

UNITED NATIONS OFFICE ON DRUGS AND CRIME
Vienna

Final independent project evaluation of the
**'Strengthening Criminal Justice Responses to
Human Trafficking in Lao PDR' Project**

LAO X26
LAO PDR

September 2016



UNITED NATIONS
New York, 2016

This evaluation report was prepared by an evaluation team consisting of Mr. James Newkirk (team leader) and Mr. Souklaty Sysaneth (substantive expert) as the two external evaluators. The Independent Evaluation Unit (IEU) of the United Nations Office on Drugs and Crime (UNODC) provides normative tools, guidelines and templates to be used in the evaluation process of projects. Please find the respective tools on the IEU web site: <http://www.unodc.org/unodc/en/evaluation/evaluation.html>

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CONTENTS

ACRONYMS AND ABBREVIATIONS	v
EXECUTIVE SUMMARY	vi
SUMMARY MATRIX OF FINDINGS, EVIDENCE AND RECOMMENDATIONS	xi
I. INTRODUCTION	1
BACKGROUND AND CONTEXT	1
EVALUATION METHODOLOGY	4
LIMITATIONS TO THE EVALUATION	8
II. EVALUATION FINDINGS	10
DESIGN	10
RELEVANCE	12
EFFICIENCY	14
PARTNERSHIPS AND COOPERATION	16
EFFECTIVENESS	17
IMPACT	23
SUSTAINABILITY	24
HUMAN RIGHTS AND GENDER	25
III. CONCLUSIONS	27
DESIGN	27
RELEVANCE	27
EFFICIENCY	27
EFFECTIVENESS	28
IMPACT AND SUSTAINABILITY	28
HUMAN RIGHTS AND GENDER	28

IV. RECOMMENDATIONS	29
V. LESSONS LEARNED	32
ANNEX I. TERMS OF REFERENCE OF THE EVALUATION.....	33
ANNEX II. EVALUATION TOOLS: INTERVIEW GUIDE AND SURVEYS	64
ANNEX III. DESK REVIEW LIST.....	69
ANNEX IV. LIST OF PERSONS CONTACTED DURING THE EVALUATION	71
ANNEX V. EVALUATION MATRIX	73

ACRONYMS AND ABBREVIATIONS

AAPTIP	Australia-Asia Program to Combat Trafficking in Persons
ASEAN	Association of South-east Asian Nations
CLE	Clinical Legal Education Centre
CLP	Core Learning Partner
CSO	Civil Society Organisation
CTG	Core Training Group
COMMIT	National Steering Committee and the Coordinated Mekong Ministerial Initiative Against Trafficking
JTIP	Office to Monitor and Combat Trafficking in Persons
Lao PDR	Lao People's Democratic Republic
IOM	International Organization for Migration
MOJ	Ministry of Justice
NSEDP	National Socio-Economic Development Plan
OECD - DAC	The Organisation for Economic Co-operation and Development - Development Assistance Committee
OSPP	Office of Supreme People's Prosecutor
Prodoc	The Project Document (in its original and revised forms)
PSC	Project Steering Committee
R76	UNODC's project number for (and usual designation in field discussions) of X26's precursor project <i>Strengthening Legal and Law Enforcement Institutions to Prevent and Combat Human Trafficking</i> .
SDG	Sustainable Development Goals
TIPP	Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children
UNACT	United Nations Action for Cooperation Against Trafficking in Persons
UNDP	The United Nations Development Programme
UNIAP	UN Inter-Agency Project on Human Trafficking in the Greater Mekong Sub-region)
UNICEF	United Nations Children's Fund
UNTOC	United Nations Convention against Transnational Organized Crime
UN WOMEN	UN organization dedicated to gender equality and the empowerment of women
UPR	Universal Periodic Review
VFI	Village Focus International
X26	UNODC's project number for (and regular designation in field discussions) of the project being evaluated - <i>Strengthening Criminal Justice Responses to Human Trafficking in Lao PDR</i> .

EXECUTIVE SUMMARY

The Project

Lao PDR acceded to the United Nations Convention against Transnational Organized Crime (UNTOC) and the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children (TIPP) on 26 September, 2003. Subsequently, Lao PDR has worked toward implementing the UNTOC and the TIPP, through national legislation and related policy and strategy frameworks. The project being evaluated builds directly on the foundation laid by the three-year UNODC Project: *Strengthening Legal and Law Enforcement Institutions to Prevent and Combat Human Trafficking*, which was implemented with the Lao Ministry of Justice between 2006 and 2009, during which the Core Training Group, a cross-cutting training group consisting of members of the criminal justice system, was created. The project's total budget of \$1,150,000 US was funded by the US Government's Office to Monitor and Combat Trafficking in Person (JTIP).

The project's objective was to provide assistance to Lao PDR to have a legislative framework and improved criminal justice response in place to take action against human trafficking and to protect victims.

Project design focussed on interventions in the areas of legal reform, capacity-building and cooperation, and victim empowerment and awareness on their rights. The project had six expected outcomes: Outcome 1 - The legal framework to combat human trafficking is accessible, applied, and further developed to encompass all relevant TiP provisions; Outcome 2 - Authorities have improved capacities to identify and refer, investigate and prosecute human trafficking; Outcome 3 - Victims of trafficking exercise their rights and file a case; Outcome 4 - Lao communities are aware of trafficking risks, can recognize human trafficking traits and have information on victim rights; Outcome 5 - Victims of trafficking have access to improved support services; Outcome 6 - Evidence-based approach in criminal investigation and prosecution is promoted in Lao PDR.

The Evaluation

The evaluation assessment followed the OECD DAC (The Organisation for Economic Co-operation and Development - Development Assistance Committee) criteria: relevance, efficiency, effectiveness, impact and sustainability, as well as assessing established partnerships and cooperation and a focus on human rights. The intent of the evaluation was to provide areas of improvement and provide feedback, appraisal and recognition of project activities. Analysis focuses on all project activities, outputs and outcomes, for the whole of the project implementation period (March 2011 through September 2016), across the whole of Lao PDR. The evaluation field work took place in Vientiane and Champasak Province.

The evaluation had three stages: inception, field research, analysis/ synthesis/ reporting. The inception period was for the evaluation team to develop a detailed understanding of the project, and of the evaluation, and to fully prepare the evaluation approach and methodology. Following the inception phase, the evaluation team undertook field research. Together with the document review undertaken during the inception phase, the field research, with its focus on primary data, was the key aspect of the evaluation.

Based on the evaluation team's desk review of project documentation, and the undertaken field research, and within the framework of the evaluation matrix/ evaluation questions, the evaluation team synthesised and analysed the findings of the field work. This synthesis/ analysis was drawn together into a set of coherent findings and conclusions to the evaluation questions together with a set of lessons learned and recommendations.

The methodology specifically considered primary and secondary data sources. The intent of this approach was to ensure the evaluation offered diverse perspectives, and promoted the participation of different groups of stakeholders. The main data sources consisted of programme documentation and project stakeholders reached by interviews.

Of the four basic types of triangulation: data, investigator, theory and methodological, this evaluation made use of investigator triangulation, with the evaluation team comprising two independent evaluators from different backgrounds, qualifications, experience and knowledge and methodological triangulation, involving the document review, field interviews with a variety of stakeholders such as donors, training participants, local authorities, service providers such as shelter organisations and legal support groups, and UNODC staff in country and at HQ and observation.

Conclusions

Design

The project was designed with clear awareness of and in the context of Lao PDR strategies, policies and priorities, as well as within the priority and strategic frameworks of UNODC. The Prodoc was revised three times. The current version provides clear results logic and a detailed risk analysis. Design processes require a greater focus on risk management.

Relevance

The project responds strongly to the needs and priorities of Lao PDR in combatting trafficking in persons. The project specifically addresses components national socio-economic development plans. The project is also relevant to and designed within international frameworks for combatting violence against women, gender-based violence and trafficking in persons. While addressing gender-based violence is a clear focus of the project, human rights and gender equality are not sufficiently visible as thematic project priorities. A greater focus on approaches that allow a rights-based focus to permeate through the project's activities and outputs would have strengthened outcomes in this area.

Efficiency

The logical framework provides a strong basis for project activities and outputs, and is used effectively by the project team in informing activities. The results logic is clear in defining the relationships between activities and outputs and between outputs and outcomes. The logical framework informs planning and implementation, but is not visible in reporting, which is heavily focused on activities. Monitoring processes defined in project documentation have not been used as extensively as intended. Required reporting processes (both internal to UNODC and to the donor) lack sufficient description of results and analysis of project processes, issues and status. The level of human resources assigned to the project, for both implementation and management, have been insufficient to ensure achievement of project results and effective reporting on the project. Inefficiencies and delays in implementation of the Umoja system caused the delay and/ or cancellation of some project activities, and was undertaken without sufficient coordination with government counterparts.

Effectiveness

Development and promulgation of the Law on Human Trafficking is the most visible and notable outcome of the project. More work is needed with guidelines, and with supporting policy/implementation frameworks in line with international conventions, protocols and treaties. Capacity development with Police, Prosecutors and others is a significant and on-going development. MOJ and OSPP staff have greater levels of knowledge and skills in addressing human trafficking. Provincial and village authorities and local NGOs demonstrate raised levels of awareness about human trafficking. Future directions of focus include guidelines on implementation and on protecting the rights of the trafficked person; Police/ prosecutor practice – further development of the knowledge and skills of authorities involved in combatting human trafficking; and, victim justice and support services.

Impact and sustainability

Of most interest in discussions of impact are the Law on Human Trafficking and the capacity-building programme. The Law on Human Trafficking provides the legislative framework for addressing human trafficking, and so has significant potential for impact in the future. Impact requires further work on guidelines, policies, strategies. The capacity-building programme will, potentially, provide the greatest impact over time, as it combines practitioners who are better able to address human trafficking in their province or district and a core of Ministry professionals with the skills necessary to continue capacity-building work that can impact in areas beyond human trafficking. Also worth noting is the leadership and commitment shown by MOJ, OSPP and local authorities, as well as the work of civil society and its developing relationship with Government.

Human rights and gender

There is a significant lack of stated focus in design and implementation on human rights in general and gender equality in particular. Other than the clear focus on violence against women inherent in a project addressing human trafficking, a rights-based approach is only ever implied throughout the project's design - it is never specifically mentioned. Human rights and gender *are* specific focus areas of training programmes that are project activities. A much greater focus is needed in all aspects of design (notably the Prodoc), implementation and reporting on ensuring project staff and project stakeholders have a focus on human rights.

Key Recommendations

A Related But Narrowed Focus For GLO.ACT

Build the GLO.ACT focus in Laos on the activities and intended outcomes of X26, but with the focus narrowed to the critical areas of legislation and supportive documentation, capacity-building with authorities and assistance to authorities and victims in the pursuit of justice. Future directions of focus remain closely related to the framework of the project. These include legislation - and specifically guidelines on implementation and on protecting the rights of the trafficked person is of particular importance; Police/ prosecutor practice – further development of the knowledge and skills of authorities involved in combatting human trafficking; and, victim justice and support services.

Further Detailing Of Supportive Documentation For The TiP Law

Include a further and detailed focus in the GLO.ACT design for Laos on the development and implementation of all necessary supporting documentation, processes and approaches to ensure the TiP Law is effectively implemented nationally. The TiP Law provides the legislative framework for addressing human trafficking, and so has significant potential for impact in the future. In order to

implement the law, further elaboration through the development of other necessary documentation such as implementation guidelines, strategies, etc. is needed. Impact is not likely to happen without subsequent work in the nominated areas.

A Wider Application Of The Capacity-Building Programme

Include a wider application of the capacity-building programme in GLO.ACT, including a strong focus on continued development of and assistance to the CTG, with consideration of assistance to the Government of Lao PDR in the establishment of a permanent training team, whose focus would also include the health sector and labour and social affairs, and would also work at the district level on human trafficking and illegal migration. Extend capacity-building across Lao PDR and to officials at higher levels of Provincial and national authorities - further work is needed at all levels of the national bureaucracy with officials in roles and positions that impact on human trafficking, gender-based violence and other human rights issues.

Deepened Collaboration With Lao PDR In Design

Development of GLO.ACT design documentation requires consultation with Government and civil society on the critical cross-cutting issues relevant to implementation in Laos. Further, a detailed understanding of human rights priorities, including a specific gender focus, is needed in design documentation, implementation processes and reporting. A greater design focus to a rights-based focus across project activities and outputs will strengthen outcomes.

Furthering The Understanding And Use Of Results-Based Management

Provide support and training to all relevant GLO.ACT staff in Lao PDR in results-based management and reporting processes. Specific emphasis should be given in how to report what is being achieved through activities, as opposed to what activities are being implemented. The logical framework informs planning and implementation, but is not visible in reporting, which is heavily focused on activities and lacks an emphasis on planned and intended results.

Improving Coordination Processes And Partnership With Counterparts

Ensure that all project administrative processes comply with established agreements, and contribute to the effective and efficient implementation of projects. Focus should be on delivery of outcomes, and how administrative processes can facilitate this delivery.

A Cross-Border Focus To GLO.ACT Design And Implementation

Consider a component of GLO.ACT that addresses cross-border legislative and administrative processes in support of the activities and intended outcomes of GLO.ACT inside of Laos. Human trafficking is an issue that goes beyond Laos. In particular, the issue of countries handing back victims is an issue that needs addressing by a range of agencies and organisations across borders. It is not just a national level issue, and local and national level personnel need more information and capacity to deal with this, and skills and knowledge need to be built in this area. Further, the current district/ province focus needs to be expanded.

Deepen Collaboration With Government And Civil Society In GLO.ACT

Expand the detailed involvement of Government and civil society counterparts in the design (and implementation) of GLO.ACT. Give particular focus to ensuring, during design processes, that all activities/ outputs/ outcomes focused on Government agencies or personnel are designed in close collaboration with relevant stakeholders/ counterparts. Increasing the participation of Government

counterparts during planning, implementation, monitoring and evaluation processes and project modification exercises will contribute to both a more intensive participation in implementation and a greater ownership of activities and results.

SUMMARY MATRIX OF FINDINGS, EVIDENCE AND RECOMMENDATIONS

Findings ¹	Evidence (sources that substantiate findings)	Recommendations ²
Key recommendations		
Future directions of focus remain closely related to the framework of the project. These include legislation - and specifically guidelines on implementation and on protecting the rights of the trafficked person is of particular importance; Police/prosecutor practice – further development of the knowledge and skills of authorities involved in combatting human trafficking; and, victim justice and support services.	Project Documentation Progress reports Project Staff Interviews Stakeholder Interviews	Build the GLO.ACT focus in Laos on the activities and intended outcomes of X26, but with the focus narrowed to the critical areas of legislation and supportive documentation, capacity-building with authorities and assistance to authorities and victims in the pursuit of justice. (UNODC HQ - Human Trafficking and Migrant Smuggling Section)
The TiP Law provides the legislative framework for addressing human trafficking, and so has significant potential for impact in the future. However, in order to implement the law, it needs further elaboration through the development of other necessary documentation such as implementation guidelines, strategies, etc. Impact is not likely to happen without subsequent work in the nominated areas.	Project Documentation Progress reports Stakeholder Interviews	Include a further and detailed focus in the GLO.ACT design for Laos on the development and implementation of all necessary supporting documentation, processes and approaches to ensure the TiP Law is effectively implemented nationally. (UNODC HQ - Human Trafficking and Migrant Smuggling Section)
The capacity-building programme will, potentially, provide the greatest impact over time, as it combines two important outcomes: practitioners are better prepared to do effective jobs in addressing human trafficking in their province or district and a core of Ministry professionals are developing the skills necessary to continue a process of capacity-building that can impact in areas beyond human trafficking. A 'permanent' training	Project Documentation Progress reports Donor reports Project Staff Interviews Stakeholder Interviews	Include a wider application of the capacity-building programme in GLO.ACT, including a strong focus on continued development of and assistance to the CTG, with consideration of assistance to the Government of Lao PDR in the establishment of a permanent training team. (UNODC HQ - Human Trafficking and Migrant Smuggling Section)

¹ A finding uses evidence from data collection to allow for a factual statement.

² 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.

<p>team was discussed during field enquiry – a team that would focus not just as is currently done with the CTG, but one that would also include the health sector and labour and social affairs, and would have a clear focus at the district level on human trafficking and illegal migration.</p>		
<p>A greater specific focus, in design and implementation, to approaches that allow a rights-based focus to permeate through the project's activities and outputs would have strengthened outcomes in this area. Human rights and gender equality are not sufficiently visible as thematic project priorities.</p>	<p>Project Documentation Progress reports Donor reports Project Staff Interviews Stakeholder Interviews</p>	<p>Development of GLO.ACT design documentation requires consultation with Government and civil society on the critical cross-cutting issues relevant to implementation in Laos. Further, a detailed understanding of human rights priorities, including a specific gender focus, is needed in design documentation, implementation processes and reporting. (UNODC HQ - Human Trafficking and Migrant Smuggling Section)</p>
<p>The logical framework informs planning and implementation, but is not visible in reporting, which is heavily focused on activities and lacks an emphasis on planned and intended results.</p>	<p>Progress reports Donor reports Project Staff Interviews Stakeholder Interviews</p>	<p>Provide support and training to all relevant GLO.ACT staff in Lao PDR in results-based management and reporting processes. Specific emphasis should be given in how to report what is being achieved through activities, as opposed to what activities are being implemented. (UNODC HQ - Human Trafficking and Migrant Smuggling Section)</p>
<p>The implementation of Umoja included changes in how the project implemented project expenditure with Government, without addressing these changes with Government and in ways that are outside of the UNODC/ MOJ MoU.</p>	<p>Progress reports Donor reports Project Staff Interviews Stakeholder Interviews</p>	<p>Ensure that all project administrative processes comply with established agreements, and contribute to the effective and efficient implementation of projects. Focus should be on delivery of outcomes, and how administrative processes can facilitate this delivery. (UNODC HQ - Human Trafficking and Migrant Smuggling Section)</p>
Important recommendations		
<p>While capacity-building, and strengthening the knowledge and skills of police, prosecutors and local authorities has been an effective and important project activity and outcome, further work is needed at all levels of the national bureaucracy with officials in roles and positions that impact on issues of human trafficking, gender-based violence and other human rights issues.</p>	<p>Project Documentation Progress reports Project Staff Interviews Stakeholder Interviews</p>	<p>Extend the focus of the capacity-building geographically (across Lao PDR) and to officials at higher levels of both Provincial and national authorities. (UNODC HQ - Human Trafficking and Migrant Smuggling Section)</p>
<p>Increasing the participation of Government and NGO counterparts during planning, implementation, monitoring and evaluation processes and project modification exercises will contribute to both a more intensive participation in implementation and a greater ownership of activities and results.</p>	<p>Project Staff Interviews Stakeholder Interviews</p>	<p>Expand the detailed involvement of Government and civil society counterparts in the design, implementation, monitoring and evaluation of GLO.ACT. Give particular focus to ensuring, during design processes, that all activities/ outputs/ outcomes focused on Government agencies or personnel are designed in close collaboration with relevant stakeholders/ counterparts. (UNODC HQ - Human Trafficking</p>

		and Migrant Smuggling Section)
<p>Awareness-raising at the community level requires a wider geographic focus. The radio initiative is promising, and community radio can be used for dissemination the law and related documents developed by the project. It may or may not be an example of developing best practice, but it is well worth consideration for ongoing funding as a cost effective and effective way of raising awareness across a larger geography.</p>	<p>Project Documentation Progress reports Project Staff Interviews Stakeholder Interviews</p>	<p>Include a wider application of the awareness-raising programme in GLO.ACT, including a strong focus on continued development of and assistance to community-based radio stations and similar civil society initiatives. (UNODC HQ - Human Trafficking and Migrant Smuggling Section)</p>
<p>The level of human resources assigned to the project, for both implementation and management, have been insufficient to ensure achievement of project results across all six outcome areas, as well as effective reporting on the project.</p>	<p>Project Documentation Progress reports Project Staff Interviews Stakeholder Interviews</p>	<p>Ensure that the Lao PDR component of GLO.ACT is designed to ensure either a more constrained set of activities and outcomes or has a larger component of assigned human resources. Further, ensure that the structure of line management can contribute effectively to oversight, strategic thinking and liaison with counterparts. (UNODC HQ - Human Trafficking and Migrant Smuggling Section)</p>

I. INTRODUCTION

BACKGROUND AND CONTEXT

Project summary

Project number:	LAO X26
Project title:	“Strengthening Criminal Justice Responses to Human Trafficking in Lao PDR”
Duration:	March 2011 - September 2016
Location:	Lao PDR
Linkages to Country, Regional and Thematic Programmes:	Sub-programme 1: Countering transnational organized crime and illicit trafficking, including drug trafficking
Executing Agency:	UNODC
Partner Organizations:	Ministry of Justice
Total Approved Budget:	1,150,000 USD
Total Overall Budget	1,150,000 USD
Donors:	Office to Monitor and Combat Trafficking in Person (JTIP)
Project Manager/Coordinator:	Ms. Siliphaithoun Xayamoungkhoun
Type and time frame of evaluation:	Final Independent Project Evaluation July to September 2016
Timeframe of the project covered by the evaluation:	From March 2011-September 2016
Geographical coverage of the evaluation:	Lao PDR (Vientiane and Champasak and Xiengkhouang provinces to be further discussed together with the evaluator)
Budget for this evaluation:	30,000 USD
Type and year of past evaluations (if any):	Project Self-evaluation in 2014
Core Learning Partners (entities):	Ministry of Justice, Ministry of Public Security, Department of Immigration, Office of Supreme People’s Prosecutors, Lao Women Union, Lao Bar Association, Clinical Legal Education (Faculty of Law), UNACT, UNWOMEN, UNICEF, The Australian-ASEAN Trafficking in Person (AAPTIP), IOM, UNDP, Village Focus International (VFI), ADWEL, The Asia Foundation, The Victim of Trafficking Shelter (Sengsavang)

Project overview and historical context

Lao PDR acceded to the United Nations Convention against Transnational Organized Crime (UNTOC) and the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children (TIPP) on 26 September, 2003. Subsequently, Lao PDR has worked toward implementing the UNTOC and the TIPP, through national legislation and related policy and strategy frameworks. These include the Law on Development and Protection of Women in 2004, and articles in the Penal Law specifically related to human trafficking and related crimes. The Law on Trafficking of Persons was recently promulgated.

