The operating model and human and financial resources support relevance and agility	**KPI score**
Unsatisfactory	**2.43**

UNODC has systems in place and seeks to align and adjust its organisational structures and staffing so that it can deliver. However, its de facto operating model and the scarcity of core resources mean that its ability to direct resources to either programmatic or corporate strategic priorities is highly circumscribed. The assessment team also heard concerns from staff that the Division for Management absorbed too high a proportion of core resources and staff and that there was inadequate transparency on the allocation and use of programme support costs by the Division for Management.

The way in which UNODC mobilises resources is partially consistent with its core mandate and strategic priorities. In practice, resource mobilisation in UNODC is highly decentralised, and responsibility is devolved to units that manage funded programmes. Predictable and flexible funding remains a challenge for UNODC to support the 2030 Agenda and address the growing demands of member states. Individual programme managers and staff in headquarters branches and field offices are de facto responsible for raising funds specifically for programmes under them (i.e. they secure earmarked funding). In almost all its official documents, UNODC and its external auditors note that the volume of funds is increasing but that flexibility is not. In mid-2018, UNODC produced a resource mobilisation and partnerships strategy, but this has not yet succeeded in making UNODC less driven by donors' priorities. It also does not address or seek to resolve a degree of internal competition for resources that, stakeholders concur, undermines UNODC's effectiveness.

Decentralised units and headquarters units can design and seek donor funding for programmes with a high degree of freedom. The ability of units to manage these interventions effectively influences how responsive UNODC can be; this is determined to a high degree by the way authority is delegated in UNODC. UNODC has inherited a new delegated authority framework from the UN Secretariat. The ambition underpinning the policy is to streamline delivery. This policy had not yet been implemented at the time of the assessment, and it was not clear what impact it would have. Several UNODC interviewees stressed that existing procedures were overly centralised and sometimes hindered their ability to deliver. They expressed a concern that the Division for Management takes a conservative approach to apply UN Secretariat rules and procedures.

As part of the UN Secretariat, UNODC is obliged to implement all the Secretariat's human resource management policies and systems. These have been designed to support the achievement of results and are detailed and comprehensive in all the aspects one would expect. UNODC has a programme to strengthen its implementation of these policies. Interviews indicate a common perception that, in practice, staff performance that is rewarded – by promotion or postings – is individuals' ability to attract donor funds.

MI 3.1: Organisational structures and staffing ensure that human and financial resources are continuously aligned and adjusted to key functions	**Score**
Overall MI rating	**Unsatisfactory**
Overall MI score	**2.00**
Element 1: Staffing is aligned with, or being reorganised to, requirements set out in the current strategic plan	2
Element 2: Resource allocations across functions are aligned to current organisational priorities and goals, as set out in the current strategic plan	2
Element 3: Internal restructuring exercises have a clear purpose and intent, aligned to the priorities of the current strategic plan	2
MI 3.1 Analysis	**Source document**
UNODC seeks to align and adjust its organisational structures and staffing so that it can deliver, but it is limited in the extent to which it can do this by its lack of core funding. Staffing in UNODC is aligned to deliver the donor-funded and financed results of the strategic plan. Because UNODC has such limited core/unearmarked funds, it has little scope to deploy staff unless the activity is funded by extrabudgetary sources. It is limited in its ability to, independent of donor programme funding, deploy resources to functions that ordinarily would be financed by core funds. Evaluation, results-based management and gender mainstreaming are all examples of functions that have had to be "projectised" and that are dependent to some extent on continued donor funding. UNODC's financial statement on 2018 reports that 86% of UNODC's total expenditure (USD 333 million) derived from earmarked special purpose funds, 6% derived from programme support costs funds, charged against special purpose contributions, and only 1% of expenditure derived from unearmarked/general purpose funds (USD 4.7 million). A further 7% (2.4 million) of expenditure derived from the regular budget contribution. In its 2020 budget, UNODC anticipates that of its 634 core staff only 124 posts (20%) will be funded by the regular budget: 510 will be funded by extrabudgetary resources. All its other staff are on donor-funded contracts. Several interviewees, echoing the Secretary-General's call to focus on taking the UN closer to its ultimate beneficiaries, considered that UNODC should rebalance its staffing profile so that a smaller proportion of staff are based in headquarters and more are closer to the point of delivery in the field. Some individual branches have rebalanced the ratio of their staff between headquarters and field locations. But there does not appear to have been a systemic review or a policy to pursue this change. There is evidence that UNODC does seek to align resource allocations across functions with its current organisational priorities and goals. But again, due to the scarcity of core funds, it is highly limited in its scope to do this. Flexible core funds (regular budget and programme support cost) are scarce and in high demand. Some interviewees considered that the allocation of these scarce core funds is not strategic in practice: they claimed that they are spread so thinly as to have little strategic impact. The assessment team also heard repeated concerns from staff that the Division for Management absorbed too high a proportion of core resources and that there was inadequate transparency on the allocation and use of programme support cost by the Division for Management. It is difficult to assess whether this is a perception or reality.	5, 13, 15, 16, 29, 53

UNODC has had to reverse at least one recent allocation decision that does not appear to have been in the strategic interests of UNODC. Providing independent research is one of UNODC's core functions. However, in its original 2018-19 budget, the Office proposed to make the Research and Trend Analysis Branch entirely dependent on extrabudgetary programme funding. This would have reduced the independence of the branch and its products. FINGOV rejected the proposal, and the branch is now dependent on a combination of regular and programme funding. UNODC's internal restructuring exercises appear to have a clear purpose and intent and have tended to be aligned to the priorities of the current strategic plan. As an Office of the Secretariat, UNODC is also affected by changes driven by the UN Secretariat. The Secretariat is driving organisational reforms, and the introduction of core operational systems such as Umoja, and its future iterations, have had a strategic as well as an operational impact on all entities of the organisation; in addition, UNODC's Division for Management will be impacted by the introduction of new Global Service Delivery Centres the UN Secretariat is introducing. This in turn will drive restructuring in headquarters. UNODC has the latitude to introduce organisational changes and has the requisite processes. Restructuring proposals are submitted to the Director of the Division and/or the Executive Director and are required to include the purpose of the reorganisation and staffing implications. In 2018, the Division of Operations started an internal review process to see how it could better align operations in relation to the UN development system reform. UNODC's anti-money laundering and cyber-crime sections were combined to form a new section (the Cybercrime and Anti-Money Laundering Section) in January 2018 to strengthen the synergy between these interrelated agendas. The relationship between UNODC's policy and delivery units and the unit responsible for supporting delivery, the Division for Management, introduces a degree of complexity to UNODC's ability to deliver. UNODC's Division for Management, while functionally part of UNODC, is also part of UNOV. Through the Division for Management, UNOV provides UNODC with various services (e.g. financial resources management, procurement, human resource management, information technology and communication). The Director-General of UNOV by appointment of the UN Secretary-General is also the Executive Director of UNODC. UNODC and UNOV have equal status as Offices outside the main UN Secretariat headquarters. However, while UNOV is a service provider to UNODC, UNODC does not have a choice in what entity supplies services, and the head of UNODC has an institutional incentive to maintain UNOV's relationship with UNODC. The provision of management services by an independent office of the UN, UNOV, means that there is potential for competing incentives. The incentives of the Division for Management/UNOV to be responsive to the UN Secretariat's directives will, at the very least, be equal to demands placed by UNODC for it to be responsive. Several interviewees felt that the Division for Management interprets UN Secretariat rules conservatively in several areas – and that this impedes UNODC's effectiveness. The arrangement also leads to some anomalies. For example, due to UNOV's status as part of a programme of the United Nations, and the mandate given to UNODC's evaluation unit by the commissions, the evaluation unit does not have the ability to assess the management impact of the Division for Management, because In-depth Evaluations of the effectiveness of programmes of the UN are mandated by the General Assembly via the Committee for Programme and Coordination and carried out by the UN Secretariat's Office of Internal Oversight Services (OIOS). This is an unusual restriction on the scope of an evaluation function to assess internal effectiveness (see MI 8.1).	5, 13, 15, 16, 29, 53
MI 3.1 Evidence confidence	**High confidence**

MI 3.2: Resource mobilisation efforts consistent with the core mandate and strategic priorities	Score
Overall MI rating	**Unsatisfactory**
Overall MI score	**2.20**
Element 1: Resource mobilisation strategy/case for support explicitly aligned to current strategic plan	2
Element 2: Resource mobilisation strategy/case for support reflects recognition of need to diversify the funding base, particularly in relation to the private sector	2
Element 3: Resource mobilisation strategy/case for support seeks multi-year funding within mandate and strategic priorities	2
Element 4: Resource mobilisation strategy/case for support prioritises the raising of domestic resources from partner countries/institutions, aligned to goals and objectives of the strategic plan/ relevant country plan	3
Element 5: Resource mobilisation strategy/case for support contains clear targets, monitoring and reporting mechanisms geared to the strategic plan or equivalent	2
MI 3.2 Analysis	**Source document**
The way that UNODC mobilises resources is partially consistent with its core mandate and strategic priorities. In practice, resource mobilisation in UNODC is highly decentralised, and responsibility is devolved to units that manage funded programmes. Predictable and flexible funding remains a challenge for UNODC to support the 2030 Agenda and address the growing demands of member states. Individual programme managers and staff in headquarters branches and field offices are de facto responsible for raising funds specifically for programmes under them. Staff need to seek funding to secure the continuity of existing programmes, fund new programmes, and continue paying the salaries and support costs of their units or field offices. In almost all its official documents, UNODC and its external auditors note that the volume of funds is increasing but that flexibility is not. The proportion of unearmarked funds it receives is declining, with general purpose income at around 1.0% of total income in 2018. The low levels of unearmarked or soft-earmarked funding are a key challenge to the effective implementation of the mandates and programmes of UNODC and put a strain on its management, co-ordination and normative functions. In mid-2018, UNODC produced a resource mobilisation and partnerships strategy, but this has not yet succeeded in making UNODC less driven by donors' priorities. It also does not address or seek to resolve a degree of internal competition for resources that, stakeholders concur, undermines UNODC's effectiveness. UNODC developed a "Resource mobilisation and partnerships strategy" in mid-2018 to try to break out of this cycle. The strategy has three pillars: to grow UNODC funding from the public sector; to develop engagement to diversify funding sources and partnerships; and to strengthen enabling factors for more successful partnerships and fundraising. UNODC holds "strategic dialogue" meetings with key member states to seek stronger and more flexible support. UNODC updates its stakeholders and seeks additional support for underfunded areas in FINGOV meetings. UNODC's 2018 strategy clearly identifies the need to diversify funding sources and partnerships and notes that UNODC could seek to approach private foundations and individual donors. But it also states that doing this within its available capacity would be difficult. UNODC reported in early 2019 that it had indeed enhanced its outreach to the private sector by engaging members of employers' associations, umbrella organisations of chambers of commerce and industry,	30, 31, 32, 33, 34, 35, 36, 54

professional associations, and other organised structures through their organisations. Its aim is to develop partnerships based on issues of common interests, such as the fight against corruption, money-laundering and the smuggling of counterfeit goods. It reports that it is trialling this approach in France, Germany and Switzerland.	
UNODC does seek multi-year funding and does manage to get longer-term commitments from some of its donors. It is structuring regional and country programmes in ways that allow donors to provide support to multi-year elements of the programme. It is advocating for multi-year funding agreements and a larger share of non- or soft-earmarked funds. It concluded multi-year funding agreements with Australia and Qatar in 2016 and with German, Norway and the United Kingdom in 2018. However, a significant proportion of donors continue to provide small funding commitments that are often only valid for one year (due to national funding cycles often tied to the national fiscal year) and are also often earmarked for very specific purposes. This funding pattern hampers UNODC's ability to undertake sustainable planning and achieve long-term objectives: the financing of a significant share of activities and staff costs are only secured on an ad hoc and short-term basis. In addition, hard-earmarked funds often come along with additional donor-specific reporting requirements – making the management of hard-earmarked funds more resource-intensive.	
Individual programmes have also been taking a more strategic approach to try to secure continuity of funding. An evaluation of the Global Maritime Crime Programme noted it built on lessons learned from an earlier programme and improved its sustainability planning with fundraising taking place 18 months in advance.	
UNODC's resource mobilisation strategy recognises the need to raise domestic resources to support the implementation of its mandate. The best example of this is its co-operation agreement with the government of Colombia where UNODC implements a programme with a value of USD 60 million, 90% of which is provided by the Government of Colombia itself. UNODC also supports the restoration of domestic resources through its work that combats illicit financial flows. Some of UNODC's interventions promote efforts to reduce illicit flows and then support the return of illicit assets, so that they benefit national development.	30, 31, 32, 33, 34, 35, 36, 54
Each of the UNODC's "Resource mobilisation and partnerships strategy" pillars cite concrete actions to be taken in 2018 to 2021. These actions all appear appropriate and likely to have an impact. It is not clear how the implementation of the strategy will be monitored and what reporting mechanisms have been agreed.	
UNODC's resource mobilisation strategy is trying to achieve a balance whereby UNODC is not donor-driven but is able to drive its own strategy and implement its mandates. UNODC has not yet achieved this balance and, to a large extent, units head, individual programme managers and field offices are still de facto responsible for securing earmarked funding for "their" programmes – and so, in effect, UNODC's activities are still donor-driven. The incentive to pursue extrabudgetary programme support has also been allowed to lead to internal competition for resources and undermines internal collaboration. UNODC's resource mobilisation strategy does not address any measures to reduce competition for resources between HQ entities and between headquarters and field offices. This tendency has been noted in several reports and was reflected in assessment interviews and the stakeholder survey.	
An in-depth mid-term cluster evaluation of the Global Programme against Trafficking in Persons and the Global Programme against Smuggling of Migrants noted that the "lack of RB [regular budget] across UNODC at large, puts of a lot a pressure on the programme teams to raise funding, which causes internal competition and by consequence a lack of integrated and cooperative	

programming across sections, field offices as well as within the same units". A 2017 evaluation of UNODC's global programme against money-laundering notes that competition for funds between internal and external actors "is a key obstacle and challenge for the programme". The evaluation stated: "A key obstacle in this area is fundraising and occasional competition for funds between different UNODC divisions as well as different organisations providing AML/CFT [anti-money laundering / countering the financing of terrorism] capacity building." Three written stakeholder survey comments also made this point. One reflected that "unhealthy competition for funding between different divisions and sections, [and] lack of general purpose funding can undermine independence of core functions and possibly affect (in an impartial way) the focus and priorities of the operations". Five out of eight members states consulted also claimed that that internal competition – between divisions and between HQ units and between HQ units and the field – undermined UNODC's effectiveness and needs to be addressed. A significant number of staff representatives noted that this is also a problem. Some donors, particularly those underscoring UNODC's mandates related to security and law enforcement, tend to insist on earmarking money to specific interventions (and on occasion down to the level of a workshop) they wish to see implemented. However, some donors who approach UNODC from a development perspective do give money in more flexible ways.	30, 31, 32, 33, 34, 35, 36, 54
MI 3.2 Evidence confidence	**Little to no confidence**

MI 3.3: Aid reallocation/programming decisions responsive to need can be made at a decentralised level	**Score**
Overall MI rating	**Unsatisfactory**
Overall MI score	**2.33**
Element 1: An organisation-wide policy or guidelines exist which describe the delegation of decision-making authorities at different levels within the organisation	3
Element 2: (If the first criterion is met) The policy/guidelines or other documents provide evidence of a sufficient level of decision-making autonomy available at the country level (or other decentralised level as appropriate) regarding aid reallocation/programming	2
Element 3: Evaluations or other reports contain evidence that reallocation/programming decisions have been made to positive effect at country or other local level, as appropriate	2
Element 4: The organisation has made efforts to improve or sustain the delegation of decision-making on aid allocation/programming to the country or other relevant levels	N/E
MI 3.3 Analysis	**Source document**
Decentralised units and headquarters units can design and seek donor funding for programmes with a high degree of freedom. The ability of units to manage these interventions effectively influences how responsive UNODC can be; this is determined to a high degree by the way authority is delegated in UNODC. UNODC's policy relating to the delegation of authority derives from the policies of the UN Secretariat. The Executive Director of UNODC receives authority from the UN Secretary-General. As the chief administrative officer under the Charter of the United Nations, the Secretary-General holds primary authority and accountability for the administration of the Staff Regulations and Rules and the Financial Regulations and Rules. The Executive Director further delegates authority to reportees in their areas of responsibilities, and they in turn are empowered to further delegate authority (make sub-delegations). All delegations of authority are activated and recorded on an online portal.	31, 32, 33, 34, 35, 36

In early 2019, the UN Secretariat issued a new delegated authority policy and guidance that was aimed at facilitating more efficient delivery. The new policy was issued to strengthen "decentralising decision-making, aligning authorities with responsibilities and strengthening accountability, and to delegate to managers the necessary managerial authority over human, financial and physical resources to allow for effective mandate delivery". The document sets out the establishment of the new framework for the delegation of authority, rescinding existing delegations and sub-delegations of authority. The scope and detail of the Executive Director's delegated authority are set out in a comprehensive way, covering issues relating to financing, human resource management and procurement. Whilst they do not directly address aid allocation and programming, they affect UNODC's ability to manage programmes at decentralised levels and are highly relevant to this micro-indicator. UNODC had until 1 July 2019 to apply the new framework so, for this assessment, there was insufficient evidence available of how the new policy is being implemented in UNODC or its impact. It is for this reason that MI 3.3.4 has this element has been scored as "no evidence" (N/E). UNODC has a pre-existing agreement with the United Nations Development Programme (UNDP) to facilitate decentralised management in countries where UNDP carries out this function on behalf of UNODC. This agreement sets out which regulations apply in these countries, including with respect to staff responsibilities. As of June 2019, there was a lack of clarity regarding how the new policy would be implemented – and whether it would lead to fundamental changes. Several interviews indicated that staff in management and delivery roles consider that UNODC currently gives insufficient decision-making autonomy at country or regional level. Several interviewees from headquarters and field entities alike expressed the view that UNODC is over-centralised and that the Division for Management takes a conservative approach to the application of UN Secretariat rules and guidelines: they considered that the application of rules and procedures impacts negatively on the ability to deliver effectively. Some went so far as to say, it "stops us delivering". That there is an inadequate delegation of authority was a common view. Some considered that a proportion of programme support cost should be returned to programmes to help with their management. Interviews with field office heads indicate that a significant number consider they have an inadequate delegation of authority to carry out their responsibilities. They are accountable for raising funds and administering programmes (delivery) but do not have enough authority to make decisions that allow them to implement these programmes. They consider that they are obliged to revert decisions on budget approval for hiring and procurement to the Division for Management when these powers should be delegated. It may be that once UNODC management has had the chance to consider and implement the new strategic direction set by the UN Secretariat, the concerns cited in this and the preceding paragraph will be resolved. Concern was raised in UNODC that some elements of the UN Secretariat's new delegation of authority guidelines – specifically those related to procurement – may have the reverse effect to those intended. There is concern they may lead to further centralisation in UNODC. The new guidelines on procurement may make it more rather than less difficult to decentralise procurement as it now requires any sub-delegation of procurement to be only to specialist procurement staff. UNODC does not have enough specialists in its field offices to ensure decentralised procurement. UNODC is representing its concerns to the Department of Management Strategy, Policy and Compliance and the Department of Operational Support to seek to mitigate this potential impact.	31, 32, 33, 34, 35, 36

There is also evidence that UNODC management has taken reallocation or programming decisions that have led to stronger delivery. Once a year, the Programme Steering Committees is supposed to review annual strategic targets, priorities and resources. The assessment team reviewed evidence of the PSC Regional Programme for Central Asia taking a strategic approach to streamlining delivery. UNODC also reallocated funds to a limited number of "surge countries", to enable it to participate more effectively in new opportunities created by the UN development system reform, as a one-off response to needs. An evaluation of UNODC's global programme on money-laundering shows that the increasing placement of mentors directly in the countries had positive effects on UNODC's delivery; the evaluation of the Global Maritime Crime Programme, which is based in Sri Lanka, underlined aspects relating to positive effects. Constraints to procurement in UNODC's large Colombian operation, highlighted by an audit, were resolved following the intervention of the Procurement Unit. UNODC's partners appear to consider that UNODC staff are sufficiently empowered. Of survey respondents, 51% think that staff can make critical strategic and programmatic decisions locally.	31, 32, 33, 34, 35, 36
MI 3.3 Evidence confidence	**High confidence**

MI 3.4: HR systems and policies performance based and geared to the achievement of results	**Score**
Overall MI rating	**Satisfactory**
Overall MI score	**3.20**
Element 1: A system is in place which requires the performance assessment of all staff, including senior staff	4
Element 2: There is evidence that the performance assessment system is systematically and implemented by the organisation across all staff and to the required frequency	3
Element 3: The performance assessment system is clearly linked to organisational improvement, particularly the achievement of corporate objectives, and to demonstrate ability to work with other agencies	3
Element 4: The performance assessment of staff is applied in decision-making relating to promotion, incentives, rewards, sanctions, etc.	2
Element 5: A clear process is in place to manage disagreement and complaints relating to staff performance assessments	4
MI 3.4 Analysis	**Source document**
As part of the UN Secretariat, UNODC is obliged to adhere to all the Secretariat's policies and procedures relating to performance management. The UN Secretariat's policy, effective since 2010, is comprehensive and addresses all standard aspects of performance management. It applies to all staff below the level of the Executive Director. The Executive Director reports directly to the Secretary-General. Adherence to the policy is mandatory. Performance improvement plans are put in place where there is staff underperformance. All staff are obliged to have a workplan in place on the Inspira system, an Oracle-based platform that holds the entire performance management system, covering an annual period from 1 April of any given year to 31 March of the succeeding year. There is supposed to be a six-monthly and an annual assessment against their workplan. The assessment team did not have access to compliance rates, but indirect evidence indicates that the policy is largely implemented. The current Human Resources Management Section Action Plan contains a workstream aimed at strengthening performance management compliance.	37, 38, 39, 40, 55

There is a Senior Compact between the Executive Director and the UN Secretary-General. The Compact includes two human resources (HR) management performance measures: one related to timely recruitment, the other to UNODC's compliance with the Secretariat's performance management policies. UNODC's Human Resources Management Section has carried out training to encourage stronger compliance with policy and to improve the quality of performance management across the organisation: it facilitated many performance management workshops in 2018 and 2019. UNODC stated it is piloting 360-degree reporting between April and September 2019. This type of reporting is not a requirement of the UN Secretariat's human resources policy. UN Secretariat policy is to ensure there is a direct link between human resources management and the strategic objectives of entities – as a means of reinforcing results-based management. Staff agree on workplans with their line managers, and these are supposed to be based on the objectives of the organisation and their unit's results. UNODC's objectives are embedded in the Compact between the Executive Director and the Secretary-General and are then cascaded down through the organisational hierarchy in the performance management system. There is evidence that formal staff objectives are aligned with the strategic aims of the organisation. For example, the Director of Operations encouraged subordinate staff to add a specific goal, with related actions, in their 2019-20 workplans that would help drive coherence and collaboration with the emergent UN development system reform. However, a significant number of interviews indicated a perception that performance which, in practice, is rewarded through promotion relates to fundraising. A number of interviewees considered that staff are "judged on the basis of your ability to attract funds". This is a logical consequence of UNODC's dependence on individual programme managers being responsible for securing funding for their programmes. This incentive is also likely to lead to competition rather than collaboration across the organisation. The UN Secretariat's policies and procedures relating to performance management set out a clear process for the management of disagreements and complaints relating to staff performance assessments. UNODC tracks records of complaints and has done so since 2014. In handling disagreements or complaints about the performance management and development process, staff and/or supervisors can also contact the UN Secretariat Regional Ombudsman, located in Vienna.	37, 38, 39, 40, 55
MI 3.4 Evidence confidence	**High confidence**

KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency and accountability	**KPI score**
Satisfactory	**3.26**

UNODC's donors largely determine how resources are allocated. UNODC has limited discretionary finance – unearmarked funding – and is therefore highly dependent on donors' priorities. It has limited freedom to choose interventions and therefore allocate resources to partners. It does have discretion over the use of its regular budget (7%, USD 22.4 million in 2018) and programme support costs (6%, USD 21.4 million in 2018). These resources are allocated in line with its budget and are rarely allocated to partners.

UNODC does seek to apply principles of results-based budgeting. Its systems for doing this are relatively mature. However, its ability to systematically track detailed costs from activity to result is hampered by the fact that the UN Secretariat has not yet rolled out Umoja Extension 2, which has built in this functionality. Some units have developed their own tools to provide this insight themselves.

UNODC's external and internal audit functions fully meet all international standards. External audits for the 2017 and 2018 financial years confirm UNODC's compliance with international financial management standards. The Office provides audit responses and tracks its performance in responding to and implementing recommendations. The UNODC's internal audit function is provided by the UN Secretariat and is in Geneva, not Vienna.

UNODC does have systems in place to address issues or concerns raised by internal control mechanisms. These systems are mandated by UN Secretariat policies, and OIOS is responsible for ensuring they are adhered to. UNODC reports on its implementation of audit recommendations in its biannual budget documents, and the Audit Board reports against progress in its annual audits. It states that 62% of recommendations made in its 2017 audit were under implementation at the end of 2018 – i.e. a sizeable proportion of recommendations are extant after 12 months.

As part of the UN Secretariat, UNODC has the policies and procedures to prevent, detect, investigate and sanction cases of fraud, corruption and other financial irregularities. The External Audit Board has identified some shortcomings, and UNODC is in the process of addressing them.

MI 4.1: Transparent decision-making for resource allocation, consistent with strategic priorities	**Score**
Overall MI rating	**Satisfactory**
Overall MI score	**3.25**
Element 1: An explicit organisational statement or policy exists which clearly defines criteria for allocating resources to partners	3
Element 2: The criteria reflect targeting to the highest priority themes/countries/areas of intervention as set out in the current strategic plan	2
Element 3: The organisational policy or statement is regularly reviewed and updated	4
Element 4: The organisational statement or policy is publicly available	4

MI 4.1 Analysis	**Source document**
UNODC's donors largely determine how resources are allocated. UNODC has limited discretionary finance – unearmarked funding – and is therefore highly dependent on donors' priorities. It has limited freedom to choose interventions and therefore allocate resources to partners. It does have discretion over the use of its regular budget (7%, USD 22.4 million in 2018) and programme support costs (6%, USD 21.4 million in 2018). These resources are allocated in line with its budget and are rarely allocated to partners. When implementing an intervention that has been financed by a donor, UNODC does have the power to choose how to allocate resources to implementation partners. UNODC's Framework on Engaging External Parties (FEEP) and subsidiary manuals spell out how staff should select implementing partners and grant recipients: the framework sets out the principles and criteria guiding how to engage external parties. When it is introduced, Umoja Extension 2 (UE2) should allow UNODC to map the entire contract and partner system and monitor it, providing a unified database. The new Umoja function to track projects was designed by the UN Secretariat without any substantive input from UNODC, according to UNODC staff: there is therefore a risk that it does not fully meet UNODC's needs. UNODC has access to a database of sanctioned implementors. The FEEP provides guidance on whether programmes should use direct implementation or implementation partnerships and spells out modalities to use under direct implementation (i.e. grants and procurement). The FEEP guides staff on how to manage the award and the post-award stages of a relationship and provides guidance on performance monitoring and closure. UNODC created a separate unit in 2013, the External Engagement Partnership Unit, to manage and oversee the allocation of resources to partners.	1, 4, 5, 12, 29, 31, 41, 56

A 2017 internal audit report of the adequacy and effectiveness of the FEEP concluded that it generally achieved its main objectives, including strengthening controls on disbursements and closure of external party agreements, while noting that some aspects of the framework and its implementation needed to be strengthened. UNODC reviews and updates its targeting and prioritisation framework every two years in its biennium programme and budget. UNODC's programme and budgets are publicly available.	1, 4, 5, 12, 29, 31, 41, 56
MI 4.1 Evidence confidence	**Medium confidence**

MI 4.2: Allocated resources disbursed as planned	**Score**
Overall MI rating	**Satisfactory**
Overall MI score	**3.00**
Element 1: The institution sets clear targets for disbursement	3
Element 2: Financial information indicates that planned disbursements were met within institutionally agreed margins	3
Element 3: Clear explanations are available in relation to any variances	3
Element 4: Variances relate to external factors rather than internal procedural blockages	3
MI 4.2 Analysis	**Source document**
There is evidence that, generally, allocated resources are disbursed as planned. UNODC has systems in place to track variances and disbursements. Variances relate to a combination of internal and external factors. Each programme sets clear targets for disbursement – whether to partners or by its own programme staff for projects under direct implementation. Costed workplans set out key activity milestones and the quarter they are supposed to be implemented. Programme management staff are responsible for continuously monitoring whether financial targets are achieved. If there are variances, forms require staff to record what corrective action is taken or planned. Each UNODC intervention submits two reports a year, which include reporting on variances. An OIOS review of 24 contribution agreements made under one global programme (strengthening the legal regime against terrorism) for 2015 and 2016 reviewed earmarked funding totalling USD 24 million and concluded that controls and disbursement of earmarked funding for the programme were adequate. UNODC is strengthening the quality of its analysis of budget variances in response to a recommendation of the Audit Board and intends to improve tracking in future. The Board's 2015 audit recommended that UNODC simplify the reporting structure. As reported in the Board's audit of 2018, UNODC states that this recommendation is under implementation – and is looking at whether it can integrate Umoja and a donor reporting dashboard with the UE2 enhancements (for the fourth quarter of 2020). Financial statements reviewed indicate that planned disbursements are tracked. Institutionally agreed disbursement margins are embedded in donor agreements. The Audit Board did not consider the timeliness of disbursements an issue of concern, and there were no related recommendations in either its 2017 or 2018 audits.	1, 41, 42, 43, 57

Clear explanations are generally available in relation to variances. UNODC's running spreadsheet notes whether each variance is justified and states the justification or explanation. Variances relate to both internal and external factors. They are often due to political issues or delays related to the national government, local partners or donors. Explanations in the sample report of variances from 2018 shared by UNODC show this clearly. Evaluations find that the causes are varied. The Audit Board also reports on variances in UNODC's overall annual budget and cites explanations. In 2018, the highest value was on overspend caused by the higher-than-budgeted value of a terrorism prevention subprogramme. Some delays are reported to be related to UNODC as an implementing agency. For example, the Final In-depth evaluation of the Regional Programme for the Arab States found that recurring efficiency problems related to "a combination of complex factors". It was also noted that "one reported impediment to projects' efficiency is the UNODC lengthy recruitment process of both internal staff and external experts".	1, 41, 42, 43, 57
MI 4.2 Evidence confidence	**Medium confidence**

MI 4.3: Principles of results-based budgeting applied	**Score**
Overall MI rating	**Satisfactory**
Overall MI score	**3.00**
Element 1: The most recent organisational budget clearly aligns financial resources with strategic objectives/intended results of the current strategic plan	3
Element 2: A budget document is available which provides clear costings for the achievement of each management result	4
Element 3: Systems are available and used to track costs from activity through to result (outcome)	2
Element 4: There is evidence of improved costing of management and development results in budget documents reviewed over time (evidence of building a better system)	3
MI 4.3 Analysis	**Source document**
UNODC's recent organisational budget – and its composite budgets – align financial resources with strategic objectives and intended results of the current strategic plan. The biennium 2018-19 consolidated budget and the 2018-19 programme budget align financing with objectives for the biennium: the objective, expected "accomplishments", and indicators of achievement are identified along with the resources allocated (disaggregated by source). The internal instructions for preparing these budgets give instructions to staff on how to ensure the budgets follow the results-based approach. UNODC's budget document does provide clear costings for the achievement of each management result. In the consolidated budget for the biennium 2018-19, a budget table lists the distribution of resources by components. Another budget table shows requirements by component broken down by programme of work. A third shows costings for objectives for the biennium, expected accomplishments, indicators of achievement and performance measures. Systems are available to track costs from activity to result at a relatively high level. At programme level, managers use workplans (normally costed by activity) to monitor implementation in quantitative and qualitative terms. These are not online and make office-wide analysis complex: at present, Umoja lacks modules to track programme management. Umoja Extension 2 will introduce this facility when it is rolled out. To close this gap, the Regional Office for Southeast Asia and the Pacific and Afghanistan and Pakistan country offices developed their own online smart sheets.	5, 11, 41, 43, 44, 45, 46

They use this online monitoring tool to track and monitor implementation data, related SDGs and relevant regional initiatives, including activity status, delivery date, number of participants (male/female) and beneficiaries. These programmes can track costs at a higher level of detail. There is evidence that UNODC's costing of management and development results has improved over time. The assessment team saw evidence that UNODC is reviewing and revising its costing of standard budget input – helping to improve the accuracy of budgets. UNODC's introduction of the full cost recovery model – and the need to accurately calculate direct and indirect costs – in the 2014-15 consolidated budget drove its ability to cost inputs more accurately. UNODC's consolidated budget for the 2008-09 biennium was its first results-based budget, and it harmonised UNODC budget terminology with that of the UN Secretariat. The General Assembly's Advisory Committee on Administrative and Budgetary Questions report on the consolidated budget for the biennium 2012-13, noted that improvements had been made to the results-based format but that there was scope for further refinement of the results-based framework, particularly in terms of strengthening the relationship between indicators of achievement and the relevant performance measures. Some progress has been made in improving them. UNODC restructured its programme into nine subprogrammes in the 2014-15 biennium partly to strengthen results-based management. In the proposed 2020 budget, variances between 2019 and 2020 estimates are explained.	5, 11, 41, 43, 44, 45, 46
MI 4.3 Evidence confidence	**High confidence**

MI 4.4: External audit or other external reviews certifies the meeting of international standards at all levels, including with respect to internal audit	**Score**
Overall MI rating	**Highly satisfactory**
Overall MI score	**3.83**
Element 1: External audit conducted which complies with international standards	4
Element 2: Most recent external audit confirms compliance with international standards across functions	4
Element 3: Management response is available to external audit	4
Element 4: Management response provides clear action plan for addressing any gaps or weaknesses identified by external audit	3
Element 5: Internal audit functions meet international standards, including for independence	4
Element 6: Internal audit reports are publicly available	4
MI 4.4 Analysis	**Source document**
UNODC's external audits comply with international standards. External financial reports and audited financial statements are available for the years ended 31 December 2017 and 31 December 2018. These audits were conducted by the Board of Auditors in accordance with the International Standards on Auditing (ISA 240). The two external audits relevant to the assessment period confirm compliance with international standards across different functions. Both the 2017 and 2018 external audits express the opinion that "financial statements present fairly, in all material respects, the financial position of UNODC" and that its financial performance was in accordance with the International Public Sector Accounting Standards.	1, 45, 58, 59, 60, 61, 62, 63, 64, 65, 66

UNODC gives a management response to all external audit report recommendations. UNODC produces an annual report that summarises the status of implementation of the main recommendations. Management's response to the 2018 external audit was not available at the time of writing – as the audit was published only at the end of July 2019. UNODC's internal audit function is performed by OIOS – the internal oversight body of the United Nations. It is based in Geneva, not Vienna. The OIOS is mandated to implement the oversight responsibilities held by the Secretary-General through the provision of audit, investigation, inspection and evaluation services. OIOS audits assess the adequacy and effectiveness of internal controls and review UNODC's risk management, control and governance processes. The audits are conducted in accordance with the International Standards for the Professional Practice of Internal Auditing. Management responses are presented in annexes to internal audit reports issued by OIOS. Internal audit reports issued by OIOS are publicly available on their website. However, the search facility on UNODC's own website makes them difficult to find. The search facility – even using "advanced search" is not user friendly. They are more easily found on OIOS's website.	1, 45, 58, 59, 60, 61, 62, 63, 64, 65, 66
MI 4.4 Evidence confidence	**High confidence**

MI 4.5: Issues or concerns raised by internal control mechanisms (operational and financial risk management, internal audit, safeguards etc.) adequately addressed	**Score**
Overall MI rating	**Highly satisfactory**
Overall MI score	**3.67**
Element 1: A clear policy or organisational statement exists on how any issues identified through internal control mechanisms will be addressed	4
Element 2: Management guidelines or rules provide clear guidance on the procedures for addressing any identified issues, including timelines	3
Element 3: Clear guidelines are available for staff on reporting any issue identified	4
Element 4: A tracking system is available which records responses and actions taken to address any identified issues	4
Element 5: Governing Body or management documents indicate that relevant procedures have been followed/action taken in response to identified issues, including recommendations from audits (internal and external)	4
Element 6: Timelines for taking action follow guidelines/ensure the addressing of the issue within twelve months following its reporting	3
MI 4.5 Analysis	**Source document**
UNODC has an internal control framework which is based on UN core principles and institutional control mechanisms and which is managed by OIOS. UNODC follows the Secretariat-wide approach to implement the Committee of Sponsoring Organizations of the Treadway Commission internal integrated control framework. It produces a monthly financial status and progress monitoring report. Channels and mechanisms are in place for individuals – both internal and external – to report any issues. UNODC notes that reports of misconduct should be made through the established internal mechanisms: to OIOS. UNODC is obliged to protect the confidentiality of the individual's identity. Reporting and investigations related to fraud and whistleblowing are also defined in the UN Secretariat's Anti-Fraud and Anti-Corruption Framework.	1, 49, 58, 59, 60, 61, 62, 67

UNODC has a tracking system which records responses and actions taken in relation to internal audits and other OIOS findings. The assessment team had access to a spreadsheet that monitored the status of recommendation implementation. Annual external audits do report on the status of the implementation of recommendations. These annexed reports cite the Audit Board's recommendation, UNODC's response, and the Board's assessment of UNODC's response or action. The Board's report registers the implementation status of each action. UNODC also reports its follow-up action to recommendations made by its oversight bodies in an annex to each of its biennial consolidated budget documents. These provide the recommendation and action taken to implement it. UNODC has stated that on a quarterly basis it monitors and reports progress made in addressing audit recommendations. The assessment did not have access to data on the timeliness of implementation, but the 2018 external audit notes that 62% of recommendations from 2017 had yet to be completed at the end of 2018. It states: "The Board noted that there were 65 outstanding recommendations up to the year ended 31 December 2017, of which 25 (38%) had been fully implemented and 40 (62%) were under implementation."	1, 49, 58, 59, 60, 61, 62, 67
MI 4.5 Evidence confidence	**High confidence**

MI 4.6: Policies and procedures effectively prevent, detect, investigate and sanction cases of fraud, corruption and other financial irregularities	**Score**
Overall MI rating	**Satisfactory**
Overall MI score	**2.83**
Element 1: A clear policy/guidelines on fraud, corruption and any other financial irregularities is available and made public	3
Element 2: The policy/guidelines clearly define the roles of management and staff in implementing/complying with the guidelines	3
Element 3: Staff training/awareness-raising has been conducted in relation to the policy/guidelines	2
Element 4: There is evidence of policy/guidelines implementation, e.g. through regular monitoring and reporting to the Governing Body	3
Element 5: There are channels/mechanisms in place for reporting suspicion of misuse of funds (e.g. anonymous reporting channels and "whistle-blower" protection policy)	3
Element 6: Annual reporting on cases of fraud, corruption and other irregularities, including actions taken, ensures that they are made public	3
MI 4.6 Analysis	**Source document**
The four internal and external oversight bodies that cover the UN Secretariat are OIOS, the Board of Auditors, the Joint Inspection Unit and the Independent Audit Advisory Committee. Those bodies were established by the General Assembly to assist in promoting a culture of compliance and integrity and in deterring fraudulent acts by independently assessing the adequacy and effectiveness of the internal control systems and, in the case of OIOS, undertaking investigations into possible cases of fraudulent acts, as appropriate. UNODC's policy and guidelines are set out in the Anti-Fraud and Anti-Corruption Framework of the United Nations Secretariat (2016). OIOS provides advice on potential fraudulent acts and has a dedicated hotline to receive confidential reports, which can also be submitted through its website. The 2017 external audit report notes that UNODC's intranet site did not provide a section	11, 45, 67, 68, 69

about fraud and corruption. Some information regarding fraud and corruption was available only through the search function. Although the United Nations intranet site provides such information, the Board recommended that UNODC should make its approach to fraud and corruption clearer to its staff by providing that information in a special section on its own intranet site. UNODC notes that instead of maintaining its own intranet, it will be part of a new UN intranet which will have a dedicated UNODC webpage on tackling fraud. UNODC has created its own risk register, and an interdivisional team is developing risk mitigation plans. UNODC anticipates that this will be available on its intranet in the third quarter of 2019. UNODC's policy clearly defines the roles and responsibilities of personnel and the applicable sanctions. Staff training and awareness-raising have been conducted, and information is circulated on UNODC's Anti-Fraud and Anti-Corruption Framework of the UN Secretariat. The UN intranet site provides information related to the prevention of fraudulent acts, including common or frequently asked questions and answers, hotlines, training materials and relevant documentation such as the organisation's administrative instructions and Secretary-General's bulletins. However, the 2017 external audit notes that, while training was mandatory, UNODC could not track compliance. This has been remedied, and UNODC reports that a Fraud and Corruption Awareness Workshop was held in April 2019 for Procurement and Finance staff. UNODC's Board of Auditors (2017) also found that in applying the UN Secretariat Anti-Fraud and Anti-Corruption Framework, UNODC had not undertaken systematic fraud risk assessments to identify areas where it was most susceptible to fraud. The 2018 Audit Board report notes that UNODC is in the process of assessing its specific fraud risks and will update its enterprise risk management matrix in line with that of the UN Secretariat. UNODC expects to implement this recommendation by the second quarter of 2020. UNODC had established a fraud and corruption risk register in early 2019. At the time of this assessment, it was undergoing final review and, upon adoption in November, would be integrated into the overall Enterprise Risk Management register and framework. Channels and mechanisms are in place to report suspicion of misuse of funds. Complainants should send reports to OIOS. OIOS submits annual reports to the General Assembly and makes references to specific investigations of possible misconduct, including fraudulent acts. On an annual basis, the Secretary-General reports to the Assembly the number and nature of cases involving credible allegations. In its audit report of 2018, the Audit Board states that there was a discrepancy (of three cases) between the reports of fraud and presumptive fraud cases that it received from OIOS and those from UNODC management. The Board notes that this indicates there is an "undesirable inconsistency because the lack of accurate information related to fraud may imply a potential risk for the entity, with financial implications". It recommended that UNODC management improve co-ordination with OIOS.	11, 45, 67, 68, 69
MI 4.6 Evidence confidence	**High confidence**

RELATIONSHIP MANAGEMENT

Engaging in inclusive partnerships to support relevance, to leverage effective solutions and to maximise results (in line with Busan Partnerships commitments)

KPI 5: Operational planning and intervention design tools support relevance and agility within partnerships	KPI score
Satisfactory	2.78

Country programmes tend to be well aligned with national priorities, and regional programmes largely address regional priorities. It is also the case that some global and thematic programmes with country- and regional-level implementation activities are very well aligned with regional and national priorities. Global programmes facilitate adaptable links to the normative dimensions in UNODC's mandate. They are a flexible and timely vehicle to reflect the UNODC's multifaceted mandates and respond to member states' needs.

