OIOS

Office of Internal Oversight Services

INSPECTION AND EVALUATION DIVISION

INSPECTION REPORT

Inspection of Programme Level Monitoring and Evaluation (M&E) of the United Nations Office on Drugs and Crime (UNODC):

"UNODC Programme Performance Data is Accurate, Adequate and Credible; But the Depletion of Its Independent Evaluation Capacity Poses High Risks"

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**Report of the Office of Internal Oversight Services on the Inspection of
Programme Level Monitoring and Evaluation of
the United Nations Office on Drugs and Crime (UNODC)**

*"UNODC Programme Performance Data is Accurate, Adequate and Credible;
But the Depletion of its Independent Evaluation Capacity Poses High Risks"*

EXECUTIVE SUMMARY

The Office of Internal Oversight Services (OIOS) conducted an inspection of programme level monitoring and evaluation (M&E) in the United Nations Office on Drugs and Crime (UNODC) in order to determine the accuracy, adequacy, and credibility of the data presented in the 2006-2007 Programme Performance Report (PPR) and the adequacy of the M&E system. While the PPR presents the information on the performance of the Organization in implementing its work programme, it is recognized that additional difficult to quantify outputs are not reflected in implementation reporting.   OIOS assessed UNODC's programme and subprogramme results frameworks and PPR data for comprehensiveness and compliance, reviewing whether the most basic information needs of the results framework were met. It also assessed the M&E system and operations of UNODC for adherence to norms and standards for evaluation in the United Nations.

Overall, in terms of accuracy, adequacy, and credibility of the PPR information and results, UNODC's M&E system was rated very highly. Notably, 100 percent of the PPR results were accurate, and of the additional outputs randomly sampled, all were verified as accurate. OIOS also notes that for the most part, the baseline and target data in the Integrated Management Documentation Information System (IMDIS) was consistent, and reporting compliance was strong. OIOS recognizes as good practice that UNODC uses the Programme and Financial Information Management System (ProFi) which enables the UNODC staff to submit and view progress reports and data from monitoring instruments based on internally developed performance indicators. OIOS also found that the erstwhile Independent Evaluation Unit (IEU) provided high quality overall support for evaluation and produced thematic and project evaluation reports with thorough assessments of the degree to which UNODC activities fulfilled the project goals and objectives. OIOS also noted that the reporting arrangement of the IEU, its system for implementing evaluation recommendations, and the evaluation policy and terms of reference of the IEU complied fully with the United Nations evaluation norms and standards. However, OIOS notes with concern that, with the recent merger of the IEU into the Planning, Monitoring and Evaluation Section, these arrangements and policy have been subject to change and are no longer fully compliant.

OIOS has identified some critical issues in the areas of UNODC's M&E framework and processes, M&E capacity, and cross cutting issues which present risks for effective functioning and need improvement:

(a) OIOS notes that while the programmes for drug control, crime prevention, criminal justice, and terrorism include actions to protect the disadvantaged, including women, mainstreaming gender into these programmes appears to be a challenge. Furthermore, OIOS notes that the Evaluation Policy to support subprogrammes in evaluation practices does not include guidelines in incorporating gender perspectives into M&E activities and ought to be available to support staff mainstream gender dimensions into their M&E processes.

(b) OIOS found that UNODC only recently assigned a departmental IMDIS focal point located within the Planning, Monitoring, and Evaluation Section. The M&E network ought to have a departmental focal point as well as an alternate focal point to ensure timely updates of IMDIS reports.

(c) OIOS found that regular budget funds dedicated to the evaluation function were inadequate, putting the evaluation function and practice at risk. The suggested JIU benchmark of regular budget resources ought to be dedicated to this function.

(d) The areas of evaluation support that are planned for the evaluation function remain unclear, but sustaining and building on this established evaluation function is important and ought to be continued.

(e) OIOS found that impact assessment was limited in UNODC thematic and project evaluation reports. To inform strategic decision-making in drug and specific crime issues and to understand the extent of UNODC's contribution to drug and crime prevention, UNODC should consider the use of impact evaluations.

(f) OIOS learned that there are plans to revise the current Evaluation Policy so that it is further aligned with the programme's strategic planning. Since this guidance is already being used by subprogrammes, ODC ought to develop a strategy when introducing revised or new guidance which may include orientation for staff among other resources for skills development.

The report contains seven recommendations to UNODC to address these challenges.

Contents

ABBREVIATIONS

ACABQ	Advisory Committee on Administrative and Budgetary Questions
CPC	Committee for Programme Coordination
DM	Department of Management
EA	Expected Accomplishment
IED	Inspection and Evaluation Division
IEU	Independent Evaluation Unit
IMDIS	Integrated Management Documentation Information System
IoA	Indicator(s) of Achievement
JIU	Joint Inspection Unit
M&E	Monitoring and Evaluation
OIOS	Office of Internal Oversight Services
OPPBA	Office of Programme Planning, Budget and Accounts
OUSG	Office of the Under-Secretary-General
PME	Planning, Monitoring, and Evaluation Section
PPBME	Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation
PPR	Programme Performance Report
ProFi	Programme and Financial Information Management System
RB	Regular Budget
RBB	Results-based Budgeting
RBM	Results-based Management
SPU	Strategic Planning Unit
UNEG	United Nations Evaluation Group
UNODC	United Nations Office on Drugs and Crime

I. Introduction

1.   The Office of Internal Oversight Services (OIOS) is undertaking inspections of programme level monitoring and evaluation (M&E) and assessments of the M & E capacity of Secretariat programmes. These inspections will be conducted of all programmes in the United Nations Secretariat, beginning with five programmes in 2009. This report pertains to the inspection of the United Nations Office on Drugs and Crime (UNODC).

2.   The purpose of the inspection is to determine the accuracy, adequacy, and credibility of the data presented in the 2006-2007 Programme Performance Report (PPR).[1] The inspection also assesses the programme M&E capacity in the 2006-2007 biennium, examining specifically the quality and regularity of the conduct of self-evaluations that support the results reported in the PPR and the underlying conditions influencing M&E processes.

