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Final Independent Project Evaluation of

**‘Support to Strengthening of Immigration
Control Capacity at the International Border
Gates and International Cooperation to
Prevent and Control Migrant Smuggling and
Human Trafficking’**

VNMS79
Viet Nam

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LIST OF ABBREVIATIONS

AusAID	Australian Government Oversees Aid Program
ASEAN	Association of Southeast Asian Nations
BGC	Border Guard Command
CEDAW	Convention on the Elimination of All Forms of Discrimination Against Women
CRC	Convention on the Rights of the Child
CP	UNODC Country Programme
DAC	Development Assistance Committee
IEU	Independent Evaluation Unit
IOM	International Organisation for Migration
Lao PDR	Lao People's Democratic Republic
LFA	Logical Framework Analysis
Logframe	Logical Framework Matrix
MLA	Mutual Legal Assistance
MOD	Ministry of Defence
MOJ	Ministry of Justice
MoU	Memorandum of Understanding
MPSI	Ministry of Public Security, Immigration Department
MTE	Mid-Term Evaluation
NGO	Non-Governmental Organisation
OECD	Organisation for Economic Cooperation and Development
PCM	Project Cycle Management
PMB	Project Management Board
RPF	UNODC Regional Programme Framework for Asia and the Pacific 2009-2012
SMART	Specific, Measurable, Achievable, Realistic, Time bound
SoM	Smuggling of Migrants
SPC	Supreme People's Court
SPP	Supreme People's Prosecution
TiP	Trafficking in Persons
ToR	Terms of Reference
ToT	Training of Trainers
UK	United Kingdom
UN	United Nations
UN GIFT	United Nations Global Initiative To Fight Human Trafficking
UNIAP	United Nations Inter Agency Project on Human Trafficking
UNODC	United Nations Office on Drugs and Crime
UNTOC	United Nations Convention Against Transnational Crime

EXECUTIVE SUMMARY

Background

This report is the independent final evaluation (FE) of the project “Support to Strengthening of Immigration Control Capacity at the International Border Gates and International Cooperation to Prevent and Control Migrant Smuggling and Human Trafficking”, implemented by the UNODC Office in Ha Noi, Viet Nam (refer nr VNMS79). Implementation commenced in February 2010 with a duration of 3 years and 6 months, with a budget of USD 1,078,540 (both after project revision).

In supporting the Government of Viet Nam to combat the smuggling of migrants and trafficking of people, VNMS79 was designed with a focus on building capacities at land-, air- and seaports through the strengthening of law enforcement and immigration methods (e.g. detection of document and passport fraud, information and trend analysis) in order to better identify and investigate cases of trafficking and smuggling.

The objective of VNMS79 is defined as ‘To strengthen the capacity of immigration control at the border gates and improved skills of investigation, detection and information processing on migrant smuggling and human trafficking in line with the requirements of the United Nations Convention Against Transnational Organized Crime (UNTOC) and its Protocols Against Trafficking of Persons and Smuggling of Migrants’. It is supported by two outcomes: (1) ‘Improved capacities at selected border gates to prevent, detect and investigate human trafficking and migrant smuggling’, further aided through six outputs, and (2) ‘Enhance international cooperation to prevent and control migrant smuggling and trafficking’, supported by two outputs. The outputs include delivery of training, supporting equipment and the provision of legal assistance in setting up legal frameworks and cooperation mechanisms.

Evaluation Methodology

The evaluation methodology is based on the analysis of the OECD-DAC¹ established evaluation criteria: relevance, efficiency, effectiveness, impact and sustainability. Additionally, the evaluation studied the extent of partnerships and cooperation as well as innovation, its effects on project implementation and possibilities of replication into future efforts. The evaluation was carried out in three phases:

- In the Inception Phase, a review of project-produced documents in the desk study was conducted and subsequently an Inception Report describing background and proposed evaluation methodologies including evaluation instruments was submitted to the UNODC, revised, and cleared by the Project Manager;
- The Site Visits and Data Collection Phase consisted of semi-structured interviews with a representation of key project beneficiaries, partners and stakeholders;

¹ OECD DAC: Organization for Economic Cooperation and Development’s Development Assistance Criteria.

- The Report Synthesis Phase consisting of the drafting of the Final Evaluation Report.

Data was acquired through desk research and interviews with representatives of all beneficiary institutions, staff and consultants. Document review included:

- The project document (including budget and logframe) and project work plan;
- Quarterly reports, semi-annual and annual project progress reports held in the project management system;
- Terms of reference for staff and specialists, consultants' reports, and notes from interviews with the beneficiary law enforcement units; and
- Relevant policy publications from the project as well as those from the donors and other institutions.

Limitations to the Evaluation

- No mid-term evaluation was undertaken, and M&E was not a key feature of the intervention;
- Staff changes seriously imperilled the implementation of the project, resulting in the absence of institutional memory;
- A weak project design with flawed indicators leads the evaluation to rely heavily on qualitative data.

Evaluation Findings

Relevance

The project is fully in line with the national priorities of Viet Nam in countering the smuggling of migrants and trafficking in persons (SoM/TiP). The Government, and more particularly the Ministry of Justice, have been working together with UNODC for a number of years to prepare the country to ratify the UNTOC and its supplementing Protocols on Human Trafficking (Palermo Protocol) and the Smuggling of Migrants. The UNTOC and the Trafficking Protocol were ratified in June 2012, while the UNODC continued to provide support in the form of review of national legislation to prepare the grounds for Viet Nam becoming a signatory party to the Protocol against the Smuggling of Migrants by Land, Sea and Air. Additionally, the project's relevance was emphasized through the carrying out of needs assessments in close coordination with the national partners to ensure the correct content of training and the procurement and delivery of the appropriate equipment.

The project document and its objectives are in line with the UNODC Country Programme for Viet Nam 2008-2011 relating to Result Area III "Public Administration Reform and Legal Capacity Building", which includes establishing an overall knowledge base on drug and crime issues, under the guiding principles of UNODC's Operational Priorities. In addition, the project falls under Outcome 4 of the One UN Plan 2006-2010 entitled "The principles of accountability, transparency, participation and rule of law are integrated into Viet Nam's representative, administrative, judicial and legal systems", and Focus Area 3, "Governance and Participation" of the One UN Plan 2012-2016.

The project is also in direct support of the UNODC Regional Programme Framework for Asia and the Pacific 2009-2012 (RPF), specifically for its thematic area 1: Rule of Law². Based on recommendations under the UN GIFT process in 2007, the project is part of a set of responses to strengthen criminal justice responses to trafficking in persons. Moreover, the new UNODC Country Programme 2012-2017, signed on August 14 2013 (during the time of this evaluation) builds further upon the experience acquired during implementation by giving ample attention to future interventions on illicit trafficking of humans through its Sub-Programme 1 (“Transnational Organised Crime and Illicit trafficking”). In more detail, the Programme will focus on supporting initiatives under Outcome 1.1 (“Border Control”) and Outcome 1.2 (“Trafficking of Persons and Smuggling of Migrants”).

The project has three donors: Australia, the UK, and the One UN Plan in Viet Nam. Study of the each of the donors’ strategies showed the project’s direct support to their respective objectives. This view was confirmed during interviews with donor representatives.

Design

The VNMS79 project document contains a strong analysis of both the national and legal context in which the project operates. It provides clear arguments for the justification of the intervention. However, the original project design has a few critical flaws, mainly in the area of developing a sound intervention logic, which in turn leads to confusion regarding the theory of change of the project.

The logframe fails to illustrate a causal relation between outputs, outcomes and objectives; instead, it attempts to directly link outputs to the overall objective. The outcomes themselves are listed separately and do not appear in the logframe. In addition, the indicators provided to measure the rate of success (‘achievement indicators’) fail to pass the SMART-test (specific, measurable, achievable, realistic, time-bound). ‘Outputs’ and ‘outcomes’ are being used interchangeably and incorrectly. A consequence is that the logframe analysis shows a self-serving character of the matrix.

An important reason for the non-SMART indicators is the fact that Viet Nam is still far away from collecting data on the SoM/TiP; hence there is no systematic approach to the analysis of information. It was impossible therefore to have baseline data that could be used as a starting point and against which the project progress could be measured. There are ways to utilise indicators to overcome this problem, which was unfortunately not done (e.g. through a mid-term evaluation).

The design does have a strong aspect, however, and that is the fact that the training programme was developed to fit into the existing annual training programme of the beneficiary institutions. As will be shown in this reflection of the evaluation report, this in turn had a strong positive effect on the impact and sustainability of the project.

Efficiency

The key data for efficiency is shown through budget cash flow (relation between transfers and expenditures), disbursements by activity, and expenditure per component and other

² UNODC Regional Framework for East Asia and the Pacific, 2009-2012; page 11.

costs. This data shows that the project had a considerable start up time, mainly due to numerous staff changes on all levels (top management to executive) and delays in the recruitment of key project personnel. **This in turn impaired overall coordination and communication, and slowed down implementation.**

Project reviews have been undertaken in 2011 and 2012, but no Mid-Term Evaluation was performed. A Project Management Board (PMB) was formed consisting of representatives of the national counterparts, the UNODC, the International Technical Advisor, the National Project Director, and the National Project Coordinator. Unfortunately, initial lack of responsiveness by the implementing agency also caused delays in the implementation of project activities. **These factors lead to the conclusion that efficiency was adversely affected.**

Partnerships and cooperation

As a rule, in defining its priorities and delivering its technical assistance package, UNODC cooperates closely with the Government, UN sister agencies under the overall 'Delivering as One' framework, donor countries and other international partners as well as NGOs. In addition, UNODC has established a strong partnership with Government agencies and officials. Key governmental partners for this project were:

- The Ministry of Public Security, Immigration Department (MPSI)/General Department of Police on Criminal Investigation;
- The Ministry of Justice (MOJ);
- The Ministry of Defence (MOD)/Border Army and Maritime Police; and
- The Supreme People's Prosecution (SPP) and the Supreme People's Court (SPC).

For this project, UNODC established partnerships with other development partners through the Human Trafficking Working Group, which included representatives of Embassies in Ha Noi as well international organisations, and utilised its existing strong network with fellow UN organisations including UNDP, IOM, ILO and the UN Inter-Agency Trafficking Project (UNIAP). The Working Group was established jointly by the project's International Technical Advisor and the US Embassy, with the aim of coordinating the capacity building initiatives in respect of Human Trafficking to ensure that all interested parties were kept informed and to avoid overlap and duplication of activities. Guest speakers at the Working Group meetings included representatives of several Government Departments involved in Anti-Human Trafficking activities. Although the focus was on Human Trafficking, it also presented an opportunity to exchange information on other activities involving border control.

Evaluation feedback through interviews with stakeholders and beneficiaries show that cooperation overall was perceived as very good. This seems to form a solid basis for future project formulation, in which cooperation and coordination can be continued.

The challenge for any project cooperation network is that it exists only during a project's lifetime. The partners to this network however have cooperated closely in the past, and interview feedback indicated that there is no reason to suggest that they will cease to do so in future.

Effectiveness

At the level of the project objective, it is hard to identify evidence of attribution and contribution to strengthened capacity of national counterparts; this is a reflection of the difficulties regarding the M&E system measuring capacity as well as trends in SoM/TiP (as previously described under ‘Relevance’, this also played a role in the design process).

The overall delivery of outputs (activities) was perceived as satisfactory. The activities on Mutual Legal Assistance, the Training of Trainers (ToT) on SoM/TiP, as well as the delivery of the equipment were generally very well received and scored high in post-training evaluations. Especially the knowledge gained, improved skills and the new teaching methods were singled out as very good. The equipment was labelled as very useful, and a very welcome addition in assisting the regions in conducting their own training programme, although in two occasions it was reported that the camera, screen and projector were ‘too small’ for professional purposes. Additionally, it was stated that a colour printer would have been more useful in order to highlight significant details in detecting important details in legal documents. The time frame of two weeks of training was generally considered too short; although some respondents felt it was appropriate, others would have like to see more time given, enabling for more practice and exchange of experiences. Finally, all respondents stated that advanced training would be essential.

Horizontal cooperation (i.e. station to station) has improved, as a reported result of the exchange of experiences during training sessions and the networks that were built consequently.

On the output level, all but two have not been undertaken: a) the study tour³ (both the Government of Viet Nam and the Embassy of Australia were unable to arrange an appropriate time); and b) the upgrading of the MPSI website (which was done by the Ministry itself through own funding).

Impact

The impact of the project is substantial. A considerable impact can be found in the ratification of UNTOC and the Protocol on Human Trafficking by the Government of Viet Nam in June 2012, during the lifetime of the project. The legislative support provided through S79, which has been a main feature of UNODC’s support to the Government over the years, has been instrumental in preparing the country for ratification.

Without exception, all participants of the ToT stated that their confidence in conducting trainings has gone up greatly. Not in the least because of the apprehended teaching skills, but also based on the knowledge gained. The donated equipment added greatly to improved training quality.

Amongst the commanders of the border stations targeted by the project, there is a consensus that detection in general has slightly increased, although this may be due to a higher number of violations as well. In all, it is felt that there is a general better understanding of procedures. This in turn will continue to console the work of the

³ ‘Organising a study tour’ should be correctly labeled as an activity. This evaluation report however uses the labels from the the project design.

Government in preparing the country for alignment with international standards on fight against SoM/TiP.

Sustainability

A strong argument for the sustainability of this project presented itself through the fact that during its life-time the trained officers commenced with conducting the training of their peers based on the distributed training materials, the acquired skills and knowledge and with the help of the donated equipment. The trained officers reported a clear improvement in the trainings they conducted after the project intervention; besides the reported increase in knowledge and skills, interviewees clearly pointed out that their improved confidence helped them ‘to better get the point across’. A strong sign that the project enjoyed a relatively high sense of ownership.

This could form a solid basis for sustainability, only to be jeopardised by a lack of supporting funds and loss of commitment. Regarding this last point, the feedback from evaluation interviews is undeniably strong towards a full continuation of project activities (i.e. provision of training by the newly trained trainers) after project’s end. The training project’s training curriculum has been integrated into the beneficiary institutions’ annual programmes, providing ample opportunity for replication and scaling up.