An Anti-Trafficking Division was also established, nationally, with corresponding units in the provinces. A National Steering Committee on Human Trafficking was also established, together with participation in the Coordinated Mekong Ministerial Initiative against Trafficking (COMMIT) Task Force. However, prosecution rates remain low, and there is limited accurate data and research explaining the situation of human trafficking in Laos, including a lack of data on the situation of domestic victims of human trafficking. National mechanisms remain weak, and there is an on-going heavy reliance on international agencies and the interventions of NGOs.

The project being evaluated builds directly on the foundation laid by the three-year UNODC R76 Project: *Strengthening Legal and Law Enforcement Institutions to Prevent and Combat Human Trafficking*. The R76 Project was implemented with the Lao Ministry of Justice between 2006 and 2009, during which the Core Training Group, a cross-cutting training group consisting of members of the criminal justice system, was created.

The overall goal of the project is to *reduce human trafficking by strengthening the country's capacity to implement its laws to effectively prevent, investigate and prosecute human trafficking, and protect and empower victims of trafficking*. Project design focussed on interventions in the areas of:

- Legal reform.
- Capacity-building and cooperation.
- Victim empowerment and awareness on their rights.

In this way, the project was conceived to strengthen institutions and capacities, and synergies between the four Ps – **Prevention, Protection, Prosecution and Partnership**– for stronger impact and sustainability on the ground.

Main objectives and outcomes

Project Objective

Lao PDR has a legislative framework and improved criminal justice response in place to take action against human trafficking and to protect victims.

Outcome 1

The legal framework to combat human trafficking is accessible, applied, and further developed to encompass all relevant TiP provisions.

Outcome 2

Authorities have improved capacities to identify and refer, investigate and prosecute human trafficking.

Outcome 3

Victims of trafficking exercise their rights and file a case.

Outcome 4

Lao communities are aware of trafficking risks, can recognize human trafficking traits and have information on victim rights.

Outcome 5

Victims of trafficking have access to improved support services.

Outcome 6

Evidence-based approach in criminal investigation and prosecution is promoted in Lao PDR.

Purpose of the Evaluation

This final Independent Project Evaluation of LAO X26 was foreseen in the project document as per UNODC evaluation norms and standards.

The evaluation assessment followed the OECD DAC (The Organisation for Economic Co-operation and Development - Development Assistance Committee) criteria: relevance, efficiency, effectiveness, impact and sustainability, as well as assessing established partnerships and cooperation and a focus on human rights. The evaluation will further specifically assess how gender aspects have been mainstreamed into the project as well as identify lessons learned and best practices and derive recommendations. As Lao PDR is one of the beneficiary countries selected for a new project on human trafficking and migrant smuggling - *Global Action to Prevent and Address Trafficking in Persons and the Smuggling of Migrants* (GLO.ACT), that is based on a collaboration between the EU, UNODC, United Nations Children's Fund (UNICEF) and the International Organization for Migration (IOM), the recommendations of this evaluation (in addition to the country assessment that has been conducted through GLO.ACT) will pave the strategic directions and scope of the intervention for the coming partnership with the EU (in the course of the GLO.ACT Project on human trafficking and smuggling of migrants) that was launched at the beginning of 2016.

The evaluation will further identify areas of improvement and provide feedback, appraisal and recognition of project activities. Furthermore, the evaluation will seek to provide accountability to donors by determining whether project objectives were met and resources were wisely utilized. In addition, it will assess the implementation of the recommendations of the Participatory Self-Evaluation in 2014.

The main evaluation users are the Secretariat to the National Commission on Anti-Human Trafficking, the Anti-Trafficking Department, Ministry of Public Security, the Law enforcement government agencies, the Ministry of Justice, the Ministry of Foreign Affairs, and the UNODC, the JTIP donor and the members of Human Trafficking Working Group.

Scope of the Evaluation

The evaluation analysis was focused on all project activities, outputs and outcomes, for the whole of the project implementation period (March 2011 through September 2016), across the whole of Lao PDR. The evaluation field work took place in Vientiane and Champasak Province.

Past Evaluations

In the middle of the time frame of the project, the overall budget was increased to a total of 1,150,000 USD. The final evaluation was planned in the latest logical framework of 2014. Following the UNODC evaluation norms and standards, an international consultant of the project conducted a participatory self-evaluation in 2014 through questionnaires and interviews with stakeholders based on the UNODC self-evaluation guideline (participatory self-evaluations are not part of UNODC's evaluation portfolio since August 2014). Recommendations largely focused on the need to increase regular communication with the project steering committee members and maintain dialogue with the government and a wide range of other stakeholders to develop an understanding of human trafficking. As well, identifying focal points to provide specific advice and support to activities at various level was found to be needed. The result of the self-evaluation also led to a training needs analysis with the Core Training Group in order to ensure the required skills and information that corresponds to the current situation were taken into account. The latest work plan and training activities were revised, together with relevant partners. As a result, communication with the Project Chair (Ministry of Justice) has been increased in order to make sure accurate information is received and regular consultations take place. Therefore, the current evaluation will also respond to respective questions under the design-criteria.

EVALUATION METHODOLOGY

Evaluation Criteria

The evaluation was conducted based on the OECD/ DAC criteria: relevance, efficiency, effectiveness, impact and sustainability, as well as partnerships and cooperation, gender and human rights and lesson learned.

The evaluation methodology was designed to conform to the Norms and Standards for Evaluation in the United Nations System and the Evaluation Norms, Guidelines, Templates and Standards at UNODC.³

Evaluation approach

To the extent possible, the evaluation took a mixed-methods approach, with a mix of qualitative and quantitative methods to gather and analyse data. The methodology specifically considered primary and secondary data sources. The intent of this approach was to ensure the evaluation offered diverse perspectives, and promoted the participation of different groups of stakeholders. The methods used included the desk review of documentation, interviews and surveys (following discussions during the inception phase, some survey tools were developed that were shared with national and provincial/ local authorities and with local support groups (shelters in particular) and CSOs). It was not feasible to survey victims of trafficking, given the project implementation processes and status of victims. As is discussed below in more detail, the surveys provided only limited inputs to evaluation processes.

³<http://www.unodc.org/unodc/en/evaluation/evaluation.html>

The UN Women's handbook 'How To Manage A Gender-Responsive Evaluation provided a useful context for the approach the evaluation team took to the evaluation. The following excerpt summarises this approach:

Gender-responsive evaluation has two essential elements: what the evaluation examines and how it is undertaken. It assesses the degree to which gender and power relationships—including structural and other causes that give rise to inequities, discrimination and unfair power relations, change as a result of an intervention using a process that is inclusive, participatory and respectful of all stakeholders (rights holders and duty bearers).⁴

What did the evaluation examine? While assessing the project in the context of its design, it was noted that the project has a specific focus on addressing, with *authorities* and in terms of *victims and victim support*, gender-based violence in the form of human trafficking. The focus here was on the gender-focus and gender-balance in the activities and outputs/ outcomes of the project, with an emphasis on the structural aspects. Enquiry also focused on societal inequities and what, if anything, is shifting in perceptions about and provision of services/ support to victims of trafficking.

How was the evaluation undertaken? The evaluation was gender sensitive in its approach. A focus of the inception and field phases was paying particular attention to ensuring a balance of perspectives (victim, victim's family, support organisation/ activist organisation and authority) when planning how to enquire into the effectiveness of project activities and the effectiveness of results. The evaluation team emphasised the importance, to the evaluation, of the responses of victims and victim groups, working to ensure that these target groups were included in field processes. It is noted however that no discussion/ enquiry was actually undertaken with victims, due to actual project implementation status. Irrespective of project design, there has been no emphasis to date on specific work with victims. The evaluation team sought to understand the issues, the project approaches and the outcomes from a perspective beyond that of authorities (municipal authorities, prosecutors, police). As victims were not part of enquiry, the evaluation also sought the perspective of support services, NGOs and community representatives in order to understand more than structural, legislative and policy questions.

The evaluation had three stages: inception, field research, analysis/ synthesis/ reporting. Each are discussed below.

Inception

The intent of the inception period was for the evaluation team to develop a detailed understanding of the project, and of the evaluation, and to fully prepare the evaluation approach and methodology. The inception period began with early discussions with the project team and a refinement of the questions to be addressed by the evaluation (beginning with the questions provided in the Terms of Reference), followed by a review of all relevant documentation (as provided by the project team), in line with the evaluation questions.

⁴ 2015. How To Manage A Gender-Responsive Evaluation. Handbook. UN Women.

On the basis of the early discussions and document review, a preliminary analysis of the project was undertaken and a detailed evaluation approach and methodology (including field instruments) was prepared. Preliminary findings, framed against evaluation questions, the revised questions themselves, and an evaluation matrix (structured against OECD/ DAC criteria and the evaluation questions, and with preliminary findings included) was developed. A detailed evaluation time frame was drawn up. These were all pulled together into an Inception Report which formed the basis of the work of the evaluation. Key components of the Inception Report included:

- The evaluation approach and methodology.
- The refined set of evaluation questions.
- The evaluation matrix.
- The evaluation field tools (interview sheets).
- The evaluation timeframe (including agreed dates for field research and delivery of each of the evaluation deliverables).

The final Inception Report was the first deliverable of the evaluation. This report was approved by UNODC Independent Evaluation Unit on 18 August 2016.

Field Research

Following the inception phase, the evaluation team undertook field research. Together with the document review undertaken during the inception phase, the field research, with its focus on primary data, was the key aspect of the evaluation.

Interviews

During the field research, all relevant project stakeholders were approached for their comments/ feedback on the project, within the framework of the evaluation questions. These approaches were undertaken through face-to-face or Skype/ phone interviews or focus group discussions. The evaluation team held discussions with a total of 35 people. The full list can be found at *Annex IV - List of persons contacted during the evaluation*.

Interviews followed the general structure of agreed evaluation questions, but with modifications and refinements as required subject to the type of stakeholder and their level of detailed knowledge of the project.

Surveys

A set of four surveys was prepared, one for national authorities, one for local/ provincial authorities, one for victim support groups/ CSOs and one for victims. The format and structure of the surveys had two key components – to address the experience of each group from their project participation *against the indicators of the project's logical framework* and to be structured in such a way that answers from one group can correlate *wherever possible* with answers from other groups.

It was anticipated during inception that the survey approach may not yield strong inputs to enquiry, given a) the numbers of likely respondents and b) the inherent communication difficulties with participants in project activities. This concern proved to be correct. As is

discussed in more detail below, while the project design included specific work with victims, this work has not been undertaken. As a result, this survey could not be implemented. The survey for local/ provincial authorities received only 4 responses and the survey for national authorities only 2 responses. It is noted that it was not logistically possible to provide the survey to the significant number of training participants (over 500) as no email addresses were recorded for the vast majority of these people (the only provided details were mobile phone numbers). Given the small number of responses, the surveys have not been included in this report.

Analysis/ Synthesis/ Reporting

Based on the evaluation team's desk review of project documentation, and the undertaken field research, and within the framework of the evaluation matrix/ evaluation questions, the evaluation team synthesised and analysed the findings of the field work. This synthesis/ analysis was drawn together into a set of coherent findings, based on its research. Based on these findings, the evaluation team then drafted its conclusions to the evaluation questions and, together with these conclusions, prepared a set of lessons learned and recommendations. Per the Terms of Reference, these lessons learned and conclusions specifically focus on matters of value to the new GLO.ACT programme. The synthesis/ analysis/ reporting phase ends with the provision to UNODC of the evaluation report (this document). The finalisation has two components.

- The first component is the drafting of the evaluation report, which ends with provision to UNODC of the Draft Evaluation Report (for analysis on the one hand for factual errors by Project Management and on the other hand by the Independent Evaluation Unit for full quality assurance), which is the *second deliverable* of the evaluation. The evaluation team will receive feedback on the Draft Evaluation Report, and will then prepare the Final Evaluation Report.
- After the Draft Evaluation Report is cleared by the IEU, it will be shared with CLPs for comments on factual errors. Following any comment from the CLP, the evaluation team will finalise the Report (the second component of the finalisation process). This final draft will then be cleared by the IEU. The Final Evaluation Report is the *third and final deliverable* of the evaluation.

Data Sources

The main data sources consist of programme documentation and project stakeholders reached by interviews.

Documents. All secondary documentation assessed by the evaluation team, and additional documents encountered during the fieldwork phase.

Stakeholders. Stakeholders include all those that were invited to participate in interviews or to respond to the surveys, including the Core Learning Partners.

- The Core Learning Partners (CLP) are the main stakeholders, i.e. a limited number of those deemed as particularly relevant to be involved throughout the evaluation process, in reviewing and commenting on the ToR and the evaluation questions, reviewing and commenting on the draft evaluation report, as well as facilitating the dissemination and application of the results and other follow-up action. CLPs are a cross-cutting categorisation.

- All stakeholders can be found in the following categories –
 - Project staff.
 - UNODC (Vienna, Bangkok and Vientiane).
 - Other UN Agencies.
 - The Donor.
 - National level NGO partners.
 - Partners - including, as defined in the Prodoc, national government and institutions such as the Ministry of Justice; legal and law enforcement officials particularly at provincial and districts level; criminal justice institutions such as the Office of the People’s Prosecutor; the Anti-trafficking Department, Division of Anti-trafficking in Champasak and/ or Vientiane. No representative of the Ministry of Public Security in Vientiane was made available for interview, including from the Anti-trafficking Department.
 - Implementing partners – including some partners defined above, but with a focus on the Core Training Group.
 - Victims/ victim groups (as defined in the Prodoc) – Victims of human trafficking in the communities, to be visited in Champasak; Victims in shelters, who will be visited in Champasak; Victim service providers (including local CSOs), who will be visited in Champasak and Vientiane; Shelters, who will be visited in Champasak and Vientiane. No victims and no shelters were visited, or interviewed (see Limitations below).

Triangulation

Of the four basic types of triangulation: data, investigator, theory and methodological, this evaluation made use of investigator triangulation, with the evaluation team comprising two independent evaluators from different backgrounds, qualifications, experience and knowledge and methodological triangulation, involving the document review, field interviews with a variety of stakeholders such as donors, training participants, local authorities, service providers such as shelter organisations and legal support groups, and UNODC staff in country and at HQ and observation. While the evaluation approach intended to also use surveys as a triangulation approach, this was not effective in triangulation processes for reasons discussed above and below.

LIMITATIONS TO THE EVALUATION

Victims of human trafficking - The evaluation team was not able to enquire with actual victims of human trafficking. As is discussed in detail in the Effectiveness section below, even though *Outcome 3 Victims of trafficking exercise their rights and file a case* has a specific victim focus, the project has not dealt directly with victims, but more on support services, awareness-raising etc. Further, the evaluation team was not given permission to visit any shelter due to the sensitive nature of shelter locations and processes for visitation. Discussions were held with organisations that manage shelters.

Surveys – It was anticipated during inception that the survey approach may not yield strong inputs to enquiry, given a) the numbers of likely respondents and b) the inherent communication difficulties with participants in project activities. This concern proved to be correct. As the project has not dealt with victims directly, this survey could not be implemented. The survey for local/ provincial authorities received only 4 responses and the survey for national authorities only 2 responses. It is noted that it was not logistically possible to provide the survey to the significant number of training participants as no email addresses exist for the vast majority of these people, as well as the time limitation during the field mission of the evaluation. Given the small number of responses, the surveys have not been included in this report.

Police – it was not possible to speak to any representatives of the Police in Vientiane (although Police representatives in Pakse were interviewed). While interviews were requested, on a number of occasions, Police representatives were not provided to the evaluation team for discussions. The main expressed reason for not agreeing to be interviewed was the presence in Laos, at the same time as field work, of a huge representation of ASEAN countries for the annual ASEAN summit and the presence of US President Barack Obama, and the need for Police resources to be focused in those areas. The Police are a key stakeholder in the project and its implementation, not least as the Police chair the national committee on human trafficking.

Evaluation Questions

The full set of agreed evaluation questions, addressed during the evaluation, can be found at Annex 5 – Evaluation Matrix.

II. EVALUATION FINDINGS

DESIGN

The project was designed within a framework of Lao PDR policies and frameworks, as is seen in this excerpt from the project document:

The Lao PDR acceded to the United Nations Convention against Transnational Organized Crime (hereafter ‘TOC’) and the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children (hereafter ‘TIPP’) on 26 September, 2003. The accession to the TOC and TIPP prompted a strengthening of the legal framework on human trafficking in the country.

In 2004, the Law on Development and Protection of Women was enacted followed by the introduction of Article 134 in the Penal Law in 2005. In addition, other provisions in the Penal Law and the Labour Law are applicable to prosecute human trafficking and associated crimes. To help implement these laws Lao PDR has set up an Anti-Trafficking Division with corresponding units at provincial level. At national level there is a National Steering Committee and the Coordinated Mekong Ministerial Initiative against Trafficking (COMMIT) Task Force. Lao PDR cooperates with other countries, particularly neighbouring countries, on counter-human trafficking through bilateral MOUs, the COMMIT process and ASEAN.⁵

The Project evolved from, and was designed based on, an earlier UNODC project (*Strengthening Legal and Law Enforcement Institutions to Prevent and Combat Human Trafficking*) usually referred to in field discussions as R76. Some prosecutors trained during R76 were to become the main trainers for the project, the training team, which included both Police and Prosecutors.

It was noted in field interviews that one aspect of design that is particularly important to relevance (and effectiveness) is that the project addresses national, provincial and local authorities and civil society. It is also noted that ‘if we are to address human trafficking in the region we must also have a cross-border focus’⁶, something which is happening at the national level. While it is not a focus of the project, the expressed view is that this regional/ cross-border focus is particularly relevant to GLO.ACT.

In terms of the project’s design and UNODC’s role, the Prodoc defines a number of points where there is correlation between the project’s design intent and UNODC’s role and responsibilities:

⁵ Project Document – Revision 7, October 2010 and Revision 28 August 2014.

⁶ From a fieldwork interview.

UNODC, as guardian of the UN Convention against Transnational Organized Crime and its three protocols, including the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, is well-positioned to assist the Lao Government in their efforts to implement these international legal instruments, and to address country-specific issues in relation to trafficking and organised crime.

The UN Office on Drugs and Crime is a global leader and also the designated UN agency in the fight against illicit drugs and international crime including human trafficking. As such UNODC is mandated to assist Member States of the United Nations in their struggle against human trafficking and associated crimes such as organised crime, migrant smuggling, corruption and money laundering. UNODC has considerable experience in assisting States to prevent human trafficking, prosecute traffickers and protect victims – women, children and men. UNODC has a comparative advantage in building stronger national legislation and legal regimes, and fostering cross-border cooperating, in preventing and combating human trafficking.

In Lao PDR the UNODC Lao Country Office works alongside the government in the fight against drugs, human trafficking, corruption and money laundering, to strengthen the rule of law and the continued development of the country. This project directly builds upon the previous project implemented by UNODC in close partnership with the Ministry of Justice, and responds to needs identified by the Lao Government and UNODC complementing ongoing work of others in the counter-human trafficking sector in the country and beyond. The Lao Government has requested UNODC's assistance in carrying out the proposed interventions to create sustained and tangible results and impact.⁷

The Prodoc was revised three times, each from a different perspective and each providing a slightly different focus to implementation. The current version (2014) provides the clearest results logic, as well as the most well-defined logical framework, including a detailed risk analysis. This latest version is also the best example of the four of a clear logic. Where all the design documents could have been improved was in risk management. The current document provides an extensive risk analysis, but does not provide a related risk mitigation plan, and in any case the project design and implementation did not include any defined risk management plan/ approach. Further, there is no discussion in project reports of potential or actual risks, nor how they are to be addressed. The most important example of the impact of this lack of risk analysis was the implementation by UNODC (as part of the UN Secretariat) of the new financial system Umoja. The extended timeframe for implementation of Umoja impacted strongly on the project's implementation processes, with all outstanding activities delayed and at least one important capacity-building activity cancelled because of the delays. While project reports indicate that there would be discussions/ negotiations with the Government about the Umoja implementation, there is no evidence in reports or from field interviews that detailed discussions took place within the project or UNODC more widely about the potential impact or how it could be mitigated, nor the outcomes of any negotiations with MOJ, if any.

The participatory self-evaluation was a useful exercise for the project team, and contributed to a more effective project implementation. Particularly noted during field work was the importance of the self-

⁷ Project Document – Revision 7, October 2010 (as revised through August 2014).

evaluation's recommendation to coordinate and collaborate better with MOJ, which was done with 'positive results'⁸.

RELEVANCE

There is strong and consistently stated correlation between internal and external priorities and strategies of the Lao PDR and the project's objectives and activities. Further, the generally expressed view in the field is that project directions, and the understood intent of GLO.ACT remain important and relevant to Lao PDR.

