Regional Programme Framework
for East Asia and the Pacific

2009 - 2012

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for East Asia and the Pacific

Duration	2009-2012
Start Date	Second quarter 2009
Location	34 countries and territories across East Asia and the Pacific
	Initial focus on ASEAN Member States + Timor-Leste, plus development of a programme of UNODC support in collaboration with the Pacific Islands Forum and its Member States
Strategic Themes	1. Rule of Law
	2. Health and Development
UNODC Total Budget	US$120.9m (comprised of Regional Centre = US$40.9m and Country/Project Offices = US$80.0m)

Brief Description:

The Regional Programme Framework (RPF) supports two thematic areas:

(A) **Rule of Law:** The rule of law thematic area will focus on three specific pillars: (1) illicit trafficking, (2) governance, and (3) criminal justice.

(B) **Health and development:** In promoting health and development, the second thematic area will focus on the following three pillars: (4) drug demand reduction, (5) HIV/AIDS among injecting drug users, prisoners and other vulnerable groups, and (6) sustainable livelihoods.

The RPF foresees UNODC engaging in collaboration with partner countries, international organizations as well as other UN agencies in support of the Millennium Development Goals and in pursuit of the UN's "delivering as one".

The RPF document outlines the human security impact which UNODC hopes to contribute towards in the plan period (2009-2012). It contains specific outcomes and outputs which will be measured to assess progress made by Member States in addressing human security challenges, as well as the effectiveness of UNODC's contribution. It also provides information on how UNODC will manage its support to this broad programme of work.

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1 Introduction

This Regional Programme Framework (RPF) has been prepared by the UNODC Regional Centre for East Asia and the Pacific (henceforth the Regional Centre[1]) in order to clearly:

- Profile the mandates of UNODC and the regional policy setting

- Identify the key human security[2] challenges facing the sub-region in the areas of crime, corruption, terrorism, drugs and associated public health concerns

- Highlight UNODC's approach on aid-effectiveness issues

- Profile the key stakeholders involved in combating crime, drugs and terrorism, as well as those supporting appropriate public health responses for vulnerable groups

- Articulate the UNODC Regional Centre's comparative advantage in addressing the key challenges in partnership with other stakeholders

- Establish a medium- to long-term programme of strategic action, within which individual project and sub-programme initiatives can be integrated and implemented

- Describe implementation arrangements, including management mechanisms, financing arrangements and a monitoring and evaluation framework, and

- Articulate UNODC's approach to promoting sustainability of the benefits resulting from the programme.

The RPF will thus provide a strategic guide for the work of UNODC in the region during the reporting period 2009-2012. It will also outline a clear framework that Member States, other regional stakeholders and donor partners can refer to when considering how they might best collaborate with UNODC.

The RPF has been conceptualized based on both the UNODC Strategy (2008-2011) and consultations with Member States as to their priority needs between 2007 and early 2009. It will be reviewed on an annual basis, and revised or modified as required as a result of lessons learned during implementation.

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[1] The Regional Centre for East Asia and the Pacific is located in Bangkok, Thailand, and within its mandate works in over 30 countries and non-metropolitan territories. The Regional Centre carries out regional and national projects, and provides advisory services to complement national responses throughout the East Asia and Pacific region. UNODC also has Country Offices in Lao PDR, Myanmar and Viet Nam and Project Offices in Cambodia, China and Indonesia, all of whose operations fit within the RPF.

[2] According to the Bonn Declaration, the concept of human security implies the "absence of threat to human life, lifestyle and culture". It is important to note that the concept of human security emphasizes the fact that security must be interpreted as security for people. In the context of East Asia and the Pacific, some of the most salient threats to human security result from poverty, hunger, the displacement of people, environmental degradation, crime, corruption and the trafficking of people, drugs and small arms.

2 Situation analysis

2.1 Policy setting

UNODC mandates

UNODC mandates for this RPF are as follows:

- The Single Convention on Narcotic Drugs – 1961 (amended by the Protocol of 25 March 1972)

- The Convention on Psychotropic Substances – 1971

- The Convention against the Illicit Traffic in Narcotic Drugs and Psychotropic Substances – 1988

- The United Nations Convention against Transnational Organized Crime (adopted 2000)

    o Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children

    o Protocol against the Smuggling of Migrants by Land, Air and Sea

    o Protocol against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition

- The United Nations Convention against Corruption (entered into force 2005)

- The 16 universal treaties on counter-terrorism and relevant Security Council Resolutions relevant to the prevention and suppression of terrorism, and

- UN Standards and Norms on Crime Prevention and Criminal Justice, including with respect to victim protection, violence against women and the humane treatment of offenders.

Regional policies and commitments

UNODC works with Member States and regional organisations to support implementation of their policies and commitments on drugs, crime and terrorism.

In 1993, the governments of China, Lao PDR, Myanmar and Thailand signed a **Memorandum of Understanding (MOU) on drug control with UNODC**. Its purpose was to (a) eliminate opium poppy cultivation, (b) eliminate trafficking in narcotic drugs and precursor chemicals, (c) reduce demand for local consumption of narcotic drugs and (d) address problems of HIV/AIDS infection associated with IDUs. In 1995, a Protocol revising the MOU added Cambodia and Viet Nam to the number of participating countries. In order to give life to the MOU, a Sub-regional Action Plan was started.[3]

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[3] The Sub-regional Action Plan contains three thematic areas: law enforcement, demand reduction and alternative development. It is revised every two years. The proposals and projects are prepared in consultation with UNODC, which also mobilizes the funds. Under the 2001-2002 "Addendum on Partnership to the MOU", the governments agreed to play a more protagonist role in shaping sub-regional drug control policy. They also agreed to formulate and support SAP projects as well as mobilize resources and contribute funds for projects themselves.

Foreign Ministers at the 31st ASEAN Ministerial Meeting in July 1998, signed the **Joint Declaration for a Drug-Free ASEAN** by 2020 which affirmed the Association's commitment to eradicate illicit drug production, processing, trafficking and abuse by the year 2020 in ASEAN. At the 33rd ASEAN Ministerial Meeting in July 2000, Governments reiterated their concerns on the threat from the manufacturing, trafficking and abuse of illegal drugs on the security and stability of the ASEAN region and agreed to advance the target year for realizing a Drug-Free ASEAN to 2015. In October of 2000, under the auspices of UNODC, the region gathered at the International Congress "In Pursuit of a Drug-Free ASEAN and China 2015" in Bangkok, Thailand.[4] One result from this congress was a regional framework called the ASEAN and China Cooperative Operations in Response to Dangerous Drugs or **ACCORD**. ACCORD was intended to outline specific actions that go beyond national efforts and are guided by a cooperative framework for the benefit of all drug control stakeholders in the region. To achieve this objective, a Plan of Action was endorsed by 36 countries and 16 international organizations. The result of this event was a thematically-divided plan of activities to address both the demand and supply of drugs. Taken together, the political commitment of the 33rd ASEAN Meeting and the ACCORD Plan of Action constitute a strong basis for action in the region.

In the area of trafficking in persons, at the sub-regional level, the six GMS countries signed an MoU in October 2004 (the **COMMIT** Process[5]), which sets out a comprehensive framework of cooperation on addressing trafficking among the countries. The COMMIT MoU contains 34 operative paragraphs in the following key areas: (1) policy and cooperation; (2) legal frameworks, law enforcement and justice; (3) protection, recovery and reintegration; (4) preventive measures and (5) mechanisms for implementation, monitoring and evaluation of the MoU.[6]

In 2005, the **Crime Congress** (UN Congress on Crime Prevention and Criminal Justice) hosted in Bangkok led to the adoption of the "Bangkok Declaration" calling for action against organized crime, terrorism, trafficking in human beings, money-laundering, corruption, "cybercrime", restorative justice, and the root causes of crime.

In January 2007, the ASEAN member countries signed the ASEAN Convention on Counter Terrorism (**ACCT**) during their 12th Summit in Cebu City, the Philippines. The ACCT directly refers to the universal legal regime on counter-terrorism and is well in line with the main principles of the recently adopted UN Global Strategy on Counter Terrorism, including human rights principle and the rule of law.

Under the **UN.GIFT** process[7] in October 2007, a number of recommendations were agreed by the countries of East Asia and the Pacific to strengthen criminal justice responses to trafficking in persons. UNODC was called upon by the governments to help implement the recommendations.[8]

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[4] See, Drug-Free ASEAN 2015, "Achieving a Drug-Free ASEAN 2015 – Status and Recommendations", UNODC Regional Centre for East Asia and the Pacific,, Bangkok, 2007.

[5] COMMIT is a high-level, government-led process on trafficking in persons between six countries in the Mekong Region (Cambodia, China, Lao PDR, Myanmar, Thailand and Viet Nam. The COMMIT Sub-Regional Plan of Action (SPA II) was agreed in December 2007.

[6] An associated sub-region action plan has also been developed that outlines national, bilateral and sub-regional level areas of action, including the holding of annual senior officials meetings, to advance and guide implementation of the MoU.

[7] The United Nations Global Initiative to Fight Trafficking in persons (UN.GIFT) aims to mobilize state and non-state actors to eradicate trafficking in persons by reducing both the vulnerability of potential victims and the demand for exploitation in all its forms; ensuring adequate protection and support to those who do fall victim; and supporting the efficient prosecution of the criminals involved, while respecting the fundamental human rights of all persons.

[8] These included (1) a comprehensive legal framework in compliance with international standards, (2) specialist investigation function within law enforcement agencies, (3) frontline law enforcement officials trained, (4) improved

The importance of adopting an integrated regional approach to regional challenges is stated in the **Association of South East Asian Nations (ASEAN) Charter**, signed in November 2007 in which Member States identify the move towards a 'single community' as a key priority. Two major aims of the Charter are to:

- "*respond effectively, in accordance with the principle of comprehensive security, to all forms of threats, transnational crimes and trans-boundary challenges*" and
- *strengthen cooperation in building a safe, secure and drug free environment for the peoples of ASEAN*".

UNODC places a high priority on working collaboratively with ASEAN Member States and the ASEAN Secretariat to achieve these aims.

UNODC will work with the Pacific Islands Forum Secretariat and Member States to develop a potential programme of collaborative work in the Pacific.

2.2 Key challenges

The economies of most countries in the East Asia and the Pacific have grown steadily over the past decade, although the global financial crisis of 2008/09 has seen growth rates cut dramatically. This has resulted in better standards of living for many of the region's people. Over the past five years, up to 50 million people per year have been able to rise out of poverty.[9] If the medium-term growth trend continues, and the current financial crisis is effectively tackled, the region is expected to achieve the first 2015 Millennium Development Goal of reducing extreme poverty and hunger by half. However, this rapid economic transformation of the region has resulted in increasing disparities of economic wealth. Even while extreme poverty has been reduced, the share of national consumption by the poorest 20% has declined over the same period, particularly in East Asia.

These growing disparities in the distribution of economic wealth will, on the basis of existing evidence, contribute to rising levels of crime.[10] A significant portion of this crime is carried out by organized criminal groups. Such organized criminal activity includes drug trafficking, migrant smuggling, trafficking in persons, terrorism, money laundering, illicit small arms trafficking and the trafficking in illicit natural resources and hazardous substances and protected wildlife. Organized crime, by its very nature, is also a major contributor to the cancer of corruption. Associated with illicit drug production, trafficking and use (especially injecting drug use) is the serious damage which these problems cause to "social fabric" including morbidity and the spread of HIV/AIDS. Drug abuse undermines human resource development, affects primarily poor communities, and can destroy the livelihood of households, thereby undermining sustainable development.

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cross-border, regional and international investigative cooperation on TIP cases, (5) improved prosecutorial and judicial responses, (6) victims of trafficking should be protected and fully supported as witnesses, (7) international legal cooperation, (8) coordinated support.

[9] United Nations. The Millennium Development Goals Report 2007, United Nations: New York, 2007.

[10] Many studies have explored the seemingly powerful nexus between income disparities and the incidence of crime. See, for example, Pablo Fainzylber, Daniel Lederman, Norman Loayza, "Inequality and Violent Crime", in *The Journal of Law and Economics*, August 2001 and Wing Lo and Guoping Jian "Inequality, Crime and the Floating Population in China", in *Asian Journal of Criminology*, Springer: Netherlands, Vol.1, 2 December 2006.

1. Rule of Law challenges

East and South East Asia is well known as a global source, transit and destination region for human trafficking. It is the world's second largest source of heroin, and has become a key centre for the manufacture and trade of amphetamine type stimulants (ATS). The region has also been subjected to illicit natural resource extraction, including the unlawful acquisition and export of endangered species and timber.

All of these crime trends need to be placed in the context of the developmental and political challenges which the region faces. Localised instability, the threat of terrorism, inadequate national legal frameworks, corruption, an uneven institutional capacity to govern effectively and limited cooperation among countries of the region are all key factors in addressing the challenges facing the region.

The rule of law problems which this RPF seeks to address can be grouped into three main pillars.

1: ILLICIT TRAFFICKING – Responses to illicit trafficking are impeded by weak capacity of law enforcement agencies and patchy cooperation among member states

Export-driven growth in combination with inter-regional competition will result in medium- to long-term reductions in transportation cost. Anticipated increases in traffic flows in the coming decade will force countries to improve the efficiency of their infrastructure and reduce the transaction costs of lengthy border inspections.[11] This will further increase cross-border trade. Major regional infrastructure and development projects will concentrate resources along key zones of movement – the so called "development corridors". While these trends are positive in principle, and will lower costs to consumers, they also portend increased opportunities for organized criminal groups to exploit the vulnerable. Law enforcement must therefore be part of the development agenda. An effective criminal justice system must end the current high levels of impunity which organized criminal groups enjoy. At all stages, the criminal justice response to organized criminal groups involved in trafficking drugs, human beings, illegal firearms, timber products, and smuggling migrants must reflect internationally-agreed criminal justice and human rights standards. Law enforcement authorities have generally lagged behind organized crime groups in terms of organization, adaptability, adoption of new technology and effective networking.

The two main reasons for law enforcement's reduced effectiveness are: (a) inadequate technical capacity and inadequate operating resources; and (b) insufficient cooperation among law enforcement agencies within and across borders. Both of these factors contribute to ineffective handling of a range of crimes. Insufficient political commitment and varying levels of corruption also reduce effective operational law enforcement responses. The implications are clear for law enforcement in the region: it must increase national capacity to respond and it must improve intelligence sharing, specifically cross-border intelligence-sharing. The focus of the UNODC programme in illicit trafficking will be on those crimes which by their very nature tend to have a strong transnational character and are highly damaging to human security and sustainable development.

Trafficking in Persons:
Despite many recent efforts in the development of legislation, the building of institutional capacity, the protection of victims and awareness-raising within vulnerable groups, trafficking in

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[11] For example, inspections will be simplified and become fewer. There will be more exemptions for goods in transit. Visa procedures will be simplified.

persons – both from and within the region – continues.[12] For example, there has been advocacy for the development of appropriate legislative and policy frameworks in the region, in line with international standards, and some ad hoc capacity development of law enforcement, especially in the area of victim identification. Most of the responses to trafficking in the region have nonetheless focused primarily on policy, prevention and protection issues – aimed at reducing the vulnerabilities of potential victims, and on the protection of identified victims. [13]

It has only been in the last few years that attention has started to be placed on fighting trafficking by focusing firmly on arresting and prosecuting the end-exploiters and securing justice for the victims. There is thus a gap not only in the criminal justice response to trafficking, but also in the processes for intelligence and data sharing, especially – at the national level – between the provincial and central authorities.

Information about trends, recruitment methodologies, victim profiles and trafficking routes throughout the region remains weak. Another significant gap in the response has been on the monitoring and evaluation of the entire trafficking in persons response in the region by all agencies. In addition to rendering support at a technical level in respect of law enforcement, UNODC, as custodian of the UNTOC and related protocol,[14] must support to a greater degree the key regional efforts to counter trafficking, e.g., the COMMIT and Bali Processes.

Drug trafficking:
While the traditional opiate drug problem continues to be serious in the region,[15] the problem of illicit manufacture, trafficking in and abuse of amphetamine-type stimulants (ATS) has become grave in recent years.[16] The ATS problem has resulted in a series of threats to human security, stability and economic development in the region. The abuse of methamphetamine pills (*yaba* or *yama*) and/or crystalline methamphetamine ("ice") has been reported in almost all countries of the region. Experience indicates that the ATS phenomenon has characteristics which differ from traditional opiate drug problems, especially in terms of rapid proliferation in urban areas and more difficult interdiction by law enforcement agencies due to the close proximity of the demand and supply chains. Illicit ATS manufacture can take place virtually anywhere where there is easy access to precursor chemicals. The infrastructure corridors and the trade facilitation pilot sites now being developed will link known ATS production countries with major ATS markets in the Greater Mekong Subregion. This will arguably increase the volume of illicit trafficking and thus strain limited police and customs resources.

The demographic groups most affected by ATS abuse, particularly methamphetamine, are youth in urban areas and workers engaged in the transport, fishing and sex industries. Due to its low cost, high availability and addictive potential, ATS represent a major challenge to national health authorities and their drug-prevention efforts. Of related concern is the extremely limited knowledge of, and availability of, ATS-specific treatment and reintegration services based upon available evidence. Treatment in the region continues to be grounded on compulsory treatment

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[12] ASEAN Responses to Trafficking in Persons, ASEAN, April 2006 (plus later supplements). See also Trafficking in Persons – Global Patterns, UNODC (2006).

[13] United Nations Office on Drugs and Crime, "Trafficking in Persons: Global Patterns", April 2006.

[14] UNODC is custodian of the UN Convention against Transnational Organized Crime 2000 (TOC) and the UN Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children 2000 (Palermo Protocol) and as such in 2000 was handed a large mandate to work on the response to trafficking.

[15] Heroin remains a frequently abused drug in the region, notably in Viet Nam, China, Myanmar and Thailand.

[16] Illicit manufacture of Amphetamine Type Stimulants (ATS), particularly methamphetamine, is increasing, with a tendency to relocate sites of manufacture closer to points of consumption. Major production areas remain in northeast Myanmar (Shan State) and southeast China (Guangdong and Fujian provinces). Recently, illicit drug manufacture is reportedly spreading from East Asia to Southeast Asia and the Pacific with large clandestine Methamphetamine seizures occurring in the ASEAN region.

centres managed by law enforcement agencies. The few community-based treatment centres which do exist are also often under the jurisdiction and control of the national drug control agencies.

There exists a lack of capacity both at the national and regional levels to effectively suppress the manufacture of illicit drugs and prevent the diversion of **precursor chemicals** from licit channels into illicit traffic. While the case for cooperation on countering the trafficking of the actual drugs is well established, priority attention needs also to be paid to control precursor chemicals used in the production of ATS as they move across and within borders.

A number of countries have yet to develop the legal provisions, operating procedures and working mechanisms to detect and interdict the trafficking of drugs and the diversion of precursors. Regarding the internal capacity of law enforcement, the countries in East Asia and the Pacific region face a series of obstacles including a lack of competent skills and expertise. At the regional level, while there are several instruments available to facilitate regional cooperation the level of operational cooperation needs further improvement.

Environmental crimes:
Environmental crimes directly affect the well-being of the planet, and often impact most severely on the poor. Forests and oceans are the biggest retainers of carbon dioxide, the key gas responsible for global warming. By reducing their carbon sequestration capacities, environmental crimes fuel the ongoing process of climate change which results in droughts, floods, extreme weather and altered habitats. Environmental crimes particularly affect economically-marginalised communities since their livelihood is more immediately linked to dependence on natural resources. Moreover, widespread corruption provides opportunities for money-laundering, weakens the rule of law, undermines policies and disrupts legitimate economic activity. Crimes like illegal logging and the trafficking in forest products, wildlife and biological resources are a major problem in the region.

Southeast Asia is undergoing the fastest rate of deforestation in the world. Countries particularly affected are: Indonesia, Philippines, Cambodia, Myanmar, Viet Nam, Lao PDR and Timor-Leste. Papua New Guinea and the Solomon Islands in the Pacific are also struggling to effectively manage the exploitation of their forest resources. According to the World Bank, illegal logging generates an enormous amount of illegal turnover 'completely outside the control of fiscal authorities and free to spread corruption contagion throughout the economy'.[17] Illegal fishing is another serious concern that must be rapidly addressed in Asia and the Pacific in order to avoid further poverty, food insecurity, and economic stagnation. The illegal and unregulated activities of criminal syndicates are causing the depletion of the fish stock which might lead to a collapse in some fish populations.

The increasing demand for exotic pets, rare foods, and traditional medicines at the global level has fuelled a significant amount of wildlife trafficking in Southeast Asia. It is estimated that in many countries of Southeast Asia some large animal species, such as elephant, tigers, and wild cattle have become extinct or virtually extinct due to hunting and wildlife trade. Southeast Asia also suffers from the illegal trade of ozone-depleting substances (ODS) and waste.

Much of this illicit commerce is facilitated by porous borders. Environmental crime laws are usually weakly enforced, have low penalties and are not well known among enforcement officers. Fighting environmental crimes is a clear responsibility of national governments and international organizations in their pursuit of human security.

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[17] 'The Many Faces of Corruption: Tracking Vulnerabilities at the Sectoral Level', World Bank, April 2008, pp 92-93.

