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Evaluation Report of the
**In-Depth Thematic Cluster Evaluation of the
projects: XAC/Z60, TAJ/E24, TAJ/H03,
RER/H22, XAC/K22.**

Central Asia

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This independent evaluation report was prepared by an evaluation team consisting of James Newkirk, Konstantin Osipov, Chantelle Cullis and Carlos Asenjo Ruiz. The Independent Evaluation Unit (IEU) of the United Nations Office on Drugs and Crime (UNODC) provides normative tools, guidelines and templates to be used in the evaluation process of projects. Please find the respective tools on the IEU web site:

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ACRONYMS AND ABBREVIATIONS

Abbreviation	Full name	Abbreviation	Full name
BCP	Border Crossing Point	Prodoc	Programme document
BENATOC	Building Effective Networks Against Transnational Organized Crime	Programme	UNODC's Programme for Central Asia (2015-2019)
BLO	Border Liaison Offices	ROCA	Regional Office Central Asia
CARICC	Central Asian Regional Information and Coordination Centre for Combatting Illicit Trafficking of Narcotic Drugs, Psychotropic Substances and Their Precursors	SCDC	Tajik State Commission on Drug Control
CCP	WCO-UNODC Global Container Control Programme	SDG	Sustainable Development Goal
CLP	Core Learning Partners	SELEC	Southeast European Law Enforcement Center
CSO	Civil Society Organization	Logframe	Logical Framework
DAC	Development Assistance Committee	MDT	Mobile Deployment Team
DCA	Drug Control Agency under the President of the Republic of Tajikistan	MTE	Mid Term Evaluation
DO	Division for Operations	NDR	Northern Distribution Route
DTA	Division for Treaty Affairs	NGO	Non-Governmental Organization
GPAT	Global Programme Against Trafficking	NPO	National Project Officer
HTMSS	Human Trafficking and Migrant Smuggling Section	NPS	New psychoactive substances
HQ	Headquarters	OCB	Organized Crime Branch
IEU	Independent Evaluation Unit	TOC	Transnational Organised Crime

IMT	Interagency Mobile Teams	TPB	Terrorism Prevention Branch
ISS	Implementation Support Section	UNEG	United Nations Evaluation Group
JPC	Joint Planning Cell	UNCAC	United Nations Convention Against Corruption
JS	Justice Section	UNDAF	The UN's strategic, medium term results framework that describes the collective vision and response of the UN system to national development priorities and results on the basis of normative programming principles.
LEA	Law Enforcement Agencies	UNODC	United Nations Office on Drugs and Crime
OECD/ DAC	The Organisation for Economic Cooperation and Development. The Development Assistance Committee is a forum to discuss issues surrounding aid, development and poverty reduction in developing countries.	UNTOC	United Nations Convention against Transnational Organised Crime
PCU	Port Control Units	WCO	World Customs Organisation

MANAGEMENT RESPONSE

Recommendation	Management Response (accepted/partially accepted/rejected)
Recommendation 1 – Building greater impact: UNODC’s Sub-programme senior management should give significant focus to consolidating and building on the change that has happened –i.e. by further strengthening database-based investigative processes, the integrated approach, and the use of technology at borders.	Accepted: UNODC will continue to work with the relevant Central Asian law enforcement agencies to further invest in enhancing database/intelligence led investigation processes.
Recommendation 2 – Strengthening international cooperation: UNODC’s Sub-programme senior management should strengthen the current focus on international cooperation, particularly through the further development and implementation of MoUs or similar agreements which facilitate the sharing of classified information, cross-border collaboration and communication, in-country intra-agency collaboration and communication, and adaptation of legislative and policy changes in Member States.	Accepted. UNODC will use the existing regional cooperation initiatives such as the MoU on Sub-regional Drug Control Cooperation as well as other instruments in order to further strengthen international cooperation between the Member States. UNODC will explore other vehicles through which it can facilitate improved intra-agency collaboration and communication.
Recommendation 3 – Focus on outcomes 3, 4, 5 and 6: UNODC’s senior regional management in Tashkent and Vienna, and Sub-programme senior management should look strategically at the results framework of the Sub-programme and give increased attention to Outcomes 3, 4 and 5 (human trafficking, terrorism and AML) as well as the ongoing discussions about cybercrime (Outcome 6), in order to increase the strategic focus of the Sub-programme and to seize further fundraising and partnership opportunities.	Accepted. Several initiatives are underway with the support of UNODC global programmes implemented in the Central Asian region which contribute to Outcomes 3, 4, 5 and 6 of the Programme for Central Asia. UNODC has initiated consultations to attract additional funding at national and regional levels.
Recommendation 4 – Partnerships/leadership: UNODC’s senior regional management in Tashkent and Vienna, and Sub-programme senior management should give a more specific focus to partnerships, beyond the current focus on counterpart agencies to a greater emphasis on other UNODC initiatives and external partners, in order to benefit from increased knowledge-sharing as well as from joint planning, coordination, and collaboration.	Accepted. UNODC has established and is further developing partnerships with the OSCE, SCO, UNRCCA and the UN RC to support the relevant UNDAFs in the Central Asian region. UNODC will further seek alliances with other relevant entities.

<p>Recommendation 5 – Sub-programme management: UNODC’s senior regional management in Tashkent and Vienna should immediately fill the Sub-programme Coordinator position to ensure an effective transition towards a fully integrated, programmatic approach and increased contribution to the fulfilment of the UNDAFs in the region.</p>	<p>Accepted. Currently, the UNODC ROCA Law Enforcement adviser is on special leave without pay. ROCA will initiate the hiring process of a new Law Enforcement Advisor as soon as funds are available.</p>
<p>Recommendation 6 – Strengthening fundraising: UNODC’s senior regional management in Tashkent and Vienna should develop a more strategic focus on funding in order to expand the donor base and ensure the sustainability of the Sub-programme –i.e. by developing fundraising capacity and by elaborating and implementing a fundraising strategy.</p>	<p>Accepted. UNODC ROCA currently has a fund-raising strategy set out in the Programme for Central Asia 2015-2019.</p>
<p>Recommendation 7 – CARICC exit strategy: UNODC’s Sub-programme management and CARICC team should give immediate and detailed consideration to the formal CARICC exit strategy discussed in project documentation as well as in the body of the report with a view to increasing the ownership and sustainability of CARICC efforts.</p>	<p>Accepted. Current follow-up work is being conducted in relation to the technical assessment and the administrative assessments that were completed in 2016. Once CARICC Management has complied with all recommendations, CARICC will possess the ability to be an independent, fiscally responsible structure capable of implementing its mandate.</p>
<p>Recommendation 8 – Human rights and gender: UNODC’s senior regional management in Tashkent and Vienna and Sub-programme senior management should take action to ensure that a human rights and gender analysis of the Sub-programme is undertaken with a view to ensuring a specific focus on human rights and gender mainstreaming in strategic planning, implementation, and reporting.</p>	<p>Accepted. UNODC will further ensure that human rights and gender related matters are embedded into all of its activities, including training courses, seminars and publications. Furthermore, UNODC ROCA will ensure that both human rights and gender will be fully integrated into the next cycle of the UNODC Programme for Central Asia.</p>

EXECUTIVE SUMMARY

Introduction

The *Programme for Central Asia (2015-2019)* represents the overarching strategic and programmatic framework under which UNODC provides technical assistance within the Central Asian States, building at the same time regional cooperation. The *Programme* describes UNODC's assistance to the region as it moves from implementing a series of stand-alone projects to a more substantial and coherent programme, focused on contributing towards defined strategic outcomes. It builds on previous UNODC assistance within the sub-region and aims to deliver in an integrated and comprehensive manner rather than as a series of standalone projects. A strong emphasis is placed on pursuing cooperation with relevant regional partnership mechanisms and frameworks as envisaged under the 1996 Memorandum of Understanding (MoU) on Sub-regional Drug Control Cooperation in Central Asia. The *Programme* is coordinated via the Regional Office for Central Asia, in Tashkent, and technical assistance is delivered via the UNODC Programme Offices in Astana, Almaty, Bishkek, Dushanbe and Ashgabat. With a projected budget of \$70 million between 2015 and 2019, the *Programme* aims to enhance both national level capabilities within, and develop increasing sub-regional cooperation between, the Central Asian States, with a primary focus on supporting the Governments of the region to improve their capacity to deal with regional drug and crime challenges that are best addressed through cross-border and intra-regional cooperation.

Within the *Programme for Central Asia (2015-2019)*, *Sub-programme 1 – Countering transnational organised crime, illicit drug trafficking and preventing terrorism* supports law enforcement agencies in the Central Asian States in specific niche areas that include drug control strategies, intelligence analysis, counter narcotics investigations, multilateral operations (including controlled deliveries), precursor controls, border liaison and management, customs profiling, smuggling of migrants, human trafficking, terrorism prevention and cybercrime. The **objective of Sub-programme 1** is: 'Member States: more capable and proficient at responding to transnational organised crime, illicit trafficking and illicit drug trafficking at the normative and operational levels in accordance with relevant UN conventions; and criminal justice regimes are strengthened and more capable at preventing and combating terrorism in accordance with the rule of law.'¹

As the UNODC office for Central Asia has moved onto the Programme footing described above, a number of projects were subsumed into Sub-programme 1. These projects include (but are not limited to):

- Strengthening control along the Tajik-Afghan border (TAJ/E24). In June 1999 UNODC initiated the national project *Strengthening Control along the Tajik/Afghan border* with the aim of developing drug control capacity of law enforcement agencies involved in border control. In the past the project was funded by Canada, the Czech Republic, France, the Russian Federation, the UK, the United States of America and UNDP. The latest donors of the project are the US (INL) and Japan Governments that have funded the project through 2018. The period covered by this evaluation is from

¹ 2015. UNODC. Programme for Central Asia. A partnership framework for impact related action in Central Asia.

2010 through June 2018. UNODC's support to strengthened control along the Tajik-Afghan border continues in Sub-programme 1 of XAC/Z60 through Outcome 1.2.

- “Tajikistan Drug Control Agency (DCA) – Phase II (TAJ/H03)”. The project provides technical assistance to the Government of Tajikistan, including the Drug Control Agency under the President of the Republic of Tajikistan (DCA) with the objective of assisting the agency to develop into the lead drug law enforcement agency in Tajikistan. In 1999 the Republic of Tajikistan and UNDCP signed a protocol regarding the new specialized agency, which was then formally established by a presidential decree. The Tajikistan Drug Control Agency was administered through project AD/TAJ/D65, which ended in 2003. The present evaluation concerns the continuation of support to the DCA. In Sub-programme 1 of XAC/Z60, UNODC continues supporting this type of activities through Outcome 1.1.
- Establishment of Central Asian Regional Information and Coordination Center (CARICC) (RER/H22). The project assists the Member States to implement the MoU on Sub-Regional Drug Control Cooperation in establishing the Centre, the purpose of which is to facilitate the collection, analysis, sharing and use of drug related intelligence/information and assist in the coordination of multilateral counter-narcotics operations. The Centre facilitates coordination between the law enforcement agencies of each Member State and other regional and international law enforcement organizations. The project was launched in 2004. The CARICC Agreement was endorsed at the Ministerial Meeting in 2006 and the Centre began limited operations in 2007 and was formally inaugurated in December 2009. The project was extended until the end of 2017. At present, the project is embedded in Sub-programme 1 of XAC/Z60 through Outcome 1.7.
- Countering the traffic of opiates from Afghanistan through the Northern route via strengthening the capacity of border crossing points (BCPs) and establishment of border liaison offices (BLOs) - (XAC/K22). The project was initiated in response to the growing threat from the transporting of opiates (heroin) from northern Afghanistan to Russia and Europe via the ‘Northern Distribution Route’. To counter the powerful trafficking groups the project was initiated in 2009 to build capacities at Central Asia Border Crossing Points, enhance the level of expertise of officers at crossings, to establish intelligence sharing and communications mechanisms between state agencies, and to draft legal and binding documents for inter-agency and cross-border cooperation.

Through *Sub-programme 1 - Countering transnational organized crime, illicit drug trafficking and preventing terrorism* the Regional Office for Central Asia (ROCA) provides technical assistance in the field of law enforcement which includes establishment of new structures, enhancing capacity and developing cooperation.

The four mentioned projects and the whole of *Sub-programme 1: Countering transnational organized crime, illicit drug trafficking and preventing terrorism* of the UNODC Programme for Central Asia (2015-2019) (XAC/Z60) are the focus of this evaluation.

Purpose, scope and methodology of the evaluation

The purpose of the evaluation was to assess, *for each of the projects and Sub-programme*, the OECD DAC criteria of relevance, efficiency, effectiveness, impact and sustainability. In addition, established partnerships and cooperation, human rights and gender mainstreaming were assessed. The evaluation specifically assessed how gender aspects have been mainstreamed into the project. Further, lessons learned and best practice were identified, and recommendations based on the findings were formulated. The evaluation paid special attention to reflecting and assessing the rationale for and the ongoing process of transition from individual projects to a single programme under Sub-programme 1 of the UNODC *Programme for Central Asia (2015-2019)*, although it is noted that the transition is at a very early stage and detailed analysis was not possible.

The evaluation methodology conforms to UNODC Norms and Standards for Evaluation and specifically considered primary and secondary data sources. A qualitative approach was taken based on the evaluation team's understanding of the Sub-programme's design and activities, and the requirements of the Terms of Reference. The main data sources consisted of programme documentation and programme stakeholders, although external informants and documents were also accessed. 178 documents were reviewed for the evaluation. The documents analysed include a range of reports (project, Sub-programme) both for internal and external reporting and reporting to donors, programme design documentation, and a range of general documentation related to the Sub-programme. A total of 101 people were interviewed, including 25 women and 76 men. Many interviews involved more than one evaluator, to facilitate note-taking and triangulation. The evaluation combined investigator triangulation with methodological triangulation, involving document review, interviews with multiple stakeholders, and observation at border posts and other facilities.

The team synthesised and analysed data collected during document review and primary research. This analysis was drawn together into a set of coherent findings in response to the evaluation questions, balancing the views of external and internal informants and documents, to maximize reliability. Based on these findings, the evaluation team formulated its conclusions, a set of key lessons learned and recommendations. This report is the product of this synthesis and formulation process.

Main Findings and Conclusions

Design - All projects that have been subsumed into the Sub-programme contributed to an effective response to transnational organised crime, and all related initiatives of the programme follow in this framework. However, there is not, currently, a funded project/initiative focus on a number of the programme's intended outcomes (human trafficking, proceeds of crime and terrorism) – the focus is on the drug-related priorities of the projects subsumed into the Sub-programme.

Relevance - 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 in a number of priority areas including drug control strategies, intelligence analysis, counter narcotics investigations, multilateral operations (including controlled deliveries), precursor controls, border liaison and management, customs profiling, smuggling of migrants, human trafficking, terrorism prevention and cybercrime including related financing and money-laundering. The Sub-programme works with these law enforcement agencies to develop a collective response and improvements in cooperation and

coordination. The focus of the Sub-programme on building the capacity of partner law enforcement agencies is a significant aspect of the programme. Specific mention is made of efforts that address changes in legislation and policy.

Efficiency - There is an issue with management in that the law enforcement expert position is not filled, and has been vacant for some time. This vacancy is impacting on the Sub-programme through the absence of a strong, overall strategic perspective and a 'driver' for the Sub-programme regionally. Coordination is at a high level, but strategic management is lacking. Fundraising processes are also missing a 'driver'.

Effectiveness - CARICC is symbolic of the integration of countries/ Member States and their commitment to working towards described goals in their mutual counter-narcotics strategies and their overall approach toward border security and law enforcement. CARICC is well placed to serve as a focal point for the region in this capacity but has yet to be utilised in such a comprehensive manner. As the BLOs, border posts, BCPs, IAMTs, the DCA of Tajikistan and CARICC further expand their knowledge base and expertise, it is imperative that efforts are made to encourage more open channels of communication, recognising that information and intelligence is the most valuable currency in the fight against organised crime. High quality intelligence must first be recognized in the field, and fed upwards to skilled analysts who can develop threat and risk assessments and analytical reports that can be filtered back to those on the front line. An important area of ongoing conversation is the (potential) shift in CARICC away from operations to a focus solely on intelligence gathering and sharing. Irrespective of the direction chosen, current efforts to strengthen analytic skills are an important focus, as is increasing competencies in the use of I2 software, in performance of risk assessment, and in effectively targeting high risk individuals and cargo/ goods involved in the trafficking of narcotics and other forms of transnational crime.

Preliminary impact - There are a range of areas where indicators of current impact exist. These areas include the database-based investigative processes; the use of technology at borders, the MoUs or similar agreements including the CARICC agreement (CARICC itself, and the regional processes it facilitates have already impacted positively on Member States) international such as that which facilitate the sharing of classified information (an international agreement on the sharing of intelligence would be of significant value to all Member States), the cross-border collaboration and communication that has so far developed, and the legislative and policy changes that are visible.

Sustainability - There are a number of positive indicators of sustainability from programme initiatives. These include the DCA in Tajikistan, which is likely to be self-sustaining, and is likely to continue to contribute in positive ways to all priority areas of the programme for the foreseeable future; the clear movement in a number of beneficiary agencies to take responsibility for the training of staff and the legislative and policy changes. There remains too much dependence on donor funding, and an exit strategy for CARICC in an area where a more clearly defined transfer from UNODC/ international dependence is needed.

Partnership - Partnerships with national counterparts is a clear and strong aspect of the programme. A push to create a stronger BLO network, based on relationships and increases in technology, would take the work of BLOs to the next level, allowing for further information exchange on a regular basis. Stronger, more clearly defined relationships with the Regional Programme for Afghanistan and Neighbouring Countries would be of benefit, as would clear focus on and contributions to the UNDAFs.

Human rights and gender equality - The evaluation did not see a focus in programme design reporting on either human rights or gender. Of particular concern, more than the absence of a focus in activities and reporting is an apparent lack of any specific efforts to address these issues in design and implementation, i.e., a focus on *consideration of how* human rights and gender could become more prominent in planning, implementation and reporting, for the programme and for counterparts.

Key Recommendations

Much more detail on the basis of the recommendations can be found both in the Summary Matrix of Findings, Evidence and Recommendations below and in the Recommendations section later in the report.

Recommendation 1 - Building greater impact. It is recommended that the Sub-programme give significant focus to consolidating and building on the change that has happened. As is discussed throughout the report's findings and conclusions, significant inroads have been made in a number of important areas, each of which has the potential for even greater impact within the framework of the regional Sub-programme.

Recommendation 2 - Strengthening international cooperation. It is recommended that the current focus on international cooperation remain a focus and is strengthened, particularly through the further development and implementation of MoUs or similar agreements. This is a particular component of *building greater impact* that has been singled out in order to give it particular emphasis.

Recommendation 3 - It is recommended that the Sub-programme looks strategically at its results framework and give particular attention to including a focus on Outcomes 3, 4 and 5 (human trafficking, terrorism and AML) as well as the ongoing discussions about cybercrime (Outcome 6). Such a shift in focus is important strategically, and with donors and partners, and a particular focus here on the Sub-programme's potential to contribute to the fulfilment of the UNDAFs is noted.

Recommendation 4 – Partnerships. It is recommended that a more specific focus be given to partnerships beyond the current focus on counterpart agencies to a greater emphasis on other UNODC initiatives and external partners. As with Recommendation 3, of particular importance here are the UNDAFs, and how the Sub-programme can coordinate and collaborate closely with sister agencies within the UNDAFs. Particular mention is made of UNODC's Regional Programme for Afghanistan and Neighbouring Countries, and the other sub-programmes of the Programme for Central Asia where these have specific conceptual links with the Sub-programme. The Sub-programme would benefit from promotion of knowledge-sharing and joint activities, with the intention of ensuring a very strong process of joint planning, coordination and collaboration, and delivering outputs and outcomes across related outcome areas that strengthen UNODC's results.

Recommendation 5 - Sub-programme management. It is recommended that the question of Sub-programme management/ leadership be resolved immediately. As discussed in the Findings and Conclusions sections, Sub-programme strategy, including detailed planning of initiatives and the interactions of these initiatives with other programmes, will benefit from filling the Sub-programme Coordinator position to ensure the Sub-programme has its 'driver'. It is important to move beyond focusing on coordination and look at where the Sub-programme's initiatives need to be in 5-7 years, to plan in detail as a Sub-programme team

how this will be done in a collaborative way and to then move strongly as defined in the plans. This is of course critical to the transition process, and ensuring the Sub-programme is able to effectively address the challenges which are ahead in moving to a fully integrated, programmatic approach. It is also critical to the full realisation of the UNDAFs, and the Sub-programme's role in their fulfilment.

Recommendation 6 - Strengthening fundraising. It is recommended that a more strategic focus on funding be developed within the Sub-programme. This is a critical but subsidiary component of the Sub-programme management recommendation that has been set out for emphasis. Further detail is found in the Recommendation section.

Recommendation 7 - CARICC exit strategy. It is recommended that formal exit strategy discussed in project documentation as well as in the body of the report above be given immediate and detailed consideration. The role of UNODC with CARICC needs to be clarified and formalised in documentation, including definition of an end date for technical assistance and the process for reaching that end date. Philosophically, the focus can be on moving from a mentor role to a partner role – while maintaining the focus on ensuring CARICC is fully operational prior to any exit. The evaluation does not have a view on the timing nor the content of an 'exit', but recommends that a formal document that clearly defines the process of change: actions, timing, costs and the form and function of a longer-term relationship be developed. It is also noted that the role and function of UNODC, with CARICC, in terms of financial oversight and assistance may have a different structure and timing – this too needs to be discussed and planned, and to be clarified in an exit strategy document.

Recommendation 8 - Human rights and gender equality. It is recommended that the Sub-programme undertake a human rights and gender analysis of its focus and priorities with a view to ensuring a specific focus on human rights and gender mainstreaming in strategic planning, implementation, and reporting. The evaluation notes that the intent of this recommendation is to ensure the design focus of the Sub-programme, as expressed in the Prodoc, is fulfilled through detailed consideration of appropriately defined and relevant initiatives in the areas of human rights and gender equality.

SUMMARY MATRIX OF FINDINGS, EVIDENCE AND RECOMMENDATIONS

Findings ²	Evidence (sources that substantiate findings)	Recommendations ³
The evaluation found significant positive results being demonstrated with certain, specific components of the work of the projects subsumed into the Sub-programme and in the Sub-programme itself. Counterpart feedback on systems and technologies was clear, concise and detailed in the contributions being made to improvements in border control and communication. Particular note was also made of the importance of normative change (legislation and policy).	Programme Documents Progress reports Programme Staff Other stakeholders	Recommendation 1 – Building greater impact. UNODC’s Sub-programme senior management should give significant focus to consolidating and building on the change that has happened –i.e. by further strengthening database-based investigative processes, the integrated approach, and the use of technology at borders. Sub-programme senior management.
The evaluation found significant positive results being demonstrated in the work of the projects subsumed into the Sub-programme and in the Sub-programme in communication and collaboration in-country and to a certain extent cross-border. The expressed view was that this was an excellent basis for future work on integrating approaches across agencies (and across borders).	Progress reports Programme Staff Other stakeholders	Recommendation 2 – Strengthening international cooperation UNODC’s Sub-programme senior management should strengthen the current focus on international cooperation, particularly through the further development and implementation of MoUs or similar agreements which facilitate the sharing of classified information, cross-border collaboration and communication, in-country intra-agency collaboration and communication, and adaptation of legislative and policy changes in Member States. This is a particular component of <i>building greater impact</i> that has been singled out in order to give it particular emphasis. Sub-programme senior management.
The Sub-programme’s results framework covers the complete range of Outcomes related to transnational organised crime, while the current focus remains on the trafficking of illicit drugs and the border controls that have come from the projects subsumed into the Sub-programme. There are a number of strategic and practical (funding) reasons for giving	Programme Documents Programme Staff	Recommendation 3 – Focus on outcomes 3, 4, 5 and 6 UNODC’s senior regional management in Tashkent and Vienna, and Sub-programme senior management should look strategically at the results framework of the Sub-programme and give increased attention to Outcomes 3, 4 and 5 (human trafficking, terrorism and AML) as well as the ongoing discussions about cybercrime

² A finding uses evidence from data collection to allow for a factual statement.

³ Recommendations are proposals aimed at enhancing the effectiveness, quality, or efficiency of a project/programme; at redesigning the objectives; and/or at the reallocation of resources. For accuracy and credibility, recommendations should be the logical implications of the findings and conclusions.

Findings ²	Evidence (sources that substantiate findings)	Recommendations ³
focus to all aspects of the Sub-programmes existing design, not least that the current and ongoing focus on border systems do not require a sole focus on illicit drugs.		(Outcome 6), in order to increase the strategic focus of the Sub-programme and to seize further fundraising and partnership opportunities. UNODC Senior Regional Management in Tashkent and Vienna. Sub-programme senior management.
While there are strong indications in programme documentation on the focus on partners, and strong support from counterparts regarding the quality of communication and partnership demonstrated by the Sub-programme to counterparts, what is missing is some focus on partnership and collaboration with other UNODC programmes and the programmes of other international agencies – a focus that has the potential for strengthening efficiencies and widening impact.	Programme Documents Programme Staff Other stakeholders	Recommendation 4 – Partnerships UNODC's senior regional management in Tashkent and Vienna, and Sub-programme senior management should give a more specific focus to partnerships, beyond the current focus on counterpart agencies to a greater emphasis on other UNODC initiatives and external partners, in order to benefit from increased knowledge-sharing as well as from joint planning, coordination, and collaboration. UNODC Senior Regional Management in Tashkent and Vienna. Sub-programme senior management.
The regional coordinator position has been effectively empty for over two years. There are established coordination systems in place, but the evaluation found this is only going a certain way in driving the future directions of the Sub-programme, which is at a critical moment in its establishment and in setting future directions.	Programme Staff Other stakeholders	Recommendation 5 – Sub-programme management/leadership UNODC's senior regional management in Tashkent and Vienna should immediately fill the Sub-programme Coordinator position to ensure an effective transition towards a fully integrated, programmatic approach and increased contribution to the fulfilment of the UNDAFs in the region. UNODC Senior Regional Management in Tashkent and Vienna.
There is correlation between the status of fundraising specifically and the overall directions of the Sub-programme. In its field research the evaluation found a lack of strategic direction and focus.	Programme Staff Other stakeholders (donors)	Recommendation 6 – Strengthening fundraising UNODC's senior regional management in Tashkent and Vienna should develop a more strategic focus on funding in order to expand the donor base and ensure the sustainability of the Sub-programme – i.e. by developing fundraising capacity and by elaborating and implementing a fundraising strategy. This is a critical but subsidiary component of the Sub-programme management recommendation that has been set out for emphasis. UNODC Senior Regional Management in Tashkent and Vienna.
Design documentation references development of an exit strategy but this has not been specifically done	Programme Documents	Recommendation 7 – CARICC exit strategy UNODC's Sub-programme management and CARICC team should give immediate and

Findings ²	Evidence (sources that substantiate findings)	Recommendations ³
(there are aspects of such, referred to as a self-sustainability strategy). The project (H22) was about <i>establishing</i> CARICC). The expressed view is that the next stage must now be the focus, with particular emphasis on moving beyond a UNODC focus, toward a Member State focus.	Progress reports Programme Staff	detailed consideration to the formal CARICC exit strategy discussed in project documentation as well as in the body of the report with a view to increasing the ownership and sustainability of CARICC efforts. Sub-programme management; UNODC's CARICC team.
The evaluation did not see a focus in Sub-programme design or reporting on either human rights or gender. Of particular concern, more than the absence of a focus in activities and reporting is an apparent lack of any specific efforts to address these issues in design and implementation. What is of particular concern is the lack of a specific intent, a focus on consideration of how human rights and gender could become more prominent in planning, implementation and reporting, for the Sub-programme and for counterparts.	Programme Documents Programme Staff Other stakeholders	Recommendation 8 – Human rights and gender UNODC's senior regional management in Tashkent and Vienna and Sub-programme senior management should take action to ensure that a human rights and gender analysis of the Sub-programme is undertaken with a view to ensuring a specific focus on human rights and gender mainstreaming in strategic planning, implementation, and reporting. UNODC Senior Regional Management in Tashkent and Vienna. Sub-programme senior management.

I. INTRODUCTION

PROGRAMME SUMMARY

Project number:	XAC/Z60 TAJ/E24 TAJ/H03 RER/H22 XAC/K22
Project title:	XAC/Z60 - Sub-Programme 1 Countering transnational organized crime, illicit drug trafficking and preventing terrorism of the UNODC Programme for Central Asia 2015-2019 TAJ/E24 - Strengthening control along the Tajik-Afghan border TAJ/H03 - Tajikistan Drug Control Agency (DCA) – Phase II RER/H22 – Establishment of a Central Asian Regional Information and Coordination Center XAC/K22 - “Countering the traffic of opiates from Afghanistan through the Northern route via strengthening the capacity of border crossing points (BCPs) and establishment of border liaison offices (BLOs)”
Duration:	XAC/Z60- May 2016 – December 2019 TAJ/E24 - June 1999 – December 2018 TAJ/H03 – 1 March 2003 - 31 December 2017 RER/H22 – October 2004 – 31 December 2017 XAC/K22 – October 2009 – 30 June 2018
Location:	XAC/Z60- Central Asia TAJ/E24 - Tajikistan TAJ/H03 – Tajikistan RER/H22 - Central Asia XAC/K22 – Kazakhstan, Kyrgyzstan, Tajikistan, Uzbekistan
Linkages to Country Programmes:	National Border Management Strategy 2010-2025 UNODC Programme for Central Asia 2015-2019: a partnership Framework for impact related action in Central Asia, Sub-programme 1: 1. Countering Transnational Organized Crime and Drug Trafficking 1. (b) Member States are equipped to take effective action against transnational organized crime, including: drug trafficking; money laundering; trafficking in persons; smuggling of migrants; illicit manufacturing and trafficking of firearms; and emerging policy issues as mentioned in General Assembly resolution 64/179
Linkages to Regional Programmes:	The project supports the UNODC Counter Narcotics Strategic Framework 2014-2015, UNODC Programme for Central Asia (2015-2019) and UNODC Regional Programme for Promoting Counter Narcotics Efforts in Afghanistan & Neighbouring Countries (2011-2014)
Linkages to Thematic Programmes:	Sub Programme 1: Countering transnational organized crime and illicit trafficking, including drug trafficking”.
Executing Agency:	UNODC ROCA UNODC Azerbaijan Programme Office UNODC Kazakhstan Programme Office; UNODC Kyrgyzstan Programme Office UNODC Tajikistan Programme Office UNODC Turkmenistan Programme Office;

Partner Organizations:	N/A
Total Approved Budget:	USD 4,162,995.49 (XAC/Z60) USD 13,365,230 (TAJ/E24) USD 15,680,482 (TAJ/H03) USD 21,410,000 (RER/H22) USD 7,556,932 (XAC/K22)
Donors:	XAC/Z60: Japan, United States of America, Sweden, Germany, Russian Federation; TAJ/E24: United States of America, Russian Federation, Japan, United Kingdom, Czech Republic, Canada, France, UNDP; TAJ/H03: United States of America, Norway, Germany, Finland, Italy, Tajikistan; RER/H22: United States of America, Canada, Finland, Japan, Italy; Kazakhstan; XAC/K22: Japan, Norway, United States of America.
Project Manager/Coordinator:	Mr. Yusuf Kurbonov, International Programme Coordinator; Mr. Reginal Pitts, Law Enforcement Expert; Ms. Amelia Hannaford, International Programme Coordinator; Mr. Rasoul Rakhimov, National Programme Manager; Ms. Nargis Ismatova, National Programme Officer; Mr. Muzaffar Tilavov, National Programme Officer.
Type of evaluation:	Cluster In-Depth Evaluation
Time period covered by the evaluation:	XAC/Z60 – 2016 – June 2018 (end of field mission) TAJ/E24 – 2010 - June 2018 (end of field mission) TAJ/H03 – 2012 - June 2018 (end of field mission) RER/H22 – 2012 - June 2018 (end of field mission) XAC/K22 – 2016 - June 2018 (end of field mission)
Geographical coverage of the evaluation:	Central Asia
Planned budget for this evaluation:	USD 90.000
Number of independent evaluators planned for this evaluation:	3 evaluators (1 team leader; 2 experts/team members). In addition, 1 IEU Evaluation Officer and backup.
Core Learning Partners (entities):	Ministry of Foreign Affairs of the Republic of Tajikistan Border Forces of the State Committee for National Security of the Republic of Tajikistan Drug Control Agency under the President of the Republic of Tajikistan Ministry of Interior Affairs of the Republic of Tajikistan Customs Service under the Government of the Republic of Tajikistan State Customs Committee of Uzbekistan State Border Protection Committee of Uzbekistan Ministry of Internal Affairs of Uzbekistan National Center on Drug Control of Uzbekistan Border Service under National Security Committee of Kazakhstan Ministry of Internal Affairs of the Republic of Kazakhstan Committee for State Revenues under Ministry of Finance of Kazakhstan

PROGRAMME OVERVIEW AND HISTORICAL CONTEXT

Transnational organized crime is an illicit web that stretches across the globe exploiting vulnerabilities and weaknesses in the name of profit. It encompasses a number of illicit activities, including drug trafficking, human trafficking, smuggling of migrants, illicit trading in firearms, illegal trade in wildlife, the sale of fraudulent medicines and cybercrime. Transnational organized crime is not stagnant, but is an ever-changing industry, adapting to markets and creating new forms of crime. It is an illicit business that transcends cultural, social, linguistic and geographical boundaries; and one of the world's major challenges and a critical obstacle to peace, development and good governance.

The region of Central Asia, composed of six landlocked countries: Afghanistan, Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan, is critical in the global response to transnational organized crime and the financing of terrorism. Smuggling of opiates is a serious destabilizing factor for all Central Asian states. Afghanistan remains the world's largest illicit opium-production country, with two thirds of global opium production concentrated there. Central Asia's borders present a unique opportunity for effective interception of illicit drugs and precursors, as well as for countering other illicit activities such as the smuggling of migrants, firearms, and cash. Tajikistan, Afghanistan's northern neighbour, is a key transit country for Afghan opiates bound northwards and westwards and is a major heroin consumer. Tajikistan's border with Afghanistan is over 1,344 km long and is considered the gateway to the "Northern Route" of opiate trafficking from Afghanistan. The combination of a long and ill-protected border and Tajikistan's convenient transport links to Russia have made the Tajik-Afghan border a favourite route for narcotics traffickers, smuggling heroin and opium out of Afghanistan and into northern and western recipient countries, and in this context resolving regional drug production and trafficking problem requires consolidated efforts of not only all Central Asian states, but also countries to which drugs are being trafficked, international organizations and civil society in general.

Programme for Central Asia, Sub-programme 1 – Countering transnational organised crime, illicit drug trafficking and preventing terrorism

The *Programme for Central Asia (2015-2019)* represents the overarching strategic and programmatic framework under which UNODC provides technical assistance within the Central Asian States, building at the same time regional cooperation. The *Programme* describes UNODC's assistance to the region as it moves from implementing a series of stand-alone projects to a more substantial and coherent programme, focused on contributing towards defined strategic outcomes. It builds on previous UNODC assistance within the sub-region and aims to deliver in an integrated and comprehensive manner rather than as a series of standalone projects. A strong emphasis is placed on pursuing cooperation with relevant regional partnership mechanisms and frameworks as envisaged under the 1996 Memorandum of Understanding (MoU) on Sub-regional Drug Control Cooperation in Central Asia. The *Programme* is coordinated via the Regional Office for Central Asia, in Tashkent, and technical assistance is delivered via the UNODC Programme Offices in Astana, Almaty, Bishkek, Dushanbe and Ashgabat. With a projected budget of \$70 million between 2015 and 2019, the *Programme* aims to enhance both national level capabilities within, and develop increasing sub-regional cooperation between, the Central Asian States,⁴ with a primary focus

⁴ 2015. UNODC. Programme for Central Asia. A partnership framework for impact related action in Central Asia.

on supporting the Governments of the region to improve their capacity to deal with regional drug and crime challenges that are best addressed through cross-border and intra-regional cooperation.

Within the Programme for Central Asia, *Sub-programme 1 – Countering transnational organised crime, illicit drug trafficking and preventing terrorism* supports law enforcement agencies in the Central Asian States in specific niche areas that include drug control strategies, intelligence analysis, counter narcotics investigations, multilateral operations (including controlled deliveries), precursor controls, border liaison and management, customs profiling, smuggling of migrants, human trafficking, terrorism prevention and cybercrime. As stated in the Programme for Central Asia, the **objective of Sub-programme 1** is:

Member States: more capable and proficient at responding to transnational organised crime, illicit trafficking and illicit drug trafficking at the normative and operational levels in accordance with relevant UN conventions; and criminal justice regimes are strengthened and more capable at preventing and combating terrorism in accordance with the rule of law.⁵

Sub-programme 1 networks the law enforcement agencies of Member States, increasing their ability to cooperate and coordinate across borders to provide a collective response to counter the threat posed by current and emerging transnational and organized crime. Furthermore, Sub-programme 1 promotes the Central Asian Regional Information and Coordination Centre (CARICC) as part of the Inter Regional Drug Control Approach. Linked increasingly to intra and inter regional networks, CARICC has the potential to assist Member States in addressing the elements associated with transnational organised crime, especially the trafficking of narcotics. Sub-programme 1 expands a number of UNODC initiatives such as Border Liaison Offices and Port Control Units established by the WCO-UNODC Global Container Control Programme (CCP). Law enforcement training continues to build capacity in areas where there are defined capacity gaps. Sub-programme 1 focuses on strengthening inter-regional training and educational facilities, sharing best practices, and as a long-term sustainable solution for institutionalising UNODC's training portfolio within national and regional structures.

The main features and context of each of the projects that are the subjects of this evaluation are summarised below.

1. Countering transnational organized crime, illicit drug trafficking and preventing terrorism of the UNODC Programme for Central Asia 2015-2019 (XAC/Z60)

Through *Sub-programme 1 - Countering transnational organized crime, illicit drug trafficking and preventing terrorism* the Regional Office for Central Asia (ROCA) provides technical assistance in the field of law enforcement which includes establishment of new structures, enhancing capacity and developing cooperation. Furthermore, ROCA seeks to network Central Asian law enforcement agencies through provision of platforms for a collective response to countering illicit drugs, diversion of precursor chemicals and addressing transnational and organized crime. Establishing a collective response to such threats requires accentuation of coordination of activities and strengthening of the linkages at country, sub-regional and global levels. Considering the volume of work required in Central

⁵ Ibid.

Asia, the framework of Sub-programme 1 consists of project activities in countering narcotics, law enforcement training, container control, border control and border liaison, prevention of terrorism, combatting money laundering and cybercrime, human trafficking and the smuggling of migrants. The overall objective of Sub-programme 1 can be defined as assisting in implementation of national law enforcement strategies, strengthening institutional capacity, developing technical infrastructure and promoting international and regional cooperation in Central Asia.

2. Strengthening control along the Tajik-Afghan border (TAJ/E24)

In March 1999 UNODC initiated the national project “Strengthening Control along the Tajik/Afghan border” with the aim of developing drug control capacity of law enforcement agencies involved in border control. In the past the project was funded by Canada, the Czech Republic, France, the Russian Federation, the UK, the United States of America and UNDP. The latest donors of the project are the US (INL) and Japan Governments that have funded the project through 2018. The period covered by this evaluation is from 2010 through June 2018. The project incorporated the following objectives (although it is noted that over the 18 years of the project’s existence the outcome, output and activity statements were revised on more than one occasion.

- Outcome 1: Increased capacity of national border control authorities to improve required national legal instruments, institutional and administrative structures for a comprehensive border control system in Tajikistan is in place.
- Outcome 2: Border control capacities are increased through provision of relevant trainings, refurbishment and equipment to reduce drug trafficking.
- Outcome 3: Border control related investigative and intelligence analysis capacities of border guards and other law enforcement agencies are increased at HQs, selected sectors of Tajik-Afghan border and some "exit" points.
- Outcome 4: Cross border cooperation is increased between Tajik border control agencies conducting border drug control along the Tajik-Afghan border and their counterparts in Afghanistan and neighbouring countries.

