

Mid-Term Independent project evaluation of the project

**Capacity building for Member States of the
Southern African Development Community
(SADC) in the ratification and the
implementation of the United Nations
Convention against Transnational Organized
Crime and the additional Protocol to Prevent,
Suppress and Punish Trafficking in Persons,
Especially Women and Children**

XASS6g

Southern African Region

July 2017



UNITED NATIONS
New York, 2017

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ABBREVIATIONS AND ACRONYMS

APA	Africa Prosecutors Association
ECOSOC	Economic and Social Council (UN)
DRC	Democratic Republic of Congo
EU	European Union
IOM	International Organization for Migration
(J)TIP	Office to Monitor and Combat Trafficking in Persons (US Government)
MDG	Millennium Development Goal
MoI	Ministry of Interior
NAP	National Action Plan
ROEA	Regional Office Eastern Africa
ROSAFF	Regional Office Southern Africa
RP	Regional Programme
SADC	Southern African Development Community
SADC/TIPNet	SADC Trafficking in Persons Net
SARPCCO	Southern African Regional Police Chiefs Coordinating Organisation
SDG	Sustainable Development Goal
SoM	Smuggling of Migrants
SOP	Standard Operating Procedures
TiP	Trafficking in Persons
ToT	Training of Trainers
UNICEF	United Nations Children's Fund
UNODC	United Nations Office on Drugs and Crime
UNTOC	United Nations Convention against Transnational Organized Crime
UNV	United Nations Volunteers
USA	United States of America
VoT	Victim of Trafficking

EXECUTIVE SUMMARY

Trafficking of women, men and children continues to be a pervasive problem in Southern Africa. All fifteen Member States of the Southern Africa Development Community (SADC)¹ are affected as source, transit and destination countries of Trafficking in Persons (TiP), which takes place within countries as well as intra-regional, inter-regional and inter-continental. The United Nations Office on Drugs and Crime (UNODC) has since 2008 been implementing the project ‘Capacity building for Member States of the Southern African Development Community (SADC) in the ratification and the implementation of the United Nations Convention against Transnational Organized Crime and the additional Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children’ (XAS/S69) (hereinafter referred to as ‘the project’). The project has been initiated and implemented under the SADC Strategic Plan of Action on Combating Trafficking in Persons, Especially Women and Children (2009 – 2019) (hereinafter ‘the SADC Strategic Plan of Action’) since 2008, and, more recently, as part of UNODC’s Regional Programme (RP) ‘Making the Southern African Development Community (SADC) Region Safer from Crime and Drugs’ (2013-2016). With a total approved budget of USD 2,579,653.00, the project is expected to be completed on 30 September 2017.² It has predominantly been funded by the Office to Monitor and Combat Trafficking in Persons (TIP) of the US Government, while the Government of Austria also funded part of the project in the early stages of the project. This report presents the key findings, recommendations and lessons learned of the second independent mid-term project evaluation, which has been undertaken from November 2016 until February 2017.

The scope of this independent mid-term project evaluation is the above-mentioned project implemented from 01 December 2011 until 18 December 2016. All SADC Member States were covered by this evaluation. It was conducted for learning and accountability purposes, and the following evaluation criteria were considered in this evaluation: relevance, design, efficiency, partnerships and cooperation, effectiveness, impact, sustainability and human rights and gender. The evaluation also identified good practices and lessons learned to inform future design and programming activities of UNODC, and assessed the implementation of recommendations and lessons learned of the first independent mid-term project evaluation which covered 2008 to up to 2011.

This evaluation has been undertaken by means of a mixed method approach comprising a desk review, semi-structured interviews, an online survey and observation. Due regard has been given to collecting and reviewing sex-disaggregated statistics and gender-related information. A total of 67 documents were reviewed for this evaluation. A two-week mission was undertaken to South Africa, Zimbabwe, Botswana and Lesotho from 4 December to 18 December, 2016. A total of 36 face-to-face and telephone/skype interviews were conducted prior to, during and after the field mission, of which 19 were with female and 17 with male respondents. The online survey targeted participants of eight trainings and seminars held in 2015 and 2016, and the response rate was 20 percent. Several challenges were encountered, of which some were administrative in nature, which among others resulted in logistical delays and methodological changes to this evaluation.

¹ The SADC Member States are the following countries: Angola, Botswana, Democratic Republic of Congo, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, Swaziland, United Republic of Tanzania, Zambia, Zimbabwe. (<http://www.sadc.int/member-states/>, consulted 17 January, 2017)

² UNODC, 2015b: 1

Main findings

This evaluation confirms that that the project is highly **relevant**. The project addresses the need to strengthen the response to human trafficking in the SADC region, and provided support to the ratification of/accession to and implementation of the additional Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children (hereinafter the TiP Protocol) of the United Nations Convention against Transnational Organized Crime (UNTOC) and the SADC Strategic Plan of Action. The project also contributed to the Millennium Development Goals (MDGs), in particular targets 5.2, 8.7 and 16.2, and the Sustainable Development Goals (SDGs), especially SDG 16. The project has been adapting over time in response to the changing legal and political context, and the focus has increasingly shifted towards implementation of the TiP Protocol considering that in 2015 all SADC Member States had acceded to or ratified the Protocol. The project is aligned with UNODC global and regional strategies, including sub-programme 1 of the UNODC Strategic Framework for 2016-2017 and the UNODC strategy 2012-2015, and its thematic programme ‘Countering Illicit Trafficking and Organised Crime 2011-2013’. The project also contributes to the first pillar ‘Countering Illicit Trafficking and Organised Crime’ of the RP for Southern Africa. Additionally, the new global project ‘Global Action to Prevent and Address Trafficking in Persons and Smuggling of Migrants’ (GLOT 67), which is implemented in South Africa, presents an opportunity to strengthen support to the Government of this SADC Member State.

The **design** of the project has evolved over time, and was developed in close cooperation with and participation of representatives of the donor and SADC Member States, with the grant documents specifying the objectives, main activities and target countries/entities. The annual joint planning activities with SADC and, for instance, IOM Zimbabwe, as well as regular engagements with beneficiary countries, further tailored project design, which has overall been adapted to TIP grants. However, with a project plan prepared in 2006, and with design adapted in subsequent project revisions, the overall vision of the project is not fully documented. Further information about sustainability, human rights and gender is, for instance, missing. The latest project revision does not reflect the completion of one of the TIP grants, the latest TIP grant and actual project team capacity. The link between the RP and the project seems clear at the outset, with the project being managed independently with its own monitoring and reporting system while feeding relevant data into the RP reporting mechanism. Limited capacity is available to enter and analyze monitoring data, which predominantly seemed to focus on the activity and output level based on pre-defined baseline data and targets. Data collected under the regional data management system are only to a limited degree used for monitoring purposes.

The project has been **efficient**. The project team has maximized inputs to the greatest extent possible, which has been supportive of the overall effectiveness of the project. In the period 2012-2016 the project team increased from two to four staff, with two UN Volunteers (UNVs) strengthening training and IT/data management capacity. At the time of this evaluation, the project team’s work was highly appreciated by all stakeholders. Considering the size of the project, the geographical scope and the relatively high number of training activities, the project management and technical advisor/trainer responsibilities combined in the international position led to a situation in which there was not enough time for administrative work and technical support for the regional data-management system, a situation which has been further compounded because of ongoing work for global projects and other office activities. Other inputs, such as in relation to training design, were also viewed as highly satisfactory, with generic UNODC training material being complemented with tailored resources on, for instance, the national legislative framework and practice. Yet project implementation was hampered by internal and external factors, including the introduction of Umoja, which is the new financial management system of the UN Secretariat, lengthy procurement processes and bureaucratic challenges during joint

activities with other agencies. Furthermore, political events, the rotation of counterparts, vetting and available capacity of SADC Member States also led to delays in implementation.

Partnerships have been initiated, nurtured and also strengthened under this project. This applies to regional and bilateral partnerships with all fifteen Member States of the SADC, the SADC Secretariat, international organizations, such as IOM and UNICEF, and regional and international networks, namely the Southern African Regional Police Chiefs Coordinating Organisation (SARPCCO) and the African Association for Prosecutors (AAPA). UNODC and the SADC Secretariat have synchronised their annual work plans to ensure coherence, and the level of coordination and related ownership of SADC has been viewed as highly satisfactory. Nevertheless, further efforts to enhance cooperation, including with respect to joint activities, was also noted by different stakeholders. Partnerships between UNODC and SADC Member States have been supported in varying degrees, which is particularly a consequence of their interest to further the implementation of the TiP Protocol. UNODC has been liaising closely with criminal justice actors and SADC focal persons in concerned Member States, and their network has expanded in most countries of the SADC region as a result of their work, and the ensuing trust and confidence accorded to them. These bilateral partnerships and the technical support provided by UNODC were highly valued by stakeholders. International organizations and civil society actors were regularly invited to training events, among others to share their expertise on victim protection and assistance. The positive working relationship with the donor has been nurtured by project results. Additionally, partnerships with UNODC offices were also supported by and supportive of the project, although a lesson learned is that these could benefit from more coordination.

The project has been **effective**, and has implemented recommendations given in the first mid-term evaluation, namely those on creating ownership and supporting the setting up of regional and national-level coordination and implementation structures. Respectively two and three SADC Member States have acceded to/ratified the UNTOC and the TiP Protocol in the period under evaluation, and several have also incorporated international obligations into national legislative, policy and operational frameworks. Angola was the last SADC Member State acceding to the TiP Protocol on 19 September, 2014, and thirteen governments had promulgated national legislation at the end of 2016 (of which some were supported under the project). Additionally, several countries had developed National Action Plans (NAPs) and/or Standard Operating Procedures (SOPs). The project also contributed to enhanced capacity and effectiveness of criminal justice practitioners to identify victims and investigate, prosecute and adjudicate the crime of TiP. A total of 309 criminal justice officers were trained from 01 January 2013 to 30 June 2016. Data confirm that participants were able to apply their newly acquired knowledge and skills to a large extent, although the continued need for basic and tailored capacity-building activities was also highlighted during this evaluation. Additionally, two SADC/UNODC regional focal person conferences were held in respectively 2015 and 2016, which were considered highly valuable to foster regional-level information-sharing, coordination and networking, and two litigation surgeries for prosecutors from the SADC region in 2016. An expert witness for the first TiP case judgment in Namibia was also supported under the project. The regional data management mechanism was set up in 2014 and 2015, and six countries have thus far uploaded data into the online system. Further work is however necessary on capacity-building on TiP, data collection/entry mechanisms and coordination. Only some preparatory work related to the establishment of Task Forces at the national and regional level was undertaken in Zimbabwe in 2016. This is expected to gather pace in 2017, although it is rather optimistic to expect this component to be completed by the end of 2017. The project has contributed to the objective ‘SADC Member States improve investigation, prosecution and adjudication of the crime of TiP and enhance identification of victims’ due to changes in legislative frameworks and practice, and cases have been investigated, prosecuted and adjudicated following UNODC training.

Several areas of **impact** have been identified during this evaluation. Partnerships were further strengthened and coordination with different actors has been intensified in this phase, including between UNODC and SADC Secretariat, UNODC and IOM Zimbabwe, representatives including prosecutors of all SADC Member States at the regional and bilateral level as well as within SADC Member States. This has led to informal regional networks. One unintended impact was that limited funds for particular activities led to the joint organization of activities with the SADC Secretariat which further contributed to an already strong partnership with this regional body.

Sustainability has been addressed by means of creating and supporting ownership of project results, by building on the momentum in the SADC region, and by tailoring activities to priorities and needs identified by beneficiary States. The long-term nature of the project has underpinned this by means of a staged approach which focuses on developing national legislative and policy framework followed by capacity-building in different areas. Only limited data is however available on the trainees' application of their acquired knowledge and skills, including of those participating in Training of Trainers (ToTs). The lack of financial means and further capacity-building opportunities are factors limiting training activities undertaken by participants of these ToTs. Although this training is intended to promote capacity building activities undertaken by SADC Member States, the absence of a clear training component in ToT curricula, and the fact that not all trainees have sufficiently advanced technical capacity after the ToT, is an area of concern. Additionally, the project could give more attention to sustainability by providing support to the institutionalization of curricula at the national and regional level, and training by existing training institutes. Moreover, further work is needed to strengthen the regional data management system and address questions regarding ownership. As the project has only one donor, and as the SADC Secretariat's EU-funded project on TiP is expected to be completed in 2017, the risk is a situation in which less technical support could be available in Southern Africa.

Human rights and gender have been mainstreamed in the project, although this could be done more explicitly in strategic project documents and internal progress reports. UNODC consistently applied the victim-centred approach, and emphasized fair trial principles in training and other activities. Gender was mainstreamed in project activities in different ways, and data confirmed that trainees were recommended to use female interlocutors, such as female police officers, for interviewing female victims within an environment in which most law enforcement officers are male. Sex-disaggregated statistics were collected, but not shared in internal progress reports, and at times the perpetuation of gender stereotypes was observed during this evaluation. A gender mainstreaming strategy is missing for the project.

In **conclusion**, as the guardian of UNTOC and the TiP Protocol, UNODC occupies a particular niche in strengthening the prevention of and response to human trafficking. The project has been able to successfully build on this position and can be seen as highly relevant and effective due to UNODC's close cooperation with the SADC Secretariat, the interest of most SADC Member States and in-house capacity and expertise. Partnerships have been nurtured and strengthened under the project, and the SADC Secretariat, SADC Member States and the donor have continued to show confidence in UNODC's technical support. The project team worked hard to implement all activities and respond to requests of counterparts, but available capacity nevertheless impacted on efficiency in addition to other reasons, such as organizational change in UNODC with the introduction of Umoja as well as external factors. A review of team capacity is necessary in order to keep the momentum of the past couple of years, be able to continue to meet existing needs and expectations, and continue to nurture confidence and trust in UNODC's performance. A greater focus on sustainability and gender mainstreaming could further benefit the project. The ongoing process of developing a more comprehensive framework on smuggling and TiP in the SADC region, and an evolving technical assistance architecture in the field of migration could potentially support project achievements in the short and long term.

Recommendations made to UNODC include several given to the project team to continue with the current approach, to further synchronize activities and communication and support greater efficiency in the implementation of joint TiP activities with the SADC Secretariat and to strengthen coordination between UNODC ROSAF and the UNODC Regional Office East Africa (ROEA) on activities implemented in SADC Member States that belong to the latter office. Additionally, several recommendations have been made with respect to team capacity, such as to A) Review project team size and technical capacity to meet current project capacity needs; B) Consider developing a small pool of expert trainers, and; C) Consider recruiting short-term IT and data analysis expertise to strengthen the regional data management system. Several recommendations were also included on training, such as to A) Continue and expand multi-disciplinary/basic-level but also in-depth training; B) Review the objectives and practice of the ToT training; C) Continue with the litigation surgeries for prosecutors, and consider strengthening the contribution of the judiciary to these surgeries; D) Increase efforts to building capacity of the judiciary; E) Provide technical support to national and regional-level law enforcement training institutes and universities by assisting with the development of training curricula, ToTs and supporting training. The project team is also advised to prepare a UNODC regional TiP/SoM strategy in order to clarify the long-term vision and strategy underlying the project, and to support fundraising activities. UNODC headquarters has further been recommended to review the practice on giving management and other responsibilities of global programmes to project staff in the field without providing adequate capacity.

Lessons learned and good practices have been another outcome of this evaluation. Lessons learned were found with respect to the necessity to plan budgets and project team capacity realistically, dedicate sufficient time to designing technical tools, such as a data management system, and consider also different technical capacities and available resources in the planning phase. Several good practices emerged from the implementation of this project, including the joint planning activities between UNODC and other organizations to ensure coherence and avoid duplication and regional meetings that led to the creation of informal regional networks. Additionally, the project team used external expertise to tailor training to national contexts, widen exposure of these trainees as well as supported an expert witness in a first case judgement in Namibia in order to set a precedent for future cases. The lessons learned given in the first mid-term project evaluation have to a large extent been utilized in the second phase, including those on participatory project planning with SADC Member States and the assessment of existing implementation and coordination structures at an early stage in project design.

SUMMARY MATRIX OF FINDINGS, EVIDENCE AND RECOMMENDATIONS

Findings ³	Evidence (sources that substantiate findings)	Recommendations ⁴
Key recommendations		
<p>Key stakeholders were highly satisfied with the execution for this project, including the participatory planning of activities, the level of coordination and communication, and the fact that UNODC has been able to gain trust and confidence of partner countries. One of the main recommendations of the 2012 mid-term evaluation has been addressed as a result of UNODC’s approach.</p>	<p>Desk review Interviews Online survey</p>	<p>Continue with the current participatory approach to the design and implementation of activities, the level of coordination and communication with key stakeholders (UNODC project team).</p>
<p>Since 2013, UNODC and the SADC Secretariat have been meeting regularly to harmonize approaches, synchronise annual work plans and ensure that activities under the SADC Strategy of Action are implemented effectively and efficiently in close cooperation and with mutual support to each other’s activities. The different bureaucratic systems and the joint planning activities were seen to provide opportunities that could be further capitalized on.</p>	<p>Desk review Interviews</p>	<p>Continue and further synchronize approach, activities and communication, and support greater efficiency in the implementation of joint TiP activities in the UNODC-SADC Secretariat (UNODC project team).</p>
<p>UNODC ROSAF covers eleven countries of the SADC region, while the remaining four countries are part of the UNODC ROEA region. As the project is managed by the UNODC regional office in Pretoria, the design and implementation of activities requires coordination with the regional office in Nairobi. This coordination has been viewed as relatively weak.</p>	<p>Desk review Interviews</p>	<p>Strengthen coordination between UNODC ROSAF and UNODC ROEA about project-related activities in SADC Member States that fall under UNODC ROEA, including by providing timely information on design and implementation schedules (UNODC project team).</p>
<p>Project team capacity is limited, especially with project management and technical advisor/trainer capacities combined in the international position. The team is overstretched at the senior</p>	<p>Desk review Interviews</p>	<p>A) Review project team size and technical capacity to match project needs with project capacity; B) Consider developing a small pool of expert trainers to support training in the</p>

³ A finding uses evidence from data collection to allow for a factual statement.

⁴ 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>level for that reason. Additionally, short term expertise seems needed for the regional data management system which has not matured sufficiently yet. Concern has also arisen with respect to the practice of giving extra duties to project staff to manage particular components of global programmes, even though they were neither informed well in advance about these responsibilities nor have time considering their existing work load.</p>		<p>region; C) Consider recruiting short term IT and data analysis expertise to strengthen the regional data management system (UNODC project team).</p> <p>D) Review the current practice of giving responsibilities of global programmes to staff in the field in order to improve coordination and inter-UNODC working relations; E) Give adequate staff capacity to manage the South Africa component of GLOT67 (UNODC headquarters – GLOT67 project management).</p>
<p>The project’s capacity-building work has been highly appreciated by multiple stakeholders, including the regional litigation surgeries for prosecutors. There is evidence that it has made an impact, and supported the investigation and prosecution of traffickers. The inclusion of the judiciary has been viewed as the weakest link in capacity-building activities, and is also missing in the litigation surgeries. An expert witness was supported under the project for the first TiP case in Namibia in order to ‘mentor’ the judge. This judgment will influence future rulings, and is therefore in the interest of many stakeholders.</p>	<p>Desk review Interviews Online survey</p>	<p>A) Continue and expand multi-disciplinary/basic-level but also in-depth training; B) Continue with the litigation surgeries for prosecutors, and consider strengthening the contribution of the judiciary to these surgeries; C) Give sufficient attention to building capacity of the judiciary; D) Expand the option to support specific expert expertise, such as by means of providing an expert witness (UNODC project team).</p>
<p>Because of limited financial means and other resources, basic and multi-disciplinary trainings have often been referred to as ToT, even though these not always included the actual training of trainers. Additionally, the risk is that participants of these training sessions start conducting training while not being sufficiently advanced on the issues. At the same time, the project could have a stronger focus on sustainability and provide further support to the development and institutionalization of training curricula and training of national and regional training bodies.</p>	<p>Desk review Interviews Online survey</p>	<p>A) Review the objectives of the ToT training; B) Support capacity-building of national and regional-level training institutes and universities by means of curricula development, and supporting trainers and training activities (UNODC project team).</p>
<p>The regional data management system is still facing ongoing challenges at the national and regional level. In partner countries, different governance models have emerged. Some difficulties can be addressed by the project, but other ongoing challenges may be beyond the sphere of influence of UNODC and</p>	<p>Desk review Interviews</p>	<p>Conduct an independent participatory assessment of the regional data management system in order to get a more comprehensive overview of its main results and challenges, and to determine whether/what additional capacity is needed to develop it into a mature system, including with respect</p>

<p>SADC. Additionally, the focus of the system has been on data collection, entry and uploading, while the analysis component and issues related to ownership seems to have received less attention.</p>		<p>to data analysis/presentation (UNODC project team).</p>
<p>Project design has taken into regard the need to set up and support coordination bodies at the national and regional level. The setting up of operational Task Forces are part of this effort, although implementation is behind schedule. Thus, although the recommendation of the 2012 mid-term evaluation in this field has been taken up, actual results were still missing at the end of 2016.</p>	<p>Desk review Interviews</p>	<p>Make a concerted effort to make up for the delays, gather lessons learned from the piloting phase and expand implementation of the operational Task Forces (UNODC project team).</p>
<p>UNODC policy and practice is to provide concise progress reports on substance to donors. The donor appreciates a high level of detail in these reports, which is of pivotal importance for advocacy to secure further funding for this project,</p>	<p>Desk review Interviews</p>	<p>Continue providing comprehensive, detailed narrative reports to the donor (UNODC project team/headquarters).</p>
<p>The project is leaning on the financial support of only one donor. This has worked well thus far considering the continued financial support available to the project due to its positive results. At the same time, a donor base with only one donor is relatively risky. Additionally, the project document (the project idea of 2006) is outdated, and a document giving a more long-term vision is missing. Key stakeholders in the SADC region also seem to have the desire for a more inclusive approach by focusing on TiP and SoM.</p>	<p>Desk review Interviews</p>	<p>Develop a regional UNODC TiP/SoM strategy to clarify the overall direction of the project as well as support fundraising activities. (UNODC project team)</p>
Important recommendations		
<p>The latest project revision does not reflect the receipt of a new US TIP grant, changes in project team capacity and the completion of one of the grants. Additionally, considering the fact that a comprehensive project document was never prepared for the project, a document which delineates the overall vision is missing, Outcomes have been accompanied by output-level indicators only.</p>	<p>Desk review Interviews</p>	<p>Prepare a more extensive project revision that reflects the new grant(s), actual project team capacity & related planning figures, provides outcome-level indicators, considers sustainability, human rights and gender and also presents the overall, long-term vision of the project (UNODC project team).</p>
<p>A good practice was noted in Namibia where UNODC supported the ToT by means of covering the venue and travel costs of participants and by having the UNODC capacity building officer participate in the training to monitor and provide support if needed.</p>	<p>Desk review Interviews Online survey</p>	<p>Consider financially supporting ToT follow-up activities at the national level by the project to those governments with in-depth understanding of the subject matter (UNODC project team).</p>

