Final Independent In-depth Evaluation

Global Action against Trafficking in Persons and Smuggling of Migrants (GLO.ACT)

GLOZ67

December 2019
This independent evaluation report was prepared by an evaluation team consisting of Ms. Eva Otero, Lead Evaluator and Ms. Shivaun Scanlan, Substantive Expert and with the inputs of Ms. Joy Ezeilo, Senior Advisor. The Independent Evaluation Section (IES) of the United Nations Office on Drugs and Crime (UNODC) provides normative tools, guidelines and templates to be used in the evaluation process of projects and programmes. Please find the respective tools on the IES web site: http://www.unodc.org/unodc/en/evaluation/evaluation.html

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This publication has not been formally edited
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<tbody>
<tr>
<td>AECID</td>
<td>Spanish Agency for International Development</td>
<td>NICTIP</td>
<td>South African Inter-Sectorial Committee for Trafficking in Persons</td>
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<td>CLP</td>
<td>Core Learning Partners</td>
<td>NPO</td>
<td>National Project Officer</td>
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<td>CO</td>
<td>Country Office</td>
<td>NRM</td>
<td>National Referral Mechanism</td>
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<td>Development Assistance Committee</td>
<td>OECD</td>
<td>Organisation for Economic Co-operation and Development</td>
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<td>DETRAE</td>
<td>Labour Inspection Bureau for the Eradication of Slave Labour</td>
<td>OHCHR</td>
<td>Office of the United Nations High Commissioner for Human Rights</td>
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<td>DO</td>
<td>UNODC Division for Operations</td>
<td>OMT</td>
<td>Outcome Monitoring Tool</td>
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<td>DPU</td>
<td>Public Defenders Office in Brazil</td>
<td>UNTOC</td>
<td>United Nations Convention against Transnational Organised Crime</td>
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<td>ECOWAS</td>
<td>Economic Community of West African States</td>
<td>ROMENA</td>
<td>UNODC Regional Office for the Middle East and North Africa</td>
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<td>Experts' Group Meeting</td>
<td>ROSEN</td>
<td>UNODC Regional Office for West and Central Africa</td>
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<td>European Union</td>
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<td>Southern African Development Community</td>
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<td>GBV</td>
<td>Gender Based Violence</td>
<td>SOM</td>
<td>Smuggling of migrants</td>
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<td>GLOACT</td>
<td>The Global Action against Trafficking in Persons and Smuggling of Migrants</td>
<td>SOP</td>
<td>Standard Operating Procedure</td>
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<td>HQ</td>
<td>Headquarters</td>
<td>TIP</td>
<td>Trafficking in persons</td>
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<td>HRB</td>
<td>Human Rights Based</td>
<td>ToC</td>
<td>Theory of Change</td>
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<td>Human Rights and Gender</td>
<td>ToR</td>
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<td>UNODC Human Trafficking and Migrant Smuggling Section</td>
<td>Trafficking in Persons Protocol to Prevent, Suppress and Punish Trafficking in Persons, especially Women and Children supplementing the United Nations Convention against Transnational Organised Crime</td>
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<td>ICAT</td>
<td>Inter-Agency Coordination Group Against Trafficking in Persons</td>
<td>UMOJA</td>
<td>UNODC new financial system</td>
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<td>ICBF</td>
<td>Colombian Institute of Family Welfare</td>
<td>UNICEF</td>
<td>United Nations Children's Fund</td>
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<td>International Centre for Migration Policy Development</td>
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<td>United Nations Office on Drugs and Crime</td>
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<td>UNODC Independent Evaluation Section</td>
<td>UNTOC</td>
<td>UN Transnational Organised Crime Convention</td>
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<td>ILO</td>
<td>International Labour Organization</td>
<td>USA</td>
<td>United States of America</td>
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<td>IOM</td>
<td>International Organization for Migration</td>
<td>Victim</td>
<td>When the word victim is used, the report refers to victims of trafficking in persons or victims of crime through the smuggling process</td>
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<td>MERCOSU</td>
<td>Southern Common Market of South America</td>
<td>Vulnerable migrants</td>
<td>Migrants who are unable effectively to enjoy their human rights and are at increased risk of violations and abuse.</td>
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<td>MEL</td>
<td>Monitoring, Evaluation and Learning approach</td>
<td>WACAP</td>
<td>West African Network of Central Authorities and Prosecutors</td>
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<td>NGO</td>
<td>Non-Governmental Organisation</td>
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<td>Recommendation</td>
<td>Management Response (accepted/partially accepted/rejected)</td>
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**NARRATIVE TEXT FOR THE MANAGEMENT RESPONSE TO BE INCLUDED BY PROGRAMME MANAGEMENT**
EXECUTIVE SUMMARY

Background

The Global Action against Trafficking in Persons and Smuggling of Migrants (GLO.ACT) is a joint initiative by the European Union (EU) and the United Nations Office on Drugs and Crime (UNODC) being implemented in partnership with the International Organization for Migration (IOM) and the United Nations Children’s Fund (UNICEF). GLO.ACT is a project being delivered within the UNODC Human Trafficking and Smuggling of Migrants Section (HTMSS).

GLO.ACT aims to provide assistance to governmental authorities and civil society organizations to prevent and address trafficking in persons (TIP) and the smuggling of migrants (SOM) across 13 strategically selected countries: Belarus, Brazil, Colombia, Egypt, the Kyrgyz Republic, Lao PDR, Mali, Morocco, Nepal, Niger, Pakistan, South Africa and Ukraine. Specifically, it aims to develop and implement comprehensive national counter-trafficking and counter-smuggling responses by strengthening beneficiary countries’ capacities to address TIP and SOM and the inter-linkages between them, including cooperation with the civil society and at the transnational level.

The project runs from 15 July 2015 to 30 September 2019, with a total budget of USD 12,168,113, of which USD 11,061,947 are a contribution of the European Union (EU) and USD 1,106,166 are co-funding from UNODC and partners.

Purpose, scope and methodology of the evaluation

This independent evaluation has as its main objectives to: a) Assess GLO.ACT following the main OECD/Development Assistance Committee (DAC) criteria, including from a gender and human rights perspective; b) Assess the Monitoring, Evaluation and Learning; approach and c) Identify best practices and lessons learnt based on solid evidence. The evaluation’s main users as detailed in the ToRs are a) the Member States; b) Authorities in partner countries; c) the UNODC Human Trafficking and Migrant Smuggling Section (HTMSS); d) UNODC Management; e) the Implementing Partners (IOM and UNICEF) and f) the donor (EU).

The evaluation applied a mixed methods approach, including quantitative and qualitative data. This means that the team addressed the evaluation questions through a thorough analysis of the trends emerging from various research tools and data sources, such as surveys, interviews, participatory workshops and a desk review. 7 of the 13 GLO.ACT countries were visited; 315 people were consulted of which 48% were women, and around 1,150 documents reviewed.

The evaluation methodology

Figure 1: Evaluation methods
Main findings and conclusions

GLO.ACT has contributed to many positive transformations in tackling TIP and SOM and assisting victims and vulnerable migrants across countries. Two areas of action where it has contributed more significantly include influencing laws and policies and building the capacity of key stakeholders and partner organisations. Much of this positive influence has included a distinct gender and human rights-based approach.

The sustainability of these changes depends to a large extent on the degree to which the key actors (particularly the national agencies and UNODC) remain involved in addressing TIP and SOM beyond GLO.ACT. Despite efforts, the project has paid more attention to delivering activities than to ensuring the sustainable use of all the outputs.

The process of designing GLO.ACT, that is, deciding what was going to be done, why and where, did not end when the project agreement was concluded. This resulted in the implementation phase being reduced, increasing the pressure for the rapid delivery of activities and meant that the design of national theories of change (ToCs) was never completed, which has had repercussions throughout the project.

In terms of relevance, the main needs related to TIP and SOM identified by the countries have been tackled by GLO.ACT. Additionally, the project has shone light into sensitive topics which have made it more relevant to the needs of final beneficiaries.

In terms of scope, the complexity of the issues demands action of much greater magnitude than GLO.ACT could offer. Consequently GLO.ACT activities have ranged from being "bricks in a wall", i.e. activities contributing to a bigger framework, to "drops in a bucket"; more ad-hoc interventions whose effects were not as strategic.

The budget was allocated to the different countries on an activity by activity basis. However, since activities had already been approved in workplans, the appropriateness of the system was unclear, even though this procedure allowed for a very high delivery rate, despite the late start in implementation. The financial management of the project was hampered by the fact that the management team were not able to access real-time reliable financial information during the project.

GLO.ACT has been managed by a dynamic, professional and very committed team of staff, both at headquarters and in the field. The management model has been based on the National Project Officers which has proven to be extremely successful. However not all NPOs have had the same level of support from UNODC and national partners nor motivation and expertise, which has had an impact on the success of GLO.ACT.

The main added value of GLO.ACT with respect to other projects and organizations working on TIP and SOM has been its legitimacy in providing guidance on aspects of TIP and SOM due to its privileged position stemming from its normative work.

In general, the implementation pace of GLO.ACT has been satisfactory and the technical quality of the implemented activities has been high. Also, the project has made enormous efforts to improve its monitoring system, most relevantly developing an extensive strategic paper and designing numerous tools that, however, have not been fully implemented.

GLO.ACT has established successful partnerships with multiple actors inside and outside UNODC, in particular with national agencies that in some countries have shown a high level of ownership. To a lesser extent, GLO.ACT has also partnered with civil society organisations, mainly through the IOM and UNICEF work but also on occasion directly through UNODC.
The partnership with IOM and UNICEF was appropriate as there was clear potential for complementarity. It is also worth noting that the relationship has improved over the duration of the project in some of the countries like Lao PDR and Belarus. However, in practice the partnership has not fully materialised in most countries, as partners have largely worked independently.

In general, there is the need to support more assistance provision for victims and vulnerable migrants and ensure closer coordination with and the development of partnerships between organisations providing assistance to victims and criminal justice actors alongside seeking longer-term solutions for migrants stopped in their migration to avoid the risks of migrants engaging in more dangerous forms of migration or becoming subject to trafficking and exploitation.

The GLO.ACT team were committed to integrating gender into the project and in fact many positive examples were found in different areas of the project. That said, the project would have benefited from a clearer plan on gender mainstreaming.

The GLO.ACT team and many NPOs are aware of the links between human rights, TIP and SOM. But a victim-centred focus in practice has been difficult to achieve in several countries. At the same time, this would have aided identifying potential human rights concerns during implementation.

**Main recommendations**

**Recommendation 1 - Expand the content of preliminary assessments to cover essential issues that should inform the design of interventions at the national level:** For GLO.ACT management: Gaps and needs assessments should be complemented with specific analyses on three important issues; a) a gender and human rights analysis; b) a more detailed stakeholder analysis; and c) an analysis of the UNODC setting in the country, including aspects such as relationships with key national partners, such as national governmental agencies; d) based on all these inputs the analysis should also include a comprehensive exit strategy.

**Recommendation 2 - Develop national reviewable Theories of Change (ToC):** For GLO.ACT management: It is recommended to work further with a theory of change planning approach to complement project logframes at the national level. Make sure that the HTMSS normative work is linked with national ToCs.

**Recommendation 3 - Link the monitoring of the project with the national ToC and simplify it:** For GLO.ACT management: It is recommended for future projects to simplify the monitoring systems and to link them with national ToCs. To aid this process it would be beneficial to differentiate impact monitoring and process monitoring.

**Recommendation 4 - In collaboration with HRMS, design personalised training and ensure that working conditions reflect job descriptions for all GLO.ACT staff, especially for NPOs:** For GLO.ACT management, in consultation with HRMS: Bring all staff, especially NPOs, to the same page through a focused training programme and a revision of their work conditions. This also means working with HRMS to ensure work-life balance of staff and when beneficial take advantage of flexible working arrangements to ensure staff are not overburdened.

**Recommendation 5 - Improve the financial monitoring:** For GLO.ACT management, in consultation with FRMS: Set up the project budget in a way that allows for easy and reliable financial information real-time.
Recommendation 6 - Ensure that assistance providers to victims and criminal justice actors are linked in practice through common capacity building: For GLO.ACT management: ensure through common capacity building initiatives that trafficking victims and victims of crime through the smuggling process are identified and referred to assistance providers who can support them for a sufficient period of time, and that through their contacts with law enforcement and other contacts, can facilitate their access to justice and redress.

Recommendation 7 - Review policies and practices in the implementation of the Smuggling in Migrants Protocol to ensure that they do not exacerbate or increase the vulnerabilities of migrants, including to trafficking and exploitation, or lead to the growth of dangerous migration routes: For GLO.ACT management: further strengthen cooperation with partners, including civil society, to ensure that migrants stopped in their migration due to law enforcement measures in connection with smuggling are screened, correctly identified and supported where necessary, including through seeking longer-term solutions to their situation, and that their human rights are protected.

Lessons learned and best practices

Best practices

- GLO.ACT has made tremendous effort to reach where it was needed, going beyond the capital cities, sometimes working in remote areas in Brazil, Kyrgyzstan, Pakistan, Niger Morocco, and South Africa.

- The engagement of civil society actors in places like Brazil and Pakistan, where UNODC has brought them to the table using the convening power of UN.

- The development of multi-disciplinary training, using local trainers and ensuring representation of victims’ needs such as in Morocco and South Africa.

- The Steering Committee at the international level kept key stakeholders abreast with the progress and challenges of the project and was able to address issues that arose.

- There was an excellent flow of information between Vienna and the NPOs using informal channels such as WhatsApp groups.

- The warm and supportive management style has empowered NPOs and has influenced morale, motivation and commitment among the team.

- Some countries, like Colombia and Pakistan have clearly integrated GLO.ACT into the UNODC Country Strategy that was also discussed and owned by the national governments.

- In Colombia, the GLO.ACT National Steering Committee provided a useful space to ensure smooth implementation of activities, to promote national ownership and to monitor the results of GLO.ACT action.

- The Gender mainstreaming in all actions in Brazil was remarkable in its going beyond the binary, and including the voice of the transgender community with regards to TIP and SOM.
Lessons learned

- The need to work with a national ToC to understand and capture the connection between the work of GLO.ACT and the effects that the activities of the project have contributed to and to update the context in which GLO.ACT operates, including mapping the main actors working on TIP and SOM and identifying the necessary preconditions to get to the desired transformations.

- To capture change effectively, monitoring tools must relate to the national ToCs. This requires the development of targets, indicators, (including gender indicators), data collection tools and analysis that is adapted to the country. Also, in order to avoid activities becoming “ends in themselves” it is important to think about how to monitor impact.

- The main added value of UNODC vis a vis other agencies stems from the legitimacy and technical expertise related to their normative work and their role as the guardians of UNTOC and its Protocols.

- Effective gender mainstreaming works well, without an intentional strategy, when the NPOs are gender activists and there is a conducive environment. Otherwise, it is more efficient to develop a gender strategy tailored to the national context.

- Effective partnerships with the implementing partners (UNICEF and IOM) would have required shared ToCs at the national level. This ideal scenario might not be (institutionally) possible.

- Some countries implement at a different pace for reasons that are outside the control of the project. This needs to be acknowledged and integrated realistically in the project at the design phase.

- In order to ensure the sustainability of the process at the national level, two key ingredients should be in place a) a guardian of the UNTOC, ideally the UNODC Country Office; and b) a national agency leading the process.

- The need to link up in practice and not only in theory victim assistance and criminal justice capacity building so that criminal justice actors know where to refer victims and social service providers have trusted links with law enforcement to support victims engaging in a criminal justice process or other legal proceedings.

- A human-rights based approach works well when the NPOs are human rights conversant otherwise human rights expertise should be sought in programming to ensure a victim-centred focus is maintained in activities and that clear distinctions are made between the human rights implications of trafficking and smuggling.
## SUMMARY MATRIX OF FINDINGS, EVIDENCE AND RECOMMENDATIONS

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<thead>
<tr>
<th>Findings</th>
<th>Evidence (sources that substantiate findings)</th>
<th>Recommendations</th>
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<tr>
<td><strong>1. The use of the gaps and needs assessments</strong>&lt;br&gt;The gaps and needs assessments developed were found to be of limited use in guiding the planning process nationally in some cases and did not include key elements such as a gender and human rights analysis, a comprehensive stakeholder’s analysis or analysis of the UNODC setting in the country. There have been important efforts to mainstream gender in the implementation of the project, even though there have not been consistent gender strategies, possibly stemming from the lack of a clear gender analysis.</td>
<td>Desk review (GLO.ACT documents; official reports; UNODC documents)</td>
<td><strong>Expand the content of preliminary assessments to cover essential issues that should inform the design of interventions at the national level</strong>&lt;br&gt;For GLO.ACT management: Gaps and needs assessments should be complemented with specific analyses on three important issues; a) a gender and human rights analysis; b) a more detailed stakeholder analysis; and c) an analysis of the UNODC setting in the country, including aspects such as relationships with key national partners, such as national governmental agencies; d) based on all these inputs the analysis should also include a comprehensive exit strategy.</td>
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<td>Interviews/small focus group discussions (national agencies; civil Society; UNODC management; GLO.ACT staff; implementing partners)</td>
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sustained action of much greater magnitude than GLO.ACT could offer. Therefore, the need for a more strategic focus of limited resources under clearer national ToCs.

**Value added**

The main added value of GLO.ACT has been its legitimacy in providing guidance on aspects of TIP and SOM due to its privileged position stemming from its normative work.

**3. Monitoring**

GLO.ACT has made enormous efforts to improve its monitoring system. Most relevantly the project developed an extensive strategic paper and developed numerous tools that, however, have not been fully implemented. None of these tools were directly connected to a national ToC.

| Desk review (GLO.ACT documents; official reports; UNODC documents) |
| Desk review (GLO.ACT documents) |
| Interviews/small focus group discussions (national agencies; civil Society; UNODC management; GLO.ACT staff; implementing partners) |
| Debriefings (national teams; UNODC HQ) |

**Link the monitoring of the project with the national ToC and simplify it**

For: It is recommended for future projects to simplify the monitoring systems and to link them with national ToCs. To aid this process it would be beneficial to differentiate impact monitoring and process monitoring.

**4. Management and staffing**

GLO.ACT has been managed by a dynamic, professional and very committed team of staff. The management model has been based on the NPOs, which has proven extremely successful. However, the NPOs worked under different circumstances in each country, which has had an impact on the success of GLO.ACT overall.

| Desk review (GLO.ACT documents; UNODC documents) |
| Interviews/small focus group discussions (UNODC management; GLO.ACT staff; implementing partners) |
| Debriefings (national teams; UNODC HQ) |

**In collaboration with HRMS, design personalised training and ensure that working conditions reflect job descriptions for all GLO.ACT staff, especially for NPOs**

For: GLO.ACT management, in consultation with HRMS: Bring all staff, especially NPOs, to the same page through a focused training programme and a revision of their work conditions. This also means working with HRMS to ensure work-life balance of staff and when beneficial take advantage of flexible working arrangements to ensure staff are not overburdened.

**5. Financial monitoring**

The delivery rate of GLO.ACT has been very high. However, the

| Desk review (GLO.ACT documents; UNODC documents) |

**Improve the financial monitoring**

For GLO.ACT management, in consultation with FRMS: Set up
Financial management of the project was hampered by the fact that the management team were not able to access reliable financial information real-time during the project. This had adverse consequences, especially at the end of the project. 

6. Impact of GLO.ACT

There are two areas where GLO.ACT has contributed more significantly to positive transformations in tackling TIP and SOM; influencing laws and policies and building the capacity of key stakeholders and partner organisations in the 13 selected countries.

However, there is a need to support the creation of the appropriate referral mechanisms, ensure more assistance provision and improve the link (in practice and not only theory) between victim assistance and criminal justice. This will ensure the best possible outcome in criminal proceedings and a more victim-centred approach.

For GLO.ACT management: ensure through common capacity building initiatives that trafficking victims and victims of crime through the smuggling process are identified and referred to assistance providers who can support them for a sufficient period of time, and that through their contacts with law enforcement and other contacts, can facilitate their access to justice and redress.

7. Partners

GLO.ACT has established successful partnerships with multiple actors inside and outside UNODC, especially with national agencies. However, there is the need to support longer-term solutions for all migrants, including those not wishing to return to countries of origin, to avoid the risks of migrants engaging in more dangerous forms of migration or becoming subject to trafficking and exploitation alongside the

Review policies and practices in the implementation of the Smuggling in Migrants Protocol to ensure that they do not exacerbate or increase the vulnerabilities of migrants, including to trafficking and exploitation, or lead to the growth of dangerous migration routes

For GLO.ACT management: further strengthen cooperation with partners, including civil society, to ensure that migrants stopped in their migration due to law enforcement measures in
need to ensure legal assistance and representation to those accused of smuggling or trafficking. connection with smuggling are screened, correctly identified and supported where necessary, including through seeking longer-term solutions to their situation, and that their human rights are protected.
PREFACE

Prof. (Dr.) Joy Ngozi Ezeilo is an activist and versatile legal scholar recognized as a leading authority in the field of human rights, especially on the rights of women and children. She teaches Law at the Department of Public Law, Faculty of Law, University of Nigeria and pioneered, since 1997, the teaching of the Course, “Women, Children and the Law” making her Faculty and University the first to do so in Nigeria.

She was appointed by the UN Human Rights Council as the UN Special Rapporteur on Trafficking in Persons, especially women and children (August 1, 2008 to July 31st 2014), and served in that capacity globally; monitoring and reporting to both the Human Rights Council in Geneva as well as the UN General Assembly, New York. She served also as a member of the Board of Trustees, UN Voluntary Trust Fund for Victims of Trafficking. She was recently appointed (February, 2019) by the UN Secretary General as a Member of the United Nations Civil Society Advisory Board on Prevention of Sexual Exploitation and Abuse.

Dr Ezeilo is a visiting professor to several universities, especially in North America and a regent Professor, University of California, Riverside (2001). She has served in various governmental capacities, including as a Commissioner for Gender and Social Development, Enugu State, and as a member of the Governing Council, Nigerian Institute for International Affairs (NIIA). In April, 2013 she was recognized by Newsweek/Daily Beast International Magazine, USA as one of the 125 women of impact in the world for her work, especially in combating human trafficking—a modern day slavery.

She was conferred in 2006 with a National honour by then President of Nigeria, Olusegun Obasanjo.

Trafficking in persons (TIP) is undoubtedly 21st century slavery of our times that continues to shame humanity and causing cumulative breaches of human rights, in particular, individual freedom and dignity to live freely, not in slavery or servitude. Almost, every country of the world is affected by TIP and the smuggling of migrants (SOM) either as a country of origin, transit or destination for victims trafficked or migrants smuggled by profiteering criminals who operate with impunity. Both trafficking and smuggling are serious forms of crime, generating huge profits for the perpetrators, fuelling corruption and empowering organised crime.

It is against this backdrop that the Global action to prevent and address trafficking in persons and the smuggling of migrants (GLO.ACT) was developed as a comprehensive, consolidated, integrated and innovative approach to tackle the different but related phenomenon of trafficking and smuggling in pursuit of implementation of the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, and the Protocol Against the Smuggling of Migrants by Land, Sea and Air, respectively.