Smuggling of migrants:[18]
Migration has long shaped the nature of societies in East and South-East Asia. The latter region, in particular, has attracted migrants because of the economic opportunities it offers and because it provides a safe haven during periods of political change elsewhere. The descendents of indentured labourers now constitute integral components of the population of several countries in the region. Migrants from China have been a particularly important element in forming the economic, social and political landscape of South East Asia. It is predicted that there will be an increase in legal labour migration during the next few years, especially within ASEAN countries, as the region moves towards economic integration within the next decade. Both the 2000 United Nations Millennium Summit and the 2005 World Summit recognized the capacity of international migration to advance the achievement of the Millennium Development Goals. However, as globalization accelerates and becomes more complicated, unmanaged migration of people can undermine the well-being of individuals and the states they move from, to and within. As more and more people seek refuge from conflict and violence or seek to better their economic status, organized criminal groups are generating profits from transporting and facilitating the illegal entry of migrants into destination countries.

In those cases where migration policies become more restrictive (although this is not currently the case in most of the region) and where border monitoring becomes more sophisticated, migrants can potentially become dependant on migrant smugglers to facilitate their movement. The irregular status of such smuggled migrants means that they are vulnerable to coercion and abuse. There is therefore a need for a firm response to the transnational criminal elements at play in the global movement of people, to ensure that migration occurs safely and that those who would smuggle and traffic persons are prevented from doing so, or brought to justice if they do. For this reason, the current focus in the region is on the promotion of "safer migration" and advocacy for increased legal opportunities to migrate. Much of this work is being done under the Bali Process.[19] UNODC will aim to have a greater role in this process.

First, there is a need for increased awareness among political decision-makers, relevant authorities and the general public of the fact that smuggling of migrants is a criminal activity that poses serious risks to the migrants and the societies concerned. There is a need for the increased political commitment of political decision-makers to effectively address smuggling of migrants through a common regional response, and increase the capacities to jointly develop such a strategy and legislative frameworks in compliance with the requirements of the UN Smuggling Protocol. There is a need to improve the capacities of relevant law enforcement agencies by providing improved evidence-based knowledge on the smuggling of migrants, perpetrators and criminal groups involved, including information about their modus operandi and smuggling routes. This will permit the design and implementation of better counter-smuggling policies and operational measures. Finally, there is a need for greater international criminal justice cooperation of the relevant criminal justice actors involved in investigating cases and prosecuting criminals.

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[18] For the sake of simplification, the planned work on smuggling of migrants has been subsumed under "Illicit Trafficking" even though, by definition, smuggling of migrants would require a broader category under which to sit.

[19] The Bali Process is the key strategic structure for increasing inter-governmental cooperation on people smuggling and trafficking in persons in Asia and the Pacific. Its main objectives are (a) more information sharing, (b) improved cooperation among regional law enforcement agencies, (c) enhanced border cooperation and (d) cooperation in victim identification and assistance.

2: GOVERNANCE – Insufficient institutional and procedural safeguards against corruption and lack of cooperation in recovery of stolen public assets

Since the mid-1990s the General Assembly of the United Nations, through multiple resolutions, has expressed serious concern about the problems and threats posed by corruption to the stability and security of societies, through the way it undermines the institutions and values of democracy, ethical values and justice, and jeopardizes sustainable development and the rule of law.[20] Corruption attacks the foundation of democratic institutions by distorting electoral processes, by perverting the rule of law, and by creating bureaucratic quagmires whose only reason for existence is the soliciting of bribes. Foreign direct investment is discouraged and small businesses within the country often find it impossible to overcome the "start-up costs" required because of corruption. Corruption corrodes government institutions and starves the economy.

The UN Convention Against Corruption (UNCAC) provides a powerful tool to strengthen anti-corruption programmes in the region. However, while the UNCAC constitutes a major achievement in international law, its potential contribution to the achievement of the Millennium Development Goals remains underutilized. The main challenge is thus to turn the Convention from a mere legal framework into an effective tool for the rule of law.

UNODC's main role under this RPF will be to support partner countries to meet the requirements of the UNCAC, through providing technical support to translate the provisions of the convention into sustainable institutions and procedures.

At present, many countries in the region tend to focus only on the investigation and conviction of corruption. While prosecution of the most egregious cases is certainly warranted, this needs to occur in the context of a much broader agenda towards building capacity and institutions for good governance, enhancing integrity, transparency and accountability of the public sector, improving the management of public resources and official development aid, and addressing the demand side of corruption through strengthening private sector integrity.

Specific provisions of the UNCAC tackle the bribery of national public officials and the criminalization of the obstruction to justice. The provisions on asset recovery – the first of their kind – require Member States to return assets obtained through corruption to the country from which they were stolen. This is a major breakthrough. Judiciaries in countries where corrupt elites have looted billions of dollars are now empowered to implement these innovative provisions to recover the proceeds of crime. Yet they are being called upon to act with little or no prior training. Given the magnitude of corruption and the amounts at stake, there is a serious risk of improper influence and possible misconduct as well as bribery within the judiciary itself.

Corrupt practices at various levels are found in the private sector as well as government-owned and semi-autonomous corporations. Self regulation by industry as well as the creation and implementation of **codes of conduct** are thus areas which require attention.

Appropriate national legislation and institutional capacity to deal with proceeds of other forms of organized crime is also lacking in the region. While progress is being achieved through the establishment of national **Financial Intelligence Units**, participation in regional mechanisms for the enhancement of anti-money laundering and anti-corruption capacity still needs to be strengthened via engagement with relevant international regulatory bodies. This is of particular importance in relation to countries in post-conflict situations.

Experience shows that in contexts where corruption is endemic, where political will is weakened by vested interests, where the ability to enforce the law is weak, and where civil society is not

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[20] For example, A/RES/51/59, A/RES/52/87, A/RES/53/176, A/RES/54/128, A/RES/58/4, A/RES/59/155.

well structured to promote transparency and accountability, the **private sector** can play a key role in initiating and sustaining reform.

There is an increasing body of international experience which highlights the limited success of trying to establish anti-corruption bodies in the absence of strong **political will**. High-level advocacy – along with other stakeholders and UN agencies – will thus be a key objective of the RPF. While a few countries have recently declared the fight against corruption to be a national priority, implementing educational programmes on corruption prevention starting at the primary and secondary school levels, other countries in the region still avoid using the term "corruption" in official venues.

East Asia and the Pacific remain vulnerable to **money laundering**. Money laundering is the means by which organized crime figures are able to disguise the proceeds from criminal activities through investing these moneys into 'legitimate businesses' and subsequently generating apparently 'clean' money that can be used to further their criminal enterprises. Money laundering enables criminals to remove or distance themselves from the criminal activity which is generating the profits, thus making it more difficult to prosecute key organisers and to confiscate the assets of those criminals. This is equally applicable no matter what the crime types are: for example, drug manufacture and trafficking, trafficking in persons, kidnapping, extortion, fraud, corruption, environmental crime, smuggling, piracy to mention those most relevant to East Asia and the Pacific. In extreme cases money launderers can destabilise the economies of small developing countries by taking control of key financial and other institutions in the country. The IMF estimates the world scale of money laundering transactions is a staggering 2 to 5% of global GDP, much of which is believed to be reinvested in further criminal activity. Criminal groups seek to move their money laundering operations to countries with limited financial and economic control systems. East Asia is one of the fastest growing economic regions in the world. Within this region, many sectors are experiencing phenomenal growth and attracting significant investments. These include real estate, import and export businesses, securities trading, casino, gold and other commodities trading. Nevertheless, for a number of countries in the region, cash transactions still predominate. Given the relatively weak financial and economic monitoring and control systems present in some countries in the region, it is often difficult to follow money trails – which is an essential element for the investigation of this form of crime.

While ineffective anti-money-laundering (AML) systems and controls in a country or region can act as a catalyst for money laundering, a sound AML regime, with strong enforcement and regulatory frameworks will act as a deterrent to money launderers and organized crime groups. While many jurisdictions are working to adopt AML laws, the level of effective implementation remains very low. Countries require expertise to develop their respective AML systems and UNODC is well placed to deliver such assistance.

3: CRIMINAL JUSTICE – Lack of implementing legislation and inadequate legal frameworks, lack of adequately strong, independent and fair justice systems at the national level, as well as inadequate mechanisms to support effective cooperation in transnational organized justice.

By its very nature, transnational organized crime (TOC) and international terrorism weaken the sovereignty of the state itself. Not only do transnational organized crime groups and terrorist network use their resources to try to set up parallel sources of power, they also aim to undermine the legitimacy of the legal regime. In the current phase of globalization, transnational crime organizations and terrorist networks are also rapidly adopting and taking advantage of new technologies to pursue their criminal ventures on an international scale.

The UN Conventions on crime and the 16 universal treaties on counter-terrorism have developed a series of mechanisms to address these problems.

The most recent Convention, UNCAC, which entered into force in 2005, goes beyond all the previous mechanisms and calls for the repatriation of the proceeds of crime to the country of origin. This Convention foresees dealing with the proceeds of crime in a holistic manner. The future of efficiently combating transnational organized crime requires the very same holistic approach.

And yet, as a region, East Asia and the Pacific has the lowest **ratification** level of the international crime and drug control conventions. This is a fundamental problem. A recent ASEAN report notes that the regional mutual legal assistance (MLA) framework established by ASEAN is impeded by a lack of national legislation and capacity to apply the often complex legal tools. The report specifically states that, "While some bilateral MLA agreements in the region show promise, the challenge is to find operational solutions for wider implementation."[21] Until the use of MLA and other legal tools becomes the status quo, a divided "patchwork approach" of agreements will prevent greater success.

The current approach to combating TOC consists of each country attempting individually, or in small groups, to combat distinct types of crime – human trafficking, drug trafficking, corruption, terrorism etc. The interrelated nature of the crimes and, more importantly, the linkages between and networks of those who commit those crimes, is underemphasized. In terms of past and current regional cooperation initiatives such as the MOU on Drugs in the Greater Mekong Sub-region (1993), the ACCORD Plan of Action (2000) and the COMMIT process (2004), while these were necessary steps in establishing regional cooperation and capacity, they were never intended nor equipped to comprehensively combat TOC. The divided approach currently in place is of limited effectiveness. What is required is the establishment of a **transnational organized justice scheme** to coherently combat TOC.

One of the main reasons that transnational crime remains prevalent is that organized criminal groups are increasingly "professional" and because the available legal tools to combat transnational crimes are not yet properly mastered by practitioners.

The UN Conventions and the universal treaties on counter-terrorism provide a full range of legal tools to prevent and combat illicit activities. Most recent among these have been the innovative provisions contained in the UNCAC, which endeavour to repatriate stolen assets from one country to their country of origin. Implementing those provisions in East Asia and the Pacific requires a thorough knowledge of the different legal systems of different countries, as well as a capacity to use complex mechanisms such as intelligence sharing, mixed investigative teams, mutual legal assistance and extradition.

UNODC recommends that Member States should respond to transnational organized crime by developing and implementing effective "Transnational Organized Justice". The aim is to deprive criminals of their capacity by tackling their finance and proceeds of crimes. The idea is very simple: networks of Law Enforcement agents, Prosecutors and Judicial Authorities must be better organized than criminal networks. They already start with the advantage of having the weight of the law on their side. The strategy must involve Member States at various levels – from the highest possible political level all the way to the operational level.

A strong independent judiciary with integrity in all Member States is a fundamental requirement to effectively combat transnational organized crime and promote transnational organize justice. At present there are many countries within the region where the judiciary is not adequately

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[21] Drug-Free ASEAN 2015, "Achieving a Drug-Free ASEAN 2015 – Status and Recommendations".

independent of the Executive, and therefore judicial independence and integrity is compromised. The principle of the presumption of innocence and the defendant's right to fair trial is also a cornerstone of a 'just' justice system, but is currently not adequately understood or applied within many countries.

For justice systems to be effective in countering organized crime and international terrorism, an evidence-based approach is also required. There is a need to raise awareness of the value of physical evidence, as well as its forensic examination and the need to preserve its integrity, from the crime scene to the courtroom. For this reason, enhancing forensic capacity and the exchange of experiences and data in the region through improved national and regional networking is essential.

Finally, at the national level, there is a need for many member states to continue to address issues related to particularly vulnerable groups who come into contact with the criminal justice system, namely witnesses, victims of domestic violence, juveniles/children in conflict with the law, and those in custodial/prison settings.

In summary, the key current issues that need to be addressed to combat TOC and international terrorism, as well as to protect vulnerable groups, include:

1. Lack of universal ratification of all UN Conventions under the UNODC mandate.
2. Lack of supporting national legislation to implement the provisions of UN Conventions, such as with respect to MLA, and the complexity of the "legal tools" contained in the UN Conventions.
3. Judiciaries without sufficient independence and integrity, lack of effective cooperation within Member States (between the judiciary, prosecutors and law enforcement agencies), and inadequate protection of vulnerable groups; and
4. Lack of effective cooperation between the law enforcement agencies, prosecutors and judiciaries of Member States, particularly with respect to the investigation and prosecution of TOC, sharing data/information on TOC and expeditious Mutual Legal Assistance.

There are significant hurdles to be overcome in the endeavour to build a transnational organized justice system in the region. These include the very different legal regimes in place (civil law, common law, Islamic, socialist etc), the different levels of socio-economic development and skills in different countries, different cultures and languages, and strong sensitivities about sovereignty.

Nevertheless, UNODC can play both a strategic and operational support role in helping member states address these issues. The long-term strategic role it can play is to help foster the political will and executive capacity to incrementally develop and implement a transnational organized justice system to counter and systematically dismantle transnational organized crime.

2. Health and development challenges

Global information from the World Drug Report 2009 (see the diagram below) indicates that between 172-250 million persons used illicit drugs at least once in the past year in 2007. Estimates made by UNODC suggest that there were between 18-38 million heavy or "problematic" drug users aged 15-64 in 2007.[22] If global estimates are applied crudely to East Asia and the Pacific on the basis of population, it would suggest that this region includes between 55 and 80 million illicit drug users and between 6 and 13 million "problematic" drug users aged 15-64.

Illicit drug use at the global level

Number of people who inject drugs aged 15-64 years : 11-21 million persons

Number of "problem drug users" aged 15-64 years : 18-38 million persons

Number of people who have used drugs at least once in the past year aged 15-64 years : 172-250 million persons

Total number of people aged 15-64 years in 2007: 4,343 million persons
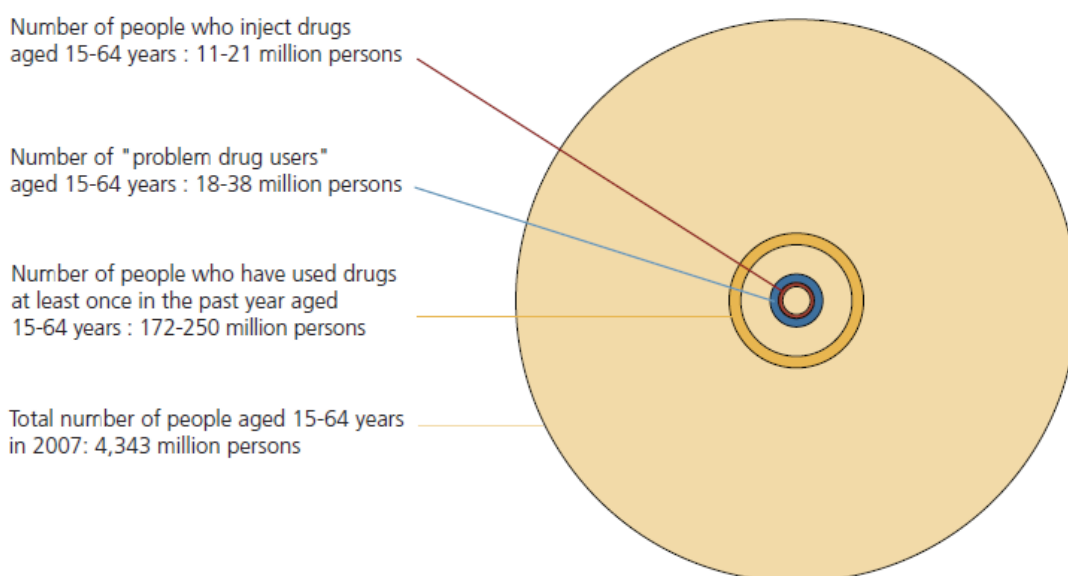
In his preface to the report, the Executive Director, Mr Antonio Maria Costa, noting UNODC policy, calls for progress in three key areas:

- to put public health back at centre of drug control efforts, balancing the way funds are spent to ensure that demand and the adverse health and social consequences of drug use are reduced;

- to place drug control in the larger context of crime prevention; and

- to uphold human rights and human dignity.

4: DRUG DEMAND REDUCTION – lack of capacity and standards of good practice

Drug abuse in the region continues the general pattern and trend of the recent past. ATS, opiates, and cannabis are reported as the most prevalent and problematic drugs. Brunei, Cambodia, Lao PDR, the Philippines and Thailand, cite methamphetamine as the leading drug of concern. The

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[22] World Drug Report 2009. UNODC 2009.

crystal form of this drug, popularly known as *shabu*, is reported by Brunei and the Philippines as the exclusive type of methamphetamine which is abused. On the other hand, Cambodia, Lao PDR, and Thailand report methamphetamine pills – known on the street as *yaba* or *yama* – as the common form of the drug. Among the ASEAN countries, only Thailand cites abuse of both the pill and crystal forms of methamphetamine. All other countries report only one form. In addition to methamphetamine, the ATS drug ecstasy is reported as a drug of concern and is ranked as one of the top three drugs of concern by Brunei, Indonesia, and Viet Nam. While several countries rank methamphetamine as the leading drug of abuse, four – specifically China, Malaysia, Myanmar and Viet Nam – list heroin as the number one problem. Buprenorphine, a narcotic analgesic, is cited as the leading drug of concern in Singapore. Another major drug of abuse, and one with the highest abuse prevalence in many countries of the world – cannabis – is ranked top by Australia, the South Pacific Islands and Indonesia and ranked second by five other countries. The results of recent surveys in the Philippines, Thailand and Lao PDR have drawn attention to the widespread abuse of volatile substances such as glue, primarily by children and teenage youth. Inhalant abuse could well become a problem also in other countries in the region. Inhalant abuse is a major gateway to the abuse of other drugs, mainly amphetamine-type stimulants and heroin.

The key drug demand reduction gaps in East Asia and the Pacific include:

1. **Prevention:**
   a. Insufficient prevention efforts to deter experimentation or at least delay onset primarily among at-risk youth.
2. **Treatment:**
   a. Inadequate care and support for drug users.
   b. Inadequate trained manpower to deliver services (especially in the case of ATS) and ill-equipped training centers.
   c. Insufficient community/voluntary treatment centres as an alternative to compulsory drug treatment centres/imprisonment.
   d. Inadequate minimum standards of care and support.
3. **Reintegration:**
   a. Insufficient community-based reintegration and aftercare programmes.
   b. Ineffective drugs laws and policies geared to respond to drug use offences.
   c. Insufficient legal "coverage" for vulnerable groups within the criminal justice system.
   d. Inadequate capacity-building for police officers.

5: HIV/AIDS – low coverage, poor information and little mainstreaming

Over a period of 27 years, HIV has killed an estimated 25 million people across the world. There are now some 33 million people living with HIV.[23] Even while it has produced an unprecedented response globally, HIV remains an immense public health challenge, threatening development efforts and national security. While almost 67% of this burden is borne by Africa, all other regions have been affected, including Asia. For example, there were an estimated 4.9 million people living with HIV in Asia in 2007. Just under half a million of these became newly infected in 2007.[24]

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[23] World AIDS Report 2008, UNAIDS 2008.
[24] Ibid.

- **People who inject drugs**

HIV epidemics in Asia are diverse. But they disproportionately affect people who inject drugs, people who are sex workers and their clients and men who have sex with men.[25] There are concentrated epidemics among drug users in China, Indonesia, Malaysia, Myanmar and Viet Nam. The spread of HIV among drug users has led to exceptionally high HIV prevalence levels, for example as high as 56.1% among Indonesian women who inject drugs, and 52.2% among Indonesian men who inject drugs. HIV prevalence rates among people who inject drugs are significantly higher than prevalence rates in the overall population. In the most affected countries incidence rates among this population group are as high as 65%. The experience of countries such as Indonesia (Fig 2)[26] and Thailand[27], show how HIV spread among drug users has been critical to the trajectory of the epidemics in Asia. The use of contaminated needles and syringes by drug users accounts for 30% of those outside of Sub-Saharan Africa.[28] East Asia and the Pacific, which accounts for almost one third of the world's population, includes a number of countries where the use of contaminated needles and syringes by drug users continues to drive the HIV epidemic. These include China (42% of new infections in 2007[29]), Indonesia (46%), Malaysia (65%), Myanmar (HIV prevalence is highest among drug users, at 43%[30]) and Viet Nam (44%). Other countries have concentrated epidemics among drug users and this community continues to report high HIV prevalence, including Thailand. Still other countries have yet to report significant HIV infection among drug users. Some do not even have the data to report.

UNODC adheres to principles of equality and human rights which support the provision of HIV education, prevention, treatment and care to all, regardless of whether or not they do or have used illicit drugs; are (or have been) in prison; and regardless of their occupation or sexual orientation.