<p>One regional UNODC ROSAF project supports six small UNODC field offices in the region. However, these offices only occasionally provide support to the project. Although this practice is understood by UNODC, this may not always reflect well on the organization as other actors could interpret it in a less favorable light.</p>	<p>Desk review Interviews</p>	<p>Review existing coordination mechanisms between UNODC ROSAF and UNODC field offices in the Southern Africa region to examine mechanisms for further cooperation (UNODC project team/UNODC ROSAF).</p>
<p>The monitoring system based on collecting activity and output-level data is functioning relatively well. However, opportunities to collect more qualitative information, as well as data on effectiveness and impact, are only created to some degree, and if available, then weak in the area of data entry and analysis because of available capacity. Updated monitoring information about implementation structures and processes is sometimes available, but there is space to implement the recommendation in the field of data collection given in the 2012 mid-term evaluation more thoroughly.</p>	<p>Desk review Interviews</p>	<p>Strengthen the monitoring system by means of regularly obtaining process and government structure-related information, developing outcome level indicators, corresponding tools to collect such data and select and design user-friendly, efficient data management systems to support analysis (UNODC project team).</p>
<p>Sex-disaggregated statistics of trainees have been collected by the project team and used in donor reporting. However, sex-disaggregated statistics have not been provided in UNODC progress reports, and as data per training per professional group is missing, it is more difficult to develop strategies to possibly enhance the gender balance of capacity-building activities, and design activities to advance gender equality.</p>	<p>Desk review Interviews</p>	<p>Provide sex-disaggregated statistics per training per professional group in UNODC progress reports in order to get a better overview of the proportion of male and female trainees per training/professional group in order to provide data for strategic planning, such as by means of developing a gender mainstreaming strategy (UNODC project team).</p>
<p>Gender mainstreaming moves beyond the collection of sex-disaggregated data of trainees, and is a means to promote gender equality in policies, projects and activities. The absence of a gender mainstreaming strategy for the project is a missed opportunity to give more attention to the empowerment of women and gender quality, give information about what this actually entails for this project (e.g. avoiding stereotypes) and provide practical tools to the project team and their partners.</p>	<p>Desk review Interviews</p>	<p>Prepare a comprehensive project gender mainstreaming strategy, which is further operationalized in an action plan with benchmarks (UNODC project team).</p>

I. INTRODUCTION

Background and context

Trafficking of women, men and children continues to be a pervasive problem in Southern Africa. All fifteen Member States of the Southern Africa Development Community (SADC)⁵ are affected as source, transit and/or destination countries. Trafficking in persons (TiP) in the SADC region follows four patterns, namely internal, intra-regional, inter-regional and inter-continental. South Africa is the primary destination for victims of trafficking (VoTs). It is also a transit country for inter-continental and inter-regional TiP due to its developed air transport system and long coastal line which facilitates access to maritime transport.⁶

The SADC policy brief of 2016 describes the following types of exploitation in the SADC region:

‘victims of TIP [...] are mostly subjected to sexual exploitation, labour exploitation and forced labour. Female victims, especially girls are more likely to be subjected to commercial sexual exploitation. Forced marriage of girls and women is reportedly being practiced in some countries in the SADC region’. [...] Forced labour and labour exploitation take place in a number of sectors and economic activities, including agriculture (men and boys), mining (men and boys), domestic servitude (women and girls), livestock herding (boys), informal trade (children), and fishing (men and boys). There is also a huge concern particularly for countries sharing borders with conflict zones that children can be exploited as child soldiers (Shelley, 2010: 50), or sex slaves by militias’.⁷

Other sources, such as the biennial UN global report of trafficking in persons and the annual global reports of the Office to Monitor and Combat Trafficking in Persons (TiP) of the United States (US) Government, confirm these trends. The scope of the problem is however difficult to quantify due to the hidden nature of the crime and the fact that very few cases come to the attention of authorities as law enforcement and judicial capacities continue to be limited, and services available to VoTs scarce. Only some traffickers are being prosecuted and convicted, and a minimal number of victims receive protection and assistance.

Over the years, SADC Member States have come to recognise TiP as a problem in the region. At the onset of the period under evaluation (commencing 01 December 2011), 12 out of 15 SADC Member States had acceded to or ratified the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children (hereinafter the “TiP Protocol”) of the United Nations Transnational Organized Crime Convention (UNTOC). By 2015, also Swaziland,

⁵ The SADC member states are the following countries: Angola, Botswana, Democratic Republic of Congo, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, Swaziland, United Republic of Tanzania, Zambia, Zimbabwe. (<http://www.sadc.int/member-states/>, consulted 17 January, 2017)

⁶ SADC, 2016: 3

⁷ SADC, 2016: 3

Zimbabwe and Angola had acceded to/ratified this Protocol, with the latter country being the last Member State to accede on 19 September 2014.

Table 1: Year of accession/ratification of SADC Member States to UNTOC and the Trafficking Protocol⁸

SADC Member States	UNTOC	TiP Protocol
Angola	01.04.2013	19.09.2014 (a)
Botswana	29.08.2002	29.08.2002
Democratic Republic of Congo	28.10.2005 (a)	28.10.2005 (a)
Lesotho	24.09.2003	24.09.2003
Madagascar	15.09.2005	15.09.2005
Malawi	17.03.2005	17.03.2005 (a)
Mauritius	21.04.2003	24.09.2003 (a)
Mozambique	20.09.2006	20.09.2006
Namibia	16.08.2002	16.08.2002
Seychelles	22.04.2003	22.06.2004
South Africa	20.02.2004	20.02.2004
Swaziland	24.09.2012	24.09.2012
United Republic of Tanzania	24.05.2006	24.05.2006
Zambia	24.04.2005 (a)	24.04.2005 (a)
Zimbabwe	12.12.2007	13.12.2013

In 2009, SADC Member States adopted the SADC Strategic Plan of Action on Combating Trafficking in Persons, Especially Women and Children (2009 – 2019) (hereinafter “the SADC Strategic Plan of Action”). The United Nations Office on Drugs and Crime (UNODC) Regional Office Southern Africa (ROSAF) now covers eleven of the fifteen SADC Member States, namely Angola, Botswana, the Democratic Republic of the Congo (DRC), Lesotho, Malawi, Mozambique, Namibia, South Africa, Swaziland, Zambia and Zimbabwe.⁹ The other four Member States of SADC, namely Madagascar, Mauritius, the Seychelles and the United Republic of Tanzania, fall under the UNODC Regional Office in Eastern Africa (ROEA).¹⁰

The SADC Strategic Plan of Action provided the framework for UNODC ROSAF to design and implement a regional project aimed at building the capacity of SADC Member States in the ratification and implementation of UNTOC and the additional TiP Protocol. The project ‘Capacity building for Member States of the Southern African Development Community (SADC) in the ratification and the implementation of the United Nations Convention against Transnational Organized Crime and the additional Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children’, with project code XAS/S69, started in 2008, and has evolved and expanded since then to meet the interests of Member States and match available

⁸ www.unodc.org; SADC Secretariat, 2016a

⁹ UNODC ROSAF was established in 1997 (<https://www.unodc.org/southernafrica/en/sa/about.html>, consulted 17 January, 2017)

¹⁰ <https://www.unodc.org/easternafrica/en/about-unodc-eastern-africa/index.html>, consulted 17 January, 2017.

capacity and funding. More recently, the project has been implemented within the overarching framework of UNODC's Regional Programme (RP) 'Making the Southern African Development Community (SADC) Region Safer from Crime and Drugs' (2013-2016).

In close cooperation with the SADC Secretariat, UNODC has assisted SADC Member States in strengthening their technical and legal capacity to accede to/ratify the TiP Protocol, as well as in drafting, promulgating and implementing national legislation, policy frameworks and national action plans (NAPs) to prevent, suppress and prosecute acts of TiP. Project outcomes focus on drafting comprehensive national legislation, developing corresponding plans of action and strengthening national coordination mechanisms. The project has also provided support in building data collection capacities in the region in order to facilitate decision-making and evidence-based planning. Furthermore, the project builds capacity of criminal justice practitioners on the identification, investigation, prosecution and adjudication of TiP offences.

Table 2 Overview US TIP grants considered during this evaluation¹¹

US TIP Grant number/ ADA Grant Number	Period	UNODC grant number	Committed	Year committed	Year start collection amounts	Year completed collection
S-SGTIP-11-GR-0043*	12-22-2011-30-06-2016	S1-32FSB-000015 ¹²	USD 200,000	2011	2012	2016
		S1-32FSB-000015 ¹³	USD 550,000	2012	2013	2016
S-SJTIP-13-GR-1035	10/01/2014-09/30/2017	S1-32FSB-000016 ¹⁴	USD 1,000,000	2014	2015	Ongoing (Sep 2017)
S-SJTIP-15-GR-1008	10/01/2015-09/30/2017	S1-32FSB-000017 ¹⁵	USD 400,000	2015	2016	Ongoing (Sep 2017)

* Amended to incorporate the amount of USD 555,000

The project has been funded by the governments of United States of America (USA) and Austria with a total approved budget of USD 2,579,653. The phase 2008-2011 was evaluated in 2012, which also covered the funding provided by Austria. The 01 December 2011-18 December 2016 phase, which will be covered by this independent mid-term project evaluation, has predominantly

¹¹ The US TIP grant USA801-07 (USD 272,350), which was completed in 2012, will not be considered here. Furthermore, one new US grant (S-SJTIP-16-CA-1007) of USD 750,000.00 was awarded on 1 December 2016 for a three-year period to build capacity of the INTERPOL Regional Bureau for Southern Africa to support SARPCCO Member States in undertaking victim-centred investigations and prosecution of TiP cases.

¹² This is the new Umoja grant number. The number used before the introduction of UMOJA was USA869-11

¹³ This is the new Umoja grant number. The number used before the introduction of UMOJA was USA893-12

¹⁴ This is the new Umoja grant number. The number used before the introduction of UMOJA was USA973-14

¹⁵ This is the new Umoja grant number. The number used before the introduction of UMOJA was USA998-xx.

been supported by three US grants (with the following Umoja numbers: S1-32FSB-000015; S1-32FSB-000016; and S1-32FSB-000017). The first of the three grants (S1-32FSB-000015) considered here provided resources from 2012 onwards, and has recently been completed. The second grant of USD 1,000,000 was received in 2014 and the third of USD 400,000 in 2015. The last UNODC project revision was undertaken in 2015 following receipt of these grants, with extension of the project until September 2017.¹⁶

Table 3 Overview Project Revisions

Project revision	New Funds	Overall Budget (Revised)	
		USD 454,800	December 2011
1 December 2011	USD 277,289.00	USD 732,089 (USD 632,764 given in project revision 2013)	December 2013
24 April 2013	USD 550,000.00	USD 1,182,764.00 (1,182,72 given in project revision 2015)	December 2015
SD July 2015	USD 1,396,981.00	USD 2,579,653.00	September 2017

One of the requirements of the donor is that each grant is subject to an evaluation. This prompted the initiation of this independent mid-term project evaluation in 2016. As these grants cover activities that are interlinked and form an integral part of the ongoing project, the evaluation has been termed mid-term and covers all three grants up to 18 December 2016. The evaluation was undertaken from November 2016 to February 2017 in the Southern African region. The evaluation ToR was prepared for an evaluation team comprising an international evaluation team leader and a national expert. For different reasons, including the expected issuance of the contract of the local expert in mid January 2017, the evaluation was only undertaken and completed by the evaluation team leader (see for further information the section on evaluation methodology).

Evaluation scope and objectives

The scope of this independent mid-term project evaluation is the project ‘Capacity building for Member States of the Southern African Development Community (SADC) in the ratification and the implementation of the United Nations Convention against Transnational Organized Crime and the additional Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children’ (XAS/S69) from 01 December 2011 until 18 December 2016. The evaluation covered in particular Angola, Botswana, Malawi, Lesotho, Namibia, Mozambique, Seychelles, Swaziland, and Zimbabwe which are the beneficiary countries under the donor awards in this period, as well as *ad hoc* assistance provided to other SADC Member States. The main stakeholders are UNODC, the SADC Secretariat, SADC Member States and the donor.

This evaluation has been undertaken to facilitate learning and ensure accountability. The following evaluation criteria were considered: relevance, design, efficiency, partnerships and

¹⁶ The evaluation ToR notes that ‘the project has since been extended to September 2017 and the budget has increased by \$1,400,000.00, hence the final evaluation is now planned for 2017’ (pp. 8). This budget amount is not the same as the two budgets given in the project revisions of 2013 and 2015.

cooperation, effectiveness, impact, sustainability and human rights and gender. The evaluation also identified good practices and lessons learned to inform future design and programming activities of UNODC, and reviewed the implementation of recommendations given to UNODC and lessons learned of the 2012 mid-term project evaluation.

Evaluation Methodology

This independent mid-term project evaluation has been undertaken by means of a mixed method methodology comprising a desk review, semi-structured interviews, an online survey and observation. Data collection on the basis of different methods and sources allowed for their triangulation during the analysis phase of this evaluation. The desk review, semi-structured interviews and the online survey were used to obtain, review and/or analyze data related to all evaluation criteria. During the data collection and analysis phases due regard has been given to collecting and reviewing sex-disaggregated statistics and gender-related information.

The desk review comprised different types of documents and sources. Documents included donor grant documentation and UNODC donor reports, UNODC project documents, including project revisions and progress reports, the UNODC ROSAF RP 2013-2016; the XAS/S69 2012 evaluation report and SADC documentation. Other sources considered during this evaluation were TIP annual reports, and primary sources such as legislation, action plans, and SOPs prepared with UNODC support. A total of 67 documents were reviewed for this evaluation.

A two-week mission was undertaken to South Africa, Zimbabwe, Botswana and Lesotho from 4 to 18 December, 2016. The selection of these countries was made by means of the following criteria; Pretoria/South Africa as the seat of UNODC ROSAF, and the three countries based on the level and type of assistance provided by the project, their relative proximity to South Africa and other reasons. Gaborone, the capital of Botswana, was for instance the seat of the SADC Secretariat. The Seychelles was initially included as mission country due to the level of support received during the past four years, but then omitted for logistical reasons.

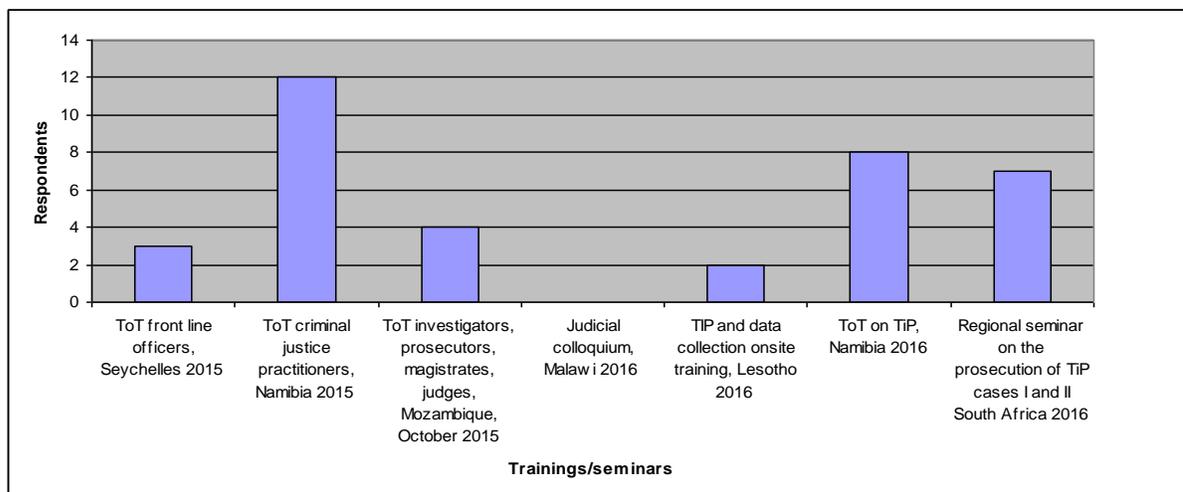
Face-to-face and telephone/skype interviews were conducted prior to and during the field mission to collect project-related and contextual information. Representatives of the following stakeholders were interviewed for this evaluation: UNODC ROSAF, UNODC ROEA, UNODC headquarters, SADC Secretariat, SADC trafficking focal persons and other government counterparts of SADC Member States, the donor (US TIP) and IOM. The evaluation criteria provided the overall direction to these interviews, and questions were tailored to the function and level and type of involvement of the respondents. All respondents spoke English, and independent interpretation was therefore not needed during this evaluation. A total of 36 interviews were held during this project evaluation, 19 with female respondents and 17 with male respondents.

The objective of the online survey was to assess the views of participants of trainings and seminars held in 2015 and 2016. A total of eight trainings and seminars were considered¹⁷, and

¹⁷ Regional seminar on the prosecution of trafficking in persons cases, 10-13 October 2016; Training on trafficking in persons (ToT), Zambezi region Katima Mulilo, 27 June-1 July 2016; TIP and data collection onsite training, Lesotho, 20-21 June 2016 or 23-24 June 2016; Judicial colloquium, Sunbird Nkopola Lodge, Malawi, 21-22 April 2016; Regional seminar on the prosecution of trafficking in persons cases, 8-10 March 2016; Training of trainers investigators, prosecutors, magistrates, judges, Mozambique, 27-29 October 2015; ToT criminal justice practitioners, Swakopmund, Namibia, 24-27 August 2015; ToT front line officer Beau Vallon Bay, Seychelles, 4-6 August 2015.

their selection was due to the availability of contact information of participants.¹⁸ The trainings were either targeted towards one professional group (e.g. law enforcement officers, prosecutors or judges and magistrates) or to front line officers of a range of different professional backgrounds. Two regional prosecutor ‘surgeries’ held in South Africa in 2016 had to a large extent the same participants. The questionnaire was prepared in English and Portuguese, and covered different aspects of the training, and – most importantly for this evaluation – the extent to and ways in which acquired skills and knowledge were used after completion of the training. The total population size was 138. The response rate was 20 percent (28 respondents), with completely filled-in forms received from Lesotho (2), Mozambique (4), Namibia (14), Seychelles (3), Swaziland (3), Mauritius (1) and South Africa (1). The response rate can partially be explained by the fact that law enforcement officials in the SADC region often have limited access to internet/computers, and that communication with judges and magistrates is often taken care off by their staff. Over one third (39 percent) of the respondents were prosecutors, which reflects the emphasis placed on specialized training and support given to this professional group in 2016. Eighteen respondents were female and nine were male (one respondent had provided no answer) These data were triangulated with data obtained during interviews and the desk review.

Graph 1: Number of respondents per training/seminar online survey



Qualitative and quantitative analysis of all collected data has been undertaken following the field mission and receipt of survey data. Triangulation of sources has been used for qualitative data, and statistical analysis for quantitative data, such as with respect to financial project information and data of training courses and seminars.

Several challenges were encountered during this evaluation, of which some were administrative in nature and the consequence of the introduction of the new financial system Umoja. The late

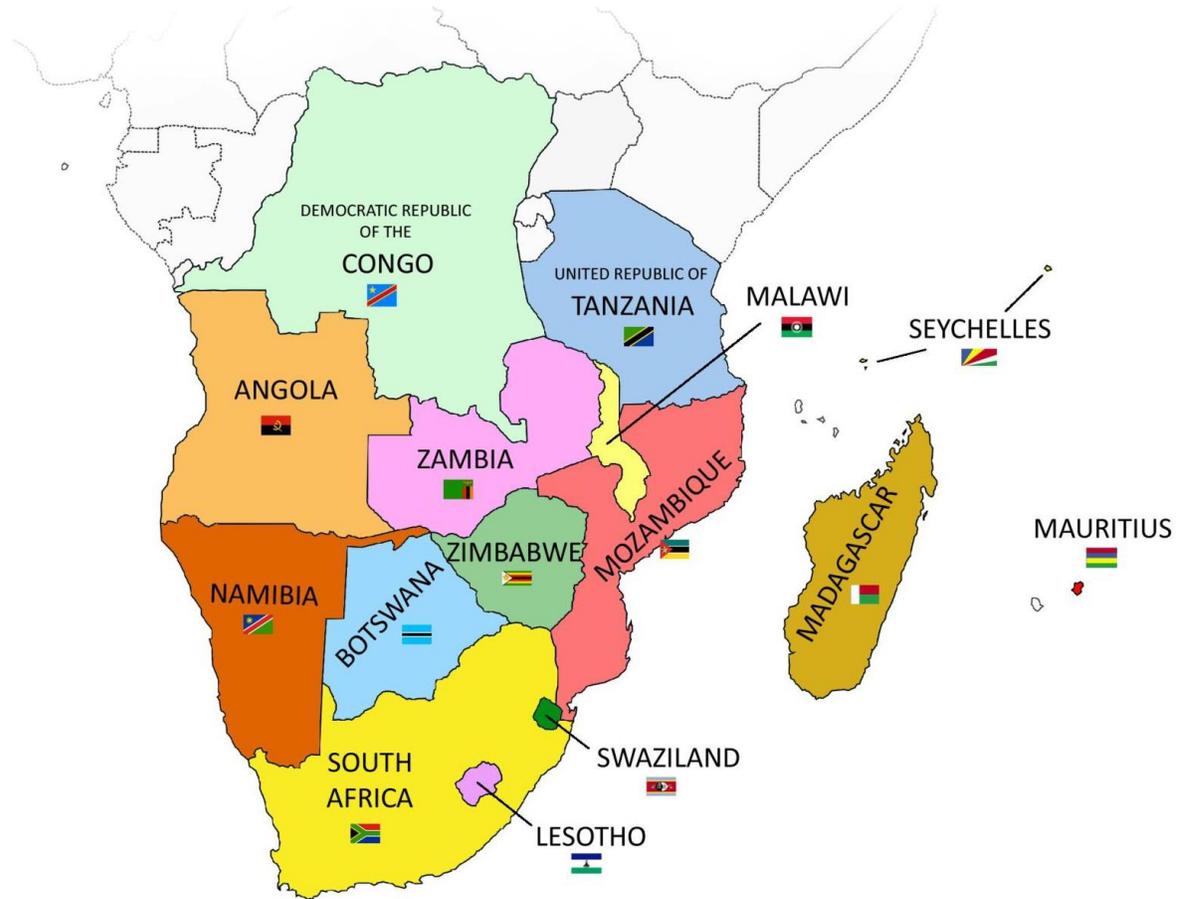
¹⁸ The survey size was more limited than the total number of participants given in UNODC progress reports. Not all training participants had left their email address with UNODC, and only those were included in the survey who had attended all days of the concerned training/seminar (except in the case of the Seychelles training in 2015 as signatures had not been obtained on the third day of the training). Additionally, as the email addresses were handwritten, not all could be deciphered and/or had been updated after the concerned training. A relatively high number of emails bounced back for that reason, and the original population of 179 was therefore reduced to 138 participants.

issuance of the contract of the evaluation team leader late November (instead of 1 November) led to a postponement of the field mission, and changes in its design. The regional SADC focal person meeting held in South Africa mid November, which was included in the filed mission schedule, could therefore not be attended to interview all focal persons and their government colleagues in person. Furthermore, although Namibia was selected as one of the mission countries because of the high level of assistance given by UNODC, the evaluation team leader was unable to get a visa prior to departure for which she would have needed five working days. While some SADC focal persons were interviewed face-to-face and by phone, and even though Namibia was replaced with Botswana, which was in fact also highly useful considering the presence of the SADC Secretariat, some internal reflection is deemed necessary with respect to HR recruitment processes considering that this evaluation had already been planned for in the Summer of 2016.

Additionally, it is pertinent that all required documentation is given to the evaluation team at the very beginning of the evaluation to allow for the development of the methodology on the basis of factual information as well as the adequate preparation of the inception report and the field mission to project countries.