3.   The PPR is an analytical document prepared at the end of each biennium and represents an instrument by which the General Assembly assesses the performance of the Organization in implementing its work programme and reporting progress toward achievement of mandate(s). Additional difficult to quantify outputs may be funded from extrabudget sources, but the scope of the OIOS inspection is limited to data presented in the PPR.[2] The PPR for 2006-2007 was submitted to the Committee for Programme Coordination (CPC) and General Assembly at its 63rd Session (A/63/70).

4.   Pursuant to General Assembly Resolution 61/245[3] and the acknowledgement of the Advisory Committee on Administrative and Budget Questions (ACABQ),[4] the General Assembly reaffirmed the responsibilities of programme managers in preparing the PPR. As a result of the resolution, the programme monitoring functions, including the task of preparing the PPR based on the inputs provided from all programmes, were reassigned from OIOS to the Department of Management (DM). Accordingly, the PPR for 2006-2007 reflects a joint effort by the OIOS and the DM. In 2009, DM further prepared an interim report for the first time of the Organization's programme performance for a 12-month period.[5]

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[1] For the purpose of this inspection, the data presented in the 2006-2007 PPR is under consideration. Accuracy refers to information from the PPR that can be independently verified; Adequacy here refers to whether the information is comprehensive and suitable for overall M&E systems information needs; and Credibility refers to if evaluation activities for the purposes of supporting the PPR have been undertaken in a systematic manner.

[2] As per A/60/6 (Section 16), 89 percent of the United Nations Office on Drugs and Crime (UNODC) total budget is extrabudgetary.

[3] General Assembly Resolution A/RES/61/245 (2007) of 7 March, Comprehensive review of governance and oversight within the United Nations and its funds, programmes and specialized agencies.

[4] General Assembly report A/61/605 (2007) of 1 December, Comprehensive Review of Governance and Oversight within the United Nations and its Funds, Programmes and Specialized Agencies: Report of the Advisory Committee on Administrative and Budgetary Questions, paragraph 71.

[5] Programme Performance Report for 2008 (2009) of 1 May, Policy and Oversight Coordination Services, Office of the Under-Secretary-General, Department of Management (DM).

II. Background and Context

5.   The United Nations Drug Control Programme was established as a consequence to the General Assembly Resolution 45/179 of 21 December, 1990 with the responsibility of coordinating all drug control activities within the United Nations system and for providing effective leadership in promoting international cooperation in drug control. In 1997, the UNODC was established through a merger between the United Nations Drug Control Programme and the Centre for International Crime Prevention, and is "mandated to assist Member States in their struggle against illicit drugs, crime and terrorism in all its forms and manifestations.[6] In the Millennium Declaration, Member States also resolved to intensify efforts to fight transnational crime in all its dimensions, to redouble the efforts to implement the commitment to counter the world drug problem and to take concerted action against international terrorism in all its forms and manifestations."[7] UNODC is active in all regions of the world through an extensive network of field offices.

6.   In 2006-2007, UNODC comprised of the following subprogrammes:

Subprogramme Number	Subprogramme Name
Subprogramme B	Executive direction and management
Subprogramme 1	Research, analysis and advocacy
Subprogramme 2	Services for policy-making and treaty adherence
Subprogramme 3	Technical assistance and advice

III. Methodology

7.   The inspection encompassed a mix of qualitative and quantitative methods. These were:

> a.   A systematic desk review of key United Nations documentation, including but not limited to, the programme biennial budget proposals and strategic frameworks, key OIOS assessments of M&E capability, 2006-2007 Integrated Monitoring and Documentation Information System (IMDIS) data, the Results-based Budgeting (RBB) guidelines, budget instructions, and PPR resources produced by the DM (Office for Accountability and Oversight Support and the Programme Planning and Budget Division within the Office of Programme Planning, Budget and Accounts-OPPBA). [8] Additionally, key UNODC documents related to M&E were reviewed, including the Evaluation Policy and

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[6] Report of the Secretary-General A/51/950 (1997) of 14 July, Renewing the United Nations: A Programme for Reform, page 49, Action 8.

[7] General Assembly report A/63/6 (Prog. 13) (2008) of 14 February, Proposed strategic framework for the period 2010-2011, page 2, paragraph 13.1.

[8] Between 2007 and 2008, OIOS completed inspections of the Results-based Budgeting (RBB)/Results-based Management (RBM) systems in several Secretariat programmes, including the Department of Peacekeeping Operations (DPKO), Economic and Social Commission for Asia and the Pacific (ESCAP), United Nations Environmental Programmes (UNEP), and the United Nations Office of the High Commissioner for Refugees (UNHCR).

self-evaluation policy / guidelines currently available and evaluation reports produced during 2006 and 2007.[9]

b. Two sets of self-administered web-based surveys of staff working on M & E and on the data presented in the PPR[10] and subprogramme directors and senior management.[11]

c. Interviews were conducted with the staff from the Planning, Monitoring, and Evaluation Section (PME), two former staff members from the Independent Evaluation Unit (IEU), all the subprogramme directors, and all M&E focal point staff from all subprogrammes, including subprogramme B – Executive direction and management.[12]

d. Two checklists were applied assessing (i) the accuracy of PPR results and randomly sampled outputs from IMDIS, and (ii) the adequacy of information to support the PPR. Annex I to this report contains additional details about the checklist components, scoring process, and the charted results of checklist data. Annex II contains several tables presenting key checklist data, and Annex III includes a list of evaluation reports reviewed.

IV. Inspection Findings

8. The findings have been grouped under two broad areas: (i) Accuracy, adequacy, and credibility of UNODC's PPR (2006-2007); and (ii) M&E Capacity.