The project is supportive of and relevant to the Lao PDR's Seventh Five-Year National Socio-Economic Development Plan (NSEDP)⁹:

The government established Decree No. 70/PM, as an elaboration of Decree No. 178/PM on Public Social Welfare and in the same context integrated decrees 71/PM, 194/PM and 145/PM into Decree 343/PM. Furthermore it issued temporary regulations on public social welfare fund management; and the implementation of the national programme against human trafficking and child sexual abuse was completed following approval by decree No.160/PM.

A project related to the protection of children from human trafficking and sexual abuse was one of the priority programmes and projects in this seventh NSEDP 2011-2015.

This is also represented in the Prodoc, where within thematic area 1, the Rule of Law, the project is defined to focus on result areas:

- 1.1 Ratification and implementation of conventions and protocols
 - 1.1.3. Improved capacity of national criminal justice systems to implement the provisions of the above-mentioned conventions and protocols.¹⁰

Further, the Prodoc describes the project as intending to '*strengthen national legislation*' and the '*capacity of the criminal justice institutions*' to respond to human trafficking, as well as to raise awareness on human trafficking, particularly on victim rights, and to strengthen the provision of legal services and protection measures for victims of human trafficking in Lao PDR¹¹, and of having the 'main objective is to reduce human trafficking in the country and build sustainable solutions through strengthening the synergies between the three Ps – Prevention, Protection and Prosecution'¹², all of which is in line with UNTOC, the TIP and the SDGs (particularly 5.2 and 16.2). This aspect also resonates with earlier comments about the importance of different levels of society to this work, and was also noted in field enquiry, with comments made addressing government collaboration with civil society, particularly in awareness-raising activities and in campaigns of education or awareness. It was

⁸ From a fieldwork interview.

⁹ Seventh Five-Year National Socio- Economic Development Plan (2011-2015).

¹⁰ Project Document – Revision 7, October 2010 (as revised through August 2014).

¹¹ Project Document – Revision 7, October 2010 (as revised through August 2014).

¹² Project Document – Revision 7, October 2010 (as revised through August 2014).

specifically noted that in many locations, and particularly border provinces, local residents, authorities and police do not have real or detailed knowledge of human trafficking, and that collaborative work is an important component to addressing this issue.¹³

Responses to field enquiry are strong in supporting the relevance of the project to the development of capacity within criminal justice institutions. The process of development of a manual for Prosecutors was mentioned as an example of particular relevance, as the manual, which will be distributed nationally, assists Prosecutors to understand both the Law and the prosecution processes. The manual enables Prosecutors to determine the right course of action in choosing prosecution processes.¹⁴

In the context of relevance and partnership, the project design focused on working closely with all other relevant projects and initiatives in Lao PDR and in the region, and building directly on the foundation laid by R76. R76 was responsible for ‘the creation of the Core Training Group – a cross-cutting training group consisting of members from the criminal justice system – and the training curriculum represents a key achievement of the R76 Project, which will be utilised to the full in the new project.’¹⁵ The Core Training Group (CTG) is well-defined within the frame of the current project, and field enquiry focused on this group in relation to relevance, partnership and effectiveness.

The project was also clearly planned to take into account UNODC strategy, UNTOC, TIPP and the Sustainable Development Goals (SDG). The project was specifically designed within the overall strategy of UNODC, in line with the provisions of the TiP, and to supplement the UNTOC. It was designed to assist in addressing the UNODC mandate to implement to UNTOC, making use of UNODC’s existing technical expertise and specialized technical competence, operational capacity and long-term expertise in crime prevention, criminal justice and the rule of law, the synergy of its programmes and its field presence. The project was designed to respond to the Millennium Development Goals (3. Promote Gender Equality and Empower Women) and the Sustainable Development Goals agenda 2030; Goal 5 Achieve gender equality and empower all women and girls (5.2 Eliminate all forms of violence against all women and girls in the public and private spheres, including trafficking, sexual, and other types of exploitation); Goal 16 Promote peaceful and inclusive societies for sustainable development; provide access to justice for all, and build effective, accountable and inclusive institutions at all (16.2 End abuse, exploitation, trafficking and all forms of violence against and torture of children, 16.3 Promote the rule of law at the national and international levels and ensure equal access to justice for all).

Field enquiry specifically addressed the correlation between the project’s design and relevance and design frameworks for the upcoming GLO.ACT project. Specific feedback was that certain areas of the project are important to be further developed within the framework of GLO.ACT. While an important component of this feedback was the need to engage the Government of Lao PDR in GLO.ACT design discussions, it is likely that focus areas will include:

- Legislation and supporting documentation/ systems/ processes at national, provincial and local levels. This includes victim identification processes and Guidelines on Protecting the Rights of the Trafficked Person. One focus of this area is to ensure Laos legislative, strategic and

¹³ From a fieldwork interview.

¹⁴ From a fieldwork interview.

¹⁵ Project Document – Revision 7, October 2010 (as revised through August 2014).

policy frameworks are developed in the framework of international protocols and conventions, and ensuring Lao frameworks comply with these protocols, conventions and treaties.

- Police/ prosecutor practice – taking the capacity that has been built to date and developing it further, within the context of legislation, guidelines and policy so that across all areas there is consistency of understanding *and* consistency of practice. The Manual, programmed in the project but not delivered, is one important component of this discussion.
- Victim justice. As is discussed in more detail below, while project design (*Outcome 3 - Victims of trafficking exercise their rights and file a case*) specifically includes work with victims, the project has not done work with victims of human trafficking to assist them in seeking and finding justice. Within this context is the stated need for networking between authorities and civil society, and on-going efforts in awareness-raising.
- Support services. A wider geographical and process focus will add significantly to addressing the needs of victims, as well as assist in addressing the awareness and understanding of the wider population. As above, within this context is the stated need for networking between authorities and civil society.
- Cross-border objectives. Human trafficking is a cross-border issue, so addressing not just a wider Provincial effort within Laos, but also issues with neighbouring countries, is seen as critical.

EFFICIENCY

The project budget was 1,150,000 USD, comprising:

- Travel 49,000.
- Staffing 330,000.
- Outcome 1 (25%) 192,000.
- Outcome 2 (30%) 230,400.
- Outcome 3 (10%) 76,800.
- Outcome 4 (10%) 76,800.
- Outcome 5 (10%) 76,800.
- Outcome 6 (15%) 115,200.

The last formal reporting to MOJ on expenditure, in July of 2016, reported a total of 81% of funds expended. It is understood that at the time of writing this is now at approximately 90%.

The project's logical framework evolved during its different revisions. The current logical framework provides a logical, results-oriented framework for the project - activity and output indicators are generally well-constructed although some outcome indicators are well developed while others are not so effective in framing a monitoring context. For example, Indicator 2a states '% increase in knowledge by authorities on key topics in human trafficking.' The intent here was pre/ post training tests, and while in theory this could have provided relevant data, it is actually a significant process,

and particularly in the context of the project, to a) determine relevant knowledge, b) prepare pre-tests for trainees on this knowledge and c) to then undertake a follow-up (post-test) for comparison. Outcome 2b states ‘Suspected cases referred by village authorities to investigation and prosecution according to instructions.’ Again, while the indicator itself is fine, the process of assessing this indicator for the purposes of this monitoring context would have been very difficult to undertake. Indeed, no consideration was given to any analysis in these areas. The same points can be raised in relation to Outcome Indicator 4a, ‘higher levels of awareness in Lao communities of the risks of trafficking and victim rights’, as it too is well formulated but there is little likelihood of any actual monitoring/ assessment being undertaken in this area.

There is a clear logic from activity to output to outcome. Design of outputs in outcome areas 1, 2, 4 and 6 are well-framed in the logic of activities and outputs. Outputs in outcome areas 3 and 5 are not so well-defined and (see Effectiveness) contribute less effectively to outcomes. From a logic perspective, *Outcome 3 - Victims of trafficking exercise their rights and file a case* has only one defined output, and the result logic of this outcome area is weak. The results logic in *Outcome 5 - Victims of trafficking have access to improved support services could be strengthened*. The logical framework informs daily planning and management - it is used as a framework for activities – planning and implementation. The logical framework is not so visible in reporting, particularly to the donor, where reporting is heavily focused on activities. Outputs are visible in internal UNODC annual reporting, but what is not so visible is either outcome reporting or a focus on linkages between activities, outputs and outcomes in any reporting. While the Prodoc provides detail in the intended monitoring approaches for the project, these approaches were not as well prepared/ implemented as was intended in the Prodoc, to a certain extent because necessary human resources do not exist in the project team to implement the proposed monitoring processes.

Financial processes and reporting are commented on as being transparent. There are, however, four areas in which (a lack of) efficiency of resource use has impacted on the project.

- The processes of implementation of the Umoja system delayed implementation of activities (including cancelling of some due to extensive delays).
- The implementation of Umoja included changes in how the project implemented project expenditure with Government, a) without addressing these changes with Government and b) in ways that are outside of the UNODC/ MOJ MoU. As well as the inefficiencies, this impacted on relationships – a matter commented on throughout field enquiry. Umoja required a change in project administration processes. Where previously a government officer could receive a \$30 DSA (daily subsistence allowance), Umoja does not allow this – costs such as this must be packaged into, say, a training package. As a result, costs went up, systems took longer and became more complex and previous agreements with government could not be met. Further, as UNODC is the only UN agency in Laos using this approach, and government deals with both UNICEF and UNDP, it has been a difficulty for the project to provide an adequate explanation to government for the changes.
- The use of the UNDP financial administration systems, when coupled with Umoja requirements, is cost-inefficient and time-inefficient. For example, when a government employee travels with the project, he gets \$80 for two nights travel. This \$80 is provided on an 80%/ 20% basis, with the second 20% being provided after submission of a travel report and boarding pass. This means the first payment is \$56 and the second payment is \$24, and the second payment takes some two weeks to process. Previously this was done in cash, but with Umoja this is not possible, and the payments are made by cheque. UNDP charges the project \$24 for each of these two cheques, as their charges are item-based, not vendor-based.

In this example, UNDP gets \$48 and the government officer \$80 for interactions with the project.

- The project team is too small to have been able to focus across all designated six outcome areas and address the project and UNODC administrative and management requirements. The original Prodoc defined a full-time staff of one project coordinator and one project assistant, with expert inputs on human trafficking law (60 days) and an expert on instruction on the protection and non-prosecution of victims of human trafficking (20 days). The Prodoc also references time for a crime prevention expert at ‘approximately 5% of the incumbent’s regular workload’. It is noted that the allocated 80 days are over a project implementation period of 5 years, effectively leaving the project coordinator responsible for all project activities and outcomes. It is also worth noting that the project has had no project assistant for some months, and the project coordinator has also been responsible for administrative processes.

The Prodoc defines project management structures, including the role and function of the Project Steering Committee (PSC). It was noted during field enquiry that the PSC has not met since 2014, and prior to that only in 2011. Further, it was noted that the PSC does not have representation from the donor or UNODC.¹⁶ According to the referenced document, the PSC comprises the following members: Assistant Acting Minister MOJ, Deputy Director General of the Police Department, Ministry of Public Security, Director General of the Law Department, MOJ, Director General of the Law Study and International Cooperation Institute, the Director General of Justice System Management, the Director General of the Law and Justice Training Institute and the Lao Women’s Union. The Chair of the PSC, vice-Minister of MOJ, provides regular advice and inputs to the project team, although this is done on a one-to-one basis. According to the referenced document, the Project Management Committee comprises the following representation: the Deputy Director General of Justice System Management, the Deputy Director General of the Law Study and International Cooperation Institute, the Head of Human Resource Development Division, Law and Justice Training Institute, the Head of the Criminal Law Division, Law Department, MOJ, the Deputy Head of the Law Promotion and Dissemination Division, MOJ, the Head of the Anti-Human-Trafficking Division, Investigation Department, MOPC, a representative of the Lao Women’s Union, the Head Of Local Justice Organisation Management Division, Justice System Management Department and technical staff, Law Study And International Cooperation Institute.

There are other aspects of project management commented on during fieldwork interviews that impacted on the quality of project outputs and outcomes. One of these was a constancy of change in management inputs at the level above the project coordinator. Specifically, since late 2013 there have been four responsible persons for the project (the first two in Vientiane and the latter two in Bangkok). This series of changes impacted on the consistency of management for the project coordinator, on the quality of outcomes and reporting and on the effectiveness of relationships with MOJ and the donor.

PARTNERSHIPS AND COOPERATION

As well as the comments in the Relevance section above on partnership, it is noted that the Prodoc states that the project will ‘work directly with the Ministry of Justice (MOJ), and will also cooperate

¹⁶ 3 June 2011. Decision No. 246 of the Minister of Justice establishing the project PSC and PMC.

closely with the Lao Bar Association and the Lao Women's Union and the Community Legal Education Programme (under the Faculty of Law and Political Science, National University of Laos). According to the Prodoc, letters of intent to cooperate were shared with each of these organisations/agencies. Further, the Prodoc notes UNODC participation in the Working Group on Human Trafficking, with both government and non-government entities, the UNIAP (UN Inter-Agency Project on Human Trafficking in the Greater Mekong Sub-region) and COMMIT (Secretariat to the Coordinated Mekong Ministerial Initiative against Trafficking).¹⁷

The Prodoc also defines a group of Core Learning Partners: Ministry of Justice, Ministry of Public Security, Department of Immigration, Office of Supreme People's Prosecutors, Lao Women Union, Lao Bar Association, Clinical Legal Education (Faculty of Law), UNACT, UNWOMEN, UNICEF, The Australian-ASEAN Trafficking in Person (AAPTIP), IOM, UNDP, Village Focus International (VFI), ADWEL, The Asia Foundation, The Victim of Trafficking Shelter (Sengsavang).¹⁸

In implementation, the intent of the Prodoc towards partners and partnerships has largely been met. On both the project side and from the perspective of counterparts, there is an expressed view that collaboration, cooperation and communication have been effective, and have contributed to project implementation and outcomes. Indeed, field feedback indicates that partnership and cooperation between the project and MOJ and the OSPP have been key components in project successes with the Law and with capacity-building.

There are some stated qualifications to this assessment. One, collaboration/ cooperation with the National Anti-trafficking Secretariat has not developed as effectively as was intended. (Further to discussions at Limitations above, it is noted that this feedback was not tested with the Police (Ministry of Public Security) as no interviews were held with Police representatives.) Secondly, Memorandums of Understanding (MoU) were raised by stakeholders during field enquiry. While the existing MoU between MOJ and UNODC was recognised as contributing to overall project implementation, some feedback indicated that for GLO.ACT processes consideration should be given to having more than one MoU, so that, for example, implementation processes could be streamlined and facilitated through MoUs with MOJ and OSPP, as opposed to a single MoU. While this evaluation does not draw a specific conclusion on this matter, it is raised here as relevant feedback from field enquiry.

EFFECTIVENESS

The Prodoc identifies a number of 'key implementation strategies'.¹⁹ These key strategies formed the core of project activities:

- 'Drafting and putting in place an anti-human trafficking law and instructions on the protection and non-prosecution of victims of human trafficking to strengthen the national legislation on human trafficking and victim protection.

¹⁷ Project Document – Revision 7, October 2010 (as revised through August 2014).

¹⁸ Project Document – Revision 7, October 2010 (as revised through August 2014).

¹⁹ Project Document – Revision 7, October 2010 (as revised through August 2014).

- Training up to 700 officials from the criminal justice institutions at provincial and district levels on human trafficking with a focus on prosecution and protection to enhance capacity to respond to human trafficking.
- Arranging national and regional meetings to promote and disseminate the new law and instructions.
- Organising and supporting workshops at national, bilateral and regional levels on human trafficking for key government and criminal justice system officials to strengthen commitment and cooperation to fight trafficking.
- Equipping and supporting two teams of students from the Community Legal Education (CLE) programme with the knowledge and skills to raise awareness on human trafficking and Lao laws in up to 30 vulnerable communities.
- Launching an awareness-raising campaign aimed at the general public and vulnerable groups of people throughout the country.
- Equipping and supporting two teams of Lao Bar Association (LBA) legal aid mobile teams with the knowledge and skills to provide legal advice and referrals in up to 30 vulnerable communities.
- Supporting joint LBA-CLE teams in their outreach activities to raise awareness and provide legal assistance and referrals at community level.
- Providing small grants to victim service providers and victims to strengthen capacity and the ability to access legal assistance.²⁰

In summary, the development and promulgation of the Law is the most visible and notable outcome of the project, although as is indicated above, more work is needed in preparing, and in the use of guidelines and supporting policy/ implementation frameworks in line with international conventions, protocols and treaties - the project helped MOJ develop the TIP Law. Capacity development with Police, Prosecutors and others is a second visible, important, and on-going development – the project has built MOJ staff capacity in terms of human trafficking and related fields. Raised levels of awareness at Provincial, District and village levels, about human trafficking in general, as well as its impacts, about the Law and about prosecutions and victim rights is a developing outcome (although it is still relatively constrained geographically) – the project has helped MOJ advocate in relation to human trafficking, and provincial and village authorities and local NGOs, such as radio stations, have responded strongly to developing a role in awareness-raising, which has been a strong contributing factor in this outcome area. Evidence-based prosecution processes is an area where outcomes are currently being achieved. Support to and development of victim support services is a result area that has had some outcomes, although much more support and development could happen with further resourcing. Work directly with victims, in pursuing their rights has not been undertaken by the project; nor has specific support with village authorities in pursuing cases been undertaken.

²⁰ Project Document – Revision 7, October 2010 (as revised through August 2014).

The narrative below provides more detailed findings related to each outcome area.

Project Objective - Lao PDR has a legislative framework and improved criminal justice response in place to take action against human trafficking and to protect victims

According to the Annual Report 2015

The Trafficking in Person Law has been recently promulgated. Before that, the government used various criminal statutes to prosecute cases and did not specify the nature of cases; it is not possible to confirm all reported cases constituted trafficking offenses. Despite the availability of the legal framework, increasing in numbers of offenders needs a lot of effort and time. There is the need of massive supports to enhance local law enforcement officers and the criminal justice in Lao PDR.²¹

Feedback from field work interviews supports the fact and relevance of the new Law on Human Trafficking, although it is noted consistently that the Law's implementation is too new to be able to comment on its effectiveness. What is noted however is the improvements in knowledge and skills within the local, provincial and national police and prosecutor organisations (and related authorities) in terms of human trafficking. This improved knowledge and skill is described as focusing on awareness-raising and information dissemination at the local levels. There is a consistent view expressed that a wider implementation must happen for the 'improved criminal justice response' to be effective nationally.

Outcome 1 - The legal framework to combat human trafficking is accessible, applied, and further developed to encompass all relevant TiP provisions.

Under Key Accomplishments, the Annual Report 2015 states:

UNODC organized the first and second Ad hoc consultation on the Draft TiP Law aiming to finalize the joint comments and inputs received by international, non-governmental organizations and JTIP. With our long historical support, The Trafficking in Person (TiP) Law has been finally enacted in December 2015.²²

A draft of the Law was translated and shared with all international counterparts. The project team collected comments and suggestions from different agencies, and these comments were then synthesised by UNODC's legal consultant to conclude the working paper shared with the Government of Lao PDR. A National Assembly session took place in December 2015, and the TiP Law was passed by this session.²³ Reporting to the donor in 2016 indicates the project is being 'discussed with the Ministry of Justice as the Project Chair in order to accelerate the printing of the TiP Law in both Lao and English.'²⁴

²¹ LAOX26 - Strengthening Criminal Justice Responses to Human Trafficking in Lao PDR; 2015 Annual Progress Report.

²² LAOX26 - Strengthening Criminal Justice Responses to Human Trafficking in Lao PDR; 2015 Annual Progress Report.

²³ Per the Annual Progress Report 2015.

²⁴ June 2016. Quarterly Reporting for USA - J/TIP Funded Projects – Second Quarter 2016.

While the ‘legal framework to combat human trafficking is accessible, applied, and further developed to encompass all relevant TiP provisions’ (Outcome 1 statement) has not been fully realised, it is clearly in train. The legal framework exists, although further work is required in terms of application and further development. Specific and consistent reference was made during field work to the need for guidelines, strategies and policies that support, and are supported by the Law.

Outcome 2 - Authorities have improved capacities to identify and refer, investigate and prosecute human trafficking.

The project’s focus on Output 2.1 is clearly visible, as are related results to this training focus. A number of assessments in training needs were undertaken, and were followed by subsequent work in design and development of a training of trainers programme. According to the ‘End of Mission report – Project X26: Senior Advisor, Anti-Trafficking in Persons (Criminal Justice System Response), November 2014,’²⁵, training programmes were identified for frontline police, provincial prosecutors and district officials. Following a related review, new CTG training content and materials were prepared, and the focus placed on district and village officials. CTG members noted in field interviews their focus on information dissemination and awareness-raising with local and provincial authorities.

Work on increasing the knowledge of authorities related to human trafficking is on-going. Training sessions have been provided to provincial and district officials. Training of trainers in TiP has been provided to provincial TiP focal points in prosecutor offices. According to the report: ‘Outcomes of Human Trafficking Training with Provincial Anti-Trafficking Units (2014-2015),’²⁶ training included local police, justice staff, and prosecutors at the provincial and district levels, the vast majority of whom (some 94% according to the report) have never attended any training on human trafficking, its definition, its impact and how it is addressed in national legislation, strategies or policy frameworks. Together with the CTG, these government representatives will be the key persons for handling human-trafficking issues across the country. The provided training forms a base of their preparation, with future project processes (and GLO.ACT initiatives) which will be important for any next steps. The training being delivered locally by police and prosecutors is on-going, but requires further inputs and support. All trainers interviewed discussed the training they are providing in village clusters, universities, colleges, schools and with district authorities. A manual has been under development that is specifically intended to strengthen the role and practice of prosecutors at all levels in addressing human trafficking. The manual was not completed. It is the view of prosecutors, from field enquiry, that there remain two priorities in the project that potentially impact on GLO.ACT design:

- Finishing the manual, incorporating all aspects of the new Law on Human Trafficking.
- Doing training, across all provinces, based on the manual.