Innovation

From all sides –donors, national authorities- project VNMS79 was perceived as ‘unique and one of its kind’. The combination of SoM/TiP training, supporting equipment and legal assistance have not been offered before in a coordinated effort. This evaluation finds the ‘all-in-one’ approach commendable and certainly worth considering for future purposes, however, only if a stable management system (mainly on staffing) can be guaranteed to the utmost. In case of an uncertain funding future (which is ominous) it may be better to work with a project design that enables a fragmented approach as well, i.e. implementation of all components in one effort, or on a phased basis.

Conclusions

The project enjoyed a high level of relevance, staking its claim as a central intervention amidst national and international efforts against SoM/TiP as a project fitting to strategic interventions. The project design however showed flaws in its intervention logic and needs improvement.

Efficiency of the implementation was lower than it could have been due to significant staff rotations, mainly at the level of International Project Coordinator, and up to country management level in the project’s inception phase. This in turn created confusion amongst partners and imperilled overall coordination.

The project was effective where it did deliver. Certain outputs were cancelled, and this puts a negative weight on the effect of the initial intentions of the project. The project was able to include more trainees than originally planned whilst preserving its quality on capacity development. In all, while not being able to meet all its intended outputs, the available data (qualitative and quantitative) strongly suggest the project’s progress towards meeting its objective.

The project enjoys a considerable impact. The UNTOC was signed during the project's lifetime, whilst the training generated increase in knowledge and skills as well as understanding of procedures. In addition it plays a reported supporting role in implementing the initiatives as agreed between the governments in the region.

The project activities demonstrated a solid sustainability. The strong relevance formed the basis for ownership at the national and even the local level, and this in turn translated in strong commitment to continue and scale up the project's initiated activities.

The project was innovative in that it was reported to be the first of its kind in delivering training of trainers, training material, training equipment and post-training support under the umbrella of a single project. This was commendable and can be a basis for future initiatives, but the risk of losing focus is present.

Lessons learned

VNMS79 illustrated the importance of relevance of a project in face of a problematic implementation.

The importance of adhering to the principles of PCM was underlined. Special attention should be given to project formulation, M&E and reporting.

The implementation of this project sent a strong message that was felt and identified by all parties involved. The importance of stability in the staffing especially on project coordination and substantive expert levels, as well as executive levels, was well underlined. It may be too obvious to mention, however, the project's main enemy was exactly the lack thereof.

The activities and outcomes of the project have underlined the importance of continuing capacity development at the border gates of Viet Nam (land, air, sea).

Map 1. Viet Nam (with China, Laos and Cambodia). In circles the locations visited: Mong Cai, Ha Noi, Da Nang, Lao Bao, Ho Chi Minh City, and Moc Bai.



SUMMARY MATRIX OF FINDINGS, EVIDENCE AND RECOMMENDATIONS

Findings⁴: problems and issues identified	Evidence (sources that substantiate findings)	Recommendations⁵
The project aligned well with national and well as donor strategies, which translates well into sustainability	Meetings with donor representatives, Government officials, UNODC staff. Review of project documents.	UNODC should maintain and where possible further develop its relations with the donor community and national partners to maintain the cooperation network.
There is no comprehensive data collection or information analysis system regarding SoM/TiP in place in Viet Nam.	Discussions with UNODC staff, Government officials and stakeholders.	UNODC should give additional attention to include the setting up of a data collection and information analysis system on SoM/TiP in a next project, including the use of fake travel documents.
The resulting lack of baseline data impaired the defining of proper indicators for the project, which translated in a weak project design (e.g. non-SMART indicators).	Review of project documents, meetings with UNODC staff and Government officials.	UNODC should consider providing additional technical assistance to staff, e.g. in the form of PCM training, to improve skills on project formulation (especially indicators).
The inclusion of the training delivered under the project into the national curriculum is a significant achievement for the project and illustrates the extent of national ownership.	Meetings with Government officials, representatives of stakeholders and beneficiaries, UNODC staff, review of project documents.	The Government of Viet Nam and UNODC should insist on continuing to improve consultation processes to avoid slippage.
The project suffered from substantial staff rotations. This harmed overall coordination and communication, and ultimately inefficient implementation. The project made effective use of an intermediate through the appointment of a National Project Advisor to smoothen cooperation between partners.	Discussions with UNODC staff, meetings with Government stakeholders, PMB members, project archives.	UNODC should invest in maintaining stable rosters on project coordination and substantive expert levels, as well assure continuing solid cooperation. Albeit halfway through implementation, this move proved its worth and should be considered as a standard approach to future interventions

⁴ A finding uses evidence from data collection to allow for a factual statement.

⁵ Recommendations are proposals aimed at enhancing the effectiveness, quality, or efficiency of a project/programme; at redesigning the objectives; and/or at the reallocation of resources. For accuracy and credibility, recommendations should be the logical implications of the findings and conclusions.

		(not necessarily from the project budget).
Overall M&E was weak, and an MTE was not carried out.	Discussions with UNODC staff, meetings with Government stakeholders, project archives.	UNODC should upgrade its M&E activities, and include MTE in future projects.
The PMB did not include donor representatives. This resulted in a diminished operational authority of this body.	Meetings with the PMB, Government officials, UNODC staff, donor representatives.	UNODC and national counterparts should aim at including all project stakeholders in the PMB to improve its coordinating authority.
Knowledge, skills and confidence levels of new trainers were raised. However it was felt that extended training (including modus operandi of criminal organisations) is desired.	Meetings and interviews with beneficiaries and stakeholders, UNODC staff, review of project documents. Feedback mainly consisting of qualitative data.	UNODC and Government partners should aim to improve M&E as well as pre- and post testing of trainees in future efforts. Additionally, future training efforts should include criminal modus operandi.
Newly gained knowledge and skills were utilised with the use of donated equipment during the project's lifetime.	Feedback from interviews with beneficiaries and stakeholders, project records.	UNODC should consider formalising the selection process on the required equipment (e.g. by signing off on specifications by all relevant parties) to avoid incidental confusion on some of the equipment and their use.
Ownership is strong on national and local levels. Budget limitations may impair long-term sustainability.	Meetings with Government officials and counterparts, UNODC staff.	Continued cooperation between UNODC and the Government is a solid basis for sustainability of future interventions. However, work on improving M&E systems and project staffing is essential to attract future funding.
The intervention was reported to be first of its kind.	Meetings with Government officials and counterparts, UNODC staff, donor representatives.	Aforementioned budget limitations may affect replication. Therefore, smaller scale interventions should be enabled through project designs that allow for phased implementation.
The project supported regional cooperation initiatives on fighting SoM/TiP.	Meetings with Government officials and counterparts, UNODC staff.	UNODC needs to mainstream activities with the Government of Viet Nam in further developing a regional approach in fighting SoM/TiP, e.g. by using its regional network for project formulation and fundraising.

I. INTRODUCTION

Background and context⁶

This report is the final independent project evaluation of the project “Support to strengthening of Immigration Control Capacity at the International Border Gates and International Cooperation to Prevent and Control Migrant Smuggling and Human Trafficking”, implemented by the UNODC Office in Ha Noi, Viet Nam (refer nr VNMS79). Implementation commenced in February 2010 with a duration of 3 years and 6 months, with a budget of USD 1,078,540 (both after project revision).

In supporting the Government of Viet Nam in combatting the smuggling of migrants and trafficking of people (SoM/TiP), VNMS79 was designed with a focus on building capacities at land-, air- and seaports through the strengthening of law enforcement and immigration methods (e.g. detection of document and passport fraud, information and trend analysis) in order to better identify and investigate cases of trafficking and smuggling.

The objective of VNMS79 is defined as ‘To strengthen the capacity of immigration control at the border gates and improved skills of investigation, detection and information processing on migrant smuggling and human trafficking in line with the requirements of the UNTOC and its Protocols Against Trafficking of Persons and Smuggling of Migrants’. It is supported by two outcomes: (1) ‘Improved capacities at selected border gates to prevent, detect and investigate human trafficking and migrant smuggling’, further aided through six outputs, and (2) ‘Enhance international cooperation to prevent and control migrant smuggling and trafficking’, supported by two outputs. The outputs include delivery of training, supporting equipment and the provision of legal assistance in setting up legal frameworks and cooperation mechanisms.

Viet Nam has only recently begun collecting data on smuggling of migrants and trafficking in persons. Therefore, there is limited statistical information available on trafficking and smuggling and even less is known about the nature and extent of organized crime involvement. Some of the information that does exist is contradictory. Nonetheless, both existing data and anecdotal information suggests that there is an increase in the number of persons being smuggled and trafficked. Viet Nam ranks high as a country of origin according to the UNODC’s human trafficking database⁷ (with a large number of people smuggled abroad). There is evidence that some third-country nationals are transiting Viet Nam as clients of people smuggling groups, utilising falsified papers or other (sometimes complex) means to evade detection.

⁶ The analysis and trends of the HT situation in Viet Nam derive from the original project document unless otherwise noted.

⁷ http://www.unodc.org/pdf/traffickinginpersons_report_2006ver2.pdf

With respect to organized crime involvement in human trafficking and smuggling, very little analytical information exists about modus operandi and networks involved. Nevertheless, there is documented as well as anecdotal evidence of organized crime involvement in human trafficking and smuggling.

Driven by ‘pull’ and ‘push’ factors in source and destination countries, groups of people continue to seek to move from countries affected by conflict, resource scarcity, and economic under-development to more developed countries. Viet Nam is affected by these movements. Taking advantage of the situation, trans-national criminal groups engage in migrant smuggling and human trafficking, which is often coupled with other criminal activity, such as terrorism, smuggling of drugs and other contraband, and money laundering. Organized crime groups take advantage of the lack of equal opportunities in source countries, the desire to escape from poverty and to improve one’s status by seeking better lives abroad in order to carry out their criminal activities. Prevention and control of migrant smuggling and human trafficking is an important task, not for any individual country, but requires close cooperation among countries in the world.

In addition to the increasing pressure of population movements, the modus operandi of those involved in smuggling of migrants and trafficking in persons are becoming increasingly complex. The number of people seeking migration outcomes is increasing, challenging the capacity of destination countries’ to support new arrivals. Stricter control measures applied by destination countries have provided an incentive for organized criminal groups engaged in smuggling of migrants and trafficking in persons to seek more and more sophisticated means of defeating detection and maintaining their profits.

Smuggling of migrants and trafficking in persons to and from Viet Nam are similarly increasing in complexity and variation of modus operandi⁸. Some countries are both destination and transit, or both source and transit, or source, transit and destination ones like Viet Nam⁹.

Evaluation Methodology

The final project evaluation focused on three levels: design, process and results. This involved a triangulation process of gathering data from existing documentation and monitoring data, and complementing these data through surveys and interviews with Programme staff, -partners and -beneficiaries, whilst comparing the findings with baseline data (where feasible). This report contains the findings of this process, its conclusions and recommendations. The entire evaluation process adhered to the standards and guidelines set forth by the IEU.

⁸ Source countries include: Russia, Ukraine, Albania, Thailand, Moldavia, Romania, China, Nigeria, Myanmar, Belarus, Viet Nam, Sri Lanka, Pakistan, Iran, Afghanistan, Iraq. Major destination countries include the United States, UK, Canada, Australia, New Zealand, Germany, Italy, Greece, Netherland, Thailand, Japan, India, Spain, and Belgium. Major transit countries include Albania, Hungary, Poland, Bulgaria, Thailand, Cambodia, Romania, Serbia, Montenegro, Czech Republic, Ukraine, and Macedonia.

⁹ According to available information, the two main destinations for human trafficking are China and Cambodia. Other countries of destination include Thailand, Singapore, Malaysia, Indonesia, Republic of Korea, Taiwan and Hong Kong.

The evaluation methodology is based on the analysis of the OECD-DAC¹⁰ established evaluation criteria: relevance, efficiency, effectiveness, impact and sustainability. Additionally, the evaluation studied the extent of partnerships and cooperation as well as innovation, its effects on project implementation and possibilities of replication into future efforts. The evaluation was carried out in three phases:

- In the Inception Phase, a review of project-produced documents in the desk study was conducted and subsequently an Inception Report describing background and proposed evaluation methodologies including evaluation instruments was submitted to the UNODC, revised, and cleared by the Project Manager;
- The Site Visits and Data Collection Phase consisted of semi-structured interviews with a representation of key project beneficiaries, partners and stakeholders;
- The Report Synthesis Phase consisting of the drafting of the Final Evaluation Report.

Data was acquired through desk research and interviews with representatives of all beneficiary institutions, staff and consultants. Document review included:

- The project document (including budget and logframe) and project work plan;
- Quarterly reports, semi-annual and annual project progress reports held in the project management system;
- Terms of reference for staff and specialists, consultants' reports, and notes from interviews with the beneficiary law enforcement units; and
- Relevant policy publications from the project as well as those from the donors and other institutions.

A list of reviewed documents is attached in Annex IV.

Additionally, semi-structured interviews were carried out with representatives from the beneficiaries of the programme and the project donors. The final evaluation used the list of questions as they are grouped per DAC criteria (please see Table 1 below, as well the Evaluation Matrix, Annex 2). These evaluation questions formed the basis for the interviews, whilst the final evaluation maintained sufficient flexibility for other relevant questions to be discussed as well where deemed appropriate.

The final evaluation triangulated data by making use of pre-existing data sources as well examining information collected by other means, such as described above. The validity of each set is tested by first gathering and then comparing multiple data sets with each other. Herewith the final evaluation aimed to strengthen conclusions about observations and to reduce the risk of false interpretations.

The success of triangulation depends upon access to, and use of, multiple data sources. The evaluation heavily relied on a high level of cooperation and buy-in from multiple institutions and stakeholders, e.g. through an initial consensus-building meeting to identify the priority questions to answer through triangulation, and through ad hoc consultation.

¹⁰ OECD DAC: Organisation for Economic Cooperation and Development's Development Assistance Committee.