A. Accuracy, Adequacy, and Credibility of UNODC 2006-2007 PPR data

(i) One hundred percent of UNODC PPR data was accurate. Additionally, the setting of baseline and target data and reporting against targets is strong

9. The universe of UNODC's 2006-2007 results framework comprises of a logical sequence of the following elements: 61 results reported in the PPR, including outputs, 44 indicators of achievement (IoA), 16 expected accomplishments (EAs), and four

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[9] The following documents / guidelines were consulted: Recommendations implementation plan, Final project report format and guidelines, Annual and semi-annual project progress report (APPR) format and guidelines, Annual portfolio review (APR) for thematic / country / regional programmes reporting format and guidelines, Self-evaluation report format, Regional and Country Programmes Template, Thematic Programmes Template, Evaluation Policy UNUNODC/MI/7/Rev. 1 (2004) of 1 May, Guidelines for the preparation of the terms of reference for evaluation, Standard format and guidelines of the UNODC for evaluation reports, A/63/6 (Prog. 13) (2008) of 14 February, Proposed strategic framework for the period 2010-2011, page 2, paragraph 13.1.

[10] Survey of staff involved in monitoring and evaluation related activities was conducted from 18 July to 11 August 2009. Out of a total of 29 staff members, 16 completed survey responses were received, representing a 55 per cent response rate.

[11] Survey of all UNODC subprogramme directors, and the Chief of Planning, Monitoring, and Evaluation (PME) section, totaling 4 staff members, was conducted from 18 July to 11 August 2009. None of the management completed responses to the survey.

[12] A total of twenty-nine semi-structured interviews were conducted with staff, including senior management.

objectives.[13] According to the RBB guidance provided by the DM, the outputs are concrete final products and services delivered by the programme or subprogramme to end-users, and they should support the IoA and have a cause and effect relationship to the EAs.[14] Having coherent linkages among the outputs, IoA and EAs is therefore important for monitoring a programme's performance towards achieving its objectives.[15]

10. OIOS assessed the accuracy of UNODC's data on 61 results reported in the 2006-2007 PPR by reviewing available information from multiple sources, including IMDIS, public sources and/or from the subprogrammes. Specifically, OIOS reviewed information for PPR data, contributing to 16 EAs from all subprogrammes, including Subprogramme B – Executive management and direction. OIOS verified this information, reviewing whether or not it was consistent with the data reported in the PPR, and this assessment was done primarily through a checklist methodology. Overall, one hundred percent of UNODC's PPR data, including outputs, were accurate. There was no reported data in the PPR that differed from the information OIOS independently reviewed.[16]

Randomly sampled outputs are accurate

11. In addition, to assess further the accuracy of outputs reported in IMDIS, the universe of outputs, including programmed, additional, and carried forward outputs, was 2,434. Out of 2,434 outputs, 234 were randomly sampled using a stratified random sampling methodology according to the distinct output categories.[17] For implemented outputs, information was noted indicating how each one was implemented and the proof that was accepted as verification (including document symbols, workshop reports, and substantive servicing hours / dates).

12. While two percent (or four out of 234) of the sampled outputs were postponed and three percent (or eight out of 234) were terminated, the remaining 95 percent (or 222 out of 234) of randomly selected outputs in IMDIS were implemented. One hundred percent of the implemented outputs were verified. For example, in Subprogramme 3 – Technical assistance and advice, the data from Austria from the Annual Reports Questionnaire on

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[13] The inspection only reviewed the outputs from the results framework presented in the 2006-2007 PPR.

[14] Logical Framework Guidebook located at http://ppbd.un.org/rbb/logical.doc.

[15] General Assembly report A/57/478 (2002) of 15 October, Interim report on results-based budgeting for the biennium 2002-2003, Report of the Secretary-General, paragraphs 13 and 14.

[16] Subprogramme 3 – Technical assistance and advice under EA(c) states that there are 104 rather than 107 States parties to the Convention against corruption. While IMDIS reports that there 107 States parties to the Convention against corruption, the information states that there were 104 States parties to the Convention against corruption from CAC/COSP/2008/2, paragraph 14, page 3. This difference in information was not included in the overall score.

[17] The universe from which the sample of outputs was drawn is 2,434, and OIOS verified the information of reported outputs from a stratified random sample of outputs for each subprogramme. Specifically, the stratified random sample was drawn from (i) a subtotal of 116 outputs including programmed, additional, and carried forward outputs from Subprogramme 1 – Research, analysis and advocacy; (ii) a subtotal of 654 outputs including programmed, additional, and carried forward outputs from Subprogramme 2 – Services for policy-making and treaty adherence; and (iii) a subtotal of 1,664 outputs including programmed, additional, and carried forward outputs from Subprogramme 3 – Technical assistance and advice. Table 1 also includes the final number of outputs sampled from each subprogramme.

Illicit Drug Supply was compiled to produce the report on the world situation with regard to drug trafficking, and the document symbol for this output is E/CN.7/2006/3.[18] Another example was in Subprogramme 1 – Research, analysis, and advocacy, wherein the quarterly UNODC magazine *Perspectives* was produced on 1 June 2006, and OIOS was able to confirm its issue.[19] Subprogramme 2 – Services for policy-making and treaty adherence implemented outputs for substantive servicing for the International Narcotics Control Board.[20] While the specific title, meeting dates, and venue were in compliance for output reporting in IMDIS, OIOS found that the amount of time planned for this event was more than needed resulting in terminated outputs. OIOS notes that all the implemented outputs reviewed were in compliance for output reporting in IMDIS.

Baseline and target data is consistent

13.   OIOS also assessed the PPR data for comprehensiveness and/or compliance, reviewing whether or not the most basic information needs of the results framework were met. Baseline and target data are essential components of the results framework. In reviewing whether or not IoA had baseline and target data, the checklist average score was highly satisfactory at 0.98 and 1.00 respectively out of a total score of 1.00.[21] These scores translated into all but one of the 44 IoA having baseline data and all of the 44 IoA having target data in the results framework.[22] OIOS notes that the data was consistently available throughout IMDIS and there was no missing data.

Final reporting against targets is strong

14.   Additionally, OIOS notes that compliance of reporting against targets within UNODC's results framework was consistent and strong. The purpose of setting and reporting against target data is to establish a measurable goal, encourage efficiency, and track delays. Specifically, all subprogrammes, including Subprogramme B – Executive direction and management had complete information when reporting final progress on targets.