The intended TiP internal training will not happen. According to the June 2016 project report to the donor, ‘The draft human trafficking module for the ToT is planned for 3 days in Vientiane Capital at the end of August 2016. Due to Lao PDR chairmanship of ASEAN in September 2016, OSPP has informed of a tight agenda on related preparation and side events between Aug-Sep. Thus, based on

²⁵ Nov 2014. End of Mission report – Project X26: Senior Advisor, Anti-Trafficking in Persons (Criminal Justice System Response)

²⁶ Outcomes of Human Trafficking Training with Provincial Anti-Trafficking Units (2014-2015)

the remaining project timeframe, the completion of the two pilot trainings after the TOT is challenging.²⁷ Indeed, the training was not able to be held. While the report points to the ASEAN meeting, it was also noted during field enquiry that initial delays to this training were as a result of the delays caused by the implementation of Umoja.

An information-sharing approach was taken in relation to Output 2.2, with an informative leaflet (5000 copies) shared with central and local authorities. Field enquiry indicates that this approach has increased awareness of human trafficking, with evidence from field enquiry indicating a greater awareness of human trafficking by people in rural areas, particularly in villages near the Thai, Chinese and Vietnamese borders. Of particular note is their awareness of and sensitivity to activities that might be human trafficking, activities which they are now reporting to the police in their district. Extensive feedback was also heard in relation to the work done with (and by) supported radio stations. There is a strongly-expressed view that the radio station work is increasing the knowledge and understanding of village authorities as to what defines human trafficking and how it can and should be addressed.

Some gaps remain in terms of both activities and outcomes. The TIP training has not been undertaken, and, as noted above, the related Manual remains incomplete, as it requires modifications to incorporate the TIP Law. Both of these initiatives are important to strengthening results in Outcome 2. Further, it is important that all related training be undertaken nationally.

Outcome 3 - Victims of trafficking exercise their rights and file a case.

While the specific activities and outputs of this outcome area have received some attention, and in the case of specific activities with the Lao Bar Association, funding in the project's early stages as well, no real focus has been placed by the project in this area, and real outputs and outcomes are not visible. It is clear that there are issues associated with borders, and a lack of funding for support to victims. The project established direct cooperation with the Lao Bar Association, and legal support to victims in Laos has been supported through local NGOs and the Lao Women's Union, in coordination with and support from the project. Reporting to the project's donor notes cross-border communications and consultations with Thai NGOs working with victims. These NGOs have expressed an interest in cooperation, and the project has worked to assist in establishing a legal link on both sides of the border. Such a link would assist with provision of consistent legal assistance to Lao victims of human trafficking.²⁸ The human and financial resources available to the project team, and the focus provided in other outcome areas, all contributed to the lack of outputs in this outcome area.

Outcome 4 - Lao communities are aware of trafficking risks, can recognize human trafficking traits and have information on victim rights.

The evaluation team heard a wide range of comments supportive of the project's initiatives with the local radio stations. There is a clear perspective in the field, among project stakeholders and village authorities, that the awareness-raising work of the project, and specifically the radio initiatives, are impacting on the knowledge and actions of villagers and village authorities. It is also reported that radio and TV spots, and newspaper articles are being heard, and are visible, and are addressing human

²⁷ June 2016. Quarterly Reporting for USA - J/TIP Funded Projects – Second Quarter 2016.

²⁸ March 2016. Quarterly Reporting for USA - J/TIP Funded Projects – First Quarter 2016.

trafficking as an issue, and how to deal with this issue.²⁹ Radio programme training enabled radio staff to improve the preparation of their programmes, which they prepare and then record and broadcast. Broadcasts related to human trafficking are done twice per week, for two hours each time.

The 2015 Annual Report describes the coaching workshop on human trafficking undertaken with volunteer radio production teams at a northern radio station in Nonghet District, Xiengkhouang Province, where local counterparts from the Department of Information and Culture and volunteer teams from the Community Radio Program participated. The workshop provided a forum for hearing, and addressing questions and concerns about human trafficking, and the limited knowledge of participants on this theme. Programmes began being broadcast in January of 2015 on three selected community radio stations in Nonghet, Kob (Xayabouly province) and Lakonrpheng (Salavan Province).³⁰

Beyond the work with radio stations, a number of awareness campaigns have been supported, and the project has focused on supporting the work of the Clinical Legal Education Centre (CLE). Students have been involved extensively in these activities. CLE has expanded their connection to Savannaket and Champasak law institutions with a total of 20 new student trainers. The evaluation heard from trainers, representatives of local agencies including the Police, Prosecutors, Justice Office, Courts, Youth and Justice Department about their involvement in and contribution to awareness on human trafficking among communities, village authorities and villagers, as trainers. As well as human trafficking, this training also had a focus on gender equality. Fieldwork interviews provided a range of comments on what is seen as quality and important information that is of importance to the life in the provinces, and particularly in frontline villages on the borders. There has been a large response in the communities to the radio programmes, with a recognition of a greater awareness and a greater knowledge about human trafficking. Further, communities participate in the radio programmes, which have incentives for participation, including t-shirts, which assist in generating interest and responses.³¹

On the basis of evaluation enquiry, it can be determined that (some) Lao communities are more aware of trafficking risks, can recognize human trafficking traits and have information on victim rights (Outcome 4 statement). It is however noted that a future priority – a potential priority for GLO.ACT – is expanding this awareness-raising work much more widely in the country.

Outcome 5 - Victims of trafficking have access to improved support services.

Activities in this outcome area include assistance to ‘victims from Lao Women Union Shelter and 24 victims from APHEDA (Luang Prabang) had been assisted to primary service, legal counsellor, mentoring and vocational training. In 2013, 29 female victims were assisted through the small grant to the Lao Women Union,³² and grants have been provided to service providers. This funding has assisted in the provision of housing and a counselling centre for women and children (victims). The counselling centre provides assistance to women in distress and difficulties, including both face-to-face and online counselling and the provision of legal and health services. Supported shelters provide support and shelter to victims of domestic violence, human trafficking and sexual exploitation.

²⁹ From a fieldwork interview.

³⁰ LAOX26 - Strengthening Criminal Justice Responses to Human Trafficking in Lao PDR; 2015 Annual Progress Report.

³¹ From a fieldwork interview.

³² LAOX26 - Strengthening Criminal Justice Responses to Human Trafficking in Lao PDR; 2015 Annual Progress Report.

Project activities in this area have been limited in size, with only small grants being provided to focus organisations. It is understood in government that this type of support service requires a greater focus, as support has been quite limited. There is only a limited amount of concrete servicing available to victims, including only minimal access to social protection schemes, victim support services, social workers and sociologists. It is understood in government, and in the organisations that currently provide shelter and services, that more shelters are needed, as is a wider development of related support services.³³ While specifically commenting on Government services and priorities, this comment is also potentially relevant to the priorities and activities of GLO.ACT.

Outcome 6 - Evidence-based approach in criminal investigation and prosecution is promoted in Lao PDR

Activities have been undertaken in this outcome area, including the formation of an expert group to study evidence law (with OSPP, the People’s Supreme Court, Ministry of Public Security, Ministry of Justice, Lao National University and the Lao Bar Association). The group met regularly for several months to study evidence law, study which formed the basis for development of the Evidence Manual.

The draft Manual on Evidence³⁴ has been completed, prepared by the Research Committee of the Office of the Supreme People’s Prosecutor, the Ministry of Public Security, Ministry of Justice, Faculty of Law and Political Science, National University and Bar Association, with assistance from UNODC. A draft model guideline has been prepared by the project. This activity is indicative of a greater ‘understanding of effective use of evidence in criminal proceedings’.

IMPACT

The Prodoc notes the ‘great emphasis’ to be placed on impact, and defines the following strategies for sustainability of outcomes:

- Putting in place solid and comprehensive national legislation to prosecute human trafficking and associated crimes, and protect victim rights;
- Investing resources and building the capacity of national stakeholders such as the Core Training Group, the Community Legal Education Programme teams, Lao Bar Association legal aid mobile teams, joint teams and victim service providers, enabling them to strengthen their capacity to carry out counter-human trafficking work with a focus on prosecution, protection, but also prevention beyond the end of this project;
- Enabling victim service providers and victims to take more traffickers to court, which can in turn help reduce human trafficking ahead;

³³ From a fieldwork interview.

³⁴ December 2014. Research Committee of the Office of the Supreme People’s Prosecutor, Ministry of Public Security, Ministry of Justice, Faculty of Law and Political Science, National University and Bar Association. *Manual On Evidence In Criminal Case*. Lao PDR.

- Creating stronger synergies between institutions and interventions at various levels helping to build a platform for more comprehensive and assertive action to prevent and combat human trafficking in the country and beyond;
- Supporting agreed-upon frameworks of action to prevent and combat human trafficking assisting the Lao Government and the Lao criminal justice system to build its over-capacity in the area of counter-human trafficking at various levels including at cross-border levels and work under bilateral and regional MOUs;
- Developing and providing capacity-building and awareness-raising materials that can readily be used by various stakeholders in their own campaigns.³⁵

As has been seen above, most of these nominated strategies have been used during project implementation. As a result, there are visible aspects of project results that can be seen contributing to potential impact, although it is not possible to describe any impact to date. Of most interest in discussions of impact are:

- The TiP Law. The Law provides the legislative framework for addressing human trafficking, and so has significant potential for impact in the future. Impact is not likely to happen without subsequent work in areas described above – guidelines, policies, strategies.
- The capacity-building programme. It is possible that the capacity-building programme will provide the greatest impact over time, as it combines two important outcomes. One, practitioners are better prepared to do effective jobs in addressing human trafficking in their province or district. Two, a core of Ministry professionals are developing the skills necessary to continue a process of capacity-building that can impact in areas beyond human trafficking.
- The community-focused awareness-raising initiatives. With a wider application, the knowledge improvements in villages and with authorities can be of significant assistance to provincial and national authorities in addressing human trafficking. It is clear from field enquiry that villages and village authorities did not know about the issue previously, making it particularly difficult to provide any assistance to Police. The radio programme approach is notable here as effective, and with potential for further, wider impact.
- The manual on evidence-based prosecutions, which will strengthen police and prosecution processes in human trafficking (and other) cases.

SUSTAINABILITY

The Prodoc references the same strategies in discussing an emphasis on sustainability, and it is noted that many of the comments above on the strategies and impact are also relevant to discussions on sustainability. Particularly worth noting:

- The new Law on Human Trafficking.

³⁵ Project Document – Revision 7, October 2010 (as revised through August 2014).

- The capacity-building programme and the CTG.

There are other areas of discussion that relate to sustainability, and are indicative of sustainable components of the project.

The work with CSOs, and the relationships developing between Government agencies and civil society, and between local authorities and civil society have the potential for sustainability. While the radio work per se requires on-going support and assistance, the role played by these local volunteers, and their commitment to this role, is indicative of sustainable outcomes.

Cross-border (Laos/Thailand) agreements and relationships are potentially sustainable, although these are largely beyond the specific focus of X26. They can/ should be a focus of GLO.ACT.

The role played by MOJ in providing overall direction and leadership is indicative of sustainability of outcomes, as this role is likely to continue into the future. ‘MOJ treats the project as their own – it is very important to them, and they have been good contributors throughout the project.’³⁶ Further, OSPP contributes strong ownership and leadership, and are an effective implementation team.

Ownership of project initiatives and priorities at the provincial and local levels is strong, and is also indicative of likely sustainability of outcomes.

HUMAN RIGHTS AND GENDER

Other than references above to the SDG, no specific mention is made in the Prodoc nor in the Revision document (Aug 2014) to gender, or human rights more generally, as a focus of the project or as cross-cutting areas. A rights-based approach is implied throughout the documents, and indeed the project itself has a clear focus on areas to do with gender-based violence and gender equality, including at the legislative and policy/ strategy levels, but no details are provided in design as to what this means, generally, nor specifically to the project and the project team. The project design and all elements of project implementation respond directly to SDG 5.2 ‘Eliminate all forms of violence against all women and girls in the public and private spheres, including trafficking, sexual, and other types of exploitation,’ but no consideration was given in design to defining or addressing specific cross-cutting issues. Project design per se did not have a component related to human rights or gender equality, although a gender-focus was included as an instruction in relation to the drafting of the TiP Law, which has specific mentions of gender rights and children’s rights. While gender issues permeate the project, it is notable that there is no specific focus on principles or practice that come from accepted frameworks on gender programming or gender-focused approaches. For example, no mention is made of the Convention on the Elimination of all forms of Discrimination Against Women (CEDAW), nor of UN Security Council Resolution 1325, nor the UNODC guidance notes on mainstreaming human rights and gender³⁷. No mention is made of CEB/2006/2 - it is noted here that one clause in the Preamble states ‘We commit ourselves to providing strong leadership within our organizations to

³⁶ From a fieldwork interview.

³⁷

http://www.unodc.org/documents/evaluation/IEUwebsite/HumanRights_Gender/Mainstreaming_Human_Rights_and_Gender_Equality.pdf.

ensure that a gender perspective is reflected in all our organizational practices, policies and programmes.³⁸

Human rights and gender equality are specific focus areas of the training programmes delivered through the project and of the training work of the CTG. As a result, ‘at district and local levels there is a growing awareness of gender rights, and they are able to implement more in relation to this issue.’³⁹ The UPR has been discussed between Government counterparts and the project.

There is no mention of gender equality, gender-based violence, gender priorities or strategies, nor any of the same directly related to human rights in project reporting, neither internal UNODC or donor reporting.

³⁸ UN System – CEB/2006/02.

³⁹ From a fieldwork interview.

III. CONCLUSIONS

DESIGN

The project was designed with clear awareness of and in the context of Lao PDR strategies, policies and priorities, as well as within the priority and strategic frameworks of UNODC. The Prodoc was revised three times. The current version provides the clearest results logic, as well as the most well-defined logical framework, including a detailed risk analysis. This latest version is also the best example of a clear logic. Design processes require a greater focus on risk analysis and risk management.

RELEVANCE

The project responds strongly to the needs and priorities of Lao PDR in combatting trafficking in persons. The project specifically addresses components of the Seventh Five-Year National Socio-Economic Development Plan (2011-2015) and the Eighth Five-Year National Socio-Economic Development Plan (2016-2020). The project is also relevant to and designed within international frameworks for combatting violence against women, gender-based violence and trafficking in persons. A greater specific focus, in design and implementation, to approaches that allow a rights-based focus to permeate through the project's activities and outputs would have strengthened outcomes in this area. Specifically, while addressing gender-based violence is a clear focus of the project, human rights and gender equality are not sufficiently visible as thematic project priorities.

EFFICIENCY

The current logical/ results framework provides a strong basis for project activities and outputs, and is used effectively by the project team in informing activities directed at achieving agreed outcomes. The results logic is clear in defining the relationships between activities and outputs and between outputs and outcomes. The logical framework informs planning and implementation, but is not visible in reporting, which is heavily focused on activities and lacks an emphasis on planned and intended results. Monitoring processes defined in project documentation have not been used as extensively as intended. Neither do the intended monitoring processes assist the project team, UNODC management or evaluators to understand the effectiveness of project activities. Required reporting processes (both internal to UNODC and to the donor) lack sufficient description of results and analysis of project processes, issues and status. The level of human resources assigned to the project, for both implementation and management, have been insufficient to ensure achievement of project results and effective reporting on the project. The implementation of Umoja included changes in how the project administered expenditure with Government, a) without addressing these changes with Government and b) in ways that are outside of the UNODC/ MOJ MoU. Further, inefficiencies and delays in implementation of the Umoja system caused the delay and/ or cancellation of some project activities.

EFFECTIVENESS

Development and promulgation of the Law is the most visible and notable outcome of the project. More work is needed with guidelines, and with supporting policy/ implementation frameworks in line with international conventions, protocols and treaties. Capacity development with Police, Prosecutors and others is a significant and on-going development. MOJ and OSPP staff have greater levels of knowledge and skills in addressing human trafficking. The project has helped MOJ advocate in relation to human trafficking, and provincial and village authorities and local NGOs demonstrate raised levels of awareness about human trafficking. Future directions of focus remain closely related to the framework of the project. These include legislation - and specifically guidelines on implementation and on protecting the rights of the trafficked person is of particular importance; Police/ prosecutor practice – further development of the knowledge and skills of authorities involved in combatting human trafficking; and, victim justice and support services.

IMPACT AND SUSTAINABILITY

There are visible aspects of project results that can be seen contributing to potential impact, and sustainability of results, although it is not possible to describe any impact to date. Of most interest in discussions of impact are the Law on Human Trafficking and the capacity-building programme. The Law on Human Trafficking provides the legislative framework for addressing human trafficking, and so has significant potential for impact in the future. Impact is not likely to happen without subsequent work in areas described above – guidelines, policies, strategies. The capacity-building programme will, potentially, provide the greatest impact over time, as it combines two important outcomes: practitioners are better prepared to do effective jobs in addressing human trafficking in their province or district and a core of Ministry professionals are developing the skills necessary to continue a process of capacity-building that can impact in areas beyond human trafficking. Also worth noting in discussions on sustainability is the leadership and commitment shown by MOJ, OSPP and local authorities, as well as the work of civil society and its developing relationship with Government agencies in work to combat human trafficking.

HUMAN RIGHTS AND GENDER

There is a significant lack of stated focus in design and implementation on human rights in general and gender equality in particular. Other than the clear focus on violence against women inherent in a project addressing human trafficking, a rights-based approach is only ever implied throughout the project's design - it is never specifically mentioned, and it is certainly not a focus of the project's design. Human rights and gender *are* specific focus areas of training programmes that are project activities. A much greater focus is needed in all aspects of design (notably the Prodoc), implementation and reporting on ensuring project staff and project stakeholders have a focus on human rights. The process starts with the Prodoc, and building a gender and human rights focus into project design in focus areas of the project *and/ or* as cross-cutting areas. By definition, a human trafficking project should demonstrate a clear and deep focus on human rights. In this circumstance, *SDG 5.2 Eliminate all forms of violence against all women and girls in the public and private spheres, including trafficking, sexual, and other types of exploitation* should be much more visible across all aspects of the project.

IV. RECOMMENDATIONS

A Related But Narrowed Focus For GLO.ACT

Build the GLO.ACT focus in Laos on the activities and intended outcomes of X26, but with the focus narrowed to the critical areas of legislation and supportive documentation, capacity-building with authorities and assistance to authorities and victims in the pursuit of justice. Future directions of focus remain closely related to the framework of the project. These include legislation - and specifically guidelines on implementation and on protecting the rights of the trafficked person is of particular importance; Police/ prosecutor practice – further development of the knowledge and skills of authorities involved in combatting human trafficking; and, victim justice and support services. (UNODC HQ - Human Trafficking and Migrant Smuggling Section.)

Further Detailing Of Supportive Documentation For The TiP Law

Include a further and detailed focus in the GLO.ACT design for Laos on the development and implementation of all necessary supporting documentation, processes and approaches to ensure the TiP Law is effectively implemented nationally. The TiP Law provides the legislative framework for addressing human trafficking, and so has significant potential for impact in the future. However, in order to implement the law, it needs further elaboration through the development of other necessary documentation such as implementation guidelines, strategies, etc. Impact is not likely to happen without subsequent work in the nominated areas. (UNODC HQ - Human Trafficking and Migrant Smuggling Section.)

A Wider Application Of The Capacity-Building Programme

Include a wider application of the capacity-building programme in GLO.ACT, including a strong focus on continued development of and assistance to the CTG, with consideration of assistance to the Government of Lao PDR in the establishment of a permanent training team. The capacity-building programme will, potentially, provide the greatest impact over time, as it combines two important outcomes: practitioners are better prepared to do effective jobs in addressing human trafficking in their province or district and a core of Ministry professionals are developing the skills necessary to continue a process of capacity-building that can impact in areas beyond human trafficking. A ‘permanent’ training team was discussed during field enquiry – a team that would focus not just as is currently done with the CTG, but one that would also include the health sector and labour and social affairs, and would have a clear focus at the district level on human trafficking and illegal migration. (UNODC HQ - Human Trafficking and Migrant Smuggling Section.)

Directly in line with recommendations 2 and 3 (training for judges, prosecutors, police and lawyers) of the GLO.ACT needs assessment report (*Responding to Trafficking in Persons and Smuggling of Migrants Lao PDR*), extend the focus of the capacity-building geographically (across Lao PDR) and to officials at higher levels of both Provincial and national authorities. While capacity-building, and strengthening the knowledge and skills of police, prosecutors and local authorities has been an effective and important project activity and outcome, further work is needed at all levels of the national bureaucracy with officials in roles and positions

that impact on issues of human trafficking, gender-based violence and other human rights issues. (UNODC HQ - Human Trafficking and Migrant Smuggling Section.)