Agencies need accurate and reliable population estimates and qualitative information on the populations most vulnerable to HIV infection if they are to be successful in developing and delivering effective national HIV programmes. Unfortunately they face considerable challenges in this task because of poor or often unavailable data.[31]

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[25] The Commission on AIDS in Asia concluded that 75% or more of new infections were occurring among these most vulnerable populations. *Report of the Commission on AIDS in Asia.* 2008 p.31.

[26] AIDS in Asia: *Face the Facts, Monitoring the AIDS Pandemic Network* 2004. p.97.

[27] Narain, Jai P. AIDS in Asia.

[28] See Aceijas, C., Friedman, S.R., Cooper, H.L., Wiessing, L., Stimson, G.V., Hickman, M. (2006). "Estimates of injecting drug users at the national and local level in developing and transitional countries, and gender and age distribution." *Sexually Transmitted Infections*: 82 (4) p.344.

[29] Yin, W. & Wu, Z. "Scaling-up methadone maintenance treatment (MMT) in China". In UNODC & UNAIDS. *Proceedings of a satellite session on HIV prevention interventions for injecting drug users: Lessons learnt from Asia.* Organized by the United Nations Regional Task Force on Injecting Drug Use and HIV/AIDS for Asia and the Pacific. IHRAs 19th International Conference; 2008 May 11-15; Barcelona, Spain. UNODC & UNAIDS. 2008.

[30] *Review of the Myanmar National AIDS Programme 2006.* WHO/SEARO.

[31] For example, the 2007 Reference Group to the UN on HIV and Injecting noted the following problems with data and its use: (a) no verifiable estimates of the number of injecting drug uses in most of the countries that reported injecting, (b) no published data on whether or not injecting drug use actually occurred, even though it was reported, (c) a lack of consistency in definitions of injecting drug use, (d) 'registration' being the only measure of numbers of injecting drug users, (e) definitions of 'registration' lacking consistency, ranging from treatment to arrest counts, (f) samples of limited geographical coverage (making national estimates difficult). See: Mathers B M et al. "Global epidemiology of injecting drug use and HIV among people who inject drugs: a systematic review". *The Lancet* online, 24 September 2008.

HIV incidence and prevalence data in this 'most at risk' group is problematic because the denominator itself is unreliable. Crucial qualitative data on the extent of drug use, drugs used, settings for drug use, modes of use, the relationship between drug use and unsafe sexual behaviour is similarly limited. A further complication arises because, while it is the use of contaminated injecting equipment which can result in HIV and other blood-borne infections, there is evidence that HIV risk is higher when people first begin injecting[32], suggesting that

Total number of HIV infections in different populations
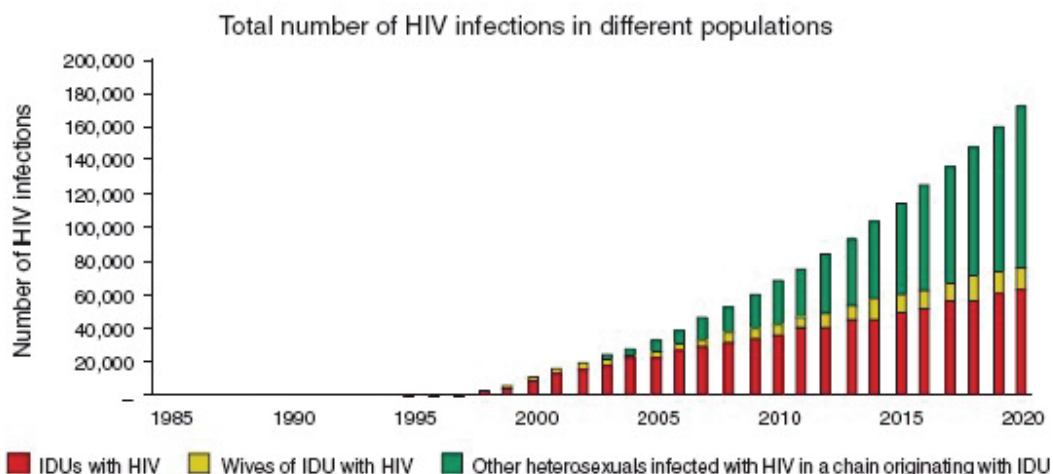
prevention messages are needed before risk behaviour commences.

- **Correctional Settings**

Correctional settings include a range of facilities which necessarily limit individual freedom. These include gaols, remand centres, police lock-ups, juvenile detention facilities and compulsory drug treatment centres. Levels of HIV infection tend to be higher in such settings as do rates for other infectious diseases such as tuberculosis and hepatitis. For example, 28% of the estimated 88,000 prisoners in Viet Nam and 20% of the 100,000 prisoners in Indonesia are HIV positive. The Government of Viet Nam reports that HIV prevalence ranges between 40-50% among residents in rehabilitation centres and that there are between 18,000-22,600 people living with HIV in such centres.[33]

Communicable diseases represent a threat to the health of both inmates and staff. The principle that prisons and prisoners remain part of the broader community means that the health threats of HIV within prisons, as well as outside, are both inextricably linked.[34] This necessitates a coordinated response across community and prison settings which must include drug dependence treatment centres and services. In East Asia and the Pacific, it appears that the predominant approach to the provision of drug dependence treatment is through compulsory centres. There is

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[32] Ways of Using: Functional Injecting Drug Users. Macquarie University Centre for Applied Social Research, 1991.

[33] Socialist Republic of Viet Nam. UNGASS 2008 Country Progress Report.

[34] HIV/AIDS Prevention, Care, Treatment and Support in Prison Settings. A Framework for an Effective National Response. UNODC 2006.

little evidence available on such centres[35], but relapse rates are reportedly high[36], bringing into question their effectiveness.

- **Trafficking in persons**

Among victims of trafficking in persons, those trafficked for the purpose of sexual exploitation are, by the nature of their trafficking purpose, most vulnerable to HIV/AIDS. People who have been trafficked do not, generally, declare their status, and due to the clandestine nature of the crime many are not identified by law enforcement and immigration officials, or by NGOs and other civil society groups, during the trafficking experience.

6: SUSTAINABLE LIVELIHOODS – preventing resurgence of drug production and attaining livelihood security

Over the past decade opium production in Southeast Asia has declined significantly from 1,435 tons in 1998 to 424 tons in 2008. The total cultivation area has been reduced by over 80% from 158,230 hectares to 30,400 hectares during the same period.[37] These successes were themselves built upon earlier decades of successful alternative development approaches. Milestones in the past decade were the elimination of opium production in Viet Nam and Thailand in 2000 and 2003 respectively. In 2005, Lao PDR was declared opium-free. Myanmar also has demonstrated a continuous decline of opium production despite some recent increases of cultivation areas in the southern Shan State.

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[35] UNODC has undertaken a exploratory review into this issue, HIV/AIDS and Custodial Settings in South East Asia. UNODC 2006.

[36] WHO Regional Office for East Asia and the Pacific. Assessment of Compulsory Treatment of People Who Use Drugs in Cambodia, China, Malaysia and Viet Nam: An Application of Selected Human Rights Principles. Manila, Philippines, 2009.

[37] UNODC, Opium Poppy Cultivation in South East Asia, Vienna, 2009.

Notwithstanding these accomplishments, continued efforts are needed to sustain the decline and to prevent the resumption of cultivation particularly in Lao PDR and Myanmar. As a result of a loss of opium-generated income, families which used to grow opium are now facing very difficult living conditions – often with widespread food shortages for several months of the year. With high levels of poverty, the recent rapid increase in the price of raw opium and an absence of effective law enforcement, there is a high risk of a return to opium poppy cultivation in these communities. UNODC will therefore continue to support a programme of sustainable livelihoods in high-priority target areas, and at the request of partners to do so.

2.3 Partnerships

Making Aid effective

A key report by the World Bank in 1998, entitled *'Assessing Aid'*, concluded (among other things) that '*Aid agencies have a long history of trying to 'cocoon' their projects [...] they have neither improved services in the short run nor led to institutional changes in the long run*'. This report stimulated a fundamental review of aid effectiveness by the international community, and resulted in the **'Paris Declaration' on Aid Effectiveness** (2005) through which donors made specific commitments regarding the way in which they should design and deliver their assistance. The main elements of the Paris Declaration relate to the following:

- *Ownership*. Supporting ownership of development policies and programs by partner

Opium poppy cultivation in South East Asia (hectares), 1998 - 2008
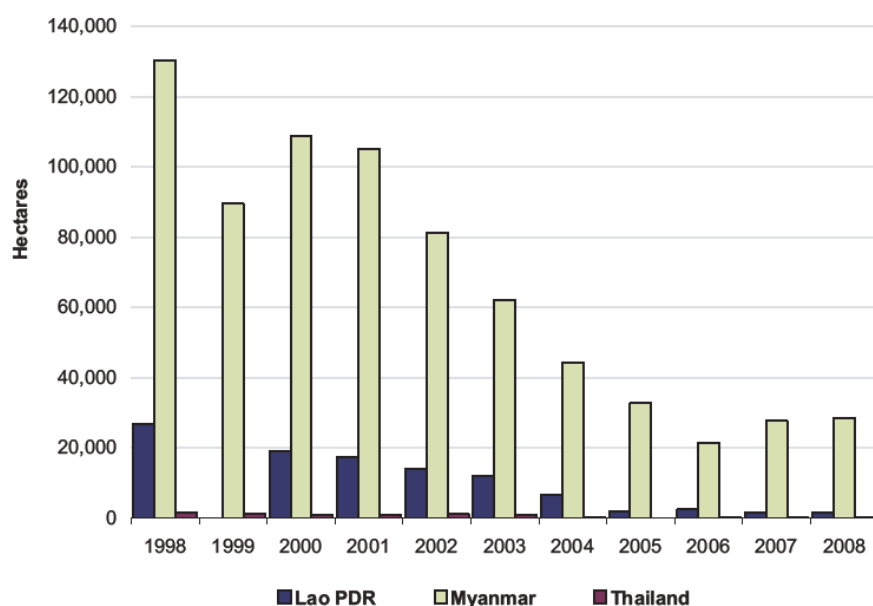
governments and other local stakeholders is critical. Without effective ownership, policies and programs become donor-driven. They become less relevant to local need. Ultimately, they become ineffective and unsustainable.

- *Alignment*. A key element of promoting ownership is aligning donor assistance with national policies and plans. In other words, not setting up a plethora of parallel programs and projects with different objectives and management structures. Alignment with, and working through, partner systems also aims to reduce the transaction costs associated with establishing and managing multiple (often overlapping) project initiatives.

- ***Donor/development agency coordination and harmonisation***. Donors and development agencies are often doing the same things in the same place and with the same partners. This can result in duplication and fragmentation of effort, confusion among partners and a waste of resources (including through the high transaction costs of partners dealing with different donor requirements, programming missions, review missions, etc). Improved donor coordination and a harmonisation of systems is therefore considered critical to improving aid effectiveness.

- ***Results focus and mutual accountability.*** Many development projects have been input- and activity-driven (e.g. training provided or buildings constructed) rather than results focused (e.g. decreased illicit trafficking or improved access to health care). At the same time, even when results are given appropriate focus, donors have often set up monitoring and accountability systems that focus on demonstrating 'their' achievements, rather than emphasising mutual accountability for results.

UNODC accepts and supports these aid effectiveness principles as well as the Accra Agenda for Action[38] which sets out to accelerate and deepen the implementation of the Paris Declaration. They are therefore reflected in the design of the RPF as well as in the way in which UNODC will go about identifying, designing, implementing and monitoring specific project initiatives.

Key partners

UNODC works with partners to achieve mutually agreed common objectives. These partners include:

Member States. UNODC's core business is to assist member states in their response to crime, drugs and terrorism in all their manifestations. By and large, this translates into helping to build their technical, human and institutional capacities to fully implement the international conventions, norms and instruments which have been created. Accordingly, our main partners in implementing this programme will be our national counterparts in the relevant ministries.

UN agencies. The positive developments generated by UN Reform are also providing UNODC with additional options for its field presence in the region. The "One UN" programme has allowed space for cross-cutting themes as well as building the normative agenda and increased consideration of the expertise of all UN Agencies, including non-resident Agencies. As a result, the UN system is more fully aligning its programming to support national priorities and development plans (including the Millennium Development Goals). This provides UNODC with an excellent opportunity for a closer interaction with the rest of the UN system, especially by helping to mainstream justice and security issues in the new development agenda.[39] The importance of delivering a coherent and coordinated response with respect to rule of law assistance was further highlighted in the recently-issued *Guidance Note of the Secretary-General on the UN Approach to Rule of Law Assistance (May 2008)*. On health matters, UNODC will work particularly closely with WHO and UNAIDS.

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[38] On 4 September 2008 ministers of developing and donor countries responsible for promoting development and the heads of multilateral and bilateral development institutions endorsed a statement in Accra, Ghana aimed at accelerating and deepening the implementation of the Paris Declaration in Aid Effectiveness.

[39] UNODC will promote a holistic "development" perspective in the United Nations Country Teams (UNCTs) through the United Nations Development Assistance Framework (UNDAF) process. In particular, UNODC field offices assume an active role in the UNDAF process on the issues of governance, criminal justice and corruption. Moreover, the UNODC Regional Centre in Bangkok, will actively participate in the recently established UN Regional Directors Teams located in Bangkok. UNODC involvement will add the cross-border and sub-regional dimension to the UNCTs, thus stressing the critical fight against illicit trafficking in human beings, drugs, arms and money.

NGOs / civil society. UNODC will partner with NGOs (at both the international and local level) and with civil society groups to advance the objectives set out in the regional strategy. The fight against drugs and crime requires not only a governmental, but also a community-based, response.

The private sector. The private sector is a key partner in addressing the problems of drugs and crime, including corruption. Business/industry codes of conduct can provide an important catalyst for private sector action, and the private sector can also be an important source of expertise as well as financial contributions. In terms of promoting visibility and public awareness, high-profile personalities and the media will also be key partners.

Bilateral and multilateral donors. The implementation of UNODC's work programmes and projects is significantly dependent on financial commitments from bilateral and multi-lateral donors. UNODC will therefore be responsive to donor interests and ensure that donor partners are kept fully informed of UNODC programme implementation and the outcomes being achieved.

2.4 UNODC's comparative advantage

Among the UN agencies UNODC has a long engagement with public security and social welfare ministries in the context of its drug control mandates. In the past decade it has broadened its work with justice and health ministries in the context of its additional mandates. UNODC possesses specialized expertise in the areas of crime prevention, criminal justice reform and drug control and is able to support the implementation of the various Conventions, standards and norms.

UNODC works with international financial institutions and organizations closely involved with infrastructure development. Since 1971, UNODC has had an established office in Bangkok serving the region.[40] In this region, it has developed specially-targeted tools in respect of the Border Liaison Office (BLO) concept, Computer-Based Training (CBT), and approaches to port and container security, and specialized forms of training for law enforcement, the prosecution service and the judiciary.

Being the only UN entity that is mandated to respond to all three challenges – crime, drugs and terrorism – in East Asia and the Pacific, UNODC brings to bear a competitive geographical advantage that allows it to address issues in a holistic fashion. Member States have shown a willingness to use UNODC's expertise to assist in the ratification and implementation of the provisions. Furthermore, UNODC's efforts, in conjunction with Member States, have led to an increase in the capacity and organization of regional law enforcement agencies and judicial systems to combat crimes involving drugs, transnational organized crime and corruption. However, the situation remains unsatisfactory in the face of the resolute operations of major transnational organized crime syndicates.

Under the "Division of Labour" established within the Joint UN Programme on HIV and AIDS (UNAIDS), UNODC has lead agency responsibility in the following areas: (1) drug users, (2) prison settings and (3) actual and potential victims of trafficking in persons.

2.5 The UNODC approach under the Regional Programme Framework

UNODC's approach under the RPF is as follows:

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[40] As indicated in footnote 1, UNODC also has country offices in Myanmar, Lao PDR and Viet Nam.

- *Programmatic and results-focused*. The RPF intends to achieve results over the long term. It is thus not driven by ad-hoc project initiatives. It is focused instead on contributing to substantive sustainable change in line with international and national commitments on rule of law and public health matters related to UNODC's mandate.

- *Focused on transnational and trans-boundary challenges*. This is where UNODC's main comparative advantage lies, particularly in facilitating the establishment of legislative and policy norms, the promotion of coordinated cross-border responses, and the exchange of comparative data and information.

- *Based on partnerships*. UNODC is primarily a service organisation for member states, and therefore cannot act alone. UNODC programme activities will therefore be based on partnership arrangements that clearly articulate mutual responsibilities and accountability for results.

- *Aligned with Paris Declaration principles on aid effectiveness*. The RPF is designed to promote partner ownership, be aligned with national policies and priorities, be effectively coordinated with other donors / development agencies, and support mutual accountability for results.

- *Responsive to needs*. The RPF is designed to provide a 'menu' of high-priority outcomes and outputs. Member States can seek UNODC support to help them achieve these high-priority outcomes and outputs. The RPF will be reviewed on an annual basis, and revised or modified as required as a result of lessons learned during implementation.

3 Programme description

3.1 Duration, phasing and coverage

The RPF initially covers a period of four years, from 2009 to 2012. However, it is anticipated that most of its outcomes and outputs will remain relevant over a much longer timeframe. Ongoing relevance will be reviewed annually, and the RPF will be revised as required. The implementation of the RPF will be phased.

With respect to geographic coverage, particular focus will be given to the MOU and ACCORD countries, as well as other countries in the region with significant emerging human security challenges (e.g., Timor-Leste and Papua New Guinea). The extent of geographic coverage will be based on demand from Member States, balanced with the capacity of UNODC to respond (including the budgetary resources available). In the Pacific in particular, any UNODC programming will be properly sequenced and take into account current needs and capacity to absorb further programmes.

3.2 Regional Programme Framework structure and objectives

The RPF consists of two main thematic areas: namely 'Rule of Law' and 'Health and Development'.

Under these two thematic areas there are six main sub-programmes (or 'pillars'), which, respectively, have the following aims:

1. Reducing illicit trafficking of people, drugs (and their precursors) and natural resources/hazardous substances

2. Reducing weaknesses in governance, including corruption

3. Reducing serious transnational organized crimes, including terrorism, and protecting vulnerable groups

4. Reducing the incidence of drug abuse

5. Reducing HIV/AIDS transmission among injecting drug users, prisoners and victims of trafficking in persons; and

6. Reducing illicit opium production

The two thematic areas and six sub-programmes are profiled below.

Regional Programme Framework structure

Programme structure based on UNODC mandates
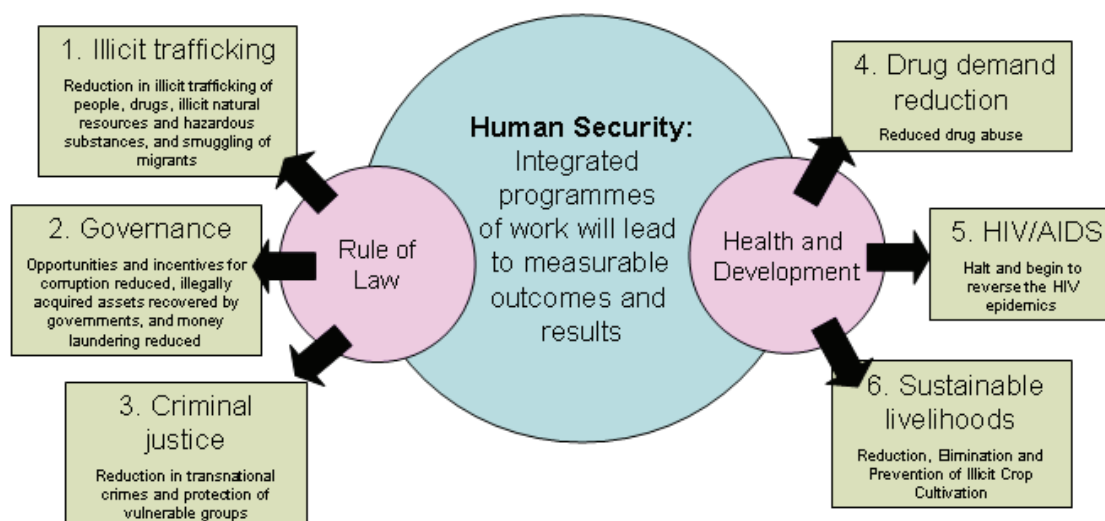
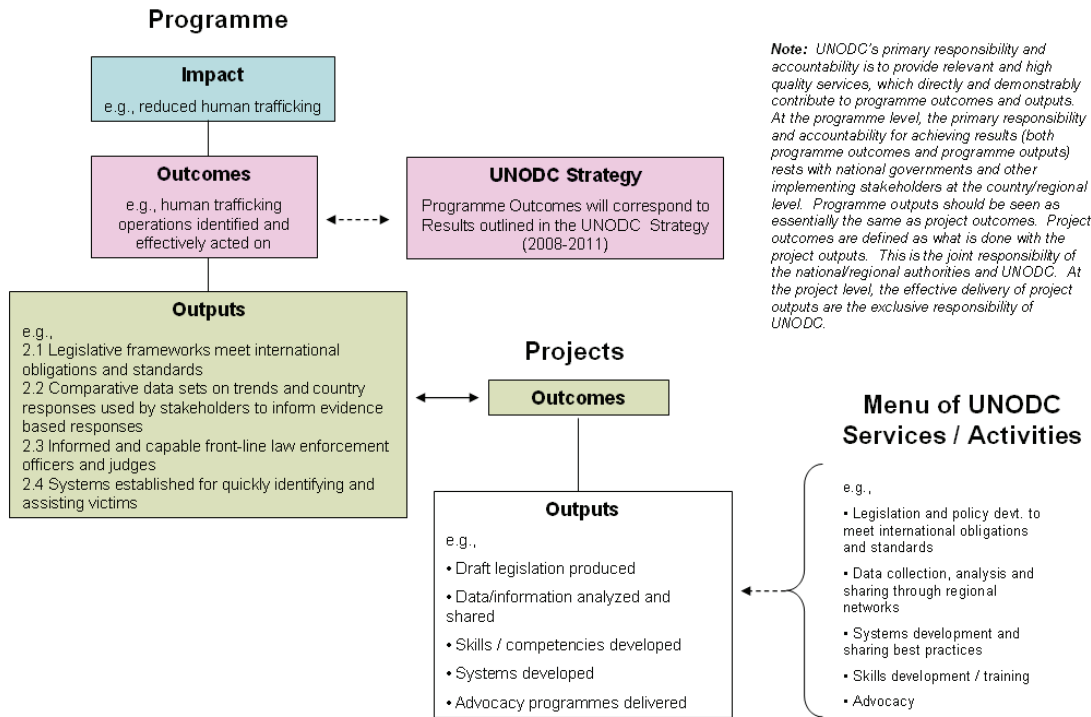### 3.3 Thematic area and sub-programme pillar description

Each of the sub-programme pillars is presented as an objective hierarchy of impact, outcomes and outputs, together with some explanatory text.

