

Mid-term evaluation of project

TD/RER/H22

Establishment of the Central Asian Regional Information and Coordination Centre - CARICC

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CONTENTS

	<i>Page</i>
Executive Summary	4
Summary matrix of findings, supporting evidences and recommendations	7
1. Introduction	
A. Background and context	10
B. Purpose and scope of evaluation	12
C. Execution modalities	12
D. Evaluation methodology	12
E. Limitations to evaluation	15
2. Major findings and analysis	
A. Relevance of the project	16
B. Attainment of the project objectives	18
C. Institutional and management arrangements and constraints	20
3. Outcomes, outputs, impact and sustainability	
A. Outcomes and outputs	23
B. Impact	26
C. Sustainability	27
4. Lessons learned and best practices	
A. Lessons learned	29
B. Best practices	30
5. Recommendations	31
6. Conclusions	32
Annexes	
Annex A – Background and Context of project	
Annex B – Terms of Reference	
Annex C – Data Collection Plan	
Annex D – Stakeholder coverage and interviewees	
Annex E – CARICC questionnaire	
Annex F – CARICC Most Significant Change (MSC) questionnaire	
Annex G – CARICC agreement	
Annex H – Reference documents	

Glossary of Terms and Abbreviations

CARICC	Central Asian and Regional Information and Coordination Centre
UNODC	United Nations Office on Drugs and Crime
ROCA	Regional Office for Central Asia
AZE	Republic of Azerbaijan
KAZ	Republic of Kazakhstan
KYR	Kyrgyz Republic
RUS	Russian Federation
TAJ	Tajikistan
TKM	Turkmenistan
UZB	Republic of Uzbekistan
UK	United Kingdom
USA	United States of America
IT	Italy
DE	Germany
FR	France
LE	Law Enforcement
LEA	Law Enforcement Agency
CDB	Centralised Database
HCA	Host Country Agreement
WCO	World Customs Organisation
SECI	Southeast European Cooperative Initiative
SELEC	Southeast European Law Enforcement Centre
CA	Central Asia
MSC	Most Significant Change
DCP	Data Collection Plan

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Executive Summary

The idea for project TD RER H22 - Establishment of the Central Asian Regional Information and Coordination Centre - was developed in 2003. All available information indicated that illicit drug trafficking was increasing in Central Asian countries. Analysis of the illicit drug trafficking situation in the region proved that the measures undertaken by that time were not sufficient, although drug seizures were increasing both in terms of the amount of drugs seized and of the number of cases registered.

Combating illicit drug trafficking requires well-organised mechanisms of information/data collection, processing and analysis, as well as the exchange of the final information product among agencies involved at national, regional and international levels.

Intelligence-led law enforcement is being recognised as a most efficient methodology for investigation and disruption of drug-related and other major organised crime. Transition to intelligence-led techniques through the strengthening of criminal intelligence analysis and creating networks between relevant law enforcement bodies is an accepted strategic objective for countries facing drug trafficking problem. The project aimed at providing assistance for establishing regional capacities for the exchange of criminal intelligence, primarily in support of major drug-related investigations, in the countries affected by illicit drug trafficking from Afghanistan. It was designed to develop an effective system for the exchange of suspect information at the regional level, and further transmission to central national drug intelligence units for action, collation, enhancement and dissemination as appropriate.

Therefore it was proposed to establish the Central Asia Regional Information and Coordination Centre (CARICC), which would serve as a regional focal point for the communication and transmission of information in “real time” on cross-border crime. The Centre was thought to serve as a task force for certain operations and also function as the centre for organisation and coordination of joint operations, including controlled deliveries. It was envisaged that CARICC would create and maintain databases related to illicit drug trafficking and related crime.

Project TD RER H22 was launched in late 2004 with the main objective **“to improve the effective activity and cooperation between competent authorities in MOU member states in preventing and combating trans-border drug trafficking and international drug related organized crime”**. The decision was taken to break the project into phases. As a result of this decision and due to lack of funds at that time, the project revision in fall 2004, phased the project into three self-sustained components. Phase I did not introduce any changes to the originally approved project, but moved into operations only those approved project components that provided for the development of an adequate legal and institutional framework for the creation of CARICC, the identification and selection of the CARICC premises, and for regional expert and policy consultations needed to conclude national and regional agreements on the creation and maintenance of CARICC as a regional entity. To that effect, project phase I also covered the formation of a regional expert group (lately named Project Team), which, with the support of an international project coordinator, was to move these discussions and draft documents forward at their respective national and regional levels.

The Phase 2 launched in March 2006 did not introduce any changes to the originally approved project. It covered activities related to the renovation of the premises, the selection and recruitment process of the staff to be seconded by each participating country to the Centre, the provision of equipment together with other logistical and expert advice. Phase 2 also did not otherwise change the project objectives, outputs or budgets of the originally approved project. Successful implementation of initial two phases of the project led to endorsement of CARICC Agreement, which was then signed by the heads of the states. Ratification of the CARICC Agreement was initiated.

The purpose of the present evaluation is to identify the results achieved by project TD/RER/H22 – CARICC and to determine the gaps and produce advice on further directions. Its scope is regional and covers the time period 2004 to 2010. The evaluation methodology took both a quantitative and qualitative approach and triangulated data from various sources. This included a desk review of the key project documents, a questionnaire to donors, a Most Significant Change (MSC) narration and interviews with a number of

stakeholders. This included UNODC staff, CARICC staff, CARICC based liaison officers, observer status liaison officers, donors and consultants.

Major findings in this evaluation include the continuing need for an organisation such as CARICC in the Central Asian region. This evaluation also finds that – for the most part – CARICC is equipped to be that organisation and is delivering on its main objective. It is staffed with dedicated, professional individuals, and other stakeholders and partners have a largely positive attitude and working relationship with CARICC. The impact and influence that certain individuals have had, and continue to have, in driving CARICC forward should not be underestimated.

A large part of achieving the CARICC vision is dependent on the member states sharing information with CARICC. With only (approximately) 5,200 objects in the CARICC CDB this information sharing is not happening at a rate which will allow CARICC to deliver on this vision. It could have been circumspect to have built into the CARICC agreement, member state targets regarding the quality and quantity of data to be supplied. With this in mind any similar future projects that negotiate an MOU allowing for the sharing of information should include some target element.

The main barrier to CARICC effectively discharging some of its duties, in particular coordinating joint operations and supplying operational intelligence from its centralised database, is a lack of the right information being supplied to CARICC due to a lack of trust. These trust issues can partially be resolved through CARICC becoming a more autonomous and transparent organisation. Through this CARICC can demonstrate its neutrality and ‘honest broker’ status in the region which will bring a trust dividend. Some of the recommendations within the evaluation are aimed at achieving this longer term goal.

With these findings and conclusions in mind the evaluation makes the following specific recommendations, which are described in detail in the following summary matrix of findings, supporting evidence and recommendations.

Mid-Term Evaluation Report

Findings: problems and issues identified	Supporting evidences	Recommendations
1. Possible legal ramifications that could jeopardise the CARICC project on issues such as staff immunity and building security.	No host country agreement (HCA) ratified although the HCA was signed by the Kazakhstan government in October 2009 it has still to be ratified by parliament.	CARICC with the support of the UNODC to pursue the ratification of the host country agreement with the relevant Republic of Kazakhstan authorities within the next 6 months.
2. Potential blockage in the supply of information to CARICC thereby restricting its ability to meet part of its overall objective.	Lack of progress within the majority of the seven member states to pursue the internal procedures to sign the agreement on the exchange of secret information.	Under the existing agreement CARICC with the support of the UNODC to encourage those member states still to implement internal processes and procedures to supply secret information to the CARICC central database to do so within the next 6 months. If possible include agreed targets for the quality and quantity of this information.
3. Rotation of CARICC Directors position could leave CARICC open to a lack of long term, coherent strategic vision.	Insufficient autonomous CARICC control over strategic direction of the organisation.	Over the next 12 months expand, agree and enshrine the powers of the CARICC Council in a binding document that allows it the autonomy to set, monitor and amend CARICCs strategic objectives in line with the existing regional LE environment.
4. Integration of CARICC into existing and developing regional and international LE projects.	Continuing Paris Pact and Rainbow Initiative - in particular the Triangular Initiative - and the interface between CARICC and Interpol's I-24/7 global communication network.	Over the next 6 months CARICC and the UNODC to develop a paper detailing specifically <u>how</u> CARICC will engage with other regional and international actors such as – but not exclusively – Europol, SECI Centre and the JPC. This will include the interface arrangements with Interpol and its I-24/7 global communications system and the invitation of additional observer status liaison officers to CARICC.
5. CARICC does not have the full intended impact when organising and coordinating	Interview feedback during evaluation.	Within the next 12 months CARICC to host and run a substantial controlled delivery

Mid-Term Evaluation Report

Findings: problems and issues identified	Supporting evidences	Recommendations
joint operations including controlled deliveries.		table top exercise for the CA region to assist in identifying potential barriers to conducting controlled deliveries <u>and</u> to provide potential solutions to removing those barriers.
6. Difficulty in obtaining quality information from the member states for the CARICC to analyse in its centralised database. This is due in large part to a lack of trust between partners.	Number of 'objects' in centralised database.	In very close cooperation with the Liaison Officers CARICC to consider awareness raising initiatives aimed explicitly at building trust between CARICC and the appropriate national competent authorities of the seven member states.
7. As the project evolves and CARICC takes greater responsibilities for its daily operation, new skills will be needed and the transparency of process and procedure will have to be embedded in the culture of the organisation.	Lack of certain posts within CARICC and skills within other posts to ensure the future smooth and ethical running of the organisation.	Appoint and train appropriate CARICC staff in readiness for the devolvement of greater day-to-day running powers from the UNDOC to CARICC. This should include the appointment of a financial controller and either the appointment or training of a current CARICC staff member to act as an expert in international law enforcement cooperation. This staff member must be fluent in the English language.
8. The current arrangements for CARICC staff recruitment are high. It is crucial these high standards are maintained.	Stakeholders and partners of CARICC pass positive comments on the professional attitude of CARICC staff.	Continue the existing CARICC staff recruitment practices including the use of external and independent interview panel members and polygraph testing.
9. Increasingly the first point of contact for individuals with any organisation is its web site. The CARICC web site needs improved.	There are pages with no information or no relevant information., some data is omitted etc.	Improve and then maintain the CARICC web site by identifying a responsible person for the task and giving them the time to discharge their new responsibilities.

1. Introduction

A. Background and context of the project

The project idea was developed in 2003. All available information indicated that illicit drug trafficking was increasing in Central Asian countries. Analysis of the illicit drug trafficking situation in the region proved that the measures undertaken at that time were not sufficient.

Therefore it was proposed to establish the Central Asia Regional Information and Coordination Centre (CARICC), which would serve as a regional focal point for the communication and transmission of information in “real time” on cross-border crime. The Centre was thought to serve as a task force for certain operations and also function as the centre for organisation and coordination of joint operations, including controlled deliveries. It was envisaged that CARICC would create and maintain databases related to illicit drug trafficking and related crime.