Deepened Collaboration With Lao PDR In Design

Development of GLO.ACT design documentation requires consultation with Government and civil society on the critical cross-cutting issues relevant to implementation in Laos. Further, a detailed understanding of human rights priorities, including a specific gender focus, is needed in design documentation, implementation processes and reporting. A greater specific focus, in design and implementation, to approaches that allow a rights-based focus to permeate through the project's activities and outputs would have strengthened outcomes in this area. Human rights and gender equality are not sufficiently visible as thematic project priorities. (UNODC HQ - Human Trafficking and Migrant Smuggling Section.)

Furthering The Understanding And Use Of Results-Based Management

Provide support and training to all relevant GLO.ACT staff in Lao PDR in results-based management and reporting processes. Specific emphasis should be given in how to report what is being achieved through activities, as opposed to what activities are being implemented. The logical framework informs planning and implementation, but is not visible in reporting, which is heavily focused on activities and lacks an emphasis on planned and intended results. (UNODC HQ - Human Trafficking and Migrant Smuggling Section.)

Improving Coordination Processes And Partnership With Counterparts

Ensure that all project administrative processes comply with established agreements, and contribute to the effective and efficient implementation of projects. Focus should be on delivery of outcomes, and how administrative processes can facilitate this delivery. The implementation of Umoja included changes in how the project implemented project expenditure with Government, without addressing these changes with Government and in ways that are outside of the UNODC/ MOJ MoU. (UNODC HQ - Human Trafficking and Migrant Smuggling Section.)

A Cross-Border Focus To GLO.ACT Design And Implementation

In line with recommendation 4 of the GLO.ACT needs assessment report ('a multi-agency body at identified border 'hot spots' to improve the capacity and quality of cross border cooperation'), consider a component of GLO.ACT that addresses cross-border legislative and administrative processes in support of the activities and intended outcomes of GLO.ACT inside of Laos. Human trafficking is an issue that goes beyond Laos. In particular, the issue of countries handing back victims is an issue that needs addressing by a range of agencies and organisations across borders. It is not just a national level issue, and local and national level personnel need more information and capacity to deal with this, and skills and knowledge need to be built in this area. Further, the current district/ province focus needs to be expanded. (UNODC HQ - Human Trafficking and Migrant Smuggling Section.)

Deepen Collaboration With Government And Civil Society In GLO.ACT

Expand the detailed involvement of Government and civil society counterparts in the design (and implementation) of GLO.ACT. Give particular focus to ensuring, during design processes, that all activities/ outputs/ outcomes focused on Government agencies or personnel are designed in close collaboration with relevant stakeholders/ counterparts. Increasing the participation of Government counterparts during planning, implementation, monitoring and evaluation processes and project modification exercises will contribute to both a more

intensive participation in implementation and a greater ownership of activities and results. (UNODC HQ - Human Trafficking and Migrant Smuggling Section.)

Ensure A Geographical Expansion Of The Awareness-Raising Programme In GLO.ACT

Include a wider application of the awareness-raising programme in GLO.ACT, including a strong focus on continued development of and assistance to community-based radio stations and similar civil society initiatives. Awareness-raising at the community level requires a wider geographic focus. The radio initiative is promising, and community radio can be used for dissemination the law and related documents developed by the project. It may or may not be an example of developing best practice, but it is well worth consideration for ongoing funding as a cost effective and effective way of raising awareness across a larger geography. (UNODC HQ - Human Trafficking and Migrant Smuggling Section.)

Ensure Sufficient Human Resource Capacity For Defined Activities And Intended Outcomes From GLO.ACT

Ensure that the Lao PDR component of GLO.ACT is designed with either a more constrained set of activities and outcomes or has a larger component of assigned human resources. Further, ensure that the structure of line management can contribute effectively to oversight, strategic thinking and liaison with counterparts. The level of human resources assigned to the project, for both implementation and management, have been insufficient to ensure achievement of project results across all six outcome areas, as well as effective reporting on the project. (UNODC HQ - Human Trafficking and Migrant Smuggling Section.)

V. LESSONS LEARNED

Increasing the participation of Government counterparts during planning, implementation, monitoring and evaluation processes and project modification exercises will contribute to both a more intensive participation in implementation and a greater ownership of activities and results. While development of trust was noted in comments during the evaluation, so too was a negative impact on levels of trust where partnership functioning was less of an emphasis.

Design and implementation would have been strengthened with a greater emphasis on mainstreaming gender and human rights into the project document and on-going planning and implementation. While human rights underpin the project's intent, this is not well-enough stated, nor is such a focus visible enough in design, implementation or reporting. As a result, while stakeholders and project staff have a sense of the importance of rights-based considerations, the depth and strength of understanding could be significantly strengthened.

Awareness-raising at the community level requires a much wider geographic focus. The radio initiative is promising, and community radio can be used for dissemination the law and related documents developed by the project. It may or may not be an example of developing best practice, but it is well worth consideration and ongoing funding as a cost effective and effective way of raising awareness across a larger geography. There is an expressed view that reaching the grassroots will increase effectiveness of work being done at the national level.

While capacity-building, and strengthening the knowledge and skills of police, prosecutors and local authorities has been an effective and important project activity and outcome, further work is needed at all levels of the national bureaucracy with officials in roles and positions that impact on issues of human trafficking, gender-based violence and other human rights issues. The work of project stakeholders requires knowledgeable support from line management to ensure effectiveness, sustainability and impact. This links in well with the need to develop a geographical extension of activities, so that building knowledge and skills at higher levels of the bureaucracy, and in a wider geography, can both contribute to results.

A 'permanent' training team was discussed during field enquiry – a team that would focus not just as is currently done with the CTG, but one that would also include the health sector and labour and social affairs, and would have a clear focus at the district level on human trafficking and illegal migration. Such a team would be able to train directly, and train more trainers from other provinces to expand results. Further, a permanent training team could introduce a post-training implementation process, so trainees have opportunities to make use of their training. This, together with a trainee monitoring system, implemented by the training team, would improve the quality and sustainability of outputs.

ANNEX I. TERMS OF REFERENCE OF THE EVALUATION

UNITED NATIONS OFFICE ON DRUGS AND CRIME
Vienna

Terms of Reference of the Final Independent Project Evaluation of “Strengthening Criminal Justice Responses to Human Trafficking in Lao PDR”

Project number LAO X26

LAO PDR

May 2016



UNITED NATIONS

Vienna, 2016

CONTENTS

	<i>Page</i>
I. Background and Context.....	35
II. Disbursement History.....	42
III. Purpose of the Evaluation	3
IV. Scope of the Evaluation	3
V. Key Evaluation Questions.....	44
VI. Evaluation Methodology.....	47
VII. Timeframe and Deliverables.....	47
VIII. Evaluation Team Composition	49
IX. Management of the Evaluation Process	51
X. Payment Modalities.....	52
ANNEX I. Terms of Reference for Evaluators	53
ANNEX II. List of background documents for the desk review	57
ANNEX III. List of stakeholders.....	61

I. BACKGROUND AND CONTEXT

Project number:	LAO X26
Project title:	“Strengthening Criminal Justice Responses to Human Trafficking in Lao PDR”
Duration:	March 2011 - September 2016
Location:	Lao PDR
Linkages to Country, Regional and Thematic Programmes:	Sub-programme 1: Countering transnational organized crime and illicit trafficking, including drug trafficking
Executing Agency:	UNODC
Partner Organizations:	Ministry of Justice
Total Approved Budget:	1,150,000 USD
Total Overall Budget	1,150,000 USD
Donors:	Office to Monitor and Combat Trafficking in Person (JTIP)
Project Manager/Coordinator:	Ms. Siliphaithoun Xayamoungkhoun
Type and time frame of evaluation:	Final Independent Project Evaluation July to September 2016
Timeframe of the project covered by the evaluation:	From March 2011-September 2016
Geographical coverage of the evaluation:	Lao PDR (Vientiane and Champasack and Xiengkhouang provinces to be further discussed together with the evaluator)
Budget for this evaluation:	30,000 USD
Type and year of past evaluations (if any):	Project Self-evaluation in 2014
Core Learning Partners ⁴⁰ (entities):	Ministry of Justice, Ministry of Public Security, Department of Immigration, Office of Supreme People’s Prosecutors, Lao Women Union, Lao Bar Association, Clinical Legal Education (Faculty of Law), UNACT, UNWOMEN, UNICEF, The Australian-ASEAN Trafficking in Person (AAPTIP), IOM, UNDP, Village Focus International (VFI), ADWEL, The Asia Foundation, The Victim of Trafficking Shelter (Sengsavang)

Project overview and historical context

The Lao PDR acceded to the United Nations Convention against Transnational Organized Crime (hereafter ‘TOC’) and the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children (hereafter ‘TIPP’) on 26 September, 2003. The accession to the TOC and TIPP prompted a strengthening of the legal framework on human trafficking in the country. In 2004, the Law on Development and Protection of Women was enacted followed by the introduction of Article 134 in the Penal Law in 2005. In addition,

other provisions in the Penal Law and the Labour Law are applicable to prosecute human trafficking and associated crimes. To help implement these laws Lao PDR has set up an Anti-Trafficking Division with corresponding units at provincial level. At national level, there is a National Steering Committee and the Coordinated Mekong Ministerial Initiative against Trafficking (COMMIT) Task Force. Lao PDR cooperates with other countries, particularly neighbouring countries, on counter-human trafficking through bilateral MOUs, the COMMIT process and ASEAN.

Lao PDR has made an effort to implement the TOC and TIPP, and its national laws, however, the prosecution rates remain very low. Police reported investigating 20 human trafficking cases and 33 convictions in 2011, there was a slight increase of convictions to 37 cases in 2012. According to statistical data from authorities, it was reported that 75 cases of suspected trafficking were investigated in 2013; court cases resulted in 18 convictions, a significant decrease from the 37 obtained in the previous year. In 2014, authorities reported investigating 38 individuals for suspected trafficking offenses, prosecuting 31, and convicting 21 trafficking offenders. Officials reported convicted traffickers received punishments from 5 to 15 years of imprisonment and fines ranging from 10 to 100 million kip (\$1,250 to \$12,500). There were no statistics available for the year of 2014. The government did not report tangible results during that year due to its commitment to assess gaps in the current legislation and plans to draft a comprehensive law.

Unfortunately, there is limited accurate data and research explaining the situation of human trafficking in Laos, including the domestic victims' situation. The number of official returned victims through the Lao-Thai Memorandum of Understanding since 2001 to date reaches 2,385⁴¹ but many of informally returned victims have been left out because of the inconsistent data system in related government agencies. The national mechanism is still weak, combatting activities and sources largely rely on international agencies and interventions of NGOs. The recent promulgated Trafficking in Persons Law of Lao PDR is considered to be the current legal instrument. However, the awareness of the mentioned law among frontline law enforcement officers remains modest. There is a need of further increasing efforts to steer its dissemination and application.

This project built directly on the foundation laid by the three-year UNODC R76 Project: Strengthening Legal and Law Enforcement Institutions to Prevent and Combat Human Trafficking. The R76 Project was implemented with the Lao Ministry of Justice between 2006 and 2009, and through this work national capacity and trust was developed, partnerships formed and knowledge of the local context generated. For instance, the creation of the Core Training Group – a cross-cutting training group consisting of members from the criminal justice system. The LAOX26 is a result of UNODC's long-standing experience working with the Lao Government and partners on illicit trafficking, corruption and organised crime including human trafficking.

The overall goal of the project is “To reduce human trafficking by strengthening the country's capacity to implement its laws to effectively prevent, investigate and prosecute human trafficking, and protect and empower victims of trafficking”. The project focussed on key interventions in the areas of: (1) legal reform; (2) capacity-building and cooperation, and; (3) victim empowerment and awareness on their rights. Thus, the project aimed to strengthen

⁴¹ Ministry of Labour and Social Welfare, Department of Social Welfare

institutions and capacities, and synergies between the four Ps – Prevention, Protection, Prosecution and Partnership– for stronger impact and sustainability on the ground. In order to reach the objective, the following steps were taken: firstly, national legislation on human trafficking strengthened by drafting an anti-human trafficking law and instructions on the non-prosecution of victims. Secondly, improved capacity of the Lao Government and the criminal justice institutions for more coordinated responses to human trafficking through training and support to cooperation mechanisms. Thirdly, strengthened awareness on human trafficking and the rights of victims amongst the public especially women groups in the vulnerable populations. Fourthly, the provision of improved access to legal services and referrals.

Human rights are not neglected in the project objective; the designed activities on awareness raising and victim support have included the importance on the rights of victims as the following example demonstrates. *“The Lao PDR has established a National Steering Committee and is preparing a national action plan on human trafficking. The Lao PDR is party to the Protocol to Prevent, Suppress and Punish Trafficking in Persons, especially Women and Children, supplementing the UN Convention Against Transnational Organized Crime and is in the process of its implementation. The country is also actively cooperating with other countries in the region in fighting human trafficking. The Lao PDR supports the Recommendation in so far as it relates to the evil crime of trafficking in human beings. With its unique position in being neighbour to more developed Nations, Lao PDR suffers from this crime and was among the first countries in the region to ratify the Protocol. The Lao PDR, however, stressed that for historical reason and multi ethnic aspect, no ethnic group is more indigenous than the others. Lao PDR, therefore, is unable to accept the term: “indigenous women” contained in the Recommendation. The Lao PDR takes this opportunity to stress that it is striving hard within its resources to combat human trafficking with particular emphasis on the protection of women from all its 49 ethnic groups⁴².”*

Together with the lead government, the Ministry of Public Security, the LAOX26 project emphasised to include the important part on technical and financial assistance in the drafting of the Anti-Trafficking Law. The promulgation of this Law reflects one of the major achievements of the project. Based on its context, the rights for victims and especially child victims are highlighted ‘*As for offence against a child below eighteen years of age, only the elements of act and purpose shall constitute trafficking in person irrespective to consent or voluntary act of the child*’ (Article 9, paragraph 2) and *victims of human trafficking will be exempt from the criminal liability and shall not be detained for prostitution accusation and illegal immigration* (Article 39, Number 7).

Gender equality has been taken into consideration in the planning and implementation of activities. However, the number of women participating in the activities remained modest because the majority of law enforcement officials are male. Anyhow, female trainers and facilitators of the activities have been encouraged to participate and therefore, 20% female participants were present in each activity. Moreover, there was 50% of women participation to

⁴² Human Rights Council, fifteenth session, Report of the Working Group on the Universal Periodic Review, Lao People’s Democratic Republic, Views on conclusions and/or recommendations, voluntary commitments and replies presented by the State under review

the legal awareness raising campaigns in the communities. Reported numbers were extracted from participations lists and activities reports.

Main challenges during implementation:

Over the 5 years of project implementation, changes in the budget of the project and in the logical framework have resulted in a major impact on the project implementation as described in the tables below of 2012 and 2014 respectively. Furthermore, the new UN secretariat-wide financial and administrative management system ‘Umoja’ has created difficulties regarding timely implementation and the understanding of the local counterparts on the new modality and the required planning ahead. Due to the Umoja transition, access to funding was limited during an extended period, causing delays in implementing the various activities of the project.

Project documents and revisions of the original project document

Project document	Year	Please provide general information regarding the original project document.
Strengthening Criminal Justice Responses to Human Trafficking in Lao PDR	2011	This project addresses the need to strengthen national legislation and the capacity of the criminal justice institutions to respond to human trafficking, as well as to raise awareness on human trafficking, particularly on victim rights, and strengthen the provision of legal services and protection measures for victims of human trafficking in Lao PDR. The main objective is to reduce human trafficking in the country and build sustainable solutions through strengthening the synergies between the three Ps – Prevention, Protection and Prosecution (based on the Palermo Protocol). Key activities of the project include: developing an anti-human trafficking law and instructions on the protection and non-prosecution of victims of human trafficking; capacity-building and training of legal and law enforcement officials at lower levels; supporting collaboration with neighbouring countries; raising awareness on human trafficking and victim rights, and; strengthening victim referrals and access to legal services.

Project revision	Year	Reason & purpose	Change in
There was change on budget	Oct 2012	<ul style="list-style-type: none"> The additional contribution of 150,000 USD by the United State Government for additional activities to strengthen the prosecutorial capacity to respond to various types of transnational organized crime including human trafficking. Increase of the overall budget by 150,000 USD in order to secure budget for activities the project had originally planned. 	X from 750,000 USD to 900,000 USD <input type="checkbox"/> Timeframe <input type="checkbox"/> Logframe
There were no substantive changes to the project.	Mar 2014	<p>The purpose of the project revision is to extend the project till end of August in order to proceed with urgently required recruitment of personnel who will be in charge of preparing a full project revision including the revised work and monitoring plan. Please refer to the proposed changes below:</p> <ul style="list-style-type: none"> Project extension of 5 months from March to 31 August 2014. Due to workload related to implementation of various project activities in Laos PDR, the position of a National Project Officer (Lao PDR) – is required to substantively support the implementation of the technical assistance for LAOX26. The national project officer will be responsible for the project implementation in Lao PDR. The recruitment of the international consultant to support the implementation of project activities. 	<input type="checkbox"/> Budget X from Mar-31 Aug 2014 <input type="checkbox"/> Logframe
The project was revised to update the logical framework	Jul 2014	<p>In the latest submission in 2014, the Logframe was changed with the inclusion of a new outcome (outcome 6) related to the use of the additional contribution of 150,000 USD from the United States Government in 2012. The proposed change was agreed by the donor as detailed below:</p> <ul style="list-style-type: none"> Revised the workplan The proposed increase of 250,000 USD in the overall budget. Revise the Logframe based on the additional activities and the re-arrangement of the new Log frame to include the new outcome 6 	X 1,115.000 USD X Mar 2011- Sep 2016 X New Logframe with additional Outcome 6

Main objectives and outcomes

Project Objective

Lao PDR has a legislative framework and improved criminal justice response in place to take action against human trafficking and to protect victims

Indicator PO 1:

Increase in arrests, prosecutions and convictions (in relation to investigations), conducted in accordance to legal provisions.

- Baseline: 2010-2013 data as per TiP report (2010: 20 investigation cases, 33 convictions. 2011: 20 investigations, 33 convictions. 2012: 49 investigations, 37 convictions. 2013: 75 investigations, 18 convictions)
- Target: % increase in arrests, prosecutions, and convictions (compared to 2013) and improved TiP ranking

Indicator PO 2:

% victims of trafficking are protected and not criminalised.

- Baseline: currently no provisions on victim protection and non-prosecution exist.
- Target: 100% of identified victims are treated as victims and provided with support, as appropriate, no imprisonment or prosecution of victims.

Outcome1:

The legal framework to combat human trafficking is accessible, applied, and further developed to encompass all relevant TiP provisions.

Indicator 1a

Increase in authorities referencing their actions and decisions to relevant legal TiP provisions.

- Baseline: Limited knowledge and application of legal TiP stipulations which are spread over several laws.
- Target: Concerned key authorities aware of existing (and new) legal TiP provisions and utilizing reference documents (and new law).

Indicator 1b

Comprehensiveness of new law.

- Baseline: Legal provisions spread over several instruments, lack of relevant provisions.
- Target: New, comprehensive TiP law in line with international standards.

Outcome 2:

Authorities have improved capacities to identify and refer, investigate and prosecute human trafficking.

Indicator 2a

% increase in knowledge by authorities on key topics in human trafficking.

- Baseline: Limited knowledge related to human trafficking.
- Target: At least 20% increase in knowledge as per pre/post training tests.

Indicator 2b:

Capacity of Office of the Supreme People's Prosecutor (OSPP) to provide internal TiP training to prosecutor staff.

- Baseline: Currently limited capacities.
- Target: OSPP Trainer of trainers able to train all 400 staff in prosecutor offices.

Indicator 2c

Suspected cases referred by village authorities to investigation and prosecution according to instructions.

- Baseline: No data available.
- Target: All suspected trafficking case at village level are referred as per national mechanism, and not to village mediation unit.

Outcome 3:

Victims of trafficking exercise their rights and file a case.

Indicator 3

Increase in # of victims of trafficking filing a complaint.

- Baseline: # of civil claims filed with authorities concerned with trafficking prosecution cases in 2013.
- Target: Increase of at least 3-4 cases.

Outcome 4:

Lao communities are aware of trafficking risks, can recognize human trafficking traits and have information on victim rights.

Indicator 4a

Higher levels of awareness in Lao communities of the risks of trafficking and victim rights.

- Baseline: Level of understanding as per pre-tests
- Target: At least 20% increase in understanding of trafficking risks and traits.

Outcome 5:

Victims of trafficking have access to improved support services.

Indicator 5:

Increased # of trafficked victims benefit from support services.

- Baseline: Number of victims supported in 2013.
- Target: At least 10% increase in number of victims served.

Outcome 6:

Evidence-based approach in criminal investigation and prosecution is promoted in Lao PDR

Indicator 6a

Model practice of collection and analysis of evidence in criminal proceedings, and associated recommendations, is endorsed by counterparts

- Baseline: None
- Target: Model endorsed along with all recommendations

Indicator 6b

Percentage of responding training participants indicating application of training

- Baseline: None
- Target: 90%

Contribution to UNODC's country, regional or thematic programme

The project fits in the overall strategy of the United Nations Office on Drugs and Crime and is in line with the provisions of the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, supplementing the UN Convention against Transnational Organized Crime (UNTOC). Implementation of the Protocol requires the criminalization of trafficking in persons, the promotion of cooperation between States and with other relevant stakeholders, as well as the protection of the rights of trafficking victims.

UNODC's ongoing work against organized crime supports the criminal justice perspective, providing synergy with anti-trafficking and anti-migrant smuggling efforts fostering enforcement of UNTOC and its additional Protocols.