UNODC’s support to strengthened control along the Tajik-Afghan border continues in Sub-programme 1 of XAC/Z60 through Outcome 1.2.

3. Tajikistan Drug Control Agency (DCA) – Phase II (TAJ/H03)

The project enhances the national as well as regional law enforcement capacity by providing technical assistance to the Government of Tajikistan, including the DCA. The overall objective is to assist the agency to develop into the lead drug law enforcement agency in Tajikistan; to become capable of developing operations against high-level drug trafficking organizations and interdicting illicit drug and precursor chemical shipments. In 1999 the Republic of Tajikistan and UNDCP signed a protocol regarding the new specialized agency, which was then formally established by a presidential decree. The Tajikistan Drug Control Agency was administered through project AD/TAJ/D65, which ended in 2003. The present evaluation concerns the continuation of support to the DCA via project TAJ/H03 “Tajikistan Drug Control Agency (DCA) – Phase II”. The DCA mandate and objectives include:

- Development and implementation of state policy in the area of drug trafficking and abuse of illicit drugs.
- Ensuring interagency coordination of state and other organizations.
- Prevention and detection of drug related crimes, circulation of narcotic drugs, psychotropic substances and precursors.
- Improving processes designed to reduce the demand on drugs and implementing measures against drugs trafficking.
- Coordination of international anti-drug cooperation.
- Providing analytical reports regarding drug trafficking in Tajikistan and identifying changing trends and new developments.

In Sub-programme 1 of XAC/Z60, UNODC continues supporting this type of activities through Outcome 1.1.

4. Establishment of Central Asian Regional Information and Coordination Center (RER/H22)

The project assists the Member States to implement the MoU on Sub-Regional Drug Control Cooperation (Azerbaijan, Kazakhstan, Kyrgyzstan, Russia, Tajikistan, Turkmenistan and Uzbekistan) in establishing a Central Asian Regional Information and Coordination Centre for combating illicit drug trafficking (CARICC). The purpose of the Centre is to facilitate the collection, analysis, sharing and use of drug related intelligence/information and assist in the coordination of multilateral counter-narcotics operations. The Centre facilitates coordination between law enforcement agencies (LEAs), such as police, customs, national security services, drug control agencies and border guards, of each Member State and other regional and international law enforcement organizations.

The project was launched in 2004, and due to limited funding at the time, it was decided to divide the project into phases, introducing a staged implementation of activities. The CARICC Agreement was endorsed at the Ministerial Meeting in 2006 and the Centre started limited operations within a “pilot phase” in 2007. Subsequently, full-fledged activities of the Centre commenced following a formal inauguration of CARICC in December 2009. As a result of initial success and achievements, the project was extended until the end of 2015 and then further, until the end of 2017.

At present, the project is embedded in Sub-programme 1 of XAC/Z60 through Outcome 1.7.

5. Countering the traffic of opiates from Afghanistan through the Northern route via strengthening the capacity of border crossing points (BCPs) and establishment of border liaison offices (BLOs) - (XACK22)

This Border Liaison Component was initiated in response to the growing threat from the transporting of opiates (heroin) from northern Afghanistan to Russia and Europe via the ‘Northern Distribution Route’. UNODC estimates that 25% of the heroin leaving Afghanistan utilises the Northern Distribution Route and tons of precursor chemicals which are needed to convert the opium into heroin transit back through Central Asia and into the hundreds of illicit

conversion laboratories scattered throughout Afghanistan.⁶ To accomplish this complex movement of drug distribution and the resupply of precursor chemicals, Transnational Organized Crime (TOC) groups operating in Central Asia deploy sophisticated smuggling methods which, for the most part, have allowed them to transit contraband unimpeded across multiple-international borders.

To counter these powerful trafficking groups and in cooperation with the “UNODC Regional Programme for Promoting Counter Narcotics Efforts in Afghanistan & Neighbouring Countries”, XACK22 was initiated in 2009, with the following themes: build capacities at Central Asia Border Crossing Points (BCPs); enhance the level of expertise of officers at crossings; establish intelligence sharing and communications mechanisms between state agencies’ within a Border Liaison Office (BLO); draft legal and binding documents for inter-agency and cross-border cooperation. Project XACK22 was launched on October 16, 2009. The project’s overall budget was 5,056,932 USD with an approved budget of 4,546,197 USD.

UNODC’s support to BLOs and BCPs continues under Outcome 1.2 of Sub-programme 1 of XAC/Z60.

PURPOSE OF THE EVALUATION

Reasons behind the evaluation taking place

The purpose of the evaluation was to assess, *for each of the projects and Sub-programme*, the OECD DAC criteria of relevance, efficiency, effectiveness, impact and sustainability. In addition, established partnerships and cooperation, human rights and gender mainstreaming were assessed. The evaluation specifically assessed how gender aspects have been mainstreamed into the project. Further, lessons learned and best practice were identified, and recommendations based on the findings were formulated.

The evaluation paid special attention to reflecting and assessing the rationale for and the ongoing process of transition from individual projects to a single programme under Sub-programme 1 of the UNODC *Programme for Central Asia (2015-2019)*, although it is noted that the transition is at a very early stage and detailed analysis was not possible.

Intended results of the evaluation

The evaluation offers in-depth recommendations, lessons learned and best practices, drawn from the individual projects but with a specific focus on how these apply to the design and implementation of the *UNODC Programme for Central Asia*. The evaluation focus therefore was to look back and within this process of looking back to highlight the findings of the individual projects. A dedicated annex has been provided for each of the four projects subsumed into the Sub-programme.

The evaluation was undertaken to:

⁶ <https://www.unodc.org/unodc/pressrelease12nov12.html>

- Assess the results of the projects and demonstrate to what extent they have achieved their objectives and have been relevant, efficient, effective and sustainable in implementing Thematic Programmes.
- Provide information on the contribution of UNODC activities in the area of law enforcement and border security to better decision-making by UNODC management (best practices and lessons learned).
- Serve as a means to empower project stakeholders, target groups, and other beneficiaries.
- Identify gaps (if any) in law enforcement/border control related products and services delivered by UNODC in the region.
- Offer advice on the future implementation design and strategic orientation of the Thematic Programmes.
- Provide accountability to Member States, by determining whether objectives of the projects were met (effectiveness) and resources were wisely utilised (efficiency), and to attract further resources.
- Provide lessons learned and best practices for similar transitions from individual projects towards programmatic interventions in UNODC.

The main evaluation users

The results of the evaluation are for use by the UNODC Regional Office for Central Asia, the Sub-programme teams, beneficiary agencies/ governments and donor countries. The evaluation is intended to serve as a reference resource for the lessons learned from UNODC projects in Central Asia within the *UNODC Programme for Central Asia 2015-2019*.

SCOPE OF THE EVALUATION

Unit of analysis (full project/programme/ parts of the project/programme; etc.)	Sub-programme 1 of XAC/Z60 and projects TAJ/E24; TAJ/H03; RER/H22; and XAC/K22 in relation to their role as implementing vehicle for of the UNODC Programme for Central Asia 2015-2019.
Time period of the project/programme covered by the evaluation	From 2010 up to the end of the evaluators' Field Mission (tentatively June 2018).
Geographical coverage of the evaluation	Central Asian region, with selected field missions to Kazakhstan, Kyrgyzstan, Tajikistan and Uzbekistan. No field mission was conducted to Turkmenistan given the limited activities there of the sub-programme and projects under evaluation.

EVALUATION APPROACH AND METHODOLOGY

The evaluation was conducted based on the OECD/DAC criteria: relevance, efficiency, effectiveness, impact and sustainability, as well as partnerships and cooperation, gender and human rights and lesson learned. The evaluation methodology was designed to conform to the Norms and Standards for Evaluation in the United Nations System and the Evaluation Norms,

Guidelines, Templates and Standards at UNODC,⁷ and also had a specific focus on gender responsiveness⁸.

The methodology specifically considered primary and secondary data sources, with a focus on qualitative approaches, based on the Sub-programme's design and activities and the requirements of the Terms of Reference.

Evaluation Questions

The Terms of Reference provided a set of proposed Evaluation Questions. These questions were analysed and revised by the evaluation team. This set of revised Evaluation Questions was agreed during the inception phase and is incorporated into the Evaluation Matrix.

Evaluation Matrix

The analytical framework of the evaluation enquiry, based on the agreed evaluation questions and provided in matrix form, is found in annex V – Evaluation Matrix). The analytical framework includes evaluation criteria, indicators, sources of information and methods of data collection.

Data Sources

The evaluation utilised a mixture of primary and secondary sources of data.

Desk Review

The evaluation team performed a desk review of all relevant, available information sources. The preliminary list of documents at *Annex III Document list*. These secondary source materials provided a key basis for evaluation conclusions. They include:

- Project and programme documents for each project and the Sub-programme, and their revisions if any.
- Project and programme progress reports.
- Project and programme monitoring and/ or evaluation reports.
- External reports and strategies (UNDAFs, SDGs, country/regional/global strategies.
- Publicly available material on relevant thematic and other programmes.
- Internal review reports, programme files, financial reports and other documents that may provide further evidence for triangulation.

⁷ <http://www.unodc.org/unodc/en/evaluation/evaluation.html>

⁸ 2015. How To Manage A Gender-Responsive Evaluation. Handbook. UN Women.

Phone interviews / face-to-face consultations

The evaluation was carried out using a participatory approach which sought the views and assessments of all parties identified as the key stakeholders of the projects and Sub-programme - the Core Learning Partners (CLP). A detailed description of interviewed stakeholders can be found at *Annex IV – Stakeholders contacted during the evaluation*. The types of stakeholders interviewed include:

- UNODC management.
- UNODC/ project/ Sub-programme staff at HQ and/ or in the field.
- Member States (including recipients and donors).
- Project/ sub-programme participants from Member State governments and government agencies.
- Relevant international and regional organisations.

The primary source material from these interviews is the critical component of the evaluation's field research. The interview process allowed the evaluation team to gather detailed commentary and feedback on the evaluation questions and the preliminary findings from the initial document review. The interviews were a key tool in evaluation triangulation, bringing a range of perspectives to the initial research and evaluation questions.

Questionnaire/ Survey

No questionnaire/ survey was undertaken for the evaluation, based on the key stakeholder numbers and likely contributions of a survey to overall analysis of the projects and Sub-programme.

Analysis and reporting

Based on the evaluation team's desk review of project documentation, and the undertaken field research, and within the framework of the evaluation matrix/ evaluation questions defined in this document, the evaluation team has synthesised and analysed the findings of the field work. This synthesis/ analysis has been drawn together into a set of coherent findings, based on the research. Based on these findings, the evaluation team has drafted conclusions to the key evaluation questions and developed a set of lessons learned and recommendations.

Triangulation

Of the four basic types of triangulation: data, investigator, theory and methodology, this evaluation made use of data triangulation (use of primary and secondary sources) investigator triangulation, with the evaluation team comprising four individuals from different backgrounds, qualifications, experience and knowledge, and methodological triangulation, involving document review, interviews with a variety of stakeholders, and observation, including visits by the evaluation team to a number of border posts.

Limitations to the evaluation

The key limitation to the evaluation was the status of the transition from single project to the regional Sub-programme basis. Given the very early stage of this transition, some evaluation questions were not able to be addressed/ answered to the level of anticipated detail. These questions will need to be looked at in subsequent evaluations.

The visit by evaluation team members to the Tagnob Border Post in Khatlon region along the Tajik-Afghan border (E24) was limited in scope in terms of information gathered, as despite the infrastructure being completed the post was not yet operational, rendering it difficult to assess effectiveness and impact. It is understood that staffing arrangements have now been made, but at the time of the evaluation they were not in place.

II. EVALUATION FINDINGS

Design

Findings from the desk review show that the design of the Sub-programme as visible in the Project Document and logical framework provides a clear understanding of the intent and intended initiatives of the Sub-programme. There are some details in the project design that could be improved and in this process provide a clearer results logic to the Sub-programme, but they are not critical to ongoing activities and results. A detailed analysis of the logical framework from a Results-based Management perspective is provided at Annex X – Sub-programme logical framework. There are specific comments on Sub-programme logic that need consideration by the programme management.

Field research findings indicate that 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. The working group approach included a regional gathering in Almaty and Ministerial-level groups that assessed design priorities and relevance and signed off on the design. All five beneficiary countries signed off on the Programme's design. The view of internal stakeholders and beneficiary agencies on the involvement of stakeholders in Sub-programme design varies somewhat, with the practitioners interviewed for the evaluation indicating their minimal involvement in the design of the Sub-programme. This is likely due to staffing changes in the period since the Programme was designed, or the level of the bureaucracy from which working group participation came, or both. Interviewed counterparts are very supportive of the priorities and focus of the Sub-programme, experience themselves travelling in the same direction as UNODC and are supportive of the shift from a project focus to the regional programme focus.

In relation to narcotics trafficking and related border processes, capacities and policies, the design of the Sub-programme is seen by all stakeholders as appropriate and well-considered. Key components of this include the focus on provision of up-to-date equipment and specifically related training; general training in a range of knowledge and skills related to border control, improvements in and development of in-country cooperation and communication between related Agencies and cross-border cooperation and communication between related Agencies. The related emphasis on the skilling-up of relevant trainers within beneficiary Agencies is also noted as appropriate design in development of an effective response. Support for the design framework in these areas is extensive across beneficiary Agencies as well as donors and other stakeholders, partly as this builds relevant skills within Agencies and partly as it is indicative of a sustainable implementation strategy.

What is not so visible, noted in the desk research and commented on by stakeholders during field work, is a similar design focus on other outcome areas of the Sub-programme. In the narrative and logical framework of the Sub-programme there are clearly stated anticipated outcomes in relation to human trafficking and smuggling of migrants (Outcome 3), countering terrorism (Outcome 4) and identifying and recovering the proceeds of crime (Outcome 5). These outcome areas do not appear in any strong way in the more detailed, and day-to-day, Sub-programme design, nor do references to

It helps us to understand the scope of the issues to define the smaller pieces, but on the other side these issues are not standalone, they are complex and connected. - Field interview

resources such as UNODC's Global Report on Trafficking in Persons⁹, and its description of the links between trafficking in persons and trafficking in narcotics, appear to strengthen Sub-programme initiatives. Focus is almost solely on narcotics – although almost by definition the work with border capacity, border systems and border cooperation will impact on these outcome areas. This is of importance to donors, who noted that their priorities extend beyond narcotics, and is also important in addressing the defined evaluation question on the Sub-programme's appropriateness to emerging challenges, as these are not a strong enough focus currently.

The earlier projects have been transferred, or are being transferred, directly from their individual status to virtually standalone components within the regional programme. According to field research, no project has changed by moving to the Sub-programme. New initiatives within the Sub-programme were referred to by stakeholders as 'initiatives' while old projects retain their earlier labels. It was expressed during field interviews that it is likely, but not guaranteed, that this will change over time, although this is not possible to analyse given the early stage of the change process. There is one further finding of importance here – while linkages to UNODC's regional and global programmes, and the programmes of other Agencies, are visible in the Project Document, they are not so visible in the detailed planning and work of the Sub-programme on a day-to-day basis. These points are discussed in more detail in later sections.

There were indications and feedback that project evaluations have informed project/ Sub-programme design, and that the findings and recommendations from evaluations are being used in project and Sub-programme design and implementation.

According to the Project Document, 'ROCA will take specific care to adopt a human rights-based approach to development cooperation and technical assistance programming. Additionally, ROCA will take measures to include risk assessments, including in the area of human rights, in the development of its operational tools under this sub-programme. All Member States will be encouraged to declare what actions they have taken to improve the human rights situations in their countries and to overcome challenges to the enjoyment of human rights.' This statement gives a clear indication of the *design* focus on human rights. As will be discussed in more detail below, in Effectiveness, the evaluation found that while some focus remains on human rights in implementation, the focus is not as strong as is implied in the Project Document.

A similar situation exists in relation to gender. The Project Document states 'Sub-programme 1 has been designed to prevent and fight against criminal activities including trafficking, migration, sexual harassment, sexual aggression of minors or disabled persons, possession and diffusion of child abuse material and expressions of violence against women.'¹⁰ Further, the Project Documents states that 'sub-programme 1 aims to increase the level of awareness of those crimes, educating the public on how to prevent and report them, and strengthening law enforcement capacities to guarantee the human rights through increased capacity to

⁹ <https://www.unodc.org/unodc/data-and-analysis/glotip.html>

¹⁰ Project Document: XAC/Z60 - Sub-Programme 1 of the Programme for Central Asia - Countering transnational organised crime, illicit drug trafficking and preventing terrorism.

investigate offenses.’¹¹ As will be discussed in more detail below, in Effectiveness, the evaluation found that practical plans, programmes and activities to fulfil this stated aim in Sub-programme design are not visible to any significant extent in actual implementation of the Sub-programme.

Relevance

At the outset it is important to note that it was clear in the document review that the design of the Sub-programme gave particular and specific attention to a range of global and regional policy and priority frameworks, and that these frameworks are well-understood by Sub-programme staff, UNODC personnel beyond specific Sub-programme staff and are also understood to a certain extent by other Programme stakeholders such as donors and beneficiary institutions. In subsuming the earlier projects and providing the programmatic directions for the future, it is clear in Sub-programme documentation that XAC/Z60 supports the law enforcement agencies in Central Asia in key strategic areas such as drug control strategies, intelligence analysis, counter narcotics investigations, multilateral operations (including controlled deliveries), precursor controls, border liaison and management, customs profiling, smuggling of migrants, human trafficking, terrorism prevention and cybercrime including related financing and money-laundering. Further, Sub-programme documentation defines engagement with law enforcement agencies of Member States to assist with developing a collective response and improvements in cooperation and coordination. In this way, documentation describes how XAC/Z60 will specifically contribute to the following thematic, country and regional programmes: UNODC’s Thematic Programme *Countering transnational organized crime and illicit trafficking, including drug trafficking*; UNODC Programme for Central Asia 2015-2019; the Country Programme for Afghanistan; the Country Partnership Programme in Iran; and the Country Programme for Pakistan.

Linkages to the SDGs as defined in the Project Document are summarised below.

- SDG 3 – Good Health and Well-being, Target 3.5 - Strengthen the prevention and treatment of substance abuse, including narcotic drug abuse and harmful use of alcohol. The prevention side is relevant here, in the specific approach to interdiction of supply of narcotics. Outcomes 1 and 2 are particularly relevant.
- SDG 5 – Gender Equality, Target 5.2 - Eliminate all forms of violence against all women and girls in the public and private spheres, including trafficking and sexual and other types of exploitation. Programme design has a focus on human trafficking (Outcome 3) although there are no funded initiatives addressing this Outcome area. Further discussion of this is found in later sections of this report.
- SDG 16 – Peace, Justice and Strong Institutions – Target 16.1 – Significantly reduce all forms of violence and related death rates everywhere. The Sub-programme makes indirect contributions in this area.
- Target 16.2 – End abuse, exploitation, trafficking and all forms of violence against and torture of children. The Sub-programme makes indirect contributions in this area.

¹¹ Ibid.

- Target 16.3 – Promote the rule of law at the national and international levels and ensure equal access to justice for all. The Sub-programme makes a direct contribution in the development of border systems and processes and related contributions to legislative and policy at national levels.
- Target 16.4 – Significantly reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime. The Sub-programme makes a direct contribution in the development of border systems and processes and related contributions to legislative and policy at national levels, although at the moment the Programme does not have any AML or arms focus.
- Target 16.5 - Substantially reduce corruption and bribery in all their forms. The Sub-programme makes an indirect contribution here - there is no focus on these areas.

Linkages to UNDAFs are looked at here in the context of their relevance on a regional basis.

- Uzbekistan-United Nations Development Assistance Framework for 2016-2020¹², Programme activities in Uzbekistan contribute to outcomes by strengthening law enforcement efforts and enhancing capacities of law enforcement and criminal justice agencies, and specifically contribute to Thematic Area 4: Effective governance to enhance public service delivery and the protection of rights.
- Kyrgyzstan – United Nations Development Assistance Framework for 2018-2022¹³. SP1 contributes to the UNDAF Priority II. Good Governance, rule of law, human rights and gender equality. UNODC was party to the development of the UNDAF for 2012-2016 a contributing agency towards the implementation of the Peace and Cohesion, Effective Democratic Governance, and Human Rights pillar¹⁴.
- By enhancing the institutional capacity of the Drug Control Agency of Tajikistan to better address drug-related threats and crimes on the national and regional level, TAJ/H03 contributed to the UNDAF in Tajikistan, Priority Area¹⁵: Democratic Governance, Rule of Law and Human Rights.
- TAJ/E24 contributes to UNDAF Output 1.1: National and local policies, strategies, legal frameworks and systems are developed based on sound evidence and are implemented in a participatory and accountable manner with consideration of age, gender and diversity issues in line with international standards and best practices.

¹² http://www.uz.undp.org/content/uzbekistan/en/home/library/un_in_Uzbekistan/the-united-nations-development-assistance-framework-for-the-repu.html

¹³ <http://kg.one.un.org/content/dam/unct/kyrgyzstan/docs/Library/UNDAF%2018052017%20eng%20fin.pdf>

¹⁴ UNDAF for Kyrgyzstan 2012 – 2016 <http://www.unesco.kz/new/en/unesco/news/2661/>

¹⁵ https://www.unpei.org/sites/default/files/PDF/UNDAF_2010-2015_Tajikistan_Eng.pdf

- Through its support to CARICC, UNODC's key implementing partner in Kazakhstan and Central Asian region, RER/H22 contributed to the UNDAF in Kazakhstan¹⁶ - Output 3.4: National and regional capacities for countering illicit drug trafficking and related crime, and for developing and implementing evidence-based and human rights compliant drug policies, employ analytical capacities of relevant regional organizations.
- By enhancing the interdiction capacity of agencies tasked with preventing cross-border drug trafficking and by enhancing inter-agency coordination mechanisms to facilitate information exchange and joint operations by Border Guards, Customs Services, Ministry of Internal Affairs and drug control agencies in Central Asian countries, XAC/K22 contributes to the UNDAF Thematic area of effective governance, to enhance public service delivery and the protection of rights.

Visible through the document review was the way in which the earlier projects and the Sub-programme support numerous delivery mechanisms with which UNODC operates in Central Asia and globally, including:

- UNODC Strategic Framework for 2016-2017¹⁷ and 2018-2019¹⁸, Sub-Programme 1, (b) [b] Member States are equipped to take effective action against transnational organized crime, including: drug trafficking... Increased regional and international cooperation in combating transnational organized crime and illicit trafficking with the assistance of UNODC in accordance with its mandate.
- UNODC Strategy for the period 2012–2015¹⁹, Sub-Programme 1, Countering transnational organized crime, illicit trafficking and illicit drug trafficking. Objective 1: To promote effective responses to transnational organized crime, illicit trafficking and illicit drug trafficking by facilitating the implementation at the normative and operational levels of the relevant United Nations conventions.
- UNODC Concerted Approach, 2015²⁰, Interconnecting Europe with West and Central Asia – country level connections to CARICC forming part of the network of networks.

¹⁶ <http://kz.one.un.org/content/unct/kazakhstan/en/home/publications/un-publications/the-united-nations-development-assistance-framework--undaf--for-.html>.

¹⁷ http://www.unodc.org/documents/commissions/CCPCJ/CCPCJ_Sessions/CCPCJ_23/E-CN15-2014-CRP3_E.pdf

¹⁸ http://www.unodc.org/documents/commissions/CND/CND_Sessions/CND_58Reconvened/ECN72015_CRP8_ECN152015_CRP8_e_V1508734.pdf

¹⁹ https://www.unodc.org/documents/about-unodc/UNODC_2012_-_2015_Resolution_ECOSOC_merged.pdf

²⁰ http://www.unodc.org/documents/rpanc/Brochure_One_UNODC_Concerted_Approach.pdf

- UNDOC's laboratory and forensic science services programme. International Collaborative Exercises (ICE)²¹. Improve the national forensic capacity and capabilities of Member States to meet internationally accepted standards.
- The *Country Programmes* for Afghanistan, Iran, Kyrgyzstan and Pakistan.
- *Regional programmes*: XAC/Z61 - Sub-Programme 2 of the Programme for Central Asia - Criminal Justice, crime prevention and integrity; REV/V07 - Sub-Programme 1: Regional Law Enforcement Cooperation of the Regional Programme for Afghanistan and Neighbouring Countries and REV/V08 - Sub-Programme 2: International/Regional Cooperation in Legal Matters of the Regional Programme for Afghanistan and Neighbouring Countries.
- The UNODC *thematic programme* Countering Transnational Organised Crime and Illicit Trafficking, Including Drug Trafficking.
- The projects and the Sub-programme also support the outcome document of the Special Session of the United Nations General Assembly on the World Drug Problem (UNGASS 2016 and the National Drug Control Strategies of Tajikistan, Uzbekistan and Kyrgyzstan.

Feedback from a broad range of counterparts during the evaluation's field research provided numerous statements of confidence in the relevance and focus of the priorities and initiatives of the Sub-programme. Particular reference was made to the contribution the Sub-programme makes to building capacity in beneficiary countries through equipment, equipment-related training and more general training related to agency tasks and responsibilities. As well, reference was made to the relevance of focused technical assistance that was provided by the Sub-programme, including assistance with internal reporting approaches, assistance with the recommendations for changes to legislation, assistance with database design and systems for exchanging of data across Agencies. Donors too emphasised the relationship between their priorities and those of the Sub-programme, although relevance 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, although there was a requirement generally that funds would need to be spent in the country where the contribution is made.

Efficiency

The evaluation was specifically directed to look into the efficiency of management, coordination, reporting and monitoring arrangements for the Sub-programme. While discussions in the field in this area came from the range of questions defined in the evaluation's Terms of Reference, findings can be discussed in a more limited number of specific areas, each of which is discussed below.

²¹ <https://www.unodc.org/unodc/en/scientists/survey-on-impact-of-unodc-assistance-2016.html>

Improved efficiencies as a result of the shift to a regional Sub-programme.

While the evaluation Terms of Reference specifically request feedback on improved efficiencies as a result of the shift to a regional sub-programme, in fact detailed feedback and analysis on this aspect of the transition has not been possible due to the early stage of the change. There are early indications of potential for positive impacts, and already some actual improvements in efficiencies, but no significant change is yet able to be confirmed. The following are findings from the field research that indicate likely benefits:

- There is a visibly more strategic aspect to the framework of Sub-programme design: the niche areas of engagement have been pulled together/ integrated into a single strategy; formerly project-based outcomes now contribute to higher level goals.
- The expressed view from field work is that resource use, notably staffing, is and can be further streamlined: reporting is one area specifically mentioned as all reporting will be incorporated into single annual progress reporting; administrative staffing should be able in the near future to look at single financial and administrative actions; the lines for coordinators to speak with each other are straighter, and they note that this makes their work easier; cross-cutting issues are more easily addressed – different projects use the same software for certain initiatives and will now be able to hold joint initiatives on related areas of focus; government approvals for initiatives have been streamlined, as they are provided at the Sub-programme level and are in place, rather than new approvals being required for any new initiative.
- Planning is likely to be both more focused and more strategic; findings from field research indicate that stakeholders expect efficiencies of changes to Sub-programme design to be much improved as there is a single Prodoc and logframe that would require revision processes where these are needed; the Prodoc and logframe were drafted with the intention of flexibility in anticipation of new initiatives and funding opportunities so that these can be incorporated without any revisions being required.

Overall Sub-programme management.

Concerns were raised in fieldwork interviews about the ongoing absence of an overall Sub-programme Coordinator. While interviewees recognise the historical reasons for the lack of a Coordinator, and acknowledge the roles played in Sub-programme coordination by designated senior staff across the region, the general view is that Sub-programme design, implementation, management and monitoring are all impaired by the absence of an incumbent in this position. It is generally felt that the Sub-programme is well-coordinated, but at the same time it is not deemed to be well-managed, a reference not to the current personnel and their skills and abilities but to the absence of an incumbent in the role of overall Sub-programme Coordinator. One particular field interview best illustrates this point. ‘I wouldn’t say that someone is driving Z60. A driver of the Sub-programme would be desirable - work is fine but we need someone to think and plan strategically; to draft fundraising plans.’²²

²² Sub-programme staff interview.

Fundraising

A separate issue raised during field research was fundraising. Given the Sub-programme design is aspirational, i.e. the Sub-programme aspires to deliver activities and achieve results in defined outcome areas *subject to funding*, and this area is of critical importance. The evaluation received inputs on a number of areas where greater energy and specific responses are required.

- The first clearly resonates with the above discussion on a ‘driver’ for the Sub-programme as it is related to the mentioned ‘fundraising plans’. There is no regional driver for fundraising, and strategic thinking about and planning for fundraising activities.
- Indeed, staff are expected to do their own fundraising for their ‘projects’ or initiatives.
- Staff are focused on implementation.
- Staff generally are technical specialists with no experience in fundraising and are neither trained nor skilled in who to approach for funding and how this is best done.
- Staff are not sufficiently-well trained or experienced in the design of projects and results-based design frameworks. Based on specific donor feedback, regional processes for development and preparation of project funding proposals lack the necessary technical and quality assurance inputs, and as a result there are examples of proposals not being well-enough developed. Specific reference was made to proposals having too much emphasis on inputs and input indicators and too little emphasis on outputs/ outcomes (such as what new knowledge and skills have been gained through a capacity-building input and how is this knowledge being put to use), as well as reporting that does not inform well-enough on what is actually being achieved.

Processes of integrating the standalone projects into the Sub-programme

One of the challenges in project implementation to date has been the process of integrating standalone projects into the Sub-programme, which has taken longer than anticipated. Implementation of some components took longer than anticipated as a result of delays in the agreement and approvals of some Sub-programme parameters by Sub-programme beneficiary agencies/ countries in the region. As well, the optimisation of the staffing structure and distribution of responsibilities between country teams was finalised only after the integration process was completed, in February of 2018. Initiation and ongoing implementation of the Sub-programme has been impacted by issues with staffing, particularly given the staff member designated to be overall Coordinator of the Sub-programme returned to Turkey in August 2016 and has not been able to return, almost a full two years without this key position being filled.

Effectiveness

RER/H22 Establishment of a Central Asian Regional Information and Coordination Centre (CARICC)

All seven Member States (Azerbaijan, Kazakhstan, Kyrgyz Republic, Russia, Tajikistan, Turkmenistan and Uzbekistan) have signed the CARICC Agreement at the presidential level and ratified it in their respective parliaments. Afghanistan currently has observer status, with an intention to become a full member by the end of the year. Member States, donors and UNODC universally expressed a desire/ need for Afghanistan to become a member of CARICC, as they are a producing country, with an incredible amount of intelligence to share. Turkey has expressed interest in joining, as has Mongolia.

The Centre is fully operational, and housed in a building provided by the Government of Kazakhstan. CARICC staff are heavily vetted during the recruitment process, while Liaison Officers are selected and seconded from Member States. CARICC staff come to the centre with advanced skills, and are considered to be competent in their areas of expertise.

CARICC facilitates information exchange and analysis, and coordinates the operational activities of various law enforcement agencies countering narcotics in the region and beyond, with the Liaison Officers acting as focal points for the exchange of information and the coordination of operations between countries (via bilateral agreements). Liaison Officers report directly to their country and have very little interaction with the programme team.

The Centre has had a number of successes, acting as a focal point for operations such as TARCET (on precursor control), Operation Substitute (precursor control), ‘Global Shield’ (on chemicals used to manufacture explosives and drugs), ‘Black Tulip’ (on West-African drug trafficking groups), controlled deliveries, and other operations. However field investigation emphasised that these successes are in relative isolation in the overall context of the region and the intended role of the Centre. CARICC has signed agreements or memorandums of understanding on cooperation with Interpol, WCO, SELEC, the CIS Anti-terrorist Centre, the SCO Regional Anti-Terrorist Structure and others, allowing CARICC to use reliable and secure communication channels.

The Centre produces and distributes regular information and analytical bulletins on drug seizures, trafficking routes, illicit trafficking trends and organized criminal groups, based on open source information provided primarily by the member states. CARICC issues periodic drug threat assessment reports and distributes them to the law enforcement agencies in the region, although interviews with officers in the field indicated that this information is not being disseminated regularly to the front line.

Feedback from interviewees is that Member States do not intend to give up full control of operations to CARICC, and, in moving forward, the Centre should shift focus and streamline efforts into becoming an intelligence centre of excellence. The need for an intelligence-sharing agreement, and the ongoing impact of the absence of such an agreement, permeates all discussions about CARICC effectiveness, potential for impact and long-term sustainability. There is widespread agreement that CARICC is an intelligence agency, but without the agreement lacks the capacity to work effectively in this role. No interviewees expressed opposition to signing an intelligence-sharing agreement – there was in fact expressed hope that it would be signed soon.

According to project documentation, an exit strategy was specifically to be developed for CARICC, within the terms of the 2011 project revision. It does not appear that a specific and detailed exit strategy was developed, although aspects of a self-sustainability strategy were discussed during the evaluation's field work.

XAC/K22 Countering the traffic of opiates from Afghanistan through the Northern route via strengthening the capacity of border crossing points (BCPs) and establishment of border liaison offices (BLOs)

Structures are in place and a more integrated approach to border management is emerging. BLO units have allowed in-country law enforcement agencies access to the border, and inter-agency information sharing from border operations. This did not happen previously, without a lengthy process, which now contributes to greater effectiveness with greater efficiency. The approval and the launch of a networking system between BLOs in Tajikistan provides a framework for real time and online exchange of data between the involved agencies and an authorised competent authority in the country. A total of 13 BLOs were created through the project, have established standard operating procedures and have been signed off at the ministerial level by all beneficiary countries. Once legislation was in place, physical infrastructure was provided as needed to the selected BCPs/ BLOs, I2 software was introduced at all 13 BLOs and specialised training was provided on the software, as well as training in concealment methods, risk assessment, fraudulent document detection and other such skillsets utilised in securing the border. The training is provided through institutionalised platforms for regular inter-agency and cross-border training courses at national and regional levels.

I2 software has become operational in all BLO offices²³, a significant development as it is the predominant platform for intelligence analysis used globally by entities such as Interpol. Prior to the introduction of this system, border officers were using a manual approach to intelligence analysis, one that was inefficient and ineffective. I2 gives the user the capacity to do sophisticated analysis of data, to identify high risk passengers and commodities, with the potential capacity to share that information with other officers connected to the same network.

There is evidence of a real and lasting change at the borders, and how borders are managed.

- In Tajikistan, the Drug Control Agency has taken the lead in developing a national intelligence database, fed into by each of the representative BLO agents at the specific BCP, held at the central office of the DCA in Dushanbe.
- In Kyrgyzstan, information sharing between border posts is impeded by a lack of IT infrastructure and no shared network, but the creation of a BLO Coordination Centre serves as a focal point for the collection and dissemination of information and intelligence (received from the BLOs by hard copy). Despite these limitations, the Kyrgyzstan database holds over 1,000,000 inputs related to drug trafficking and other criminal activity.
- In Uzbekistan, the National Center on Drug Control would like to be the lead on such

²³ One example is found here: https://www.unodc.org/centralasia/en/news/ibm-i2-intelligence-analysis-software_improving-skills-of-law-enforcement-officers-in-uzbekistan.html.

an initiative, but because they do not have law enforcement status, they are not represented at the border. However, XAC/K22 facilitated the creation of the National Inter-agency Database on illicit drug trafficking with a pilot version created and launched on 26 June 2017 in Uzbekistan. This database is aimed at inter-agency interaction, implementation of operational and strategic analysis and systematisation of all drug-related offences.

- The creation of such national databases is a significant accomplishment of XAC/K22, contributing to the intended original outcomes of the project, an outcome that is ultimately sustainable, independent of UNODC and donor support.

Cross-border communication and collaboration remains an area of focus and activity, but also an area of need and the necessity for future concerted efforts. There is insufficient direct, coordinated collaboration, as noted by relevant agencies on all sides of the borders. A network of BLO units is functioning in the region, but in relative isolation from each other. Organisation of cross-border and other operational meetings and training courses have taken place, as has a series of cross-border meetings been between BLO officers of Kyrgyzstan, Tajikistan and Uzbekistan for the purpose of reviewing the results of inter-agency and cross-border cooperation within the BLO framework and to elaborate recommendations to enhance information exchange going forward. The basis exists for strengthening this collaboration.

TAJ/H03 - Tajikistan Drug Control Agency (DCA) – Phase II

The overall objective of the project was to assist the DCA to develop into the lead drug law enforcement agency in the country, to become capable of developing operations against high-level drug trafficking organisations and to interdict illicit drug and precursor chemical shipments.²⁴ When the DCA was established it had virtually no infrastructure or equipment. Through the UNODC project the DCA received the tools (legal framework, infrastructure, equipment, cars, analytical centre, forensic laboratory, staff development facilities and training centres) it required to function. Ongoing development of how to best utilise these tools is the area in which future assistance will lie. The project trained hundreds of DCA officers, including from the Mobile Operations Department and dozens of other relevant officials. Training included for new recruits, but more importantly for internal DCA trainers – a training of trainers programme to assist with development of internal capacity-building strengths. One particular aspect of this was a workshop for DCA instructors, to review and develop the training curricula for the special course for the newly recruited staff of the DCA. Further, a range of operational meetings were undertaken to strengthen institutional and operational capacity. Joint operations were organised, nationally and internationally. These were assisted by other activities such as the two-day joint working meeting of the DCA of Tajikistan and the Ministry of Interior of Kyrgyzstan, focused on strengthening inter-agency cooperation. As well as the technical capacity development work that has been done, the DCA also benefited from a number of improvements in physical items such as equipment, furniture and the refurbishment of the DCA library.

²⁴ H03 2017 Annual Report.

TAJ/E24 Strengthening control along the Tajikistan/ Afghanistan border

The project was reasonably effective. Following withdrawal of the Russian Border Guards from the Tajik/Afghan border in 2005, and the increased drug trafficking via Tajik/Afghan border due to growing poppy harvest in Afghanistan; the border control required urgent support including strengthening of political, legal, institutional framework as well as building of physical infrastructure and human resource capacity. Given the overall objective of the project was to strengthen the capacity of the border guards and other LE agencies and the border units posted in the most sensitive areas at the border between Tajikistan and Afghanistan, the indicator chosen to demonstrate success was an increase in seizures and joint operations over the lifespan of the project using a previous year as baseline. At a glance, this indicator did not show positive development; in fact it could be argued that annual seizures have declined over the course of the project, particularly compared to first decade of the project.

Project outcomes have demonstrated a continuing success.

- Within Outcome 1, national legislation was reviewed and amended in line with the National Border Management Strategy 2010-2025 and submitted to the Parliament for approval.
- Within Outcome 2 the project finalised upgrading of seven border outposts, constructed two border outposts and two border posts along the Tajik-Afghan border. Under this Outcome the project provided vehicles, power generators, computers, and search and investigation related equipment to the Tajik border guards and Customs units as well as DCA and MOI.
- Under Outcome 3 the project established the Centre for Analytical Support, to strengthen border control related investigative and intelligence analysis capacities at selected sectors of the Tajik-Afghan border and some exit points. The project established and trained staff of three forensic labs, constructed three drug incinerators, built two drug storage premises, delivered a mobile forensic lab, established a DD Training Centre and trained dog handlers (DCA and Customs) and established Mobile Deployment Teams (MDT) at the MoI. The effectiveness of training is difficult to gauge, although the number of trained border control and law enforcement officers is impressive (over 110 and 1300 respectively).

Overall results relating to cross border cooperation are mixed, while there has been a renewed border control cooperation agreement, the effect of this cooperation is not readily apparent. The positions of DLOs in Afghanistan were discontinued as ISIL and the Taliban occupied northern Afghanistan. The sum of numerous UNODC initiatives such as XAC/K22 (BLOs), the Regional Programme for Afghanistan and Neighbouring Countries and Afghanistan-Kyrgyzstan-Tajikistan (AKT)²⁵ are likely to generate improvements in cross-border and regional cooperation, but this is yet to be seen to any great extent.