GLO.ACT seeks to prevent and address trafficking in persons (TIP) and the smuggling of migrants (SOM) across 13 strategically selected beneficiary countries through technical and financial assistance that would result in enhanced capacities to effectively and in a sustainable manner address TIP and SOM issues and the inter-linkages with them, including in cooperation with civil society and at the transnational level. This global project (GLO.ACT) being implemented by the United Nations Office on Drugs and Crime (UNODC) in partnership with International Organization for Migration (IOM) and United Nations Children's Fund (UNICEF) is funded by EU with co-funding from Italy and Germany.

The purpose of this evaluation is to assess the achievement of results and outcomes of this project carried out between 2015 to 2019, as regards the project’s relevance, efficiency, effectiveness, impact and sustainability. The findings from this evaluation of GLO.ACT underscores the importance of such an evaluation. The evaluation sought to assess the extent GLO.ACT has contributed to influencing policy, law and practice on TIP and SOM, nationally, regionally or globally, and positive development in the 13 countries where the programme was implemented. The evaluation managed this independent assessment through a robust and participatory process and the results are a critical analysis of what was achieved and how GLO.ACT might strengthen its impact in future work.

In view of the overarching aim of the project, which was to reduce trafficking in persons and smuggling of migrants and to assist and protect victims and vulnerable migrants, the evaluation identified several milestones indicative of many positive transformations in tackling TIP and SOM across the 13 beneficiary countries. The findings from the evaluation of GLO.ACT implementation demonstrates the importance of multi-sectoral approaches and cooperation amongst and with third countries of origin, transit and
destination. It has enhanced both personnel and institutional capacities to tackle TIP and SOM, and to assist and protect trafficking victims and vulnerable migrants. Of significance is the contribution in the area of influencing laws and policies. Almost all countries of implementation have one positive development in changing the legal and policy environment towards effective and efficient tackling of TIP and SOM.

Some innovations and best practices recorded by the evaluation include: direct assistance to victims of trafficking and smuggled migrants, especially children were achieved through grants provided to CSOs by GLO.ACT. Gender mainstreaming and child sensitive approach was reinforced. Development of multi-disciplinary training, using local trainers and ensuring representation of victims’ are good practices worthy of mention.

Gaps and challenges in implementation of GLO.ACT were also highlighted in the evaluation and recommendations are mostly addressed to the project management of the next phase of GLO.ACT. Some of the important lessons learned included, the need to develop a gender strategy tailored to the national context which was rightly observed as a gap. Also, the need to link up in practice and not only theory victim assistance and criminal justice capacity building so that criminal justice actors know where to refer victims and social service providers have trusted links with law enforcement to support victims engaging in a criminal justice process.

Going forward, it is hoped that the results and lessons learned resulting from this evaluation of GLO.ACT will be built upon to inform the strategy to fight trafficking in persons and migrant smuggling. It is important to continue to appreciate the complexities and dynamic nature of TIP and SOM and the primacy of mainstreaming human rights, gender equality, victim and child centered perspectives, which require deliberative efforts, partnerships, and expertise to ensure that these are placed at the core of multi-layered interventions with clear indicators for monitoring and assessing progress. Tackling TIP and SOM is not one size fits all neither is it a touch and go affair or quick fix, it requires sustainable comprehensive and integrated interventions with full involvement of trafficked persons and smuggled migrants whose human rights and human security are constantly under threats.

Notwithstanding some few shortfalls identified through the evaluation, GLO.ACT has in the final analysis implicit blueprint for sustainable change as revealed in the effectiveness and monitoring, evaluation and learning (MEL) undertaken in assessment of this project. The contributions to impact spans across every country of implementation with each country recording a milestone and evidenced best practice that has the potential to be replicated in the next phase of GLO.ACT in Asia and the Middle East.

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INTRODUCTION

The Global Action against Trafficking in Persons and Smuggling of Migrants (GLO.ACT) is a joint initiative by the European Union (EU) and the United Nations Office on Drugs and Crime (UNODC) being implemented in partnership with the International Organization for Migration (IOM) and the United Nations Children’s Fund (UNICEF).

GLO.ACT is a project being delivered within the UNODC Human Trafficking and Smuggling of Migrant Section (HTMSS). The GLO.ACT team at UNODC HQ include seven staff members. The HTMSS as a whole is a key provider of legal and capacity building technical cooperation to partner countries including providing normative and policy expertise on TIP and SOM. GLO.ACT has developed its own tools and has also utilised the specialized technical cooperation tools developed by the HTMSS, including drawing on the technical expertise of all staff members who have 'backstopped' activities in certain countries as part of the co-funding agreement that UNODC has with the donor.

Thematic Context

Trafficking in human beings and smuggling of migrants are occurring on a global scale and this is no less true for the selected partner countries under this project. Both phenomena are increasingly on the political agenda of these countries with positive results, but challenges remain.

Smuggling of migrants (SOM) and trafficking in persons (TIP) have distinct definitions. Consent on the part of the smuggled person is central to migrant smuggling, which involves illegal entry or stay in another country upon payment or other material benefit to the smuggler. A smuggled migrant importantly is not a victim, but they can become a victim of crime in the smuggling process for example as a result of rape, physical assault, extortion etc. They may also be vulnerable for other reasons such as age, gender or disability. But smuggling in itself is not a crime against a person but a crime against the State, albeit it is recognised that smuggling involving aggravated circumstances, as described above, occurs. Some migrants, including asylum seekers, may have little choice but to seek assistance from smugglers in view of tightening border controls and restricted options for legal migration or a lack of identity documentation and against the backdrop of growing inequalities, environmental crises, armed conflict, political instability, persecution and the search for a better life. In such circumstances, it may not always be in the interests of such people wishing to migrate to tackle smuggling.

Trafficking on the other hand is committed for the sole purpose of exploiting a person, involving the deception or coercion of the victim or the use of other means such as the abuse of a position of vulnerability, amongst others. A person who is trafficked is always a victim so it must always be in the common interest to combat trafficking. At the same time the distinctions between the two phenomena can become blurred, for example where migrants start their journey believing to be smuggled but find themselves misled, intimidated and forced into situations of exploitation.

There are an increasing number of trafficking victims detected and reported globally, according to UNODC research.

The number of identified trafficking victims however represents a very small proportion of the estimated numbers of people trafficked. Trafficking is a highly-gendered phenomenon with 49% of detected victims being women and 23% girls, the vast majority of whom are trafficked for sexual

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1 An officer in charge overseeing implementation of the project, a policy lead, a communications officer, an associate Crime Prevention and Criminal Justice Officer and two finance and admin programme assistants

2 See Article 3 of the Protocol against the Smuggling of Migrants by Land, Sea and Air (Smuggling Protocol) for a full definition of migrant smuggling

3 See Article 3 of the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children (Trafficking Protocol) for a full definition of trafficking in persons

4 Global Report on Trafficking in Persons 2018

exploitation. At the same time women and girls represent 35% of victims trafficked for forced labour whilst more than half of victims of trafficking for forced labour are men. Although most victims detected globally are trafficked for sexual exploitation, this pattern is not consistent across all regions; for example, the most commonly detected form in sub-Saharan Africa and the Middle East is trafficking for forced labour.7

Over half of detected and reported victims are detected within their own national borders, indicating that trafficking is not always transnational and that internal trafficking in some countries is the dominant form. Although globally the number of convictions for trafficking crimes is increasing, the absolute number of convictions remains very low such that trafficking still represents a very low risk crime with estimated profits at 32 billion USD per year. With respect to smuggling it is estimated that 2.5 million migrants were smuggled for an economic return of 5.5-7 billion USD in 2016.8

The UN Transnational Organised Crime Convention (UNTOC) and the UN Trafficking in Persons Protocol (Trafficking in Persons Protocol) and UN Smuggling of Migrants Protocol (Smuggling of Migrants Protocol) provide a framework for responses to trafficking and smuggling. They focus not only on the criminalisation of the phenomena but incorporate important provisions on the protection of victims and smuggled migrants, alongside measures to prevent and cooperate on tackling trafficking and smuggling.

Most of the countries selected for this project have in place anti-trafficking and anti-smuggling legislation, policies and strategies in some cases in combination with mechanisms to identify and refer victims for assistance and protection, but important gaps remain. UNODC has a global mandate under UNTOC and its Protocols to provide technical cooperation to States and through its actions supports countries in closing these gaps, reducing trafficking and smuggling and securing safer societies for people. In particular, through its normative work it assists states in the ratification and implementation of the treaties and development of domestic legislation alongside providing secretariat and substantive services to treaty based and governing bodies.

Institutional context
GLO.ACT recruited 12 National Project Officers (NPOs) to lead the implementation of GLO.ACT at the country level. The NPOs coordinate activities at country level in close collaboration and overall guidance from HTMSS, where GLO.ACT sits. The GLO.ACT HQ team is also supported by the other Global Projects against TIP and SOM and reported to the EU as co-financing for GLO.ACT.

UNODC has a number of field offices which include regional offices, country offices and project offices. The NPOs have operated from these field offices apart from in the case of Belarus where the NPO operated from Vienna. Field offices are managed at HQ by the Field Operations Management Section (FOMSS) which sits under the Division of Operations. This means that NPOs sit administratively within the Division for Operations (DO) and report to DO but thematically report to the Project Coordinator and HQ team. This represents a good example of cooperation between the Division for Operations (DO) and the Division for Treaty Affairs (DTA).

Description of the project
GLO.ACT aims to provide assistance to governmental authorities and civil society organizations to prevent and address trafficking in persons (TIP) and the smuggling of migrants (SOM) across 13 strategically selected countries: Belarus, Brazil, Colombia, Egypt, the Kyrgyz Republic, Lao PDR, Mali, Morocco, Nepal, Niger, Pakistan, South Africa, and Ukraine.

Often operating in highly volatile and complex political environments, it aims to develop and implement comprehensive national counter-trafficking and counter-smuggling responses by strengthening beneficiary countries’ capacities to address TIP and SOM and the inter-linkages between

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6 Global Report on Trafficking in Persons 2018
7 Ibid
8 Ibid
9 Belarus, Brazil, Colombia, Egypt, the Kyrgyz Republic, Lao PDR, Mali, Morocco, Nepal, Niger, Pakistan, South Africa, and Ukraine
10 This was in line with the wishes of the partner country
them, including in cooperation with civil society and at the transnational level. As figure 2 illustrates, the project is structured **around six pillars**.

The project runs **from 15 July 2015 to 30 September 2019**. With a total budget of **USD12,168,113**, of which USD 11,061,947 are a contribution of the **European Union (EU)** and USD 1,106,166 are co-funding from UNODC and partners.

**Figure 2: GLO.ACT six pillars**

**The evaluation**

**Uses and users of the evaluation**

According to the ToRs (annex 1) and to the preliminary engagement with key stakeholders, this independent evaluation has as its **main objectives to**:  
 a) **Assess GLO.ACT following the main OECD/Development Assistance Committee (DAC) criteria**, including from a gender and human rights perspective;  
b) **Assess the Monitoring, Evaluation and Learning (MEL) approach** and tools, including how GLO.ACT has applied knowledge gained from evidence and analysis to improve project outcomes alongside how the project has been able to make use of previous relevant evaluations  
c) **Identify best practices and lessons learnt** based on solid evidence.

The **main users** of the evaluation as detailed in the ToRs are:  
a) **the Member States**;  
b) **authorities in partner countries**;  
c) **the UNODC Human Trafficking and Migrant Smuggling Section (HTMSS)**;  
d) **UNODC Management**; and  
e) **the Implementing Partners (IOM and UNICEF)**; and  
f) **the donor (EU)**.

**The composition of the evaluation team**

The evaluation team was composed of two Senior Consultants and one Senior Advisor. Eva Otero, as **Lead Evaluator** has 20 years of experience in international development. Since 2008, she has been an independent consultant specialised in conducting evaluations and other learning processes. Shivaun Scanlan, as **Substantive Expert**, is a human rights lawyer with 20 years of experience working on human trafficking and migrant rights and Joy Ezeilo, as **Senior Advisor**, a legal scholar and a former UN Special Rapporteur on TIP, she is also a leading authority in the field of human rights, especially on the rights of women and children.

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11 a) The evaluation team contextualised possible identified shortcomings in addressing HRG issues: were they political, practical, budgetary, time-related, due to limited know-how, etc.?  
b) The evaluation design incorporates specific questions, tools and methods to help generate information on HRG.  
c) During the data analysis process, evaluation paid special attention to assess whether the intervention had a negative effect on certain groups of stakeholders.  
d) In line with the HRG mandates of the UN, the evaluation provided recommendations for priority action in the evaluation report.
Methodological approach

Given the limited availability of robust monitoring data (see limitations of this evaluation), the evaluation team based findings on the analysis of a broad range of sources related to GLO.ACT (see figure 3).

The evaluation applied a mixed methods approach, including quantitative and qualitative data sources and used various research tools, such as surveys, interviews, participatory workshops and a desk review. **7 of the 13 GLO.ACT countries** were visited; **315 people were consulted** of which 48% were women, and **1,150 documents reviewed**.

The results of this analysis have provided the basis for the findings and conclusions of this report. The report has also selected relevant examples from different countries to illustrate the findings. These examples do not represent a comprehensive list of contributions but illustrate relevant patterns emerging from the sources.

What follows is a detailed account of the sources of information that have been used in this evaluation and of the analysis and triangulation procedures that underpin the findings.

### Data collection

The evaluation team conducted **field work in seven project countries** of the 13 where the project is present (54% of GLO.ACT countries). The destinations were **Brazil, Lao PDR, Morocco, Nepal, Niger, Pakistan, and South Africa**. The selection of countries was based on extensive criteria following the preliminary desk review, consultations with the GLO.ACT team and with Core Learning Partners (CLPs) and the reflections of the evaluation team. In addition to visiting these countries, the evaluation team conducted a more exhaustive information gathering through Skype in **Colombia** and **Kyrgyzstan** where promising practices were identified. Skype and telephone conversations were also conducted with other NPOs and stakeholders to cover the remaining countries.

The following research tools and data sources were employed:

**Desk review:** Documentation provided by the GLO.ACT teams was supplemented by relevant literature from a variety of sources to establish a good understanding of the project’s activities as well as the wider context within which it operates (see annex 2 for an overview of documents reviewed).

**Champions workshops:** The evaluation team organised champions workshops where it was logistically possible (Brazil, Morocco, Pakistan and South Africa). Champions were people who have put into use the

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12 These criteria took into account the findings of the EU ROM Mission as well as the visits they conducted to ensure maximum complementarity.

13 CLPs are people who are part of the International Steering Committee for GLO.ACT
learning coming from GLO.ACT activities and/or were particularly active/enthusiastic during the project’s activities. They helped the evaluation team identify, through participatory methods, promising/best practices and success stories.

**On-line surveys:** Brief web surveys were conducted in English/French/Spanish/Russian. The electronic questionnaires were sent to GLO.ACT countries that provided a list of final beneficiaries. The evaluation team received 105 full responses which cannot be considered a statistically representative sample but that has served to complement other sources of information.

**Interviews/small focus group discussions:** The evaluation team conducted semi-structured interviews (1 or 2 people) or small focus group discussions (3 to 5 people) via Skype and in person with key informants selected based on the stakeholder inventory. They included stakeholders not only from GLO.ACT countries but from other countries that have contributed to or benefited from the action. As well as with actors outside UNODC, like IOM, UNICEF and EU colleagues (see annex 3 for a sex-disaggregated overview of people consulted via interviews, surveys and workshops).

**Data analysis**

The evaluation promoted an approach for interactive data collection and analysis. Information was analysed at three different but interconnected levels involving the participation of different key actors.

**Level 1. Stakeholder analysis:** This took place during carefully designed sessions in champions workshops and focus groups where the evaluation team collectively made sense of the information emerging.

**Level 2. Evaluation analysis with UNODC:** During the different field missions the evaluation team held formal and informal debriefings with key local UNODC staff to make sense of the main themes that are emerging. The evaluation team also analysed available information and insights during a validation session with the UNODC teams and main stakeholders in Vienna on the 22nd of May. The evaluation commissioning team in Vienna, the Independent Evaluation Section (IES) also played a key role at this last level of analysis by giving their feedback and insights to the initial draft of the evaluation report and acting as a quality assurance entity for all evaluation deliverables.

**Level 3. Evaluators’ analysis**: The information collected throughout the evaluation process was systematically compiled and codified in tables of evidence using qualitative research software (Dedoose) and analysed using triangulation techniques to validate findings. The evaluation team met in the UK on the 13th and 14th of May to facilitate this triangulation process.

**Limitations**

The fact that the evaluation has taken place before the project has ended has meant that there is limited scope for longitudinal assessment of impact and a full assessment of attribution/contribution. The evaluation therefore met this challenge by identifying preliminary contributions to change and by assessing the systems that the project has in place to measure change at a later stage.

The lack of consistent baselines and other monitoring information throughout the GLO.ACT countries meant that it was difficult to assess the degree of project implementation compared to the original plan. To address this limitation the evaluation team revisited the ToC of the project and made a contribution analysis of the project progress emerging from the different countries.

Online surveys were intended to be sent to everyone who had participated in GLO.ACT activities, such as participants of trainings with valid email addresses. However, lists of participants were not always readily available, for various reasons (see chapter on MEL). The project only had a comprehensive database of final beneficiaries; i.e. trainees or people attending key events for Brazil and Colombia. Therefore, the evaluation could not contact a relevant sample. The evaluation surveyed all contacts provided by all the countries and selected a random sample for Brazil and Colombia to avoid overrepresentation.

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14 For Pakistan the country office sent directly a weblink to the survey to a sample of trainees.
UNPACKING THE IMPLICIT BLUEPRINT FOR CHANGE

It is important to acknowledge that GLO.ACT developed as part of the Monitoring, Evaluation and Learning Approach a comprehensive 22-page document that included a Theory of Change (ToC). To inform this evaluation, the evaluation team simplified this input identifying how GLO.ACT functioned in simple terms, reconstructing the implicit blueprint for change. This reconstruction was informed by various GLO.ACT documents, conversations with the GLO.ACT management team and validated during the data collection phase.

As indicated in figure 4, the overarching aim of the project is to reduce trafficking in persons and smuggling of migrants; and to assist and protect victims and vulnerable migrants.

These are highly sensitive issues that occur within an extremely complex and challenging context.

**Figure 4: Blueprint for change**

To achieve these aims, GLO.ACT has worked in **13 selected countries through agents of change**. The implicit premise is that change would be more apt to occur when advocates (i.e. GLO.ACT) develop relationships and work with those in positions of influence (i.e. criminal justice actors, decision makers, and to a lesser extent, reputable civil society)\(^\text{15}\) This premise is based, as any ToC, on a number of assumptions. These are implicit or explicit shared beliefs which inform what is appropriate and feasible in the context of GLO.ACT.

Where assumptions are identified in a ToC, the project can revise them and challenge them at regular intervals informing management decisions. In the case of GLO.ACT, this has happened to different degrees (although never formally) depending on the assumption, the moment of the project and the country. For example, the first assumption identified about the selection of countries was challenged by UNODC at the beginning of the project, as analysed under the “design” chapter.

Some examples of general assumptions made by GLO.ACT that have emerged during the evaluation include:

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\(^{15}\) This is based on the Power Politics Theory see Sarah Stachowiak, Organizational Research Services, Six Pathways for Change, 2013
a) that the selected 13 countries were the best strategic choice, given the capacity of UNODC and the implementing partners; b) that the pathway for change chosen was the most appropriate (as opposed to other alternatives such as focusing on seeking legal channels for migration or complementing the core action of the project by partnering with actors who are addressing the socio-economic root causes of trafficking and smuggling); and c) that agents of change will eventually own the process.

On the basis of these assumptions, GLO.ACT has developed relationships with agents of change in four main areas of activity. The first two areas of change constitute the backbone of GLO.ACT.

1. **Influencing policy** – Encompassing outcomes 1 and 2 of the original logframe, it includes aspects of work such as a) getting issues on the political agenda; b) opening new spaces for policy dialogue; c) affecting policy content, most relevantly laws, legislative reviews, etc. and d) affecting changes in behaviour and implementation at various levels in order for policies to be meaningful and sustainable (i.e. policy practice). An important element of this area of change is the connection between national laws and policies on TIP and SOM that GLO.ACT has tried to influence and the normative work that UNODC does.

This area of change is also underpinned by assumptions. For example, that the developed or revised policies/plans/strategies are based on evidence; or that these policies and action plans will translate into efficient institutional practices.

2. **Building capacity** – The second area of change of GLO.ACT directly relates to outcome 3 in the logframe. Increasing the capacity of actors with whom GLO.ACT works is twofold: strengthening people’s capacities and strengthening institutional capacity to tackle TIP and SOM and to assist and protect victims and vulnerable migrants.

Some of the assumptions here are: a) that the capacity developed will prompt positive change in the target groups; b) that building the capacity of criminal justice actors or organisations responsible for the care of victims or vulnerable migrants will not cause further harm to these groups.

3. **International cooperation** – This area relates to promoting cross border cooperation on issues related to TIP and SOM. These collaborations could be formal (through governments or regional institutions, such as the Network of specialized prosecutors in Ibero-America, MERCOSUR or WACAP) or informal, for example, through informal networks of practitioners (such as consular authorities, prosecutors, police or civil society). This area has also been clearly connected to other areas of action in several of the GLO.ACT countries.

4. **Assisting and protecting victims and vulnerable migrants** – Here GLO.ACT has been aiming to assist victims and vulnerable migrants but always through partners. This means that the project has aided either government agencies or civil society who were specialized service providers. This area of work mainly encompasses outcome 5 and 6 in the original logframe, largely implemented by IOM and UNICEF. However, UNODC has also worked directly on this topic, for example in developing National Referral Mechanisms (NRMs), guidelines for identification and assistance of victims, providing legal assistance or training of social workers and child protection actors.

Assumptions underpinning this area of work include: a) that victims and/or vulnerable migrants will be identified; b) that when they are identified there is a procedure in place to refer them to assistance providers; c) that assistance is in line with international standards.

**IN THE PERIPHERY OF THE ToC**

Awareness and information campaigns are located slightly in the margins of the ToC. These activities were included under outcome 1. The main assumption here is that the project can reach a critical mass to bring about sustainable change in targeted institutions and communities.
EVALUATION FINDINGS

Impact

The effectiveness chapter of this report analyses what has been done by GLO.ACT. This chapter on impact addresses what was achieved by GLO.ACT under the four areas of change set out in the blueprint for change. It aims to present concrete evidence (as well as a line of reasoning) from which we can conclude, with some level of confidence, that the project made an important contribution to documented changes\[16\].

As stated under the limitations chapter, what the report presents here is an analysis of the patterns of how GLO.ACT has contributed to change at different levels illustrated by examples. These examples mostly refer to specific countries and relate to specific themes.

Influencing policies (outcomes 1 and 2)

Putting issues on public/political agendas (outcome 1)

The lobbying work of GLO.ACT has contributed to putting on the public agenda important issues about and related to TIP and SOM in the targeted countries. In Niger, it has contributed to a better understanding of the rights of children accused of smuggling or of terrorism; and in Kyrgyzstan and South Africa, it has ensured recognition of customary practices such as bride kidnapping and forced marriage as forms of trafficking.\[17\]

GLO.ACT has also contributed to highlighting the relationship between gender issues and TIP and SOM. For example, in Pakistan, the government has credited GLO.ACT with bringing a gender perspective to initiatives taken under the project, in particular in the drafting and negotiations of the laws on TIP and SOM.