UNODC has the mandate to implement the UNTOC and possesses significant comparative advantages for addressing the above-mentioned complex and multifaceted challenges and technical assistance needs due to its specialized technical competence, operational capacity and long-term expertise in crime prevention, criminal justice and the rule of law, the synergy of its programmes and its field presence. With its wealth of experience, it can assist Member States in developing and strengthening solid and sustainable systems to adequately address these crosscutting threats.

This project follows the objectives of the regional Sub-programme 1: Countering transnational organized crime and illicit trafficking, including drug trafficking

Linkage to UNODC strategy context and to Sustainable Development Goals

This project had been drawn upon the foundation laid by the similar former project (R76), the momentum was carried forward through the consultation with the Lao government as well as with international organizations for the identified areas of intervention. It partially responds to the Millennium Development Goals (3. Promote Gender Equality and Empower Women) and the Sustainable Development Goals agenda 2030; ***Goal 5 Achieve gender equality and empower all women and girls*** (5.2 Eliminate all forms of violence against all women and girls in the public and private spheres, including trafficking, sexual, and other types of exploitation) ; ***Goal 16 Promote peaceful and inclusive societies for sustainable development; provide access to justice for all, and build effective, accountable and inclusive institutions at all*** (16.2 End abuse, exploitation, trafficking and all forms of violence against and torture of children, 16.3 Promote the rule of law at the national and international levels and ensure equal access to justice for all).

II. DISBURSEMENT HISTORY

Time periods	Total Approved	Expenditure	Expenditure in %
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throughout the life time of the project	Budget		
Mar 2011 –May 2016	1,108,811	796,481	71,83%

<u>Time period covered by the evaluation</u> (Mar2011 – Sep 2016)	Total Approved Budget	Expenditure	Expenditure in %
	as above		

III. PURPOSE OF THE EVALUATION

This final Independent Project Evaluation of LAOX26 was foreseen in the project document as per UNODC evaluation norms and standards. It will take place during the third quarter of 2016 and will be conducted by an external independent international evaluator (Team Leader) with the support from a local evaluator (Team Member).

The evaluation will assess the following Development Assistance Committee (DAC) criteria: relevance, efficiency, effectiveness, impact and sustainability, established partnerships and cooperation as well as human rights. The evaluation will further specifically assess how gender aspects have been mainstreamed into the project as well as identify lessons learned and best practices and derive recommendations. Since Lao PDR is one of the beneficiary countries that has been selected for the new project on human trafficking and migrant smuggling GLO.ACT that is based on a collaboration between the EU, UNODC, UNICEF and IOM, the recommendations of this evaluation (in addition to the country assessment that has been conducted through GLO.ACT) will pave the strategic directions and scope of the intervention for the coming partnership with the EU (in the course of the GLO.ACT Project on human trafficking and smuggling of migrants) that has been launched in the beginning of 2016.

The evaluation will further identify areas of improvement and provide feedback, appraisal and recognition of project activities. Furthermore, the evaluation will seek to provide accountability to donors by determining whether project objectives were met and resources were wisely utilized. In addition, it will assess the implementation of the recommendations of the Participatory Self-Evaluation in 2014.

The main evaluation users are the Secretariat to the National Commission on Anti-Human Trafficking, the Anti-Trafficking Department, Ministry of Public Security, the Law enforcement government agencies, the Ministry of Justice, the ministry of Foreign Affairs, and the UNODC, the JTIP donor and the members of Human Trafficking Working Group. The evaluation report will be disseminated to the donor and counterparts through a project evaluation meeting; it will allow an insight discussion and way forward in combating human trafficking in Lao PDR.

IV. SCOPE OF THE EVALUATION

Unit of analysis (full project/programme/ parts of the project/programme; etc.)	The full project
Time period of the project/programme covered by the evaluation	March 2011-September 2016
Geographical coverage of the evaluation	Lao PDR (Vientiane and Champasack and Xiengkhouang provinces to be determined and discussed together with the evaluators).

V. KEY EVALUATION QUESTIONS

Evaluation Criteria

The evaluation will be conducted based on the following DAC criteria: relevance, efficiency, effectiveness, impact and sustainability, as well as partnerships and cooperation, gender and human rights and lesson learned. The questions will be further refined by the Evaluation Team.

<i>Design</i>
1. Are the risks and assumptions included in the project document holding true? Are risk management arrangements in place?
2. To what extent did the project/programme implement recommendations of relevant previous evaluation(s)?
3. To what extent did the implementation of the recommendations lead to improved design and/or implementation of the project/programme?
<i>Relevance</i>
<i>Relevance is the extent to which the aid activity is suited to the priorities and policies of the target group, recipient and donor.</i>
1. To what extent does the project respond to the needs of Lao PDR to prevent and combat trafficking in persons, protect the rights of trafficking victims and promote international cooperation?
2. Are the objectives of the project still relevant to the country? How could activities be adjusted in order to better suit the specific needs of the country for the similar programme in the future?
3. Are the relevant cross-cutting issues (gender, human rights and governance, donor coordination or others) adequately mainstreamed in the project design?
4. To what extent are the outputs, outcomes and objectives of this project/programme relevant to implementing the Sustainable Development Goals?
<i>Efficiency</i>
<i>Efficiency measures the outputs - qualitative and quantitative - in relation to the inputs.</i>
1. Compared with alternative approaches to accompanying the same objectives, has progress been made at an acceptable cost? Could more have been achieved with the same funding?
2. How well are outputs achieved? Have all planned outputs been delivered to date? And in a

logic sequence?
3. What measures have been taken during planning and implementation to ensure that resources are efficiently used?
4. To what extent have project resources been managed in a transparent and accountable manner?
Effectiveness
<i>Effectiveness is a measure of the extent to which an aid activity attains its objectives.</i>
1. To what extent has the project achieved its objectives and results to date (outcomes and impact)?
2. What are the reasons for the achievement or non-achievement of the project objectives and results?
3. In the case of non-achievement, how can current obstacles be overcome in the future?
4. Are the indicators set realistic? What is the percentage of the achievement?
Impact
<i>Impact is the positive and negative changes produced by a development intervention, directly or indirectly, intended or unintended.</i>
1. What are the intended or unintended positive and negative long-term effects of project X26 on human trafficking (including on individuals and institutions)?
2. What difference has the project made to beneficiaries? If any, how could those be transferred to the similar programme in the future?
3. Has the project pursued the possibility of assessing impact? Which provisions were made or could have been made, at the planning and implementation phase to assess change?
4. To what extent did the project/programme contribute to the Sustainable Development Goals?
Sustainability
<i>Sustainability is concerned with measuring whether the benefits of an activity are likely to continue after donor funding has been withdrawn.</i>
1. To what extent will the benefits generated through the project be sustained after the completion of the project?
2. Are there additional measures that can be taken to ensure sustainability (also taking into consideration the new programme GLO.ACT)?
3. To what extent have the project stakeholders and beneficiaries taken ownership of the objectives to be achieved by the project?
4. Do stakeholders and beneficiaries commit to continue working towards these objectives once the project has ended?
Partnerships and cooperation
<i>The evaluation assesses the partnerships and cooperation established during the project/programme as well as their functioning and value.</i>
1. How much have the activities benefited from the expertise of and cooperation with other relevant international/regional and non-governmental organizations?
2. To what extent has the project coordinated activities with the National Commission on Anti-Human Trafficking and other national counterparts?
3. To what extent and in what way did the project cooperate with other UNODC Human Trafficking projects?
Human rights
<i>The evaluation needs to assess the mainstreaming of human rights aspects throughout the</i>

<i>project/ programme.</i>
1. How were the activities designed to align with Human Rights issue?
2. To what extent has the project contributed to the Human Rights dialogue with stakeholders and beneficiaries?
3. Has the UPR (under the human trafficking part of the UPR) been discussed among government and international agencies for the response?
Gender
<i>The evaluation needs to assess the mainstreaming of gender aspects throughout the project/ programme.</i>
1. To what extent has gender been mainstreamed into project activities?
2. To what extent are project activities tailored to the needs of gender equality (including marginalised groups, etc.)?
3. What measures have been taken to ensure and foster the inclusion of women and other marginalised groups in the activities of the project?
Lessons learned
<i>Lessons learned concern the learning experiences and insights that were gained throughout the project/ programme.</i>
1. What lessons can be learned from the project implementation in order to improve performance, results and effectiveness in the future (also taking into consideration the new programme – GLO.ACT)?
2. What best practices emerged from the project implementation that could be replicable in other projects/programmes in the area of human trafficking?
3. Can these best practices be realistically replicated in future UNODC initiatives in the field of human trafficking and migrant smuggling, especially in GLO.ACT?

Past Evaluations (if applicable)

In the middle of the time frame of the project, the overall budget was increased to a total of 1,150,000 USD, the final evaluation was planned in the latest logical framework of 2014. Following the UNODC evaluation rule, an international consultant of the project conducted the participatory self-evaluation in 2014 through questionnaires and interviews with stakeholders based on the UNODC self-evaluation guideline (participatory self-evaluations are not part of UNODC's evaluation portfolio anymore since August 2014). Recommendations largely focused on the need to increase the regular communication with the project steering committee members and maintain the dialogue with the government and a wide range of other stakeholders to develop an understanding of human trafficking. Furthermore, identifying the focal points to provide specific advice and supporting the activities at various level was found to be needed. The result of the self-evaluation also led to a training need analysis with the Core Training Group in order to ensure the required skills and information that corresponds to the current situation were taken into account. The latest work plan and training activities were revised together with relevant partners. As a result, communication with the Project Chair (Ministry of Justice) has been increased in order to make sure accurate information is received and regular consultations take place. Therefore, the current evaluation will also respond to respective questions under the design-criteria.

VI. EVALUATION METHODOLOGY

The evaluation team will perform a desk review of existing documentation as per preliminary list of documents in Annex III to independently assess and validate evidence gathered with regard to the project from different sources of information. The reviewed documents will be cross-checked and triangulated with primary research methods. Secondary data sources for the desk review are outlined in Annex III.

Primary sources of data will include interviews with key stakeholders (face-to-face or by telephone), the use of surveys and questionnaires, field visits.

The evaluation team will analyse and summarize the review of documentation in an inception report, which will specify the evaluation methodology (evaluation matrix) relating evaluation questions to evaluation criteria, indicators, sources of information, and methods of data collection as well as include a detailed work plan.

The methodology should consider not only the primary and secondary data sources but also related external research findings and baselines that are not included in Annex III for the final recommendations. In general, quantitative as well qualitative data collection and analysis methods will be applied where the evaluator will utilize different methods to address all of the stakeholders, including case study analysis through the proposed field missions. Gender-sensitive as well as inclusive data collection techniques will be included in order to identify key gender issues, address marginalized, hard-to-reach and vulnerable populations, as well as to define strategies for developing appropriate data bases for better gender analysis in future project planning.

The evaluation methodology must conform to the Norms and Standards for Evaluation in the United Nations System and the Evaluation Norms, Guidelines, Templates and Standards at UNODC⁴³.

VII. TIMEFRAME AND DELIVERABLES

The evaluation is expected to start on 05 July 2016 and will be conducted by 1 International Evaluator (Team Leader) and 1 National Evaluator (Team Member). The evaluators will be contracted for 31 working days (Team Leader) and 20 working days (Team Member) within a period of 4 months, to complete the evaluation. The evaluators are expected to undertake a field mission of 5 working days to Champasack and Xiengkhouang provinces during the period of their assignment (the field missions might be revised based on the discussion after the desk review with the evaluators). The National Evaluator will facilitate the presentation of the evaluation result to the government stakeholders and donor on a half day meeting as described in the timetable below in section C. The duty station for the International Evaluator will be home-based with travel to Laos envisaged under this ToR.

⁴³<http://www.unodc.org/unodc/en/evaluation/evaluation.html>

The tentative timetable of the deliverables is as follows:

<i>Duties</i>	<i>Time frame</i>	<i>Location</i>	<i>Deliverables</i>
Desk review and preparation of draft Inception Report	14 Jul 2016 – 25 Jul 2016 (7 working days)	Home base	Draft Inception report containing: preliminary findings of the desk review, refined evaluation questions, data collection instruments (including questionnaire and interview questions), sampling strategy, evaluation matrix and limitations to the evaluation
Review and subsequent clearance of draft Inception Report by IEU (can entail various rounds of comments)	26 Jul 2016 – 28 Jul 2016 (2 working days)		Revised draft Inception Report
Deliverable A: Final Inception Report in line with UNODC evaluation norms, standards, guidelines and templates	By 29 Jul 2016 (9 overall working days)		Final Inception report to be cleared by IEU before the field mission takes place
Interviews with staff at UNODC HQ/FO; Evaluation mission: briefing, interviews; presentation of preliminary findings	01 Aug 2016 – 06 Aug 2016 (05 working days)	Vientiane Capital, Champasack and Xiengkhouang Province, Laos	Presentation of preliminary findings to internal stakeholders (exclusively UNODC staff)
Drafting of the evaluation report; submission to Project Management for review of factual errors and to IEU for review and comments;	08 Aug 2016 – 18 Aug 2016 (8 working days)	Home base	Draft evaluation report
Consideration of comments from the project manager and incorporation of comments from IEU (can entail various rounds of comments)	30 Aug 2016 – 6 September 2016 (4 working days)	Home base	Revised draft evaluation report
Deliverable B: Draft Evaluation Report in line with UNODC evaluation norms, standards, guidelines	By 6 Sept 2016 (17 overall working days)		Draft evaluation report, to be cleared by IEU

and templates			
IEU to share draft evaluation report with Core Learning Partners for comments	6 Sep 2016 – 20 Sep 2016		
Consideration of comments from Core Learning Partners	21 Sep 2016 – 23 Sep 2016 (02 working days)	Home base	Revised draft evaluation report
Final review by IEU; incorporation of comments and finalization of report	26 Sep 2016 – 29 Sep 2016 (02 working days)	Home base	Revised draft evaluation report
Presentation of evaluation results to external stakeholders by local evaluator	30 Sep 2016 (1 working day)	Vientiane Capital	Presentation of evaluation results to external stakeholders.
Deliverable C: Final evaluation report incl. Management response (if needed); presentation of evaluation results	By 30 Sep 2016 (05 overall working days)		Final evaluation report; Presentation of evaluation results. All to be cleared by IEU
Project Management: Finalise Evaluation Follow-up Plan in ProFi	By 30 Sep 2016		Final Evaluation Follow-up Plan to be cleared by IEU
Project Management: Disseminate final evaluation report			Final evaluation report disseminated

VIII. EVALUATION TEAM COMPOSITION

The evaluation team will be led by an International Evaluator (Team Leader) and will include one National Evaluator (Team member). The International Evaluator should have the following technical qualifications:

- Master's degree in international development, public administration, social science, evaluation or related field also demonstrating technical competence in the area under evaluation;
- A minimum of 7 years of professional experience in the field of evaluation of international programmes;

- Extensive knowledge of, and experience in applying, qualitative and quantitative as well as gender-sensitive evaluation methods;
- A strong record in designing and leading evaluations and a track record of conducting various types of evaluation, including process, outcome and impact evaluations preferably with experience in conducting evaluations for the United Nations;
- Excellent communication, drafting and report writing skills;
- Knowledge of and experience with the UN System;
- Knowledge of issues related to trafficking in persons would be an advantage;
- Knowledge of statistical surveying instruments;
- Knowledge of human rights and gender are highly desirable.

The International Evaluator will have the overall responsibility for the quality and timely delivery of all activities and reports and for liaising with the UNODC Independent Evaluation Unit (IEU) and with the UNODC X26 Project Management as specified in these Terms of Reference.

The National Evaluator (Team Member) will support the entire activities listed in the time table of the deliverables under this TOR as agreed with the International Evaluator, and provide inputs during the desk review and to all other deliverables. He/she is responsible for the interpretation and translation of documents as needed by International Evaluator, as well as being a facilitator for the presentation of the evaluation result to stakeholders in mid-September.

The national evaluator should demonstrate:

- Master's degree in international development, public administration, international relations, political or social science, law or related field.
- A minimum of 5 years of professional experience in organized crime or crime prevention issues, specifically trafficking in persons and/or smuggling of migrants.
- A minimum of 3 years of professional experience in evaluating projects, programmes, policies, strategies, etc.;
- Excellent communication, drafting and report writing skills;
- Knowledge of and experience in gender mainstreaming.

Absence of Conflict of Interest

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

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

IX. MANAGEMENT OF THE EVALUATION PROCESS

Roles and responsibilities of the Project Manager

The Project Manager is responsible for:

- managing the evaluation,
- drafting and finalizing the ToR,
- selecting Core Learning Partners (representing a balance of men, women and other marginalised groups) and informing them of their role,
- recruiting evaluators following their clearance by IEU,
- providing desk review materials (including data and information on men, women and other marginalised groups) to the evaluation team including the full ToR,
- reviewing the Inception Report as well as the evaluation methodology,
- liaising with the Core Learning Partners,
- reviewing the draft report for factual errors,
- developing an implementation plan for the evaluation recommendations as well as follow-up action (to be updated once per year),
- disseminate the final evaluation report and facilitate the presentation of evaluation results.

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

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

For the field missions, the evaluation team liaises with the UNODC Regional/Field Offices and mentors as appropriate.

Roles and responsibilities of the evaluation stakeholders

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

Roles and responsibilities of the Independent Evaluation Unit

The Independent Evaluation Unit (IEU) provides mandatory normative tools, guidelines and templates to be used in the evaluation process. Please find the respective tools on the IEU web site <http://www.unodc.org/unodc/en/evaluation/evaluation.html>. Furthermore, IEU provides guidance and evaluation expertise throughout the evaluation process.

IEU reviews and clears all steps and deliverables during the evaluation process:: Terms of Reference; Selection of evaluator(s); Inception Report; Draft Evaluation Report; Final Evaluation Report; Evaluation Follow-up Plan.

X. PAYMENT MODALITIES

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

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

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

ANNEX I. Terms of Reference for THE INTERNATIONAL Evaluator

Title:	Independent Evaluator (Team Leader)
Organisational Section/Unit:	United Nations Office on Drug and Crime
Name and title of Supervisor:	Ms. Siliphaithoun Xayamoungkhoun, National Program Officer
Duty Station or home-based:	Duty station/Home-based/with travel to Champasack and Xiengkhouang Province (05 field visit days in total)
Proposed period:	14 July – 30 September 2016
Actual work time:	31 days including field visit days
Fee Range:	C

1. Background of the assignment:

This final Independent Project Evaluation of LAOX26 was foreseen in the project document as per UNODC evaluation norms and standards. It will take place during the third quarter of 2016 and will be conducted by an external independent international evaluator (Team Leader) with the support from a local evaluator (Team Member). The evaluation report will be disseminated to the donor and counterparts through a project evaluation meeting; it will allow an insight discussion and way forward in combating human trafficking in Lao PDR.

The LAOX26 is a result of UNODC's long-standing experience working with the Lao Government and partners on illicit trafficking, corruption and organised crime including human trafficking. The project aimed to strengthen institutions and capacities, and synergies between the four Ps – Prevention, Protection, Prosecution and Partnership– for stronger impact and sustainability on the ground.

Main beneficiaries are related governments from central to grass root levels who actively participated to the project implementation over five years such as the Secretariat to the National Commission on Anti-Human Trafficking, the Anti-Trafficking Department, Ministry of Public Security, the Office of Supreme People's Prosecutor, the Ministry of Justice, the Ministry of Foreign Affairs, The Ministry of Social Welfare, the Law Women's Union and the members of Human Trafficking Working Group.

2. Purpose of the assignment:

The evaluation aims to identify areas of improvement and provide feedback, appraisal and recognition of project activities. Furthermore, the evaluation will seek to provide accountability to donors by determining whether project objectives were met and resources were wisely utilized. In addition, it will assess the implementation of the recommendations of the Participatory Self-Evaluation in 2014.

The evaluation will assess the following Development Assistance Committee (DAC) criteria: relevance, efficiency, effectiveness, impact and sustainability, established partnerships and cooperation as well as human rights. The evaluation will further specifically assess how gender aspects have been mainstreamed into the project as well as identify lessons learned and best

practices and derive recommendations. Since Lao PDR is one of the beneficiary countries that has been selected for the new project on human trafficking and migrant smuggling GLO.ACT that is based on a collaboration between the EU, UNODC, UNICEF and IOM, the recommendations of this evaluation (in addition to the country assessment that has been conducted through GLO.ACT) will pave the strategic directions and scope of the intervention for the coming partnership with the EU (the GLO.ACT Project on human trafficking and smuggling of migrants) that has been launched in the beginning of 2016.

3. Specific tasks to be performed by the evaluator:

Under the guidance of the Independent Evaluation Unit, the key responsibilities of the International Evaluator (Team Leader) include (i) development of the evaluation design with detailed methods, tools and techniques that are gender-inclusive and gender-sensitive, generating information from and about men, women and other marginalised groups as well as about key gender as well as human rights issues (ii) lead and coordinate the evaluation process and oversee the tasks of the national evaluator (Team Member); (iii) ensuring adherence to the UNEG Norms and Standards, UNODC evaluation norms, standards, guidelines and templates and the evaluation TOR, and (iv) ensuring that all deliverables are submitted in a timely and satisfactory manner and in line with the quality criteria checklist.

4. Expected tangible and measurable output(s)/deliverable(s):

Tangible and measurable outputs, objectives and targets of the work assignment, as well as specific activities to achieve the required outputs and targets. As per ST/AI/2013/4, Section 3.2 (a)

The evaluator will be responsible for the quality and timely submission of his/her specific deliverables, as specified below. All products should be well written, inclusive and have a clear analysis process.