(ii)   Gender mainstreaming is not consistent in the results framework and absent in the evaluation policy

15.   OIOS assessed the results framework for gender mainstreaming, examining the degree to which gender perspectives are included in the results framework and M&E

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[18] The output reviewed was record identifier: S108730, title: Processing of Annual Reports Questionnaires on Illicit Drug Supply (Part III), and implemented for one unit.
[19] The output reviewed was record identifier: P079503, title: UNODC magazine (quarterly) with issue date 1 June 2006, and implemented for one unit. The magazine is on the UNODC website.
[20] The output reviewed was record identifier: PB117113, title: International Narcotics Control Board and its Standing Committee on Estimates, and implemented for 120 units.
[21] Where 1.00 = IoA did include baseline or target data, and 0 = IoA did not include baseline or target data.
[22] Under Subprogramme 2 - Services for policy-making and treaty adherence, the first IoA (i) of EA (c). Specifically, there is a zero for the number of countries that comply with an increased number of provisions of treaties and conventions on drugs, crime and the prevention of terrorism in all its forms and manifestations as compared with their level of compliance at the beginning of the biennium.

processes to ensure its consistent review and implementation in planning and evaluation at lower operational levels. OIOS found that while the programmes for drug control, crime prevention, criminal justice, and terrorism are designed with the view of protecting the disadvantaged, including women, mainstreaming gender into these programmes appears to be a challenge. For example, none of the subprogrammes, including Subprogramme B – Executive direction and management, specified language to highlight gender dimensions into the results framework. OIOS believes that an integrated approach to gender mainstreaming throughout the subprogrammes' results frameworks is essential to ensure its consistent implementation and review in planning and evaluation at lower operational levels.[23]

16.   OIOS further notes that the Evaluation Policy to support subprogrammes in evaluation practices does not include guidelines on incorporating gender perspectives into M&E activities. The Evaluation Policy and other guidelines ought to provide programme staff with guidance on how to mainstream gender dimensions into their M&E processes, including but not limited to data collection, analysis, reporting, and evidence-based decision-making.

B.   M&E Capacity

(i)   UNODC demonstrated a number of good practices in relation to programme monitoring and reporting processes

17.   OIOS recognizes as good practice that UNODC uses for programme monitoring the Programme and Financial Information Management System (ProFi), a document management and workflow system that provides substantive and financial data on drug and crime projects. Specifically, this system enables all UNODC staff based in the field and headquarters to submit and view progress reports and data from monitoring instruments based on internally developed performance indicators, and self-evaluation reports.

18.   OIOS also learned that there is a specific process that enables data to be collected using IMDIS to support the results of the PPR. The subprogrammes have multiple divisions, and a subprogramme M&E focal point staff member is assigned to ensure that the information submitted by divisional M&E focal point members is consistent and in its proper place in IMDIS. The divisional M&E focal point members work closely with their senior management to review, finalize, update, and submit logical framework components, including target and baseline data, indicators formulation, and related progress on outputs. OIOS found that most interviewees had a reference to M&E responsibilities and tasks in their Electronic Performance Appraisal System (e-PAS), which is an important practice for ensuring that the M&E focal point member's time and efforts are and will be formally recognized.

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[23] Instructions for the Proposed Programme Budget for the Biennium 2006-2007, paragraphs 29 to 33 located at http://ppbd.un.org/Bi06/.

(ii)   The M&E focal point staff network needs strengthening and IMDIS support systems are not effectively used

19.   According to the *Procedures for Programme Performance Monitoring and Reporting biennium through the use of IMDIS*,[24] the operating structure for programme performance reporting relies on a network of departmental focal points whose responsibilities may include coordinating input from the various substantive areas and verifying records for completeness and consistency for the PPR and IMDIS. OIOS found that UNODC's internal structure for M&E did not conform to this requirement. Only recently has a departmental focal point been assigned located within the PME. OIOS asserts that the M&E network ought to have a departmental focal point, including an alternate focal point, to ensure timely updates of IMDIS reports and minimize the likelihood that IMDIS would be treated as a last minute chore undertaken before the budget performance monitoring or semiannual performance review. Additionally, having an alternate focal point will ensure needed continuity with the function during staff absences, owing to staff leave, turnover, or sickness.

20.   Several focal points within subprogrammes expressed a need for training in IMDIS.[25] OIOS learned that DM provided training to UNODC in RBM and IMDIS from 31 August to 2 September 2009. The target audience included programme focal point staff for performance reporting, Subprogramme focal points, and IMDIS users. OIOS recognizes the importance of IMDIS training and its timing, as all IMDIS users ought to have basic background information about IMDIS and its use.

(iii)   The evaluation function established during 2003-2004 has not been sustained, and an independent evaluation function is currently absent

21.   In 2006-2007, UNODC's Independent Evaluation Unit (IEU) comprised four full-time professional staff and two full-time general service staff members. The objective of the IEU was to ensure that all evaluations managed directly by the Unit or by other UNODC staff complied with the norms and standards of the United Nations Evaluation Group (UNEG) and served to improve the strategic effectiveness of UNODC.[26] In 2007, the IEU, headed by a chief, reported directly to the Executive Director, and the Executive Committee of UNODC decided that the Unit should monitor the implementation of evaluation recommendations and report these results to senior management and Member States.[27] OIOS notes that this arrangement provided for operational independence for the evaluation function within UNODC. OIOS was informed that the IEU was merged with the Strategic Planning Unit (SPU) to form the PME. OIOS further notes that currently the PME in Subprogramme 1 – Research, analysis and advocacy might continue

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[24] www.un.org/Depts/oios/mecd_manual/procedures_ppmr.pdf. Note that the 2008-2009 *Procedures for Programme Performance Monitoring and Reporting biennium through the use of IMDIS* are now available.

[25] Subprogramme 2 – Services for policy-making and treaty adherence and Subprogramme 3 – Technical assistance and advice.

[26] UNODC/MI/7/Rev. 1 (2004) of 1 May, Terms of Reference of the Independent Evaluation Unit (IEU).