However, largely because there is little scrutiny over the scope of global programmes and because there are informal incentives for staff to attract donor funding, some global and thematic interventions are designed with insufficient attention to local needs or priorities, and there is scope for duplication.

UNODC's country programming documents contain contextual analysis that influences the design and implementation of interventions – and these do reflect the inputs of stakeholders. Global and regional programmes, largely because of the broader target context, are weaker on contextual analysis. In terms of cross-cutting issues, they do address gender and governance issues but are not required to address the environment or climate change.

Capacity analysis informs intervention design and implementation, and strategies to address any weakness found are employed to some degree. Given that global and regional programmes address the capacity of disparate stakeholders, it is impractical to expect detailed capacity analysis for all target recipients. UNODC uses e-learning and issues specialist toolkits to assist its face-to-face capacity-building support. An evaluation of UNODC's capacity building found evidence of both positive practice and weaknesses.

UNODC is strengthening its treatment of risk at all levels. It follows the UN Secretariat's guidance on Enterprise Risk Management and has implemented its policies since 2014. All its regional offices have developed comprehensive risk registers, as have global programmes and all programme interventions. Field offices and country programmes are beginning to develop risk registers. UNODC risk registers address strategic, political and operational risk, and reputational risk.

Intervention designs include the analysis of gender equality and human rights as cross-cutting issues and of governance as a key contextual factor. As noted in MI 2.1d, UNODC has only recently spelt out its policy on gender mainstreaming, so it is likely that its inclusion in intervention designs will be stronger in future.

UNODC's interventions include both normative/standard-setting programmes and country-level programmes. Much of UNODC's normative work by its very nature is aimed at delivering sustainable change. UNODC's support to countries to implement international conventions and related protocols is aimed at securing sustained capability to deliver an enabling policy or legal environment; its interventions also seek to ensure partner governments or agencies have the capability to deliver these normative standards indefinitely. UNODC carries out this role with respect to a broad range of conventions and protocols (see KPI 1). Its ability to support reform processes using its regular budget in all jurisdictions is limited by resource constraints; but where extrabudgetary funds have been committed, it has been able to provide consistent and targeted support. The challenges of building sustained capability are more difficult, and UNODC has a mixed record in this regard – though all intervention designs address this challenge.

The assessment finds there is mixed evidence on whether institutional procedures support or hinder the speed of implementation. UNODC's integrated implementation systems are relatively proven and mature – they have been used to implement many high-volume programmes – both in HQ and in country contexts. However, evaluations and interviews indicate that there is room for improvement, particularly in procurement. A significant number of interviewees considered that UNODC needs to improve its institutional procedures by modernising and streamlining its administrative and management systems.

MI 5.1: Interventions aligned with national/regional priorities and intended national/ regional results	**Score**
Overall MI rating	**Satisfactory**
Overall MI score	**2.67**
Element 1: Reviewed country or regional strategies make reference to national/regional strategies or objectives	3
Element 2: Reviewed country strategies or regional strategies link the results statements to national or regional goals	3
Element 3: Structures and incentives in place for technical staff that allow investment of time and effort in alignment process	2
MI 5.1 Analysis	**Source document**
Many of UNODC's interventions address transnational issues and priorities. These programmes tend to be based on sound transnational analysis and strategies – such as Transnational Organized Crime Threat Assessments – some of which UNODC develops itself. Country programmes tend to be well aligned with national priorities, and regional programmes largely address regional priorities. It is also the case that some global and thematic programmes with country- and regional-level implementation activities are very well aligned with regional and national priorities. Global programmes facilitate adaptable links to the normative dimensions in UNODC's mandate. They are a flexible and timely vehicle to reflect UNODC's multifaceted mandates and respond to member states' needs. However, largely because there is little scrutiny over the scope of global programmes, and because there are informal incentives for staff to attract donor funding, some global and thematic interventions are designed with insufficient attention to local needs or priorities, and there is scope for duplication. There is no requirement on those designing global and regional programmes to consult staff responsible for a country strategy. Thus, interviews indicate that some global and regional programmes are designed and implemented without enough reference to country needs. Some global programmes were set to deliver country-level interventions without adequate co-ordination with existing interventions or priorities. Programmes do set out the context in their intervention design documents and, to the extent possible, use state or other monitoring data to assess results. There is documentary evidence that interventions are aligned with national/regional priorities and with intended national/regional results. Reviewed country or regional strategies do consistently refer to national/regional strategies or objectives. Six country documents, chosen as a representative sample, refer to national strategies and the contribution that the intervention will make to achieving their objectives. The UNODC Programme and Operations Manual states that regional programmes should meet regional needs but should also be based on country-level needs – though there does not seem to be a requirement to consult those responsible for country strategies. The Regional Programme for Southeast Asia 2014-17 is a good example of a strategy that explicitly provides interventions that demand a regional response – dealing with regional drugs and crime challenges that are best addressed through cross-border and intra-regional co-operation. The Mid-term Independent Project Evaluation: Sustainable Livelihoods and Development in Myanmar 2014-2019 notes that "the initiative is fully aligned with the national strategies, UN and donors' priorities in Myanmar, as well as with the international development frameworks, including the SDGs". Interviews indicate	9, 12, 70, 71, 72, 73, 74, 75, 76, 77, 78, 79

that headquarters-designed global programmes are sometimes not well aligned with national priorities and can cut across existing interventions in specific countries. This lack of co-ordination and alignment was mentioned in several interviews and in one of the stakeholder survey qualitative comments. The reviewed country programmes do tend to link the output matrix or results and monitoring frameworks to national priorities and refer to national priorities in the national development context when possible and appropriate. The treatment of outcomes is weaker. The means of verification that programmes use often refer to government reporting or regional or globally mandated data. UNODC sometimes provides specialist areas of support that are not captured in country or regional strategies (e.g. on counter-terrorism legislation). UNODC has few effective structures and incentives in place for technical staff that allow investment of time and effort in the alignment process beyond the country level. Because there are incentives for staff to attract donor funding, there are very weak de facto incentives for staff who design and implement global and thematic interventions to give sufficient attention to local needs or priorities, and there is scope for duplication. UNODC's partners who were surveyed were positive about UNODC's ability to ensure its interventions are appropriate to the context: 22% considered that UNODC is "excellent" at ensuring interventions fit national programmes and results, and 45% considered this "very good".	9, 12, 70, 71, 72, 73, 74, 75, 76, 77, 78, 79
	High confidence

MI 5.2: Contextual analysis (shared where possible) applied to shape the intervention designs and implementation	**Score**
Overall MI rating	**Satisfactory**
Overall MI score	**2.67**
Element 1: Intervention designs contain a clear statement that positions the intervention within the operating context	3
Element 2: Context statement has been developed jointly with partners	2
Element 3: Context analysis contains reference to gender issues, where relevant	3
Element 4: Context analysis contains reference to environmental sustainability and climate change issues, where relevant	1
Element 5: Context analysis contains reference to governance issues, including conflict and fragility, where relevant	4
Element 6: Evidence of reflection points with partner(s) that take note of any significant changes in context	3
MI 5.2 Analysis	**Source document**
UNODC's country programming documents contain contextual analysis that influences the design and implementation of interventions – and these do reflect the inputs of stakeholders. Regional programmes, largely because of the broader target context, are weaker on contextual analysis. In terms of cross-cutting issues, they do address gender and governance issues but, at the time of this assessment, were not required to address the environment or climate change. The Programme and Operations Manual requires staff to conduct contextual analysis. The manual states that potential interventions must be discussed in the light of the broader UNODC strategy, which provides the binding framework for priority setting, project identification and approval. The	9, 12, 70, 71, 72, 73, 74, 75, 76, 77, 78, 79

sample of six country and regional programmes reviewed do provide descriptions that situate the intervention within the operating context. (The following are those reviewed: Country Programme for Pakistan; Regional Programme for Southeast Asia; Country Programme for Myanmar; Regional Programme for Afghanistan and Neighbouring Countries; Regional Programme for West Africa; Regional Programme for the Arab States.) There is a need to assess, integrate and prioritise programming so that the flexibility and responsiveness of global programmes to member states mesh with the existing country and regional programming. Interviews indicated that global and thematic programmes with implementation at the country level do not take local conditions into account. Interviewees cited several instances in which interventions financed by global programmes were "parachuted" into countries without consultation with the local office, sometimes duplicating existing work, and sometimes inappropriately. Project documents, including analysis, risks, needs and related theories of change and logical framework, are supposed to be drafted based on consultations with partners – comprising both beneficiaries and funding partners). All six country documents reviewed (listed above) address gender equality issues, where relevant. UNODC's Programme and Operations Manual instructs staff that, as part of the United Nations system, UNODC is obligated "to ensure that a gender perspective is actively and visibly mainstreamed in all its practices, policies and programmes". According to UNODC's gender strategy, the Programme Review Committee ensures "the systematic monitoring of the quality of the integration of gender equality into programmes and projects submitted for review", though the assessment team was unable to find evidence of this. UNODC's Programme and Operations Manual does not require the treatment of environmental sustainability and climate changes issues. None of the six country documents reviewed (listed above) make direct reference to environmental sustainability and climate changes issues – though alternative livelihood programmes address environmental issues in relation to whether certain crops are likely to be viable alternatives to drug cultivation. UNODC programme documents do treat governance and fragility issues, as one would expect given UNODC's field of interventions. The situation analysis section of documents reviewed tends to analyse governance and fragility issues within the sectors or issues the programme addresses. For instance, these connections are made in West Africa with respect to natural resources and in Afghanistan with respect to the subversion of good governance and the proliferation of corrupt practices. Agreements with donors stipulate the frequency and nature of reflection points with partners. Significant changes are agreed with funders.	9, 12, 70, 71, 72, 73, 74, 75, 76, 77, 78, 79
MI 5.2 Evidence confidence	**Medium confidence**

MI 5.3: Capacity analysis informs intervention design and implementation, and strategies to address any weakness found are employed	Score
Overall MI rating	**Unsatisfactory**
Overall MI score	**2.50**
Element 1: Intervention designs contain a clear statement of capacities of key national implementing partners	3
Element 2: Capacity analysis considers resources, strategy, culture, staff, systems and processes, structure and performance	3
Element 3: Capacity analysis statement has been developed jointly where feasible	2
Element 4: Capacity analysis statement includes clear strategies for addressing any weaknesses, with a view to sustainability	2
Element 5: Evidence of regular and resourced reflection points with partner(s) that take note of any significant changes in the wider institutional setting that affect capacity	N/E
MI 5.3 Analysis	**Source document**
To a certain degree, capacity analysis informs intervention design and implementation, and strategies to address any weakness found are employed. National programmes appear to undertake detailed capacity analysis for target recipients; regional and HQ-designed and directed programmes appear to do so to a lesser extent. UNODC uses e-learning and issues specialist toolkits to assist its face-to-face capacity-building support. An evaluation of UNODC's capacity building found evidence of both positive practice and weaknesses. Some intervention designs contain a clear statement of capacities of key national implementing partners, while others lack this. UNODC's Programme and Operational Manual is clear on the need for interventions to understand existing capacity in the design stage and what enhancing it would require. There were few detailed analyses of pre-intervention capacities of key national implementation partners in the design documents reviewed. A 2017 evaluation of UNODC's implementation of capacity building cites several examples of programmes that have used best practice to assess existing capacity, including UNODC's Global Programme against Money-Laundering, which enabled trainers to follow up training with bespoke support. UNODC produces a broad range of products (e.g. guidelines) that are themselves tools to help practitioners perform specialised capacity analysis and develop capacity. These establish global standards in their specialist areas. The Criminal Justice Assessment Toolkit is one example. UNODC's innovative Global eLearning programme is a capacity-building tool the Office deploys to increase capacity among a much broader population than would otherwise be possible. The platform holds over 30 thematic courses and gives access to more than 1 000 manuals and guidelines. As of 2018, it had more than 42 000 registered users. Capacity analysis to which the assessment team had access tends not to consider resources, strategy, culture, staff, systems and processes, structure, and performance. There was no evidence of capacity analysis statements being jointly developed. Few capacity analysis statements include clear strategies for addressing weaknesses, with a view to sustainability. Evaluations have advised UNODC programmes to emphasise this. An evaluation of the Regional Programme for West Africa noted that the previous regional programme was hindered by a lack of both research and analysis of capability. The mid-term evaluation of the	9, 12, 70, 71, 72, 73, 74, 75, 76, 77, 78, 79, 80

Global Programme on Strengthening the Legal Regime against Terrorism (GLOR35) noted that "the approach to ensuring sustainability of TPB [Terrorism Prevention Branch] activity is patchy and non-systemic" and that there is a paramount "need to understand the local environment and engage appropriate national institutions to help achieve sustainability". There is some evidence of regular and resourced reflection points with partners that take note of any significant changes in the wider institutional setting that affects capacity. UNODC provided evidence of a complex tripartite project to provide canine drug-detection support to Afghanistan. The programme was adapted continually to respond to changing circumstances.	9, 12, 70, 71, 72, 73, 74, 75, 76, 77, 78, 79, 80
MI 5.3 Evidence confidence	**Medium confidence**

MI 5.4: Detailed risk (strategic, political, reputational, operational) management strategies ensure the identification, mitigation, monitoring and reporting of risks	**Score**
Overall MI rating	**Satisfactory**
Overall MI score	**3.50**
Element 1: Intervention designs include detailed analysis of and mitigation strategies for operational risk	4
Element 2: Intervention designs include detailed analysis of and mitigation strategies for strategic risk	4
Element 3: Intervention designs include detailed analysis of and mitigation strategies for political risk	4
Element 4: Intervention designs include detailed analysis of and mitigation strategies for reputational risk	3
Element 5: Risks are routinely monitored and reflected upon by the partnership	3
Element 6: Risk mitigation actions taken by the partnership are documented and communicated	3
MI 5.4 Analysis	**Source document**
UNODC is strengthening its treatment of risk at all levels. It follows the UN Secretariat's guidance on Enterprise Risk Management and has implemented its policies since 2014. All its regional offices have developed comprehensive risk registers, as have global programmes and all programme interventions. Field offices and country programmes are beginning to develop risk registers. UNODC risk registers address strategic, political, operational risk and reputational risks. UNODC developed an enterprise-level risk register in 2014 based on the UN Secretariat's model: it addresses strategic, governance, operational and financial risks. Risk areas and the treatment/response are monitored, updated and reported to senior management every six months. The Executive Director's office is the institutional focal point, and all divisions have focal points who are supposed to meet regularly. UNODC liaises with the newly established Enterprise Risk Management Unit within the UN Secretariat's Department of Management Strategy, Policy and Compliance to keep step with Secretariat guidance and lessons in risk management. Within the framework of the corporate Enterprise Risk Management Unit, UNODC has developed risk registers and response plans for field offices. Each programme document contains a risk assessment table which is monitored through a tripartite review mechanism (beneficiaries, funding partners and UNODC) that is generally established in each programme. Evidence was found that intervention designs include detailed analysis of, and mitigation strategies for, operational risk – both in headquarters and for country or regional programmes. The Division of Treaty Affairs' January 2019 Risk Register update was reviewed and was an impressively comprehensive and pragmatic treatment of risk.	80, 81, 82, 83

Intervention designs do include detailed analysis of and mitigation strategies for strategic risk. The Enterprise Risk Management (ERM) Risk Register addresses strategic risks explicitly. Strategic risks are also considered in country and regional programmes. For example, the Regional Programmes for West Africa and for Eastern Africa identify the probability, impact under external risks and a risk mitigation strategy for each operational section in external risks. Intervention designs do include detailed analysis of and mitigation strategies for political risk, as well as for reputational risk at all the different levels. The ERM document presents a table that includes the reputational impact of different risks. It gives scoring criteria for the measurement of impact, likelihood and level of control effectiveness. Risks are routinely monitored and reflected upon by delivery partnerships. UNODC is developing a fraud and corruption risk register, which includes the risk of ineffective control and monitoring of external party transactions. This will cover risks areas including procurement, implementing partners as well as related party transactions. Risk mitigation actions taken in partnerships are documented and communicated. As indicated, each programme document contains a risk assessment table. UNODC requires risk to be monitored through a tripartite review mechanism involving beneficiaries, funding partners and UNODC.	80, 81, 82, 83
MI 5.4 Evidence confidence	**Medium confidence**

MI 5.5: Intervention designs include the analysis of cross-cutting issues (as defined in KPI 2)	**Score**
Overall MI rating	**Unsatisfactory**
Overall MI score	**2.13**
Element 1: Intervention design documentation includes the requirement to analyse cross-cutting issues	2
Element 2: Guidelines are available for staff on the implementation of the relevant guidelines	2
Element 3: Approval procedures require the assessment of the extent to which cross-cutting issues have been integrated in the design	2
Element 4: Intervention designs include the analysis of gender issues	2
Element 5: Intervention designs include the analysis of environmental sustainability and climate change issues	1
Element 6: Intervention designs include the analysis of good governance issues	3
Element 7: Intervention designs include the analysis of human rights issues	3
Element 8: Plans for intervention monitoring and evaluation include attention to cross-cutting issues	2
MI 5.5 Analysis	**Source document**
Intervention designs include the analysis of gender equality and human rights as cross-cutting issues and of governance as a key contextual factor. As noted in MI 2.1d, UNODC has only recently spelt out its policy on gender mainstreaming, so it is likely that its inclusion in intervention designs will be stronger in future. UNODC's Programme and Operations Manual sets out guidance notes for gender mainstreaming and for human rights; UNODC's project document template requires interventions to address key questions relating to both of these cross-cutting issues. Given that almost all of UNODC's interventions concern governance, this is implicit. No guidance on the integration of the issue of the environment was found. Clear guidelines are available on human rights and gender equality.	9, 19, 84, 85

As indicated in MI 2.1d, UNODC states that its Programme Review Committee ensures that all programmes comply with human rights-related requirements through its Human Rights Advisory Group, which addresses HRDDP implementation and provides advice to UNODC's Executive Director. Some interviewees were not confident that, in practice, scrutiny was undertaken as consistently and robustly as necessary or that some interventions in sensitive areas could progress without enough robust scrutiny. This assessment did not have the scope to review the extent to which these concerns were justified and simply noted this view. UNODC's Guidance Note for staff on gender mainstreaming clearly sets out how to conduct a gender analysis for needs assessments, situational analysis, stakeholder assessment and problem analysis. While this guidance was issued in 2013, UNODC only confirmed an implementation plan for mainstreaming gender equality at the end of 2018. Thus, implementation is still in its early stages. As part of the United Nations system, UNODC is obligated to ensure that a gender perspective is actively and visibly mainstreamed into all its practices, policies and programmes. The Programme and Operations Manual states that "many programmes, projects and activities still weakly address gender concerns or are even completely gender blind." Intervention designs do not yet include the analysis of environmental sustainability and climate change issues; however, the vast majority of UNODC interventions do not have a significant relationship with these issues. The exception is interventions that involve introducing alternative crops to drug cultivation. Designs generally explore governance issues related to the intervention. They tend to include political economy analysis. Intervention plans reviewed state that gender equality and human rights will be examined in the programme evaluation. If cross-cutting issues are embedded in projects' logframes as outputs or indicators, they will be captured as a matter of routine in evaluations. However, there is limited evidence that they are assessed in ongoing monitoring.	9, 19, 84, 85
MI 5.5 Evidence confidence	**Medium confidence**

MI 5.6: Intervention designs include detailed and realistic measures to ensure sustainability (as defined in KPI 12)	**Score**
Overall MI rating	**Satisfactory**
Overall MI score	**3.25**
Element 1: Intervention designs include statement of critical aspects of sustainability, including; institutional framework, resources and human capacity, social behaviour, technical developments and trade, as appropriate	3
Element 2: Key elements of the enabling policy and legal environment that are required to sustain expected benefits from a successful intervention are defined in the design	4
Element 3: The critical assumptions that underpin sustainability form part of the approved monitoring and evaluation plan	3
Element 4: Where shifts in policy and legislation will be required these reform processes are addressed (within the intervention plan) directly and in a time sensitive manner	3

MI 5.6 Analysis	Source document
UNODC's interventions include both normative/standard-setting programmes and country-level programmes. Much of UNODC's normative work, particularly its support to countries to implement international conventions and related protocols, is aimed at ensuring an enabling policy or legal environment is in place and that these are sufficiently robust to be readily implemented. UNODC carries out this role with respect to a broad range of conventions (see KPI 1). Its ability to support reform processes using its regular budget in all jurisdictions has been limited by resource constraints; but where extrabudgetary funds have been committed, it has been able to provide consistent and targeted support. Due to UNODC's mandate to support the implementation of conventions, much work is undertaken by units that focuses on gathering routine feedback and compiling reports on compliance. The UNCAC and the three conventions underpinning the legal framework on drug control and the eight international conventions signed under its auspices generate the greatest demands. In interviews, some interlocutors noted that this absorbs a huge amount of work and financial resources (particularly in meetings). They felt there was scope to save time and financial resources by revisiting how it conducts reporting for compliance. UNODC's programme and operations manual explicitly states that all intervention designs should consider sustainability issues, and the project document template obliges designs to address them. This requirement applies to global-, regional- and country-level interventions. The global, regional and country project documents reviewed do contain statements on aspects of sustainability, including issues around the institutional framework. They are of varying depth and coverage but do tend to address the most relevant concerns for the intervention – and recognise the need to institutionalise the practices and capacities supported. Most of UNODC's interventions themselves build the key elements of the enabling policy and legal environment that are needed to sustain expected benefits. They are therefore defined in intervention designs. Policy support (Subprogramme 7) is one of UNODC's main thematic priorities: it aims "to advance institutional reform and strengthen policy and operational responses by Member States on drug control, crime prevention and criminal justice". Interventions outlined in UNODC's Programme and Budget document and UNODC's regional and country programmes are explicit about the global, regional and national policies that they help to build. These are identified as both target outcomes in themselves and as supporting conditions for specific interventions. UNODC's global-level work to encourage national governments to implement various commitments and conventions is one way that UNODC supports this "enabling environment". This aspect is arguably one of UNODC's key strengths and contributions. The critical assumptions that underpin sustainability are generally examined in intervention evaluations – as required by UNODC's Evaluation Policy. UNODC's interventions show evidence of its attempts to support shifts in policy and legislation in a proactive way. One of many examples is from the cluster evaluation of UNODC's law enforcement and border control programme in Central Asia, which facilitated the development of legislation that also led countries to sign up to international conventions. UNODC also successfully uses research and analysis to further identify the nature of a problem and identify potential solutions. The Safety Audit in Cali, Colombia, is an example of the use of research to identify what policy steps are needed to address a problem.	3, 21, 71, 79, 86, 87
MI 5.6 Evidence confidence	**High confidence**

MI 5.7: Institutional procedures (including systems for engaging staff, procuring project inputs, disbursing payment, logistical arrangements etc.) positively support speed of implementation	**Score**
Overall MI rating	**Satisfactory**
Overall MI score	**2.75**
Element 1: Internal standards are set to track the speed of implementation	3
Element 2: The organisation benchmarks (internally and externally) its performance on speed of implementation across different operating contexts	3
Element 3: Evidence that procedural delays have not hindered speed of implementation across interventions reviewed	2
Element 4: Evidence that any common institutional bottlenecks in speed of implementation identified and actions taken leading to an improvement	3
MI 5.7 Analysis	**Source document**
The assessment finds there is mixed evidence on whether institutional procedures support or hinder the speed of implementation. UNODC's systems are relatively proven and mature – they have been used to implement many high-volume programmes – both in HQ and in country contexts. However, interviews indicated that there is room for improvement, particularly in procurement but also in other areas. A significant number of interviewees considered that UNODC needs to improve its institutional procedures by modernising and streamlining its administrative and management systems. UNODC is obliged to remain within the guidance of UN Secretariat. This guidance is being revised but, at least in relation to new procurement guidance, may have the consequence of slowing down rather than accelerating implementation (as indicated in MI 3.3). According to UNODC staff, UNODC was not consulted by the UN Secretariat when it wrote the new policy. No clear set of internal standards to track the speed of implementation were found, and systems do not appear to come together in a single tracker. However, UNODC does have various monitoring systems in place that are intended to pick up delays in implementation. These include monthly reviews of expenditures, a biannual review of implementation, the full cost recovery barometer, project/programme progress reports, expert working groups and a steering committee. Donors also require regular implementation and financial reports, and delays will trigger action. The recruiting process and related timelines are monitored by UNODC's Human Resources Management Section with regular status updates and reminders as to timelines. Timelines are also tracked and reported organisation-wide and Secretariat-wide in terms of performance. Comprehensive dashboards are in place to measure the financial management performance of UNODC. UNODC has spreadsheets that record the time needed and taken for programme design, approval and implementation workflow. Data from these do not appear to be consolidated into dashboards, however. Procedural delays do not appear to be a systemic problem. There are cases in which procedural delays have hindered the speed of implementation, but they – aside for the issue of procurement – do not comprise a pattern. Interviews indicated that slow procurement impedes delivery; at least six interviewees identified this as an issue. UNODC shared evidence demonstrating the action taken in response to implementation delays – showing how divisions have collaborated to resolve particularly critical problems.	63, 64, 88, 89, 90, 91

Evidence was found that procedural delays have hindered the speed of implementation in some cases (e.g. Nigeria), but there is also evidence of delays leading to consolidated and relatively speedy remedial action (e.g. Pakistan). See MI 11.2 for evaluative evidence related to this element. UNODC has a policy to recruit staff within 120 days from the date a post was registered. Some interviewees complained that because of the complexity of procedures, it is difficult to achieve this in practice.	63, 64, 88, 89, 90, 91
MI 5.7 Evidence confidence	**Medium confidence**

KPI 6: Partnership working is coherent and directed at leveraging and/or ensuring relevance and the catalytic use of resources	**KPI score**
Satisfactory	**2.91**

UNODC has differentiated planning, extension and approval processes in place for lower- and higher-value revisions to projects. These controls seem robust and appropriate and enable agility within partnerships. They appear to allow changes within a reasonable timeframe. Evaluations have identified bottlenecks in implementation, and UNODC is looking to speed up its processes: however, any changes are too recent to be reflected in this assessment.

UNODC's partnerships are largely based on its comparative advantages in technical knowledge, convening power, policy dialogue and advocacy. UNODC is clear that its areas of competence are a logical consequence of its foundational mandates. Its statement of its comparative advantages could be clearer and more effectively communicated. Its competences, and what it contributes to a partnership, are known and often very highly valued by its government and donor partners. The steady increase in the value of extrabudgetary support is a reflection that donors have confidence in the value of UNODC's contribution.

There is currently no clear overarching statement on how UNODC seeks to deliver on the Busan commitment or the quadrennial comprehensive policy review. That said, in practice, UNODC operations – its technical support and policy development – are with government counterparts and work within, and largely to support, the government capacity and system.

UNODC strategies and designs do clearly recognise the importance of synergies and leverage. The Proposed Programme Plan for the Biennium sets expectations of synergies across the subprogrammes. The project design template requires staff to consider "synergies with other programmes and projects" under "Situation Analysis", and so the issue is considered explicitly at the design stage. Several evaluations indicate that UNODC's practice of delivering synergies in partnerships could be strengthened.

There is evidence that in relation to country and regional interventions UNODC co-ordinates key business practices (planning, design, implementation, monitoring and reporting) with its partners. Country and regional representatives participate in United Nations Development Assistance Frameworks (UNDAFs) and monitor its engagement – global and thematic programmes tend not to. UNODC engages in an extremely broad range of joint programmes and initiatives, uses its research and knowledge to capacity to fill strategic gaps and is starting to undertake more joint evaluations. The evidence in relation to global- and thematic-level work is mixed: some are not co-ordinated either internally within UNODC or with relevant local partners. Some are designed without reference to country or regional contexts and local field offices are not consulted when implementation is planned.

UNODC does not have a clear corporate statement on the transparency of key programmatic information. Only a shallow level of corporate data is publicly available. UNODC has not yet signed up to the IATI. It is listed as an IATI participant and does not publish its data on the IATI Registry. It is dependent on the UN Secretariat's implementation of forthcoming enhancements to Umoja to be able to publish data to the IATI Registry. UNODC also does not report its financial outflows to the Creditor Reporting System of the OECD Development Assistance Committee (DAC).

While UNODC appears to lack a formal, explicit statement of its standards, its procedures for accountability to beneficiaries (often referred to as target groups) are embedded in its programme document template and accompanying explanatory text. UNODC's results-based management guidance also stresses the need to demonstrate beneficiary accountability. As a policy, however, it does not appear well-developed.

UNODC has a mandate to lead in the assessment of globally-agreed drug and crime conventions. Therefore, participation with partners in assessments of progress in implementing agreed commitments is one of its key functions. There is a great deal of evidence from the different sectors that headquarters-based sectors, regional offices and global programmes lead or participate in multi-stakeholder dialogue at the global, regional and national levels. UNODC is also involved at the country level in mutual assessments in its areas of competence – using its influence to encourage partner governments to improve its performance. It also takes part in UN Country Team planning, monitoring and evaluation.

The objective of one of UNODC's six substantive subprogrammes is to "enhance knowledge" of trends on drugs and crime to support evidence-based policy. UNODC's Research and Trend Analysis Branch produces several flagship publications periodically, and there is evidence that these are used and valued. Individual programmes also tend to contain a research component. However, a recent evaluation noted that UNODC "has allowed political concerns to take precedence over credible research" and that this has encouraged a "culture of conservatism" that is not in UNODC's long-term interest. Interviews confirmed that this is an issue of concern internally. UNODC's Research Branch is more dependent on programme funds than was the case historically: this dependence further undermines its ability to maintain the independence of the topics it focuses on and its findings.

MI 6.1: Planning, programming and approval procedures enable agility in partnerships when conditions change	**Score**
Overall MI rating	**Highly satisfactory**
Overall MI score	**3.80**
Element 1: Mechanisms in place to allow programmatic changes and adjustments when conditions change	4
Element 2: Mechanisms in place to allow the flexible use of programming funds as conditions change (budget revision or similar)	4
Element 3: Institutional procedures for revisions permit changes to be made at country/regional/HQ level within a limited timeframe (less than three months)	4
Element 4: Evidence that regular review points between partners support joint identification and interpretation of changes in conditions	4
Element 5: Evidence that any common institutional bottlenecks in procedures identified and action taken leading to an improvement	3

MI 6.1 Analysis	**Source document**
UNODC has differentiated planning, extension and approval processes in place for lower- and higher-value revisions to projects. These controls seem robust and appropriate and enable ability within partnerships. The Programme and Operations Manual sets out that changes to programmes with a value higher than USD 10 million must be submitted to the Programme Review Committee for review/endorsement and onward approval of the Executive Director. This procedure also applies to those project documents/revisions which are at the discretion of the responsible director or delegated officer. Controversial changes or changes that represent a significant new direction in UNODC's portfolio also require this level of clearance. UNODC has more streamlined procedures and monitoring tools for revisions below and above USD 20 000, respectively. These are implemented using a project amendment modality. Changes can be made at country, regional and HQ levels within a limited timeframe. UNODC has a Project Revision template and procedures to do this. These changes are logged and approved through UNODC's information management software, Profi. At field (country or regional) level, all project revisions are submitted through Profi by the Project Manager and approved by either the	2, 5, 9, 44, 48, 65, 88, 89, 92, 115

Field Representative or the Executive Director. Headquarters (global programmes) project revisions, are submitted by programme managers and approved either by the Division Director or the Executive Director. In terms of timeframe, once the project revisions are finalised and submitted by offices for clearance by finance and human resource management sections, direct approval is intended to take one week, and review by the Programme Review Committee and Executive Director is intended to take approximately three weeks. The review team saw examples of this in practice. Profi was due to be replaced by the UN Secretariat's introduction of UE2 in December 2019 and, at the time of the assessment, UNODC was not informed if it would give the level of functionality they required. Due to delays in the deployment of UE2, Profi will be in place for a longer period. Guidance given to programme managers requires the involvement of partners in regular review points. Annual progress reports are supposed to be discussed with all stakeholders through a Tripartite Review Meeting before being finalised. Any proposed changes in the results frameworks should also be highlighted with partners, and agreement should be reached. The team was presented with minutes of review meetings that reflected the joint identification and interpretation of changes in conditions. There is evidence in evaluations, audits and other internal documentation of slow contracting/ procurement by the Division for Management. These documents note that posts remained unfilled and that there were delays to implementation in the field. The team also reviewed evidence that action was taken to reduce these bottlenecks. As noted in earlier micro-indicators, procurement and delegated authority in UNODC is changing, in response to a UN Secretariat directive. It is too early to identify impact. The Audit of the UNODC Framework for Engagement of External Parties recommended that the Division for Management should "establish expected timelines for key segments of the process for selection of non-commercial vendors, implementing partners and grants and develop a monitoring tool to track the timelines and report delays". UNODC notes that it has now established a tracking and reporting tool that will be rolled out in late 2019 and that it is seeking input from stakeholders to identify ways to speed up implementation. More broadly, the UN Secretariat is likely to introduce new policies and procedures intended to result in streamlined systems for UNODC in 2020: the General Assembly will announce its decision on Secretariat proposals on a new global service delivery model in March/April 2020.	2, 5, 9, 44, 48, 65, 88, 89, 92, 115
MI 6.1 Evidence confidence	**High confidence**

MI 6.2: Partnerships based on an explicit statement of comparative advantage e.g. technical knowledge, convening power/partnerships, policy dialogue/advocacy	**Score**
Overall MI rating	**Highly satisfactory**
Overall MI score	**4.00**
Element 1: Corporate documentation contains clear and explicit statement on the comparative advantage that the organisation is intending to bring to a given partnership	4
Element 2: Statement of comparative advantage is linked to clear evidence of organisational capacities and competencies as it relates to the partnership	4
Element 3: The organisation aligns its resources/ competencies to its perceived comparative advantage	4
Element 4: Evidence that comparative advantage is deployed in partnerships to positive effect	4

MI 6.2 Analysis	Source document
UNODC's partnerships are largely based on its comparative advantages in technical knowledge, convening power, and policy dialogue and advocacy. UNODC is clear that its areas of competence are a logical consequence of its foundational mandates. Its statement of its comparative advantages could, however, be clearer and more effectively communicated. Its competences, and what it contributes to a partnership, are known and often very highly valued by its government and donor partners. The steady increase in the value of extrabudgetary support is a reflection that donors have confidence in the value of UNODC's contribution. Some programme evaluations, such as the mid-term cluster evaluation of the global trafficking and global programme against smuggling of migrants, have pointed out that UNODC could enhance its impact by defining its contribution and comparative advantage in partnerships more explicitly. Its competences, and what it contributes to a partnership, are known and valued by its partners. The value and contribution UNODC makes to partnerships are evident in UNODC documentation – in its strategic documents, sector plans, and country and programme documents. Some documentation discusses an implicit understanding of comparative advantage. UNODC states that it works collaboratively with other entities based on its "specific mandates and experience in mobilizing transnational cooperation". It notes it works with other stakeholders, member states and United Nations sister agencies at the country, regional and global levels "to help Member States better understand the nature of the threats they face, as well as to design coherent programmes and policies to address those threats in the context of the targets under Goal 16" that pertain to the mandates of UNODC. Several evaluations highlight UNODC's comparative advantage while others have stated that it could be more explicit on what they comprise. Its partnership agreements, for example with UN-Habitat, are clear on UNODC's contribution, and several UNDAFs also recognise UNODC's contribution. The matrix of UNODC-INTERPOL joint activities in priority areas sets out areas of co-operation, objectives, and specific outcomes and outputs. Similarly, there is a joint work plan for UNODC and the United Nations High Commissioner for Refugees (UNHCR) with detailed areas of work across seven subprogrammes. The UNODC and the Organization for Security and Co-operation in Europe (OSCE) joint action plan has been in place since 2013 and includes a statement of comparative advantage. UNODC does align its resources and competencies to its perceived comparative advantage. Most of its activities are funded by donors specifically for its specialist skills: it is thus funded to implement activities in its field of competence. UNODC's partners highly respect the specialist skills and experience of UNODC's staff. Of survey respondents, 21% considered the skills and experience of staff "excellent", and a further 48% considered them "very good". There is extensive evidence that UNODC's comparative advantage is deployed in partnerships to positive effect. UNODC has specialised competences, and their contribution is clear from all its programme documentation. The clearest examples are of programmes that partner governments fund UNODC to implement in their own countries, such as its programme in Colombia.	1, 2, 5, 14, 42, 48, 63, 94, 95, 96, 97, 98, 99, 100, 102, 103, 104, 105
MI 6.2 Evidence confidence	**High confidence**

MI 6.3: Clear adherence to the commitment in the Busan Partnership for Effective Development Cooperation on use of country systems	Score
Overall MI rating	**Unsatisfactory**
Overall MI score	**2.50**
Element 1: Clear statement on set of expectations for how the organisation will seek to deliver on the Busan commitment/QCPR statement (as appropriate) on use of country systems within a given time period	2
Element 2: Internal processes (in collaboration with partners) to diagnose the condition of country systems	3
Element 3: Clear procedures for how organisation to respond to address (with partners) concerns identified in country systems	2
Element 4: Reasons for non-use of country systems clearly and transparently communicated	N/E
Element 5: Internal structures and incentives supportive of greater use of country systems	N/E
Element 6: Monitoring of the organisation trend on use of country systems and the associated scale of investments being made in strengthening country systems	3
MI 6.3 Analysis	**Source document**
There is currently no clear overarching statement on how UNODC seeks to deliver on the Busan commitment or the quadrennial comprehensive policy review. That said, in practice, UNODC operations – its technical support and policy development – is with government counterparts, and it works within, and largely to support, the government capacity and system. It does not appear to develop parallel systems. UNODC aligns its programmes with national governments, which are often themselves delivery/implementation partners. UNODC participates with collective UN efforts to enhance coherence and efficiency at the country level by, among other things, aligning its planning and programming within UNDAFs – and has recently committed additional resources to enable it to do this in high priority contexts. At least three regional programmes make explicit reference to working within the Busan principles: for example, the Somalia Rule of Law and Human Security regional programme is clear that it is working within the Somali Compact and the UN Integrated Strategic Framework which are designed around principles for engagement between the Somali government and the international community, as defined in the Busan "New Deal for Engagement in Fragile States". Similarly, the regional programme for West Africa "reflects UNODC's Integrated Programming Approach (IPA), which aims to improve effectiveness of interventions and incorporate the principles of the Busan [commitments] into UNODC programming". UNODC's intervention design template requires staff to diagnose the condition of country systems in the sense that they must analyse government capacity. The "problem analysis" section of intervention designs generally identifies weaknesses in country systems in the specialist area the intervention addresses. UNODC does not stipulate the use of government systems. Given that many UNODC interventions require it to invest in the capacity of several different entities/agencies on a thematic issue, the Office builds specialist capability as opposed to building core state competences (i.e. engaging in public sector reform).	9, 71, 75, 92