Table 1. Evaluation Questions per VNMS79 ToR

<i>Evaluation criteria</i>	<i>Key questions</i>
Relevance	<ol style="list-style-type: none"> 1. Is the project objective relevant to the real SOM & TIP situation and needs in Viet Nam? 2. How relevant is the project to the needs of stakeholders in the field of SoM/TiP prevention and control? 3. What are the comparative advantages of UNODC and was the project implemented with these in mind? --Efficiency 4. What is the relevance and appropriateness of the project in light with the Country Programme, the Regional Programme, and One UN Plan? 5. In your view, how does this project fit with your institution's policies, strategy? 6. Design: to what extent were you involved in designing this project? (Including training modules, equipment selection)
Efficiency	<ol style="list-style-type: none"> 7. Have the outputs been delivered in a timely manner? What do you think of the project's deliveries in terms of quality and timing? 8. Has project funding been spent as planned? 9. Could the project outputs been delivered with fewer resources without reducing the quality and quantity? 10. What measures have been taken during project planning and implementation to ensure that resources are efficiently used? Was there a training needs analysis conducted? Were training sessions delivered effectively and adjusted to the national context? 11. In your view, how does this project fit with your institution's agenda? 12. How do you rate the work of and cooperation with <ul style="list-style-type: none"> • The UNODC Country Office? • The Project Management Board? • The National Project Director?
Partnerships	<ol style="list-style-type: none"> 13. To what extent did UNODC coordinate its interventions and alignment with other development partners? 14. Have partnerships with national stakeholders been established? What is the likelihood that these partnerships will be sustained after the end of the project? 15. What are the opportunities, achievements and/or challenges of the partnerships? 16. What are the partnerships with other countries, particularly neighbouring countries? 17. How do you rate the cooperation with project partners? (fellow beneficiaries as well as 'third parties')
Effectiveness	<ol style="list-style-type: none"> 18. Has the project achieved its foreseen objective and results? If not, has some progress been made towards their achievement? 19. What lessons can be drawn regarding project effectiveness? 20. Were technical immigration control capacities of the government strengthened with regard to human trafficking and migrant smuggling? 21. Has progress been recorded on the development of legal frameworks on the smuggling of migrants? 22. What in your view are the strengths of this project? What are its weaker points? 23. What do you rate as the projects failure, or missed opportunity? What is its biggest achievement?

Impact	<ol style="list-style-type: none">24. What are the intended and unintended, positive and negative, long-term effects of the project?25. To what extent can any identified changes be attributed to the project?26. How did this project change your institution with regards to migrant smuggling and trafficking? In what ways?
Sustainability	<ol style="list-style-type: none">27. What is the likelihood that the benefits from the project will be sustained after the end of the project?28. Are the beneficiaries committed to continue working towards project objectives after it ends? Do institutions and professionals have motivation and capacity to effectively prevent and control SoM&TiP?29. Are services developed under the project likely to continue, be scaled up or replicated after the project funding ceases?30. Do you think your institution will be able to continue the activities initiated by this project after its completion? In what ways?31. Do you think your institution is able to expand on the initiated activities and increase these? If not, why?32. What is the likelihood that established partnerships will be continued after the project? In what way?

Limitations to the evaluation

There are a few limitations to this evaluation that deserve mentioning.

The project did not undertake mid-term evaluation. Project reviews did take place, but these were strictly internal, and were merely meant to update/adapt the project's budget and related activities as well as the logframe. There were no recommended actions to be undertaken assessed, and M&E was not a key feature of the intervention.

As will become clear throughout this report, staff changes seriously imperilled the project in a variety of ways. For this evaluation, the absence of institutional memory was obvious. Both staff involved in guiding this evaluation are the last in a long line of project coordinators or –assistants that were put in charge of this project as of January 2013. Nevertheless, their input and professional approach was of great mitigation to bringing this evaluation to its conclusion.

The project design showed some flaws that are discussed in this report. The weak theory of change resulted in immeasurable indicators and baselines that lead the evaluation to rely heavily (if not exclusively) on qualitative data.

The evaluation mission spent three weeks in the country, two of which were utilised to travel to the six target locations; a first evaluation draft report was submitted ten days later. Perhaps a four-year project covering the entire nation may profit from extended time for its final evaluation.

II. EVALUATION FINDINGS

Relevance

Relevance for the partner country

The project is fully in line with the national priorities of Viet Nam in countering SoM/TiP. The Government has been working together with UNODC for a number of years to prepare the country to ratify the UNTOC and its supplementing Protocols on Human Trafficking and the Smuggling of Migrants. The Convention and the Protocol on Human Trafficking were ratified in June 2012.

Viet Nam is also a party to the 1989 Convention on the Rights of the Child (CRC) and has ratified the Optional Protocol on the Sale of Children, Child Prostitution and Child Pornography. Moreover, Viet Nam is a party to the 1979 Convention for the Elimination of all Forms of Discrimination against Women (CEDAW), to the International Covenant on Civil and Political Rights, the International Covenant on Economic, Social and Cultural Rights as well as the ILO Convention No. 182 on Prohibition and Immediate Action for the Elimination of the Worst Forms of Child Labour. The Ministry of Public Security has signed cooperation agreements on crime prevention with China, Cambodia, Lao PDR and the Philippines. Viet Nam has bilateral agreements on mutual legal assistance with Lao PDR, Cambodia and China in the region.

Viet Nam's national legislative framework includes a Penal Code (Article 275) that defines offences related to migrant smuggling. The Code, amended in 1999 (and revised in 2009), includes two specific articles concerning trafficking in women and children. No specific articles on trafficking in men are in place.

The relevance of the project was further cemented by the Approval of the National Target Programme on Crime Prevention and Suppression for the period of 2012-2015, signed August 31 2012; the adoption of the National Plan of Action on Anti-Human Trafficking for the Period 2011-2015; and the adoption of the National Strategy on Crime Prevention and Suppression to 2020 with a vision to 2030, on which it was at least of indirect influence.

The project document correctly realised that SoM/TiP is believed to be an increasing problem in Viet Nam. There is a lack of information about the phenomenon as part of organized crime, much less the modus operandi and networks involved in these activities. This knowledge gap is partly due to the fact that Viet Nam began collecting data on human trafficking and irregular migration only recently. Additionally, there is a lack of institutionalized practices of information sharing and analysis within or among different Vietnamese law enforcement agencies. Due to the sensitive nature of SoM/TiP in Viet Nam, no project was previously undertaken.

The objective of this project, defined as 'Support to strengthening of immigration control capacity at the international border gates and international cooperation to prevent and

control migrant smuggling and human trafficking’ is of great relevance to the SoM/TiP situation in Vietnam.

Relevance to UN and UNODC Programming

The project document and its objectives are in line with the UNODC Country Programme for Viet Nam 2008-2011 relating to Result Area II “Strengthening of the legal framework and judiciary system in drug control, human trafficking, smuggling of migrants and domestic violence against women, and establish an overall knowledge base on drug and crime issues, with the guiding principles of UNODC's Operational Priorities. In addition, the project falls under Outcome 4 of the draft One UN Plan 2006-2010 entitled “The principles of accountability, transparency, participation and rule of law are integrated into Viet Nam’s representative, administrative, judicial and legal systems”.

The project is also in direct support of the UNODC Regional Programme Framework for Asia and the Pacific 2009-2012 (RPF), specifically for its thematic area 1: Rule of Law¹¹. Based on recommendations under the UN GIFT process in 2007, the project is part of a set of responses to strengthen criminal justice responses to trafficking in persons. Moreover, the new UNODC Country Programme 2012-2017, signed on August 14 2013 (during the time of this evaluation) builds further upon the experience acquired during implementation by giving ample attention to future interventions on illicit trafficking of humans through its Sub-Programme 1 (“Transnational Organised Crime and Illicit trafficking”). In more detail, the Programme will focus on supporting initiatives under Outcome 1.1 (“Border Control”) and Outcome 1.2 (“Trafficking of Persons and Smuggling of Migrants”).

The RPF points out that the two main reasons for the law enforcement’s reduced effectiveness are a) inadequate technical capacity and inadequate operating resources, and b) insufficient cooperation among law enforcement agencies within and across borders. It is these two areas that are directly supported through VNMS79.

Relevance for the donors

The project has three donors: Australia, the UK, and the One UN Plan in Viet Nam. Through the strategies of each donor it is clear how this project was of direct support; a view that was further stressed during the interviews that this evaluation held with donor representatives.

The Australian Government, through its development agency AusAID, developed a strategy in 2010 for the period 2011-2015, in which it outlines its two main strategic outcomes:

- Improved capacity of regional organisations to address agreed priority development challenges;
- A stronger and more effective partnership between Australia and regional organisations to tackle priority regional issues, concentrating on:
 - Promoting and managing economic integration;

¹¹ UNODC Regional Framework for East Asia and the Pacific, 2009-2012; page 11.

- Prioritising trans-boundary issues, including communicable human and animal diseases, human trafficking, disaster prevention and responsiveness, as well as climate change.

The activities of VNMS79 clearly were in direct support of the first outcome (by countering illicit trafficking, it is aiding a more stable and viable environment and society at the local, regional and national level), as well as sub-outcome 2 under the second outcome. This is a well-chosen integration of activities by UNODC, which traditionally does not necessarily work directly on economic issues.

For a number of years, the UK Embassy in Ha Noi has been a partner of the Vietnamese government in combatting illegal migration, organised crime, trafficking and money laundering. It has been a sponsor of various UNODC projects on these areas, and its support for VNMS79 can be found in its country strategy that points out as priorities:

- Delivery of UK Control Strategy for Organised Crime in respect of threats to the UK from Cyber Crime, Organised Immigration Crime and Proceeds of Crime; and
- Reversing the trend in increasing illegal migration and trafficking.

Finally, the project is in support of Focus Area 3: ‘Governance and Participation’ of the One UN Plan 12 2012-2016, which is a follow up of the One UN Plan II (2006-2011). It directly sustains §54 point 3.3 in “...Improved performance of the public sector institutions at national and sub-national levels, through enhanced coordination, accountability, transparency and anti-corruption efforts, will reduce disparities and ensure access to public services for the most vulnerable and disadvantaged groups”.

Design

The VNMS79 project document contains a strong analysis of both the national and legal context in which the project intends to operate. It provides clear arguments for the justification of the intervention. However, the original project design showed a few critical flaws, mainly in the area of developing a sound intervention logic, which in turn leads to confusion regarding the theory of change of the project.

The quality of the intervention logic of a project derives from clearly and correctly defined project objectives, outcomes and outputs, which in turn illustrate the corresponding logic between them. This project design makes a very flexible use of objectives, outcomes and outputs, using the terms interchangeably, and fails to demonstrate the necessary causal relationship between them.

The project objective appears as ‘result’ in some of the progress reports, and has a very ambitious character (“To strengthen the capacity...”). Any single project may only attempt to assist in this matter, or to contribute, especially if a project is labelled to be the first of its kind. It puts unfair yet self-initiated pressure on project management to achieve the impossible.

¹² One UN Plan II, §§53 and 54.

In the original project document, no less than 9 outcomes are simply listed with the reader forced to guess their relationship with either the objective or their supporting outputs. These outcomes are not to be found in the original logframe, which attempts to link outputs directly to the project objective. Only in the September 2012 project revision, two of these outcomes re-appear in an updated version of the original logframe.

Overall, the indicators fail to pass the SMART-test (specific, measurable, achievable, realistic, time-bound). In general, this is a direct consequence of what has been described in this chapter so far, and, as stated earlier, imperils not only an evaluation but diminishes the monitoring function of the logframe as a management tool. The project management updated its project logframe through a revision in September 2012, and this is commendable (albeit rather late in the implementation).

An important reason for the non-SMART indicators is the fact that Viet Nam is still far away from collecting data on SoM/TiP; hence there is no systematic approach to the analysis of information. It was impossible therefore to have baseline data that could be used as a starting point and against which the project progress could be measured. There are ways to utilise indicators to overcome this problem, which was unfortunately not done. A consequence is that the logframe analysis shows a self-serving character of the matrix. To illustrate:

- Output 3: “...basic equipment provided to the investigation units of...”
- Indicator: “Equipment is procured and distributed”.

The corresponding indicator adds nothing more to the actual output itself; as if its justification can be verified only by the fact that it was done. The same goes for other outputs in the logframe as well (notably outputs 1, 2, 4 and 5) whereas the indicator for Output 6 at least adds an element of measurement (7 training course, a minimum of 150 officers trained)¹³.

¹³ Output 1: An assessment drafted of the needs for training, equipment, information sharing coordination, information analysis, communication to improve public awareness in order to enhance immigration control at some international border gates; Output 2: Incorporating findings of Output 1, focal points identified and information sharing system established between the immigration control forces at the international border gates with the central Immigration Department, Border Army and local immigration agencies. Output to include a directory prepared containing address, telephone, fax number, email; Output 3: Based upon the assessment in Output 1, basic equipment provided to the investigation units of the immigration control forces at the international border gates at airports, sea ports and on land; Output 4: Training programmes and work plan prepared on the basis of the need assessment made under Output 1. The training manuals and materials will assist in improving the capacity and the effectiveness of immigration control at the international border gates, contributing to prevent migrant smuggling and human trafficking, and cooperate with third party which may include the destination country. The manuals could be incorporated in the curricula of relevant training institutions such as the Security Academy, and Border Army Academy; Output 5: National legal frameworks aimed at criminalizing the smuggling of migrants developed as well as increased international cooperation through mutual legal assistance (MLA) agreements and MoUs with relevant countries. One training class held on mutual legal assistance and extradition best practices and training given on the use of the UNODC mutual legal assistance writer software program; Output 6: Seven training sessions conducted for immigration officers, border army personnel and the procuracy; Output 7: International cooperation contacts and networks established in the Immigration Department as focal point with key cooperating countries in the region, including participation in international meetings and a study tour. Guided by the assessment at Output 1, provision of equipment such as computer, fax machine, internet for the International Cooperation Unit in the Immigration Department and/or border posts within the

A second updated logframe appears in the project files in September 2012. This version is a clear upgrade from the original logframe. It includes two defined outcomes¹⁴, indicators are better formulated and ordered correspondingly while the entire format was changed to a correct model in line with standard approach. As a result, the logic of the intervention improved accordingly. In addition, this is testament to attempts to use the logframe as a management tool during implementation.