[27] 2006 Annual Evaluation Report Independent Evaluation Unit (2006), paragraph 17, Page 7 and Annual Evaluation Report 2008 Covering activities from April 2007 to March 2008, Independent Evaluation Unit (2008), paragraph 9, page 6.

evaluation activities previously established by the IEU. While the mandate of PME is uncertain, UNODC should consider establishing and strengthening an independent function with an expanded role of monitoring and evaluation.

Core resources dedicated to the evaluation function are inadequate

22.   A 2006 JIU report, based on a review of the United Nations family of organizations, suggested as a benchmark that an evaluator post should be established for each increment of US$125 to $250 million of total resources managed in a biennium.[28] As per the Report of the Secretary-General A/60/6 (Section 16), the amount of resources dedicated to evaluation in UNODC was $1.57 million out of a total of $289.46 million for the 2006-2007 biennium. OIOS notes with concern that the IEU did not receive any funds from the core budget to support its activities.[29] Additionally, all staff positions in the IEU were funded from extrabudgetary resources. OIOS asserts that some regular budget funds ought to be dedicated to the evaluation function to ensure a sustainable evaluation function and practice in UNODC.

A well-developed system for undertaking evaluations and implementing recommendations existed in 2006-2007

23.   OIOS found that the IEU's work plan and system for (a) reporting on recommendations made, and (b) ensuring that evaluative results informed future project design and approval were established and in conformance with United Nations evaluation norms and standards. Specifically, IEU's work plan was guided by an evaluation strategy based on criteria for evaluation selection.[30] The strategic framework, linked with the overall strategic plan of UNODC, was approved by the Executive Committee, and every year the Executive Committee approved the annual work plan of the IEU. Two to four major evaluations were undertaken each year by IEU staff and external consultants.[31] As indicated by the United Nations Evaluation Standard, the system for ensuring that accepting and implementing recommendations from evaluation reports was established in 2007.[32] The Executive Committee received all major project evaluation reports and was responsible for drawing up the management response to the recommendations. The management response was recorded into an implementation plan, and the IEU used the plan to monitor the implementation of evaluation recommendations. As per a thematic

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[28] JIU/REP/2006/2 (2006), Joint Inspection Unit: Oversight Lacunae in the United Nations System, Annex 1.

[29] Annual Evaluation Report 2008 Covering activities from April 2007 to March 2008, Independent Evaluation Unit (2008), paragraph 24, page 9.

[30] Criteria considered included but was not limited to medium term priorities, organizational strategic considerations, programme coverage, potential for generating lessons, size and budget, thematic topics, global and regional coverage, status of projects, pilot projects and those projects that might be renewed or extended. Independent Evaluation Function: A Strategic Framework (2004).

[31] Evaluation Policy UNODC/MI/7/Rev. 1 (2004) of 1 May, paragraph 46.

[32] United Nations Evaluation Standard 3.17, stating that "Evaluation requires an explicit response by the governing authorities and management addressed by its recommendations."

evaluation undertaken in May 2007, 60 percent of the recommendations made were found to be partially or fully implemented.[33]

24.   Furthermore, the Strategic Planning Unit (SPU) was an invited member to the Programme and Project Committee, the entity through which projects are reviewed for alignment with the strategy of UNODC and approved. The IEU provided evaluation feedback to the SPU, so that evaluation results informed future project / programme approval and overall strategic planning.   OIOS recognizes that it is uncertain how follow-up on the implementation of the future evaluation recommendations will be carried out.   However, UNODC might consider initially putting in place a system that ensures the dissemination of evaluative information to its stakeholders, including governing bodies.

The extent to which evaluation support can now be offered to subprogrammes is uncertain

25.   OIOS found that the overall support to ensure a high-quality evaluation practice in 2006-2007 included (a) providing regular guidance material on evaluation, (b) supporting staff to conduct evaluations by approving terms of reference and comments on final reports before clearance, (c) assisting staff in field offices and headquarters to identify appropriate external evaluators, and (d) providing training, together with the SPU, on the different aspects of the evaluation process in relation to overall project cycle management. Staff interviews indicate that the evaluation support IEU provided was highly appreciated.[34] As the IEU is no longer in operation and the PME might assume the role of providing support in planning, monitoring, and evaluation, OIOS is not certain of the areas of support that are planned for the evaluation function. However, OIOS asserts that sustaining and building on this established evaluation function is important and the evaluation support to subprogrammes ought to be continued.

(iv)   The quality of project and thematic evaluation reports and their use is robust, but there is a lack of focus on impact

26.   The main objectives of conducting evaluations are to strengthen accountability to Member States and donors, programme service delivery, sustainability of activities, and impact.[35] OIOS found that according to the Annual Evaluation Reports covering the periods from 2006 to 2007, a total of 135 evaluations were expected, whereas 63 were

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[33] The Use Of Evaluation In UNODC: Learning And Improving Through Evaluative Thinking, Executive Summary. According to this report, out of a total of 66 evaluations conducted in UNODC between January 2004 and May 2007, a total of 1,083 recommendations, lessons learned and best practices were found in those reports. A total of 579 recommendations were made in the period under review. Of the recommendations sampled for the exercise, 60 percent were found to have been partially or fully implemented.

[34] Subprogramme 2 - Services for policy-making and treaty adherence and Subprogramme 3 - Technical assistance and advice.

[35] OIOS also found an established evaluation process, using self-evaluation forms available on ProFi. This process included the programme officer's analysis of project delivery, but external stakeholders did not systematically participate in this process. This form of evaluation was outside the scope of the inspection.

actually carried out as planned. [36] OIOS also found that all but two project evaluation reports followed the standardized format. [37] OIOS notes that while all of the thematic and project evaluation reports reviewed included thorough assessments of the degree to which UNODC activities fulfilled the project goals and objectives, there was comparably less focus on project impact. For example, the impact sections of both thematic and project reports reviewed included short-term assessments about strengthened cooperation with government, United Nations entities and non-governmental organizations, public declarations to tackle corruption by senior government officials, and strengthened capacity to improve law enforcement activity and reduce illicit drug trafficking. Though such discussions relate to UNODC's specific contributions to fulfilling overall drug and crime mandates, OIOS found that the reports had limited data collected with rigor to support the impact-related statements.