The project was launched in late 2004 and the decision was taken to break project into phases. As a result of this decision and due to lack of funds at that time, the project revision in fall 2004, phased the project into three self-sustained components. Phase I did not introduce any changes to the originally approved project, but moved into operations only those approved project components that provided for the development of an adequate legal and institutional framework for the creation of CARICC, the identification and selection of the CARICC premises, and for regional expert and policy consultations needed to conclude national and regional agreements on the creation and maintenance of CARICC as a regional entity. To that effect, project phase I also covered the formation of a regional expert group (lately named Project Team), which, with the support of an international project coordinator, was to move these discussions and draft documents forward at their respective national and regional levels.

The Phase 2 launched in March 2006 did not introduce any changes to the originally approved project. It covered activities related to the renovation of the premises, the selection and recruitment process of the staff to be seconded by each participating country

to the Centre, the provision of equipment together with other logistical and expert advice. Phase 2 also did not otherwise change the project objectives, outputs or budgets of the originally approved project.

Successful implementation of initial two phases of the project led to endorsement of CARICC Agreement, which was then signed by the heads of the states. Ratification of the CARICC Agreement was initiated. On November 1, 2007 the Centre started its limited operations within “pilot phase” pending CARICC Agreement entering into force. After finalisation of the preparatory phases of the project there was a need for full scale project implementation, as it was envisaged in the initial project document, aimed at supporting CARICC activities, providing training to the staff of the Centre and liaison officers, supporting its operations and capacity building efforts, as well as promoting cooperation of the Centre both with national authorities and at the regional and international levels. It was also important to ensure financial support to the Centre before the member countries would be in a position to gradually take over this function.

Thus, the project revision in 2008 was aimed at deleting activities, which had been already completed, introducing new outcomes and outputs/activities, which included need for “marketing” strategy for CARICC, support to the operations of the Centre, increasing the project budget and extending the project duration until December 2011 to secure support to the Centre for the initial years of its operations.

Further detail on the background and development of the project can be found at Annex A. Where relevant to the evaluation, the background and development of the project will be specifically referred to in the body of the report.

The seven Member States of CARICC are the Republic of Azerbaijan, Republic of Kazakhstan, Kyrgyz Republic, Russian Federation, Republic of Tajikistan, Turkmenistan and the Republic of Uzbekistan. The donor countries are Canada, Czech Republic, Finland, France, Italy, Luxembourg, Turkey, United Kingdom and United States of America. To date the project budget is USD \$ 15,400,000 (fifteen million, four hundred thousand US dollars).

B. Purpose and scope of evaluation

The purpose of the present evaluation is to identify the results achieved by project TD/RER/H22 – CARICC and to determine the gaps and produce advice on further directions. Its scope is regional and covers the time period 2004 to 2010.

C. Execution modalities

The overall execution responsibility remains with the UNODC Regional Office for Central Asia in Tashkent. This office, through its Representative, supervises and guides the work of the Project Coordinator based in Almaty, Kazakhstan in the execution of this project. The Regional Office seeks the approval and comments of relevant UNODC Vienna sections and units for major project decisions, including the approval of the project's work-plan, required revisions, any changes in implementation strategy, or other policy issues related to this project.

D. Evaluation methodology

The elements that combined to create the initial logic model for the CARICC Project are identified and broken down into their component parts. From this the appropriate indicators that existed at the time of the conception and implementation of the programme are identified. These indicators form the bedrock of the subsequent data collection, including the basis for semi-structured interviews, questionnaires and picking out relevant benchmarks from project documentation.

Naturally the entire data collection and analysis should not be skewed by a reliance on indicator analysis. A suitable technique to bring balance and perspective to the process is employed, specifically 'most significant change' (MSC) narration analysis. This also has the advantage of being better suited to measuring impact than 'simple' indicator analysis. The theory and use of MSC narration is a well documented and researched approach to evaluating and monitoring change projects. It is particularly useful in the evaluation of outcomes and impact and does not rely on the identification and monitoring of indicators. It is a systematic collection and then analysis of significant changes over a defined period of time. Within the law enforcement environment of information gathering and coordination -

which does not easily lend itself to measurement by many of the standard quantitative methods – this approach can bring great value. The application of these two techniques (indicator and MSC analysis) keeps a proper balance between qualitative and quantitative analysis.

Since a major element of the evaluation process is aimed at ‘learning lessons’ for the future, the qualitative side of the data collection should not be understated. Time and effort should be put into ensuring the best questions are formulated to retrieve the right information from the interviews with the relevant stakeholders. One of the critical aspects of deploying this approach is to ensure that the synthesis and balance between indicator data and MSC data is well judged.

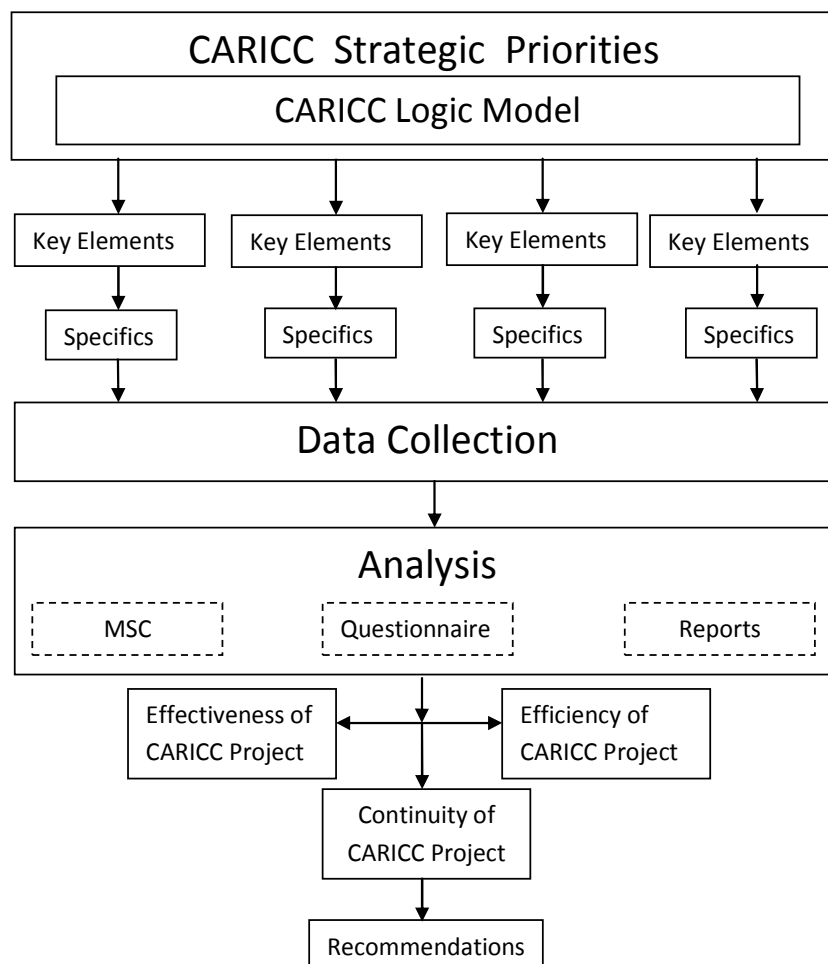
The desk based, content and results analysis of recommendations and conclusions from various reports (see Annex H) forms part of the overall methodology. The use of a brief case study, highlighting the key aspects of what is required to bring about a successful CARICC intervention, is also provided. This specifically assists when evaluating the questions on ensuring successful integration of the project into national strategies.

To ensure objectivity is built into the evaluation methodology the analysis is triangulated by analysing data received from different sets of stakeholders. By doing this the effect that inherent biases have on the analysis and evaluation process can be reduced.

The majority of the qualitative information was obtained through face-to-face interviews, telephone calls and e-mail exchanges with the main stakeholders identified in the terms of reference. These interviews were arranged during the consultant’s visits to the CARICC and the ROCA Offices in Almaty and Tashkent respectively. The quantitative information which is utilised to assist in assessing if the project revision objectives of 2008 have been met was primarily obtained from the desk review material supplemented by specific questioning of appropriate stakeholders where needed.

Taking all of the above into consideration the overall methodology is to determine and measure the appropriate indicators as conceptualised at the start of the project and as updated under the 2008 project revision. Suitable data collection tools, including semi-

structured interviews, questionnaires and desk based research illicit the information on those indicators. A concurrent MSC analysis is undertaken and the results combined to provide a completed evaluation with continuity and legacy recommendations.



The data collection plan must address the four explicit objectives of this evaluation, namely:

1. Assist the project management to adjust the implementation vector
2. Allow donor countries to get an overall assessment of the project and its activities.
3. Contribute to strengthening the monitoring and evaluation system to support a results-based management of the project.
4. Provide information on findings, lessons learned and recommendations with regard to efficiency, effectiveness, appropriateness, relevance, impact and sustainability of the project.

Each of these four explicit objectives must be placed in the context of:

1. Overall assessment of the project (context and rationale); Relevance
2. Attainment of the projects objective; Effectiveness / Efficiency

3. Achievement of outcomes and outputs; Effectiveness / Efficiency
4. Impacts (long-term effects)
5. Sustainability
6. Partnership / cooperation
7. Lessons learned and best practices

The detailed terms of reference can be found at Annex B.

The data collection plan (DCP) at Annex C replicates the questions asked within the terms of reference (ToR) document. The different stakeholders identified within the ToR are included in the DCP with the sampling and list of respondents found at Annex D. Where desk review of the material still left gaps in knowledge to answer the ToR questions other stakeholders were approached (see Annex E and F) to fill those gaps. Indication is made in the DCP as to the main sources used to gather information on these questions.

The questionnaire at Annex E is designed to elicit a quantifiable response from a wide range of stakeholders. The questions 1 to 8 reflect some of the key questions within the data collection plan. Questions 9 and 10 are there to encourage a more discursive response.

The questionnaire at Annex F is designed to capture the narration of individuals with regard to the 'most significant change' (MSC) the project has delivered. It is designed to make those questioned consider not only the biggest change that the CARICC has delivered for the region but what are the greatest barriers it faces and how CARICC in general could be improved. By encouraging the interviewees to give their opinions in this manner MSC evaluation can highlight many different positives. This is particularly important in a law enforcement organisation concerned with improving cooperation and coordination where its performance cannot easily be monitored using only traditional quantitative measures.

D. Limitations to the evaluation

A total of only 14 working days allocated to the evaluation process proved a limitation. This is a complex project with six years of activity to be reviewed, analysed and evaluated to provide recommendations for further action. As a result of this lack of time, some areas are not covered in as much depth as the evaluator would have wished.

Secondly the official response to the questionnaires sent out to the donor countries asking for feedback on the ‘value for money’ of the project was poor with only one donor country out of the nine contacted giving verbal feedback. This can be partially linked to the first limitation where a lack of time for both the donors to respond and for the evaluator to ‘chase’ the responses was a definite factor. Coming over the summer annual leave period did not help in this regard. However this lack of written response is partially offset by some of the responses given to the evaluator during his interviews with representatives of the donor countries.

Finally the limitation of 15 pages for the evaluation has restricted the depth into which the explanations on the analysis and subsequent recommendations could be described. This is true for describing both ‘good practice’ and ‘lessons learned’. There were over 24 hours of face-to-face or telephone interviews, many project and related documents supplied and answers to the standard questions. The synthesis of this into 15 pages of explanatory text proved challenging.