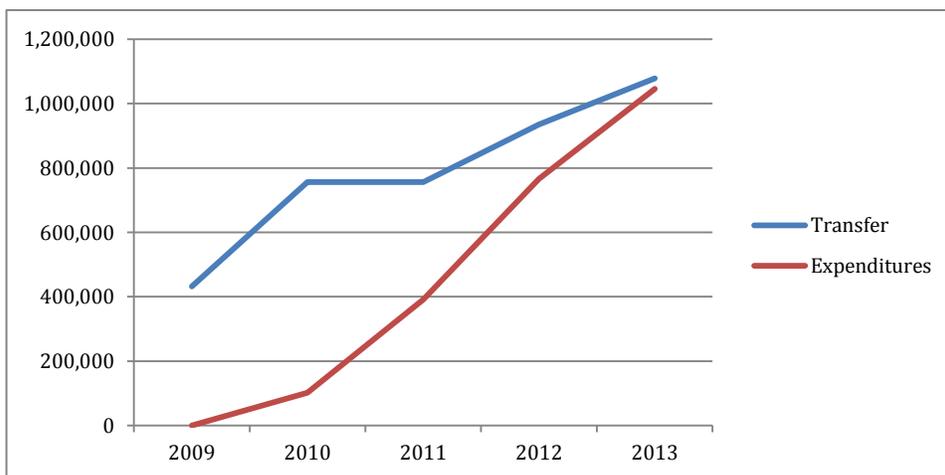
Consequently, the project design has forced this evaluation to rely heavily on direct feedback from the interviews rather than on solid project documents (i.e. correct logframes) as well. In other words, because of the lack of workable indicators, the success of this project is heavily subject to the verbal evaluation feedback of its donors, stakeholders and beneficiaries.

The design does have a strong aspect however, and that is the fact that the training programme was developed to fit into the existing annual training programme of the beneficiary institutions. The training programme was designed through a continuing consultation process at the level of the PMB, in which all stakeholders have a seat. As will be shown in this reflection of the evaluation, this in turn had a strong positive effect on the impact and sustainability of the project.

Efficiency

The key data for efficiency are shown through budget cash flow (relation between transfers and disbursements), disbursements by activity, and expenditure per component and other costs.

Graph 1: Cash Flow (accumulated)

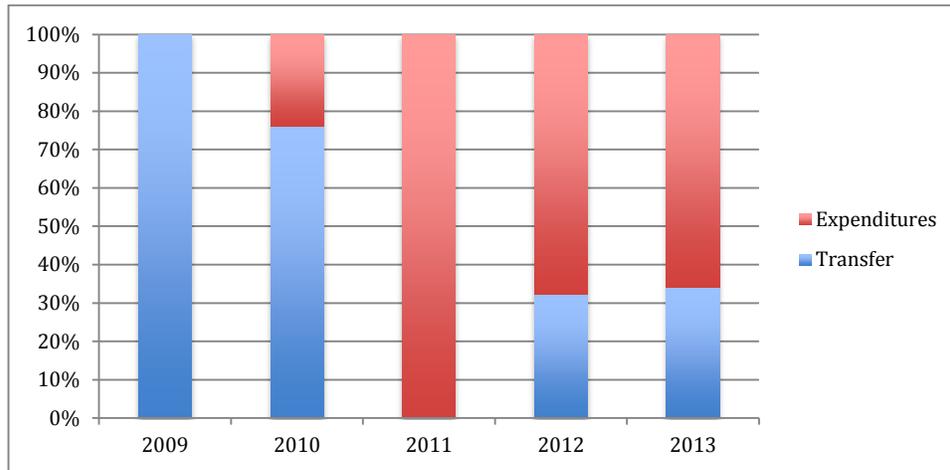


constraints of the project budget; **Output 8:** Communication, legal education and public awareness on migrant smuggling and human trafficking improved through establishment of a website of the Immigration Department, preparation of handbooks for law enforcement officials and handouts, leaflets, brochures for the public, dissemination of information over the mass media and telephone.

¹⁴ **Outcome 1:** Improved capacities at selected international border gates to prevent, detect and investigate human trafficking and migrant smuggling; **Outcome 2:** Enhance international cooperation to prevent and control migrant smuggling and trafficking

Graph 1 shows the relationship between incoming and outgoing funds through the reception of donor funds (Transfer) and payments made (Expenditures), and it illustrates that at no given time the project suffered a negative cash flow.

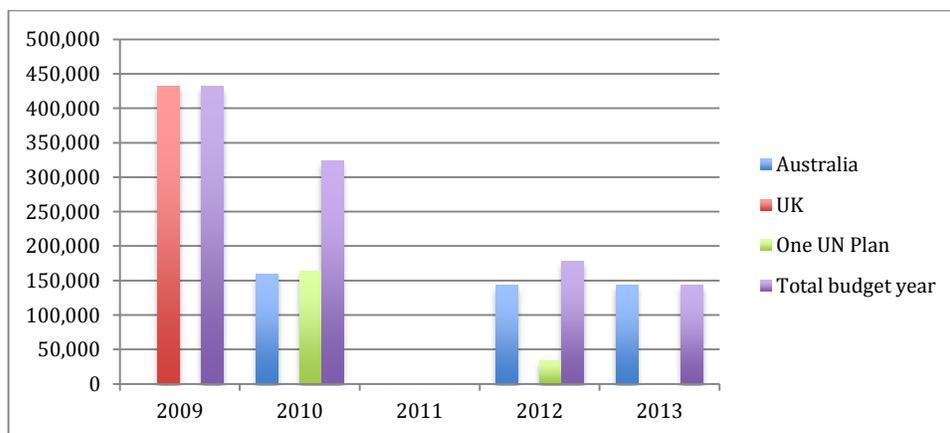
Graph 2: Cash Flow (per year)



Graph 2 above uses the same data, but broken down per year and projected in percentage points. It displays the project's slow start and how it caught up speed over its later years. Two years immediately catch the eye.

In 2009, the project had received the total amount of the UK participation (see also Graph 3: Donor Contributions by year). However, the project failed to make a head start; consequently, no project related expenditures occurred. Partly in relation to this situation, the project did not receive (collect) any funds in the year 2011, and was left to disburse the collected donations from the previous two years.

Graph 3: Donor Contributions by year



Graph 2 is basically a reflection of overall progress. The absence of any disbursement in year 1 is directly related to an occurrence that basically haunted the project throughout

its life cycle: significant rotation of staff, from the level of Country Manager to Project Assistant.

The Country Manager and Project Coordinator, in large part responsible for conceiving this project, were replaced in mid-2010. The (international) Project Coordinator left the project in May 2012, after which a variety of staff was placed in charge of the project. This evaluation identified a total of seven staff that was, at a certain point in time, in charge of the project. This had serious effects on project implementation: overall coordination, cooperation and implementation speed were all perceived as ‘confusing at times’ by counterparts and stakeholders, as well as with donors. As a consequence, the period of the implementation that was perceived as *most* focused and efficient coincided with a period of relative stability in project management staffing –mid-2010 until mid-2012, when the Project Coordinator was employed. Although most of the project activities took place after the Project Coordinator had left, the vast majority of preparation and groundwork was done during his employment.

The sharing of information in particular amongst donors and stakeholders on project progress was perceived at times as poor, despite UNODC’s regular reporting (annual and semi-annual) and the project review meetings it organised for all stakeholders. In some occasions however, semi-annual reports were sent after their due date; this is a typical occurrence when projects go through significant staffing changes. As a rule, UNODC’s annual and semi-annual reports are published on its website and accessible to donors and stakeholders. However, the sharing of progress reports directly with donors and stakeholders would have improved the information sharing and further cemented the sense of ownership amongst these groups.

From its very start, the project utilised a Project Management Board (PMB), a standard yet commendable initiative, consisting of representatives of the national counterparts, the UNODC, the International Technical Advisor, the National Project Director, and the National Project Coordinator. Donor representatives were invited to meetings and attended on that basis. Through time, it seemed difficult to organise meetings due to occasional lack of response from members. The Project Coordinator attempted to overcome this in part by establishing a ‘National Project Advisor’ in September 2010, responsible to strengthen the connections between the national partners, the donors and the implementing agency. This had a smoothening effect on implementation overall.

The PMB does not appear to have fulfilled its potential though. It could have functioned as a true *project coordination body* if donors would have been included as permanent members, increasing its authority in making binding decisions on overall progress. It would then also serve as a forum to share, discuss and adopt progress reports, further cementing overall coordination and ownership.

During its lifetime, two revisions were submitted. The September 2011 revision mainly dealt with a budget increase of US\$ 179,800 lifting the budget to a new total of US\$ 1,044,300. In addition, it requested an extension of four months, pushing the new deadline to June 2013. A second revision in September 2012 added a late contribution of US\$ 34,240 to finalise the budget to a total of US\$ 1,078,540. This revision also added an update to the logframe that now included two defined results that link the project objective to the outputs.

The project's main M&E activity existed in follow up visits to the newly trained trainers during their first training exercises. Additionally, the new trainers were provided with standard presentations to aid them in starting up. Unfortunately, an MTE was not performed. This could have helped the project to test and assess whether the intervention logic remained true in the context of demand possibilities, and if not, to assess the response made to adjust and fine-tune intervention logic as laid out in the logframe.

The evaluation finds that overall efficiency is unsatisfactory, mainly due to considerable staff rotations and the consequences it generated, as well as the shortcomings of the project management arrangements under the PMB.

Partnerships and cooperation

As a rule, in defining its priorities and delivering its technical assistance package, UNODC cooperates closely with the Government, UN sister agencies under the overall Delivering as One framework, donor countries and other international partners as well as NGOs. In addition, UNODC has established a strong partnership with Government agencies and officials. Key governmental partners for this project were:

- The Ministry of Public Security Immigration Department (MPSI)/General Department of Police on Criminal Investigation, active in the field of drug law enforcement, anti human trafficking and migrant smuggling, anti money laundering, domestic violence;
- The Ministry of Justice (MOJ), active in advocating Viet Nam's accession to international treaties /UN Conventions, legal and judicial reform, and legal support to victims of domestic violence;
- The Ministry of Defence (MOD)/Border Army and Maritime Police, operating against illicit trafficking of drugs and people, migrant smuggling and natural resources (timber and wildlife); and
- The Supreme People's Prosecution (SPP) and the Supreme People's Court (SPC) focused on criminal justice reform and prosecution of criminal cases.

For this project, UNODC established partnerships with other development partners through the Human Trafficking Working Group, which included representatives of Embassies in Ha Noi as well international organisations, and utilised its existing strong network with fellow UN organisations including UNDP, IOM, ILO and the UN Inter-Agency Trafficking Project (UNIAP). The Working Group was established jointly by the project's International Technical Advisor and the US Embassy, with the aim of coordinating the capacity building initiatives in respect of Human Trafficking, ensuring that all interested parties were kept informed, and to avoid overlap and duplication of activities. Guest speakers at the Working Group meetings included representatives of several Government Departments involved in Anti-Human Trafficking activities. Although the focus was on Human Trafficking, it also presented an opportunity to exchange information on other activities involving border control.

Evaluation feedback through interviews with stakeholders and beneficiaries show that cooperation overall was perceived and very good. This seems to form a solid basis for future project formulation, in which cooperation and coordination can be continued.

The challenge for any project cooperation network is that it exists only during a project's lifetime. The partners to this network however have cooperated closely in the past, and there is no reason to suggest that they will cease to do so in future.

Effectiveness

For the purpose of clarity, this evaluation will make use of the outcomes (results) as defined in the Project Revision of September 2012 in its capacity of the latest updated version.

In support of Outcome 1 ('Improved capacities at selected international border gates to prevent, detect and investigate human trafficking and migrant smuggling') the following has been delivered:

- The conducting and presentation of a needs assessment on training content, legal support and needed equipment;
- Equipment procured and distributed –one set consisting of a projector, a screen, a laptop, a printer, a scanner and a camera to each of the border stations and sea ports and one academy (including Noi Bai, Da Nang, Tan Son Nhat International Airports; Sai Gon, Da Nang, Hai Phong sea ports; Huu Nghi, Lao Bao, Moc Bai international border gates, and Border Guard Academy);
- Appropriate training material and tools utilised in national training courses;
- In all, the project organised 2 Training of Trainers courses (Ha Noi, Ho Chi Minh City) for a total of 25 officers (23 men, 2 women);
- These 25 newly trained trainers conducted training for 178 officers (161 men, 17 women) over 6 field trainings: Noi Bai Int'l Airport Ha Noi, Da Nang Int'l Airport, Lao Bao Border Gate, Tan Son Nhat Int'l Airport, Sai Gon Port, Moc Bai Border Gate, Mong Cai Border Gate;
- A total of 203 officers were trained (184 men, 19 women) instead of the planned 150.

In support of Outcome 2 ('Enhance international cooperation to prevent and control migrant smuggling and trafficking') the following was delivered:

- Feedback from interviews shows that the sharing of information on the local level (i.e. border control gates) has improved and increased;
- UNTOC was ratified by Vietnam in June 2012. UNODC has provided technical assistance during this ratification process as well as towards better implementation of these and relevant bilateral MoUs;
- Vietnam has signed and participated in a number of international legal documents such as the CRC and other related conventions such as the Convention on Violence against Women, the CEDAW and the Convention on the prohibition and elimination of the worst forms of child labour. Vietnam has, furthermore, signed mutual legal assistance and other legal agreements with 12 countries including Laos PDR, China and Cambodia. Moreover, Vietnam has also participated in agreements and international declarations on combating human trafficking. Vietnam is an active member of multi-lateral forums, such as the Asia-Pacific consultation progress, the Bali Process on human trafficking and transnational crime and the ASEAN Declaration on human trafficking;

- On 18 April 2013, the Government of Vietnam approved the Decision to implement the UNTOC and the Palermo Protocol. According to the plan, the Government will consider accession to the Protocol against Smuggling of Migrants by Land, Sea and Air, supplementing UNTOC;
- The project organised the following reviews: 1) Mutual Legal Assistance (MLA) legislation in Viet Nam review and 2) SoM legislation in support of Viet Nam's joining to SoM the Protocol and revision of Criminal Procedure Codes;
- A MLA workshop/training was organized on 25 June 2013 with the participation of 30 representatives of Supreme People's Procuracy, Supreme People's Court, Ministry of Justice, Ministry of Foreign Affairs and Ministry of Public Security. The meeting aimed at presenting findings of the review of MLA legislation and implementation practices in Viet Nam, discussing existing gaps and introducing UNODC MLA writer tools that facilitate initiation of MLA requests by relevant national authorities.