²⁵ AKT is a Regional Programme for Afghanistan and Neighbouring Countries initiative. It provides a platform that allows Afghanistan, Kyrgyzstan and Tajikistan to discuss cross border CN cooperation.

Preliminary Impact

Project documentation, notably reports from the standalone projects, does not provide a significant amount of discussion on project impact. For example, in terms of XAC/K22 there is specific mention made of drug seizures and arrests, and an indication that while BLOs are strongly supportive of increases in their interdiction capacities from project initiatives, no clear picture of impact on trafficking is visible. While documentation from the Mid-term Independent Project Evaluation indicates there has not been an improvement/ increase in cross-border cooperation from project initiatives²⁶, further analysis during the evaluation indicates that the cross-border collaboration and communication that has so far developed through the programme has been important to Member States, and all stakeholders understand they will benefit from a furthering/ strengthening of this collaboration and coordination.

TAJ/E24 documentation indicates that statistical data provided by the Border Forces Analytical Department shows a decrease in the amount of drugs detected at the border of Tajikistan-Afghanistan. While there is an expressed view that this is the result of the deterrence provided the upgraded facilities and skills, there is no hard evidence to support this view.

In relation to TAJ/H03, evaluation documents²⁷ indicate the road to impact is visible in the ‘agency’s operational work aimed at identifying and destroying criminal networks’. The report of UNODC’s independent mid-term evaluation of the 2nd phase of TAJ/H03 discusses the identification and dismantling of networks, disrupting the networks by arresting lower level, rather than higher level operatives, which the evaluation attributes to ‘appropriately managed human and technical resources and increased internal and international cooperation’.

In terms of RER/H22, there is general agreement across stakeholders that the *existence of* CARICC is impact. Of course the promise of greater coordination and collaboration is indicative of future directions, establishment of a regional Centre, to which all Member States are formally and officially committed, is seen as significant in regional cooperation.

There are a number of other indicators of impact or indications of where the Sub-programme is clearly on the road to impact. As is discussed in a number of places in this report, intelligence gathering and intelligence sharing are areas of significant potential impact, should Member States enter in to agreements in these areas. Coupled with the database-based investigative processes that are being introduced, significant gains can be made for each Member State and the region with further outcomes in these areas.

The use of technology at borders is another, related area of Sub-programme focus that is clearly indicative of road to impact. The technologies and related systems of work have significant potential to assist with improvements in border control, and can also assist with cross-border communication and collaboration. There is significant scope for these tools to impact further on national and regional systems of border control.

²⁶ February 2015. Mid-term Independent Project Evaluation of the Countering the trafficking of Afghan opiates via the northern route by enhancing the capacity of key border crossing points and through the establishment of Border Liaison Offices - XAC/K22 - The Kyrgyz Republic, the Republic of Tajikistan and the Republic of Uzbekistan).

²⁷ March 2012. Independent mid-term project evaluation of the Tajikistan Drug Control Agency (DCA) Phase 2 TD/TAJ/03/H03 Tajikistan.

Intra-agency and in-country collaboration and communication, as with cross-border communication and collaboration, have benefited beneficiary agencies, and will continue to do so in the future.

Finally, but far from least importance, are the legislative and policy changes that have resulted from project and Sub-programme initiatives. Normative change is always a strong indicator of impact, and the changes in national legislation and policy, as well as the signing of international agreements demonstrate a national ownership of the change process. Related to this are those places where national budgets are being used to fund Sub-programme initiatives, or are contributing to their funding. Greater visibility of this funding is needed in the future.

Sustainability

There is a close correlation between impact and sustainability, particularly where discussing normative change or the national commitment to change processes through funding. Within Sub-programme frameworks there are four specific areas that need to be noted in this context. First is the DCA in Tajikistan. The level of financial and policy commitment from the Tajikistan government, coupled with the changes in practice being demonstrated, including training frameworks, all indicate the likely sustainability of the Agency. Self-sustainability was a design focus of the project, for the DCA, and through implementation the intention has been that the Agency be fully funded from Tajikistan's budget, forming an integral part of the internal law enforcement administration. Secondly, there is a demonstrated interest in a number of beneficiary agencies to take over the training of Agency staff that to this point has been done through the earlier standalone projects or the Sub-programme. As with the DCA, of particular interest here are the training of trainer programmes such as those within the Border Forces Academy in Almaty. Thirdly, the BLOs represent sustainability of input and effort, although clearer government commitment in policy and financial support will add to likelihood of sustainability. Finally, it is important to mention again the changes in legislation and policy mentioned above in the impact section.

On the other hand, there are areas where sustainability is of concern. With the exception of the DCA (TAJ/H03) and to a certain extent CARICC (RER/H22) project documentation did not provide significant comment on sustainability planning or results. CARICC likely represents a sustainable component of project/ Sub-programme initiatives, although the sustainability aspect is not extensively discussed in project documentation. The previously discussed exit strategy would by definition address CARICC sustainability strategies. The ongoing emphasis on donor funding is not conducive to long-term sustainability of results. Shifting responsibility to Member States for both structural and financial support remains a priority.

Partnerships and cooperation

Some discussion on current and developing partnerships and cooperation follows.

The Prodoc for XAC/Z60 defines sub-programme partnerships in the following table.

Partner	Relationship	Joint Activity
WCO	Implementation of the UNODC/WCO Container Control Programme (CCP)	CCP programme activities in the member countries

OSCE	Joint or collaborative activities in the same fields	Collaboration in meetings
CICA	Memorandum of Understanding between UNODC and CICA	Expert level consultations, information sharing, joint training activities
EU	Donor and CLP	Training activities in the field of border management, countering narcotics and organized crime, study tours and regional meetings
TADOC	Joint or collaborative activities in the same fields	Joint training courses
DEA	Joint or collaborative activities in the same fields	Joint training courses
FSKN	Joint or collaborative activities in the same fields	Joint training courses
INL	Donor	Project implementation, training courses, equipment, infrastructure
INTERPOL	Joint or collaborative activities in the same fields	Joint meetings on information sharing and training courses
NATO	Donor and CLP	Law enforcement training
CARICC	Recipient - financial and managerial support	Counter Narcotics Network, Intelligence and Analysis development and Drug Liaison Officers

The table does not mention the UNODC Regional Programme for Afghanistan and Neighbouring Countries or the other Sub-programmes of the *Programme for Central Asia (2015-2019)*, a significant omission from the perspective of the evaluation and one that extends beyond just the XAC/Z60 Prodoc. Within the *Programme for Central Asia* there is a clear imperative for collaboration and coordination of Sub-programmes, if the programme approach is to be well-implemented and successful. There are very strong and clear similarities between the Sub-programme and the Regional Programme for Afghanistan and Neighbouring Countries, and while the two programmes coordinate well regular collaboration does not match to these similarities. 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 expert. This currently vacant position nominally coordinates the Sub-programme regionally and is also responsible for sub-programme 1 of the Regional Programme for Afghanistan and Neighbouring Countries. The two programmes do different things; one has a focus on capacity-building, the other on the regional working group/ networking, but the overarching intent and targets are the same.

More broadly, it is unclear what internal cooperation and collaboration is like with other UNODC global programmes/divisions/regions. Field research indicates cooperation with the GPML (anti-money laundry mentors having delivered training in the region) but the clear coordination and collaboration with other programmes does not permeate Sub-programme design and implementation.

The table does specifically mention CARICC. The current relationship between UNODC (the Sub-programme) would be better defined as a mentorship, not a partnership. There are also strong aspects of donor, or patron in the relationship. In terms of CARICC itself, and its partner Member States, the absence of a multilateral *Agreement on the Exchange and Protections of Secret Information* substantially impacts the exchange of intelligence between CARICC and the competent authorities of Member States. CARICC lacks a framework mechanism for the exchange of classified information, which results in limited performance in the planning and implementation of joint international counter narcotics operations. Since 2010, when negotiations on this agreement began between CARICC Member States, only Tajikistan has signed the agreement. It is also worth-noting that the framework proposed in the agreement does not establish the mandate to exchange intelligence among signatory parties.

According to evaluation research, there are two areas in which the BLO initiative is strong, and could be even stronger: building of relationships across borders and building a stronger technological base. Both of these areas are examples of effectiveness/ results in the project (XAC/K22) as noted above, and as a result both are areas where there is significant room for stronger results. The existing strong partnership with national counterparts is well-represented in this initiative, and the initiative is a good example of the professional approach of national counterparts.

Human rights and gender

The evaluation did not see a focus in programme design reporting on either human rights or gender. All project documentation of the standalone projects is silent on human rights and gender. The XAC/Z60 Prodoc provides a detailed discussion on human rights, and the intent of the Sub-programme to ‘take specific care to adopt a human rights-based approach to development cooperation and technical assistance programming.’²⁸ Albeit also weak, gender mainstreaming is better considered than human rights. The XAC/Z60 Prodoc also provides a detailed discussion on gender: ‘Sub-programme 1 has been designed to prevent and fight against criminal activities including trafficking, migration, sexual harassment, sexual aggression of minors or disabled persons, possession and diffusion of child abuse material and expressions of violence against women.’²⁹ The XAC/K22 project evaluation documentation³⁰ supports the view that the project team is ‘clear that these issues were recognized and promoted whenever applicable.’ Information gleaned from the desk review training documents reveal that approximately 4% of the nominated BLO trainees were female officers. The UNODC project staff working in cooperation with the CLPs recognize the importance of a diverse work force and must continuously support the selection and training of female officers (gender mainstreaming) who play a critical role in professional border

28 May 2016. XAC/Z60 Sub-programme 1 of the Programme for Central Asia: Countering transnational organised crime, illicit drug trafficking and preventing terrorism. Project Document.

29 May 2016. XAC/Z60 Sub-programme 1 of the Programme for Central Asia: Countering transnational organised crime, illicit drug trafficking and preventing terrorism. Project Document.

30 February 2015. Mid-term Independent Project Evaluation of the Countering the trafficking of Afghan opiates via the northern route by enhancing the capacity of key border crossing points and through the establishment of Border Liaison Offices – XAC/K22 - The Kyrgyz Republic, the Republic of Tajikistan and the Republic of Uzbekistan).

interdiction. There is also an absence of focus, on gender and human rights, in the activities of the Sub-programme and in reporting on Sub-programme activities and results.

Beyond project and programme documentation, the evaluation sought feedback from Sub-programme staff and counterparts on the content and emphasis on gender and human rights in Sub-programme implementation and reporting. Some interviewees showed awareness of the importance of gender equality, and provided useful insights about the challenges in this regard. There is no apparent focus on determining how the stated focus can be actually implemented. While the evaluation notes that a gender equality focus in the thematic areas of drug smuggling and AML, for example, and that there is an absence of commitment within counterpart countries, there has been no attempt to look in detail at how a focus and priority could be applied. It is accepted that human rights and gender should be a focus, but they are not.

Counterparts express strong and detailed awareness of the focus and priority of UN organisations with regards human rights and gender. They are also conscious of the challenges to translate such level of focus and priority to the sub-programme and related projects, given attributed historical and cultural constraints that impact on government policy in the region.

III. CONCLUSIONS

Design

One notable aspect of the design of the Programme for Central Asia is that there is not, currently, a funded project/ initiative focus on a number of the Sub-programme's intended outcomes. The following table looks at this.

Programme Outcomes	Is there a project/ initiative focus? Is there funding?
Outcome 1: Member States tackle the threats posed by narcotics trafficking.	Together with Outcome 2, this is the main area of focus of Programme funding and activities.
Outcome 2 Member States more effectively police their borders and cross border cooperation is improved.	Together with Outcome 1, this is the main area of focus of Programme funding and activities.
Outcome 3 Member States more effective at identifying and countering Human Trafficking (HT) and Smuggling of Migrants (SoM).	There is no specific funding nor initiative addressing this Outcome. There are aspects of Outcome 1, 2 and 7 that have influence here, but nothing specific. Specifically focusing in this area has the potential for enhancing the initiatives and outcomes of the Sub-programme in a number of ways: <ul style="list-style-type: none"> • Strengthening strategic frameworks for the Sub-programme as a whole. • Building partnerships (internal and

	<p>external.</p> <ul style="list-style-type: none"> • Strengthening fundraising.
Outcome 4 Member States more effective at preventing and countering terrorism.	<p>There is no specific funding nor initiative addressing this Outcome. There are aspects of Outcome 1, 2 and 7 that have influence here, but nothing specific. Specifically focusing in this area has the potential for enhancing the initiatives and outcomes of the Sub-programme in a number of ways:</p> <ul style="list-style-type: none"> • Strengthening strategic frameworks for the Sub-programme as a whole. • Building partnerships (internal and external). • Strengthening fundraising.
Outcome 5 Member States more capable and effective at identifying and recovering the proceeds of crime.	<p>There is no specific funding nor initiative addressing this Outcome. There are aspects of Outcome 1, 2 and 7 that have influence here, but nothing specific. Specifically focusing in this area has the potential for enhancing the initiatives and outcomes of the Sub-programme in a number of ways:</p> <ul style="list-style-type: none"> • Strengthening strategic frameworks for the Sub-programme as a whole. • Building partnerships (internal and external). • Strengthening fundraising.
Outcome 6 Member States more effective at identifying, preventing and combating cybercrime.	<p>There is no specific funding nor initiative addressing this Outcome, although some discussions are ongoing about the potential for a specific cybercrime initiative. Specifically focusing in this area has the potential for enhancing the initiatives and outcomes of the Sub-programme in a number of ways:</p> <ul style="list-style-type: none"> • Strengthening strategic frameworks for the Sub-programme as a whole. • Building partnerships (internal and external).

	<ul style="list-style-type: none"> • Strengthening fundraising.
Outcome 7 Member States cooperate effectively in the field of prevention and countering transnational organized drug related crime.	This is the CARICC office – the third key area of focus of the Programme.

While at the design level there is a comprehensive focus on all areas of transnational organised crime, this does not (yet) flow through to actual funding and initiatives in all areas. Notwithstanding the fact they do not cover all the topics, Sub-programme initiatives and the programme as a whole are focused in the right areas of priority. All the earlier standalone projects contributed to an effective response to transnational organised crime, and all related initiatives of the Sub-programme follow in this framework:

- H03 was a clear response to the need to counteract illicit drug trafficking.
- E24 also is a clear response to the need to counteract illicit drug trafficking, and was well-focused from previously identified projects.
- K22 offered a coherent response and facilitated communication and partnerships.
- H22, as designed, was appropriate and much-needed, with its regional focus and regional level of support, and its intention to respond to a range of regional challenges through this regional framework and focus.
- Z60, the umbrella, embraces all of these challenges. Its design focus includes drugs, human trafficking, AML and terrorism, and the links between, and there is a focus on the borders and related border systems.

Key beneficiary stakeholders indicate they did not have any impact on the design of the Sub-programme. All counterparts advise that they were aware of the shift to the Sub-programme, and many were involved in early planning discussions at a regional conference, but none were involved in any detailed contributions the design of the Sub-programme. Some donors are completely fine with the transition (but retain their focus on projects they fund) while some donors were less easy to convince. In any case they did not influence design.

Relevance

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 in a number of priority areas including drug control strategies, intelligence analysis, counter narcotics investigations, multilateral operations (including controlled deliveries), precursor controls, border liaison and management, customs profiling, smuggling of migrants, human trafficking, terrorism prevention and cybercrime including related financing and money-laundering. As importantly, the Sub-programme works with these law enforcement agencies to develop a collective response and improvements in cooperation and coordination. Within this strategic priority framework, the focus of the Sub-programme on building the capacity of partner law enforcement agencies is a significant

aspect of the Sub-programme. Specific mention is made of efforts that address changes in legislation and policy, the assistance directed at the content of and approaches to internal reporting, database design and data exchange across agencies.

Efficiency

The continued vacancy of the law enforcement expert position is impacting on the Sub-programme in a number of ways. These include:

- A clear absence in the holding and promoting of a strong, overall strategic perspective for the Sub-programme. While the role is covered to a certain extent by the Regional Coordinator and the three designated coordinators for the Sub-programme, the necessary focus is missing.
- The absence of this formal ‘driver’ for the Sub-programme regionally, which has led to a lack of impetus in the programme overall. There is a level of focus visible within the earlier standalone projects, but this is no longer the intent, and the lack of an overall strategic focus and drive is apparent.
- While the current trio of acting coordinators provide management within defined areas, the Sub-programme overall lacks this necessary function. Coordination is at a high level, but the overall strategic aspect is lacking. It is also likely, but not absolutely certain, that more energy and a greater emphasis is needed to be placed on coordination processes because of the lack of a manager.

In relation to fundraising processes, two particular issues became visible through the field research that need to be emphasised:

- Lack of a coherent approach within the Sub-programme team and a related lack of coherence in approach to donors. This is most clear in the absence of clear feedback during field research on the funding strategies and approaches toward donors. Strategy and coherence are both important words in this context, as they indicate where there are the most visible issues.
- The quality of proposals. While it was expressed to the evaluation team that there is a quality assurance system in place for proposals there was also clear and specific feedback from donors that this is not working sufficiently well.

The view of the evaluation is that these points are related, and that there is an urgent need within the Sub-programme to address weaknesses in the structure and processes of fundraising.

It was not possible for the evaluation to form an opinion on the importance of the shift to the programme framework on efficiency of management, coordination, monitoring and reporting, as the transition is completely new and changes are simply not visible. While the impacts are likely to be positive, and feedback from the evaluation’s field research supports this, it cannot be confirmed.

Effectiveness

CARICC is symbolic of the integration of countries/ Member States and their commitment to working towards described goals in their mutual counter-narcotics strategies and their overall approach toward border security and law enforcement. CARICC is well placed to serve as a focal point for the region in this capacity but has yet to be utilised in such a comprehensive manner.

As the BLOs, border posts, BCPs, IAMTs, the DCA of Tajikistan and CARICC further expand their knowledge base and expertise, it is imperative that efforts are made to encourage more open channels of communication, recognising that information and intelligence is the most valuable currency in the fight against organised crime. High quality intelligence must first be recognized in the field, and fed upwards to skilled analysts who can develop threat and risk assessments and analytical reports that can be filtered back to those on the front line. The driver behind this must come from the highest levels nationally, which although emerging requires ongoing priority consideration, and a recognition that information exchange at the international level is a desirable outcome for the region.

An important area of ongoing conversation is the (potential) shift in CARICC away from operations to a focus solely on intelligence gathering and sharing. Irrespective of the direction chosen, current efforts to strengthen analytic skills are an important focus, as is increasing competencies in the use of I2 software, in performance of risk assessment, and in effectively targeting high risk individuals and cargo/ goods involved in the trafficking of narcotics and other forms of transnational crime. CARICC reporting is not currently being distributed to the front line on a routine basis, where the information would allow the officers to increase their situational awareness as trends in crime shift. CARICC has the potential to operate as a risk analysis centre for the region, given all Member States are using the same intelligence software and are all being trained to approach their work in the same way.

Preliminary Impact

There are a range of areas where indicators of current impact exist, or where the Sub-programme is clearly on the road to impact. Each of the areas discussed below have potential, and demonstrate areas where work can be built on, and where there is clear support from stakeholders (agencies, countries and donors) that further work be done. These areas include:

- The database-based investigative processes. There is significant scope for the further development of these tools, within Member States and in cross-border approaches.
- The use of technology at borders. There is significant scope for the further development of these tools, within Member States and in cross-border approaches.
- The MoUs or similar agreements.
 - International agreements such as the CARICC agreement. CARICC itself, and the regional processes it facilitates have already impacted positively on Member States.
 - International agreements such as that which facilitate the sharing of classified information. As indicated above, development and implementation of an international agreement on the sharing of intelligence would be of significant value to all Member States.
 - The cross-border collaboration and communication that has so far developed through the programme has been important to Member States, and all

stakeholders will benefit from a furthering/ strengthening of this collaboration and coordination.

- The intra-agency collaboration and communication in-country. As with cross-border communication and collaboration, national beneficiary agencies all have benefited from improvements in these areas, as has the work of these agencies.
- The legislative and policy changes. Any and all programme results that have contributed to normative changes will have a lasting impact on the beneficiary country and relevant law enforcement agencies.

Sustainability

There are a number of positive indicators of sustainability from Sub-programme initiatives. These include:

- The DCA in Tajikistan. The DCA is likely to be self-sustaining, and is likely to continue to contribute in positive ways to all priority areas of the programme for the foreseeable future.
- There is a clear movement in a number of beneficiary agencies to take responsibility for the training of staff that has until now been a function of the Sub-programme and earlier projects. There is a wide range of developments in this area, but of particular note are the development of internal Training of Trainer approaches within beneficiary agencies. These include the Border Forces Academy in Almaty, which now has in-house trainers and is used by neighbouring countries and a proposal in Uzbekistan to licence I2 trainers.
- The legislative and policy changes and MoUs/ agreements are all indicative of sustainability. Changes of this type demonstrate ownership at the national level and normative changes allow change to become entrenched in the practice of agencies.

On the other hand, there are areas where sustainability is of concern. There is still too much emphasis/ dependence on donor funding from beneficiary countries and a shift to a greater component of self-funding would assist in longer term sustainability. Funding of staff such as the LOs is a specific example of where this change would benefit.

The detailed CARICC exit strategy is an area where a more clearly defined transfer from UNODC/ international dependence is needed, in the context of sustainability. While there is no suggestion from the evaluation that the exit strategy would define an exit in the near term, the clear view is that for the sake of UNODC and all Member States a detailed exit plan needs to be developed. This is further discussed in the recommendations section below.

Partnerships

Partnership with national counterparts is a clear and strong aspect of the Sub-programme. More work on partnership between counterparts will add real value to the Sub-programme and Sub-programme outcomes.

The CARICC partnership is addressed above, and in the recommendations, but it is the view of the evaluation that in relation to CARICC it may be of value for UNODC (and the Sub-programme team) to make a conscious shift from thinking of the relationship as mentor/ beneficiary to a partnership. The exact shift, and how it would work, would require a strategic thinking/ planning process but this is something that is likely to be undertaken in the development of the discussed exit plan.

A push to create a stronger BLO network, based on relationships and increases in technology, would take the work of BLOs to the next level, allowing for further information exchange on a regular basis. Capacities should continue to be developed at the BCP, including the implementation of modern technologies, equipment, analytical software and development of officer skill sets to complement all of these tools. Staff retention should be a priority, in order to maintain institutional memory, and to keep the training investments sustained. The sharing of best practices needs to be further facilitated between officers, agencies and ideally, member states. Recognizing that change takes time, the region as a whole now has the foundation to take integrated border management to the next level.

Partnerships are mentioned, in Sub-programme documentation and in discussions, but strong evidence of the functioning of these partnerships is not so visible. This is particularly pertinent with UNODC's sister programme, the Regional Programme for Afghanistan and Neighbouring Countries). Stronger, more clearly defined relationships with this Regional Programme, with other projects and programmes of UNODC, such as related global programmes, as well as other actors such as BOMCA and UNDP, and any other national, regional and international actors work in related fields would be of benefit to all of these partners, and would strengthen the Sub-programme priority areas that are comparatively less active, such as human trafficking and financing of terrorism. At the very least, a more structured/ formal coordination and collaboration arrangement would benefit the programmes and their stakeholders.

Human rights and gender equality

The evaluation did not see a focus in Sub-programme design reporting on either human rights or gender. Of particular concern, more than the absence of a focus in activities and reporting is an apparent lack of any specific efforts to address these issues in design and implementation. In other words, what is of particular concern is the lack of a specific intent, a focus on *consideration of how* human rights and gender could become more prominent in planning, implementation and reporting, for the Sub-programme and for counterparts. This is a necessary first step to actually addressing an appropriate focus in these areas.

Counterparts note the emphasis in the work of UNODC and the Sub-programme team and the priority focus that gender equality has within UNODC approaches. They also note the lack of focus within their own agencies and their governments, largely due to cultural constraints and government policy. While border control and law enforcement issues are often perceived as gender neutral, they are not, and there is a need for increased awareness on human rights and gender equality issues among all stakeholders.

IV. LESSONS LEARNED

Transition from a group of standalone projects to a 'programme' is a process that is more complex and time-consuming than tends to be expected. Issues arise with donors, within the internal administrative arrangements of the projects themselves and in developing the commitment of staff to the transition, particularly when staff focus is on implementation and their responsibilities for their current projects. Such a transition also requires management impetus, together with a constant retelling of the reasons for the shift, as a way of ensuring the motivation for and momentum of the transition are maintained.

Border control in the CA region has historically involved different players/agencies and countries working in isolation from one another. The shift towards national and regional cooperation towards law enforcement, encompassing both individualized (TAJ/H03) and systemic (RER/H22 and XAC/K22) approaches and programs, supported by legislatively entrenched commitments, is the strongest, most visible outcome of the projects in Central Asia. For these post-Soviet nations, this shift towards a layered, integrative approach to border security, encompassing the new roles, tools, skills, and procedures developed from the projects and continued further under the Programme for Central Asia, is an accomplishment of note, perfectly situated to be built upon in a climate of politically driven border fluidity and the willingness of Member States to work collaboratively towards common goals in the Central Asian region.

Despite growing pains, it is evident that the building blocks are in place for both a proactive and reactive approach to current and evolving threats under the spectrum of transnational organised crime, including counter-narcotics, precursor detection, NPS, human trafficking, AML and cybercrime, as indicated in the Sub-programme's 7 outcome statements. As the nature of transnational organized crime is dynamic and evolving, so should be the approach of the law enforcement communities involved in anti-crime activities.

The shift to a programme focus and the transition to the Sub-programme from individual projects has added complexity to funding and fundraising requirements, while also creating opportunities for a more strategic approach to building a 'pipeline' of funding opportunities. One specific lesson from this aspect of the transition is that pulling together a more coherent story about the focus, priorities and initiatives of the Sub-programme offers potential for building the donor base.

There is a clear move in Sub-programme strategies/ activities to a more integrated approach, moving away from just border officers. Border officers can only be specialised to a certain point, so the wider focus of the defined outcomes that implies a wider group of agencies and officers makes strategic and practical sense. The more cross-agency communication is built the more likely contribution there will be to results.

The process of filling vacant positions, particularly key positions, needs greater consideration where there is the possibility they will remain unfilled for extended periods.

V. RECOMMENDATIONS

Recommendation 1: Building greater impact

UNODC's Sub-programme senior management³¹ should give significant focus to consolidating and building on the change that has happened –i.e. by further strengthening database-based investigative processes, the integrated approach, and the use of technology at borders.

³¹ Sub-programme senior management refers to the Regional Representative, Sub-programme Coordinator and current initiative (precursor project) coordinators.

As is discussed throughout the report's findings and conclusions, significant inroads have been made in a number of important areas. The particular areas of importance are:

- The database-based investigative processes. It would make sense at the regional level to not just strengthen the use of I2 and related software at the national level but to continue to work closely with counterparts in developing and agreeing on how this work can be done at the regional level, including sharing of knowledge, experience and indeed the information.
- The integrated approach. Significant focus could be given to strengthening the integrated approach discussed within the body of the report. Specifically, to build strongly on the successes with agencies such as the DCA and Border Guards but with a greater specific focus on integration of approaches across all counterpart agencies. While much work is already taking place in this regard, this recommendation encourages a specific, greater focus on the cross-agency communication (both nationally and, in particular, cross-border) that has the potential for making a strong contribution to practical results in terms of seizures/ interdiction and also in the development of strong collaborative processes and results. This can include a greater use of the internet for communication, internally to specific States and across borders.
- The use of technology at borders. Ongoing development and use of technology at the borders is encouraged, as is the sharing across borders of the experiences and knowledge gained as capacity and skills are developed.

Recommendation 2: Strengthening international cooperation

UNODC's Sub-programme senior management should strengthen the current focus on international cooperation, particularly through the further development and implementation of MoUs or similar agreements which facilitate the sharing of classified information, cross-border collaboration and communication, in-country intra-agency collaboration and communication, and adaptation of legislative and policy changes in Member States.

This is a particular component of *building greater impact* that has been singled out in order to give it particular emphasis. Specific agreements that are encouraged include:

- International agreements such as that which facilitate the sharing of classified information. This agreement is in many ways the most critical to the future of both CARICC and to the work of the Sub-programme more generally.
- International agreements such as the CARICC agreement – refining, confirming and expanding its role and functions.
- Cross-border collaboration and communication – developing and implementing practical systems and approaches to sharing knowledge, experience and data. It is particularly recommended that this collaboration become more formal, building on the current informal processes and arrangements.
- The intra-agency collaboration and communication in-country.
- The legislative and policy changes that have happened in Member States.

Recommendation 3: Focus on outcomes 3, 4 5, and 6

UNODC's senior regional management in Tashkent and Vienna, and Sub-programme senior management should look strategically at the results framework of the Sub-programme and give increased attention to Outcomes 3, 4 and 5 (human trafficking,

terrorism and AML) as well as the ongoing discussions about cybercrime (Outcome 6), in order to increase the strategic focus of the Sub-programme and to seize further fundraising and partnership opportunities.

A shift in focus is important for a number of reasons:

- It has the potential for assisting the Sub-programme to discuss its strategies more effectively, i.e., within its own strategic framework. The shift for the project-focus into the Sub-programme framework has meant a current focus on existing initiatives – it is relevant and important for the Sub-programmes future directions to look at addressing all defined outcomes areas to ensure the Sub-programme strategy is being implemented. (Note the link to the Sub-programme management recommendation, and how the two strengthen each other.)
- It opens the possibility for wider and more strategic discussions with donors.
- It opens the possibilities for more and deeper discussions on partnerships and collaboration, internally to UNODC and with external partners. Of particular importance in this component of the discussion are the UNDAFs, and how the Sub-programme can coordinate and collaborate closely with sister agencies within the UNDAF framework.

Recommendation 4: Partnerships

UNODC’s senior regional management in Tashkent and Vienna, and Sub-programme senior management should give a more specific focus to partnerships, beyond the current focus on counterpart agencies to a greater emphasis on other UNODC initiatives and external partners, in order to benefit from increased knowledge-sharing as well as from joint planning, coordination, and collaboration.

As with Recommendation 3, of particular importance here are the UNDAFs, and how the Sub-programme can coordinate and collaborate closely with sister agencies within the UNDAF framework. Particular mention is made of UNODC’s Regional Programme for Afghanistan and Neighbouring Countries, and the other sub-programmes of the Programme for Central Asia where these have specific conceptual links with the Sub-programme. The Sub-programme would benefit from promotion of knowledge-sharing and joint activities, with the intention of ensuring a very strong process of joint planning, coordination and collaboration, and delivering outputs and outcomes across related outcome areas that strengthen UNODC’s results. With other external partners (UNDP, the EU, others), better collaboration where there are related priorities and programmes would benefit agencies and counterparts, and would benefit the Sub-programme in written and oral reporting/ discussions with donors who are seeking coherence of activity and effort.

Recommendation 5: Sub-programme management/leadership

UNODC’s senior regional management in Tashkent and Vienna should immediately fill the Sub-programme Coordinator position to ensure an effective transition towards a fully integrated, programmatic approach and increased contribution to the fulfilment of the UNDAFs in the region.

As discussed in the Findings and Conclusions sections, Sub-programme strategy, including detailed planning of initiatives and the interactions of these initiatives with other programmes, will benefit from filling the Sub-programme Coordinator position to ensure the Sub-programme has its ‘driver’. It is important to move beyond focusing on coordination and look at where the Sub-programme’s initiatives need to be in 5-7 years, to plan in detail as a Sub-programme team how this will be done in a collaborative way and to then move strongly as defined in the plans. This is of course critical to the transition process, and ensuring the Sub-programme is able to effectively address the challenges which are ahead in moving to a fully integrated, programmatic approach. It is also critical to the full realisation of the UNDAFs, and the Sub-programme’s role in their fulfilment.

Recommendation 6: Strengthening fundraising

UNODC’s senior regional management in Tashkent and Vienna should develop a more strategic focus on funding in order to expand the donor base and ensure the sustainability of the Sub-programme –i.e. by developing fundraising capacity and by elaborating and implementing a fundraising strategy.

Strengthened fundraising is a critical but subsidiary component of the Sub-programme management recommendation that has been set out for emphasis. There are a number of key aspects to this approach:

- Development of a fundraising strategy, as a Sub-programme, that
 - Incorporates all aspects of the Sub-programme Theory of Change
 - Details all potential donor frameworks and requirements
 - Formulates a plan for potential donors
 - Includes donor relationship development
 - Is recognised and understood by all key Sub-programme staff.
- Implement and monitor the strategy as a regional team, focusing on engagement of all staff in the processes of strategizing and actual fundraising activities.
- Develop a strong skillset (one or more designated individuals) for donor proposal requirements and the development of well-defined and structured proposals.
- Give consideration to an individual (or small team) in the region with specific responsibility to oversee and drive fundraising approaches and activities, even if this needs to be additional to their existing responsibilities – say as a .2 responsibility.

Recommendation 7: CARICC exit strategy

UNODC’s Sub-programme management and CARICC team should give immediate and detailed consideration to the formal CARICC exit strategy discussed in project documentation as well as in the body of the report with a view to increasing the ownership and sustainability of CARICC efforts.

The role of UNODC with CARICC needs to be clarified and formalised in documentation, including definition of an end date for technical assistance and the process for reaching that end date. Philosophically, the focus can be on moving from a mentor role to a partner role – while maintaining the focus on ensuring CARICC is fully operational prior to any exit. As noted above, the evaluation does not have a view on the timing nor the content of an ‘exit’, but recommends that a formal document that clearly defines the process of change: actions, timing, costs and the form and function of a longer-term relationship be developed. It is also noted that the role and function of UNODC, with CARICC, in terms of financial oversight and assistance may have a different structure and timing – this too needs to be discussed and planned, and to be clarified in an exit strategy document. Some aspects of consideration within an exit strategy may include:

- Defining and negotiating the on-going role of CARICC, in terms of both national and international roles, including the international agreements discussed above. This discussion would include the potential for moving away from an operational agency to being the intelligence-gathering focus, and determinations by stakeholders of the details of these roles.
- Phasing out of technical assistance. There is no reason for all technical assistance to be phased out simultaneously – a phased approach is appropriate and should be discussed and planned. Defining the timing of this phase-out, in consultation with donors, Member States and CARICC leadership.
- Phasing out financial oversight. Defining the timing of this phase-out, in consultation with donors, Member States and CARICC leadership.
- The length of tenure for Director and Assistant Director positions, as a change in governance is a good opportunity to look at the possibility of changing the current two-year timeframe to a three-year or four-year arrangement.

Recommendation 8: Human rights and gender equality

UNODC’s senior regional management in Tashkent and Vienna and Sub-programme senior management should take action to ensure that a human rights and gender analysis of the Sub-programme is undertaken with a view to ensuring a specific focus on human rights and gender mainstreaming in strategic planning, implementation, and reporting.

The evaluation notes that the intent of this recommendation is to ensure the design focus of the Sub-programme, as expressed in the Prodoc, is fulfilled through detailed consideration of appropriately defined and relevant initiatives in the areas of human rights and gender equality.

VII. ANNEXES

Annex I - Terms of Reference for the In-Depth Thematic Cluster Evaluation of the projects: XAC/Z60, TAJ/E24, TAJ/H03, RER/H22, XAC/K22

1. BACKGROUND AND CONTEXT

Project number:	<p>XAC/Z60</p> <p>TAJ/E24</p> <p>TAJ/H03</p> <p>RER/H22</p> <p>XAC/K22</p>
Project title:	<p>XAC/Z60 - Sub-Programme 1 Countering transnational organized crime, illicit drug trafficking and preventing terrorism of the UNODC Programme for Central Asia 2015-2019</p> <p>TAJ/E24 - Strengthening control along the Tajik-Afghan border</p> <p>TAJ/H03 - Tajikistan Drug Control Agency (DCA) – Phase II</p> <p>RER/H22 – Establishment of a Central Asian Regional Information and Coordination Center</p> <p>XAC/K22 - “Countering the traffic of opiates from Afghanistan through the Northern route via strengthening the capacity of border crossing points (BCPs) and establishment of border liaison offices (BLOs)”</p>
Duration:	<p>XAC/Z60- May 2016 – December 2019</p> <p>TAJ/E24 - June 1999 – December 2018</p> <p>TAJ/H03 – 1 March 2003 - 31 December 2017</p> <p>RER/H22 – October 2004 – 31 December 2017</p> <p>XAC/K22 – October 2009 – 30 June 2018</p>
Location:	<p>XAC/Z60- Central Asia</p> <p>TAJ/E24 - Tajikistan</p> <p>TAJ/H03 – Tajikistan</p> <p>RER/H22 - Central Asia</p> <p>XAC/K22 – Kazakhstan, Kyrgyzstan, Tajikistan, Uzbekistan</p>

Linkages to Country Programmes:	<p>National Border Management Strategy 2010-2025</p> <p>UNODC Programme for Central Asia 2015-2019: a partnership Framework for impact related action in Central Asia, Sub-programme 1:</p> <p>1. Countering Transnational Organized Crime and Drug Trafficking</p> <p>1. (b) Member States are equipped to take effective action against transnational organized crime, including: drug trafficking; money laundering; trafficking in persons; smuggling of migrants; illicit manufacturing and trafficking of firearms; and emerging policy issues as mentioned in General Assembly resolution 64/179</p>
Linkages to Regional Programmes:	<p>The project supports the UNODC Counter Narcotics Strategic Framework 2014-2015, UNODC Programme for Central Asia (2015-2019) and UNODC Regional Programme for Promoting Counter Narcotics Efforts in Afghanistan & Neighbouring Countries (2011-2014)</p>
Linkages to Thematic Programmes:	<p>Sub Programme 1: Countering transnational organized crime and illicit trafficking, including drug trafficking”.</p>
Executing Agency:	<p>UNODC ROCA</p> <p>UNODC Azerbaijan Programme Office</p> <p>UNODC Kazakhstan Programme Office;</p> <p>UNODC Kyrgyzstan Programme Office</p> <p>UNODC Tajikistan Programme Office</p> <p>UNODC Turkmenistan Programme Office;</p>
Partner Organizations:	<p>N/A</p>
Total Approved Budget:	<p>USD 4,162,995.49 (XAC/Z60)</p> <p>USD 13,365,230 (TAJ/E24)</p> <p>USD 15,680,482 (TAJ/H03)</p> <p>USD 21,410,000 (RER/H22)</p> <p>USD 7,556,932 (XAC/K22)</p>
Donors:	<p>Canada, Czech Republic, France, Kazakhstan, Luxembourg, Russian Federation, Turkey, UNDP, United Kingdom, United States of</p>

	America, Government of Japan, Government of Federal Republic of Germany, Italy, Norway, Finland, Sweden
Project Manager/Coordinator:	Mr. Yusuf Kurbonov, International Programme Coordinator; Mr. Reginal Pitts, Law Enforcement Expert; Ms. Amelia Hannaford, International Programme Coordinator; Mr. Rasoul Rakhimov, National Programme Manager; Ms. Nargis Ismatova, National Programme Officer; Mr. Muzaffar Tilavov, National Programme Officer.
Type of evaluation:	Cluster In-Depth Evaluation
Time period covered by the evaluation:	XAC/Z60 – 2016 – June 2018 (end of field mission) TAJ/E24 – 2010 - June 2018 (end of field mission) TAJ/H03 – 2012 - June 2018 (end of field mission) RER/H22 – 2012 - June 2018 (end of field mission) XAC/K22 – 2016 - June 2018 (end of field mission)
Geographical coverage of the evaluation:	Central Asia
Planned budget for this evaluation:	USD 90.000
Number of independent evaluators planned for this evaluation:	3 evaluators (1 team leader; 2 experts/team members). In addition, 1 IEU Evaluation Officer and backup.
Core Learning Partners (entities):	Ministry of Foreign Affairs of the Republic of Tajikistan Border Forces of the State Committee for National Security of the Republic of Tajikistan Drug Control Agency under the President of the Republic of Tajikistan Ministry of Interior Affairs of the Republic of Tajikistan

	<p>Customs Service under the Government of the Republic of Tajikistan</p> <p>State Customs Committee of Uzbekistan</p> <p>State Border Protection Committee of Uzbekistan</p> <p>Ministry of Internal Affairs of Uzbekistan</p> <p>National Center on Drug Control of Uzbekistan</p> <p>Border Service under National Security Committee of Kazakhstan</p> <p>Ministry of Internal Affairs of the Republic of Kazakhstan</p> <p>Committee for State Revenues under Ministry of Finance of Kazakhstan</p>
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Project overviews and historical context

Transnational organized crime is an illicit web that stretches across the globe exploiting vulnerabilities and weaknesses in the name of profit. It encompasses a number of illicit activities, including drug trafficking, human trafficking, smuggling of migrants, illicit trading in firearms, illegal trade in wildlife, the sale of fraudulent medicines and cybercrime.