2. Major findings and analysis

A. Relevance of the project

CARICC very much exists to fill a specific an identified need within the Central Asian (CA) Region. The initial concept of an organisation dedicated to the collecting, collating, analysis and dissemination of relevant law enforcement information to countries within the region to assist in complex, multi-national, drug trafficking investigations was – and still is – a sound platform for the project. Concomitant with this is the desire to have an organisation which can assist in a practical sense with the coordination of controlled deliveries throughout the region and especially long term multilateral operations.

At the beginning of 2004 – when discussions were taking place on the need for CARICC – all respondents interviewed for this evaluation stated there was a requirement for an organisation like CARICC. Coupled to this the documentation produced at the time also indicated a substantial amount of international support for the initiative. The passage of time has not changed these perceptions to any great extent and all the stakeholders still

believe that an organisation such as CARICC should exist to do the job broadly outlined in the CARICC agreement (see Annex G).

During the life of the project it has had to adapt to the ever changing geo-political landscape. The UNODC Project Team and project coordinator have been able to adjust their approaches and have kept the project moving forward. The change in location for the CARICC and the persuasion skills to achieve ratification of the CARICC agreement by all seven member states are just two such examples.

In relation to whether the current CARICC objectives reflect current national need the answers to question 1 of the questionnaire (see Annex E) suggest that – in broad terms – it does. The 11 respondents who were asked the question stated that CARICC reflected their countries objectives in an excellent (4), good (6) or fair (1) manner.

However time has also brought some fresh challenges for CARICC. Should it wish to remain relevant within the region CARICC must consider the way it reacts to the changing political and law enforcement environment in which it operates. The Paris Pact and Rainbow Strategy – which has further developed since the CARICC project was initiated – will require CARICC to forge new working alliances with some other emerging actors in the region. The UNODC Triangular Initiative – and subsequent establishment of the Joint Planning Cell – which brings together law enforcement personnel of Afghanistan, Pakistan and Iran to tackle (among other issues) the problem of drug trafficking in the region is one such example where CARICC will have to strategise their response. It should be noted that in response to questions 3 and 4 in the questionnaire (see Annex E) – of the 6 respondents who felt knowledgeable enough to offer an opinion – only 1 gave an excellent rating with 2 giving good and 3 fair for the issues of CARICC implementing strategic planning and reacting to operating environment changes. This is of particular immediacy given the ongoing process of inviting Afghanistan in its current capacity of an observer at CARICC to second a Liaison Officer to join CARICC in Almaty.

B. Attainment of the project objectives

The main objective of the project is “to improve the effective activity and cooperation between competent authorities in MOU member states in preventing and combating trans-border drug trafficking and international drug related organized crime” This has to be achieved by “establishing a Central Asian Regional Information and Coordination Centre (CARICC) that will serve as a regional focal point for communication, analysis and exchange of operational information in “real time” on cross-border crime, as well as a centre for organisation and coordination of joint operations.¹

Insofar as the CARICC exists – and is being used by the competent authorities of the MOU member states – this evidences that a large part of the primary objective of the project can be said to have been met. CARICC provides a location that allows and encourages liaison officers from the MOU countries to sit within the same building and exchange information on cross border criminality quickly and efficiently. It also provides a centralised database (CDB) for the storage and ‘real time’ analysis of information by CARICC staff on behalf of the MOU countries. The Most Significant Change (MSC) questionnaire (see Annex F) also highlighted this achievement. The majority of respondents (20 out of 27) indicated that simply being able to bring the seven CA states together under one roof with liaison officers attached was a major significant and positive change. Further to this they also highlighted that the existence of CARICC has encouraged national LE actors and stakeholders to acknowledge this is a regional issue and that tackling drug trafficking requires a regional, cross border response.

The creation of CARICC in itself is an impressive achievement, given the challenging geo-political environment that existed (and in part continues to exist) at the time of the project inception. The evaluator noted during several interviews with various stakeholders that the skill and determination of the UNODC ROCA staff charged with assisting in delivering the CARICC was positively highlighted. This was a theme that continued throughout the evaluation and the contribution that individuals can make given the proper support and

¹ RERH22_Project Document_2003_03.11.03

encouragement should not be underestimated. This was also reflected in comments made concerning certain individuals within CARICC and of some CARICC Liaison Officers.

CARICC itself has proven successful – albeit in a limited fashion – in its role of providing a centralised database (CDB) for the collection, analysis and dissemination of information on drug trafficking issues that extend beyond national boundaries. To illustrate this point the so-called ‘Black Tulip’ investigation shows how CARICC and its partners can be an effective force in tackling cross border, serious and organised crime in CA. Black Tulip was an investigation launched at tackling West African (WA) organised criminals operating within the CA region. CARICC – through analysis of information in its CDB, the drive of Liaison Officers (both member state and observers) and the encouragement of the UNODC Project Team – helped identify that WA criminals were having an impact across many CA countries. CARICC supported Kyrgyz law enforcement who took the lead in investigating this particular phenomena and arrests of West African nationals involved in drug trafficking were made in the region.

In achieving, or attempting to achieve, its objectives CARICC has secured funding from a number of donors as previously detailed. The evaluator found no evidence of wasteful or inappropriate use of funds. However the finances of CARICC do need more accountability and transparency as it moves towards greater autonomy.

Where CARICC falls partially short of its main objective however is in its desire to be an effective coordinating and organizing body for ‘**real time**’ cross border, joint operations such as controlled deliveries. Although taking an active role in the TARCET (pre-cursor trafficking) operations of 2008, 2009 and 2010 it is clear that little ‘real time’ support was delivered by CARICC. It appears that the key function of CARICC during these operations was to provide a location where the relevant parties could meet to conduct their own operations and post-operation debriefs with minimal interaction or information sharing with CARICC. Indeed the majority of seizures from the TARCET operation came from spot checks and the 2010 figures were skewed by one large Pakistan seizure. There is little evidence of CARICC coordinated, real time intelligence led activity. This is further evidenced by the fact that very little of the information from those operations was housed (either at the time or subsequently) in the

CARICC CDB. This is an area of some concern and the reasons behind it will be highlighted in the following sections.

C. Institutional and management arrangements and constraints

It is to the great credit of all parties involved in the CARICC project that the political agreement needed to launch and maintain CARICC has been achieved at the highest level. The CARICC agreement has now been officially ratified by all of the seven Member States. In this area the tireless and committed efforts of the UNODC Project Team and the personal efforts of the UNODC Project Coordinator were repeatedly brought to the attention of the evaluator. This – once again – demonstrates the value of ensuring the right individuals are deployed and given the support to carry out their tasks.

CARICC is now in place and operational and this would suggest that the initial implementation strategy – and its subsequent adaptation – has been effective. The setting up of CARICC has, however, taken longer to achieve than was initially forecast but this was, in part, due to a lack of funding in the early stages. It should also be noted that this was (and remains) an ambitious, complex project which requires close, hands-on, day-to-day project management. The UNODC Project Team has delivered well in this area having identified their target groups and ensuring that – for the most part – measurable objectives have been set and achieved.

This CARICC agreement, naturally, provides the framework to allow CARICC to conduct its business. However the simple existence of the agreement and its subsequent ratification does not – in itself – guarantee the success of CARICC. Several other factors have to coincide to ensure that CARICC operates in the manner in which it was intended.

One of those key elements is to have the appropriate logistics in place to allow CARICC to function efficiently. The UNODC can be rightly proud of the steps they have taken to find a suitable location, have it furnished and then staffed with committed, dedicated personnel who have been provided with the tools to allow everyone to do their job. The evaluator was impressed that 100% of all the individuals that were interviewed who worked within the

CARICC building in Almaty stated they were entirely satisfied in terms of the office hardware and communication technology available to them.

The UNODC have also set up what appears to be an adequate set of checks and balances (including this evaluation) when it comes to monitoring and assessing the overall progress of the project. Project review documents have been produced on a regular (annual) basis and those have been communicated to the stakeholders. There have also been a number of ad-hoc reports and e-mails giving updates to donors and other stakeholders as required. The recommendations within this evaluation should further improve this aspect of the project.

One area of concern, however, is the fact that the host country agreement (HCA) has yet to be ratified. This lack of a ratified host country agreement could have potentially serious implications for the future of CARICC as it leaves CARICC and its staff in a legal limbo should any incident happen regarding, for example, staff immunity or building security. The evaluator recognises that the HCA was signed by the Kazak government in October 2009 and the provisions have been supplied without ratification however, ratification should be still be pursued with vigour to ensure no dubiety exists should a dispute occur.

Another key element which is in place is the centralised database (CDB) that exists to store and collate information to allow analysis to be performed that can support the CARICC member states in tackling cross border drug trafficking and related criminality. The evaluator was content with the audit trail facility that exists within the CDB to track user usage of the database and of data security in general. CARICC uses the information in the database – along with other sources including Open Sources – to supply general analytical products such as information bulletins which are produced on a regular basis and the CARICC Drug Situation Report of 2010. They are useful products, not just for the information they contain, but in highlighting CARICC and its purpose.

However the CDB does not appear to be populated with as much useful information as might or should be expected. At the time of the evaluation there were approximately 5,200 'objects' held in the database. An object is one of 22 clearly defined items of information for example a telephone number, name, address etc. Given that one of the main objectives of CARICC is as an Information and Coordination Centre the CDB should contain far more data.

This is one of the main reasons why CARICC is not viewed as being as operationally effective as was initially envisaged.

The MSC questionnaire highlighted why this may be the situation. When asked what was the most significant barrier to the development of CARICC the vast majority of respondents (25 out of 27) identified a lack of trust. There are some examples (e.g. Black Tulip) where some sensitive or secret information has been shared between CA (and other) states through a trust built up between Liaison Officers and CARICC staff working together. However there still seems to be a lack of trust at national competent authority level to share information and supply it to the CARICC CDB.

In an attempt to establish trust CARICC does its best to ensure it employs trustworthy and competent staff. The evaluator was pleased to see the use of a rigorous selection procedure to try and guarantee the most appropriate individuals are selected. This includes an interview panel which uses independent members and a polygraph test when down to the final three candidates. This not only helps provide quality staff but sends a message to those outside CARICC that the employees of the organisation can be trusted with their information.

It is also pleasing to note that many of the Liaison Officers attached to CARICC have an obvious desire to see CARICC succeed and are trying to build 'trust bridges' between their national LE authorities and CARICC. Many of the non Liaison Officer stakeholders the evaluator interviewed commented upon the improving relationship between Liaison Officers of the CA region due in large part to the existence of CARICC. This is having a slow, but positive, effect on the acceptance and usage of CARICC by the member states. Yet again this highlights how critical it is to select the best possible candidates for the key roles that impact on the effectiveness and efficiency of CARICC. The Liaison Officers fill one of those key roles. Thus it is incumbent upon CARICC to ensure it gives as much support and encouragement to the Liaison Officers as possible to promote CARICC with their own national competent authorities. And although directly outside the control of CARICC every effort should be made to encourage the permanent deployment of Liaison Officers from all seven member states at the CARICC premises.