The regional nature of the project posed additional challenges with respect to ensuring adequate coverage of sources. The combination of different evaluation methods, including the online survey which was decided on in order to give respondents representing almost all SADC countries the opportunity to share their views (including Portuguese-only speakers), has been a means to get adequate coverage. The online survey used during this evaluation presented an opportunity to get more data on capacity/enhanced capacity in addition to information collected during semi-structured interviews.

Map 1. Map of the SADC Member States¹⁹



¹⁹ UNODC, 2013a: iv

II. EVALUATION FINDINGS

Relevance

This evaluation confirms that that the project ‘Capacity building for Member States of the Southern African Development Community (SADC) in the Ratification and the Implementation of the United Nations Convention against Transnational Organized Crime and the Additional Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children’ (hereinafter referred to as ‘the project’) is highly relevant. The project responds to the needs and priorities of SADC Member States to address the widespread practice of human trafficking in Southern Africa, supports the implementation of the Millennium Development Goals (MDGs) and the Sustainable Development Goals (SDGs), and is aligned with UNODC global and regional policies and strategies. It also supports the ratification and implementation of international instruments (in particular UNTOC and the TiP Protocol), and provides technical expertise to assist with the implementation of the SADC Strategic Plan of Action.

The project supports the implementation of the MDGs, in particular target 5.2 “Eliminate all forms of violence against all women and girls in the public and private spheres, including trafficking and sexual and other types of exploitation.”, target 8.7 ‘Take immediate and effective measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour, including recruitment and use of child soldiers, and by 2025 end child labour in all its forms’, and target 16.2 ‘End abuse, exploitation, trafficking and all forms of violence against and torture of children’.²⁰ The project also supports the implementation of the SDGs, in particular SDG 16 ‘Peace, Justice and Strong Institutions’.

The project is aligned with the UNODC Strategic Framework 2016-2017, Sub-Programme 1 ‘Countering Illicit Drug Trafficking and Transnational Organized Crime’, the UNODC Strategic Framework 2012-2015, in particular Sub-Programme 1 ‘Countering Transnational Organized Crime and Illicit Trafficking, including Drug Trafficking’, and the UNODC thematic programme ‘Countering Illicit Trafficking and Organised Crime 2012-2013’.

Additionally, at the regional level, the project is currently implemented within the framework of UNODC’s RP “Making the Southern African Development Community (SADC) Region Safer from Crime and Drugs” (2013-2016), which was designed following the signing of the Memorandum of Understanding (MoU) between UNODC and the SADC Secretariat in April 2011 to serve as the official framework for cooperation aligned with SADC priorities.²¹ The RP

²⁰ <https://www.unicefusa.org/stories/sustainable-development-goals-aim-end-human-trafficking/29864>

²¹ Based on a joint Memorandum of Understanding (MoU) as the official framework for cooperation between UNODC and SADC, the development process included two Regional Expert Group Meetings to identify the key concerns and priorities to be addressed under the future Regional Programme. The resulting regional approach and programmatic framework were endorsed by the SADC Ministerial Committee of the Organ (MCO) in July 2012. In August 2012, the Heads of State and Government of the SADC Member States, at their 32nd Summit

aims to support SADC Member States to respond to evolving threats and challenges related to crime, drugs and terrorism in all its manifestations. The project contributes to the RP's first pillar 'Countering Illicit Trafficking and Organised Crime', in particular outcome 1.2 'Countries of the Southern African region coordinate and cooperate to prevent and combat human trafficking, its impact on victims, and the smuggling of migrants.' The project is in line with the RP, which sets out the overall UNODC strategy for the SADC region, and UNODC progress reports of the project feed into the RP annual review mechanism.

The SADC Strategic Plan of Action has been a key guiding document in the design of regional and national responses to TiP, including with respect to this project. The 2012 project evaluation found that consultations were only undertaken with SADC representatives, and that 'XASS69 is aligned with SADC regional priorities and to a lesser extent to national plans and strategies of beneficiary governments. While SADC and some of the beneficiary countries perceive trafficking in persons as a key priority, some member states deemed it to be of a lesser concern. This resulted in delays in the selection of Member States to participate in the project'.²² In the period considered during this evaluation, the situation was viewed differently by various stakeholders, as activities have been selected in close coordination with SADC Member States. The consequence is that those with a keen interest and capacity were given technical assistance, while some others received less attention during this period. Efforts continue to ignite further interest in these States to accelerate the implementation of the SADC Strategic Plan of Action as well as the TiP Protocol, while regional activities are among others designed to invite and promote an overall stronger regional response to TiP.

The project and other initiatives to strengthen the response to TiP are aligned. The UNODC project 'Global Action to Prevent and Address Trafficking in Persons and the Smuggling of Migrants' (GLOT 67), which is also being implemented in South Africa, is aligned with the project, and presents an opportunity to strengthen support to the Government of South Africa. The SADC Secretariat has since 2013 been implementing activities with funding provided by the European Union (EU), and also the International Organization for Migration (IOM) has provided technical assistance in this field. The risk of duplication seemed to be managed carefully, such as by means of joint planning meetings with the SADC Secretariat and with IOM Zimbabwe in order to harmonize approaches. The UNODC project coordinator was also given the lead role for the GLOT67 component in South Africa. Additionally, the International Law Enforcement Academy (ILEA), which is also US-funded and based in Botswana, provides one week courses on human trafficking. This is seen to reinforce training provided by UNODC as these courses are tailored to police officials only.²³

Design

The project has changed over time in orientation in order to respond to shifting needs of SADC Member States as a result of progress made in the ratification of/accession to UNTOC and the TiP Protocol and the enactment of national legislation. The overall focus became the implementation of the TiP Protocol and the development of a national legislative framework during the period under consideration. Its design has been the consequence of consultations with

Meeting in Maputo, Mozambique, were informed and took note of the MCO's endorsement. It was finalised and approved by UNODC in July 2013 (UNODC, 2013a: 6).

²² UNODC, 2012: 9

²³ http://www.ileagaborone.com/files/2017_ILEA_Gaborone_Schedule.pdf

the donor, the SADC Secretariat, and SADC Member States, initially to determine the overall objective of a particular grant, and subsequently to fine-tune the design during implementation, especially with respect to bilateral technical support. The participatory nature of planning at the regional and national level, which has ensured the alignment of the project with government priorities and facilitated their buy-in, has resulted in ownership of project activities and results. These practices address one of the recommendations and a lesson learned of the first mid-term project evaluation undertaken in 2012, which noted that consultations had only been undertaken with the SADC Secretariat and not with individual beneficiary countries, and that more attention had to be given to ownership. During the past four years, the participatory nature of planning at different levels and with multiple stakeholders has been viewed as a good practice.

Project documentation includes the project idea prepared in 2006, and three project revisions undertaken in respectively 2011, 2013 and 2015. The project revision of 2011 provided the overall structure of the project at the beginning of the period under review. The project revisions in 2013 and 2015 were prompted by an increase in project budgets because of new TIP grants, which led to subsequent changes in the scope of the project, and a revision of the logical framework. In the 2013 version, the outcomes increased from two to seven, while two years later the logical framework was redesigned and consolidated to four outcomes (with an increase in outputs). New funding led to the introduction of additional outcomes and outputs, such as the provision of trainings and seminars, the development of the regional data collection system as well as assistance provided to SADC Member States to develop and enhance national policies and procedures and support the setting up of coordination bodies by means of establishing and providing support to Operational Task Forces.²⁴ The latter activity addressed one of the recommendations of the 2012 mid-term project evaluation. The indicators given at the outcome level are however output indicators, and it **is recommended** to design proper outcome indicators in the next project revision and aim to align these with those used for donor reporting.

The project idea and project revisions must be considered together with the RP, which sets out the overall direction for Southern Africa. A new project revision needs to be developed in order to reflect the new US TIP grant, changes in project team capacity and the completion of grant S1-32FSB-000015. Additionally, considering the fact that a comprehensive project document was never prepared for the project, a more extensive project revision that also considers sustainability, human rights and gender, is **recommended**.

Furthermore, more thought ought to be given to that fact that a project document is missing that gives the overall vision of the project. Although a more extensive project revision could capture the overall project strategy in line with recent developments, a strategic document which introduces a long-term perspective for a broader audience could also be considered in addition to the required new project revision. The regional TiP strategy prepared by the UNODC Regional Office for Western Africa provides an example; it delineates the overall direction and a long-term perspective which supports fund-raising activities.

Such a regional strategy also offers the opportunity to incorporate a more inclusive approach to reflect regional developments. For instance, in their latest set of recommendations, the Steering Committee of the RP has noted that more work must be undertaken on SoM. Additionally, in 2016 the SADC Secretariat prepared a draft Regional Strategy to Combat Illegal Migration, Smuggling of Migrants and Trafficking in Persons which further advances the existing regional

²⁴ UNODC, 2015b: 4, 9 – 10

10-year Strategy of Action.²⁵ It is therefore **recommended** to prepare a regional UNODC TiP and SoM strategy for the SADC region in order to describe the long-term perspective of the project for internal and external purposes. A stronger link with activities to strengthen the response to SoM could potentially also benefit the work on TiP.

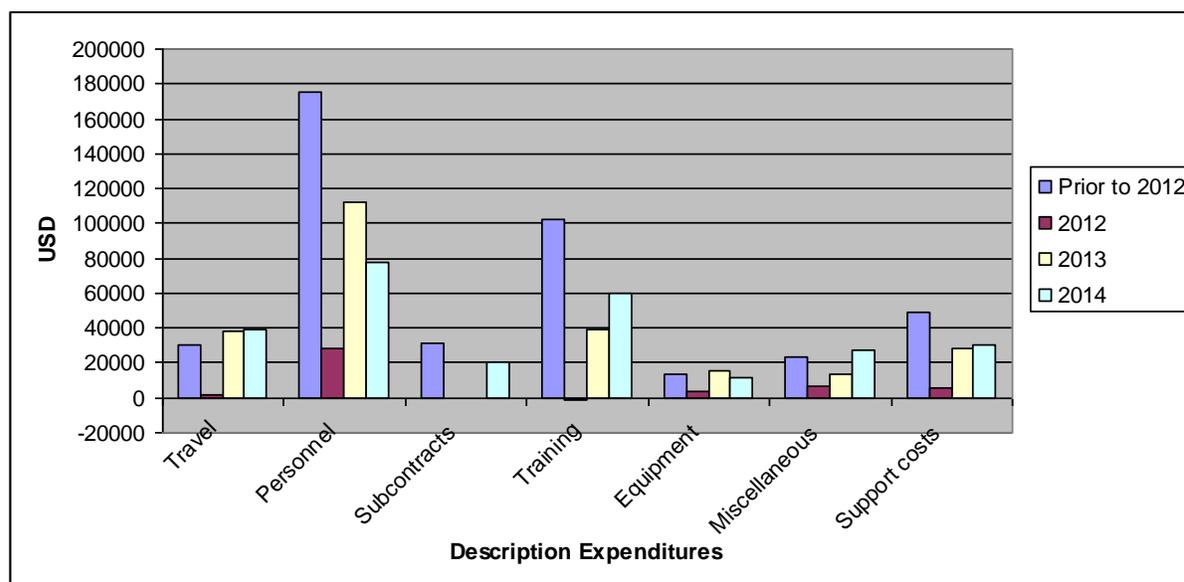
The monitoring system, which seems entirely based on collecting activity and output-level data, is functioning relatively well. Opportunities to collect more qualitative information, as well as data on effectiveness and impact, are however only created to some degree, and if available, such as with respect to data collection by means of pre- and post-test questionnaires handed out during training, then weak in the area of data entry and analysis at best. Additionally, data collected in the regional data management system has only to a limited degree been used for progress reporting, while there is scope to capitalize more on available data. Thus, the recommendation of the 2012 mid-term project evaluation on data collection has to some degree been implemented, but more effort could be given to gather baseline information, and undertake more regular follow-up with counterparts to get information about outcomes of management and decision-making processes. It is therefore **recommended to** strengthen the monitoring system by means of more regular follow-up with counterparts, developing outcome-level indicators, corresponding tools to collect baseline and target data and select and design user-friendly, efficient data management systems to support analysis.

Efficiency

The project has been efficient considering available capacity in ROSAF, and challenges encountered during implementation beyond the control of the project team. The team has maximized inputs, which have resulted in an effective project, especially in providing technical assistance. The team had more funds at its disposal in comparison to the first four years of the project, although actual capacity did not entirely match the amount of work. Expenditures in 2012 were still relatively low as the project team was small at that time but these increased in subsequent years, partially reflecting the greater emphasis on training in this period. Over 90 per cent of the total approved budget of USD 1,424,734.00 for the period December 2011-December 2015 was spent in December 2015.²⁶

²⁵ UNODC, 2016c; 2016d

²⁶ UNODC, 2016b: 8

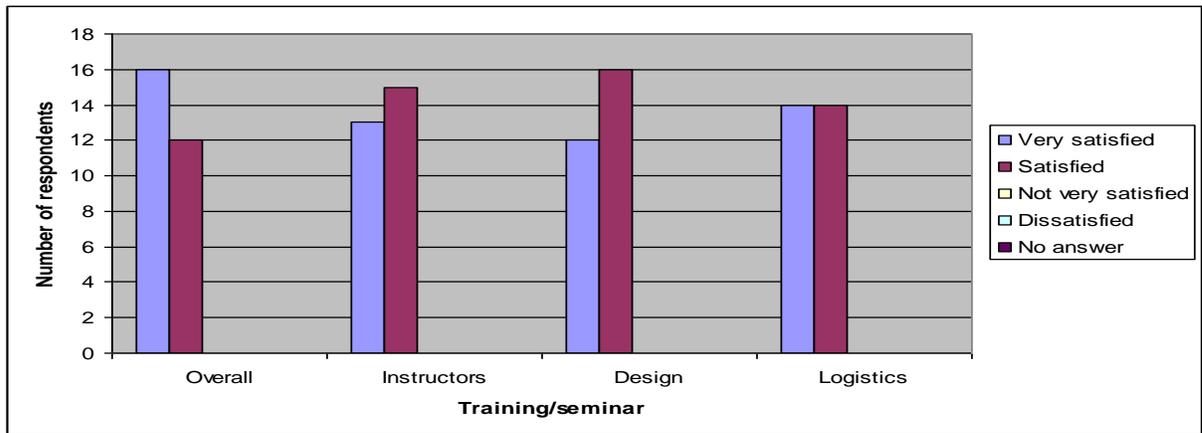
Graph 2: Annual expenditures XAS/S69 2012-2014²⁷**Table 4: Total approved budget and expenditure December 2011-December 2015²⁸**

Total Approved Budget (December 2011 – December 2015)	Expenditure (December 2011 – December 2015)	Expenditure in % (December 2011 – December 2015)
1,424,734.00	1,323,922	93%

Technical assistance given under the project has generally been highly appreciated by stakeholders, including UNODC's advice and support with respect to developing legislative and policy frameworks and tools. Data also confirm that participants were overall satisfied with capacity-building activities, including selected methods and tools. UNODC generic training material on international instruments and TiP was complemented with country-specific information, either prepared by the project team and/or independent consultants, and the use of national-level and sometimes international professionals further allowed for the appropriate tailoring of each training to the profile of participants in a particular country. For the two litigation 'surgeries' targeting prosecutors a case-digest and documents covering different aspects of the prosecution of traffickers were prepared by UNODC. The expertise of the trainers was overall highly valued and appreciated. In addition to UNODC trainers and inputs provided by national criminal justice experts and practitioners and representatives of organizations, also expertise from neighbouring countries, other regions of Africa or elsewhere (e.g. Brazil for Mozambique) was used to broaden and deepen training curricula.

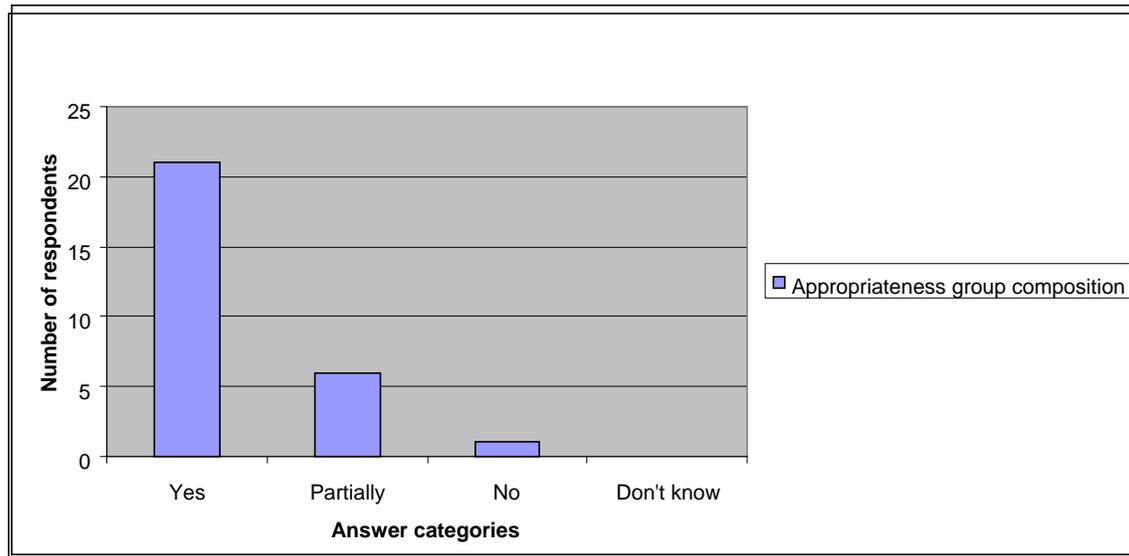
²⁷ UNODC 2013, 2014, 2015

²⁸ UNODC, 2016b: 8

Graph 3: Level of satisfaction with trainings/seminars (online survey)

For the litigation surgeries for prosecutors, it is **recommended** to invite a judge with relevant expertise for some sessions to provide further guidance on the perspective of the judiciary, and to prepare a session on adjudicated cases. Furthermore, it was also suggested to continue with developing/updating the case digest for each litigation seminar.

The group composition differed per training/seminar, and was generally considered to be appropriate in light of the overall purpose of the capacity-building activity. Suggestions for the frontline officer training on further broadening the composition of the group were, for instance, to include medical staff, National Intelligence Services Officers, labour inspectors, judges and magistrates, staff of the Ministry of Education as well as traditional leaders. Although these suggestions can all be regarded as valid, group size and composition must also be viewed in light of training objectives and budgetary limitations, and therefore be considered on a case-by-case basis.

Graph 4: Appropriateness training/seminar group composition (online survey)

At the time of this mid-term project evaluation the project team was led by an international staff member (who was the national project coordinator/legal advisor from 2012 until September 2016). The team further comprised a National Programme Officer (NPO) with capacity building responsibilities (based in Zambia), a UNV data-management officer (for the regional data management system component of the project) and an administrative assistant. The NPO joined in October 2015, and the UNV in June 2015. The project revision of 2015 creates the impression that the project team is composed of six staff members, but the national project coordinator only changed position, and an extra staff member in the field of IT/data-management was neither recruited nor is it expected that advocacy for this extra capacity will be undertaken in the short term. A Crime Prevention and Criminal Justice Officer is partially funded in UNODC headquarters for back-stopping. The staffing given in the project revisions of 2011, 2013 and 2015 is not reflective of actual team capacity, and it is **recommended** to present factual information about team capacity in project documentation for transparency purposes.

Data confirm that the work of the team is greatly appreciated. Considering the size of the project, its geographical scope and the relatively high number of training activities, project capacity is however also viewed as overstretched. In particular, project management and technical advisor/trainer responsibilities combined in the international position need to be reviewed in order to propose an alternative structure. This should appreciate that the success of this project is partially due to the personalized professional networks initiated and maintained by the project coordinator, her technical expertise and legal background. At the same time, although the use of consultants can be a temporary solution to limited capacity, their recruitment and management also requires time. Establishing a limited pool of expert trainers familiar with UNODC's work is therefore the best way forward. Additionally, short-term expertise seems needed for the regional data management system, including to support data analysis. In other words, it is **recommended** to develop a proposal to increase project team capacity, among others in the field of project management, by establishing a pool of TiP trainers, and by getting short-term senior IT and data analysis capacity for the regional data-management system. Although the team has no native Portuguese or French speakers, the project coordinator has working knowledge of Portuguese and

was therefore able to conduct training and coordinate activities with Mozambique and Angola. Interpreters were further used to support technical assistance to these countries.

In addition to team capacity, also other internal factors and external factors led to delays in project implementation. The introduction of Umoja caused several delays in activities, among others as procurement processes consumed more time. The transfer to Umoja also reduced confidence of some actors in UNODC's capacity to deliver, for instance as a consequence of the late payment of daily subsistence allowance (DSA). This is damaging to UNODC's image, and different stakeholders pointed out that the introduction of the new system could have been managed differently. A lesson learned is therefore that a new financial system must be introduced with adequate support in order not to disrupt ongoing project activities.

The bureaucracy of international organizations is often viewed as another reason for the perceived slow implementation of activities. Mitigating measures were taken by UNODC and the SADC Secretariat, such as joint planning, capitalizing on different rules and procedures and taking measures to educate one another on internal procurement processes. For instance, UNODC was seen to be less bureaucratic and therefore more flexible in approaching SADC focal persons and other representatives in government bodies of SADC Member States. At the same time, joint activities with the SADC Secretariat sometimes faced administrative hurdles due to the requirements of the different bureaucratic systems, which affected the organization and implementation of these activities.

Other external factors also impacted on the efficiency of the project. Changes in government counterparts, such as those caused by staff rotation, had consequences for the planning and implementation of bilateral activities. For instance, the TiP focal person in Malawi passed away suddenly, and the project team had to start again with introducing the project to the new focal point. Some SADC focal persons were more active than others, and occasionally a lack of clarity on the division of responsibilities between key ministries also impacted on planning and implementation of activities. The required Leahy vetting of law enforcement officials on the list of invitees for training activities by the donor also led to considerable delays as vetting practice was between 10 to up to 60 days (in theory 10 days), and in challenges experienced by UNODC in getting all the data of concerned officers from government counterparts for the vetting. Furthermore, some activities were postponed as a consequence of competing priorities of SADC Member States. Political events, such as elections held in 2013 in Zimbabwe and in 2014 in Malawi, Malawi's assumption of the SADC chairmanship, and change of government as well as political instability in Lesotho, led to several delays in the implementation. The project team responded by re-scheduling activities where possible.

Partnerships and cooperation

Partnerships have been initiated, nurtured and also strengthened under this project. This applies to international, regional and bilateral partnerships with the fifteen SADC Member States, the SADC Secretariat and international organizations, such as the IOM and UNICEF, the Southern African Regional Police Chiefs Coordinating Organization (SARPCCO) and the Africa Prosecutors Association (APA). The effectiveness of the project, which has led to continued funding, has underpinned a positive working relationship with the donor. Additionally, cooperation with other UNODC offices and headquarters has to some degree also been supported, although more collaboration between regional offices could benefit the project as well as the organization at large.