Two major outputs have not been undertaken:

- The study tour to Australia. This activity was omitted because both the Government of Viet Nam and the Embassy of Australia faced difficulties in agreeing on a suitable time. Therefore, it was agreed to re-allocate the budget for the following:
 - Additional IT equipment (e.g. computers, scanners, projectors) were procured to the Immigration Department/Ministry of Public Security (MPSI) and Border Gate Department, Border Guard Command (BGC) (as indicated in Output 3);
 - Review of the MLA to identify gaps and challenges that the national authorities face (as indicated in Output 5);
 - Assessment of SoM legislation in order to help the Government to have better understanding for further planning of accession to the SoM Protocol (as indicated in Output 5);
 - Terminal Review Meeting: the project did not have any funds set aside for a terminal review meeting. Therefore, it was agreed that a meeting would be organised to provide an opportunity to present achievements and shortcomings of the project to all relevant stakeholders as well as to discuss priorities for the Government of Vietnam in the area of SoM and to identify activities for future support and cooperation.
- The planned development of handbooks for law enforcement officials and the hand-outs/leaflets for public awareness were postponed and subsequently cancelled due to a lengthy approval process of the raw draft materials prepared by the national authorities. In addition, the MPSI decided to upgrade its website to provide general information, guidance on immigration procedures as well as advocacy messages from its own resources. Most of the information is available in Vietnamese only.

Feedback from evaluation interviews with stakeholders and beneficiaries shows that the overall delivery of outputs (activities) was perceived as satisfactory. The activities on MLA, the ToT on SoM/TiP as well as the delivery of the equipment were generally very

well received and scored high in post-training evaluations. In particular, the knowledge gained, improved skills and the new teaching methods were singled out as very good. The equipment was labelled as a useful and a welcome addition in assisting the regions in conducting their own training programme, although on two occasions it was reported that the camera, screen and projector were 'too small' for professional purposes. Additionally, it was stated that a colour printer would have been more useful in order to highlight significant details in detecting important details in legal documents. The time frame of two weeks for training was generally considered too short; although some respondents felt it was appropriate, others would have liked to see more time given, enabling more practice and exchange of experiences.

The content of the training was perceived as very strong on illegal immigration and internal law. However, it was felt that the content was 'introductory' on some topics; for example it was repeatedly stated that more in-depth knowledge and training on the modus operandi of criminals would have been very useful.

In addition, the techniques on detecting fake documents and foreign languages could be improved. When discussing the detection of fake passports and documents, unfortunately no equipment was available to assist with the training.

Horizontal cooperation (i.e. station to station) has improved, as a reported result of the exchange of experiences during training sessions and the networks that were built consequently.

The omission of the study tour was seen by many Border Guard and Immigration officers as a clear missed opportunity. The value of study trips, as pointed out by the interviewees, is in the fields of learning from new experiences as well the building of networks. Both aspects are vital for the work at the border gates and the immigration gates. The project records show a detailed explanation for this, as well as a justification on the re-allocation of the reserved funds.

Impact

Impact measures the positive and negative, primary and secondary long-term economic, environmental, social change(s) produced or likely to be produced by a project, directly or indirectly, intended or unintended, after the project was implemented. To start with, it is not possible to verify any direct influence of this project on migrant smuggling and trafficking, not even at the designated border gates. The main and plain simple reason is that there still is no solid tracking system in place. Any impact of this project, besides immediate, therefore remains in the qualitative area. Nevertheless, the project's effects were felt amongst its beneficiaries, and already have made some significant impressions.

A considerable impact can be found in the ratification of UNTOC and the Protocol on Human Trafficking by the Government of Viet Nam in June 2012, during the lifetime of the project. The legislative support provided through S79, which has been a main feature of UNODC's support to the Government over the years, has been instrumental in preparing the country for ratification.

Without exception, all participants of the ToT stated that their confidence in conducting trainings has gone up greatly. Not least because of the acquired teaching skills, but also based on the knowledge gained. The donated equipment added greatly to improved training quality.

Amongst the border stations' leaders, there was a consensus that detection in general has slightly increased, although this may be due to a higher number of violations as well. Generally, it is felt that there is a better overall understanding of procedures.

In all, these are elements of a positive impact that the project may pride itself on. It does not however exonerate the project from its responsibilities to maintain a close watch on developments as time passes, and to assess the long terms effects of the project.

During the lifetime of this project, the Governments of Viet Nam and Laos initiated a coordinated effort to ease the work of the border guard units at shared border crossings. This 'one window' project aims at streamlining the crossing of people and goods into one cooperative process between the border guards on both sides of the border. The aim is that once in place, the entire process will be handled more efficiently and effectively. As the Border Guard Unit pointed out, this will have serious positive impact on the detection of SoM/TiP related activities. Project VNMS 79 was credited to have attributed greatly to supporting this process.

Sustainability

A strong argument for the sustainability of this project presented itself through the fact that during its life-time the trained officers commenced with conducting the training of their peers based on the distributed training materials, the acquired skills and knowledge and with the help of the donated equipment. The trained officers reported a clear improvement in the trainings they conducted after the project intervention; besides the reported increase in knowledge and skills, interviewees clearly pointed out that their improved confidence helped them 'to better get the point across'. This is a strong sign that the project enjoyed a relatively high sense of ownership.

This could form a solid basis for sustainability, only to be jeopardised by a lack of supporting funds and loss of commitment. Regarding this last point, the feedback from evaluation interviews is undeniably strong towards a full continuation of project activities after project's end. The training project's training curriculum has been integrated into the beneficiary institutions' annual programmes, providing ample opportunity for replication and scaling up. In turn, through its renewed Country Programme, UNODC intends to continue its support to the fight against SoM/TiP; however, a concrete project idea has not yet taken shape.

The lack of supporting funds for the future is a problem and cannot be ignored. Certainly this is a responsibility to be taken up by the national authorities, first and foremost, but external funding will provide a certain safeguard for the future and perhaps be a gentle force to the government to reserve funds as well. The aforementioned renewed UNODC Country Programme 2012-2017 lays the groundwork for continuing programming and fundraising.

Innovation

From all sides –donors, national authorities- project VNMS79 was perceived as ‘unique and one of its kind’. The project was innovative in that it was reported to be the first of its kind in delivering training of trainers, training material, training equipment and post-training support under the umbrella of a single project. As evaluation findings have shown, the delivered outputs were well received and appreciated, whilst providing solid ground for continuation and future expansion.

This is not to say that all went as planned, as reported in previous chapters. The combining of activities of various kinds may ensure extended coverage, but the risk of losing focus and hence quality of delivery is always present. In fact, VNMS79 may have suffered from this phenomenon, or may have ‘invited’ it, through all the staff rotations it went through.

In all, this evaluation finds the ‘all-in-one’ approach commendable and certainly worth considering for future purposes, however, only if a stable management system (mainly on staffing) can be guaranteed. In case of an uncertain funding future (which is ominous) it may be better to work with a project design that enables a fragmented approach as well, i.e. implementation of all components in one effort, or on a phased basis.

III. CONCLUSIONS

Based on the findings presented in this report, the evaluation has come to the following conclusions.

The project enjoyed a high relevance, staking its claim as a central intervention amidst national and international efforts against SoM/TiP as a project fitting to strategic interventions. The project design however showed flaws in its intervention logic and needs improvement.

Efficiency of the implementation was lower than it could have been due to significant staff rotations, mainly on project management level, and up to country level in the project's inception phase. This in turn created confusion amongst partners and imperilled overall coordination.

The project was effective where it did deliver. Certain outputs were cancelled, and this puts a negative weight on the effect of the initial intentions of the project. The project was able to include more trainees than originally planned whilst preserving its quality on capacity development. In all, while not being able to meet all its intended outputs, the available data (qualitative and quantitative) strongly suggest the project's progress towards meeting its objective.

The project enjoys a considerable impact. The UNTOC was signed during the project's lifetime, whilst the training generated increase in knowledge and skills as well as understanding of procedures. In addition it plays a reported supporting role in implementing the initiatives as agreed between the governments in the region.

The project signifies a solid sustainability. The high relevance formed the basis for ownership at the national and even the local level, and this in turn translated in strong commitment to continue and scale up the project's initiated activities.

The project was innovative in that it was reported to be the first of its kind in delivering training of trainers, training material, training equipment and post-training support under the umbrella of a single project. This was commendable and can be a basis for future initiatives, but the risk of losing focus is present.

IV. RECOMMENDATIONS

The UNODC should seriously consider preparing for a next phase of this project. It is true that this can be said for many projects; however, the solid sustainability of VNMS79 should be taken as an invitation to continue and scale up the activities started by the project. Below are the evaluation's recommendations to be taken into consideration.

UNODC should uphold and where possible further develop its relations with the donor community and national partners to maintain the cooperation network.

One of the stronger aspects of VNMS79 is its relevance to national as well as donor strategies and international frameworks. The project idea was obviously conceived through a solid cooperation network of national and international partners, and designed with direct involvement of stakeholders. Ideally UNODC can continue and built further upon this structure; the signing of the renewed CP in August 2013 and the RPF 2012-2017 are steps in the right direction. On a project level however, the work is only starting. Continuing consultations within the partner structure on concrete ideas to fill in the RPF strategies cannot start early enough.

UNODC should give additional attention to include the setting up of a data collection and information analysis system on SoM/TiP in a next project, including the use of fake travel documents.

It is obvious that a system needs to be designed and set up to enable the Government of Viet Nam and its partners, not in the least UNODC and the donor community, to continue the fight against SoM/TiP. This would also improve the project design phase immensely through providing necessary baseline data, creating possibilities for detecting trends and to further streamline training- and other interventions.

UNODC should consider providing additional technical assistance to staff, e.g. in the form of PCM training, to improve skills on project formulation (especially indicators).

The preparation of project proposals requires more than a minimal knowledge of project cycle management (PCM) and logical framework analysis (LFA). UNODC could consider that core staff is well prepared to deal with project formulation and perhaps an in-house training may be necessary. In addition, the principles of PCM prescribe a strong link between proposal, budget and logical framework. UNODC may want to invest in ensuring that such link exists in future endeavours.

The Government of Viet Nam and UNODC should insist on continuing to improve consultation processes to avoid slippage.

In light of the continuing cooperation between UNODC and the Government of Viet Nam, immediate action on project formulation is necessary in order not to lose the momentum. The strategic goals of the CP should be translated into a concrete action plan as soon as possible.

UNODC should invest in maintaining stable rosters on project management; as well assure continuing solid cooperation. The appointment of a National Project Advisor proved to be effective and should be considered as a standard approach to future interventions.

A stable staff situation naturally requires sufficient funds, which in turn are subject to fundraising activities based on available staff. UNODC may want to consider investing in and securing the support of specialist staff to assist in project formulation to take the first step towards a more secure funding situation.

Human resources should be well secured for any next initiative. It is true that staff may come and go for reasons far and beyond the realm of work; however, there are incentives that can be applied to guarantee at least a certain level of presence and commitment. The UNODC may want to re-visit its possibilities on this issue. Staff rotations are unavoidable but should be kept to a minimum.

This evaluation realises that staff rotations may well have compelled project management to engage the position of NPA. Additionally, the origin of the PMB may have contributed. Nevertheless, even with these issues covered, an NPA could still be beneficial to the implementation of projects that are complex by their nature, regionally widespread and always under the pressure of keeping up with latest technological developments.

UNODC and national counterparts should aim at including all project stakeholders in the PMB to improve its coordinating authority.

The standard government approach when implementing projects is to set up a PMB amongst national stakeholders is commendable. However, ideally a PMB is not just a coordination body but a committee with actual authority over implementation. This requires that all project stakeholders, not in the least donor representatives, should have a permanent seat. General practice has proven its beneficial influence on coordination, implementation and overall progress.

UNODC and Government partners should aim to improve M&E as well as pre- and post testing of trainees in future efforts. Additionally, future training efforts should include criminal modus operandi.

The project records did not include pre-and post testing records of the officers that participated in the ToT sessions. As a standard, records show participants' opinions on the quality of the training, but this does not cover the issue of capacity development. More attention should be given to measure actual increase in knowledge gained during the courses through pre- and post testing. There is room for improvement in this area that can be undertaken by UNODC and its specialist consultants.

In a next project, the training component could be expanded to allow for more trainees to participate –preferable through more courses and not bigger classes since this may decrease effectiveness. In addition, the training content should make the logical step to move to more in-depth knowledge. Topics to be included could be modus operandi of criminal organisations; a division between land, air, sea and rail; and raising awareness.

Such training should also consider allowing more time for practicing the examination and detection of fake documents (including passports), and possibly include staff from the airlines and customs as well in separate sessions.

UNODC should consider formalising the decision on the donation of equipment (e.g. by signing off on specifications by all relevant parties) to avoid incidental confusion on some of the equipment and their use.

In only a few cases, feedback from evaluation interviews included confusion about some of the donated equipment. The camera was deemed not professional enough for daily work, the screen too small for larger audiences, while a colour printer would have been more useful. Discussions with present and former UNODC staff revealed that all equipment was to be used for training purposes only, which ideally would be held for groups of not more than 10-15 people. The reported confusion led the evaluation to conclude that apparently not all beneficiary institutions may have been aware of the real purpose of the equipment. The project records reveal that all equipment and their specifications were initially agreed upon between implementing partner and national stakeholders; however, a final 'sign off' of the specifications was not done. For future interventions, it would be beneficial to have such formal agreement before initialising procurement.