Obviously two of the key positions within CARICC are those of the Director and Deputy Director. The evaluator found them both to be extremely professional in their approach and dedicated to the aims and objectives of CARICC. In discussions with other stakeholders this impression was upheld and many positive expressions of support for the management team of CARICC were forthcoming from many different stakeholders.

The evaluator notes and understands the reasons behind the decision to rotate the Director's position every two years. Specifically this is done to ensure all seven member states have the opportunity to appoint a Director once every 14 years. This two year time frame is quite short however if each new Director is to implement his or her own medium or long term programmes for CARICC. If the term of the Director's position cannot be extended then CARICC should have in place a robust strategy document that outlines the general direction CARICC should take and the steps it needs to take to get there. This will allow each new Director to continue the strategic development of CARICC without having to take time to generate and implement wholly new plans and strategies. Under Article 9.3² of the CARICC agreement the evaluator would suggest that the CARICC Council is best placed to formulate and guide the implementation of this strategy document.

3. Outcomes, outputs, impact and sustainability

A. Outcomes and outputs

The project outputs and activities as detailed in 2003 in the initial Project Document³ have all been achieved with the exception of;

- Output 3 Activity b) *"To prepare and sign a host country agreement..."* The signed document has still to be ratified by the parliament of the host country.

The project outputs and activities as revised in 2006 and detailed in the Project Document Phase 2⁴ have all been achieved with the exception of;

² "The Council shall define the strategic guidelines for the Centre"

³ RERH22_Project document_2003_03.11.03

⁴ RERH22_Project document_2006_Phase 2_10.02.06

Mid-Term Evaluation Report

- Output 1 Activity a) *“To sign a host country agreement”*. The signed document has still to be ratified by the parliament of the host country.

The project outcomes were revisited in 2008 and detailed in the Project Revision Document⁵ and have all been achieved with the exception of;

- Outcome 2 Performance Indicator 1 *“The Host Country Agreement is signed by the Government of Kazakhstan thus allowing smooth functioning of CARICC”*. The signed document has still to be ratified by the parliament of the host country.
- Outcome 3 Performance Indicator 2 *“A criminal database is established and information is supplied from all member states...”* (evaluator’s emphasis). Although some information has been supplied to the CDB it does not appear to be sufficient in volume or quality to allow CARICC to achieve one part of its overall objective.
- Outcome 11 Performance Indicator 2 *“Web-site maintained”*. Although the web site exists it is not well maintained or very user friendly.

Overall the UNODC ROCA and the UNODC CARICC Project Team along with CARICC and the other stakeholders have managed to achieve a substantial amount in a relatively short period of time. It should be noted that numerous outcomes, outputs, activities and performance indicators have been met by the project. The following is a list (which is not exhaustive) giving some examples of outputs met.

- The site for the CARICC is identified and agreed. The building for CARICC is renovated and provided with appropriate equipment.
- Policy on sharing and security of information and standard operational procedures developed and introduced.
- Organisational structure and management system are identified and staff is vetted, recruited and trained.
- Analytical capability of CARICC is developed
- The system of payment of allowances for liaison officer staff is developed and agreed

Of the elements not met there should be a concerted effort to ensure the host country agreement is ratified by Kazakhstan. The legal position of CARICC and its staff will remain

⁵ RERH22_Project document_Rev_13.08.08

Mid-Term Evaluation Report

somehow unclear and subject to debate as long as the agreement remains without official ratification. Should a major incident occur that causes dispute with the host country the future of CARICC could be put in jeopardy.

The next area is one which has already been touched upon during this evaluation and concerns the population of the centralised database (CDB) with appropriate information. As previously noted the CDB does not yet contain a sufficient amount or quality of data for CARICC to provide the cross border, intelligence dividend that forms part of its overall objective, especially in the area of controlled deliveries.

One reason given for this is the difficulty of sharing “secret” information. Article 6.9 of the CARICC agreement explicitly states that *“The procedure for the exchange of secret information as well as its further protection and access shall be specified in a separate agreement”*. The evaluator would strongly encourage that internal process and procedure each member state has to implement to meet this agreement is progressed as quickly as possible. It should also be noted that the CARICC agreement does not preclude the supply of secret information. The national authorities of each of the member state (and other parties) can supply secret information just now to CARICC should they wish to do so.

Another key reason for this shortage of appropriate information in the CDB is a lack of trust between partners. And breaking down this barrier can only come about through the building of trust between CARICC and its Liaison Officers, between CARICC and the national competent authorities and between the Liaison Officers themselves. There are indications that this trust is building (Black Tulip) and that the intelligence reporting from CARICC is improving (Intelligence Bulletins) however it is a slow process. Again it requires the efforts of individuals to want to tackle the issues and who have the vision to realise that cross border, international cooperation is the only way to tackle cross border, international drug traffickers.

The evaluator would suggest that one way of building trust and highlighting potential information sharing blockages would be for CARICC to run a table top controlled delivery exercise. This could last over 3 or 4 days with CARICC staff, Liaison Officers (both member states and observers) and representatives from the appropriate national competent

authorities and other international LE agencies working together and addressing such issues as;

- the secure transmission of data
- the legal instruments (and barriers) to conducting controlled deliveries through CA countries
- the role, influence and added value of Liaison Officers
- the role, influence and added value national and international LE agencies
- the role, influence and added value of CARICC coordination (in particular the advantages of supplying 'real time' information to CARICC and its CDB).

The final issue to raise under this section is that of web-site maintenance. Often an organisations web-site is the first interaction potential clients and customers have with that organisation. It is therefore important to ensure the information is up-to-date, complete and accurate. For example the "Report" tab on the CARICC home page takes you to a blank page about recent drug seizures. The forum page only highlights its lack of use. The Liaison Officers page does not provide contact details for the Liaison Officers of the Russian Federation or the Republic of Uzbekistan. There is nothing on TARCET although substantial background on this can be found on the web-site of the UNODC Central Asia. The responsibility for web-site maintenance falls within the Information and Analysis Unit. This unit is currently understaffed as they await positions being filled. However the maintenance of the web site should be given greater priority within this Unit.

B. Impact

The project has undoubtedly had an impact within the CA region and beyond. The majority of respondents interviewed for this evaluation have noted that CARICC has substantially increased awareness of the scale of cross border, drug trafficking criminality through the CA region. As a direct result of that raised awareness there is a realisation within CARICC member states that this drug trafficking issue can only be tackled effectively by pursuing a regional strategy as well as a national strategy. CARICC is generally viewed as an organisation that is well equipped to assist and guide in this regional approach. From Question 7 in the questionnaire (Annex E) all 6 liaison officers from member states said

CARICC had either an excellent (5) or good (1) impact in their country. **NB** Not all member state liaison officers from all 7 member states were interviewed.

CARICC can also demonstrate a positive impact with regard to building ‘trust bridges’ between the member states of CARICC and with the wider international law enforcement community. The very fact that it exists – and continues to exist – evidences this crucial trust building activity. The evaluator wishes to highlight that a number of interviewees mentioned that one positive impact of CARICC was its ability to be seen and used as a ‘neutral’ partner i.e. an organisation that did not favour one particular nation state over another. This impact and advantage that CARICC holds should not be underestimated.

CARICC also provides a secure and effective location for liaison officers to operate. This has led to an increase in information sharing between member states and with the wider international LE community. This increased information sharing has also led to increased trust between liaison officers; and operations such as “Black Tulip” have been a success due to the existence of CARICC.

The existence of the CARICC CDB offers the CA member states a secure data storage facility and the expertise of CARICC staff and analysts to use that data to provide member states with regional strategic and real time operational reporting. To date the impact of this CDB – and the reporting developed from the information held – has been limited. This is as a direct consequence of CARICC member states not providing enough of the correct type of information to the CDB for reasons previously highlighted in this report.

CARICC has also acted as a coordination centre for controlled deliveries. However the impact in this area has been limited. Again the reasons for this have been highlighted in this report.

C. Sustainability

Under the Terms of Reference this evaluation has to consider “*to what extent are the project objectives sustainable*”. As this is a mid-term evaluation the focus for sustainability is on the challenges for sustainability and recommendations to help meet and overcome those

challenges. This is in line with one of the key objectives of the evaluation which is to “*assist the project management to adjust the implementation vector*”.

Naturally one of the key challenges to sustainability is resources, in particular financial resources. At the moment CARICC staff costs alone amount to around USD \$ 900.000 per annum. If the project is to continue it will need to generate other income streams and cannot rely on substantial international funding indefinitely. The generous donation and refurbishment of the CARICC building by the host country is to be applauded and – in the fullness of time – it should be expected that the other member states contribute directly to the CARICC budget. The evaluator, however, would advise against any strict pro-rata payment from member states since this approach could marginalise, and subsequently alienate, some member states.

Crucial to the sustainability of CARICC is another resource, namely the personnel it employs. The evaluator notes the excellent work undertaken by the UNODC, CARICC and other stakeholders in recruiting quality staff. It should also be noted that the project has delivered in supplying an environment conducive to good working including location, equipment and training. Naturally all of this should continue and by so doing will help build trust between CARICC and its stakeholders, partners and customers.

For CARICC to continue to deliver the benefits envisaged over the medium to long term it will have to take greater control over its own actions and assume greater autonomy. This will require a serious review of its own internal administrative practices and procedures paying particular attention to financial auditing procedures. CARICC should consider appointing a financial controller with the remit of implementing a programme designed to bring transparency and accountability into CARICC finances in preparation for devolving greater financial control to CARICC.

CARICC will also have to develop further links with the international LE community. In particular emphasis has to be placed on the details of its working relationship with organisations such as Europol, World Customs Organisation, SELEC - SECI Centre, JPC and other agencies. The relationship with Interpol is of crucial importance given the current, developing links with the Interpol I-24/7 global communication system. Supporting all of this

it will be necessary for CARICC to be able to function well in an English language environment. CARICC will have to improve the English language skills - both spoken and written – of its personnel.

Finally, in order to meet and sustain one of part of its current objective regarding coordination of 'real time' operations (including controlled deliveries) CARICC will have to increase the sharing of member state information through its CDB. This issue has been previously covered in the report however the evaluator wishes to stress the importance of this requirement. The CARICC Council should consider different and innovative ways of encouraging this sharing of information. For example the trafficking of cannabis is of current concern within some countries in the CA region and perhaps a focus on this area could initiate the supply and exchange information through the CDB.

4. Lessons learned and best practices

A. Lessons learned

Creating a UNODC project team with enough resources to launch and then continue to support the project was vital. Equally important was choosing the right personnel to form this team and giving them enough logistical support and autonomy to carry out their agreed tasks. The value of dedicated, empowered, professional individuals in driving projects forward should not be underestimated. Individuals make the difference and the organisation, processes and procedures are there only as a catalyst for change. They are not an end in themselves.

A large part of achieving the CARICC vision is dependent on the member states sharing information with CARICC. With only (approximately) 5,200 objects in the CARICC CDB this information sharing is not happening at a rate which will allow CARICC to deliver on this vision. It could have been circumspect to have built into the CARICC agreement, member state targets regarding the quality and quantity of data to be supplied. With this in mind any similar future projects that negotiate an MOU allowing for the sharing of information should include some target element.