Transnational organized crime is not stagnant, but is an ever-changing industry, adapting to markets and creating new forms of crime. It is an illicit business that transcends cultural, social, linguistic and geographical boundaries; and one of the world's major challenges and a critical obstacle to peace, development and good governance.

The region of Central Asia –composed by six landlocked countries: Afghanistan, Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan– is critical in the global response to transnational organized crime and the financing of terrorism. With two thirds of global opium production concentrated in Afghanistan, Central Asia's borders present a unique opportunity for effective interception of illicit drugs and precursors, as well as for countering other illicit activities such as the smuggling of migrants, firearms, and cash.

The Programme for Central Asia 2015-2019 represents the overarching strategic framework under which UNODC provides technical assistance within the Central Asian States. It builds on previous UNODC assistance within the sub-region and aims to deliver effect in an integrated and comprehensive manner rather than a series of standalone projects. The programme is coordinated via the Regional Office for Central Asia, in Tashkent, and technical assistance is delivered via the UNODC Programme Offices in Astana, Almaty, Bishkek, Dushanbe and Ashgabat. With a projected budget of \$70 million between 2015 and 2019, the Programme for Central Asia aims to enhance both national level capabilities within, and develop increasing sub-regional cooperation between, the Central Asian States.

This Programme describes UNODC's assistance to the region as it moves from implementing a series of stand-alone projects to a more substantial and coherent programme, focused on contributing towards defined strategic outcomes. A strong emphasis is placed on pursuing

cooperation with relevant regional partnership mechanisms and frameworks as envisaged under the 1996 MoU on Sub-regional Drug Control Cooperation in Central Asia. The Programme for Central Asia focuses primarily on supporting the Governments of the region, to improve their capacity to deal with regional drug and crime challenges that are best addressed through cross-border and intra-regional cooperation.

Sub-programme 1 supports the law enforcement agencies (LEA) in the Central Asian States in specific niche areas, such as, drug control strategies, intelligence analysis, counter narcotics investigations, multilateral operations (including controlled deliveries), precursor controls, border liaison and management, customs profiling, smuggling of migrants, human trafficking, terrorism prevention and cybercrime. Sub-programme 1 seeks to network Member States' law enforcement agencies, increasing their ability to cooperate and coordinate across borders, to provide a collective response to counter the threat posed by current and emerging transnational and organized crime. Furthermore, Sub-programme 1 promotes the Central Asian Regional Information and Coordination Centre (CARICC) as part of the Inter Regional Drug Control Approach. Linked increasingly to intra and inter regional networks, CARICC has the potential to assist Member States address many of the elements associated with transnational organized Crime (TOC), especially the trafficking of narcotics. Sub-programme 1 seeks to expand and further enhance a number of UNODC's current initiatives such as Border Liaison Offices (BLO) and the Port Control Units (PCUs) established by the WCO-UNODC Global Container Control Programme (CCP). Law enforcement training continues to build capacity in areas where there are defined capability gaps. Sub-programme 1 focuses on strengthening inter-regional training and educational facilities, sharing best practices and as a long term sustainable solution institutionalizing much of UNODC's current training portfolio within national and regional structures.

Under the new programmatic approach, the following initiatives have been continued to be implemented while some have been also launched under Sub-programme 1:

- Launch of the component on “Countering Trafficking of Afghan Narcotics in Uzbekistan through the Establishment of Interagency Mobile Teams”. In 2016, \$ 2.5 million was donated by the Government of Japan for 2 years. An “Exchange of Notes” signing ceremony was held, and the pledge was signed on 20 October 2016. The component envisages activities to strengthen efforts to counter drug trafficking from Afghanistan along the Northern Routes through establishment of Interagency Mobile Teams (IMTs) in Uzbekistan and cover activities under Outcome 1.1 of the Sub-programme 1.
- Launch of the component on “Countering Synthetic Drugs and New Psychoactive Substances in Central Asia”. In 2016, \$ 630,200 was received from the Government of Japan for 12 months. The component envisaged activities to strengthen law enforcement efforts against synthetic drugs and new psychoactive substances (NPS). Within the framework, the beneficiary LEAs were provided with contemporary equipment, information on new trends as well as information pertaining to the threat posed by NPS and synthetic drugs in 2017.
- Launch of the component on “Combatting cybercrime in Central Asia”. In March 2017, \$ 150,000 was donated by the Government of Sweden for the period of nine months. The activities envisage supporting countries of the region in wide areas of Cybercrime to enhance law enforcement capacity in countering crimes involving

information systems and technologies. In particular, training courses on drugs trade online, human trafficking and child sexual exploitation and thematic meetings were held.

- Launch of the component on “Establishing BLOs in Kazakhstan and Uzbekistan”. In March 2017, \$ 300,000 was received from the Government of Germany for 9 months. Currently, 13 BLOs are operational at the remote and vulnerable border crossing points in Kazakhstan, Kyrgyz Republic, Tajikistan and Uzbekistan. Under this new initiative, two additional BLOs will be opened on the Uzbek-Kazakh border to streamline cross-border communication and intelligence-sharing to detect and intercept contraband, narcotic drugs, psychotropic substances and precursor chemicals, while facilitating legitimate international trade.

The integration process for standalone projects was commenced in the third quarter of 2017 and will be completed in first quarter of 2018 through the approval of the revised XAC/Z60 project document. The migration process of six law enforcement projects implemented by ROCA, namely RER/H22, RER/F23, XAC/K22, TAJ/H03, TAJ/E24 and KGZ/K50 will thus been finalized.

The main features and context of each of the projects that will also be the subject of this evaluation are summarized below – for detailed project information, including the main elements of the results framework, please refer to Annex V:

1. Countering transnational organized crime, illicit drug trafficking and preventing terrorism of the UNODC Programme for Central Asia 2015-2019 (XAC/Z60)

Through the Sub-programme 1 "Countering transnational organized crime, illicit drug trafficking and preventing terrorism" of the UNODC Programme for Central Asia (2015-2019), the Regional Office for Central Asia (ROCA) provides technical assistance in the field of law enforcement, which includes establishment of new structures, enhancing capacity and developing cooperation. Furthermore, ROCA seeks to network the Central Asian law enforcement agencies through providing platforms for collective response to counter illicit drugs, diversion of precursor chemicals, transnational and organized crime. Setting a collective response to such threats, accentuates coordination of activities and strengthening the linkages at country/sub-regional/global levels. Considering the volume of work required in Central Asia, the framework of Sub-programme 1 consists of project activities in countering narcotics, law enforcement training, container control, border control, and border liaison, prevention of terrorism, combatting money laundering, and cybercrime, human trafficking and smuggling of migrants. The overall objective of Sub-programme 1 can be defined as assisting in implementation of national law enforcement strategies, strengthening institutional capacity, developing technical infrastructure and promoting international and regional cooperation in Central Asia.

2. Strengthening control along the Tajik-Afghan border (TAJ/E24)

The aim of the Programme for Central Asia is to serve as a strategic and programmatic framework for regional cooperation, with a focus on the provision of technical assistance aimed at supporting Central Asian States in achieving a safe and secure environment for their citizens. The Programme for Central Asia aims to contribute to healthy and safe communities, transparently governed, free from the scourges of organized crime and drugs, secure in the

knowledge that governments are capable of dealing with transnational threats in a coordinated manner, confident in the integrity of their criminal justice systems and with access to fair and equitable justice.

Tajikistan is a key transit country for Afghan opiates bound north- and westwards and a major heroin consumer. Tajikistan border with Afghanistan is over 1,344 km long and for much of the 1990s, the Tajik state agencies were unable to protect the country borders and to prevent any type of smuggling, including that of opiates. Though they have made considerable progress since the start of the 21st century, considerable problems remain.

The combination of a long and ill-protected border and Tajikistan's convenient transport links to Russia have made the Tajik-Afghan border a favorite route for narcotics traffickers, smuggling heroin and opium out of Afghanistan. Afghanistan remains the world's largest illicit opium-production country. Tajikistan, neighboring with Afghanistan, is considered the gateway to the "Northern Route" of opiate trafficking from Afghanistan.

In March 1999 UNODC started national project "Strengthening Control along the Tajik/Afghan border" with the aim of developing drug control capacity of law enforcement agencies involved in border control. The project was developed according to the following objectives:

- Assist the units posted in the most sensitive areas at the border between Tajikistan and Afghanistan.
- Improve the control capacities of the departments of the Customs Committee and of the Ministry of Interior assigned to the railway stations of Dushanbe and Pakhtaabad.
- Improve search and control capacities of the law enforcement in Dushanbe, Khodjent and Kurgan-Tyube airports.
- Establish a National Forensic Institute and regional laboratories to store, analyse and destroy seized drugs.
- Elaborate a national policy for the use of drug-scenting dogs and establishment of a National Dog Training Centre in Tajikistan.

To achieve the Outcome 2 "Increased border control capacities through the provision of training and equipment", the project finalized upgrading (refurbishment, equipping and furnishing) of seven Border Outposts along the Tajik-Afghan borders: Bakhorak, Bog, Sari Gor, Shogun, Yol, Yakchi Pun and Takhti Sangin. It contributed to an improvement in their operational and living conditions. Under the same Objective, different types of equipment, such as vehicles, power generators, computers, search and investigation related equipment were provided to Tajik Border Guards and Customs units as well as to the Drug Control Agency and the Ministry of Internal Affairs.

The project established the Border Guards' Centre for Analytical Support to strengthen border control related investigative and intelligence analysis capacities at selected sectors of the Tajik-Afghan border and some "exit" points. This improved analytical capacity and facilitated operational decision making in this agency.

To achieve Outcome 4 of the project, rules and regulations, allowing/facilitating mobile investigation group at the Anti-Drug Smuggling Department of the Ministry of Interior of Tajikistan activities were developed by the assistance of this project and approved by the Government. As a result, a Mobile Deployment Team (MDT) was established in 2008 and

was fully equipped and its staff trained. During the period of January 2008 to June 2013, the MDT carried out over 85 operations, including joint operations with other law enforcement agencies in the region, particularly with Afghan and Kyrgyz counterparts. As a result, over 120 persons were detained, including 13 Afghan and 5 Russian nationals. The total amount of drugs seized by the MDT during the mentioned period is approximately 1 t 800 kg, of which 195 kg being heroin, 1 t 056 kg of hashish, 276 kg of opium and 271 kg of cannabis.

The project contributed to improving cooperation between Tajik law enforcement bodies and their counterparts in Afghanistan through organising working meetings in developing and adopting a renewed Tajik-Afghan agreement on Border Control.

Two Outcomes “Upgrading Forensic Laboratory capacity for efficient border drug control” and “Development of national strategy in the use of drug detecting dogs and strengthening of the national drug detecting dogs training centre” were fully achieved by the project by 2007. The following accomplishments were achieved by the project:

- Forensic laboratories were established in Dushanbe, Khujand and Khorog. The laboratories are fully operational using GC and GCMS equipment. Forensic laboratory staff are fully trained
- Drug incinerators were constructed at Dushanbe, Khujand and Khorog
- Drug storage premises were refurbished in Dushanbe and Khorog
- Mobile Forensic Laboratory was delivered
- Drug Detecting Dog Handlers’ Training Centre was established. Five buildings were constructed and supplied with all relevant facilities. Additional kennels were constructed in 2004. Five dogs were purchased and five DCA handlers were trained. Four handlers of the Customs Department were trained. Two more handlers and dogs were trained with assistance of bilateral donors.
- Concept of a national sniffer dogs’ training centre was developed and endorsed by all Tajik LEAs in July 2006.

3. Tajikistan Drug Control Agency (DCA) – Phase II (TAJ/H03)

The Republic of Tajikistan is a developing country strongly affected by Afghan drug related criminality. The 1344 km long border with Afghanistan is at the transit route for drugs being trafficked into the Northern and Western recipient countries. Smuggling of opiates is a serious destabilizing factor for all Central Asian states, of which Tajikistan holds the lowest position on the UNDP 2001 Human Development Index, which suggest its population could be especially vulnerable to becoming involved in both trafficking and consumption of drugs.

Despite internal turmoil caused by the civil war (1992-1997) and numerous social problems connected with transformation from centrally planned to free-market economy, the country remains committed to combating illicit drug trafficking. Since regaining independence in 1991 Tajikistan has engaged in multilateral cooperation aimed at constructing and implementing an international counter-narcotics strategy. Resolving regional drug production and trafficking problem requires consolidated efforts of not only all Central Asian states, but also countries to which drugs are being trafficked, international organizations and civil society in general. Since the early 90’s several treaties were signed, and the problem was addressed on numerous international forums such as the Aga Khan Development Network,

Shanghai Organization for Cooperation or the “Six plus Two” Group comprising six countries bordering Afghanistan plus Russia and the USA.

Tajikistan’s Southern neighbor – Afghanistan is the world's largest opium producer and the biggest heroin supplier to both European and Asian markets. For decades drug trade has been a major source of revenue for various anti-government, militant groups, active especially in the Southern and Western provinces of the country. The same region is responsible for 98% of opium cultivation and more than a half of all production is concentrated in the Helmand province - over 30 000 ha of cultivated land in 2010. Southern Afghanistan is a warfare environment and due to frequent attacks on Afghan government law enforcement units (GLE) less than 3% of crops in Helmand can be destroyed. Opium poppy cultivation has gradually increased since 2001 and the planned for 2014 withdrawal of NATO forces may lead to greater instability in the region and further increase of drug production.

Through its geographic location Tajikistan has become a major transit route for drugs bound mainly for Russian and to a lesser extent European markets. The country seizes about 80% of all drugs captured in Central Asia. Tajik Government and United Nations International Drug Control Programme (UNDCP) begun cooperation in 1996. Initially the Office for Drug Control and Crime Prevention (the previous name of UNODC) planned to assist the Tajik State Commission on Drug Control (SCDC) providing equipment and trainings and subsequently the idea of creating a structure specialized in countering drug criminality developed.

The project enhances the national as well as regional law enforcement capacity by providing technical assistance to the Government of Tajikistan, including the DCA. The overall objective is to assist the agency to develop into the lead drug law enforcement agency in Tajikistan; to become capable of developing operations against high-level drug trafficking organizations and interdicting illicit drug and precursor chemical shipments.

In 1999 the Republic of Tajikistan and UNDCP signed a protocol regarding the new specialized agency, which was then formally established by a presidential decree. The Tajikistan Drug Control Agency was administered through project AD/TAJ/D65, which ended in 2003. The present evaluation concerns the continuation of support to the DCA via project TAJ/H03 “Tajikistan Drug Control Agency (DCA) – Phase II”.

The DCA mandate and objectives include:

- development and implementation of state policy in the area of drug trafficking and abuse of illicit drugs,
- ensuring interagency coordination of state and other organizations,
- prevention and detection of drug related crimes, circulation of narcotic drugs, psychotropic substances and precursors,
- improving processes designed to reduce the demand on drugs and implementing measures against drugs trafficking,
- coordination of international anti-drug cooperation,
- providing analytical reports regarding drug trafficking in Tajikistan and identifying changing trends and new developments.

Since its creation the agency has been successful in fulfilling its objectives and delivering high-quality analytical work in the field of drug criminality, hence the continuing support of international community.

4. Establishment of Central Asian Regional Information and Coordination Center (RER/H22)

The project assists the Member States to implement the Memorandum of Understanding (MOU) on Sub-Regional Drug Control Cooperation (Azerbaijan, Kazakhstan, Kyrgyzstan, Russia, Tajikistan, Turkmenistan and Uzbekistan) in establishing a Central Asian Regional Information and Coordination Centre for combating illicit drug trafficking (CARICC). The purpose of the Centre is to facilitate the collection, analysis, sharing and use of drug related intelligence/information and assist in the coordination of multilateral counter-narcotics operations. The Centre facilitates coordination between law enforcement agencies (LEAs), such as police, customs, national security services, drug control agencies and border guards, of each Member State and other regional and international law enforcement organizations.

The project was launched in 2004, and due to limited funding at the time, it was decided to divide the project into phases, introducing a staged implementation of activities. The CARICC Agreement was endorsed at the Ministerial Meeting in 2006 and the Centre started limited operations within a “pilot phase” in 2007. Subsequently, full-fledged activities of the Centre commenced following a formal inauguration of CARICC in December 2009. As a result of initial success and achievements, the project was extended until the end of 2015 and has since been extended until the end of 2017.

5. Countering the traffic of opiates from Afghanistan through the Northern route via strengthening the capacity of border crossing points (BCPs) and establishment of border liaison offices (BLOs) - (XACK22)

Border Liaison Component was initiated in response to the growing threat from the transporting of opiates (heroin) from northern Afghanistan onwards to Russia and Europe via the ‘Northern Distribution Route’ (NDR). UNODC estimates that 25% of the heroin leaving Afghanistan utilizes the NDR and tons of precursor chemicals which are needed to convert the opium into heroin transit back through Central Asia and into the hundreds of illicit conversion laboratories scattered throughout Afghanistan.³² To accomplish this complex movement of drug distribution and the resupply of precursor chemicals, Transnational Organized Crime (TOC) groups operating in Central Asia deploy sophisticated smuggling methods which, for the most part, have allowed them to transit contraband unimpeded across multiple-international borders.

To counter these powerful trafficking groups and in cooperation with “UNODC Regional Programme for Promoting Counter Narcotics Efforts in Afghanistan & Neighboring Countries” XACK22 was initiated in 2009 and guided by the following themes: build capacities at Central Asia Border Crossing Points (BCPs); enhance the level of expertise of officers at crossings; establish intelligence sharing and communications mechanisms between state agencies’ within a Border Liaison Office (BLO); draft legal and binding documents for inter-agency and cross-border cooperation.

³² <https://www.unodc.org/unodc/pressrelease12nov12.html>

Project XACK22 was launched on October 16, 2009. The project's overall budget is 5,056,932 USD with an approved budget of 4,546,197 USD.

Border Liaison Component objectives have remained consistent and have not substantially changed based upon the four revisions. As documented in the original project document, the project seeks to: enhance border crossing facilities with established lines of communication and intelligence sharing across borders in order to detect and intercept contraband, including narcotics, psychotropic substances and precursor chemicals, as well as facilitating international trade across these borders, bring long-term economic gains to both Afghanistan and its Central Asian neighbors thereby reducing poverty in border regions and promoting political and economic stability in the beneficiary countries.

Main challenges during implementation

XAC/Z60. One of the challenges in project implementation was that the process of integrating standalone projects into XAC/Z60 took longer than expected. In particular, the optimization of the staffing structure and distribution of responsibilities between country teams was finished only after the integration process was finalized in February 2018.

As for external factors, the implementation of some activities took longer than expected because of delays in the agreement and approval of some project parameters by beneficiaries in the region. In particular, the wide scale reforms in the law enforcement agencies of Uzbekistan which was initiated in 2017 contributed to delayed responses and longer approval periods.

TAJ/E24. Since construction works for the border posts commenced in winter, works on the buildings' foundation were not possible due to the low temperature. Therefore, these works were suspended between January-February. In spring, high waters also caused problems for the construction as the need for the installation of drainage nets around the buildings in the "Tagnob" border post was identified. It became clear that the streams of water from the surrounding hills and main road pass through the construction site, thus posing the risk of destruction of the newly constructed facilities. Since all the construction elements were important, the Project in consultation with the Government of Japan came to a decision to install drainage nets around the completed buildings. The hydrological survey carried out at the "Tagnob" construction site identified high content of salts in the ground water, making it undrinkable. Therefore, the Project had to provide an alternate water supply to the site (with precipitation tank and chlorator) upon obtaining the approval of the donor and the beneficiary agency.

TAJ/H03. Project implementation is monitored by the project team and International Working Group (IWG) consisting of representatives of project beneficiaries, government representatives, donors and international organizations working in the field of counter narcotics. The IWG has not observed any particular challenges during the implementation of the project.

RER/H22. The absence of a multilateral "Agreement on the Exchange and Protections of Secret Information" substantially impacts the exchange of intelligence between CARICC and the member states competent authorities. CARICC lacks the framework mechanism for the exchange of classified information. The result is limited performance in planning and implementation of joint international counternarcotic operations. Since 2010, when negotiations on the said agreement started between the CARICC member states, only

Tajikistan has signed. It is also worth-noting that the framework proposed in the agreement does not establish the mandate to exchange intelligence among signatory parties.

XAC/K22. A unified law enforcement drug control network is still not fully operational in Uzbekistan. The Project has been facilitating the creation of the National Inter Agency Database on illicit drug trafficking. At the moment, the pilot version of the system has been created and launched on 26 June 2017. The National Inter Agency Database is aimed at inter-agency interaction, implementation of operational and strategic analysis, systematization of all drug related offences.

There is yet no consensus between the Governments of Kyrgyzstan and Tajikistan on selection adjoined BCPs for setting up additional new BLO offices at the Kyrgyz-Tajik border. Following the needs assessment mission held in May 2016, the Steering Committee members in Kyrgyzstan recommended the “Kulundu” BCP on the Kyrgyz side of the border for these purposes and this decision has long been pending with Tajik counterparts. With support of the project, number of meetings were held in Dushanbe with the involvement of the Steering Committee members, representatives from Ministry of foreign Affairs (MFA), Ministry of Justice and the State Commission on Demarcation and Delimitation of State border. As a result of the lengthy consultations, a decision was made to recommend the “Guliston” BCPs (Tajik side of the border) and the “Kyzyl-Bel” (Kyrgyz side of the border) for BLO establishment. In order to accelerate the selection process of the BCPs at the Kyrgyz-Tajik border, it is planned to organize a bilateral working meeting of Steering Committees established under the project in Kyrgyzstan and Tajikistan in the 1st quarter of 2018.

Project documents and revisions of the original project document

XAC/Z60:

Project document	Year	Please provide general information regarding the original project document.
“Sub-programme 1 of the Programme for Central Asia: Countering transnational organized crime, illicit drug trafficking and preventing terrorism” (XAC/Z60)	2016-2019	The project document was developed and adopted in line with the new programmatic approach which intended to cover all law enforcement activities of UNODC Programme for Central Asia (2015-2019) under one Sub-programme. Thus, project document covered all specific Sub-programme 1 niche areas, such as, drug control strategies, intelligence analysis, counter narcotics investigations, multilateral operations (including controlled deliveries), precursor controls, border liaison and management, customs profiling, smuggling of migrants, human trafficking, terrorism prevention and cybercrime. Overall objective of the project is that “Member States are more capable and proficient at responding to transnational organised crime, illicit trafficking and illicit drug trafficking at the normative and operational levels in accordance with relevant UN conventions; and criminal justice regimes are strengthened

		and more capable at preventing and combating terrorism in accordance with the rule of law.”
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Project revision	Year	Reason & purpose (max. 2 sentences per revision)	Change in (please check)
Revision 1 (ongoing)	2018	Subsuming all standalone projects and separate components under the Sub-programme 1 framework.	Budget Timeframe <input checked="" type="checkbox"/> Logframe

TAJ/E24:

Project document	Year	Please provide general information regarding the original project document.
“Strengthening control along the Tajik-Afghan border” – TAJ/E24	1999-2018	The project’s objective was to develop drug control capacity of law enforcement agencies involved in border control through provision of training and equipment.

Project revision ³³	Year	Reason & purpose (max. 2 sentences per revision)	Change in (please check)
Revision 1	2009	The revision was based on recommendations of the Counter-Narcotics Evaluation of 2006 in order to adjust project activities to the Agreement between the Governments of USA and Tajikistan of 2006 to construct/renovate seventeen Border outposts located along Tajik-Afghan border within the territory of Tajikistan, six of which came under responsibility of UNODC TAJ/E24 project. The project budget was increased to 9,216,593 USD and the project’s original overall and immediate objectives and as well as the conceptual approach and implementation arrangements did not change.	<input checked="" type="checkbox"/> Budget Timeframe Logframe
Revision 2		According to the recommendations of the Mid-term Evaluation of 2009 the timeline was extended to June 2012 the budget was increased to 10,856,593 USD. This was required to ensure accomplishment of the	<input checked="" type="checkbox"/> Budget <input checked="" type="checkbox"/> Timeframe

³³ Please add further rows as needed

		qualitative refurbishment works, appropriate training, equipping and furnishings for the Tajik Border Guards in order to provide them with good living conditions as well as the competence, skills and professionalism to fulfil their mission.	Logframe
Revision 3		The aim of the revision was to extend the timeline of the project till December 2015 to ensure smooth completion of the refurbishment activities of the project without changing the overall budget of the project or the conceptual approach. A refurbishment of a strategic outpost launched at the Tajik-Afghan border was accomplished in 2015 with the use of funds received from US INL in late 2013.	Budget <input checked="" type="checkbox"/> Timeframe Logframe
Revision 4		The purpose of the revision was to ensure completion of activities of the project document by extending the timeline to December 2018 and by increasing the overall budget to USD 13,365,230 from the funds provided by the Government of Japan and later by the US INL. The revision does not change the original overall and immediate or the conceptual approach and implementation arrangements of the originally approved project document.	<input checked="" type="checkbox"/> Budget <input checked="" type="checkbox"/> Timeframe Logframe

TAJ/H03:

Project document	Year	Please provide general information regarding the original project document.
“Tajikistan Drug Control Agency (DCA) – Phase II” (TAJ/H03)	2003-2017	The project enhances the regional law enforcement capacity by providing technical assistance to the Government of Tajikistan, including the DCA. The overall objective is to assist the agency to develop into the lead drug law enforcement agency in Tajikistan; to become capable of developing operations against high-level drug trafficking organizations and interdicting illicit drug and precursor chemical shipments.

Project revision	Year	Reason & purpose (max. 2 sentences per revision)	Change in (please check)
Revision 1	2005	The project revision concentrated on the provision of financial means in order to maintain the level of DCA grants in 2005 as from 2004, promote and strengthen the	Budget Timeframe

		human and operational capacities of the DCA. It did not change the project budget or duration.	<input checked="" type="checkbox"/> Logframe
Revision 2	2005	Following the request of the Government of Tajikistan to UNODC, and the confirmation of the key donor to continue funding of this project with a prolonged exit strategy, it was decided to expand the budget and timing for the project providing financial resources for the salaries and allowances of DCA officers until end of 2007. The revised overall budget increased to USD US\$ 7,693,715	<input checked="" type="checkbox"/> Budget <input checked="" type="checkbox"/> Timeframe <input checked="" type="checkbox"/> Logframe
Revision 3	2007	Two additional outcomes were introduced to further develop forensic and chemical analysis capacities; and strengthening the existing drug detecting dog handlers' capacity. The revised overall budget increased to USD 11,384,260.	<input checked="" type="checkbox"/> Budget <input checked="" type="checkbox"/> Timeframe <input checked="" type="checkbox"/> Logframe
Revision 4	2010	The project outcomes remained unchanged and additional assistance supported further development of the DCA. The revised overall budget increased to USD 13,784,047	<input checked="" type="checkbox"/> Budget <input checked="" type="checkbox"/> Timeframe Logframe
Revision 5	2013	The project Outcomes remain unchanged. Outcomes 1, 2, 5 and 6 were rephrased. Additional activities were introduced to further support development of the DCA. The project revision also envisaged the recruitment of an International Project Coordinator/International Consultant. The revised overall budget increased to USD 16,605,077	<input checked="" type="checkbox"/> Budget <input checked="" type="checkbox"/> Timeframe <input checked="" type="checkbox"/> Logframe
Revision 6	2016	This revision has to ensure completion of activities of the project with no overall budget increase, and to support further development of the DCA by extending the timeline to the end of December 2017. The current revision does not change the original overall and immediate or the conceptual approach and implementation arrangements of the initially approved project document and further smooth integration to the UNODC Regional Programme for Central Asia (Sub programme 1). This revision further sets grounds for finalizing the recruitment of an International Project Coordinator.	Budget <input checked="" type="checkbox"/> Timeframe Logframe

RER/H22:

Project document	Year	Please provide general information regarding the original project document.
“Establishment of a Central Asian Regional Information and Coordination Centre (CARICC) (RER/H22)	2004-2017	The project assists in establishing a Central Asian Regional Information and Coordination Centre (CARICC). The Center serves as a regional focal point for communication, analysis and exchange of operational information in “real time” on cross-border crime, as well as a center for organization and coordination of joint operations.

Project revision	Year	Reason & purpose (max. 2 sentences per revision)	Change in (please check)
Revision 1	2006	Start of implementation of the 2nd phase of the project	Budget <input checked="" type="checkbox"/> Timeframe Logframe
Revision 2	2008	Need for full-scale project implementation and continuation of CARICC and the Member States support.	Budget Timeframe <input checked="" type="checkbox"/> Logframe
Revision 3	2011	Need to ensure further support to CARICC to assist the management to perform to its full capacity, ensure a high level of performance and assist member countries to gradually take over financing and support functions from UNODC	Budget <input checked="" type="checkbox"/> Timeframe Logframe
Revision 4	2015	Need for continuous support to CARICC’s new management to perform to its full capacity due to delays in selecting the new CARICC leadership in 2013-2014. Need to continue strengthening the promotion of cooperation with the regional and international partners such as the Joint Planning Cell (JPC), the Southeast European Law Enforcement Center (SELEC), Interpol, Europol, World Customs Organization (WCO), and with other law enforcement structures and organizations, and UNODC Global Initiatives	Budget Timeframe <input checked="" type="checkbox"/> Logframe

XAC/K22:

Project document	Year	Please provide general information regarding the original project document.
“Countering the traffic of opiates from Afghanistan through the Northern route via strengthening the capacity of border crossing points (BCPs) and establishment of border liaison offices (BLOs)” (XAC/K22)	2009-2018	The project enhances the regional law enforcement capacity by providing technical assistance to the central Asian law enforcement agencies to enable them to detect and intercept contraband, including narcotic drugs, psychotropic substances and precursor chemicals while facilitating international trade along the borders.

Project revision	Year	Reason & purpose (max. 2 sentences per revision)	Change in (please check)
Revision 1	2011	Adjustment of the projects outputs to establish four BLOs along the Tajik-Uzbek border	Budget Timeframe <input checked="" type="checkbox"/> Logframe
Revision 2	2012	Donation of 1,270,000 USD by the Government of Japan and joining of Kyrgyzstan to the project. Project outputs adjusted to include establishment of four BLOs along Tajik-Kyrgyz border.	<input checked="" type="checkbox"/> Budget <input checked="" type="checkbox"/> Timeframe Logframe
Revision 3	2013	Donation of 1,389,265 by the Government of Japan through the Japanese Agency for International Cooperation (JICA); and 950,000 USD by the U.S. Department of State/Bureau of International Narcotics and Law Enforcement Affairs (INL). Project outputs adjusted to include the establishment of two BLOs along the Uzbek-Kyrgyz border, one BLO on the Uzbek-Afghan border, and two BLOs on the Tajik-Afghan border.	<input checked="" type="checkbox"/> Budget Timeframe <input checked="" type="checkbox"/> Logframe

Revision 4	2015	Additional funding from the Government of Japan (budget increased to 7,556,932 USD)	<input checked="" type="checkbox"/> Budget Timeframe Logframe
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Contribution to UNODC's country, regional or thematic programme

The cluster of projects under evaluation aim at contributing to the goals of the following UNODC Country Programmes, Regional Programmes, and Global Programmes:

1) UNODC Country Programmes:

- UNODC Country Programme for Afghanistan
- UNODC Country Programme for Iran
- UNODC Country Programme for Kyrgyzstan
- UNODC Country Programme for Pakistan

2) UNODC Regional Programmes:

- XAC/Z61 - Sub-Programme 2 of the Programme for Central Asia - Criminal Justice, crime prevention and integrity³)
- REV/V07 - Sub-Programme 1: Regional Law Enforcement Cooperation of the Regional Programme for Afghanistan and Neighboring Countries
- REV/V08 - Sub-Programme 2: International/Regional Cooperation in Legal Matters of the Regional Programme for Afghanistan and Neighboring Countries

3) UNODC Global Programmes:

- GLO/U40 Global Programme Against Money Laundering and the Financing of Terrorism;
- GLO/T32 Strengthening the Capabilities of Member States to Prevent and Combat Serious Crime;
- GLO/G80 Container Control Programme;
- GLO/U61 UNODC Global eLearning - making the world safer from drugs, crime and terrorism;
- GLO/Z72 Building Effective Networks Against Transnational Organized Crime (BENATOC)
- GLO/Y09 The Paris Pact Initiative Phase IV
- GLO/T92 Global Programme Against Smuggling of Migrants
- GLO/Z67 Global Action to Prevent and Address Trafficking in Persons and the Smuggling of Migrants
- GLO/T59 Global Programme Against Trafficking (GPAT)

- GLO/R35 Strengthening the legal regime against terrorism

Contribution to the following UNODC country and regional programmes:

Project under evaluation	UNODC country/regional programme
XAC/Z60	UNODC Programme for Central Asia 2015-2019; Country Programme for Afghanistan; Country Partnership Programme in Iran; Country Programme for Pakistan
TAJ/E24	UNODC Counter Narcotics Strategic Framework 2014-2015, UNODC Programme for Central Asia (2015-2019) and UNODC Regional Programme for Promoting Counter Narcotics Efforts in Afghanistan & Neighbouring Countries (2011-2014)
TAJ/H03	UNODC Programme for Central Asia 2015-2019: a partnership Framework for impact related action in Central Asia, Sub-programme 1: 1. Countering Transnational Organized Crime and Drug Trafficking 1. (b) Member States are equipped to take effective action against transnational organized crime, including: drug trafficking; money laundering; trafficking in persons; smuggling of migrants; illicit manufacturing and trafficking of firearms; and emerging policy issues as mentioned in General Assembly resolution 64/179
RER/H22	UNODC Programme for Central Asia 2015-2019; Regional Programme for Afghanistan and Neighboring Countries 2011-2019
XAC/K22	UNODC Country Programmes for Afghanistan and Kyrgyzstan; UNODC Programme for Central Asia 2015-2019; UNODC Regional Programme for Afghanistan and Neighbouring Countries

Contribution to the following thematic programme(s):

Project under evaluation	UNODC thematic programme(s)
XAC/Z60	Countering transnational organized crime and illicit trafficking, including drug trafficking
TAJ/E24	
TAJ/H03	
RER/H22	

Linkage to UNODC strategic framework, UNDAFs and to Sustainable Development Goals

The projects are aligned with UNODC Strategic programme contributing to UN Sustainable Development Goal Goals, namely the SDG 16 target 16.3 - promote the rule of law at the national and international levels and ensure equal access to justice for all; target 16.4 - by 2030 significantly reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime; target 16.A - strengthen relevant national institutions, including through international cooperation, building capacity at all levels, in particular in developing countries to prevent violence and combat terrorism and crime; target 16.5 – substantially reduce corruption and bribery in all their forms. Countries are in varying stages of developing the nationalization plans for the SDGs and UNODC contributes through the UN Country teams in the region.

They also support the outcome document of the Special Session of the United Nations General Assembly on the World Drug Problem (UNGASS 2016), which called the member states to effectively addressing and countering the world drug problem and enhance effective law enforcement; responses to drug-related crime; and countering money-laundering and promoting judicial cooperation.

The Project/Programme contributes to the following Sustainable Development Goals, Targets and Performance Indicators:

Relevant UN Sustainable Development Goals ³⁴	Target(s)	Indicator(s) ³⁵
3 – Good Health and Well-being	3.5	3.5.1
5 – Gender Equality	5.2	5.2.1 5.2.2
11- Sustainable Cities and Communities	11.7	11.7.2
15 – Life on Land	15.7	15.7.1
16 – Peace, Justice and Strong Institutions	16.1 16.2	16.1.4 16.2.2

³⁴ All SDGs and targets can be found here: <http://www.un.org/sustainabledevelopment/sustainable-development-goals/>

³⁵ All SDG indicators can be found here:
https://unstats.un.org/sdgs/indicators/Global%20Indicator%20Framework_A.RES.71.313%20Annex.pdf

	16.3	16.3.1
	16.4	16.4.1
		16.4.2
	16.5	16.5.1
		16.5.2

Moreover, the Project/Programme contributes to the following UNDAF in the region:

In the framework of the Uzbekistan-United Nations Development Assistance Framework for 2016-2020, SP1 activities in Uzbekistan (in particular, activities on countering new psychoactive substances, establishment of interagency-mobile teams in Uzbekistan, combatting cybercrime) contributed to the following thematic areas and outcomes by strengthening law enforcement efforts and enhancing capacities of law enforcement and criminal justice agencies:

Thematic Area 4: Effective governance to enhance public service delivery and the protection of rights

- Outcome 7: By 2020, the quality of public administration is improved for equitable access to quality public services for all
- Outcome 8: By 2020, legal and judicial reforms further ensure strong protection of rights, freedoms and legitimate interests of citizens

The former TAJ/H03 was contributing to UNDAF Priority Area: Democratic Governance, Rule of Law and Human Rights under the Outcome 1: People in Tajikistan have their rights protected and benefit from improved access to justice and quality services delivered by accountable, transparent, and gender responsive legislative, executive and judicial institutions at all levels; Output 1.1.: National and local policies, strategies, legal frameworks and systems are developed based on sound evidence and are implemented in a participatory and accountable manner with consideration of age, gender and diversity issues in line with international standards and best practices by enhancing the institutional capacity of Drug Control Agency of Tajikistan to better address drug related threats and crimes on the national and regional level.

RER/H22 Project contributed to the Output 3.4 of the UNDAF Kazakhstan, which is: “National and regional capacities for countering illicit drug trafficking and related crime, and for developing and implementing evidence-based and human rights compliant drug policies, employ analytical capacities of relevant regional organizations” through support of CARICC, which being UNODC key implementing partner in Kazakhstan and Central Asian region, conducts regular analysis of drug situation and facilitates counternarcotic operations. The target of the output “agreement on establishment of CARICC ratified by the parliaments of a minimum of four countries. The Centre is fully staffed and fully operational with national competent bodies” has been achieved.

TAJ/E24 Project contributes to the UNDAF Output 1.1 : National and local policies, strategies, legal frameworks and systems are developed based on sound evidence and are implemented in a participatory and accountable manner with consideration of age, gender and diversity issues in line with international standards and best practices.

XAC/K22 Project contributes to the UNDAF Thematic area “Effective governance, to enhance public service delivery and the protection of rights” by enhancing the interdiction capacity of agencies tasked with preventing cross-border drug trafficking through the provision of training and, most importantly, by enhancing inter-agency coordination mechanisms to facilitate information exchange and joint operations by Border Guards, Customs Service, Ministry of Internal Affairs and drug control agencies in Central Asian countries. Specific project results also focus on enhancing the capacity for international cooperation against crime, organized crime, corruption, drug trafficking and terrorism and enhancing the capacity for law enforcement cooperation against crime, organized crime, corruption, drug trafficking, diversion of precursors and terrorism. The project is an integral part of UNODC Program for Central Asia in which BLOs are linked to regional intelligence collection and sharing through CARICC and Mobile Interdiction Units.