In Brazil, GLO.ACT went beyond the binary in terms of gender, shedding light on the rights, expectations and particular needs of the transgender community in the context of TIP. GLO.ACT, through a close partnership with the NGO Astral (Grupo Homosexual Unificado do Rio de Janeiro) and others, provided platforms to discuss such issues such as through meeting with consular authorities or training with the DPU in Manaus. This resulted in the sensitisation of key actors combating TIP in Brazil.

“We must take into account more human aspects, for example, what to do in order not to criminalize the victims, regardless of their sexual condition. That is why it is important that the sensitivity of the trans community is present in the conversations” (Brazilian senior official)

The sustained inclusion of the transgender community in training and events resulted also in concrete actions (see Cinderella operation under technical capabilities).

It is important to highlight that possibly GLO.ACT work will continue to influence the agenda in the future through for example the IOM Handbook on Protection and Assistance for Migrants Vulnerable to Violence, Exploitation and Abuse, which some respondents believed will shape future approaches to vulnerable migrants.

Strategy and policy development (outcome 1)

The work of GLO.ACT has influenced several policy developments on TIP and SOM at national and regional levels. While some policies are already finalised and approved, others are still in the development phase. For example, the National Strategy on SOM in Colombia with a gender perspective, that was strongly encouraged by the work of GLO.ACT has already been adopted as was the 3rd National Plan on TIP in Brazil.

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\[17\] Note that the 2016 UNODC Global Report on Trafficking in Persons had highlighted the issue of forced marriage which was picked up in project design by the field offices.
The finalisation and adoption of the **National Strategy Framework in South Africa** was reported to have resulted from the close cooperation and support of GLO.ACT. In **Kyrgyzstan** and **Mali** expert support was also provided in the drafting and development of the new action plans on trafficking, which were also adopted. In **Kyrgyzstan** the success of the GLO.ACT supported 100-day awareness campaign was reported to have resulted in the adoption of a communication strategy by the government.

**Other plans, strategies and guidelines that GLO.ACT has contributed to are still works in progress.** This was the case for example of the guidelines for identification of victims that were being developed in **Nepal** or the guidelines for the national referral mechanism in **Lao PDR**. In **Niger**, support for the development of the SOM Action Plan also continued with technical cooperation provided to the National Coordinating Commission. In **Morocco**, the development of multi-sectoral guidelines for identifying and interviewing victims of trafficking were ongoing.

**Influencing legislation (outcome 2)**

GLO.ACT has contributed in several countries to developing legislation on TIP and SOM. The most relevant example is in **Pakistan** where it is possible to document almost a line of attribution between the work of GLO.ACT in the country and the enactment of laws on TIP and SOM in May 2018.

Senior government officials, international officers and members of civil society pointed to UNODC’s contributions in providing relevant research to inform the content of the law; reviewing drafts of the law to ensure compliance with international standards and providing access to important decision makers, including parliamentarians.

Other examples where the contribution is less strong as the ultimate results of the inputs are still awaited, include **Mali** where GLO.ACT has supported the creation of a legislative committee to review the law on trafficking and smuggling and its legal analysis has provided the basis for the drafting of a new smuggling law. In **South Africa**, its legal analysis and reviews have contributed to developing the bill on SOM which is awaiting finalisation before submission to Parliament.

**Links with normative work of UNODC**

The Working Groups on TIP and SOM of the Conference of the Parties to the Organised Crime Convention have included GLO.ACT focal points and country partners. This has generated benefits in both directions. For example, in **Nepal** members from the Ministry of Justice contributed to the drafting of the model law in February 2017. The delegation reported that as a result of the knowledge gained during these sessions, they undertook to amend the 2007 law on TIP and to include new forms of trafficking.

UNODC also coordinated the drafting of a 2019 UN SG Report on ‘Improving the Coordination of Efforts against Trafficking in Persons’, mandated by General Assembly (GA) Resolution 72/195. The report will be presented at the 2019 autumn session of the GA. GLO.ACT is indicated as one of the main areas of work of UNODC in the fight against TIP. GLO.ACT is also mentioned in UNODC’s contribution to the ‘Report of the Secretary-General on Development Cooperation with Middle-Income Countries’. HTMSS provided input to this report which will be published later in 2019.

**Capacity building (outcome 3)**

**Knowledge and ideological shifts in agents of change**

GLO.ACT has contributed significantly to increasing the knowledge and sensitivity of key actors tackling TIP and SOM.

Knowledge about the scope and prevalence of the issues in different contexts has been increased and awareness and understanding of criminal behaviours related to TIP and SOM that previously were normalised has been raised. Distinguishing trafficking from smuggling is one of the most reported changes in knowledge. The project has helped increase the empathy of criminal justice actors and other stakeholders towards victims and vulnerable migrants resulting in for example attitudinal changes towards certain groups like people in the sex industry in South Africa or transgender persons in Brazil. Some attitudes however have not changed as much as might be
needed. In South Africa, the reported hostile attitude towards migrants, highlighted in the gaps and needs assessment for the country as a barrier to change, including amongst key agents of change, had according to stakeholders changed little under GLO.ACT although important progress had been made in ensuring that the current draft bill on SOM had evolved to ensure protection of vulnerable migrants.18

Stakeholders consulted also reported a better understanding of the roles and responsibilities of different actors in tackling TIP and SOM and to have grown personally and professionally by their participation in GLO.ACT activities, including having expanded their professional networks with 69% of survey respondents strongly agreeing with the statement that attending GLO.ACT activities has contributed to expanding their professional contacts in the area of TIP and/or SOM.

Technical capabilities

GLO.ACT has improved the technical abilities of criminal justice actors through training and exposure to UNODC tools and research. The monitoring processes of the project did not capture systematically how newly acquired skills translated into better assistance or investigation and/or prosecution of cases, but the evaluation gathered evidence through interviews and surveys (see figure 5) which showed that at least in certain countries, GLO.ACT had contributed to increasing the quantity and quality of the assistance provided and the cases investigated and/or prosecuted.

The office in Colombia presented evidence suggesting that the launch of the campaign #EsoEsCuento in April 2018 contributed to a 137% increase in the number of investigations that the Public Prosecutor’s Office launched in the second quarter compared to the first quarter of 201819.

In Brazil, in March 2019 the rescue operation "Cinderella", a joint operation of labour inspection, prosecutors and federal police, led to the release of 38 transsexual people and the arrest of six people on suspicion of exploiting and assaulting transsexuals.20 Five of the officials involved in the operation were trained by GLO.ACT the previous December. Officials reported that the training was key in two respects. Firstly, that the training included a specific panel on transsexual people and sexual labour that opened up many reflections which ultimately contributed to the decision to set up the “Cinderella” operation. Secondly, officials credited GLO.ACT with having increased the sensitivity of the officials involved in “Cinderella” with the victims, regardless of their sexual orientation.

Some stakeholders attributed the increase in arrests for smuggling offences in Niger, in particular around the town of Agadez, to the efforts of GLO.ACT’s capacity building. Although it was also recognised that low-level actors were the main target of arrests and prosecution and not the higher-level actors or organised criminal groups.

Targeted joint law enforcement operations also resulted in Malawi and South Africa following GLO.ACT’s publication of the ‘Wamama’ chronicles which documented the stories of Malawian trafficking victims and led to the rescue of 87 victims of trafficking and the arrest of 21 suspected traffickers.

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18 This issue was identified in the gaps and needs assessment for South Africa as hindering effective implementation of the Smuggling Protocol.
19 According to data from the Attorney’s General Office of Colombia to the GLO.ACT team.
Judicial decision-making in Niger was reported to have improved according to respondents monitoring trafficking and smuggling cases and judges, sitting in the court of appeal, noted that lower court judges were now familiar with concepts like victims’ rights.

Stakeholders in South Africa reported improved skills in assistance, care and support for trafficking victims amongst social workers as a result of training, although some gaps were also found (see “quality of the outputs” under the Effectiveness chapter).

IOM’s training of social workers in Morocco, which was monitored in follow up surveys one-year following training, indicated that skills had improved in identifying and assisting victims although important obstacles also remained.21

Institutional capacity to deal with TIP/SOM

The project has strengthened institutional capacity to tackle TIP and SOM. This has translated in several cases into positive organisational change. This has occurred mainly in national agencies but also in UNODC itself.

For example, in Pakistan, the Federal Investigation Agency (FIA) has undergone a major restructuring to prepare for the implementation of the TIP and SOM laws. Amongst other changes this has resulted in the creation of more than 4000 additional positions. In Mali efforts to support the creation of a permanent secretariat of the Interministerial Committee against TIP and SOM resulted in the adoption of a draft regulation. In Colombia, thanks to the work of GLO.ACT, a new National Information System in TIP has been developed that consolidates national statistics.

In Brazil, the Labour Inspection Bureau for the Eradication of Slave Labour (DETRAE) has improved their institutional capacity for gender analysis in the collection of information.

The creation of teams of trainers at both the national and local level to take responsibility for the future training of a range of criminal justice actors from judiciary to social workers have emerged in Niger, Morocco, and South Africa.

Stronger partnerships between government actors and civil society have also resulted under the guidance of GLO.ACT including in Brazil, Pakistan, Nepal and Belarus.

In South Africa, coordination between the national committee and the provincial task forces has been strengthened resulting in the adoption of terms of reference for all actors involved. Also, in Kyrgyzstan working groups have been established in each region facilitating information exchange and cooperation and a wider awareness of the issues.

GLO.ACT has also contributed to transformations inside UNODC:

◆ It has helped maintain or introduce a UNODC presence in some countries like Belarus, Lao PDR (in regard to SOM) or Nepal (In regard to TIP and SOM) and has allowed for relations in Mali to be re-established, after UNODC withdrew in 2012 due to conflict.

◆ It has provided another source of financing for anti-trafficking and anti-smuggling work to complement existing regional and country programmes in Egypt, Kyrgyzstan, Lao PDR, Mali, Morocco, Niger, Pakistan, and South Africa22.

◆ Placing NPOs directly in the field has enabled effective project implementation and developed networks of contacts for UNODC HQ that has fed back into the normative work.

◆ The communication products developed by GLO.ACT have been credited by some sections in HQ and in CO with enhancing the profile and visibility of UNODC.

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21 This included that trafficking victims declined assistance as they remained fearful of the networks that trafficked them; that psycho-social assistance was rejected for cultural reasons; that generally there was a lack of assistance provision available and civil society organisations lacked a clear framework within which to assist victims and took risks in doing so.

22 Also, for IOM in Belarus, Morocco and South Africa, it has expanded the community they are able to support.
International cooperation (outcome 4)

There have been some examples where GLO.ACT has contributed to improving transnational cooperation among national agencies or among formal and informal networks of practitioners although no information was available on the extent to which it had resulted in more operational cooperation in investigations and prosecutions through for example the creation of joint investigation teams or requests for mutual legal assistance.

Sub regional meetings involving a range of criminal justice actors and government officials from Mali, Morocco and Niger have been successful in exchanging experiences and providing spaces in which to discuss measures to improve responses on TIP/SOM but they have not resulted in the creation of a regular mechanism for cooperation as had been anticipated, according to stakeholders.

Regional cooperation with the Southern African Development Community (SADC) region has been strengthened through forums providing for the exchange of legal expertise ('litigation surgeries') in South Africa and this continued mutual learning has been highly valued by respondents and has fed directly into a successful case involving two SADC countries.

The strengthening of networks of practitioners across borders has also resulted from the training of The West African Network of Central Authorities and Prosecutors (WACAP) focal points and TIP/SOM focal points from Mali and Niger and other West African countries. GLO.ACT is also credited with strengthening the Ibero-American Network of Specialized Prosecutors against Trafficking in Persons at different levels. For example, UNODC is explicitly mentioned in the Interinstitutional Cooperation Protocol for strengthening the investigation, attention of TIP and SOM among the public ministries in Ibero America in 2017. This Protocol also addresses for the first time the issue of SOM. These networks of practitioners were considered important for the exchange of materials from the normative section at HQ and as providers of expertise to contribute to EGMs in Vienna.

Under the UNICEF component GLO.ACT has been a key factor in the Triple Frontier Region between Colombia, Brazil and Peru, by developing a transnational plan for prevention and prosecution of the crime of trafficking and sexual exploitation of children. On a transnational level, GLO.ACT stimulated the elaboration of a memorandum of understanding to officially cooperate in tackling trafficking and the sexual exploitation of children in the tri-border region between the governments of each country. The project has contributed to the formal establishment of liaison offices on TIP and SOM in the Pakistani embassies of Greece and Iran. Additionally, GLO.ACT also promoted informal networks of practitioners for example among airport police in Brazil, Colombia and Venezuela or among Lao and Thai authorities and Thai NGOs in Lao PDR.

Touching the lives of the people in vulnerable situations (outcome 5 and 6)

The evaluation was able to document several episodes where the project activities have contributed to improving the lives of victims and vulnerable migrants directly. The direct assistance to victims and vulnerable migrants, that was provided through IOM grants, has assisted victims and vulnerable migrants in six countries. The evaluation found that the assistance provided was too short in duration to provide comprehensive care and that there were limited offers of longer-term assistance. However, efforts to improve identification and referral of victims have shown some positive results.

Through UNODC, GLO.ACT also provided direct assistance to final beneficiaries in several instances. For example, it has contributed to identifying and referring TIP victims in several countries. In Corumbao, Brazil an NGO working with GLO.ACT identified some 150 undocumented Haitians migrants who it referred to the authorities for regularisation of their immigration status.

23 (AIAMP) 2017, Protocolo de Cooperación Interinstitucional para Fortalecer la Investigación, Atención y Protección de Víctimas del delito de Trata De Personas del Tráfico Ilícito de Migrantes entre los Ministerios Públicos Ibero Americanos
The impact of awareness-raising campaigns in Kyrgyzstan led to an increase in calls to the national hotline and referral of victims, alongside an increase in reports of crime, as it did in Colombia after the campaign #EsoEsCuento. UNICEF in Belarus also reported that capacity building of specialists on the child helpline alongside other measures to raise public awareness had led to an increase in calls of reports of sexual exploitation and abuse of children. Work with traditional leaders on forced marriage and missing persons in South Africa and their inclusion in provincial task teams also reportedly improved identification of trafficking cases. The same was achieved with labour inspectors in South Africa, where there had been an increase in the identification and reporting of trafficking cases in the textile industry since training.

**Protecting Children**

Besides the various activities of UNICEF to support child protection, including in Belarus in relation to the detection and investigation of child sexual exploitation over the internet, GLO.ACT has led several multi-disciplinary child protection related activities. In Niger, a series of trainings in the regions took place in coordination with UNODC’s Justice project on children associated with terrorism and the Sahel project, which have inspired similar efforts in Mali and have sensitised actors to the phenomenon of trafficking in human beings, including by armed groups. Interventions by GLO.ACT, alongside other actors, contributed to the early release of up to 50 children detained on suspicion of terrorist offences between March-June 2017. More efforts however were needed to ensure the early identification of child victims of trafficking amongst terrorist groups, as it was reported that children were still being routinely detained by defence forces on charges of terrorism and held until trial, although they were now being accommodated in rehabilitation centres or with foster families rather than detained in prisons whilst awaiting trial.

**Contributions to SDGs**

There are three goals that directly target trafficking in human beings under the SDGs which are set out below. There are no goals directly targeting the smuggling of migrants. But SDG 10 on reducing inequality within and among countries is the most relevant to action to address smuggling of migrants. It provides under target 10.7 for the facilitation of orderly, safe, regular and responsible migration and mobility of people, including through the implementation of planned and well-managed migration policies.

<table>
<thead>
<tr>
<th>SDG</th>
<th>Targets on trafficking in human beings</th>
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</thead>
<tbody>
<tr>
<td>Goal 5</td>
<td>Achieve gender equality and empower all women and girls</td>
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<tr>
<td>5.2</td>
<td>Eliminate all forms of violence against all women and girls in public and private spheres, including trafficking and sexual and other types of exploitation;</td>
</tr>
<tr>
<td>Goal 8</td>
<td>Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all</td>
</tr>
<tr>
<td>8.7</td>
<td>Take immediate and effective measures to eradicate forced labour, end modern slavery, combat 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</td>
</tr>
<tr>
<td>Goal 10.7</td>
<td>Facilitate orderly, safe, and responsible migration and mobility of people, including through implementation of planned and well-managed migration policies</td>
</tr>
<tr>
<td>Goal 16</td>
<td>Promote peaceful and inclusive societies for sustainable development, access to justice for all and build effective accountable and inclusive institutions at all levels</td>
</tr>
<tr>
<td>16.2</td>
<td>End the abuse, exploitation, trafficking and all forms of violence against and for children</td>
</tr>
</tbody>
</table>
The Research and Trends Analysis Branch of UNODC is involved in providing data under the indicator developed for SDG 16.2, which counts the number of victims of trafficking detected by sex, age and forms of exploitation. There have been no indicators yet developed to measure progress towards targets 5.2 or 8.7.

**Target 8.7** is focused on combating all types of trafficking and exploitation. GLO.ACT has helped in particular through its direct assistance to trafficking victims and its activities to develop identification and referral protocols and NRMAs to strengthening the protection of exploited and trafficked individuals. In particular, its work with labour inspectors (and the development of guidelines for labour inspectors) have contributed to extending the identification of possible victims of trafficking in forced labour situations. Its activities in both Niger and Mali to enhance understanding of the protection needs of children victims of violence and forced recruitment also represent an important contribution to this target. The development of policies, strengthening of legal frameworks and efforts to enhance regional cooperation generally on anti-trafficking all represent contributions to achieving this target.

**Targets 5.2 and 16.2** focus on addressing trafficking and exploitation of women and children which requires actors to use a gender and age-sensitive lens when addressing human trafficking. Alongside the measures highlighted above in relation to target 8.7, the focus on certain kinds of trafficking to which women, girls and boys may be particularly vulnerable, including for example GLO.ACT’s activities to raise awareness of bride kidnapping, forced marriages or the recruitment of children for armed groups all point towards positive action towards achieving this target.

There are also several cross-cutting goals that generally would be relevant to addressing trafficking and smuggling which tackle key development issues seen to underpin vulnerability to trafficking and smuggling. These include goal 1, end poverty in all its forms; goal 2, end hunger and achieve food security and sustainable agriculture; goal 3, ensure healthy lives and well-being for all ages; goal 4, ensure inclusive and quality education; goal 5, achieve gender equality; goal 8, promote economic growth and decent work for all; goal 10, reduce inequality within and among countries; goal 13, action to combat climate change and goal 16, promote peaceful and inclusive societies, access to justice and effective institutions.

GLO.ACT has not engaged in activities that would notably contribute to achieving many of these cross-cutting goals, which would contribute to both preventing trafficking and smuggling and ensuring the reintegration of returned trafficking victims or smuggled migrants. That said, its activities in support of building effective counter trafficking and counter smuggling structures and strengthening the capacity and correct functioning of criminal justice systems will have contributed in some part to the achievement of goal 16.

### Sustainability

Evaluation questions:

- To what extent have the stakeholders and beneficiaries taken ownership of the results, activities and goals of GLO.ACT?
- To what extent will the benefits/results generated through GLO.ACT be able to be sustained after implementation?

In this chapter, the evaluation looks at how far the results of the project are likely to be sustained from two perspectives: a) the sustainability of the process, being to what extent the different stakeholders will continue to be involved in tackling TIP and SOM and assisting victims; and b) to what extent the outputs produced/delivered under GLO.ACT are likely to be useful beyond the life of the project.

### Of the process

The sustainability of the process, according to stakeholders consulted, depends on two main factors. Firstly, the ownership of the national government; i.e. the political will and the robustness of the structures tackling TIP and SOM and assisting the victims. Secondly, the presence of an external actor to the government who ensures that the issues remain on the political agenda. This actor should be a legitimate organisation that advocates for change but ideally also provides technical capacity to relevant
stakeholders on TIP and SOM. UNODC, as the guardian of the UNTOC, is uniquely placed to play this role. In GLO.ACT, three scenarios have been identified relating to sustainability of the process:

**Sustainability unlikely**

These are countries where the sustainability of the process is not guaranteed. The governmental mechanisms tackling TIP and SOM and/or assisting victims are not robust enough to carry the process forward and the UNODC office has not been previously engaged on these issues in the country and is unlikely to continue working on them in the near future. It is important to clarify that this is not because of a lack of will but due to a lack of funds, despite multiple attempts to mobilise resources.

Several GLO.ACT countries fall into this category. For example, in Nepal, GLO.ACT has not had a clear governmental partner because there is no strong lead on the topic in the government. Although the evidence suggests that combating TIP and SOM is gaining momentum in the country, the institutional difficulties do not guarantee that national agencies can sustain the work effectively. The office of UNODC is also not in a position to assist the government in a sustained manner as GLO.ACT has been the first project on this topic in the country and future funding is unsure, even though there are some efforts by UNODC to help support/cover the gap. In other countries like in Lao PDR the evaluation found a similar scenario where the government clearly acknowledges that they will need support from UNODC and partners, but they are not clear where that will come from (despite fundraising efforts on the part of UNODC).

In Belarus and Ukraine, with no previous regional programme on these issues, GLO.ACT was the first time UNODC engaged on TIP and SOM in these countries. In both, activities started later than in other countries, with Belarus’ first activity only in December 2018. This was mainly due to difficulties in the technical registration process in the country and not a lack of will to implement. (This was already identified as a risk by UNODC as it is mentioned under the design chapter).

Nevertheless, anti-trafficking structures in Belarus represent stable partners, in particular the training institution of the Ministry of Interior, but future funding of UNODC is unclear. UNICEF however through its ongoing relationships with government counterparts and civil society reported that it would ensure the sustainability of interventions under GLO.ACT. In Ukraine, with conflict ongoing in the east of the country, multiple government reforms and numerous donors and UN agencies jostling for position, finding stable government partners has presented challenges. The delayed start of GLO.ACT in the country (see design chapter) has meant that the profile of UNODC has remained low but the topic remains in demand, and particularly the work initiated on child trafficking and referral mechanisms, which was seen to have promise and addressed a real need in the country.

In conclusion, the selection of these countries, where there was no guarantee of continuity, has undermined serious chances of sustainability of the process (see “selection of countries” under Design). It also must be acknowledged that there are different factors at play when considering potential sustainability which are outside the control of UNODC.

**Sustainability possible**

There are countries where not all the ingredients for the sustainability of the process are present, nor the capacity of UNODC to continue with work on TIP and SOM, but this appears less problematic.

**Brazil** provides an interesting example of this. GLO.ACT in Brazil has worked through institutions, such as the Ministry of Justice, the Public Defender’s Office (DPU), in charge of implementing aspects of the National Action on TIP, and through civil society organisations with experience combating TIP. It has invested heavily in these organisations to drive the process forward. However, there is a risk that without UNODC, the results achieved can be reversed. Due to the limited financial sustainability, the country office cannot guarantee that the support to institutions combating TIP will continue, despite their will.