With a new project such as CARICC it is important to establish a strong corporate identity as early as possible and to market the organisation in a coherent, consistent and creative manner. A major component in this is the use of modern communication technology in getting the message of what CARICC is and does to a wider audience within the LE community. Although the project review document of 2008 tries to address this marketing issue, it could have been implemented earlier and with greater vigour.

B. Best practices

During this evaluation it became clear that the relative success of CARICC has been a combination of many different factors coming together at the same time. However one of those key factors has assumed greater importance and could be loosely called 'the human factor'. Many individuals commented on the positive difference that individuals have made to the project. Whether that is the drive of the UNODC Project Coordinator and his team, the commitment of the CARICC Directorate to making it work or the initiative of Liaison Officers in promoting and using CARICC. All of this is underpinned by individual effort from Liaison Officers of observing countries to engage and supply information, advice and expertise where needed. The importance of deploying the most appropriate and properly motivated personnel should be recognised.

Linked to this is the recruitment process for an organisation such as CARICC which can only function on a trust basis. The use of independent members on an interview panel and a selection process which involves written exercises and polygraph testing demonstrates both to the candidate and to others within and outside the organisation that employment is based on merit and transparency.

One aspect of CARICCs work which has not been examined in any great depth so far but should be mentioned is the number of different trainings, workshops, seminars and meetings which it hosts. Bringing together individuals from various different national and international authorities offers CARICC the opportunity to promote itself and its work. There is no doubt that this will bring benefit to CARICCs operational work in the future.

5. Recommendations

The following recommendations are based solely upon the data gathered during this evaluation process and the analysis thereof.

- CARICC with the support of the UNODC to pursue the ratification of the host country agreement with the relevant Republic of Kazakhstan authorities within the next 6 months.
- Under the existing agreement CARICC with the support of the UNODC to encourage those member states still to implement internal processes and procedures to supply secret information to the CARICC central database to do so within the next 6 months. If possible include agreed targets for the quality and quantity of this information.
- Over the next 12 months expand, agree and enshrine the powers of the CARICC Council in a binding document that allows it the autonomy to set, monitor and amend CARICCs strategic objectives in line with the existing regional LE environment.
- Over the next 6 months CARICC and the UNODC to develop a paper detailing specifically how CARICC will engage with other regional and international actors such as – but not exclusively – Europol, WCO, SECI Centre and the JPC. This will include the interface arrangements with Interpol and its I-24/7 global communications system and the invitation of additional observer status liaison officers to CARICC.
- Within the next 12 months CARICC to host and run a substantial desk top controlled delivery exercise for the CA region to assist in identifying potential barriers to conducting controlled deliveries and to provide potential solutions to removing those barriers.
- In very close cooperation with the Liaison Officers CARICC to consider awareness raising initiatives aimed explicitly at building trust between CARICC and the appropriate national competent authorities of the seven member states.

- Appoint and train appropriate CARICC staff in readiness for the devolvement of greater day-to-day running powers from the UNDOC to CARICC. This should include the appointment of a financial controller and either the appointment or training of a current CARICC staff member to act as an expert in international law enforcement cooperation. This staff member must be fluent in the English language.
- Continue the existing CARICC staff recruitment practices including the use of external and independent interview panel members and polygraph testing.
- Improve and then maintain the CARICC web site by identifying a responsible person for the task and giving them the time to discharge their new responsibilities.

6. Conclusions

There is little doubt that there was a need for an organisation such as CARICC when the concept was developed and the logic model constructed. This need is still present and – therefore – the need for a continuing CARICC is apparent. In a relatively short period of time the project has overcome many hurdles and CARICC is now established as a regional actor of some influence. In many areas CARICC is demonstrably successful (providing a centralised database, a location for member state liaison officers to function, analytical reporting, expertise in cross border drug trafficking investigations, improving information exchange between member states and improving information exchange with regional and international stakeholders). In other areas (organisation and coordination of joint operations including controlled deliveries) it has been less successful.

CARICC is also in an ideal position to drive forward the issue of building trust between partners. It is seen by many stakeholders in CARICC and other actors in the region as an ‘honest broker’ in the field of Central Asian law enforcement. This is a perception that CARICC should use to its advantage when building trust. Naturally this ‘neutral’ status achieved by CARICC could be easily lost so great care must be taken when recruiting CARICC personnel, and its in-house procedures must be tailored to ensure the transparency and neutrality of CARICC is maintained. If CARICC loses the trust of its partners it will not be able to function.

Mid-Term Evaluation Report

Over the coming months CARICC should ready itself for a devolving of power from the UNODC. Part of this readiness needs to include an appraisal of new revenue streams to maintain sustainability. It also requires the ratification of outstanding agreements – most notably the host country agreement. It also requires the development, agreement and implementation of operating processes and procedures within the areas of autonomous CARICC activity, in particular within the financial environment. The CARICC Council needs to be the lead body in this transition period.

Although faced with many challenges CARICC is (or can be) equipped to deal with them and become an even stronger addition to LE efforts of tackling drug trafficking in the CA region.

Annex A

Background and Context of project

The project idea was developed in 2003. All available information indicated that illicit drug trafficking was increasing in Central Asian countries. Analysis of the illicit drug trafficking situation in the region proved that the measures undertaken by that time were not sufficient, although drug seizures were increasing both in terms of the amount of drugs seized and of the number of cases registered.

Combating illicit drug trafficking required well-organised mechanisms of information/data collection, processing and analysis, as well as the exchange of the final information product among agencies involved at national, regional and international levels.

Intelligence-led law enforcement is being recognised as a most efficient methodology for investigation and disruption of drug-related and other major organised crime. Transition to intelligence-led techniques through the strengthening of criminal intelligence analysis and creating networks between relevant law enforcement bodies is an accepted strategic objective for countries facing drug trafficking problem. The project aimed at providing assistance for establishing regional capacities for the exchange of criminal intelligence, primarily in support of major drug-related investigations, in the countries affected by illicit drug trafficking from Afghanistan. It was designed to develop an effective system for the exchange of suspect information at the regional level, and further transmission to central national drug intelligence units for action, collation, enhancement and dissemination as appropriate.

Therefore it was proposed to establish the Central Asia Regional Information and Coordination Centre (CARICC), which would serve as a regional focal point for the communication and transmission of information in “real time” on cross-border crime. The Centre was thought to serve as a task force for certain operations and also function as the centre for organisation and coordination of joint operations, including control deliveries. It was envisaged that CARICC would create and maintain databases related to illicit drug trafficking and other types of crime.

The Centre was planned to facilitate cooperation of the parties involved with their counterparts from abroad. This could be achieved through the agreement to host drug/law enforcement liaison officers from the “consumer” countries as observers.

During the visit of the UN Secretary-General to Central Asia, the President of Uzbekistan put forward an idea of establishing the Regional Centre.

At the 4th and 5th Review Meetings on the Memorandum of Understanding on Sub-Regional Cooperation in Drug Control held in December 2002 in Ashgabad, Turkmenistan and in December 2003 in Baku, Azerbaijan the delegates from Azerbaijan, Kazakhstan, Kyrgyzstan, Tajikistan, and

Uzbekistan expressed support for the idea of establishing the Centre.

The project was launched in late 2004 and the decision was taken to break project into phases.

As a result of this decision and due to lack of funds at that time, the project revision in fall 2004, phased the project into three self-sustained components. Phase I did not introduce any changes to the originally approved project, but moved into operations only those approved project components that provided for the development of an adequate legal and institutional framework for the creation of CARICC, the identification and selection of the CARICC premises, and for regional expert and policy consultations needed to conclude national and regional agreements on the creation and maintenance of CARICC as a regional entity. To that effect, project phase I also covered the formation of a regional expert group (lately named Project Team), which, with the support of an international project coordinator, was to move these discussions and draft documents forward at their respective national and regional levels. Phase I did otherwise not change the project objectives, outputs or budgets of the originally approved project. This decision was based on the need to introduce step-by-step implementation of the activities of the project and due to limited donor funding at that time.

Consequently, during the first phase of the project, the regional expert group – Project Team comprised of one representative from each participating State has been established. It addressed the issues related to the development of the institutional documents, the identification and selection of the Centre premises.

The Phase 2 launched in March 2006 did not introduce any changes to the originally approved project. It covered activities related to the renovation of the premises, the selection and recruitment process of the staff to be seconded by each participating country to the Centre, the provision of equipment together with other logistical and expert advice.

Phase 2 also did not otherwise change the project objectives, outputs or budgets of the originally approved project.

Successful implementation of initial two phases of the project led to endorsement of CARICC Agreement, which was then signed by the heads of the states. Ratification of the CARICC Agreement was initiated. On November 1, 2007 the Centre started its limited operations within “pilot phase” pending CARICC Agreement entering into force.

After finalisation of the preparatory phases of the project there was a need for full scale project implementation, as it was envisaged in the initial project document, aimed at supporting CARICC activities, providing training to the staff of the Centre and liaison officers, supporting its operations and capacity building efforts, as well as promoting cooperation of the Centre both with national authorities and at the regional and international levels. It was also important to ensure financial support to the Centre before the member countries would be in a position to

gradually take over this function.

Due to success of activities within two phases of the project additional donor support was provided, which exceeded that time total budget of the project. This funding was sufficient to launch full-scale activities aimed at further development of CARICC infrastructure and its capacities. Other reasons for the project revision were:

- Implementation of the project started at the end of 2004, not in January 2004 as it was initially planned;
- Objectively long process of signing and ratification of CARICC Agreement;
- Significant decrease of US dollar rate.

Thus, project revision in 2008 was aimed at deleting activities, which had been already completed, introducing new outcomes and outputs/activities, which included need for “marketing” strategy for CARICC, support to the operations of the Centre, increasing the project budget and extending the project duration until December 2011 to secure support to the Centre for the initial years of its operations.

Annex B

Terms of Reference

PURPOSE OF THE EVALUATION

- a) present evaluation is initiated by TD/RER/H22 project;
 - 1. this will be mid-term evaluation;
 - 2. evaluation is managed by the project Sr. Coordinator and supervised by the management of the Regional Office for Central Asia (ROCA);
 - 3. the Project Document envisages the mid-term evaluation. The purpose of the present evaluation is to identify the results achieved and to determine the gaps and produce advise on further directions;
- b) mid-term evaluation was envisaged in two years after commencement of the revised (2008) project;
- c) stakeholders of the present evaluation are the project management, which will provide the overall managerial support to the evaluation, management of ROCA, which will provide overall supervision over the procedure in order to obtain the clear picture of the present project standing and future developmental vectors, CARICC management and staff, liaison officers both from member states and other countries/observers – partners of CARICC, and donors financing the project in order to monitor the achievement of the goals set for this project. All stakeholders mentioned above will comprise the Core Learning Partnership.

EVALUATION SCOPE

GENERAL

- (a) The time period to be covered – 2004 – 2010;
- (b) The geographical coverage – regional;
- (c) The thematic coverage – one project TD/RER/H22 – CARICC.

Key evaluation questions to be answered by the evaluation

The revised project commenced in the end of 2008. In compliance with the project document, the midterm evaluation is scheduled to take place in two years after commencement of the revised project. This would assist the project management to adjust the implementation vector, when needed, and allow the donor countries to get the overall assessment of the project and its activities.