The project has been implemented in close cooperation with the SADC Secretariat, and this partnership has been highly valued by all stakeholders. It has supported regional ownership of project activities and results, and has been viewed as key to its effectiveness. In 2012, the Gender Unit of the Secretariat received funding from the European Union (EU) to strengthen the TiP response in Southern Africa. UNODC and the Secretariat have since 2013 been meeting regularly to synchronise annual project work plans and ensure that activities under the SADC Strategic Plan of Action are implemented effectively, including by meeting some funding gaps. SADC trainers take part in UNODC training, if possible, and UNODC trainers in SADC-supported training on TiP. Considering that there is still space to further enhance this cooperation at the project level, it is **recommended** to further synchronize approach and communication, and contribute to greater efficiency in the implementation of joint activities.

Partnerships between UNODC and SADC Member States have also been supported under this project albeit in varying degrees. This is particularly a consequence of their interest to further the implementation of the TiP Protocol. UNODC has been liaising closely with criminal justice actors in order to partner with them and build their capacity for a stronger TiP response. The UNODC network has as a result expanded in most countries of the SADC region in terms of size and profile of contacts. Data confirm that these bilateral partnerships are highly valued by stakeholders, and that the technical support provided by UNODC is sincerely appreciated. The long-term nature of the project contributes to these partnerships. UNODC has gained trust and confidence in Southern Africa, and is seen to be very approachable to discuss any questions related to the work and/or opportunities for further assistance.

In-country partnerships between different actors engaged in the fight against human trafficking and/or working in the same profession in different parts of the country have also benefited from UNODC's capacity-building activities. Additionally, informal regional networks have been established with SADC focal persons and their colleagues invited to the regional focal person meetings held in 2015 and 2016, and amongst prosecutors from countries in Southern Africa.

Partnerships with regional and international organizations, such as APA and SARPCCO, have also been supported under the project, such as by means of the implementation of joint training activities in 2016. The same applies to partnerships with international organizations, including IOM and UNICEF.²⁹ These agencies participate regularly in training activities in order to share further information about, respectively, victim protection and assistance and on child victims. IOM has also been involved in the design of the regional data management system by means of sharing its experience of the global Counter Trafficking Module database, and in Zimbabwe joint planning activities with IOM resulted in the presentation of a coherent annual plan to the government to strengthen the response to TiP. This approach was appreciated by their counterpart, and can be considered a good practice. The fact that the IOM joined the UN system on 19 September 2016, and is now a related organization, has not led to any changes in their relationship in the region, but the expected setting up of more IOM offices in Southern Africa, and the anticipated stronger focus on SoM by UNODC, will require continued coordination between these two bodies.³⁰

UNODC has also been a co-organizer and presenter during the Migration Dialogue for Southern Africa (MIDSA), a Regional Consultative Process that aims to foster dialogue, and was organized in collaboration with the Government of Botswana, IOM, the SADC Secretariat, UNHCR, UNODC and Save the Children (UNODC, 2017a: 2).

³⁰ <http://www.unmultimedia.org/radio/english/2016/09/the-international-organization-for-migration-joins-the-un-2/#.WRdEgIKB2b8>, consulted 24 January, 2017

Civil society actors take sometimes part in project activities although the main project stakeholders are government bodies. Civil society actors are regularly invited to meetings to develop and strengthen legislation and/or operational policy tools, such as NAPs. Additionally, civil society actors are regularly involved in capacity building activities in order to provide further information about victim protection and assistance.

A more diverse picture emerges when considering cooperation with other UNODC offices and UNODC headquarters. UNODC ROSAF has six field offices in Southern Africa, which are however small and with limited means. Occasionally support is given to the project, such as by providing logistical support for certain events. Although this practice is a logical consequence of available resources, this may not always reflect well on UNODC as other actors could interpret it in a less favorable light with respect to internal cooperation. It is therefore **recommended** to review existing coordination between ROSAF and field offices in Southern Africa to examine mechanisms for further cooperation.

UNODC ROSAF covers eleven countries of the SADC region, while the remaining four countries fall under the Regional Office Eastern Africa (ROEA). As the project is managed by the regional office in Pretoria, the design and implementation of activities – even if it only concerns inviting one or two representatives of these countries to trainings or seminars – requires coordination with the regional office in Nairobi. Data show that there is some space for improvement in cooperation and communication between these two regional offices about planned and actual activities in SADC countries. It is therefore **recommended** to strengthen the coordination between UNODC ROSAF and ROEA about project-related activities.

Cooperation between UNODC headquarters and UNODC ROSAF vis-à-vis the project is driven by much appreciation and confidence in the work of the project team on the ground. At the same time, communication also comes to the fore as a pivotal issue with respect to the implementation of global projects in Southern Africa, such as with respect to GLOT67, whereby the project team has not always been informed about extra duties in a timely fashion. Additionally, as the project team is already overstretched with project-related duties, it is virtually not possible to dedicate time to other projects. It is therefore **recommended** to review this practice to give responsibilities related to global projects to staff in the field without sufficient support in order to improve accountability and transparency in coordination and UNODC working relations.

The partnership between UNODC and TIP of the US Government has been viewed as highly positive. The donor has taken on different roles in support of the project; it not only provides funding but also monitors progress made in the region and is actively involved in project design—as well as in providing political support to further the implementation of the TiP Protocol. Donor representatives also observed some activities, such as one of the litigation surgeries for prosecutors, and for instance a criminal justice expert of the US Department of Homeland Security provided training in 2016.³¹ UNODC has generally met donor reporting deadlines, and the ongoing funding symbolizes trust in UNODC's capability to implement the project effectively. The donor appreciates a high level of detail in the quarterly narrative reports in order to support advocacy to secure further funding, and it is therefore **recommended** to continue to provide comprehensive narrative reports to the donor.

³¹ UNODC, 2016g: 2

Effectiveness

The project is **effective**, and has contributed to all outcomes and the project objective in the period covered by this evaluation. The project has also addressed recommendations given to UNODC during the first mid-term evaluation with respect to supporting coordination and implementing structures at the regional and national level. Work in this field is still ongoing, and it is expected that this will become a larger component of the project in the third phase.

The project has contributed to the first outcome ‘Selected SADC Member States have ratified the UNTOC and its Protocol to Prevent, Suppress Trafficking in Persons Especially Women and Children and incorporated the obligations in terms thereof into national legislation, implementing regulations, policy framework, plans of action and standard operating procedures’. The targets varying between two to up to four countries with draft legislation/implementing regulations, NAPs and SOPs was achieved in December 2015.³² At the time of the evaluation, thirteen SADC Member States had national TiP legislation, with Namibia’s draft legislation in an advanced stage, and the DRC draft law still pending. Malawi enacted its Trafficking in Persons Act in February 2015, and thus became the 13th SADC Member State to domesticate provisions of the Palermo Protocol. Different views were expressed regarding the strengths and weaknesses of the laws, and work can in fact continue to further strengthen existing legislation to ensure, for instance, the reference to a comprehensive definition on trafficking (e.g. Zimbabwe) and the inclusion of victim protection (e.g. Angola).

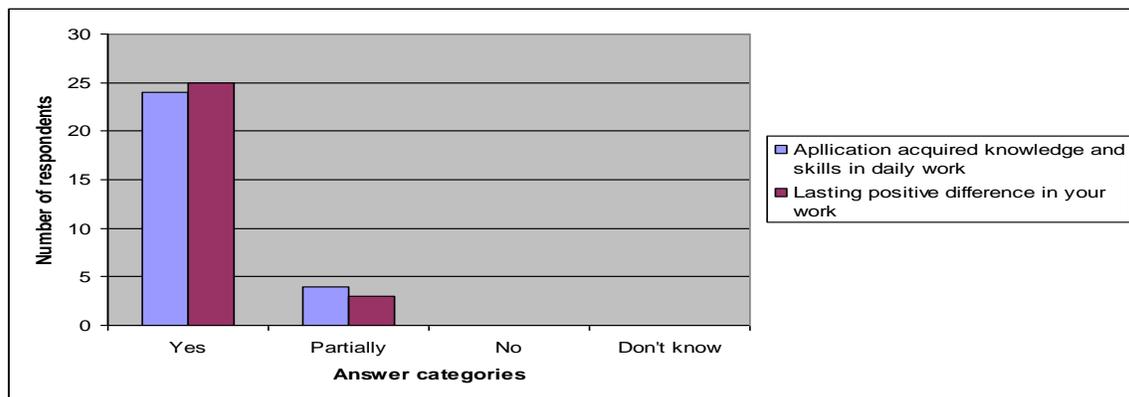
Project activities conducted from 2012 onwards have also contributed to the second outcome ‘Enhanced capacity and effectiveness of criminal justice practitioners in selected SADC Member States to identify victims and investigate, prosecute and adjudicate the crime of TIP’. A total of 309 criminal justice officers were trained in the period 01 January 2012-30 June 2016. Training sessions had different objectives and target groups, including front line officers, staff involved in data collection/entry, or one or two professional groups of criminal justice practitioners, such as investigators, prosecutors and/or magistrates and judges. Respondents felt that the training had been highly relevant, and that their knowledge/skills had clearly improved as a result of their participation. Several countries have reportedly begun investigations in and prosecutions of trafficking cases, with some cases completed in the period 2012-2016. The support to get a former South African government official as expert witness to contribute to the first case judgement in Namibia has also been highly appreciated by several stakeholders, which is in particular important as this case sets a precedent in the region.

More work however needs to be done under this outcome, including but not only by providing more in-depth training to investigators, prosecutors and judges and magistrates, and providing training outside capital cities. Data confirm that especially judges and magistrates need to receive more attention as this professional group is often not familiar with legislation on the substance matter, which explains their possible reluctance to handle TiP cases. Additionally, the regional litigation surgeries for prosecutors were viewed as highly successful, and it was also suggested to continue with these activities. At the same time, sufficient consideration would need to be given to keep these surgeries interesting to former participants in order to maintain the informal

³² The initial project assumption was that none of the SADC Member States had commenced with drafting or promulgation of specialized legislation in this regard. In reality, once the project started, some of the Member States such as Zambia and Mozambique had already adopted specialized or amended legislation and some of the beneficiary countries were either in the process of drafting specialized legislation or had commenced with law reform research, independent of the project activities (Swaziland, South Africa, Malawi and Namibia) (UNODC, 2012: 7).

network while also expanding its scope. It is therefore **recommended** to a) continue with and expand training activities to cover all criminal justice actors as well as tailored training to particular professional groups, including the judiciary; b) continue with & possibly expand the litigation surgeries, and explore means to ensure the added value of the surgeries to those that have already participated; c) continue and explore possibilities to expand the option to support experts (e.g. expert witnesses).

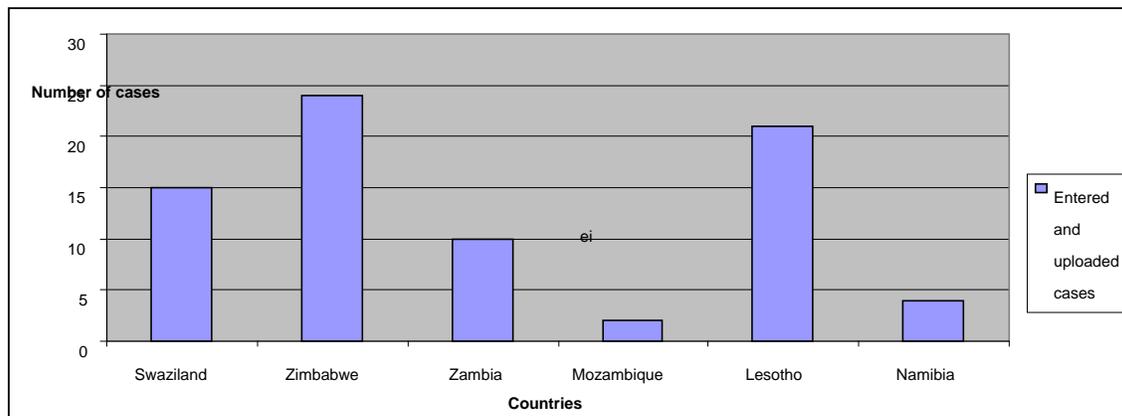
Graph 5: Use acquired knowledge and skills in daily work/positive lasting difference (online survey)



The project also contributed to the third outcome ‘Effective data collection mechanism which improves coordinated response to human trafficking’ as since 2014 an online data management system is available, and since 2015 an offline data management system to respond to limited internet access in some government offices in the region.³³ Data are collected by means of an interview form for VoTs. The database has been viewed as a strong outcome by all stakeholders, and implementation has been supported by political interest and will. At the end of November, 2016, six countries had uploaded data onto the regional data management system (see graph 6). Two more SADC member states are reportedly entering data in the offline data-management system, but have not yet uploaded this information into the online regional database. At the same time, ongoing challenges still characterize its implementation, such as with respect to getting data to the capital for data entry, technical capacity for data entry and limited access to internet and/or hardware for data entry/uploading data. Additionally, coordination of these different activities is not always seen as highly efficient and effective (see the recommendation given in the section on sustainability).

³³ <http://tip.sadc.int/>

Graph 6: Total number of cases entered and uploaded into the regional data-management system per country 2015-2016 (provided by UNODC ROSAF)³⁴

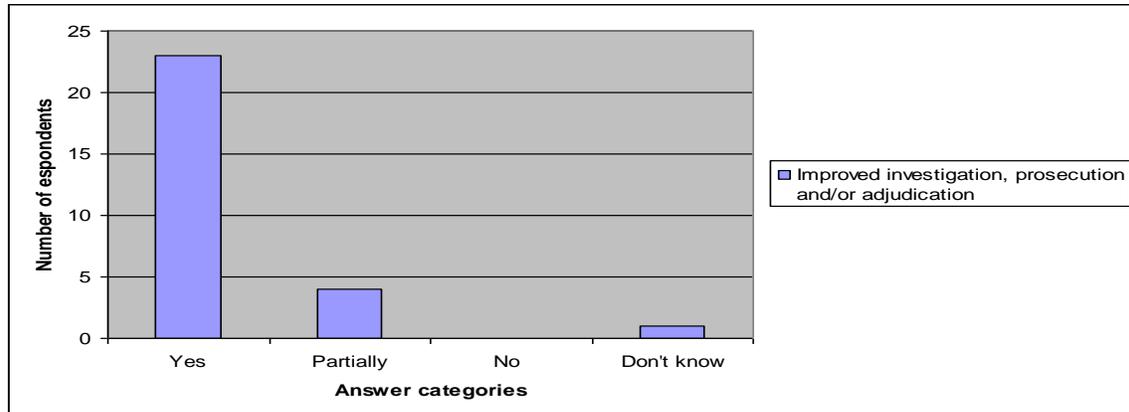


Only some preparatory work related to outcome 4 ‘Task Forces at the national and regional level are established and operational, and respond in a coordinated manner to individual TIP cases’ has been undertaken by the project team. A start was made in Zimbabwe where a ToR for operational task forces was concluded and presented to the Minister of Home Affairs in September 2016, and two provinces were identified for piloting of operational task forces (namely Matebeleland South and Harare). It is expected that work related to establishing and developing Task Forces will gather pace in 2017 in order to strengthen the coordination of the TiP response. It is therefore **recommended** to make a concerted effort to make up for the delays, gather lessons learned from the piloting phase and expand implementation of the operational Task Forces component of the project.

Overall, the project has contributed to the objective ‘SADC Member States improve investigation, prosecution and adjudication of the crime of TIP and enhance identification of victims’ because of strengthened legislative and policy frameworks, improved coordination and increased awareness and built capacity of front line officers and criminal justice professionals, including those working in the field of law enforcement and prosecution. This has led to a change in practice with the inclusion of a victim-centred approach to the handling of TiP cases, improved witness protection and an increase in the number of cases being investigated, prosecuted and adjudicated in SADC Member States.

³⁴ In the first months in 2017, some countries were able to enter and upload new cases into the regional data-management system. On 23 March, 2017 Swaziland had uploaded a total of 15 cases, Zimbabwe 54, Zambia 12, Mozambique 2, Lesotho 26 and Namibia 5.

Graph 7: Improved investigation, prosecution and/or adjudication of trafficking cases (online survey)



Now all the agencies are aware that this is a serious issue and that we all need to do our part to combat Human Trafficking. We need to stop denying that this is real and can be happening in our country

There are more cases being referred to my office for guidance with investigations on TIP a clear indication that law enforcement agents now have the capacity to detect cases of TIP.

There was lack of coordination between the stakeholders before the training which was leading to an increase in challenges but now the process of dealing with TIP cases improved from the investigator to the prosecution.

It has in general improved the standard of investigation of TIP cases handled by my Division, which helps prosecution to prepare properly for court proceedings.

A first suspected case of trafficking was identified, reported and investigated. Victims were taken into place of safety and assisted accordingly.

[...] Law enforcement still has some trouble in wrapping up such [TIP] cases.

[...] as a country we are still working very hard on this. We still have pending cases that we are working on.

There is a good improvement now in my investigation. To secure the attendance of the witness at court I involve all stake holders to ensure witnesses are safely and securely housed and should not be prosecuted.

Box 1: Examples of results of training (replies (edited) given in online survey)

Impact

The 2012 project evaluation concludes that ‘It is too soon after implementation to establish real impact, although impact is foreseen if beneficiary countries sustain activities’. The same evaluation also notes that ‘The particular added value of the project is that it developed a common understanding and legal foundation in the region to address issues related to human trafficking. It also starts the process of awareness and capacity building to deal with Human Trafficking.’³⁵

This evaluation confirms that in the period 01 December 2011-30 November 2016 the project has contributed to enhancing this common understanding of TiP on the basis of international definitions and norms, and by providing support to strengthening the legal foundation in the SADC region to prevent and respond to TiP.

The impact of the project can also be seen with in relation to cooperation between stakeholders at the national, regional and international level. This has been strengthened within SADC countries by means of training on TiP and the regional data management system, as professionals from the criminal justice sector, such as investigators and prosecutors, have been trained together with immigration officers, customs officials and social workers - among others. This has not only resulted in knowledge and respect and appreciation for each others’ roles in the response to trafficking, but also led to the creation of informal networks. Regular coordination meetings and/or meetings to develop SOPs or other guiding documents have to some degree further strengthened these informal networks.

Additionally, the regional SADC focal persons meeting held in 2015 and 2016, as well as the prosecutors’ litigation surgeries, which have been organized twice in 2016, led to the establishment of regional-level informal networks. In the last SADC focal persons meeting held in November, 2016, a draft Data-Sharing Code of Conduct for the Regional TIP Data Collection System for SADC Member States and a draft Statement of Intent, which sets out the framework for regional cooperation amongst SADC TiP focal persons, was discussed and will be followed up on in 2017. The litigation surgeries have contributed to the sharing of legislation, case practice and experiences, and were seen to provide a forum for joint brainstorming and learning from cases from the region and beyond. An unintended effect has been the strengthening of the prosecution pillar of the NAP in at least one country; in the Tripartite Committee composed of police, prosecutors and the TiP Secretariat lessons and techniques learned during the surgeries were shared and considered to improve the TiP response in that country.

The project has further supported close cooperation between UNODC and the SADC Secretariat in different fields, including the exchange and application of technical expertise, joint planning activities and financially supporting joint events. Additionally, cooperation also contributed to mutual understanding of their different parameters, which resulted in capitalizing on opportunities given by a particular bureaucratic system or by donor requirements. Thus, one unintended consequence was that extra financial support could be offered by UNODC in support of the first regional SADC focal persons meeting, which made regional cooperation a reality at multiple levels as it sent out a strong message to SADC Member States, and strengthened regional ownership of the project’s objective and results.

Although it cannot be concluded that the project had a direct impact on the tier placements in the annual global TIP reports published by the US Government, as different factors contribute to the

³⁵ UNODC, 2012: 18

state of the TiP response in a given country, one SADC Member State attributed the positive change in ranking to the support provided under the project.³⁶ The focus on particular countries in the two TIP grants starting implementation in 2015 and 2016 does not seem to have had a particular effect on the ranking, although this needs to be considered with caution as the 2016 ranking data were not available at the time of this evaluation. A comparison between the tier placements of 2015 (given in 2016) with the ones of 2011 (given in 2012; in the case of DRC in 2014) gives the following analysis:

- One tier up: 5 countries;
- One tier down: 4 countries;
- Same tier: 6 countries (although fluctuations took place in between 2011 and 2015).

Table 5: Tier placements of the TIP reports 2012-2016 (covering 2011-2015).

TIP report ³⁷	Tier placements per year				
	2012	2013	2014	2015	2016
Angola	2W*	2W	2W	2	2
Botswana	2	2	2W	2W	2
Democratic Republic of Congo	NA**	NA	3	2W	2W
Lesotho	2	2W	2W	2W	2
Madagascar	3	2W	2W	2	2
Malawi	2W	2	2	2	2
Mauritius	1	2	2	2W	2

³⁶ TIP provides annual ranking lists of countries based on an assessment of the extent to which governments fully meet the Trafficking Victims Protection Act's (US legislation) minimum standards. The TiP definition given in the Act is more limited than the one given in the Palermo Protocol. Four tiers can be found in this list, with the first tier for countries whose government fully meet the Act's minimum standards, and the subsequent tiers showing a decreasing level with the third one consisting of countries whose governments do not fully meet the minimum standards and are not making significant efforts to do so. See for the definitions of all tiers

<https://www.state.gov/j/tip/rls/tiprpt/2016/258696.htm>

³⁷ <https://www.state.gov/j/tip/rls/tiprpt/2012/index.htm>; <https://www.state.gov/j/tip/rls/tiprpt/2013/210548.htm>; <https://www.state.gov/j/tip/rls/tiprpt/2014/226649.htm>; <https://www.state.gov/j/tip/rls/tiprpt/2015/243366.htm>; <https://www.state.gov/j/tip/rls/tiprpt/2016/258696.htm>

Mozambique	2	2	2	2	2W
Namibia	2W	2W	2W	2W	2
Seychelles	2W	2W	2	2	2W
South Africa	2	2	2	2	2
Swaziland	2	2	2	2	2W
United Republic of Tanzania	2	2W	2W	2W	2W
Zambia	2	2	2	2	2
Zimbabwe	3	3	3	3	3

* W = watch list ** `NA = not available

Sustainability

Sustainability has been addressed by the project at different levels in the four years covered by this evaluation. Ownership of project activities and outputs has been established by means of a participatory planning approach, and a logical sequence of activities (with variations at the national level). The RP rightfully emphasizes that ‘National ownership is a key element in UNODC’s move towards an integrated regional programming approach. As Member States are deeply involved in both strategic prioritisation and the programme design process, acceptance, understanding, and support of the programme as a useful tool for technical assistance and strengthened cooperation is promoted, thereby increasing effectiveness and potential impact of the activities implemented.’³⁸ Even though it has been integrated into the overall project approach, project design could however benefit from a stronger focus on sustainability, including an analysis of the ways in which this has been/will be dealt with by the project team in project documentation.

The long-term nature of the project and the sequencing of activities, albeit with national variations as a consequence of State’s interests, legislative systems and operational structures, are seen to support sustainability in the SADC region. Project design focused first on the accession to/ratification of the TiP Protocol, and consequently to the creation or strengthening of the legislative framework by designing and enacting anti-trafficking legislation. This is then followed by support given to the development of strategic frameworks, policies and SOPs to operationalize legislation and guide implementation, as well as activities to strengthen coordination and build capacity of criminal justice actors. Government ownership of UNODC-supported activities has been visible in various countries by means of their continued interest in furthering the above-described processes to strengthen the TiP response at the national as well as regional level, as well as by means of co-funding training, such as in Botswana, Namibia, Lesotho and Swaziland.