The link between programme objectives and the implementation of individual sub-programmes and projects are described below.. The key points to note are that:

- <u>Project (and sub-programme) outcomes</u> are directly linked to <u>programme outputs</u>, indeed they are one and the same thing. This will help ensure each project directly and explicitly contributes to programme outcomes.

- At the programme level, responsibility for delivering outputs and achieving outcomes rests primarily with member states.

- UNODC's primary responsibility and accountability is to provide relevant and high-quality services which directly and demonstrably contribute to programme outputs and, at a higher level, to programme outcomes. This is achieved through implementing both programmatic and specific project initiatives.

- Each programme outcome corresponds directly to one of the 14 Result Areas contained in the UNODC Strategy (2008-2011). The link between each of the UNODC Result Areas and the RPF's programme pillar outcomes is shown in Annex 2.
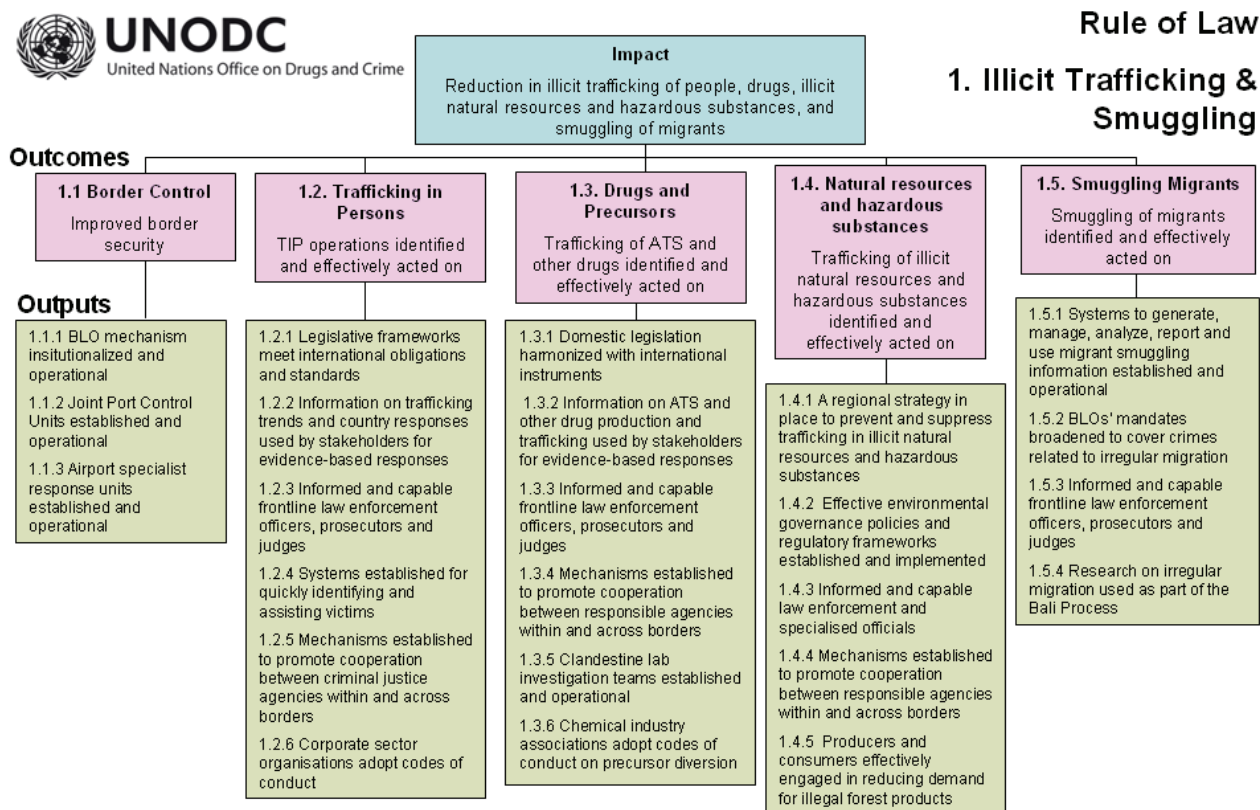
UNODC
United Nations Office on Drugs and Crime

Link between programme objectives, projects and UNODC services

Programme

Impact
e.g., reduced human trafficking

Outcomes
e.g., human trafficking operations identified and effectively acted on

UNODC Strategy
Programme Outcomes will correspond to Results outlined in the UNODC Strategy (2008-2011)

Outputs
e.g.,
2.1 Legislative frameworks meet international obligations and standards
2.2 Comparative data sets on trends and country responses used by stakeholders to inform evidence based responses
2.3 Informed and capable front-line law enforcement officers and judges
2.4 Systems established for quickly identifying and assisting victims

Projects

Outcomes

Outputs
e.g.,
• Draft legislation produced
• Data/information analyzed and shared
• Skills / competencies developed
• Systems developed
• Advocacy programmes delivered

Menu of UNODC Services / Activities

e.g.,
• Legislation and policy devt. to meet international obligations and standards
• Data collection, analysis and sharing through regional networks
• Systems development and sharing best practices
• Skills development / training
• Advocacy

Note: *UNODC's primary responsibility and accountability is to provide relevant and high quality services, which directly and demonstrably contribute to programme outcomes and outputs. At the programme level, the primary responsibility and accountability for achieving results (both programme outcomes and programme outputs) rests with national governments and other implementing stakeholders at the country/regional level. Programme outputs should be seen as essentially the same as project outcomes. Project outcomes are defined as what is done with the project outputs. This is the joint responsibility of the national/regional authorities and UNODC. At the project level, the effective delivery of project outputs are the exclusive responsibility of UNODC.*

Thematic area 1. Rule of Law

The Rule of Law thematic area is divided into three sub-programmes, namely: (1) Illicit Trafficking and Smuggling, (2) Governance and (3) Criminal Justice.


Sub-programme 1: Illicit Trafficking and Smuggling

UNODC will work with Governments to strengthen their legal and technical capacities to prevent and stop the trafficking of people, drugs, natural resources and smuggling of migrants. The value which UNODC adds will be to assist governments to bring the collective resources of state authorities together in order to be more effective both at combating illicit trafficking and organized crime. At a national level the sub-programme will seek to assist governments in developing an integrated approach to fight illicit trafficking and organized crime, and overcome the current fragmentation and at times uncoordinated agency responses to this challenge.

Sub-programme 2: Governance

UNODC's main role will be to support partner countries to adopt and implement the UNCAC. It will also work with them to use the UNCAC as an analytical tool to assess partner countries' requirements as they move toward full compliance. It will seek to do this through providing technical support to translate the provisions of the UNCAC to build sustainable institutions and procedures. The RPF will focus its support on four main areas of work:
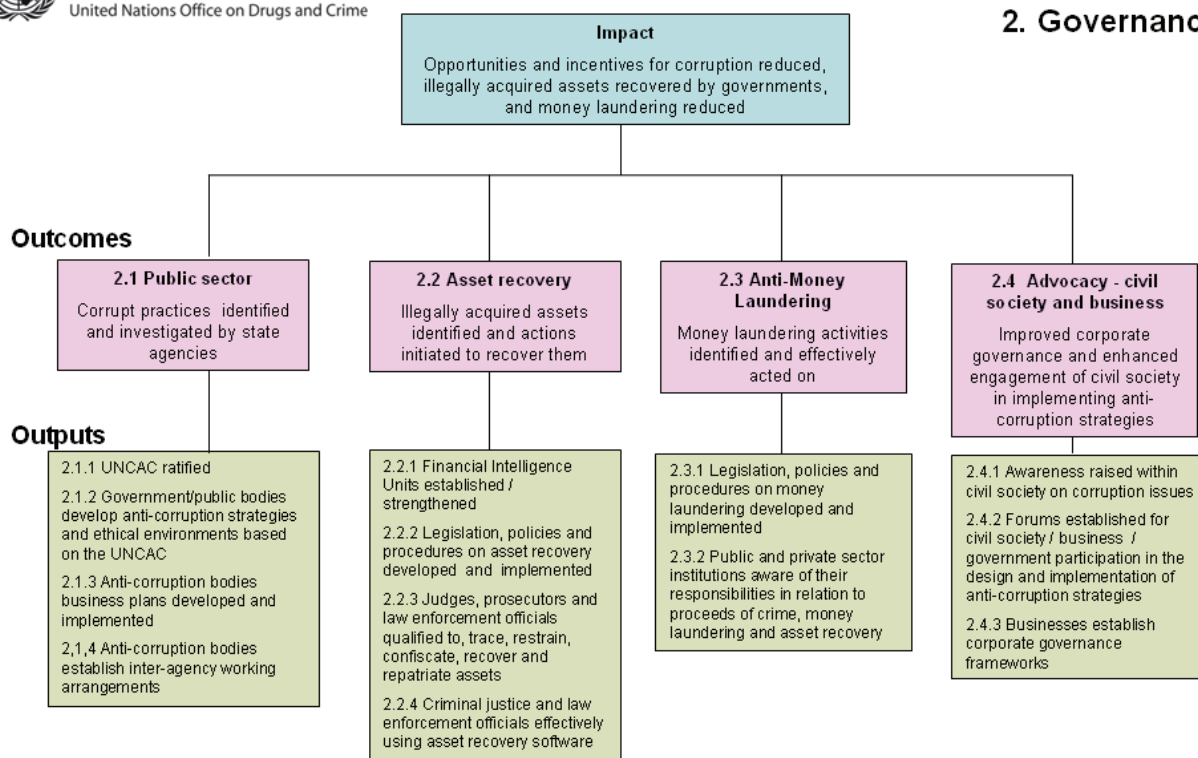
1. Public sector

UNODC will support:

- the development of national anti-corruption strategies as part of the UNCAC review process. Based on these strategies, UNODC will then seek to support the development of ethical environments in public sector institutions, for example by promoting the development and institutionalisation of: (i) codes of conduct; (ii) ethics training programs; (iii) requirements for 'interests and assets' declaration; and (iv) procedures/requirements for internal and external audit and inspection;

- the improvement of systems and processes for case management, business and financial information management and for performance measurement within anti-corruption bodies; and

- identifying areas where corruption facilitates unlawful activities, and where targeted support to anti-corruption agencies will help to reduce the opportunity and incentives for such activities.

2. Asset recovery

A fundamental principle of the UNCAC are the provisions on asset recovery which require Member States to return assets obtained through corruption to the country from which they were stolen. UNODC will seek to support member states to:

- develop a thorough knowledge of the different legal systems of different countries, as well as a capacity to use complex mechanisms such as intelligence sharing, mixed investigative teams, mutual legal assistance and extradition.

- reform legislation in order to allow early restraint of assets and promote value-based confiscation, improve banking regulations to access financial information, effectively identify suspicious reports, establish and use inter-agency information sharing protocols, and provide training to judges and prosecutors so they understand confiscation as a core sanction within the criminal justice process.

- establish or strengthen, and effectively manage, Financial Intelligence Units (FIUs).

3. Anti-money laundering (AML)

While many jurisdictions are working to adopt AML laws, the level of effective implementation remains very low. Countries require expertise to develop their respective AML systems and UNODC is well placed to deliver such assistance. There are a number of key areas that will benefit from a regional approach to capacity building of AML systems, namely.

- training and development of investigators in financial investigation techniques and transnational inquiries, and the training and development of prosecutors, judges and customs officials in relation to the investigation and prosecution of money laundering, and the restraint and confiscation of criminal assets from domestic and transnational agencies; and

- the development of mechanisms for more effective international cooperation in money laundering investigation and prosecution of cases.

4. Advocacy – civil society and business

Experience shows that where corruption is endemic, where political will is weakened by vested interests, where the ability to enforce the law is weak, and where the private sector or civil society is not well structured to promote transparency and accountability, high-level advocacy is necessary. This will thus be – along with other stakeholders and UN agencies – a key objective of the RPF.
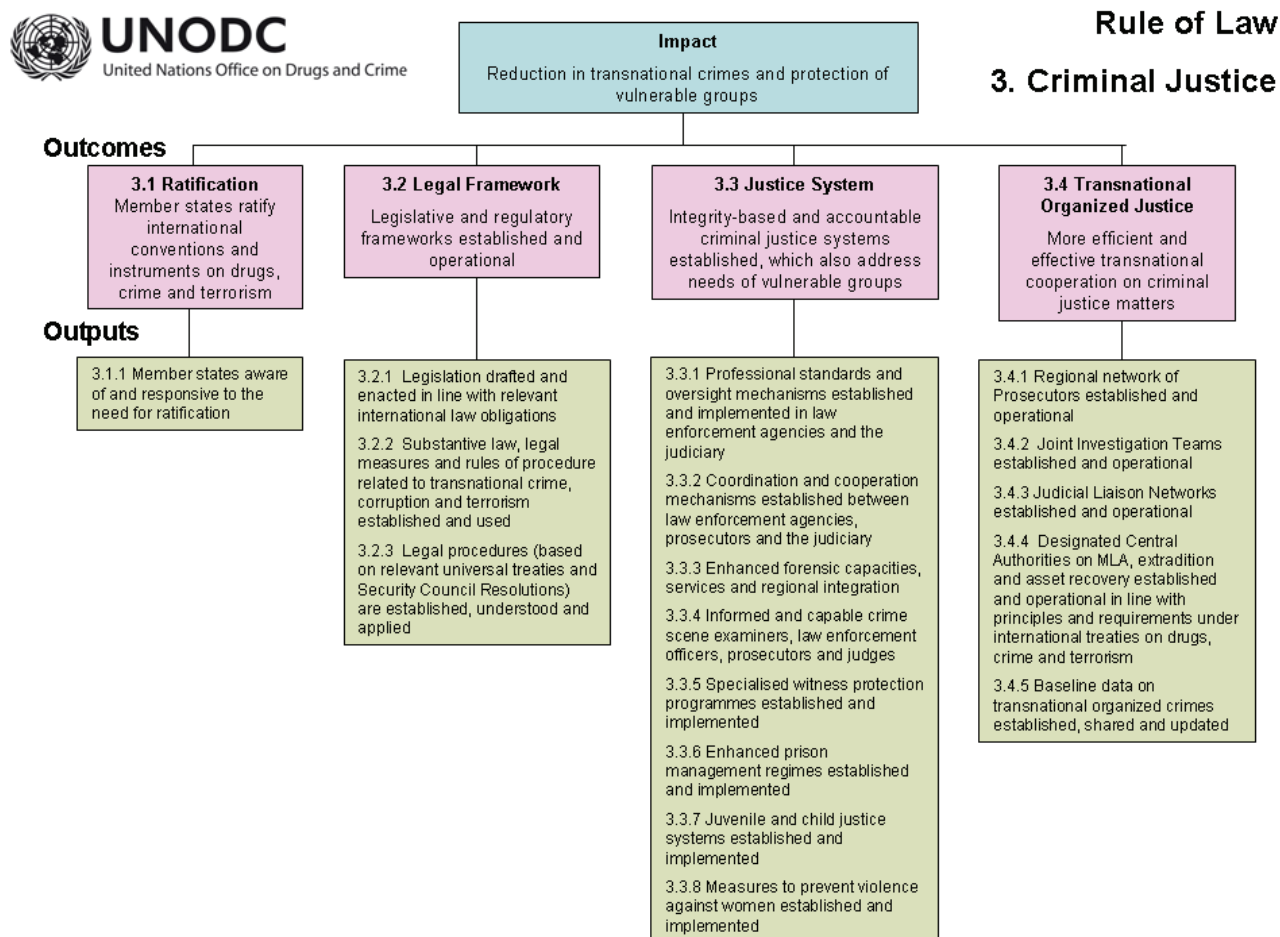
The work will include supporting: (i) the activities of civil society organisations, (ii) promoting educational programmes on corruption prevention starting at the primary and secondary school levels, (iii) seeking to implement those parts of the UNCAC which seek to improve the commitment of business to corporate integrity through the voluntary creation and implementation of codes of conduct, and (iv) supporting civil society and business to develop their links with those agencies whose responsibilities include addressing corruption.

UNODC will thus seek to support and facilitate arrangements and procedures not only to encourage anti-corruption initiatives in civil society and in business but also working relations and networks with anti-corruption bodies and other agencies.

Sub-programme 3: Criminal Justice

To strengthen justice systems, the RPF focus will focus on the following areas: (1) ratification by member states of international conventions and instruments; (2) implementation of domestic legislation and supporting procedures; (3) improved capacity of criminal justice systems to combat serious crimes as well as protect vulnerable groups; and (4) improved transnational cooperation on criminal justice matters.

Support for the progressive development of a transnational organized justice system (AsiaJust) will be given particular priority.

UNODC — United Nations Office on Drugs and Crime

Rule of Law

3. Criminal Justice

Impact
Reduction in transnational crimes and protection of vulnerable groups

Outcomes

3.1 Ratification
Member states ratify international conventions and instruments on drugs, crime and terrorism

3.2 Legal Framework
Legislative and regulatory frameworks established and operational

3.3 Justice System
Integrity-based and accountable criminal justice systems established, which also address needs of vulnerable groups

3.4 Transnational Organized Justice
More efficient and effective transnational cooperation on criminal justice matters

Outputs

3.1.1 Member states aware of and responsive to the need for ratification

3.2.1 Legislation drafted and enacted in line with relevant international law obligations

3.2.2 Substantive law, legal measures and rules of procedure related to transnational crime, corruption and terrorism established and used

3.2.3 Legal procedures (based on relevant universal treaties and Security Council Resolutions) are established, understood and applied

3.3.1 Professional standards and oversight mechanisms established and implemented in law enforcement agencies and the judiciary

3.3.2 Coordination and cooperation mechanisms established between law enforcement agencies, prosecutors and the judiciary

3.3.3 Enhanced forensic capacities, services and regional integration

3.3.4 Informed and capable crime scene examiners, law enforcement officers, prosecutors and judges

3.3.5 Specialised witness protection programmes established and implemented

3.3.6 Enhanced prison management regimes established and implemented

3.3.7 Juvenile and child justice systems established and implemented

3.3.8 Measures to prevent violence against women established and implemented

3.4.1 Regional network of Prosecutors established and operational

3.4.2 Joint Investigation Teams established and operational

3.4.3 Judicial Liaison Networks established and operational

3.4.4 Designated Central Authorities on MLA, extradition and asset recovery established and operational in line with principles and requirements under international treaties on drugs, crime and terrorism

3.4.5 Baseline data on transnational organized crimes established, shared and updated

For the period 2009-2012, focus will be given to the following areas of work:

Outcome 3.1: Ratification of UN Conventions. Of the ODA-eligible[41] countries within ASEAN, the UNCAC has not yet been ratified by Myanmar and Thailand, while UNTOC has not been ratified by Thailand and Viet Nam. The Trafficking and Migrants protocols to these conventions have only been ratified by Cambodia, Indonesia and Lao PDR. Focus will therefore be most likely given first to Myanmar, Thailand and Viet Nam.

Outcome 3.2: Legal Frameworks: Support for the establishment of national legislation and tools will initially focus on 3 or 4 interested countries that have already ratified the UNCAC and/or UNTOC conventions, but which have not yet established adequately supportive national legislation and tools. These might include Cambodia, Indonesia, Lao PDR and the Philippines, subject to confirmation with these countries of their interest and the exact scope of support required.

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[41] Eligibility for 'Official Development Assistance' (e.g., grant money from donor agencies) depends on the country's level of development. Presently Malaysia, Singapore and Brunei are not ODA eligible.

Outcome 3.3: Justice systems: Support for development of judicial integrity and enhanced cooperation between the judiciary and law enforcement agencies will initially focus on 5 or 6 interested countries. These might include Indonesia, Philippines, Cambodia, Viet Nam, Lao PDR and Timor-Leste, subject to confirmation with these countries of their interest and the exact scope of support required. The scope of support will build on the successes and lessons learned through implementation of the 'Strengthening Judicial Integrity and Capacity in Indonesia' project, Phases I and II. Country specific programmes will also address issues associated with specific vulnerable groups, such as the victims of domestic violence (e.g. in Viet Nam), children in conflict with the law, and the humane treatment of prisoners.