The Programme and Operations Manual states that the design of a regional programme should be undertaken in a partnership between UNODC experts, both at headquarters and in the field, and with the countries in the region. As noted, while regional and national programmes are better aligned to national and transnational needs, some global and thematic programmes have a weaker record of doing this. In line with the United Nations Development Group (UNDG) UNDAF guidance, which UNODC subscribes to as a member of the UNDG, and in line with the UN commitment to national ownership through strengthening national capacities, UN activity in a country aims at maximising the use of national systems, including for monitoring and evaluation (M&E). In mid-2018, UNODC invested more resources to enable it to have a presence in additional strategically important countries and engage in adapting and contributing to UN reform efforts. No documentary evidence on incentives or disincentives for responsible officers to use country systems was found. However, UNODC staff will be subject to the same incentives as other UN Country Team members. Where a programme output is to build the capacity of a specialist entity, UNODC's semi-annual and annual reporting should capture how effective these investments are.	9, 71, 75, 92
MI 6.3 Evidence confidence	**High confidence**

MI 6.4: Strategies or designs identify synergies, to encourage leverage/catalytic use of resources and avoid fragmentation	**Score**
Overall MI rating	**Unsatisfactory**
Overall MI score	**2.50**
Element 1: Strategies or designs clearly recognise the importance of synergies and leverage	3
Element 2: Strategies or designs contain clear statements of how duplication/fragmentation will be avoided based on realistic assessment of comparative advantages	2
Element 3: Strategies or designs contain clear statement of where an intervention will add the most value to a wider change	3
Element 4: Strategies or designs contain a clear statement of how leverage will be ensured	N/E
Element 5: Strategies or designs contain a clear statement of how resources will be used catalytically to stimulate wider change	2
MI 6.4 Analysis	**Source document**
UNODC strategies and designs do recognise the importance of synergies and leverage. The Proposed Programme Plan for the Biennium sets expectations of synergies across the subprogrammes. However, because such a high proportion of subprogramme interventions reflect donor priorities over strategic priorities identified by UNODC's own analysis, it is hard for UNODC to deliver cross-subprogramme synergies in practice. The project design template does require staff to consider "synergies with other programmes and projects" under "Situation Analysis", and in principle it should be considered explicitly at the design stage. The project document for the Global Programme on Cybercrime is a good example of the treatment of synergies. UNODC works with member states and counterparts among other stakeholder groups. Some evaluations report that partnerships with national counterparts are strong and synergistic. Country and regional programmes tend to be grounded in a strong understanding of the local context – which includes what other stakeholders are doing. These interventions do avoid duplication and fragmentation. However, as indicated, several interviewees noted that global	2, 30, 44, 92, 115

programmes are sometimes imposed on country contexts with inadequate attention to existing processes, resulting in duplication and fragmentation. There are weak controls that prevent this from happening, and the institution-wide incentive to secure donor funding is a driver for its persistence. Some evaluations also indicate that UNODC's practice of delivering synergies in partnerships could be strengthened – pointing to a lack of co-ordination in country, and to competition for resources, which limits potential internal synergies. Project designs require a clear statement setting out the justification for UNODC's involvement. These tend to review UNODC's mandate in the context of the programme challenge and the specific conditions and the specific gap. In view of UNODC's specialist mandate, there is very little potential for duplication. Strategies and programme design documents do tend to contain a clear statement of where an intervention will add value to wider change. This information is contained in the mandatory analysis of the problem, in the situation analysis in each project document and in the outcome indicators of programme logframes. No documentary evidence was found in strategies or designs giving a clear statement of how leverage is ensured. Strategies and designs do tend to contain a statement of how resources will be used catalytically to stimulate wider change.	2, 30, 44, 92, 115
MI 6.4 Evidence confidence	**Little to no confidence**

MI 6.5: Key business practices (planning, design, implementation, monitoring and reporting) co-ordinated with other relevant partners (donors, UN agencies, etc.)	**Score**
Overall MI rating	**Satisfactory**
Overall MI score	**3.00**
Element 1: Evidence that the organisation has participated in joint planning exercises, such as the UNDAF	3
Element 2: Evidence that the organisation has aligned its programme activities with joint planning instruments, such as UNDAF	2
Element 3: Evidence that the organisation has participated in opportunities for joint programming where these exist	4
Element 4: Evidence that the organisation has participated in joint monitoring and reporting processes with key partners (donor, UN, etc.)	3
Element 5: Evidence of the identification of shared information gaps with partners and strategies developed to address these	3
Element 6: Evidence of participation in the joint planning, management and delivery of evaluation activities	3
MI 6.5 Analysis	**Source document**
There is extensive evidence that UNODC has participated in a collaborative planning exercise for joint programmes. Its field and regional offices also have a track record of engaging in UNDAFs: UNODC has tracked its participation and contribution to UNDAFs in an extremely comprehensive – and impressive – way: it has compiled a spreadsheet that follows not just its participation but its financial and substantive contribution. However, while there is evidence that country and regional interventions are well co-ordinated with other relevant partners, global and regional programmes can be designed without adequate attention to the work of others (or of other UNODC interventions).	2, 30, 98, 100, 105, 106, 107, 108, 109, 110, 111

UNODC reports that it made contributions to all relevant outcomes in 14 country UNDAFs and made partial contributions to UNDAF outcomes in 79 countries. A sample of UNDAF's reviewed – those for Colombia, Iran and Nigeria – all reflect the contribution of UNODC. A survey of UNODC staff views on future engagement with the UN development system indicated that staff want a "greater and more transparent role within UNDAF/UNPAF [United Nations Partnership Framework]". Global and thematic programmes are designed without reference to UNDAFs. The tracking spreadsheet mentioned above highlights UNDAF outcomes that are relevant to UNODC mandates but does not allow an analysis of how UNODC has aligned its programme with UNDAF outcomes. There is no systematic requirement for UNODC to ensure global and thematic programmes are aligned to UNDAF or other joint planning outcomes. This is an important gap, and, as a result, global and thematic programmes can sometimes duplicate in-country activities. There is extensive evidence that UNODC participates in joint programming with other UN and other agencies. Working in partnerships appears to be a strength of UNODC. UNODC has established joint projects and co-ordination groups that involve a range of other entities of the United Nations system. These include access to justice for children (the United Nations Children's Fund), gender equality and women's empowerment (UN Women), drug prevention, treatment and rehabilitation (the World Health Organization (WHO), border management (the World Customs Organization), corruption (the United Nations Development Programme), trafficking in persons and migrant smuggling (the International Organization for Migration, the Office of the United Nations High Commissioner for Refugees and the Inter-Agency Coordination Group against Trafficking in Persons), and terrorism prevention (the Office of Counter-Terrorism of the Secretariat and the entities established in connection with the United Nations Global Counter-Terrorism Coordination Compact). The Office is also a co-sponsor of the Joint United Nations Programme on HIV/AIDS (UNAIDS) and is the substantive leader in the area of HIV prevention, treatment and care among people who use drugs, including in prison settings. UNODC is also engaged in delivering a Joint Action Plan with the Secretariat of the Organisation for Security and Co-operation in Europe. There is evaluative evidence that UNODC is preparing to report against several SDG indicators jointly. UNODC, is the custodian of 15 SDG indicators, on its own or jointly with other agencies. It has a particular focus on SDG 16, with its targets of promoting the rule of law through addressing transnational threats such as organised crime, trafficking, terrorism and corruption; SDG 3 with its emphasis on combatting drug use, dependence and related HIV; SDG 15 on wildlife crime; and SDG 11 on safer cities. There is evidence of the identification of shared information gaps with partners and strategies developed to address these. The flagship reports that UNODC produces on drugs and crime are explicitly targeted at identifying information gaps. For example, as part of its role in servicing the Commission on Narcotic Drugs, UNODC collects data on the implementation of the 2009 Declaration on narcotic drugs. It collects data annually on drug use and drug trafficking and identifies what member states do on drug prevention, treatment and care, every two years. These reports fill a gap in global information and inform future action. UNODC is beginning to undertake decentralised Joint Evaluations. For example, two evaluations were conducted with UNDP. No strategic- or programme-level joint evaluations have yet been undertaken. Planning for a joint strategic evaluation is underway for the Global Counter Terrorism Strategy. UNODC has shared its evaluation plans with UNAIDS, to ensure there is synergy in areas of mutual interest.	2, 30, 98, 100, 105, 106, 107, 108, 109, 110, 111
MI 6.5 Evidence confidence	**High confidence**

MI 6.6: Key information (analysis, budgeting, management, results etc.) shared with strategic/implementation partners on an ongoing basis	Score
Overall MI rating	**Highly unsatisfactory**
Overall MI score	**1.00**
Element 1: Information on the organisation's website is easily accessible and current	1
Element 2: The organisation has signed up to the International Aid Transparency Initiative or reports through the OECD-DAC systems	0
Element 3: Accurate information is available on analysis, budgeting, management and is in line with IATI or OECD-DAC (Creditor Reporting System, CRS) guidelines	1
Element 4: Evidence that partner queries on analysis, budgeting, management and results are responded to in a timely fashion	2
Element 5: Evidence that information shared is accurate and of good quality	N/E
MI 6.6 Analysis	**Source document**
UNODC does not have a clear corporate statement on the transparency of key programmatic information. Only a shallow level of corporate data is publicly available. On its website, UNODC has static graphs giving top-level figures of revenues and expenditure, expenditure by theme and region, and the number of donating member states. Its website replicates – as screenshots – data that is presented in its 2017 annual report but does not give access to underlying data. More generally, several links to documents on UNODC's public website lead to empty or outdated pages. UNODC does not currently report outflows on the OECD-DAC Creditor Reporting System, nor has it signed up to the International Aid Transparency Initiative (IATI). It is listed as an IATI participant and does not publish its data on the IATI Registry. The UN Secretariat committed to the IATI standards in September 2017. However, UNODC has yet to be informed when the Secretariat-wide roll-out to participate in IATI will be possible. UNODC is unlikely to be able to participate in the IATI independently of the UN Secretariat, as it is dependent on the UN Secretariat's implementation of forthcoming enhancements to Umoja to be able to publish data to IATI. It is not easy to find data on UNODC's public website. UNODC does publish data on two restricted-access UN websites on projects and grants. While there is no written evidence on whether partner queries on analysis, budgeting, management and results are responded to in a timely fashion, meagre evidence from interviews and the survey are mixed. In written comments on the stakeholder survey, one was positive, and two were critical. No evidence that information shared is accurate and of good quality was available. Fewer survey respondents were positive about how well UNODC shares key information with partners on an ongoing basis. Twenty-nine percent considered it is "fairly good" at sharing, while thought 45% considered UNODC either "excellent" or "very good" at this. This is noteworthy as at least 25% of respondents rated UNODC as "fairly good" in relation to any survey questions.	112
MI 6.6 Evidence confidence	**Medium confidence**

MI 6.7: Clear standards and procedures for accountability to beneficiaries implemented	Score
Overall MI rating	**Satisfactory**
Overall MI score	**2.60**
Element 1: Explicit statement available on standards and procedures for accountability to beneficiary populations e.g. Accountability to Affected Populations	1
Element 2: Guidance for staff is available on the implementation of the procedures for accountability to beneficiaries	3
Element 3: Training has been conducted on the implementation of procedures for accountability to beneficiaries	N/E
Element 4: Programming tools explicitly contain the requirement to implement procedures for accountability to beneficiaries	3
Element 5: Approval mechanisms explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries will be addressed within the intervention	2
Element 6: Monitoring and evaluation procedures explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries have been addressed within the intervention	4
MI 6.7 Analysis	**Source document**
While UNODC appears to lack a formal, explicit statement of its standards, its procedures for accountability to beneficiaries (often referred to as target groups) are embedded in its programme document template and accompanying explanatory text. The explanatory text in the project template can be considered guidance. The "beneficiaries" of some of UNODC's global, regional and sector-specific normative work are its partners and counterparts. This includes a very broad range of institutions and individuals – representing both the state and civil society. These groups are beneficiaries of UNODC's normative work as well as its training/capacity-building and field-based interventions. UNODC's new handbook on results-based management makes repeated reference to the need for the interests of beneficiaries to be embedded in programming processes. This spans from identifying who will benefit, to whether beneficiaries could be negatively impacted, to ensuring that results are posited from the perspective of beneficiary groups. UNODC's project document template requires staff to state how they will be involved in monitoring and in evaluation. UNODC's Evaluation Handbook states that those designing an evaluation should consult beneficiaries to ensure their concerns are addressed by the evaluation. UNODC's definition of "relevance" in evaluations is the extent to which, among other things, the objectives of a development intervention are consistent with beneficiaries' requirements.	21, 73, 86
MI 6.7 Evidence confidence	**Medium confidence**

MI 6.8: Participation with national and other partners in mutual assessments of progress in implementing agreed commitments	**Score**
Overall MI rating	**Highly satisfactory**
Overall MI score	**3.60**
Element 1: Evidence of participation in joint performance reviews of interventions e.g. joint assessments	4
Element 2: Evidence of participation in multi-stakeholder dialogue around joint sectoral or normative commitments	4
Element 3: Evidence of engagement in the production of joint progress statements in the implementation of commitments e.g. joint assessment reports	4
Element 4: Documentation arising from mutual progress assessments contains clear statement of the organisation's contribution, agreed by all partners	3
Element 5: Surveys or other methods applied to assess partner perception of progress	3
MI 6.8 Analysis	**Source document**
UNODC has a mandate to lead in the assessment of globally agreed drug and crime conventions. Therefore, participation with partners in assessments of progress in implementing agreed commitments is one of its key functions. There is a great deal of evidence from the different sectors that headquarters-based sectors, regional offices and global programmes lead or participate in multi-stakeholder dialogue at the global, regional and national levels. UNODC is also involved at the country level in mutual assessments in its areas of competence – using its influence to encourage partner governments to improve its performance. It also takes part in UN Country Team planning, monitoring and evaluation. UNODC participates in multi-stakeholder dialogue around joint sectoral or normative commitments in all the sectors and with respect to its strategic objectives. Participating and convening are one of UNODC's core functions, and there is strong and consistent evidence that it does this with respect to its strategic objectives. It also leads the process of joint performance reviews on normative standards in relation to both the drug and crime conventions it safeguards. For example, the December 2017 resolution and decisions of the Conference of the States Parties to the United Nations Convention against Corruption represents the culmination of a review process that is multi-stakeholder. There is particularly strong evidence of UNODC participation in joint sectoral and normative commitments in relation to drugs and crime. To give just two examples, UNODC has operated in partnership with the World Bank in the Stolen Asset Recovery Initiative since 2007 and in 2017 supported the organisation of the first Global Forum on Asset Recovery (GFAR) where representatives from 26 jurisdictions, international organisations and civil society created the basis for stronger global asset recovery. This forum established a basis for learning and stronger practice – facilitating the return of USD 321 million. UNODC also engages in the UNAIDS Joint Programme and is the technical and convening agency on HIV/AIDS and people who use drugs and on HIV/AIDS in prisons on an ongoing basis. At the country level, UNODC participates as a member of UN Country Teams in joint analytical work – principally the mandatory Common Country Assessment as part of the UNDAF development: it also joins in multi-stakeholder dialogue during the strategic prioritisation phase of the UNDAF and in common UN system monitoring and evaluation of the implementation of UNDAF and associated workplan results. In addition, it has participated in UNDAFs where it does not have a permanent country representative.	14, 113, 114

UNODC contributes to or is the lead author of joint progress statements or status reports in a broad range of issues – set out below in MI 6.9. UNODC's contribution is evidenced by reports and its own reporting. Most of its flagship reports and the reports undertaken by programmes are the result of collaboration. Specifically, UNODC is a co-facilitator, alongside UNDP, the United Nations Educational, Scientific and Cultural Organisation, and UNHCR, on the Global Alliance for Reporting Progress on Promoting Peaceful, Just and Inclusive Societies. These reports present assessments of progress made by its partners and stakeholders that relate to UNODC's mandate at the global level and indicate its influencing. Documentation from mutual progress assessments contains a clear statement of UNODC's contribution and is agreed by partners. Some UNODC programmes do use surveys and other means of obtaining partner perceptions of progress. UNODC's collaborative work with partners and stakeholders is evident in the management of most of its programmes. UNODC makes extensive use of surveys as a tool to help counterparts identify progress. For example, together with WHO, UNODC developed a drug treatment survey to help national counterparts plan and monitor the impact of treatment systems it helped develop. A 2018 audit recommended that one of UNODC's programmes could better capture beneficiary feedback and use it to design programme revisions.	14, 113, 114
MI 6.8 Evidence confidence	**High confidence**

MI 6.9: Deployment of knowledge base to support programming adjustments, policy dialogue and/or advocacy	**Score**
Overall MI rating	**Satisfactory**
Overall MI score	**3.17**
Element 1: Statement in corporate documentation explicitly recognises the organisation's role in knowledge production	4
Element 2: Evidence of knowledge products produced and utilised by partners to inform action	3
Element 3: Knowledge products generated and applied to inform advocacy at country, regional or global level	3
Element 4: Evidence that knowledge products generated are timely/perceived as timely by partners	3
Element 5: Evidence that knowledge products are perceived as high quality by partners	3
Element 6: Evidence that knowledge products are produced in a format that supports their utility to partners	3
MI 6.9 Analysis	**Source document**
The objective of one of UNODC's six substantive subprogrammes is to "enhance knowledge" of trends on drugs and crime to support evidence-based policy. UNODC's Research and Trend Analysis Branch produces several flagship publications periodically, and there is evidence that these are used and valued. Individual programmes also tend to contain a research component. However, a recent evaluation noted that UNODC "has allowed political concerns to take precedence over credible research' and that this has encouraged a "culture of conservatism" that is not in UNODC's long-term interest. Interviews confirmed that this is an issue of concern internally. UNODC's Research Branch is more dependent on programme funds than was the case historically: this dependence further undermines its ability to maintain the independence of the topics it focuses on and its findings.	4, 6, 48, 115

UNODC aims to offer impartial, evidence-based information to member states to support policies on drugs and crime. The Objective of Subprogramme 6, "Research, trend analysis and forensics", is "to enhance knowledge of trends on drugs and crime for scientific evidence-based policy formulation". Knowledge production also runs through each UNODC intervention and is a key objective of several subprogrammes. UNODC's Research and Trend Analysis Branch (RAB) produces several research flagship publications that are considered to guide debate and inform global action. It produces: the biennial Global Report on Trafficking in Persons; the World Drug Report; Homicide Study; and the World Wildlife Report. UNODC cites as evidence that its knowledge products are used in research publications: the number of citations increased in 2018 (1 800 total). There is evaluative evidence that UNODC knowledge products inform action. An in-depth cluster evaluation (2018) of five of UNODC's global research projects (covering its flagship reports) notes that UNODC "has made a substantial contribution towards improving the effectiveness of stakeholder response to current and emerging challenges". However, the evaluation points out that overall there is inadequate data to identify impact due to an absence of relevant data and that some research "is not sufficiently analytical to be of much use in policymaking". The cluster evaluation noted that many of the stakeholders reportedly used Thematic Programme on Research publications and found them useful as reference documents. MOPAN survey respondents hold UNODC's knowledge products in very high regard: 33% rated the value of UNODC's knowledge products for their work as "excellent", and a further 38% judged the contribution as "very good". UNODC has built a global knowledge management platform (SHERLOC) to make information on implementing the UN Convention against Transnational Organized Crime, its three protocols and the international drug control treaties accessible. In 2017, it had around 170 000 visitors. Given that UNODC's flagship reports are either annual or biannual and are produced on target, they are timely. However, the cluster evaluation notes structuring them in a more flexible way may be worthwhile: "Most stakeholders indicated preference for more frequent updates and operational information, so they could keep themselves abreast of new trends." The cluster evaluation highlights a result that risk aversion limits the quality of knowledge generated. It notes that "UNODC has allowed development of a culture of risk avoidance that is not in its long-term interest". It notes that "UNODC has allowed political concerns (e.g. fear of backlash from some Member States) to take precedence over credible research (e.g. analysis that shows policy impacts)" and that "[t]his has encouraged a culture of conservatism and risk avoidance that is not in the long-term interest of UNODC". The cluster evaluation called for a "bold long-term strategic vision for research". Interviews echoed the findings of the cluster evaluation: we heard of instances of self-censorship and reluctance within the organisation to take on research that could prove contentious. Given that UNODC is a custodian of the UNCAC, the absence of a flagship annual report on global progress in combatting corruption is noteworthy. Giving the Research and Analysis Branch the same degree of structural independence that evaluation functions have would address several of these concerns. UNODC's dependence on earmarked funding presents UNODC with a difficult balance. The cluster evaluation notes that an increased reliance of the thematic programme on projects for funding can "create unhealthy dependence that may compromise [a] programme's independence and credibility". It notes that there is a need to find the right balance between programming and operational independence for the thematic programme. UNODC has perhaps been deprioritising the importance of research in recent years. In its initial budget for the 2018-19 biennium, UNODC	4, 6, 48, 115

removed a USD 2 million general purpose budget allocation that the Research and Trend Analysis Branch had previously received. FINGOV insisted UNODC review this and would not approve the budget as it stood. The outcome was that two-thirds of its budget is still provided by some form of core budget, leaving it dependent on extrabudgetary funds for a third of its budget.	4, 6, 48, 115
MI 6.9 Evidence confidence	**High confidence**

PERFORMANCE MANAGEMENT

Systems geared to managing and accounting for development and humanitarian results and the use of performance information, including evaluation and lesson-learning

KPI 7: The focus on results is strong, transparent and explicitly geared towards function	**KPI score**
Unsatisfactory	**2.00**

While recent RBM investments are a move in the right direction, the current leadership of UNODC does not yet ensure the application of an organisation-wide RBM approach, and a lack of resources pervades. The Draft RBM Peer Review (as of June 2019) notes that due to the lack of resources, UNODC is far from what is required to institutionalise a culture of managing for results at all levels and in all corporate/strategic documentation.

The responsibility for a corporate commitment to a results culture lies with the Office of the Executive Director. The Strategic Planning and Inter-agency Affairs Unit (SPIA) is responsible for ensuring that a results-based management approach is mainstreamed into all of the global, regional and national programming efforts of the Office. However, interviews state its resources are limited in terms of personnel and budget. At the corporate reporting level, UNODC is dependent on programme funding from the Government of Sweden to produce its Annual Results-Based Report for member states. The regular budget does not fund the Annual Results-Based Report for member states.

With limited resources, SPIA conducted RBM training and, in 2018, published a Handbook on Results-based Management and the 2030 Agenda for Sustainable Development. This publication was recently said to be noteworthy in an OIOS Report (2019). While the understanding of the key concepts of RBM has improved in the field and there are pockets of good practice at headquarters, it is unclear how RBM-focused UNODC is beyond the RBM handbook. The other section pushing for a results focus is the Independent Evaluation Section (IES) which takes an RBM approach by requiring (in the Evaluation Handbook and Policy) the use of results in planning and programming.

For 2019, the biennial strategic framework's corresponding programme plan includes an organisation-wide results framework. Regional and country strategies include results frameworks. However, the linkages between different levels (how projects contribute to programmes) and new layers (the recent addition of SDGs) to UNODC's corporate objectives remain unclear. Also, crucially, UNODC's overall strategic direction is missing. There are frequent updates to FINGOV on programme and project performance and discussion of evaluation results. However, there is currently no aggregated annual performance discussion at a corporate level (which covers performance against all subprogrammes) with UNODC's governing bodies. In its stead is the Report of the Executive Director on Activities of the United Nations Office on Drugs and Crime, submitted to CND and CCPCJ and written by the Secretariats, and an Annual Results-Based Report which shares UNODC's performance story with member states. Corporate strategies are updated in line with UN Secretariat policy.

Annual reporting at the corporate level (UNODC-wide) demonstrates weaknesses in managing for results; a lack of transparency around exceeding, meeting or missing targets; and what this means for the programmes going forward. There is some evidence of sound RBM focus and logic in certain thematic branches and in field offices and/or regional programmes. However, there is no consistent organisation-wide adoption of RBM focus and logic in corporate strategies, nor in regional, country and global programmes.

The evaluative evidence and a review of programme documentation highlight that a sound evidence base and logic are missing for many of UNODC's results targets, particularly those above output level. However, the programme budget, the strategic framework, regional programmes and country programmes all include targets (some more complete than others), indicators, outcomes and outputs. The focus of targets is quantitative and set mainly at the output level. The link between

these targets and corporate or higher order objectives is not clear or documented. As the Draft RBM Peer Review (as of June 2019) states, UNODC's fragmented funding structure and the lack of continuity between different global, regional and country programmes and their reiterations make it difficult to measure the degree of goal achievement and limit what can be usefully done through review. There is no documentary evidence of results targets being reviewed and/or adjusted. It is more common for adjustments to occur at the project level, than the corporate level on programmes. Finally, baselines are present in logical frameworks and are used to measure change in evaluations. The evaluation culture has built a demand for baseline setting. However, there is no mandatory requirement to include baselines in new interventions.

The Peer Review of the Evaluation Function and the Meta-Synthesis of Evaluation Reports (2017 and 2018) note significant shortcomings in the monitoring conducted by UNODC projects and programmes. This assessment finds that there is no corporate monitoring system in UNODC that feeds into annual and semi-annual reporting. There is a limited budget available for monitoring, whether that be corporate (against the strategic framework), regional (against the programme), global (against the programme) or similarly at the project and country levels. If systems are in place, these are normally at the project level. In some cases, branches or regional programmes have set up their own bespoke system to meet donor requirements, e.g. South East Asia, Pakistan and Sahel. While reporting structures are clear and the rhythm of semi-annual and annual reporting is well evidenced, the dominant focus is on reporting to donors. IES backstops and provides quality assurance for all evaluations, but it is unclear who or how UNODC ensures monitoring data quality.

There is a scarcity of evaluative evidence concerning UNODC's ability to apply performance data transparently in planning and decision-making. The Draft RBM Peer Review (as of June 2019) is resolute in its assessment of UNODC's planning and use of performance data: "[A] clearly defined and resourced planning stage for projects is practically inexistent … Changes to project/ programme logframes are rarely made … The logframe is not a living document." There is no available evidence that adjustments to interventions are informed by performance data at the corporate or programme level in a systematic manner. However, there is evidence that certain regions and sections do use monitoring systems and that, in these instances, evidence is therefore available for planning and decision-making.

While the Programme Review Committee does review annual programme performance for each of UNODC's subprogrammes in its strategic framework and approves new or revised projects USD 10 million, it is unclear how or if the data in these reports are used for planning and/or decision-making. Output-level performance data, as found in the strategic framework, supports dialogue at the normative, regional and country levels. However, there is a major gap in performance data (as discussed above) at the outcome level. It is unclear how or if this gap has impacts on partnerships dialogue.

MI 7.1: Leadership ensures application of an organisation-wide RBM approach	**Score**
Overall MI rating	**Unsatisfactory**
Overall MI score	**2.00**
Element 1: Corporate commitment to a results culture is made clear in strategic planning documents	3
Element 2: Clear requirements/incentives in place for the use of an RBM approach in planning and programming	2
Element 3: Guidance for setting results targets and developing indicators is clear and accessible to all staff	2
Element 4: Tools and methods for measuring and managing results are available	2
Element 5: Adequate resources are allocated to the RBM system	1
Element 6: All relevant staff are trained in RBM approaches and methods	2

MI 7.1 Analysis	Source document
While recent RBM investments are a move in the right direction, the current leadership of UNODC does not ensure the application of an organisation-wide RBM approach, and there is an ongoing lack of resources. The Draft RBM Peer Review (as of June 2019) notes that due to the lack of resources, UNODC is far from what is required to institutionalise a culture of managing for results at all levels and in all corporate/strategic documentation. The responsibility for a corporate commitment to a results culture lies with the Office of the Executive Director. SPIA is responsible for ensuring that a results-based management approach is mainstreamed into all of the global, regional and national programming efforts of the Office. However, its resources are limited. At the corporate reporting level, UNODC is dependent on programme funding from the Government of Sweden to produce its Annual Results-Based Report for member states. With limited resources, SPIA conducted RBM training and, in 2018, published a Handbook on Results-based Management and the 2030 Agenda for Sustainable Development. This publication was recently said to be noteworthy in an OIOS report (2019). The other section pushing for a results focus is IES, which takes an RBM approach by requiring (in the Evaluation Handbook and Policy) the use of results in planning and programming. Since 2015, the responsibility for the quality of results frameworks rests with field offices, regional desks (at headquarters) and thematic branches (at headquarters). The work of UNODC field offices is projectised. Of the 70 offices, Colombia is the largest, with 650 people. SPIA retains oversight. Recent advances include the Handbook on Results-based Management and the 2030 Agenda for Sustainable Development and revised results frameworks for each office's area of intervention. The survey noted that 40.9% of respondents believed UNODC is "very good" at prioritising an RBM approach. A further 25.8% stated it is "fairly good". Staff training took place on RBM in regional offices and headquarters to enable UNODC to embrace RBM. The training and feedback fed into the development of the aforementioned Handbook on Results-based Management and the 2030 Agenda for Sustainable Development. It is too early to say if the new handbook's clear requirements are being followed. Arguably, it will take time to reverse systemic practices which do not favour or follow an RBM approach to planning and programming. The Evaluation Handbook has a section on results-based management which includes the need to clearly define realistic results and targets. The current Programme and Operations Manual does not furnish guidance for setting targets; however, it does provide guidance on developing indicators. IES has developed many guidelines, templates and evaluation tools which are published on its website. SPIA created templates for logframes, project documentation and streamlined results-focused templates for other types of reports. SPIA has limited resources for providing support. The Draft RBM Peer Review (as of June 2019) notes that SPIA's checks found that "high turnover of staff and the limited importance given to the use of monitoring results has led to an inconsistency in the way the logframe matrices are reviewed and the resultant deficiencies in quality". As raised in the RBM (2019), a major barrier to the improvement of RBM is the funding approach of UNODC. Short-term, hard-earmarked project funding does not lead to decision-making based on prioritisation of needs, objectives or lessons learned. Decision-making is based on the availability of funding. At the corporate reporting level, UNODC is dependent on programme funding from the Government of Sweden to produce its Annual Results-Based Report for member states. This is published in parallel to the publicly available annual report.	1, 5, 12, 21, 33, 41, 48, 73, 86, 95, 116, 117, 118, 119, 120, 121, 135

Evaluative evidence demonstrates that there is, at present, no corporate monitoring system and little outcome-level data, so it is reasonable to say that key corporate results might not be captured. Limited resources are available for monitoring and evaluation in general. The resources allocated to monitoring are inadequate relative to needs. This appears to be a symptom rather than a cause of the lack of monitoring. More broadly, monitoring and its use in management are not seen as a priority within the organisation. Monitoring is considered a reporting requirement vis-à-vis individual donors. Only one full-time P3 staff member is available to support RBM issues, alongside the chief, out of a total of 2 300 people working with and for UNODC. The Draft RBM Peer Review (as of June 2019) concludes that support and guidance on RBM are underfunded and that support documents do not arrive "on the ground" and are not used consistently.	1, 5, 12, 21, 33, 41, 48, 73, 86, 95, 116, 117, 118, 119, 120, 121, 135
MI 7.1 Evidence confidence	**High confidence**

MI 7.2: Corporate strategies, including country strategies, based on a sound RBM focus and logic	Score
Overall MI rating	**Satisfactory**
Overall MI score	**2.60**
Element 1: Organisation-wide plans and strategies include results frameworks	3
Element 2: Clear linkages exist between the different layers of the results framework, from project through to country and corporate level	2
Element 3: An annual report on performance is discussed with the governing bodies	3
Element 4: Corporate strategies are updated regularly	3
Element 5: The annual corporate reports show progress over time and note areas of strong performance as well as deviations between planned and actual results	2
MI 7.2 Analysis	**Source document**
For 2019, the biennial strategic framework's corresponding programme plan includes an organisation-wide results framework. Regional and country strategies include results frameworks. However, the linkages between different levels (how projects contribute to programmes) and new layers (the recent addition of SDGs) to UNODC's corporate objectives remain unclear. Also, crucially, UNODC's overall strategic direction is missing. There are frequent updates to FINGOV on programme and project performance and discussion of evaluation results. However, there is currently no aggregated annual performance discussion at a corporate level (which covers performance against all subprogrammes) with UNODC's governing bodies. In its stead is the Report of the Executive Director on Activities of the United Nations Office on Drugs and Crime, submitted to CND and CCPCJ and written by the Secretariats, and an Annual Results-Based Report which shares UNODC's performance story with member states. Corporate strategies are updated in line with UN Secretariat policy. Annual reporting at the corporate level (UNODC-wide) demonstrates weaknesses in managing for results; a lack of transparency around exceeding, meeting or missing targets; and what this means for the programmes going forward. The Triennial Review (2016) of the implementation of recommendations of the programme evaluation found that UNODC had made progress in integrating function areas and aligning thematic and geographic programmes, thus fostering a more strategic and integrated approach. However, more recently, the Draft RBM Peer Review (as of June 2019) notes that while UNODC aligns with SDGs at various levels, a document which brings together the overall strategic direction is missing. As pointed out by the Review, without this orientation, it is tricky for an organisation to determine its framework for action. Further, the Draft RBM Peer Review (as of June 2019) states that the contribution of projects to higher order programmes of different duration is unclear.	2, 4, 5, 6, 7, 9, 11, 21, 31, 42, 48, 70, 86, 93, 94, 116, 122, 123, 124, 131, 135, 148, 151

UNODC's principal policy directive of the UN Secretariat is its biennial strategic framework. This is the Framework for the formulation of the biennial budget. Since UNODC is part of the UN Secretariat, all activities, planned and ongoing, must contribute to the strategic framework. The programme plan for the period 2018-19 for UNODC (Programme 13 to be included in the biennial programme plan of the UN Secretariat) includes an organisation-wide results framework. It should be noted that, as part of the Secretary-General's reform agenda, the strategic framework is no longer required and that a unified substantive and budgetary document will be prepared on an annual basis. This document does not contain expected accomplishments or associated indicators of achievement (as the biennial strategic framework did). Instead, it asks for examples of how each subprogramme has contributed to the attainment of its objectives.	
There is a strong regional programming focus in UNODC. It is unclear how some regional programmes link with the subprogrammes of the strategic framework. Programme development (at whichever level) needs to be linked to the overall strategy, be based on a clear prioritisation of stakeholder needs while developing collaborations and working with member states to meet these needs. There is no explanation of how the subprogrammes link or inter-relate, although there are clear linkages between subprogrammes and the normative mandate. The way regional and country programmes are related differs by region. The linkages between global programmes, thematic programmes, country programmes, projects, regional programmes and subprogrammes are also unclear. There are currently 45 global programmes.	
There are frequent updates to FINGOV on programme and project performance and discussion of evaluation results. On the one hand, there is currently no aggregated annual performance discussion at a corporate level (which covers performance against all subprogrammes) with UNODC's governing bodies. On the other hand, the survey stated that 30.7% of respondents rated UNODC "very good" at basing its policy and strategy decisions on robust performance data, 20.4% thought it was "fairly good" and more than a quarter (24.8%) did not know or had no opinion. Interviews point to a high degree of relevance of regional programmes that are developed with counterparts in country. It is therefore reasonable to assume that UNODC with these same counterparts, makes decisions based on the performance of these programmes.	2, 4, 5, 6, 7, 9, 11, 21, 31, 42, 48, 70, 86, 93, 94, 116, 122, 123, 124, 131, 135, 148, 151
The Programme Review Committee (PRC) discusses annual progress reports (APRs) of regional and country programmes and clustered APRs from global programmes that are subprogrammes of the strategic framework. The PRC retains an endorsing (not an approving) function. All projects over USD 10 million come to the PRC. Those below this threshold can be electronically endorsed. The APRs cover UNODC's entire portfolio of work. For the last three years, branch chiefs have been reviewing the APRs and noting challenges, risks and lessons. From these APRs, SPIA works with the Advocacy Section to produce the annual report. Moreover, there is a Report of the Executive Director on Activities of the United Nations Office on Drugs and Crime, submitted to CND and CCPCJ and written by the Secretariats, and an Annual Results-Based Report which shares UNODC's performance story with member states. The narrative of the Annual Results-Based Report from 2018 discusses progress, areas of strength and ongoing challenges.	
At present, UNODC is revising the Management Instruction of the PRC because reviews are taking too long. In general, interviews suggest a general level of dissatisfaction with the PRC. Some interviewees need the PRC to be an endorsing function (oversight only) but the reality is that there is great demand and need for an approval function which reviews programme design and progress.	
Corporate strategies (understood here as the biennial strategic framework) are updated in line with UN Secretariat policy.	