³⁸ UNODC, 2013a: 8

Sustainability has also been taken into regard by means of implementing ToTs. The target group however predominantly comprises professionals who may not always be in the position to mentor and/or train in addition to their other responsibilities. Nevertheless, data confirm that participants of ToTs have been able to provide on-the-job training or group training on TiP to colleagues and newly recruits working in customs, investigation and other areas of work. Sometimes participants were able to share their knowledge with colleagues during informal sessions. Availability of material and logistics in border areas were conveyed as challenges encountered during such events. At other times, there was no follow-up to the ToT because of a lack of available resources and/or absence of coordination. Additionally, ToTs were mostly providing basic training on TiP, without dedicating any special sessions on the actual training of trainers. Although the reference to ToT in the title of the activity has been viewed as a means to optimally use available funding and invite further ownership by relevant actors, it does not cover the actual training curricula, even though attention has sometimes been given to the preparation of individual training plans at the end of such training. Additionally, especially if participants are relatively new to the topic, and considering difficulties many trainees have in grasping the distinction between TiP and SoM (which is also one of the challenges of data entry into the regional data management system), it is **recommended** to review the practice of ToTs in light of the above observations.

A good practice was noted in Namibia where UNODC supported venue and travel costs of participants to the training organized by the Government of Namibia held in Katima Mulilo, which was a follow-up activity to the ToT held in Swakopmund in 2015. The UNODC capacity-building officer also participated in this training to support where necessary. It is therefore **recommended** to consider covering some costs of ToT follow-up activities by the project if governments are unable to earmark funds for such activities, including the provision of a UNODC expert trainer. Additionally, supporting the development of national and regional-level training curricula and capacity-building of trainers working with training institutes, such as police academies and universities, is another **recommendation** to strengthen ownership and sustainability of capacity enhancement efforts.

Additionally, UNODC's close cooperation with the SADC Secretariat and its efforts to further the implementation of the SADC Strategy of Action also contribute to sustainability. As both UNODC and the SADC Secretariat implement projects in the same realm, the overall budget in this technical field is higher and therefore support more robust in Southern Africa. When the EU-funded project comes to an end in the near future, the SADC Secretariat's Gender Unit is expected to continue with the work.³⁹

As the project has only one donor, there is a potential risk that funding is not commensurate with the needed efforts to have a strong TiP response in-country and at the regional level in the region. A more diversified donor base is preferred, and although there are challenges considering current donor priorities, it is **recommended** to develop a UNODC ROSAF regional TiP/SoM strategy in order to support fundraising, especially in light of UNODC's long-term involvement in this field in Southern Africa, project achievements and the already available capacity on the ground.

The project has supported a high number of different types of training activities. Data of the online survey conducted as part of this evaluation provide some insight into the use of these skills (see box 2), and although it was generally noted that the increased knowledge and skills have

40 At the time of the evaluation mission, the option of a no cost extension was discussed with the EU, while there were ongoing discussions as part of the 11th EDF – packaging envisaged to start in May 2018.

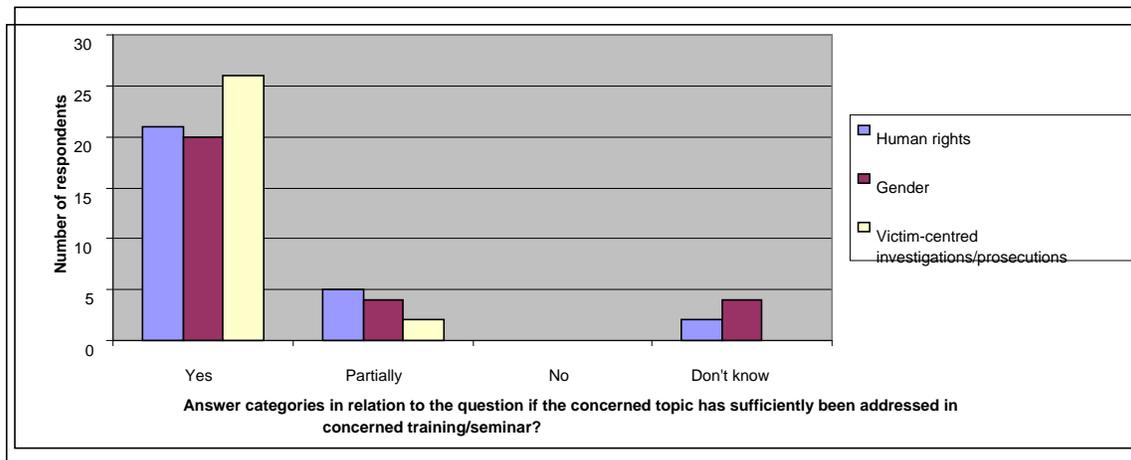
actually improved the national TiP response, the need for further training was also pointed out. In order to support and improve the monitoring of results, it is **recommended** to develop an online survey that can be sent to all trainees annually to solicit information about the utilization of acquired knowledge and skills after the training, and possible challenges therein. The use of an online system with limited costs is advantageous as data can be presented in such a way that analysis is straightforward, and can directly be used for reporting. Additionally, government officials can be subject to rotation, and this issue, which is another **recommendation**, is important to raise when discussing the selection of participants with government officials.

In the section on effectiveness some of the challenges with respect to the regional data management system have been pointed out. Additionally, in-house capacity, such as with respect to data analysis and the development of technical features of the database, could possibly also receive further attention in order to develop a mature system. This is even more pertinent as several stakeholders expressed an interest in replicating this regional data management mechanism. It is therefore **recommended** to plan for an independent participatory assessment in order to get a more comprehensive overview of the main challenges at the moment, factors that can be addressed by the project as well as those that are beyond the control of the UNODC project team and the SADC Secretariat. Additionally, this would also allow for a review of the different data management structures and divisions of responsibilities agreed on by partners, and good practices, lessons learned and ongoing challenges of the different governance models.

Human Rights and Gender

Human rights and gender have been mainstreamed in the project, although this can be done in a more explicit manner. The victim-centred approach, which is pivotal in UNODC assistance in the region, has been promoted in practice, and different stakeholders confirmed that UNODC has extensively highlighted this in training and other activities. A few actors however felt that human rights were not sufficiently addressed during capacity-building efforts, and that this topic deserved more attention in the future. Additionally, a clear reference to human rights and gender, and how the project will integrate these in activities and results, is missing in project documentation, such as the project idea and project revisions, and it is **recommended** to correct this in the future.

Graph 8: Human rights, gender & victim-centred investigations/prosecutions in training/seminars (online survey)



Gender has also been mainstreamed in the project by means of the victim-centred approach. The preferred scenario of having female investigators questioning female VoTs was regularly shared as an example of this approach during data collection for this evaluation. Some stakeholders however confused registration statistics with the actual proportion of female and male VoTs (statistics are not available of the actual number of VoTs). In addition, the view was also shared that women are more vulnerable to trafficking than men, which is not necessarily correct as gender is only one of several factors determining vulnerability to trafficking. The same applies to the gender bias with respect to traffickers, as women can also be involved in this criminal activity. It is important that these distinctions are clearly put forward in training in order to avoid the perpetuation of stereotypes and certain assumptions about trafficking that are not correct, and it is **recommended** to dedicate sufficient time on these issues when recruiting trainers and during performance appraisals of staff.

The RP notes that ‘all activities [must] have a fair percentage of women as direct beneficiaries’.⁴⁰ The challenge in Southern Africa is that most law enforcement officers are male, and that also in more senior positions, such as in the judiciary, the overall proportion of female judges and magistrates is lower than that of their male colleagues. Although sex-disaggregated statistics of trainees have been collected by the project team and used in donor reporting, these have not been provided per training or professional group in order to provide evidence of the above, and data that could inform the development of mainstreaming strategies to advance gender equality. Sex-disaggregated statistics have also not been provided in UNODC progress reports, and it is therefore **recommended** to give these per training per profession per country for the reasons highlighted above, and to prepare a comprehensive project gender mainstreaming strategy, which is further operationalized in an action plan with benchmarks.

⁴⁰ UNODC, 2013a: 7

III. CONCLUSIONS

As the guardian of UNTOC and the TiP Protocol, UNODC occupies a particular niche in strengthening the prevention of and response to human trafficking. The project has been able to successfully further the work in this field, and is still highly relevant in providing technical support to SADC Member States. Factors that have contributed to the effectiveness of the project have been the close cooperation with the SADC Secretariat, the policy framework provided by the SADC Strategy of Action, the political will and interest of the majority of SADC Member States to prioritize TiP, and available in-house capacity and expertise in the region. The project has been able to nurture and strengthen existing partnerships, and these have also been pivotal for the project's effectiveness and the continued interest and confidence in utilizing UNODC's technical support and capacity by the SADC Secretariat, SADC Member States and the donor. Additionally, the project has contributed to greater exposure of stakeholders at the regional level, and the strengthening of regional networks of focal persons and prosecutors has – among others – been one of the key achievements of the work undertaken during the past four years. Evaluation data confirm the widespread appreciation and satisfaction for UNODC's support given under the project. Lessons learned and recommendations given to UNODC during the first mid-term evaluation undertaken in 2012 have to a large extent been implemented in the second phase, and contributed to the positive feedback received during this evaluation.

The project team has worked hard to implement all activities and respond to requests of counterparts, which has been at some cost to the overall efficiency of the project. Although this has also been affected by the administrative change of UNODC to Umoja and several external factors, including political events in Member States, staff turnover and Leahy vetting by the donor, in-house capacity is limited. The combined responsibility of main technical expert and project coordinator in the international (previously national) position has posed logical challenges to the execution of both functions. The recent decision to recruit more international consultants to conduct national-level trainings is one way to manage the work load more efficiently. A further review of project capacity is however needed to guarantee that quality inputs can continue to be given to all components of the project. This is necessary in order to keep the momentum of the past couple of years, and be able to continue to meet existing needs and expectations created during that period. The fact that the project's success has partially been the result of informal relationships build on confidence and trust in UNODC's performance, with personal contacts driving the project, the increase in capacity must be carefully managed to guarantee the continued success of the project.

The participatory nature of project planning has also contributed positively to project performance. The ongoing dialogue with representatives of SADC Member States, and the joint planning with the SADC Secretariat and IOM Zimbabwe can be viewed as good practices in order to support a coherent approach to activities to prevent TiP and strengthen the response to this transnational crime. Project design must be updated in order to reflect the current situation. Monitoring of results, in particular at the outcome level, could also receive more attention in order to inform management decision-making processes, and provide inputs for annual reporting. Although sustainability has been considered in the overall project design, continued attention can

be given to the development of NAPs and other guiding documents, a dedicated effort to train in particular the judiciary as well as the institutionalization of TiP training in regional and national training institutes. Additionally, human rights and gender could be more explicitly integrated in project design, implementation and reporting, although the victim-centred approach has been at the centre stage of training activities.

The project has been designed within the framework of the SADC Strategic Plan of Action 2009-2019. A shift has taken place within Southern Africa to also focus more SoM, which can among others be observed in the draft SADC Regional Strategy to Combat Illegal Migration, Smuggling of Migrants and Trafficking in Persons, and recommendations given by the UNODC RP Southern Africa Steering Committee. This could potentially support the ongoing work on human trafficking in the region, but these changes in scope also create risks that could undermine the work that has been achieved thus far. Additionally, an effective criminal justice response is only possible if victim protection and assistance is adequately taken care of in the region. The continued coordination with the SADC Secretariat is pivotal. This could potentially be further expanded to prepare joint planning and progress reports within the framework of the RP in order to enhance transparency and accountability about activities, results and lessons learned of the work to strengthen the response to TiP of these two organizations in Southern Africa.

IV. RECOMMENDATIONS

The key findings of this mid-term project evaluation have led to the following recommendations given to the UNODC project team at ROSAF, ROSAF senior management and to UNODC Headquarters.

The project team in ROSAF is recommended to continue with the current approach of participatory planning, coordination and communication, and further synchronize approach, activities and communication, and support greater efficiency in the implementation of joint UNODC-SADC Secretariat TiP activities.

The team is also advised to strengthen the design of the project by means of developing a regional UNODC TiP/SoM strategy to support the overall direction of the project as well as fundraising activities, and prepare a more extensive project revision that reflects actual (including new) grant(s), project team capacity & related planning figures and provide further information about strategies to support sustainability, human rights and gender. The team is also requested to consider strengthening the monitoring system by means of monitoring more intensively process and implementing structures of counterparts and developing outcome level indicators, corresponding tools to collect such data and select and design user-friendly, efficient data management systems to support analysis.

The project team is further recommended to A) Review project team size and technical capacity to prepare a realistic proposal on increasing project team capacity to meet current project needs; B) Consider developing a small pool of expert trainers to support training in the region; C) Consider recruiting short term IT and data analysis expertise to strengthen the regional data management system.

With respect to training, the project team is advised to A) Continue and expand multi-disciplinary/basic-level but also in-depth training tailored to particular groups of professionals; B) Review the objectives of the ToT training; C) Continue with the litigation surgeries for prosecutors, and consider strengthening the contribution of the judiciary to these surgeries; D) Give sufficient attention to building capacity of the judiciary; E) Expand the option to support specific expert expertise, such as by means of providing an expert witness; F) Discuss the issue of rotation in relation to the training effectiveness with government counterparts. The project team is further recommended to make a concerted effort to make up for the delays, gather lessons learned from the piloting phase and expand implementation of the operational Task Forces, and strengthen sustainability of the project by supporting the development of national and regional-level law enforcement training institutes and universities by means of curricula development, and trainers and training activities. The team is also advised to consider financially and technically supporting ToT follow-up activities at the national level by the project to those governments with in-depth understanding of the substance matter.

The project team is further recommended to plan for an independent participatory assessment of the regional data management system in order to get a more comprehensive overview of its main

results and challenges, and to determine whether/what additional capacity is needed to develop it in a mature system, including with respect to data analysis/presentation.

The project team has further been advised to dedicate sufficient time on discussing gender mainstreaming while recruiting trainers and during performance appraisals of staff in order to correct existing assumptions and stereotypes, and to collect and share sex-disaggregated statistics per training/professional group/SADC Member State in internal progress reports. The team is also recommended to prepare a comprehensive project gender mainstreaming strategy, which is further operationalized in an action plan with benchmarks.

Several recommendations have also been made about the need to strengthen coordination within UNODC. The project team is recommended to strengthen coordination between UNODC ROSAF and UNODC ROEA about project-related activities in the SADC Member States that fall under the latter office, while senior management of UNODC ROSAF is advised to review project-related support given by UNODC field offices in the Southern African region to examine mechanisms for further cooperation. Furthermore, the programming section in UNODC headquarters is recommended to review the practice of giving responsibilities of global programmes to staff in the field in order to improve coordination and inter-UNODC working relation, and GLOT67 programme management is recommended to provide adequate staff capacity to manage the South Africa component of GLOT67.

Last but not least, the project team and concerned sections in UNODC headquarters are also recommended to prepare comprehensive narrative reports for the donor in order to give adequate information for advocacy purposes.

V. LESSONS LEARNED

Several good practices and lessons learned came to the fore during this mid-term project evaluation. Additionally, this evaluation has also considered the lessons learned given in the project evaluation undertaken in 2011 (published in 2012), and these have been reviewed in light of the data collected during this evaluation.

The following lessons can be learned from project implementation in order to improve design to positively impact on performance, results and effectiveness:

- The project budget was in several instances not adequately aligned with the actual resources needed for activities and human resources. This concerned, for instance, the need to have more than one workshop for legislative drafting in Namibia but also with respect to the overall project capacity needed to implement the project. Thus, it is key to budget adequately in order to achieve expected results;
- Another lesson learned is that in the design phase of a particular tool, such as during the development of the regional data management system, not only needs must be considered, but at an early stage also technical capacity, such as the availability of internet and the different technical capacities needed to develop a database on the one hand, and conduct analysis on the other hand in order to develop in first instance the tool that corresponds to the largest extent with available online/offline capabilities. Additionally, also the division of data collection and entry responsibilities must be taken into regard at this stage in order to provide hardware to those with data entry responsibilities in first instance.
- The development of policies, guidelines and other operational tools must ideally be first undertaken by the concerned government, providing that expertise and capacity is available. It can subsequently be shared with UNODC for technical guidance and support, and this way the process is faster and more efficient for that reason as advice can be given in a tailored manner while the government owns the process;
- The planning for the online survey undertaken for this evaluation re-confirmed the need to adequately register contact details of all participants to trainings and seminars, and type out the concerned information to facilitate designing and sending out online questionnaires. This in turn facilitates reporting, and the design of future surveys on effectiveness of such activities/outputs;

Several good practices emerged from the implementation of this project:

- The close cooperation, including the joint planning of UNODC with SADC and the joint planning with IOM Zimbabwe, has been viewed as a good practice by all involved stakeholders. These activities not only allow for the presentation of a coherent approach to the concerned SADC Member States, and avoid tensions and duplication of activities,

- but also builds on the opportunities presented by the different administrative systems of UNODC and SADC, and allow for the implementation of mutually reinforcing activities.
- The regional SADC focal person meetings held during the past two years are considered to be a good practice in order to provide a platform to share information and experiences, promote the strengthening of an informal regional network and supports the development of a regional perspective on the prevention of and response to trafficking. In other words, these meetings are effective to avoid a silo mentality in this area of work.
 - The regional prosecutor seminars (also referred to as litigation surgeries) have been viewed as a good practice too. These seminars provide the platform to share experiences and discuss relevant cases, including those from the region, in order to strengthen the capacity of prosecutors to deal with their own (sometimes first) cases. This informal network has been supported by a whatsapp group, and the use of dropbox, which has been used on a regular basis. Relevant indictments, arguments and judgements are posted on dropbox, which can subsequently be downloaded by colleagues for learning purposes.
 - The project has drawn on external expertise to a) customize the training to the national legislative context, criminal justice practice and the provision of services by means of inviting national professionals to give lectures; b) provide expert lectures by means of inviting high level professionals with a similar background to the trainees to share their experiences. For instance, in the training ‘Training of Trainers for Prosecutors, Magistrates and Judges on Trafficking in Persons’ , Maputo Mozambique, 27 – 29 October 2015 a Deputy Prosecutor General, Brazil was invited to take part as expert, and in the Malawi Judicial Colloquium on Trafficking in Persons held in Malawi on 21-22 April 2016 a Regional Court Magistrate from South Africa took part as guest trainer. This design of training not only led to a greater effectiveness, but also contributed to a stronger ownership of such events. Other examples are that heads of TIP Coordination bodies from Mozambique, Swaziland and South Africa shared best practices from their jurisdictions during the first national coordination workshop for the development of the TOR for Zimbabwe’s operational task forces, which took place in Zimbabwe on 26 – 30 September 2016, and the attendance of a prosecutor from the Nigeria’s National Agency on the Prohibition of Trafficking in Persons at the second Regional Litigation Surgery held on 10 – 14 October 2016 in South Africa to facilitate cross-regional learning.
 - The project has financially supported an expert witness, a former South African government official, to contribute to the first case judgment in Namibia. This activity has been viewed as highly effective to educate the concerned judge(s), and has led to setting a precedent for future cases.
 - Although determined by available funding, another good practice is the long-term perspective of this project, and the fact that it is ongoing since 2008, and has therefore been able to implement a comprehensive approach to strengthening the prevention of and response to TiP in Southern Africa. This could even be made more explicit in a regional TiP strategy to support fund-raising activities. The initial focus has shifted from technical assistance to ratifying UNTOC and the TiP Protocol to developing legislative frameworks to operational tools and capacity building of different criminal justice actors. The integration of an approach to support cooperation between the different actors in one

country, and regional cooperation at the same time, has been seen as instrumental and setting the stage for an already stronger criminal justice response to TiP.

The following **lesson** can be drawn from **unintended results**:

- The availability of only limited funds for certain activities, such as the workshops for legislative drafting in Namibia and the regional focal person workshops held in South Africa, actually resulted in a constructive and fruitful cooperation with SADC by means of joint UNODC/SADC activities. This further strengthened the partnership between these two agencies as well as regional ownership of the main results, and a lesson learned is actually that joint implementation can actually be more consistently taken into regard in project design and joint activity planning

The **lessons learned given in the 2012 project evaluation** of the first phase have been considered during the implementation of the project from December 2012-November 2016 as follows:

2012 Lesson learned 1: Project planning and design was done with participation of representatives from SADC and not with representatives from the respective member-states. Different countries were at different level of readiness and in some cases had already started with own initiatives related to ratification and the implementation of the United Nations Convention against Transnational Organized Crime and its two first additional Protocols. Specific needs and conditions of the respective member states were therefore not covered in the design and a generic approach was followed. The lesson learnt is that it might be constructive in future if recipient countries are active involved in planning and design phase to make sure project activities address specific needs and gaps. It will also increase the level of ownership of the recipient countries and will contribute towards alignment of project activities with recipient country priorities and needs.

- Project planning has not only been done together with representatives of the SADC Secretariat, but also by the donor as well as in close cooperation with SADC Member States. The project has clearly been tailored to the needs and priorities identified by the different Member States, as well as responded to their interest in pursuing activities in this particular area, in order to ensure that results are owned by governments. By doing so, the project team has been able to build positive working relations with these governments.

2012 Lesson learned 2: Assessment of existing implementation and coordination structures needed for project implementation, or lack thereof, during the planning and design phase could influenced project design to make provision for development of such capacity as part of project implementation.

- Implementation and coordination structures have been assessed, and provisions have been made – in different ways – in project activities to strengthen informal and formal coordination, including by the – planned – establishment of national TiP task forces. At the same time, with respect to the design of the regional data management system, more

attention ought to have been given to the available capacity and the link between those bodies responsible for collecting and entering data, and coordination bodies/persons.

2012 Lesson learned 3: Although identification and appointment of focal points per recipient country enhanced coordination and flow of communication, it could have been even more effective if focal point representatives received clear mandates and authority from the respective recipient countries with a clearly defined job description.

- UNODC is liaising with SADC focal persons as well as with relevant contact persons in other ministries, depending on the type of activities. Some focal persons and contact persons are more active than others, but the appointment of SADC focal persons is not an area in which UNODC can interfere as it is the prerogative of each SADC Member State. The same applies to providing clear mandates and authority from the respective recipient countries as this responsibility tends to be combined with several other duties.

ANNEX I. TERMS OF REFERENCE OF THE EVALUATION

UNITED NATIONS OFFICE ON DRUGS AND CRIME
Vienna

Terms of Reference of the

Independent Project Evaluation:

Capacity building for Member States of the Southern African Development Community (SADC) in the ratification and the implementation of the United Nations Convention against Transnational Organized Crime and the additional Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children.