I. DISBURSEMENT HISTORY (as of 31 December 2017)

Time period covered by the evaluation	Total Approved Budget (USD)	Expenditure (USD)	Expenditure in %
XAC/Z60	4,162,995.49	971,584.89 (as of 31.12.2017)	23.34%
TAJ/E24 (January 2009 –June 2017)	13,365,230	11,334,400 (as of 31.07.2017)	87.40% (as of 31.03.2017)
TAJ/H03	15,680,482	15,144,184 (as of 28.08.2017)	96.58 % (as of 28.08.2017)
RER/H22	21, 410,000 (1 Jan 2004 - 31 Dec 2017)	18,091,533 (29 Oct 2004 – 31 Dec 2017)	84,50%
XAC/K22	7,556,932	6,623,409 (as of 31 Dec 2017)	87.60%

2. PURPOSE OF THE EVALUATION

Reasons behind the evaluation taking place

The purpose of this independent thematic cluster evaluation is to assess, for each of the projects and sub-programme to be evaluated, the following DAC criteria: relevance,

efficiency, effectiveness, impact and sustainability. In addition, established partnerships and cooperation as well as aspects of human rights and gender mainstreaming will be assessed. The evaluation will specifically assess how gender aspects have been mainstreamed into the project. Furthermore, lessons learned, and best practices will be identified and recommendations based on the findings formulated and the implementation of the recommendations from the mid-term Independent Project Evaluations will be assessed.

The evaluation will pay special attention to reflecting and assessing the ongoing transition from individual projects towards a single programme under Sub-programme 1 of the UNODC Programme for Central Asia 2015-2019. The evaluation will derive lessons learned, best practices and recommendations for future projects and transition efforts to ensure ownership, result-based orientation, cost-effectiveness and quality of the UNODC services.

Assumed accomplishment of the evaluation

The evaluation will offer in-depth recommendations, lessons learned and best practices that apply to all projects in a comprehensive manner but fully consider the design of implementation of the UNODC Programme for Central Asia.

The in-depth cluster evaluation is undertaken to

- (1) provide information on the short-term impact/contribution of UNODC activities in the area of law enforcement and border security to better decision-making by UNODC management (best practices and lessons learned),
- (2) assess the results of the projects and demonstrate to what extent they have achieved their objectives and have been relevant, efficient, cost effective and sustainable in implementing the Thematic Programmes,
- (3) serve as means to empower project stakeholders, target groups, and other beneficiaries; as well as to offer advice on the future implementation design and strategic orientation of the Thematic Programmes,
- (4) provide accountability to Member States by determining whether objectives of the two projects programmes were met (effectiveness) and resources were wisely utilized (efficiency) and to attract further resources towards the extension of the projects;
- (5) provide lessons learned and best practices for similar transitions from individual projects towards programmatic interventions in UNODC.

Moreover, the evaluation will highlight the findings of individual projects throughout the evaluation and in a dedicated annex (up to two pages per project under evaluation, following all evaluation criteria) to ensure granular information.

The main evaluation users

The results of this summative final evaluation are intended for use by the UNODC Regional Office for Central Asia, Project Team, beneficiary agencies/governments and Donor Countries. In particular, it will serve as a reference source for the lessons learned from the UNODC projects in Central Asia, for its proper completion and integration with the necessary adjustments to the UNODC interventions in the Central Asian region within the undergoing

UNODC Regional Programme for Central Asian States 2015-2019 signed in May 2015 by the CA (Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan, Uzbekistan) government representatives and based on the integrated programming approach which aims to deliver outcomes and outputs through sub programmes rather than through standalone projects and initiatives.

3. SCOPE OF THE EVALUATION

Unit of analysis (full project/programme/ parts of the project/programme; etc.)	The projects XAC/Z60; TAJ/E24; TAJ/H03; RER/H22; and XAC/K22 in relation to their role as implementing vehicle for of the UNODC Programme for Central Asia 2015-2019.
Time period of the project/programme covered by the evaluation	From 2010 up to the end of the evaluators' Field Mission (tentatively June 2018)
Geographical coverage of the evaluation	Central Asian region, with selected field missions to Kazakhstan, Kyrgyzstan, Tajikistan and Uzbekistan. In principle, no need to Turkmenistan due to limited Project activities there.

4. EVALUATION CRITERIA AND KEY EVALUATION QUESTIONS

The evaluation will be conducted based on the following DAC criteria: relevance, efficiency, effectiveness, impact and sustainability, as well as design, partnerships and cooperation, human rights, gender equality and leaving no one behind as well as lesson learned and best practices. The questions will be further refined by the Evaluation Team.

Design
1. To what extent the design of UNODC's portfolio of law enforcement/border control projects in Central Asia is appropriate for ensuring an effective response to transnational organized crime, illicit drug trafficking and preventing terrorism in the region?
2. To what extent the transition from individual projects to a single sub-programme has been informed by key stakeholders (internal/external)?
3. What is the added value of transitioning towards a single sub-programme compared to implementing individual projects?
Relevance
1. To what extent are the objectives, outcomes and outputs of the projects relevant to present circumstances and stakeholder expectations and needs? How can the relevance, in particular of the sub-programme, be increased in the future?

2. How relevant are the projects to target's groups, including the recipient governments and law enforcement's agencies needs and priorities?
3. To what extent is the project or programme aligned with the policies and strategies of the partner country, UNODC, other United Nations organizations and bilateral donors as well as the Sustainable Development Goals and UNDAFs? How can the relevance of the project/sub-programme be increased?
Efficiency
1. To what extent were the projects implemented in the most efficient, and timely way compared to alternatives? And to what extent have significant problems or challenges (if any) negatively impacted the efficiency?
2. To what extent were management, coordination and monitoring efficient and appropriate for the projects/sub-programme?
3. How could administrative processes be further improved in future projects and in the sub-programme (e.g. procurement of equipment; delivery of training)?
4. To what extent the transition from individual projects towards a single programme (under Sub-programme 1 of UNODC's Programme for Central Asia 2015-2019) has affected the efficient implementation of project/sub-programme activities?
Effectiveness
1. To what extent did the projects contribute to increased capacity of national law enforcement authorities in Central Asia? And what were the main factors for the achievement/non-achievement of the projects' reaching their objectives?
2. To what extent did the projects contribute to increased border control related investigative and intelligence analysis capacities of border guards and other law enforcement agencies as well as cross border cooperation between Central Asian border control agencies? And what were the main factors for the achievement/non-achievement of the projects' reaching their objectives?
4. Based on the experience of these projects, how could the effectiveness in border control projects in this region be further improved in the future?
5. To what extent did evaluation recommendations contribute to increased effectiveness of the projects under evaluation?
7. To what extent the transition from individual projects towards a single programme (under Sub-programme 1 of UNODC's Programme for Central Asia 2015-2019) is expected to contribute to an effective achievement of project goals?
8. To what extent the new initiatives designed within the sub-programme assume institutionalized approach and pro-active responses to emerging challenges?
Impact

1. To what extent did/are the projects likely to achieve the anticipated impact?
2. Have there been any positive or negative unintended results, also beyond those included in the logframe?
3. To what extent have the projects contributed to the capacity of the Central Asian law enforcement agencies to identify and intercept drug trafficking through improving their investigative, analytical and operational capacity?
Sustainability
1. To what extent are the projects' results (impact if any, and outcomes) likely to continue after the project
2. How could these aspects be further strengthened, in particular relating to the merge of the projects into the Sub-Programme 1?
2. To what extent are project interventions sustainable in the long term? If not, what is needed to ensure their continued resilience and viability in the future?
3. To what extent has the project contributed to the capacity of the Border Forces bringing it in line with the National Border Management Strategy in Tajikistan for 2010 – 2025?
4. How will Interagency Mobile Teams be integrated into the law enforcement system of Uzbekistan?
Partnerships and cooperation
1. To what extent were all relevant internal and external stakeholders properly engaged and informed and to what extent was the project conducive to the development of partnerships at the bilateral and regional level?
2. To what extent have partnerships been sought and successfully established with national and international partners, including UN-agencies, UNODC-internally, Civil Society Organisations, private sector, etc.?
3. To what extent has the transition from individual projects to a single sub-programme improved coordination internal and external among key stakeholders?
4. Were there any significant issues, problems or challenges encountered in the transition from individual projects to a single programme? If so, how have they been addressed?
5. What are further steps for DCA sustainably (future in-service trainings, development of curricula, self-funding etc.)?
Human rights, gender equality and leaving no one behind
Human rights
1. To what extent are human rights considerations included in the project development and implementation, in particular in training activities?

2. To what extent did the project activities consider the needs of the various stakeholder groups, including those who are most likely to have their rights violated?
Gender equality
1. To what extent are gender considerations included in the project development and implementation, in particular in training activities?
2. To what extent did the project activities aim at promoting sustainable changes in attitudes and behaviours about gender between the different stakeholder groups?
3. To what extent have gender equality aspects been considered in the transition from individual projects to a single sub-programme?
Lessons learned and best practices
1. What are the lessons learnt for future project/programme implementation?
2. What are the best practices that could be applied in future activities and similar projects/programmes?
3. Are there any good practices regarding efficiency, e.g. are certain aspects or arrangements of the portfolio particularly efficient?
4. Were there any significant issues, problems or challenges encountered in the transition from individual projects to a single programme? If so, how have they been addressed?
5. What are the lessons learned for future transitions from individual projects to single programmes/sub-programmes?
6. What are best practices that could be applied in similar transitions from individual projects to single programmes/sub-programmes?
7. What are the best practices that could be applied in construction activities for infrastructure development at the vulnerable areas along the borders?

5. VI. EVALUATION METHODOLOGY

The methods used to collect and analyse data

This evaluation will use methodologies and techniques as determined by the specific needs for information, the questions set out in the TOR and the availability of stakeholders. In all cases, the evaluation team is expected to analyse all relevant information sources, such as reports, programme documents, thematic programmes, internal review reports, programme files, evaluation reports (if available), financial reports and any other documents that may provide further evidence for triangulation, on which their conclusions will be based. The evaluation team is also expected to use interviews, surveys or any other relevant quantitative and/or qualitative tools as a means to collect relevant data for the evaluation. While maintaining independence, the evaluation will be carried out based on a participatory

approach, which seeks the views and assessments of all parties identified as the key stakeholders of the project/ programme, the Core Learning Partners (CLP).

The present ToR provide basic information as regards to the methodology, which should not be understood as exhaustive. It is rather meant to guide the evaluation team in elaborating an effective, efficient, and appropriate evaluation methodology that should be proposed, explained and justified in the Inception Report.

In addition, the evaluation team will be asked to present a summarized methodology (including an evaluation matrix) in the Inception Report outlining the evaluation criteria, indicators, sources of information and methods of data collection. The evaluation methodology must conform to the United Nations Evaluation Group (UNEG) Norms and Standards as well as the UNODC Evaluation Policy, Norms and Standards.

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

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

The limitations to the evaluation need to be identified and discussed by the evaluation team in the Inception Report, e.g. data constraints (such as missing baseline and monitoring data). Potential limitations as well as the chosen mitigating measures should be discussed.

When designing the evaluation data collection tools and instruments, the evaluation team needs to consider the analysis of certain relevant or innovative topics in the form of short case studies, analyses, etc. that would benefit the evaluation results.

The main elements of the evaluation process are the following:

- Preliminary desk review of all relevant project documentation, (Annex II of the evaluation ToR), as provided by the Project Manager and as further requested by the evaluation team, as well as relevant external documents (e.g. UNDAFs; SDGs; UN and global/regional strategies; etc.);
- Preparation and submission of an Inception Report (containing preliminary findings of the desk review, refined evaluation questions, data collection instruments, sampling strategy, limitations to the evaluation, and timetable) to IEU for review and clearance before any field mission may take place;
- Initial meetings and interviews with the Project Manager and other UNODC staff as well as stakeholders during the field mission;
- Interviews (face-to-face or by telephone/skype), with key project stakeholders and beneficiaries, both individually and (as appropriate) in small groups/focus groups, as

well as using surveys, questionnaires or any other relevant quantitative and/or qualitative tools as a means to collect relevant data for the evaluation;

- Analysis of all available information;
- Preparation of the draft evaluation report (based on Guidelines for Evaluation Report and Template Report to be found on the IEU website <http://www.unodc.org/unodc/en/evaluation/index.html>). The lead evaluator submits the draft report to the Project Manager for the review of factual errors (copying IEU) and the Project Manager shares with IEU for review, comments and clearance. Subsequently the Project Manager shares the final draft report with all CLPs for comments.
- Preparation of the final evaluation report. The evaluation team incorporates the necessary and requested changes and finalizes the evaluation report in accordance with the feedback received from IEU, the Project Manager and CLPs. It further includes a PowerPoint presentation on final evaluation findings and recommendations;
- Presentation of final evaluation report with its findings and recommendations to the target audience, stakeholders etc. (in person or if necessary through Skype).
- In conducting the evaluation, the UNODC and the UNEG Evaluation Norms and Standards are to be taken into account. All tools, norms and templates to be mandatorily used in the evaluation process can be found on the IEU website: <http://www.unodc.org/unodc/en/evaluation/index.html>.

The sources of data

The evaluation will utilize a mixture of primary and secondary sources of data. The primary sources include, among others, interviews with key stakeholders (face-to-face or by telephone), the use of surveys and questionnaires, field missions for case studies, focus group interviews, observation and other participatory techniques. Secondary data sources will include project documents and their revisions, progress and monitoring reports, external reports and strategies (e.g. UNDAFs; SDGs; country/regional/global strategies; etc.) and all other relevant documents, including visual information (e.g. eLearning, pictures, videos, etc.).

Desk Review

The evaluation team will perform a desk review of all existing documentation (please see the preliminary list of documents to be consulted in Annex II of the evaluation ToR). This list is however not to be regarded as exhaustive as additional documentation may be requested by the evaluation team. The evaluation team needs to ensure that sufficient external documentation is used for the desk review.

Phone interviews / face-to-face consultations

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

- Member States (including recipients and donors);
- relevant international and regional organizations;

- Non-governmental organizations working with UNODC;
- UNODC management and staff at HQ and in the field;
- Etc.

Questionnaire

A questionnaire (on-line) is to be developed and used in order to help collect the views of additional stakeholders (e.g. trainees, counterparts, partners, etc.), if deemed appropriate.

6. TIMEFRAME AND DELIVERABLES

Time frame for the evaluation

The evaluation will start with the desk review phase in April 2018 and the report should be published in November 2018

Time frame for the field mission

The field missions are planned to take place as follows (to be confirmed during the desk review phase):

Mission to UNODC HQ, Vienna: May 2018 (exact dates TBD);

Field mission to selected countries in Central Asia: early June 2018 (exact dates TBD)

Duties	Time frame	Location	Deliverables
Desk review and drafting of Inception Report	21/05/2018 – 04/06/2018 (12 working days for lead evaluator and 10 for team member)	Home base	Draft Inception report in line with UNODC evaluation norms and standards ³⁶
Review of draft Inception Report by IEU	05/06/2018 – 12/06/2018 (1 week for IEU review)		Comments on the draft Inception Report to the evaluation team

³⁶ https://www.unodc.org/unodc/en/evaluation/normative-tools.html#Inception_Report

Incorporation of comments from IEU (can entail various rounds of comments)	13/06/2018 – 30/06/2018 (3 w/d for lead evaluator and 2 for team member)	Home base	Revised draft Inception Report
Deliverable A: Final Inception Report in line with UNODC evaluation norms, standards, guidelines and templates	By 30/06/2018 (overall 15 w/d for lead evaluator and 12 for team member)		Final Inception report to be cleared by IEU before the field mission can get started
Evaluation mission: briefing, interviews with staff at UNODC HQ/FO (including by phone/skype); observation; focus groups; presentation of preliminary observations (if applicable)	02-07/2018-13/07/2018 (12 w/d for lead evaluator and 12 w/d for team member)	UNODC/HQ; Uzbekistan/ Tashkent; Tajikistan/ Dushanbe Kazakhstan, Kyrgyzstan	Interviews and data collection
Drafting of the evaluation report; submission to IEU;	16/07/2018 – 10/08/2018 (15 w/d for lead evaluator and 13 for team member)	Home base	Draft evaluation report
Review of IEU for quality assurance	13/08/2018 – 24/08/2018 (2 week for review)		Comments on the draft evaluation report to the evaluation team
Incorporation of comments from IEU (can entail various rounds of comments) and submission to IEU	27/08/2018 – 31/08/2018 (5 w/d for lead evaluator and 4 for team members)	Home base	Revised Draft evaluation report
Deliverable B: Draft Evaluation Report in line with UNODC	By 31/08/2018		Draft evaluation report, to be cleared by IEU

evaluation norms, standards, guidelines and templates	(overall 32 w/d for lead evaluator and 29 for team member)		
Review of IEU for quality assurance and Project Management for factual errors	31/08/2018 – 14/09/2018 (2 weeks for review)		Comments on the draft evaluation report to the evaluation team
Consideration of comments from the project manager and incorporation of comments from IEU (can entail various rounds of comments)	14/08/2018 – 21/09/2018 (5 w/d for lead evaluator and 3 for team member)	Home base	Revised draft evaluation report
IEU to share draft evaluation report with Core Learning Partners for comments	21/09/2018 – 05/10/2018 (2 weeks)		Comments of CLPs on the draft report
Consideration of comments from Core Learning Partners	05/10/2018 – 09/10/2018 (minimum 2 w/d for lead evaluator and 1 for team member)	Home base	Revised draft evaluation report
Final review by IEU; incorporation of comments and finalization of report; finalisation of Evaluation Brief (can entail various rounds of comments)	09/10/2018 – 15/10/2018 (minimum 4 w/d for lead evaluator and 2 for team member)	Home base	Revised draft evaluation report
Presentation of evaluation results (to be reviewed and cleared by IEU)	Tentative: 18/10/2018 (minimum 2 w/d for lead evaluator)		Presentation of evaluation results

Deliverable C: Final evaluation report; presentation of evaluation results; Final Evaluation Brief	By 08/11/2018 (overall 13 w/d for lead evaluator and 6 for team member)		Final evaluation report and presentation of evaluation results, both to be cleared by IEU
Project Management: Finalise Evaluation Follow-up Plan in ProFi	By 06/12/2018		Final Evaluation Follow-up Plan to be cleared by IEU
Project Management: Disseminate final evaluation report	By 12/12/2018		Final evaluation report disseminated to internal and external stakeholders
IEU: facilitate the external Evaluation Quality Assessment of the Final Report			External Evaluation Quality Assessment of the final evaluation report is published

7. EVALUATION TEAM COMPOSITION

Role	Number of consultants/ evaluators ³⁷ (national/international)	Specific expertise required ³⁸
Team leader	1 (international consultant)	Evaluation methods and practice
Team members	2 (international/national consultants)	Expertise in law enforcement, border control and security issues; regional expertise
IEU staff	1 (and 1 back-up)	Management of the Evaluation; participation in data collection as necessary

³⁷ Please note that an evaluation team needs to consist of at least 2 independent evaluators – at least one team leader and one team member.

³⁸ Please add the specific technical expertise needed (e.g. expertise in anti-corruption; counter terrorism; etc.) – please note that at least one evaluation team member needs to have expertise in human rights and gender equality.

The evaluators will not act as representatives of any party and must remain independent and impartial. The qualifications and responsibilities for each evaluator are specified in the respective job descriptions attached to these Terms of Reference (Annex 1). The evaluation team will report exclusively to the chief or deputy chief of the UNODC Independent Evaluation Unit, who are the exclusive clearing entity for all evaluation deliverables and products.

Project Management will arrange for independent translator/s (no UNODC staff) for the field mission to countries in the region

Absence of Conflict of Interest

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

Furthermore, the evaluators shall respect and follow the UNEG Ethical Guidelines for conducting evaluations in a sensitive and ethical manner.

8. MANAGEMENT OF EVALUATION PROCESS

Roles and responsibilities of the Programme Managers

The UNODC Programme Managers are responsible for:

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

The Project Manager will be in charge of **providing logistical support** to the evaluation team including arranging the field missions of the evaluation team, including but not limited to:

- All logistical arrangements for the travel (including travel details; DSA-payments; transportation; etc. – including for IEU staff)
- All logistical arrangement for the meetings/interviews/focus groups/etc., ensuring interview partners adequately represent men, women and other marginalised groups (including independent translator/interpreter if needed); set-up of interview schedules; arrangement of ad-hoc meetings as requested by the evaluation team; transportation from/to the interview venues; scheduling sufficient time for the interviews (around 45 minutes); ensuring that members of the evaluation team and the respective interviewees are present during the interviews; etc.)
- All logistical arrangements for the presentation of the evaluation results;
- Ensure timely payment of all fees/DSA/etc. (payments for the evaluation team must be released within 5 working days after the respective deliverable is cleared by IEU).

The Reporting, Monitoring & Evaluation Officer will be responsible to providing assistance with planning, preparation, budgeting, reporting and oversight of the evaluation in addition to providing the latest templates and general advice during the evaluation process.

Roles and responsibilities of the evaluation stakeholders/CLPs

Members of the Core Learning Partnership (CLP) are identified by the project managers. The CLPs are the main stakeholders, i.e. a limited number of those deemed as particularly relevant to be involved throughout the evaluation process, i.e. in reviewing and commenting on the TOR and the evaluation questions, reviewing and commenting on the draft evaluation report, as well as facilitating the dissemination and application of the results and other follow-up action. Stakeholders include all those to be invited to participate in the interviews and surveys, including the CLPs.

This group may also include key informants that are individuals selected on the basis of criteria such as knowledge, compatibility, age, experience, which provide information about specific aspects of evaluation.

Roles and responsibilities of the Independent Evaluation Unit

The Independent Evaluation Unit (IEU) provides norms, tools and templates for the different stages of the evaluation process.

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

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

- Discuss the work plan with the evaluator and expert and guide the evaluation process to ensure that all aspects of the Terms of Reference are fulfilled;
- Provide support to the presentation of the preliminary findings;

- Engage with the evaluation team on field mission;
- Ensure that the evaluation will be conducted in a timely, high quality manner, in line with the related UN Guidelines, Norms and Standards as specified under the item 6 (Evaluation Methodology)

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

9. PAYMENT MODALITIES

The evaluation team will be issued consultancy contracts and paid in accordance with UNODC rules and regulations. The contracts are legally binding documents in which the evaluation team agrees to complete the deliverables by the set deadlines. Payment is correlated to deliverables and three instalments are typically foreseen:

- The first payment upon clearance of the Inception Report (in line with UNODC evaluation guidelines, templates, handbook, norms and standards) by IEU;
- The second payment upon clearance of the Draft Evaluation Report (in line with UNODC evaluation guidelines, templates, handbook, norms and standards) by IEU;
- The third and final payment (i.e. the remainder of the fee) only after completion of the respective tasks, receipt of the final report (in line with UNODC evaluation guidelines, templates, handbook, norms and standards) and clearance by IEU, as well as presentation of final evaluation findings and recommendations.

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

IEU is the sole entity to request payments to be released in relation to evaluation. Project/Programme Management must fulfil any such request within 5 working days to ensure the independence of this evaluation-process. Non-compliance by Project/Programme Management may result in the decision to discontinue the evaluation by IEU.

Annex II – Data collection instruments

There were separate interview guides for different groups of interviewees. Separate groups were identified, based on the stakeholder list above, and interview guides differ for each, based on the Data Source column in the Evaluation Matrix which designates which questions will be directed at which interviewee.

Interview Sheet – Programme Staff

Interview details

Name, organisation and position	
Location	
Time	
Interviewee(s)	

Interview notes

Evaluation Question	Comment, feedback from interviewee/ focus group
Design	
1. To what extent is the design of UNODC's portfolio of law enforcement/border control projects in Central Asia appropriate for ensuring an effective response to transnational organized crime, illicit drug trafficking and preventing terrorism in the region? 1a. Specifically address to what extent the sub-programme design is appropriate for ensuring an effective response to emerging challenges.	
2. To what extent has the transition from individual projects to a single sub-programme has been informed by: <ul style="list-style-type: none"> Key stakeholders (internal/external)? Earlier standalone projects (particularly through evaluations, lessons learned, etc.) 	
Relevance	
4. To what extent are the objectives of the sub-programme relevant to the present circumstances of stakeholders (donors, governments, LEAs, etc.), and to their expectations and needs?	
Efficiency	
6. To what extent are management, coordination, reporting and monitoring efficient, and appropriate for the sub-programme? 6a. Specially address the extent to which sub-programme coordination, reporting and	

Evaluation Question	Comment, feedback from interviewee/ focus group
monitoring are efficient given the ongoing transition from individual projects to a single sub-programme.	
7. In what ways has the shift to a single sub-programme approach impacted on efficiency, particularly in terms of management, coordination, reporting and monitoring.	
Effectiveness	
<p>8. To what extent did the projects contribute to increased capacity of national law enforcement authorities in Central Asia?</p> <ul style="list-style-type: none"> • Capacity of Border Forces and alignment with the National Border Management Strategy of Tajikistan 2010-2025. • Integration of Inter-agency Mobile Teams in Uzbekistan. • Others. <p>8a. Specifically address the main factors for the achievement/ non-achievement of project objectives.</p>	
9. To what extent did the projects/ Sub-programme contribute to increased border control related investigative and intelligence analysis capacities of border guards and other law enforcement agencies?	
10. To what extent did the projects/ Sub-programme contribute to increased cross border cooperation between Central Asian border control agencies	
<p>11. To what extent have recommendations from earlier evaluations been implemented?</p> <p>11a. To what extent has the implementation of recommendations from earlier evaluations contributed to improved delivery of projects/ the Sub-programme?</p>	
Impact	
12. What impact is observable in terms of the anticipated impact identified in project/ Sub-programme theories of change?	
13. Have there been any positive or negative unintended results, also beyond those included in project logframes?	
Sustainability	

Evaluation Question	Comment, feedback from interviewee/ focus group
<p>14. To what extent are the results of the projects being evaluated likely to continue in the future?</p> <p>14a. Specifically address to what extent the merger of projects into Sub-Programme 1 contributes to increased institutionalisation of a collective response and/ or coordination against illicit drugs, diversion of precursor chemicals, and transnational and organised crime.</p>	
Partnerships and cooperation	
<p>15. To what extent have all relevant internal and external stakeholders been informed about and engaged in project and sub-programme design and implementation?</p> <p>15a. To what extent has the transition to a single sub-programme approach improved coordination with stakeholders.?</p>	
<p>16. To what extent have partnerships been sought and established with national and international partners: UN Agencies; UNODC internally; CSOs; private sector?</p> <p>16a. Address specifically how extensively appropriate partnership how been pursued.</p> <p>16b. Address specifically the appropriateness of existing partnerships.</p>	
<p>17. In relation with partnerships and cooperation, were there any significant issues, problems or challenges encountered in the transition from individual projects to a single programme? If so, how have they been addressed?</p>	
Human Rights	
<p>18. To what extent are human rights considerations included in sub-programme/project design and implementation?</p> <p>18a. Specifically address the extent to which human rights considerations are included in training and other implementation activities of the projects/Sub-programme.</p>	
Gender	
<p>19. To what extent is gender equality included in sub-programme/project design and implementation?</p> <p>19a. Specifically address the extent to which gender equality considerations are included in training and other implementation</p>	

Evaluation Question	Comment, feedback from interviewee/ focus group
activities of the projects/Sub-programme.	
20. To what extent do project/ sub-programme design and implementation promote sustainable change in attitudes to and behaviours regarding gender equality within stakeholders and target groups?	

Interview Sheet – Donors

Interview details

Name, organisation and position	
Location	
Time	
Interviewee(s)	

Interview notes

Evaluation Question	Comment, feedback from interviewee/ focus group
Design	
1. To what extent is the design of UNODC's portfolio of law enforcement/border control projects in Central Asia appropriate for ensuring an effective response to transnational organized crime, illicit drug trafficking and preventing terrorism in the region?	
2. To what extent has the transition from individual projects to a single sub-programme has been informed by: <ul style="list-style-type: none"> Key stakeholders (internal/external)? 	
Relevance	
4. To what extent are the objectives of the sub-programme relevant to the present circumstances of stakeholders (donors, governments, LEAs, etc.), and to their expectations and needs?	
5. To what extent is the sub-programme/project aligned with the policies and strategies of partner countries, UNODC, other United Nations organizations and bilateral donors, as well as the Sustainable Development Goals and UNDAFs?	
Efficiency	
6. To what extent are management, coordination, reporting and monitoring efficient, and appropriate for the sub-programme?	
7. In what ways has the shift to a single sub-programme approach impacted on efficiency, particularly in terms of management, coordination, reporting and monitoring.	
Effectiveness	
8. To what extent did the projects contribute to increased capacity of national law enforcement authorities in Central Asia?	

Evaluation Question	Comment, feedback from interviewee/ focus group
8a. Specifically address the main factors for the achievement/ non-achievement of project objectives.	
9. To what extent did the projects/ Sub-programme contribute to increased border control related investigative and intelligence analysis capacities of border guards and other law enforcement agencies?	
10. To what extent did the projects/ Sub-programme contribute to increased cross border cooperation between Central Asian border control agencies	
Impact	
12. What impact is observable in terms of the anticipated impact identified in project/ Sub-programme theories of change?	
13. Have there been any positive or negative unintended results, also beyond those included in project logframes?	
Sustainability	
14. To what extent are the results of the projects being evaluated likely to continue in the future? 14a. Specifically address to what extent the merger of projects into Sub-Programme 1 contributes to increased institutionalisation of a collective response and/ or coordination against illicit drugs, diversion of precursor chemicals, and transnational and organised crime.	
Partnerships and cooperation	
15. To what extent have all relevant internal and external stakeholders been informed about and engaged in project and sub-programme design and implementation? 15a. To what extent has the transition to a single sub-programme approach improved coordination with stakeholders.?	
16. To what extent have partnerships been sought and established with national and international partners: UN Agencies; UNODC internally; CSOs; private sector? 16a. Address specifically how extensively appropriate partnership how been pursued. 16b. Address specifically the appropriateness of existing partnerships.	

Evaluation Question	Comment, feedback from interviewee/ focus group
17. In relation with partnerships and cooperation, were there any significant issues, problems or challenges encountered in the transition from individual projects to a single programme? If so, how have they been addressed?	
Human Rights	
18. To what extent are human rights considerations included in sub-programme/project design and implementation?	
Gender	
19. To what extent is gender equality included in sub-programme/project design and implementation? 19a. Specifically address the extent to which gender equality considerations are included in training and other implementation activities of the projects/Sub-programme.	

Interview Sheet – Institutional Beneficiaries

Interview details

Name, organisation and position	
Location	
Time	
Interviewee(s)	

Interview notes

Evaluation Question	Comment, feedback from interviewee/ focus group
Design	
1. To what extent is the design of UNODC's portfolio of law enforcement/border control projects in Central Asia appropriate for ensuring an effective response to transnational organized crime, illicit drug trafficking and preventing terrorism in the region? 1a. Specifically address to what extent the sub-programme design is appropriate for ensuring an effective response to emerging challenges.	
2. To what extent has the transition from individual projects to a single sub-programme has been informed by: <ul style="list-style-type: none"> Key stakeholders (internal/external)? 	
Relevance	
4. To what extent are the objectives of the sub-programme relevant to the present circumstances of stakeholders (donors, governments, LEAs, etc.), and to their expectations and needs?	
Effectiveness	
8. To what extent did the projects contribute to increased capacity of national law enforcement authorities in Central Asia? 8a. Specifically address the main factors for the achievement/ non-achievement of project objectives.	
9. To what extent did the projects/ Sub-programme contribute to increased border control related investigative and intelligence analysis capacities of border guards and other law enforcement agencies?	
10. To what extent did the projects/ Sub-programme contribute to increased cross border cooperation between Central Asian border control agencies	

Evaluation Question	Comment, feedback from interviewee/ focus group
Impact	
12. What impact is observable in terms of the anticipated impact identified in project/ Sub-programme theories of change?	
13. Have there been any positive or negative unintended results, also beyond those included in project logframes?	
Sustainability	
14. To what extent are the results of the projects being evaluated likely to continue in the future? 14a. Specifically address to what extent the merger of projects into Sub-Programme 1 contributes to increased institutionalisation of a collective response and/ or coordination against illicit drugs, diversion of precursor chemicals, and transnational and organised crime.	
Partnerships and cooperation	
15. To what extent have all relevant internal and external stakeholders been informed about and engaged in project and sub-programme design and implementation? 15a. To what extent has the transition to a single sub-programme approach improved coordination with stakeholders.?	
16. To what extent have partnerships been sought and established with national and international partners: UN Agencies; UNODC internally; CSOs; private sector? 16a. Address specifically how extensively appropriate partnership how been pursued. 16b. Address specifically the appropriateness of existing partnerships.	
17. In relation with partnerships and cooperation, were there any significant issues, problems or challenges encountered in the transition from individual projects to a single programme? If so, how have they been addressed?	
Human Rights	
18. To what extent are human rights considerations included in sub-programme/project design and implementation? 18a. Specifically address the extent to which human rights considerations are included in training and other implementation	

Evaluation Question	Comment, feedback from interviewee/ focus group
activities of the projects/Sub-programme.	
Gender	
19. To what extent is gender equality included in sub-programme/project design and implementation? 19a. Specifically address the extent to which gender equality considerations are included in training and other implementation activities of the projects/Sub-programme.	
20. To what extent do project/ sub-programme design and implementation promote sustainable change in attitudes to and behaviours regarding gender equality within stakeholders and target groups?	

Annex III - Document list

	General UNODC and other UN documents
1	UNODC organigram
2	UNODC Menu of Services
3	Background Information Web Links.doc
4	Programme for CA PR links
3	UNODC website: UNODC and the Sustainable Development Goals ³⁹
4	UNODC brochure: UNODC and the Sustainable Development Goals ⁴⁰
5	UNODC brochure: Better Data to monitor violence, trafficking, corruption and access to Justice (2017) ⁴¹
6	ECOSOC Report of the Inter-agency and Expert Group on Sustainable Development Goal Indicators (E/CN.3/2017/2*) ⁴²
7	UNODC Independent Evaluation Unit: Meta-Analysis 2011-2014 ⁴³
8	UNODC Independent Evaluation Unit: Meta-Analysis 2015-2016 ⁴⁴
9	UNODC Independent Evaluation Unit: Evaluation-based analysis of good practices in UNODC's approach to capacity building ⁴⁵
10	UNODC Position Paper on Human Rights (2012) ⁴⁶
11	UNODC: Guidance Note on Gender Mainstreaming in UNODC (2013) ⁴⁷
12	UNODC evaluation guidelines, templates, handbook, policy ⁴⁸
13	UNODC Inception Report Guidelines and Template ⁴⁹
14	UNODC Evaluation Report Guidelines and Template ⁵⁰
15	UNODC Evaluation Quality Assessment ⁵¹
16	UNEG: Integrating human rights and gender equality in evaluation ⁵²

³⁹ <https://www.unodc.org/unodc/en/about-unodc/sustainable-development-goals/sdgs-index.html>

⁴⁰ https://www.unodc.org/documents/SDGs/UNODC-SDG_brochure_LORES.pdf

⁴¹ https://www.unodc.org/documents/data-and-analysis/Crime-statistics/Brochure_goal16_2017_web.pdf

⁴² <https://unstats.un.org/unsd/statcom/48th-session/documents/2017-2-IAEG-SDGs-E.pdf>

⁴³ http://www.unodc.org/documents/evaluation/Meta-Analysis/UNODC_Evaluation_Meta-Analysis_2011-2014.pdf

⁴⁴ http://www.unodc.org/documents/evaluation/Meta-Analysis/UNODC_IEU_Evaluation_Meta-Analysis_2015-2016.pdf

⁴⁵ http://www.unodc.org/documents/evaluation/Knowledge-Products/UNODC_IEU_Evaluation-based_Capacity_Building_Analysis_final_October_2017.pdf

⁴⁶ https://www.unodc.org/documents/justice-and-prison-reform/UNODC_Human_rights_position_paper_2012.pdf

⁴⁷ <http://www.un.org/womenwatch/directory/docs/UNODC-GuidanceNote-GenderMainstreaming.pdf>

⁴⁸ <https://www.unodc.org/unodc/en/evaluation/guidelines-and-templates.html>

⁴⁹ https://www.unodc.org/documents/evaluation/Guidelines/UNODC-IEU_Inception_Report_Guidelines.pdf

⁵⁰ https://www.unodc.org/documents/evaluation/Guidelines/Guidelines_for_UNODC_Evaluation_Reports.pdf

⁵¹ <https://www.unodc.org/unodc/en/evaluation/evaluation-quality-assessments.html>

⁵² <http://www.uneval.org/document/detail/1616>

17	UNEG Norms and Standards for Evaluation (2016) ⁵³
18	UNEG Ethical Guidelines for Evaluation ⁵⁴
19	UN: United Nations Development Assistance Framework Guidance (2017) ⁵⁵
20	Professional Peer Review of the Evaluation Function of UNODC
21	UNODC Programme and Operations Manual
22	UNODC Annual Report 2016
23	Opiate Flows Through Northern Afghanistan And Central Asia - A Threat Assessment. UNODC 2012.
24	UNODC Central Asia (Regional Office Central Asia in Tashkent) ⁵⁶
25	ROCA publications ⁵⁷
26	Afghan Opiate Trade Project ⁵⁸
27	UNODC in Central Asia ⁵⁹
28	One UNODC concerted approach – Interconnecting Europe with West and Central
29	UNODC Brochure: One UNODC Concerted Approach
30	Misuse Of Licit Trade For Opiate Trafficking In Western And Central Asia-A Threat Assessment. UNODC 2012
31	CARICC (related to project RER/H22) ⁶⁰
32	UNODC: Kazakhstan CFS July 2018
33	UNODC: Kyrgyzstan CFS July 2018
34	UNODC: Tajikistan CFS July 2018
35	UNODC: Turkmenistan CFS July 2018
36	UNODC: Uzbekistan CFS July 2018
37	UNODC: World Drug Report, 2016
38	Mid-term independent project evaluation of the Global Programme for the Implementation of the Doha Declaration (Project Number GLOZ82): towards the promotion of a culture of lawfulness. UNODC 2018
39	Independent Project Evaluation. Project XAPU59. Partnership Against Transnational-crime through Regional Organized Law- enforcement (PATROL). UNODC 2014.
40	Final Independent Project Evaluation. Project XAC/X50. “Strengthening Criminal Justice Capacities of Central Asian Countries to Counter Terrorism in Compliance with Principles of Rule of Law”. UNODC 2014.
41	Mid-term independent project evaluation. Project RER/V07 (segment). Improving the Capacity of the National Police of Afghanistan and of Central Asian countries to tackle Drug Trafficking. UNODC 2016.