Outcome 3.4: Transnational organized justice: The focus will be on supporting the development of a transnational organized justice system. The main objective is to improve judicial cooperation between like-minded Member States within the region, particularly in combating all forms of serious organized crime against the States and persons.

Support will be delivered both bilaterally and, as in the past, in collaboration with regional policy organizations such as the ASEAN Secretariat and the Pacific Islands Forum Secretariat or technical organizations of recognized prestige and international expertise.

Thematic area 2. Health and Development

The Health and Development thematic area is divided into three sub-programme pillars, namely: (4) Drug demand reduction, (5) HIV/AIDS and (6) Sustainable development. These are described below.

Sub-programme 4: Drug demand reduction
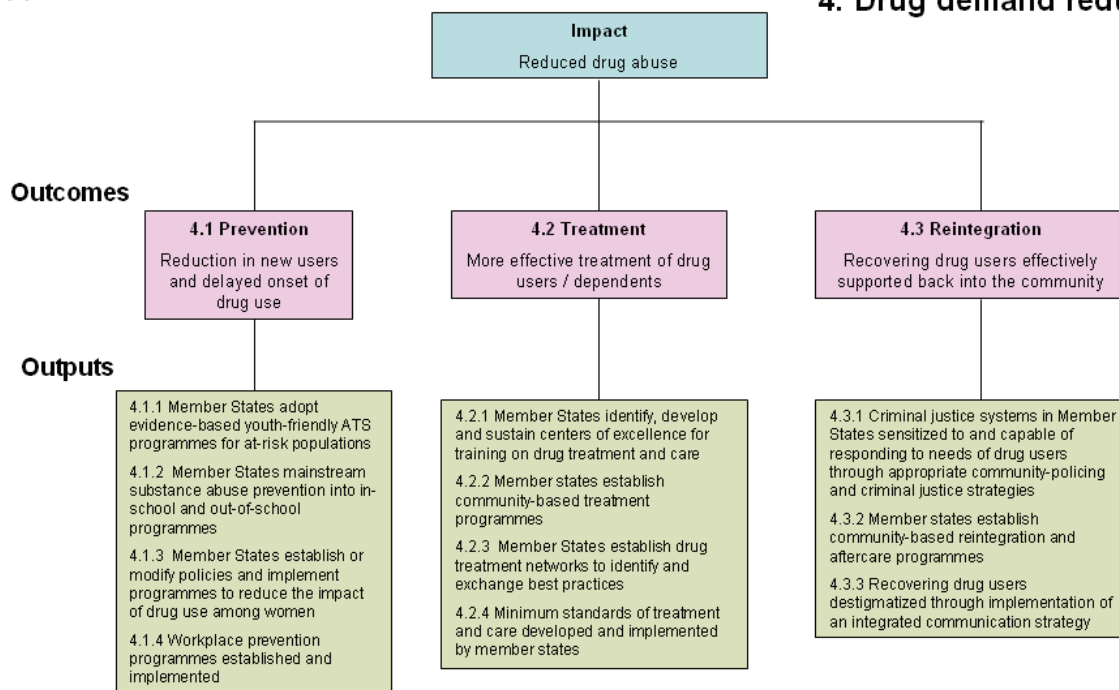
Drug dependence is preventable and treatable, but needs a comprehensive, multidisciplinary approach including both medico-pharmacological and psychosocial interventions. Different subtypes of addicted individuals and different socio-behavioural features of drug dependence require differentiated treatment strategies. A better understanding of what makes individuals vulnerable to addiction is needed. A special effort is needed to reach out to youth who are not responding to prevention programmes. Efforts are required to bring drug-dependent individuals who are not motivated to attend treatment facilities into treatment. Drug abuse is known as a chronic relapsing disorder and must thus also focus on non-responders to treatment who continue to abuse illicit drugs as well as those patients who easily relapse into substance abuse.

Compulsory drug treatment centres are the dominant approach to dealing with people with drug problems in the region. Some of the practices recorded in such centres challenge drug dependence treatment principles endorsed by UNODC and WHO. Providing evidence-based treatment and care for drug-dependent users is a priority of the RPF.

The RPF will provide a framework that will address not only ATS and opiates, but also attempt to respond to emerging drugs of dependence, presently being produced in and trafficked into the region.[42]

1. **Prevention:** Support government and civil society to plan, implement, monitor and evaluate a range of evidence-based interventions for the prevention of drug abuse for at-risk youth in school settings, among women and in the workplace.
2. **Treatment:** Identify, develop and sustain centers of excellence for training on drug treatment and care, establish community-based treatment programmes, establish drug dependence treatment networks to identify and exchange best practices and, finally, develop and implement minimum standards of treatment and care
3. **Reintegration:** Sensitize the criminal justice systems in Member States to the needs of drug users through appropriate community-policing and criminal justice strategies and improve the criminal justice response in this manner.[43] Establish community-based reintegration and aftercare programmes. Help to de-stigmatize recovering drug users through implementation of an integrated communication strategy.

As part of its communications strategy, the Regional Centre will also support provision of the following services:

1. Collect and manage data on prevalence, emerging trends and programme effectiveness.
2. Serve as a regional forum for information exchange.[44]
3. Develop broad-based partnerships for demand reduction and drug control[45]

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[42] The results of recent surveys in Thailand and Lao PDR have drawn attention to the widespread abuse of volatile substances such as glue, primarily by children and teenage youth. Inhalant abuse could well become a problem also in other countries in the region. Inhalant abuse is a major gateway to the abuse of other drugs, mainly amphetamine-type stimulants and heroin.

[43] This will include the following: (a) a strong capacity-building programme for police officers in order to provide advocacy, knowledge on drugs as well a humane response to the needs of drug users and their families; (b) support for judicial officials on the use of non-custodial measures as well as the appropriate treatment of victims and witnesses; (c) provision of training centers and support for the effective prison management of substance users; (d) provision of legal advice for drug users.

[44] This information includes data on emerging regional trends; research on effective practices; updates on efforts underway at the country and regional levels; opportunities for professional development; and the dissemination of new publications and other resources to support national and local initiatives.

[45] UNODC ' *Demand Reduction Strategy 2006-2010*' United Nations Office on Drugs and Crime, Regional Centre for East Asia and the Pacific, May 2007, Bangkok, Thailand.

Sub-programme 5: HIV/AIDS

With respect to HIV/AIDS, the approach gives emphasis to working in partnership with key stakeholders to support:
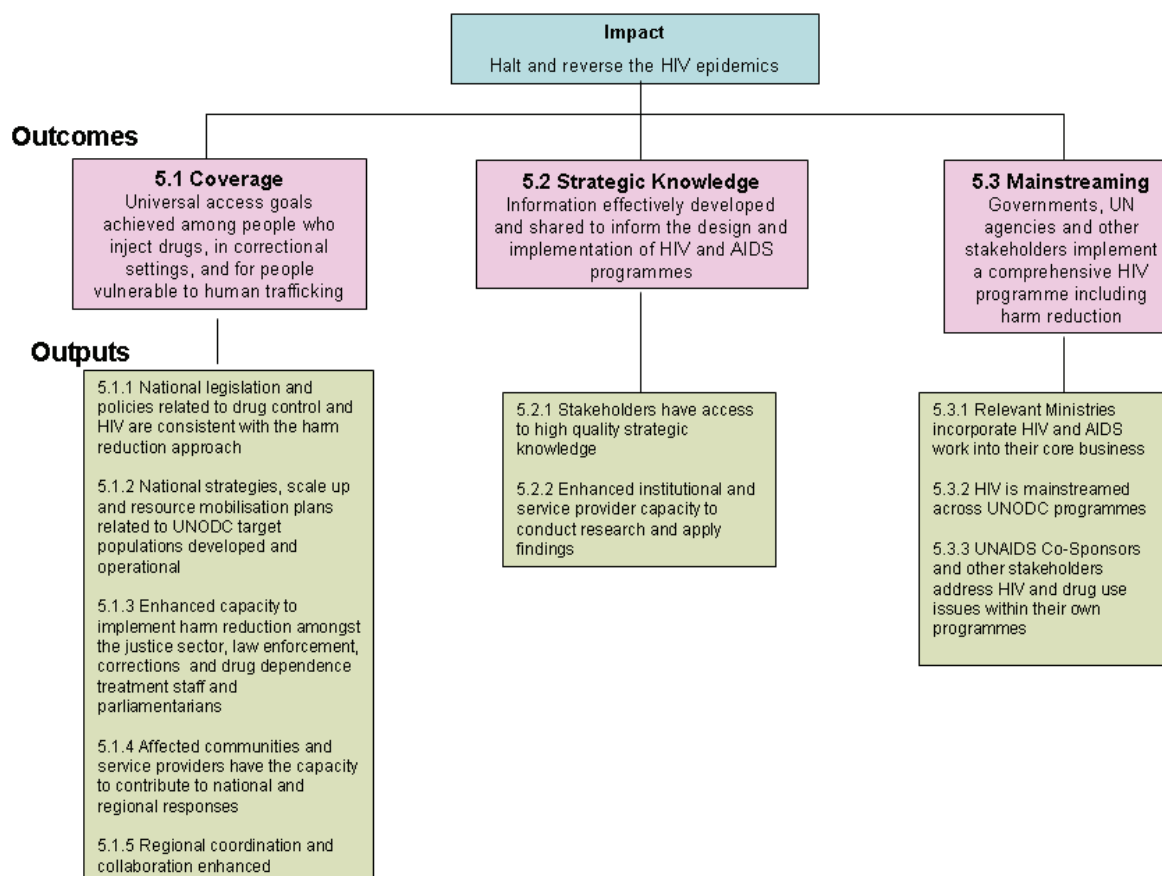
1. Identification of local champions and the development of local level partnerships in areas of criminal justice, HIV/AIDS prevention, treatment and care.

2. Advocacy in a number of areas, including: (a) the establishment of high-level committees on correctional settings and HIV/AIDS; (b) the right to health; (c) prison reform (where applicable); (d) drug control legislative/policy review (including alternatives to imprisonment); (e) assessment of criminal justice systems particularly where compulsory drug treatment systems are in place; and (f) HIV/AIDS prevention, treatment and care.

3. Research: (a) in all correctional settings; (b) into the epidemiological situation; and, (c) into the effectiveness and efficiency of different approaches.

4. Development of partnerships for HIV/AIDS in correctional settings and in criminal justice work, particularly with Prison/Corrections Departments, Ministries of Health and WHO.

More specifically, UNODC will support member states as well as civil society stakeholders to deliver the outputs and outcomes profiled below.

UNODC
United Nations Office on Drugs and Crime

Health and Development

5. HIV/AIDS

Impact
Halt and reverse the HIV epidemics

Outcomes

5.1 Coverage
Universal access goals achieved among people who inject drugs, in correctional settings, and for people vulnerable to human trafficking

5.2 Strategic Knowledge
Information effectively developed and shared to inform the design and implementation of HIV and AIDS programmes

5.3 Mainstreaming
Governments, UN agencies and other stakeholders implement a comprehensive HIV programme including harm reduction

Outputs

5.1.1 National legislation and policies related to drug control and HIV are consistent with the harm reduction approach

5.1.2 National strategies, scale up and resource mobilisation plans related to UNODC target populations developed and operational

5.1.3 Enhanced capacity to implement harm reduction amongst the justice sector, law enforcement, corrections and drug dependence treatment staff and parliamentarians

5.1.4 Affected communities and service providers have the capacity to contribute to national and regional responses

5.1.5 Regional coordination and collaboration enhanced

5.2.1 Stakeholders have access to high quality strategic knowledge

5.2.2 Enhanced institutional and service provider capacity to conduct research and apply findings

5.3.1 Relevant Ministries incorporate HIV and AIDS work into their core business

5.3.2 HIV is mainstreamed across UNODC programmes

5.3.3 UNAIDS Co-Sponsors and other stakeholders address HIV and drug use issues within their own programmes

Sub-programme 6: Sustainable livelihoods
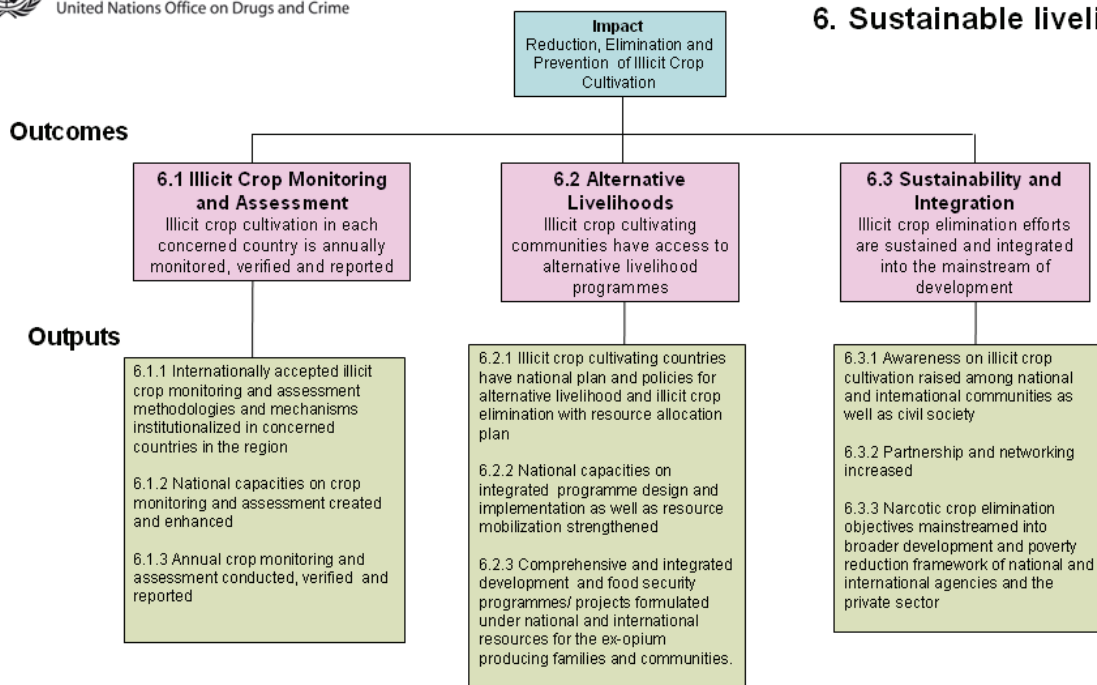
The overall aim of this sub-programme pillar is to support Member States – particularly Lao PDR and Myanmar – to sustain the reduction/elimination of opium poppy cultivation and prevent its expansion to high-risk areas. In order to achieve this goal, UNODC will work with the international community and development partners to provide assistance to promote food security and alternative livelihood opportunities for former opium-producing communities. In order to ensure sustainable livelihood options, attempts will be made to integrate alternative development and illicit crop elimination into the broader development and poverty reduction frameworks of relevant national and international development agencies, international financial institutions, non-government organizations and the private sector. More specifically, the programme will include the following main interventions:

1. **Illicit Crop Monitoring and Assessment:** develop and institutionalize internationally accepted monitoring and assessment methodologies and build capacities of national agencies to carry out the annual assessment and reporting.

2. **Sustainable livelihood programmes:** support governments to develop national policy, action plan and programmes to address illicit crop elimination; strengthen capacity on programme design and planning; work in partnership with the governments and international community to develop comprehensive and integrated development programmes/projects; and mobilize resources to support the former opium producing families, communities and regions.

3. **Sustainability and Integration:** advocate for the importance of sustaining illicit crop reduction; expand partnership and networking; mainstream alternative development and illicit crop elimination objectives in relevant national and international development agencies, international financial institutions, non-governmental organizations and the private sector.

4 Implementation arrangements

4.1 Oversight and coordination

Oversight and coordination of the overall programme will be the responsibility of the **Representative** of the UNODC Regional Centre, supported by the **management team**.

Once the overall programme builds sufficient momentum, each of the six sub-programmes will be overseen by **Programme Managers**. Reporting directly to the Representative, their job will be to ensure that the programme does not fall back into discreet projects which operate independently. Key to this will be their role in ensuring economies-of-scale by combining or otherwise dovetailing project activities into the broader programme outputs described in Section 3 (above), and to ensure regular monitoring and reporting on the programme's progress and performance. While they will also manage and monitor budgetary and administrative aspects of the programme, their core mandate will be ensure that the overall programme of work is making substantive contributions to the achievement of results. Programme Managers must be technically equipped to undertake effective M&E.

Until the programme develops sufficient momentum, the overall programme coordination role will be undertaken by the Representative supported by the **management team**.

In the interim, and until all projects become subsumed into their respective sub-programmes from a management perspective, each of the projects which comprise the programme will be supervised by a **Project Coordinator**. A number of the initiatives listed under the thematic areas of Rule of Law and Health and Development will be technically backstopped by the **Senior Advisers (Legal, Law Enforcement, Counter Terrorism, HIV and Demand Reduction)** whose contacts with senior-level national counterparts will be the key to laying foundations for a systematic approach for – and expanding upon – the RPF. In particular these Senior Advisers will guide Project Coordinators on emerging threats and new opportunities for action and programme growth.

One key aspect of the regional programme approach will be to draw upon the existence of UNODC experts based in the countries throughout the region who cover the various disciplines which support the 6 sub-programme pillars. Currently (August 2009) there are 34 such experts based in the region:

- 6 (law enforcement/ illicit trafficking)
- 8 (governance/ counter corruption AML)
- 5 (legal/ counter terrorism)
- 4 (drug demand reduction)
- 8 (HIV/AIDS)[46] and
- 3 (sustainable livelihoods / alternative development).

The Regional Centre will also coordinate and support the work of UNODC Country and Project Offices in the region. The Country and Project Offices are a key asset in terms of building trust/sound working relationships with country stakeholders, as well as actively managing and

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[46] Regarding the response to HIV, the Regional HIV Team will consist, *inter alia*, of a Regional Adviser, and a Coordinator for the UN Regional Task Force. UNODC also retains Country Advisers or HIV specialists in China, Viet Nam, Indonesia and Myanmar. The Regional Team and country-based staff will work collaboratively to achieve the objectives of the UNODC Global HIV/AIDS programme. Those objectives are reflected in this RPF.

monitoring the implementation of activities on the ground. Specific country programmes have been developed for such countries as Lao PDR, Myanmar and Viet Nam. These will also be progressively 'meshed' into the RPF's structure of priority objectives.

UNODC HQ will facilitate implementation of the programme by providing financial and administrative support and, to the greatest extent possible, also contribute direct technical advice to the programme through means in addition to Global Programme personnel posted in the region.

4.2   Project management cycle

Within the overall scope of the RPF, UNODC will provide the bulk of its services through a combination of sub-programme and project-based designs, management arrangements and funding agreements, at least in the short to medium term. It is therefore critical that the process of project identification and design, appraisal and approval, implementation, and monitoring and evaluation be efficiently and effectively managed.

To ensure that this happens, the UNODC Regional Centre will establish an enhanced project cycle management and quality assurance system with close support and guidance from the Strategic Planning and Monitoring Support Units at UNODC HQ.

The main elements of the project cycle are profiled below:
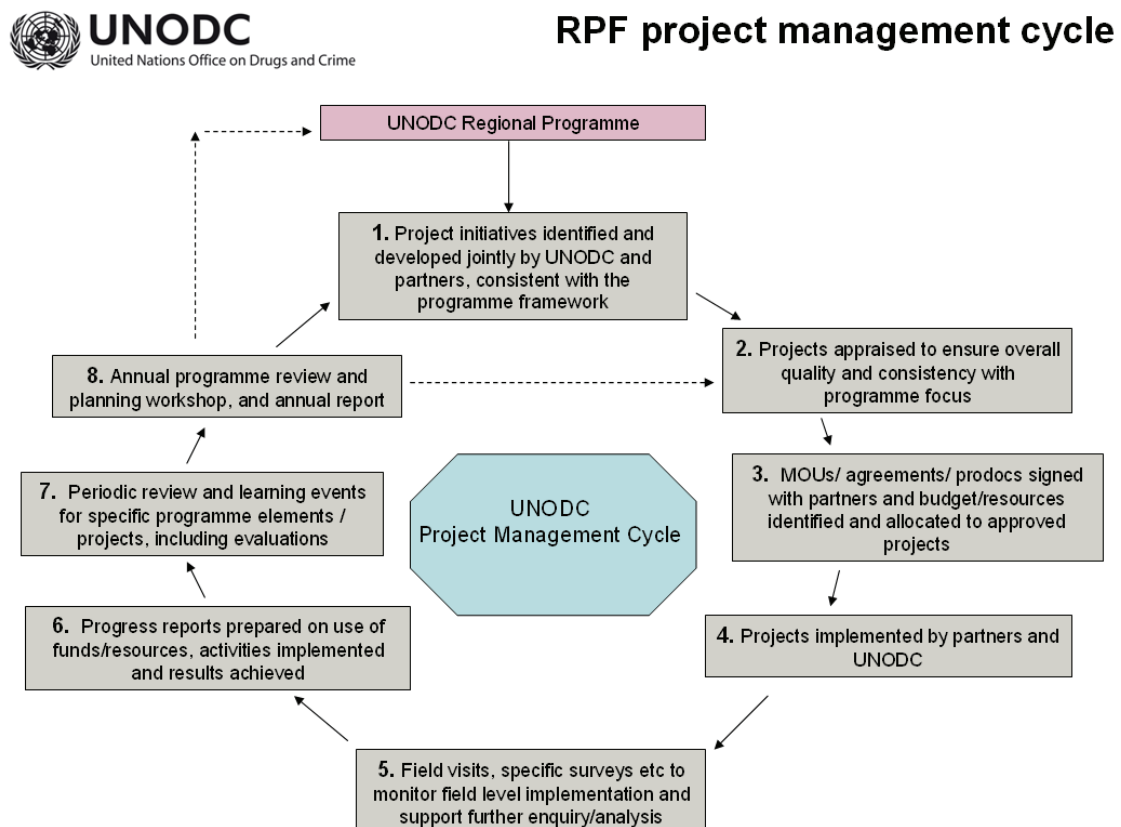
Key elements of the project cycle thus include:

- Using the RPF to guide the identification and selection of project initiatives, as well as to 'reject' initiatives that are not within the scope of the programme.