Mid-Term Evaluation Report

The evaluation findings should also contribute to strengthening the monitoring and evaluation system to support a results-based management of the project. The evaluation should provide information on findings, lessons learned and recommendations with regard to efficiency, effectiveness, appropriateness, relevance, impact and sustainability of the project.

The evaluation report will be shared with relevant units of UNODC, government counterparts, and the donor countries.

The midterm evaluation covers the activities of the project on establishment of CARICC from actual date of the start up to December 2010. In particular, the specific areas of evaluation should cover the following:

1. Overall assessment of the project (context and rationale) -Relevance

- a. To what extent have the project been developed and implemented within the framework of the existing UNODC strategic instruments such as the Rainbow Strategy?
- b. To what extent are the project logic, concept and approaches appropriate and relevant to achieving the governments' policies and objectives?
- c. What were the intended results, supporting project/activities, inputs and processes required? Risks and assumptions considered?
- d. To what extent complementarities and synergies of the project with other projects implemented by UNODC in the region created?

2. Attainment of the projects objective; Effectiveness /Efficiency

- a. Were necessary measures taken to ensure the effectiveness and efficiency of the project?
- b. To what extent has the project achieved its intended objective to date?
- c. Implementation strategy (operational plan, monitoring and evaluation)
- d. Does the project have clearly identified specific target group(s) and measurable objectives in the programme documents?
- e. To what extent have the project implementation processes been effective and efficient in achieving the overall objective? Have the programme manager adapted to change, by adjusting the programme design and direction, when deemed necessary?
- f. Have the resources been mobilized and utilized efficiently?

- g. Is there an appropriate mechanism in place to monitor and assess the overall progress of the project? How have programme achievement and lessons learned been disseminated to the stakeholders?
3. Achievement of outcomes and outputs; Effectiveness /Efficiency
 - a. Have the personnel been trained as intended by the project?
 - b. What are the immediate changes brought about by the project? Any specific evidence documented?
 - c. What are the specific roles and responsibilities of staff at region, field office, country, donors and other partners in implementing and managing the project?
 - d. What are the potential challenges that may prevent the operations from producing intended results?
 4. Impacts (long-term effects)
 - a. What are the potential impacts of the project?
 - b. To what extent can the project expect to achieve the positive impacts based on project results observed at the moment?
 5. Sustainability
 - a. To what extent are the project interventions sustainable?
 6. Partnership/ cooperation
 - a. How effective were the partnership and cooperation aspects addressed?
 7. Lessons learned and best practices
 - a. What are the best practices (if any)?
 - b. What specific lessons (if any) can UNODC draw from the project experiences?

Annex C

Data Collection Plan

DATA COLLECTION PLAN					
Data requirement	Sources				
	CARICC Project management and staff	ROCA management	Liaison Officers / Observers	Donors	Sundry project documentation
1. Overall assessment of the project (context and rationale) - Relevance					
a. To what extent have the project been developed and implemented within the framework of the existing UNODC strategic instruments such as the Rainbow Strategy?	✓	✓			✓
b. To what extent are the project logic, concept and approaches appropriate and relevant to achieving the governments' policies and objectives?			✓		✓
c. What were the intended results, supporting project/activities, inputs and processes required? Risks and assumptions considered?	✓				✓
d. To what extent complementarities and synergies of the project with other projects implemented by UNODC in the region created?	✓	✓			✓
2. Attainment of the projects objective - Effectiveness / Efficiency					
a. Were necessary measures taken to ensure the effectiveness and efficiency of the project?	✓		✓		✓
b. To what extent has the project achieved its intended objective to date?	✓				✓
c. Implementation strategy (operational plan, monitoring and evaluation)	✓	✓			✓
d. Does the project have clearly identified specific target group(s) and	✓		✓		✓
e. To what extent have the project implementation processes been effective and efficient in achieving the overall objective? Have the programme manager adapted to change, by adjusting the programme design and direction, when deemed necessary?	✓	✓			✓
f. Have the resources been mobilized and utilized efficiently?	✓	✓	✓	✓	✓
g. Is there an appropriate mechanism in place to monitor and assess the overall progress of the project? How have programme achievement and lessons learned been disseminated to the stakeholders?	✓				✓
3. Achievement of outcomes and outputs - Effectiveness / Efficiency					
a. Have the personnel been trained as intended by the project?			✓		✓
b. What are the immediate changes brought about by the project? Any specific evidence documented?	✓	✓	✓	✓	
c. What are the specific roles and responsibilities of staff at region, field office, country, donors and other partners in implementing and managing the project?	✓	✓	✓	✓	
d. What are the potential challenges that may prevent the operations from producing intended results?	✓	✓	✓	✓	
4. Impacts (long-term effects)					
a. What are the potential impacts of the project?	✓		✓		✓
b. To what extent can the project expect to achieve the positive impacts based on project results observed at the moment?					✓
5. Sustainability					
a. To what extent are the project interventions sustainable?	✓			✓	✓
6. Partnership/ cooperation					
a. How effective were the partnership and cooperation aspects addressed?	✓		✓		✓
7. Lessons learned and best practices					
a. What are the best practices (if any)?	✓	✓	✓		
b. What specific lessons (if any) can UNODC draw from the project experiences?	✓	✓	✓	✓	✓

Annex D

Stakeholder Coverage and Interviewees

Stakeholder Group	Total	Interview Sample	Survey Sample	Coverage
UNODC CARICC Project Team	4	3		75%
UNODC ROCA Management and staff	5	5		100%
CARICC Management	5	5		100%
CARICC Consultants	3	3		100%
Liaison Officers - Member States	7	6		86%
Liaison Officers - Other States	9	5		56%
Donors	9	9	Nil	Nil

STAKEHOLDER INTERVIEWS				
Individual	Stakeholder Group	Position	Date	Time
Tofik MURSHUDLU	UNODC	CARICC Snr Coordinator	01/08/2011	09:00 - 10:30
Beksultan SARSEKOV	CARICC	Director	01/08/2011	10:30 - 11:30
Mukhtarbek MADYBAEV	CARICC	Deputy Director	01/08/2011	11:30 - 12:30
Neil BAILEY	Consultant	Consultant	01/08/2011	12:30 - 13:15
Farkhudin CHONMAKHMADOV	CARICC	Head Coordination Unit	01/08/2011	14:15 - 15:00
Amanzhol URAZBAYEV	CARICC	Head Info & Analysis Unit	01/08/2011	15:00 - 17:00
James CALLAHAN	UNODC	ROCA Ex RR	01/08/2011	18:00 - 18:30
Abdulhamid NOROV	CARICC	Head Organizational Unit	02/08/2011	09:00 - 10:00
Ramiz MUKHARAMOV	LO Member State	Liaison Officer (AZE)	02/08/2011	10:00 - 10:45
Bolatbek BULGAKBAYEV	LO Member State	Liaison Officer (KAZ)	02/08/2011	10:45 - 11:30
Kanat KOZHAKHMETOV	LO Member State	Liaison Officer (KAZ)	02/08/2011	11:30 - 12:15
Sheravliyo MIRZOAVLIYOEV	LO Member State	Liaison Officer (TAJ)	02/08/2011	12:15 - 13:15
Brian TAYLOR	Consultant	Consultant	02/08/2011	14:30 - 15:30
Pierre POUCHAIRET	LO Observer	Liaison Officer (FR)	02/08/2011	16:00 - 16:45
Taalaibek MUSABAEV	LO Member State	Liaison Officer (KYR)	03/08/2011	10:00 - 10:30
Erkin KANGELDIEV	LO Member State	Liaison Officer (KYR)	03/08/2011	10:30 - 11:00
Mathew KREGOR	LO Observer	Liaison Officer (US)	03/08/2011	11:30 - 12:15
Denis TOICHIEV	Consultant	Consultant	03/08/2011	12:15 - 12:45
Azhar BERGENEVA	UNODC	CARICC Project Officer	03/08/2011	15:00 - 15:30
Fariza MUKANOVA	UNODC	CARICC Project Assistant	03/08/2011	15:30 - 16:00
Masood KARIMIPOUR	UNODC	ROCA RR	03/08/2011	17:30 - 18:30
Manfred RINGLE	LO Observer	Liaison Officer (DE)	04/08/2011	13:00 - 14:15
Raffaele UNGARO	LO Observer	Liaison Officer (IT)	04/08/2011	14:30 - 15:30
Steven BROWN	UNODC	ROCA Head of Office	04/08/2011	15:30 - 17:30
Olga KOGAY	UNODC	ROCA Financial Analyst	04/08/2011	17:30 - 18:00
Sergey ENMOLAEV	UNODC	ROCA IT Specialist	04/08/2011	18:00 - 18:30
Paul OWENS	LO Observer	Liaison Officer (UK)	22/08/2011	11:00 - 11:45

Annex E

CARICC Questionnaire

	Excellent	Good	Fair	Poor
1. In your opinion how well does the CARICC reflect your countries policies and objectives?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. How well does the CARICC integrate its work with other UNODC projects in the region?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. How well does the CARICC implement its strategic planning?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. How well has the CARICC reacted to changes in its operating environment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. How well does the CARICC use the resources that it has available?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. How well does the CARICC explain what your role is in assisting the CARICC achieve its objectives?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. How positive an impact has the CARICC had in your country?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. How well has the CARICC managed the issues of partnership and cooperation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

9. In your opinion what does the CARICC project do well?

10. In your opinion where could the CARICC project improve?

Annex F

CARICC Most Significant Change Questionnaire

1. What, in your opinion, has been the most significant benefit that the CARICC has instigated since its inception in 2004?

2. Apart from a lack of resources what, in your opinion, has been the most significant barrier to the success of the CARICC?

3. Apart from increasing resources what, in your opinion, is the most significant change that could be made to the CARICC to improve its effectiveness?