**Sustainability guaranteed**

The ideal scenario for sustainability occurred in countries where there are long-standing UNODC offices with solid experience working on TIP and SOM and with excellent relations with stable government structures. In these cases, there is clear political leadership, government agencies are mandated to act and there are adequate financial and human resources committed. Examples include the ICBF (for example) in Colombia, the FIA in Pakistan, and NICTIP in South Africa.
Evidence suggests that in these countries, governments will continue to implement their strategies and UNODC country offices, are very likely to mobilise additional funds to continue their work in support of the government.

Of results

The evaluation has mixed findings about the sustainability of the outputs produced under GLO.ACT. There are many instances where GLO.ACT has tried to ensure the use of products in the future. For example:

- **Training curricula integrated** in the judicial and police academies or training tools and manuals developed for use by partners such as in Belarus, Colombia, Niger, South Africa and Ukraine,
- **Local trainers** - using and developing local expertise in training, such as in Belarus, Morocco, Niger, Pakistan, and South Africa which has improved the quality and usability of training,
- **Reference manuals** - The IOM Manual, already noted above. At the national level a good example is the Immigration Handbook in Pakistan.

However, despite these efforts, it appears that GLO.ACT has paid more attention to producing outputs than in ensuring their sustainable use, for example, through the design and implementation of dissemination strategies or by following up on the change of behaviour prompted by different training. The reasons for this stems in part from the design of the project and the lack of national ToCs.

**Design**

**Evaluation questions:**

- To what extent was the design (including the ToC and the logic framework)) appropriate to achieving and capturing GLO.ACT’s expected results (outputs and outcomes)?
- To what extent was the project design based on a needs assessment (and or baselines) and aligned with national and local needs of women, men, other gender identities and children?

**National ToCs**

The GLO.ACT project was designed around six objectives in line with the aims of the Protocols. The objectives provided a useful framework for designing strategies tailored to the national context. However, a critical step missing from the design process was the development of explicit national ToCs. This in turn meant that it has not been possible to clearly substantiate and/or understand the connection between the work of GLO.ACT and some important results that the project may have contributed to. On other occasions, it has meant that there was no space of the project.

For example, in *Niger* several sources consulted during the evaluation, including a recent report by the UN Special Rapporteur on the rights of migrants have pointed to the negative effects resulting from the implementation of the 2015 law on smuggling. These include the effective ban of all migration north of Agadez; the arrest, detention and prosecution of both migrants and smugglers; the increasing vulnerability of women and children, prevented from migrating, to trafficking and exploitation in the Agadez region; breach of freedom of movement rules for ECOWAS nationals as nationals are prevented from circulating within ECOWAS territory; the increasing use of more dangerous migratory routes resulting in humanitarian emergencies and the decimation of the local migration economy which, amongst other harmful effects, has left people vulnerable to terrorism.

GLO.ACT, in partnership with the national agency on trafficking has trained criminal justice actors to raise awareness of the provisions of the Smuggling in Migrants Protocol and in particular the distinctions to be made between smugglers and migrants and the rights of vulnerable migrants to protection. But gaps remain, including the need to support the creation of mechanisms to allow for the identification and referral of victims and vulnerable migrants to assistance providers and to support access to justice for all victims of crime; the need to sensitize judicial actors along new migration routes; the need to step up

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24 See “Report of the Special Rapporteur on the rights of migrants, Visit to Niger, 16 May 2019 at:
https://reliefweb.int/sites/reliefweb.int/files/resources/A_HRC_41_38_Add.1_E.pdf
interventions to support investigation of trafficking and exploitation cases and ensure protection of victims in view of the evidence suggesting increasing incidences of trafficking and exploitation as a result of anti-smuggling interventions, the need to address concerns related to implementation of the smuggling law and compatibility with free movement rights alongside the need to address the emergence of more dangerous forms of migration.

Ultimately in such contexts there is a need to regularly review that policies and actions are not undermining the human rights of individuals or the human rights obligations of States and remedial action should be taken where it is found that they might be.\(^{25}\)

Another consequence of not having national ToCs was the lack of opportunity to update the context in which GLO.ACT was operating, including mapping the main actors working on TIP and SOM to inform partnerships, the scope of activities and identify complementary actions. An advantage however of the absence of stricter planning processes has been the flexibility offered to adapt to opportunities and challenges, best represented by the Venezuelan crisis for the work in Brazil.

**The design process**

A positive feature of the design of GLO.ACT was the fact that it was a four-year project which gave UNODC and partners the opportunity to plan longer-term interventions rather than the more ad-hoc shorter-term projects it was used to. However, the design phase did not complete on signature of the project document in December 2015 and led to delays in implementation.

However, the design process (i.e. deciding what GLO.ACT was doing, where and why) continued in several of the countries until mid-2017, as figure 6 illustrates. This meant that in practice the implementation phase (that was supposed to last 3 and a half years – 4 years minus 6 months for the inception phase) was considerably less, leading to frustration for the donor, UNODC, and partners. The **inception period of six months** following signature until the formal launch of the project (July 2015 to January 2016), was also

\(^{25}\) For example in accordance with the UNODC Position Paper on Human Rights, 2012
used to conduct tasks that should have taken place at the design stage. This includes, for example, the selection of the 13 countries, the planning of the gaps and needs assessments, which finalised in July 2017, and the design of national ToCs, which were never completed\textsuperscript{26}. Had these activities taken place before signature of the project document, the inception phase would have provided time for contracting new team members, engaging national stakeholders and designing workplans, as intended.

The selection of countries

The selection of countries was done during the inception period through a lengthy consultation with the EU\textsuperscript{27} and to a lesser extent with implementing partners (UNICEF and IOM), as well as with UNODC regional/field offices in the last part of 2015. The process was reflective and followed robust selection criteria, combining the interests of the different stakeholders. Despite this thorough process, all parties were doubtful in hindsight that the selection of some of the countries was the most appropriate given the challenges while implementing the project. Some of these risks were already identified by UNODC during the selection process.

Planning at the national level

At the national level, the NPOs have been relatively free to decide and adapt what to do in close collaboration with GLO.ACT in Vienna\textsuperscript{28} and informed by the implementation plans to varying degrees.\textsuperscript{29} The involvement of other stakeholders such as national agencies has varied considerably. In countries like Colombia the Steering Committee of GLO.ACT, led by governmental organisations, has driven the process fully. Also, in Niger the relationship with the national agency has been very close and has guided most activities. In Belarus, the workplan was jointly prepared with the Ministry of Interior.

The best practices found by the evaluation are those national planning process that have been linked to local ownership. For example, Pakistan and South Africa where the design of the activities has been embedded in the strategies of UNODC's long-standing offices in those countries with a history working on trafficking/smuggling.

Finally, the gaps and needs assessments conducted in all 13 countries provided contextual analysis of a very good technical quality. In many countries, they provided an important basis from which the workplans were developed with activities formally linked to recommendations in the assessments.

However, the evaluation found that in various countries they were of limited use for various reasons. For example, in Niger and Mali, many of the needs identified were already known to the regional office as the trafficking team had been active in the region for a number of years. Furthermore, the research process was challenged by the fact that the consultant did not speak French. In Brazil, the assessment became quickly obsolete as it could not have taken into consideration key aspects such as the Venezuelan migration crisis which occurred after the report was already finished. In other countries like Morocco and Kyrgyzstan, the assessments and their accompanying implementation plans led to high expectations which could not be met and generated frustration among stakeholders.

\textsuperscript{26}It is important to notice that UNODC does not allocate any extra-budgetary resources for these types of tasks which are typically undertaken in the design stage, i.e. when donor funds have not been secured yet.

\textsuperscript{27}On the EU side, the list of countries under consideration for the project was based on (1) the 2009 JHA Council Paper on the 'External Dimension on Actions against Trafficking in Human Beings' and (2) the 2012 Council agreement on a list of priority third countries and regions with which the EU should strengthen cooperation and partnerships on TIP and SOM. The agreed upon list was based on available information on TIP and SOM from different sources (such as Eurostat, Europol, Frontex, UNODC, ILO and IOM) as well as on geographical and operational priorities identified in the Global Approach to Migration and Mobility (GAMM).

\textsuperscript{28}NPOs were encouraged to propose their fields of work and to justify why and how these could deliver the project’s goals – all subject to approval by the project coordinator and policy lead. The programmatic and policy oversight for each activity was done through the OMTs.

\textsuperscript{29}The implementation plans were an integral part of the gaps and needs assessment.
Relevance

Evaluation questions:

- To what extent did GLO.ACT respond to the real needs and expectations of women and men and child beneficiaries at country and regional level?
- To what extent was GLO.ACT aligned with the strategies and mandates of main stakeholders?

Adequacy of GLO.ACT in nature

GLO.ACT has responded in nature to the real needs of the countries related to tackling TIP and SOM. Stakeholders consulted identified as a main need in many of the countries, strengthening or building the institutional capacity to identify and assist victims. The project has unpacked and tackled many issues related to this need. This included: a) ensuring the non-criminalisation of victims by authorities; b) addressing the difficulties in reaching out to victims of TIP by supporting the adoption of NRM, Standard Operating Procedures (SOPs) and guidelines on identification and protection; c) training community workers and social workers; d) providing direct assistance provision to victims/vulnerable migrants; e) addressing the lack of technical and financial capacity of competent authorities, including in issues such as how to communicate with the media.

Additionally, GLO.ACT has shone light onto sensitive topics which has made the project more relevant to the needs of final beneficiaries including about TIP for the purposes of organ removal in Nepal; sexual exploitation of indigenous people in Colombia and Brazil, including children; and the treatment of child suspects of terrorism in Niger.

However, according to stakeholders, there have been three areas where GLO.ACT could have focused greater attention to make the intervention more relevant:

1. Identifying who was best placed to provide people with livelihood alternatives; i.e. linking more explicitly TIP, SOM and preventive action such as addressing root causes of trafficking/smuggling
2. Especially in connection with the direct assistance component, making the link between assistance provision of victims and the criminal justice process more explicit (see partnership chapter).
3. Connecting the work between origin, transit and destination countries.

Adequacy of GLO.ACT in scope

TIP and SOM are wide-ranging complex issues that require sustained interventions of much greater magnitude than GLO.ACT could offer. In this context, GLO.ACT interventions have ranged from actions that have amounted to "bricks in a wall"; strategic activities that complemented larger frameworks of action and "drops in a bucket"; interventions that have contributed, but in a less strategic and more diluted way. The report analyses this more closely under the chapter 'effectiveness'.

Alignment with national governments

In general terms, tackling TIP and SOM is often not a priority for governments that are usually juggling competing priorities such as employment, health, education, infrastructure, etc. In the case of SOM, the evaluation finds that there is less interest, and sometimes resistance to tackling it amongst decision makers or populations for various reasons. In countries dependent on remittances or where migration flows in the region are traditional or historic, tackling SOM can be perceived as preventing migration, particularly where there are no legal channels for movement and interfering with the free movement of people.

That said, all GLO.ACT countries have legislation and policies generally aligned with the aims of UNTOC and the Protocols. For example, most 13 countries, have ratified the two Protocols except Nepal that has not ratified any of them and Colombia and Pakistan that have not ratified the SOM Protocol.

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30 This is an aspect that has escaped the logic of GLO.ACT because of the ultimate selection of countries and because the donor of the project would not work in European destination countries. As per EU financial regulation, projects funded from the development cooperation budget cannot operate inside the Union.
31 Except Nepal that has not ratified any of them and Colombia and Pakistan that have not ratified the SOM Protocol.
and in some cases smuggling, which to varying degrees (particularly in the case of trafficking legislation) align with the Protocols. Many also have action plans and strategies, some with more weight than others.

Alignment with implementing partners

The mandate and strategic focus of both IOM and UNICEF are broader than the aims and objectives of GLO.ACT. For IOM, the focus is not only on victims but more broadly vulnerable migrants, while UNICEF focuses on improving child protection systems, addressing all risks and not only those related to trafficking or smuggling. Some stakeholders found this to have been an advantage in countries where the project allowed a previously neglected group to access services for the first time.

Efficiency

Evaluation questions:
- To what extent resources (human, time, financial) were adequately allocated to achieve GLO.ACT objectives?
- To what extent GLO.ACT's financial resources have been managed in an efficient, transparent and accountable manner?
- To what extent the management and coordination arrangements have ensured the efficient implementation of GLO.ACT?

Allocation of funds

Among the 3 implementing partners

The vast majority of GLO.ACT resources were allocated to UNODC. IOM and UNICEF had expectations of a higher allocation at the outset, in the absence of which they reduced their geographical presence in the project. IOM was implementing GLO.ACT activities in six countries (South Africa, Morocco, Belarus, Mali, Lao PDR and Brazil) and UNICEF only in three, Belarus, Colombia and Lao PDR.

Geographical allocation

31% of GLO.ACT resources were allocated to UNODC HQ. It is important to note that this figure does not reflect expenditure ONLY for HQ. A close analysis indicates that it includes a) expenditures for experts (such as international consultants) providing technical cooperation to the countries; and b) in the case of UNODC, all the investment in Belarus, that was run from HQ.

The allocation per country ranged from 11% of total budget to the MENA office (Egypt and Morocco - mostly Egypt) to 2% to Lao PDR and Ukraine. Brazil received the highest allocation of financial resources (9%) to one single country. This is explained by the size of the country which meant a considerable investment in internal travel and the number of activities implemented there. It is also important to notice that different countries are more or less expensive to operate in. This means that a more modest investment does not necessarily mean less activity.

The rationale behind the country allocation was not entirely clear. The resources were disbursed to the countries after GLO.ACT in Vienna approved funding requests on an activity basis in accordance with the six-months workplans. However, the budget estimates included in the approved workplans did not mean that those resources were earmarked for the countries.

This system of allocating money on an activity basis had an important advantage. It meant that GLO.ACT resources were able to be absorbed quickly which was a remarkable achievement, especially despite the delayed implementation in some of the countries largely due to political reasons and delays in recruitment processes. However, many felt it did not fully meet the expectations of the different countries, especially due to the financial difficulties at the end of the project (see section on financial management).
Evidence shows a discrepancy between the presumed budget allocation by country - i.e. earmarked evenly vs according to the workplans. But in practice countries with better capacity were in a position to present to HQ better and more frequent funding requests and therefore higher resources were allocated. For example, those who had better administrative support, had been trained in the use of UMOJA, were functioning in stable political environments and had stronger national partners.

The correlation between the capacities of the countries and the allocation of resources was therefore clearer than the correlation between the strategic needs of the countries and investment of funds.

**Substantial allocation**

It has been difficult to assess the adequacy of the allocation of funds to specific objectives under the project mainly because activities are not always consistently allocated to the appropriate outcome meaning that some outcomes are either more or less reported on. It is however important to acknowledge that it is actually very complex to assign multi-disciplinary activities to only one-dimensional pillar.

That said, the evaluation established that two of the GLO.ACT outcomes received around 16% of the resources each. They are outcome 1 related to developing national strategies and policies on TIP/SOM; and outcome 3 related to increasing the capacity of national actors to respond to TIP/SOM. This is coherent with the implicit ToC of the project.

As already noted, the% allocated to project management is misleading, in that it includes costs for international experts and national experts delivering expertise and capacity building to the countries.

In more conducive gender environments like Colombia and Brazil, the project management and national partners reported that it would have been important to have a dedicated line in the project’s activities for gender mainstreaming i.e. in the Outcome Monitoring Tool (OMTs) to enable monitoring. In other countries such as Egypt and Pakistan, the project management thought it was more strategic not to have gender explicitly highlighted in the budget of the activities.

**Financial management**

**Access to reliable information**

Although the delivery rate of GLO.ACT by the end of the project has been very high, its financial management had an important limitation. The management team in Vienna did not have access to updated reliable financial information during the implementation of the project. This happened for a number of reasons.

UNODC, as part of the UN Secretariat, changed their financial management system from Lotus Notes (ProFi) to Umoja in October 2015. That meant that GLO.ACT had to quickly adapt to the new system while staff (from HQ and from the field) were not fully conversant with it nor sufficiently trained on it. For example, NPOs with no access to UMOJA or not enough training would delay efforts on the ground as they had to rely on other offices to get first-hand information. Additionally, many staff members reported enormous difficulties in accessing and understanding information in the new financial system. For example, to compile the budgets for this evaluation, GLO.ACT staff had to manually process some 43 000 records to categorise expenditure per outcome and per country. This occurred despite considerable institutional efforts to prepare for the transition, like the development of specific guidelines and training.

Consequently, GLO.ACT relied on parallel systems for financial information and regular monitoring such as Smartsheet and Excel to be able to monitor expenditure. However, these records were not entirely consistent with the records kept in Umoja which had some adverse consequences. Towards January/February 2019, the GLO.ACT management team made considerable effort to obtain accurate financial updates from Umoja in close consultation with FRMS. The information obtained indicated that GLO.ACT had spent all its funds which meant that the project had to dramatically slow down and reduce the implementation of activities earlier than planned34. This caused some

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34 These included a study on smuggling in Morocco, the results of which were important in finalising a new regional programme funded by the EU Trust Fund, the dissemination of a research on the SOM route in Nepal, the completion of planned training activities and study tours in Belarus and a training of trainers on NRMs for child victims in Ukraine.
reputational harm to UNODC and had implications for the relationships with the implementing partners, especially with UNICEF.

It is important to note that the GLO.ACT HQ team reacted quickly and worked with all its NPOs through personalized one to one consultation to determine what priority activities could still be achieved and empowered them to secure further funding through their EU delegation counterparts or other sources. In fact, NPOs made important efforts to limit the damage and find funds from alternative programmes to cover some of the commitments.

**Funding request /Outcome Monitoring Tool**

GLO.ACT used funding requests to allocate and administer funds on an activity basis. As of September 2018, following the feedback of the ROM report, it evolved into Outcome Monitoring Tools (OMTs) which allowed for reporting at outcome level not the activity level. This system had advantages but could also be improved upon.

On the **negative** side, the preparation of funding requests/OMT for each activity was **too time consuming**. Some NPOs reported that more than 50% of their time was spent dealing with these processes. This was partially because the OMTs were more than mere funding requests. They also included aspects to do with substantive planning and monitoring procedures for each activity. However, since activities had already been approved in the workplans, the purpose of the system was unclear to many NPOs. The burden on staff at HQ was also considerable since they had to respond to 13 countries requests.

The system could take up to six weeks for money to be disbursed. This **delay meant that often country offices were left with little time to organise complex activities which affected their quality**. An illustrative example of this is in Brazil where GLO.ACT was left with only three weeks to organise a very complex workshop for more than 400 vulnerable migrants in the north of the country.

On the **positive** side, the OMTs were seen by some NPOs as **useful training tools** on results-based management. Also, both funding requests and OMTs were **key sources in compiling information** for monitoring, reporting and communication purposes (see also the chapter “monitoring and learning”). Most importantly this system allowed for all resources to be **absorbed** by the end of the project35.

**Management and governance**

**International level**

At the international level the project has been formally coordinated by a **Steering Committee** that included the donor, UNODC and the implementing partners, IOM and UNICEF. The coordination of the Committee has been **excellent which has made it possible to resolve political and technical issues** that have occasionally emerged in the countries, either from EU delegations or UNODC offices or implementing partners.

At the UNODC HQ level, the **GLO.ACT team has been widely praised** by their UNODC colleagues, both in the HQ and in the field, and by other GLO.ACT stakeholders for their **dynamism, commitment, professionalism, technical knowledge** and their **supportive management style**. This is particularly remarkable as the team has faced a number of challenges. During the **first year of the project, administrative support at headquarters for GLO.ACT was insufficient**36. Additionally, there was also considerable **staff turnover** that has inevitably affected some aspects of the project management37.

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35 In September 2019 there were still some commitments to be closed and funds to be utilized until the end of the project (September 2019)

36 The administrative and finance staff dedicated to supporting GLO.ACT, although full-time, were sometimes dealing with other admin and finance issues within HTMSS. The resultant lack of capacity aggravated an already complicated situation during the process of transitioning to UMOJA.

37 Most relevantly, at the coordination level, in June 2018 the GLO.ACT Project Manager transferred to another position at UNODC and in July 2018 the GLO.ACT Officer in Charge went on maternity leave. A new GLO.ACT Officer in Charge was appointed on a temporarily basis as of mid-July 2018.
UNODC was quick to put in place effective measures to mitigate the effects of this turnover, such as clear handover plans and quick and effective recruitment processes and ad-hoc replacements.

At national level
GLO.ACT recruited National Project Officers (NPOs) in 12 countries to implement the project which has been hailed as a success.

There is complete unanimity, inside and outside UNODC, that the NPO system has been hugely beneficial for GLO.ACT. The general professional calibre of the recruited NPOs has been great. Their work performance has been consistently praised by many of the national partners and commented upon in the surveys. However not all have had the same level of support from UNODC and national partners nor motivation and expertise.

38 The NPO in Belarus was a Vienna based consultant.

<table>
<thead>
<tr>
<th>Most enabling environment for NPOs</th>
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<tr>
<td>In Colombia, Pakistan and South Africa, the NPOs were integrated into very well-established UNODC offices. Their jobs were clearly focused on managing programmes related to TIP/SOM. They had in-country management support (political representation, direction, encouragement, strategic thinking) and (at least some) administrative support to perform their duties.</td>
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<tr>
<td>In these countries, there were strong partnerships with established national structures/agencies who were leading the efforts to combat TIP/SOM. Furthermore, during the period of implementation there were no major natural disasters or political crises.</td>
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Also, of relevance to project delivery has been the departure of some NPOs in the middle of the project term.

GLO.ACT Team spirit
The management style prevailing in GLO.ACT and the human and professional calibre of its members has created a feeling of collaboration, affection and camaraderie that has had a very positive effect on the work.

It is also important to acknowledge that the NPOs have generally benefited from regular meetings and training sessions for example during bi-annual GLO.ACT staff meetings or refresher courses on emerging issues and other subjects including communications and visibility and policy issues (including data collection). There were also regular remote good practice exchanges and trainings held through video teleconferencing to train NPOs and field office staff on project management, finance, and monitoring & evaluation.

Despite these efforts, the evaluation finds that NPOs have different technical abilities in relation to tackling TIP/SOM and not the same level of understanding of UNTOC and the Protocols.

Work/life balance
The culture of delivery and commitment prevailing in the GLO.ACT team has encouraged the idea that everybody is available at any time. This has often meant unmanageable workloads at unreasonable hours. This demanding work culture has affected the work-life fit of the GLO.ACT team and their job motivation.
**Effectiveness**

**Evaluation questions:**
- To what extent has GLO.ACT achieved its expected results? How well were outputs achieved?
- What is the added value of GLO.ACT vis-à-vis other actors/projects that emerged through the evaluation?

**Summary of the progress**

GLO.ACT has implemented many outputs in the 13 countries following different strategies, as figure 7 illustrates:

![Figure 7: Typology of outputs](image)

What follows here is a very brief summary of all the activities that the project has implemented according to GLO.ACT internal reports that have been contrasted with an analysis of the OMTs and other information sources available for this evaluation.

**Inception activities**

In 2016, the vast majority of activities implemented were not country specific but general coordination activities that pave the way for the actual implementation that took place mostly in 2017 and 2018. These activities included the official launch of the project; three project coordination meetings; introductory missions to several countries; signing of partnership agreements with IOM with UNICEF on 20 July 2016; and the development of the project branding strategy.