- Designing projects based on the established 'menu' of programme outputs and outcomes, and thus not re-inventing or reformulating project objectives every time new ideas are developed.

- Undertaking 'quality at entry' appraisals of every new project proposal, based on a set of established quality criteria consistent with the programme strategy.

- Concluding MOUs/agreements with partners prior to implementation which specify responsibilities for financing, implementation and monitoring.

- Conducting ongoing monitoring of project implementation.

- Preparing regular reports on progress and results achieved.

- Conducting regular reviews with project stakeholders to reflect and learn.

- Planning for, budgeting for and managing evaluation exercises for each respective project and/or groups of projects; and

- Feeding back lessons learned into future project as well as programme plans.

Primary responsibility for overseeing and quality assuring this process rests with the Representative of the Regional Centre, supported by the Management Team.

4.3   Financial framework

As of the time of writing (August 2009), the budgeted total for this programme framework for the four-year period 2009-2012 is calculated at **$120.9m**. The complete financial analysis upon which these summary figures are based is available separately.

The breakdown is as follows by field office:

	2009	2010	2011	2012	TOT BUDGET
CAMBODIA	705	1,894	1,800	1,800	**6,199**
CHINA	1,405	1,921	346	0	**3,671**
INDONESIA	1,121	9,614	7,766	4,142	**22,643**
LAO PDR	2,471	6,486	5,463	5,551	**19,972**
MYANMAR	3,572	5,932	4,741	1,107	**15,352**
RCEAP	3,926	14,908	11,817	10,325	**40,976**
VIET NAM	3,496	5,164	3,412	0	**12,072**
GRAND TOTAL	16,695	45,919	35,345	22,925	**120,884**

The breakdown is as follows for thematic area:

	2009	2010	2011	2012	TOT BUDGET
Sub-total 1 - Illicit trafficking	3,195	11,673	8,472	7,418	**30,758**
Sub-total 2 - Governance	1,587	5,047	3,553	400	**10,587**
Sub-total 3 - Criminal Justice	1,486	8,569	8,186	6,000	**24,241**
Sub-total 4 - Drug demand reduction	2,430	5,996	4,635	4,350	**17,411**
Sub-total 5 - HIV and AIDS	4,309	8,540	5,350	2,157	**20,356**
Sub-total 6 - Sustainable livelihood	3,687	6,095	5,149	2,600	**17,531**
GRAND TOTAL	16,695	45,919	35,345	22,925	**120,884**

4.4 Monitoring and evaluation

Purpose and principles

Effective monitoring and evaluation is a critical element of good programme and project management. It supports informed and timely decision making by programme managers and other stakeholders, ongoing learning and accountability for achieving results.

While the general purpose of monitoring and evaluation may be clear, there is a need to consider how programmes and projects are monitored in the context of the aid effectiveness agenda. [47] This is required to ensure that the principles of partner ownership, alignment with local systems, donor harmonisation, and mutual accountability for development results are appropriately supported in both the design and implementation of monitoring and evaluation systems.

To this end, the monitoring and evaluation of this RPF will be guided by the following considerations:

- *Ownership and alignment*. Member states are primarily responsible and accountable for achievement of programme outcomes and programme outputs. They therefore need to support efforts to collect and analyze information relevant to output and outcome achievement at the national and sub-national levels, using their own systems. UNODC will provide technical support to help improve the scope and quality of available national and/or sub-national data.

- *Donor harmonisation*. Aside from UNODC, many development and/or donor agencies are working in the areas of rule of law and health (specifically HIV/AIDS) in the region. Programme monitoring and evaluation activities will therefore be harmonised with the existing M&E activities of other concerned agencies, for example through conducting joint needs assessments, reviews and evaluations. UNODC will also source performance data from appropriate existing international and regional sources, such as UNPOL, UNAIDS and ASEAN reports.

- *Mutual accountability*. While member states are responsible for collecting and using information about their national rule of law and HIV/drug demand reduction programmes, UNODC has a particular comparative advantage in collating and analysing

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[47] Paris Declaration on Aid Effectiveness, March 2005.

data on trans-boundary issues and regional trends, and sharing this information with partners. These respective responsibilities and accountabilities will be clearly stated in project agreements (such as MOUs).

- ***Results-focus and attribution***. The RPF is focused on results, not the provision of project inputs and activities. Programme-level monitoring and evaluation will therefore focus on analysing achievements at the results level (namely outputs and outcomes). The aim is not for UNODC to try and specifically attribute such results to its activities alone. However, it will be important for UNODC to demonstrate its direct 'contribution' to the results.

- ***Quality of UNODC services.*** While UNODC cannot be held directly accountable for programme-level results, it is accountable for providing relevant and high-quality services. This means that project outputs must be monitored and evaluated in order to determine (a) their relevance to 'users/clients', (b) the efficiency of delivery, (c) the effectiveness in supporting outcomes and (d) the likely sustainability of benefits. Robust project monitoring and evaluation systems are therefore still required. This also requires that individual project designs include specific resources dedicated to supporting M&E activities.

- ***Simplicity and practicality.*** If M&E is to be effectively carried out and the results used, it must be adequately simple and practical to implement.

The M&E system

The figure below provides a summary overview of the UNODC Regional Centre M&E system.

The main points to note about the M&E system are that it:

- Is based on the structure of objectives contained in the Results Framework (see Annex 1).

- Is focused on assessing performance against clear sets of indicators directly related to measuring programme outputs and outcomes.

- Includes sources of information for each indicator and the means by which it will be collected.

- Includes review and reflection mechanisms and processes, so that stakeholders can learn about what is being achieved, problems arising and what supportive action may be required.

- Provides for formal reporting on results against the programme framework, and

- Emphasises the importance of feedback from M&E into programme and project planning.
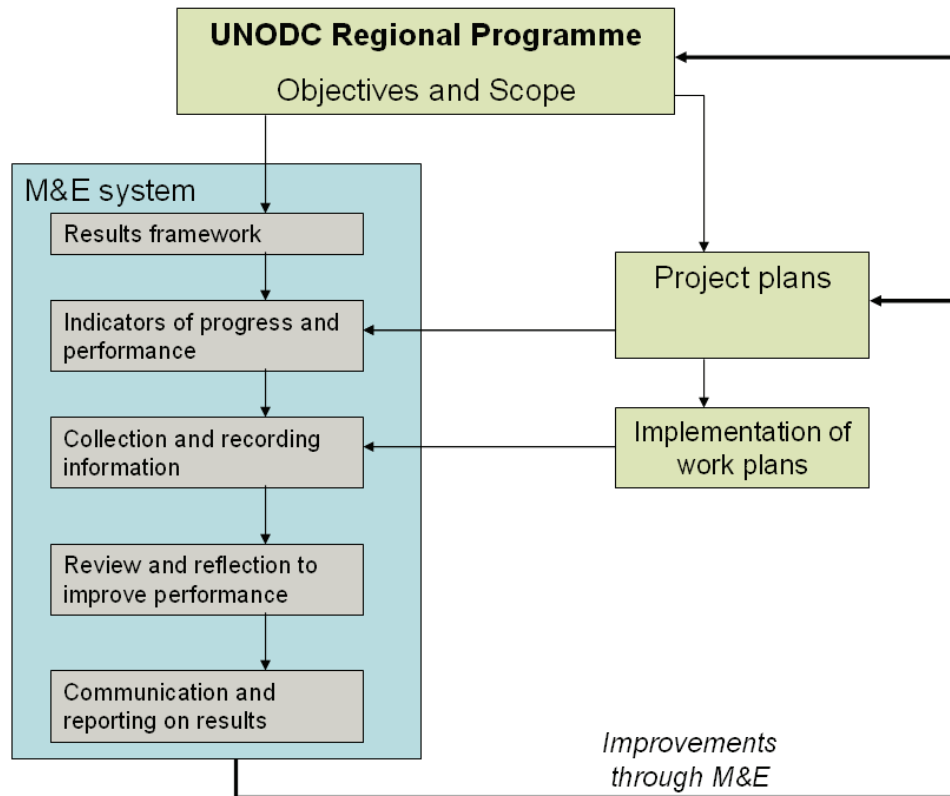
The UNODC project document, which is the template for project development, requires that monitoring and evaluation modalities be specified at the planning stage of a project or global programme. Each project document must contain a workplan and monitoring plan, to be adjusted to the requirements of each project, and must serve as a managerial tool to operationalize performance indicators and track change. Clear instructions regarding different types of evaluation exercises at project level are also specified in the UNODC Evaluation Policy Guidelines.

Key indicators

The key indicators for M&E are contained in the results and monitoring framework provided at Annex 1.

Key points to note about these indicators are that:

- Wherever possible, already established or accepted indicators will be used (e.g. UNAIDS indicators of universal access to HIV/AIDS services).

- Some of the desired information is not currently available, or is of very variable quality. Nevertheless, to the extent that the indicators do reflect the type of information that is required to assess performance against the specified objectives, they provide a useful focus for the ongoing development of improved monitoring and evaluation systems by concerned stakeholders.

- In many cases there is no established or usable baseline information. Establishing baseline information, where practical and meaningful, will be actively supported by UNODC.

- Some indicators will need to be reviewed and revised as lessons are learned about their utility and practicality. Acceptability and use by member states is key. Nevertheless, in order to develop comparative data sets and to analyse trends, it is highly desirable to use a consistent set of indicators over time.

- Wherever possible, a combination of quantitative and qualitative indicators is provided. Significant emphasis will be given to developing UNODC capacity to undertake structured qualitative enquiry to get timely feedback from key target groups and ultimate beneficiaries regarding both the quality of UNODC services as well as whether or not programme outputs and outcomes are being achieved.[48]

An evaluation at the Programme level is envisaged for the end of the programme in 2012.

Information collection and analysis

The Results and Monitoring Framework at Annex 1 also includes the proposed sources of information for each of the performance indicators.

Key points to note about the collection and analysis of information are that:

- Each individual project design and implementation plan must include specific resources (and activities) to support the required M&E activities relevant to that project. Project Coordinators and Programme Managers must also be technically equipped to undertake effective M&E. They will be supported in this by UNODC's Strategic Planning and Monitoring and Support Units at UNODC HQ.

- Significant reliance is placed on the collection and reporting of information by the relevant agencies of member states. While the current availability of this information may in many cases be limited, it remains important that development agencies/donors focus on supporting the development/strengthening of national systems, and not simply bypass or ignore them through the creation of parallel systems.

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[48] Quantitative indicators are extremely useful for analysing performance and trends, as they can be compared against targets and be subjected to various forms of quantitative analysis. However, while quantitative data may help tell us what is happening, it may not help us understand why. Well structured and professionally managed qualitative enquiry is therefore a key part of the M&E system.

- There are many other development and donor agencies collecting information related to rule of law improvements, HIV/AIDS and drug demand reduction. UNODC must not duplicate such work, but rather access, further analyse and help share this information effectively with stakeholders.

- UNODC can add value by supporting the analysis and sharing of secondary data to help understand regional trends and highlight significant issues requiring cross border cooperation.

- UNODC can also support, or directly undertake, structured (but rapid and cost-effective) qualitative enquiry to get stakeholder views/opinions with respect to the achievement of programme outputs and outcomes.[49]

Review and learning

Collecting and analysing information is one thing, but unless it is effectively accessed and used by key stakeholders to help them review performance, learn lessons and take appropriate policy and management decisions, then a lot of effort can be wasted. The UNODC Regional Centre will therefore place a high priority on facilitating the conduct of effective review and learning processes and events.

- *Programme reviews*. Annual reviews of programme performance (the Annual Portfolio Review) will be conducted, with the first being undertaken at the beginning of 2010. These reviews will build upon participatory mechanisms at the project level, including project advisory committees and Tripartite Review committees. Involvement of national counterparts, funding partners, and management representatives will be mandatory at these levels. As mentioned above, a final Evaluation will be undertaken at the end of the plan period, 2012 This process will be organized by the UNODC Regional Centre (within inputs from UNODC HQ) and will involve partners countries and donors.

- *Project-based reviews*. To promote both accountability and learning, every UNODC-managed project will conduct regular reviews of project progress and performance with key stakeholders in accordance with UNODC project management guidelines, as defined in project agreements. These reviews will be conducted in a participatory manner (involving partner governments and donors) and support effective follow-up actions. Outcomes of these reviews will be documented and made available to project stakeholders in a timely manner. For large projects of more than 3 years duration, an external mid-term review will be conducted. Such reviews will be harmonised with other donors who are working on the same topics in the same geographic areas. Such projects will also undertake an end of project completion review/evaluation.

Reporting and communication

At the programme level, an annual programme review report will be prepared by UNODC and disseminated to all key stakeholders. The report will be made available in hard copy, as well as on the UNODC website. Individual projects will prepare six-monthly mid-year progress reports as well as an annual report. All projects will also prepare a completion report within 1 month of the end of project financing.

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[49] This can be done in a variety of ways, including through web-based questionnaires, using structured question checklists as part of focus groups and individual face to face interviews, and/or through more informal observation and discussions during field visits and meetings with stakeholders.

In support of the RPF, the Regional Centre's communications strategy will accomplish the following:

1. Amplify the voices of partners from across the region working on drug control, HIV/AIDS, trafficking in persons, smuggling of migrants, corruption, money laundering and prison reform, etc.

2. Point to the individual and collective achievements of our partners from across the region.

3. Enable the sharing of conceptual, analytical, research-based, programme-related and creative content across borders.

4. Facilitate networking and collaboration among grassroots workers, academics, students, researchers, journalists, government representatives, donor agencies and international organizations.

In order to accomplish this, the Regional Centre will create an online community of practice and strengthen its website to bring projects and organizations together. This space will bring together those groups who already have their own websites as well as those without an internet presence.

5   Sustainability and risk management strategies

5.1   Sustainability of benefits

The sustainability of benefits resulting from UNODC's support services will be promoted through:

- Promoting partner ownership;

- Alignment with local systems and capacities;

- Clearly defined mutual responsibilities;

- Using effective capacity building approaches;

- Providing high quality and relevant services;

- Implementing effective M&E systems; and

- Mainstreaming gender considerations into programmes.

5.2   Risk management

The primary risk management strategies for the overall programme of work will be to enhance:

- Dialogue and communication with Member States and the senior officials of relevant government agencies;

- Coordination with other UN agencies as well as donor partners; and

- The Regional Centre's own management systems and tools, including it's quality assurance and monitoring and evaluation capacity.

Project-level risks will be indicated in the project documents themselves. At the project level, each project design will also include a risk management strategy, which will form part of the focus of ongoing project monitoring and review, and be updated on a regular basis.

Annexes

Annex 1 – Results and monitoring framework

Important: The quality and practicality of specific indicators and MOVs will continue to be periodically reviewed and refined as required (as part of UNODC's annual review and planning process). Building monitoring and evaluation capacity (of both partners and UNODC) is a key element of much of the overall programme.

A. RULE OF LAW

1. Illicit Trafficking and Smuggling

Results hierarchy	Performance Indicators	Means of Verification
Impact Reduction in illicit trafficking of people, drugs, illicit natural resources and hazardous substances, and smuggling of migrants **UNODC Result Areas** 1.1. Ratification and implementation of conventions and protocols 1.2. International cooperation in criminal justice matters 1.3. Criminal justice systems: more accessible, accountable and effective 3.8. Assistance to victims 2.1. Threat and risk analysis 2.2. Scientific and forensic capacity	• Estimated volume of illicit trafficking and/or smuggling in people, drugs, natural resources and hazardous substances (by type of illicit good, source and destination country/region, etc) and trends over time	• Research/case studies and trend analysis undertaken by UNODC and other agencies, based on both analysis of formal (quantitative) records and using qualitative enquiry methods
1.1 BORDER CONTROL		
Outcome 1.1 – Border Control Improved border security at land borders, sea ports and airports	• Number of cases of illegal trafficking identified and referred to police/judiciary for arrest/prosecution (by location, type, scale) • Qualitative views of enforcement agencies and	• Border enforcement agency records • Periodic analysis of available data by UNODC • Sample survey of stakeholder views, conducted by UNODC/independent research group,

Results hierarchy	Performance Indicators	Means of Verification
	private sector with respect to effectiveness of border security	biennially
Output 1.1.1 BLOs established and operational	• Number of BLOs established, location, staffing levels and skills, operational budget	• Relevant national government agency records • Periodic field inspection / surveys by project teams
Output 1.1.2 BLOs' mandates broadened to cover crimes related to irregular migration	• Number of BLOs mandated to act against SOM and TIP activities • SOM and TIP investigations and referrals made by border officials • Qualitative assessment of BLOs capacity to act against SOM and TIP activities	• Nomination document, UNODC assessment mission reports; project progress reports. • Monitoring of data collection reports • Project monitoring and evaluation reports. • Periodic qualitative stakeholder surveys by UNODC, including reference to other available research from civil society organizations/research bodies
Output 1.1.3 Joint Port Control Units established and operational	• Number of JPC Units established, location, staffing levels and skills, and operational budget	• Relevant national government agency records • Periodic field inspection / surveys by project teams
Output 1.1.4 Airport specialist response units established and operational	• Number of airport specialist response units established, location, staffing levels and skills, and operational budget	• Relevant national government agency records • Periodic field inspection / surveys by project teams
1.2 TRAFFICKING IN PERSONS		
Outcome 1.2 – Trafficking in persons Trafficking in persons operations identified and effectively acted on	• Number of criminal investigations into TIP • Number of requests sent and received between cross-border counterparts • Number of referrals made and received between national actors	• Relevant national government agency records • Victim support group records • Periodic analysis of available data by UNODC • Periodic qualitative 'survey' of selected countries (using structured stakeholder

Results hierarchy	Performance Indicators	Means of Verification
	• Profile of human traffickers arrested, prosecuted and/or convicted (categorised by age, gender, nationality; offence/s; locations of offence/s, etc) • Age, gender and nationality of trafficking victims assisted • Qualitative assessment of country capacity	interviews, focus groups etc) conducted by UNODC
Output 1.2.1 Legislative frameworks meet international obligations and standards	• Number, percentage and name of countries with legislation and policies in place that meet their international obligations and standards	• Relevant national government agency status reports • Qualitative assessment through survey of country stakeholders, including government, civil society and private sector groups, using structured assessment tool. Conducted periodically by UNODC
Output 1.2.2 Information on trafficking trends and country responses used by stakeholders for evidence-based responses	• Number and name of countries with access to and using comparative data on trafficking in persons • Qualitative assessment of how well data is used to inform policy and program responses	• Relevant national government agency status reports • Stakeholder interviews and analysis of relevant documents and reports, conducted periodically by UNODC using structured qualitative assessment tool
Output 1.2.3 Informed and capable frontline law enforcement officers, prosecutors and judges	• Number of officers, prosecutors and judges effectively informed / trained (M/F) by country, organization, etc	• Participating country agency training records / reports, including evaluations of training outcomes • UNODC project reports, including training evaluations • Periodic qualitative stakeholder surveys by UNODC, including reference to other available research from civil society organizations / research bodies etc
Output 1.2.4 Systems established for quickly identifying and assisting victims	• Number and names of countries with systems established	• Relevant national government agency status reports

Results hierarchy	Performance Indicators	Means of Verification
	• Scope and quality of these systems	• Qualitative assessment through stakeholder surveys, including interviews with victims and victim support groups using structured assessment tool, conducted periodically by UNODC
Output 1.2.5 Mechanisms established to promote cooperation between criminal justice agencies within and between borders	• Number and type of such mechanisms, including countries and agencies involved • Quality of these mechanisms	• Relevant national government agency status reports • Qualitative assessment through stakeholder surveys, including interviews with key justice agency officials using structured assessment tool, conducted periodically by UNODC
Output 1.2.6 Corporate sector organisations adopt codes of conduct	• Number of organizations, by country, who have adopted codes of conduct • Quality of these codes of conduct • Understanding of and commitment to these codes by members	• Corporate sector organization records and reports (including codes of conduct), analysed periodically by UNODC • Periodic qualitative survey of members' understanding by corporate sector organizations (supported by UNODC)
1.3 DRUGS AND PRECURSORS		
Outcome 1.3 – Drugs and Precursors Trafficking of ATS and other drugs identified and effectively acted on	• Number of drug traffickers arrested, prosecuted and convicted (by country/location, type of drug, scale) • Volume and type of drugs (and precursors) seized by location • Production facilities and trafficking routes identified	• National police and justice ministry records • DAINAP system data, analysed and summarized on annual basis by UNODC • Other research and reports analysis by UNODC
Output 1.3.1 Domestic legislation harmonized with international instruments	• Number, percentage and name of countries with harmonised domestic legislation	• Member country reports (particularly MOU and ACCORD countries) • Periodic survey conducted by UNODC, using structured assessment tool