- Draft inception report, containing a refined work plan, methodology and evaluation tools; in line with UNODC evaluation norms, standards, guidelines and templates.
- Presentation of preliminary evaluation findings and recommendations to internal stakeholders (if applicable).
- Draft evaluation report in line with UNODC evaluation norms, standards, guidelines and templates, including an analysis of the performance of the project to adequately address gender as well as human rights issues, with concrete findings and conclusions, and, if needed, specific recommendations on how to improve,
- Revised draft report based on comments received from the various consultative processes (IEU, internal and external).
- Final evaluation report, in line with UNODC evaluation norms, standards, guidelines and templates
- Final presentation of evaluation results to stakeholders.

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

The evaluator shall respect the UNEG Ethical Guidelines.

5. Dates and details of deliverables/payments:

<i>Deliverable</i>	<i>Output</i>	<i>Working Days</i>	<i>To be accomplished by (date)</i>
A.	Inception Report	09	29 Jul 2016
B.	Draft Evaluation Report	17	06 Sep 2016
C.	Final Evaluation Report	05	30Sep 2016

Payments will be made upon satisfactory completion and/or submission of outputs/deliverables. The project will cover the DSAs and round trip domestic flights during the field visits.

6. Indicators to evaluate the evaluator's performance:

Timely, satisfactory and high-quality delivery of the above mentioned outputs as assessed by IEU (in line with UNODC norms, standards, guidelines and templates as well as UNEG Standards and Norms).

7. Qualifications/expertise sought (required educational background, years of relevant work experience, other special skills or knowledge required):

The International Evaluator should have the following technical qualifications:

- Master's degree in international development, public administration, social science, evaluation or related field also demonstrating technical competence in the area under evaluation;
- A minimum of 7 years of professional experience in the field of evaluation of international programmes;
- Extensive knowledge of, and experience in applying, qualitative and quantitative evaluation methods;
- A strong record in designing and leading evaluations and a track record of conducting various types of evaluation, including process, outcome and impact evaluations preferably with experience in conducting evaluations for the United Nations;
- Excellent communication, drafting and report writing skills;
- Knowledge of and experience with the UN System;
- Knowledge of issues related to trafficking in persons would be an asset;
- Knowledge of statistical surveying instruments;

- Experience in gender mainstreaming and human rights.

The International Evaluator will have the overall responsibility for the quality and timely delivery of all activities and reports as well as for liaising with the UNODC Independent Evaluation Unit (IEU) and with the UNODC LAO/X26 Project Management as specified in these ToR.

ANNEX II. Terms of Reference for THE NATIONAL Evaluator

Title:	Independent Evaluator (Team Member)
Organisational Section/Unit:	United Nations Office on Drug and Crime
Name and title of Supervisor:	Ms. Siliphaithoun Xayamoungkhoun, National Program Officer
Duty Station or home-based:	Duty station/Home-based/with travel to Champasack and Xiengkhouang Province (05 field visit days in total)
Proposed period:	14 July – 26 September 2016
Actual work time:	18 days including field visit days
Fee Range:	C

1. **Background of the assignment:**

This final Independent Project Evaluation of LAOX26 was foreseen in the project document as per UNODC evaluation norms and standards. It will take place during the third quarter of 2016 and will be conducted by an external independent international evaluator (Team Leader) with the support from a local evaluator (Team Member). The evaluation report will be disseminated to the donor and counterparts through a project evaluation meeting; it will allow an insight discussion and way forward in combating human trafficking in Lao PDR.

The LAOX26 is a result of UNODC's long-standing experience working with the Lao Government and partners on illicit trafficking, corruption and organised crime including human trafficking. The project aimed to strengthen institutions and capacities, and synergies between the four Ps – Prevention, Protection, Prosecution and Partnership– for stronger impact and sustainability on the ground.

Main beneficiaries are related governments from central to grass root levels who actively participated to the project implementation over five years such as the Secretariat to the National Commission on Anti-Human Trafficking, the Anti-Trafficking Department, Ministry of Public Security, the Office of Supreme People's Prosecutor, the Ministry of Justice, the Ministry of Foreign Affairs, The Ministry of Social Welfare, the Law Women's Union and the members of Human Trafficking Working Group.

2. **Purpose of the assignment:**

The evaluation aims to identify areas of improvement and provide feedback, appraisal and recognition of project activities. Furthermore, the evaluation will seek to provide accountability to donors by determining whether project objectives were met and resources were wisely utilized. In addition, it will assess the implementation of the recommendations of the Participatory Self-Evaluation in 2014.

The evaluation will assess the following Development Assistance Committee (DAC) criteria: relevance, efficiency, effectiveness, impact and sustainability, established partnerships and cooperation as well as human rights. The evaluation will further specifically assess how gender aspects have been mainstreamed into the project as well as identify lessons learned and best practices and derive recommendations. Since Lao PDR is one of the beneficiary countries that has been selected for the new project on human trafficking and migrant smuggling GLO.ACT

that is based on a collaboration of the EU, UNODC, UNICEF and IOM, the recommendations of this evaluation (in addition to the country assessment that has been conducted through GLO.ACT) will pave the strategic directions and scope of the intervention for the coming partnership with the EU (the GLO.ACT Project on human trafficking and smuggling of migrants) that has been launched in the beginning of 2016.

3. Specific tasks to be performed by the evaluator:

Under the guidance of the Independent Evaluation Unit and the International Evaluator (Team Leader), the key responsibilities of the national evaluator include (i) Support to the development of the evaluation design with detailed methods, tools and techniques that are gender-inclusive and gender-sensitive, generating information from and about men, women and other marginalised groups as well as about key gender as well as human rights issues (ii) ensuring adherence to the UNEG Norms and Standards, UNODC evaluation norms, standards, guidelines and templates and the evaluation TOR, and (iii) Support to the Team Leader and provide inputs to all deliverables, ensuring that all deliverables are submitted in a timely and satisfactory manner and in line with the quality criteria checklist. (iv) Support the entire activities listed below in the deliverables table as agreed by the Team Leader. (v) Responsible for the interpretation and translation of documents as needed to the Team Leader. (vi) Facilitate the presentation of the evaluation result to stakeholders in mid-September.

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

The evaluator shall respect the UNEG Ethical Guidelines.

4. Dates and details of deliverables/payments:

<i>Deliverable</i>	<i>Output</i>	<i>Working Days</i>	<i>To be accomplished by (date)</i>
A.	Inception Report	05	29 Jul 2016
B.	Draft Evaluation Report	10	06 Sep 2016
C.	Final Evaluation Report	03	30 Sep 2016

Payments will be made upon satisfactory completion and/or submission of outputs/deliverables. The project will cover the DSAs and round trip domestic flights during the field visits.

5. Indicators to evaluate the evaluator's performance:

Timely, satisfactory and high-quality delivery of the above mentioned outputs as assessed by IEU (in line with UNODC norms, standards, guidelines and templates as well as UNEG Standards and Norms).

6. Qualifications/expertise sought (required educational background, years of relevant work experience, other special skills or knowledge required):

The national evaluator should demonstrate:

- Master's degree in international development, public administration, international relations, political or social science, law or related field.
- A minimum of 5 years of professional experience in organized crime or crime prevention issues, specifically trafficking in persons and/or smuggling of migrants.
- A minimum of 3 years of professional experience in evaluating projects, programmes, policies, strategies, etc.
- Excellent communication, drafting and report writing skills;
- Knowledge of and experience in gender mainstreaming.

Languages:

The evaluator must have excellent English writing skills.

ANNEX III. List of background documents for the desk review

May be further refined by the evaluator.

- Project document;
- Project revisions and Project logframe;
- Progress reports;
- UNODC organigram;
- UNODC mandate;
- Donor reports;
- The UNODC Global Report on Trafficking in Persons 2014,
- The Country Needs Assessment report (GLO.ACT)
- The Trafficking in Persons Reports by the USA government (2015 and 2016)
- UNTOC Convention and supplementing Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children
- The project workplan of 2016
- The Anti-Trafficking Law of Laos
- The National Plan of Action on anti-human trafficking of Laos 2015-2016
- The activities summary reports conducted by the project and counterparts (The Lao Bar Association, The Clinical Legal Education): the awareness raising training, the grants to victim shelter, the legal aid/dissemination to communities.

- UNODC Position Paper on Human Rights (2011)⁴⁴
- Guidance Note on Gender Mainstreaming in UNODC (2013)⁴⁵
- UNODC evaluation guidelines, templates, handbook, policy⁴⁶
- UNODC Inception Report Guidelines and Template⁴⁷
- UNODC Evaluation Report Guidelines and Template⁴⁸
- UNEG: Integrating human rights and gender equality in evaluation⁴⁹

44 http://www.unodc.org/documents/justice-and-prison-reform/UNODC_Human_rights_position_paper_2012.pdf

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

46 <http://www.unodc.org/unodc/en/evaluation/normative-tools.html>

47 <http://www.unodc.org/unodc/en/evaluation/independent-project-evaluations-step-by-step.html#Undertaking>

48 <http://www.unodc.org/unodc/en/evaluation/independent-project-evaluations-step-by-step.html#Undertaking>

49 <http://www.uneva>

ANNEX III. List of stakeholders

May be further refined by the evaluator

Type ⁵⁰	CLP ⁵¹ (mark with X)	Organisation ⁵²	Name	Designation ⁵³	Location	Email
UNODC HQ		Unodc	Ms. Silke Albert	Crime Prevention Expert, Human Trafficking And Migrant Smuggling Section (Htmss)	Vienna	Silke.Albert@Unodc.Org
UNODC HQ		Unodc	Ms. Anna Tsitsina (Ms)	Crime Prevention And Criminal Justice Officer, Htmss, Organized Crime And Illicit Trafficking Branch Division Of Treaty Affairs	Vienna	Anna.Tsitsina@Unodc.Org
UNODC REGIONAL		Unodc	Mr. Benjamin Smith	Regional Coordinator, Trafficking In Persons / Migrant Smuggling	Bangkok	Benjamin.Smith@Unodc.Org
UNODC LAO		Unodc	Mr. Erlend Audunson Falch	Officer In Charge	Vientiane	Erlend-Audunson.Falch@Unodc.Org
UNODC HQ	X	Unodc	Ms. Margaret Akullo	Glo.Act Coordinator	Vienna	Margaret.Akullo@Unodc.Org
Un Agency	X	Unact	Ms. Xoukiat	National Project Coordinator	Vientiane	Xoukiet.Panyanouvong@Undp.Org

50 Please include the information, if this person is e.g. an implementing partner, donor, recipient, UNODC HQ, UNODC field, UN agency, etc.

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

52 Please include the name of the organisation the person is working for.

53 Please include the designation/job title of the person.

FINAL INDEPENDENT PROJECT EVALUATION: Strengthening Criminal Justice Responses to Human Trafficking in Lao PDR
(LAO/X26)

			Panyanouvong				
Un Agency	X	Iom	Mr. Damien Kilner	Head Office	Vientiane	Dkilner@Iom.Int	
Ngo	X	Village International	Ms. Kongseng Sirivath	Program Coordinator	Vientiane	Kongseng@Villagefocus.Org	PUBLICATION TITLE HERE
Ngo	X	Village International	Ms. Keomany Southichack	Project Manager	Vientiane	Keo.Soudthichak@Gmail.Com	
Partner	X	Australia-Asia Program To Combat Trafficking In Person (Aaptip)	Ms. Manichan Keoviriyavong	Country Program Coordinator	Vientiane	Manichanh.Keoviriyavong@Aaptip.Org	
Donor	X	Jtip	Ms. Amy Rustan Haslet	Project Officer For East Asia And The Pacific Islands	Washington	Haslettar@State.Gov	
Partner	X	Usa Embassy To Laos	Ms. Salina Rico	Political-Economic Officer	Vientiane	Ricos@State.Gov	
Implementing Partner		Ministry Of Justice	Prof. Ket Kietisack	Project Chair	Vientiane	Ket_Kts@Yahoo.Com	
Implementing Partner	X	Ministry Of Justice	Mr. Nalonglith Norasing	Director General, Foreign Relation Department	Vientiane	Nalonglith@Hotmail.Com	
Implementing Partner		Ministry Of Justice	Mr. Somboun Vongphachan	Project Coordinator And A Core Trainer Group Member	Vientiane	Svongphachanh@Yahoo.Com	
Implementing Partner		Ministry Of Justice	Mr. Mitlakhone Songkhamchan	Project Focal Point	Vientiane	Yeyelaos@Yahoo.Com	
Implementing Partner		Lao Women's Union (The Counselling And Protection Center For Women And Children)	Ms. Thoummaly Vongphachan (Former)	Director General	Vientiane	Laocapcwac@Yahoo.Com	
Implementing Partner		Office Of Supreme People's Prosecutor, Cabinet Office	Mr. Sisounthone S. Phabmixay	Director General	Vientiane	No Email Available, Secretary's Tar_Honey_Tar@Hotmail.Com	
Implementing Partner		Ministry Of Public Security, Anti Human Trafficking Department	Col. Livong Laoly	Director General	Vientiane	Laosatd@Gmail.Com	
Implementing Partner		Ministry Of Labor And Social Welfare, Department Of Social	Mr. Onevong Keobounnavong	Director Of Children Assistance Division	Vientiane	Konevong@Yahoo.Com	

		Welfare				
Implementing Partner		Office Of The Center Prosecutor	Ms. Piya Pholsena	A Core Trainer Group Member	Vientiane	Piya.Psn@Gmail.Com
Implementing Partner	X	The Clinical Legal Education (Cle), Faculty Of Law, National University	Ms. Tip Nuansyong	Cle Trainer	Vientiane	Thipcle@Gmail.Com
Implementing Partner	X	Law Development Partner (Ldp)	Mr. Manolinh Thepkhamvong	Legal Consultant	Vientiane	Manolinhth@Gmail.Com

ANNEX II. EVALUATION TOOLS: INTERVIEW GUIDE AND SURVEYS

TEMPLATE FIELD INSTRUMENT – INTERVIEW QUESTIONNAIRE

Interviewee Name	
Interviewee Organisation/ Role	
Interview Date/ Location	

Question	Response
Design	
1. Is the detailed analysis of risks and assumptions included in the project document holding true?	
2. Are risk management arrangements in place?	
3. To what extent did the project implement recommendations of the participatory self-evaluation?	
4. To what extent did the implementation of these recommendations lead to improved design and/or implementation of the project?	
Relevance	
5. To what extent does the project respond to the needs of Lao PDR to prevent and combat trafficking in persons, protect the rights of trafficking victims and promote international cooperation?	
6. Are the objectives of the project still relevant to the country?	
7. How can activities be adjusted in order to better suit the specific needs of the country for the similar GLO.ACT programme?	
8. What are the project's defined cross-cutting issues (gender, human rights and governance, donor coordination or others)?	
9. Are these cross-cutting issues adequately addressed in the project design?	
10. To what extent are the outputs, outcomes and objectives of the project relevant to	

implementing the Sustainable Development Goals?	
Effectiveness	
11. To what extent has the project achieved its objectives and results to date (outcomes and impact)?	
12. What are the reasons for the achievement or non-achievement of the project objectives and results?	
13. In the case of non-achievement, how can current obstacles be overcome in the future?	
14. Are indicators realistic? What is the level of achievement against established indicators?	
Efficiency of design	
15. To what extent is the project's design result's oriented? Is there a clear results logic in the project's design?	
16. How well are outputs being achieved? Have all planned outputs been delivered to date? And in a logical sequence?	
17. To what extent does the project team find the logical/ result's framework to be a useful project management tool? Is the result framework used in planning, implementation and reporting?	
Efficiency of resource use	
18. What measures have been taken during planning and implementation to ensure that resources are efficiently used?	
19. To what extent have project resources been managed in a transparent and accountable manner?	
Efficiency of programme management	
20. How effective is the Project Steering Committee in overseeing and guiding the project?	
21. Is results-oriented monitoring being used in project management? If so, is it being used effectively to address needed changes in design, and, or implementation?	
Impact	
22. What difference has the project made to beneficiaries? How can these differences, if any, be transferred to the upcoming programme GLO.ACT?	
23. Has the project pursued the	

possibility of assessing impact? Which provisions were made or could have been made, at the planning and implementation phase to assess change?	
24. To what extent did the project contribute to the Sustainable Development Goals?	
25. Have there been any intended or unintended positive and negative long-term effects of project X26 on human trafficking (including on individuals and institutions), can be seen?	
Sustainability	
26. To what extent will the benefits generated through the project be sustained after the completion of the project?	
27. Are there additional measures that can be taken to ensure sustainability (also taking into consideration the new programme GLO.ACT)?	
28. To what extent have the project stakeholders and beneficiaries taken ownership of the objectives to be achieved by the project?	
29. Are stakeholders and beneficiaries committed to continuing working towards project objectives once the project has ended?	
Partnerships and cooperation	
30. How much have the activities benefited from the expertise of and cooperation with other relevant international/regional and non-governmental organizations?	
31. To what extent has the project coordinated activities with the National Commission on Anti-Human Trafficking and other national counterparts?	
32. To what extent and in what way did the project cooperate with other UNODC Human Trafficking projects?	
Human rights	
33. How were the activities designed to align with Human Rights issue?	
34. To what extent has the project contributed to the Human Rights dialogue with stakeholders and beneficiaries?	
35. Has the UPR (under the human trafficking part of the UPR) been discussed among	

government and international agencies for the response?	
Gender	
36. To what extent has gender been mainstreamed into project activities?	
37. To what extent are project activities tailored to the needs of gender equality (including marginalised groups, etc.)?	
38. What measures have been taken to ensure and foster the inclusion of women and other marginalised groups in the activities of the project?	
Lessons learned	
39. What lessons can be learned from the project implementation in order to improve performance, results and effectiveness in the future (specifically taking into consideration the new programme – GLO.ACT)?	
40. What best practices emerged from the project implementation that could be replicable in other projects/ programmes in the area of human trafficking?	
41. Can these best practices be realistically replicated in future UNODC initiatives in the field of human trafficking and migrant smuggling, particularly in GLO.ACT?	

SURVEY FORM - PROVINCIAL/ LOCAL AUTHORITIES

No.	Question	Response					Total
		Strongly Agree	Agree	No Opinion/ Not Relevant	Disagree	Strongly Disagree	People
1	As a result of my training from and involvement in the project, I am more aware of all relevant TiP provisions						
2	The material provided by the project on TiP (TiP leaflets) has assisted me in knowing about TiP provisions						
3	There is a better understanding in the community of the risks of human trafficking and the rights of victims of trafficking						
4	There is more discussion in the community about the risks of human trafficking and the rights of victims of trafficking						
5	I make use of the training I received in my day-to-day work, when it is related to human trafficking						

SURVEY FORM – NATIONAL AUTHORITIES

No.	Question	Response					Total
		Strongly Agree	Agree	No Opinion/ Not Relevant	Disagree	Strongly Disagree	People
1	As a result of my training from and involvement in the project, I am more aware of all relevant TiP provisions						
2	The material provided by the project on TiP (the TiP booklet) has assisted me in knowing about TiP provisions						
3	I make use of the training I received in my day-to-day work, when it is related to human trafficking.						

ANNEX III. DESK REVIEW LIST

The following list of documents were reviewed and referenced by the evaluation team during the evaluation.