The Programme Performance Report for the UN for 2016/17 includes the UNODC as Section 16. The narrative includes biennial targets where the aforementioned reports do not. At times, the targets are met or on track and, at times, they appear to be inappropriately low and unambitious, e.g. UNODC strengthened the capacity of over 50 states when the target was 5 or trained over 6 390 criminal justice officials when the target was 4 000. At other times, there is a lack of transparency about the actual result, e.g. the actual percentage of women represented on its staff is stated as "below the biennial target of 45 per cent". Also, the average number of days that a professional post remains vacant is "below target", but no detail of the exact number of days is given. Subprogramme 2 appears to be more accurately setting targets and managing to these targets while detailing difficulties/extraneous factors.	2, 4, 5, 6, 7, 9, 11, 21, 31, 42, 48, 70, 86, 93, 94, 116, 122, 123, 124, 131, 135, 148, 151
MI 7.2 Evidence confidence	**High confidence**

MI 7.3: Results targets set based on a sound evidence base and logic	**Score**
Overall MI rating	**Unsatisfactory**
Overall MI score	**2.00**
Element 1: Targets and indicators are adequate to capture causal pathways between interventions and the outcomes that contribute to higher order objectives	2
Element 2: Indicators are relevant to the expected result to enable measurement of the degree of goal achievement	2
Element 3: Development of baselines are mandatory for new interventions	2
Element 4: Results targets are regularly reviewed and adjusted when needed	2
MI 7.3 Analysis	**Source document**
The evaluative evidence and a review of programme documentation highlight that a sound evidence base and logic are missing for many of UNODC's results targets, particularly those above output level. However, the programme budget, the strategic framework, regional programmes and country programmes all include targets (some more complete than others), indicators, outcomes and outputs. The focus of targets is quantitative and set mainly at the output level. The link between these targets and corporate or higher order objectives is not clear or documented. As the Draft RBM Peer Review (as of June 2019) states, UNODC's fragmented funding structure and the lack of continuity between different global, regional and country programmes and their reiterations make it difficult to measure the degree of goal achievement and limit what can be usefully done through review.	
The application of logframes in UNODC is an accepted practice. More recently, theories of change have been introduced and are now recognised as a tool for planning and evaluation. Each project in UNODC produces a logical framework which includes targets, indicators, baselines and risks. These logframes are then reviewed every six months by project managers. However, as the Draft RBM Peer Review (as of June 2019) notes, the theories of change for the Office, the corporate level and all corresponding strategic levels (from the levels of regional and country programme to the corporate level) are missing. The focus of targets is in the main at the output level. The link between these and the delivery of the organisation-wide strategic framework is currently undocumented. One major concern raised in the Draft RBM Peer Review (as of June 2019), which impedes alignment of projects and programmes, is that most projects and programmes under implementation have a longer lifetime compared to the documents under which they were designed. Since the large majority of project	5, 21, 42, 65, 71, 86, 125, 126, 131, 135, 143

revisions are done as extensions, original objectives, targets and indicators are not revised. Global programmes are not programmes in the classic sense – a time-bounded set of interlinked projects designed to achieve one objective. They can contain different types of projects, the link to thematic programmes is unclear and the links are often missing in logframes. There has been an improvement in the quality of logframes since 2014, when UNODC began RBM support for programme managers through training, guidance and quality control. However, in the main, indicators are measuring quantitative output level change where results sit at the outcome level. The Draft RBM Peer Review (as of June 2019) notes that outcome indicators are project/programme specific, which is problematic for outcomes that are ambitious and require collaboration beyond the lifetime of the project. Further, the quality measurement and comparability of the data is an issue in the Draft RBM Peer Review (as of June 2019). It notes that "the full potential of the logical framework approach is not used. Logframes are mainly used as presentation tools for fund raising, and during evaluations. [There is] no harmonised understanding of what are outputs and outcomes, and a clear idea of who is responsible/accountable for proper delivery and outcome achievement. Qualitative aspects of indicators are often not defined and thus not measurable nor comparable." Baselines are present in logical frameworks and are used to measure change in evaluations. The evaluation culture has built a demand for baseline setting; however, there is no mandatory requirement to include baselines in new interventions. The Draft RBM Peer Review (as of June 2019) notes that for long-term projects and programmes there is no regular revision of baselines and/or targets. While the Programme Review Committee meets and discusses annual and semi-annual reports, there is no documentary evidence of results targets being reviewed and/or adjusted. It is more common for adjustments to occur at the project level, than the corporate level on programmes. Interestingly, the approval mechanisms for reports to the PRC reflect the programming structure. Global programmes are cleared by branch chiefs, and field office reports are cleared by the field office representative. Representatives from regional and country offices state that they are not part of the global programming decision-making process. They do not see input from global programmes into these reports which concern/align with their areas of work.	5, 21, 42, 65, 71, 86, 125, 126, 131, 135, 143
MI 7.3 Evidence confidence	**High confidence**

MI 7.4: Monitoring systems generate high quality and useful performance data	**Score**
Overall MI rating	**Unsatisfactory**
Overall MI score	**1.67**
Element 1: The corporate monitoring system is adequately resourced	1
Element 2: Monitoring systems generate data at output and outcome level of the results chain	2
Element 3: Reporting structures are clear	2
Element 4: Reporting processes ensure timely data for key corporate reporting, and planning	2
Element 5: A system for ensuring data quality exists	1
Element 6: Data adequately captures key corporate results	2
Element 7: Adequate resources are allocated to the monitoring system	N/A

MI 7.4 Analysis	Source document
The Peer Review of the Evaluation Function and the Meta-Synthesis of Evaluation Reports (2017 and 2018) note significant shortcomings in the monitoring conducted by UNODC projects and programmes. This assessment notes that there is no corporate monitoring system in UNODC that feeds into annual and semi-annual reporting. There is a limited budget available for monitoring, whether that be corporate (against the strategic framework), regional (against the programme), global (against the programme) or similarly at the project and country levels. If systems are in place, these are normally at the project level. In some cases, branches or regional programmes have set up their own bespoke system to meet donor requirements. While reporting structures are clear, the dominant focus is on reporting to donors. Interviews provided evidence that key corporate reporting is not a priority for some. IES backstops and provides quality assurance for all evaluations, but it is unclear who or how UNODC ensures monitoring data quality. The evaluations and Professional Peer Review of the evaluation function report a lack of monitoring data at the outcome level. At present, there is no portfolio management within UNODC. Neither is there a strategic dashboard to highlight progress/risks to senior management. IES was historically tasked with reporting to the UN Secretariat through the Integrated Monitoring and Documentation Information System (IMDIS) on its progress in implementing its strategic framework. The Peer Review of the Evaluation Function notes that this is a time-consuming, bi-annual process. It goes on to say, "Reporting on the status of implementation of the work of the UNODC programme is a formal corporate monitoring requirement and rests, in most UN Secretariat agencies, with management rather than with evaluation functions." Reporting to IMDIs finished in 2018. However, the new annual reporting continues in the shape of the Annual Program Implementation Plan. The production of the Annual Results-Based Report rests with SPIA and the Advocacy Section. Reporting processes and timelines are dictated by donor requirements. The Draft RBM Peer Review (as of June 2019) goes further to state that, on lower levels, donors are also very influential and design projects and programmes to their specific goals and targets. The established and evidenced internal corporate reporting timelines are semi-annual and annual. However, the Programme and Operations Manual sets out the timescales for Quarterly Monitoring Reports and states how monitoring is delegated in field offices as well as across concerned units and teams. There is no evidence of this monitoring process taking place for corporate reporting and/or planning or of the use of the Programmes Operations Manual. Indeed, an interviewee described it as, "[a] monster. No-one wants to update it." There are an Annual Internal Oversight Report and the workplan/summary of achievements for each field office. Similarly, the Programme and Operations Manual states that the Quality Control and Oversight Unit prepares a quantitative report (quarterly monitoring) and shares the data with Regional Teams, while the Regional Teams prepare the qualitative assessment. Again, there is no evidence of this process for corporate reporting and planning. IES backstops and provides quality assurance for all evaluations, but it is unclear who or how UNODC ensures monitoring data quality. At present, with no corporate monitoring system and little outcome-level data, it is reasonable to say that key corporate results might not be captured in full. Limited resources are available for monitoring and evaluation in general. There is no clarity on the resources allocated to monitoring (as stated in MI 7.1). Only one full-time P3 staff member is available for support on RBM issues, along with the chief, to support a total of approximately 2 300 people working with and for	4, 9, 42, 65, 94, 127, 131, 135, 143, 150

UNODC. The Draft RBM Peer Review (as of June 2019) concludes that support and guidance on RBM are underfunded, support documents do not arrive "on the ground" and they are not used consistently. Some large programmes have monitoring and evaluation officers (Colombia); all other projects and programmes do not have M&E officers.	4, 9, 42, 65, 94, 127, 131, 135, 143, 150
MI 7.4 Evidence confidence	**High confidence**

MI 7.5: Performance data transparently applied in planning and decision-making	**Score**
Overall MI rating	**Unsatisfactory**
Overall MI score	**1.75**
Element 1: Planning documents are clearly based on performance data	1
Element 2: Proposed adjustments to interventions are clearly informed by performance data	2
Element 3: At corporate level, management regularly reviews corporate performance data and makes adjustments as appropriate	2
Element 4: Performance data support dialogue in partnerships at global, regional and country level	2

MI 7.5 Analysis	**Source document**
There is a scarcity of evaluative evidence concerning UNODC's ability to apply performance data transparently in planning and decision-making. The Draft RBM Peer Review (as of June 2019) is resolute in its assessment of UNODC's planning and use of performance data: "[A] clearly defined and resourced planning stage for projects is practically inexistent … Changes to project/programme logframes are rarely made … The logframe is not a living document." There is no available evidence that adjustments to interventions are informed by performance data at the corporate or programme level in a systematic manner. However, there is evidence that certain regions and sections do use monitoring systems and that, in these instances, evidence is therefore available for planning and decision-making. While the Programme Review Committee does review the semi-annual and annual reports for projects and programmes over EUR 1 million, it is unclear how or if the data in these reports are used for planning and/or decision-making. Output level performance data, as found in the strategic framework, supports dialogue at the normative, regional and country levels. However, there is a major gap in performance data (as discussed above) at the outcome level. It is unclear how or if this gap has impacts on partnerships dialogue. IES's Meta-Synthesis of Evaluation Reports (2015/16) states, "Results Based Management (RBM) is once again the topic with the highest number of references in the evaluation recommendations. Based on the analysis of numerous evaluation results, it is evident that the development and design of projects and programmes merit attention and should be analysed in the context of UNODC's funding model. There is no available evidence that adjustments to interventions are informed by performance data at the corporate or programme level in a systematic manner. However, there is evidence that certain regions and sections do use monitoring systems, and evidence is therefore available for planning and decision-making. The Corruption and Economic Crime Branch have consolidated their logframes into a single results framework. In the main, however, adjustments to interventions are based on financial or timeframe changes to the projects. During these administrative periods, the Draft RBM Peer Review (as of June 2019) notes, "Original planning documents and results statements are not touched."	9, 127, 135

As discussed in MI 7.4, UNODC uses the semi-annual and annual reporting process, but there is no corporate monitoring system that sits behind this collecting of data for planning and decision-making. While the Programme Review Committee does review the semi-annual and annual reports for projects and programmes over EUR 1 million, it is unclear how or if the data in these reports are used for planning and/or decision-making. Interdivisional Task Teams have historically been a means of reviewing planning and implementation of specific programmes (as per Triennial Review recommendation 3), but there is very limited evidence of this being an organisation-wide practice to achieve an agreed level of corporate transparency in how performance data is used in planning and decision-making. Output-level performance data, as found in the strategic framework, supports dialogue at the normative, regional and country levels. However, there is major gap in performance data (as discussed above) at the outcome level. It is unclear how or if this gap has impacts on partnerships dialogue. The Draft RBM Peer Review (as of June 2019) notes that the shared responsibility and obligations (i.e. with member states, with other development partners) for outcome achievement of projects and programmes are not clearly delineated. The Draft RBM Peer Review (as of June 2019) does, however, note that the alignment with and support for SDGs is fully agreed between UNODC and its donors.	9, 127, 135
MI 7.5 Evidence confidence	**Medium confidence**

KPI 8: The organisation applies evidence-based planning and programming	**KPI score**
Unsatisfactory	**2.26**

UNODC's evaluation function is governed by the mandate set out in the resolutions of the CND and CCPCJ. In the view of the Professional Peer Review of the Evaluation Function, the section is not sufficiently operationally, structurally or behaviourally independent. The lack of budgetary autonomy has particularly negative impacts on the independence of the section.

UNODC's Evaluation Policy expects 100% coverage. The Independent Evaluation Quality Assessment Reports from 2016 to 2018 and the Professional Peer Review of the Evaluation Function confirm the almost universal integration of evaluation into projects. However, the Professional Peer Review of the Evaluation Function notes that the combination of budget restrictions, delegated responsibility and 100% coverage policy affects the consistency and coverage of evaluation results.

IES has worked hard to put systems in place to build the quality of evaluations (through design, planning and implementation). It has also ensured that annual independent reviews of evaluations are conducted to provide learning and feedback to the section. These reviews have demonstrated that over time the quality of evaluations is improving. Standards of centralised IES commissioned evaluations are higher than decentralised evaluations. The planning and management of decentralised evaluations sit with programme managers, with varying degrees of backstopping by IES. All evaluations follow the same quality assurance process. In addition, IES has developed Unite Evaluations. This web-based platform is focused on improving the design and planning of evaluations UNODC-wide.

There is no formal requirement to demonstrate how lessons are taken into account in the design of new interventions. UNODC's IES acknowledges the importance of integrating lessons into design and planning. The reality of restricted resources and lack of incentives to apply lessons results in little evidence of this actually taking place. The focus has been on building capacity for tracking and implementing recommendations. IES raises the importance of lesson learning in each evaluation, but this final step to close the programme/project cycle is not systematic. Unite Evaluations will help greatly in this regard.

There is no system to identify poorly performing interventions against their objectives (a qualitative, comparative assessment) and delineate responsibility to take action. A few countries and regions have put in place tools to compensate for this and enable them to identify, track and address poor delivery against objectives. But UNODC does not require this across the organisation. In contrast, poor budgetary performance will trigger a response and action by the Division for Management and the Co-Financing and Partnership Section (CPS). CPS monitors implementation rates and seeks a justification for any variance.

This is not, however, related back to the overall programming objectives. So while there are spaces/interactions where poor performance may be discussed, the semi-annual reporting process does not include specified processes or steps for identifying or tracking poorly performing interventions.

Accountability systems in UNODC have improved with the introduction of Unite Evaluations in March 2019 and will continue to embrace greater response and follow-up to evaluation recommendations over the coming months. However, there remain some critical gaps to fill within budgetary and operational constraints. While many evaluations contain management responses (by including the template as standard practice in evaluation reports), it is not a mandatory requirement. The status of use and implementation of evaluation recommendations is also currently not public. The Professional Peer Review of the Evaluation Function recommended that the management responses, including the implementation plan, become a public document available on the IES website.

The OIOS 2019 report cites Unite Evaluations as an example of good practice because of the platform's ability to aggregate recommendations for corporate-level reporting. There is, however, no current annual report on the status and implementation of evaluation recommendations. It is also mandatory in the Unite Evaluations platform for all evaluations to prepare an Evaluation Follow-up Plan. It will, however, take time for these functions to be used by UNODC and be embedded in organisation-wide culture and practice. At present, detailed Evaluation Follow-Up Plans are made available to member states through projects.un.org and, for In-depth Evaluations, these are presented to member states. Follow-up is currently not a mandatory requirement, but the 2017 Independent Quality Assessment of UNODC Evaluation Reports found that recommendations are being used to inform programming in an informal manner.

UNODC's Evaluation Handbook clearly outlines the various mechanisms for distilling and disseminating lessons learned internally. However, at present, there is no system or mechanism focused on tracking, distilling and sharing lessons internally. UNODC lacks a corporate organisation-wide approach to the uptake of lessons and best practices from evaluations and other reports. There is no mandatory requirement for future interventions to consider lessons from past interventions drawn specifically from evaluations. There is therefore limited evidence available to suggest that lessons and good practice are systematically applied. This is mitigated a little by: (i) the availability of all evaluations which have passed IES quality controls on the IES website; (ii) the IES Evaluation Briefs (two-page summaries of evaluations – for staff and others externally); (iii) cases of learning at the regional and programme levels; and (iv) the introduction of Unite Evaluations will contribute in time to the utilisation of evaluation results, including recommendations and lessons learned.

MI 8.1: A corporate independent evaluation function exists	**Score**
Overall MI rating	**Unsatisfactory**
Overall MI score	**2.29**
Element 1: The evaluation function is independent from other management functions such as planning and managing development assistance (operational independence)	2
Element 2: The Head of evaluation reports directly to the Governing Body of the organisation (Structural independence)	3
Element 3: The evaluation office has full discretion in deciding the evaluation programme	2
Element 4: A separate budget line (approved by the Governing Body) ensures budgetary independence	2
Element 5: The central evaluation programme is fully funded by core funds	1
Element 6: Evaluations are submitted directly for consideration at the appropriate level of decision-making pertaining to the subject of evaluation	3
Element 7: Evaluators are able to conduct their work throughout the evaluation without undue interference by those involved in implementing the unit of analysis being evaluated (Behavioural independence)	3

MI 8.1 Analysis	Source document
IES is part of the Office of the Executive Director. The Proposed programme budget for 2020 states, "The Independent Evaluation Section is a functionally and operationally independent part of the Office of the Executive Director." It is independent of other management functions. However, in the view of the Professional Peer Review of the Evaluation Function (PPR), IES cannot be called "a sustainable, effective and operationally independent evaluation unit as requested by CCPCJ and CND in 2009".	
One reason is the level of the position of Head of IES. The Professional Peer Review acknowledges the staffing constraints UNODC faces in strengthening IES, with regular budget and general purpose resources. Nevertheless, the Peer Review notes that the position of Head in the majority of evaluation functions in the UN system are established at D1 or D2 level. This is considered important for the responsibility entailed in the role, for the gravitas that it would afford to evaluation findings, recommendations and processes of IES, and for enhancing the visibility and operational independence of the function. This had also been raised as an issue by the UN Joint Inspection Unit (JIU) in 2013 and in the January 2019 FINGOV meeting. Yet, the current draft consolidated budget does not include the D1 post.	
The Head of IES is responsible for the independent evaluation function of UNODC and reports directly and simultaneously to the Executive Director and to member states. This is an important factor for its impartiality and independence.	
In practice, IES does not have full discretion over the evaluation programme, although it has a policy of 100% coverage. IES retains responsibility for planning centralised evaluations, e.g. global programmes and for certain in-depth and/or cluster programme evaluations. Its discretion is limited firstly by a lack of funding and, secondly, because at present, evaluations do not include the assessment of the consequences on UNODC projects and programmes of the policies, rules and procedures that the Division for Management (UNOV) oversees. This is an important limitation.	1, 2, 5, 10, 13, 31, 63, 64, 65, 70, 116, 128, 129, 130, 131, 132, 133, 134, 142, 147
Programme managers and country offices are responsible for evaluation plans for project evaluations, country/regional programme evaluations and certain in-depth programme evaluations. IES is consulted for all project documents and revisions regarding the evaluation requirements. At this stage, guidance is provided to Project Managers in terms of budget and timing for every type of evaluation. In addition, IES's webpage clearly states the need to include detailed timing in the evaluation plan, which IES would then clear prior to approval by the Programme Review Committee. Since March 2019, much of this planning process has been automated by the Unite Evaluations information technology solution. Unite Evaluations is an integrated, web-based evaluation management and knowledge-sharing application. It is possible to import data from Umoja and aggregate evaluation plans against UNODC subprogrammes, by regions or by SDGs. A further helpful function is the formulation of detailed evaluation plans.	
The Peer Review notes that "[p]ressure on IES human resources is further compounded by the rule of 100% evaluation coverage included in the Policy. In addition, the delegation of responsibility for evaluation plans to Programme Managers and Country Offices, results in a long list of completed evaluations every year of variable quality".	
The programme budget for 2018-19 does not include a line item for evaluation. The budget proposal follows the overall budget methodology of the UN based on what is applicable to the entire UN Secretariat. However, during the informal meeting of 13 November 2019, FINGOV requested UNODC to meet the OIOS benchmark of 0.5% to 3% of organisational expenditure for evaluation, as recommended by the JIU. For the period 2016-17, UNODC reported that expenditure	

amounted to 0.19% of the total programme budget.[1] Consequently, OIOS had recommended that expenditure on evaluation be increased to meet the minimum of 0.5% of programme expenditure. The document goes on to state that an additional USD 1.04 million for IES are required to meet at least 0.3% of UNODC overall budget for 2020/21 and to implement the key recommendations of the OECD-DAC/United Nations Evaluation Group (UNEG) Peer Review conducted in 2015-16 and referenced heavily in this assessment. The 2018 audit notes that evaluation is an institutional responsibility. In the budget for 2020/21, additional PSC resources have been reserved by UNODC for an additional Evaluation Officer (P4) post in IES as well as operational funding. The assessment team is not aware of the percentage of organisational expenditure that evaluation would amount to. The Peer Review states that ensuring budgetary independence is an ongoing issue, and the lack of budgetary autonomy has negative impacts on the independence of IES. The budgetary situation of IES does not currently allow for the management of strategic evaluations beyond the project/programme level. IES only receives a limited amount of operational budget. Therefore, the budget for conducting evaluations is managed by individual projects/programmes, limiting IES's control of budgets for evaluations. However, mitigating measures are in place. There are detailed roles and responsibilities in the evaluation terms of reference relating to payments and a direct reporting line from evaluation team leaders of In-depth Evaluations to the Chief of IES. The Chief of IES also reports simultaneously to the Executive Director and to member states, thus strengthening independence. The central evaluation programme is not fully funded by core funds. The Peer Review concludes that there is no accurate and comprehensive analysis of the total amount that UNODC allocates to IES (in particular, what comes from the regular budget). As noted above, an OIOS Report highlights that UNODC spent 0.19% of its expenditure in 2016/17 on evaluation, while the JIU recommends that this share should lie between 0.5% and 3%. "The PPR analysis shows that UNODC dedicates approximately 0.5% of its total financial resources to evaluation. This amount is significantly below the internationally recognised standards. In addition, the current mechanism for ensuring that sufficient resources are made available for both independent project evaluations and In-Depth Evaluations is rather cumbersome and the source of extensive negotiations between IES and programme managers concerned." The Peer Review recommends that IES and senior management "should act to ensure the sustainable funding of the evaluation function, at a level that allows sufficient evaluative coverage of the work of the Office to meet member states' and Management requests and expectations in terms of independence, quality, utility, accountability and learning." All evaluation reports are approved exclusively by the Chief of IES. In-depth Evaluation reports are submitted to the Executive Director and are presented to member states either through FINGOV or at other events. All evaluation reports that meet UNEG and UNODC evaluation norms and standards are published on the IES website. Further evidence is provided and is also visible in Management Responses of In-depth Evaluations (which form part of the published document). IES is a standing item on the agenda of FINGOV.	1, 2, 5, 10, 13, 31, 63, 64, 65, 70, 116, 128, 129, 130, 131, 132, 133, 134, 142, 147

1. UNODC, Standing open-ended intergovernmental working group on improving the governance and financial situation of the United Nations Office on Drugs and Crime: Strengthening the financial situation and governance of UNODC – Consolidated budget for the biennium 2020-2021 for UNODC – Additional Information requested during the informal meeting of 13 November 2019, Vienna: United Nations Office on Drugs and Crime, 2019.

The Peer Review recognises the significant improvements, since 2010, in the evaluation function within UNODC but stresses that it takes time to change fundamental aspects like behavioural independence: "The Panel has found solid evidence of the measures taken by UNODC in compliance with the two Resolutions, as well as significant achievements since 2010, all quite remarkable considering the heavy legacy that a dismantled, albeit soon resuscitated, function can bear on the behavioural independence of a newly re-established Unit." The current Evaluation Policy does not discuss behavioural independence or explicitly subscribe to the United Nations Evaluation Group "Norms and Standards for Evaluation", in particular Norm 4, which provides standards for behavioural independence. However, the Evaluation Handbook updated in 2016 sets out that all UNODC evaluations adhere to UNEG norms.	1, 2, 5, 10, 13, 31, 63, 64, 65, 70, 116, 128, 129, 130, 131, 132, 133, 134, 142, 147
MI 8.1 Evidence confidence	**High confidence**

MI 8.2: Consistent, independent evaluation of results (coverage)	**Score**
Overall MI rating	**Satisfactory**
Overall MI score	**2.60**
Element 1: An evaluation policy describes the principles to ensure coverage, quality and use of findings, including in decentralised evaluations	3
Element 2: The policy/an evaluation manual guides the implementation of the different categories of evaluations, such as strategic, thematic, corporate level evaluations, as well as decentralised evaluations	3
Element 3: A prioritised and funded evaluation plan covering the organisation's planning and budgeting cycle is available	2
Element 4: The annual evaluation plan presents a systematic and periodic coverage of the organisation's Interventions, reflecting key priorities	2
Element 5: Evidence from sample countries demonstrate that the policy is being implemented	2
MI 8.2 Analysis	**Source document**
In 2015, UNODC issued the current version of its Evaluation Policy. The Evaluation Policy is to be reviewed in 2019. The Professional Peer Review finds the document broadly meets UNEG norms and is a good showcase of IES's achievements so far, while contributing to consolidating these within the Office. Member states have strongly and repeatedly requested full evaluation coverage. However, the limited number of staff and the absence of stable operational financial resources for IES make it challenging to effectively manage a portfolio of as many as 280 projects and programmes. In the budget for 2020/21, additional PSC resources have been reserved by UNODC for an additional Evaluation Officer (P4) post in IES as well as operational funding. The independent Evaluation Quality Assessment Reports from 2016 to 2018 confirm that the policy is being implemented and shed light on the challenges. In particular, the Countering Transnational Organized Crime and Illicit Trafficking and Illicit Drug Trafficking sector produced stronger reports. The Peer Review states that "a major indicator of this is the almost universal integration of evaluation provisions in projects. In addition, the number of evaluations per year has increased and Programme Managers more frequently request assistance and support in conducting evaluations". The 2018 audit notes that the Evaluation Policy calls for all projects and programmes to be evaluated at least every four years, or six months before the project or programme is finalised.	1, 2, 18, 21, 86, 116, 118, 129, 135, 136, 138

In general, there is no explicit distinction between corporate and decentralised evaluations in IES or strategic documentation. However, the most recent proposed budget for 2020 includes a discussion of centralised self-evaluations and decentralised self-evaluations. In August 2019, the newly created UN Department of Management, Strategy and Policy Compliance issued a "Self-Evaluation Policy of the UN Secretariat" as a Secretary-General's bulletin (yet to be published online at the time of this assessment). The UNEG Chair wrote a letter with concerns about a number of strategic risks implied in the document. In particular, self-evaluation cannot be equated with independent evaluation; contradictions exist between the policy and UNEG norms and standards; the *raison d'etre* of most standalone evaluation functions is fully independent evaluations for their donors which this policy undermines; it also lowers the standards in evaluation; and to align with this policy would mean a step back and create controversy with member states. IES differentiates between two types of evaluations: In-Depth Evaluations (managed by IES) and Independent Project Evaluations (managed by programmes and fully quality assured by IES). All UNODC projects and programmes are evaluated: it has a policy of 100% coverage. In practice, however, IES does not have full discretion over the evaluation programme due to a lack of funding and the fact that UNOV or UNODC's Division for Management does not fall under the mandate of IES (given to IES by CCPCJ and CND). At present, evaluations do not include the assessment of the consequences on UNODC projects and programmes of the policies, rules and procedures of the Division for Management (UNOV). This is a significant and important limitation. IES retains responsibility for planning centralised evaluations, e.g. global programmes and some in-depth and/or cluster programme evaluations. The Peer Review notes that "[p]ressure on IES human resources is further compounded by the rule of 100% evaluation coverage included in the Policy. In addition, the delegation of responsibility for evaluation plans to Programme Managers and Country Offices, results in a long list of completed evaluations every year of variable quality". The Draft RBM Peer Review (as of June 2019) states that there is no discreet organisation-wide planning phase in UNODC. Further, there is a tendency to extend or revise projects and/or programmes due to various challenges, rather than finalise, evaluate and begin anew. The 2018 audit found two examples of project extensions creating delays in sharing of vital programming and planning information. One example is given below. The non-provision of information resulted in a lack of mandatory project evaluations required by donors and by the Evaluation Policy. A recommendation is made to UNODC that it strengthens consultation and communication on evaluation planning between project managers and the Independent Evaluation Section (IES), in order to ensure that mandatory evaluations are budgeted for and conducted on time. The Unite Evaluations platform goes some way to addressing this recommendation by providing one evaluation workflow to manage all evaluation processes. • The security and anti-corruption project in Chihuahua, Mexico, (project No. MEXW05) which, according to ProFi, had a proposed overall budget of USD 1 621 800 and ended on 20 October 2018, did not carry out an evaluation in November 2018, and no information on a possible project extension was found. Nevertheless, on 17 January 2019, the Liaison and Partnership Office in Mexico and the Trust for Competitiveness and the Security of Citizens signed an agreement to extend the project until 31 December 2019. The survey found that 33.6% of respondents did not know or had no opinion on whether UNODC has a clear statement about which interventions must be evaluated, 29.2% thought it was "very good" at making this clear, while 19.7% found it to be "fairly good".	1, 2, 18, 21, 86, 116, 118, 129, 135, 136, 138

As expressed above in 8.1, there is no discreet organisation-wide evaluation plan and budget to demonstrate a systematic and periodic coverage of UNODC's interventions and priorities. However, all evaluation plans submitted on ProFi are quality assured by IES (where they are not created by IES in the case of In-Depth Evaluations). All In-Depth Evaluations are planned according to the cycles of global, regional and country programmes as well as in consultation with senior management and member states. On Unite Evaluations, it is now possible (thanks to donors who have provided extrabudgetary funding to guarantee the operational functioning of the Section), to use a modern information technology solution to plan and manage evaluations. Functions for planning include importing information from Umoja to plan evaluations, recording evaluation plans and providing searchable evaluation plan database. There are also several useful evaluation management functions: one evaluation workflow to manage all evaluation processes, recording and saving all uploaded documents and comments, as well as manual entry and recording of evaluation quality assessment. The use of these functions by teams would lead to an improvement in evaluation planning and management in UNODC. Nearly a third of survey respondents felt that UNODC ensures the evaluations are carried out, 18.2% found them to be "fairly good" at it, 15.3% thought they were "excellent" and 29.2% did not know or had no opinion.	1, 2, 18, 21, 86, 116, 118, 129, 135, 136, 138
MI 8.2 Evidence confidence	**High confidence**

MI 8.3: Systems are applied to ensure the quality of evaluations	**Score**
Overall MI rating	**Satisfactory**
Overall MI score	**3.00**
Element 1: Evaluations are based on design, planning and implementation processes that are inherently quality oriented	3
Element 2: Evaluations use appropriate methodologies for data-collection, analysis and interpretation	3
Element 3: Evaluation reports present in a complete and balanced way the evidence, findings, conclusions, and where relevant, recommendations	3
Element 4: The methodology presented incudes the methodological limitations and concerns	3
Element 5: A process exists to ensure the quality of all evaluations, including decentralised evaluations	3
MI 8.3 Analysis	**Source document**
IES has worked hard to ensure that there are systems in place to build the quality of evaluations (through design, planning and implementation). It has also ensured that the Independent Assessment of UNODC Evaluations is conducted to provide learning and feedback to the section. These reviews have demonstrated that over time the quality of evaluations is improving. In addition, IES has developed Unite Evaluations. This web-based platform is focused on improving the design and planning of evaluations UNODC-wide. UNODC's Evaluation Handbook supplies guidance and tools to improve the quality of evaluations. IES facilitates annual independent Evaluation Quality Assessments conducted by two external evaluation experts which provide excellent evidence of the quality of UNODC evaluations. The Peer Review of the Evaluation Function, commenting on the delegation of responsibility for independent project evaluation management to programme managers, notes, "This has led to a mechanism where these evaluations are largely managed by Programme Managers, frequently	19, 21, 86, 116, 118, 130, 137, 138

under their sole responsibility, with differing levels of backstopping by IES. This raises a number of issues, the most prominent being the conflict of interest throughout the evaluation process." Introduced in March 2019, Unite Evaluations (an integrated, web-based evaluation management and knowledge-sharing application) will, in time, improve the quality of evaluations. It serves three main purposes: planning for evaluations, managing evaluations, and sharing and disseminating knowledge. The regional offices under the Division of Operations have a process-focused role and, as such, also have a quality assurance function. It is unclear and unevidenced how this role fits with managing risks (associated with implementation) and evaluation planning. Further, the Peer Review notes, "Pressure on IES human resources is further compounded by the rule of 100% evaluation coverage included in the Policy. In addition, the delegation of responsibility for evaluation plans to Programme Managers and Country Offices, results in a long list of completed evaluations every year of variable quality". However, since March 2019, the Unite Evaluations platform has been able to retrieve detailed evaluation plans and aggregate information about UNODC subprogrammes, regions and in relation to the SDGs. It also includes a detailed workflow system with dedicated roles and responsibilities for project/programme managers, IES and the independent evaluators. This process is fully aligned with UNEG Evaluation Norms and Standards. Functions for planning include importing information from Umoja to plan evaluations, recording evaluation plans and providing searchable evaluation plan database. There are also several useful evaluation management functions: one evaluation workflow to manage all evaluation processes, recording and saving all uploaded documents and comments, as well as manual entry and recording of evaluation quality assessment. The use of these functions by teams would lead to an improvement in evaluation planning and management in UNODC. The Independent Quality Assessment of UNODC Evaluation Reports (2017) found, "The 15 published evaluation reports in 2017 were mostly rated highly and reveal the continuous improvement in the quality of UNODC evaluations over time. Eighty-seven percent were rated as "good" or "very good". The 2018 Independent Quality Assessment of UNODC Evaluation Reports highlighted that 100% of reports were rated "good" or "very good", and over 80% referred to the SDGs. However, in 2018, there were issues around methods, specifically limited data collection methods. The Independent Quality Assessment of UNODC Evaluation Reports (2017) found that of the 15 reports assessed, 1 missed the requirements for findings, conclusions and recommendations, 9 met requirements and 5 exceeded requirements. The 2018 report, of the same name, states that a noticeable area of improvement is the systematic organisation of the findings. However, recommendations were the weakest section of the 16 reports with 6 receiving a "fair" rating and only 1 receiving a "very good" rating. The Independent Quality Assessment of UNODC Evaluation Reports (2017) assesses the quality of the 'evaluation scope' sections - which present evaluation limitations and concerns. From the quality assessment of 15 evaluations in 2017, 13 reports met requirements against this criterion, 1 missed the required standard and 1 exceeded the standard. In 2018, the report did not detail against this criterion, although it remains included in the quality assessment template. IES provides teams with the evaluation quality assessment template. All evaluation team members are required to review the Evaluation Quality Assurance template and criteria during the evaluation process in order to ensure that the evaluation report complies with UNODC evaluation standards.	19, 21, 86, 116, 118, 130, 137, 138

All evaluations follow the same quality assurance process. While the evaluation focal point system was developed several years ago, it is currently inactive due to rotation of focal points and insufficient funding for capacity building. However, all evaluation processes are now managed through Unite Evaluations. OIOS called this "notable good practice" for the systematic tracking of evaluation budgets, activities, results and recommendations. Overall, the evaluation quality assurance process entails an in-depth review of each evaluation deliverable as well as clearance of each deliverable and of the proposed evaluation team. Furthermore, IES maintains a database of highly qualified evaluators.	19, 21, 86, 116, 118, 130, 137, 138
MI 8.3 Evidence confidence	**High confidence**

MI 8.4: Mandatory demonstration of the evidence base to design new interventions	**Score**
Overall MI rating	**Highly unsatisfactory**
Overall MI score	**1.20**
Element 1: A formal requirement exists to demonstrate how lessons from past interventions have been taken into account in the design of new interventions	1
Element 2: Clear feedback loops exist to feed lessons into new interventions design	1
Element 3: There is evidence that lessons from past interventions have informed new interventions	2
Element 4: Incentives exist to apply lessons learnt to new interventions	1
Element 5: The number/share of new operations designs that draw on lessons from evaluative approaches is made public	1
MI 8.4 Analysis	**Source document**
There is no formal requirement to demonstrate how lessons are taken into account in the design of new interventions. The focus has been on building capacity for tracking and implementing recommendations. IES raises the importance of lesson learning in each evaluation, but this final step to close the programme/project cycle and apply these lessons to project/programme design is not systematic. Unite Evaluations will help greatly in this regard. The Evaluation Handbook states the importance of lessons learned and why all evaluations need to include them in the concluding section. The Professional Peer Review of the Evaluation Function notes that in "2013 a UNODC Inter-Office Memorandum by the ED [Executive Director] required that thematic programmes integrated changes stemming from evaluations". This Inter-Office Memo does not cover off the responsibilities of global programmes or field office operations and interventions. Moreover, ProFi exists as a repository for all evaluation reports, recommendations and lessons learned since 2015. However, ProFi is being phased out, and there is no formal system to demonstrate how lessons have fed into the design of new interventions. Unite Evaluations (since March 2019) has and will continue to somewhat plug part of the gap. It ensures that evaluation recommendations and lessons learned are easily accessible and can be used for aggregate reporting (e.g. against the SDGs). Interviews were clear that UNODC is dependent on IES to bring lessons learned that are relevant to new interventions to the attention of programme managers. All evaluations in UNODC go through IES review (with the exception of assessments or reviews that do not fall under its mandate). Yet with limited resources and the ability to backstop only some of the decentralised evaluations, the application of lesson learning is limited. Indeed, while interviewees spoke of using programme evaluations to steer programming, there is no substantive evidence of this.	21, 86, 118, 130, 138, 144, 145

In theory, the ProFi database should make this easier, but there is limited evidence of lessons informing new interventions. Furthermore, country and regional programmes sit outside ProFi, i.e. they are not part of the ProFi workflow or reporting. ProFi is to be replaced by the new UE2 in late 2019. The new Unite Evaluations integrated web-based evaluation management application further facilitates utilising lessons learned. It is easier to navigate, filter and extract lessons. There is no evidence available of incentives existing to apply lessons to new interventions. Equally, there is no evidence of seeking to monitor and make public the number of new operational desks that draw on lessons. The survey results are in contrast to the available evaluative evidence and the absence of incentives. It reports that nearly three-quarters (71.5%) of partner respondents think UNODC's intervention designs are "excellent" (13.4%), "very good" (38.7%) or "fairly good" (19.4%) at including statements of the evidence base. Over a fifth (22%) did not know or had no opinion.	21, 86, 118, 130, 138, 144, 145
MI 8.4 Evidence confidence	**High confidence**

MI 8.5: Poorly performing interventions proactively identified, tracked and addressed	**Score**
Overall MI rating	**Highly unsatisfactory**
Overall MI score	**1.25**
Element 1: A system exists to identify poorly performing interventions	2
Element 2: Regular reporting tracks the status and evolution of poorly performing interventions	1
Element 3: A process for addressing the poor performance exists, with evidence of its use	1
Element 4: The process clearly delineates the responsibility to take action	1
MI 8.5 Analysis	**Source document**
There is no system to identify poorly performing interventions against their objectives (a qualitative, comparative assessment) and delineate responsibility to take action. A few countries and regions have put in place tools to compensate for this and enable them to identify, track and address poor delivery against objectives. But, UNODC does not require this across the organisation. In contrast, poor budgetary performance will trigger a response and action by the Division for Management and CPS. CPS monitors implementation rates and seeks a justification for any variance. This is not, however, related back to the overall programming objectives. Quarterly Monitoring reports were meant to serve as an "early warning mechanism by proactive identification of risks and vulnerability that have the potential to jeopardise the health of field operations". However, as has been expressed, these reports are not systematically used or produced. The focus is on donor reporting. UMOJA tracks budget performance, and the semi-annual reports submitted on ProFi should highlight any issues. For the monitoring of the quantitative performance, UNODC produces a six-monthly report where average implementation rates are spotted and analysed. The Excel sheets monitor implementation rates and percentage variance and seek a justification for the variance. When it comes to qualitative monitoring and reporting of programmes, there are some tools and mechanisms in place in certain countries and regions: costed workplans (Afghanistan, Indonesia, Myanmar and Pakistan used integrated budget structures with outcome areas), smartsheets (used by Thailand, Pakistan and Sahel), tripartite review mechanisms. At a technical level, there are biannual expert working groups, and, at the political level, there are annual steering committee meetings. PRC also reviews those programmes over EUR 1 million. However, the assessment did not find evidence of the systematic assessment and tracking of qualitative evidence. Equally, there is no evidence	9

of a systematic process for addressing poor performance and for delineating responsibility to take action. The semi-annual reporting process does not include specified processes or steps for identifying or tracking poorly performing interventions. The largest percentage of survey respondents (26.9%) stated that they did not know or had no opinion on whether or not UNODC identifies underperforming interventions. An almost equal spread of respondents found UNODC to be "very good" (27.4%) or "fairly good" (23.1%) at this. The survey results went on to report that 28.5% of respondents thought UNODC addresses any areas of intervention under-performance "very well", 19.9% thought it is "fairly good" at this.	9
MI 8.5 Evidence confidence	**High confidence**

MI 8.6: Clear accountability system ensures responses and follow-up to and use of evaluation recommendations	**Score**
Overall MI rating	**Satisfactory**
Overall MI score	**3.00**
Element 1: Evaluation reports include a management response (or has one attached or associated with it)	3
Element 2: Management responses include an action plan and/or agreement clearly stating responsibilities and accountabilities	2
Element 3: A timeline for implementation of key recommendations is proposed	4
Element 4: A system exists to regularly track status of implementation	4
Element 5: An annual report on the status of use and implementation of evaluation recommendations is made public	2
MI 8.6 Analysis	**Source document**
Accountability systems in UNODC have improved with the introduction of Unite Evaluations in March 2019 and will continue to embrace greater response and follow-up to evaluation recommendations over the coming months. It is also mandatory in the Unite Evaluations platform for all evaluations to prepare an Evaluation Follow-up Plan. It will take time for these functions to be used by UNODC and be embedded in organisation-wide culture and practice. At present, detailed Evaluation Follow-Up Plans are made available to member states through projects.un.org and, for In-depth Evaluations, these are presented to member states. However, there remain some critical gaps to fill. While many evaluations comprise management responses (by including the template as standard practice in evaluation reports), it is not a mandatory requirement. The status of use and implementation of evaluation recommendations is also currently not public. The Professional Peer Review of the Evaluation Function recommended that the management responses, including the implementation plan, become a public document available on the IES website. The OIOS 2019 report cites Unite Evaluations as an example of good practice because of the platform's ability to aggregate recommendations for corporate-level reporting. There is, however, no current annual report on the status and implementation of evaluation recommendations. Many evaluation reports include management responses. It is, however, a mandatory requirement for In-depth Evaluations only. To promote the use of Management Responses, IES includes in the template for evaluations reports a Management Response table as standard. Therefore, since mid-2018, most Independent Evaluation Reports include Management Responses, as is visible from the IES website Evaluation Reports 2018-19. The Unite Evaluations integrated web-based platform for managing evaluations (live since March 2019) automatically tracks the implementation of evaluation recommendations, thereby increasing accountability.	2, 3, 21, 86, 101, 127, 138

While the Evaluation Handbook specifies the need for developing a follow-up plan to the evaluation, public management responses do not currently include an action plan. Today, detailed Evaluation Follow-Up Plans are made available to member states through projects.un.org and for In-depth Evaluations presented to member states. The Professional Peer Review of the Evaluation Function recommends this as a next step. Unite Evaluations has addressed this. It is mandatory in the platform for all evaluations to prepare an Evaluation Follow-up Plan. The Unite Evaluations platform ensures, through its "evaluation use and reporting" functions that there is automatic tracking of Evaluation Follow-up Plans which includes specifying the responsible person, the timeline for implementation and so on, as well as the implementation status of recommendations. The 2017 Independent Quality Assessment of UNODC Evaluation Reports found that "evaluation results and recommendations are being used on a regular basis to improve and inform UNODC programming. From the evaluations conducted since 2014 for which recommendations have been entered into IES's [former] evaluation database, 680 recommendations are recorded. Of these, 82% have been implemented or their implementation is ongoing. Implementation rates tend to be higher for In- depth evaluations, particularly those at the global or regional level, than for independent project evaluations. However, there are inconsistencies in the database so precise rates of implementation cannot be determined." The ProFi database historically tracked the status of implementation of recommendations. This system moved to Unite Evaluations in March 2019 and has improved tracking and reporting, including vis-a-vis SDGs. The survey reports were positive in this regard also: UNODC follow-up on recommendations is considered "excellent" (11.8%), "very good" (31.2%) or "fairly good" (19.4%). Almost a third of respondents (30.6%), however, did not know or had no opinion. The status of use and implementation of evaluation recommendations is currently not public. The Peer Review of the Evaluation Function recommended that the management responses, including the implementation plan, become a public document available on the IES website. While, the biennial Evaluation Meta-Synthesis analyses all recommendations of evaluation reports, the core functionality of Unite Evaluations – to aggregate recommendations against UNODC subprogrammes and/or the SDGs – has not yet been utilised.	2, 3, 21, 86, 101, 127, 138
MI 8.6 Evidence confidence	**High confidence**

MI 8.7: Uptake of lessons learned and best practices from evaluations and other reports	**Score**
Overall MI rating	**Unsatisfactory**
Overall MI score	**2.50**
Element 1: A complete and current repository of evaluations and their recommendations is available for use	3
Element 2: A mechanism for distilling and disseminating lessons learned internally exists	2
Element 3: A dissemination mechanism to partners, peers and other stakeholders is available and employed	3
Element 4: A system is available and used to track the uptake of lessons learned	2
Element 5: Evidence is available that lessons learned and good practices are being applied	2
Element 6: A corporate policy for Disclosure of information exists and is also applied to evaluations	3

MI 8.7 Analysis	**Source document**
UNODC's Evaluation Handbook clearly outlines the various mechanisms for distilling and disseminating lessons learned internally. However, at present, there is no system or mechanism focused on tracking, distilling and sharing lessons internally. UNODC lacks a corporate (organisation-wide) approach to the uptake of lessons and best practices from evaluations and other reports. There is no mandatory requirement for all future interventions to consider lessons from past interventions drawn specifically from evaluations. There is therefore limited evidence available to suggest that lessons and/or good practice are systematically applied. This is mitigated somewhat by: (i) the availability of all evaluations which have passed IES quality controls on the IES website; (ii) the IES Evaluation Briefs (two-page summaries of evaluations – for staff and others externally); (iii) cases of learning at the regional and programme levels and; (iv) the introduction of Unite Evaluations. In time, this platform will contribute to the utilisation of evaluation results, including recommendations and lessons learned. IES reports to member states through various fora, as well as bilateral meetings and as a standing item on FINGOV various evaluation results, etc are presented. Furthermore, IES organises side events to the governing bodies (CCPCJ/CND) to disseminate evaluation results. ProFi tracked the implementation of recommendations not lessons (which has now been taken over by Unite Evaluations). The online tracking tool was set up in response to recommendation 5 of the Triennial review of the implementation of recommendations on the programme evaluation of UNODC. One of Unite Evaluations key functionalities is improving evaluation use and dissemination. It aims to facilitate the application of lessons learned because it is easier to navigate, filter and extract lessons. The APRs cover UNODC's entire portfolio of work. For the last three years, branch chiefs have been reviewing the APRs and noting challenges, risks and lessons. A few documents demonstrate that evaluation lessons are being applied, e.g. Regional Programme for Arab States, Western Africa Programme, Global Programme for Anti-Money Laundering and Global Maritime Crime Programme. However, the absence of a system means that this is not organisation-wide, and that lessons are incorporated based on programme staff's institutional knowledge and/or links back to IES staff. The partner survey supported this evaluative evidence: 33.9% of respondents considered UNODC "very good" at learning lessons from experience rather than repeating the same mistakes. Marginally more respondents found it "excellent" at this (17.7%) than "fairly good" (15.6%). UNODC has a clear and detailed statement (https://www.unodc.org/unodc/en/corruption/WG-Prevention/access-to-information.html) available on its public website, which relates to its role as the Secretariat to implement the UNCAC and Article 13: Access to Information. The Evaluation Policy also states that evaluations are publicly accessible. Further, the introduction of Unite Evaluations has these explicitly aims: to address UN reforms by increasing transparency and accountability at all levels where evaluation is concerned; to introduce fully transparent workflows; to allow the dissemination of aggregate evaluation results and lessons learned by thematic areas, regions and the SDGs; and to track and report on the implementation of evaluation recommendations.	2, 3, 21 or 47, 86, 89, 101, 126, 127, 138, 149
MI 8.7 Evidence confidence	**High confidence**

RESULTS

Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results in an efficient way

KPI 9: Development and humanitarian objectives are achieved, and results contribute to normative and cross-cutting goals	KPI score
Satisfactory	2.57

The evaluative evidence broadly indicates UNODC's programmes and projects are effective. According to several evaluations, projects and programmes are on track to achieve their stated objectives. Further, there is evidence of achievement at the normative level, for example, where UNODC is supporting member states in the fight against human trafficking and migrant smuggling.