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Results hierarchy	Performance Indicators	Means of Verification
Output 1.3.2 Information on ATS and other drug production and trafficking used by stakeholders for intelligence-led-responses	• Number, percentage and name of countries contributing data • Quality of data • Evidence of data being used by stakeholders in response planning	• DAINAP (or equivalent) • UNODC analysis of the quality of data, commented on in an annual report • Stakeholder interviews / surveys conducted by UNODC using structured qualitative assessment tool
Output 1.3.3 Informed and capable frontline law enforcement officers, prosecutors and judges	• Number, type and location of officers, prosecutors and judges trained (M/F), by country • Qualitative assessment of how informed and capable the officers are	• Participating member country reports, including from relevant training academies • UNODC project reports, including training evaluations • Qualitative surveys / stakeholder interviews conducted by UNODC
Output 1.3.4 Mechanisms established to promote cooperation between criminal justice agencies within and across borders	• Number, percentage and name of countries using joint SOPs • Qualitative assessment of the effectiveness of joint regional action	• Participating country agency reports • Stakeholder interviews / surveys conducted by UNODC
Output 1.3.5 Clandestine lab investigation teams established and operational	• Number and location of lab investigation teams established • Qualitative assessment of team capacity and sustainability	• Participating country agency reports • Stakeholder interviews / surveys conducted by UNODC
Output 1.3.6 Chemical industry associations adopt code of conduct on precursor diversion	• Number of industry associations, by type and location, adopting code of conduct • Stakeholder views on the application and effectiveness of these codes of conduct	• Participating country reports (from industry associations) • Stakeholder interviews / surveys conducted by UNODC

Results hierarchy	Performance Indicators	Means of Verification
1.4 NATURAL RESOURCES AND HAZARDOUS SUBSTANCES		
Outcome 1.4 – Natural resources and hazardous substances Trafficking of illicit natural resources (including wildlife) and hazardous substances identified and effectively acted on	• Number of traffickers arrested, prosecuted and convicted (by country/location, type of natural resource or waste, scale) • Volume and type of illicit natural resource and hazard waste seized by location, type of resource/waste, scale • Identification of sources of illicit resources and hazardous substances, traffickers, and trafficking routes/methods	• Relevant national government agency records, including law enforcement agencies • Reports from international agencies such as UNEP, ASEAN-WEN, WWF, TrAFFIC etc • Periodic qualitative 'survey' of selected countries (using structured stakeholder interviews, focus groups etc) conducted by UNODC
Output 1.4.1 A regional strategy in place to prevent and suppress trafficking in illicit natural resources and hazardous substances	• Regional strategy in place, Number of countries engaged, and scope and quality of strategy	• Quality of regional strategy assessed using a structured assessment tool by UNODC/peer review of experts.
Output 1.4.2 Effective forest governance policies and regulatory frameworks established and implemented	• Number and name of countries with effective policies and regulatory frameworks in place and being implemented	• National government agency records • Reports from UNEP and other intentional agencies addressing this issue • Qualitative assessment using structured assessment tool conducted periodically by UNODC/contracted research body
Output 1.4.3 Informed and capable law enforcement and specialised officials	• Number, type and location of officers trained (M/F), by country and agency • Qualitative assessment of how informed and capable the officers are	• Participating member country reports, including from relevant training academies • UNODC project reports, including training evaluations • Qualitative surveys / stakeholder interviews conducted by UNODC
Output 1.4.4 Mechanisms established to promote cooperation between responsible agencies within and across borders	• Number and scope of mechanisms and agreements established, including participating countries and agencies	• Participating member country reports • UNODC project reports • Qualitative surveys / stakeholder interviews

Results hierarchy	Performance Indicators	Means of Verification
Output 1.4.5 Producers and consumers effectively engaged in reducing demand for illegal natural resources and hazardous substances	• Quality of these mechanisms • Number and scope of initiatives being implemented by producer and consumer groups (which support implementation of international conventions and national laws on illegal trade in natural resources and hazardous substances), by country • Quality of these initiatives	• conducted by UNODC using structured assessment tool • Participating producer and consumer group reports on initiatives being undertaken • UNODC project reports • Qualitative surveys / stakeholder interviews conducted by UNODC/contracted agency, using structured assessment tool
1.5 SMUGGLING OF MIGRANTS		
Outcome 1.5 – Smuggling Migrants Smuggling of migrants identified and effectively acted on	• Number of criminal investigations • Number of referrals made and received between national actors • Number of requests sent and received between cross-border counterparts • Profile of migrant smugglers arrested, prosecuted and/or convicted (categorised by gender, nationality; offence/s; locations of offence/s) • Age, gender and nationality of smuggled migrants assisted and assistance provided (categories to include health; shelter; repatriation; referral) • Qualitative assessment of country capacity	• Relevant national government agency records, summarized in bi-annual report by UNODC • Migrant assistance providers' records and consultation • UNODC Project reports and surveys • Bi-annual qualitative 'survey' of selected countries (using structured stakeholder interviews, focus groups etc) conducted by UNODC • SOM SMART reports
Output 1.5.1 Systems to generate, manage, analyse, report and use migrant smuggling information established and operational	• Range of specific SOM information data-types generated and managed by relevant national agencies • Range of specific SOM information data-types analysed and reported by national agencies and UNODC. • Range of specific SOM information data-types increasingly used by Member States for the development of evidence-based policy and operational responses	• UNODC checklist of valued SOM information data-types. • Assessment of national SOM information and collection capacities. • National SOM data collection workplans and reports. • National contributions to SOM SMART database. • Usage reports of SOM SMART database. • UNODC desk review of public references to SOM data types consistent with SOM SMART

Results hierarchy	Performance Indicators	Means of Verification
		and UNODC checklist
Output 1.5.2 Informed and capable frontline law enforcement officers, prosecutors and judges	• Number of officers, prosecutors and judges effectively informed / trained (M/F) with UNODC CBT by country, organization and position • CBT programme compulsory for all national personnel assigned to SOM duties in GMS countries • CBT programme institutionalized into ongoing basic law enforcement training programme in GMS countries • LMS data used by senior management in staff training and development	• CBT Learning Management System (LMS) shows minimum average of 70% in post test scores. Evaluation of training records • Project evaluation • Participating country agency training records/reports • Periodic qualitative stakeholder surveys by UNODC, including reference to other available research from civil society organizations/research bodies
Output 1.5.3 Research on irregular migration used as part of the Bali Process	• Number and scope of research reports produced that are used as part of the Bali process • Quality of this research	• Bali process secretariat records, including meeting minutes • Periodic feedback from research report users, using structured quality assessment tool

2. Governance

Results hierarchy	Performance Indicators	Means of Verification
Impact Opportunities and incentives for corruption reduced, illegally acquired assets recovered by governments, and money laundering reduced **UNODC Result Areas** 1.1. Ratification and implementation of conventions and protocols 1.2. International cooperation in criminal justice matters 1.3. Criminal justice systems: more accessible, accountable and effective 3.2. Corruption prevention	• Public and business perception of level of corruption • Empirical data on levels and types of corruption • Amount/value of assets and properties confiscated by country • Evidence of reduced money laundering (e.g., decline in SARs)	• Sample surveys of community members and businesses regarding both perceptions and specific experiences of official corruption; · Anti-corruption bodies /reports • Partner government records and reports on asset recovery • SARs reporting levels; FIU records/reports on anti-money laundering activities and results achieved
2.1 PUBLIC SECTOR		
Outcome 2.1 Corrupt practices identified and investigated by state (anti-corruption) agencies	• Number and type of cases of corruption identified and investigated by relevant anti-corruption authorities • Evidence of engagement with civil society, educational institutions and business	• Reports from relevant anti-corruption bodies within partner countries • Reports/surveys conducted by non-government agencies such as Transparency International • Specific UNODC supported/sponsored surveys
Output 2.1.1 UNCAC ratified	• Number and name of countries who have ratified the UN Convention, and date of ratification • Number and name of countries receiving UNODC support, and their satisfaction with the quality of that support • Number of countries completing self-assessment	• Report stating ratification • UNODC reports • Country self-assessment reports
Output 2.1.2 Government/public bodies develop anti-corruption strategies and ethical environments based on the	• Number and name of countries which have published anti-corruption strategy and ministry	• Partner country reports • UNODC programme/project progress reports

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Results hierarchy	Performance Indicators	Means of Verification
UNCAC	action plans (on an ethical environment, including a code of conduct, asset declarations, etc) • Assessment of the quality of such procedures, including extent of application, verification and monitoring	• Quality of codes of conduct and other procedures assessed by UNODC using structured assessment tool
Output 2.1.3 Anti-corruption bodies business plans developed and implemented	• Number and name of countries which have developed specific anti-corruption agency strategies and action plans • Number and name of countries receiving UNODC support, and their satisfaction with the quality of that support • Quality of Anti-corruption agency strategy and action plans, and degree to which they are being effectively implemented and measured	• Partner country reports from relevant anti-corruption and justice sector agencies • Publication of annual business plan • UNODC programme/project progress reports • Evaluation reports by funding agencies
Output 2.1.4 Anti-corruption bodies establish inter-agency working arrangements	• MOUs set up with partner agencies domestically and internationally, membership of regional groupings, number and type of cases of corruption identified, investigated and prosecuted with partner agencies • Number, proportion and type of cases successfully prosecuted	• Published MOUs • Reports from regional groupings • Partner country reports from relevant anti-corruption and justice sector agencies
2.2 ASSET RECOVERY		
Outcome 2.2 – Asset recovery Illegally acquired assets identified and action initiated to recover them	• Number of cases initiated by the FIU or other law enforcement agencies (including assets under restraint) • Amount/value of assets and properties confiscated by country	Partner country records and reports, including those from Financial Intelligence Units
Output 2.2.1 FIUs established and strengthened	• Number and name of countries which have	• Partner country records and reports

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Results hierarchy	Performance Indicators	Means of Verification
	established / strengthened FIUs • Number and name of countries receiving UNODC support, and their satisfaction with the quality of that support • Capacity / effectiveness of the FIUs	• UNODC programme/project progress reports • Periodic assessment of client satisfaction with services provided by UNODC, using structured qualitative assessment tool • Qualitative assessment of capacity against agreed criteria, using structured assessment tool
Output 2.2.2 Legislation, policies and procedures on asset recovery developed and implemented	• Number and name of countries which have developed specific asset recovery policies and plans • Number and name of countries receiving UNODC support, and their satisfaction with the quality of that support • Quality of legislation and policies, and degree to which they are being effectively implemented	• Partner country records and reports • UNODC programme/project progress reports • Periodic assessment of client satisfaction with services provided by UNODC, using structured qualitative assessment tool • Qualitative assessment of legislation and policies, against agreed criteria, using structured assessment tool
Output 2.2.3 Judges, prosecutors and law enforcement officials qualified to, trace, restrain, confiscate, recover and repatriate assets	• Number, type and location of officials effectively trained (M/F), by country and agency • Pre- and post training test results	• Participating member country reports, including from relevant training academies • UNODC project reports, including training evaluations • Qualitative surveys / stakeholder interviews conducted by UNODC
Output 2.2.4 Criminal justice and law enforcement officials effectively using asset recovery software	• Quality of data captured, analysed and used by officials • Number and scope of cases initiated as a consequence of use of software	• Participating member country reports, including from relevant law enforcement academies • UNODC project reports • Qualitative surveys / stakeholder interviews conducted by UNODC
2.3 MONEY LAUNDERING		
Outcome 2.3 – Money Laundering Money laundering activities identified and effectively acted on	• Number of money laundering cases initiated, investigated, prosecuted and convicted (by	• Relevant national government agency records/reports

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Results hierarchy	Performance Indicators	Means of Verification
	countries)	• UNODC programme/project reports
Output 2.3.1 Legislation, policies and procedures on money laundering developed and implemented	• Number, percentage and names of countries with legislation and policies that meet the international standards • Number and names of countries receiving UNODC support	• Countries' Mutual Evaluation Reports, using structured qualitative assessment tool • Relevant national government agency records • UNODC programme/project reports
Output 2.3.2 Public and private sector institutions aware of their responsibilities in relation to proceeds of crime, money laundering and asset recovery	• Number of advisories/guidance issued by FIU • Number of SARs reports • Number of awareness raising activities conducted by the FIU • Number of suspicious transaction/matter reports by sector received by FIU (by countries)	• FIU reports • Countries' Mutual Evaluation Reports, using structured qualitative assessment tool • UNODC programme/project reports
2.4 ADVOCACY – CIVIL SOCIETY AND BUSINESS		
Outcome 2.4 – Civil Society and Business Improved corporate governance and enhanced engagement of civil society in implementing anti-corruption strategies	• Number and type of corporate corruption cases coming to court • Public perception of levels/type of corporate corruption • Satisfaction of civil society anti-corruption organisations with the opportunities provided by government to engage in anti-corruption strategy development and implementation	• Government reports • Corruption Perception Index (TI) • Surveys of (peak) civil-society organisations involved in anti-corruption initiatives
Output 2.4.1 Awareness raised within civil society on corruption issues	• Number and type of awareness raising activities conducted, and evidence of impact (access to information, understanding of messages and any changes in attitudes / behaviours)	• Reports from civil society organisations • Reports from government bodies • Reports/surveys conducted by non-government agencies such as Transparency International • Specific UNODC supported/sponsored surveys
Output 2.4.2 Forums established for civil society / business /	• Number and type of forums established	• Reports from government bodies

Results hierarchy	Performance Indicators	Means of Verification
government participation in the design and implementation of anti-corruption strategies	• Satisfaction of non-government stakeholders with the working arrangements and outcomes from these forums	• Reports/surveys conducted by non-government agencies such as Transparency International • Specific UNODC supported/sponsored surveys
Output 2.4.3 Businesses establish corporate governance frameworks	• Number and types of business establishing corporate governance frameworks • Quality of these frameworks and evidence of there application / implementation	• Reports/surveys conducted by non-government agencies such as Transparency International • Specific UNODC supported/sponsored surveys

3. Criminal Justice

Results hierarchy	Performance Indicators	Means of Verification
Impact Reduction in transnational crimes and protection of vulnerable groups **UNODC Result Areas** 1.1. Ratification and implementation of conventions and protocols 1.2. International cooperation in criminal justice matters 1.3. Criminal justice systems: more accessible, accountable and effective 1.4. Terrorism prevention 3.6. Prison reform 3.7. Juvenile justice 3.8. Assistance to victims	• Number of reported cases of selected categories of transnational crimes, their scope and trends over time • Number of juveniles and children in closed settings, and the length of detention, by type of facility and country • Number of reported cases (or other estimates) of domestic violence by country, including # of cases prosecuted effectively • Number of reported cases of deaths in custody/correctional facilities, and cause of death, by country	• INTERPOL and ASEANPOL reports • Law enforcement agency records and other official statistics from member countries • Correctional agency records and reports from member countries • Research and trend analysis undertaken periodically by UNODC
3.1 RATIFICATION		
Outcome 3.1 – Ratification Member states ratify international conventions and instruments on drugs, crime and terrorism	• Number and name of new countries ratifying/acceding to international conventions and protocols • Proportion of member countries, and by name, who have ratified international conventions and protocols	• Instruments of ratification lodged with the UN Secretariat General
Output 3.1.1 Member states aware of and responsive to the need for ratification	• Status of domestic process toward ratification/accession to international conventions and protocols	• Information from national governments and from non-government sources monitoring these issues • UNODC programme/project progress reports • Qualitative assessments by UNODC using structured assessment tool
3.2 LEGAL FRAMEWORKS		

Results hierarchy	Performance Indicators	Means of Verification
Outcome 3.2 – Legal frameworks Legislative and regulatory frameworks established and operational	• Evidence of legislation and regulations being effectively applied to prevent and counter terrorism and other transnational organized crimes, by country	• Information from national governments • UNODC (or other agencies) qualitative studies on implementation of legislation and regulatory frameworks, using structured assessment tool
Output 3.2.1 Legislation drafted and enacted in line with relevant international law obligations	• Number of new laws or amendments drafted and/or enacted in line with relevant international instruments, by country • Quality of the legislation, assessed against set of agreed criteria	• Information from national governments • UNODC programme/project progress reports, • UNODC (or other agencies) studies on domestic legislation
Output 3.2.2 Substantive law, legal measures and rules of procedure related to transnational crime, corruption and terrorism established and used	• Number of relevant substantive laws and rules of procedure established by type and by country • Quality of the substantive law and rules of procedure, assessed against set of agreed criteria	• Information from national governments • UNODC programme/project progress reports • UNODC (or other agencies) qualitative studies on substantive laws and rules of procedure, using structured assessment tool
Output 3.2.3 Legal procedures (based on relevant universal treaties and Security Council Resolutions) are established, understood and applied	• Evidence of MLA being used and Extradition requests • Understanding and application of legal procedures among/by key officials (M/F), by member country	• Information from relevant national government authorities • UNODC programme/project progress reports • UNODC (or other agencies) qualitative studies on application of relevant legal procedures, using structured assessment tool
3.3 JUSTICE SYSTEMS		
Outcome 3.3 – Justice system Integrity-based and accountable criminal justice systems established, which also address needs of vulnerable groups	• Number and names of member countries assessed as having the key elements of an integrity-based and accountable CJS in place • Number and name of countries with legislation,	• Data provided by member state agencies • UNODC (or other agencies) assessments of the quality of CJS, using structured qualitative assessment tool • Periodic research/analysis by UNODC and

Results hierarchy	Performance Indicators	Means of Verification
	systems and programmes in place which effectively protect juveniles and children in conflict with the law, the rights of prisoners, and victims of domestic violence	other agencies into into the status of juvenile justice systems, prison reform programmes, and actions to address domestic violence
Output 3.3.1 Professional standards and oversight mechanisms established and implemented in law enforcement agencies and the judiciary	• Number and name of countries where universal instruments are contained in conventions and protocols and are being implemented effectively • Scope and quality of these mechanisms	• Data provided by member state agencies • UNODC programme/project progress reports • UNODC (or other agencies) assessments of the quality of professional standards and oversight mechanisms, using structured qualitative assessment tool
Output 3.3.2 Coordination and cooperation mechanisms established between law enforcement agencies, prosecutors and the judiciary	• Number and names of member states that have successfully implemented legal cooperation mechanisms at the domestic/national level • Scope and quality of these mechanisms	• Data provided by member state agencies • UNODC programme/project progress reports • UNODC (or other agencies) assessments of the quality of coordination/cooperation mechanisms, using structured qualitative assessment tool
Output 3.3.3 Enhanced forensic capacities, services and regional integration	• Number and name of member states that have enhanced their forensic capacities and services • Scope and quality of these services • Evidence of enhanced regional integration between member states	• Data provided by member state agencies • UNODC programme/project progress reports • UNODC (or other agencies) assessments of the quality of forensic capacities and services, using structured qualitative assessment tool
Output 3.3.4 Informed and capable crime scene examiners, law enforcement officers, prosecutors and judges	• Estimates of number (and proportion) of responsible officials (M/F), by type and country, who have adequate skills and knowledge to effectively investigate and prosecute serious crimes	• Information from national governments • UNODC programme/project progress reports, including specific training evaluation records and reports
Output 3.3.5 Specialised witness protection programmes established and implemented	• Number and names of countries where Specific Witness Protection legislation or programmes are in force complying with the International and	• Data provided by member state agencies • UNODC programme/project progress reports • UNODC (or other agencies) assessments of the

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Results hierarchy	Performance Indicators	Means of Verification
	• Regional conventions, norms and standards • Assessment of the quality of these programmes	quality of specialised witness protection programmes, using structured qualitative assessment tool
Output 3.3.6 Enhanced prison management regimes established and implemented	• Number and names of countries where enhanced prison management regimens are being implemented • Assessment of the quality of these regimes	• Data provided by member state agencies • UNODC programme/project progress reports • UNODC (or other agencies) assessments of the quality of prison management regimes, using structured qualitative assessment tool
Output 3.3.7 Juvenile and child justice systems established and implemented	• Number and names of countries where juvenile and child justice systems are being implemented • Assessment of the quality of these systems	• Data provided by member state agencies • UNODC programme/project progress reports • UNODC (or other agencies) assessments of the quality of juvenile and child systems, using structured qualitative assessment tool
Output 3.3.8 Measures to prevent violence against women established and implemented	• Number and names of countries that have established new/effective measures to prevent violence against women • Scope and quality of these measures	• Data provided by member state agencies • UNODC programme/project progress reports • UNODC (or other agencies) assessments of the quality of these measures, using structured qualitative assessment tool
3.4 TRANS-NATIONAL ORGANIZED JUSTICE		
Outcome 3.4 – Transnational Organized Justice More efficient and effective transnational cooperation on criminal justice matters	• Number and scope of successful cases of international cooperation in criminal matters, including in relation to MLA, extradition, and repatriation of assets	• Information from national governments • UNODC (or other agencies) assessments of the quality of transnational cooperation on criminal justice matters, using structured qualitative assessment tools
Output 3.4.1 Regional Network of Prosecutors established and operational	• Number and names of countries participating in the regional network	• Information from national governments • UNODC programme/project progress reports