- Project document – the Prodoc
- Prodoc revision documents
- Project logical framework, original and revisions
- Letters of intent to cooperate (between Lao PDR and UNODC)
- Definitions of and establishment of the Project Board (Lao language)
- Internal (UNODC) Progress reports
- Donor reports (quarterly to J/TIP)
- The project work plan of 2016
- 2016. The *Responding to Trafficking in Persons and Smuggling of Migrants Lao PDR* report (the GLO.ACT needs assessment report). UNODC GLO.ACT.
- The Anti-Trafficking Law of Laos
- The National Plan of Action on anti-human trafficking of Laos 2015-2016
- The activities summary reports conducted by the project and counterparts (The Lao Bar Association, The Clinical Legal Education): the awareness raising training, the grants to victim shelter, the legal aid/dissemination to communities.
- A range of documents on the CTG training, including training need assessments, pre- and post-training assessments, workshop reports, etc.
- The Evidence Manual (Outcome 6) from April 2016.
- The Seventh Five-Year National Socio-Economic Development Plan (2011-2015), Ministry of Planning and Investment, Vientiane, October 7, 2011.
- 2015. Dr Simon Baker. Human Trafficking Trends In Asia. Migration experiences of Lao workers deported from Thailand in 2013. Wang Tao Lao PDR. UN ACT and UNDP.
- The Eighth Five-Year National Socio-Economic Development Plan (2016-2020), Ministry of Planning and Investment, Vientiane, October 7, 2011.
- UNODC organigram

- UNODC mandate
- The UNODC Global Report on Trafficking in Persons 2014
- The Country Needs Assessment report (GLO.ACT)
- The Trafficking in Persons Reports by the USA government (2015 and 2016)
- UNTOC Convention and supplementing Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children
- UNODC Position Paper on Human Rights (2011)⁵⁴
- Guidance Note on Gender Mainstreaming in UNODC (2013)⁵⁵
- UNODC evaluation guidelines, templates, handbook, policy⁵⁶
- UNODC Inception Report Guidelines and Template⁵⁷
- UNODC Evaluation Report Guidelines and Template⁵⁸
- UNEG: Integrating human rights and gender equality in evaluation⁵⁹

54 http://www.unodc.org/documents/justice-and-prison-reform/UNODC_Human_rights_position_paper_2012.pdf

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

56 <http://www.unodc.org/unodc/en/evaluation/normative-tools.html>

57 <http://www.unodc.org/unodc/en/evaluation/independent-project-evaluations-step-by-step.html#Undertaking>

58 <http://www.unodc.org/unodc/en/evaluation/independent-project-evaluations-step-by-step.html#Undertaking>

59 <http://www.unevaluation.org/document/detail/1616>

ANNEX IV. LIST OF PERSONS CONTACTED DURING THE EVALUATION

<i>Number of interviewees</i>	<i>Organisation</i>	<i>Sex disaggregated data</i>	<i>Country</i>
1	ADWLE	Male: Female: 1	Lao PDR
7	Community Radio	Male: 3 Female: 4	Lao PDR
1	Pakse District Police Office	Male: 1 Female:	Lao PDR
1	Office of Information and Culture, Lakhonepheng District	Male: 1 Female:	Lao PDR
3	Office of Justice, Pakse District	Male: 1 Female: 2	Lao PDR
1	IOM	Male: 1 Female:	Lao PDR
1	LDP	Male: 1 Female:	Lao PDR
1	LWU	Male: Female: 1	Lao PDR
1	LWU, Pakse District	Male: Female: 1	Lao PDR
1	Lao Youth Union, Pakse District	Male: 1 Female:	Lao PDR
2	MOJ	Male: 2 Female:	Lao PDR
6	OSPP	Male: 5 Female: 1	Lao PDR
2	Department of Information and Culture, Salavan Province	Male: 2	Lao PDR

1	Provincial Department of Justice, Champasak Province	Female: Male: 1	Lao PDR
1	SPL Law Office Company Limited	Female: Male: 1	Lao PDR
2	UNODC	Female: 1 Male: 1	Lao PDR
2	US Department of State	Male: 1 Female: 1	USA
1	VFI	Male: Female: 1	Lao PDR
Total: 35		Male: 22 Female: 13	

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ANNEX V. EVALUATION MATRIX

Evaluation Question	Indicator(s), data	Summary Findings From Desk Review And Field Enquiry	Data source Prodoc = Project Document PR = Progress reports DR = Donor reports PS = Project Staff S = Stakeholders
Relevance - Design			
1. Is the detailed analysis of risks and assumptions included in the project document holding true?	Presence of a risk analysis. Report commentary on risks and how addressed. Interview commentary on risk management processes.	The Prodoc has been revised three times. Risk analysis in the original was quite limited. The latest version has the most detailed risk analysis (maybe too detailed) in the logical framework, but none have significant discussion in narrative sections. There is no commentary on risks/ assumptions in project reporting. It is specifically noted that a) risks to the project with the changes and delays which happened with Umoja were not anticipated, nor addressed.	Prodoc PR DR PS
2. Are risk management arrangements in place?	Presence of a risk analysis. Report commentary on risks and how addressed. Interview commentary on risk management processes.	While project documentation on risks is as described above, there is no description in documentation or reporting about risk management or mitigation processes/ approaches. There is only risk analysis. There was no real risk management process in place. The best example of this was the implementation of Umoja. Reporting comments only on potential impacts, and some activities on 'compromising with the government to reschedule activities', but nothing more.	Prodoc PR DR PS
3. To what extent did the project implement recommendations of the participatory self-evaluation?	Report content that demonstrates changes in approach attributed to the self-evaluation. Interview feedback confirming	It is understood that a participatory self-evaluation is no longer required within UNODC's implementation frameworks, but one was done by X26. Recommendations were implemented and 'were useful' to the project team.	PR PS

	change in approach.			
4. To what extent did the implementation of these recommendations lead to improved design and/or implementation of the project?	Design changes. Implementation approach changes. Report content that demonstrates changes in approach and output/outcome attributed to the self-evaluation.	It recommended that the project team coordinate and collaborate better with MOJ. This was done, with positive results. Another specific recommendation that assisted implementation was related to the detail and size of the CTG's training format and content. Refinements in this area are understood to have improved delivery and outcomes. It was noted in field interviews that the current version of the Prodoc was modified without inputs from/ consultations with Government counterparts.	PR PS S	PUBLICATION TITLE HERE
Relevance				
5. To what extent does the project respond to the needs of Lao PDR to prevent and combat trafficking in persons, protect the rights of trafficking victims and promote international cooperation?	Correlation between Lao PDR policy/ strategy frameworks and design. Correlation between Lao PDR externally obligations (agreed) and design. TiP victim statements.	There is strong and consistently stated correlation between internal and external priorities and strategies of the Lao PDR and the project's objectives and activities. The project addressed The Seventh Five-Year National Socio-Economic Development Plan (2011-2015). A project on "protection of children from human trafficking and sexual abuse" and "law development and strengthening capacity" are priority projects. ⁶⁰	Prodoc PR DR PS S	
6. Are the objectives of the project still relevant to the country?	Correlation between Lao PDR policy/ strategy frameworks and design. Correlation between Lao PDR externally obligations (agreed) and design. TiP victim statements.	There is strong and consistently stated correlation between internal and external priorities and strategies of the Lao PDR and the project's objectives and activities. The project addresses Outcome 2, Output 5: Extended access to social protection of The Eighth Five-Year National Socio-Economic Development Plan (2016-2020). ⁶¹	Prodoc PR PS S	
7. How can activities be adjusted in order to better suit the specific needs of the country for the similar GLO.ACT	Specific correlation between project design and GLO.ACT design frameworks.	Feedback from the field would indicate that following the already determined frameworks are important in GLO.ACT's strengthening of X26 outcomes. Specifically: <ul style="list-style-type: none"> • Legislation 	PR DR PS	

60 The Five-Year National Socio-Economic Development Plan VII (2011-2015) should be in the list of reading document.

61 The Five-Year National Socio-Economic Development Plan VIII (2016-2020) should be in the list of reading document.

programme?		<ul style="list-style-type: none"> • Police/ prosecutor practice • Victim justice • Perpetrator justice • Support services. <p>Further, a qualitative and quantitative framework for assessing outcomes is needed to be developed and used. This includes both a baseline for a well-defined set of critical indicators and then a following of data related to these indicators. This means GLO.ACT financing needs to cover resourcing (including human) for a properly defined M and E system.</p> <p>ALL of this needs to be developed with Lao Gov collaboration - there needs to be significant input/ feedback from MOJ in design.</p>	S
8. What are the project's defined cross-cutting issues (gender, human rights and governance, donor coordination or others)?	Definitions per the Prodoc.	<p>Other than references to the SDG, no specific mention is made in the Prodoc nor in the Revision document (Aug 2014) to gender, or human rights more generally, as a focus of the project or as cross-cutting areas. While implied throughout the documents, and indeed the project itself has a clear focus on areas to do with gender-based violence and gender equality, including at the legislative and policy/ strategy levels, no details are provided in design as to what this means, generally, nor specifically to the project and the project team.</p> <p>Neither is there any mention of gender equality, gender-based violence, gender priorities or strategies, nor any of the same directly related to human rights in the 2015 Annual Report (LAOX26 - Strengthening Criminal Justice Responses to Human Trafficking in Lao PDR). Again, while gender issues permeate the project, it is notable that there is no specific focus on principles or practice that come from accepted frameworks on gender programming or gender-focused approaches.</p>	Prodoc PR
9. Are these cross-cutting issues adequately addressed in the project design?	Prodoc-defined strategies/ approaches	See above. In short, no consideration was given in design to defining or addressing any cross-cutting issues.	Prodoc PS
10. To what extent are the outputs, outcomes and objectives of the project relevant to implementing the Sustainable Development Goals?	Specific correlation between Prodoc-defined strategies/ approaches and SDGs.	Both project design and all elements of project implementation respond directly to SDG 5.2 'Eliminate all forms of violence against all women and girls in the public and private spheres, including trafficking, sexual, and other types of exploitation.'	Prodoc PS S
Effectiveness			
11. To what extent has the project achieved its objectives and results to date (outcomes and impact)?	Specific detail related to a range of project indicators as defined in the logical framework.	<p>Development and promulgation of the Law is the most visible and notable outcome (although work is needed in preparing and the use of guidelines and supporting policy/ implementation frameworks).</p> <p>Capacity development with Police, Prosecutors and others is a second visible and important,</p>	PR DR PS S

		<p>and on-going development.</p> <p>Raised levels of awareness at Provincial and village levels, about human trafficking in general, as well as its impacts, the Law, prosecutions and victim rights is a developing outcome (although it is still relatively constrained geographically).</p> <p>Support to and development of victim support services is a result area that has had some outcomes. Much more support and development could happen with further resourcing.</p> <p>Evidence-based prosecution processes is an area where outcomes are being achieved.</p> <p>Work directly with victims, in pursuing their rights has not happened.</p> <p>Specific support with village authorities in pursuing cases has not happened.</p>		PUBLICATION TITLE HERE
12. What are the reasons for the achievement or non-achievement of the project objectives and results?		<p>Partnership and cooperation between the project and MOJ and the OSPP has been a key component in success with the Law and with capacity building.</p> <p>Provincial and village authorities, and local NGOs such as the radio station, have responded strongly to developing a role in awareness-raising, which has been a strong contributing factor in this outcome area.</p> <p>The project team is simply too small to have been able to have focused across all designated six outcome areas. One full-time technical/ professional staff has not been enough human resourcing to ensure a focus on legislation and capacity-building and victim support services and awareness-raising and victims themselves.</p> <p>The Umoja implementation process delayed activities to the extent that not all capacity-building with the OSPP was able to be delivered.</p>	PR DR PS S	
13. In the case of non-achievement, how can current obstacles be overcome in the future?		<p>A complex project such as this, with its six varied and significant outcome areas requires more than a single full-time project officer. To ensure the necessary impetus and momentum, more human resources are required to focus on outcome areas.</p> <p>Some consideration needs to be given to facilitating administrative/ financial arrangements between the project and government agencies. The current implementation of payments through Umoja does not facilitate project outcomes.</p>	PS S	
14. Are indicators realistic? What is the level of achievement against established indicators?	<p>Level of achievement against indicators.</p> <p>Level of use of indicators in implementation management.</p> <p>Level of use of indicators in reporting.</p>	<p>Specifically in relation to activities and outputs, indicators, particularly as defined in the current (July 2014) version of the Prodoc, generally are appropriate in their construction and definition for use in measuring achievement of outcomes.</p> <p>These indicators also inform internal UNODC annual reporting from the project, but not in quarterly reporting to the donor (J/TIP), as these reports are heavily activity-based.</p> <p>Outcome indicators are not so well formulated, generally, and are not used in reporting.</p>	Prodoc PR DR PS	
15. What has been the most significant change that has happened as a result of the project?		<p>The TiP Law provides a strong legal framework that allows police and prosecutors to address human trafficking in Laos.</p> <p>The approach from and increased capacity within the OSPP provides a good indication of likely longer-term use of the Law on behalf of trafficked persons.</p>	PS S	

Efficiency of design			
16. To what extent is the project's design result's oriented? Is there a clear results logic in the project's design?	Content of the logical framework. Content and quality of the indicators.	The project's logical framework evolved during its different revisions. The current logical framework provides a good results-oriented framework for the project. As indicated above, activity and output indicators are generally well-constructed. Some outcome indicators are well developed but others are not so effective in framing a monitoring context. There is a clear logic from activity to output to outcome.	Prodoc
17. How well are outputs being achieved? Have all planned outputs been delivered to date? And in a logical sequence?	Content of the logical framework. Content of the activity, output, outcome statements and the logical relationships between them.	Outputs in outcome areas 1, 2, 4 and 6 are being or have been achieved. The design has framed activities and outputs. Outputs in outcome areas 3 and 5 are not so well-defined and (see Effectiveness) contribute less effectively to outcomes. From a logic perspective, Outcome 3 has only one defined output, and the result logic of this outcome area is weak. While the actual work done within Outcome 5 is relevant, actual outputs and outcomes are limited due to the small focus of time and financing. Further, the results logic in Outcome 5 could be strengthened.	Prodoc PR DR PS
18. To what extent does the project team find the logical/ result's framework to be a useful project management tool? Is the result framework used in planning, implementation and reporting?	Use of the logical/ results framework in day-to-day project planning and implementation. Use of the logical/ results framework in project reporting.	The logical framework does inform daily planning and management. It is used as a framework for activities – planning and implementation. The logical framework is not so visible in reporting, particularly to the donor, which is heavily focused on activities. Outputs are visible in internal UNODC annual reporting, but what is not so visible is either outcome reporting or a focus on linkages between activities, outputs and outcomes in any reporting.	PS
Efficiency of resource use			
19. What measures have been taken during planning and implementation to ensure that resources are efficiently used?	Policy statements/ documents. Administrative systems. Financial admin systems. Budget (quality and use of).	There are four areas in which (a lack of) efficiency of resource use impacted on the project. <ul style="list-style-type: none"> The processes of implementation of the Umoja system delayed implementation of activities (including cancelling of some due to extensive delays). The implementation of Umoja included changes in how the project implemented project expenditure with Government, a) without addressing these changes with Government and b) in ways that are outside of the UNODC/ MOJ MoU. The use of the UNDP financial administration systems, when coupled with Umoja requirements, is inefficient in resource use. The project team is too small to have been able to focus across all designated six outcome areas and address the project and UNODC administrative and management requirements. 	PR DR PS S
20. To what extent have project	Financial admin systems.	Financial processes are transparent.	PR

resources been managed in a transparent and accountable manner?	Budget (quality and use of). Financial reports – accessibility.		DR PS S	
Efficiency of programme management				PUBLICATION TITLE HERE
21. How effective is the Project Steering Committee in overseeing and guiding the project?	Comments from steering committee members. Comments from other stakeholders. Comments in project reporting.	The PSC last met in 2014, and prior to that in 2011. While line management to the project is good, from MOJ's PSC personnel, the PSC itself does not provide guidance. It is noted that the Umoja implementation issues were not discussed with the PSC. There is no UNODC or donor representation on the PSC.	PR DR PS S	
22. Is results-oriented monitoring being used in project management? If so, is it being used effectively to address needed changes in design, and, or implementation?	Use of indicators. Use and analysis of results statements. Variations to design based on analysis of results.	See above at questions 16 and 19.	PR DR PS	
Impact				
23. What difference has the project made to beneficiaries? How can these differences, if any, be transferred to the upcoming programme GLO.ACT?	See project indicators above – they will be used here as well.	The trainers from central level (MOJ and OSPP), provincial and district level (POJ, Provincial and district office of Public Security, LWU, and Lao Youth Union) will be able to extend their training, if financial support becomes available. This extended training can, with inclusion of detailed updating on the TiP Law, cover the whole of Laos, and cover a wider range of stakeholders.	PR DR PS S	
24. Has the project pursued the possibility of assessing impact? Which provisions were made or could have been made, at the planning and implementation phase to assess change?	Visibility of impact consideration in reporting. Visibility of impact consideration in planning/ design.	There is no strong consideration of impact in planning or reporting. Potential for impact is understood, and commented on, but is not a focus of planning or reporting.	PR DR PS	
25. To what extent did the project contribute to the Sustainable Development Goals?	Visibility of SDGs in project reporting. Knowledge about and visibility of SDGs in project discussions.	As indicated above, the project is directly relevant to SDG 5.2. The SDG's are not, however, a focus of project design, implementation or reporting.	PR DR PS S	
26. Have there been any intended or unintended positive and negative long-term effects of	See project indicators above – they will be used here as well.	The Law will have long-term positive effects. The capacity-building (and indeed the CTG itself) will also have long-term positive effects.	PR DR PS	

project X26 on human trafficking (including on individuals and institutions), can be seen?			S
Sustainability			
27. To what extent will the benefits generated through the project be sustained after the completion of the project?	<p>Legislation. Policy frameworks. Strategies. All of the above both nationally and at Provincial level. Examples of formal/ semi-formal relationships between civil society and authorities.</p>	<p>As indicated at Question 26, and related to long-term positive effects:</p> <ul style="list-style-type: none"> The Law itself puts in place the legislative framework. Supporting documents and processes are still required. The funding and energy provided to build CTG, CLEP and LBA capacity are sustainable outcomes. <p>The work with CSOs and the relationships between civil society and local authorities has potential for sustainability. The work being done in radio stations requires continued external support. Work with victim support services has not been extensive enough to assess for sustainability. Cross-border (Laos/Thailand) agreements and relationships are potentially sustainable, although these are largely beyond the specific focus of X26. They can/ should be a focus of GLO.ACT.</p>	PR DR PS S
28. Are there additional measures that can be taken to ensure sustainability (also taking into consideration the new programme GLO.ACT)?		<p>Capacity-building within government agencies needs a national focus. Indeed, a widening of geographical focus to all Provinces, for all project initiatives is appropriate and will assist sustainability. The widening of focus in GLO.ACT to include people smuggling/ illegal migration is relevant to Laos.</p>	PS S
29. To what extent have the project stakeholders and beneficiaries taken ownership of the objectives to be achieved by the project?	<p>Examples of leadership. Examples of formal/ semi-formal relationships.</p>	<p>OSPP demonstrates leadership in terms of the development of capacity-building processes, as well as in the capacity-building itself. MOJ provides good overall direction to the project's initiatives. Ownership at the provincial and local levels is strong.</p>	PR DR PS S
30. Are stakeholders and beneficiaries committed to continuing working towards project objectives once the project has ended?	<p>Examples of leadership. Examples of formal/ semi-formal relationships.</p>	See above.	PS S
Partnerships and cooperation			
31. How much have the activities benefited from the expertise of and cooperation with other	<p>Examples of exchange. Visibility of exchange/ inputs in</p>	In partnership with UNDP, Provincial and District level, the project had extended their outreach to communities through the Radio program.	PR DR

	relevant international/regional and non-governmental organizations?	reporting. Examples of cooperation/coordination.		PS S	
32.	To what extent has the project coordinated activities with the National Commission on Anti-Human Trafficking and other national counterparts?	Examples of exchange. Visibility of exchange/ inputs in reporting. Examples of cooperation/coordination.	The project coordinates with Government agencies through the MoU with MOJ. The National Commission on Anti-Human Trafficking is the main leading agency in development of the TiP law.	PR DR PS S	PUBLICATION TITLE HERE
33.	To what extent and in what way did the project cooperate with other UNODC Human Trafficking projects?	Examples of exchange. Visibility of exchange/ inputs in reporting. Examples of cooperation/coordination.	No cooperation was visible in project documentation/ reporting nor discussed in field enquiry.	PR DR PS S	
Human Rights					
34.	How were the activities designed to align with Human Rights issue?	Visibility of a rights-based approach in design. Visibility of a rights-based approach in implementation. Visibility of a rights-based approach in reporting.	The project is, of course, specifically focused on addressing the abuse of human rights, in the form of its direct focus on eliminating violence against all women and girls in the public and private spheres, including trafficking, sexual, and other types of exploitation. However, while this is a clear focus of the project's activities, the actual expression of the intent, priority and gravity of such a focus is not as clear in documentation. As a result, a 'human rights based approach' is not as clear as might be desirable in the project's design, implementation and reporting.	Prodoc PS S	
35.	To what extent has the project contributed to the Human Rights dialogue with stakeholders and beneficiaries?	Visibility of a rights-based approach in design. Visibility of a rights-based approach in implementation. Visibility of a rights-based approach in reporting.	See above. This is one area in which the lack of focus on a human rights based approach in project design and processes would benefit from a much stronger emphasis, as the focus currently is more technical and less rights based than is desirable. A rights focus is visible, but all stakeholders and beneficiaries would benefit from a much stronger focus in this area.	Prodoc PR DR PS S	
36.	Has the Universal Periodic Review (UPR) (under the human trafficking part of the UPR) been discussed among government and international agencies for the response?		The UPR is an item of discussion between project stakeholders and the project itself.	Prodoc PR DR PS S	
Gender					
37.	To what extent has gender	Visibility of a gender-focused	See questions 34 and 35 above. The comments there are also relevant here.	Prodoc	

been mainstreamed into project activities?	approach in design. Visibility of a gender-focused approach in implementation. Visibility of a gender-focused approach in reporting.	The project does not address gender mainstreaming in project activities, although the project has considered the aggregation of gender data in project reports, for example in reporting on the number of female participants in certain project activities.	PR DR PS
38. To what extent are project activities tailored to the needs of gender equality (including marginalised groups, etc.)?	Visibility of a gender-focused approach in design. Visibility of a gender-focused approach in implementation. Visibility of a gender-focused approach in reporting.	See above.	Prodoc PR DR PS S
39. What measures have been taken to ensure and foster the inclusion of women and other marginalised groups in the activities of the project?	Visibility of a gender-focused approach in design. Visibility of a gender-focused approach in implementation. Visibility of a gender-focused approach in reporting.	See above.	Prodoc PR DR PS S
Lessons learned			
40. What lessons can be learned from the project implementation in order to improve performance, results and effectiveness in the future (specifically taking into consideration the new programme – GLO.ACT)?		More consideration on participation from the project Government counterparts during planning, implementation, M&E, and project modification. Project needs more emphasis on mainstreaming gender and human right into the project document and on-going planning.	PS S
41. What best practices emerged from the project implementation that could be replicable in other projects/programmes in the area of human trafficking?		The TiP law is the fundamental legal document. However, in order to implement the law, it needs further elaboration through the development of other necessary documentation such as implementation guidelines, strategies, etc. Community radio can be used for dissemination the law and related documents developed by the project	PS S
42. Can these best practices be realistically replicated in future UNODC initiatives in the field of human trafficking and migrant smuggling, particularly		Replication is possible, and recommended. The project's activities and intended outcomes can and should be expanded beyond the current geographical focus, as a way of ensuring sustainability of impact.	PS S

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