During 2017, 13 needs assessment reports were finalised; GLO.ACT workplans were endorsed by most beneficiary countries and governmental focal points were selected for the implementation of GLO.ACT in most beneficiary countries.

**Objective 1 Strategy and policy development**

GLO.ACT implemented more than 110 activities in all 13 countries (mostly in 2018). The project invested the largest sum of resources to this outcome (see efficiency chapter). These activities ranged from high level consultation meetings, improving operational systems, like developing data collection systems on TIP and SOM and NRM, policy development consultations and regional and national seminars and conferences. Awareness raising campaigns were also counted under this outcome.
Objective 2 Legislative assistance

14 activities (mostly in 2018) were delivered in ten GLO.ACT participating countries related to outcome 2 including in Brazil, Colombia, Kyrgyzstan, Mali, Morocco, Nepal, Pakistan, South Africa and Ukraine. These activities included legal analyses, meetings, consultations and legal technical assistance for supporting the development of Protocol-compliant legislation.

Objective 3 Capacity building

89 activities (mostly in 2018) were delivered across all 13 GLO.ACT participating countries. These activities ranged from capacity building training for practitioners (mainly); development of tailor-made curricula and expert group meetings. Under this outcome, GLO.ACT supported the DPU in Brazil to lead actions in several locations in the north of the country to identify and assist vulnerable migrants. This is an example of how this activity would have been better placed under Outcome 5.

Objective 4 Regional and trans-regional cooperation

24 activities (19 of them in 2018) were delivered to assist beneficiary countries to strengthen regional and trans-regional cooperation in criminal matters related to trafficking in persons and migrant smuggling and assistance to victims, including in Colombia, Egypt, Mali, Morocco, Niger, and South Africa. The activities have included training with formal networks of prosecutors, such as WACAP, training with other networks of practitioners; sub-regional workshops; international conferences and exchange visits.

Objective 5 Protection and assistance to victims and vulnerable migrants

More than 27 activities took place (during 2017 and 2018), including the implementation of grants through direct assistance from IOM in six GLO.ACT countries (Belarus, Brazil, Lao PDR, Mali, Morocco, and South Africa). Under this outcome, IOM also developed several publications including on Protection and Assistance of Vulnerable Migrants, NRM and a guide for labour inspectors in Morocco. Both UNODC and IOM also under this outcome conducted numerous trainings for different actors on identification and assistance of victims, conducted workshops on NRM and contributed to the development of guidelines and SOPs.

Objective 6 Assistance and support to children among victims of trafficking and smuggled migrants

24 activities were delivered (during 2017 and 2018) in Belarus, Colombia, Morocco and Niger. Three GLO.ACT countries (Lao PDR, Colombia and Belarus) received direct assistance from UNICEF to develop frameworks for protection and assistance of children among trafficked victims and smuggled migrants within child protection systems. In Colombia and Belarus, high level conferences were organised. In Niger training was conducted to improve treatment of children as victims of violence or recruitment to armed groups and TIP and subsequent training to build the capacity of the child protection chain, followed also in Mali. Also, in Ukraine, research has been conducted on child trafficking and training conducted on referral mechanisms for children. In Belarus GLO.ACT also trained criminal justice actors on TIP for the purposes of child sexual abuse and exploitation online.

Implementation pace

At the international level, stakeholders have been satisfied with the progress of GLO.ACT, i.e. the pace at which the activities have been implemented. Although, in several of the countries, due to the abrupt end of the activities, there is a feeling of having been short-changed, although creative efforts have been made to ensure that some planned activities can go ahead by reducing and sharing costs with other partners.

In general, the pace and intensity of implementation has differed substantially from country to country. In countries like Brazil, Colombia or South Africa, the project has implemented a large number of activities, while in countries like Belarus or Ukraine there has been relatively little activity. In Ukraine only 1 out of 6 activities in the original work plan were completed. In Belarus, 5 activities were implemented as of June 2019.
Some countries, like Colombia and South Africa started implementing activities early in the project, at the end of 2016, while others like Belarus and Lao PDR had a very late start, around December 2018. Several countries, despite delays picked up the pace of implementation quickly. This was the case of Morocco, following the appointment of the new NPO in September 2018, and Egypt, that implemented 41 events related to TIP and SOM mostly training programmes (many as part of GLO.ACT) in the space of 14 months.

In terms of the pace of the implementation, Colombia has emerged as a best practice. In this country, GLO.ACT has a steady and organised implementation pace overseen by a Steering Committee with regular monitoring.

IOM has reported to have completed all activities planned at the country level; i.e. 10 grants have been implemented through NGO partners in six countries, although at different paces, for example, the work on NRM in Lao PDR took off late. All research planned under GLO.ACT was either finished or at the final draft stage.

UNICEF has reported to have completed the vast majority of the planned activities in the three countries where they were present. In Colombia, despite a late start due to negotiations with the host government, the implementation has picked up and was proceeding according to plan. In Lao PDR, UNICEF reported that 90% of planned activities have been completed. However, at the time of the evaluation, the work planned for Belarus was still being implemented. This was a consequence of the late start of the project due to the time taken to be accredited in the country.

Quality of outputs

Technical quality

The overall technical quality of GLO.ACT outputs has been rated very highly.

The training courses were highlighted by stakeholders for the relevance and quality of their contents, using solid reference materials, such as the various guidance materials produced by UNODC HQ and innovative and engaging methods, for example video simulation in the training on combating TIP for the purposes of organ removal in Nepal; the pre and post tests for participants in Egypt using mobile devices40; or the use of artists and musicians in an awareness-raising event in Brazil or for the launch of

40 https://forms.gle/jBgyccFja6ULFlmwb7
the National Strategy in South Africa. The high calibre of the trainers in most instances was also appreciated.

Sometimes more relevant practical examples tailored to the national context could have been used and more attention paid to providing copies of training materials and ensuring that training was provided in local languages. There were also questions about whether training addressed difficult issues. In Niger, judges reported that not enough consideration was paid in training to how the practical implementation of the smuggling law complied with freedom of movement rules under the ECOWAS Protocols, leading them to question the relevance of the training to their needs.

Some stakeholders expressed training fatigue, labelling training as “the same as always” often because other organizations were providing the same type of training (such as IOM, ICMPD, UN Women etc) and a potential duplication was perceived or because the same trainers were delivering multiple trainings with little adaptation to the audience or context. Also, in some cases, trainees had received one-off trainings in the past with no continuity or follow-up.

The research developed by the project was generally regarded of good technical quality. Overall consultants involved were reputable professionals and the results have been rigorous and the research products informative. The gaps and needs assessments were good examples of the high-quality research that GLO.ACT has produced, although they differed in scope and comprehensiveness.

On other occasions the aims of the research, the use made of the findings or whether the research has been finalised is not clear, in particular with regards research on smuggling (i.e. in Kyrgyzstan, Nepal and South Africa). Considering these specific circumstance, special care should be taken to ensure respect for research ethics including obtaining informed consent from research participants and doing no harm. For example, research conducted in South Africa used immigration officers in the collection of data amongst irregular migrants detained in the country's main immigration detention centre prior to deportation. It also aimed to map the location of irregular migrants, which could have led to their arrest and detention, although reassurances were received that the research would not be used to arrest any migrants.

Scope and outreach

Outputs have generally ensured participation of the right type of actor, from judges and prosecutors to traditional leaders and labour inspectors and involved both local/regional and national actors. Many activities have been multidisciplinary which have been seen to represent a best practice in terms of ensuring a victim-centred approach to the issues. These activities have promoted networking and positive synergies between the range of actors responsible for tackling TIP and SOM and have extended into multiple localities, well beyond the capital cities. Nevertheless, the scope and outreach of outputs has emerged as limited during the evaluation because insufficient attention has been paid to the critical mass to be reached to achieve the intended results. This has been particularly prevalent in the case of training and awareness campaigns.

Training

Frequently trainees found that training was for too short a duration to cover such complex issues. There have been successful examples of the integration of training curricula in police and judicial academies or other learning institutions in some countries, like the trainings in the Juridical Clinic of the Autonomous University of the Caribbean in Colombia on prevention of TIP. However, frequently trainees expressed the need for GLO.ACT training programmes to be integrated into a wider learning strategy rather than one-off trainings. There were also questions around the selection of participants. i.e. whether there were the “right people in the room” although this was often determined by national partners.

In some countries training has had an impressive outreach, especially considering the resources available in the project but overall training has been insufficient in scope. By way of example in South

41 Although it was reported that the questionnaire used for the research included a provision requiring the consent of the interviewee to participate, it is questionable in view of the circumstances of the migrant and the powers of immigration authorities to release or deport detainees, that consent could be viewed as being freely obtained.

42 Awareness campaign in north Pakistan; DPU in north Brazil, regions of Morocco, Niger and South Africa, Kyrgyzstan (working actively with local authorities)
Africa it was reported that there is a need to train at least one detective in each police station with 188 police stations in one province alone, and with nine provinces. Knowing this, training has often been delivered strategically to expand its impact by targeting those who could transmit the learning to the rest of the organisation, such was the case of the trainings organised by DPU in Brazil. Survey results also indicated that the majority of those trained could transmit some of the learning to their colleagues.

**Awareness campaigns**

GLO.ACT has devised awareness and information campaigns in several countries such as Colombia, Kyrgyzstan and Pakistan and has contributed to many others. The design and planning of the campaigns have been meticulous through the selection of the target audience, geographical outreach and scoping of hotspots of TIP and SOM in the country. The ICAT toolkit on TIP evaluation, was used to design, implement and monitor such interventions. The campaigns have also succeeded at engaging key partners. In Kyrgyzstan, local authorities and civil society organisations in the seven regions drove the awareness campaign, with training by media specialists for youth organisations provided by UNODC alongside participation from many other international organisations present in the country including IOM.

Campaigns have clearly managed to have an effect as this report has acknowledged under the impact chapter. But as with training, it is less clear that these campaigns have managed to reach the tipping point to create the type of effects they intended, given the magnitude and the complexity of the problems they were tackling. Also, of importance is the need to plan and budget for mechanisms and resources to respond to new cases, if the intended effects of the campaign is to generate significantly more referrals of trafficking victims for example or investigations, which had not been accounted for in Kyrgyzstan. Evidence suggests that if these types of campaigns do not occur in a sustained manner and with limited resources at their disposal to respond for instance to new cases, then the positive effects are rapidly eroded, and it would be necessary to ask whether they were worth the effort.

**Gender in implementation**

Important efforts have been made to mainstream gender in the implementation of the project, even though there have not been consistent gender strategies at the country or international level, being comprehensive plans with targets, indicators and budget allocations. Gender mainstreaming has been largely left to the commitment of the NPOs, with encouragement and support from HQ but not following systematic plans. It is however remarkable how even in challenging contexts (like certain countries or sectors, such as law enforcement), NPOs have used subtle ways to improve gender mainstreaming.

Some good examples include a) developing specific gender and human rights modules in trainings; b) affirmative action, like encouraging women in research teams in Nepal or adding “gender expertise” as a criteria to employ trainers in Pakistan; and c) mainstreaming gender in the contents of awareness campaigns in Pakistan.

**GLO.ACT added value**

Many international organisations provide similar technical assistance as GLO.ACT in terms of policy and legislative review and advice and capacity building, and sometimes stakeholders could not recall which organisations had provided a particular intervention. However, it was widely recognised that the main added value of UNODC was its expertise on the legislative aspects of TIP and SOM due to its privileged position stemming from its normative work.

While it is true that the GLO.ACT project document outlines how the work of UNODC as guardian of the UNTOC is an added value, this aspect has not been integrated into the project outcomes. Many stakeholders highlighted how GLO.ACT has been an important source of contacts and information contributing to the normative work of the organisation. UNODC is also well positioned to make

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43 Inter-agency Coordination Group against Trafficking in Persons (ICAT) (2016) Pivoting toward the Evidence: Building effective counter-trafficking responses using accumulated knowledge and a shared approach to monitoring, evaluation and learning
important substantive links between TIP/SOM and violence against children, money laundering, terrorism, drug trafficking, etc.

Other important advantages indicated by stakeholders included: a) the flexible and trusted relationship between UNODC and the government; b) the power to convene and bring actors together by drawing on its networks; c) the willingness to work through national strategies; c) the quality of UNODC materials; d) the calibre of the human capital that UNODC can attract at different levels.

The added value of a GLO.ACT as a Global Project has been frequently recognised:

✔ National agencies have welcomed being part of an international initiative. For example, they welcome the international exposure they get when their stories are featured in the GLO.ACT web page and the UNODC web page.

✔ They have benefited from knowing good practices and challenges of other countries.

✔ NPOs have contextualized the needs of the individual countries in the global programme.

✔ GLO.ACT has allowed closer links between the counterparts and the normative work of UNODC. This has been a key value added, not just to counterparts but also to a global discourse on TIP and SOM.

Monitoring and learning

Evaluation questions:

➢ To what extent did GLO.ACT implement recommendations of relevant previous evaluation(s) and other relevant research?

➢ To what extent have the monitoring systems been able to capture relevant information for different stakeholders?

The purpose of monitoring is to measure the progress a project is making towards changes or transformations. This type of “big picture” monitoring is called impact monitoring, which includes determining the changes that the project is seeking to have on different stakeholders; being institutions or people. This typically translates into the development of clear impact chains or theories of change (ToC).

A recent ICAT research paper identified a set of recurring findings and recommendations that were present in a wide range of TIP and (to a lesser extent) SOM projects and programmes. ICAT indicated that there are recurring gaps and weaknesses in the areas of programme design and monitoring in these programming areas, including the development of ToCs.44

Using this ICAT research as one of the references, GLO.ACT developed a 22-page strategic Monitoring Evaluation and Learning approach document in 2016 whose main purpose was “to explore what was achieved at the global level and in each of the implementing countries.”45

Most relevantly, the paper included a theoretical approach to key MEL principles and concepts, and a MEL framework; including a narrative for a global theory of change (ToC) and a logic model map based on the six pillars of the project (see figure 9).

However, this ToC and logic model critically missed elements such as the identification of underlying assumptions, as this report has highlighted in the chapter “reconstructing the blueprint for change”.

There was also another critical aspect missing in this MEL strategy to effectively do impact monitoring. This was to clearly identify what are the concrete transformations the project was seeking at the

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45 GLO.ACT Monitoring, Evaluation, and Learning Strategy Document
national level. In the case of GLO.ACT, although there were well-defined global outcomes, the specific transformations being pursued were naturally different depending on the specific contexts of the different countries.

Early on, the project developed samples of National ToC and outcome questionnaires for the NPOs to complete, in an attempt to identify these concrete national transformations. However, these National ToC were never completed, and the outcome questionnaires were never fully used. This was a major hindering factor in effectively monitoring the progress towards the project impact at the national level.

During the implementation of the project different assessments pointed to the need to improve monitoring mechanisms. Most relevantly, the recent EU ROM assessment on GLO.ACT highlighted several shortcomings referred to in the GLO.ACT MEL system: including the lack of baselines and monitoring oversight; the difficulties in collecting evidence and meaningful qualitative information to capture results at the national level; and not being sufficiently straightforward to learn from experience and link local practice to global dialogue.

GLO.ACT quickly reacted to the findings of the assessment by improving the MEL system with the aim of producing reports on tangible outputs which have contributed to actual outcomes in support of project objectives (i.e. not just listing activities). These improvements included the development or the revision of a wide range of tools (see figure 10); including measures to monitor gender mainstreaming more systematically.

However, the project did not have time to implement most of these tools. Therefore, the evaluation could not undertake a substantive and comprehensive analysis of the usefulness of these MEL tools.

The evaluation was able to establish though that various technical and logistical elements were not in place to effectively measure how GLO.ACT activities were contributing to the achievement of results during the implementation of the project.

Since ToC or logframes were not developed at the national level, it was not possible to develop success indicators that linked the activities with the desired transformations. For example, it was not clear when a training was considered successful; in general success was only associated with the quality of the activity and the profile and number of attendees; but it was not possible to develop useful indicators (see Box 1), which could measure, for example, to what extent those attending a training had used the contents of the courses.

In fact, as noted in the chapter on "limitations of the evaluation", in most countries the contacts of participants in the various activities were not available. Therefore, it was not possible to monitor the impact of the activities; in particular for training activities. Besides pre and post evaluation tests of training, generally there has been no longer-term follow up with participants to monitor the results. Sometimes this has arisen because it is not possible to conduct such a follow-up for different reasons, for example related to data protection in some countries. But generally, it has been due to the fact that efforts have been focused on delivering new activities with less time devoted to doing a follow-up.

**USEFUL INDICATORS**

There are seven attributes⁴ that define a useful indicator:

- **Valid**—indicators should actually measure what they are supposed to measure
- **Reliable**—conclusions based on indicators should be the same if measured by different people at different times
- **Relevant**—indicators should be relevant to the project’s objectives
- **Sensitive**—indicators should be sensitive to each context
- **Cost effective**—the results should be worth the time and money it costs to apply indicators
- **Timely**—it should be possible to collect the data reasonably quickly
- **Targeted** – indicators should be specified in terms of target group, location, quality and time.
On a positive note, as the ROM assessment acknowledges, the project has engaged in piloting new and useful data collection tools.

Most **relevantly the OMT**, that replaced the funding requests, has been instrumental in clustering the different activities under the outcomes of the project which has generated an overview of the activities per outcome. The OMTs were also to some extent a results pathway tool to assess the needs and gaps of the countries.

The **six-month workplans** were also useful in ensuring that the activities responded to a certain country logic that was in turn related to the work areas of GLO.ACT. The **progress reports for UNODC Management and Financial System (PROFI)** are a UNODC institutional requirement that provide an overview of the accomplishments of the project, while the **reports to the donor** follow a required format: including implementation of activities plus other aspects such as partnerships, communications and visibility.

It was agreed that all of these **monitoring requirements would have to be considerably simplified** to make them cost and time effective in the future.

In addition to the reports and formal monitoring tools, GLO.ACT has used **informal channels** to monitor its work, for example through WhatsApp groups, Skype calls to the team and even some field visits to provide direct assistance. These informal systems have often provided a better fit for the countries and have been able to capture, albeit in a less systematic way, what was happening on the ground.

The shortcomings in the monitoring system have been **alleviated by certain communication products, like the web stories**. Most significantly, as of September 2018, the quarterly reports were simplified into **country overviews that** provide a review of the main activities and outputs, including a section on looking ahead which continued to evolve into a section on sustainability of GLO.ACT intervention after the end of the project. This was an improvement with respect to the quarterly reports that were a mere list of activities delivered, without an analysis of any potential follow-up thinking on long-lasting change.

The communication work of GLO.ACT has been highly regarded not only for its **content but also for its dynamism, and its proficient use of new technologies**.
Partnerships and cooperation

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<td>➢ To what extent have the outputs and outcomes benefited from the expertise of and cooperation with other relevant international/regional institutions?</td>
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<tr>
<td>➢ To what extent was the communication between field/regional offices and GLO.ACT partners efficient?</td>
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<tr>
<td>➢ To what extent did the cooperation, with other partners (including, governmental partners, UN agencies, CSOs, etc.) contribute to the achievement of GLO.ACT objectives?</td>
</tr>
<tr>
<td>➢ To what extent did the partnership between UNODC/IOM/UNICEF create added value to the project, and what would have resulted from actions taken by each partner on their own?</td>
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</table>

Making part of UNODC’s global efforts to address TiP and SoM, GLO.ACT has maintained a close collaborative relationship with other HTMSS Global Programmes related to TiP and Som. Most significantly, the project has benefited from the technical expertise of several staff members who have contributed to the co-financing commitment that UNODC signed with the EU. UNODC has estimated this co-financing of staff of around US $635,900.

Specifically, the Global Project against Trafficking in Persons (GLOT59) and Global Project against Migrant Smuggling (GLOT92) have dedicated the designated staff time to the implementation of GLO.ACT. GLOACT also also worked with the normative team of HTMSS and has provided, through its network of NPOs, access to key government counterparts on trafficking and smuggling in the various countries who in turn have contributed to the development of new tools, such as the new model law on trafficking.

Collaboration with other UNODC offices at Headquarter

GLO.ACT also collaborates with the Research and Trends Analysis Branch of UNODC, which has used the findings from the gaps and needs assessments in drafting its global report on smuggling. The section has also cooperated in developing the methodology for the research on smuggling in Morocco and has been working with Mali and Niger to build capacity in data collection and develop templates for reporting. It has also been developing a matrix of indicators to measure the effectiveness of national responses on trafficking that should be integrated in future monitoring tools. It has also collaborated with the Justice section in its capacity building activities in Niger.

Regional cooperation

The vast majority of GLO.ACT work has been done at the national level. However, the evaluation also found examples where GLO.ACT has cooperated with other relevant international/regional institutions already detailed under the impact chapter.

Additionally, there has been a broad collaboration with regional UNODC projects, mainly in Africa but also in Latin America. For example, in Mali and Niger two regional projects co-shared funding with GLO.ACT. These included the joint project ‘Promis’ implemented with OHCHR and the UNODC Sahel programme aiming to contribute to the UN integrated strategy for the Sahel region. In South Africa there is also a regional programme that supports the SADC region and in Central Asia GLO.ACT has been implemented alongside the 2015-2019 Programme for Central Asia on organised crime. In Latin America, it is important to highlight the cooperation of GLO.ACT Colombia and Brazil, both in the Iberian-American Prosecutors Network Meetings as well as capacity building with labour inspectors where GLO.ACT Colombia provided GLO.ACT Brazil with substantial support.

Cooperation with other UNODC projects at the national level

GLO.ACT provided an extra source of funding on trafficking and smuggling work that has added programmatic value to the overall strategy of some field offices on TiP and SOM. In Kyrgyzstan, GLO.ACT

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47 Chief, HTMSS (GLOT59): 15% of time of P-5 level; 2 Criminal Justice & Crime Prevention Officers (GLOT59 & GLOT92): 33.3% of time for two P-3s; 1 Criminal Justice and Crime Prevention Officers (GLOT59): 17% of time for one P-3
48 Global Study on Smuggling of Migrants, UNODC, 2018
49 This project aims to enhance the response to smuggling of migrants and co-funded legislative assistance activities on the new smuggling law in Mali
50 In Mali and Niger, the training of police, prosecutors and judges and the integration of training curricula into national agencies and training of trainers in those agencies has been ongoing since 2015 under the regional programme.
focused on awareness raising campaigns and activities, complementing the work of a US-funded national project on training law enforcement and improving crime data collection. In Egypt, funds from UK-DFID were used to expand the outreach of GLO.ACT training. In Lao PDR, the lawyers training was co-funded with the Asia Foundation and the NRM with Winro International. In Morocco, some GLO.ACT activities contributed to and were coordinated with a US funded project on National Referral Mechanisms (NRM) and civil society. In Pakistan, GLO.ACT trained staff for a migrant reception centre on the Iran-Iraq border funded by Norway. In South Africa, US funds also complemented GLO.ACT funding on TIP data collection in the SADC region.