⁵³ <http://www.uneval.org/document/detail/1914>

⁵⁴ <http://www.uneval.org/document/detail/102> <http://www.unevaluation.org/document/detail/100>

⁵⁵ <https://undg.org/document/2017-undaf-guidance/>

⁵⁶ <https://www.unodc.org/centralasia/index.html>

⁵⁷ <https://www.unodc.org/centralasia/en/publications.html>

⁵⁸ <https://www.unodc.org/unodc/en/data-and-analysis/aotp.html>

⁵⁹ <https://www.unodc.org/centralasia/en/unodc-in-central-asia.html>

⁶⁰ <http://caricc.org/index.php/en/default-eng/item/580-unodc-regional-representative-for-central-asia-paid-a-visit-to-caricc>

42	Independent final project evaluation. Project TKM/X57. Strengthening Customs service and other law enforcement agencies' capacity in implementing border and trade control, in particular, export/import control regimes. UNODC 2016.
43	In-depth Mid-term Evaluation. Regional Programme for Afghanistan and Neighbouring Countries. UNODC 2015.
44	Final Independent Project Evaluation. Project RER/ E29. Precursor Control in Central Asia (Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan) and Azerbaijan. UNODC 2015.
45	Independent mid-term project evaluation. Project KGZ/ K50. "Strengthening the State Service on Drug Control of the Kyrgyz Republic". UNODC 2016.
46	Independent final project evaluation. Project KGZ/ K50. "Strengthening the Counter Narcotics Service of the Interior Ministry of the Kyrgyz Republic". UNODC 2017.
47	Independent Project Evaluation. Project XAC/X44. "Strengthening the capacity of the Central Asian Republics to protect and assist victims of human trafficking and migration smuggling, especially women and children, in partnership with NGO and civil society actors".
Documents produced by or related to the Programme	
48	Programme for Central Asia – A partnership framework for impact related action in Central Asia. UNODC 2015-2019.
49	Mid-term Independent Project Evaluation. Project XAC/ K22. Countering the trafficking of Afghan opiates via the northern route by enhancing the capacity of key border crossing points and through the establishment of Border Liaison Offices. UNODC 2015.
50	Mid-term evaluation. Project TD/RER/H22. Establishment of the Central Asian Regional Information and Coordination Centre – CARICC. UNODC 2011.
51	Independent mid-term project evaluation. Project TD/TAJ/03/H03. Tajikistan Drug Control Agency (DCA) Phase 2. UNODC 2012.
52	Independent mid-term project evaluation. Project TAJ/E24. "Strengthening control along Tajikistan/Afghanistan border". UNODC 2009.
	Project documentation for RER/H22
53	• Annual Project Progress Reports for 2005
55	• Annual Project Progress Reports for 2006
56	• Annual Project Progress Reports for 2007
57	• Annual Project Progress Reports for 2008
58	• Annual Project Progress Reports for 2009
59	• Annual Project Progress Reports for 2010
60	• Annual Project Progress Reports for 2011
61	• Annual Project Progress Reports for 2012
62	• Annual Project Progress Reports for 2013
63	• Annual Project Progress Reports for 2014
64	• Annual Project Progress Reports for 2015
65	• Annual Project Progress Reports for 2016
66	• Annual Project Progress Reports for 2017
67	• INL Quarterly Reporting for Q3 2013
68	• INL Quarterly Reporting for Q4 2013
69	• INL Quarterly Reporting for Q1 2014
70	• INL Quarterly Reporting for Q2 2014
71	• INL Quarterly Reporting for Q3 2014
72	• INL Quarterly Reporting for Q4 2014
73	• INL Quarterly Reporting for Q1 2015
74	• INL Quarterly Reporting for Q2 2015
75	• INL Quarterly Reporting for Q3 2015
76	• INL Quarterly Reporting for Q2 2016
77	• INL Quarterly Reporting for Q3 2016
78	• INL Quarterly Reporting for Q4 2016
79	• INL Quarterly Reporting for Q1 2017
80	• INL Quarterly Reporting for Q2 2017
81	• INL Quarterly Reporting for Q3 2017
82	• INL Quarterly Reporting for Q4 2017
83	• Progress Reports to the Government of Japan 2012-2013,

84	• Interim Report to the Government of Japan on Use of Supplementary Funding Progress Reports 2012-Apr 2015 - Mar 2016
85	• Interim Report to the Government of Japan on Use of Supplementary Funding Progress Reports 2012-Apr 2016 - Mar 2017
86	• Progress Report to the Government of Japan, Apr-Sept 2017
87	• CARICC Project document, 2004
88	• CARICC project revision, Phase I, 2004
89	• CARICC Project revision, Phase II, 2006
90	• CARICC Project revision, 2008
91	• CARICC Project revision, 2011
92	• CARICC Project revisions, 2015
	Project documentation for TAJ/ E24
93	• Annual Project Progress Reports 2010
94	• Annual Project Progress Reports 2011
95	• Annual Project Progress Reports 2012
96	• Annual Project Progress Reports 2013
97	• Annual Project Progress Reports 2014
98	• Annual Project Progress Reports 2015
99	• Annual Project Progress Reports 2016
100	• Annual Project Progress Reports 2017
101	• Semi-Annual Project Progress Reports, 2010
102	• Semi-Annual Project Progress Reports, 2011
103	• Semi-Annual Project Progress Reports, 2012
104	• Semi-Annual Project Progress Reports, 2013
105	• Semi-Annual Project Progress Reports, 2014
106	• Semi-Annual Project Progress Reports, 2015
107	• Semi-Annual Project Progress Reports, 2016
108	• Semi-Annual Project Progress Reports, 2017
109	• INL Q3 Narrative Report, 2013
110	• INL Q4 Narrative Report, 2013
111	• INL Q1 Narrative Report, 2014
112	• INL Q2 Narrative Report, 2014
113	• INL Q3 Narrative Report, 2014
114	• INL Q4 Narrative Report, 2014
115	• INL Q1 Narrative Report, 2015
116	• INL Q2 Narrative Report, 2015
117	• INL Q3 Narrative Report, 2015
118	• INL Q1 Narrative Report, 2016
119	• INL Q2 Narrative Report, 2016
120	• INL Q3 Narrative Report, 2016
121	• INL Q4 Narrative Report, 2016
122	• INL Q1 Narrative Report, 2017
123	• INL Q2 Narrative Report, 2017
124	• INL Q3 Narrative Report, 2017
125	• INL Q4 Narrative Report, 2017
126	• INL Semi-Annual Narrative Reports, 2009 (I)
127	• INL Semi-Annual Narrative Reports, 2009 (II)
128	• INL Annual Narrative Report, 2016
129	• Interim Report to the Government of Japan, 2017
130	• Project revision, 2003
131	• Project revision, 2007
132	• Project revision, 2008
133	• Project revision, 2010
134	• Project revision, 2012
135	• Project revision, 2014
136	• Project revision, 2015

137	• Execution Modality Checklist
138	• Project budget till 2007
139	• Project balance, 2015
140	• Project balance, 2016
141	• Project balance, 2018
142	• Financial report, 2010
143	• Financial report, 2011
144	• Financial report, 2012
145	• Financial report, 2013
	Project documentation for TAJ/ H03
146	• Annual Project Progress Report, 2015-
147	• Annual Project Progress Report, 2016
148	• Annual Project Progress Report, 2017
149	• Project document, 2003
150	• Project revision, 2005
151	• Project revision, 2007
152	• Project revision, 2013
153	• Project revision, 2016
	Project documentation for XAC/ K22
154	• Project document, 2009
155	• Project revision, 2011
156	• Project revision, 2013
157	• Project revision, 2015
158	• Final report on Component 1, 2013
159	• INL Annual Narrative Report, 2017
160	• INL Quarterly Narrative Report, 2016-
161	• INL Quarterly Narrative Report, 2017
162	• Interim (semi-annual) report to the Government of Japan, 2016
163	• JICA Report on Component 3, 2016
164	• XACK22, Inter-agency joint action plan, RUz, 2016
	Project documentation for XAC/ Z60
165	• SP 1 Project document, 2015
166	• SP 1 Project document, 2016
167	• Project amendments (8), 2016-2018
168	• SP1 organigram
169	• SP 1 structure
170	• SP 1 revision, 2014
171	• SP 1 revision, 2018
172	• SP1 LogFrame
173	• SP1 Staffing
174	• Project balance, 2016
175	• Financial report, 2016
176	• Z60 budget summary in Profi
177	• Z60 submissions
178	• Z60 data

Annex IV – Stakeholders contacted during the evaluation

Number of interviewees	Organisation	Type of stakeholder	Sex disaggregated data	Country
2	UNODC	UNODC Staff/ Consultant	Male: Female: 2	Austria
2	UNODC	UNODC Staff/ Consultant	Male: Female: 2	Austria
1	UNODC	UNODC Staff/ Consultant	Male: 1 Female:	Austria
1	UNODC	UNODC Staff/ Consultant	Male: 1 Female:	Austria
1	UNODC	UNODC Staff/ Consultant	Male: Female: 1	Austria
1	CARICC	Government Counterparts	Male: 1 Female:	Kazakhstan
1	UNODC	UNODC Staff/Consultant	Male: 1 Female:	Kazakhstan
1	UNODC	UNODC Staff/ Consultant	Male: 1 Female:	Kazakhstan
1	UNODC	UNODC Staff/ Consultant	Male: Female: 1	Kazakhstan
1	UNODC	UNODC Staff/ Consultant	Male: Female: 1	Kazakhstan
1	CARICC	Government Counterparts	Male: 1 Female:	Kazakhstan
1	CARICC	Government Counterparts	Male: 1 Female:	Kazakhstan
1	CARICC	Government Counterparts	Male: 1 Female:	Kazakhstan
1	CARICC	Government Counterparts	Male: 1	Kazakhstan

Number of interviewees	Organisation	Type of stakeholder	Sex disaggregated data	Country
			Female:	
1	CARICC	Government Counterparts	Male: 1 Female:	Kazakhstan
2	Academy of Border Services National Security Committee RK	Government Counterparts	Male: 2 Female:	Kazakhstan
1	CARICC	Government Counterparts	Male: 1 Female:	Kazakhstan
8	CARICC; Liaison Officers; Kazakhstan, Tajikistan, Uzbekistan, Russia, Azerbaijan, Kyrgyzstan, Turkmenistan, Afghanistan	Government Counterparts	Male: 8 Female:	Kazakhstan
2	Border Services National Security Committee RK	Government Counterparts	Male: 2 Female:	Kazakhstan
1	Ministry of Internal Affairs RK	Government Counterparts	Male: 1 Female:	Kazakhstan
1	Ministry of Finance RK	Government Counterparts	Male: 1 Female:	Kazakhstan
1	UNODC	UNODC Staff/Consultant	Male: Female: 1	Kazakhstan
2	Embassy of Germany	Donor	Male: 1 Female: 1	Tajikistan
1	UNODC	UNODC Staff/Consultant	Male: Female: 1	Tajikistan
1	UNODC	UNODC Staff/Consultant	Male: Female: 1	Tajikistan

Number of interviewees	Organisation	Type of stakeholder	Sex disaggregated data	Country
2	UNODC	UNODC Staff/Consultant	Male: 1 Female: 1	Tajikistan
1	Drug Control Agency Tajikistan	Government Counterparts	Male: 1 Female:	Tajikistan
2	Ministry of Foreign Affairs	Civil Society Organisations	Male: 2 Female:	Tajikistan
1	US Embassy	Donor	Male: 1 Female:	Tajikistan
1	Embassy of Japan	Donor	Male: 1 Female:	Tajikistan
1	Ministry of Foreign Affairs (Border Forces-TAGNOB Border Post)	Government Counterpart	Male: 1 Female:	Tajikistan
3	Drug Control Agency Tajikistan	Government Counterpart	Male: 3 Female:	Tajikistan
1	Drug Control Agency Tajikistan	Government Counterpart	Male: 1 Female:	Tajikistan
2	Customs Service Tajikistan	Government Counterpart	Male: 2 Female:	Tajikistan
3	Ministry of Internal Affairs	Government Counterpart	Male: 3 Female:	Tajikistan
3	Border Forces	Government Counterpart	Male: 3 Female:	Tajikistan
4	Border Liaison Officers; Ministry of interior, Customs, Border Guards, Drug Control Agency	Government Counterpart	Male: 4 Female:	Tajikistan
1	OSCE	Donor	Male:1	Tajikistan

Number of interviewees	Organisation	Type of stakeholder	Sex disaggregated data	Country
			Female:	
1	UNODC	UNODC Staff/Consultant	Male: Female: 1	Uzbekistan
1	UNODC	UNODC Staff/Consultant	Male: Female: 1	Uzbekistan
1	UNODC	UNODC Staff/Consultant	Male: Female: 1	Uzbekistan
1	UNODC	UNODC Staff/Consultant	Male: 1 Female:	Uzbekistan
1	UNODC	UNODC Staff/Consultant	Male: Female: 1	Uzbekistan
4	State Customs Committee	Government Counterpart	Male: 4 Female: 0	Uzbekistan
1	Embassy of Italy	Government Counterpart	Male: 1 Female:	Uzbekistan
1	UNODC	UNODC Staff/ Consultant	Male: 1 Female:	Uzbekistan
1	BOMCA	Government Counterpart	Male: Female: 1	Uzbekistan
1	Border Guards	Government Counterpart	Male: 1 Female:	Uzbekistan
1	Embassy of Japan	Donor	Male: Female: 1	Uzbekistan
1	UNODC	UNODC Staff/ Consultant	Male: 1 Female:	Uzbekistan
1	UNODC	UNODC Staff/ Consultant	Male: Female: 1	Uzbekistan
2	UNODC	UNODC Staff/ Consultant	Male: 1 Female: 1	Kyrgyzstan
1	US Embassy	Donor	Male: 1 Female:	Kyrgyzstan

Number of interviewees	Organisation	Type of stakeholder	Sex disaggregated data	Country
1	Embassy of Japan	Donor	Male: Female: 1	Kyrgyzstan
3	State Border Service Kyrgyzstan	Government Counterpart	Male: 3 Female:	Kyrgyzstan
5	Ministry of Interior	Government Counterpart	Male: 3 Female: 2	Kyrgyzstan
1	Ministry of Interior	Government Counterpart	Male: 1 Female:	Kyrgyzstan
2	State Customs Service	Government Counterpart	Male: 1 Female: 1	Kyrgyzstan
1	Independent Consultant	UNODC Staff/ Consultant	Male: 1 Female:	United Kingdom
7	State Customs Committee, Ministry of Internal Affairs, Border Forces	Government Counterpart	Male: 6 Female: 1	Uzbekistan
Total: 101			Male: 76 Female: 25	

Annex V - Evaluation matrix

Evaluation Question	Indicator(s), data	Collection method(s)	Data sources ⁶¹	Comments <ul style="list-style-type: none"> What we are looking at What we are looking for Key areas of enquiry 	Findings
Design					
1. To what extent is the design of UNODC's portfolio of law enforcement/border control projects in Central Asia appropriate for ensuring an effective response to transnational organized crime, illicit drug trafficking and preventing terrorism in the region? 1a. Specifically address to what extent the sub-programme design is appropriate for ensuring an effective response to emerging challenges.	Counterpart participation in design.	Interviews	PS DIP MS	We want to hear from counterparts that they were consulted on priorities and design. We want to hear from counterparts (specifically CLPs) that they are confident in the Sub-programme's design in the context of their sense of priorities in focus area.	Counterparts were not particularly consulted on sub-programme design, per se, in the sense of activities, outputs, outcomes. They were involved in discussions, and had influence on priorities and approaches, but not in a detailed design sense. Some more than others, but we can say there was a general sense that they knew about approaches, had some influence on priorities, but were not involved in detail. Some had little knowledge of the regional programme. Even where they did they referenced projects in greater detail. The Uzbekistan Border Committee had best knowledge of the regional focus and the transition from projects. Little feedback on terrorism in any forum, except from the donor community. Little said in any discussion about emerging challenges. Much more focus on existing frameworks and approaches. No real aspects of HT or AML.
2. To what extent has the transition from individual projects to a single sub-programme has been informed by:	Counterpart participation in design.	Document review Interviews	Prodoc PR OD PS	We want to hear from counterparts that they were consulted on priorities and design.	Key external stakeholders had no influence on the transition – generally speaking they may have known about it, but no more. Internal stakeholders were involved deeply in all aspects of the transition.

⁶¹ PS-Programme Staff; DIP-Donors/Implementing Partners; Institutional Beneficiaries (MS); Prodoc – Programme Design Document; PR-Programme Reporting; OD-Other Documents.

Evaluation Question	Indicator(s), data	Collection method(s)	Data sources ⁶¹	Comments <ul style="list-style-type: none"> What we are looking at What we are looking for Key areas of enquiry 	Findings
<ul style="list-style-type: none"> Key stakeholders (internal/external)? Individual projects (particularly through evaluations, lessons learned, etc.) 	Visibility of project processes and evaluation analysis in the Prodoc of XAC/Z60.		DIP MS	We want to see, even as clearly as specific references in project documents, that feedback has been incorporated in design.	<p>In fact, individual projects have been transferred (or are being transferred) directly from their previous status to virtually standalone components within the regional programme. No project has changed by moving to the regional programme. New initiatives within the regional programme are referred as ‘initiatives’ while old projects retain their earlier labels. It is likely, but not at all guaranteed, that this will change over time – it is very early in the process.</p> <p>There are strong indicators that project evaluations have informed project/ sub-programme design in significant ways.</p>
<p>3. To what extent does the design of the Sub-programme, both narrative and logical framework, contribute to a clear understanding of Sub-programme:</p> <ul style="list-style-type: none"> Directions/ implementation. Monitoring. Evaluation. Reporting. <p>3a. Specifically address clarity of both results logic and results statements (output/ outcome) per se, and their contribution to analysis of effectiveness and impact.</p>	<p>Clear correlation between Prodoc narrative and the logframe.</p> <p>Well-expressed descriptions of all design aspects, from problem statements through to all result statements.</p> <p>Clear linkage from activities (what will be done) to intended results.</p> <p>Clear discussion of intended and realised results (outputs and outcomes) in Sub-programme reporting.</p>	Document review	Prodoc PR OD	<p>We are looking for a clear ‘discussion’ in documentation of the logical flow. We are looking for how specific activities generate outputs (products and services) and how these outputs contribute to intermediate and longer terms outcomes/ objectives.</p> <p>We want to see that activities have been designed to deliver the stated outcomes/ objectives.</p>	<p>Detailed analysis of the logical framework is found at Annex XII.</p> <p>The logical framework is relatively clear and informs staff and counterparts about results, logic and approaches.</p> <p>There are issues with the logframe focusing in areas that are not indeed funded nor have associated activities.</p>

Evaluation Question	Indicator(s), data	Collection method(s)	Data sources ⁶¹	Comments <ul style="list-style-type: none"> What we are looking at What we are looking for Key areas of enquiry 	Findings
Relevance					
4. To what extent are the objectives of the sub-programme relevant to the present circumstances of stakeholders (donors, governments, LEAs, etc.), and to their expectations and needs?	<p>Counterpart participation in design.</p> <p>Well-expressed descriptions of all design aspects, from problem statements through to all result statements.</p> <p>Clear linkage from activities (what will be done) to intended results.</p> <p>Visibility of project processes and evaluation analysis in the Prodoc of XAC/Z60.</p>	Document review Interviews	Prodoc PS DIP MS	<p>We want to hear from counterparts that they were consulted on priorities and design.</p> <p>We want to hear from counterparts (specifically CLPs) that they are confident in the Sub-programme's design in the context of their expectations and needs.</p>	Counterparts are absolutely confident in and expressive of their support for the content and approaches of the Sub-programme. The evaluation heard numerous statements of support for what UNODC does, for the project initiatives, for the contribution the Sub-programme makes to building capacity in beneficiary countries through equipment, equipment-related training and more general training related to agency tasks and responsibilities.
5. To what extent is the sub-programme/project aligned with the policies and strategies of partner countries, UNODC, other United Nations organizations and bilateral donors, as well as the Sustainable Development Goals and UNDAFs?	<p>Well-expressed descriptions of all design aspects, from problem statements through to all result statements.</p> <p>Clear linkage from activities (what will be done) to intended results.</p>	Document review	Prodoc PR	We want to see, even as clearly as specific references in project documents, that the mentioned strategic frameworks and priorities have been incorporated in design.	<p>Very clear alignments that are visible across all programme design and reporting documents in terms of SDGs and UNDAFs, as well as overarching strategies.</p> <p>Very clear alignment with strategic and policy frameworks in counterpart countries.</p> <p>Clear alignment as indicated by donors and other agencies working in the same field.</p>

Evaluation Question	Indicator(s), data	Collection method(s)	Data sources ⁶¹	Comments <ul style="list-style-type: none"> What we are looking at What we are looking for Key areas of enquiry 	Findings
Efficiency					
<p>6. To what extent are management, coordination, reporting and monitoring efficient, and appropriate for the sub-programme?</p> <p>6a. Specially address the extent to which sub-programme coordination, reporting and monitoring are efficient given the ongoing transition from individual projects to a single sub-programme.</p>	<p>Informative reports – are reports clear about what is happening and what is being achieved, and in relation to design?</p> <p>Timely submission of reports (narrative and financial).</p> <p>Positive feedback from counterparts and donors in particular on systems, on coordination and on reporting.</p> <p>Comment/ feedback on both the detail and the impact of the process of transition from single projects to the Sub-programme.</p>	Document review Interviews	Prodoc PR OD PS	<p>We want to see and hear if a) systems and process make a positive contribution to input management and activities/ outputs.</p> <p>We want to see and hear if counterparts, and donors in particular, have confidence in systems of management, oversight and reporting.</p> <p>We want to get feedback on the process of transition to the Sub-programme.</p>	<p>Feedback that the unified reporting for the Sub-programme, in place of project reports, will definitely be an improvement, but there has not been time yet for this to be demonstrated.</p> <p>There was some conflicting information about whether or not projects have even been closed, in terms of the Profi and Umoja systems.</p> <p>There is a universal price list for what UNDP charges for admin/ finance services. It becomes overly expensive when there are two-monthly extensions for staff contracts.</p> <p>Feedback that proposals are not developed sufficiently well both in terms of logical frameworks and in the basic editing quality of the documents.</p> <p>Feedback that results logic is not well-enough developed – feedback that is supported by document review. There is too much emphasis on inputs and input indicators and too little reference to outputs, such as what new knowledge and skills exist with trainees and how this knowledge and these skills are being used.</p> <p>Feedback that reporting does not well-enough inform on what is actually being achieved.</p> <p>Donor feedback that timeliness of reporting is fine.</p>
7. In what ways has the shift to a single sub-programme approach impacted on efficiency, particularly in terms of management,	Comment/ feedback on both the detail and the impact of the transition from	Document review Interviews	Prodoc PR OD PS	We want to get feedback on the transition to the Sub-programme.	No visible change to date. The transition processes are simply too soon for a judgement to be made. Indications in terms of APPRs and SAPPRs are strongly positive, but again, no SAPPR has yet been submitted.

Evaluation Question	Indicator(s), data	Collection method(s)	Data sources ⁶¹	Comments <ul style="list-style-type: none"> What we are looking at What we are looking for Key areas of enquiry 	Findings
coordination, reporting and monitoring.	single projects to the Sub-programme.				
Effectiveness					
<p>8. To what extent did the projects contribute to increased capacity of national law enforcement authorities in Central Asia?</p> <ul style="list-style-type: none"> Capacity of Border Forces and alignment with the National Border Management Strategy of Tajikistan 2010-2025. Integration of Inter-agency Mobile Teams in Uzbekistan. Others. <p>8a. Specifically address the main factors for the achievement/ non-achievement of project objectives.</p>	<p>Description of improvements in capacity, including what the capacity was and how/ why it was important.</p> <p>Descriptions of coordination and cooperation processes and activities.</p> <p>Descriptions of improvements in outputs/ outcomes by counterpart agencies as a result of increased capacity, increased coordination and increased cooperation.</p> <p>Discussions of factors that have impacted (positively or negatively) on results.</p>	Document review Interviews	Prodoc PR OD PS DIP MS	<p>We want to focus on outcomes, not inputs/activities/outputs, i.e., we are not interested in the number and content of training sessions or meetings (to be assessed in the efficiency section) – we are interested in how the training enabled counterparts to have greater capacity, and to understand what capacity that was. We are interested in hearing about and seeing improved cooperation and coordination, and in understanding what this means for quality of work and outcomes.</p> <p>We are interested in understanding what impacts on this work, and how it is being addressed/ managed if it has negative impact.</p>	<p>Reporting is not sufficiently well-composed to provide a good analysis of <i>changes in practice or growth capacity</i> – it is far too input-oriented.</p> <p>However, field enquiry focused on understanding the output/ outcome side of the training components of the projects and a range of capacity was detailed to the evaluation:</p> <ul style="list-style-type: none"> Developing methods of sharing information cross-border. Agency focus on ToT to keep the skills and training in-house. Work on advanced training in IBM i2 – analytical reports for leadership of the agency. Development of skills in and knowledge of profiling approaches. Combines with provided equipment. One officer developing a national database as a result of his training in IBM i2 – this will be shared with CARICC. <p>IMTs – early yet, but six are operating. Intended to cover the whole of the Uzbekistan geography.</p>

Evaluation Question	Indicator(s), data	Collection method(s)	Data sources ⁶¹	Comments <ul style="list-style-type: none"> What we are looking at What we are looking for Key areas of enquiry 	Findings
9. To what extent did the projects/ Sub-programme contribute to <i>increased border control related investigative and intelligence analysis capacities</i> of border guards and other law enforcement agencies?	<p>Description of improvements in capacity, including what the capacity was and how/ why it was important.</p> <p>Descriptions of coordination and cooperation processes and activities.</p> <p>Descriptions of improvements in outputs/ outcomes by counterpart agencies as a result of increased capacity, increased coordination and increased cooperation.</p>	Document review Interviews	Prodoc PR OD PS MS	We want to focus on outcomes, not inputs, i.e., we are not interested in the number and content of training sessions or meetings (to be assessed in the efficiency section) – we are interested in how the training enabled counterparts to have greater capacity, and to understand what capacity that was. We are interested in hearing about and seeing improved cooperation and coordination, and in understanding what this means for quality of work and outcomes.	<p>i2 – all counterparts interviewed find it incredibly useful. ARGIS as well, which provides a way to make visual representations</p> <p>It is increasing their capacity to address issues, and they are building a significant database.</p>
10. To what extent did the projects/ Sub-programme contribute to <i>increased cross border cooperation</i> between Central Asian border control agencies	<p>Description of improvements in capacity, including what the capacity was and how/ why it was important.</p> <p>Descriptions of coordination and cooperation</p>	Document review Interviews	Prodoc PR OD PS MS	We want to focus on outcomes, not inputs, i.e., we are not interested in the number and content of training sessions or meetings (to be assessed in the efficiency section) – we are interested in how the training enabled counterparts to have greater capacity, and to understand what capacity	<p>Many collaboration processes are being developed and there are many examples of cooperation (BLOs and cross-border, inter-agency cooperation).</p> <p>There is not so much discussion about more concrete results in terms of seizures. Maybe this is a reporting issue or maybe this is simply where the processes are in their development and the development of processes and systems of cooperation.</p>

Evaluation Question	Indicator(s), data	Collection method(s)	Data sources ⁶¹	Comments <ul style="list-style-type: none"> What we are looking at What we are looking for Key areas of enquiry 	Findings
	processes and activities. Descriptions of improvements in outputs/ outcomes by counterpart agencies as a result of increased capacity, increased coordination and increased cooperation.			that was. We are interested in hearing about and seeing improved cooperation and coordination, and in understanding what this means for quality of work and outcomes.	
11. To what extent have recommendations from earlier evaluations been implemented? 11a. To what extent has the implementation of recommendations from earlier evaluations contributed to improved delivery of projects/ the Sub-programme?	References to evaluations in Prodocs and project reporting. Descriptions by programme staff of how they have made use of evaluation recommendations in changing approaches, and how this has affected their work and results.	Document review Interviews	Prodoc PR OD PS	We want to know if evaluation feedback is taken on board. We want to know if, in being taken on board, the feedback has been effective. We want to see discussion about this in documents and reports.	Good feedback from UNODC staff, generally, on the influence of recommendations from evaluations on design and delivery of projects. K22 made wide changes based on its evaluation.
Impact					
12. What impact is observable in terms of the anticipated impact	Descriptions in reporting of where	Document review Interviews	PR OD	We are looking for analysis of results, and discussions of <ul style="list-style-type: none"> Legislative changes. 	There are changes in practice as indicators of or road to impact:

Evaluation Question	Indicator(s), data	Collection method(s)	Data sources ⁶¹	Comments <ul style="list-style-type: none"> What we are looking at What we are looking for Key areas of enquiry 	Findings
identified in project/ Sub-programme theories of change?	intended longer term outcomes look to be on track for achievement, or where the Sub-programme can be seen to be tracking in that direction.		PS MS	indications at the intermediate and longer term outcome area (as opposed to activity and reporting of and discussions about results at the output and short term outcome levels). We are interested in hearing about and seeing improved results of beneficiary agencies in areas directly related to products and services delivered by the project/Sub-programme.	<ul style="list-style-type: none"> MoUs. Mechanisms (K22) on allowing DCA and MoI to be present at the border. I2 – use of is an indicator of potential impact. BLO database. Use of passport readers.
13. Have there been any positive or negative unintended results, also beyond those included in project logframes?	Descriptions in reporting of longer term outcomes, and specifically where this details unintended outcomes. This means the indication is a clear discussion at this level, possibly comparing the intended outcomes with what actually happened or is happening.	Document review Interviews	Prodoc PR OD PS MS	We are looking for analysis of results, and discussions of indications at the intermediate and longer term outcome area (as opposed to activity and reporting of and discussions about results at the output and short term outcome levels). We are interested in hearing about and seeing about positive or negative unintended results of beneficiary agencies in areas directly related with the project/sub-programme.	A database is being developed independently by one staff of Uzbekistan Customs. This has been inspired by his work with the project.
Sustainability					

Evaluation Question	Indicator(s), data	Collection method(s)	Data sources ⁶¹	Comments <ul style="list-style-type: none"> What we are looking at What we are looking for Key areas of enquiry 	Findings
<p>14. To what extent are the results of the projects being evaluated likely to continue in the future?</p> <p>14a. Specifically address to what extent the merger of projects into Sub-Programme 1 contributes to increased institutionalisation of a collective response and/ or coordination against illicit drugs, diversion of precursor chemicals, and transnational and organised crime.</p>	<p>Indicators of government commitment, notably in finances but other areas as well.</p> <p>Indicators of changes in policy, procedure or legislation.</p> <p>Objective indications of institutionalisation within counterpart agencies.</p>	Document review Interviews	Prodoc PR OD PS DIP MS	<p>We are not necessarily looking for government funding, although this is a good indicator. It is quite possible for sustainable impact with donor assistance over many years, so we do not discount this. But we are interested in objective indications of commitment, such as finance, legal framework, policy, procedure. We want to see that counterparts are not working with the Sub-programme just because of external assistance.</p>	<p>The DCA.</p> <p>CARICC is of some concern in terms of sustainability. Member States see it as standalone, but this is not yet the case. More importantly, moving it towards a standalone agency is very important, including the detailed development of an agreement on a UNODC Exit Strategy from the organisation.</p> <p>There is still significant dependence on donor funding, which is ok in the context of the developments being undertaken but is not indicative of sustainability.</p> <p>Training programmes seem to all be moving towards a ToT approach and the development of internal systems of training in Sub-programme focus areas, which is a good and desirable outcome and indicator of sustainability.</p> <p>The merger into a Sub-programme has not as yet had any impact in this area.</p>
Partnerships and cooperation					
<p>15. To what extent have all relevant internal and external stakeholders been informed about and engaged in project and sub-programme design and implementation?</p> <p>15a. To what extent has the transition to a single sub-programme approach improved coordination with stakeholders?</p>	Counterpart participation in design.	Document review Interviews	Prodoc PR OD PS DIP MS	<p>We want to hear from counterparts that they were consulted on priorities and design.</p> <p>We want to hear from counterparts (specifically CLPs) that they the shift to the Sub-programme is to their benefit, in terms of effectiveness of activity and result.</p>	<p>See design.</p> <p>No visible improvements yet in coordination with stakeholders. Coordination with counterparts and donors has been very good in any case, and is a strong point of the UNODC approach in the region already. Partnership is an appropriate word to use for this relationship.</p> <p>Improved cooperation and collaboration between counterparts is also visible through and as a result of project/ Sub-programme initiatives.</p>

Evaluation Question	Indicator(s), data	Collection method(s)	Data sources ⁶¹	Comments <ul style="list-style-type: none"> What we are looking at What we are looking for Key areas of enquiry 	Findings
<p>16. To what extent have partnerships been sought and established with national and international partners: UN Agencies; UNODC internally; CSOs; private sector?</p> <p>16a. Address specifically how extensively appropriate partnership has been pursued.</p> <p>16b. Address specifically the appropriateness of existing partnerships.</p>	<p>Clear indications in project design and reporting documents as to the priorities and processes for partnership and cooperation.</p> <p>Clear design aspects as to how partnerships will be pursued, and why.</p> <p>Clear definitions of which partnerships are being pursued, and why.</p> <p>Feedback from partners on a) their participation and b) the reasons for their participation.</p>	Document review Interviews	Prodoc PR OD PS DIP MS	<p>We are looking for clear feedback that a) partnership has been a priority and b) that it has been pursued in a strategic way.</p>	<p>Partnership with national counterparts is a clear and strong aspect of the Sub-programme.</p> <p>The relationship with the key donors also has aspects of partnership.</p> <p>Partnership with the Regional Programme on Afghanistan and Neighbouring Countries is not particularly visible.</p> <p>Some interactions with related organisations such as BOMCA, but these could be strengthened through joint initiatives in training or similar.</p> <p>Did not see any serious partnership with IOM (human trafficking) or UNDP (BOMNAF).</p>
<p>17. In relation with partnerships and cooperation, were there any significant issues, problems or challenges encountered in the transition from individual projects to a single programme? If so, how have they been addressed?</p>	<p>Feedback from both project/ Sub-programme staff and counterparts on transition processes and how they have impacted on existing partnerships.</p> <p>Discussion on the effectiveness of the transition processes</p>	Document review Interviews	Prodoc PR OD PS DIP MS	<p>We need to understand if there are areas of concern, or areas of opportunity, in the programmatic approach that should be highlighted for priority.</p>	<p>No issues were raised or discussed. Quite the opposite – counterparts and donors were quite positive.</p>

Evaluation Question	Indicator(s), data	Collection method(s)	Data sources ⁶¹	Comments <ul style="list-style-type: none"> What we are looking at What we are looking for Key areas of enquiry 	Findings
	in maintaining existing partnerships. Discussions on the likely impact on partnerships (existing and potential) from the regional/ programmatic approach.				
Human Rights					
18. To what extent are human rights considerations included in sub-programme/project design and implementation? 18a. Specifically address the extent to which human rights considerations are included in training and other implementation activities of the projects/Sub-programme.	Clear discussions in project documents that human rights priorities have been considered in design and are being prioritised in implementation. Clear presence of human rights priorities in reporting. Use of external resources for assistance in this area where appropriate.	Document review Interviews	Prodoc PR OD PS MS	We are looking for both intent (the intent to take established priorities seriously in design and implementation) and actual focus in both design and activity. To a certain extent the key here is that there is a real focus within the Sub-programme; that the Sub-programme is clearly prioritising human rights considerations.	Human rights is only marginally visible in project documentation. This improves in the Z60 documentation, but then is not a significant component of Sub-programme implementation – it is discussed in specific training sessions.
Gender					

Evaluation Question	Indicator(s), data	Collection method(s)	Data sources ⁶¹	Comments <ul style="list-style-type: none"> What we are looking at What we are looking for Key areas of enquiry 	Findings
19. To what extent is gender equality included in sub-programme/project design and implementation? 19a. Specifically address the extent to which gender equality considerations are included in training and other implementation activities of the projects/Sub-programme.	Clear discussions in project documents that gender priorities have been considered in design and are being prioritised in implementation. Clear presence of gender equality in reporting. Use of external resources for assistance in this area where appropriate.	Document review Interviews	Prodoc PR OD PS MS	We are looking for both intent (the intent to take established priorities seriously in design and implementation) and actual focus in both design and activity. To a certain extent the key here is that there is a real focus within the Sub-programme on gender equality; that the Sub-programme is clearly prioritising gender equality considerations.	Gender equality/ gender mainstreaming is only marginally visible in project documentation. This improves in the Z60 documentation, but then is not a significant component of Sub-programme implementation – it is discussed in specific training sessions. Counterparts recognise the importance of the issue within UN frameworks, and acknowledge the focus from UNODC, but also consistently mention the lack of a focus in their agencies and government based around cultural constraints and government policy.
20. To what extent do project/ sub-programme design and implementation promote sustainable change in attitudes to and behaviours regarding gender equality within stakeholders and target groups?	Clear discussions in project documents that gender priorities have been considered in design and are being prioritised in implementation. Clear presence of gender equality in reporting. Use of external resources for assistance in this	Document review Interviews	Prodoc PR OD PS MS	We are looking for both intent (the intent to take established priorities seriously in design and implementation) and actual focus in both design and activity. To a certain extent the key here is that there is a real focus within the Sub-programme on gender equality; that the Sub-programme is clearly prioritising gender equality considerations.	There is no focus in the Sub-programme on promoting sustainable change in attitudes to and behaviours regarding gender equality.

Evaluation Question	Indicator(s), data	Collection method(s)	Data sources ⁶¹	Comments <ul style="list-style-type: none"> • What we are looking at • What we are looking for • Key areas of enquiry 	Findings
	area where appropriate.				

Annex VI - XAC/K22 Countering the traffic of opiates from Afghanistan through the northern route via strengthening the capacity of border crossing points (BCPs) and establishment of border liaison offices (BLOs)

This annex, together with the overall report narrative above, represents the independent final evaluation of the UNODC project XAC/K22 *Countering the traffic of opiates from Afghanistan through the Northern route via strengthening the capacity of border crossing points (BCPs) and establishment of border liaison offices (BLOs)*, finalised as a stand-alone project in June 2018, and then subsumed under Sub-programme 1 of the Programme for Central Asia.

The overall objective of this regional project was ‘Enhanced border crossing facilities with established lines of communication and intelligence-sharing across borders in order to detect and intercept contraband, including narcotic drugs, psychotropic substances and precursor chemicals as well as facilitating international trade across these borders, bringing long-term economic gains to both Afghanistan and its Central Asian neighbours thereby reducing poverty in border regions and promoting political and economic stability in the beneficiary countries.’⁶²

DESIGN

The design of the project, and the creation of BLOs was appropriate and well-suited to address the regional issues and challenges stemming from the Afghan narcotics trade at the selected vulnerable Border Crossing Points. The design first addressed the implementation of in-country coordination, building up BLOs, then shifted focus to cross-border cooperation. The project was based on 4 pillars of capacity building:

- Legal – legislation, Standard Operating Procedures.
- Capacity-building (physical infrastructure, equipment, software and training).
- Regional cooperation – information sharing.
- Research – evidence, information analysis, risk assessment.

RELEVANCE

XAC/K22 has been relevant to international frameworks and strategies, UNODC mandates and stakeholder priorities through its contribution to the counter-narcotic drugs strategy in Central Asia. This regional project was designed to counter the trafficking of Afghan opiates by establishing BLOs at key border crossings points in the Republic of Kazakhstan, the Kyrgyz Republic, the Republic of Tajikistan and the Republic of Uzbekistan. The BLOs are considered a key for enhanced cross-border communication and intelligence-sharing to detect and intercept contraband, including narcotic drugs, psychotropic substances and precursor chemicals. XAC/K22 specifically contributed to the following country and regional programmes:

⁶² 1_BLO-Norway ProDoc 2009

- UNODC's Thematic Programme Countering transnational organized crime and illicit trafficking, including drug trafficking.
- UNODC Country Programme for Afghanistan.
- UNODC Country Programme for Kyrgyzstan.
- UNODC Programme for Central Asia 2015-2019.
- UNODC Regional Programme for Afghanistan and Neighbouring Countries.

The 2017 record levels of opium poppy cultivation in Afghanistan created multiple challenges for Afghanistan, its neighbours and the many other countries transit or destinations for Afghan opiates. Addressing the opiate problem in Afghanistan remains a shared responsibility.⁶³ In Central Asia, 'effective drug interdiction and border controls are hampered by insufficient national and regional cooperation and information sharing/exchange among legal and law enforcement authorities.'⁶⁴ XAC/K22 was developed with the vision of a regional BLO network 'as a key for enhanced cross-border communication and intelligence sharing'⁶⁵, providing strategically selected vulnerable BCPs along the Northern Route with enhanced capacities for detecting the multitude of threats that stem from the illicit Afghan opium and heroin trade, and the emerging threat of new psychotropic substances.

Desk review and triangulation of collected data clearly demonstrated the relevance of XAC/K22 to the Programme for Central Asia 2015-2019, other UNODC programmes operating in the region, the SDGs and the UNDAFs of the beneficiary countries. It was also relevant to the agenda of the international community and its approach to counter-narcotics and trans-national crime in the region. There were clear indications from beneficiary countries that XAC/K22 and the development of the BLOs were important components in their counter-narcotics strategies and that UNODC contributions via equipment, specialised and general training, and overall support had significantly increased capacity at the BCPs.