27. UNODC senior management is clearly aware of the value of impact assessments, expressing that evaluation ought to concentrate on "how skills provided by UNODC work or should work or what specifically we do matters" and ought to address questions specifically related to impact. [38] Furthermore, OIOS notes that in several reports documenting the deliberations of the governing bodies, a number of speakers also stressed the importance of assessing the impact of UNODC activities. [39] To inform strategic decision-making in drug and specific crime issues and to understand the extent of UNODC's contribution to drug and crime prevention, UNODC should consider the use of impact evaluations with defined scopes followed by the implementation of rigorous methods. OIOS notes that the size, duration, and resources of UNODC's projects are limited, and assessing long-term impact may be a challenge. However, for reasons stated above, OIOS emphasizes that impact of UNODC activities ought to be examined periodically and UNODC ought to plan over time to implement impact evaluations.

(v) Guidance to support staff to conduct evaluations adhered to United Nations evaluation norms and standards, but is to be reviewed to ensure closer alignment of evaluation policy with the strategic plan

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[36] Annual Evaluation Report Independent Evaluation Unit (2006), paragraph 104, page 26; and Annual Evaluation Report Independent Evaluation Unit (2008) Covering activities from April 2007 to March 2008, paragraph 65, page 18. There were 58 evaluations expected in 2006 and 77 expected evaluations in 2007, and 31 evaluations were actually carried out in 2006 and 32 in 2007.

[37] Annex 3 contains a total of 36 evaluation reports reviewed for 2006 and 2007. Specifically, a total of five (internal) thematic evaluations and 31 project evaluations were issued, including 22 reports in 2006 and the remaining 9 reports in 2007. Report components include (i) introduction, (ii) analysis and major findings, (iii) outcomes, impact and sustainability, (iv) lessons learned and best practices, (v) recommendations, and (vi) conclusions. The reports that did not follow the standard format were for projects numbered AD/GLO/06/I93 and FS/RAF/R98.

[38] Subprogramme 1 - Research, analysis and advocacy and Subprogramme 3 – Technical assistance and advice.

[39] E/CN.7/2006/10 ((2005/2006), Report of the 49th Commission on Narcotics Drugs Session, paragraph 119, page 59; E/CN.7/2007/16/Rev.1 (2006/2007), Report of the 50th Commission on Narcotics Drugs, paragraph 5, page 114); E/CN.15/2007/17/Rev.1 (2006/2007) Session Report of the 16th Crime Commission Session, paragraph 12 to 15, pages 13 and 14.

28.   OIOS found that the Evaluation Policy and Terms of Reference of the IEU were in compliance with the United Nations evaluation norms and standards, indicating the role and function that evaluation should serve for UNODC as well as the responsibilities of programme staff to use evaluation frequently and strengthen service delivery.   The two other guidelines to support staff in M&E are available on ProFi and the UNODC website, namely 1) Guidelines for the preparation of terms of reference for evaluation to assist staff in the preparation of terms of reference for independent project evaluations and for major and desk evaluations, and 2) Standard format and guidelines for Evaluation Reports to assist the evaluation team in drafting an evaluation report using a standardized format. OIOS notes that there are plans to revise the current evaluation policy so that it is further aligned with the programme's strategic planning.   ODC ought to develop a strategy when introducing revised or new guidance which may include orientation for staff among other resources for skills development.

V.   Conclusion

29.   UNODC's PPR data for the 2006-2007 biennium scored very highly with respect to its accuracy, adequacy, and credibility.   However, OIOS notes that mainstreaming gender into drugs and crime programmes is challenging, and the evaluation policy ought to provide staff with guidance on how to mainstream gender dimensions into their M&E processes.   A departmental focal point was recently assigned in PME, and the appointment of an alternate focal point would ensure continuity with the function during staff absences. OIOS learned that the IEU was merged with the SPU to form the PME, and the PME might continue previously established evaluation activities. Currently, the evaluation function is absent, and OIOS asserts that some regular budget funds should be dedicated to the evaluation function to ensure a sustainable evaluation function and practice.

30.   OIOS notes that impact assessment was limited in thematic and project evaluation reports, and both the governing bodies and senior management stress the importance of assessing the impact of UNODC activities to inform strategic decision-making. There are plans to revise the current evaluation policy so that it is further aligned with strategic planning. When UNODC introduces a revised role of evaluation, these revisions ought to be reflected in the evaluation guidance.

VI.   Recommendations

Recommendation 1:

31.   To ensure that subprogrammes translate gender into systematic reviews and analyses, UNODC should deploy an integrated approach to developing and incorporating gender dimensions throughout its results framework. (Paragraph 15)

Recommendation 2:

32.   To ensure that subprogrammes incorporate gender dimensions into their M&E processes, UNODC should include in the Evaluation Policy the necessary guidance for staff to mainstream gender dimensions into M&E processes, including but not limited to data collection,   analyses, reporting, and programmatic decision-making processes. (Paragraph 16)

Recommendation 3:

33.   To ensure timely updates in IMDIS and continuity of staff during staff absences owing to staff leave, turnover, or sickness, UNODC should have a departmental focal point, including an alternate focal point. (Paragraph 19)

Recommendation 4:

34.   To ensure that the evaluation function and practice are sustainable, UNODC ought to dedicate regular budget resources to this function in accordance with JIU benchmarks. (Paragraph 22)

Recommendation 5:

35.   UNODC should consider sustaining and building on the established system of (a) following up on the implementation of recommendations from future evaluations, and (b) supporting the subprogrammes by vetting terms of reference, providing guidance to staff in consultant recruitment (as needed), and providing regular guidance material in M&E, among other forms of support. (Paragraphs 24 and 25)

Recommendation 6:

36.   To inform strategic decision-making in programme direction and to understand the extent of UNODC's contribution to drug and crime prevention, UNODC should consider incorporating impact assessments into their evaluations over time. (Paragraphs 26 and 27)

Recommendation 7:

37.   To ensure that evaluation and the revised guidance is relevant and useful, UNODC ought to ensure that the newly emerging role of evaluation is included in the evaluation policy. (Paragraph 28)

Annex I.   Checklist Methodology

The Office of Internal Oversight Services (OIOS) inspection included the application of two successive checklists to determine whether or not the results presented in the Programme Performance Report (PPR) are accurate. This annex provides details of the checklists and the scoring process and presents charted results of the checklist data. [40]

The UNODC's results framework contains outputs, indicators of achievement (IoA), expected accomplishments (EAs), and objectives.[41]   The accuracy checklist considers whether or not the information, including outputs, reported in the PPR can be verified independently and are accurate. All outputs are grouped under the EAs, and a two-point scale is applied, where,

> 1 = independent information used to assess an output may verify the accuracy of the output;
> 0 = independent information used to assess an output may not verify the accuracy of the output.