Cooperation with national partners

On the whole GLO.ACT has partnered closely with government agencies in the implementation of the project as highlighted throughout this document. In some countries however, in spite of its efforts, it has not been possible to establish substantive collaboration given the late start of the project and its abrupt ending, such as in Lao PDR. In other countries, the relationships with national partners have been less stable or unresponsive due to governmental reforms or elections, such as in Nepal, Morocco and Ukraine, and have contributed to delayed implementation.

Civil society have been involved through the UNICEF and IOM component of the project that were purposely designed to have a significant input from NGOs. However, and even acknowledging that UNODC’s natural partners are normally government agencies, UNODC have also partnered extensively with civil society in some countries. For example, Brazil and Pakistan have used civil society as trainers and researchers and GLO.ACT has been credited with ensuring greater inclusiveness of civil society in policy making and facilitating relations between civil society and law enforcement. In Kyrgyzstan, civil society played a key role alongside local authorities in running the awareness campaigns.

But there have also been criticisms. For example, civil society reported that they had received insufficient training for the campaign in Kyrgyzstan and no funding to implement it. Also, in Niger some stakeholders viewed UNODC as remote from the needs of the people partly because it had few relations with civil society. Some NPOs reported that they would have liked to have engaged more with civil society but that administratively it was not possible to fund them for activities.

Implementing partners - UNICEF and IOM

The three implementing agencies of GLO.ACT, UNODC, IOM and UNICEF have worked largely in parallel, as already stated in this report and highlighted in the EU ROM.

From a substantive point of view, stakeholders believed that the selection of partners was appropriate as there was clear potential for complementarity. However, in practice the partnership has not fully materialised in all countries. However, good examples of collaboration between implementing partners were identified. In Lao PDR, IOM, UNICEF and UNODC worked together to ensure feedback into the NRM as well as ensuring sustainability after the end of GLO.ACT funding.

Linking victim assistance and criminal justice

The IOM assistance component to victims could have been more directly linked to the components on capacity-building of criminal justice actors, in keeping with the logic of the UNTOC. Instead trained criminal justice actors complained that they had no connections with civil society organisations (CSOs) assisting victims and did not know where to refer victims, such as in Morocco. At the same time shelter staff had little knowledge about the criminal justice process for trafficking victims, nor had any trusted contacts amongst law enforcement.

Some countries reported wanting to prosecute cases but were frustrated sometimes in their attempts, in particular in cases where victims were being quickly returned to their countries of origin, often with IOM assistance, before testimony was taken. In Niger, judges queried the purpose of capacity building when other international actors were rapidly returning the people on whom their criminal cases depended. Niger was not a GLO.ACT implementing country for IOM and it was not clear what support was provided to victims of trafficking or victims of crime through smuggling who wished to access justice in Niger. There was nevertheless a need to support more assistance provision and ensure closer coordination and the development of partnerships between organisations providing assistance to victim witnesses of

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trafficking or smuggling and criminal justice actors targeted by GLO.ACT’s capacity building activities to ensure the best possible outcomes in criminal proceedings and a more victim-centred approach.

In places like Brazil, Mali, and South Africa, IOM and UNODC have generally worked on separate activities, although sometimes working jointly (such as the development of the NAP in Mali) but they do participate in each other’s events. This was also the case in Niger, although not a GLO.ACT country for IOM. In other countries like Morocco the absence of coordination, and possibly competition between UN agencies, led to IOM and UNODC hosting a similar event on the same day with the same participants which was reportedly dealt with swiftly by the Project Coordinator working with the IOM Coordinator so that such a situation did not reoccur.

**Human Rights and Gender Equality**

Evaluation questions:

- What measures have been taken during planning and implementation to ensure that human rights aspects were mainstreamed?
- To what extent did GLO.ACT take gender aspects into account while planning and implementing this project?

Gender

The theme of trafficking, as often linked to trafficking for sexual exploitation and abuse is more naturally linked to gender issues. Consequently, gender has emerged strongly during GLO.ACT, more so when it comes to TIP, than when it comes to SOM. It has also helped to maintain the focus on gender, the institutional commitment of UNODC, the donor and the implementing partners.

A determining factor in the gender mainstreaming in GLO.ACT has been the difference of the various environments. In this sense, it has become clear that gender mainstreaming is a matter heavily contextualised, and that therefore “one size does not fit all”. In GLO.ACT, there have been countries and sectors that are particularly impervious to gender mainstreaming where NPOs have had to use more subtle strategies.

As detailed throughout the report, GLO.ACT has contributed to gender equality at different levels; has integrated gender perspectives in many of its products; has encouraged women’s participation (from the management team to training participants); and has made efforts to develop gender indicators.

The best practice in terms of gender mainstreaming in implementation has been Brazil. This country office not only mainstreamed gender in all GLO.ACT work but included the voice of the transgender community in various activities.

In conclusion, there has been a clear commitment from the majority of the GLO.ACT team that, however, did not crystallize into country-specific strategies.
Human Rights

HQ staff are aware of the links between HR, TIP and SOM but the familiarity of NPOs on this topic has varied which has resulted in more victim-centred, human rights-based (HRB) activities being favoured by some and less by others. For example, those with more of a human rights background have inclined towards more activities with civil society organisations or dealing more directly with issues around the identification, referral and assistance of victims. These activities have also often been more multidisciplinary in nature, ensuring that the victims voice is heard and can influence the outcomes.

In other cases, although the victim-centred, HRB approach may be adequately reflected in training materials, and the evaluation found that human rights language and principles are found across most documentation and tools used, in practice its importance, or relevance, may be less obvious due to the nature of the audience who are primarily focused on security issues and the perpetrators of crime. Although it is possible to work exclusively with judiciary, prosecutors and police, and it is recognised that training must cater for different specialisations and levels of intervention, if the question of the identification, referral and assistance of trafficking victims and migrant victims of crime is not adequately addressed and linked to the criminal justice process then investigations and prosecutions of crimes of trafficking and smuggling may yield few results. For example, in Morocco stakeholders reported that initial training provided by GLO.ACT that had focused exclusively on the training of judiciary and prosecutors had been less successful in progressing cases of trafficking than a later approach adopted which involved a broader range of stakeholders, including service providers to victims.

A more systematic victim-centred, human rights programming may also have meant that more attention would have been paid to important issues, some of which were raised in the gaps and needs assessments for different countries. Where OHCHR have been partnered with UNODC (such as in West Africa) it was found that the partnership has sharpened the focus on human rights concerns and future partnerships with human rights expertise should be more broadly considered in future.

Finally, unlike TIP, SOM is not always harmful for people wishing to migrate and sometimes saves lives, such as in the case of refugee movements. As a result, action against smuggling is not inevitably compatible with protecting human rights, as training activities for example in Niger may sometimes have implied. Such differences in the tackling of SOM compared to tackling TIP, and in particular questions surrounding what becomes of a migrant who is prevented from migrating because of anti-smuggling interventions, in particular the increased risk to which they may be exposed of engaging in more dangerous forms of migration or subjected to trafficking and exploitation, should be reflected upon and considered in HRB programming.

51 Some of these issues include: the detention and deportation of migrants without the benefit of screening for victim status, inadequate assistance provision for victims including poor standards of care or the lack of legal defence available, including to suspects of smuggling or trafficking.

52 From a review of training materials shared for the evaluation, used in Niger, it appears that smuggled migrants are frequently conflated with trafficking victims, implying they have equal needs in terms of assistance and protection and all are referred to as ‘victims’. Although training materials correctly distinguish the two phenomena, overall it is frequently implied that smuggling is a crime against a person and it is not explicitly specified that this only relates to smuggling under aggravated circumstances.

53 Interventions to prevent and/or address smuggling
CONCLUSIONS

Impact

GLO.ACT has contributed to many positive transformations in tackling TIP and SOM and assisting victims and vulnerable migrants across countries.

Two areas of action where it has contributed more significantly include influencing laws and policies. Here it has placed TIP and SOM on the political agenda, has opened or strengthened spaces for dialogue, has influenced the contents of laws and contributed to the development and implementation of policies and strategies at various levels. Much of this positive influence has included a distinct gender and human-rights based approach.

It has also built the capacity of selected agents of change, such as criminal justice actors or relevant authorities. Most relevantly these agents have acquired new knowledge or new technical skills. Many have modified their attitude when dealing with victims which has had a positive impact on non-criminalization. The project has also strengthened institutional capacity to tackle TIP and SOM. This has translated in several cases into positive organisational change, mainly in national agencies but also in UNODC itself.

The project also contributed, although to a lesser extent, to improving the lives of victims and vulnerable migrants directly. Mostly through the work of the implementing partners UNICEF and IOM, although there were also examples in which UNODC worked directly on victim assistance and protection. The outcome with less evidence of impact was on trans-regional cooperation.

Overall project activities to provide direct assistance to victims and vulnerable migrants, to improve identification and referral of trafficking victims to strengthen policies, legal frameworks and institutions to tackle trafficking and smuggling and to address particular forms of trafficking to which women and children are more vulnerable have contributed to achieving targets 5.2, 8.7 and 16.2 of the SDGs.

Sustainability

The sustainability of these changes is not guaranteed. It depends to a large extent on the sustainability of the process, that is the extent to which the key actors (particularly the national agencies and UNODC) remain involved in combating TIP and SOM beyond GLO.ACT.

Despite some efforts, the project has paid more attention to delivering activities than to ensuring the sustainable use of all the outputs. This tendency has been related to the pressure to implement quickly and also has stemmed from the lack of national theories of change that would have articulated clearly how each activity and product should contribute to the objectives of GLO.ACT in the country.

Design

The process of designing GLO.ACT, that is, deciding what was going to be done, why and where, did not end when the project agreement was concluded. For example, the selection of countries which followed a thorough consultation process, was decided upon after the project document was signed. Despite the participation of key players in determining the selection of countries, in hindsight, there are doubts from all parties about the appropriateness of the selection, given the challenges posed by some during implementation.

The extended design phase meant that the implementation phase was shortened, increasing the pressure for the rapid delivery of activities and meant that the design of national ToCs was never completed, which has had repercussions on the project. The decision about activities at the national level was left largely to the NPOs, although they all had to be included in six-month workplans and approved by HQ. Also, on occasion, key national agencies were fully engaged deciding what needed to be done. A best practice was found in countries where the design of the activities was embedded in the

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54 Most of UNODC’s work was done through agents of change, as indicated in the ToC, not directly working with victims or vulnerable migrants.
strategies of UNODC country programmes. The gaps and needs assessments developed at the beginning of the project were found to be of limited use in guiding the planning process nationally in many cases, and did not include key elements, such as a gender analysis or a comprehensive stakeholder analysis.

Relevance

The main needs related to TIP and SOM identified by the countries have been tackled by GLO.ACT in several aspects. Additionally, GLO.ACT has shone light onto sensitive topics which has made the project more relevant to the needs of final beneficiaries.

In terms of scope, the complexity of the issues would require sustained action of much greater magnitude than GLO.ACT could offer. In this regard GLO.ACT activities have ranged from being "bricks in a wall", i.e. actions contributing to a bigger framework, to “drops in a bucket”; more ad-hoc interventions whose effects were not as strategic.

In terms of alignment with stakeholders, addressing TIP and SOM is often not a top priority for governments. That said, all GLO.ACT countries have (or are developing with the contribution of UNODC and others) laws, policies and plans in place that are generally in line with the objectives of GLO.ACT, although on occasion policy practice has not been totally aligned with the spirit of UNTOC and its accompanying Protocols. This makes projects like GLO.ACT even more relevant, given the noticeable need to keep the values of the Protocols in the legislation and on the political agenda of the Member States.

With regards to the implementing partners, IOM and UNICEF have had a broader focus than the aims of GLO.ACT. This has had an advantage in countries where the project allowed vulnerable people that were previously neglected to access services.

Efficiency

The countries received funding on an activity by activity basis which led to an uneven distribution of funding. The amounts allocated reflected less the strategic needs of the countries and more the capacity of GLO.ACT staff and national partners to present to HQ viable funding requests. On a related issue, the allocation to implementing partners (UNICEF and IOM) was lower than partners anticipated. This meant that both organisations had to reduce their geographical scope, limiting the possibilities to work together within GLO.ACT.

It has been difficult to assess the adequacy of the resource allocation among different outcomes as the assignment of activities to different outcomes was sometimes inconsistent. This said, the two strategies that have received the most investment have clearly been supporting policy development and building the capacity of individuals and institutions, which is consistent with the implicit ToC of the project.

The delivery rate of GLO.ACT has been very high, which is remarkable in view of the initial delayed implementation. However, the financial management of the project was hampered by the fact that the management team were not able to access reliable financial information, real-time, during the project. This had regrettable consequences, especially at the end of the project.

GLO.ACT has been managed by a dynamic, professional and very committed team of staff, both at headquarters and in the field. The management model has been based on the National Project Officers. This model is new in UNODC and has proven extremely successful. However, the NPOs worked under different circumstances in each country, due to numerous factors often outside the control of UNODC, which has had an impact on the success of GLO.ACT overall.
Effectiveness and MEL

In general, the implementation pace of GLO.ACT has been satisfactory. However, the pace and the intensity of implementation has differed greatly between the countries, with some having had a very late start, mainly due to clearance processes with the host governments.

The overall technical quality of the implemented activities has been very high, albeit some limitations in some methodologies such as for research. However, the scope and outreach of outputs has emerged as limited. More attention has been paid to delivering quality outputs than reflecting on the critical mass that needs to be reached to achieve the intended aims. This has been particularly prevalent in the case of training and awareness campaigns.

There have been important efforts to mainstream gender in the implementation of the project, even though there have not been consistent gender strategies and the inclusion of gender aspects have been largely left to the commitment of the NPOs with the firm encouragement and support of HQ.

The main added value of GLO.ACT with respect to other projects and organizations working on TIP and SOM has been its legitimacy in providing guidance on aspects of TIP and SOM due to its privileged position stemming from its normative work involving its assistance to States in the ratification and implementation of international treaties. Additionally, although the project has had a distinct national approach, the added value of a Global Project has been recognised by the national agencies.

GLO.ACT has made enormous efforts to improve its monitoring system. Most relevantly the project developed a strategic paper whose main purpose was to strengthen and improve the MEL system and that included, a theoretical approach to key MEL principles and a MEL framework. The project also designed numerous tools that, however, have not been fully implemented. The project had to respond to different reporting formats and other administrative requirements that have involved a heavy workload for the staff. None of these tools were directly connected to a national ToC, therefore, specific targets and indicators have not been developed for each country that could capture what was happening and what was working in a clear and detailed manner.

Partnership and cooperation

GLO.ACT has established successful partnerships with multiple actors inside and outside UNODC. Within the organization, it has established the most relevant synergies with the Research and Trends Analysis Branch, Justice Section, the Implementation Support Section within the Organized Crime Branch, and the Normative section within HTMSS and with several country and regional programmes. Additionally, in many of the countries, complementarity with other UNODC projects related to TIP and SOM has also been established.

The most frequent type of partnership has been with the national agencies. In some of the countries, these organizations have appropriated the project and have decided together with the NPOs about the planning and implementation of the activities. To a lesser extent GLO.ACT has also partnered with civil society organisations, mainly through the IOM and UNICEF work but also on occasion through UNODC. Most significantly, GLO.ACT has established bridges between civil society agents and governments in sectors that are normally not open to them.

The partnership with IOM and UNICEF was appropriate as there was clear potential for complementarity. However, in practice the partnership has not fully materialised in all countries. Partners have largely worked independently, except for a few occasions where they have developed some products together or have participated in each other’s events. One good example of complementarity and collaboration was found in Lao PDR.

In general, there is the need to support more assistance provision for victims and ensure closer coordination and the development of partnerships between organisations providing assistance to victims and criminal justice actors. This will ensure the best possible outcomes in criminal proceedings and a more victim-centred approach.
Gender and Human Rights

**Gender** - The GLO.ACT team were committed to integrating gender into the project and in fact the evaluation has found many positive examples in different areas of the project (impact, implementation of activities, MEL) that have been detailed in the report. It has also helped that the topic of TIP and SOM (especially TIP) is particularly sensitive to the visibility of gender differences since several forms of human trafficking affect women more than men and vice versa. That said, the project would have benefited from a clearer plan on gender mainstreaming.

**Human Rights** - The GLO.ACT team and many NPOs are aware of the links between HR, TIP and SOM. Documentation, training materials and tools all use human rights language and promote human rights principles. But in the absence of multi-disciplinary settings, involving for example assistance providers to victims or civil society organisations representing migrants needs, a true human-rights, victim-centred focus has been difficult to achieve, as has been indicated in the report in connection with activities in Niger and Morocco. At the same time, a focus on human rights during the implementation could have been important to identify and address potential human rights concerns. Difficulties arise with human rights and action against smuggling, since stopping smuggling might not always be compatible with human rights and may lead to more dangerous forms of migration or exacerbate the vulnerability of migrants, as the situation in Niger has shown.
BEST PRACTICES AND LESSONS LEARNED

NOTE - One of the criteria that is usually associated with "best practices" is that they can be replicated. In the case of GLO.ACT, it is important to point out that the majority of best practices have worked in specific national contexts and that it would not be advisable to replicate them in other contexts without a thorough context analysis.

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<th>Best practices</th>
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<tr>
<td>✔ The <strong>Steering Committee at the international level</strong> kept key stakeholders abreast with the progress and challenges of the project and was able to address issues that arose.</td>
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<td>✔ Excellent <strong>flow of information between Vienna and the NPOs</strong> using informal channels such as WhatsApp groups</td>
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<td>✔ The warm and supportive <strong>management style</strong> has empowered NPOs and has influenced morale, motivation and commitment among the team.</td>
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<td>✔ Some countries, like Colombia and Pakistan have clearly <strong>integrated GLO.ACT into the UNODC Country Strategy</strong> that were also discussed and owned by the national governments.</td>
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<td>✔ In Colombia, the GLO.ACT <strong>National Steering Committee</strong> provided a useful space to ensure smooth implementation of the activities, to promote national ownership and to monitor the results of GLO.ACT action.</td>
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<tr>
<td>✔ <strong>Gender mainstreaming</strong> in all actions in Brazil. Especially remarkable has been going beyond the binary, hearing the voice of the transgender community in regard to TIP and SOM.</td>
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<tr>
<td>✔ GLO.ACT has made tremendous effort to reach where it was needed, <strong>going beyond the capital cities</strong>, sometimes in remote areas in Brazil, Kyrgyzstan, Pakistan, Niger Morocco, and South Africa.</td>
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<td>✔ <strong>Engagement of civil society actors</strong> in places like Brazil and Pakistan, where UNODC has brought them to the table using the convening power of UN.</td>
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<td>✔ Development of <strong>multi-disciplinary training</strong>, using local trainers and ensuring representation of victims’ needs such as in Morocco and South Africa.</td>
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<tr>
<th>Lessons learned</th>
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<tr>
<td>❖ The need to work with a <strong>national ToC</strong> to understand and capture the connection between the work of GLO.ACT and the effects that the activities of the project have contributed to and to update the context in which GLO.ACT operates, including mapping the main actors working on TIP and SOM.</td>
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<td>❖ To capture change effectively, <strong>monitoring tools must relate to the national ToCs</strong>. This requires the development of targets, indicators, (including gender indicators), data collection tools and analysis that are adapted it <strong>per country</strong>. Also, in order to avoid activities becoming &quot;ends in themselves&quot; it is important to think about how to monitor impact.</td>
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<tr>
<td>❖ The main added value of UNODC vis a vis other agencies stems from the legitimacy and technical expertise related to their <strong>normative work</strong> and their role as the guardians of UNTOC and Protocols.</td>
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<tr>
<td>❖ Effective gender mainstreaming works well, without an intentional strategy, when the NPOs are gender activists and there is a conducive environment. Otherwise, it is more efficient to develop a <strong>gender strategy tailored to the national context</strong>.</td>
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<tr>
<td>❖ <strong>Effective partnerships</strong> with the implementing partners (UNICEF and IOM) would have required shared ToCs at the national level. This ideal scenario might not be (institutionally) possible.</td>
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- Some countries implement at a **different rate for reasons that are outside the control** of the project. This needs to be acknowledged and integrated realistically in the project at the design phase.

- From a managerial perspective, it is key to have access to reliable and **prompt financial information**.

- In order to ensure the sustainability of the process at the national level, two key ingredients should be in place a) a **guardian of the UNTOC**, ideally the UNODC Country Office; and b) a **national agency** leading the process.

- The need to **link up in practice and not only theory victim assistance and criminal justice capacity building** so that criminal justice actors know where to refer victims and social service providers have trusted links with law enforcement to support victims engaging in a criminal justice process.

- A **human-rights based approach** works well when the NPOs are human rights conversant otherwise human rights expertise should be sought in programming to ensure a victim-centred focus is maintained in activities and that clear distinctions are made between the human rights implications of trafficking and smuggling.
RECOMMENDATIONS

Recommendation 1: Expand the content of preliminary assessments to cover essential issues that should inform the design of interventions at the national level

For GLO.ACT management: Gaps and needs assessments should be complemented with specific analyses on three important issues; a) a gender and human rights analysis; b) a more detailed stakeholder analysis; and c) an analysis of the UNODC setting in the country, including aspects such as relationships with key national partners, such as national governmental agencies; d) based on all these inputs the analysis should also include a comprehensive exit strategy. The different countries that have formed GLO.ACT and the organizations with which the project has partnered have very different cultural and social perspectives with respect to gender equality. It is necessary to acknowledge these different scenarios to help determine the ToC feasible targets and preconditions in terms of gender mainstreaming. While undertaking these gender analyses, UNODC should carefully weigh the pros and cons of using national or international gender experts.

It is also recommended that GLO.ACT management makes a more explicit effort to map actors who are working on TIP and SOM in the countries, including the scope of their activities. The analysis should consider the different levels of complexity in the relations with these actors depending on compatibility of their and UNODC’s policies.

Finally, it is important to undertake an analysis of the different UNODC settings in the different countries. This should include aspects such as a) the history and prospects of working on TIP and SOM; b) the financial and human capacity, especially the management and administrative support that can be given to the NPO; c) the expectations of UNODC of the NPO beyond the implementation of GLO.ACT; d) the relations already established with national counterparts. This analysis should inform realistic ToRs for each NPO depending on the individual requirements; e) based on all these inputs the analysis should also include a comprehensive exit strategy answering the question “what will happen when the project ends?”

Recommendation 2: Develop national reviewable Theories of Change (ToC)

For GLO.ACT management: It is recommended to work further with a theory of change planning approach to complement project logframes at the national level. Make sure that the HTMSS normative work is linked with national ToCs. For such theories of change to be useful, they will need to be validated across different stakeholders, tested and improved, and serve as a framework for regular reflection on progress, relevance, efficiency, effectiveness and human rights and gender impact. This approach will help the project to unpack the underlying assumptions underpinning the ToC(s), identify the necessary preconditions to get to the desired transformations; and help identify and review the point at which success will be measured. Although, the ToCs should be led by national stakeholders, the process should be coordinated by GLO.ACT management to ensure overall linkage to the project, especially in contexts with added complexity (such as significant migration and interventions targeting smuggling). It is also important to ensure that these processes benefit from the input of gender and human rights experts.

An important aspect of the ToCs would be to ensure that there is an explicit link with UNODC’s normative work that has emerged as a main added value.