EFFICIENCY

The project XAC/K22 Countering the trafficking of Afghan opiates via the northern route by enhancing the capacity of key border crossings points (BCPs) and through the establishment of Border Liaison Offices (BLOs), originally funded by the Government of Norway, with a budget of US\$1,300,000 was launched on October 16, 2009 and underwent four revisions that amended its design and scope to the needs of recipients and to incorporate additional donor funding. Revision 1, in April of 2011, adjusted the project's outputs to address the official withdrawal of Turkmenistan from the project and in the sense of scope to establish 4 BLOs along the Tajik-Uzbek border. Revision 2, in April 2012, incorporated additional funding from the Government of Japan which allowed the inclusion of the Kyrgyz Republic in the project and the establishment of an additional 4 BLOs along the Tajik-Kyrgyz border. Revision 3, in October 2013, incorporated additional funding from the Government of Japan (the Japanese Agency of International Cooperation – JICA), and additional funding from the

⁶³ Afghan_opium_survey_2017_cult_prod_web.pdf

⁶⁴ UNODC programme_for_central_asia_2015-2019_en.pdf

⁶⁵ XACK2_JICA Component 3 FINAL Report May 2016.doc

U.S. Department of State (International Narcotics and Law Enforcement Affairs – INL). The project scope was widened to include establishment of two BLOs on the Uzbek-Kyrgyz border, one BLO on the Uzbek-Afghan border and two BLOs on the Tajik-Afghan border. Revision 4, in May of 2015, incorporated additional funding from JICA and from INL, with a focus on upgrading selected Border Crossing Points and establishing two new BLOs along the Kazakhstan and Turkmenistan borders.

The project was funded to end at 30 June 2018. The total final budget was US\$ 7,556,932.

Reporting on the project was timely, comprehensive, and satisfactorily met donor requirements, although reporting tends to be more input-oriented rather than output/ outcome-focused. Reports emphasise numbers of officers trained, and the content of the training, rather than providing information on and specific examples of how new skillsets and capacities have increased efficiency and competencies in the field.

EFFECTIVENESS

A total of 13 BLOs were created through the project, have established standard operating procedures and have been signed off at the ministerial level by all beneficiary countries. Once legislation was in place, physical infrastructure was provided as needed to the selected BCPs/ BLOs, i2 software was introduced at all 13 BLOs and specialised training was provided on the software, as well as training in concealment methods, risk assessment, fraudulent document detection and other such skillsets utilised in securing the border.

i2 software has become operational in all BLO offices⁶⁶, a significant development as it is the predominant platform for intelligence analysis used globally by entities such as Interpol. Prior to the introduction of this system, border officers were using a manual approach to intelligence analysis, one that was inefficient and ineffective. i2 gives the user the capacity to do sophisticated analysis of data, to identify high risk passengers and commodities, with the potential capacity to share that information with other officers connected to the same network.

- In Tajikistan, the Drug Control Agency has taken the lead in developing a national intelligence database, fed into by each of the representative BLO agents at the specific BCP, held at the central office of the DCA in Dushanbe.
- In Kyrgyzstan, information sharing between border posts is impeded by a lack of IT infrastructure and no shared network, but the creation of a BLO Coordination Centre serves as a focal point for the collection and dissemination of information and intelligence (received from the BLOs by hard copy). Despite these limitations, the Kyrgyzstan database holds over 1,000,000 inputs related to drug trafficking and other criminal activity.
- In Uzbekistan, the National Centre on Drug Control would like to be the lead on such an initiative, but because they do not have law enforcement status, they are not represented at the border. However, XAC/K22 facilitated the creation of the National Inter-agency Database on illicit drug trafficking with a pilot version created and

⁶⁶ One example is found here: https://www.unodc.org/centralasia/en/news/ibm-i2-intelligence-analysis-software_improving-skills-of-law-enforcement-officers-in-uzbekistan.html.

launched on 26 June 2017 in Uzbekistan. This database is aimed at inter-agency interaction, implementation of operational and strategic analysis and systematisation of all drug-related offences.

- The creation of such national databases is a significant accomplishment of XAC/K22, contributing to the intended original outcomes of the project, an outcome that is ultimately sustainable, independent of UNODC and donor support.

Recent changes in the political structure in Uzbekistan has had a significant positive impact on the openness of the Uzbek border, causing dramatic shifts in workloads at the BCPs by as much as 400% daily. The project has proven to be reactive and flexible responding to the changing political climate in an efficient and proactive manner.

IMPACT

Since 2009, a total of 13 BLO posts have been created at strategic and vulnerable BCPs throughout the region. These posts are equipped with the appropriate infrastructure, modern intelligence analytical software (i2), and officers from each representative agency, all with specialised training delivered by the project. One of the major achievements of XAC/K22 was getting law enforcement agencies working together in cooperation at the borders. Prior to the inception of XAC/K22, only Border Forces/ Customs in each country had access to the border crossing posts - access to the BCP for outside agencies could only be arranged through official request, often a lengthy process. The creation of the BLO posts now gives a multitude of law enforcement agencies access (country-specific) to border activities and threats, allowing exchange of information in real time between these designated national counterparts.

No significant increase in the number of seizures of narcotics and/ or other contraband can be attributed to the creation of the BLOs, as confirmed during the interviews with the BLO offices directly, from the UNODC staff responsible for the project, and reporting reviewed during the evaluation. BLOs maintain that their presence at the border crossing points serves as a deterrent to traffickers who opt to use alternate routes rather than attempt to smuggle through the BCPs, now geared with modern detection equipment and highly trained officers, but there is no research or objective data to support this view. The BCP/ BLOs speak very confidently of their skillsets and capacities to do enhanced investigations, risk analysis and cross border initiatives, but this is not yet demonstrated by supporting statistics of narcotics/ contraband interdictions.

PARTNERSHIPS AND COOPERATION

The project was overseen and monitored in close collaboration with the UNODC project team with quarterly Project Steering Committees (established in each beneficiary country), comprised of representatives of Ministries of the Interior, Border Guards, Customs, the Security Service and the Drug Control Agency in each country. In some cases, this is the first time that these country counterparts have been brought together in any capacity for many years. This cooperation was further complemented by a Regional Steering Committee meeting, held annually. Working group meetings were held every three months to discuss technical issues, specific activities and the ongoing needs of the respective BLOs. Core leaning partners have been brought together via UNODC sponsored training initiatives and have occasionally conducted cross-border scenario based trainings. INL has co-chaired some of these training sessions. Despite these mechanisms being in place, feedback from field

interviews consistently indicated that the key to cross border-cooperation is political will, and that this is insufficient in the beneficiary countries.

SUSTAINABILITY

Establishment of four additional BLOs on the Kazakh-Kyrgyz and Kyrgyz-Tajik borders was initiated in March 2016, and there is a commitment for continued support of the 13 existing BLOs from the Government of Japan. Germany has recently provided US\$300,000. However, the BLO program is reliant on donor funding and there is no evidence that self- sustainability is forthcoming.

At the operational and organisational level, feedback from stakeholders confirms that the key is institutionalisation of training platforms at national and regional levels. Efforts are being made to have BLO concepts incorporated at the training-institute level, and efforts are also underway to have BLOs certified as licenced users of i2 analytical software, an accreditation that would greatly decrease training/ operating costs going forward.

Border Liaison Officers are assigned to a BLO office for a duration of three years. Upon completion of that posting the officer is then reassigned to a new BLO post, taking that knowledge, experience and training with them, which is a cost-effective approach and strategically logical in terms of individual officer capacity and experience.

HUMAN RIGHTS AND GENDER

There are no female BLOs. Female staff are recruited but tend to work more in an administrative capacity rather than substantively as a law enforcement officer, regardless of the originating agency. There are many influencing factors as to this imbalance, including, but not limited to the conscription of men into the border forces and customs services, and cultural norms and ideals that do not facilitate women working the flexible hours often required by law enforcement agencies. This is consistent across beneficiary countries. However, BLOs and other senior officials stated that gender equality was thematic and encouraged on the part of UNODC in terms of training participation and as a standalone topic.

No human rights issues were noted during the field investigation. All interviewees noted that human rights was a focus of the UNODC, and was often included as a module of the training provided, especially as it pertained to arrest/detention procedures at the border. All BLO/ BCPs indicated that same sex searches are conducted at the border and that a female officer was always available to do so. This is legally entrenched in the relevant criminal codes/ applicable national legislation.

Annex VII - RER/H22 Establishment of a Central Asian Regional Information and Coordination Centre (CARICC)

This annex, together with the overall report narrative above, represents the independent final evaluation of the UNODC project RER/H22 *Establishment of a Central Asian Regional Information and Coordination Centre (CARICC)*, launched in 2004, and then subsumed at the end of 2017 under Sub-programme 1 of the Programme for Central Asia. Initiated by UNODC in 2004, RER/H22 assists Member States to implement the *MoU on Sub-Regional Drug Control Cooperation* (Azerbaijan, Kazakhstan, Kyrgyzstan, Russia, Tajikistan, Turkmenistan and Uzbekistan) in establishing a Central Asian Regional Information and Coordination Centre for combating illicit drug trafficking (CARICC).

DESIGN

The project underwent four (4) revisions: Revision for Phase 2, in March of 2006 which covered renovation of premises, the selection and recruitment process of the staff to be seconded by each participating country to the Centre and the provision of equipment; Revision 2, in 2008, incorporated additional donor funding and revisions to the project scope to delete some completed activities and new activities and outputs. The project timeframe was also extended to the end of 2011; Revision 3, in 2011, did not change the overall concept of the project, but focused on ongoing funding to ensure to the extent possible that the Centre is sustainable. Some activities were deleted and other added; The final project revision, in 2015, extended the project to the end of 2017, in anticipation of the transition process to the Sub-programme approach. The Project Coordinator position was downgraded to decrease implementation costs and to align the structure with the ROCA restructuring through the *UNODC Programme for Central Asia*. The principal donor of the project was the INL (USA) - the total approved budget was \$21,410,000. RER/H22 specifically contributes to the following country and regional programmes: UNODC's Thematic Programme *Countering transnational organized crime and illicit trafficking, including drug trafficking* and the Regional Programme for Afghanistan and Neighbouring Countries 2011-2019.

RELEVANCE

Intelligence-led law enforcement is recognized as the most efficient methodology for investigation and disruption of drug-related and other major organized crime. Transition to intelligence-led techniques through the strengthening of criminal intelligence analysis and creating networks between relevant law enforcement bodies is an accepted strategic objective for countries facing the problem of drug trafficking.⁶⁷ The purpose of the Centre is to facilitate the collection, analysis, sharing and use of drug related intelligence/information and assist in the coordination of multilateral counter-narcotics operations. The Centre facilitates coordination between law enforcement agencies such as police, customs, national security services, drug control agencies and border guards, of each Member State and other regional and international law enforcement organizations.

Within the defined international, regional and national frameworks described in the main narrative of the evaluation report above, CARICC has become a focal point for regional operations such as TARCET (on precursor control), 'Global Shield' (on chemicals used to

⁶⁷ 1_2004_CARICC PRODOC finalprodoc.doc

manufacture explosives and drugs), controlled deliveries, ‘Black Tulip’ (on West-African drug trafficking groups) and other relevant operations. The Information-Analytical Centre of the Agency is fully operational. In coming years it will be further developed through training initiatives, increased quality of information and the preparation of high quality reports that give consideration to drug trafficking trends and a strategic analysis of the situation in the region.

RER/H22 specifically contributes to the following country and regional programmes: UNODC’s Thematic Programme Countering transnational organized crime and illicit trafficking, including drug trafficking; Regional Programme for Afghanistan and Neighbouring Countries 2011-2019; Output 3.4 of the UNDAF Kazakhstan: National and regional capacities for countering illicit drug trafficking and related crime, and for developing and implementing evidence-based and human rights compliant drug policies, employ analytical capacities of relevant regional organizations.

EFFICIENCY

Field inquiry confirmed there is not currently a specific exit strategy specifying the terms and conditions for Member States to take over financial support for CARICC. Further, it is understood from field research that the current arrangements for CARICC funding are not sufficiently well-planned and implemented. This is particularly notable in terms of national targets within the CARICC results framework, for which Member States are responsible. Better programme and financial planning, for current activities and for the longer-term future of the Office, are both current shortcomings in the CARICC structure.

The Director/ Deputy Director roles are defined as two-year positions. Numerous stakeholders indicated that it would be of interest to the organisation to consider extension of the duration of these positions to a minimum of three years. Also noted was that the current Liaison Officers are all on the same staffing rotation, which can be problematic if all leave their postings at the same time, particularly in terms of the handover of files and information.

On May 1, 2018, the stipend paid to the Liaison Officers was eliminated. In some cases the LO did not receive any base salary from their country, so the elimination of the stipend was 100% reduction of their income, forcing them to leave the organisation and return to their countries. This included the Azerbaijan Customs Officer, the Kyrgyzstan National Security Committee representative, and the Turkmenistan MINT representative. The departure of the Turkmenistan representative has had the biggest effect on LO cooperation, as he was the only law enforcement representative for Turkmenistan in CARICC and as everything must be done on consensus between all Member States nothing can currently be agreed due to his absence.

EFFECTIVENESS

All seven Member States (Azerbaijan, Kazakhstan, Kyrgyz Republic, Russia, Tajikistan, Turkmenistan and Uzbekistan) have signed the CARICC Agreement at the presidential level and ratified it in their respective parliaments. Afghanistan currently has observer status, with an intention to become a full member by the end of the year. Member States, donors and UNODC universally expressed a desire/ need for Afghanistan to become a member of CARICC, as they are a producing country, with an incredible amount of intelligence to share. Turkey has expressed interest in joining, as has Mongolia.

The Centre is fully operational, and housed in a building provided by the Government of Kazakhstan. CARICC staff are heavily vetted during the recruitment process, while Liaison Officers are selected and seconded from Member States. CARICC staff come to the centre with advanced skills, and are considered to be competent in their areas of expertise.

CARICC facilitates information exchange and analysis, and coordinates the operational activities of various law enforcement agencies countering narcotics in the region and beyond, with the Liaison Officers acting as focal points for the exchange of information and the coordination of operations between countries (via bilateral agreements). Liaison Officers report directly to their country and have very little interaction with the programme team.

The Centre has had a number of successes, acting as a focal point for operations such as TARCET (on precursor control), Operation Substitute (precursor control), 'Global Shield' (on chemicals used to manufacture explosives and drugs), 'Black Tulip' (on West-African drug trafficking groups), controlled deliveries, and other operations. However field investigation emphasised that these successes are in relative isolation in the overall context of the region and the intended role of the Centre.

The Centre produces and distributes regular information and analytical bulletins on drug seizures, trafficking routes, illicit trafficking trends and organized criminal groups, based on open source information provided primarily by the member states. CARICC issues periodic drug threat assessment reports and distributes them to the law enforcement agencies in the region, although interviews with officers in the field indicated that this information is not being disseminated regularly to the front line.

Feedback from a number of interviewees was that Member States do not intend to give up full control of operations to CARICC, and, in moving forward, the Centre should shift focus and streamline efforts into becoming an intelligence centre of excellence. In light of funding/sustainability issues, complemented by low operational statistics, the view was also expressed that analysts could take over responsibility for coordination of operations, decreasing staffing volumes and overall operations costs. Such an approach would need to be facilitated by a binding legal agreement on the sharing of secret information.

IMPACT

There was significant feedback during the evaluation's field research confirming that the establishment of CARICC was, on its own, a major accomplishment of UNODC, and that CARICC is the cornerstone of law enforcement activities in the region. At the same time, there was an almost universally expressed view that the greatest adverse effect on CARICC is that the agreement on the sharing of secret information has not been signed between Member States. CARICC is first and foremost an intelligence gathering and sharing facility, but without the legal mechanisms in place to share secret or sensitive information. Visible across all evaluation discussions on the agreement was the belief that the signing of the agreement would demonstrate to the international community (including donors) that Member States are operating under an umbrella of trust. While CARICC continues to grow its database, it is based on open source, declassified information only. There is a lack of higher level, sophisticated intelligence being fed into the Centre, from Member States and from joint operations, including the ones in which CARICC acts as a focal point. The feeding back to CARICC of intelligence-rich information, upon the conclusion of an operation, is very limited; and agreement would mitigate this weakness.

Currently, and in the absence of an information sharing agreement, intelligence can only be shared bilaterally, facilitated by the LOs. With operations implementation, CARICC can only participate in about 50% of activities, acting more as a focal point than actively participating in an operation. In 2017 CARICC facilitated five joint operations, including controlled deliveries that were successfully implemented resulting in the seizure of 85.791 kilograms of various types of drugs and the detention of 11 leaders and members of transnational drug trafficking groups. CARICC also continued implementing two long-term multilateral operations, Reflex and Substitute, on combatting illicit trafficking of new psychoactive substances and precursors (a total of 7 operations). Implementation of Operation Reflex resulted in the seizure of about 500 grams of synthetic drugs and the detention of seven smugglers. CARICC also continued collecting and collating information within five Analytical Work Files. CARICC continued populating its Central Databank and by the end of 2017 the Databank contained 56,000 entries. CARICC also produced and disseminated 29 analytical reports, reviews and other materials among its counterparts.⁶⁸ The relatively low level of operational engagement and results is of concern to key CARICC stakeholders, with current and potential impact on donor support.

PARTNERSHIPS AND COOPERATION

CARICC considers UNODC a main partner. CARICC has also become more publicly visible as an actor, not just with Member States but on the international stage, with multiple invitations from OSCE, Interpol and the Euro Asian Group, among others. CARICC has signed agreements or memorandums of understanding on cooperation with Interpol, the World Customs Organisation, the Southeast European Law Enforcement Centre (SELEC), the CIS Anti-terrorist Centre, the Shanghai Cooperation Organisation Regional Anti-Terrorist Structure and others, allowing CARICC to use reliable and secure communication channels.

In n 2017, the CARICC Council adopted the new CARICC Strategy for 2018-2022, a framework document designed for effective mid-term planning and implementation of the organisation's activities. The main priority of the Centre is the interests of the Member States –finding the consensus within Member States on controlling drug trafficking, which ultimately drives the activity of the Centre.

SUSTAINABILITY

CARICC was referred to in the field investigations as the flagship of UNODC in Central Asia, and with almost 15 years of ongoing establishment/ operations inputs it represents a huge investment. Member States see CARICC as a standalone entity, but while ultimately desired, self- sustainability is not visible in the immediate future. Indeed, there was a significant level of feedback during field interviews indicating that CARICC would not exist outside of UNODC support and that Member states are not prepared/ able to self-fund their participation. UNODC's CARICC personnel and senior management recognise that a detailed exit strategy is critical (such a priority is also visible in H22 design documentation), and that such a strategy needs to be realistic in terms of both timing and expectations, and needs to include detail on internal regulations and structures in place to operate on its own including a financial controller, human resource and procurement rules and a fundraising strategy. No specific exit strategy document exists at this time. Despite strong support at the onset, donor

⁶⁸APPR_ROCA_SP1_2017_Z60_Final_v2.docx

participation has decreased significantly over the years, with CARICC now funded primarily by INL, and in fact INL itself has expressed concern over self-sustainability and diversification of funding sources. INL has indicated the need for a solid proposal for self-sustainability, and may begin earmarking its funding to the organisation as a strategy for facilitating this development. The implication of such a move to CARICC funding is a further factor indicating the need for a formal exit strategy.

Kazakhstan is currently the only Member State participating financially, providing the building for CARICC and the majority of operating costs. Although it was recognised by interviewees that not all Member States have the same financial capacity to contribute, sustainability will depend on all Member States making appropriate contributions to the costs of the Centre.

Human Rights and Gender

Human rights issues and gender mainstreaming are recognised as a platform of UNODC, strongly reflected in the field and in programme implementation. Two female intelligence officers were recently hired, with a total of 4 female officers from the total staffing complement of 10. There are no female Liaison Officers.

Annex VIII - TAJ/E24 Strengthening control along the Tajikistan/Afghanistan border

This annex represents the independent final evaluation of the UNODC project TAJ/E24 *Strengthening control along the Tajikistan/Afghanistan border*. The project is one of UNODC's longest projects in Central Asia, having originated in 1999. The project has now been subsumed into Sub-programme 1 of the UNODC Programme for Central Asia 2015-2019. The evaluation highlights findings related to TAJ/E24 for the period following the mid-term evaluation (2010) and throughout the field mission (mid-2018), and contributes to the ongoing process of transition from an individual project to the single Programme for Central Asia. The Programme will enable UNODC to continue border control activities in Tajikistan until at least 2019.

Tajikistan is a country in Central Asia with a 1344 km long southern border with Afghanistan, lying on the transit corridor for drugs moving from Afghanistan along the silk route into the Russian Federation and European markets⁶⁹. Tajikistan has limited natural resources and relatively low levels of government spending, high corruption⁷⁰ and under-resourced law enforcement agencies,⁷¹ all of which pose significant barriers to the combating of drug trafficking. Nevertheless, Tajikistan seizes higher volumes of opiates than any other country in Central Asia.⁷² Within the defined international, regional and national frameworks described in the main narrative of this report, the project operated within the counter-narcotic drugs strategy in Central Asia with the *specific objective of strengthening the border control capacities (identification and interception of drug trafficking) of Tajik border guards and other law enforcement agencies, and the border units posted in the most sensitive areas at the border between Tajikistan and Afghanistan*. The project also contributed to Tajikistan's role in stabilisation of the region through improvements in border security.

TAJ/E24 commenced in 1999, with key activities focused on training and the provision of equipment. The project has had 5 revisions: Revision 1, in June 2003, included additional funding (INL) and an extended duration. It also had some revisions to activities and outputs based on an assessment along the Tajik-Afghan border that was conducted in May and June of 2002; Revision 2, in 2005, included increased funding from INL (and a related extension of duration), and incorporated the results of a border assessment mission in 2004 and reflected changes caused by the withdrawal of Russian border guards from the Tajik-Afghan border; Revision 3, in September 2007, extended the project to the end of 2008 and included additional INL funding. Changes in scope reflected structural and institutional changes in Tajik border control agencies and the record poppy harvest in Afghanistan in 2006; Revision 4 extended the project to the end of 2010, with additional INL funding, to improve and further strengthen the interdiction capacity of law enforcement agencies stationed on the Tajik-Afghan border, although the revision did not change the project's objectives and activities in an extensive way; Revision 5, in late 2015, incorporated new funds and a duration to the end of 2018, but with no change in objectives and activities. Principal donors to the project have been the INL (USA) and the Government of Japan. Other donors included Canada, Czech

⁶⁹ UNODC Regional Report <https://www.unodc.org/unodc/en/drug-trafficking/central-asia.html>

⁷⁰ <https://www.business-anti-corruption.com/country-profiles/tajikistan/>

⁷¹ Synthesis of UNODC reports as per the TORs for this evaluation

⁷² 2015 International Narcotics Control Strategy Report (INCSR) - Country Report: Tajikistan.

Republic, Russian Federation, France, UK and UNDP. The total approved budget of the project was \$13,365,230.

TAJ/E24 contributed to the following country and regional programmes: UNODC's Thematic Programme *Countering transnational organized crime and illicit trafficking, including drug trafficking*; UNODC Counter Narcotics Strategic Framework 2014-2015; UNODC Regional Programme for Promoting Counter Narcotics Efforts in Afghanistan & Neighbouring Countries 2011-2014.

Design

The project was designed for the problem at hand and adaptable to the needs and priorities of the border control and other law enforcement agencies on the Tajik/Afghan border. As well as the physical infrastructure and equipment, field research indicates significant investment in the support necessary to build capacity. The project was able to be responsive to changing needs, and with the assistance of project governance provided by the Project Steering Committee was able to provide strong support to the development and maturing of the border guards and the border control system. The project was straightforward in its design and delivery, and outcomes and outputs are logical, well thought out and responsive to the needs of the beneficiary organisation.

Relevance

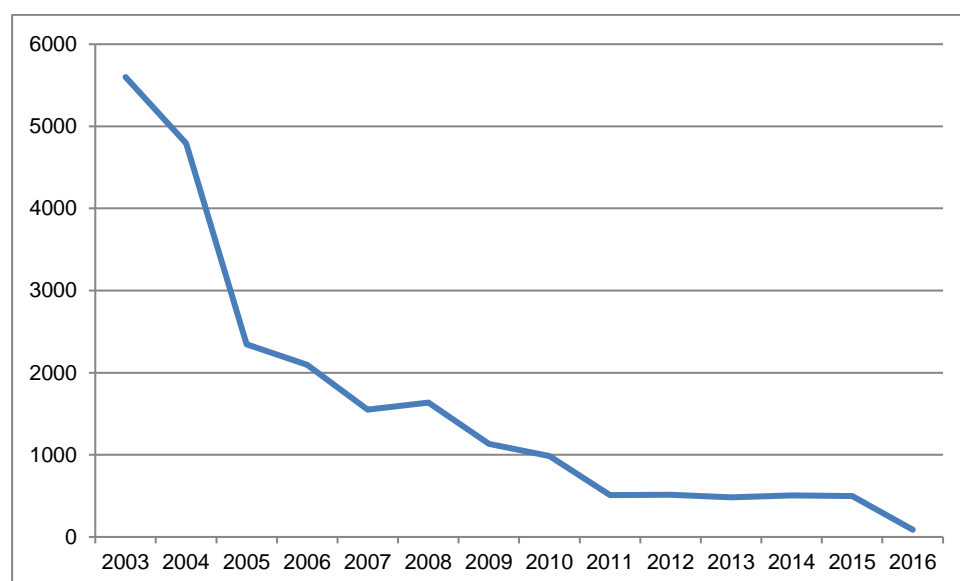
According to feedback received during field research, the project was relevant to the Republic of Tajikistan and its Government. In light of the threat posed by illicit drugs and other emerging challenges, the project provided policy, legal, legislative and institutional support to strengthening of the national border control. The project further supported border guards through the provision of infrastructure, training and equipment, and assisted an increase trans-border cooperation with drug control counterparts along the Tajik/ Afghan border. The evaluation also heard that the project was relevant to the border guards as they lacked the investigative, intelligence and analytical capacity and expertise to effectively withstand national security challenges. The project has been particularly relevant to the work of the international community and to the donor nations, as it has contributed to addressing their nominated priorities.

Efficiency

The project demonstrated efficiency in the outputs provided (whether capacity or equipment) and in the manner in which it utilised resources. The project had a well-selected, professional team, coordinated by an International Project Coordinator in consultation with the ROCA Regional Representative and the Regional Law Enforcement Advisor. National professional staff comprised of the National Officer and Civil Engineer (full-time), a Project Assistant and a Finance Associate (cost-shared). The project was delivered predominantly on time and to budget, with implementation rates demonstrating efficient resource usage. Delays with timely completion of the border post construction were caused by harsh weather conditions. In addition to working on policy and legal frameworks, and providing regular capacity-building activities, considerable time and efforts were spent on procurement and developing tenders and contracts for the building of border infrastructure. The project team provided accurate and timely reports to UNODC and donors.

Effectiveness

The project was reasonably effective. Following withdrawal of the Russian Border Guards from the Tajik/Afghan border; and the increased drug trafficking via Tajik/Afghan border due to growing poppy harvest in Afghanistan the border control required urgent support including strengthening of political, legal, institutional framework as well as building of physical infrastructure and human resource capacity. Given the overall objective of the project was to strengthen the capacity of the border guards and other LE agencies and the border units posted in the most sensitive areas at the border between Tajikistan and Afghanistan, the indicator chosen to demonstrate success was an increase in seizures and joint operations over the lifespan of the project using a previous year as baseline. This indicator does not show positive development; in fact it could be argued that annual seizures have declined over the course of the project, particularly compared to first decade of the project (see Figure below).



Heroin Seizures in Tajikistan (kgs): 2003-2016 ^{73, 74, 75}

Project outcomes have demonstrated a continuing success.

- Within Outcome 1, national legislation was reviewed and amended in line with the National Border Management Strategy 2010-2025 and submitted to the Parliament for approval.
- Within Outcome 2 the project finalised upgrading of seven border outposts, constructed two border outposts and two border posts along the Tajik-Afghan border.

⁷³ Source: UNODC World Drug Reports 2007-2017.

⁷⁴Source: UNODC. Illicit Drugs Situation in the Regions Neighbouring Afghanistan and the response of ODC, 2002

⁷⁵ Source: UNODC (PPI), Illicit Drug Trends in Central Asia, 2008

Under this Outcome the project provided vehicles, power generators, computers, and search and investigation related equipment to the Tajik border guards and Customs units as well as DCA and MOI.

- Under Outcome 3 the project established the Centre for Analytical Support, to strengthen border control related investigative and intelligence analysis capacities at selected sectors of the Tajik-Afghan border and some exit points. The project established and trained staff of three forensic labs, constructed three drug incinerators, built two drug storage premises, delivered a mobile forensic lab, established a DD Training Centre and trained dog handlers (DCA and Customs) and established Mobile Deployment Teams (MDT) at the Ministry of the Interior. The effectiveness of training is difficult to gauge, although the number of trained border control and law enforcement officers is impressive (over 110 and 1300 respectively).

Overall results relating to cross-border cooperation are mixed, while there has been a renewed border control cooperation agreement, the effect of this cooperation is not readily apparent. The positions of DLOs in Afghanistan were discontinued as ISIL and the Taliban occupied northern Afghanistan. The sum of numerous UNODC initiatives such as K22 (BLOs), the Regional Programme for Afghanistan and Neighbouring Countries and Afghanistan-Kyrgyzstan-Tajikistan (AKT)⁷⁶ are likely to generate improvements in cross-border and regional cooperation, but this is yet to be seen to any great extent.

Partnerships and Cooperation

The project assisted in developing numerous bilateral and multilateral partnerships. All interviewed CLPs and stakeholders indicated they had been fully engaged, and were regularly informed of events by project staff. Project implementing agencies, the Border Guard Forces of the State Committee of the National Security, the Ministry of the Interior, the DCA and the Customs unit formed the project partnership at the national level. Monitoring and assessment of project implementation was conducted through the Interagency Working Group, the International Committee for Border Control and the Border Management/ Control International Group. The Project Steering Committee became operational in mid 2016, incorporating the Ministry of Foreign Affairs, Border Forces, Japan Embassy in Dushanbe, US INL in Dushanbe and UNODC. The Committee established two Technical Working Groups (construction and technical equipment, and review of legislation and training courses).

Sustainability

The Government of Tajikistan made in-kind contributions, provided free electricity for project sites, offered vehicles and staff to accompany project missions. The value of these contributions was set at the equivalent of \$450,000. The costs of running and maintenance of infrastructure and equipment provided by the project have now been gradually transferred to the national partners, although the functioning of Tajik state agencies including Border Guards, the Ministry of the Interior and DCA continues to be heavily reliant on international assistance. Training will continue to require support for the foreseeable future.

⁷⁶ AKT is a Regional Programme for Afghanistan and Neighbouring Countries initiative. It provides a platform that allows Afghanistan, Kyrgyzstan and Tajikistan to discuss cross border CN cooperation.

Impact

Overall the project achieved what it intended to achieve. The long-term impact of the project is related to the development of counter narcotics laws and policies, and also to the ability of the Border Control and other law enforcement agencies to stop cross-border trafficking of drugs, weapons and human beings, and to undertake related investigations and analysis. Within the lifespan of the project, law enforcement agencies were not able to increase the overall seizures of illicit drugs, weaponry and other cross-border trafficking. Seizure data alone however is not able to show the full picture of assistance provided by the project. The provision of infrastructure, equipment and training and assistance, together with cross-border cooperation, all strengthen the ultimate project objective. The strengthened border control physical capacity and the training programme have significantly improved overall effectiveness. However, high staff turnover and a focus on junior and mid-level officers rather than senior and top officials reduces the impact of the training as institutional knowledge is not built while individual knowledge vanishes with staff rotations, resignations and retirements.

Human Rights and Gender

Human rights and gender considerations were not specifically visible in project documentation and/ or reporting. However, UNODC-led training activities assisted the border control and other law enforcement agencies to be more aware of its human rights obligations and gender sensitivity. In this regard, interviewees indicated that in border crossing points there are facilities for people to sit and for children to play, and that priority is given to pregnant women, elderly, and veterans and disabled people. On the other hand, there are neither separate toilets for men and women, nor drinking water or medical assistance available for people waiting to cross the border. Given the limited flow of people crossing the borders, interviewed BLO/BCPs do not consider such limitations of infrastructure to be problematic at present. Yet, this might change in the light of the recent increase of border flows (i.e. between Tajikistan and Uzbekistan), and prospects of further increases in the future. The areas where the current programme could assist are not restricted to increased female participation but also include provision of gender sensitive and human rights compliant facilities at border points, supporting the country development strategy ensuring all activities are fully compliant with wider UN objectives.

Annex IX - TAJ/H03 Tajikistan Drug Control Agency (DCA) – Phase II

This annex represents the independent final evaluation of the UNODC project *TAJ/H03 - Tajikistan Drug Control Agency (DCA) – Phase II* as it approached its end as a standalone project and was merged into Sub-programme 1 of the Programme for Central Asia. The overall objective of the project was ‘ensuring the progress towards self-sustainability of the DCA aimed at its development as the lead drug law enforcement agency in Tajikistan; capable of developing operations against high-level drug trafficking organizations and interdicting illicit drug and precursor chemical shipments’.⁷⁷

Tajikistan is a country in Central Asia with a 1344 km long southern border with Afghanistan, lying on the transit corridor for drugs moving from Afghanistan along the silk route into the Russian Federation and European markets⁷⁸. Tajikistan has limited natural resources and relatively low levels of government spending, high corruption⁷⁹ and under-resourced law enforcement agencies,⁸⁰ all of which poses significant barriers to the combating of drug trafficking. Nevertheless, Tajikistan seizes higher volumes of opiates than any other country in Central Asia.⁸¹

The DCA as a structure specialised in countering drug crimes was formally established by a presidential decree in 1999. From then and through 2003 the DCA was administered through project TAJ/D65. From 2003 until the end 2017, UNODC continued support to the DCA via the project *TAJ/H03 Tajikistan Drug Control Agency (DCA) – Phase II*, the subject of this evaluation. The project’s principal donor was the United States of America; other donors were Germany, Finland, Italy, and Norway. The total approved budget amounted US\$ 16,605,077.

The project was revised on six occasions. Revision 1, in March 2005 –concerned the increase of financial means in order to strengthen the operational capacities of the agency, and varied the budget section. Revision 2, in late 2005, extended the duration of the project to end 2007 and increased funding and staffing levels. Activities were also changed, with the introduction of mobile units within DCA. Revision 3, in December 2007, extended the duration of the project to the end of 2010, as well as a funding increase. Some activities were added. Revision 4, in October 2010, extended the project’s duration to the end of 2013, together with an increase in budget. Revision 5, in late 2013, extended the project’s implementation phase to the end of 2016, with an increased budget. Some changes in Outcome statements were also made. Revision 6, in March 2016, extended the project to the end of 2017, when it became a part of the regional sub-programme. The extension did not include a budget increase.

These revisions significantly increased project funding from the originally planned budget of US\$ 4,114,000, gradually extended the duration of the project through the end of 2017, increased staff levels, strengthen human resource and operational capacity, and introduced mobile interdiction teams (MOBITs). The revisions also allowed greater international and national cooperation and information sharing and transferred two objectives concerning development of the capacity for chemical analysis and detecting dogs from other projects.

⁷⁷ TAJ/H03 overall objective - as per the original project documentation.

⁷⁸ UNODC Regional Report <https://www.unodc.org/unodc/en/drug-trafficking/central-asia.html>

⁷⁹ <https://www.business-anti-corruption.com/country-profiles/tajikistan/>

⁸⁰ Synthesis of UNODC reports as per the TORs for this evaluation

⁸¹ 2015 International Narcotics Control Strategy Report (INCSR) - Country Report: Tajikistan.

Although the current project ended in December 2017, the introduction of the UNODC Programme for Central Asia enabled UNODC to continue law enforcement activities in Tajikistan until to at least 2019. As such, and subject to donor support, some of the activities undertaken by TAJ/H03 will endure.

Within the defined international, regional and national frameworks described in the main body of this report, the project enhanced capacity for international, regional and sub-regional cooperation against transnational organized crime and illicit drug trafficking. The DCA is nationally authorized to coordinate all drug-control activities, including the prevention of drug abuse.

Design

The project was well-designed, with a logical structure that provided a clear implementation mechanism and which was well suited to supporting the formation and development of a newly created agency in a post-Soviet country. Project documentation incorporates the recommendations and lessons learned from its precursor UNODC project, securing funding for human resources, equipment, training and the provision of international expert assistance that was most needed in the area of revising national legislation concerning drug criminality.

Relevance

According to the evaluation's research, including interviews in the field, the project has been relevant in the context of Tajikistan's development strategy and the agenda of the international community in the face of the persistent threat of illicit drug flows from Afghanistan. The project responded to the concerns of the country's leadership and to the identified needs of the DCA, as defined in the formal needs assessment stipulated in project documentation. The project was relevant in its contributions to the SDGs, to Tajikistan's development agenda, and to the stated objectives of donor nations. The project also supported a number of UNODC programmes and was an effective first contributor in the UNODC approach seeking the interconnection of Central and West Asia with Europe and beyond.⁸² TAJ/H03 specifically contributed to UNODC's Thematic Programme *Countering transnational organized crime and illicit trafficking, including drug trafficking*, as well as the UNODC Programme for Central Asia 2015-2019.

Efficiency

The project was efficient in the manner in which it utilised resources. The project was coordinated by an International Project Coordinator with an extensive law enforcement background since July 2016. The project team was a mix of specialists and generalists. National staff was comprised of a National Project Manager, a generalist with 20 years of experience managing law enforcement projects and a National Project Assistant. The project was delivered on time and on budget. In addition to providing regular training activities, the project team focused on procurement of vehicles, equipment and infrastructure. According to evaluation feedback, much of the project's success related to regular dialogue with senior

⁸² UNODC concerted approach for linking Central and Western Asia with Europe
http://www.unodc.org/documents/postungass2016/contributions/UN/UNODC_Ch.6_Europe_West_and_Central_Asia.pdf

Tajik officials and major stakeholders via the International Working Group. The project team provided accurate and timely reports, as detailed by the project documentation and as required within UNODC systems and by donors.

Effectiveness

In the establishment and ongoing functioning of the DCA the project has demonstrated its effectiveness. When the DCA was established it had virtually no infrastructure or equipment. Through the UNODC project the DCA received the tools (legal framework, infrastructure, equipment, cars, analytical centre, forensic laboratory, staff development facilities and training centres) it required to function. Ongoing development of how to best utilise these tools is the area in which future assistance will lie. While the project trained hundreds of DCA officers, including from the Mobile Operations Department and dozens of relevant officials, there was no formal training evaluation system. As a result, gauging the impact of the training provided across the organisation is difficult. The metrics used to indicate success are related to seizures and joint operations in the reported year as compared to the previous year. These are not effective indicators of success for a project with the focus of TAJ/H03 as it is not possible for the project demonstrate success using these kinds of indicators.

Impact

Longer term impact, and the potential for further long-term impact is best seen in the ability of the DCA to conduct large scale drug-related investigations and analysis. The fact remains that in the short term, and despite the quality of assistance provided, the DCA as an organisation has been unable to increase the overall seizure of illicit drugs. Rather than simply noting the negative indicators, it is important to highlight the areas where there have been improvements. These areas mainly relate to the creation of a sound anti-drug strategic framework that enables the DCA to conduct operational work aimed at identifying and dismantling drug smuggling and other criminal networks, although mainly the lower-level traffickers. Placement of Drug Liaison Officers was acknowledged by all stakeholders as a positive experience worth dissemination and networking. It appears that the initially projected and mandated DCA role in drug demand has yet to be realised, remaining an area for future assistance.

Partnerships and Cooperation

The span of the project's Core Learning Partners encompassed many international, regional and national level stakeholders and all the relevant Ministries within the Tajik Government. Stakeholders reported that they had been significantly engaged and regularly informed by the project. The project assisted in developing numerous bilateral and multilateral partnerships, including with key law enforcement actors such as border guards, customs, police, CARICC and others from the international community.