However, this effectiveness is greatly challenged by UNODC's funding modality, a lack of available monitoring data (especially at the outcome level) and no systematic approach to planning projects. There is also currently no reporting at the corporate level against the achievement of objectives (the biennial strategic framework has been replaced by an annual substantive budgetary document). In addition, there is limited aggregation of outcome-level evidence at the regional and thematic levels against the (now retired) biennial strategic framework subprogrammes.

Taking all evidence into account, UNODC's interventions largely meet their varied target groups' needs and realise the expected positive benefits. However, there is an inconsistency in how UNODC assesses target groups' needs. The evaluative evidence provides a strong picture of performance in relation to realising positive benefits for member states and counterparts. This evaluative evidence, however, does not currently cover either the Colombian programme, which accounts for 30% of UNODC's overall budget and a third of all UNODC staff, or the work of the last remaining Liaison and Partnership Office in Mexico, which accounts for 230 staff. Concerns over centralised, HQ-based programming cannot be ignored. Evaluative evidence suggests certain centralised programmes have a limited appreciation of local context and remain separated from local UNODC country-based programming. This is in direct contrast to situations of long-term in-country and regional presence, for example South East Asia, where projects and programmes are designed based on counterparts' needs. In these circumstances, interventions realise the expected positive benefits.

Evaluative evidence confirms UNODC's contribution to significant changes at the normative level. However, fragmented programming limits its effectiveness. Examples of UNODC's contribution include new legislation and the signing of international agreements through the implementation of its core mandates (as a custodian of five different conventions on drugs, corruption and organised crime, and relevant General Assembly resolutions), as well as at the national policy and system level reform at both the country and regional levels. Further, it is organised to help member states achieve nine SDG targets.

In the main, the preference is to deliver "crime-specific" outputs to counterparts rather than develop the capacity of a national institution and deliver at the outcome level as "one UNODC" with partners. Evaluations report that national capacity building results are mixed. The evaluation-based analysis of good practices in UNODC's approach to capacity building (2017) suggests that results would improve with a corporate-level results framework to bring together all the training under a long-term agreed framework for one country, region, etc. The absence of such a framework has impacts on the effectiveness of UNODC's interventions and their ability to indirectly influence and affect change. A standout example which contradicts this way of working is the work UNODC does with WHO to improve treatment, care and rehabilitation services for people with drug use disorders in 23 countries.

Interventions do not systematically include an analysis of gender dimensions in planning, monitoring and/or reporting. However, IES upholds and promotes standards around mainstreaming gender into evaluations. IES invested extrabudgetary funding into mainstreaming gender equality into all UNODC evaluations to make this happen. For two years now, the Office of the Executive Director is responsible for the mainstreaming of gender through UNODC's normative, technical, analytical and operational work. In this time, UNODC has made progress, launching a strategy and formulating an action plan for its implementation. However, it is understandable given the short timeframe that evaluations report a lack of focus on gender equality in all phases of the programme cycle. This lack of a systematic approach results in siloed approaches to mainstreaming

gender; there are cases of excellence, e.g. the work of the HIV/AIDs section with UNAIDS coupled with gender-blind normative mandates, e.g. anti-money laundering. All of this is despite UN resolutions binding UNODC and member states to mainstream gender equality.

Overall, there is little evaluative evidence available to assess whether UNODC has helped improve environmental sustainability or helped tackle the effects of climate change. Environmental sustainability and tackling the effects of climate change are present in the subprogramming of UNODC, but they are not a corporate priority. UNODC continues to support member states in their efforts to design and implement Alternative Development programmes, in line with the UN Guiding Principles on Alternative Development, by providing technical assistance and promoting policy dialogue. Work in Colombia on Alternative Development (currently under evaluation) may or may not provide evidence of change at the national level. Equally, the global programme on wildlife crime is tackling a subject area which indirectly has impacts on environmental sustainability. One programme which does have a strong record on environmental issues and has been evaluated is the Sustainable Livelihoods and Development in Myanmar.

While there are many challenges that UNODC needs to address to improve effectiveness, as detailed elsewhere, UNODC's mandate means its primary contribution to development and human security is in improving good governance. UNODC's core mandates, particularly anti-corruption efforts upheld in UNCAC, are implemented through governance reform. The results achieved and highlighted elsewhere in this KPI demonstrate that UNODC contributes to improving good governance.

UNODC understands "good governance" as effective governance based on the rule of law and transparent institutions. It therefore follows that the majority of UNODC's normative, analytical, technical assistance and operational work is designed to support good governance.

Evaluative evidence presented elsewhere under this KPI is broadly positive. Interventions are effective and achieving their objectives. It therefore follows that UNODC is also indirectly (or directly) influencing the improvement of governance in local, national, regional and international contexts.

While the logical link to human rights improvements is clear, there is no systematic application of a human rights-based approach across the organisation. UNODC's primary conventions are the UNCAC and the UNTOC as well as General Assembly agreements. The provision of technical assistance to member states, in accordance with these conventions, is grounded in the protection of human rights. UNODC focuses, at the regional and global levels, on criminal justice, peace and security, and/or development interventions. At the level of project delivery (focus on outputs), there is evaluative evidence of the application of the human rights framework.

MI 9.1: Interventions assessed as having achieved their stated development and/or humanitarian objectives and attained expected results	**Score**
MI rating	**Satisfactory**
MI score	**3**
MI 9.1 Analysis	**Source document**
The evaluative evidence broadly indicates UNODC's programmes and projects are effective. According to several evaluations, projects and programmes are on track to achieve their stated objectives. Further, there is evidence of achievement at the normative level. UNODC's support to member states in the fight against human trafficking and migrant smuggling is a strong example. However, this effectiveness is greatly challenged by UNODC's funding modality, a lack of available monitoring data, especially at the outcome level and the lack of a systematic approach to planning projects. There is also currently no reporting at the corporate level against the achievement of objectives (the biennial strategic framework has been replaced by an annual substantive budgetary document). In addition, there is limited aggregation of outcome-level evidence at the regional and thematic levels against the (now retired) biennial strategic framework subprogrammes.	12, 65, 70, 92, 93, 106, 115, 135, 139, 140, 141, 143, 146, 151

Examples to illustrate project- and programme-level intervention effectiveness include: • In-Depth Evaluation of the Global Programme against Money Laundering, Proceeds of Crime and the Financing of Terrorism reports that "GPML [Global Programme against Money Laundering] has been effective in achieving the intended outcomes and shows significant promise in reaching its intended objectives through its training, mentoring and other technical assistance activities, as well as its integration in the broader AML/CFT regime. Specifically, GPML has made significant contributions towards ensuring that relevant stakeholders in supported countries are aware of the negative economic and social impacts of money laundering and the financing of terrorism." • UNODC works closely with UNAIDS and contributes to the Unified Budget, Results and Accountability Framework (UBRAF). This is considered one of the best accountability frameworks in the UN. In 2018, the UBRAF Performance Monitoring Report stated, "Although punitive approaches to drug use still predominate, the work of UNODC and other Cosponsors did make inroads. Backed by the advocacy work of the UNAIDS Secretariat, UNODC led the establishment of seven opioid substitution therapy (OST) clinics in Kenya, the management of which are being transferred to the government. This was an important step towards sustaining OST clinics in that country. In North Africa, UNODC launched a regional project that will provide approximately 38 000 prisoners in 14 major prisons or detention facilities in Egypt, Morocco and Tunisia with TB [tuberculosis] and HIV prevention and control services. In Kyrgyzstan, scaled-up harm reduction services were provided to almost 18 000 people who inject drugs (including 1500 in prisons), and over 8000 people who inject drugs and 3500 prisoners took an HIV test in 2018. • UNODC's work in Myanmar on Sustainable Livelihoods and Development "was very effective in that the planned activities were implemented, results achieved and outcomes largely met".	
At the normative level, UNODC worked with Prosecutors in Colombia on the concept of abuse of a position of vulnerability. This resulted in the first conviction for Trafficking in Persons for domestic servitude in Colombia, in September 2018. The judicial decision of the case referred specifically to the UNODC Issue Paper on "Abuse of a position of vulnerability and other 'means' within the definition of trafficking in persons". Further, in Pakistan, the National Assembly approved new laws on trafficking in persons and the smuggling of migrants. "The Prevention of Smuggling of Migrants Acts, 2018" and "The Prevention of Trafficking in Persons Act, 2018" are based on UNODC model laws. These laws impose long imprisonment terms and substantial fines for traffickers, smugglers and their accomplices. One of the most important aspects of "The Prevention of Smuggling of Migrants Act, 2018" is the non-criminalisation of smuggled migrants which shows the commitment of the Government of Pakistan to ensure the protection of human rights of victims trapped by unscrupulous migrant smugglers.	12, 65, 70, 92, 93, 106, 115, 135, 139, 140, 141, 143, 146, 151
This effectiveness is, however, greatly challenged by several factors highlighted consistently in the majority of evaluations and reports. These challenges are: UNODC's funding modality, a lack of available monitoring data, especially at the outcome level, and no systematic approach to planning projects: • There is a lack of funding and, where it exists, it is extrabudgetary and hard-earmarked. This means funding can be tied to a specific workshop or activity. • The concentrated long-term pressure on programmes and normative functions to fund implementation has contributed to internal competition for donor funds and a short-term implementation focus. • Evidence for evaluating outcome-level change is generally missing. The dominant focus in UNODC is at the output or implementation level.	

• Interviews consistently demonstrated that it is an accepted practice within UNODC to extend or revise projects and programmes that are centrally managed rather than close and redesign them. This observation is backed by the Draft RBM Peer Review (as of June 2019). This practice results in global programmes, or baskets of loosely related projects, with lifespans that differ greatly and can sometimes extend beyond ten years without revising the original objectives, targets and indicators. This impedes effectiveness.	12, 65, 70, 92, 93, 106, 115, 135, 139, 140, 141, 143, 146, 151
MI 9.1 Evidence confidence	**High confidence**

MI 9.2: Interventions assessed as having realised the expected positive benefits for target group members	**Score**
MI rating	**Satisfactory**
MI score	**3**
MI 9.2 Analysis	**Source document**
Taking all evidence into account, the assessment team found that UNODC's interventions largely meet their varied target groups' needs and realise the expected positive benefits. The evaluative evidence provides a strong picture of performance in relation to realising positive benefits for member states and counterparts. This evaluative evidence, however, does not currently cover either the Colombian programme, which accounts for 30% of UNODC's overall budget and a third of all UNODC staff, or the work of the last remaining Liaison and Partnership Office in Mexico, which accounts for 230 staff. Concerns over centralised, HQ-based programming cannot be ignored. Evaluative evidence suggests certain centralised programmes have limited appreciation of local contexts and remain separated from local UNODC country-based programming. However, in situations of long-term in-country and regional presence, for example South East Asia, projects and programmes are designed based on counterparts' needs. In these circumstances, interventions realise the expected positive benefits. The Global Programme against Money Laundering, Proceeds of Crime and the Financing of Terrorism is the UNODC's primary technical assistance programme on anti-money laundering and financing of terrorism. It is the only programme with a global mandate to work with member states to promote regulatory and legal environments that are informed by the cross-cutting aspects of money laundering and the financing of terrorism. It contributes to the strengthening of governance and anti-corruption policies. The evaluation finds that GPML has been effective in achieving the intended outcomes and shows significant promise in reaching its intended objectives through its training, mentoring and other technical assistance activities, as well as its integration in the broader AML/CFT regime. Specifically, GPML has made significant contributions towards ensuring that relevant stakeholders in supported countries are aware of the negative economic and social impacts of money laundering and the financing of terrorism. GPML has also been an important actor in disseminating the knowledge and expertise necessary to deal with AML/CFT. Finally, GPML has played a part in strengthening AML/CFT co-ordination and co-operation among member states, international organisations and AML/CFT regional bodies. Target group members for UNODC are varied: they include member states, national counterparts, readers of publications and analysis, as well as beneficiaries of project and programme interventions. UNODC delivers technical assistance to member states in the form of global and thematic programmes. The technical assistance is related directly to member states' obligations to comply with conventions and/or protocols to which they are signatories. UNODC also delivers	70, 92, 94, 125, 139, 141, 150, 151

interventions as subprogrammes on certain thematic topics (e.g. sustainable livelihoods, trafficking, drug-related crime, transnational crime) as part of UNODC country or regional programmes (e.g. Myanmar, Central Asia, Latin America). UNODC has different mechanisms for assessing needs depending on the type of intervention envisaged. Where a Global programme is the conduit for funding and an intervention, there are examples of delivering training and/or support to member states following a protocol. But, these interventions are not required to tie in with existing programming or projects in that country or region. Further, UNODC has a preference for interventions to be crime-specific. So, counterparts (Ministry of Justice, Ministry of Interior) may receive multiple requests from different parts of UNODC to deliver "crime-specific" training. There may be a need for this training, but multiple demands to the same cohort create a burden on the counterpart. This is ineffective. Where UNODC has a long-term in-country and regional presence, for example South East Asia, projects and programmes are designed based on counterparts' needs. In these circumstances, interventions realise the expected positive benefits. A selection of evaluations highlights the positive benefits for beneficiaries of interventions. The Independent In-depth evaluation of the Global Maritime Crime Programme (GMCP) highlights that "[t]he ability to deliver results "on the ground" … to GMCP beneficiaries, donors and partners alike". The final independent Project Evaluation of the Nigeria segment of the Global Programme on Strengthening the Legal Regime against Terrorism finds, "Investigators interviewed by the evaluators said the training has helped them to re-evaluate their interviewing techniques of witness[es], suspects and victims. In respect of the suspects, they are moving away from the 'interrogative style' to rapport building." Those target groups using UNODC's research on drugs and crime appreciate the quality products. However, interviews suggest that, at times, their use is limited by a lack of appreciation of the local context: "[D]ecentralisation (is) a major opportunity for increasing both effectiveness and efficiency of TPR [the Thematic Programme on Research]. These stakeholders pointed out that the TPR [Thematic Programme on Research] is highly centralised in Vienna, which deprives it of deeper local knowledge and context." However, the Professional Peer Review of the research function states that relevance and demand for UNODC's research is high, and it is highly valued. UNODC works with member states and counterparts to meet their needs. The Independent mid-term In-depth Evaluation of the UNODC Country Programme for the Islamic Republic of Iran (2011-2014) states, "Key informants from government, development partners and civil society told the evaluation team consistently that the Country Programme as a whole adds value, that the programme activities are of good quality, and that the UNODC Country Office management and specialists are extremely committed and professional". The Cluster Evaluation of Law Enforcement and Border Control in Central Asia (2018) finds that "Memorandums of Understanding or similar agreements including CARICC [Central Asian Regional Information and Coordination Centre] itself demonstrates (sic) the programme delivering for Member States".	70, 92, 94, 125, 139, 141, 150, 151
MI 9.2 Evidence confidence	**High confidence**

MI 9.3: Interventions assessed as having contributed to significant changes in national development policies and programmes (policy and capacity impacts), or needed system reforms	Score
MI rating	**Highly satisfactory**
MI score	**4**
MI 9.3 Analysis	**Source document**
Evaluative evidence confirms UNODC's contribution to significant changes at the normative and technical level, such as new legislation and the signing of international agreements through the implementation of its core mandates (as a custodian of five different conventions on drugs, corruption and organised crime, and relevant General Assembly resolutions), as well as at the national policy and system level reform at both the country and regional levels. Further, it is the custodian of SDG indicators relating to six SDGs. Its programmes support a larger number of SDGs and it leads on assisting member states achieve 9 SDG targets (3.5, 5.2, 11.7, 15.7, 16.1, 16.2, 16.3, 16.4, 16.5). However, interview and documentary evidence suggests that this contribution could be greater. A standout example is the work UNODC does with WHO to improve treatment, care and rehabilitation services for people with drug use disorders in 23 countries. In the main, UNODC's contribution is eroded by a preference to deliver "crime-specific" outputs to counterparts. This is possibly driven by competition for scarce resources and the current organisational culture of limited inter-divisional, cross-theme working. Evaluations report that national capacity building results are mixed. The evaluation-based analysis of good practices in UNODC's approach to capacity building (2017) suggests that results would improve with a corporate-level results framework to bring together all the training under a long-term agreed framework for one country or region. The now-superseded biennial strategic framework's assessment aggregated change at the level of subprogramme and did not include a qualitative comparative assessment of change at the corporate level. This means there is no systematic assessment of UNODC's aggregated contribution. Evaluations demonstrate that UNODC interventions have been able to deliver system reform, new legislation and the signing of international agreements. For example: • The Cluster Evaluation of Law Enforcement and Border Control in Central Asia (2018) finds that the establishment of the Central Asian Regional Information and Coordination Centre an achievement of system reform. • The in-depth mid-term evaluation of the GPML (2010) specified, "Model legislation developed by the programme had been used in national legislation and Financial Intelligence Units (FIUs) had been established in several countries." • The in-depth Thematic Cluster Evaluation of projects in Central Asia highlights that "the changes in national legislation and policy, as well as the signing of international agreements [which] demonstrate a national ownership of the change process." • The Global Report on Trafficking in Persons (2018) reports, "Nearly every country now has legislation in place criminalizing human trafficking … In 2009, only 26 countries had an institution which systematically collected and disseminated data on trafficking cases, while by 2018, the number had risen to 65." • The Independent mid-term In-depth Evaluation of the UNODC Country Programme for the Islamic Republic of Iran (2011-2014) finds that "[i]ncreased international, regional and sub-regional collaboration on drugs and crime is probably the biggest achievement of the Country Programme".	5, 70, 80, 92, 94, 106, 113, 122, 125, 139, 141, 146, 150, 151

Further, the report of the Executive Director in January 2019 highlighted that: • UNODC and WHO continued their partnership to improve treatment, care and rehabilitation services for people with drug use disorders in 23 countries. UNODC highlighted how this work contributes to the achievement of many inter-agency initiatives such as the UN Inter-Agency Task Force on Prevention and Control of Non-communicable Diseases and the Violence Prevention Alliance. It went on to discuss how vulnerable groups (children, adolescents and women) are also part of programming efforts. The 2018 UBRAF Performance Monitoring report states that, "in Myanmar, the work of UNODC and its partners contributed to a revision of the country's Drugs Law and the adoption of a new policy which includes the provision of harm reduction services". The report continues, "[N]otably, the progress made in introducing OST (opioid substitution therapy) in the United Republic of Tanzania (but also Argentina) can be attributed to efforts (advocacy, technical assistance) made by UNODC in those countries over several years". The Independent In-depth cluster evaluation of Global research projects of the Research and Trend Analysis Branch 2011-2017 found that, as a custodian of five different conventions on drugs, corruption and organised crime, UNODC has clear and specific mandates to support the development of evidence-based policy making: "The thematic programme, through these five projects, contributes to building an international platform for exchanging data and providing baseline knowledge necessary for developing a global consensus on international drug and crime policies. These research outputs have reportedly contributed to international programming in the form of resolutions passed by the United Nations General Assembly (UNGA), the Commission on Narcotic Drugs (CND) and the Commission on Crime Prevention and Criminal Justice (CCPCJ)." Further, the Professional Peer Review of the Research Function finds that UNODC research products and technical services constitute reference works for both its mandating authorities and external audiences. UNODC has compiled evidence of its contribution to international-level change through the review of the implementation of the UNCAC. It notes that "86 per cent of States parties reported legislative reform efforts such as the adoption of new laws or the amendment of current laws to bring them into line with the requirements of the Convention. [Further,] 58 per cent noted the positive impact of the reviews on strengthening their co-operation capacities, at both the domestic and international levels; the Mechanism had helped create a global community of practitioners fighting corruption." Many states outlined how the ratification or accession process itself had also prompted them to consider their anti-corruption systems in greater detail. Evaluations report that national capacity building results are mixed (also discussed in MI 9.2). The evaluation-based analysis of good practices in UNODC's approach to capacity building (2017) suggests that results would improve with a corporate-level results framework to bring together all the training under a long-term agreed framework for one country, region, etc. The Independent mid-term In-depth Evaluation of the UNODC Country Programme for the Islamic Republic of Iran (2011-2014) reports improved capacity of counterparts and mixed results at the national level. It states that "it is hard to establish the attribution of the Country Programme to the capacities observed. More importantly, the trade-off of the flexible approach to capacity building is that there appears to be little strategic vision, i.e. prioritisation of topics or beneficiaries, or follow up". It continues, "At outcome level, i.e. improved capacity of national counterparts, evidence of attribution and contribution is hard to establish, which reflects the comparatively modest budget vis-à-vis national investments, but also difficulties of the M&E system to measure capacity, and trends in drug trafficking and service coverage."	5, 70, 80, 92, 94, 106, 113, 122, 125, 139, 141, 146, 150, 151
MI 9.3 Evidence confidence	**High confidence**

MI 9.4: Interventions assessed as having helped improve gender equality and the empowerment of women	Score
MI rating	**Highly unsatisfactory**
MI score	**1**
MI 9.4 Analysis	**Source document**
Interventions do not yet systematically include an analysis of gender dimensions in planning, monitoring and/or reporting. For two years now, the Office of the Executive Director has been responsible for the mainstreaming of gender through UNODC's normative, technical, analytical and operational work. In this time, UNODC has made progress, launching a strategy and formulating an action plan for its implementation. However, evaluations still report a lack of focus on gender equality in all phases of the programme cycle. This lack of a systematic approach results in polar opposites of quality; a case of excellence (the work of the HIV/AIDS section with UNAIDS) and gender-blind normative mandates (anti-money laundering). This is the case despite UN resolutions binding UNODC and member states to mainstream gender equality. IES upholds and promotes standards around mainstreaming gender into evaluations. IES invested extrabudgetary funding into mainstreaming gender equality into all UNODC evaluations to make this happen. In 2018, UNODC launched its Strategy for Gender Equality and the Empowerment of Women (2018-21). An action plan for the implementation of the strategy is in place along with a clear accountability framework, targets and goals. UNODC, along with UN Women, the Office of the UN High Commissioner for Human Rights and UNDP, launched the "Practitioner's Toolkit on Women's Access to Justice Programming". Thanks to donors extrabudgetary support, IES has invested in evaluating the mainstreaming of gender for several years. While programmes are relevant to advancing gender equality, evaluations report a lack of focus on gender equality in programme design, monitoring, analysis and reporting. The Global research projects of the Research and Trend Analysis Branch succeeded in collecting and using sex-disaggregated data. But, like the Global Programme Looking Beyond: towards a stronger partnership with Civil Society Organisations on Drugs and Crime and the Global Programme for the Implementation of the Doha Declaration, there is no systematic integration of broader gender-sensitive approaches into its projects. The Cluster Evaluation of Law Enforcement and Border Control in Central Asia (2018) was also definitive that all project documentation of the standalone projects is silent on human rights and gender equality. The in-depth mid-term cluster evaluation of the Global Programme against Trafficking in Persons (TIP) and the Global Programme against Smuggling of Migrants (SOM) raised a further issue: missing are the focus, expertise and practice on gender equality and women's rights and practical gender mainstreaming, as well as the capacities and resources for them. So, even if the right approach was adopted across the programme cycle, teams might not be equipped to understand and/or deliver it. The Drug Prevention and Health Branch recognises the stigmatisation of females throughout its work. They now incorporate broader sexual and reproductive health and rights in projects in Afghanistan, Nepal, Pakistan and Ukraine, ensuring that there are childcare facilities and other services available for women such as harm-reduction services.	5, 19, 42, 54, 65, 70, 80, 92, 125, 136, 139, 141, 143, 146, 150, 151

At the normative level, the In-Depth Evaluation of the Global Programme against Money Laundering, Proceeds of Crime and the Financing of Terrorism expresses a theme common to many normative UNODC mandates that "[w]hile GPML's work contributes to UNODC achieving mandates, it does not provide explicit information on these (gender) commitments and frameworks in its programme documents and reports. This is perhaps due to the fact that AML/CFT issues are mostly considered HRG-blind [Human Rights and Gender]."	5, 19, 42, 54, 65, 70, 80, 92, 125, 136, 139, 141, 143, 146, 150, 151
MI 9.4 Evidence confidence	**High confidence**

MI 9.5: Interventions assessed as having helped improve environmental sustainability/ helped tackle the effects of climate change	**Score**
MI rating	**Highly unsatisfactory**
MI score	**1**
MI 9.5 Analysis	**Source document**
There is almost no evaluative evidence available in UNODC to assess this micro-indicator. Considerations of environmental sustainability and tackling the effects of climate change are present in the projects of UNODC, but they are not a corporate priority. UNODC continues to support member states in their efforts to design and implement Alternative Development programmes in line with the UN Guiding Principles on Alternative Development by providing technical assistance and promoting policy dialogue. The Alternative Development programme in Colombia is currently under evaluation, so no observations can be made on its efforts to improve environmental sustainability. The global programme on wildlife crime is tackling a subject area which indirectly touches on environmental sustainability. One programme which does have a strong record on environmental issues and has been evaluated is the Sustainable Livelihoods and Development programme in Myanmar. • The mid-term independent project evaluation found the programme to be highly effective and contributing to changes at four levels: • "Firstly, at the personal level in the beneficiaries´ lives; accessing new resources or employment mainly related to coffee production. • Secondly, at the community level, there has (sic) been changes in the collective mentality of the communities. They now have clear expectations towards the alternative crops (mainly coffee) becoming a viable alternative to opium. • Thirdly, at the institutional level, the intervention has contributed to placing certain issues in the public agenda, creating incremental awareness and support for the objectives pursued by the evaluated initiative. • Finally, at the environmental level, where coffee, tea, reforestation areas and fruit tree plantations have replaced annual crops, like opium poppy, they provide positive conditions for increased soil fertility and, especially in sloping areas, less erosion, due to non-tillage and increasing soil coverage." The Report of the Executive Director on Activities of the United Nations Office on Drugs and Crime submitted to CND and CCPCJ also noted:	54, 70

"UNODC continued to support member states in their efforts to design and implement Alternative Development programmes in line with the United Nations Guiding Principles on Alternative Development by providing technical assistance and promoting policy dialogue. Technical assistance delivered to Afghanistan, Bolivia (Plurinational State of), Colombia, the Lao People's Democratic Republic, Myanmar and Peru created opportunities for vulnerable populations to earn a sustainable livelihood. These UNODC programmes follow a development-oriented approach to drug control that furthers the pursuit of the Sustainable Development Goals and promotes peaceful societies."	54, 70
MI 9.5 Evidence confidence	**Medium confidence**

MI 9.6: Interventions assessed as having helped improve good governance (as defined in 2.1c)	**Score**
MI rating	**Highly satisfactory**
MI score	**4**
MI 9.6 Analysis	**Source document**
While there are many challenges that UNODC needs to address to improve effectiveness (as detailed elsewhere), UNODC's mandate means its primary contribution to development and human security is in improving good governance. UNODC's core mandates, particularly anti-corruption efforts upheld in UNCAC, are implemented through governance reform. The results achieved and highlighted elsewhere in this KPI demonstrate that UNODC contributes greatly to improving good governance. UNODC understands "good governance" as effective governance based on the rule of law and transparent institutions. It therefore follows that the majority of UNODC's normative, analytical, technical assistance and operational work is designed to support good governance. Good governance indicators and targets are integrated into UNODC's strategic plan and corporate objectives, as part of results frameworks for UNODC's nine subprogrammes. Because each of UNODC's subprogrammes is essentially focused on improving governance, all UNODC's accountability systems (including corporate reporting and evaluation) reflect good governance indicators and targets throughout. The standout evidence against this KPI is found in the UN report Review of Implementation of the United Nations Convention against Corruption (2017). This demonstrates the impact of UNODC's work against corruption at the normative and programming level. The following statistical information summarises the impact of the Implementation Review Mechanism on promoting the full implementation of the Convention in the 95 states parties for which information was available: • 86% of states parties reported legislative reform efforts such as the adoption of new laws or the amendment of current laws to bring them into line with the requirements of the Convention. • 74% found that the Implementation Review Mechanism and its peer review element had helped identify gaps and shortcomings in their frameworks and systems for fighting corruption and/or expressly noted the overall positive impact of the Mechanism on their national efforts to fight corruption. • 60% explained how undergoing the review and participating in the work of the Implementation Review Mechanism had improved their institutional structure and co-operation at the national level.	5, 12, 19, 65, 70, 80, 92, 93, 94, 106, 113, 115, 122, 125, 135, 139, 140, 141, 143, 146, 150, 151

• 58% noted the positive impact of the reviews on strengthening their co-operation capacities, at both the domestic and international levels; the Mechanism had helped create a global community of practitioners fighting corruption. • 58% of states provided information on measures taken in relation to Chapters II and V, either as a direct outcome of the first cycle or in preparation for the second. While there remains a lack of outcome-level evidence, the evaluative evidence presented under MIs 9.3 and 9.1 and the strength of the relevance of its programming (KPI 10) mean that UNODC is contributing to the improvement of governance in local, national, regional and international contexts.	5, 12, 19, 65, 70, 80, 92, 93, 94, 106, 113, 115, 122, 125, 135, 139, 140, 141, 143, 146, 150, 151
MI 9.6 Evidence confidence	**High confidence**

MI 9.7: Interventions assessed as having helped improve human rights	**Score**
MI rating	**Unsatisfactory**
MI score	**2**
MI 9.7 Analysis	**Source document**
UNODC's governing conventions are the UNCAC and the UNTOC as well as General Assembly agreements. The provision of technical assistance to member states, in accordance with these conventions, is grounded in the protection of human rights. UNODC focuses, at the regional and global levels, on criminal justice, peace and security, and/or development interventions. While the logical link to human rights improvements is clear, there is no systematic application of a human rights-based approach across the organisation. At the level of project delivery (focus on outputs), there is evaluative evidence of the application of the human rights framework. Beyond a Guidance Note on the interlinked nature of the SDGs and how UNODC can fulfil the UN's commitment to human rights and gender equality in its programmatic work, only a few evaluations report on the successful integration of HRBA at the activity and output level. There remain significant challenges when mainstreaming it into implementation and reporting. The Report of the Executive Director to ECOSOC (United Nations Economic and Social Council) notes that under HIV prevention, treatment and care, UNODC continues to promote human-rights based, public-health focused and gender-responsive HIV prevention, treatment and care for people who use drugs and people in prisons. Indeed, in the final section on challenges, the 2018 UBRAF Performance Monitoring Report states, "Harm reduction services, including NSP (needle and syringe programmes) and OST (opioid substitution therapy), must be implemented more widely. UNODC and other Cosponsors will continue to engage in evidence-informed dialogues on HIV, drug policies and human rights with national policymakers, public health authorities, law enforcement agencies and judiciaries, and civil society organisations. The focus will be on finding ways to ensure adoption and implementation of drug use policies that protect people's right to HIV-related health care, including in prisons and other closed settings." Projects such as Strengthening Anti-Corruption Institutions in Indonesia have contributed, through training on the promotion and protection of human rights, to the need to reinforce due process in all aspects of the prevention and prosecution of corruption. The evaluation of the Global Programme for the Implementation of the Doha Declaration: towards the promotion of a culture of lawfulness reports, "The human rights framework is thoroughly referenced, and permeates through all components, but there are areas where a greater focus in implementation would respond more effectively to design intentions, and where greater emphasis on specific human rights outcomes in reporting would be of benefit."	19, 65, 70, 93, 139, 141

Other examples of evaluations which report the successful integration of HRBA at the activity and output level and challenges when mainstreaming it into implementation and reporting are as follows: • The Final independent project evaluation of Strengthening Anti-Corruption Institutions in Indonesia finds, "The project did not explicitly use a rights-based approach, but it did integrate – for example in training curricula – relevant references to non-discrimination, accountability, transparency and the rule of law. The project appears to have contributed to the promotion and protection of human rights by highlighting in training the need to reinforce due process in all aspects of the prevention and prosecution of corruption. The project, by building the capacity of civil society organisations (CSOs) to address corruption, contributed to enhancing citizens' involvement in the fight against corruption and in the process of keeping the government accountable." • The mid-term independent Project Evaluation of the Global Programme for the Implementation of the Doha Declaration: towards the promotion of a culture of lawfulness reports, "The Programme sets out to support effective, fair, humane and accountable criminal justice systems and to promote the human rights and fundamental freedoms for all, in particular for those affected by crime, and those who may be in contact with the criminal justice system. The human rights framework is thoroughly referenced, and permeates through all components, but there are areas where a greater focus in implementation would respond more effectively to design intentions, and where greater emphasis on specific human rights outcomes in reporting would be of benefit." • The Independent In-depth cluster evaluation of Global research projects of the Research and Trend Analysis Branch 2011-2017 states that "interviewed stakeholders and documentation recognise the important role that UNODC has to play to advance gender equality and women's empowerment and to ensure 'no one is left behind'. Nevertheless, as detailed later in this report, HRG mainstreaming is only at an early stage and can only progress … While highly relevant to promoting gender equality, women's empowerment and human rights, HRG were not sufficiently embedded within the design of the projects and the thematic programme, limiting the focused and systematic operationalisation of HRG in the programming cycle." • The Mid-term Independent Project Evaluation: Sustainable Livelihoods and Development in Myanmar 2014-2019 finds, "Even if the SP does not have a HR mainstreaming strategy in place, there have been some positive results in this area related to property rights and to a decrease of unrest in the targeted areas due to the presence and monitoring of UNODC." The in-depth mid-term cluster evaluation of the Global Programme against Trafficking in Persons and the Global Programme against Smuggling of Migrants hints at an underlying issue/tension – how UNODC manages the competing demands of work primarily in the field of peace and security with those of a development agency. It states, "UNODC is still positioned and seen as such by its counterparts as a criminal law focused partner with expertise on criminal law focused instruments that are the Protocols. At this level, the evaluation finds that a HRBA is not systematically applied in both programmes and specific analysis, indicators, expertise, capacities, resources and strategic human rights related partners (mainly, strengthened partnership with human rights organisations) need improvement."	19, 65, 70, 93, 139, 141
MI 9.7 Evidence confidence	**High confidence**

KPI 10: Interventions are relevant to the needs and priorities of partner countries and beneficiaries, and the organisation works towards results in areas within its mandate	KPI score
Satisfactory	3.33

Overall, the evaluative evidence suggests mixed performance. The tension between UNODC's centralised and decentralised operations explains the mixed performance reported under this KPI. UNODC's overall mandate seeks to address diverse expectations simultaneously (through normative, analytical, technical and operational work) in very mixed target groups. It is common for these needs and target groups to be transnational and/or in highly sensitive and political contexts. While UNODC's regional and country programmes are highly aligned to the needs of target groups, there is little evaluative evidence that global programmes and thematic programmes meet specific target groups' needs. Crucially, there is no systematic approach to align, integrate and verify all interventions in one country, one region or one project with target groups' needs. The absence of this and the pressure of scarce funding sources result in parallel and fragmented/siloed programming.

Evaluative evidence strongly endorses how highly relevant and critical UNODC's mandate is. However, there is also evidence that UNODC could align more closely to needs in order to deliver more effectively. UNODC contributes to national and regional strategic objectives. It also contributes to meeting global objectives on criminal justice, peace and security, as well as development (through the SDGs).

UNODC's mandate is highly relevant to member states and counterparts and, at the output level, there is evaluative evidence that it delivers as part of a coherent response in country and/or at the regional level. However, crucially, because there is no systematic approach to align, integrate and verify all interventions internally in UNODC (as expressed above), there is limited evaluative evidence at the outcome level of how it delivers (see KPI 9) and of the coherence of the response beyond output level. Its alignment with high-level priorities is difficult. Its operational and normative work is highly aligned to member state and counterpart priorities.