There are a number of software programs that can aid this planning like http://www.doview.com/ but more often than not all that is required is a flipchart and regular meetings to reflect on where a project is and where it is going.

Based on these ToCs, the project should design adaptable workplans with estimated budgets that are earmarked for the different countries.

Recommendation 3: Link the monitoring of the project with the national ToC and simplify it

For GLO.ACT management: It is recommended for future projects to simplify the monitoring systems and to link them with national ToCs. To aid this process it would be beneficial to differentiate impact monitoring and process monitoring. Impact monitoring is done to measure the progress made towards a particular change or transformation. To do so an obvious precondition is to clearly identify what are the transformations sought by the project through a clear and shared ToC. Progress monitoring is a measure
of the physical delivery of activities and includes the monitoring of the management of financial resources. It is advised for GLO.ACT to improve the impact monitoring and the link between the process monitoring and financial management.

Any useful monitoring system should develop good quality indicators, including gender indicators, that are a) reliable; b) relevant to the project’s national objectives; c) sensitive to each particular context; and d) cost-effective (taking into account the financial and human resources required to collect and analyse the information).

To simplify the data collection and analysis of the monitoring systems at the national level a number of questions should be asked, such as a) is the information already available from existing sources? b) is this data tool really required?; c) how much data is really needed?; d) how much data can be really used? and what for?

**Recommendation 4: In collaboration with HRMS, design personalised training and ensure that working conditions reflect job descriptions for all GLO.ACT staff, especially for NPOs**

For GLO.ACT management, in consultation with HRMS: Bring all staff, especially NPOs, to the same page through a focused training programme and a revision of their work conditions. This also means working with HRMS to ensure work-life balance of staff and when beneficial take advantage of flexible working arrangements to ensure staff are not overburdened.

GLO.ACT staff and in particular NPOs, have different levels of understanding and expertise regarding substantive issues related to TIP and SOM and specifically the values and principles of the UNTOC and its Protocols alongside the different human rights concerns that may arise in tackling TIP and/or SOM. In addition, they also have different capacities in terms of project management, including planning and using monitoring tools, such as the use of ToCs or developing indicators; and also, regarding the management of UNODC’s financial and administrative systems, such as PROFI and UMOJA. They are also not all English speakers or able to work in English. The project should ensure that all of them have a personalised training programme covering all these aspects essential to doing their job to the highest standard and additional resources are committed to cover for different language abilities.

A useful approach for NPOs for GLO.ACT Asia and the Middle East specifically could be using peer to peer learning, taking advantage of the presence of a senior NPO in the team (Pakistan).

Additionally, UNODC should collaborate with HRMS to identify trainings and practical skills that will contribute to work/life balance. This should ensure that working conditions reflect job descriptions and that measures to identify and resource work that is regularly exceeding normal work hours are taken, also utilising flexible working arrangements.

**Recommendation 5: Improve the financial monitoring**

For GLO.ACT management, in consultation with FRMS: Set up the project budget in a way that allows for easy and reliable financial information real-time

Financial monitoring should go hand in hand with substantive progress monitoring. Section and project management should get clear information about which strategies require more investment in which countries to take informed decisions as the project unfolds.

It is therefore strongly recommended that GLO.ACT Asia and the Middle East to improve their financial monitoring and management. For this it is essential that the project management works with UNODC’s Financial Resources Management Services (FRMS) to set up budgets in UMOJA so that management can access reliable information real-time on what has been spent and where (per outputs/results and geographically). Additionally, the project management should make greater use of available functionality in Umoja and continuously upgrade the skills of project staff.

**Recommendation 6: Ensure assistance providers to victims and criminal justice actors are linked through common capacity building.**

For GLO.ACT management: ensure through common capacity building initiatives that trafficking victims and victims of crime through the smuggling process are identified and referred to assistance providers who can support them for a sufficient period of time, and that through their contacts with law enforcement and other contacts, can facilitate their access to justice and redress. The identification and
referral of victims is crucial to the success of criminal cases but has not been comprehensively addressed. If victims want to access justice through the criminal justice process and seek compensation, it is essential that assistance providers have trusted relations and contacts with law enforcement and vice versa. In connection with victims of crime through the smuggling process, attention needs to be paid to the kinds of referral mechanisms and assistance provision that exists, which may differ to that available to trafficking victims or may not even exist and must be supported and established. There is also a need to build the capacity of law enforcement in investigating not only the crime of smuggling but also to be alert to the need to investigate crimes against smuggled migrants, where aggravated forms of smuggling arise.

Recommendation 7: Regularly review policies and practices in the implementation of the Smuggling in Migrants Protocol to ensure that they do not exacerbate or increase the vulnerability of migrants, including to trafficking and exploitation, or lead to the growth of dangerous migration routes.

For GLO.ACT management: further strengthen cooperation with partners, including civil society, to ensure that migrants stopped in their migration due to law enforcement measures in connection with smuggling are screened, correctly identified and supported where necessary, including through seeking longer-term solutions to their situation, and that their human rights are protected. Amongst smuggled migrants may be individuals with rights to international protection, children whose best interests must be assessed, trafficking victims, victims of crime through the smuggling process alongside other vulnerable migrants due to age, gender or disability. There may also be migrants with no claims to any particular status or assistance needs alongside smugglers. The project should provide support to Member States in putting mechanisms in place that recognise these differences and allow for the correct referral and treatment of all. This should include seeking partnerships to support safe, durable solutions for migrants, including for those not wishing to return to their country of origin, such as measures to support safe labour migration channels, access to education, alternative livelihoods, enhanced child protection etc to avoid the risks of migrants engaging in more dangerous forms of migration or becoming subject to trafficking and exploitation. Support is also needed to ensure the provision of independent legal assistance and representation for those involved in legal proceedings, including those accused of smuggling or trafficking crimes.
# ANNEX I: TERMS OF REFERENCE OF THE EVALUATION

## I. BACKGROUND AND CONTEXT

<table>
<thead>
<tr>
<th>Project number:</th>
<th>GLOZ67</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project title:</td>
<td>Global action to prevent and address trafficking in persons and the smuggling of migrants (GLO.ACT)</td>
</tr>
<tr>
<td>Duration:</td>
<td>15 July 2015 – 14 July 2019</td>
</tr>
<tr>
<td>Location:</td>
<td>Global - the following 13 countries across Africa, Asia, Eastern Europe and Latin America are the target countries: Belarus, Brazil, Colombia, Egypt, the Kyrgyz Republic, the Lao People’s Democratic Republic, Mali, Morocco, Nepal, Niger, Pakistan, South Africa and Ukraine.</td>
</tr>
</tbody>
</table>
| Linkages to Country, Regional and Thematic Programmes: | • Egypt – Regional Office for the Middle East and North Africa  
• Lao PDR – Regional Office for South East Asia and Pacific  
• Kyrgyz Republic – Regional Office of Central Asia  
• Mali – Regional Office for West and Central Africa  
• Morocco – Regional Office for Middle East North Africa  
• Nepal – Regional Office for South Asia  
• Niger – Regional Office for West and Central Africa  
• Pakistan – Regional Office for South Asia  
• South Africa – Regional office for Southern Africa |
| To which UNDAF is the project/programme linked to (if any) | NA |
| Executing Agency: | United Nations Office on Drugs and Crime (UNODC) |
| Partner Organizations: | International Organization for Migration (IOM)  
United Nations Children's Fund (UNICEF) |
| Total Approved Budget: | Total cost: EUR 11 million, USD 12,168,113  
Total amount of EU budget contribution: EUR 10 million, USD 11,061,947  
UNODC Contribution/ co-funding: EUR 1 million, USD 1,106,166 |
| Total Overall Budget | USD 12,168,113 |
| Donors: | European Union (90%), UNODC contribution and other donors providing co-funding (10%), In-kind contributions received from several donors/partners |
| Project Manager/ Coordinator: | Mr. Ilias Chatzis, Chief, Human Trafficking and Migrant Smuggling Section (HTMSS), UNODC  
Ms. Eurídice Márquez, Crime Prevention and Criminal Justice Officer, GLO.ACT Officer-in-Charge, HTMSS |
| Type and time frame of evaluation: | Final Independent Evaluation |
| Time frame of the project covered by the evaluation: | 15 July 2015 – 14 July 2019 (the project got an extension until 30 September 2019 after the data collection phase of the evaluation was completed) |
| Geographical coverage of the evaluation: | Selected GLO.ACT target/beneficiary countries |
| Budget for this evaluation in USD: | USD 103,500 (this is the budget foreseen as per the project document, but it may depend on the travel to beneficiary countries required) |
| Number of independent evaluators planned for this evaluation: | 3 independent evaluators: 1 lead evaluator (evaluator; HR and gender expertise) 1 team member (thematic expert), and 1 Senior Advisor. |
| and year of past evaluations (if any): | In-depth evaluation and final independent evaluation of the UNODC Global Programmes against Trafficking in Persons and the Smuggling of Migrants (GLOT59, GLOT92, GLOT55). |
| Core Learning Partners (entities): | UNODC Managers, EU, IOM, UNICEF, key beneficiaries, key CSOs, Member States, Project field staff and main regional or national partners. |
Project overview and historical context

The Global Action against Trafficking in Persons and Smuggling of Migrants (GLO.ACT) is a four-year (2015-2019) joint initiative by the European Union (EU) and the United Nations Office on Drugs and Crime (UNODC) being implemented in partnership with the International Organization for Migration (IOM) and the United Nations Children's Fund (UNICEF). GLO.ACT aims to provide assistance to governmental authorities and civil society organizations across 13 strategically selected countries: Belarus, Brazil, Colombia, Egypt, the Kyrgyz Republic, Lao PDR, Mali, Morocco, Nepal, Niger, Pakistan, South Africa, and Ukraine. It is doing this by supporting the development of more effective responses to trafficking and smuggling, including providing assistance to victims of trafficking and vulnerable migrants through the strengthening of identification, referral, and direct support mechanisms.

The overall objective of the project is to prevent and address trafficking in persons (TIP) and the smuggling of migrants (SOM) by assisting selected beneficiary countries in developing and implementing comprehensive national counter-trafficking and counter-smuggling responses. It also seeks to strengthen beneficiary countries’ capacities to efficiently address TIP and SOM issues and the inter-linkages with them, including in cooperation with civil society and at the transnational level.

GLO.ACT addresses TIP and SOM through six pillars: 1. Strategy and policy development; 2. Legislative assistance; 3. Capacity building; 4. Regional and trans-regional cooperation; 5. Protection and assistance to victims of trafficking and smuggled migrants; and 6. Assistance and support to children among victims of trafficking and smuggled migrants. GLO.ACT is also expected to enhance the implementation of the Protocol to Prevent, Suppress and Punish Trafficking in Persons, especially Women and Children and the Protocol against Smuggling of Migrants by Land, Sea and Air, both supplementing the United Nations Convention against Transnational Organized Crime.

GLO.ACT builds upon the results and lessons learned in implementing the EU funded project (Agreement DCI-MIGR/2008/165-055) on “Promoting the implementation of the Protocol to Prevent, Suppress and Punish Trafficking in Persons, especially Women and Children, and the Protocol against Smuggling of Migrants by Land, Sea and Air, both supplementing the United Nations Convention against Transnational Organized Crime” (GLOT55).

GLO.ACT is implemented in close synergy with two Implementing Partners, IOM and UNICEF, as well as in close coordination with civil society organizations through the
disbursement of grants for direct assistance to victims of trafficking and smuggled migrants, especially children. The intervention is also carried out in full coordination with UNODC’s Global Programmes against Trafficking in Persons and against the Smuggling of Migrants as well as, where relevant, with other UNODC country and regional programmes and EU funded programmes and projects implemented in beneficiary countries.

GLO.ACT has developed a theory of change and a Monitoring, Evaluation and Learning (MEL) approach and pursues a victim and migrant rights-centred, rights-based and gender-specific approach.57

Main challenges during implementation

GLO.ACT is a project being delivered within the UNODC Human Trafficking and Smuggling of Migrant Section (HTMSS). As observed by the In-depth mid-term cluster evaluation of the Global Programme against Trafficking in Persons (GLOT59) and the Global Programme Against Smuggling of Migrants (GLOT92), GLO.ACT has and continues to show a high level of cooperation amongst UN agencies and government counterparts. The HTMSS as a whole is a key provider of legal and capacity building technical assistance to Member States including providing normative and policy expertise on TIP and SOM. GLO.ACT has utilised the specialized technical assistance tools developed by the HTMSS, including drawing on the technical expertise of all staff members, who are not funded by GLO.ACT (Examples are the Expert on SOM and Crime Prevention and Criminal Justice Officers).

The approach to delivering GLO.ACT has been participatory from the start and has been commended for this by a recent evaluation of HTMSS programmes (see above). GLO.ACT has worked closely with the EU, implementing partners (IOM and UNICEF) and the 13 beneficiary countries in planning the provision of technical assistance and clearly communicating what kind of assistance can be provided based on the funding from the EU. This engagement was applied for example through the 13 gaps and needs assessment process before delivering any activities. The 13 GLO.ACT suggested implementation plans for example, is a key project management tool developed by the Project Coordinator and that has contributed to GLO.ACT being on track to deliver activities as per project document.

Overall GLO.ACT’s implementation is on track. The main challenges faced until now since the start of GLO.ACT are the following:

- **Delays in signing the Project Cooperation Agreements with Implementing Partners**: Despite some initial delays in signing the Agreement stemming from challenges related to the negotiation process, the Project Cooperation Agreement with IOM was signed on 11 May 2016, and the Project Cooperation Agreement with UNICEF was signed on 20 July 2016.

- **Initial delays in carrying some of the country gaps and needs assessment**: Despite some challenges on the conduction of the gaps and needs assessment for the GLO.ACT beneficiary countries, GLO.ACT managed to: develop and use 2 assessment instruments on 13 assessment missions; develop and use as key management, implementation and monitoring tool 13 Needs Assessment Reports titled ‘Responding to Trafficking in Persons and Smuggling of Migrants’ as well as one report “at a glance”.

- **Delays in the recruitment of national staff and changes in the initial staff composition**: As interim solution to drive implementation (both in the countries and in HQ), a number

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of consultancy positions were considered while the recruitment for staff replacement is taking place.

- **Registration of GLO.ACT in some beneficiary countries:** There were also challenges related to the registration of GLO.ACT in beneficiary countries. Mainly challenges are related to the establishment of formal agreements with the Governments and in particular with Ministries being focal points for the implementation of GLO.ACT.

Lessons learned from GLOT55

GLOT55 was instrumental in helping UNODC build internal capacity to respond to global problems, particularly in the area of migrant smuggling, consolidating its management approach to develop and deploy responses, and institutionalizing learning across all of the organization's counter-trafficking and counter-smuggling activities. Numerous best practices were learned from GLOT55 and applied to GLO.ACT.

A primary limitation of GLOT55 was the limited consultation with national offices and partners about local needs, activities eligible for support, and adaptation to the local context. As a result, GLO.ACT focused on building local ownership of the project and local responses to promote greater sustainability and better partnerships with local counterparts. This led to a tremendous focus on hiring National Programme Officers in GLO.ACT countries and the conduction of the 13 gaps and needs assessments including recommendations for implementation.

Another weakness of GLOT55, involved the failure to develop a logical framework that reflected achievable objectives. The logic model included outcomes that were not possible to achieve in the implementation timeline. The revised log-frame also did not capture several key project strengths, including flexibility, responsiveness and catalysing of new initiatives at the country level.

Overall, GLOT55’s results appeared to be strongest in relation to legislative development and capacity building in the criminal justice system. Diverse study respondents identified these two areas as best aligned with UNODC’s mandate, strengths and comparative advantage. Stakeholders diverged in their view of victim support and awareness raising activities – areas where GLOT55 achieved more modest results. In this regard, GLOT55’s partnering with IOM in Colombia and short-term, collaboration with a well-established NGO in India paved the way for increased collaboration of the two organizations under GLO.ACT. Project documents and revisions of the original project document

<table>
<thead>
<tr>
<th>Year</th>
<th>Please provide general information regarding the original project document.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Project document</strong></td>
<td>2015</td>
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<table>
<thead>
<tr>
<th>Project revision</th>
<th>Year</th>
<th>Reason &amp; purpose</th>
<th>Change in (please check)</th>
</tr>
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</table>
Main objectives and outcomes

The log frame of GLO.ACT is part of the desk review materials.

Objective of the project/programme (as per project document/revision):

| Objective: | To prevent and address trafficking in persons and the smuggling of migrants by assisting selected countries in developing and implementing comprehensive national counter-trafficking and smuggling responses and strengthening their capacities to efficiently address these issues and the inter-linkages between them, including at transnational level and in cooperation with the civil society. |
| Performance indicators: | Number of TIP/SOM cases investigated and/or prosecuted as reported by beneficiary countries |
| | • Baseline: To be determined during baseline assessment |
| | • Target: A minimum of 4 TIP/SOM cases investigated and/or prosecuted by assisted countries |
| | Number of trafficked victims, smuggled migrants and other vulnerable migrants identified and assisted by government authorities and civil society organizations (with breakdown by age and gender) from beneficiary countries |
| | • Baseline: To be determined during baseline assessment |
| | • Target: Percentage increase in the number of victims/smuggled migrants and other vulnerable migrants assisted in countries assisted |

Outcomes of the project/programme (as per project document/revision)58

| Outcome 1: | To assist beneficiary countries to develop and/or strengthen national strategies and policies against human trafficking and migrant smuggling |
| Performance indicators: | Rate of assisted countries/regions that have reviewed, amended existing and/or developed new policies/strategies/action plans against TIP and/or SOM drawing on research and data findings |
| | • Baseline: To be determined during baseline assessment |
| | • Target: At least 30% of assisted countries/regions |
| | Rate of assisted countries that have undertaken specific reforms in implementation of new policies/strategies/action plans such as establishing inter-agency task forces/coordination bodies and/or monitoring and reporting systems |
| | • Baseline: To be determined during baseline assessment |
| | • Target: At least 30% of assisted countries |

| Outcome 2: | To assist beneficiary countries to bring national legal frameworks in line with international standards and other good practices |

58 Only outcomes included.
| Performance indicators: | Rate of assisted countries that have adopted/prepared for adoption domestic legislation that is compliant with the requirements of the TIP and/or SOM Protocols, and other international standards  
  • Baseline: To be determined during baseline assessment  
  • Target: At least 30% of assisted countries  
Rate of assisted countries that initiate proposals for legislative reform in implementation of the TIP and/or SOM Protocols  
  • Baseline: To be determined during baseline assessment  
  • Target: At least 30% of assisted countries |
<table>
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</thead>
<tbody>
<tr>
<td><strong>Outcome 3:</strong></td>
<td>To assist beneficiary countries to strengthen their criminal justice response to trafficking in persons and migrant smuggling</td>
</tr>
</tbody>
</table>
| Performance indicators: | Number of TIP/SOM cases investigated and/or prosecuted as reported by assisted countries  
  • Baseline: To be determined during baseline assessment  
  • Target: A minimum of 4  
Rate of assisted countries that have developed victim protection measures, including for women and children, that are embedded in the criminal justice response  
  • Baseline: To be determined during baseline assessment  
  • Target: At least 30% of assisted countries  
Rate of assisted countries that have developed assistance and protection measures to smuggled migrants, including for women and children, that are embedded in the criminal justice response  
  • Baseline: To be determined during baseline assessment  
  • Target: At least 30% of assisted countries |
| **Outcome 4:** | To assist beneficiary countries to strengthen regional and trans-regional cooperation in criminal matters related to trafficking in persons and migrant smuggling |
| Performance indicators: | Rate of assisted countries that initiated requests for mutual legal assistance and/or extradition on TIP/SOM cases, as reported by assisted countries  
  • Baseline: To be determined during baseline assessment  
  • Target: At least 30% of assisted countries |
| **Outcome 5:** | To assist beneficiary countries to develop assistance and support programmes for victims of trafficking and protect the rights of vulnerable migrants, such as smuggled migrants |
| Performance indicators: | Rate of countries assisted that develop multi-stakeholder mechanisms for the identification, referral and assistance of victims of trafficking and other vulnerable migrants, as well as provide quality, migrant-friendly protective services, in line with international standards  
  • Baseline: To be determined during baseline assessment  
  • Target: At least 30% of assisted countries  
Number of trafficked victims, smuggled migrants and other vulnerable migrants identified and assisted by government authorities and civil society organizations (with breakdown by age and gender)  
  • Baseline: To be determined during baseline assessment  
  • Target: Percentage increase in the number of victims/smuggled migrants and other vulnerable migrants assisted in countries assisted |
| **Outcome 6:** | To assist beneficiary countries to develop frameworks for protection and assistance of children among trafficked victims and smuggled migrants within child protection systems |
| Performance indicators: | Rate of assisted countries that have developed, established and/or integrated mechanisms and frameworks into existing and/or following national child protection systems for the identification, referral and assistance of child victims of trafficking  
  • Baseline: To be determined during baseline assessment |
• **Target:** At least 30% of assisted countries

Rate of assisted countries that have established or integrated mechanisms and frameworks into national child protection systems for the identification and referral of smuggled children, in particular unaccompanied or separated children.

• **Baseline:** To be determined during baseline assessment

• **Target:** At least 30% of assisted countries

Contribution to UNODC’s country, regional or thematic programme

**Contribution to the following UNODC country and regional programmes:**

UNODC’s technical assistance in the field is developed under the framework of regional and country programmes, in line with the needs and priorities of regional entities and partner countries, and in close cooperation with UN key partners, multilateral and bilateral agencies. The Human Trafficking and Migrant Smuggling Section (HTMSS) works in close synergy with Field Office TIP and SOM focal points, in particular in UNODC Regional Offices across Africa, the Middle East, South, South-east and Central Asia, Central America and the Southern Cone; and country offices in Nigeria, Colombia as well as the Liaison and Partnership Office in Mexico, among others.

Links with Regional Programmes are being strengthened through the development of mutually supportive financial arrangements to ensure the Programmes’ ability to provide required policy guidance, oversight and expert support for the implementation of field programmes.

Close synergies are also being established between the project and other relevant UNODC crime prevention and criminal justice projects in the beneficiary countries. The field staff coordinates activities at country level in close collaboration and overall guidance from HTMSS. UNODC has recruited 11 National Project Officers (Brazil, Colombia, the Kyrgyz Republic, the Lao People’s Democratic Republic, Mali, Morocco, Nepal, Niger, Pakistan, South Africa and Ukraine).

GLO.ACT has coordinated and delivered trainings with other UNODC Programmes. GLO.ACT delivered technical assistance, *inter alia*, on the rights of child victims of TIP on 9-11 May 2017 in Niger at a training organized by UNODC’s Terrorism Prevention Branch with the support of the Justice Section through the Sahel Programme run out of UNODC’s Regional Office for West and Central Africa in Dakar, Senegal. GLO.ACT and the UNODC Global Programme to Assist Member States to Strengthen Capacities to Prevent and Combat Organized and Serious Crime (GPTOC) organized a 2-day workshop on the promotion of regional cooperation on TIP and SOM involving the West African Network of Central Authorities and Prosecutors against Organised Crime (WACAP) on 14-15 Dec 2017 in Vienna and ongoing ones in 2018.