Annex G

CARICC Agreement

AGREEMENT

between the Republic of Azerbaijan, the Republic of Kazakhstan, the Kyrgyz Republic, the Russian Federation, the Republic of Tajikistan, Turkmenistan, the Republic of Uzbekistan on establishment of the Central Asian Regional Information Coordination Centre for Combating Illicit Trafficking of Narcotic Drugs,

Psychotropic Substances and their Precursors

The Republic of Azerbaijan, the Republic of Kazakhstan, the Kyrgyz Republic, the Russian Federation, the Republic of Tajikistan, Turkmenistan, the Republic of Uzbekistan, hereinafter referred to as the Parties,

Being the Member-Parties of the Memorandum of Understanding on sub-regional drug control cooperation dated May 4 1996,

Acknowledging the need for protecting the life and health of nations, as well as securing other vital interests of their states from the severe consequences of illicit trafficking of narcotic drugs, psychotropic substances and their precursors (hereinafter referred to as illicit drug trafficking),

Being deeply concerned about increased illicit drug trafficking and the aggravation of drug abuse problems,

Being guided by the generally accepted principles and norms of international law and the legislation of the Parties,

Proceeding from mutual respect of sovereignty, independence, territorial integrity of the states and non-interference in the internal affairs of one another,

Recognising the importance of strengthening international cooperation in combating illicit drug trafficking, and executing control over their precursors,

pursuing the goals of the Single Convention on Narcotic Drugs of 1961, as amended by the 1972 Protocol amending the Single Convention on Narcotic Drugs of 1961, the Convention on Psychotropic Substances of 1971, and UN Drug Control Convention against the Illicit Traffic in Narcotic Drugs and Psychotropic Substances of 1988, other respective resolutions and documents of United Nations Organisation,

HAVE AGREED as follows:

I. General matters

Article 1

For the purposes of the present Agreement, the terms listed below have the following meanings:

CARICC – Central Asian Regional Information and Coordination Centre for combating the illicit trafficking of narcotic drugs, psychotropic substances and their precursors (hereinafter referred to as Centre);

Seconding state – the Party that seconds its representative to the Centre;

Host state – the Party on the territory of which the Centre is located;

Competent authorities - competent authorities responsible for combating illicit drug trafficking;

Competent international organisation - international organisation dealing with issues related to combating illicit drug trafficking;

Council - Council of National Coordinators of the Parties;

Management of the Centre – Director, Director deputy/deputies;

Official – representative of a competent authority, seconded by the Party to the Centre and appointed to a respective staff position;

Financial controller – official of the Centre that ensures control of all financial operations of the Centre;

Employee – a staff member of the Centre who provides administrative and technical support to the Centre’s operations;

Personnel of the Centre – officials and employees of the Centre;

Liaison officer - representative of the competent authority of the Party who is a staff member of this competent authority and is seconded to the Centre for liaising between competent authorities of the state that seconded him and the Centre;

Members of the family - spouse, underage children and the dependents of officials and liaison officers who permanently live in the same household;

Representatives of the Parties – the heads of delegations, their deputies, delegates, advisors, technical experts, secretaries of delegations sent by the Parties for participating in the meetings and activities of the Centre;

National Coordinating Body - a body appointed by the Party for coordination of cooperation and exchange of information between the Centre and the national competent authorities and other Government bodies of the Parties;

Information with restricted access – secret and confidential information;

Secret information – any form of information protected in compliance with the laws of the states of each Party, received in the course of implementation of the present Agreement, as well as information generated as a result of cooperation of the Parties, unauthorised dissemination of which may cause damage to the security or interests of the Parties;

Confidential information – information the access to which is restricted in compliance with the laws of the Parties;

Intelligence - information obtained in the course of execution of operations and investigation of illicit drug trafficking cases;

Other information – reference, analytical, statistical and other data that relates to combating illicit drug trafficking;

Exchange of information – receiving and sharing the information by the Parties, Centre and the third parties;

CARICC CDB – CARICC Centralised Database;

Observer – a state, which is not a Party to the present Agreement, or competent international organisation which are given the status of the observer at the Centre;

Third party - a state, competent international organisation which is not a Party to the present Agreement, and which does not have the status of the observer at the Centre;

Premises of the Centre – buildings or parts of the buildings used for the purposes of the Centre regardless of the property rights over them, including the land around the buildings or their parts.

Article 2

2.1. Hereby the Parties establish the Central Asian Regional Information and Coordination Centre for combating illicit trafficking of narcotic drugs, psychotropic substances and their precursors. The Centre is located in the city of Almaty, the Republic of Kazakhstan;

- 2.2. The terms based on which the Centre shall be hosted by the city of Almaty, the Republic of Kazakhstan shall be specified in the separate Agreement between the Government of the Republic of Kazakhstan and the Centre.

Article 3

- 3.1. The Centre shall be a permanently operating regional information and coordination interstate agency that shall assist in organizing, undertaking and coordinating agreed joint international operations to combat illicit drug trafficking. The Centre shall also ensure the collection, storage, protection, analysis, and exchange of information on trans-border crime associated with illicit drug trafficking;
- 3.2. In its activities the Centre shall be guided by the provisions of the present Agreement, documents, and decisions of the Parties;
- 3.3. The Objectives and functions of the Centre are defined by the Regulations on the Central Asian Regional Information and Coordination Centre for Combating Illicit Trafficking of Narcotic Drugs, Psychotropic Substances and their Precursors, which is an integral part of the present Agreement (hereinafter referred to as the Regulations on CARICC).

Article 4

- 4.1. The Centre shall have the status of a legal entity and as such shall enjoy all rights and bear all obligations in compliance with the present Agreement, and the legislation of the host state without prejudice to the privileges and immunities of the Centre.

Article 5

- 5.1. The Centre shall be financed by the funds provided by donor-countries, the support of international organisations and the contributions of the Parties;
- 5.2. The implementation of the budget of the Centre, budget reporting and financial audit shall be defined by Regulation on CARICC.

II. Organisation of information exchange and agreed

joint international operations

Article 6

- 6.1. Exchange of information shall be carried out observing the requirements on information protection specified in the national legislation of the Parties. Information shall be exchanged between:

- the Parties via liaison officers;
 - the Parties and the Centre;
 - the Centre and observers;
 - the Centre and the third Parties;
- 6.2. Each Member State shall decide internally on the access level to the information provided to the Centre as well as the procedure of providing this information to other Parties, observers, and the third parties;
- 6.3. The Party that provides information shall be responsible for its accuracy, classification in terms of reliability of the source and validity of the information;
- 6.4. The level of access to information shall be defined by the Party that provides this information. Analytical, reference and statistical information obtained due to processing of available intelligence and other information shall be transmitted upon approval of the Party that provided the source information;
- 6.5. In the course of exchange of information the Centre shall:
- collect, process, collate, store, and protect provided information;
 - develop reference, analytical, and statistical information;
 - provide information on inquiry;
- 6.6. Requests for information and the information itself shall be communicated through secured communication channels;
- 6.7. The users of information obtained in the course of exchange of information or from CARICC CDB shall be liable for the violation of procedures on protection, processing and use of this information in compliance with their national legislation;
- 6.8. The procedure of the establishment and operation of CARICC Centralised Database shall be regulated by the Regulations on CARICC;
- 6.9. The procedure for the exchange of secret information as well as its further protection and access shall be specified in a separate agreement.

Article 7

- 7.1. Cooperation between the competent authorities of the Parties and the Centre in providing assistance in organizing, executing and coordinating of agreed joint

Mid-Term Evaluation Report

international operations and investigations, including controlled deliveries, shall be based on the requests of the Parties interested in (such) assistance;

- 7.2. A request for assistance may be submitted in hard copy or electronic format;
- 7.3. In case of emergency, a request may be submitted verbally, and confirmation by a hard copy or in electronic format should be provided within three days;
- 7.4. When technical means of transmission of information are used, and in case there is doubt as to the authenticity or the content of the authentic request, the requested Party may ask for confirmation from the requesting Party in hard copy or electronic format;
- 7.5. Request for assistance shall contain the following information:
 - name of the requesting Party;
 - name of the requested Party;
 - summary of the request and reasoning;
 - other information needed for providing assistance;
- 7.6. The requested Party shall take appropriate measures for the timely and thorough fulfilment of requests. Requested information is to be provided within 30 days starting from the date of receiving the request. In case of urgency, requested information is to be provided within 10 days, and immediately in emergency situations;
- 7.7. The requested Party may allow the representatives of the requesting Party to be present on its territory while the request is fulfilled if this does not contradict its legislation;
- 7.8. If a request can not be fulfilled, or in case of rejection of the request, the requested Party shall promptly notify the requesting Party with explanations of the reasons for the non-fulfilment of the request;
- 7.9. Request may be completely or partially rejected if the requested Party believes that execution of the request may harm the sovereignty, security and other interests of the state or if it contradicts its legislation;
- 7.10. In cases where the requested Party believes that the immediate execution of the request may impede criminal prosecution, or other executions being carried out on its territory it may postpone the fulfilment of the request and bind its execution with fulfilment of prerequisites that would be identified after consultations with the

requesting Party. If the requesting Party agrees to receive assistance on such terms then it should meet these prerequisites;

- 7.11. The Parties shall ensure the protection and confidentiality of information as well as the content of documents and materials on issues related to combating illicit drug trafficking that are exchanged between the Parties;
- 7.12. The requesting Party shall use the received information only for the purposes that were stated in the request;
- 7.13. Information, including documents and materials shall not be divulged to third parties without the expressed written approval of the Party which provided this information;
- 7.14. In case a request cannot be satisfied confidentially, the requested Party shall notify the requesting Party, and the requesting Party decides whether this request shall be satisfied on these terms;
- 7.15. The Parties shall themselves shall assume financial responsibility for the expenses of execution of the request on their territory;
- 7.16. The Parties shall themselves bear all the expenses associated with the travel and accommodation of their representatives on the territory of the host Party, unless otherwise agreed to in writing.

III. Organisational matters of the Centre

Article 8

- 8.1. Each Party shall assign a National Coordination Body and shall prepare a list of the competent authorities, which shall communicate with the Centre. The Depositary should be notified of this 30 days after all internal procedures required for this Agreement to enter into force are completed;
- 8.2. In case of changes made to the list of competent authorities by one of the Parties, the Party shall inform the Depositary on the changes;
- 8.3. The Parties shall take all necessary measures to provide the conditions that would allow the national coordination bodies to fulfil their objectives, especially regarding access to the required information.

Article 9

- 9.1. The Parties shall execute control over the activities of the Centre via the Council;
- 9.2. The Council shall be composed of the heads of the competent coordination body of each state and the Director of the Centre;

Mid-Term Evaluation Report

- 9.3. The Council shall define the strategic guidelines for the Centre;
- 9.4. The functions of the Council shall be as follows:
- to define the major activities of the Centre and provide assistance in resolving issues in relation to the execution of multilateral drug control operations;
 - to consider the candidates for management positions and submit designation proposals to the heads of the Member States for approval;
 - to approve the organisational structure and the staffing of the Centre;
 - to execute control over the activities of the Centre;
 - to determine the resources required for fulfilling the goals and objectives of the Centre;
 - to estimate, approve the budget, and control the use of budget funds;
 - to consider the financial and audit statements of the Centre;
 - to regularly consider the degree of protection of information and databases;
 - to consider disputes between the Centre and the competent authorities of the Parties;
 - to perform any other function as specified in the legal documents, which regulate the activities of the Centre;
- 9.5. The Council shall convene periodically but no less than twice a year on the territory of one of the Parties as shall be agreed upon;
- 9.6. The meetings of the Council shall be as a rule chaired by the representative of the country hosting the meeting;
- 9.7. The Council shall make decisions based on consensus. A decision shall be considered adopted if no less than 3/4th of the Council's members are present.

Article 10

- 10.1. The procedure of seconding officials to work at the Centre shall be regulated by the legislation of the country that seconds an official;
- 10.2. The duration, conditions, and terms of work for the Centre's personnel, as well as the qualification requirements for the positions and duties are specified in the Regulations on CARICC;

10.3. The personnel of the Centre shall be remunerated from the budget of the Centre.

Article 11

11.1. Liaison Officers are seconded to the Centre by the competent authorities. They are and shall remain the staff members of these competent authorities throughout the period of secondment;

11.2. The period for which liaison officers shall be seconded to the Centre is determined in compliance with the legislation of the seconding country;

11.3. Liaison officers shall not be members of the Centre's staff;

11.4. The objectives and duties of liaison officers are stated in the Regulations on CARICC.

Article 12

12.1. A state that is not a Party to the present Agreement and a competent international organisation may be given the status of observer according to the set procedure;

12.2. The conditions under which the status of the observer is given, as well as the objectives and functions of their representatives are specified in the Regulations on CARICC.