MI 10.1: Interventions assessed as having responded to the needs/priorities of target groups	Score
MI rating	Satisfactory
MI score	3
MI 10.1 Analysis	**Source document**
Overall, the evaluative evidence available to assess whether interventions respond to the needs and priorities of target groups suggests mixed performance. The tension between UNODC's centralised and decentralised operations influence performance against this KPI. UNODC's overall mandate seeks to address diverse expectations simultaneously (through normative, analytical, technical and operational work) in very mixed target groups. It is common for these needs and target groups to be transnational and/or in highly sensitive and political contexts. While UNODC's regional and country programmes are highly aligned to the needs of target groups, there is only some evaluative evidence that global programmes and thematic programmes meet specific target groups' needs. Crucially, there is no systematic approach to align, integrate and verify all interventions in one country, one region or one project with a target group's needs. The absence of this and the pressure of scarce funding sources result in parallel and fragmented/siloed programming. Evaluations report significant relevance of interventions to the needs of counterparts and member states but also highlight where nuanced differences in needs are not met. • The Independent In-depth cluster evaluation of Global research projects of the Research and Trend Analysis Branch 2011-2017 states, "The objectives of the thematic programme are consistent with UNODC's strategic mandates and are well-aligned with the priorities and expectations of most Member States and targeted beneficiaries. Within the limits of its own	70, 92, 94, 125, 135, 139, 141, 143, 150, 151

mandates and resources, the research cluster constitutes a reference of global knowledge on drugs and crime and has been fairly flexible in responding to evolving needs and new threats. Nevertheless, the thematic programme appears at the same time too ambitious for some and too modest for others to be fully relevant to all target groups." […] "Taking into account the challenges related to UNODC's mixed audience and diverse expectations existing across its different target groups, the evaluation nevertheless found some important limitations and gaps in the thematic programme outputs, i.e. in terms of geographical coverage, regional and national context analysis, explored themes, qualitative data and programmatic relevance. • The Cluster Evaluation of Law Enforcement and Border Control in Central Asia (2018) states, "UNODC's regional office and staff took an inclusive approach to the design of the Sub-programme, engaging a range of national counterparts in working groups on the priorities and design of the Programme for Central Asia and on the Sub-programme. (UNODC 2018:30) … There is significant relevance to counterparts (both beneficiary agencies/ countries and donors) in the design and focus of all initiatives. The Sub-programme gives clear consideration to global and regional policy and priority frameworks and supports law enforcement agencies in Central Asia." • The independent final evaluation of the Global Programme Looking Beyond: towards a stronger partnership with Civil Society Organisations on Drugs and Crime reports that the multi-stakeholder training workshops for civil society and member states provided under the anti-corruption component were relevant and valid in meeting "stakeholders' needs, particularly due to UNODC expertise, role and 'neutral' convening power. The project also continues to be relevant in addressing the persisting challenges for CSOs, including the perceived instrumentalisation of CSOs for political purposes, the lack of technical expertise on UNCAC, and the high fluctuation among CSO staff." Two evaluations indicate there was insufficient consultation with local stakeholders. • The Mid-term Independent Project Evaluation: Sustainable Livelihoods and Development in Myanmar 2014-2019 finds, "Stakeholders consulted, and the specialised literature, suggested that the entire co-operative model, not controlled by the government, is culturally alien to the Southeast Asian context and therefore carries great risks. A successful implementation of it will mean transforming the way in which decisions are taken in business contexts … Despite these cultural risks, the general co-operative approach (passionately shared by UNODC international staff and by Malongo) was not adequately based on consultations with the local institutions, staff or beneficiaries … Therefore, the evaluation found little understanding or buy-in from the Myanmar nationals involved in the UNODC intervention, including members of Green Gold themselves. In general, the applicability of the approach was assumed uncritically, and so far, no other alternatives have been contemplated, not even as a plan B." • The Independent mid-term In-depth Evaluation of the UNODC Country Programme for the Islamic Republic of Iran (2011-2014) concludes that "[t]he Country Programme is very relevant to the needs of Iran, as the country is critically affected by illicit drug trafficking and use, and there is strong political commitment. Whilst the needs of primary stakeholders, people vulnerable to drug use and/or trafficking, guide the Country Programme and sub-programmes, their participation in needs assessment and planning is not evident. A formal problem assessment or situation analysis has not been undertaken to develop the Country Programme. There is no evidence of a national drug control strategy (only a national drug prevention strategy), or a national anti-corruption strategy, which could have formed the basis of the UNODC technical cooperation strategy … Finally, the evaluation team noted several complaints about the relevance of specific training programmes to the needs of participants, especially in Sub-programme 3."	70, 92, 94, 125, 135, 139, 141, 143, 150, 151

As a hybrid organisation, UNODC responds directly to the requests of member states for technical advice and support on areas relating to the ratification and implementation of the UNCAC and the UNTOC as well as General Assembly agreements. In these circumstances, UNODC's interventions are highly responsive to needs, e.g. delivering on a specific request from a member state or delivering in partnership with government counterparts (Colombian and South East Asia programmes). UNODC also delivers technical and operational projects and programmes, as well as conducting research. Projects and programmes can be run centrally (from headquarters) or from the field. Regional and country programmes are designed in conjunction with member states and are based on national strategies. Regional programmes and country programmes refer to the SDGs, UNDAFS and the One UN approach. These are delivered from the field. Headquarters runs global programmes (GPs) and thematic programmes (TPs) with various lifespans, implemented in different regions and countries. The absence of a systematic UNODC planning phase means that GPs and TPs are not necessarily aligned with regional and country programmes. While GPs are critical to meeting member states' needs and the normative mandate of UNODC, some GPs appear to be baskets of similar projects rather than a programme. As the Draft RBM Peer Review (as of June 2019) states, these GPs seem to have been borne out of administrative needs rather than target groups' needs. GPs appear to be operational vehicles to ensure ongoing support to member states on specific projects. Further, some of the thematic programmes (assumed to be policy-related) "seem to be losing importance, [and] some TPs have expired in 2011 and not been updated since". Based on interview and documentary evidence, this assessment would fully corroborate these points and the conclusion of the Review that "the function of Thematic Programmes is unclear". To this, it would add the elements of GPs that mesh with existing country and regional programming as well as the procedures for design, planning and review of the same. Interviews clearly presented an organisation with an HQ and crime-specific focus (rather than inter-divisional, cross themes). They also indicated and that when this is combined with the pressure of limited hard-earmarked funds, there are instances of parallel programming at the national and regional levels. There is currently no responsibility or formal mechanism in-house for ensuring that needs assessments of global programmes and existing national/regional programming are integrated and verified. The oversight of design and planning in the field is done by the Regional Section. There is a recognition by some that more innovative programming is required to bring expertise together. The TIP/SOM team is restructuring its section to bring together normative and inter-agency work with multiple teams. Evaluations report significant relevance of interventions to the needs of counterparts and member states but also highlight where nuanced differences in needs are not met. On the one hand, they provide examples of meeting need: • The Cluster Evaluation of Law Enforcement and Border Control in Central Asia (2018) states, "UNODC's regional office and staff took an inclusive approach to the design of the Sub-programme, engaging a range of national counterparts in working groups on the priorities and design of the Programme for Central Asia and on the Sub-programme … There is significant relevance to counterparts (both beneficiary agencies/ countries and donors) in the design and focus of all initiatives." • The Independent In-depth cluster evaluation of Global research projects of the Research and Trend Analysis Branch 2011-2017 states, "The objectives of the thematic programme are consistent with UNODC's strategic mandates and are well-aligned with the priorities and expectations of	70, 92, 94, 125, 135, 139, 141, 143, 150, 151

most Member States and targeted beneficiaries." Further, the In-depth Evaluation of the Global Programme against Money Laundering, Proceeds of Crime and the Financing of Terrorism finds that "the project objectives are consistent with UNODC's mandates and global priorities in the area of AML/CFT and that they match the needs of beneficiaries. Further, within the limits of its own mandates and resources, the project has been reasonably flexible in responding to evolving needs and new threats." On the other hand, there is insufficient consultation with local stakeholders: • The Mid-term Independent Project Evaluation: Sustainable Livelihoods and Development in Myanmar 2014-2019 finds, "Stakeholders consulted, and the specialised literature, suggested that the entire cooperative model, not controlled by the government, is culturally alien to the Southeast Asian context and therefore carries great risks. A successful implementation of it will mean transforming the way in which decisions are taken in business contexts … Despite these cultural risks, the general cooperative approach (passionately shared by UNODC international staff and by Malongo) was not adequately based on consultations with the local institutions, staff or beneficiaries … Therefore, the evaluation found little understanding or buy-in from the Myanmar nationals involved in the UNODC intervention, including members of Green Gold themselves. In general, the applicability of the approach was assumed uncritically, and so far, no other alternatives have been contemplated, not even as a plan B." • The Independent mid-term In-depth Evaluation of the UNODC Country Programme for the Islamic Republic of Iran (2011-2014) concludes that "[t]he Country Programme is very relevant to the needs of Iran, as the country is critically affected by illicit drug trafficking and use, and there is strong political commitment. Whilst the needs of primary stakeholders, people vulnerable to drug use and/or trafficking, guide the Country Programme and sub-programmes, their participation in needs assessment and planning is not evident. A formal problem assessment or situation analysis has not been undertaken to develop the Country Programme. There is no evidence of a national drug control strategy (only a national drug prevention strategy), or a national anti-corruption strategy, which could have formed the basis of the UNODC technical cooperation strategy … Finally, the evaluation team noted several complaints about the relevance of specific training programmes to the needs of participants, especially in Sub-programme 3."	70, 92, 94, 125, 135, 139, 141, 143, 150, 151
MI 10.1 Evidence confidence	**High confidence**

MI 10.2: Interventions assessed as having helped contribute to the realisation of national development goals and objectives	**Score**
MI rating	**Highly satisfactory**
MI score	**4**
MI 10.2 Analysis	**Source document**
Evaluative evidence is consistent in its tone concerning the high relevance and critical nature of UNODC's mandate. However, there is evidence that UNODC should better align with needs to deliver more effectively. UNODC contributes to national and regional strategic objectives. It also contributes to meeting global objectives on criminal justice, peace and security, as well as development (through the SDGs). A number of evaluations demonstrate that UNODC contributes to national goals. The Cluster Evaluation of Law Enforcement and Border Control in Central Asia (2018), the Final independent project evaluation of Strengthening Anti-Corruption Institutions in Indonesia, the final independent Project Evaluation of the Nigeria segment of the Global Programme on Strengthening the Legal	42, 65, 92, 93, 94, 70, 139, 141, 146, 150, 151

Regime against Terrorism, the first In-depth mid-term cluster evaluation of the Global Programme against Trafficking in Persons (GLOT59) and the Global Programme Against Smuggling of Migrants (GLOT92) are all strikingly positive about UNODC's contribution. Each evaluation found UNODC's work to be highly relevant, of key importance, consistent with national priorities, and very relevant to meeting the SDGs. The evaluations also highlighted UNODC as a trusted partner. The mid-term independent Project Evaluation of the Global Programme for the Implementation of the Doha Declaration: towards the promotion of a culture of lawfulness, finds that "the Programme is laying the foundation for security, which is now widely recognised as a precondition for sustainable development. UNODC is well placed for this role as a trusted partner of national governments and with national and regional officers on the ground." Other evaluations highlight the need for programmes/interventions to better align technical assistance and/or research need to achieve desired outcomes. • The final In-Depth Evaluation for the regional programme of the Arab States finds that "UNODC's comparative advantage in the region lies in its technical support and expertise. While its relatively small size compared to other UN agencies, it has also been described as being an asset. (Key informants) wished for UNODC training to move beyond general introduction to international best practices, and be more specialised, whilst others (especially counterparts working on border control) challenged the value of training, and would define technical collaboration as providing equipment, as that is the major barrier to interdiction capacity." • The Independent In-depth cluster evaluation of Global research projects of the Research and Trend Analysis Branch 2011-2017 provides examples of how publications have influenced policy changes. However, it also raises the need for "the programme to focus its monitoring efforts on outcomes and impacts rather than activities and outputs. A programme that intends to promote evidence-based policymaking must lead by example." The Professional Peer Review of the Research Function states that UNODC is best placed to gather reliable information and data for member states on topics as sensitive as drugs and crime issues. It is "an indispensable information broker and catalytic institution in developing sold official evidence".	42, 65, 92, 93, 94, 70, 139, 141, 146, 150, 151
MI 10.2 Evidence confidence	**High confidence**

MI 10.3: Results assessed as having been delivered as part of a coherent response to an identified problem	**Score**
MI rating	**Satisfactory**
MI score	**3**
MI 10.3 Analysis	**Source document**
UNODC's mandate is highly relevant to member states and counterparts, and, at the output level, there is evaluative evidence that it delivers as part of a coherent response in country and/or at the regional level. However, crucially, there is no systematic approach to align, integrate and verify all interventions internally in UNODC (as expressed above). There is limited evaluative evidence at the outcome level of how it delivers (see KPI 9), the coherence of the response beyond output level or alignment with high-level priorities is difficult to verify. Its operational and normative work is highly aligned to member state and counterpart priorities. Several evaluations indicate that UNODC delivers its interventions as part of a coherent approach to a problem. For example, the Cluster Evaluation of Law Enforcement and Border Control in Central Asia (2018) evaluated the Programme for Central Asia (2015-19); it finds, "Donors emphasised the relationship between their priorities and those of the Sub-programme, although relevance	41, 42, 54, 92, 94, 139, 141, 144, 151

beyond trafficking in narcotics to the related priorities of terrorism/ threats to regional and global security and human trafficking/ smuggling of migrants was also noted by donors. All current donor representatives found the strategic/ regional framework of the Sub-programme to fit within their own priorities." The final In-Depth Evaluation for the regional programme of the Arab States also finds that "the RP's [regional programme's] objectives were aligned with other regional initiatives such as the Arab Initiative to Combat Human Trafficking launched in 2010; with the UNAIDS regional programmes and projects to support people who inject drugs in prisons as well as with the World Bank Stolen Asset Recovery Initiative (StAR)."

The report of the Executive Director to ECOSOC also mentions the following:

- In June 2018, UNODC launched an integrated strategy for a timely and comprehensive organisation-wide response to the global opioid crisis. Events were held to promote inter-agency co-operation and to propose an international response included in the sixth UNODC-WHO expert consultation.
- UNODC also supports a number of initiatives aimed at strengthening international co-operation based on the principle of common and shared responsibility. These include a subregional Memorandum of Understanding in Central Asia on drug control.
- Law enforcement agencies of Argentina, Bolivia, Brazil, Chile, Paraguay and Peru joined forces to create the Regional Counter-Narcotics Intelligence Centre, a platform supported by UNODC.
- Pursuant to Resolution 27/4 of the Commission on Crime Prevention and Criminal Justice, UNODC continued to co-ordinate the Inter-Agency Coordination Group against Trafficking in Persons. The Office held the first-ever principals-level meeting of the Group in May 2018 and contributed to the Group's issue briefs on the role of the SDGs in combatting trafficking in persons and on trafficking in children. In June 2018, in accordance with General Assembly Resolution 72/195, the Office gave a briefing to member states on the Group's work.
- The Container Control Programme of UNODC and the World Customs Organization supported the 50 participating states in improving trade supply security and strengthening border controls. Since 2004, the 80 national inter-agency targeting units, established through the Programme, have intercepted more than 240 tonnes of cocaine, 6 tonnes of heroin, 70 tonnes of cannabis and 1 700 tonnes of precursors for drugs and explosives.

The first In-depth mid-term cluster evaluation of the Global Programme against Trafficking in Persons (GLOT59) and the Global Programme Against Smuggling of Migrants (GLOT92) confirms, "UNODC's niche as an expert on supporting MS [member states] in responding to TIP and SOM crimes and as best positioned to support MS' legal framework reforms and capacitation on these topics."

Notwithstanding the evidence presented of UNODC's expertise and the relevance of its mandate, a few evaluations indicate the ineffectiveness created by UNODC's micro/crime-specific, projectised focus: highly relevant delivery of outputs that are at the same time only slightly relevant to tackling the outcome-level problem of solving the drug and crime situation in countries. An example is the Independent In-depth cluster evaluation of Global research projects of the Research and Trend Analysis Branch 2011-2017: "Whereas the TPR foresees TA [technical assistance] provision in terms of technical advice on methodology implementation and/or diffusion, most stakeholders equate RAB roles in TA support to national statistic/research capacity-building … These challenges may explain why the survey respondents, who consider the outputs of the thematic programme to be highly relevant to their work, give it a rather low overall grade on relevance to solving the drugs and crime situation in their countries (Table 9). This is especially true in case of TPR's technical advice and training (TA)."

41, 42, 54, 92, 94, 139, 141, 144, 151

The evaluation of Trafficking in Persons and Smuggling of Migrants global programme states a problem that is common to much outcome-level normative work in UNODC and therefore makes it hard to state whether UNODC responds as part of a coherent approach. The absence of outcome-level data means that "[o]verall, normative work is not sufficiently accounted for as part of this monitoring data. Indeed, Human Trafficking and Migrant Smuggling Section (HTMSS) undertakes a great amount of activities but according to the donor's reports template, data was not always monitored and reported on in the same way for technical assistance support and normative work-related activities. Such templates do not help highlight or compile the great amount of normative work conducted under these two programmes as mentioned above. As a result, HTMSS' workload on normative related activities is not properly quantified and cannot be effectively communicated to donors."	41, 42, 54, 92, 94, 139, 141, 144, 151
MI 10.3 Evidence confidence	**High confidence**

KPI 11: Results are delivered efficiently	**KPI score**
Unsatisfactory	**2.00**

While financial sustainability has improved overall, only a few evaluations present evidence of value for money and general satisfaction in terms of project efficiency. For example, the Final independent project evaluation of Strengthening Anti-Corruption Institutions in Indonesia states, "The project represented good value for money, and made good use of UNODC's added value as UNCAC custodian." Behind these headlines are a greater number of evaluations which point to difficulties in accessing the management information necessary to conduct more detailed analyses and inefficiencies in terms of portfolio management at the country and regional levels. Several evaluations also identify inefficiencies in relation to programme design and management and the lack of a regular budget for normative functions. For example, the first In-depth mid-term cluster evaluation of the Global Programme against Trafficking in Persons and the Global Programme Against Smuggling of Migrants states, "Since their respective inception in 2008 and 2010, over 220 activities were implemented in 85 countries and reached 120 countries through national and regional workshops. This figure of 220 activities does not, however, include normative related activities implemented by HTMSS … HTMSS carries out many normative activities under both programmes' logframes due to the inadequate level of Regular Budget resources allocated by the General Assembly to UNODC for its work on TIP and SOM (no position on SOM and only two positions on TIP for the entire UNODC are funded). UNODC is obliged to rely on extra-budgetary resources to perform normative functions."

The evaluation further notes that "65% of the budget disbursements were dedicated to staff/personnel developing normative and policy tools, as well as delivering technical assistance (TA) to MS. The budgets are not divided according to outputs nor outcomes, which makes it difficult to assess the efficiency of the budget's disbursement and understand the budget's management. However, based on the number of activities implemented … 71% of activities were capacity building (training workshops and training of trainers) and 17% legislative assistance."

There is a little evaluative evidence of timely implementation: evaluations report inefficiencies in co-ordination, procurement of goods and services, and budget allocation, all of which have an impact on timely delivery. The MOPAN assessment timeframe covers the implementation of the financial accounting element of Umoja in UNODC. There were several difficulties associated with moving to this new platform that affected project efficiency and delivery in late 2015/early 2016. UNODC now runs two systems: ProFi (due to cease in Dec 2019), its in-house workflow management system that co-ordinates the management of donor funding, and Umoja, which complies with all financial accounting standards.

MI 11.1: Interventions assessed as resource/cost-efficient	**Score**
MI rating	**Unsatisfactory**
MI score	**2**

MI 11.1 Analysis	Source document
While financial sustainability has improved overall, only a few evaluations present evidence of value for money and general satisfaction in terms of project efficiency. Behind these headlines are a greater number of evaluations which point to difficulties in accessing the management information necessary to conduct more detailed analyses and inefficiencies in terms of portfolio management at the country and regional levels. Several evaluations also identify inefficiencies in relation to programme design and management and the lack of a regular budget for normative functions. **Several evaluations find evidence that interventions are resource- and cost-efficient**: the independent final evaluation of the Global Programme Looking Beyond: towards a stronger partnership with Civil Society Organisations on Drugs and Crime, the Final independent project evaluation of Strengthening Anti-Corruption Institutions in Indonesia, the final independent Project Evaluation of the Nigeria segment of the Global Programme on Strengthening the Legal Regime against Terrorism and the Independent In-depth evaluation of the Global Maritime Crime Programme. This last evaluation of a flagship programme of UNODC goes further and highlights the efficient management practices of doing a continuous risk assessment and actively managing the risk register. • The independent final evaluation of the Global Programme Looking Beyond: towards a stronger partnership with Civil Society Organisations on Drugs and Crime finds, "In terms of efficiency, the relationship of resources and overall results achieved can be considered appropriate and justifiable." • The Final independent project evaluation of Strengthening Anti-Corruption Institutions in Indonesia states, "The project represented good value for money, and made good use of UNODC's added value as UNCAC custodian." • The final independent Project Evaluation of the Nigeria segment of the Global Programme on Strengthening the Legal Regime against Terrorism finds, "The project is efficient, in the sense that it represents appropriate value for money – activities and outputs were consistent with the financial and human resources available to the project – and in terms of project management." • The Mid-term independent project evaluation of the UNODC Sahel Programme (2013-2019) reports that "the SP [Sahel Programme] was greatly praised by all interviewees due to its success in raising large funds, but also to have established internal mechanisms for increasing the coordination and exchange between the thematic experts and the SP Coordination Team (CT)". • The Independent In-depth evaluation of the Global Maritime Crime Programme finds, "In general the GMCP is run efficiently and certainly the majority of the elements of efficiency that remain within the sole and direct control of the GMCP Team are efficiently managed. This includes the financial management of the GP within UNON [the United Nations Office at Nairobi] and the general administration of the sub-programmes and projects through efficient management review including the use of continuous risk assessment and the maintenance of the risk register." **But evaluations also consistently raise the implications for efficiency when core funding is scarce: teams are reliant on extrabudgetary, hard-earmarked funds**. Furthermore, evaluations find that making judgements on efficiency is difficult because, in many instances, the management information necessary is absent and/or not related to intended outputs or outcomes. In addition, some evaluations identify inefficiencies in relation to programme design and management. This problem becomes compounded by UNODC's weak approach to RBM (see KPI 7) and a	41, 42, 45, 65, 70, 92, 93, 94, 125, 139, 141, 146, 150, 151

compartmentalised (crime-based) approach to programming. For example, in South-East Asia here are ten programmes that help the government crime by crime. Interviewees suggested that the government does not work like this. UNODC is hindered by a lack of integration across divisions, units and branches. The result is a very fragmented approach driven by the demands of each crime. UNODC is not well-positioned to take advantage of potential efficiencies that better co-ordination between interventions (across divisions/branches and subprogrammes) and cost-sharing would deliver. There is a culture of working in silos. Interviews indicate that staff are aware of it and see it as sub-optimal. The Terrorism Prevention Branch is currently restructuring a global programme to break down regional divides and integrate thematic experts. The final In-Depth Evaluation for the regional programme of the Arab States finds that "UNODC HQ's institutional financial stability is reliant on external donors at 90% with an average of 10% of regular budget. ROMENA is at 90.9 % funded on voluntary contributions. As a result, it is difficult for UNODC offices (HQ, Programme/Project, regional) to integrate long-term sustainable strategies within their projects and regional programming … Combined to the introduction of Full Cost Recovery in UNODC's budgets, the fundraising process for the RP [regional programme] had become more challenging." The first In-depth mid-term cluster evaluation of the Global Programme against Trafficking in Persons (GLOT59) and the Global Programme Against Smuggling of Migrants (GLOT92) states, "HTMSS carries out many normative activities under both programmes' logframes due to the inadequate level of Regular Budget resources allocated by the General Assembly to UNODC for its work on TIP and SOM (no position on SOM and only two positions on TIP for the entire UNODC are funded). UNODC is obliged to rely on extra-budgetary resources to perform normative functions." The Central Asia programme does not mention the Regional Programme for Afghanistan and Neighbouring Countries or the other Sub-programmes of the Programme for Central Asia (2015-19). The evaluation finds this to be a "significant omission from the perspective of the evaluation … Given their joint focus on transnational organised crime and drug trafficking, to some stakeholders and donors it is not particularly clear the difference between the programmes, nor why they operate as separate initiatives. Adding to the confusion, and difficulty, is the cost-shared position of law enforcement experts."	41, 42, 45, 65, 70, 92, 93, 94, 125, 139, 141, 146, 150, 151
MI 11.1 Evidence confidence	**High confidence**

MI 11.2: Implementation and results assessed as having been achieved on time (given the context, in the case of humanitarian programming)	**Score**
MI rating	**Unsatisfactory**
MI score	**2**
MI 11.2 Analysis	**Source document**
There is a little evaluative evidence of timely implementation. In the main, evaluations report inefficiencies in co-ordination, procurement of goods and services, and budget allocation, all of which affect timely delivery. The MOPAN assessment timeframe covers the implementation of the financial accounting element of Umoja in UNODC. There were several difficulties associated with moving to this new platform that affected project efficiency and delivery in late 2015/early 2016. UNODC now runs two systems: ProFi (due to cease in Dec 2019), its in-house workflow management system that co-ordinates the management of donor funding, and Umoja, which complies with all financial accounting standards.	41, 94, 125, 139, 141, 150, 151

There is little evaluative evidence of timely implementation. The majority of the evaluations report inefficiencies in co-ordination and budget allocation, which affect timely delivery. The Independent In-depth cluster evaluation of Global research projects of the Research and Trend Analysis Branch 2011-2017 finds, "The annual expenditure of the five projects in the TPR has varied widely from around USD 0.5 million in 2011 to USD 3.3 million in 2014, with an average of USD 2.2 million over this period. TPR has generally been efficient at utilising its budget allocations. Although not all planned outputs were delivered on time, no cost over-runs were reported … That said, several opportunities for increased efficiency exist. The Independent mid-term In-depth Evaluation of the UNODC Country Programme for the Islamic Republic of Iran (2011-2014) reports, "Timeliness is a major challenge and source of inefficiency for the Country Programme." Similarly the first In-depth mid-term cluster evaluation of the Global Programme against Trafficking in Persons (GLOT59) and the Global Programme Against Smuggling of Migrants (GLOT92) states, "The evaluation assessed the level of efforts needed to fulfil both programmes' agendas and concluded that time and human resources management could be improved through a closer coordination between HTMSS, regional desks at headquarters and field offices to leverage each other's comparative skills and encourage cross sectorial programming to avoid duplication of activities amongst them … Cost-sharing amongst programmes is common place at UNODC at large and is also implemented across HTMSS in order to implement activities or cover staff positions in line with donor requirements." The implementation of Umoja is referenced in a few evaluations as temporarily affecting efficiency. The first In-depth mid-term cluster evaluation of the Global Programme against Trafficking in Persons (GLOT59) and the Global Programme Against Smuggling of Migrants (GLOT92) states that Umoja — "the new financial and operating system across UN secretariat agencies — caused many delays in implementing activities due to financial transactions adjournments. However, the positive side of Umoja is that the financial reporting connects outputs to disbursements and should allow the summative final evaluation for these two programmes [to] draw clear cost-benefit and cost-workload ratios for each output." Efficiencies in terms of procurement of goods and services are also raised in evaluations. The Independent In-depth evaluation of the Global Maritime Crime Programme finds that "there is one area where some stakeholders, most notably but not exclusively external stakeholders, elaborated some concerns regarding efficiency. This mirrors a similar outcome from the CPP [Counter Piracy Programme] evaluation. The length of time it takes to procure equipment and services is a major limiting factor in the efficiency of the programme."	41, 94, 125, 139, 141, 150, 151
MI 11.2 Evidence confidence	**High confidence**

KPI 12: Results are sustainable	**KPI score**
Satisfactory	**3.00**

The evidence on whether results are sustainable is mixed. There are strong indications of sustainability from evaluations – with evidence of legislative and policy changes as well as Memorandums of Understanding which demonstrate ownership at the national level. But in these same evaluations, sustainability is raised as an area of concern. The major concern is in relation to the shortage of funds, the reduction to regular and general purpose budget, and/or the dependence on donors who prefer hard earmarking. It is difficult for UNODC offices to integrate long-term sustainable strategies within their projects and regional programming in this context.

Further, UNODC is the preferred supplier of services (given its unique mandate) to many counterparts and agencies and, in many cases, the interventions build sustainable institutional capacity. However, the institutionalisation of policies, regulations and legislation requires sustainable capacity development by UNODC over the medium to long term. The ability to deliver this is dependent on flexible financial support (through regular budget and extrabudgetary support) from member states. The high degree of hard earmarking across UNODC's portfolio impacts on the ability of Secretariats, sections and branches to provide this support.

To a great extent, UNODC's five conventions on drugs, corruption and organised crime plus the relevant General Assembly resolutions and its custodian role for several SDG indicators strengthens the enabling environment for development. All of UNODC's units and sections are clear about how their expected results (from the superseded biennial strategic framework) map on to the SDGs and the broader 2030 Agenda. However, interviews clearly pointed to a central tension present in UNODC about how it articulates its role in relation to sustainable development.

MI 12.1: Benefits assessed as continuing or likely to continue after project programme completion or there are effective measures to link the humanitarian relief operations to recovery, to resilience and eventually to longer-term developmental results	**Score**
MI rating	**Satisfactory**
MI score	**3**
MI 12.1 Analysis	**Source document**
On the one hand, there are strong indications of sustainability from evaluations, e.g. legislative and policy changes as well as Memorandums of Understanding which demonstrate ownership at the national level. On the other hand, sustainability is an area of concern in the same evaluations. The major concern is in relation to the shortage of funds, the reduction to regular and general purpose budget, and/or the dependence on donors who prefer hard earmarking. It is difficult for UNODC offices to integrate long-term sustainable strategies within their projects and regional programming in this context. At present, there is no evaluation of the Implementation of the two conventions which govern UNODC. However, as noted in KPI 9, specifically KPI 9.3, UNODC has compiled evidence of implementation against the UNCAC. From UNODC's technical advisory and research support, some evaluations report sustainable results. The Mid-term Independent Project Evaluation: Sustainable Livelihoods and Development in Myanmar 2014-2019 finds that certain outputs developed by the Subprogramme are considered sustainable, like the coffee plantations and the land titles and Community Forest certificates. On the other hand, sustainability is an area of concern in the same evaluations and in others. The major concern is in relation to a shortage of funds and/or dependence on donors. The Mid-term Independent Project Evaluation: Sustainable Livelihoods and Development in Myanmar 2014-2019 remarks, "The sustainability of the [Sub Programme] SP is at present not guaranteed. In the short term, funds are secured only until the end of 2018 for the second strategic objective. Although three donors are seriously considering financing the next phase, it is likely that the SP will face a gap of funding in the first months of 2019. The fact that core positions, such as the Country Manager, depend on the project's funding rather than the UNODC central funding also may affect the sustainability prospects. In the long term, the main concern is that there is no guarantee that the farmers association (Green Gold) will be able to sustain the organisational concept of a regional producer-processing-marketing cooperative."	12, 17, 42, 70, 92, 94, 122, 125, 139, 143, 146, 151, 152

The final In-Depth Evaluation for the regional programme of the Arab States finds that "UNODC HQ's institutional financial stability is reliant on external donors at 90% with an average of 10% of regular budget. ROMENA is at 90.9 % funded on voluntary contributions. As a result, it is difficult for UNODC offices (HQ, PO, Regional) to integrate long-term sustainable strategies within their projects and regional programming." The Independent In-depth cluster evaluation of Global research projects of the Research and Trend Analysis Branch 2011-2017 reports, "Shortage of funds, as well as the reductions to the regular and GP funds, represent the main concern for the sustainability of the projects evaluated (with the exception of the COE in Mexico, in the short to medium-term), and in general for RAB." "COE" is the UNODC/INEGI Center of Excellence for Statistics on Governance, Public Security, Victimization and Justice in Mexico.	12, 17, 42, 70, 92, 94, 122, 125, 139, 143, 146, 151, 152
MI 12.1 Evidence confidence	**High confidence**

MI 12.2: Interventions assessed as having built sufficient institutional and/or community capacity for sustainability, or have been absorbed by government	**Score**
MI rating	**Satisfactory**
MI score	**3**
MI 12.2 Analysis	**Source document**
UNODC is the preferred supplier of services (given its unique mandate) to many counterparts and agencies and, in many cases, the interventions build sustainable institutional capacity. However, the institutionalisation of policies, regulations and legislation requires sustainable capacity development by UNODC over the medium to long term. Evaluative evidence presented earlier under KPI 9 demonstrates that capacity building results are mixed. The level of satisfaction against this MI is eroded by the high degree of hard earmarking across UNODC's portfolio. This impacts on the ability of Convention Secretariats, sections and branches to provide support. The ability to deliver is dependent on flexible financial support (through the regular budget and extrabudgetary support) from member states. As discussed in KPI 9, evaluations report that national capacity building results are mixed. The evaluation-based analysis of good practices in UNODC's approach to capacity building (2017) suggests that results would improve with a corporate-level results framework to bring together all the training under a long-term agreed framework for one country, region, etc. The Independent mid-term In-depth Evaluation of the UNODC Country Programme for the Islamic Republic of Iran (2011-2014) reports improved capacity of counterparts and mixed results at the national level. It states that "it is hard to establish the attribution of the Country Programme to the capacities observed. More importantly, the trade-off of the flexible approach to capacity building is that there appears to be little strategic vision, i.e. prioritisation of topics or beneficiaries, or follow up." It continues, "At outcome level, i.e. improved capacity of national counterparts, evidence of attribution and contribution is hard to establish, which reflects the comparatively modest budget vis-à-vis national investments, but also difficulties of the M&E system to measure capacity, and trends in drug trafficking and service coverage." UNODC's mandate means that it is working towards the institutionalisation of ownership among key stakeholders on various fronts. There is evaluative evidence that, in certain cases, it has contributed to institutional capacity and that outcomes are sustainable. Namely, the Independent mid-term In-depth Evaluation of the UNODC Country Programme for the Islamic Republic of Iran (2011-2014) finds, "Commitment of national counterparts to continue beyond the Programme	17, 18, 21, 29, 30, 35, 40, 80, 86, 92, 94, 125, 139, 150, 151

duration Drug control is a national and international priority for IR [the Islamic Republic] of Iran, and it is very likely that the DCHQ will continue drug supply, demand and harm reduction beyond 2014, or indeed institutionalisation of ownership among key stakeholders". But evaluations also point out the dependence of institutions and governments on UNODC to continue to provide normative support to achieve institutional sustainability. The In-Depth Evaluation of the Global Programme against Money Laundering, Proceeds of Crime and the Financing of Terrorism finds, "The global institutionalization of AML/CFT policies, regulation and legislation entails a need for sustainable AML/CFT provisions. The programme is an important contributor to sustainability, although effectiveness depends on capacity development, which needs continued support. GPML, through its mentorship programme, networks such as ARINSA, Training-of Trainers activities, and work with FIUs is actively contributing to national ownership of AML/CFT frameworks. GPML itself cannot be sustained without continued support, especially as it does not benefit from regular budget contributions. While that is true of UNODC as a whole, GPML in particular is extremely vulnerable to changes in donor priorities, especially the anticipated decrease by the Programme s biggest donor." There is no evidence to demonstrate how UNODC currently prioritises, with the resources it has, which resolutions to act on, which technical assistance to provide, which global programme gets priority in a country and how this fits with the overall national/regional plan/strategy to build sustainable institutional capacity. The focus is at the project output level and not at the portfolio level or indeed at the organisational level (UNODC-wide). This has major implications for the sustainability of results at the institutional level. A couple of evaluations and interviewees also expressed the difficulty of creating sustainable institutions in ever-changing challenging contexts. The Mid-term independent project evaluation of the UNODC Sahel Programme (2013-2019) describes how "[t]he SP was designed to respond to the Sahel countries' crises, where states institutions are fragile, and require a lot of international support. As a result, sustainability of the SP results has to be measured against that highly volatile environment that can overturn reforms or repeal international legal provisions. The SP tries to mitigate lack of sustainability by offering training of trainers (ToTs), by integrating modules in police and judiciary school curricula and by creating regional bodies that are accountable to several states". • The Independent In-depth evaluation of the Global Maritime Crime Programme finds, "Some of the work of the GMCP is, by default, inherently sustainable. For example, when legislative change is supported and enacted this de facto becomes sustained. However, the GMCP in common with many development and capacity building projects and programmes faces challenges in achieving sustainability. Often dependent upon non-UNODC actors to uphold commitments to sustainability it happens that those commitments are not met for a number of reasons all of which are outside the direct influence of the GMCP or UNODC as a whole. Change of government or change in state or other partner organisations personnel and priorities can all lead to support that had been promised to GMCP projects being removed or severely curtailed." (UNODC 2015:16)"	17, 18, 21, 29, 30, 35, 40, 80, 86, 92, 94, 125, 139, 150, 151
MI 12.2 Evidence confidence	**High confidence**

MI 12.3: Interventions assessed as having strengthened the enabling environment for development	Score
MI rating	**Satisfactory**
MI score	**3**
MI 12.3 Analysis	**Source document**
To a great extent, UNODC's five conventions on drugs, corruption and organised crime plus the relevant General Assembly resolutions and its custodian role for SDGs strengthen the enabling environment for development. All of UNODC's units and sections are clear about how their expected results (from the superseded biennial strategic framework) map on to the SDGs and the broader 2030 Agenda. However, interviews clearly pointed to a central tension present in UNODC about how it articulates its role in relation to sustainable development. Strong evaluative evidence was put forward in MIs 9.1 and 9.3, illustrating UNODC's contribution to the wider development context. The example of UNODC's work against Human Trafficking and Migrant Smuggling is an interesting illustration of how UNODC has contributed over many years. The Review of the Implementation of UNCAC (results detailed in 9.3) also demonstrates the strength of UNODC's standard-setting role. Furthermore, the recent OIOS (2019) report highlighted UNODC's role as the thematic lead, a primary SDG support role. The definition states that this entity "leads efforts to ensure that a specific theme is sufficiently incorporated within 2030 Agenda-related work by, for example, leading efforts to mainstream a theme across SDGs or providing thematic support to Member States and other UN entities". However, the report also addresses concerns for all entities that there remains duplication in approaches, gaps and that entities are missing opportunities for creating synergies and harnessing comparative advantages. There is currently no single framework which determines UNODC's impact on the enabling environment at the global level. The most recent Report by the Executive Director to ECOSOC notes the redoubling of efforts to generate new and innovative approaches to supporting member states to implement aspects of the 2030 Agenda for Sustainable Development. New co-operation has been established by UNODC to this end. Further, SPIA updated the projects portal so the member states can see which SDG projects UNODC contributes towards. The new Unite Evaluations package allows reporting of evaluation results against the SDGs. In 2018, UNODC reported back on the implementation of the special session operational recommendations (UNGASS 2016) on the world drug problem. The publication set out examples of programming relevant to the implementation of the outcome document and showed how projects relate to targets under the SDGs. The Report of the Executive Director to ECOSOC strongly affirmed the joint commitment to effectively addressing and countering the world drug problem through the implementation of the operational recommendations. The ministerial segment will be held in 2019, and there is a website on the follow-up to the special session (www.ungass2016.org) which sets out how actions are being implemented. Yet, as a "hybrid organisation" – to cite a term interviewees used – UNODC struggles to consistently articulate its role in relation to strengthening the enabling environment for development**.** UNODC delivers as an Office of the UN Secretariat. As discussed in KPI 1, its mandate straddles criminal justice, peace, security **and** development. The member states decided in mid-2019 that UNODC is not eligible to pay the 1% co-ordination levy for the Resident Coordinator System. Interviews clearly articulated the tension that exists about whether its role is to support or contribute to development. The 2030 Agenda for Sustainable Development states, "[T]here can be no sustainable development without peace and no peace without sustainable development".	6, 17, 18, 21, 30, 54, 64, 70, 86, 92, 94, 107, 118, 122, 125, 129, 135, 141, 150, 151

The Professional Peer Review of the Research Function notes that, in the framework of the SDGs, the 2030 Agenda highlights the relevance of UNODC's global mandates. UNODC actively supported the design of the Agenda and contributed to its contents through the technical support team for the Open Working Group on Sustainable Development Goals and within the framework of the UN System Task Team Working Group on Monitoring and Indicators. UNODC statistics have proved to be highly relevant to monitor global trends related to SDGs 3, 6, 8, 10, 11, 14, 15, and 16, and more specifically to SDG 3.5 (prevention and treatment of substance abuse), SDG 5.2 (violence against women), SDG 11.7 (safe cities), SDG target 15.7 (illegal wildlife products) and SDG 16. The latter identified UNODC as the lead or co-lead agency for compiling 17 statistical indicators, including the number of victims of human trafficking by sex, age and form of exploitation, homicide rate, pre-trial detention, etc. (see Annex 6 of the review). In this context, UNODC has engaged in promising work to improve the coverage of the SDG indicators under its responsibility (for example, the International Classification of Crime for Statistical Purposes, standardisation of victimisation surveys) and develop new methodologies (for example, on firearms trafficking, illicit financial flows, undetected trafficking in persons). Additionally, the two recent World Drug Reports link the world drug problem with sustainable development issues and are very good examples of the innovative character of UNODC and its capacity to contribute to global discussions related to drugs and crime.	6, 17, 18, 21, 30, 54, 64, 70, 86, 92, 94, 107, 118, 122, 125, 129, 135, 141, 150, 151
MI 12.3 Evidence confidence	**High confidence**

Annex 2. List of documents

1. UNODC, *Financial report and audited financial statements for the year ended 31 December 2017 and Report of the Board of Auditors*, New York: United Nations, 2018.
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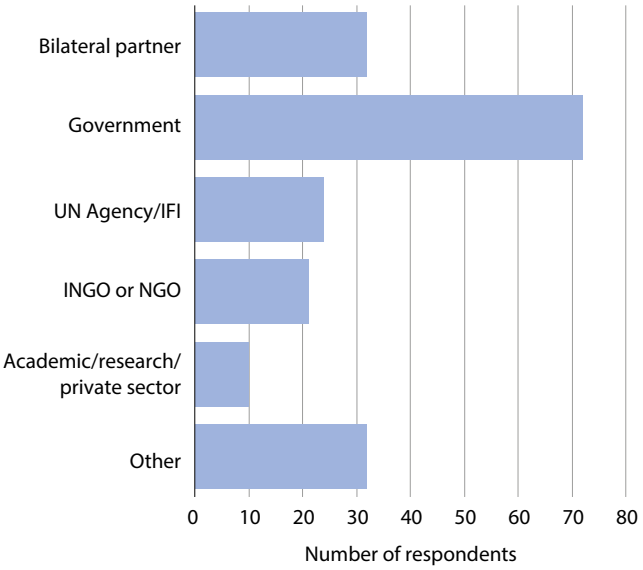
Annex 3. Results of the 2019 MOPAN external partner survey

The online survey was administered by MOPAN and was conducted over a period of 5 weeks, starting on 21 June and closing on 29 July.