XASS69

Southern Africa, Pretoria, South Africa



UNITED NATIONS
New York, Year

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I. BACKGROUND AND CONTEXT

Project number:	XASS69
Project title:	Capacity building for Member States of the Southern African Development Community (SADC) in the ratification and the implementation of the United Nations Convention against Transnational Organized Crime and the additional Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children.
Duration:	May 2008 – September 2017 (9 years 5 months)
Location:	SADC Region
Linkages to Country Programme:	N/A
Linkages to Regional Programme:	UNODC-SADC Regional Programme “Making the Southern African Development Community (SADC) Region Safer from Crime and Drugs” (2013-2016). Outcome 1.2 Countries of Southern African region coordinate and cooperate to prevent and combat human trafficking, its impact on victims, and the smuggling of migrants
Linkages to Thematic Programme:	Countering Illicit Trafficking and Organised Crime
Executing Agency:	UNODC ROSA
Partner Organizations:	Southern African Development Community (SADC) Secretariat
Total Approved Budget:	USD 2,579,653
Donors:	Austria, United States of America

Project Manager/Coordinator:	Samantha Irikidzai Munodawafa (nee Mundeta)
Type of evaluation (mid-term or final):	Mid-term
Time period covered by the evaluation:	December 2011 – end of the field mission (tentatively: April 2016) (the phase from 2008-2011 was already evaluated ⁴¹)
Geographical coverage of the evaluation:	SADC Region
Planned budget for this evaluation:	\$50,000.00
Core Learning Partners ⁴² (entities):	SADC Secretariat, USJTIP, Governments of Lesotho, Seychelles, Namibia and Botswana, IOM, UNICEF

Project overview and historical context in which the project is implemented

Member states of the Southern Africa Development Community (hereafter “SADC”) are known, without exception, to be affected by trafficking in persons (hereafter “TiP”) as source, transit and destination countries for victims of trafficking. The exact extent of the problem in SADC is difficult to quantify due to the hidden nature of the crime and to the fact that very few cases come to the attention of authorities and further that data collection capacities are limited. However the biennial [UN Global Report on TiP](#), the US TiP report and government reports (e.g. Tshireledzani – the South Africa National Prosecuting Authority commissioned report), indicate that citizens of SADC member states are being trafficked primarily for purposes of sexual and labour exploitation. Trafficking primarily occurs domestically (within the borders of countries) and intra-regionally (between countries within the SADC region.)

⁴¹http://www.unodc.org/documents/evaluation/Independent_Project_Evaluations/2012/XASS69_Final_Draft_6D_EC2012_rev.pdf

⁴²The Core Learning Partnership (CLP are the key stakeholders of the subject evaluated (project, programme, policy etc.) who have an interest in the evaluation. The CLP works closely with the Evaluation Manager to guide the evaluation process.

Children are the worst affected by the crime, accounting for 73.5% of victims in Sub-Saharan Africa according to the 2014 UN Global Report on Trafficking in Persons. Trafficking in Sub-Saharan Africa is also primarily domestic and intra-regional.

Over the years SADC Member States have come to recognise TiP as a problem in the region. At the onset of the period under evaluation (commencing December 2011), 12 out of 15 SADC member states had ratified the *United Nations Convention against Transnational Organized Crime* (UNTOC) and the additional *Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children* (hereafter the “TiP Protocol”), and only Swaziland, Angola and Zimbabwe were outstanding. However a number of the Member States had not developed comprehensive national legislation, policy frameworks and operating procedures against trafficking in persons, primarily due to limited capacity and expertise to effectively incorporate and domesticate international instruments into national legislation and other national mechanisms to combat trafficking in persons. Only 7 out 15 countries had comprehensive TiP legislation at the inception of the project.

In 2009 SADC Member States adopted the *10 Year SADC Strategic Plan of Action on Combating Trafficking in Persons, Especially Women and Children (2009 – 2019)* (hereafter “the SADC Strategic Plan of Action”). UNODC worked with the SADC Secretariat to help the Ministers responsible for gender develop this document which became the key guiding document in the design of national and regional responses to TiP.

It was in this context that UNODC, together with the SADC Secretariat, implemented a regional project (XAS/S69) aimed at building the capacity of SADC Member States in the ratification and the implementation of UNTOC and the TiP Protocol thereto. In relation to the project objective, UNODC assisted, and continues to assist, SADC and its Member States in strengthening technical and legal capacity of the competent national drafting authorities of SADC Member States in the ratification and incorporation of the Protocol, as well as in drafting, promulgation and implementation of national legislation, national policy frameworks and national plans of action to prevent, suppress and prosecute acts of TiP. Project outcomes are achieved by strengthening national coordination, providing legal and technical advice and assistance on drafting of comprehensive legislation, by developing national plans of action as well as by distributing UNODC resource material. The project also builds data collection capacities in a harmonised manner in the region in order to facilitate evidence-based planning and decision-making at national and regional level. Furthermore, the project builds the capacity of criminal justice practitioners on identification, investigation, prosecution and adjudication of TiP offences.

Justification of the project and main experiences / challenges during implementation

Key challenges encountered during project implementation

- **Postponements of activities due to competing priorities of member states.** Activities such as elections during 2013 in Zimbabwe, and 2014 in Malawi, Malawi’s assumption of the SADC chairmanship, and change of government, as well as political instability in Lesotho, resulted in prioritisation of these national events over UNODC activities. The project tried to re-schedule activities where possible.

- **Insufficient provision for the processes and costs involved in achieving some of the outcomes.** A good example of this was the outcome on development of “a data collection mechanism which improves the coordinated response to human trafficking.” Governments of selected SADC Member States were to be supported in developing and training staff on the use of a standardized TIP case reporting form and case database tool, maintained by the National Task Forces, to store the details captured by the reporting form. The only budget provided for was for an IT consultant and laptops. Yet developing such a system required a lot more – such as recruiting 3 types of IT experts, conducting a baseline study, workshops to obtain buy-in from Member States, procurement of equipment to facilitate internet access, conducting training workshops for users and first responders, development and printing of user-manuals. This activity ran on a shoe-string budget. However the project managed to improvise and succeeded in piloting the project, and in 2015, the project managed to secure an additional US TIP pledge to cover some of the funding gaps. Similarly, with the outcomes of developing legislation and policy frameworks, only 14 workshops were budgeted for. Yet in a single country, up to 4 consultative workshops were required to make a meaningful contribution to the legislative process. Partnership and joint planning with the SADC Secretariat made it possible to meet some of the funding gaps.
- **Bureaucratic challenges in jointly funded activities with partners.** The project faced bureaucratic challenges in activities jointly funded with the SADC Secretariat, and at times also IOM. Delays in procurement processes led to postponements of certain activities. However mitigating measures were taken such as more joint planning and taking measures to educate one another on respective procurement and mission planning processes.

Project documents and revisions of the original project document

During the period covered by the evaluation there were two project revisions. The first one was in 2013 when UNODC received a costed extension of the project duration until December 2015. This funding of USD 550,000 was received from US TIP. Amendments were made to outcomes, outputs and activities to include the provision of trainings, the development of data collection and reporting mechanisms, and develop further national policies and procedures in order to respond more effectively to cases of TiP.

The second project revision was made in 2015 when UNODC received another costed extension of the project duration until December 2017. This additional funding of USD 1,000,000 was received from US TiP yet again. Amendments were made to outcomes, outputs and activities, to make provision for further capacity building of criminal justice practitioners and activities to enhance regional cross-border cooperation in resolving TiP cases.

UNODC strategy context, including the project’s main objectives and outcomes and project’s contribution to UNODC country, regional or thematic programme

XASS69 is implemented under the Regional Office for Southern Africa’s strategic framework for implementation – that is the joint SADC-UNODC Regional Programme 2013-2016. It aims to support SADC countries to respond to the evolving threats and challenges related to crime, drugs and terrorism in all its manifestations. The Regional Programme is divided into three substantive pillars namely: Pillar I: Countering Illicit Trafficking and Organised Crime; Pillar II: Criminal Justice and Integrity; and Pillar III: Improving Drug Abuse Prevention, Treatment and Care, and HIV Prevention, Treatment and Care for People Who Use Drugs, including Injecting Drug Users and in Prison Settings. XASS69 contributes towards Pillar I. The main objective of the project is:

SADC Member States improve investigation, prosecution and adjudication of the crime of TIP and enhance identification of victims. The main outcomes of the project are:

- Selected SADC Member States have ratified the UN Convention against TOC and its Protocols and incorporated obligations in terms of the Convention and its Protocols into national legislation, policy frameworks, plans of action , implementing regulations and standard operating procedures;
- Enhanced capacity and effectiveness of Criminal Justice practitioners in selected SADC Member States to identify victims and investigate, prosecute and adjudicate of the crime of TIP
- Effective data collection mechanism which improves coordinated response to human trafficking.
- Task Forces at the national and regional level are established and operational, and respond in a coordinated manner to individual TIP cases.

Key results of previous evaluations

The main findings can be summarised as follows:

- Different countries were at different levels regarding legislation and implementation models. Therefore a “one-size-fits-all” approach would not be effective and tailor-made solutions for each country should be developed.
- There was insufficient ownership over the project within member states as only UNODC and SADC Secretariat were involved in the planning and design phase.
- Sufficient funds were available and on time to cover planned activities, and the budget allocated had been spent accordingly.
- However, cumbersome communication procedures and inadequate ownership by recipient countries delayed project implementation. Despite delays in the project, overall project management, reporting and financial management practices, and quality of inputs were of high standard
- Potential for sustainability was rated as satisfactory as beneficiary countries have incorporated inputs into day-to-day activities

It was recommended for UNODC that:

- a. Future planning and design should allow for formal participation from recipient countries to ensure buy-in and to ensure specific needs per country are covered by project activities.
- b. Future programmes should consider institutional capacity per recipient country and ensure management structures are established to ensure effective implementation of the Convention and its trafficking protocols.

It was recommended for recipient countries that:

- a. They should take ownership to develop and execute comprehensive implementation plans to ensure institutionalization of the Convention and Protocols, based on the foundation created through this project.
- b. The functioning of the focal points should be assessed with a view to establish fully mandated structures to coordinate activities within recipient countries. It will require high-level representation with decision-making authority.

It was recommended for Development Partners that:

- a. Future financial support be secured to ensure that project activities are entrenched and capacities are developed (human, institutional as well as infrastructural capacity) to ensure effective implementation of the UN Convention and subsequent legislation, policies and strategies.

II. DISBURSEMENT HISTORY

	<i>Total Approved Budget (December 2011 – December 2015)</i>	<i>Expenditure (December 2011 – December 2015)</i>	<i>Expenditure in % (December 2011 – December 2015)</i>
	1,424,734.00	1,323,922	93%

III. PURPOSE OF THE EVALUATION

Reasons behind the evaluation taking place

Originally a final participatory self-evaluation by means of a stakeholders workshop had been planned to take place before the completion of the project in 2015. However, because this modality no longer exists at UNODC, an independent project evaluation is now being conducted. Also, the project has since been extended to September 2017 and the budget has increased by \$1,400,000.00, hence the final evaluation is now planned for 2017. This second mid-term evaluation will take place from February 2016 – May 2016, to inform the continued duration of the project. The evaluation will determine whether the project objectives were met or not, the utilization of resources, identify areas for improvement and lessons learned for executing the next phase of the project and measure the progress made in line with recommendations from the first mid-term evaluation.

A first independent mid-term evaluation was already conducted in 2011/2012, which evaluated the time period from 2008 (start of the project) to December 2011. The evaluation is available on the UNODC Independent Evaluation Unit website: http://www.unodc.org/documents/evaluation/Independent_Project_Evaluations/2012/XASS69_Final_Draft_6DEC2012_rev.pdf

Assumed accomplishment of the evaluation

The overall expectation of the evaluation is to draw lessons from project implementation and form the basis for instituting improvements to the existing and future project planning, design and management, taking into consideration progress made on implementing the recommendations from the previous evaluation. It will also help UNODC and other stakeholders to take stock of the project, learn from its implementation process and results, and identify gaps. In particular the evaluator should identify factors that contributed to the progress made by the project in achieving its objectives and factors that made it difficult to achieve what was intended. The evaluator should also make findings on whether project delivery according to the design contains all the elements required to ensure that the results chain works as it should, including establishing whether additional elements are needed, whether there are elements of delivery that are superfluous or whether more should be done in some areas and less in others.

The main evaluation users

The main users of the evaluation will be:

UNODC and beneficiaries of the project - the findings, lessons and recommendation will inform implementation of the next phase of the project,

SADC Secretariat and other partners – for purposes of future joint planning and programme development

The donors – as an accountability mechanism.

IV. SCOPE OF THE EVALUATION

The unit of analysis to be covered by the evaluation

The scope of the evaluation is limited to project activities (XASS69) funded by the USJTIP pledges USA893 and USA973.

The time period to be covered by the evaluation

The evaluation will cover the time period from 22 December 2011 to end of the evaluation field mission (tentatively March 2016). This is the project period agreed upon in the donor award which is being evaluated.

The geographical coverage of the evaluation

The evaluation will be in respect of Angola, Botswana, Malawi, Lesotho, Namibia, Mozambique, Seychelles, Swaziland, Zimbabwe which are the beneficiary countries under the donor award, as well as *ad hoc* assistance provided to South Africa. The three countries for the field mission will be discussed and decided upon with the independent evaluation team together.

V. EVALUATION CRITERIA AND KEY EVALUATION QUESTIONS

The evaluation will be conducted based on the following DAC criteria: relevance, efficiency, effectiveness, impact, sustainability, as well as partnerships and cooperation, gender and human rights and lessons learned, and, will respond to the following below questions, however, provided as indicative only, and required to be further refined by the Evaluation Team.

<i>Relevance</i>
1. How relevant is the project to the beneficiary countries and the region, and how far does it meet their needs and priorities?
2. To what extent is the project aligned with the SADC Regional Strategic Plan of Action to Combat Trafficking in Persons and the SADC-UNODC Regional programme?
3. To what extent are the project objectives and results clear and logical and address clearly identified needs?
4. To what extent were evaluation recommendations implemented from the previous evaluation?
<i>Efficiency</i>
1. Were the resources and inputs converted to outputs in a timely and cost-effective manner?
2. To what extent have all planned outputs been delivered in logical sequence with high quality?
3. To what extent are UNODC management, coordination and monitoring mechanisms efficient and appropriate for the project?
<i>Effectiveness</i>
1. To what extent were the planned objectives and outcomes in the project document achieved?
2. What results were achieved beyond the logframe, and what is the variance between the planned objectives and outcome in the logframe, and actual achieved objectives and outcomes?
3. What was the quality of the outputs, in particular the legislative instruments, action plans and SOPs developed with the assistance of the project? To what extent were they compliant with international standards, adapted to local context and implementable?
<i>Impact</i>
1. What real difference has the project made to beneficiaries?
2. To what extent has the project contributed to an increased capacity of SADC member states to prevent, suppress and punish trafficking in persons in line with the Palermo Protocol?
3. To what extent did the project take appropriate measures to mitigate negative results/impact and is there any unintended impact?
<i>Sustainability</i>
1. To what extent are the project results (impact if any, and outcomes) likely to continue after the project ends?
2. Is stakeholders' engagement likely to continue, be scaled up, replicated or institutionalised after external funding ceases?
3. What is the level of ownership of the project by the beneficiary countries, and how will it impact sustainability after the project ends?
4. What were the major factors which influence the achievement or non-achievement of sustainability of the project?
<i>Partnerships and cooperation</i>
1. To what extent have partnerships been sought and established (including UN agencies) and synergies been created in the delivery of assistance?
2. Were efficient cooperation arrangements established between UNODC and Member States (recipients,

donors), regional partners (SADC), international organisations, Civil Society Organisations and UN Agencies?
3. To what extent were partnership mechanism set in place in order for partnerships to continue after the project ends?
<i>Human rights and gender</i>
1. To what extent were human rights and gender considered and mainstreamed in the design and implementation of the project?
2. To what extent did the project improve gender awareness of Member States?
3. Did the intervention envisage any specific impact on Human Rights and Gender? Is it clearly articulated in the results framework?
<i>Lessons learned</i>
1. What lessons can be learnt from the project implementation in order to improve performance, results and effectiveness in the future?
2. What best practices emerged from the project implementation?
3. What lessons can be drawn from unintended results?
4. Did the project use the lessons learnt from the previous evaluation during revising the project?

VI. EVALUATION METHODOLOGY

The methods used to collect and analyse data

The evaluator shall use a mixed methods approach of qualitative and quantitative methods to assess the project's achievements. Although this TOR provides basic information on the methodology to be used, it is not exhaustive. The evaluator must propose, explain and justify the appropriate evaluation methodology in the Inception Report in conformity with the United Nations Evaluation Group Norms and Standards and the UNODC Evaluation Norms and Standards. The Inception Report must specify the evaluation criteria, indicators, sources of information and methods of data collection. All deliverables of this evaluation must be in line with UNODC Evaluation Norms, Standards, Templates, Guidelines, etc.⁴³

The evaluation shall be carried out in the following stages:

1. A preliminary desk review of all relevant project documentation and key outputs produced by the project such as national legislation, regulations, policies, previous evaluation, etc (see Annexure I);

⁴³ <http://www.unodc.org/unodc/en/evaluation/independent-project-evaluations-step-by-step.html>

2. Preparation of an Inception Report containing preliminary findings of desk review, refined evaluation questions, data collection instruments, sampling strategy (including a rationale for selecting the countries for the field missions, discussed with the Project Coordinator), limitations to the evaluation and timetable (and drafted in line with IEU guidelines and templates), to be reviewed by the Project Coordinator and IEU, and cleared by IEU before any field mission can take place;
3. Field research and visits to stakeholder agencies and selected project beneficiary countries to facilitate opportunities for face-to-face interviews and discussions with beneficiaries and on-site observation of the impact of the project;
4. Dispatchment of surveys, questionnaires or any other relevant quantitative and/or qualitative tools as a means to collect relevant data for the evaluation;
5. Analysis of all available information and preparation of the draft evaluation report in accordance with UNODC's Guidelines for Evaluation Report and Template report. The evaluator submits the draft report to the Project Coordinator for review of factual errors, and the Project Coordinator shares the draft report with IEU for review, comments and clearance. The Project Coordinator shares the final report with all Core Learning Partners for comments on factual errors.;
6. Preparation of final evaluation report. The evaluator incorporates the required changes and finalises the evaluation report, following feedback from IEU, the Project Coordinator and the CLPs, then submits it to IEU for final clearance;
7. Presentation of evaluation findings to a meeting of beneficiaries, stakeholder agencies, donors and project team.

The sources of data

The evaluation will use a mixture of primary and secondary sources of data. Examples of primary sources of data that may be used include actual outputs of the project such as legislation, action plans, and SOPs drafted with UNODC support, interviews with key stakeholders (face-to-face or via telephone), field missions for case studies, observation and other participatory techniques, surveys and questionnaires. Secondary data will include, project documents and their revisions, progress and monitoring reports, evaluation reports, and all other relevant documents.

VII. TIMEFRAME AND DELIVERABLES

Time frame for the evaluation

The evaluation process shall be carried out between March 2016 and June 2016. In order for the evaluator to be in a position to conduct the desk review within a week in preparation of the inception report, the evaluator will be provided the documents in advance.

Time frame for the field mission

The evaluator will be on mission from 23 November – 9 December 2016.

Expected deliverables and time frame

<i>Duties</i>	<i>Time frame</i>	<i>Location</i>	<i>Deliverables</i>
Desk review and preparation of Draft Inception Report	1 November 2016 to 18 November 2016 (9 working days)	Home base	List of evaluation questions; Evaluation tools; Draft Inception report (to be reviewed and cleared by IEU; can entail various rounds of comments)
Deliverable A – Final Draft Inception Report in line with UNODC Evaluation guidelines, handbook, templates, norms and standards	By 18 November 2016		To be cleared by IEU
Interviews with staff at UNODC ROSAFF; Evaluation mission: briefing, interviews; presentation of preliminary findings	23 November 2016 – 9 December 2016 (13 working days)	UNODC/ROSAFF; selected countries	Presentation of preliminary findings
Drafting of the evaluation report; submission to Project Management and IEU for review	12 December 2016 – 20 January 2017 (08 working days)	Home base	Draft evaluation report (to be reviewed and cleared by IEU; can entail various rounds of comments)
Deliverable B – Draft Evaluation Report in line with UNODC Evaluation guidelines, handbook, templates, norms and standards	By 20 January 2017		To be cleared by IEU

Incorporation of comments from project management and IEU	23 – 25 January 2017 (3 working days)	Home base	Revised draft evaluation report (to be reviewed and cleared by IEU)
Project Management: share draft evaluation report with Core Learning Partners for comments	27 January – 10 February 2016		
Incorporate comments from Core Learning Partners and IEU	13 – 15 February 2017 (3 working days)	Home base	Revised draft evaluation report (to be reviewed and cleared by IEU)
Presentation of final report	20 February 2016 (1 working day)	Home base (Skype)	Prepare and deliver Power Point Presentation via Skype
Deliverable C - Finalization of report incl. Management response (if needed)	By 20 February 2016	Home base; UNODC	Final evaluation report; Presentation of final evaluation findings and recommendations All to be cleared by IEU

VIII. EVALUATION TEAM COMPOSITION

Number of evaluators needed

The evaluation will be conducted by a team consisting of an international consultant with expertise in evaluation, and a national consultant with expertise in TiP who will support the international consultant. Preference will be given to an evaluation team that is gender balanced and culturally sensitive to the SADC context.

The evaluation process will be coordinated by the Project Coordinator based in Pretoria in close coordination with the Regional Representative, UNODC Regional Office for Southern Africa, as well as key Government counterparts and under the guidance by IEU.

The consultants will be appointed on the basis of experience in project evaluation, monitoring, implementation and knowledge of the subject and the proposed candidates will be reviewed and cleared by IEU before they are contracted.

The Evaluation Team will not act as a representative of any party and must remain independent and impartial.

The role of the lead evaluator

Carry out the desk review; develop the inception report, including evaluation methodology to be employed and tools to be used; draft and finalize the inception report and evaluation methodology, incorporating relevant comments, in line with the guidelines and template on the IEU website <http://www.unodc.org/unodc/en/evaluation/evaluation-step-by-step.html>; lead and coordinate the evaluation process and oversee the tasks of the evaluators; implement quantitative tools and analyze data; triangulate data and test rival explanations; ensure that all aspects of the terms of reference are fulfilled; draft an evaluation report in line with UNODC evaluation policy and the guidelines and template on the IEU website <http://www.unodc.org/unodc/en/evaluation/evaluation-step-by-step.html>; finalize the evaluation report on the basis of comments received; include a management response in the final report; present the final evaluation findings and recommendations to stakeholders.

More details will be provided in the respective job descriptions in Annex I.

The role of the national evaluator

Assist the Lead Evaluator in all stages of the evaluation process, as per the respective TOR; participate in selected missions; provide methodological evaluation quality assurance throughout the evaluation process; comment on all deliverables of the evaluation team; assist the Lead Evaluator in all stages of the evaluation process; join some of the planned missions and apply methodological tools.

More details will be provided in the respective job descriptions in Annex I.

Absence of Conflict of Interest

According to UNODC rules, the consultants 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.

Reference to the evaluators ToR detailing qualifications and responsibilities

Please refer to Annex II for the details of the evaluation teams ToR.

IX. MANAGEMENT OF EVALUATION PROCESS

Roles and responsibilities of the Project Coordinator

The Project Coordinator is responsible for managing the evaluation, drafting and finalizing the ToR, selecting Core Learning Partners and informing them of their role, recruiting evaluators (after IEU clearance), providing desk review materials to the evaluation team, reviewing the inception report as well as the evaluation methodology, liaising with the Core Learning Partners, reviewing the draft report, assessing the quality of the final report, as well as developing an implementation plan for the evaluation recommendations as well as follow-up action (to be updated once per year).

Roles and responsibilities of the evaluation stakeholders

Members of the Core Learning Partnership (CLP) are selected by the project managers. Members of the CLP are selected from the key stakeholder groups, including UNODC management, mentors, beneficiaries, partner organizations and donor Member States. The CLPs are asked to comment on key steps of the evaluation and act as facilitators with respect to the dissemination and application of the results and other follow-up action.