Continued cooperation between UNODC and the Government is a solid basis for sustainability of future interventions. However, work on improving M&E systems and project management staffing is essential to attract future funding.

VNMS79 enjoyed a strong sense of ownership and sustainability. However, the project suffered from design issues directly related to the lack of baseline data and resulting weak indicators (as mentioned under the first recommendation). In combination with securing staff as mentioned under the fourth recommendation, this should provide a stronger foundation for the both the Government and UNODC to attract funding and secure continuing attention to the fight against SoM/TiP

Aforementioned budget limitations may affect replication. Therefore, smaller scale interventions should be enabled through project designs that allow for phased implementation.

The variety of activities as proposed and implemented was perceived as an innovation. The UNODC may want to re-address this approach since it requires (not only) a stable core of project management staff, and this has proven to be a serious challenge.

The possibility of project implementation depends on the delicate balance between need and funding possibilities. According to donor feedback, VNMS79 was a 'larger scale' project, and the future may see an increasing interest in smaller scale initiatives with lower funding. With the future not being certain, UNODC may want to prepare itself to be able to target both markets. This can be done through designing projects that allow for implementation of any or all project elements, defined in such a way that they can be 'stand-alone' or complementary to each other, all supporting a common objective; a set of interventions supporting each others outcomes but that could be implemented separately in a phased approach as well. This requires solid understanding of and

experience in project formulation. UNODC may want to investigate this further to maintain a competitive advantage.

UNODC needs to mainstream activities with the Government of Viet Nam in further developing a regional approach in fighting SoM/TiP, e.g. by using its regional network for project formulation and fundraising, and within the ambit of the CP and the RFP.

From the meeting with the Border Guard Unit in Lao Bao, the evaluation learned that the Governments of Viet Nam and Laos initiated a coordinated effort to ease the work of the border guard units at shared border crossings. This ‘one window’ project aims at streamlining the crossing of people and goods into one cooperative process between the border guards on both sides of the border. The aim is that once in place, the entire process will be handled more efficiently and effectively. As the Border Guard Unit pointed out, this will have a significant positive impact on the detection of SoM/TiP related activities. UNODC should invest in this initiative and support the Government in Viet Nam to expand on this initiative, and if/where feasible, seek possibilities for replication with other bordering nations. This will have a strong positive effect on the fight against SoM/TiP in the entire region, and eventually may decrease costs of project implementation through the effects of economies of scale.

V. LESSONS LEARNED

A number of lessons can be drawn from the experience of implementing the project.

VNMS79 illustrated the importance of relevance of a project in the face of a problematic implementation. Early involvement and buy-in from the national partner ensured sustainability at project's end. One clear element is the adoption of the training methodologies, as provided by the project, into the national programme.

The importance of adhering to the principles of PCM was underlined. Despite commendable actions during project preparation and implementation, much work is still to be done on project formulation and overall coordination. Special attention should be given to project formulation, M&E and reporting.

The implementation of this project sent a strong message that was felt and identified by all parties involved. The importance of stability in the staffing especially on expert-, coordination- and executive levels was well underlined. It may be too obvious to mention, however, the project's main enemy was exactly the lack thereof.

The activities and outcomes of the project have underlined the importance of continuing capacity development at the border gates of Viet Nam (land, air, sea). In spite of the earlier mentioned difficulties with project coordination, stakeholders and beneficiaries alike lauded the intervention for its purpose and intention. By facilitating the exchange of experiences of border gate staff through sustainable training programmes, the project showed that increased knowledge and enhanced cooperation between institutions produce better results, achieved in a more efficient and effective manner, and as testified through evaluation feedback, has lifted the morale of staff.

ANNEX I. TERMS OF REFERENCE OF THE EVALUATION

1. BACKGROUND AND CONTEXT

Project number:	VNMS79
Project title:	Support to strengthening of immigration control capacity at international border gates and international cooperation to prevent and control migrant smuggling and trafficking
Duration:	February 2010 - June 2013
Location:	Viet Nam
Linkages to Country Programme	Sub-programme 1: Outcomes 1.1 & 1.2
Linkages to Regional Programme	Counter transnational organized crime and drug trafficking
Linkages to Thematic Programme	<p>Thematic Area 1: Rule of Law</p> <p>Result Area:</p> <p>1.2 International cooperation in criminal justice matter</p> <p>1.2.6 Enhanced capacity for law enforcement cooperation against crime, organized crime, corruption, drug trafficking, diversion of precursors and terrorism.</p> <p>Impact: Reduction in illicit trafficking of people, drugs, illicit natural resources and hazardous substances, and smuggling of migrants.</p> <p>Outcome 1.2. Trafficking in Persons. TiP operations identified and effectively acted on.</p> <p>Outcome 1.5. Smuggling Migrants. SoM identified and effectively acted on.</p>
Executing Agency:	UNODC
Partner Organizations:	Department of Immigration, Ministry of Public Security
Total Approved Budget:	US\$1,078,540
Donors:	Australia, United Kingdom and One UN Plan Fund
Project Manager/Coordinator:	Nguyen Duc Long

Type of evaluation (mid-term or final):	Final Evaluation
Time period covered by the evaluation:	Feb 2010 – Jun 2013
Geographical coverage of the evaluation:	Viet Nam

Core Learning Partners (entities)	<ul style="list-style-type: none"> - Department of Immigration, Ministry of Public Security - Border Gates Department, Border Guard Command - Donors (Australia, UK and One UN Plan Fund) - UNODC
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¹ The Core Learning Partnership (CLP) encourages a participatory evaluation approach by allowing its members to participate in and provide feedback on key steps of the evaluation process. CLP members are the key stakeholders of the subject evaluated (project, programme, policy etc.) who have an interest in the evaluation. The CLP works closely with the Evaluation Manager to guide the evaluation process. The list of CLP members is to be found in Annex.

(b) Project overview and historical context in which the project is implemented;

Viet Nam is affected by groups of people continuing to seek to move from countries affected by conflict, resource scarcity, and economic under-development to more developed countries. Taking advantage of the situation, trans-national criminal groups engage in migrant smuggling and human trafficking, which is often coupled with other criminal activities, such as terrorism, smuggling of drugs and other contraband, and money laundering. Organized crime groups take advantage of the lack of equal opportunities in source countries, the desire to escape from poverty and to seek better lives abroad in order to carry out criminal activities. In addition to the increasing pressure of population movements, the modus operandi of those involved in smuggling of migrants and trafficking in persons are becoming increasingly complex. The number of people seeking migration outcomes is increasing, challenging the capacity of destination countries' to support new arrivals.

The prevention and control of migrant smuggling and human trafficking is an important task, not just for any individual country, but requires close cooperation among countries. Stricter control measures applied by destination countries have provided an incentive for organized criminal groups engaged in smuggling of migrants and trafficking in persons to seek more and more sophisticated means of defeating detection and continuing their profits. Smuggling of migrants and trafficking in persons to and from Viet Nam are similarly increasing in complexity and variation of modus operandi.

Viet Nam has recently begun collecting data on smuggling of migrants and trafficking in persons and at present there is limited statistical information available on trafficking and smuggling and even less is known about the nature and extent of organized crime involvement. Some of the information that does exist is contradictory. Nonetheless, both existing data and anecdotal information suggests that there is an increase in the number of persons being smuggled and trafficked. Viet Nam ranks high as a country of origin according to the UNODC's human trafficking database (with a large number of people smuggled abroad).

In view of these challenges, project VNMS79 on Support to Strengthening of Immigration Control Capacity at International Border Gates and International Cooperation to Prevent and Control Migrant Smuggling and Trafficking aimed to strengthen the capacities of Viet Nam's immigration control authorities through training and improvement of border control procedures, strengthening the capacity of information and data collection, threat analysis & detection of irregular migration and human trafficking, and enhancement of communication and public awareness. The project also assisted Viet Nam in the development of legal frameworks on smuggling of migrants. This includes development and implementation of bilateral MoUs on immigration and mutual legal assistance, especially with other ASEAN member states. The project builds on the training materials and curricula developed, as well as the experience and lessons learned in prior UNODC projects on trafficking in persons in Viet Nam.

(c) Justification of the project and main experiences / challenges during implementation, if any;

Project VNM/S79 has been implemented by Department of Immigration and Border Gate Department to support strengthening of immigration control capacity at the international border gates and international cooperation to prevention and control migrant smuggling and human trafficking. A national project steering committee has been established in order to assure effective and efficient implementation of project activities.

The focus of activities under this project were capacity building at land, air and sea ports through the strengthening of law enforcement and immigration methods such as detecting document and passport fraud, analyzing information and trends in order to better identify and investigate cases of trafficking and smuggling in Viet Nam's three main airports, three main seaports as well as key land ports.

Trafficking in persons and smuggling of migrants is believed to be an increasing problem in Viet Nam. There is a lack of information about the phenomenon as part of organized crime, much less the modus operandi and networks involved in these activities. This knowledge gap is partly due to the fact that Viet Nam began collecting data on human trafficking and irregular migration only recently. Additionally, there is a lack of institutionalized practices of information sharing and analysis within or among different Vietnamese law enforcement agencies. Regarding smuggling of migrants even less information is available since no project exists in Viet Nam presently due to the sensitive nature of the problem. This project was the first initiative implemented in Viet Nam to encourage relevant authorities to collect and share information on SOM and TIP.

Immigration and Border Army authorities are beginning to collect data and report internally on irregular migration detected by them including methodology and document fraud, involving both Vietnamese and third-country nationals. Analysis of this data is a key element of the project, as is developing the capacity to derive threat assessments from it by Immigration authorities.

The project has worked to develop a border information analysis capacity for the specialized unit in the Immigration Department which draws reports from all border & visa operations and develop threat assessments and other significant trend reporting for Border Control Agencies, Police, and Government.

At the end of the project, there were achievements as following:

- There has been an improvement in the quality of services provided by Ministry of Public Security, Border Guard Commands with 178 staff (161 men, 17 women) having improved their skills in a variety of areas on smuggling of migrants and trafficking in persons, border security information analysis, reporting and threat assessment through intensive training courses delivered by the project. Through the use of these techniques, the immigration and border control procedures have been reportedly conducted more quickly and more efficiently.
- Up to December 20th, 2012, 437 cases of human trafficking were discovered, 719 criminals were arrested and 1,206 victims were rescued or returned. Compared to 2011, the number of cases discovered increased by over 20%. In 2012, People's Procuracy at different levels prosecuted 211 cases, 453 offenders; People's Courts at different levels dealt with 400 criminals compared to 350 criminals in the previous years.
- The UN Convention against Transnational Organized Crime was ratified by Vietnam in June 2012. UNODC has provided technical assistance during this ratification process as well as better implementation of these and relevant bilateral MoUs.
- Vietnam signed revised bilateral cooperation agreement on prevention and combating of human trafficking with Cambodia in June, 2012. MLA software and model law on smuggling of migrant were translated and made available to relevant agency of Viet Nam for their reference in drafting related legal documents.

Through the implementation of project activities, some challenges were identified:

- Legal framework of Viet Nam still needs to be improved in order to meet requirements of UNTOC and related Protocols and MOUs;
- Capacity of immigration and border control officers needs to be further strengthened to raise effectiveness of their daily works as well as identification of suspicious activities;
- Lengthy and complicated approval procedures caused some delays in term of implementation of project activities.

(d) Project documents and revisions of the original project document;

In 2011, a project revision was done to increase the overall budget from US\$864,500 to US\$1,078,540, and extend the project duration from December 2012 to June 2013 in order to complete project activities. The project’s objective, outcomes and outputs remained unchanged.

(e) UNODC strategy context, including project’s main objectives and outcomes and project’s contribution to UNODC country, regional or thematic programme;

The project “Support strengthening of immigration control capacity at the international border gates and international cooperation to prevention and control migrant smuggling and human trafficking” strongly links with the UNODC Strategy for the period 2008-2011. The project document and its objectives are in line with the UNODC Viet Nam Country Programme 2008-2011 as well as the One UN Plan 2006-2010 between the Government of Viet Nam and the United Nations. This project is integrated in the Regional Programme Framework for East Asia and the Pacific and aimed to contribute to its objectives on Rule of Law.

(f) Reference should be made to the background information list (Annex 1), which encompasses materials to be used by the evaluator for the desk review.

- Project Document,
- Project Revision,
- Semi-annual and Annual Project Progress Reports.
- UNODC Viet Nam Country Programme 2012 - 2017
- One UN Plan
- Regional Programme for East Asia and the Pacific 2008-2011
- National Strategy on Crime Prevention and Suppression
- National Action Plan on Human Trafficking
- Needs Assessment reports
- Project workplans
- Other related documents, including national counterparts’ reports, training reports, mission reports, related papers of UNODC

2. DISBURSEMENT HISTORY

This section includes the following table:

Overall Budget (Feb 2010 – Jun 2013)	Total Approved Budget (Feb 2010 – June 2013)	Expenditure (Feb 2010 – 17 Apr 13)	Expenditure in % (Feb 10 – 17 Apr 13)
US\$ 1,078,540	US\$ 1,078,540	US\$ 852,115	79%

3. PURPOSE OF THE EVALUATION

Final evaluation at the end of the project has been indicated in the approved project document with involved responsibility of the Independent Evaluation Unit, UNODC HQ and UNODC Viet Nam Country Office. With the project is coming to the end, there is a need to conduct final evaluation.

The final evaluation is expected to draw lessons, experience during the implementation of the project as well as to provide clear insight on the effectiveness, efficiency, and impact of the project. By carrying out this evaluation, UNODC Viet Nam plans to assess its work, to learn lessons for the implementation of future work, and to receive feedback, appraisal and recognition. This evaluation will provide accountability to the UNODC management, national stakeholders and donors, with whom the final evaluation report will be shared.