A stratified random sample at the subprogramme level was developed to include all output categories with the number of outputs greater than ten. Every tenth output in each category (?) was selected and reviewed for its status (i.e., implemented, postponed, and terminated.) For implemented outputs, information was noted indicating how each one was implemented and the proof that was accepted as verification (including document symbols, workshop reports, and substantive servicing hours / dates).

The data from the checklists is the basis for scores reflecting compliance levels across all subprogrammes. Throughout the inspection report, these results are referred to as the percentage of results, including outputs, reviewed and found to be accurate.

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[40] For the purpose of this inspection, only the data presented in the 2006-2007 Programme Performance Report (PPR) is under consideration.

[41] Only outputs from the PPR are considered.

Chart 1: Percentage of PPR data confirmed as accurate

All PPR Data
Confirmed

Average for PPR Data Confirmed
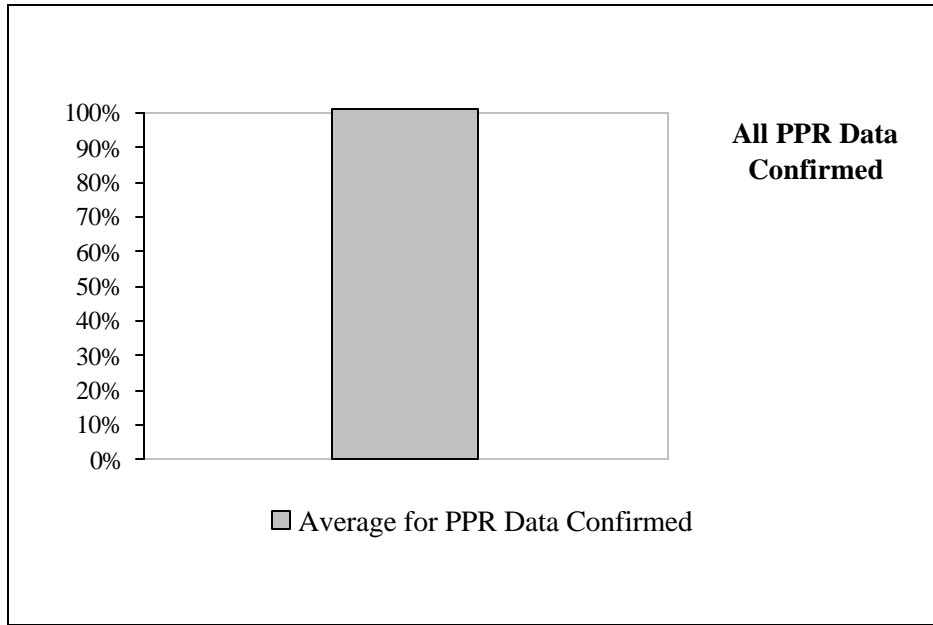
Chart 2: Percentage of randomly selected outputs implemented and confirmed

95% of outputs
implemented
and confirmed

Average for outputs implemented and
confirmed
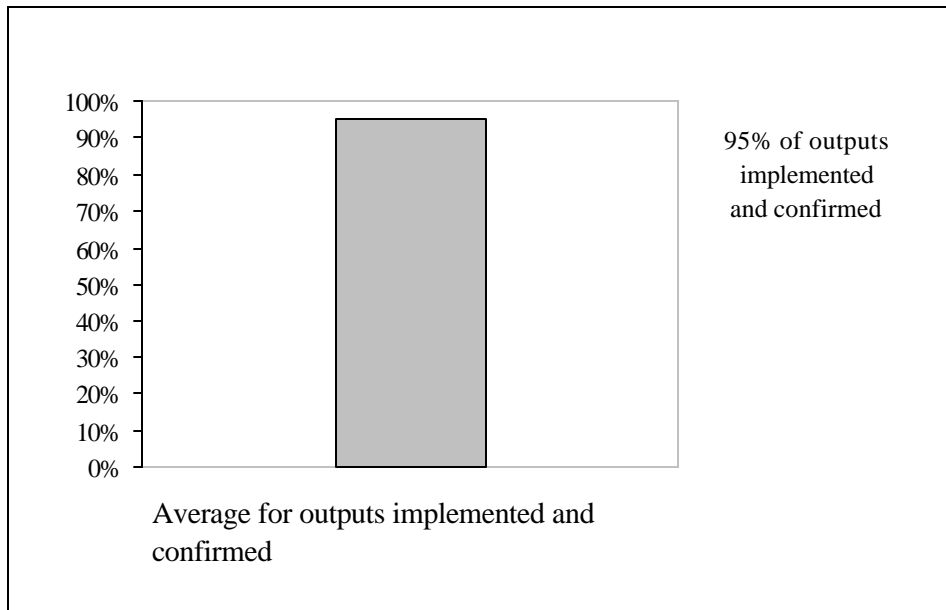
Annex II.   Checklist Data

Table 1: Outputs randomly selected for verification
Summary of Results for SP1, SP2 & SP 3 Random Sample of Outputs