IV. Privileges and Immunities

Article 13

13.1. The personnel of the Centre shall have the status of international employees;

13.2. In the course of execution of their duties, the personnel of the Centre may not inquire or receive directions from the governments or officials of any Party, and/or from any government, organisation or a private person;

13.3. Each Party shall commit itself to fully respect the international nature of duties of the personnel of the Centre and to abstain from influencing them in the performance of their duties.

Article 14

14.1. The officials of the Centre being on the territory of the Parties:

1) Are not subject to criminal, civil, or administrative liability in respect of words spoken or written and all acts performed by them in their official capacity except for the following:

- the facts of disclosure of the information or restricted access if such became available to other people;

Mid-Term Evaluation Report

- a civil action by a third party for damage arising from an accident caused by a motor vehicle belonging to the Centre or its staff member, or driven by him/her;
 - a civil action brought against them for compensation of damages in connection with the death or physical injuries caused by the actions of the official;
- 2) Shall be exempted from taxation on salaries, allowances and emoluments paid to them by the Centre;
 - 3) Shall be immune from national service obligations;
 - 4) Shall be free, together with the members of their families, from migration and registration restrictions applied to foreigners;
 - 5) Shall enjoy the same privileges in currency operations that are enjoyed by diplomatic agents on the territories of the Member States;
 - 6) Shall enjoy, together with the members of their families, the same privileges in repatriation that are enjoyed by the diplomatic agents in time of international crisis;
 - 7) At the time of first taking up their post or leaving the country due to the termination of the contract, shall have the right to import and repatriate including private cars free of any tariffs, dues, customs duties, taxes and levies in compliance with the legislation of the host state, except for payments for specific services rendered;
- 14.2. Provisions of subparagraph 2) of paragraph 14.1. of the current Agreement shall apply to employees of the Centre.

Article 15

- 15.1. Officials of the Centre, liaison officers, representatives of the observers, and the members of their families shall enjoy the privileges and immunities specified in the present Agreement from the moment of arrival to the host state, and from the moment they begin performing their duties if they are already on the territory of the host state;
- 15.2. In case of officials of the Centre, liaison officers, and representatives of the observers quitting the Centre, their privileges and immunities and the privileges and immunities of the members of their families end at the moment they leave the host state or their privileges and immunities continue to exist only within 30 days period after they quit the Centre. The privileges and immunities of the members of their families end as soon as they stop being as such, but with the reservation, that if they leave the host state within 30 days, then privileges and immunities shall be valid to the moment they leave the host state;

15.3. In the event of death of an official, liaison officer or a representative of the observer, the members of their families shall continue enjoying the privileges and immunities up to the moment they leave the host state or within 30 days period prior to their departure from the host state.

Article 16

16.1. Visas shall be granted via accelerated procedures and free of charge based on an invitation letter offering a position or a warrant.

Article 17

17.1. The representatives of the Parties, while executing their duties and while travelling to the place of activities being organised by the Centre in the Member States and back, shall be granted the following privileges and immunities:

- 1) Immunity from arrest or detention, seizure of personal property, as well as criminal, civil or administrative liability in respect of words spoken or written and acts performed in their capacity as representatives;
- 2) Inviolability of all documents;
- 3) The right to use ciphers, to receive or send papers and correspondence via couriers and valise;
- 4) Immigration restrictions, registration as foreigners or national service duties in the country of temporary stay or transit during the course of execution of duties shall not be applied to them and their spouses;
- 5) Privileges in currency operations that are enjoyed by the representatives of foreign governments while being on business trips;
- 6) Immunities and privileges in relation to their personal baggage similar to those granted to diplomatic representatives;
- 7) Other privileges and immunities that are enjoyed by diplomatic representatives except for the right to request exemption for customs duties on imported goods (that are not part of the personal luggage), or excise tax, or sales tax;

17.2. To ensure freedom of speech and the independent exercise of their functions the representatives of Parties shall not be subject of criminal, civil or administrative liability in respect of words spoken or written and acts performed with the exception of cases of disclosure of restricted access information. This provision shall remain valid after the respective persons are no longer the representatives of the Parties;

17.3. In cases where taxation depends on the duration of stay, the period during which the representatives of the Parties are stationed in any Member State to fulfil their responsibilities, shall not be included into the duration of stay;

17.4. Provisions of subparagraphs 1), 2) и 3) of the paragraph 17.1. of the present Article shall not be applied to relations of the representative and of the Government which citizen he/she is or which the representative he/she is or was.

Article 18

18.1. Liaison officers and the members of their families shall enjoy the same privileges and immunities as provided for a diplomatic agent in the host state;

18.2 The privileges and immunities granted to the representatives of the observers shall be determined by the Agreement between the host state and the Central Asian Regional Information and Coordination Centre for combating illicit trafficking of narcotic drugs, psychotropic substances and their precursors.

Article 19

19.1. In addition to the privileges and immunities provided by the present Agreement, the officials of the Centre, liaison officers, representatives of the observers as well as the members of their families living with them shall enjoy other privileges and immunities of diplomatic agents and their families in compliance with international law as may be agreed between the Parties;

19.2. Privileges and immunities that shall be enjoyed by officials of the Centre, liaison officers, representatives of the Parties, representatives of the observers shall be granted not for the personal benefit of the individuals themselves but for the effective and independent execution of their official functions in the interests of the Centre;

19.3. The officials of the Centre and liaison officers shall not have the right to participate in entrepreneurial or other activity for their own benefit or the benefit of other people;

19.4. All persons that enjoy the privileges and immunities in compliance with the present agreement are bound, without prejudice to their privileges and immunities, to respect the legislation of the Parties and not to interfere into their internal affairs.

Article 20

20.1. Personnel of the Centre and the liaison officers shall enjoy free movement on the territory of the Parties to the extent, which is necessary for the exercise of their official duties if this does not contradict the laws of the Parties on restricted access to certain zones, or the access to those zones is regulated for reasons of state security;

- 20.2. The personnel of the Centre and liaison officers on the territories of the Parties shall use Identification Cards, which shall be recognised by the authorities of the Parties as the document identifying the status of these persons;
- 20.3. The personnel of the Centre and the liaison officers as well as the members of their families shall enjoy all privileges, guarantees and compensations provided by the laws and regulations of the seconding state, including terms of remuneration, reservation of residence medical service, rank, years of service, as well as a position that is not lower than before being seconded to the Centre, over entire period of their stay in the host state and upon return;
- 20.4. Provision of pensions to the personnel of the Centre and liaison officers shall be done in compliance with the legislation of the Parties;
- 20.5. The period of work at the Centre of the personnel and liaison officers as well as the period their spouses (who are not citizens of this state) stay in the host state shall be accounted for their seniority in compliance with the legislation of the Parties, whose citizens or residents they are.

Article 21

- 21.1. The property and assets of the Centre shall be immune from any form of administrative or judicial interference of the Member States;
- 21.2. The premises and motor vehicles of the Centre, its archives and documents, including official correspondence, regardless of the place of location shall not be subject to search, seizure, confiscation, and any form of interference that may impede the operations of the Centre;
- 21.3. The premises and motor vehicles of the Centre may not be used as a refuge for legally persecuted persons, or for persons subject to extradition to any Party to the CARICC or the third state;
- 21.4. Immunity of the premises and motor vehicles of the Centre does not imply the right to use them for purposes incompatible with the objectives and functions of the Centre, or impairing the security, interests of natural and legal persons of the Parties;
- 21.5. The Centre shall have the right to use ciphers, courier and other means of communication that would ensure security of information. The Centre shall have the right to receive and dispatch correspondence either by courier or in valises that shall have the same immunity and privileges as diplomatic couriers and valises;
- 21.6. The courier shall be provided with official documents identifying his/her status and the number of valises that contain official correspondence;

21.7. All pieces of official correspondence should bear visible outside signs indicating their character, and may contain official documents and items intended for official use.

Article 22

22.1. The Centre, its assets and other property shall be exempt from all direct taxes, levies, charges, and value-added tax (including in the form of refunding in compliance with the laws and regulations of the host state) collected in the host state, including the rent for premises occupied by the Centre with the exception of payments for specific services rendered;

22.2. The property and premises of the Centre shall be exempt from all direct taxes, charges, levies and other payments imposed on the territory of the host state, including rent payment;

22.3. Property and items intended for the official use by the Centre shall be exempt from customs duties, taxes and associated levies, and payments with the exception of payment for transportation, storing, customs services provided outside customs facilities or off time, and similar services according to the procedure provided for international organisations.

V. Final Provisions

Article 23

23.1. The Centre shall have a distinguishing flag, emblem and other distinctive symbols that can be displayed in/on the office premises occupied by the Centre and its motor vehicles;

23.2. The Parties shall recognise the official documents, seals, stamps, and symbols of the Centre.

Article 24

24.1. The official and working language of the Centre shall be Russian.

Article 25

25.1. The present Agreement does not restrict the rights of the Parties to conclude other international agreements on the issues that are the subject of the present Agreement if they do not contradict the goals and objective of this Agreement. The present Agreement does not affect the rights and liabilities of the Parties under other international agreements signed by them.

Article 26

26.1. The issues arising from interpretation or application of the present Agreement shall be resolved via consultations and discussions between the concerned Parties.

Article 27

27.1. The Depositary of the present Agreement is the state hosting the Centre. Official certified copies of the present Agreement shall be sent by the Depositary to the Parties within 15 days starting from the date of signature.

Article 28

28.1. The present Agreement is subject to ratification and shall come into force on the 30th day starting from the day of depositing the fourth Ratification Instrument with the Depositary;

28.2. The text of the present Agreement may be modified or amended as shall be agreed between all Parties. Modifications and amendments shall be reflected by protocols and shall come into force from the moment of receiving the fourth written notification on the execution of internal procedures of the Parties;

28.3. The present Agreement is open for other states to join. Decision on joining shall be taken by the Parties based on consensus;

28.4. For a state that joins the present Agreement, the Agreement shall come into force on the 30th day starting from the day when the Depositary receives the document on joining;

28.5. Any Party may secede from the Agreement, having provided written notification of withdrawal to the Depositary no later than three months prior to the withdrawal. The Depositary shall inform the other Parties on such an intent within 15 days from the day when the notification is received;

28.6. Done in the city of _____ on " ____ " _____ 200_ in one authentic copy in Russian.

For the Republic of Azerbaijan

For the Republic of Tajikistan

For the Republic of Kazakhstan

For Turkmenistan

Mid-Term Evaluation Report

For the Kyrgyz Republic

For the Republic of Uzbekistan

For the Russian Federation

Annex H

Reference Documents

RERH22_2005_APPR – Project Progress Report July 2005

RERH22_2006_APPR – Project Progress Report July 2006

RERH22_2007_APPR – Project Progress Report July 2007

RERH22_2008_APPR – Project Progress Report July 2008

RERH22_2009_APPR – Project Progress Report July 2009

RERH22_2010_APPR – Project Progress Report July 2010

RERH22_Project Document_2003

RERH22_Project Document_2004_Phase 1

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CARICC Agreement 15-02-06

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