The evaluation is also expected to propose recommendations for further consideration when developing future plans.

4. SCOPE OF THE EVALUATION

The evaluation will cover the duration of the project from February 2010 and June 2013 with a focus on Ha Noi and project sites.

5. EVALUATION CRITERIA AND KEY EVALUATION QUESTIONS

Relevance:

- Is the project objective relevant to the real SOM & TIP situation and needs in Viet Nam?
- How relevant is the project to the needs of stakeholders in the field of SOM&TIP prevention and control?
- What are the comparative advantages of UNODC and was the project implemented with these in mind?
- What is the relevance and appropriateness of the project in light with the Country Programme, the Regional Programme, and One UN PLan?

Efficiency:

- Have the outputs been delivered in a timely manner?
- Has project funding been spent as planned?
- Could the project outputs been delivered with fewer resources without reducing the quality and quantity?
- What measures have been taken during project planning and implementation to ensure that resources are efficiently used? Was there a training needs analysis conducted? Were training sessions delivered effectively and adjusted to the national context?

Partnerships:

- To what extent did UNODC coordinate its interventions and alignment with other development partners?
- Have partnerships with national stakeholders been established? What is the likelihood that these partnerships will be sustained after the end of the project?
- What are the opportunities, achievements and/or challenges of the partnerships?
- What are the partnerships with other countries, particularly neighbouring countries?

Effectiveness:

- Has the project achieved its foreseen objective and results? If not, has some progress been made towards their achievement?
- What lessons can be drawn regarding project effectiveness?
- Were technical immigration control capacities of the government strengthened with regard to human trafficking and migrant smuggling?
- Has progress been recorded on the development of legal frameworks on the smuggling of migrants?

Impact:

- What are the intended and unintended, positive and negative, long term effects of the project?
- To what extent can any identified changes be attributed to the project?

Sustainability:

- What is the likelihood that the benefits from the project will be sustained after the end of the project?
- Are the beneficiaries committed to continue working towards project objectives after it ends? Do institutions and professionals have motivation and capacity to effectively prevent and control SOM&TIP?
- Are services developed under the project likely to continue, be scaled up or replicated after the project funding ceases?

6. EVALUATION METHODOLOGY

The evaluation will be undertaken through a triangulation exercise of data stemming from desk review, structured interviews, as well as other sources to be established by the evaluator. These could be primary data coming from questionnaires, surveys, or secondary data stemming from other entities. As part of the desk review, which will lead to an Inception Report, the evaluators will use reports produced under the project, existing documents including Project Documents and work plans, reports of missions, activities, Semi Annual and Progress Reports as well as reports received from national counterparts (preliminary list of all documents for desk review in Annex 2)

The evaluation should include but not necessarily be limited to the following methods:

- Desk review of relevant documents (project document, quarterly, semi-annual and annual project reports, minutes of technical meetings, reports on project activities, relevant national policy documents etc.);
- Individual and/or group interviews with members of the Project Steering Committee, representatives of the counterparts and implementing partners;
- Interviews with a representative sample of the project beneficiaries based on a pre-designed questionnaire;
- Meetings with representatives of project donors;
- Field visits to stations/offices under the project;

7. TIMEFRAME AND DELIVERABLES

- The Inception report containing a refined workplan, methodology and evaluation tools should be submitted by 26 July 2013. Following incorporation of comments, the finalized inception report

should be ready before the start of the field mission.

- The Draft Evaluation Report, which is in line with UNODC evaluation policy and guidelines, should be submitted by 22 August 2013.
- The Final Evaluation Report should be submitted by 04 September 2013.

When? (Tentative dates)	Evaluator's working days	What tasks?	Results	Where?
15-17 May 2013	3 days	Desk review	<ul style="list-style-type: none"> • Meeting plan with stakeholders • Draft inception report <i>(Both shall be submitted to UNODC COVIE and IEU for review/ approval)</i> 	Home based
20-22 May		Review of the inception report by COVIE and IEU		
Evaluation mission to Viet Nam				
24 May 2013	1 day	Briefings and interviews with UNODC COVIE management	<ul style="list-style-type: none"> • Inception report finalized and meeting plan with stakeholders <i>(incorporated relevant comments provided by COVIE and IEU)</i> 	Ha Noi
27 May - 6 June 2013	9 days	Site inspection and meeting with stakeholders in Viet Nam	<ul style="list-style-type: none"> • Brief interview and site visit reports 	Ha Noi, Da Nang and Ho Chi Minh City
7 June 2013	1 day	Debrief with COVIE	<ul style="list-style-type: none"> • Comments and clarifications of any misunderstandings or misconceptions are provided 	Ha Noi
Departure from Viet Nam				
10-19 June 2013	8 days	Preparation of a draft report	<ul style="list-style-type: none"> • Draft report shall be submitted to COVIE and IEU for review and comments 	Home based
19-21 June 2013		Review of the draft report by selected stakeholders and IEU	<ul style="list-style-type: none"> • Comments and clarifications are provided by COVIE and IEU 	Home based
24-26 June 2013	3 days	Finalization of the report and	<ul style="list-style-type: none"> • Powerpoint presentation shall be made available 	Home based

		preparation of a final powerpoint presentation to key stakeholders	for UNODC COVIE and CLPs. <ul style="list-style-type: none"> The final report shall be submitted to COVIE and IEU for approval 	
Total working days	25 days			

8. EVALUATION TEAM COMPOSITION

One qualified International Evaluator will be recruited to conduct the evaluation.

9. MANAGEMENT OF EVALUATION PROCESS

The evaluation should be planned and conducted in close consultation with UNODC Viet Nam Country Office. The evaluation tools and methodology must be agreed with the UNODC Viet Nam Country Office. The UNODC Independent Evaluation Unit (IEU) will provide quality assurance and ensure compliance with the Norms and Standards of the United Nations Evaluation Group (UNEG) and UNODC guidelines by providing comments on evaluation tools and methods, the draft report and clearance of the final report.

The report will contain the findings, conclusions and recommendations as well as a recording of the lessons learned during project implementation. The draft report must be disseminated for review to UNODC Country Office, UNODC IEU and the identified CLP members (including project counterpart agencies, donor representatives and, with other involved parties). While considering the comments provided on the draft, the evaluator would use his/her independent judgment in preparing the final report. The final draft will be an independent and impartial evaluation of the project and will meet all UNEG and UNODC evaluation requirements.

The Office in Viet Nam will provide the necessary substantive support, including travel arrangements, transportation during the field missions, and organization of meetings, translation and submission of all documents for desk review.

The Independent Evaluation Unit (IEU) guides the process of this evaluation; endorses the TOR, approves the selection of the proposed Evaluator and liaises closely with evaluator throughout the entire evaluation process. IEU comments on and approves the selection of evaluation consultants and the evaluation methodology and provides methodological support throughout the evaluation. IEU will comment on the draft report, endorse the quality of the final report, supports the process of issuing a management response, if needed, and participates in disseminating the final report to stakeholders within and outside of UNODC. IEU ensures a participatory evaluation process by involving Core Learning Partners during key stages of the evaluation.

The Project Manager is responsible for the provision of desk review materials to the evaluation team, reviewing the evaluation methodology, liaising with the Core Learning Partners, as well as reviewing the draft report and developing an implementation plan for the evaluation recommendations. The Project Manager will also be in charge of providing logistical support to the evaluator including arranging the field missions of the evaluator. For the field missions, the evaluator liaises with the UNODC Regional/Field Offices and mentors as appropriate.

The CLPs are required to provide comments on key steps of the evaluation and act as facilitators with respect to the dissemination and application of the results and other follow-up action.

Roles and Responsibilities of the Evaluator:

- carry out the desk review;
- develop the inception report, including sample size and sampling technique;
- draft the inception report and finalize evaluation methodology incorporating relevant comments;
- implement quantitative tools and analyze data;
- ensure that all aspects of the terms of reference are fulfilled;
- draft an evaluation report in line with UNODC evaluation policy;
- finalize the evaluation report on the basis of comments received;
- include a management response in the final report;
- present the findings and recommendations of the evaluation at the donor briefing (if any).

10. PAYMENT MODALITIES

Consultants will be issued consultancy contracts and paid in accordance with UNODC rules and regulations. Payment needs to be correlated to deliverables – three installments are typically planned for:

- The first installment (25% of consultancy fee) upon receipt of the Inception report;
- The second installment (25% of the consultancy fee) upon receipt of the draft evaluation report;
- The third and final payment (50% of the consultancy fee) only after completion of respective tasks, receipt of the final report and its clearance by UNODC

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

ANNEX II. EVALUATION TOOLS: QUESTIONNAIRES AND INTERVIEW GUIDES

Evaluation Criteria	Evaluation Questions (EQs)	Judgment Criteria	Indicators	Sources of Information	EQ Specific Methodology
Relevance: <i>Did the objective of the project really match the problems and needs?</i>	EQ1: Is the project objective relevant to the real SOM & TIP situation and needs in Viet Nam?	JC1.1: The SOM & TIP challenges and major problems are suitably addressed. JC1.2: The challenges and problems are solved.	1.1.1 The programme document clearly reflects the challenges and major problems. 1.2.1 It offers a strategic approach to solve these.	Programme document, policy papers and strategies.	Analysis of the VNMS79 programming documents and national policies and strategies.
	EQ2: What are the competitive advantages of UNODC and was the project implemented with these in mind?	JC2.1: The UNODC had a competitive advantage for the implementation of this project. JC2.2: The project was implemented based on this advantage.	2.1.1: UNODC past and present policies and activities clearly show successful planning and implementation. 2.2.1 Records and feedback show smooth transition from planning to implementation.	UNODC records and reports, partner feedback, stakeholder and beneficiary feedback	Analysis of the VNMS79 programming documents and national policies and strategies. Data and analysis from interviews.
	EQ3: What is the relevance and appropriateness of the project in light with the Country Programme, the Regional Programme and the One UN Plan?	JC3.1: The objectives are relevant in view of the current standards and international interest in light with the Country Programme, the Regional Programme, and One UN Plan.	3.1.1 The programme document clearly explains and justifies how the objectives meet the standards of the SOM/TIP policies.	Programme document, SOM & TIP policy papers and strategies.	Desk review, interviews. Analysis of the programme document and relevant SOM/TIP papers.
	EQ4: How relevant is the project to the needs of the stakeholders in the field of SOM & TIP prevention and control?	JC4.1: The intervention is informed about and has considered the existing national authorities' policies and	4.1.1 References to national policies and strategies in the programming documents 4.2.1 Absence of contradiction between the	Programme documents, Country/regional strategies, relevant studies, publications, documents by donors,	Analysis of the VNMS79 programming documents and national policies and strategies.

Evaluation Criteria	Evaluation Questions (EQs)	Judgment Criteria	Indicators	Sources of Information	EQ Specific Methodology
		strategies, as well as from international donors. JC4.2: Strategies and programme activities coherently and comprehensively address identified needs.	priorities of the programme documents and of national policies and strategies 4.2.3 Documented results acknowledge progress towards achievement of results that contribute to the area of SOM/TIP.	international and local agencies, etc. Progress reports, Interviews with UN Agencies and relevant stakeholders. Project Progress Reports.	
	EQ5: Design: To what extent were stakeholders and beneficiaries involved in designing this project?	JC5.1: Design stage of the Programme ensured adequate and timely participation of a range of actors coming from national and local governments, social agents and other key stakeholders	5.1.1. The design stage of the Programme allowed for accurate and timely participation of a range of other key stakeholders in: - Needs assessment - Strategy selection - Other key steps of the programming cycle. 5.1.2. Programming documents contain references to participation by a range of national and local government actors, social agents and other key stakeholders	Program documents pertaining needs assessments, strategy selection and other key steps of the programming cycle. Program documents including strategies, and results framework.	Review of the Programme design process and its products (ProDoc) in order to determine if and to what extent programming ensured representative participation by relevant actors in needs assessment, strategy selection and other key steps in the programming cycle.
	EQ6: How does the project fit with stakeholders and beneficiary institutions' policies and strategies?	JC6.1: The intervention is informed about and has considered the existing national authorities' policies and strategies. JC6.2: Strategies and programme activities coherently and comprehensively	6.1.1 References to national policies and strategies in the programming documents 6.2.1 Absence of contradiction between the priorities of the programme documents and of national policies and strategies 6.2.3 Documented	Programme documents, Country/regional strategies, relevant studies, publications, documents by donors, international and local agencies, etc. Progress reports, Interviews with UN Agencies and relevant	Analysis of the VNMS79 programming documents and national policies and strategies.

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Evaluation Criteria	Evaluation Questions (EQs)	Judgment Criteria	Indicators	Sources of Information	EQ Specific Methodology
		address identified needs.	results acknowledge progress towards achievement of results that contribute to the area of SOM/TIP.	stakeholders. Project Progress Reports.	
Efficiency: <i>How economically resources/inputs (funds, expertise, time etc.) have been converted to results?</i>	EQ7: Have the project's outcomes been delivered in a timely manner?	JC7.1: The administrative and organizational structures were in place ensuring the correct implementation of the Programme.	7.1.1 Performance by administrative and organizational structures vis-à-vis agreed targets 7.1.2 Flexibility of administrative and organizational structures in adapting to changing external conditions 7.1.3 Contribution by administrative and organizational structures to ensuring visibility of the Programme.	Programme documents. Progress and monitoring reports Reporting by National Authorities, Civil society and the media. Structured interviews with Programme staff, UN Agencies, national authorities, programming and implementing actors, and beneficiaries of the Programme.	Mapping of administrative and organisational targets as per agreement and financing agreement. Mapping of administrative and organisational achievements vis-à-vis targets. Fieldwork including structured interviews and focus groups.
	EQ8: Has the project funding been spent as planned?	JC8.1: Procedures are in place ensuring the efficient implementation, characterized by: clear and formal assignment and division of responsibilities, staffing and budgeting arrangements, and systematic monitoring data collection and analysis mechanisms. JC8.2: The implementation of different components effectively	8.1.1 Programme structure in place through formal appointment of staff and adoption of program implementation procedures 8.1.2. Performance by organizational structures vis-à-vis agreed targets as per inter-agency agreements and financing agreement 8.1.3. Amount of financial, human and other resources used by the Programme 8.2.1. Progress and monitoring reports	Revision of program documents, agreements; administrative data (procedures, staffing arrangements and structures), Progress reports, Monitoring reports.	Mapping of administrative structures; Mapping of organisational structures Mapping of data collection and analysis mechanisms. Review of administrative and organisational structures vis-à-vis "benchmarks" as per agreement. Field Missions including semi-structured interviews with relevant stakeholders.