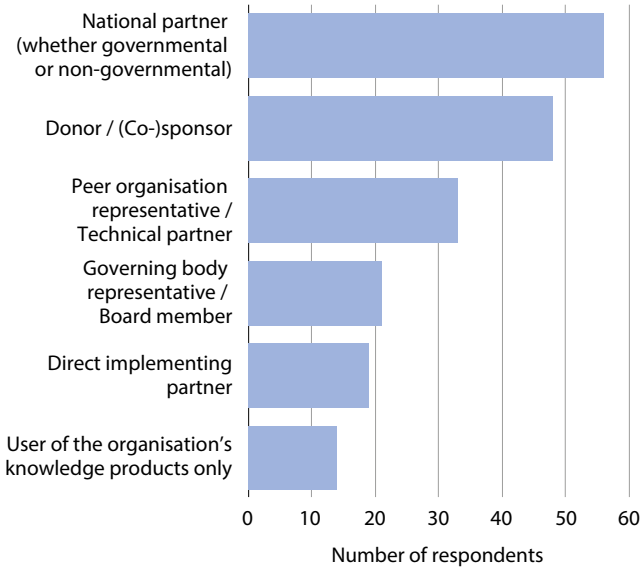
Number of respondents: 191 **Effective sample size:** 659 **Survey response rate:** 29%

Respondent profiles:

Organisation respondents work for:

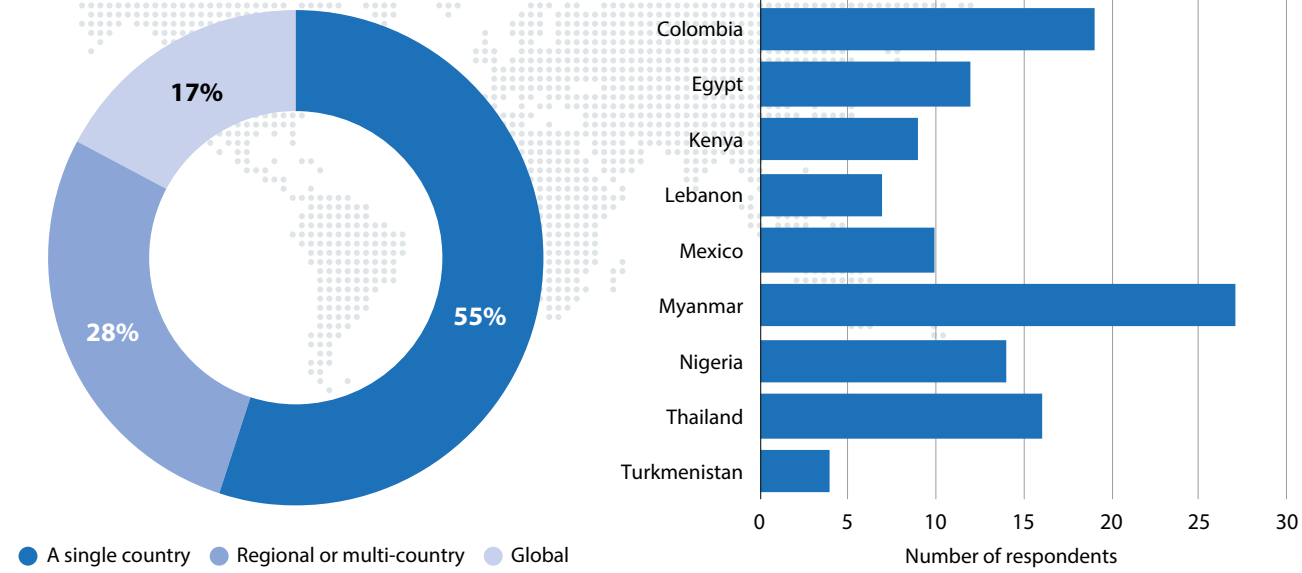


Respondent's primary role vis-à-vis UNODC system:



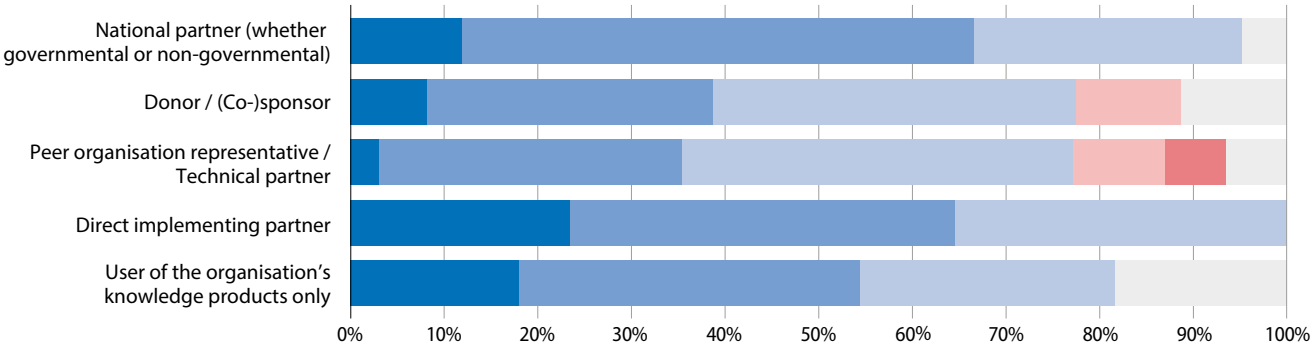
Note: In the question about respondents' role, where multiple responses might be possible, they were instructed to select their **primary role** and to answer all subsequent questions in the survey in line with that answer. For example, if a respondent was both donor and Governing body representative, and selected "donor" in the questions above, their answers to all questions in the rest of the survey would be from that perspective.

Geographical coverage:

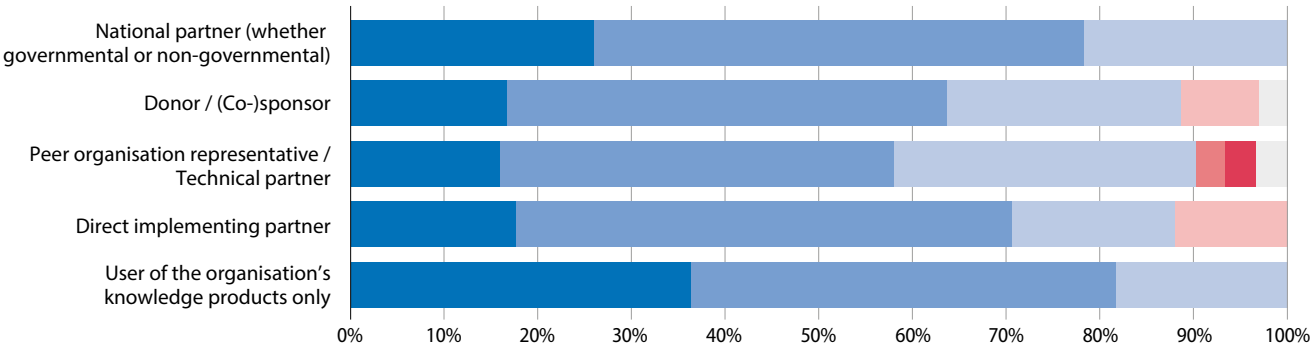


STAFFING

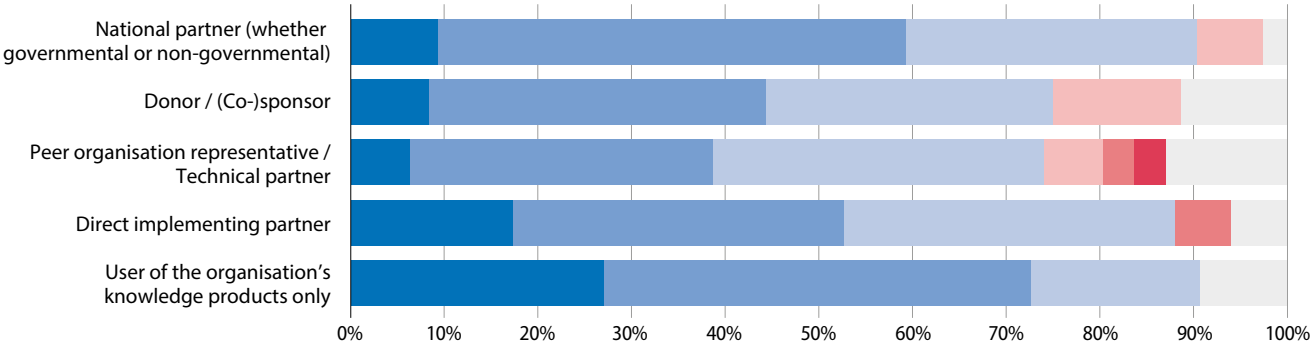
UNODC has sufficient staffing to deliver results



UNODC has sufficiently skilled and experienced staff

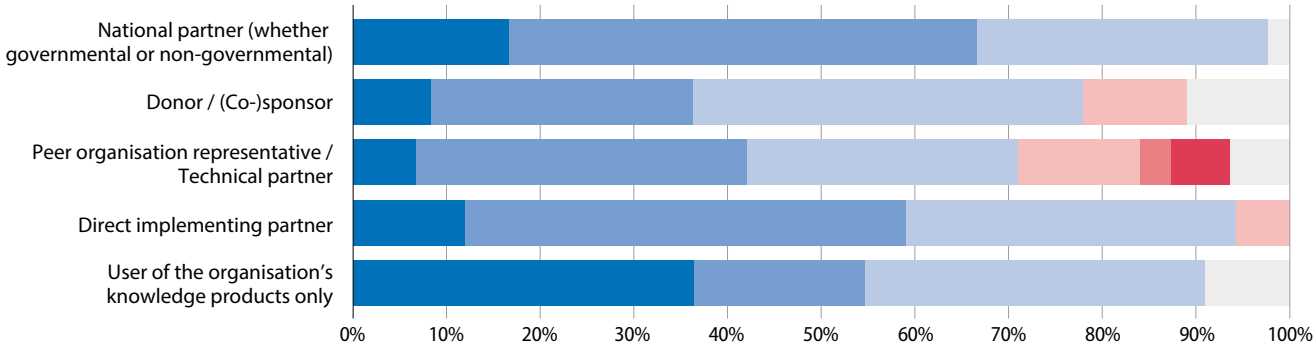


UNODC has sufficient continuity of staff to build relationships



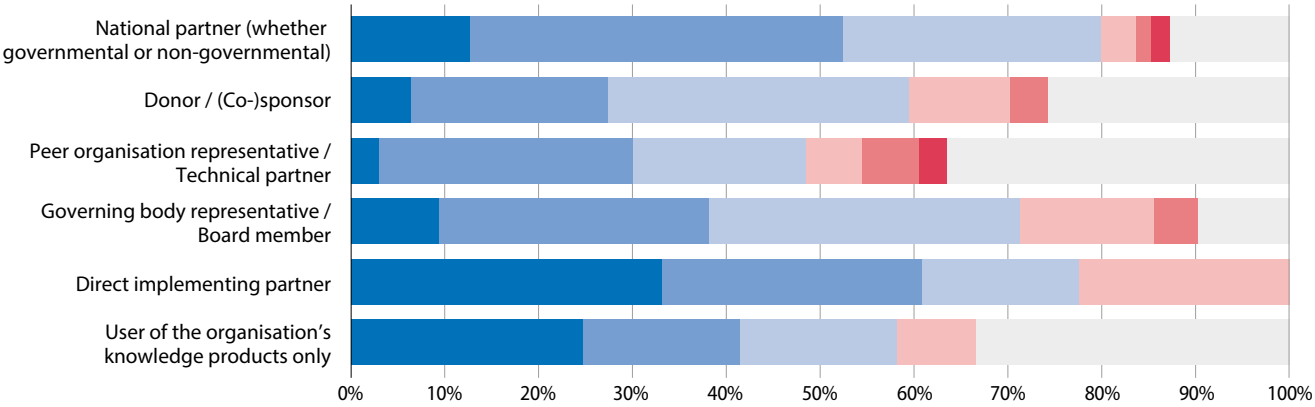
Excellent · Very good · Fairly good · Fairly poor · Very poor · Extremely poor · Don't know / No opinion

UNODC staff can make critical strategic and programming decisions locally

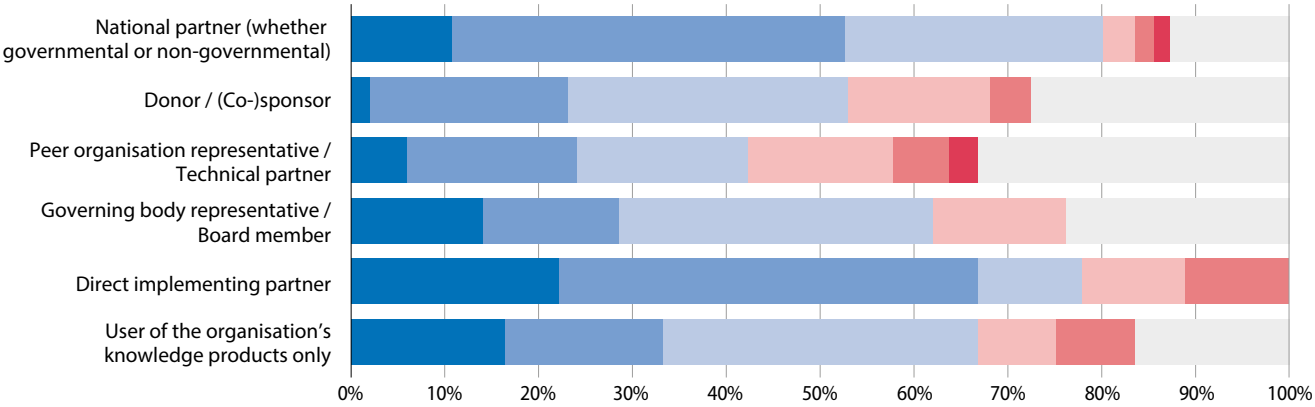


MANAGING FINANCIAL RESOURCES

UNODC provides transparent criteria for financial resource allocation

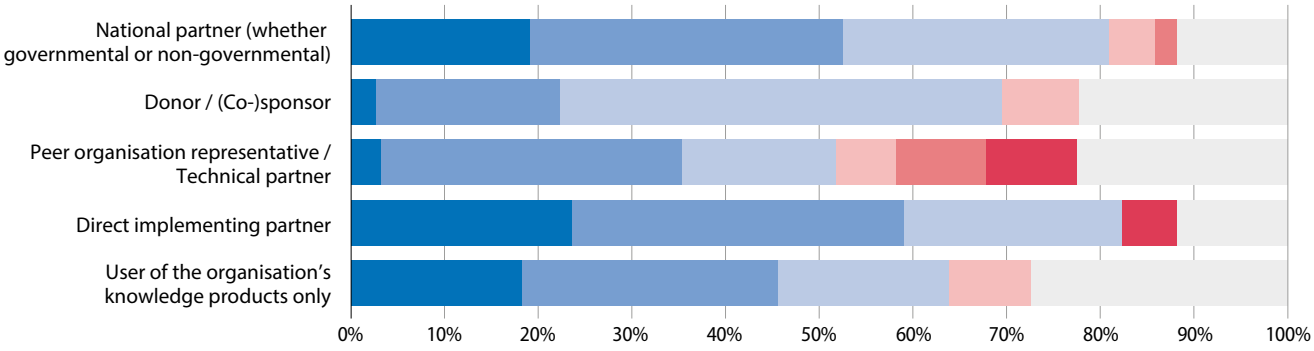


UNODC provides predictable financial allocations, disbursements and payments

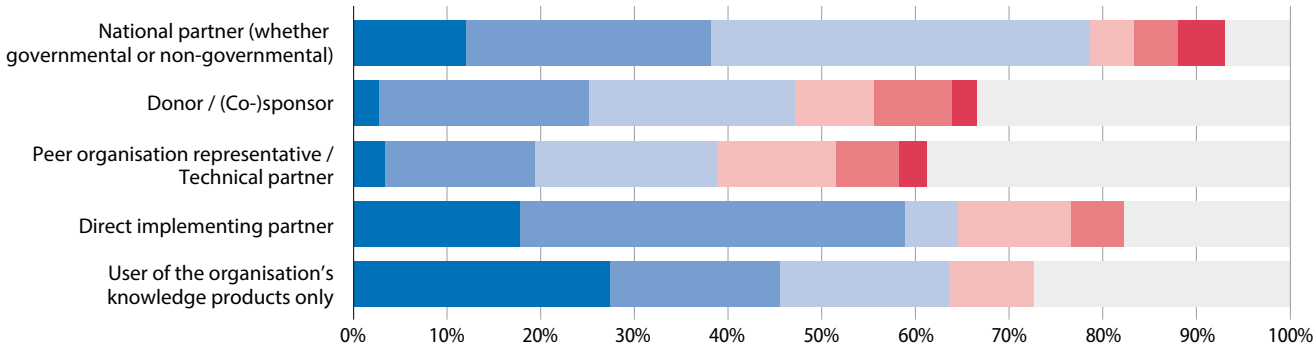


Excellent | Very good | Fairly good | Fairly poor | Very poor | Extremely poor | Don't know / No opinion

UNODC financial cooperation is coherent/not fragmented

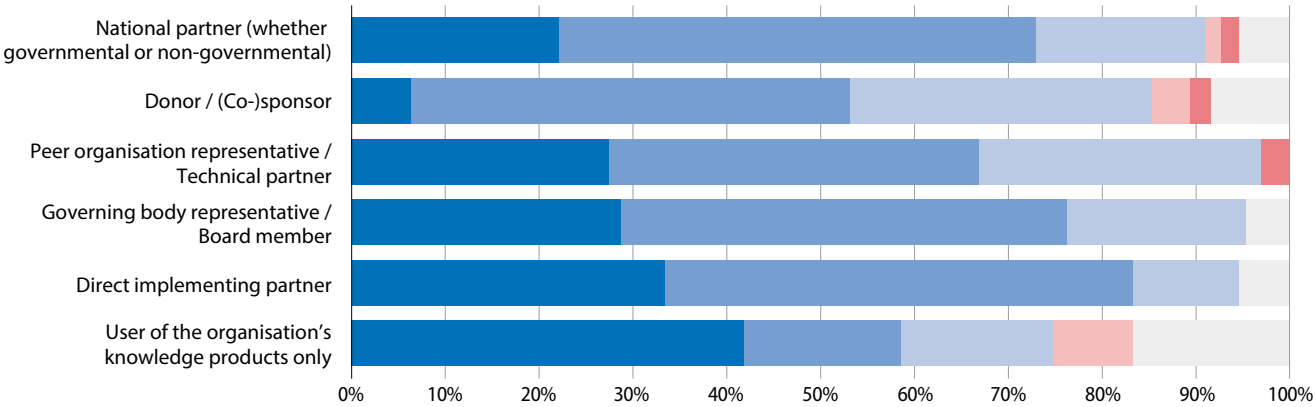


UNODC has flexible resources



INTERVENTIONS (PROGRAMMES, PROJECTS, NORMATIVE WORK)

UNODC interventions fit national programmes and results of partner countries



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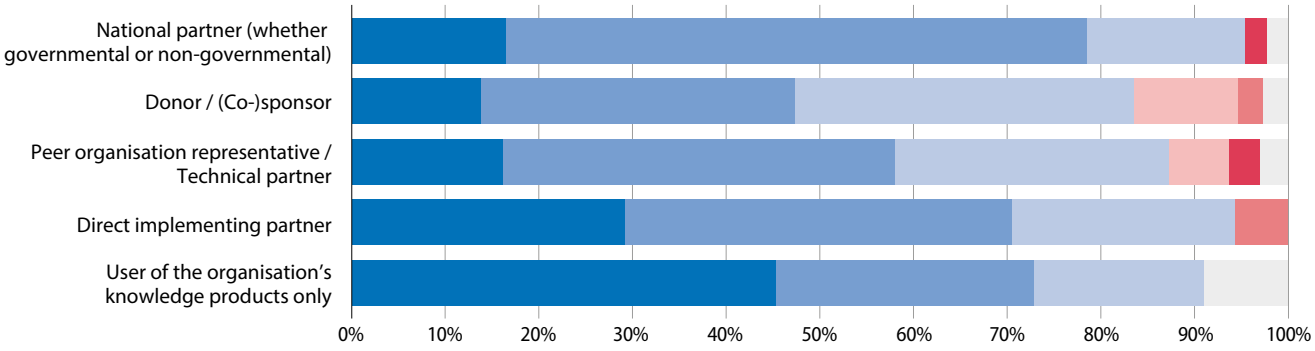
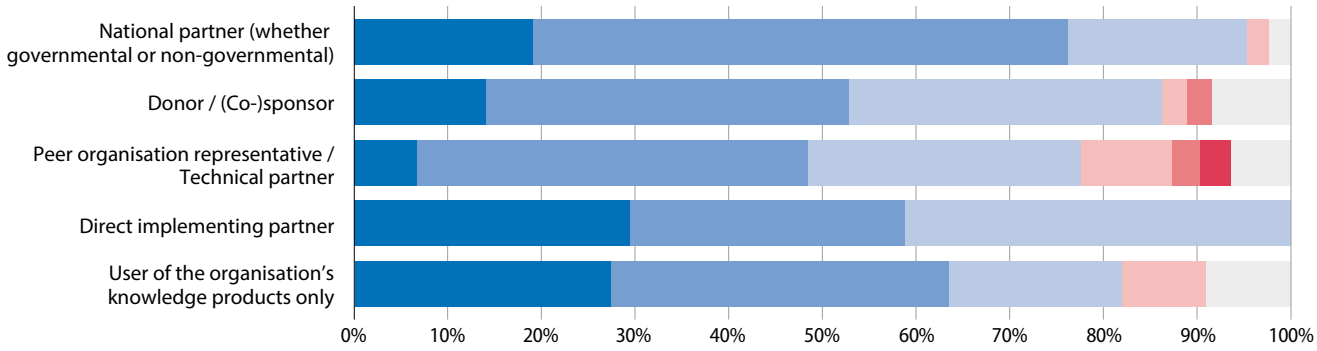
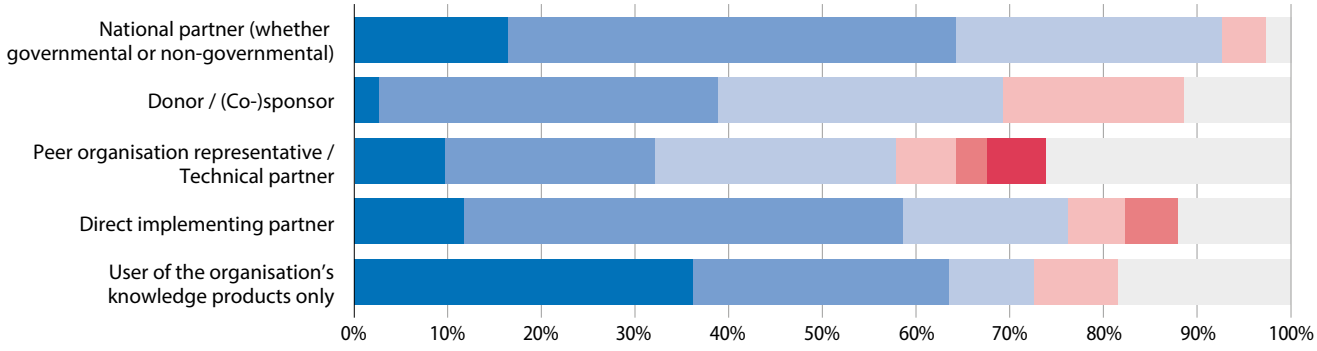
UNODC interventions are tailored to the needs of the local context



UNODC has a clear understanding of its comparative advantage



UNODC is adaptive to changes in context



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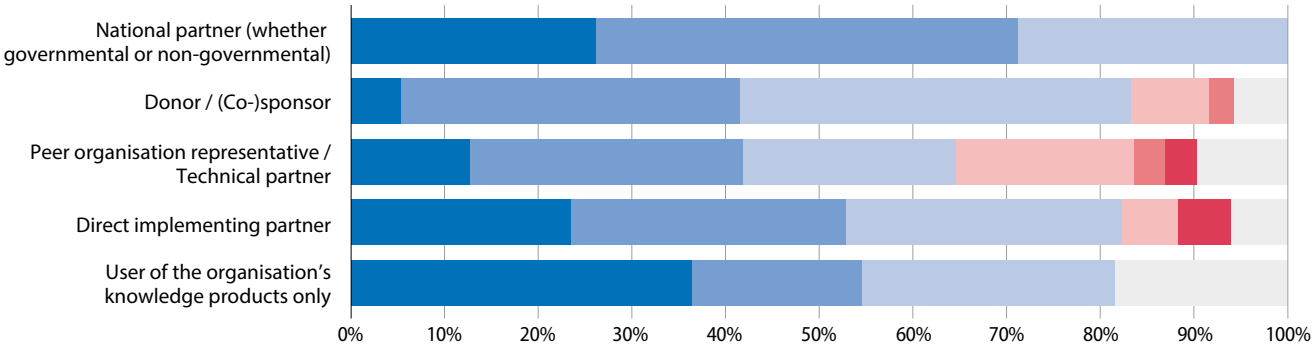
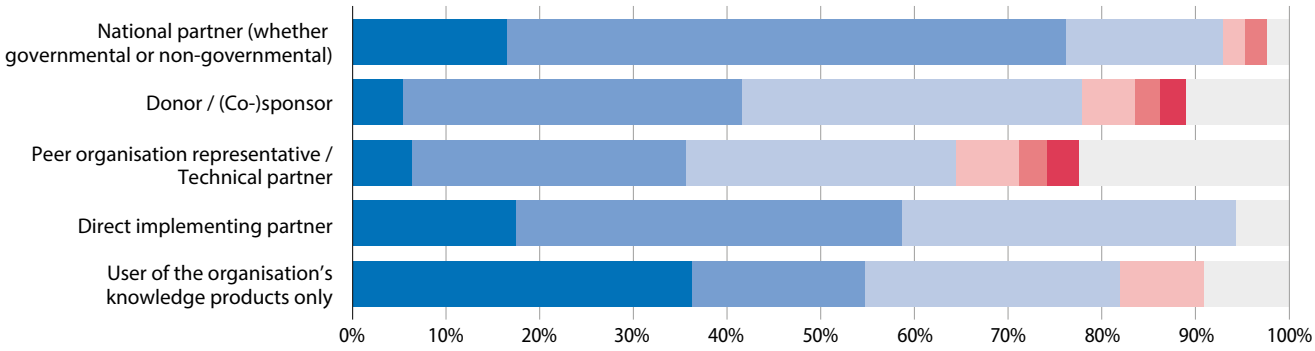
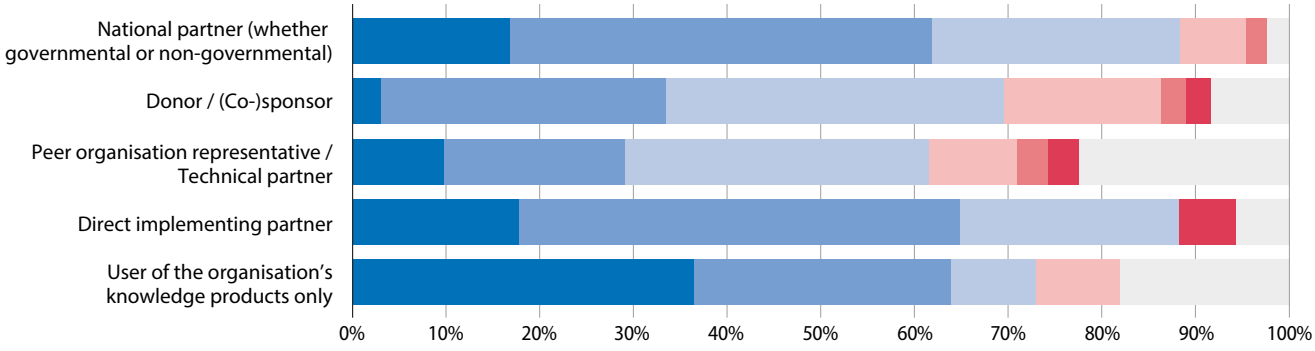
UNODC is realistic in its assessment of national/regional capacities



UNODC appropriately manages risk in a given context



UNODC interventions are implemented to sustain impact over time



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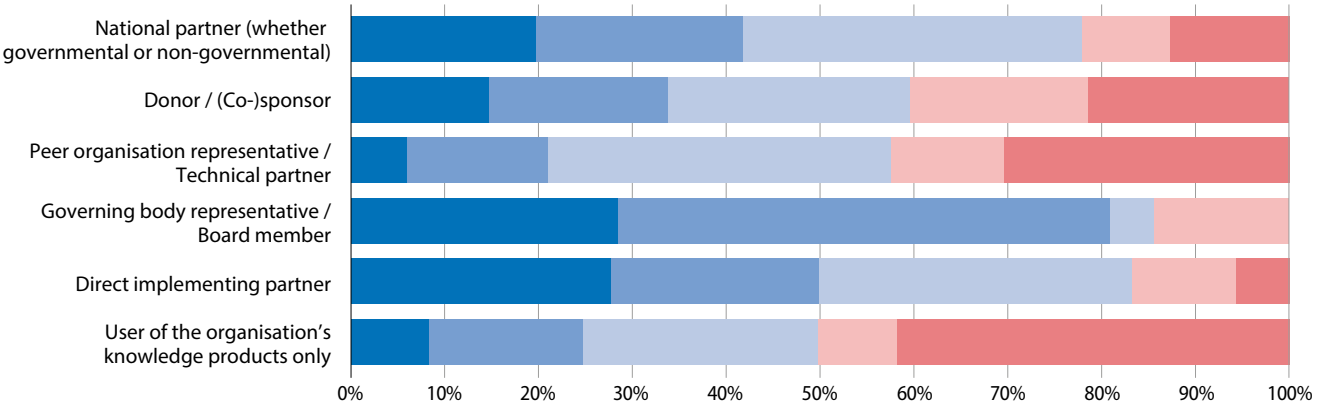
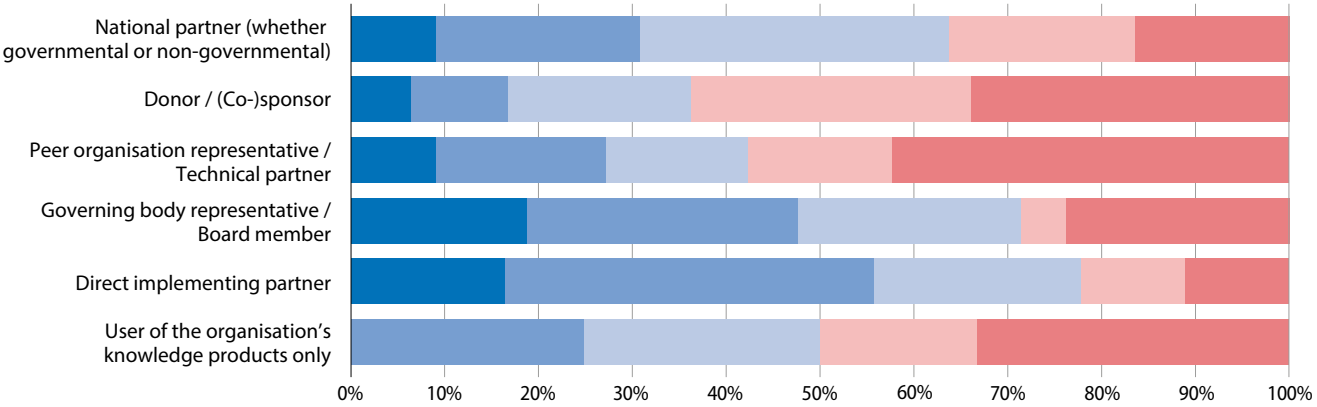
INTERVENTIONS (CROSS-CUTTING ISSUES)

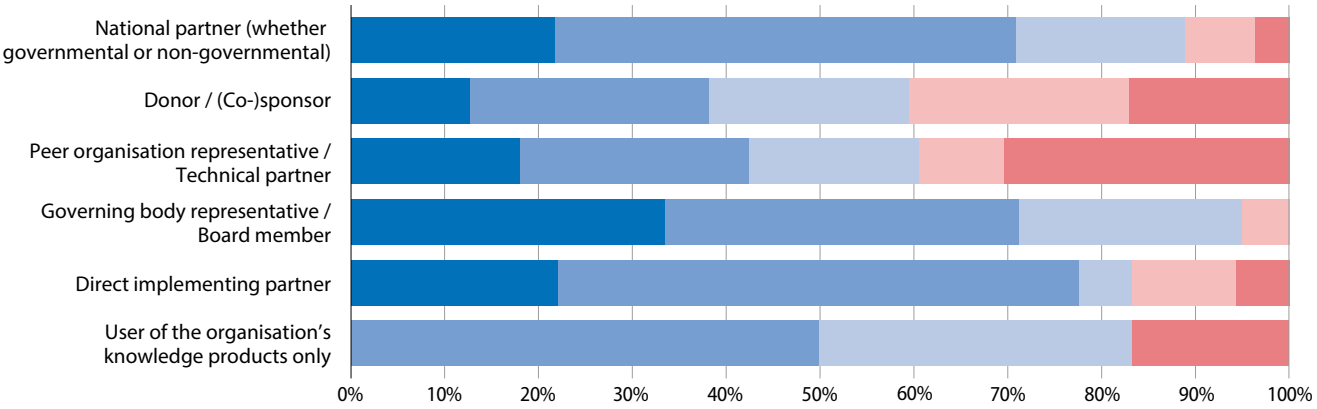
Familiarity with the gender strategy of UNODC



Familiarity with the environmental sustainability strategy of UNODC, including addressing climate change

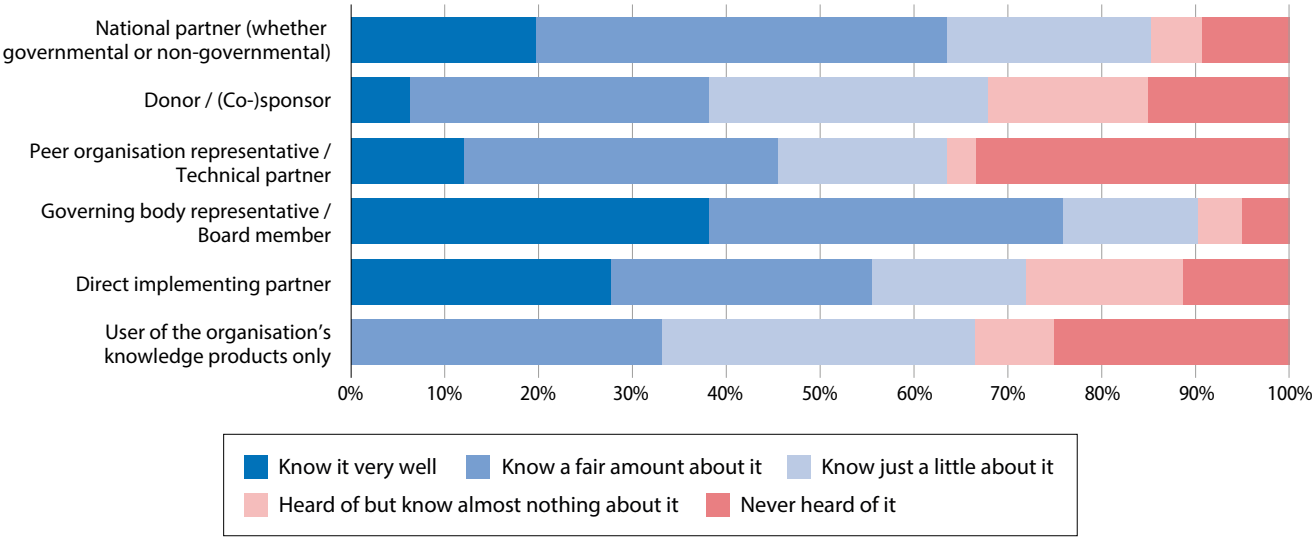


Familiarity with the strategy of UNODC setting out how it intends to engage with promoting good governance



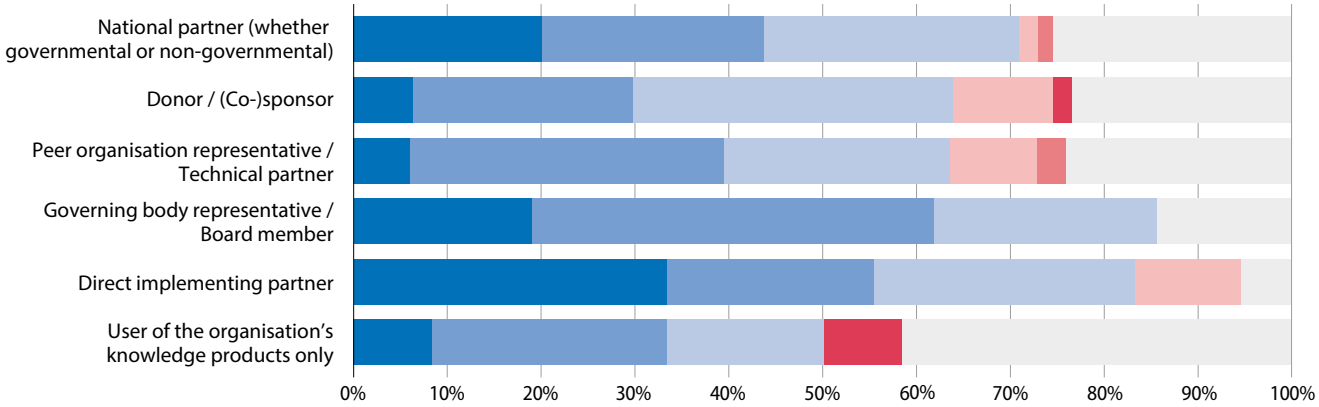
Know it very well | Know a fair amount about it | Know just a little about it | Heard of but know almost nothing about it | Never heard of it

The strategy of UNODC setting out how it intends to take forward its policy commitment if any on human rights

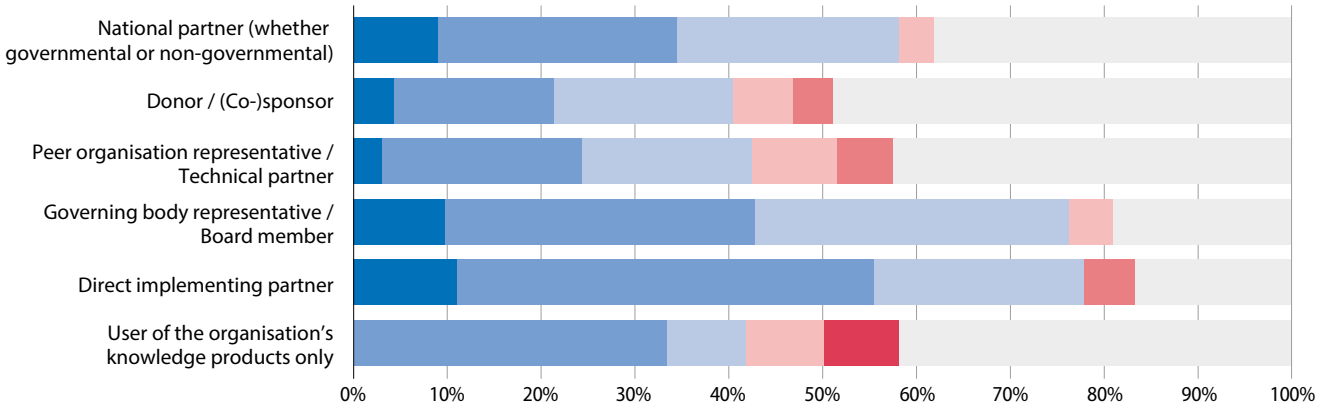


INTERVENTIONS (CROSS-CUTTING ISSUES, ORGANISATIONAL PERFORMANCE)