Sustainability

With regard to overall DCA sustainability, the Government of Tajikistan has continued increasing DCA funding from the equivalent of \$400,000 at the onset of the project to \$1,080,000 in 2017. This however, forms only a part of self-sustainable funding. DCA staff, including the Mobile Operational Department, continue to receive salary supplements and performance payments on a bilateral basis. Infrastructure and equipment provided by the

project was taken into account by the DCA and long-term sustainability includes upkeep and maintenance which now resides with the DCA. The professionalisation of the DCA is the critical path, and there is an urgent need to provide a long-term, sustainable solution to the training and education of counter-narcotics officers and officials. Currently, DCA staff development goes via the DCA Training Centre and the DCA K9 Unit. According to feedback from evaluation research, this training is not assessed as self-sustaining and the DCA will continue to require training support for many years. Having said this, the first steps to self-sustainability have been undertaken following Revision 4, which incorporates the new Outcome 3.5 on establishment of the DCA Academic Training Unit (ATU). The ATU is now fully operational and supports the training processes of the DCA, providing regular courses for new recruits and in-service training for the DCA staff.

Human Rights and Gender

Although the human rights and gender considerations were not directly recorded in the project documentation, the project did, to an extent, consider both these areas. UNODC's training made the DCA more aware of its human rights obligations and addressed the development of gender sensitivity, especially in the treatment of detainees. Evaluation research indicates there is more the project could have done to ensure that it was fully supporting the Tajik Government development strategy by ensuring all its activities were fully conversant with wider UN objectives at the country level.

Annex X – Sub-programme logical framework

The following table provides the evaluation team's initial analysis of the results logic as defined in the Prodoc. The column on the right provides specific detail for further questioning, analysis and recommendations during the evaluation process.

Outcomes	Outputs	Activities	Comment by the evaluation team
<p>Project Objective:</p> <p>Transnational organized crime, illicit flows, money laundering and the financing of terrorism effectively addressed in the Region in line with SDG Goal 16</p>			
Outcome 1.1 - Member States tackle the threats posed by narcotics trafficking	Output 1.1.1 - Systems for gathering and developing intelligence relating to narcotics, precursors and related TOC increased	<p>1.1.1.1 Organize workshops with participation of the Law Enforcement Agencies (LEAs), Prosecutors and Central Asian Regional Information and Coordination Centre (CARICC) in order to review the legislative as well as institutional frameworks and provide recommendations on information gathering and analysis in CA.</p> <p>1.1.1.2 Assess the technical capacity in the analytical units or branches of the LEAs, and provide with equipment where necessary.</p>	<p>The basic logic at output level – can we confidently say that achieving the defined outputs will deliver – or strongly contribute to the outcome?</p> <ul style="list-style-type: none"> The direct logical correlation is not always clear, or clearly stated. We can see the implication of better systems, knowledge, capabilities etc on 'MS tackling threats' but it is not a direct, and clearly stated/ defined relationship. <p>From activity to output</p> <ul style="list-style-type: none"> We can see a clear logic, although maybe 'systems increased' is not the right phrase

		<p>1.1.1.3 Procure and install intelligence database for storage and analysis of collected information.</p> <p>1.1.1.4 Organize specialized training courses at basic and advanced levels on investigations, criminal intelligence analysis and intelligence led policing techniques.</p> <p>1.1.1.5 Organize peer-to-peer seminars for the analysts of the LEAs</p> <p>1.1.1.6 Provision of Intelligence analysis training (Basic, advanced, ToT and Peer to peer) for the LE analysts of counter narcotics LEA of the programme member states (AH,RR).</p> <p>1.1.1.7 Assess the analytical capacity of the Intelligence law enforcement structures in respond to the existing needs, develop work-plans, and ensure production of analytical reports as a complement to criminal investigations and ongoing operations (AH,RR).</p> <p>1.1.1.8 The IT equipment (hardware and software) provided/upgraded based on the individual requests from the LE analytical units/departments, create and install intelligence database for storage and analysis of collected information (AH,RR).</p> <p>1.1.1.9 To conduct regular experts/coordination meetings with a view to continue developing a strategy and implementation plan on ways to root and</p>	<p>for the output. But overall we can see how the activities will improve systems and how the improved systems can help MS tackle trafficking.</p>
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		establish sustainable information exchange channels (AH,RR).	
	Output 1.1.2 Knowledge and skills required to investigate TOCs increased	<p>1.1.2.1 Conduct training needs assessment and prepare training curriculums</p> <p>1.1.2.2 Organize local as well as regional training courses at basic as well as advanced levels in the fields of TOC, investigation techniques, controlled delivery and joint investigations with participation of officials from Central Asian countries and CARICC</p> <p>1.1.2.3 Organize Training of Trainers (ToT) courses, and support the training courses delivered by the local trainers</p> <p>1.1.2.4 Provide access to UNODC e-learning, relevant software packages and procure necessary equipment.</p> <p>1.1.2.5 Organize study tours to learn about the best practices, exchange experience and establish networks among the LEAs</p> <p>1.1.2.6 Support participation of LEAs and CARICC in the events of other UNODC programmes or international organizations operating in the same field</p>	<p>From activity to output</p> <p>We can see a clear logic.</p>
	Output 1.1.3 Interdiction capabilities and	1.1.3.1 Conduct assessments on training and technical needs.	From activity to output

	capacity enhanced	<p>1.1.3.2 Procure hardware and software equipment as well as support with infrastructure including refurbishment where necessary.</p> <p>1.1.3.3 Conduct training courses on the use of specialized equipment provided.</p> <p>1.1.3.4 Organize national level working group and technical working group meetings in order to draft SOPs and guidelines in interdictions.</p> <p>1.1.3.5 Conduct reviewing and revisions to improve the legal framework pertaining to the Drug Control regime and functioning of the Counter Narcotics Service (CNS) of the Kyrgyz Republic (AF, KB)</p> <p>1.1.3.6 Support to coordination functions of the State Coordination Committee on Drug Control (SCCDC) of the Government of the Kyrgyz Republic (AF, KB)</p> <p>1.1.3.7 Construct building for CNS Interdiction Unit in Issyk-Kul province of Kyrgyzstan.(AF, KB)</p> <p>1.1.3.8 Construct building for CNS Interdiction Unit in Naryn province of Kyrgyzstan(AF, KB)</p> <p>1.1.3.9 Construct new administrative facility for CNS Southeastern Department in Jalal-Abad in Kyrgyzstan (AF, KB).</p> <p>1.1.3.10 Conduct training courses for CNS officers (AF, KB).</p>	The institutionalisation noted at 1.1.4 is actually more visible here, where the stated output focus is on capabilities and capacity.
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		<p>1.1.3.11 Procure software and hardware equipment for CNS interdiction units (AF, KB).</p> <p>1.1.3.12 Procure vehicles for CNS interdiction units (AF, KB).</p> <p>1.1.3.13 Support placement of the CNS Liaison Officers to Tajikistan (AF, KB).</p> <p>1.1.3.14 Facilitate arrangements to enhance CNS INTL cooperation with DCA of Tajikistan, MoI of Kazakhstan, MoI of Uzbekistan, MoI of Russia, US DEA, and other relevant foreign Law Enforcement agencies (AF, KB).</p> <p>1.1.3.15 Facilitate utilization of CARICC by CNS for the purposes of information sharing and coordinating of joint law enforcement operations (AF, KB)</p> <p>1.1.3.16 To convey periodically DCA Tajikistan's International Working Group meetings to implement, monitor and assess ongoing activities (AH,RR).</p> <p>1.1.3.17 Mechanisms for cooperation of Tajik law enforcement agencies, with a coordinating role for the DCA are established, DCA supported to become the national focal point for sharing and exchange of information in line with its mandate as a coordinating body (AH,RR).</p> <p>1.1.3.18 DCA Tajikistan is adequately outfitted with equipment and technical tools required to execute its mission by provision of special operational and office</p>	
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		<p>equipment as well as required refurbishment (AH,RR).</p> <p>1.1.3.19 The substantive support provided to the DCA in developing and strengthening bilateral and multilateral cooperation with concerned foreign agencies (AH,RR).</p> <p>1.1.3.20 Conduct a detailed assessment of actual training needs and identify requirements for the establishment of an ATU within the DCA (AH,RR).</p> <p>1.1.3.21 Develop a basic counter-narcotics training curriculum and integrate e-learning sessions as an element of the ATU (AH,RR).</p> <p>1.1.3.22 Establish class size and projected cost per student. Identify potential students. Procure training supplies, equipment, uniforms and begin DCA Basic Drug Law Enforcement Class (AH,RR).</p> <p>1.1.3.23 Establish long-term sustainability of the ATU (AH,RR).</p> <p>1.1.3.24 Mechanism of regular exchange of drug related information and intelligence between the DCA and its counterparts in Afghanistan and its neighbouring countries is in place (AH,RR).</p>	
	Output 1.1.4 TOC education and	1.1.4.1 Organize ToT course and support the training courses by the local trainers.	<p>From activity to output</p> <p>The ‘institutionalisation’ at 1.1.4 is not clearly visible in the activities. The</p>

	training institutionalized	<p>1.1.4.2 Support the LEA training institutions with hardware and software equipment.</p> <p>1.1.4.3 Support participation from the law enforcement training institutions in the events of other UNODC programmes or other international actors operating in the same field.</p> <p>1.1.4.4 Conduct a detailed assessment of training needs and identify requirements for establishment of an Academic Training Unit (ATU).</p> <p>1.1.4.5 Develop counter-narcotics training curriculum, and integrate e-learning sessions</p>	activities are much more like the training in 1.1.2 than having a specific focus on institutionalisation.
Outcome 1.2 Member States more effectively police their borders and cross border cooperation is improved	Output 1.2.1 Profiling, identification and reporting of illicit goods increased	<p>1.2.1.1 Conduct a technical needs assessment/monitoring missions and procure necessary hardware and software equipment.</p> <p>1.2.1.2 Conduct refurbishment/construction of the newly selected BCPs/outposts</p> <p>1.2.1.3 Organize training courses on profiling, identification and reporting at basic as well as advanced levels.</p> <p>1.2.1.4 Support participation of the Central Asian LEA officers in the events of UNODC programmes and other international actors operating in the same field.</p>	<p>The basic logic – can we confidently say that achieving the defined outputs will deliver – or strongly contribute to the outcome?</p> <ul style="list-style-type: none"> • The outcome statement is really two outcomes: effective policing and better cooperation. • 1.2.4 is the only real output statement. The rest are intermediate outcomes. • The second part of 1.2.5 is close to an output but the first is an outcome phrasing. • The logical relationship of the output statements to the outcome statement is clear – the contributions are clear. <p>At activity to output level:</p> <ul style="list-style-type: none"> • 1.2.1.2 and 1.2.1.6 do not clearly link with the output.

		<p>1.2.1.5 Organize study tours to learn about the best practices and develop networks between LEAs.</p> <p>1.2.1.6 Organize experts working group meetings to review the current legal and institutional framework and provide recommendations on a framework on pre-arrival mechanisms and information sharing between the LEAs and private sector.</p>	<ul style="list-style-type: none"> There is no ‘reporting’-focused activity, other than one course. It would be good to see more focus on how actual reporting processes and systems will be improved, particularly given the emphasis of this in the output statement (1.2.1).
	Output 1.2.2 Collection, analysis and dissemination of cross border/TOC information and intelligence enhanced	<p>1.2.2.1. Identify training needs, and conduct training courses for the LEAs at basic as well as advanced levels on collection, analysis and sharing of information</p> <p>1.2.2.2 Conduct training courses on border control, border management, Border Liaison Offices (BLOs), criminal operations and investigation techniques</p> <p>1.2.2.3 Organize workshops or working group meetings in order to review legal and institutional framework of cross-border information sharing between the LEAs, and where necessary, propose or draft cooperation agreements</p> <p>1.2.2.4 Support the analytical units of the LEAs operating at the borders through procurement of hardware and software equipment</p>	<p>At activity to output level:</p> <ul style="list-style-type: none"> Again, is there any way to strengthen activities and logic in relation to systems/ processes? The output implies better <i>systems</i> across borders but activities actually emphasise training not systems.
	Output 1.2.3 Multi-agency mechanisms for law enforcement cooperation along	<p>1.2.3.1 Organize meetings or workshops in order to draft SOPs and Guidelines regarding cross-border information sharing through the BLOs and CARICC</p>	<p>At activity to output level:</p> <ul style="list-style-type: none"> Again, the output says ‘mechanisms’, but mechanisms are not so visible in the activities, which emphasise workshops and training.

	borders supported and sustained	<p>1.2.3.2 Procure necessary hardware as well as software equipment and also infrastructure so as to ensure secure means of cross-border communication and information sharing.</p> <p>1.2.3.3 Conduct training courses on controlled delivery, communication, risk assessment, profiling, search techniques, analysis and use of equipment both in the LEAs and at the Border Crossing Points (BCPs)</p> <p>1.2.3.4 Conduct regional workshops or meetings to review the on-going work and draft action plans in the field of border control and law enforcement cooperation</p> <p>1.2.3.5 Convene joint meetings, organize and conduct learning workshops between Tajik and Afghan counterparts to facilitate cross border intelligence and operational cooperation in countering drug trafficking, and exchange law enforcement operation experience</p>	<ul style="list-style-type: none"> The intent is clear, but what is a bit soft is the ‘sustained’ part – which is what ‘mechanism’ also implies, so we are thinking ‘what is established now that carries on for years’?
	Output 1.2.4 National Border Control legislation reviewed and aligned with the National Border Management	<p>1.2.4.1 Provide consultancy in development of the comprehensive border control system in Tajikistan through input for review and update of national border control legislations</p> <p>1.2.4.2. Translation, publications and presentation of the reviewed legislations</p> <p>1.2.4.3 Provide support to capacity improvement of border control officers through developing training</p>	<p>At activity to output level:</p> <ul style="list-style-type: none"> The logic of the activities seems to miss a couple of steps. We should see each step from review through national implementation. Is this just Tajikistan?

	Strategies of the member countries	modules and delivering workshops for Border Academy/Training centres staff on the updated legislation	
	Output 1.2.5 Border control capacities increased at the Tajik-Afghan border through infrastructure development and provision of equipment to reduce drug trafficking	<p>1.2.5.1 Construction of border outposts and border posts along the Tajik-Afghan order (construction of soldiers' barrack, officers' quarters, kitchen, water supply system, toilet) to include their full furnishing and equipping</p> <p>1.2.5.2 Conduct training courses on border interdiction, green-border zones' control, cross border operation and intelligence sharing</p>	
Outcome 1.3 Member States more effective at identifying and countering Human Trafficking (HT) and Smuggling of Migrants (SoM)	Output 1.3.1 Data and information relating to the scale and nature of trafficking and smuggling in the region improved	<p>1.3.1.1 Conduct technical needs assessments and procure equipment for developing, or establishing where necessary, national databases for HT and SoM</p> <p>1.3.1.2 Conduct training courses for the LEAs and regulatory institutions on information collection methodologies and developing databases in each CA country.</p> <p>1.3.1.3 Conduct national level working group and technical working group meetings with participation of the LEAs, Prosecutors, regulatory Governmental Institutions, other international actors, Non-Governmental Organizations (NGOs), civil society representatives, medical institutions, academicians</p>	<p>The basic logic – can we confidently say that achieving the defined outputs will deliver – or strongly contribute to the outcome?</p> <ul style="list-style-type: none"> • 3.2 is an output statement, the rest are outcomes. • There is a logical correlation between the output statements and the outcome, except for 3.4 which does not have visibility in the outcome statement.

		<p>and other relevant bodies so as to draft guidelines on unified approaches in each country.</p> <p>1.3.1.4 Organize joint seminars to promote interagency mechanisms for collection and sharing of information</p>	
	<p>Output 1.3.2 National policies and legislative frameworks in line with UN Protocols to counter HT and SoM developed</p>	<p>1.3.2.1 Conduct national level working group and technical working group meetings to review the national laws on countering HT and SoM in each country.</p> <p>1.3.2.2 Organize regional joint workshops to review existing framework for cooperation on the investigation of HT and SoM cases and provide recommendations to the Governments.</p> <p>1.3.2.3 Organize regional conferences or workshops to raise awareness and draft recommendations on current challenges in sharing of information and regional cooperation in the field of HT and SoM</p>	<p>At activity to output level:</p> <ul style="list-style-type: none"> • The activities cannot logically be seen to completely deliver the output. • Are the policies and legislation only to be developed, or also implemented?
	<p>Output 1.3.3 Knowledge and skills required to identify, investigate and prosecute HT and SoM enhanced</p>	<p>1.3.3.1 Conduct training courses on HT and SoM at basic and advanced levels in each Central Asian country</p> <p>1.3.3.2 Provide copies the UN protocols, Guidelines, relevant articles of the national laws and brief notes to the relevant officials working in the field of HT and SoM.</p> <p>1.3.3.3 Organize interagency meetings to develop cooperation agreements, protocols and guidelines for</p>	

		<p>effective framework for collaborative prevention, investigation and prosecution of HT and SoM.</p> <p>1.3.3.4 Organize ToT courses to develop a pool of national trainers and support the training courses delivered by the local trainers.</p> <p>1.3.3.5 Facilitate participation of the Central Asian officials in the events of the other UNODC relevant programmes and other international actors operating in the same field</p>	
	Output 1.3.4 Support to smuggled migrants and the victims of human trafficking enhanced	<p>1.3.4.1 Conduct seminars to review the national legislative frameworks for protection and assistance services to the HT and SoM victims and provide recommendations</p> <p>1.3.4.2 Provide necessary infrastructure and equipment to support the victims, identify gaps in services to HT and SoM victims and explore possible synergies between Governments-Civil Society cooperation</p> <p>1.3.4.3 Convene regional conferences or workshops on analysis of situation and international good practices of protection and assistance for victims of human trafficking and smuggled migrants</p>	The outcome statement does not include this output and related activities – there is no mention of support in the Outcome statement.
Outcome 1.4 Member States more effective at preventing and	Output 1.4.1 Knowledge and skills required to investigate and prosecute	1.4.1.1 In conjunction with UNODC TPB conduct assessments on training as well as technical assistance needs in Central Asian countries	The basic logic – can we confidently say that achieving the defined outputs will deliver – or strongly contribute to the outcome?

countering terrorism	terrorism related offences enhanced	<p>1.4.1.2 Based on needs assessment, conduct training courses at basic and advanced levels on criminal intelligence gathering, intelligence analysis, informant handling, interview and investigation techniques and other relevant specialized courses.</p> <p>1.4.1.3 Organize ToT courses to establish a pool of national trainers in the member states.</p> <p>1.4.1.4 Support the training courses delivered by the local trainers</p> <p>1.4.1.5 Procure necessary equipment for investigation of terrorism related cases</p> <p>1.4.1.6 In conjunction with UNODC TPB conduct national / regional workshops to promote the implementation of preventive measures and the criminalization of terrorism related offences contained in international instruments.</p> <p>1.4.1.7 Facilitate participation of the Central Asian officials in the meetings, workshops or conferences of the UNODC relevant programmes and other international actors operating in the same field</p>	<ul style="list-style-type: none"> The contributions to the outcome are visible.
	Output 1.4.2 National interagency and international cooperation	<p>1.4.2.1 Organize national level working group and technical working group meetings to develop interagency agreements and protocols so as to create a framework for collaborative investigation, prosecution and adjudication of terrorism-related cases.</p>	<p>At activity to output level:</p> <ul style="list-style-type: none"> The word mechanism again is not visible in the activities except in 1.4.2.1 and 1.4.2.4. In 1.4.2.1, the activity language should emphasise the systems/ mechanisms rather than organising meetings.

	mechanisms strengthened	<p>1.4.2.2 Organize workshops with participation of criminal justice officials, LEAs and prosecutors in order to draft National Counter-Terrorism Action Plans tailored to the specific requirements of each Central Asian country.</p> <p>1.4.2.3 Organize a regional workshop to review existing legal framework and propose recommendations for regional cooperation against extremism and countering-terrorism</p> <p>1.4.2.4 Organize operational case meetings with participation of the LEAs and prosecutors in order to develop regional investigations</p>	<ul style="list-style-type: none"> In 1.4.2.1, the systematic approach to these meetings is not visible. Is not the intent to have these operational case meetings happening irrespective of programme/ UNODC involvement? This aspect is not so visible.
	Output 1.4.3 Programmes aimed at countering violent extremism and radicalisation promoted	<p>1.4.3.1 Organize workshops to draft action plans aimed at preventing and combating violent extremism and radicalisation and their breeding grounds.</p> <p>1.4.3.2 Organize seminars or workshops to review and draft proposals on existing national legal frameworks for prevention and prosecution of radicalization related offences in CA.</p> <p>1.4.3.3 Organize round-table meetings with participation of national experts and civil society representatives (academic, religious and community based organizations) to raise awareness, draft proposals for education and avoid threats of radicalization in CA.</p>	

		1.4.3.4 Procurement of necessary software/equipment for communication units of the LEAs	
Outcome 1.5 Member States more capable and effective at identifying and recovering the proceeds of crime	Output 1.5.1 Legislative frameworks, policy and national strategies to counter money laundering strengthened	<p>the current legal and institutional structures as well as frameworks against money-laundering and cash smuggling (AF/KB).</p> <p>1.5.1.2 Organize regional workshops to develop implementation of the Financial Action Task Force (FATF) recommendations and propose interagency action plans (AF/KB).</p> <p>1.5.1.3 Organize regional conferences or workshops on current challenges legislative and institutional frameworks and provide recommendations to the Governments (AF/KB).</p> <p>1.5.1.4 Review, revise national legal frameworks, policy and national strategies on counteracting to money laundering, financing of terrorism, corruption and economic crimes in the Kyrgyz Republic and provide recommendations to the Government (AF/KB).</p> <p>1.5.1.5 To review and revise the national legislative framework on counteractions to corruption and economic crimes, money laundering, terrorism financing in the Kyrgyz Republic and to elaborate recommendations for the Government (AF/KB).</p> <p>1.5.1.6 To organize the work of interdepartmental working groups under the State Financial Intelligence Service of the Kyrgyz Republic (SFIS) on the</p>	<p>The basic logic – can we confidently say that achieving the defined outputs will deliver – or strongly contribute to the outcome?</p> <ul style="list-style-type: none"> The output statements could be better constructed as outputs, emphasising the <i>product or service</i> that is the visible output. <p>At activity to output level:</p> <ul style="list-style-type: none"> Generally speaking the activity to output level in Outcome 5 are well-constructed.

		<p>revision of acting decrees of the Kyrgyz Republic Government in the sphere of regulation of supervision over financial institutions and counteractions to corruption (AF/KB).</p> <p>1.5.1.7 Holding meetings of interdepartmental working and technical working groups at the national level for elaboration of national legislative acts in the sphere of anti-corruption and anti-money laundering efforts (AF/KB).</p>	
	<p>Output 1.5.2 Knowledge and skills required to profile and gather intelligence on AML activities enhanced</p>	<p>1.5.2.1 Conduct a technical needs assessment, and procure necessary equipment</p> <p>1.5.2.2 Conduct training courses on risk assessment, intelligence gathering and analysis in the field of Anti-Money Laundering (AML) at basic and advanced levels with participation of the LEAs, Prosecutors, Judges, Financial Investigation Units (FIU) and relevant institutions as well as private sector representatives.</p> <p>1.5.2.3 Organize Training of Trainers (ToT) on AML to develop a pool of national trainers and support the training courses delivered by the local trainers in the countries.</p> <p>1.5.2.4 Assisting the SFIS to elaborate professional development plan of law enforcement authorities, prosecutors' office officials and staff of the judicial system of the Kyrgyz Republic in the sphere of combatting corruption and financial crimes (AF/KB).</p>	

		<p>1.5.2.5 Conduct of training courses for the SFIS officials in the sphere of analytical programs use on detection and fixation of financial crimes and offenses in the banking system of the Kyrgyz Republic (AF/KB).</p> <p>1.5.2.6 Organization of joint training activities with the SFIS for law enforcement officials on the identification and investigation of crimes related to the legalization of criminal proceeds and corruption (AF/KB).</p> <p>1.5.2.7 Organization of joint training activities with the SFIS for officials of the Kyrgyz Republic judicial system on the issues of investigation of crimes in the financial sphere (AF/KB).</p> <p>1.5.2.8 Organization of joint training activities with the SFIS for officials of the General Prosecutors' office of the Kyrgyz Republic on detection of crimes in the financial sphere (AF/KB).</p> <p>1.5.2.9 Conduct of assessment of technical needs and acquisition of necessary equipment and software for the SFIS of the Kyrgyz Republic (AF/KB).</p> <p>1.5.2.10 To organize training of trainers (TOT) on the topic of combatting corruption and economic crimes with the purpose to prepare national trainers and to support training courses conducted by the SFIS (AF/KB).</p>	
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		1.5.2.11 To assist in the development of training modules within main lines of the SFIS officials' work (AF/KB).	
	Output 1.5.3 Knowledge and skills required to identify and recover the proceeds of crime enhanced	<p>1.5.3.1 Conduct training courses on investigation techniques, asset recovery, controlled delivery, establishment of joint investigation teams (JITs) and other relevant specialized training courses in the field of money laundering (AF/KB).</p> <p>1.5.3.2 Organize interagency workshops for situation analysis, and follow up with operational meetings on concrete investigation cases with participation of the LEAs, Prosecutors, Judges, Financial Investigation Units (FIU) and relevant institutions as well as private sector representatives (AF/KB).</p> <p>1.5.3.3 Conduct international conferences or workshops on money laundering in order to raise awareness and interlink the Central Asian countries with other regions and information sharing mechanisms (AF/KB).</p> <p>1.5.3.4 Facilitate participation of the Central Asian officials in the events of the other UNODC relevant programmes and other international actors operating in the same field (AF/KB).</p> <p>1.5.3.5 Conduct a technical needs assessment, and procure necessary equipment and software for the Kyrgyz Financial Police (AF/KB).</p>	

		<p>1.5.3.6 Conduct training courses on risk assessment, intelligence gathering and analysis in the fields of AML/CFT/CEC on basic and advanced levels with participation of the LEAs and other relevant institutions as well as private sector representatives (AF/KB).</p> <p>1.5.3.7 Organize Training of Trainers (ToT) on AML/CFT/CEC to develop a pool of national trainers and support the training courses delivered by the local trainers in the countries (AF/KB).</p> <p>1.5.3.8 Conduct of assessment of technical needs and purchase of necessary equipment in the information technologies sphere for detection and combat to corruption and money laundering, and for assessment of risks and to decrease the risks of illegal banking operations in the territory of the Kyrgyz Republic and terrorism financing and legalization (laundering) of criminal proceeds (AF/KB).</p> <p>1.5.3.9 Conduct of training courses on the use of specialized equipment in the information technologies field and application of equipment for investigation of money laundering cases in Central Asia (AF/KB).</p> <p>1.5.3.10 Provision of online access to UN e-learning modules to increase awareness of the SFIS staff on modern methods of combatting money laundering through banking system (AF/KB).</p>	
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		<p>1.5.3.11 Assistance to the SFIS in elaboration of specialized software for the needs of SFIS for investigation of terrorism financing and legalization (laundering) of crime proceeds cases (AF/KB).</p> <p>1.5.3.12 Organization of technical facilitation to the SFIS in use of available software resources, including analytical programs on the base of “i2” on detection of facts of suspicious transactions in the banking system of the Kyrgyz Republic (AF/KB).</p>	
	Output 1.5.4 Financial and private sector services promotion and implementation of AML strategies supported	<p>1.5.4.1 Convene meetings with participation of the private sector and relevant authorities of the Central Asian countries in order to promote AML strategies and provide recommendations to the Governments (AF/KB)</p> <p>1.5.4.2 Organize and conduct workshops with participation of financial and private sector services to develop and adopt interagency Standard Operation Procedures (SOP) and necessary guidelines for information exchange concerning suspicious proceeds of crime in order to counter money-laundering (AF/KB).</p> <p>1.5.4.3 Conduct of assessment of the SFIS needs in modernization of available databases of monitoring of national banking system the Kyrgyz Republic on detection of facts of AML, terrorism financing and legalization (laundering) of crime proceeds (KB/AF).</p> <p>1.5.4.4 Assistance in conduct of coordinative meetings on the regular basis for the development</p>	

		and maintenance of harmonization procedures of departmental databases in the sphere of monitoring of movement of goods and financial means through the territory of the Kyrgyz Republic on detection of facts of AML, terrorism financing and legalization (laundering) of crime proceeds (AF/KB).	
	Output 1.5.5 Border agencies abilities to profile and reduce the smuggling of cash enhanced	<p>1.5.5.1 Conduct technical needs assessments and procure necessary equipment to be used at the border crossing points (BCP) in order to counter money laundering as well as assess the risk and reduce the smuggling of cash (AF/KB).</p> <p>1.5.5.2 Conduct training courses on how to use specialized equipment as well as investigate money-laundering cases at the BCPs in CA (AF/KB).</p> <p>1.5.5.3 Provide online access to the UN eLearning modules to keep the officers updated about the developments in the field of countering money laundering (AF/KB).</p>	
	Output 1.5.6 Mechanisms for intra-regional cooperation in, and coordination of AML operations increased	<p>1.5.6.1 Conduct training courses on the means of communication and guidelines for operational cooperation between CARICC and LEAs (AF/KB).</p> <p>1.5.6.2 Organize regional workshops at CARICC in order to address regional challenges, identify solutions and provide recommendations on how to develop regional cooperation (AF/KB).</p>	<p>At activity to output level:</p> <ul style="list-style-type: none"> • As above, the use of the word ‘mechanism’ implies something concrete and ongoing in the way intra-regional cooperation and coordination happen, whereas the activities and outputs are more about training courses and meetings. • And, actual mechanisms would be much stronger outputs and much more clearly sustainable.

		<p>1.5.6.3 Organize operational case meetings with participation of the LEAs and Prosecutors (AF/KB).</p> <p>1.5.6.4 Organization of business meetings with representatives of governmental bodies, private sector and business community of the Kyrgyz Republic for submission of recommendations on the increase of efficiency of combating corruption and financial crimes (AF/KB).</p> <p>1.5.6.5 To organize and conduct seminars involving financial and private sector services to develop and adopt interdepartmental standard operating procedures (SOP) and the necessary guidelines for the exchange of information on corruption and economic crimes (AF/KB).</p> <p>1.5.6.6 To organize interdepartmental seminars for the analysis of situation and subsequent meetings regarding specific investigation cases of corruption and financing of terrorism and legalization (laundering) of crime proceeds, involving financial and private sector services (AF/KB)</p> <p>1.5.6.7 Assistance in technical update of web-site of the SFIS (AF/KB).</p>	
Outcome 1.6 Member States more effective at identifying, preventing and	Output 1.6.1 Understanding of, and response to cybercrime enhanced	1.6.1.1 Conduct national level working group and technical working group meetings to review the legislative and institutional framework to counter cybercrimes and provide recommendations to the Governments.	The basic logic – can we confidently say that achieving the defined outputs will deliver – or strongly contribute to the outcome?

combating cybercrime		<p>1.6.1.2 Convene regional workshops or conferences in order to develop communication and information sharing in CA with participation of LEAs, Prosecutors, Judges and private sector representatives.</p> <p>1.6.1.3 Organize information meetings and press releases on prevention of cybercrimes with participation of LEAs, private sector and civil society in each country.</p>	<ul style="list-style-type: none"> The output statements could be better constructed as outputs, emphasising the <i>product or service</i> that is the visible output.
	Output 1.6.2 Knowledge and skills required to combat cybercrime increased	<p>1.6.2.1 Conduct assessments on technical as well as training needs, and procure necessary equipment to counter cybercrime.</p> <p>1.6.2.2. Conduct training courses on countering cybercrime at basic and advanced levels in each country.</p> <p>1.6.2.3 Organize ToT courses in order to ensure sustainability of the counter cybercrimes capacity and support the training courses delivered by the local trainers.</p>	
	Output 1.6.3 Inter-regional cooperation and information exchanges related to cybercrime increased	<p>1.6.3.1 Organize interagency meetings to draft agreements or protocols on effective framework for collaborative prevention, investigation and prosecution of cybercrime</p> <p>1.6.3.2 Organize regional conferences or workshops to review existing framework for cooperation in the</p>	

		<p>field of countering cybercrime and elaborate recommendations on its further improvement.</p> <p>1.6.3.3 Facilitate participation of the Central Asian officials in the events of the other UNODC programmes and other international actors operating in the same field.</p> <p>1.6.3.4 Organize operational case meetings with participation of the LEAs and Prosecutors</p>	
<p>Outcome 1.7 Member States cooperate effectively in the field of prevention and countering transnational organized drug related crime.</p>	<p>Output 1.7.1. Assistance is provided to CARICC Member States in organisation and coordination of the bilateral and multilateral operations, including controlled deliveries</p>	<p>1.7.1.1. Receipt and processing of competent authorities and other counterpart's requests on conduct of joint operations and checks, including those received through secure communication channels.</p> <p>1.7.1.2. Organization of meetings and funding of competent authorities and other counterparts' activities on implementation of multilateral operations.</p> <p>1.7.1.3. Organization of after-action reviews on operational implementation with the view to make recommendations on future operations</p> <p>1.7.1.4. Conduct of meetings on planning and implementation of short-term multi-lateral operations.</p> <p>1.7.1.5. Conduct of meetings on planning and implementation of long-term multi-lateral operations.</p>	<p>The basic logic – can we confidently say that achieving the defined outputs will deliver – or strongly contribute to the outcome?</p> <ul style="list-style-type: none"> • The output statements could be better constructed as outputs, emphasising the <i>product or service</i> that is the visible output.

	Output 1.7.2. CARICC and the Member States are supported to introduce and use cooperation and intelligence exchange mechanisms	<p>1.7.2.1. Regular working meetings/operations with involvement of liaison officers and use of liaison officer's capacity, links and working relations.</p> <p>1.7.2.2. Conduct of Experts Meetings on agreement and signing of Agreement on Exchange and Protection of Secret Information</p> <p>1.7.2.3. Conduct of Experts Meetings on development of Standard Operating Procedures on exchange of information in the frame of the agreement.</p> <p>1.7.2.4. Use of communication channels available at CARICC for exchange of information on operations coordinated by CARICC.</p> <p>1.7.2.5. Working Meetings on finalization of the TOR system concept.</p> <p>1.7.2.6. Development of TOR system software and its beta-testing.</p> <p>1.7.2.7. Procurement of equipment and installation of TOR system for its further use.</p> <p>1.7.2.8. Participation of CARICC officers in expert's meetings and workshops on collection and analysis of information.</p>	<p>At activity to output level:</p> <ul style="list-style-type: none"> Here the use of the word 'mechanism' is somewhat better utilised, with the introduction of 'regular', but it seems quite important that all of these processes are ultimately not programme-driven.
	Output 1.7.3. CARICC is supported in	1.7.3.1. Collection and analysis of information on solved, unsolved and historical crimes	<p>Who is doing the collection?</p> <p>What is the visible sustainability approach.</p>

	collecting and analysing reliable statistic information from national law enforcement authorities with the analytical materials and reports produced and disseminated.	<p>1.7.3.2. Production and dissemination of weekly and monthly information bulletins and reviews on solved crimes, number of detainees, revealed drugs smuggling channels.</p> <p>1.7.3.3. Collection and analysis of information on drug situation in the region and beyond.</p> <p>1.7.3.4. Collection and analysis of information on trends and risks assessment in the field of illicit drug trafficking and other drug related crime.</p> <p>1.7.3.5. Production and dissemination of reports.</p>	Why does the output refer to ‘supported’ – certainly there is a moment in time when CARICC functions independently?
	Output 1.7.4. Regional cooperation and networking between CARICC and other regional and international law enforcement organizations facilitated.	<p>1.7.4.1. Organization of working meetings with regional and international competent organizations aimed at networking of networks.</p> <p>1.7.4.2. Organization of events on signing of agreements and memorandums of understanding between CARICC and other regional and international competent organizations.</p> <p>1.7.4.3. CARICC officers mission to attend the meetings, workshops and conferences on building cooperation in the field of networking of networks.</p> <p>1.7.4.4. Organization or hosting of working meetings, workshops and conferences on building cooperation in the field of networking of networks.</p>	Should not CARICC be doing all of this itself? And if it is, the wording needs revision.

	<p>Output 1.7.5. CARICC coordination and analytical roles promoted.</p>	<p>1.7.5.1. CARICC Director and Deputy Directors travels to participate in the events with the aim of promoting use of CARICC capacity and platform.</p> <p>1.7.5.2. Missions of the CARICC Staff and Liaison Officers to CARICC member States and other countries to meet with competent authorities.</p> <p>1.7.5.3. Production and dissemination of CARICC promo items among Centre's partners.</p> <p>1.7.5.4. Cooperation with mass media and work in social media on publication of articles covering CARICC activities.</p>	
	<p>Output 1.7.6. Recruitment process is supported for CARICC to have experienced, professional, and highly qualified staff serving in line with relevant regulations of CARICC and seconding States, including on rotation</p>	<p>1.7.6.1. Vetting and clearance of all candidates for the vacant posts at CARICC by their competent authorities.</p> <p>1.7.6.2. Organization of international selection process and vetting of candidates for the vacant posts at CARICC, including: 1) Review of curriculum vitae, 2) written testing (if necessary), 3) interviewing, 4) testing on polygraph.</p> <p>1.7.6.3. Random polygraphing of CARICC officers at least once per annum.</p> <p>1.7.6.4. Regular semi-annual and annual systemized performance evaluation of CARICC staff against their personal working plans.</p>	<p>Is this a Sub-programme framework/ concept or is this something that should exist within CARICC's ongoing operations?</p>

	<p>Output 1.7.7. CARICC and national law enforcement authorities properly trained in cross border intelligence sharing and analysis and joint operations.</p>	<p>1.7.7.1. Training needs identified and annual training plans developed</p> <p>1.7.7.2. Training for relevant CARICC staff on administrative, financial, procurement and human resources management</p> <p>1.7.7.3. Training for CARICC staff, Liaison Officers and national law enforcement agencies on intelligence analysis and information sharing</p> <p>1.7.7.4. Training for CARICC staff, Liaison Officers and national law enforcement agencies on organisation of joint operations and investigations</p> <p>1.7.7.5. Training for relevant CARICC and national law enforcement agencies staff on Database administration</p> <p>1.7.7.6. Conducting induction courses for newly recruited staff, including on CARICC organisational structure, roles and responsibilities, data security, information sharing procedures and protocols among others</p> <p>1.7.7.7. Conducting table top exercises for CARICC staff together jointly with officers of the competent authorities of the member States on advanced investigative techniques, including controlled deliveries</p>	<p>Is there more of this to be done? Is this not just ongoing updating etc.?</p>
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		1.7.7.8. Conducting training on ArcGis and other mapping software	
	Output 1.7.8. CARICC sustainability ensured. CARICC operations and management financially sustained by Member States.	1.7.8.1. Organization of CARICC CNC meetings 1.7.8.2. Conducting of audit of CARICC operations 1.7.8.3. Conducting mid-term and final evaluations of the Project and CARICC 1.7.8.4. Conducting CARICC member States Experts Meetings on Policies as well as Rules and Regulations on CARICC financing 1.7.8.5. Establishment of working groups and task forces on implementation of assessments recommendations	This output and its activities are not clear in the context of Z60.
	Output 1.7.9. CARICC is financially supported to cover its operating expenses, including CARICC staff costs funded	1.7.9.1. Ensuring the regular and timely payment of salary and benefits to CARICC Staff and Liaison Officers as per CARICC salary scale 1.7.9.2. Maintenance of CARICC building (utilities, building infrastructure maintenance and interior and exterior renovation) 1.7.9.3. Procurement and maintenance of required equipment	Is this a Sub-programme framework/ concept or is this something that should exist within CARICC's ongoing operations?