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Results hierarchy	Performance Indicators	Means of Verification
	• Number of active members (M/F) of the network • Quality of the network, assessed against agreed criteria relevant to the activities and actions being carried out by the network and the opinions of participants in the network	• UNODC (or other agencies) assessments of the quality/usefulness of the regional network, using structured qualitative assessment tools
Output 3.4.2 Joint Investigation Teams established and operational	• Number and names of countries which have established/used JITs, including for which specific crimes • Quality of JIT operations, assessed against agreed criteria relevant to the activities and actions being carried out by the teams and the opinions of participants in the network	• Information from national governments • UNODC programme/project progress reports • UNODC (or other agencies) assessments of the quality/usefulness of the regional network, using structured qualitative assessment tools
Output 3.4.3 Judicial Liaison Networks established and operational	• Number and names of countries participating in Judicial Liaison Networks • # of active members (M/F) of the networks • Quality of the networks, assessed against agreed criteria relevant to the activities and actions being carried out by the network and the opinions of participants in the network	• Information from national governments • UNODC programme/project progress reports • UNODC (or other agencies) assessments of the quality/usefulness of the regional network, using structured qualitative assessment tools
Output 3.4.4 Designated Central Authorities on MLA, extradition and asset recovery established and operational in line with the principles and requirements under international treaties on drugs, crime and terrorism	• Number and name of countries which have established a Central Authority for mutual legal assistance, extradition and asset recovery • Quality of operations of these CAs, assessed against agreed criteria (e.g. staffing, resources, and with sufficient legal authority to carry out its functions)	• Information from national governments • UNODC programme/project progress reports • UNODC (or other agencies) assessments of the quality of operations of CAs using structured qualitative assessment tool
Output 3.4.5 Baseline data on transnational organized crimes established, shared and updated	• Number and names of countries participating in an improved system of data collection and sharing on TOC • Quality of data being collected, analysed and	• Information from national governments • UNODC programme/project progress reports • UNODC (or other agencies) assessments of the quality of baseline data using structured

Results hierarchy	Performance Indicators	Means of Verification
	shared, assessed against a set of agreed criteria (e.g. relevance to need, completeness, reliability, timeliness of provision, regularity of updates, ease of access/sharing, etc).	qualitative assessment tool, including participating member/user satisfaction surveys

B. Health and development

4. Drug demand reduction

Results hierarchy	Performance Indicators	Means of Verification
Impact Reduced drug abuse **UNODC Result Areas** 3.1. Community-centred prevention 3.5. Treatment and rehabilitation of drug-dependent persons 2.1. Threat and risk analysis	• Estimated number of people (M/F and age profile) by country with drug dependency, including those in prison settings	• Partner country reports, including from health ministries and prisons • NGO and WHO reports • UNODC project reports, including specific studies/surveys
4.1 PREVENTION		
Outcome 4.1 – Prevention Reduction in new users and delayed onset of drug use	• Estimated number of new drug users (M/F and age profile) by drug type and country, including trends	• Partner country reports, including from health ministries and prisons • NGO and WHO reports • UNODC project specific studies/surveys – including baseline establishment
Output 4.1.1 Member States countries adopt evidence-based youth friendly ATS programmes for at risk populations	• Number and location (by country) of youth friendly ATS services/programmes established • Scope and quality of these programmes • Number and name of countries supported by UNODC	• Partner country policy and programme documents • UNODC project reports, including specific studies/surveys to assess scope and quality of these policies and programmes, using structured assessment tool
Output 4.1.2 Member States mainstream substance abuse prevention into in-school and out-of-school programmes	• Number and location (by country) of substance abuse prevention programmes mainstreamed into in/out of school programmes • Scope and quality of these programmes • Number and name of countries supported by	• Partner country policy and programme documents • UNODC project reports, including specific studies/surveys to assess scope and quality of these programmes, using structured assessment

UNODC Regional Programme Framework for East Asia and the Pacific (2009–2012)

Results hierarchy	Performance Indicators	Means of Verification
	UNODC	tool
Output 4.1.3 Member States establish / modify policies to reduce drug abuse among women	• Number and name of countries which have established/modified policies to reduce drug abuse among women • Scope and quality of these programmes • Number and name of countries supported by UNODC	• Partner country policy and programme documents • UNODC project reports, including specific studies/surveys to assess scope and quality of these policies, using structured assessment tool
Output 4.1.4 Workplace prevention programmes established and implemented	• Number and name of countries which have established and implemented workplace prevention programmes • Scope and quality of these programmes • Number and name of countries supported by UNODC	• Partner country programme reports • UNODC project reports, including specific studies/surveys to assess scope and quality of these policies, using structured assessment tool
4.2 TREATMENT		
Outcome 4.2 – Treatment More effective treatment of drug users / dependents	• Reduced levels of relapse among drug users /dependents following treatment , by country and drug type • Quality of treatment programmes	• Partner country drug treatment agency records • WHO and other international agency reports and study findings • UNODC project reports, including specific studies/surveys to assess scope and quality of these treatment programmes, using structured assessment tool
Output 4.2.1 Member states identify, develop and sustain centres of excellence for training on drug treatment and care	• Number and name of countries that have identified and developed centres of excellence • Number and location of centres of excellence • Scope and quality of training provided • Number and name of countries supported by UNODC	• Partner country programme reports • UNODC project reports, including specific studies/surveys to assess scope and quality of these centres' training programmes, using structured assessment tool

Results hierarchy	Performance Indicators	Means of Verification
Output 4.2.2 Member states establish community-based treatment programmes	• Number and name of countries which have established community based treatment programmes • Scope and quality of these programmes • Number and name of countries supported by UNODC	• Partner country programme reports • UNODC project reports, including specific studies/surveys to assess scope and quality of these treatment programmes, using structured assessment tool
Output 4.2.3 Member countries establish drug treatment networks to identify and exchange best practices	• Number and name of countries which have established drug treatment networks • Scope and quality of these networks	• Partner country programme reports • UNODC project reports, including specific studies/surveys to assess scope and quality of these drug treatment networks, using structured assessment tool
Output 4.2.4 Minimum standards of treatment and care developed and implemented by member states	• Number and name of countries which have implemented minimum standards of treatment and care • Scope and quality of these minimum standards and their application • Number and name of countries supported by UNODC	• Partner country programme reports • UNODC project reports, including specific studies/surveys to assess scope and quality of the minimum standards and their application, using structured assessment tool
4.3 REINTEGRATION		
Outcome 4.3 – Reintegration Recovering drug users effectively supported back into the community	• Evidence of recovery in physical and mental health among drug users, as well as their access to economic opportunities, by country (including gender disaggregated data)	• Partner country M&E systems and reports from responsible agencies • Reports/studies by NGOs/community based support service providers • UNODC project reports, including specific studies/surveys to assess scope and quality of outcomes, using structured assessment tool

UNODC Regional Programme Framework for East Asia and the Pacific (2009-2012)

Results hierarchy	Performance Indicators	Means of Verification
Output 4.3.1 Criminal justice systems in Member States sensitized to and capable of responding to needs of drug users through appropriate community-policing and criminal justice strategies	• Number and name of countries implementing appropriate community policing and criminal justice strategies • Scope and quality of these strategies • Number and name of countries supported by UNODC	• Partner country programme reports • Reports/studies by NGOs/community based service providers • UNODC project reports, including specific studies/surveys to assess scope and quality of community policing and other criminal justice strategies, using structured assessment tool
Output 4.3.2 Member States establish community based reintegration and aftercare programmes in disadvantaged urban communities	• Number and name of countries implementing community-based re-integration and aftercare programmes disadvantaged urban communities • Scope and quality of these programmes • Number and name of countries supported by UNODC	• Partner country programme reports • Reports/studies by NGOs/community based service providers • UNODC project reports, including specific studies/surveys to assess scope and quality of community policing and other criminal justice strategies, using structured assessment tool
Output 4.3.3 Recovering drug users de-stigmatised through implementation of an integrated communication strategy	• Number and name of countries implementing integrated communication strategy on de-stigmatisation of drug users • Scope and quality of these programmes • Number and name of countries supported by UNODC	• Partner country programme reports • Reports/studies by NGOs/community based service providers • UNODC project reports, including specific studies/surveys to assess scope and quality of community policing and other criminal justice strategies, using structured assessment tool

5. HIV/AIDS

5.1 COVERAGE

Results hierarchy	Performance Indicators	Means of Verification
Impact Halt and begin to reverse the HIV epidemics **UNODC Result Areas** 3.1. Community-centred prevention 3.3. HIV/AIDS prevention and care 2.1. Threat and risk analysis	• % of males and females infected amongst people who inject drugs in UNODC priority countries (UNGASS core indicator) • % of HIV infections associated with injecting drug use in UNODC priority countries • % of prisoners infected with HIV	• WHO, UNAIDS, UNICEF Epidemiological fact sheets on HIV and AIDS • National government reports, including from health ministries and prison departments • Programme studies / surveys
Outcome 5.1 – Coverage Universal access goals achieved among people who inject drugs, in correctional settings, compulsory drug treatment centers and for other vulnerable groups	• HIV prevention services reaching at least 35% of people who inject drugs by 2010 and as close to universal access in priority countries by 2012 (UNGASS core indicator) • % of prisoners and those in drug treatment centers accessing HIV services	• UNRTF Harm Reduction Survey • UNGASS country progress reports • Programme specific studies / surveys
Output 5.1.1 National legislation and policies related to drug control and HIV are consistent with harm reduction philosophies	• Number of countries supported to review, change and implement legislation and policies for equitable access to HIV prevention, treatment, care and support services and commodities (UBW Principal Outcome V / Key Output 3) • Number of countries supported where the quality of national drug control legislation and policy meets good practice criteria concerning the impact on HIV prevention, treatment and care	• UNRTF Harm Reduction Survey • Legal and policy reviews by HAARP and Lawyer's Collective • UNGASS country progress reports • UNODC Mission Reports • UNODC 6-monthly progress/review reports • Periodic reviews of legislation and policies using assessment framework of good practice criteria
Output 5.1.2 National strategies, scale up and resource mobilisation plans related to UNODC target populations developed and operational	• Number of countries supported to develop and/or implement programmes to scale up provision of HIV prevention, treatment, care and support services to UNODC target populations (UBW Principal Outcome VI / Key Output 1) • Number of countries supported where national	• UNODC Mission Reports • UNODC 6-monthly progress/review reports • Periodic review of national strategies and scale plans using assessment framework of good practice criteria

Results hierarchy	Performance Indicators	Means of Verification
	strategies, scale up and resource mobilisation plans meet good practice criteria with respect to UNODC target populations	
Output 5.1.3 Enhanced capacity to implement harm reduction amongst the justice sector, law enforcement, prisons and drug dependence treatment staff	• Number of countries supported to build human rights and gender competencies among justice sector, judges, law enforcement officials, community and traditional leaders and other relevant actors (UBW Principal Outcome V / Key Output 5) • Evidence of improved knowledge and skills of target training groups	• Participating country agency training records and reports, including evaluations of training outcomes • UNODC training evaluation reports, including follow-up studies on application of learning outcomes
Output 5.1.4 Affected communities and service providers have the capacity to contribute to national and regional responses	• Number of countries where the most-at-risk populations are involved in the development of National Strategic Frameworks and their needs are included (UBW Principal Outcome II / Key Output 4)	• UNGASS country progress reports • Periodic qualitative assessments with affected communities and service providers, using an agreed assessment framework and criteria related to 'capacity to contribute'
Output 5.1.5 Regional coordination and collaboration enhanced	• Number, location and descriptor of international and regional meetings/conferences which UNODC participates in • Evidence of enhanced coordination and collaboration between UNODC and country focal points, including number and location of meetings/field visits to coordinate with focal points	• Conference/meeting reports, with summary provided in HIV/Aids programme six-monthly reports • Field visit reports, with summary of number, location and purpose of visits/meetings provided in HIV/Aids programme six-monthly reports
5.2 STRATEGIC KNOWLEDGE		
Outcome 5.2 – Strategic knowledge Strategic knowledge used to inform the design and implementation of HIV and AIDS programmes	• Number countries where the design and implementation of HIV and AIDs programmes reflect available strategic knowledge on the vulnerabilities of most at risk populations, assessed against a set of agreed good practice criteria	• UN RTF Harm Reduction Surveys • UNODC assessments of national strategic plans documents

Results hierarchy	Performance Indicators	Means of Verification
Output 5.2.1 Stakeholders have access to high quality strategic knowledge	• Number of countries that accessed policy guidance and other information that address the vulnerabilities of most at risk populations (UBW Principal Outcome VI / Key Output 2) • Satisfaction of target groups with the quality of policy guidance and information provided	• UNODC reports • Website hits • Information dissemination records • Surveys of stakeholder satisfaction with quality policy guidance and information
Output 5.2.2 Enhanced institutional and service provider capacity to conduct research and apply findings	• Increase in research on HIV and drugs by national research institutions, as evidenced by research funding provided and research publications	• Regional Research Network reports • UNGASS reporting • National Behavioural Surveillance Survey's (BSS) include drug user populations and survey items on drug use behaviours of other sampled populations
5.3 MAINSTREAMING **Outcome 5.3 – Mainstreaming** Governments, UN agencies and other stakeholders implement a comprehensive HIV programme including harm reduction	• Evidence of harm reduction policies and programmes incorporated into partner programmes as a result of UNODC support,	• UNODC reports • Periodic review of the policies, plans and budget documents of those agencies UNODC supports, using a structured assessment tool
Output 5.3.1 Relevant Ministries incorporate HIV and AIDS work into their core business	• Number of countries where technical support is provided on the promotion of human rights-based, gender responsive and equitable AIDS policies and programmes (UBW Principal Outcome V / Key Output 1) • Evidence of HIV & AIDS work being incorporated into core business, such as in policy and plan documents, workplans and budgets	• UNODC reports • Periodic review of the policies, plans and budget documents of those agencies UNODC supports, using a structured assessment tool
Output 5.3.2 UNODC programmes address HIV	• Increased number of UNODC programmes in the RC EAP and in countries which include an HIV	• UNODC RC EAP and country programme and project reports

Results hierarchy	Performance Indicators	Means of Verification
	component relevant to UNODC target groups	• Periodic review of the plans and budget documents of other UNODC programmes, using a structured assessment tool
Output 5.3.3 UNAIDS Co-Sponsors address HIV and drug use issues within their own programmes	• Increase in joint programmes between UNODC and other UN agencies related to HIV	• UNODC Reports • UNAIDS Regional Technical Focal Points meeting agendas and minutes

6. Sustainable livelihoods

Results hierarchy	Performance Indicators	Means of Verification
Impact Reduction, Elimination and Prevention of Illicit Crop Cultivation **UNODC Result Areas** 1. Enhanced capacity of Member States to design and implement sustainable livelihood programmes 2. Raising awareness of and mainstreaming the issue of sustainable livelihood 3. Increased partnerships between UNODC and relevant civil society entities and the private sector	• Estimated annual total areas of opium poppy cultivation • Estimated annual total production of raw opium	• Annual report of illicit crop monitoring and assessment • Annual World Drug Report • Country illicit drug reports • US annual illicit drug report.

6.1 Illicit Crop Monitoring and Assessment

Outcome 6.1 Illicit crop cultivation in each concerned country is annually monitored, verified and reported	• Data on illicit crop cultivation and production available • Consistency of drug assessment data and report	• Annual report of illicit crop monitoring and assessment • Annual World Drug Report • Country illicit drug reports • US annual illicit drug report
Output 6.1.1 Internationally accepted illicit crop monitoring and assessment methodologies and mechanisms institutionalized in concerned countries in the region	• Scientific and reliable crop monitoring and assessment adopted by all concerned countries for annual survey • National drug production data used by national and international agencies	• Crop monitoring and assessment guideline and manual • Country crop monitoring reports • National drug control and production reports
Output 6.1.2 National capacities on crop monitoring and assessment	• Number of national drug monitoring and assessment trained	• Staff profiles • Training reports

Results hierarchy	Performance Indicators	Means of Verification
created and enhanced	• Number of national staff capable of scientific crop monitoring and assessment	
Output 6.1.3 Annual crop monitoring and assessment conducted, verified and reported	• Reliable self monitoring and survey conducted in all countries with illicit drug cultivation	• Country crop monitoring reports • National drug control and production reports
6.2 Alternative livelihoods		
Outcome 6.2 Illicit crop cultivating communities have access to sustainable livelihood programmes to improve living conditions	• Number of communities or villages receiving development interventions • Improvement of living conditions (health, education, income, infrastructure, communication, • Proportion of population below $1 (PPP) per day • Poverty gap ratio	• National social economic reports • National development report • MDG report
Output 6.2.1 Illicit crop cultivating countries have national plan and policies for sustainable livelihood and illicit crop elimination with resource allocation plan	• Existence of national plan and policy on alternative livelihood for opium poppy farmers and ex-opium growers	• National socio-economic plan document • National budget plan and allocation documents.
Output 6.2.2 National capacities on integrated programme design and implementation as well as resource mobilization strengthened	• Increased availability of appropriate tools, training, advisory services and technical assistance to support effective sustainable livelihood programmes. • Increased number of institutions with capacity to design, implement, evaluate and monitor sustainable livelihood plans and programmes • Number of national personnel trained on programme design and management	• Institution and Staff profiles • Training reports • Programme and project design manuals and guidelines • Planning and management tools and instruments
Output 6.2.3 Comprehensive and integrated sustainable livelihood and food security programmes/ projects formulated	• Increased number of integrated rural development programmes/ projects in the opium growing and	• Programme and project proposals and documents • Community development reports

Results hierarchy	Performance Indicators	Means of Verification
under national and international resources for the ex-opium producing families and communities.	• ex-opium growing areas • Availability of alternative livelihood and food security services in the needed communities.	
6.3 Sustainability and Integration		
Outcome 6.3 Sustainable livelihood and illicit crop elimination efforts are sustained and integrated into the mainstream of development	• Number of socio-economic development programmes as well as rural development and poverty reduction programmes include narcotic drug objectives • Level of financial and political support given by international community, funding agencies, civil society and private sector to food security and integrated development programmes and projects. • Annual opium reduction and elimination maintained	• National socio-economic plan • International and development assistance reports • Annual report of illicit crop monitoring and assessment • Annual World Drug Report • Country illicit drug reports
Output 6.3.1 Awareness on illicit crop cultivation raised among national and international communities as well as civil society	• Number of press and media reports on illicit crop cultivation issues • Participation of national and international community and civil society in anti-drug campaign and interventions	• Press clipping • National drug campaign reports
Output 6.3.2 Partnership and networking increased	• Number of successfully facilitated agreements • Number of verifiable collaborative field activities	• Agreement documents and reports • Partnership and advocacy reports • Directory of collaborated partners
Output 6.3.3 Sustainable livelihood and narcotic crop elimination objectives mainstreamed into broader development and poverty reduction framework of national and international agencies and the private sector	• Increased national ministries and agencies address illicit crop elimination and narcotic reduction issues • Number of agreements where international agencies, donor organizations, civil society, NGOs and the private sector are utilized as delivery agents for programmes	• National ministerial plan and programmes • Development assistance agreement documents • Programme and project implementation and progress reports

Annex 2 – RPF outcomes link to UNODC Strategy result areas (2008-2011)

UNODC Regional Programme Framework for East Asia and the Pacific OUTCOMES (2009-2012)		1.1 Ratification and implementation of conventions and protocols	1.2 International cooperation in criminal justice	1.3 Criminal justice systems: more accessible, accountable and effective	1.4 Terrorism prevention	2.1 Threat and risk analysis	2.2 Scientific and forensic capacity	3.1 Community-centered prevention	3.2 Corruption prevention	3.3 HIV/AIDS prevention and care	3.4 Alternative development	3.5 Treatment and rehabilitation of drug-dependant persons	3.6 Prison reform	3.7 Juvenile justice	3.8 Assistance to victims
1. Illicit trafficking	1.1 Border control	X	X	X		X		X	X						
	1.2 Trafficking in persons	X	X	X		X		X	X					X	X
	1.3 Drugs and precursors	X	X	X		X	X		X						
	1.4 Natural resources and hazardous substances	X	X	X		X			X						
	1.5 Smuggling of migrants	X	X	X		X		X	X					X	X
2. Governance	2.1 Public sector	X	X	X		X			X						X
	2.2 Asset recovery	X	X	X		X			X						
	2.3 Anti-money laundering	X	X	X		X			X						
	2.4 Advocacy – Civil Society and business	X	X	X		X			X						
3. Criminal justice	3.1 Ratification	X	X	X	X										
	3.2 Legal framework			X			X								
	3.3 Justice system			X		X			X					X	X	X
	3.4 Transnational organized justice	X	X		X										
4. DDR	4.1 Prevention					X		X							
	4.2 Treatment					X						X			
	4.3 Reintegration							X				X			
5. HIV/AIDS	5.1 Coverage							X		X				X	
	5.2 Strategic knowledge					X									
	5.3 Mainstreaming									X					
6. Sustainable livelihood	6.1 Illicit crop monitoring and assessment					X					X				
	6.2 Alternative livelihoods							X			X				
	6.3 Sustainability and integration							X			X				