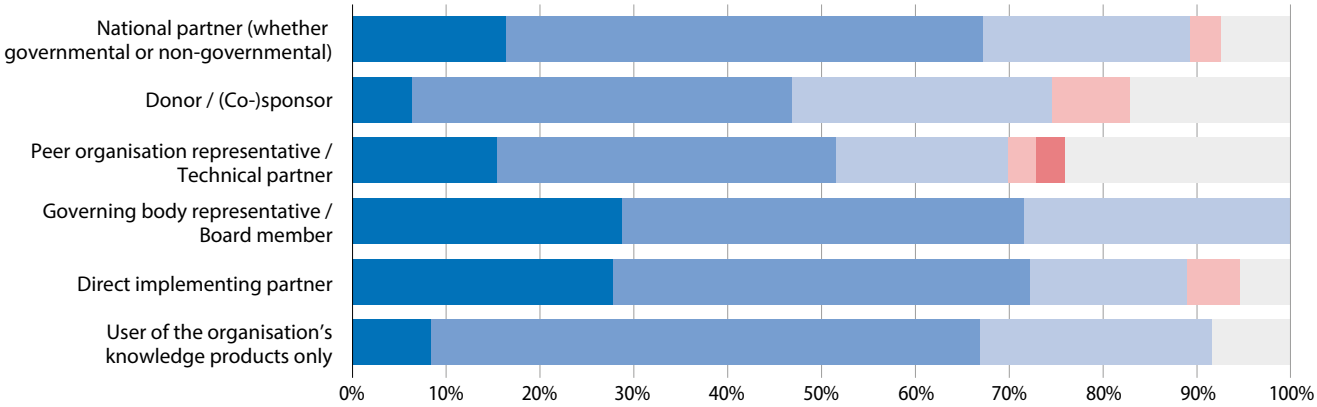
UNODC promotes gender equality



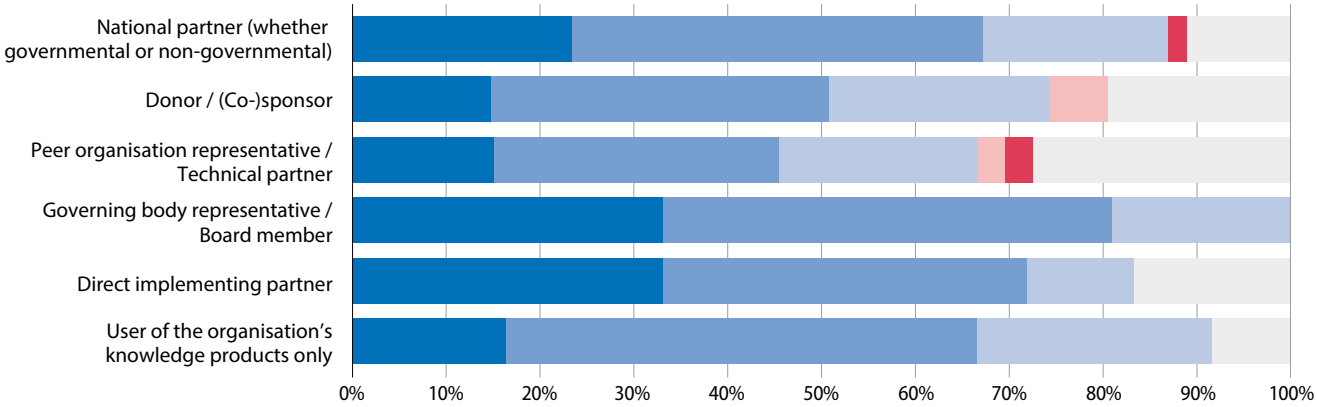
UNODC promotes environmental sustainability/addresses climate change



UNODC promotes principles of good governance

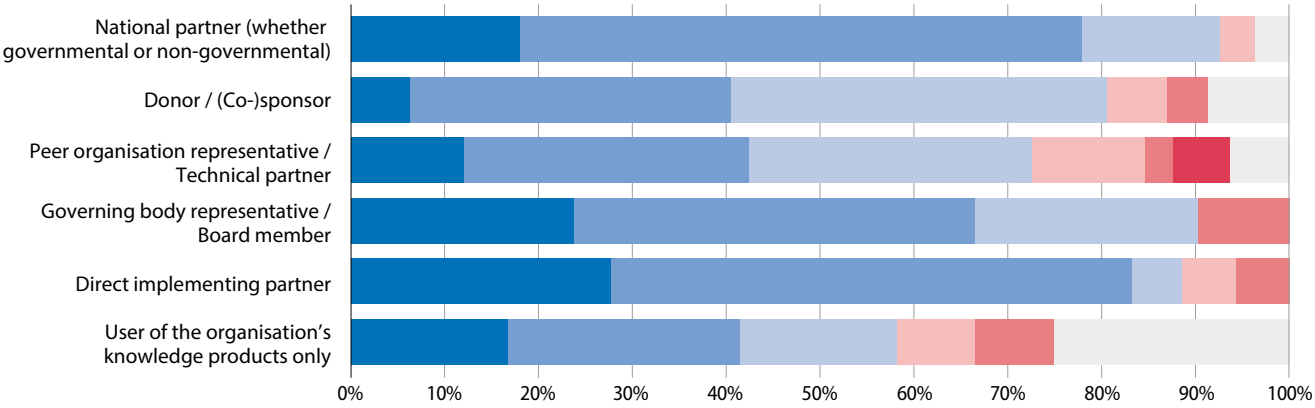


UNODC promotes human rights



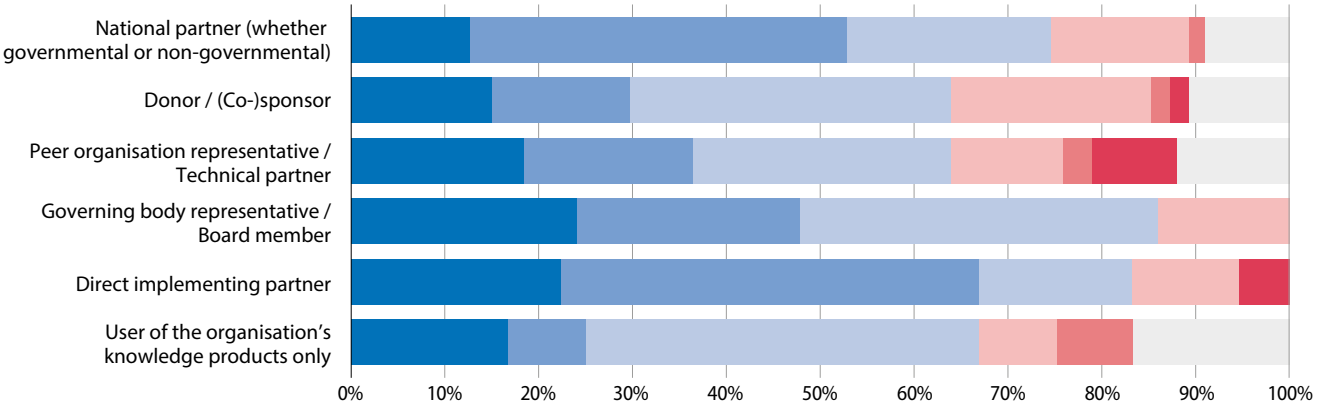
MANAGING RELATIONSHIPS

UNODC prioritises working in synergy/partnerships

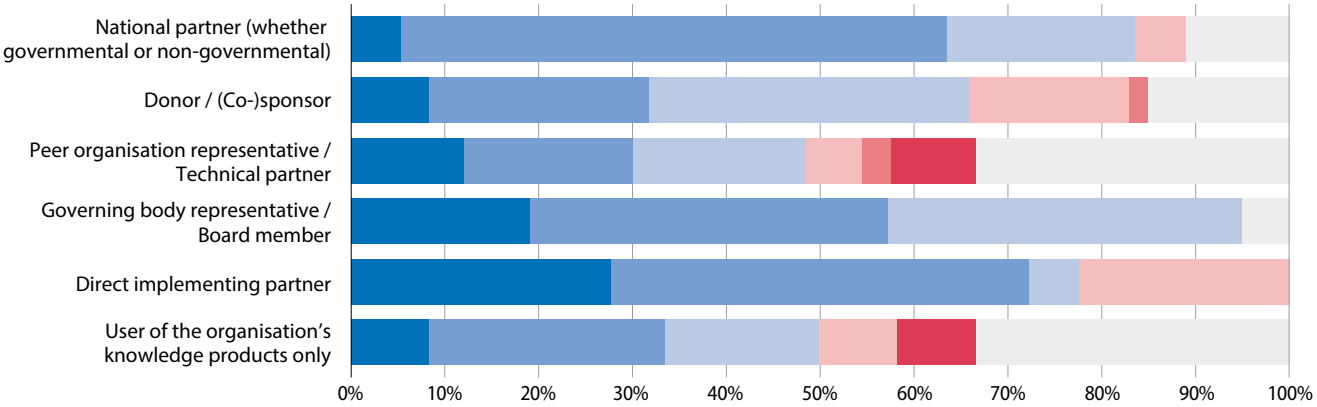


Excellent | Very good | Fairly good | Fairly poor | Very poor | Extremely poor | Don't know / No opinion

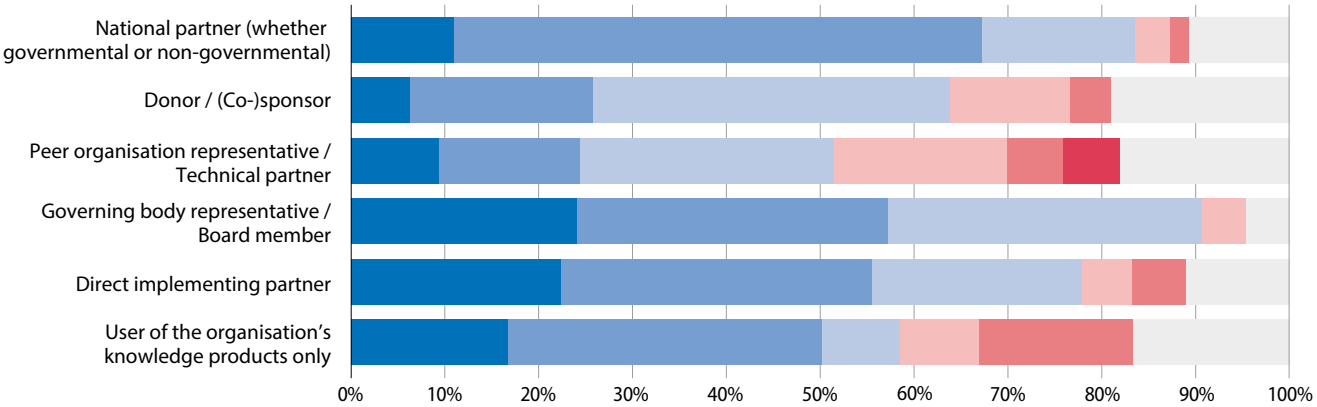
UNODC shares key information with partners on an ongoing basis



UNODC uses regular review points with partners to identify challenges



UNODC organisational procedures are synergised with partners



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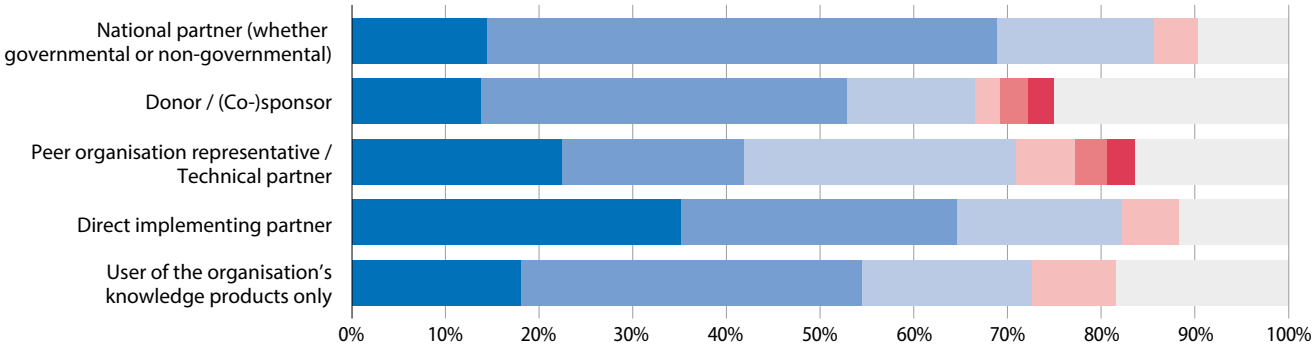
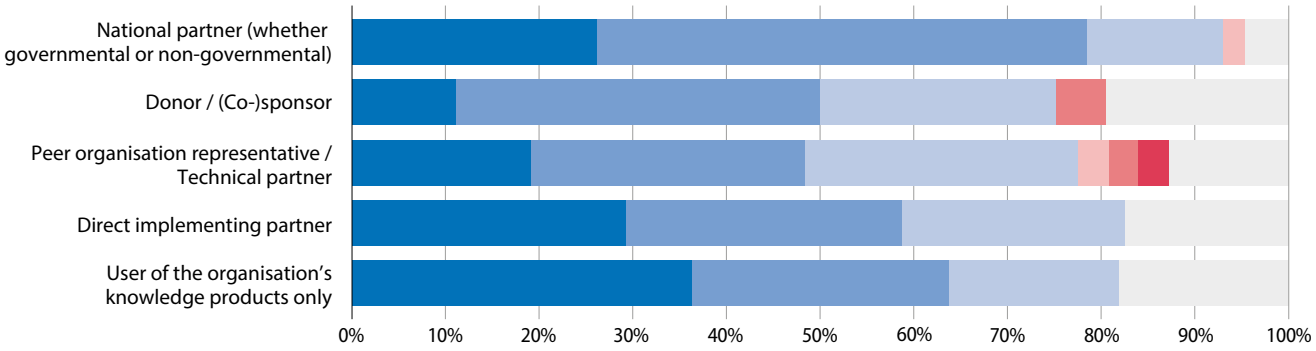
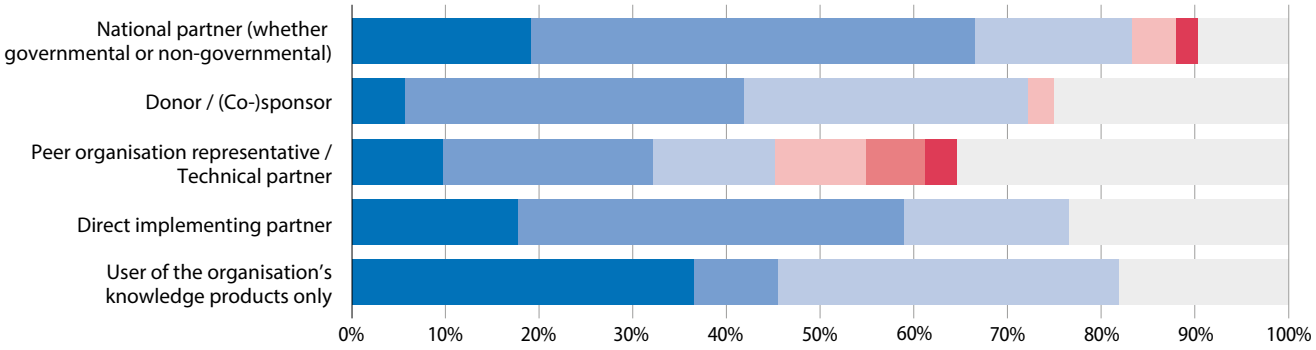
UNODC provides high quality inputs to country or regional dialogue



UNODC's views are well respected in country or regional policy dialogue



UNODC conducts mutual assessments of progress with national/regional partners



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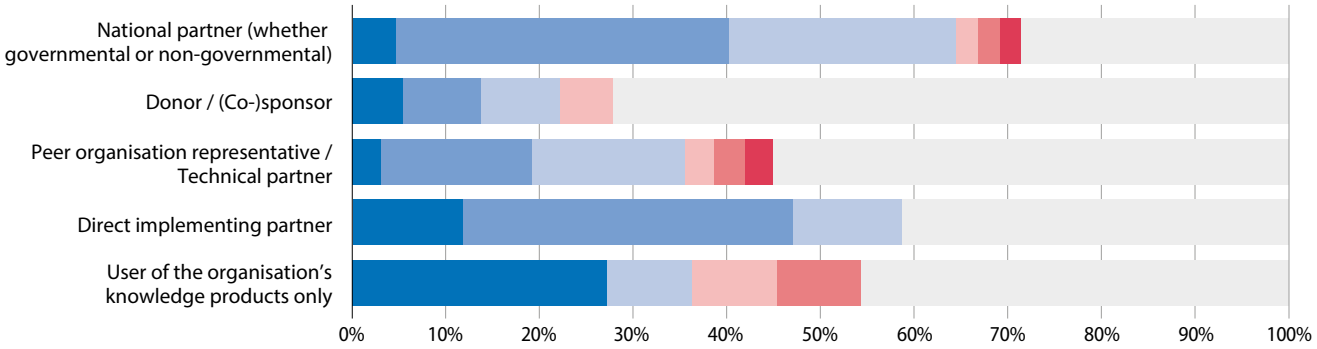
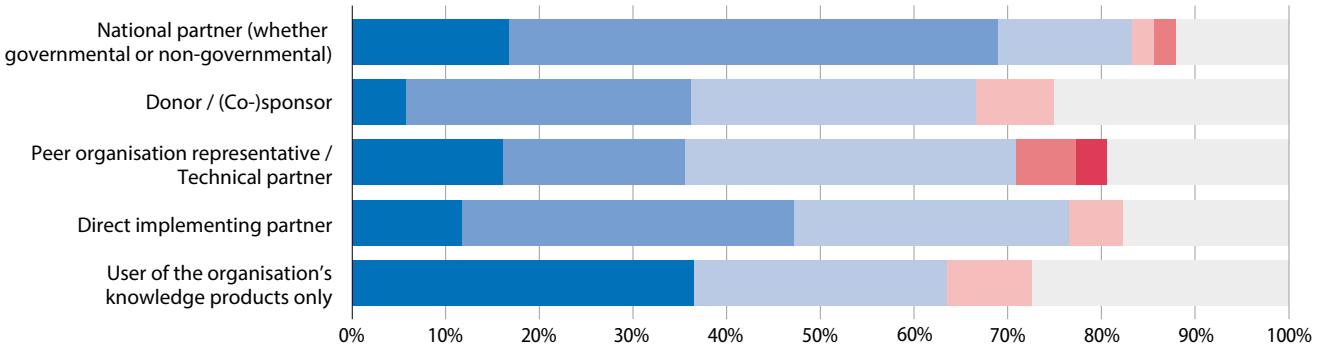
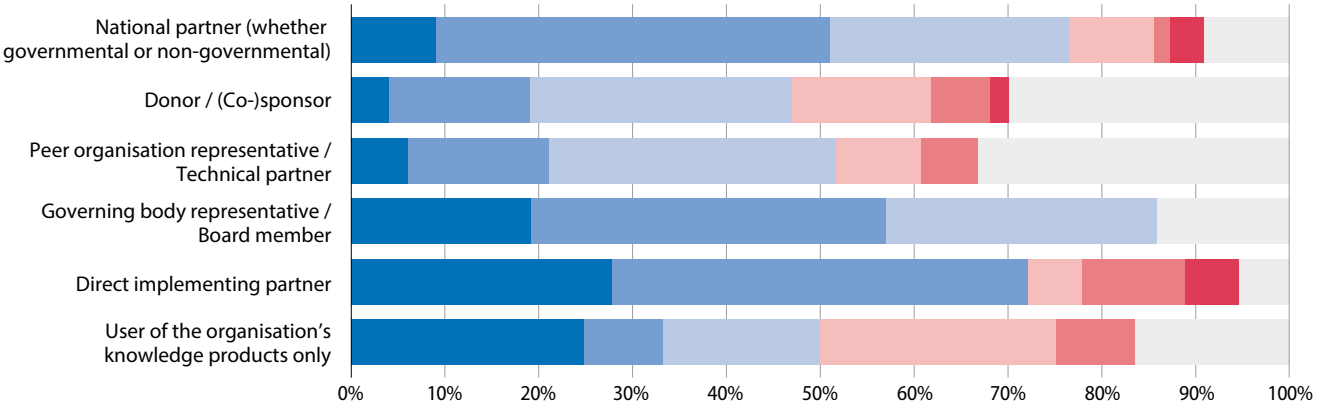
UNODC channels resources through country systems as the default option



UNODC builds capacity in countries where systems are not up to the required standard

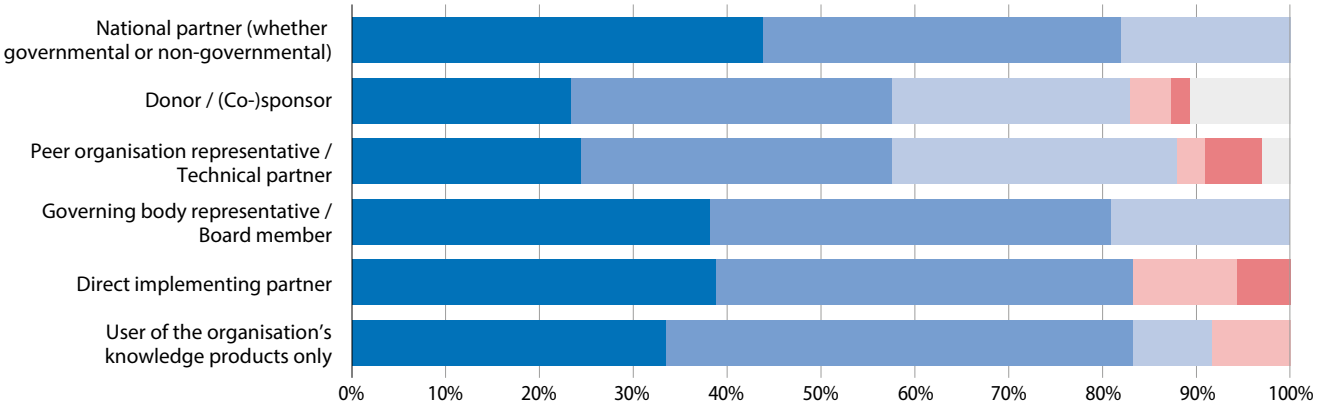


UNODC organisational procedures do not cause delays for implementing partners



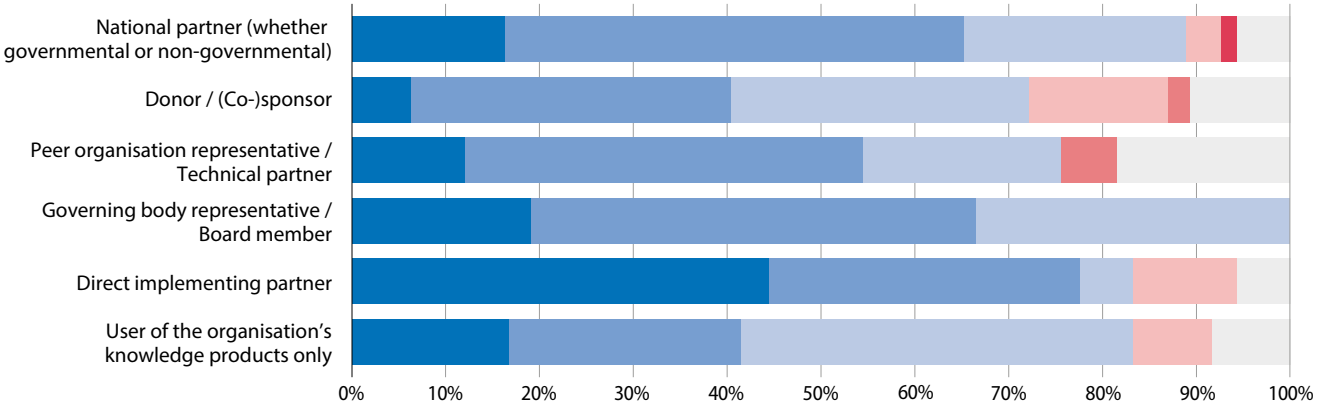
Excellent · Very good · Fairly good · Fairly poor · Very poor · Extremely poor · Don't know / No opinion

UNODC knowledge products are useful for my work

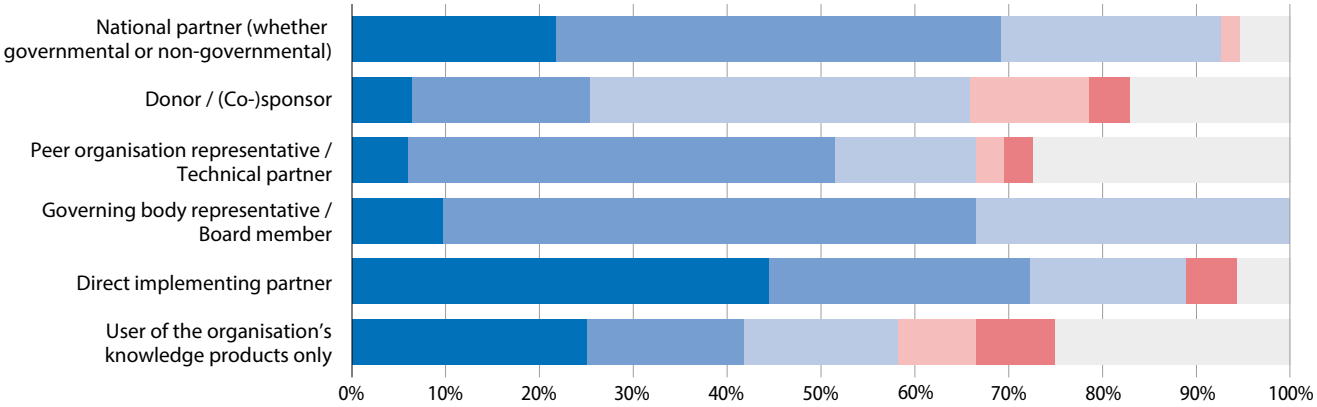


PERFORMANCE MANAGEMENT

UNODC prioritises a results-based approach

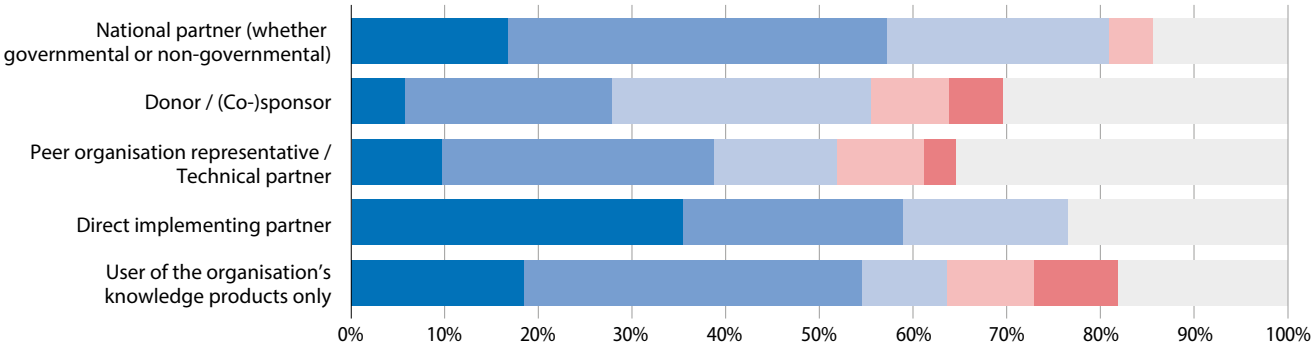


UNODC uses robust performance data when designing and implementing interventions



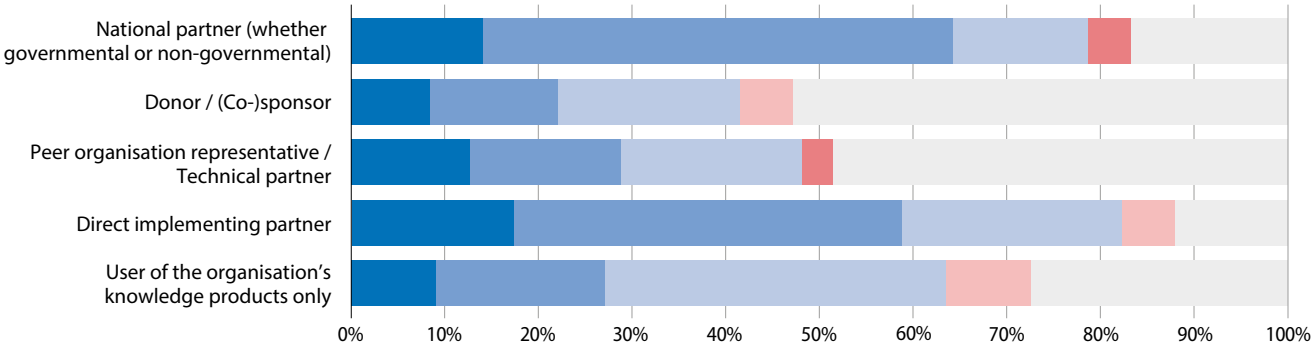
Excellent | Very good | Fairly good | Fairly poor | Very poor | Extremely poor | Don't know / No opinion

UNODC bases its policy and strategy decisions on robust performance data

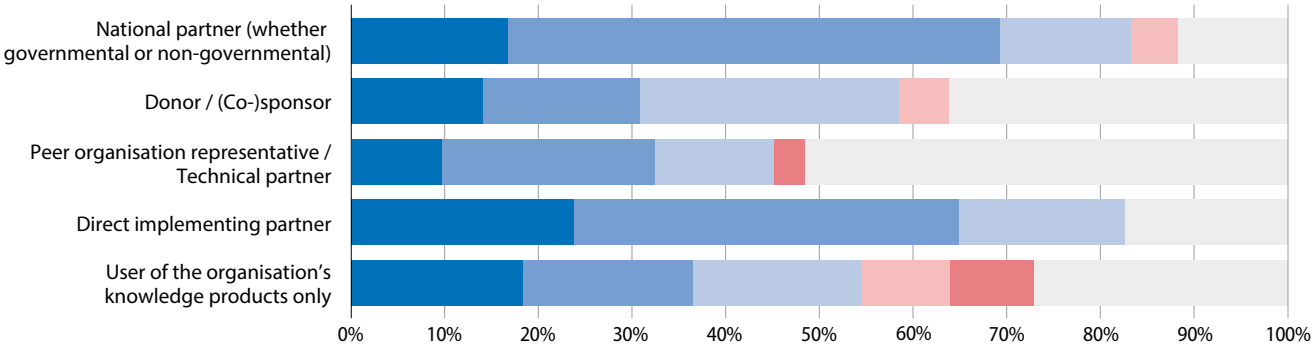


EVIDENCE BASE FOR PLANNING AND PROGRAMMING

UNODC has a clear statement on which of its interventions must be evaluated



Where required, UNODC ensures that evaluations are carried out



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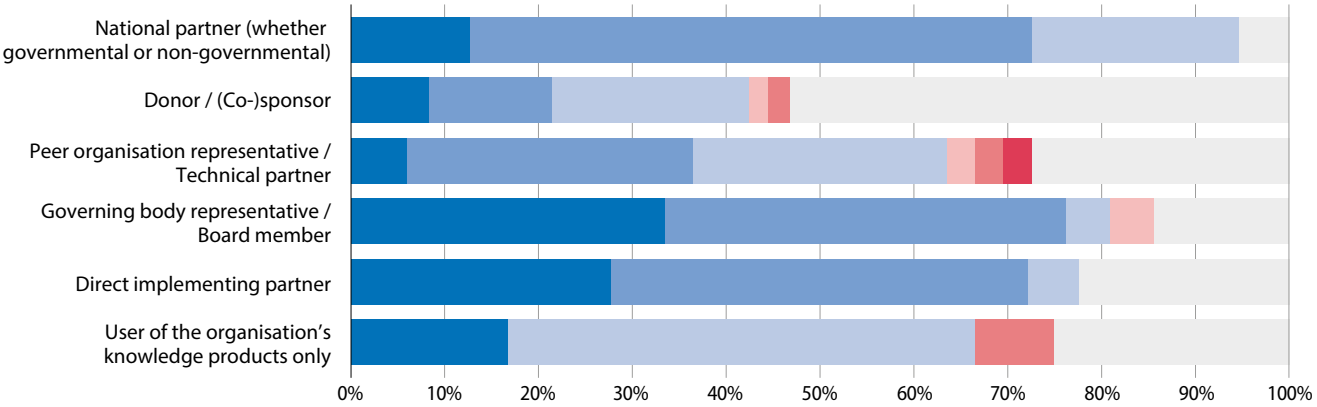
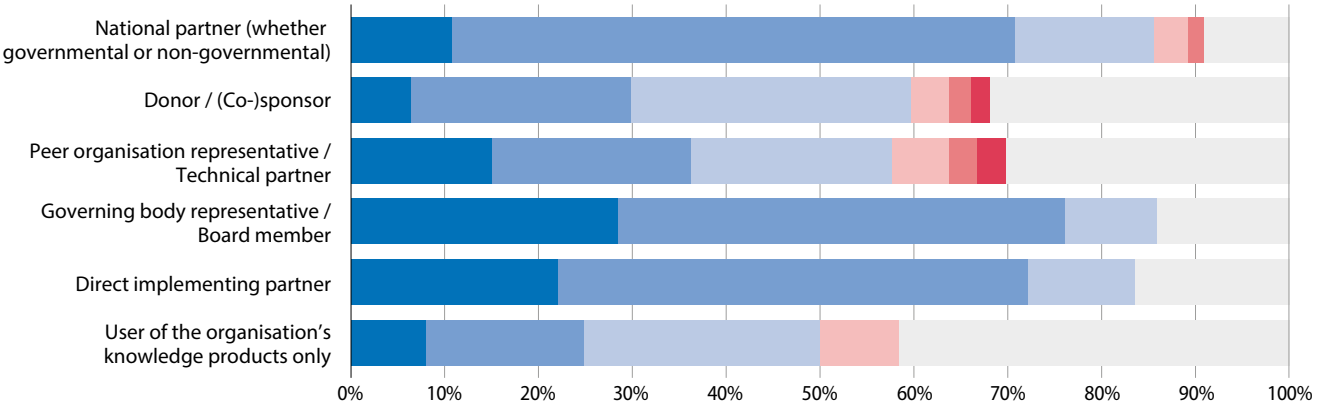
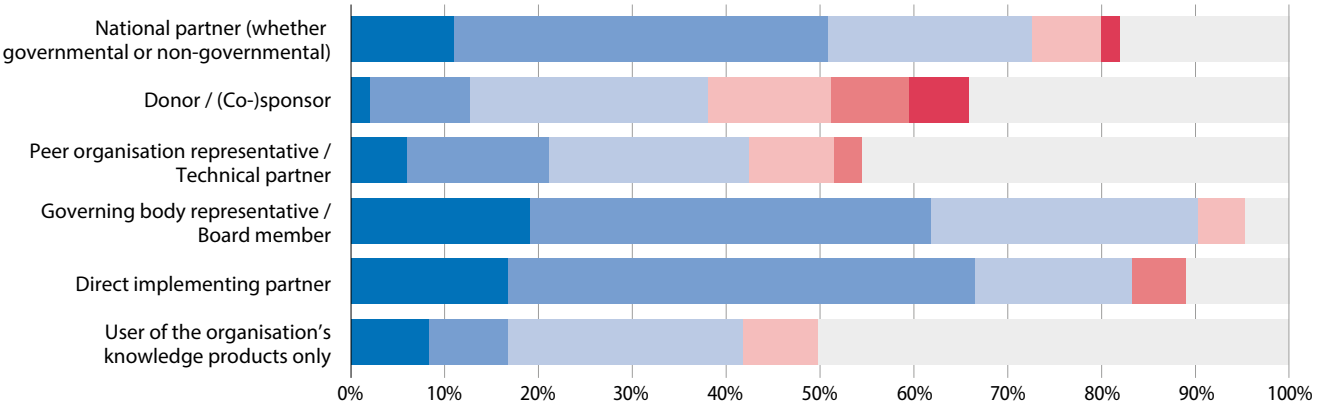
UNODC participates in joint evaluations at the country/regional level



UNODC intervention designs contain a statement of the evidence base



UNODC identifies under-performing interventions



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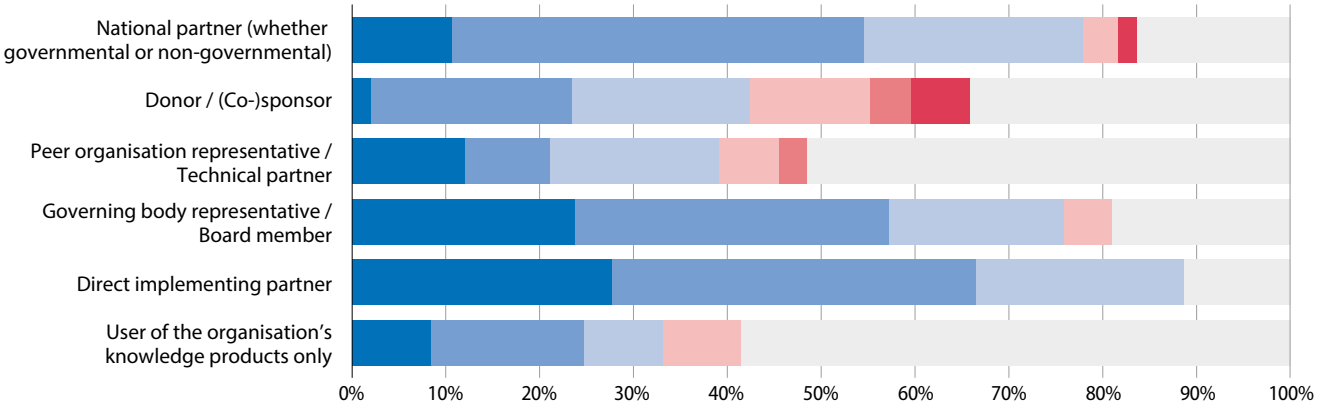
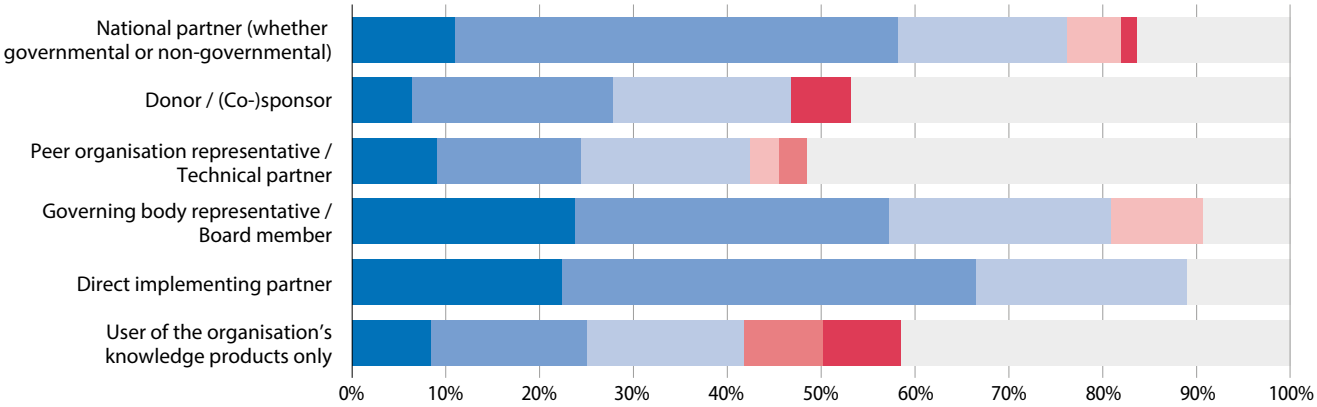
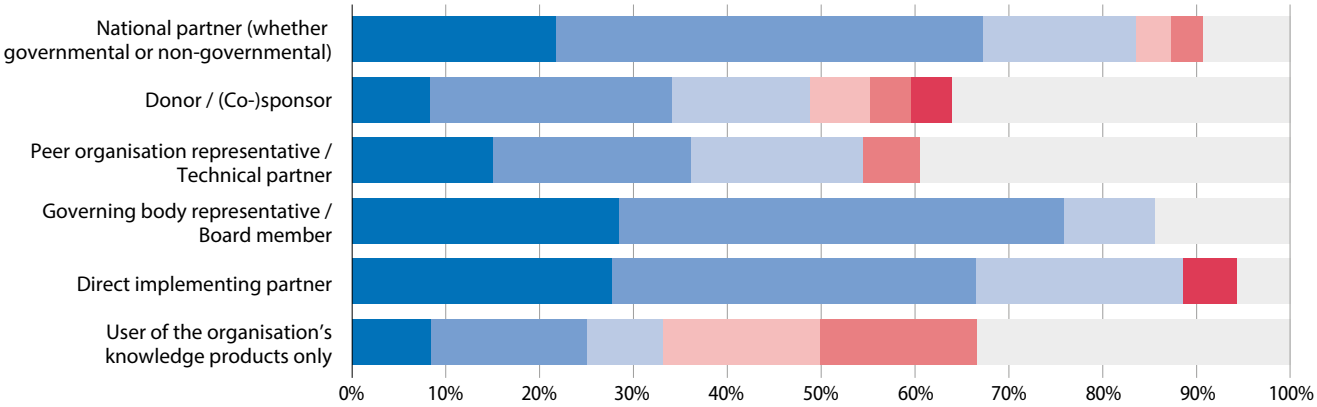
UNODC addresses any areas of intervention under-performance



UNODC follows up evaluation recommendations systematically



UNODC learns lessons from experience rather than repeating the same mistakes



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For any questions or comments,
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