	Subprogramme 1	Subprogramme 2	Subprogramme 3	Total
Total number of outputs	**116**	**654**	**1,664**	**2,434**
Stratified Sample of Outputs (number)	**9**	**162**	**63**	**234**
Substantive servicing of meetings		53		53
Parliamentary documentation		24	2	26
Expert groups, rapporteurs, depository services		3	2	5
Recurrent publications	4	16		20
Non-recurrent publications		2	3	5
Other substantive activities	5	21	22	48
Advisory services		38	6	44
Training courses, seminars and workshops		5	2	7
Fellowships and grants				0
Field projects			26	26
Conference services, administration, oversight				0

Status					**Percent**
Implemented	5	157	60	222	**95 %**
Postponed	1	2	1	4	**2%**
Terminated	3	3	2	8	**3%**

Table 2: Existence of baseline and target data on Indicators of Achievement and final reports on IoA targets

Sub-programme	Checkpoint for target and baseline data for UNODC EA 1	EA 2	EA 3	EA 4	EA 5	Total	Count of IoAs	Notes on final reporting
B								
Baseline	1 1 1	1				1.00	4	
Target	1 1 1	1				1.00	4	
1								All have final reporting
Baseline	1 1	1	1 1	1 1	1	1.00	8	
Target	1 1	1	1 1	1 1	1	1.00	8	All have final reporting
2								
Baseline	1 1 1 1	1 1 1 1	0 1 1 1 1			0.92	13	Baseline for EA2 and IoA (i) was "0" and should have had a revised baseline
Target	1 1 1 1	1 1 1 1	1 1 1 1 1			1.00	13	All have final reporting
3								
Baseline	1 1 1 1 1 1 1 1	1 1 1 1 1	1 1 1 1 1		1	1.00	19	
Target	1 1 1 1 1 1 1 1	1 1 1 1 1	1 1 1 1 1		1	1.00	19	All have final reporting

Average across all subprogrammes for existence of target information	**1.00**
Average across all subprogrammes for existence of baseline information	**0.98**

    (shaded area in table) = Not applicable

1 = IoA did include baseline or target data

0 = IoA did <u>not</u> include baseline or target data

Annex III. List of Evaluation Reports Reviewed

Project Evaluations 2006

1. AD/GLO/I05 - The Paris Pact Initiative - Regional Coordination of Programme Development for Countries Affected by Afghan Heroin Trafficking
2. AD/AFG/G24 - Capacity Building for Drug Control
3. AD/ COL/H70 - Cap Agroforestry Management in the Pacific Coast of Narino under the National Plan for Alternative Development
4. AD/BRA/98/D32 - Institutional Strengthening of the National Police Academy AD/BRA/98/D31 Institutional Strengthening of the National Police Academy
5. AD/BRA/98/D33 - Strengthening of Chemical Precursor Control
6. AD/BRA/98/D34 - Integrated National System for Information on Justice and Public Security
7. ETH/E84 Drug Demand Reduction program in Ethiopia
8. AD/KYR/G64 Drug Control Agency - Kyrgyz DCA
9. RAF/H33 Development of a Drug Control Capacity in the Sea Ports of East and Southern Africa
10. HON/H88 - Special Programme for Labour Market Re-Integrations of Youth at Risk in Honduras
11. FS/INS/03/R43 - Strengthening Judicial Integrity and Capacity in Indonesia
12. AD/JAM/01/87 - Drug Abuse Prevention for Youth at Risk
13. AD/NIR/02/F22 - Strengthening Treatment and Rehabilitation Services Offered by Government and NGOs
14. AD/RAS/2003/H13 - Prevention of Transmission of HIV/AIDS among Drug Users in SAARC Countries
15. AD/VIE/03/G55 - Interdiction and Seizure Capacity Building with Special Emphasis on ATS and Precursors
16. AD/VIE/H61- Drug Abuse Prevention among Ethnic Minorities in Viet Nam, Final
17. AFG/R40 - Reform of the Juvenile Justice System
18. AFG/R41 - Reform of Penitentiary System
19. AGF/R42 - Criminal Law & Criminal Justice Capacity Building
20. MAR/G56 - Demand Reduction Programme for Mauritius
21. AD/RER/01/F35, Strengthening the Capacities for Collection and Analysis of Criminal Intelligence in South - Eastern Europe
22. GLO/I93 - UNODC Support to Preparation of Federation International Ministerial Conference on the Afgan Drug Routes, "Paris 2"

Project Evaluations 2007

1. AD/NIR/05/124 - Upgrading of the Nigerian Drug Law Enforcement Agency Jos Training academy to a regional Law Enforcement Training Centre - Phase 2 AD/RER/03/F75 - Diversification of HIV prevention and drug treatment services for injecting and other drug users in Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan
2. AD/VIE/H68 - Technical Assistance to Treatment and Rehabilitation at Institutional and Community Level, Drug demand reduction, treatment and rehabilitation, Vietnam, Mid-term evaluation report
3. AD/RER/04/H37 Drug abuse and HIV/AIDS prevention through mass media, NGOs and civil society organizations
4. ADK/KEN/04 Prevention of drug abuse and HIV/AIDS among drug users, injecting drug users and vulnerable populations in Kenya
5. CPR/G75 - Suppression of illicit manufacturing and trafficking of Amphetamine Type Stimulatns (ATS) in South China
6. JOR56/S21 - Strengthening the legislative and institutional capacity of the juvenile justice system in Jordan
7. CAM/F17 -Programa Subregional Para Prevención Rehabilitación Y Reinserción Social
8. KEN/I08 - Prevention of drug abuse and HIV/AIDS among drug users, injecting drug and vulnerable popuations in Kenya
9. RAF/R98 - Assistance to law enforcement and prosecution services in Southern Africa to implement the Protocol to Prevent, Supress and Punish Trafficking in Persons

Thematic (Internal) Evaluations 2007

1. Thematic Evaluation of the Global Project on Strengthening the Legal Regime against Terrorism (GLO/R35)
2. The Use of Evaluation in UNODC: Learning and Improving Through Evaluative Thinking

Thematic (Internal) Evaluations 2006

1. Evaluation of UNODC Support Mechanisms for Technical Cooperation
2. Thematic Evaluation of Counter Narcotics Enforcement in Central Asia
3. Evaluation of the Global Project on Strengthening the Legal Regime against Terrorism