Evaluation Criteria	Evaluation Questions (EQs)	Judgment Criteria	Indicators	Sources of Information	EQ Specific Methodology
		contributes to achievement of results.	demonstrate satisfactory level of efficiency of the Programme implementation		
	EQ9: Could the project outputs been delivered with fewer resources without reducing the quality and quantity?	<i>Will be included under JC8.</i>	<i>Will be included under 8.</i>		
	EQ10: What measures have been taken during project planning and implementation to ensure resources are efficiently used? Was a training needs analysis conducted? Were training sessions delivered effectively and adjusted to the national context?	JC10.1: Programme implementation is based on well-developed measures ensuring efficient allocation of resources. JC10.2: A training needs analysis was conducted. JC10.3: Training sessions were delivered effectively and adjusted to the national context.	10.1.1 Programme contains strong reference to coordination mechanisms. 10.2.1 Progress and monitoring reports include a needs assessment. 10.3.1 Progress and monitoring reports demonstrate satisfactory delivery of training adjusted to national context.	Programme documents, progress reports.	Desk review/analysis of the programme document, monitoring and progress reports Interview with staff.
	EQ11: How does the project fit with stakeholders and beneficiary institutions' agenda?	JC11.1: The project shows synergy and alignment with targeted institutions agendas. JC11.2: The project shows agenda setting elements regarding targeted institutions enabling alignment with national and international strategies and policies.	11.1.1 The programme contains strong references to coordinated planning with targeted institutions. 11.2.1 Project records show elaborated prioritization of issues in coordinated effort with counterparts.	Programme documents, progress reports.	Desk review/analysis of the programme document, monitoring and progress reports Interview with staff.
	EQ 12: How was the cooperation between project partners (UNODC				

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Evaluation Criteria	Evaluation Questions (EQs)	Judgment Criteria	Indicators	Sources of Information	EQ Specific Methodology
	CO, Project Management Board, National Project Coordinator)?				
Partnerships	EQ13: To what extent did UNODC coordinate its interventions and alignment with other development partners?	JC13.1: Programme implementation is based on well-developed coordination lines between participating agencies. JC13.2: The Programme takes accurately and timely account of other interventions promoted by government, civil society and other key donors JC13.3: Internal communications methodology is clear and logical.	13.1.1. Programme contains strong reference to coordination mechanisms between participating agencies. 13.2.1. The Programme procedures allow for accurate and timely integration of information on other interventions promoted by government, civil society and by donors 13.2.2. Programme document contains reference to other interventions promoted by government, civil society and donors 13.3.1. Programme documents contain elaborated internal communications strategy	Review of the programme documents. Other donors' programming documents, progress reports, and monitoring and evaluation reports. Interviews with representatives of government and donors.	Review of the programme document, monitoring and progress reports in order to determine whether programme implementation prevents duplication and overlap and promotes synergy with interventions (strategies, policies, programmes, projects) that are promoted by other stakeholders.
	EQ14: Have partnerships with national stakeholders been established? What is the likelihood that these partnerships will be sustained after the end of the project?	JC14.1: Programme implementation is based on well-developed coordination lines between participating agencies. JC14.2: The Programme takes accurately and timely account of other interventions promoted by	14.1.1. Programme contains strong reference to coordination mechanisms between participating agencies. 14.2.1. The Programme procedures allow for accurate and timely integration of information on	Review of the programme documents. Other donors' programming documents, progress reports, and monitoring and evaluation reports. Interviews with representatives of government and donors.	Review of the programme document, monitoring and progress reports in order to determine whether programme implementation prevents duplication and overlap and promotes synergy with interventions

Evaluation Criteria	Evaluation Questions (EQs)	Judgment Criteria	Indicators	Sources of Information	EQ Specific Methodology
		government, civil society and other key donors JC14.3: Internal communications methodology is clear and logical.	other interventions promoted by government, civil society and by donors 14.2.2. Programme document contains reference to other interventions promoted by government, civil society and donors 14.3.1. Programme documents contain elaborated internal communications strategy		(strategies, policies, programmes, projects) that are promoted by other stakeholders.
	EQ15: What are the opportunities, achievements and/or challenges of the project?	<i>The work on EQs 15-17 will be based on interviews with direct and non-direct stakeholders.</i>			
	EQ16: What are the partnerships with other countries, particularly neighbouring countries?				
	EQ17: How do you rate the cooperation with project partners (fellow beneficiaries as well as 'third parties')?				
Effectiveness: Has the project been successful in achieving its objective?	EQ18: Has the project achieved its foreseen objective and results? If not, has some progress been made towards their achievement?	JC18.1: The programme has achieved identifiable results in its implementation in meeting its indicators.	18.1.1 Documented results acknowledge progress towards achievement of results set up by the programme. 18.1.2 Results of Programme support are acknowledged by and benefit the	Project documentation: Progress Reports, Interviews with direct and non-direct project stakeholders, Interviews with relevant stakeholders	The progress towards achievement of results will be based on the evaluation team's validation of the progress. The investigation of this will focus on a number of sampled beneficiaries and partners of the

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Evaluation Criteria	Evaluation Questions (EQs)	Judgment Criteria	Indicators	Sources of Information	EQ Specific Methodology
			society at large		Program in accordance with the evaluation methodology. The work on this EQ will be based on interviews with direct and non-direct stakeholders.
	EQ19: What lessons can be drawn regarding project effectiveness?	n/a			
	EQ20: Were technical immigrant control capacities of the government strengthened with regard to human trafficking and smuggling?	JC20.1: The project succeeded in assisting counterparts in strengthening the capacities with regard to human trafficking and smuggling.	8.1.1 Documented results acknowledge the success that contributes to establishing an effective SOM/TIP.	Project documentation: Progress Reports, Interviews with direct and non-direct project stakeholders, Interviews with relevant stakeholders	Desk study of internal information sources Field Missions including interviews with staff members and beneficiaries
	EQ21: Has progress been recorded on the development of legal frameworks on the smuggling of migrants?	JC21.1: The programme has achieved identifiable results in its implementation in meeting its indicators.	21.1.1 Documented results acknowledge progress towards achievement of results set up by the programme. 21.1.2 Results of Programme support are acknowledged by and benefit the society at large	Project documentation: Progress Reports, Interviews with direct and non-direct project stakeholders, Interviews with relevant stakeholders	The progress towards achievement of results will be based on the evaluation team's validation of the progress. The investigation of this will focus on a number of sampled beneficiaries and partners of the Program in accordance with the evaluation methodology. The work on this EQ will be based on interviews with direct and non-direct stakeholders.
	EQ22: What in your	JC22.1: The	22.1.1 Records of	Programme	Desk study of

Evaluation Criteria	Evaluation Questions (EQs)	Judgment Criteria	Indicators	Sources of Information	EQ Specific Methodology
	view are the strengths of this project? What are its weaker points?	programme's knowledge management contains evidence of good practices, success stories, or transferable examples for wider use and institutional memory.	good practices, success stories, or transferable examples available and easily accessible via internet or other communication sources	website Progress reports Structured interviews with UN Agencies, national authorities, programming and implementing actors, and beneficiaries	internal and external information sources Field Missions including interviews and focus groups
	EQ23: What do you rate as the project's failure, or missed opportunity? What is its biggest achievement?	<i>Based on interview feedback.</i>			
Impact: <i>What have been positive and negative, primary and secondary long-term effects produced by this development intervention, directly or indirectly, intended or unintended?</i>	EQ24: What are the intended and unintended, positive and negative, long-term effects of the project?	JC24.1: The programme effected the national counterparts' institutions technically and professionally in a primary and secondary manner.	24.1.1. Documented results acknowledge progress towards achievement of results set up by the programme. 24.1.2. Results of the Programme support are acknowledged by and benefit the national counterparts' institutions.	Basic project documentation Project Progress Reports Interviews with direct and non-direct project stakeholders. Interviews with relevant stakeholders.	Desk study of in- and external information sources Field Missions including interviews with staff members and beneficiaries
	EQ25: What lessons can be drawn regarding project effectiveness?	<i>TBD.</i>			
	EQ26: To what extent can any identified changes be attributed to the project?	JC26.1: The programme contributed to the detection of migrant smuggling and trafficking.	21.1.1. Documented results acknowledge progress towards achievement of results set up by the programme. 21.1.2. Results of the Programme support are	Basic project documentation Project Progress Reports Interviews with direct and non-direct project stakeholders. Interviews with relevant stakeholders.	Desk study of in- and external information sources Field Missions including interviews with staff members and beneficiaries

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Evaluation Criteria	Evaluation Questions (EQs)	Judgment Criteria	Indicators	Sources of Information	EQ Specific Methodology
			acknowledged by and benefit the national counterparts' institutions.		
	EQ27: How did the project change targeted institutions with regards to migrant smuggling and trafficking? In what ways?	JC27.1: The programme contributed to conduct of migrant smuggling and trafficking.	27.1.1. Documented results acknowledge progress towards achievement of results set up by the programme. 27.1.2. Results of the Programme support are acknowledged by and benefit national counterparts' institutions.	Basic project documentation Project Progress Reports Interviews with direct and non-direct project stakeholders. Interviews with relevant stakeholders.	Desk study of internal information sources. Field Missions including interviews with staff members and beneficiaries
Sustainability: Are there lasting benefits after the project? What happens after the project comes to end?	EQ28: What is the likelihood that benefits from the project will be sustained after the end of the project?	JC28.1: National and local government counterparts support and endorse the programme.	28.1.1. Evidence of governments' support and endorsement of the programme.	Programme documentation. Interviews with stakeholders.	Desk study of internal information sources. Field Missions including interviews with staff members and beneficiaries
	EQ29: Are the benefits committed to continue to work towards project objectives after it ends? Do institutions and professionals have motivation and capacity to effectively prevent and control SOM & TIP?	J.C29.1: Local government institutions have technical capacity and commitment to follow up on the achievements of the programme.	29.1.1. Evidence of application of knowledge and skills of the government counterparts that were acquired from the participation in the program activities in their work. 29.1.2. Recommendations from the programme effectively used	Adopted and revised Strategies adopted by relevant government counterparts with support by the programme. Programme Progress reports and other relevant studies and documents Interviews with relevant Government representatives	Mapping of adopted and revised strategies supported by the programme. Mapping of governmental mechanisms administrative and management structures that have participated in the programme. Interviews and focus groups with government representatives to discuss the application of acquired knowledge.

Evaluation Criteria	Evaluation Questions (EQs)	Judgment Criteria	Indicators	Sources of Information	EQ Specific Methodology
	EQ30: Are services developed under the project likely to continue, be scaled up or replicated after project funding ceases?	J.C30.1: Local government institutions have technical capacity and commitment to follow up on the achievements of the programme.	30.1.1. Evidence of application of knowledge and skills of the government counterparts that were acquired from the participation in the program activities in their work. 30.1.2. Recommendations from the programme effectively used	Adopted and revised Strategies adopted by relevant government counterparts with support by the programme. Programme Progress reports and other relevant studies and documents Interviews with relevant Government and CS representatives	Mapping of adopted and revised strategies supported by the programme. Mapping of governmental mechanisms administrative and management structures that have participated in the programme. Interviews and focus groups with government representatives to discuss the application of acquired knowledge.
	EQ31: Do you think your institution will be able to continue the activities initiated by this project after its completion? In what ways?	<i>Based on interview feedback.</i>			
	EQ32: Do you think your institution is able to expand on the initiated activities? If not, why?	<i>Based on interview feedback.</i>			
	EQ33: What is the likelihood that established partnerships will be continued after the project? In what way?	JC33.1: Programme implementation is based on well-developed coordination lines between participating agencies. JC33.2: The Programme takes accurately and timely account of other interventions promoted by	33.1.1. Programme contains strong reference to coordination mechanisms between participating agencies. 33.2.1. The programme procedures allow for accurate and timely integration of information on	Review of the programme documents. Other donors' programming documents, progress reports, and monitoring and evaluation reports. Interviews with representatives of government and donors.	Review of the programme document, monitoring and progress reports in order to determine whether programme implementation prevents duplication and overlap and promotes synergy with interventions

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Evaluation Criteria	Evaluation Questions (EQs)	Judgment Criteria	Indicators	Sources of Information	EQ Specific Methodology
		<p>government, civil society and other key donors</p> <p>JC33.3: Internal communications methodology is clear and logical.</p>	<p>other interventions promoted by government, civil society and by donors</p> <p>33.2.2. Programme document contains reference to other interventions promoted by government, civil society and donors</p> <p>33.3.1. Programme documents contain elaborated internal communications strategy</p>		<p>(strategies, policies, programmes, projects) that are promoted by other stakeholders.</p>

ANNEX III. DESK REVIEW LIST

- Anti Migrant Smuggling Report, IOM 2003
- Annual Progress Reports 2010, 2011 and 2012
- Approval of the NTP on Crime Prevention
- CP Viet Nam ExCom Final 2012
- Final Approved S79 ProDoc
- FO Project Ledgers
- Mutual Legal Assistance Assignment
- NA Report for Vietnam
- One Plan 2012-2016
- Penal Code Vietnam: art. , 266-268; 274, 275; decrees 150/2005/ND-CP, 136/2005/ND-CP
- R21 Draft Evaluation Report
- R96 Final Evaluation Report
- Semi-Annual Progress Reports 2010, 2011 and 2012
- UNODC ProDoc
- UNODC RCEAP 35
- VNMS79 Project Revision 08 Sep 2011
- VNMS79 Project Revision 11 Sep 2012