Roles and responsibilities of the 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>.

IEU reviews and clears all deliverables of this evaluation – Terms of Reference; Selection of consultants; Inception Report; Draft Evaluation Report; Final Evaluation Report; Evaluation Follow-up Plan.

Logistical support responsibilities

The Project Coordinator will be in charge of providing logistical support to the evaluation team including arranging the field missions of the evaluation team. For the field missions, the evaluation team liaises with the UNODC Regional/Field Offices and mentors as appropriate.

X. PAYMENT MODALITIES

Consultants will be issued consultancy contracts and paid in accordance with UNODC rules and regulations. The contract is a legally binding document in which the consultant agrees to complete the deliverables by the set deadlines. It is the responsibility of the requesting office to carefully consider and determine the estimated time period that the consultant would need, to be able to produce quality work and fully complete all the expected deliverables on time. It is particularly essential that sufficient time is planned for the drafting and finalizing of the report, including the process of consultation and incorporation of comments and changes. Payment is correlated to deliverables and three installments are typically foreseen:

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

For field work, UNODC will pay a Daily Subsistence Allowance in line with UN policy, in addition to the consultancy fees quoted by the consultant. Therefore the consultant's proposal need not include a budget for the planned data collection missions. 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.

The consultant will be responsible for telephone and data costs incurred outside of the UNODC offices. Otherwise while in UNODC offices, the consultant may make use of office facilities including phone, wifi, and printing facilities.

ANNEX I. TERMS OF REFERENCE FOR EVALUATORS

Independent Project Evaluation of the UNODC project

Terms of Reference for the International Evaluation Consultant

Post title	International Evaluation Consultant and Team Leader
Organisational Section/Unit	UNODC ROSAFF
Duty station	Home base; missions to Countries in the SADC region
Proposed period	1 November 2016 – 30 April 2017
Starting date required	1 November 2016
Actual work time	37 days
Fee Range	

1. Background of the assignment:

UNODC, together with the SADC Secretariat, implemented a regional project (XAS/S69) aimed at building the capacity of SADC Member States in the ratification and the implementation of UNTOC and the TiP Protocol thereto. In relation to the project objective, UNODC assisted, and continues to assist, SADC and its Member States in strengthening technical and legal capacity of the competent national drafting authorities of SADC Member States in the ratification and incorporation of the Protocol, as well as in drafting, promulgation and implementation of national legislation, national policy frameworks and national plans of action to prevent, suppress and prosecute acts of TiP. Project outcomes are achieved by strengthening national coordination, providing legal and technical advice and assistance on drafting of comprehensive legislation, by developing national plans of action as well as by distributing UNODC resource material. The project also builds data collection capacities in a harmonised manner in the region in order to facilitate evidence-based planning and decision-making at national and regional level. Furthermore, the project builds the capacity of criminal justice practitioners on identification, investigation, prosecution and adjudication of TiP offences.

The main objective of the project is:

SADC Member States improve investigation, prosecution and adjudication of the crime of TIP and enhance identification of victims.

The main outcomes of the project are:

- Selected SADC Member States have ratified the UN Convention against TOC and its Protocols and incorporated obligations in terms of the Convention and its Protocols into national legislation, policy frameworks, plans of action , implementing regulations and standard operating procedures;
- Enhanced capacity and effectiveness of Criminal Justice practitioners in selected SADC Member States to identify victims and investigate, prosecute and adjudicate of the crime of TIP
- Effective data collection mechanism which improves coordinated response to human trafficking.
- Task Forces at the national and regional level are established and operational, and respond in a coordinated manner to individual TIP cases.

2. Purpose of the assignment:

The purpose of this assignment is to conduct the Independent mid-term evaluation of the UNODC project XAS/S69 in line with UNODC Evaluation Policy, Norms, Standards, Templates and Guidelines as well as UNEG Norms and Standards. The full evaluation Terms of Reference will be shared with the selected evaluator.

Objective of the evaluation: The purpose of this evaluation is to measure achievements of the project objectives, outcomes and impact. The overall expectation of the evaluation is to draw lessons from project implementation and form the basis for instituting improvements to the existing and future project planning, design and management. It will also help UNODC and other stakeholders to take stock of the project, learn from its implementation process and results, and identify gaps.

The main users of the evaluation will be UNODC and beneficiaries of the project, to use the findings, lessons and recommendation to inform implementation of the next phase of the project, the donor (USJTIP) for monitoring and evaluation purposes and UNODC's main partner SADC Secretariat to inform future joint programme development and strategic planning.

Evaluation Criteria and questions: The evaluation will be conducted based on the following DAC criteria: relevance, efficiency, effectiveness, impact, sustainability, as well as partnerships and cooperation, gender and human rights and lessons learned. It will respond to the questions below, however the evaluator is required to further refine the questions as they are provided only as indicative questions.

The evaluation team will focus on crucial and strategic issues during project design and implementation. The major emphasis will be on measuring outcomes, impact, and sustainability of project results. The evaluation will also analyse project concept and design, and project implementation.

The evaluation team will also assess whether the desired results have been achieved, and if not, whether there has been some progress made towards their achievement, whether the programme addresses the identified needs/problem (relevance), whether the programme/project contributes to a priority area or comparative advantage for UNODC in the country or region. In particular the evaluator should identify factors that contributed to the progress made by the project in achieving its objectives and factors that made it difficult to achieve what was intended. The evaluator should also make findings on whether project delivery according to the design contains all the elements required to ensure that the results chain works as it should, including establishing whether additional elements are needed, whether there are elements of delivery that are superfluous or whether more should be done in some areas and less in others

The evaluation team will ensure that lessons learnt and best practices from the project will be recorded and recommendations on possible follow-up activities will be made as appropriate. The evaluation will also assess the spin-offs, if any, as well as any achievements, beyond the project mandate. While analyzing the challenges in implementation, the efforts made to address the challenges will also be evaluated including efforts made to sustain the activities. This ToR guiding the evaluation defines the major parameters and core questions/issues which the evaluation seeks to answer in its final report. The Evaluator will develop specific questions and required instruments (questionnaire/checklist) to gather field information in order to fulfil the evaluation ToR requirements.

The evaluation team shall assess the achievements of project objectives, quality and quantity of outputs produced and of outputs likely to be produced, outcomes and impact achieved or expected to be achieved by the project. This should encompass an assessment of the achievement of the immediate objectives and the contribution to attaining the project objectives. The Evaluator should, in particular, assess:

- a. The anticipated positive and negative, intended and unintended, effects of interventions on beneficiaries, institutions, and the physical environment after implementation of project;
- b. The perceptions of the different stakeholders, especially government counterparts, implementing partners, and other relevant agencies, about the overall impact of project interventions;
- c. The sustainability of project results after the project completion in terms of continuity of the project activities either by the government or by implementing partners after the project funding.

The evaluation team shall make recommendations, as appropriate. Recommendations may also be made in respect of issues related to the planning, execution and implementation of the project. They should constitute ideas and proposals for concrete action, which could be taken in future to improve and rectify undesired outcomes and could be included in the design of future national/regional projects.

The evaluation team should record lessons learned and best practices from the project, which are valid beyond the project itself. The evaluation shall also record the difference this project has made to the beneficiaries and their willingness to sustain the activities.

3. Specific tasks to be performed by the evaluation consultant:

Under the guidance of the Independent Evaluation Unit, the International Evaluation Consultant will collaborate with the National Evaluation Consultant on the Independent Project Evaluation of the UNODC project XASS69. On the basis of the Evaluation Terms of Reference, key responsibilities of the Team Leader include (i) development of the evaluation design with detailed methods, tools and techniques, (ii) leading the evaluation process and assigning responsibilities to team members, (iii) ensuring adherence to the UNEG Norms and Standards, UNODC Evaluation Guidelines and Templates, and the evaluation ToR, and (iv) ensuring overall coherence of the report writing, (v) ensuring that all deliverables are submitted in line with UNODC evaluation policy, handbook, guidelines and templates.

4. Expected tangible and measurable output(s):

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. All deliverables will be reviewed and cleared by the UNODC Independent Evaluation Unit.

The evaluator will have the overall responsibility for the quality and timely submission of all 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 guidelines and templates.
- Presentation of preliminary evaluation findings and recommendations to internal and external key stakeholders (if applicable).
- Draft evaluation report in line with UNODC evaluation policy, handbook, guidelines and templates.
- Revised draft report based on comments received from the various consultative processes (IEU, internal and external).
- Final evaluation report, in line with UNODC evaluation policy, handbook, guidelines and templates
- Final PowerPoint presentation to stakeholders.

5. Dates and details as to how the work must be delivered:

The consultant will be hired full time for 37 working days (home-based and field missions) over a period of 3 and a half months between 1 March 2016 and 30 June 2016.

On the basis of the Evaluation Terms of Reference, s/he will carry out the following deliverables and tasks. A time-bound calendar will be proposed when the contract will be signed.

The detailed, tentative timeline for the evaluation is as follows:

<i>Deliverable</i>	<i>Output</i>	<i>Working Days</i>	<i>To be accomplished by (date)</i>	<i>Location</i>
	Desk review and Inception Report	07 days	11 November 2016	Home base
	Incorporate IEU's comments on Draft Inception Report	02 days	18 November 2016	Home base
A.	Final Draft Inception Report in line with UNODC Evaluation handbook,		18 November 2016	Home base

	norms, standards and templates; reviewed and cleared by IEU (can entail various rounds of comments)			
	Interviews with staff at UNODC HQ; Evaluation mission: briefing, interviews and presentation of preliminary findings	13 days	9 December 2016	UNODC ROSAFF; Countries/Cities
	Drafting of the evaluation report, Guidelines and Templates; submission to Project Management and IEU for comments;	08 days	20 January 2017	Home base
B.	Draft Evaluation Report in line with UNODC Evaluation Policy, Handbook, norms, standards and templates; reviewed and cleared by IEU (can entail various rounds of comments)		20 January 2017	Home base
	Incorporation of comments (including revisions according to IEU comments)	03 days	25 January 2017	Home base
	Submission of cleared Draft Evaluation Report to Core Learning Partners (CLPs) for comments (done by PM/IEU)		27 January 2017	
	Incorporation of comments of CLPs and finalization of report	03 days	15 February 2017	Home base; UNODC/HQ
	Presentation of final report	01 day	20 February 2017 (tentative)	Home base (Skype)
C.	Final Draft Evaluation Report in line with UNODC Evaluation Policy, Handbook, norms, standards and templates; reviewed and cleared by IEU (can entail various rounds of comments) and presentation of findings		20 February 2017	Home base; UNODC

Payments will be made upon satisfactory completion and/or submission of outputs/deliverables (as cleared by the UNODC Independent Evaluation Unit).

Payment Details

The evaluator will be issued a consultancy contract and paid in accordance with United Nations rules and procedures. Fees payment correlates to the following deliverables.

Deliverable	Output	Working Days	To be accomplished by (date)
A.	Final Draft Inception Report in line with UNODC Evaluation handbook, norms, standards and templates; reviewed and cleared by IEU (can entail various rounds of comments)	09	Tentatively 18 November 2016
B.	Draft Evaluation Report in line with UNODC Evaluation Policy, Handbook, norms, standards and templates; reviewed and cleared by IEU (can entail various rounds of comments)	21	Tentatively 20 January 2017
C.	Final Draft Evaluation Report in line with UNODC Evaluation	7	Tentatively

	Policy, Handbook, norms, standards and templates; reviewed and cleared by IEU (can entail various rounds of comments) and presentation of findings		20 February 2017
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For field work travel, UNODC will pay a Daily Subsistence Allowance in line with UN policy, in addition to the consultancy fees quoted by the consultant. Therefore the consultant's proposal need not include a budget for the planned data collection missions. 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.

The consultant will be responsible for telephone and data costs incurred outside of the UNODC offices. Otherwise while in UNODC offices, the consultant may make use of office facilities including phone, wifi, and printing facilities.

Payments will be made upon satisfactory completion and/or submission of outputs/deliverables and cleared by IEU.

6. Indicators to evaluate the consultant's performance:

Timely and satisfactory delivery of the above mentioned outputs as assessed by IEU (in line with UNODC evaluation policy, handbook, guidelines and templates as well as UNEG Standards and Norms)⁴⁴.

Supervision and Performance Evaluation: The Programme Coordinator UNODC ROSAFF will be responsible for review/evaluate the performance and upon approval of reports and tools by IEU.

Timeframe and deadlines: This assignment is for UNODC ROSAFF for a period of 37 days starting from 01 November 2016.

Reports: The Consultant will present the results to UNODC ROSAFF from time to time to share the progress of activities under this contract and certifying that the works, tasks, assignment have been satisfactorily performed.

Inputs: UNODC will provide the related documents and will assist the consultant in access to key stakeholders for arranging meetings and consultations. Consultant should use his/her own laptop.

⁴⁴ Please visit the IEU website for all mandatory templates and guidelines to use in this evaluation: <http://www.unodc.org/unodc/en/evaluation/normative-tools.html>

Tentative Payment Schedule:

The number of working days will be paid directly for each deliverable as follows

- Payment for 9 working days after receipt of the **Final Draft Inception Report**
- Payment for 21 working days after receipt of the **Draft Evaluation Report**
- Payment for 7 working days after **finalization of the Evaluation Report**

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

Duties of the international consultant

The International Evaluation Consultant will collaborate with the National Evaluation Consultant on the Independent Project Evaluation of the UNODC project XASS69. On the basis of the Terms of Reference s/he will carry out the following duties:

- Lead and coordinate the evaluation process;
- Undertake the desk review of all relevant project documentation, and on this basis oversee the finalization of the evaluation methodology, in compliance with the UNODC and UNEG evaluation norms and standards;
- Produce an Inception Report based on the UNODC Evaluation guidelines, as well as a Questionnaire (to be reviewed and cleared by IEU before the field mission);
- Implement quantitative tools and analyze data; triangulate data and test rival explanations;
- Undertake mission to beneficiary countries and UNODC ROSAFF Field Office and provide appropriate briefings;
- Provide timely inputs throughout the process to help to ensure that all aspects of the Terms of Reference are fulfilled;
- Draft the evaluation report to be circulated for comments and factual validation to Project Management, IEU and Core Learning Partners (final clearance by IEU);
- Incorporate comments received from IEU, as well as consider comments on factual errors received from Project Manager, Core Learning Partners;

- Finalize the final evaluation report on the basis of comments received, as well as the Evaluation Briefs and PowerPoint presentation on final evaluation findings and recommendations; (all to be reviewed and cleared by IEU)
- Present the final evaluation report and its evaluation findings and recommendations.

Academic Qualifications: Advanced university degree (Master's degree or equivalent) in social sciences, economics, humanities, law and policy or related field with specialized training in evaluation.

Experience: 10 years experience in conducting evaluations, various evaluation methodologies and techniques in the development field (qualitative and quantitative models); prior experience in planning, designing, implementing, analyzing and reporting results of qualitative and quantitative studies including survey design and implementation; Experience in policy planning and policy analysis; academic qualifications or experience in human trafficking, organized crime, law enforcement, and criminal justice; knowledge of the UN system is an asset; previous work/research/evaluation experience in Southern Africa (desirable) understanding of gender and human rights considerations is an asset; excellent communication and drafting skills; fluency in oral and written English is required; the ability to communicate in Portuguese is a strong asset.

The consultant should demonstrate:

- extensive knowledge of, and experience in applying, qualitative and quantitative evaluation methods;
- a strong record in designing and leading evaluations;
- technical competence in the area of evaluation (advanced university degree or practical experience);
- excellent communication and drafting skills in English; proven by previous evaluation reports.

The consultant must have excellent spoken and written English. Knowledge of Portuguese is an advantage.

Absence of Conflict of Interest

According to UNODC rules, the consultant 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.

Ethics

The evaluators shall respect the UNEG Ethical Guidelines.

8. Submission of proposals

Interested consultant must submit both Technical and Financial proposal separately:

A) Technical Proposal

1. Detailed methodology, understanding the assignment, expected deliverables and timelines (max 3 page).
2. Recent Curriculum Vitae (max. 7 page)

B) Financial Proposal:

The financial proposal shall specify a total lump sum amount of Consultancy fee, Travel cost, and other relevant cost around specific and measurable (qualitative and quantitative) deliverables.

9. Evaluation of candidates

Individual consultants will be evaluated through Cumulative Analysis method. The award of the contract will be made to the individual consultant whose offer has been evaluated and determined as:

- a) responsive/compliant/acceptable, and
- b) having received the highest score out of a pre-determined set of weighted technical and financial criteria specific to the solicitation.

Only candidates obtaining a minimum of 49 points in the technical evaluation would be considered for Financial Evaluation.

Technical evaluation criteria (Total 70 marks)

Education in relevant subjects- 10 marks

Knowledge on Human Trafficking issues, Human Rights and UN human rights mechanisms/instruments - 10 Marks

Experience and skills in carrying out programme evaluation - 40 Marks

Methodology, activities, work plan and clear understanding of the assignment - 10 Marks

Financial evaluation (Total 30 marks)

All technical qualified proposals will be scored out 30 based on the formula provided below. The maximum points (30) will be assigned to the lowest financial proposal. All other proposals received points according to the following formula:

$$p = y (\mu/z)$$

where:

p = points for the financial proposal being evaluated

y = maximum number of points for the financial proposal

μ = price of the lowest priced proposal

z = price of the proposal being evaluated

Independent evaluation of the UNODC project:

Terms of Reference for the National Evaluation Consultant

Post title	National Evaluation Consultant/Team Member
Organisational Section/Unit	UNODC ROSAFF
Duty station	Home base; missions to Countries/Cities
Estimated time period	1 November – 30 April 2016
Starting date required	1 November 2016
Actual work time	37 days
Fee Range	(A through E – ST/AI/2013/4 Annex III refers)

1. Background of the assignment:

UNODC, together with the SADC Secretariat, implemented a regional project (XAS/S69) aimed at building the capacity of SADC Member States in the ratification and the implementation of UNTOC and the TiP Protocol thereto. In relation to the project objective, UNODC assisted, and continues to assist, SADC and its Member States in strengthening technical and legal capacity of the competent national drafting authorities of SADC Member States in the ratification and incorporation of the Protocol, as well as in drafting, promulgation and implementation of national legislation, national policy frameworks and national plans of action to prevent, suppress and prosecute acts of TiP. Project outcomes are achieved by strengthening national coordination, providing legal and technical advice and assistance on drafting of comprehensive legislation, by developing national plans of action as well as by distributing UNODC resource material. The project also builds data collection capacities in a harmonised manner in the region in order to facilitate evidence-based planning and decision-making at national and regional level. Furthermore, the project builds the capacity of criminal justice practitioners on identification, investigation, prosecution and adjudication of TiP offences.

The main objective of the project is:

SADC Member States improve investigation, prosecution and adjudication of the crime of TIP and enhance identification of victims.

The main outcomes of the project are:

- Selected SADC Member States have ratified the UN Convention against TOC and its Protocols and incorporated obligations in terms of the Convention and its Protocols into national legislation, policy frameworks, plans of action , implementing regulations and standard operating procedures;

- Enhanced capacity and effectiveness of Criminal Justice practitioners in selected SADC Member States to identify victims and investigate, prosecute and adjudicate of the crime of TIP
- Effective data collection mechanism which improves coordinated response to human trafficking.
- Task Forces at the national and regional level are established and operational, and respond in a coordinated manner to individual TIP cases.

2. Purpose of the assignment:

The purpose of this assignment is to support the Independent mid-term evaluation of the UNODC project XAS/S69 in line with UNODC Evaluation Policy, Norms, Standards, Templates and Guidelines as well as UNEG Norms and Standards. The full evaluation Terms of Reference will be shared with the selected evaluator.

Objective: The purpose of this evaluation is to measure achievements of the project objectives, outcomes and impact. The overall expectation of the evaluation is to draw lessons from project implementation and form the basis for instituting improvements to the existing and future project planning, design and management. It will also help UNODC and other stakeholders to take stock of the project, learn from its implementation process and results, and identify gaps.

The main users of the evaluation will be UNODC and beneficiaries of the project, to use the findings, lessons and recommendation to inform implementation of the next phase of the project, the donor (USJTIP) for monitoring and evaluation purposes and UNODC's main partner SADC Secretariat to inform future joint programme development and strategic planning.

Evaluation Criteria and questions: The evaluation will be conducted based on the following DAC criteria: relevance, efficiency, effectiveness, impact, sustainability, partnerships and cooperation, gender and human rights and lessons learned. It will respond to the questions below, however the evaluator is required to further refine the questions as they are provided only as indicative questions.

3. Specific tasks to be performed by the evaluation consultant:

Under the guidance of the International Evaluation Consultant/Team Leader, the National Evaluation Consultant will collaborate with the Team Leader on the Independent Project Evaluation of the UNODC project XASS69.

The National Evaluation Consultant is to support the evaluation Team Leader in developing evaluation methods and tools, focus substantively on topics assigned for his/her assessment

during the desk reviews and field missions, provide written inputs to the draft report and address any other tasks given by the team leader.

4. Expected tangible and measurable output(s):

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

- Assist the Team Leader in drafting the inception report - containing a refined work plan, methodology and evaluation in line with UNODC evaluation policy, handbook, guidelines and templates.
- Presentation of preliminary evaluation findings and recommendations to internal and external key stakeholders (if needed).
- Draft relevant chapters of the evaluation report in line with UNODC evaluation policy, handbook, templates and guidelines and contribute to overall analysis.
- Revised draft report based on comments received from the various consultative processes (IEU, internal and external).
- Final evaluation report.
- Final PowerPoint presentation to stakeholders.

5. Dates and details as to how the work must be delivered:

The consultant will be hired full time for 37 working days (home-based and field missions) over a period of three months between 1 March 2016 and 30 June 2016.

On the basis of the Evaluation Terms of Reference, s/he will carry out the following deliverables and tasks. A time-bound calendar will be proposed when the contract will be signed.

The detailed, tentative timeline for the evaluation is as follows:

<i>Deliverable</i>	<i>Output</i>	<i>Working Days</i>	<i>To be accomplished by (date)</i>	<i>Location</i>
	Desk review and Inception Report	07 days	11 November 2016	Home base
	Incorporate IEU's comments on Draft Inception Report	02 days	18 November 2016	Home base
A.	Final Draft Inception Report in line with UNODC Evaluation handbook, norms, standards and templates; reviewed and cleared by IEU (can entail various rounds of comments)		18 November 2016	Home base
	Interviews with staff at UNODC HQ; Evaluation mission: briefing, interviews and presentation of preliminary findings	13 days	9 December 2016	UNODC ROSAFF; Countries/Cities
	Drafting of the evaluation report, Guidelines and Templates; submission to Project Management and IEU for comments;	08 days	20 January 2017	Home base
B.	Draft Evaluation Report in line with UNODC Evaluation Policy, Handbook, norms, standards and templates; reviewed and cleared by		20 January 2017	Home base

	IEU (can entail various rounds of comments)			
	Incorporation of comments (including revisions according to IEU comments)	03 days	25 January 2017	Home base
	Submission of cleared Draft Evaluation Report to Core Learning Partners (CLPs) for comments (done by PM/IEU)		27 January 2017	
	Incorporation of comments of CLPs and finalization of report	03 days	15 February 2017	Home base; UNODC/HQ
	Presentation of final report	01 day	20 February 2017 (tentative)	Home base (Skype)
C.	Final Draft Evaluation Report in line with UNODC Evaluation Policy, Handbook, norms, standards and templates; reviewed and cleared by IEU (can entail various rounds of comments) and presentation of findings		20 February 2017	Home base; UNODC

Payments will be made upon satisfactory completion and/or submission of outputs/deliverables and cleared by IEU.

Payment Details

The evaluator will be issued a consultancy contract and paid in accordance with United Nations rules and procedures. Fees payment correlates to the following deliverables.

Deliverable	Output	Working Days	To be accomplished by (date)
A.	Final Draft Inception Report in line with UNODC Evaluation handbook, norms, standards and templates; reviewed and cleared by IEU (can entail various rounds of comments)	09	Tentatively 18 November 2016
B.	Draft Evaluation Report in line with UNODC Evaluation Policy, Handbook, norms, standards and templates; reviewed and cleared by IEU (can entail various rounds of comments)	21	Tentatively 20 January 2017
C.	Final Draft Evaluation Report in line with UNODC Evaluation Policy, Handbook, norms, standards and templates; reviewed and cleared by IEU (can entail various rounds of comments) and presentation of findings	7	Tentatively 20 February 2017

For field work travel, UNODC will pay a Daily Subsistence Allowance in line with UN policy, in addition to the consultancy fees quoted by the consultant. Therefore the consultant's proposal need not include a budget for the planned data collection missions. 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.

The consultant will be responsible for telephone and data costs incurred outside of the UNODC offices. Otherwise while in UNODC offices, the consultant may make use of office facilities including phone, wifi, and printing facilities.

Payments will be made upon satisfactory completion and/or submission of outputs/deliverables and cleared by IEU.

6. Indicators to evaluate the consultant's performance:

Timely and satisfactory delivery of the above mentioned outputs as assessed by IEU (in line with UNODC evaluation policy, handbook, 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):

Duties of the national consultant

The National Evaluation Consultant will collaborate with the International Evaluation Consultant on the independent evaluation of the UNODC project XASS69. On the basis of the Terms of Reference s/he will carry out the following duties:

- Assist the Lead Evaluator in all stages of the evaluation process, including the conduct of the desk study and collection of additional information as required, development of the missions programme in agreement with project management; development of Interview guidelines in line with TOR;
- Participate in selected missions and provide support through applying methodological tools and conducting/supporting briefings and interviews as required;
- Support with drafting of chapters of the evaluation report in collaboration with the international consultant;
- Provide methodological evaluation quality assurance throughout the evaluation process;
- Comment on all deliverables of the evaluation team;
- Assist the Lead Evaluator in all stages of the evaluation process.

Academic qualifications: Advanced university degree (Master's degree or equivalent) in law, social sciences or related field, with technical expertise in various evaluation methodologies and techniques

Experience: 10 years experience in trafficking in persons, organized crime, law enforcement, or criminal justice, experience and knowledge of the UN system is an asset; experience in policy

planning and policy analysis; previous work/research/evaluation experience in Southern Africa (desirable); understanding of gender and human rights considerations is an asset; excellent communication and drafting skills; fluency in oral and written English is required; the ability to communicate in Portuguese is a strong asset.

The consultant should demonstrate:

- strong technical competence in the area of evaluation (advanced university degree or practical experience);
- knowledge of, and experience in applying, qualitative and quantitative evaluation methods;
- excellent communication and drafting skills in English. The ability to communicate in Portuguese is an asset.

Absence of Conflict of Interest

According to UNODC rules, the consultant 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.

Ethics

The evaluators shall respect the UNEG Ethical Guidelines.

10. Submission of proposals

Interested consultant must submit both Technical and Financial proposal separately:

A) Technical Proposal

1. Detailed methodology, understanding the assignment, expected deliverables and timelines (max 3 page).
2. Recent Curriculum Vitae (max. 7 page)

B) Financial Proposal:

The financial proposal shall specify a total lump sum amount of Consultancy fee, Travel cost, and other relevant cost around specific and measurable (qualitative and quantitative) deliverables.

11. Evaluation of candidates

Individual consultants will be evaluated through Cumulative Analysis method. The award of the contract will be made to the individual consultant whose offer has been evaluated and determined as:

- a) responsive/compliant/acceptable, and
- b) having received the highest score out of a pre-determined set of weighted technical and financial criteria specific to the solicitation.

Only candidates obtaining a minimum of 49 points in the technical evaluation would be considered for Financial Evaluation.

Technical evaluation criteria (Total 70 marks)

Education in relevant subjects- 10 marks

Knowledge on Human Trafficking issues, Human Rights and UN human rights mechanisms/instruments - 40 Marks

Experience and skills in carrying out programme evaluation - 10 Marks

Methodology, activities, work plan and clear understanding of the assignment - 10 Marks

Financial evaluation (Total 30 marks)

All technical qualified proposals will be scored out 30 based on the formula provided below. The maximum points (30) will be assigned to the lowest financial proposal. All other proposals received points according to the following formula:

$$p = y (\mu/z)$$

where:

p = points for the financial proposal being evaluated

y = maximum number of points for the financial proposal

μ = price of the lowest priced proposal

z = price of the proposal being evaluated

ANNEX II. LIST OF BACKGROUND DOCUMENTS FOR THE DESK REVIEW

- Project document;
- Project revisions;
- USJTIP donor awards;
- Independent Evaluation Report of this project (2012)⁴⁵;
- 10 Year SADC Strategic Plan of Action on Combating Trafficking in Persons Especially Women and Children (2009 – 2019);
- SADC – UNODC Regional Programme 2013 – 2016 “Making the Southern African Development Community (SADC) Region Safer from Crime and Drugs”;
- SADC training manual for criminal justice trainings on victim-centered investigations and prosecutions
- Project Progress Reports (to donor);
- Semi Annual and Annual Project Progress reports (internal);
- Trafficking in Persons Principal legislation, Draft Implementing Regulations, National Strategic Frameworks and Action Plans, and SOPs developed through technical assistance delivered by the project;
- UNODC Position Paper on Human Rights (2011)⁴⁶;
- Guidance Note on Gender Mainstreaming in UNODC (2013)⁴⁷;
- UNODC evaluation guidelines, templates, handbook, policy⁴⁸;
- UNODC Inception Report Guidelines and Template⁴⁹;
- UNODC Evaluation Report Guidelines and Template⁵⁰;
- UNEG: Integrating human rights and gender equality in evaluation⁵¹.

⁴⁵

http://www.unodc.org/documents/evaluation/Independent_Project_Evaluations/2012/XASS69_Final_Draft_6DEC2012_rev.pdf

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

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

⁴⁸ <http://www.unodc.org/unodc/en/evaluation/normative-tools.html>

⁴⁹ <http://www.unodc.org/unodc/en/evaluation/independent-project-evaluations-step-by-step.html#Undertaking>

⁵⁰ <http://www.unodc.org/unodc/en/evaluation/independent-project-evaluations-step-by-step.html#Undertaking>

⁵¹ <http://www.uneval.org/document/detail/980>

ANNEX III. LIST OF CLP MEMBERS

Type ⁵²	Organisation ⁵³	Name	Designation ⁵⁴	Location
Regional agency	Southern Africa Development Community (SADC)	Ms Jacinta Hofnie	Programme Officer: Human Trafficking	Botswana
Government	Ministry of Home Affairs, Lesotho	Mr Mohlolo Lerotholi	Refugee Commissioner (and head of inter-ministerial committee on Trafficking in persons)	Lesotho
Government	Prime Minister's Office: Department of People Trafficking and People Smuggling, Swaziland	Ms Nompumelelo Lukhele	Head of Secretariat	Swaziland
Government	Prosecutor General Namibia	Adv Olivia Imalwa	Prosecutor General Namibia	Namibia
Government	Ministry of Social Affairs	Ms Linda William	Permanent Secretary: Ministry of Social Affairs	Seychelles
Donor	USJTIP	Ms Kerry McBride	Programme Officer: Africa Region	USA
UN Agency	UNICEF	Mr Tapfuma Kusemwa	Child Protection Specialist	Zimbabwe
International Agency	IOM	Mr Yitna Getachew	Thematic Specialist: Counter Trafficking	South Africa
UN Agency	UNODC	Maria Temesvari	Crime Prevention And Criminal Justice Officer (Human Trafficking And Migrant Smuggling)	Ethiopia

⁵² Please include the information, if this person is e.g. an implementing partner, donor, recipient, UNODC HQ, UNODC field, UN agency, etc.

⁵³ Please include the name of the organisation the person is working for.

⁵⁴ Please include the designation/job title of the person.

ANNEX II. EVALUATION TOOLS: QUESTIONNAIRES AND INTERVIEW GUIDES

UNODC mid-term independent evaluation of the project

‘Capacity building for Member States of the Southern African Development Community (SADC) in the ratification and the implementation of the United Nations Convention against Transnational Organized Crime and the additional Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children’

Questionnaire for participants of selected trainings/seminars

Dear respondent,

UNODC is conducting the mid-term independent project evaluation of ‘Capacity building for Member States of the Southern African Development Community (SADC) in the ratification and the implementation of the United Nations Convention against Transnational Organized Crime and the additional Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children’. The evaluation will be conducted from November 2016 to January 2017, and apply a mixed methods approach of desk review, semi-structured interviews and a survey.

The survey will comprise participants of selected trainings/seminars organized by UNODC in 2015 and 2016 in order to get a better understanding of the relevance, efficiency and effectiveness of the training, and the extent and areas in which you have been able to apply the acquired knowledge and/or skills in your work. Additionally, we are sincerely interested in getting your views on good practices and lessons learned, and also would appreciate it if you can make recommendations to UNODC for further consideration.

The online questionnaire can be filled in by using the following link:
<http://icts-surveys.unog.ch/index.php/991943?lang=en>

If you are unable to access the link, please fill in the Word version attached to this email, and send it to elcastigter@gmail.com. In case you participated in two trainings/seminars, then we would sincerely appreciate it if you can fill in two questionnaires – one for each training.

The questionnaire will only take approx. 10 minutes, and the deadline is 7 January 2017.

In case you have any questions, please contact the evaluation team leader at elcastigter@gmail.com

Thank you in advance for your support for this evaluation.

Yours sincerely,

Elca Stigter

General information

1. Country – please select one answer:
- Botswana;
 - Lesotho;
 - Malawi
 - Mozambique;
 - Namibia;
 - Seychelles;
 - Other – please explain:.....

2. Main area of work- please select one answer:
- Policy Coordination
 - Investigation;
 - Prosecution;
 - Adjudication;
 - Immigration;
 - Customs;
 - Finances;
 - Social work;
 - Other – please explain:.....

3. Gender :
- Male;
 - Female.

4. Please select the training you participated in:

- ToT front line officer beau Vallon Bay, Seychelles, 4-6 August 2015
- ToT criminal justice practitioners, Swakopmund, Namibia, 24-27 Augustus 2015
- Training of trainers for investigators, prosecutors, magistrates, judges, Mozambique, 27-29 October 2015
- Judicial colloquium, Sunbird Nkopola Lodge, Malawi, 21-22 April 2016
- TIP and data collection onsite training, Lesotho, 20-21 June 2016 or 23-24 June 2016
- Criminal justice practitioners, Botswana, 21-23 June 2016
- Training on trafficking in persons (ToT), Zambezi region Katima Mulilo, 27 June-1 July 2016
- Regional seminar on the prosecution of trafficking in persons cases, 8-10 March 2016
- Regional seminar on the prosecution of trafficking in persons cases, 10-13 October 2016

The training/seminar

5. Did you consider the training/seminar relevant for your work?

- Yes; Partially; No; Don't know

Please explain your answer.....

6a. Were you satisfied with the training/seminar in the following areas:

Overall: Very satisfied; Satisfied; Not very satisfied; Dissatisfied; No answer

Instructors: Very satisfied; Satisfied; Not very satisfied; Dissatisfied; No answer

Training/seminar design (the order and different methods used): Very satisfied; Satisfied; Not very satisfied; Dissatisfied; No answer

Logistics of the training/seminar: Very satisfied; Satisfied; Not very satisfied; Dissatisfied; No answer

Please explain your answers:.....

6b Training/seminar material:

-UNODC anti-trafficking manual Very satisfied; Satisfied; Not very satisfied; Dissatisfied; Don't know this material;

-Case law: Very satisfied; Satisfied; Not very satisfied; Dissatisfied; Don't know this material

-Videos: Very satisfied; Satisfied; Not very satisfied; Dissatisfied; Don't know this material

-Other 1 – please explain:

Very satisfied; Satisfied; Not very satisfied; Dissatisfied; No answer

-Other 2 – please explain:

Very satisfied; Satisfied; Not very satisfied; Dissatisfied; No answer

Please explain your answers;.....

7. Were human rights sufficiently addressed in the training/seminar?

Yes; Partially; No; Don't know

Please explain your answer:

8. Was gender adequately addressed in the training/seminar?

Yes; Partially; No; Don't know

Please explain your answer:.....

9. Did the training/seminar sufficiently address victim-centred investigations and prosecutions of TIP?

Yes; Partially; No; Don't know

Please explain your answer:.....

10. Do you feel that the group composition was appropriate for the purpose of the training/seminar?

Yes; Partially; No; Don't know

Please explain your answer, including if/describe the type of participants that could also have been invited to the training/seminar:.....

Training/seminar results

11. Do you feel that your knowledge and/or skills in the field of trafficking in persons had improved at the end of the training/seminar?

Yes; Partially; No; Don't know

Please explain your answer, and give further information and examples:

12. Have you been able to use the knowledge and/or skills acquired during the training/seminar in your day-to-day work?

Yes; Partially; No; Don't know

Please explain your answer, and give further information and examples:.....

13. Has the training/seminar made a lasting positive difference in your work?

Yes; Partially; No; Don't know

Please explain your answer, and give further information and examples:.....

14. Has the training/seminar contributed to improving the investigation, prosecution and/or adjudication of the crime of trafficking in persons and/or the identification of victims in your country?

Yes; Partially; No; Don't know

Please explain your answer, and give further information and examples:.....

15. Only for those attending a ToT – have you been able to provide training to colleagues or other staff after the training of trainers?

Yes; No; Don't know

Please explain your answer, and give further information, examples and/or challenges to conduct training yourself:.....

16. Only for those attending the TIP and data collection training in Lesotho – have you been able to collect data for the data management system since the training?

Yes; Partially; No; Don't know

Please explain your answer, and give further information and examples:.....

17. Only for those attending the TIP and data collection training in Lesotho – have you been able to enter data into the data management system since the training?

Yes; Partially; No; Don't know

Please explain your answer, and give further information and examples:.....

18. Are there good practices related to the training/seminar that you would like to share?

19. Are there any lessons learned that you would like to share for UNODC?

20. Do you have any recommendations for UNODC?

21. Further comments:

Thank you very much for your cooperation and participation in this survey!

ANNEX III. DESK REVIEW LIST

Government of Botswana (2014) 'Anti-Human Trafficking Act'. GoB, Gaborone.

Government of Lesotho (2011) 'Anti-Trafficking in Persons Act'. GoL, Maseru.

Government of Lesotho (2014) 'National Anti-Trafficking in Persons Strategic Framework and Action Plan'. GoL, Maseru.

Government of Seychelles (2014) 'Seychelles National Strategic Framework and Action Plan to Combat Trafficking in Persons 2014-2015'. GoS, Victoria

Government of Swaziland (2009) 'The People Trafficking and People Smuggling (Prohibition) Act'. GoS, Mbabane.

Government of Swaziland/Office of the Prime Minister (2012) 'Swaziland National Strategic Framework and Action Plan to Combat People Trafficking 2013-2015'. GoS, Mbabane.

Republic of Namibia/Office of the Prosecutor General (2016) 'Letter Training on Trafficking in Persons for Criminal Justice Practitioners' (21 December 2016). OPG, Windhoek.

SADC (2016a) 'Trafficking in Persons in the SADC Region: Policy Brief'. SADC, Gaborone.

SADC (2016b) 'Trafficking in Persons in the SADC Region: A Baseline Report'. SADC, Gaborone.

SADC/UNODC (2011) 'Memorandum of Understanding between the SADC Secretariat and the UNODC on Cooperation on Crime Prevention and Drug Control'. SADC/UNODC, Gaborone/Vienna.

SADC/UNODC (s.d.) 'SADC Regional Anti-Trafficking in Persons Data Collection System User Manual'. SADC/UNODC, Gaborone/Pretoria.

UN Commission on Crime Prevention and Criminal Justice (2014) 'Proposed Strategic Framework for the Period 2016-2017' (E/CN.15/2014/CRP.3). UN, New York

UN ECOSOC (2012) '2012/12. Strategy for the period 2012–2015 for the United Nations Office on Drugs and Crime' (E/RES/2012/12). UN ECOSOC, New York.

UNODC (2006) 'Project idea XASS69' UNODC, Vienna

UNODC (2011) 'Project revision XAS/S69'. UNODC, Vienna.

UNODC (2011) 'UNODC thematic programme Countering Illicit Trafficking and Organised Crime 2012-2013'. UNODC, Vienna.

- UNODC (2012) ‘Final project evaluation XAS/S69’. UNODC, Vienna.
- UNODC (2013a) ‘Making the Southern African Development Community (SADC) Region Safer from Crime and Drugs: Regional Programme 2013 – 2016’. UNODC, Vienna.
- UNODC (2013b) ‘Project revision XASS69’. UNODC, Vienna.
- UNODC (2014a) ‘XASS69 Annual Progress Report 2013’. UNODC, Vienna.
- UNODC (2014b) ‘Regional Strategy for Combating Trafficking in Persons and Smuggling of Migrants 2015-2020’. UNODC, Dakar.
- UNODC (2015a) ‘XASS69 Annual Progress Report 2014’. UNODC, Vienna.
- UNODC (2015b) ‘XASS69 Project revision’. UNODC, Vienna.
- UNODC (2015c) ‘Global Action to Prevent and Address Trafficking in Persons and the Smuggling of Migrants’. UNODC, Vienna. <https://www.unodc.org/unodc/en/human-trafficking/glo-act/index.html>
- UNODC (2015d) ‘Mission Report: Training of Trainers for Prosecutors, Magistrates and Judges on Trafficking in Persons, Maputo Mozambique, 27-29 October 2015’. UNODC, Pretoria.
- UNODC (2016a) ‘XASS69 Annual Progress Report 2015’. UNODC, Vienna.
- UNODC (2016b) ‘Independent evaluation Terms of Reference XASS69, February 2016’. UNODC, Pretoria.
- UNODC (2016c) ‘Smuggling of Migrants in Southern Africa: Developing a Regional Response’. UNODC, Vienna. <https://www.unodc.org/unodc/en/human-trafficking/Webstories2016/smuggling-of-migrants-in-southern-africa-developing-a-regional-response.html>
- UNODC (2016d) ‘Southern Africa: a regional response to migrant smuggling’. UNODC, Vienna. https://www.unodc.org/unodc/en/frontpage/2016/June/southern-africa_-a-regional-response-to-migrant-smuggling.html
- UNODC (2016e) ‘XASS69 Semi-annual Progress Report 2016’. UNODC, Vienna.
- UNODC (2016f) ‘Mission Report 21-22 April 2016 Malawi’ (author n.k.). UNODC, Pretoria.
- UNODC (2016g) ‘Mission Report 21-23 June 2016 Botswana’ (author n.k.). UNODC, Pretoria.
- UNODC (2016h) ‘Mission Report for Cascading Training in Katmamulilo – Namibia, 26 June-1 July 2016’ (author n.k.). UNODC, Pretoria.
- UNODC (2016i) ‘Evidential Issues in Trafficking in Persons Cases - CASE DIGEST’. UNODC, Vienna.

UNODC (2016j) ‘Project narrative: Capacity-building of the INTERPOL Regional Bureau for Southern Africa to support SARPCCO Member States in victim-centred investigations and prosecution of trafficking in persons cases’. UNODC, Pretoria.

UNODC (2017) ‘Update of activities June-December 2016’. UNODC, Pretoria.

UNODC (2017) ‘Quick statistics/Survey 991943 ‘UNODC Independent Evaluation of XASS69’. UNODC, Vienna.

UNODC (s.d.) ‘Presentation 1 <http://tip.sadc.int>’ (case statistics power point presentation). UNODC, Pretoria.

UNODC (s.d.) ‘End of Workshop Questionnaire’. UNODC, Pretoria.

US Department of State/TIP (2013) ‘Trafficking in Persons Report 2013’. TIP, Washington.

US Department of State/TIP (2014) ‘Trafficking in Person Report 2014’. TIP, Washington.

US Department of State/TIP (2015) ‘Trafficking in Persons Report 2015’. TIP, Washington.

US Department of State/TIP (2016) ‘Trafficking in Persons Report 2016’. TIP, Washington.

US Department of State (2014) ‘Federal Award Assistance Sheet S-SJTIP-13-GR-1035’. USDoS, Washington.

US Department of State (2015) ‘Federal Award Assistance Sheet -SJTIP-15-GR-1008’. USDoS, Washington.

US Department of State (2016a) ‘Federal Award Assistance Sheet S-SJTIP-11-GR-0043 (amendment 4)’. USDoS, Washington.

US Department of State (2016b) ‘Federal Award Assistance Sheet S-SJTIP-16-CA-1007’. USDoS, Washington.

UNODC donor reports

S-SJTIP-11-GR-0043

22 Dec 2011-31 March 2012

1 April 2012 – 30 September 2012

1 Oct 2012-30 April 2013

1 May 2013-31 Oct 2013

1 Oct 2013-30 April 2014

May-Oct 2014

Oct-Dec 2014

1 Nov 2014-30 April 2015

01 May 2015 – 31 October 2015

1 November 2015 – 30 April 2016

Oct-Dec 2014

S-SJTIP-13-GR-1035

31 July 2015
31 October 2015
31 January 2016
30 April 2016
31 July 2016
31 October 2016

S-SJTIP-15-GR-1008

31 January 2016
30 April 2016
31 July 2016
31 October 2016

Number of documents review: 67

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	National Prosecutor's Service	Male: 0 Female:1	Angola
2	UNODC	Male: 0 Female: 2	Austria
1	Ministry of Justice, Defence and Security	Male: 1 Female: 0	Botswana
1	US Embassy	Male: 0 Female: 1	Botswana
2	SADC Secretariat	Male: 1 Female: 1	Botswana
1	UNODC	Male: 0 Female:1	Kenya
2	Ministry of Home Affairs	Male: 2 Female: 0	Lesotho
4	Mounted Police	Male: 3 Female: 1	Lesotho
2	National Prosecuting Authority	Male: 2 Female: 0	Lesotho
1	Ministry of Social Affairs	Male: 1 Female:0	Lesotho
3	Beautiful Dream Society	Male: 0 Female:3	Lesotho
1	Catholic Relief Services	Male: 1 Female: 0	Lesotho
1	Ministry of Gender	Male: 0 Female: 1	Namibia

1	National Prosecuting Authority	Male: 0 Female: 1	Namibia
4	UNODC	Male: 1 Female: 3	South Africa
1	National Prosecuting Authority	Male: 0 Female: 1	Swaziland
2	TIP	Male: 0 Female: 2	USA
1	UNODC	Male: 1 Female: 0	Zambia
1	Ministry of Home Affairs	Male: 1 Female: 0	Zimbabwe
1	National Prosecuting Authority	Male: 1 Female: 0	Zimbabwe
3	IOM	Male: 2 Female: 1	Zimbabwe
Total: 36		Male: 17 Female: 19	