**Contribution to the following thematic programme(s):**


**Linkage to UNODC strategic framework, UNDAFs and to Sustainable Development Goals**

Through the United Nations Sustainable Development Goals, the international community has committed itself to the promotion of peaceful and inclusive societies for sustainable development, to the provision of access to justice for all and to the building of effective, accountable and inclusive institutions at all levels (SDG #16). In doing so, we have
collectively committed to combat all forms of organized crime (16.4), including trafficking in persons. We have further to this, specifically promised ourselves to take immediate and effective measures to eradicate human trafficking (8.7) and end the abuse, exploitation, trafficking and all forms of violence against and torture of children (16.2); 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 (5.2); and to facilitate orderly, safe, regular and responsible migration (10.7).

UNODC’s existing portfolio of technical cooperation activities concerning implementation of the Trafficking in Persons Protocol directly contributes to achieving multiple SDGs, including SDG #16. There are three SDGs which make explicit reference to trafficking in persons – SDGs 5, 8, and 16 or more specifically targets 5.2, 8.7 and 16.2 (existing UNODC responses to human trafficking are also relevant to targets 16.3, 16.4, and 16a). At the same time, UNODC work concerning the implementation of the Smuggling of Migrants Protocol implicitly contributes to achieving target 10.7.

GLO.ACT contributes to the following Sustainable Development Goals, Targets and Performance Indicators:

<table>
<thead>
<tr>
<th>Relevant UN Sustainable Development Goals</th>
<th>Target(s)</th>
<th>Indicator(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>5: Gender Equality</strong></td>
<td>5.2</td>
<td>5.2.1</td>
</tr>
<tr>
<td>Achieve gender equality and empower all women and girls</td>
<td>5.2.2</td>
<td></td>
</tr>
<tr>
<td><strong>8: Decent Work and Economic Growth</strong></td>
<td>8.7</td>
<td>8.7.1</td>
</tr>
<tr>
<td>Promote inclusive and sustainable economic growth, employment and decent work for all</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>10: Reduced Inequalities</strong></td>
<td>10.7</td>
<td>10.7.2</td>
</tr>
<tr>
<td>Reduce inequality within and among countries</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>16: Peace, Justice and Strong Institutions</strong></td>
<td>16.2</td>
<td>16.2.2</td>
</tr>
<tr>
<td>Promote just, peaceful and inclusive societies</td>
<td>16.3</td>
<td>16.3.1</td>
</tr>
<tr>
<td></td>
<td>16.4</td>
<td>16.4.1</td>
</tr>
<tr>
<td></td>
<td>16 a</td>
<td>16.a1</td>
</tr>
<tr>
<td><strong>17: Partnerships for the Goals</strong></td>
<td>Cross-cutting</td>
<td>Cross-cutting</td>
</tr>
<tr>
<td>Revitalize the global partnership for sustainable development</td>
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</table>

GLO.ACT is linked to the UNODC Strategic Framework Sub programme 1. Countering transnational organized crime and illicit trafficking and illicit drug trafficking and its related expected accomplishment 1. (a) Increased technical assistance implemented, at the request of Member States, aimed at promoting ratification of the international drug control conventions and the United Nations Convention against Transnational Organized Crime and its Protocols.

59 All SDGs and targets can be found here: http://www.un.org/sustainabledevelopment/sustainable-development-goals/
II. DISBURSEMENT HISTORY

<table>
<thead>
<tr>
<th>Time periods throughout the life time of the project (MMYYYY – MMYYYY) (add the number of rows needed)</th>
<th>Total Approved Budget</th>
<th>Expenditure</th>
<th>Expenditure in %</th>
</tr>
</thead>
<tbody>
<tr>
<td>July 2015 - 2017</td>
<td>5,477,000</td>
<td>4,476,800</td>
<td>81.74%</td>
</tr>
</tbody>
</table>

*Please note that the 2017 financial report is not yet finalized by finance.*

<table>
<thead>
<tr>
<th>Time period that will be covered by the evaluation</th>
<th>Total Approved Budget</th>
<th>Expenditure</th>
<th>Expenditure in %</th>
</tr>
</thead>
<tbody>
<tr>
<td>July – December 2015</td>
<td>169,535</td>
<td>85,155</td>
<td>50.23%</td>
</tr>
<tr>
<td>2016</td>
<td>2,736,476</td>
<td>2,049,154</td>
<td>74.88%</td>
</tr>
<tr>
<td>2017</td>
<td>2,570,989</td>
<td>2,342,491</td>
<td>91.11%</td>
</tr>
<tr>
<td>2018</td>
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</table>

III. PURPOSE OF THE EVALUATION

The UNODC Human Trafficking and Migrant Smuggling Section is commissioning this independent final evaluation of GLO.ACT in accordance with the GLO.ACT project document.

The main objectives of this independent evaluation are to:

1. **Assess DAC criteria**: Assess GLO.ACT’s achievements in regard to its design, relevance, efficiency, effectiveness, impact, partnerships and sustainability as well as human rights and gender equality in order to derive lessons learned as well as best practices for the next phase (GLO.ACT Asia and the Middle East) as well as for future project planning in the area of TIP and SOM.

2. **Assess the Monitoring, Evaluation and Learning (MEL) approach**: Facilitate learning and assess the MEL approach and tools, including the GLO.ACT Theory of Change. Numerous steps have been taken to improve the project’s monitoring and evaluation tools including: Theory of Change, LogFrame results and smart indicators, data collection systems, reporting tools, and actions plans. These tools are now being tested to measure the project’s expected results and provide a greater focus on tangible outcomes achieved by the project. The evaluation will then assess if these re-designed M&E tools are fit for the purpose of measuring the progress achievement and draw lessons learned from this exercise to take evidence-based decisions for the next phase of GLO.ACT, which will benefit from a strengthened M&E system. The in-depth independent evaluation also aims to
identify substantial gaps and recommend corrective action of the broader M&E system not limited to the current project.

3. **Identify best practices and lessons learned**: Asses and develop, based on purposive sampling, case studies on specific countries' interventions to influence future project design and implementation. The objective is to produce an evidence-based analysis and assessment of the implementation choices and approaches put in place by the project to:

   a. Support the identification of practices and areas that are (or an insufficiently) effective addressing TIP and SOM;

   b. Generate lessons that can benefit the implementation of the next phase (GLO.ACT Asia and the Middle East) as well as for future programming in the field of TIP and SOM.

Through this final independent evaluation process and its findings, new strategic directions may be developed. The evaluation findings will be used to inform and better direct UNODC's programme strategy and activities in these thematic areas, as well as to help to effect change in the anti-trafficking and migrant smuggling sectors. The final independent evaluation will consider the findings and recommendations of the EU Results Oriented Monitoring (ROM) conducted. The final independent evaluation will also provide prescriptive recommendations on sustainability including on the exit strategy of GLO.ACT.

The main final independent evaluation users are the Member States, the beneficiary Authorities, the Human Trafficking and Migrant Smuggling Section, the Implementing Partners (IOM and UNICEF) and the donor. The evaluation will also assess the added value of the partnership with IOM and UNICEF, and the best practices learned from this cooperative approach. Both partners will be interviewed, and their roles clearly defined. The beneficiary Authorities will be consulted during the evaluation process and the donors may be interviewed during the final independent evaluation process. The evaluation will provide recommendations, to be followed upon and implemented. The findings of the final independent evaluation will be shared and presented among relevant stakeholders.

The following DAC criteria will be assessed during the evaluation: relevance, efficiency, effectiveness, impact and sustainability. In addition, established partnerships and cooperation as well as human rights and gender equality will be assessed. The evaluation will specifically assess how gender aspects have been mainstreamed into the project. Furthermore, lessons learned, and best practices will be identified and recommendations based on the findings formulated.

### IV. **SCOPE OF THE EVALUATION**

| Unit of analysis (full project/programme/ parts of the project/programme; etc.) | Global action to prevent and address trafficking in persons and the smuggling of migrants (GLO.ACT) |
| Time period of the project/programme covered by the evaluation | 15 July 2015 – 14 July 2019 (the project got an extension until 30 September 2019 after the data collection phase of the evaluation was completed) |
| Geographical coverage of the evaluation | Global: the following 13 countries across Africa, Asia, Eastern Europe and Latin America are the target countries: Belarus, Brazil, Colombia, Egypt, the Kyrgyz Republic, the Lao People’s Democratic |
Republic, Mali, Morocco, Nepal, Niger, Pakistan, South Africa and Ukraine. Field visits and/or surveys will be conducted in selected GLO.ACT beneficiary countries.

V. KEY EVALUATION QUESTIONS

Evaluation Criteria

The evaluation will be conducted based on the following DAC criteria: relevance, efficiency, effectiveness, impact and sustainability, as well as design, partnerships and cooperation, human rights, gender equality and leaving no one behind as well as lesson learned and best practices. The questions will be further refined by the Evaluation Team.

<table>
<thead>
<tr>
<th>Design</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Design of a project or programme measures the extent to which the logical framework approach was adopted.</td>
</tr>
<tr>
<td>1. To what extent was the design and theory of change (ToC) appropriate to achieving GLO.ACT’s expected results (outputs and short-term outcomes)?</td>
</tr>
<tr>
<td>2. To what extent was the project design based on a needs assessment prior to the intervention and aligned with local needs?</td>
</tr>
<tr>
<td>3. To what extent were there sufficient resources (human, time, financial) and time allocated to integrate HR &amp; gender in the design, implementation, monitoring and evaluation of the programmes?</td>
</tr>
<tr>
<td>4. To what extent has GLO.ACT been designed to capture impact?</td>
</tr>
<tr>
<td>5. Was an assessment of needs done prior to the intervention (baseline and capacity needs assessments)?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Relevance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Relevance is the extent to which the activity is suited to the priorities and policies of the target group, recipient and donor.</td>
</tr>
<tr>
<td>6. To what extent did GLO.ACT contribute to the establishment of appropriate mechanisms at the country and regional level?</td>
</tr>
<tr>
<td>7. To what extent are the outputs, outcomes and objectives of GLO.ACT relevant to achieving the Sustainable Development Goals?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Efficiency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Efficiency measures the outputs - qualitative and quantitative - in relation to the inputs.</td>
</tr>
<tr>
<td>8. To what extent have GLO.ACT’s resources been managed in an efficient, transparent and accountable manner? What measures have been taken during planning and implementation to ensure that resources were efficiently used? To what extent did these measures contribute to efficiency?</td>
</tr>
<tr>
<td>9. To what extent was a consolidated approach taken? With a coordination and leverage of resource to prevent concurrent or “disjointed” approaches.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Effectiveness</th>
</tr>
</thead>
<tbody>
<tr>
<td>Effectiveness is a measure of the extent to which an aid activity attains its objectives.</td>
</tr>
<tr>
<td>10. To what extent has GLO.ACT achieved its expected results (outputs and outcomes)? How well were outputs achieved?</td>
</tr>
<tr>
<td>11. What is the added value of GLO.ACT vis a vis other actors/projects?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Impact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Impact is the positive and negative changes produced by a development intervention, directly or indirectly, intended or unintended.</td>
</tr>
<tr>
<td>12. Did the monitoring/support mechanisms follow-up the adoption and implementation of TIP and SOM legislation?</td>
</tr>
<tr>
<td>13. To what extent did the outcomes contributing to higher objectives? To what extent was GLO.ACT able to influence regional and national policies or strategies?</td>
</tr>
</tbody>
</table>
14. To what extent does GLO.ACT contribute to the relevant Sustainable Development Goals?

**Sustainability**

*Sustainability is concerned with measuring whether the benefits of an activity are likely to continue after donor funding has been withdrawn.*

15. To what extent will the benefits generated through GLO.ACT be able to be sustained after implementation?

16. What are some lessons learned or recommendations for a GLO.ACT exit strategy that can contribute to further programming?

17. To what extent have the stakeholders and beneficiaries taken ownership of the results, activities and goals of GLO.ACT? What have been the facilitating and hindering factors?

18. To what extent will the benefits generated through GLO.ACT be able to be sustained after implementation?

**Partnerships and cooperation**

*The evaluation assesses the partnerships and cooperation established during the project/ programme as well as their functioning and value.*

19. To what extent have the outputs and outcomes benefited from the expertise of and cooperation with other relevant international/regional institutions and CSOs?

20. To what extent did the communication and knowledge exchange between responsible actors in partner countries and project management add value to project implementation?

21. To what extent was the communication between Field/Regional Offices and GLO.ACT/implementing partners efficient?

22. Were partners able and/or willing to provide their financial, HR contributions and/or in-kind contributions?

23. To what extent did the cooperation, within the project, with other partners (including UN agencies, CSOs, etc.) contribute to the achievement of the SDGs?

24. To what extent did the partnership between UNODC/IOM/UNICEF create added value to the project, and what would have resulted from actions taken by each partner on their own?

**Human rights, gender equality, and leaving no one behind**

*The evaluation needs to assess the mainstreaming throughout the project/programme of human rights, gender equality, and the dignity of individuals, i.e. vulnerable groups.*

**Human Rights**

25. To what extent were human rights considerations included in the project design and implementation?

26. What measures have been taken during planning and implementation to ensure that human rights aspects were mainstreamed?

**Gender Equality**

27. To what extent were gender equality considerations included in the project design and implementation?

28. What measures have been taken to ensure the inclusion of men, women and marginalized groups throughout the activities of the Programmes? To what extent did the project address any differences in the needs of women, men and marginalized groups?

**Lessons learned and best practices**

*Lessons learned concern the learning experiences and insights that were gained throughout the project/ programme.*

29. To what extent did GLO.ACT implement recommendations of relevant previous evaluation(s)?

30. What lessons can be learned from the implementation of GLO.ACT in order to improve performance, results and effectiveness in the future?
VI. EVALUATION METHODOLOGY

All evaluations of the United Nations system are guided by the principles of human rights, gender equality, and leaving no one behind. Gender-sensitive evaluation methods and gender-sensitive data collection techniques are therefore essential in order to identify key gender issues, address marginalized, hard-to-reach and vulnerable population, as well as to define strategies for developing appropriate data bases for better gender analysis in future project planning.

In order to assess the implementation of the programmes in as much detail and accuracy as possible, the validity of the GLO.ACT theory of change and other M&E tools will be assessed for further use in the GLO.ACT Asia and Middle East project. This exercise will be accompanied by case studies on selected GLO.ACT beneficiary countries based on purposive sampling.

The methods used to collect and analyse data

This independent final evaluation will use methodologies and techniques as determined by the specific needs for information, the questions set out in the TOR and the availability of stakeholders. In all cases, the evaluation team is expected to analyse all relevant information sources, such as reports, programme documents, thematic programmes, internal review reports, programme files, financial reports and any other documents that may provide further evidence for triangulation, on which their conclusions will be based. The evaluation team is also expected to use interviews, surveys or any other relevant quantitative and/or qualitative tools as a means to collect relevant data for the evaluation. While maintaining independence, the evaluation will be carried out based on a participatory approach, which seeks the views and assessments of all parties identified as the key stakeholders of the project/programme, the Core Learning Partners (CLP).

The present TOR provide basic information as regards to the methodology, which should not be understood as exhaustive. It is rather meant to guide the evaluation team in elaborating an effective, efficient, and appropriate evaluation methodology that should be proposed, explained and justified in the Inception Report.

In addition, the evaluation team will be asked to present a summarized methodology (including an evaluation matrix) in the Inception Report outlining the evaluation criteria, indicators, sources of information and methods of data collection. The evaluation methodology must conform to the United Nations Evaluation Group (UNEG) Norms and Standards as well as the UNODC Evaluation Policy, Norms and Standards.

While the evaluation team shall fine-tune the methodology for the evaluation in an Inception Report, a mixed-methods approach of qualitative and quantitative methods is mandatory due to its appropriateness to ensure a gender-sensitive, inclusive methodology. Special attention shall be paid to an unbiased and objective approach and the triangulation of sources, methods, data, and theories. Indeed, information stemming from secondary sources will be cross-checked and triangulated through data retrieved from primary research methods. Primary data collection methods need to be gender-sensitive as well as inclusive.

60 This section is not exhaustive, as the dedicated methodological approach is developed by the independent evaluation team during the Inception Phase.
The credibility of the data collection and analysis are key to the evaluation. Rival theories and competing explanations must be tested once plausible patterns emerge from triangulating data.

The limitations to the evaluation need to be identified and discussed by the evaluation team in the Inception Report, e.g. data constraints (such as missing baseline and monitoring data). Potential limitations as well as the chosen mitigating measures should be discussed.

When designing the evaluation data collection tools and instruments, the evaluation team needs to consider the analysis of certain relevant or innovative topics in the form of short case studies, analyses, etc. that would benefit the evaluation results. Because this evaluation will potentially include vulnerable groups as stakeholders, the methodology implemented will ensure the protection of confidentiality, anonymity and do no harm techniques. In addition, all interviews, focus groups and stakeholder interactions will be undertaken only with informed consent.

The main elements of the evaluation process are the following:

- Preliminary desk review of all relevant project documentation, (Annex II of the evaluation TOR), as provided by the Project Manager and as further requested by the evaluation team, as well as relevant external documents (e.g. UNDAFs; SDGs; UN and global/regional strategies; etc.);
- Preparation and submission of an Inception Report (containing preliminary findings of the desk review, refined evaluation questions, data collection instruments, sampling strategy, limitations to the evaluation, and timetable) to IEU for review and clearance before any field mission may take place;
- IEU shares the Inception Reports in full or partially with Project Management for information (as deemed necessary);
- Initial meetings and interviews with IEU, the Project Manager and other UNODC staff as well as stakeholders during the field mission;
- Interviews (face-to-face or by telephone/skype), with key project stakeholders and beneficiaries, both individually and (as appropriate) in small groups/focus groups, as well as using surveys, questionnaires or any other relevant quantitative and/or qualitative tools as a means to collect relevant data for the evaluation;
- Analysis of all available information;
- De-briefing of preliminary evaluation results and recommendations to Project Management and IEU and other stakeholders as appropriate.
- Preparation of the draft evaluation report (based on Guidelines for Evaluation Report and Template Report to be found on the IEU website [http://www.unodc.org/unodc/en/evaluation/index.html](http://www.unodc.org/unodc/en/evaluation/index.html)). The lead evaluator submits the draft report IEU for quality assurance. As soon as the draft report meets the UNEG norms and standards, IEU submits the draft report to the Project Manager for the review of factual errors. Subsequently, IEU reviews the revised report again, provides further comments (if necessary) and clears the draft report. Subsequently IEU shares the final draft report with all CLPs for comments.
- Preparation of the final evaluation report and an Evaluation Brief (2-pager). The evaluation team incorporates the necessary and requested changes and finalizes the evaluation report in accordance with the feedback received from IEU, the Project Manager and CLPs. It further includes a PowerPoint presentation on final evaluation findings and recommendations;
- Presentation of final evaluation report with its findings and recommendations to the target audience, stakeholders etc. (in person or if necessary through Skype).
In conducting the evaluation, the UNODC and the UNEG Evaluation Norms and Standards are to be taken into account. All tools, norms and templates to be mandatorily used in the evaluation process can be found on the IEU website:

The sources of data
The final independent evaluation will utilize a mixture of primary and secondary sources of data. The primary sources include, among others, interviews with key stakeholders (face-to-face or by telephone), the use of surveys and questionnaires, field missions for case studies, focus group interviews, observation and other participatory techniques. Secondary data sources will include the EU’s Results Orientated Monitoring report, project documents and their revisions, progress and monitoring reports, external reports and strategies (e.g. UNDAFs; SDGs; country/regional/global strategies; etc.) and all other relevant documents, including visual information (e.g. eLearning, pictures, videos, etc.).

Desk Review
The evaluation team will perform a desk review of all existing documentation (please see the preliminary list of documents to be consulted in Annex II of the evaluation ToR). This list is however not to be regarded as exhaustive as additional documentation may be requested by the evaluation team. The evaluation team needs to ensure that sufficient external documentation is used for the desk review.

Phone interviews / face-to-face consultations
The evaluation team will conduct phone interviews / face-to-face consultations with identified individuals from the following groups of stakeholders:
- Member States (including recipients and donors);
- relevant international and regional organizations;
- Non-governmental organizations working with UNODC;
- UNODC management and staff at HQ and in the field;
- UNICEF and IOM staff in the country offices

Questionnaire
A questionnaire (on-line) is to be developed and used in order to help collect the views of additional stakeholders (e.g. trainees, counterparts, partners, etc.), if deemed appropriate.

VII. TIMEFRAME AND DELIVERABLES

<table>
<thead>
<tr>
<th>Duties</th>
<th>Time Frame</th>
<th>Location</th>
<th>Deliverables</th>
</tr>
</thead>
<tbody>
<tr>
<td>Desk review and drafting of Inception Report</td>
<td>10 December 2018 – 4 January 2019 (12 working days for lead evaluator and 10 for team member, and 3 for senior advisor)</td>
<td>Home base</td>
<td>Draft Inception report in line with UNODC evaluation norms and standards61</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Activity Description</th>
<th>Start Date/Duration</th>
<th>Location</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review of draft Inception Report by IEU</td>
<td>7 January – 18 January 2019 (2 weeks for IEU review)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Comments on the draft Inception Report to the evaluation team</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Incorporation of comments from IEU (can entail various rounds of comments from IEU)</td>
<td>21 January 2019 - 23 January 2019 (3 working days for lead evaluator and 2 for team member) (1 week for IEU review)</td>
<td>Home base</td>
<td>Revised draft Inception Report</td>
</tr>
<tr>
<td>Deliverable A: Final Inception Report in line with UNODC evaluation norms, standards, guidelines and templates</td>
<td>By 23 January 2019 (overall 15 working days for lead evaluator, 12 for team member, and 3 for senior advisor)</td>
<td></td>
<td>Final Inception report to be cleared by IEU at least one week before the field mission can get started</td>
</tr>
<tr>
<td>Evaluation mission: briefing, interviews with staff at UNODC HQ/FO (including by phone/Skype); observation; focus groups; presentation of preliminary observations (if applicable)</td>
<td>February – March 2019 (20 w/d for lead evaluator and 20 w/d for team member and 10 w/d for senior advisor)</td>
<td>UNODC/HQ; Selected Countries/Cities</td>
<td>Interviews and data collection</td>
</tr>
<tr>
<td>Deliverable B: Report on Missions conducted</td>
<td>31 March 2019 (overall 20 w/d for lead evaluator, 20 w/d for team member, and 10 w/d for senior advisor)</td>
<td></td>
<td></td>
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<tr>
<td>(1 week for review)</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Drafting of the evaluation report; submission to IEU;</td>
<td>April 2019 (15 w/d for lead evaluator, 13 for team member, and 2 for senior advisor)</td>
<td>Home base</td>
<td>Draft evaluation report</td>
</tr>
<tr>
<td>Review of IEU for quality assurance</td>
<td>April 2019 (2 weeks for review)</td>
<td></td>
<td>Comments on the draft evaluation report to the evaluation team</td>
</tr>
<tr>
<td>Implementation of comments from IEU</td>
<td>May 2019 (6 w/d for lead evaluator)</td>
<td>Home base</td>
<td>Revised draft evaluation report</td>
</tr>
<tr>
<td>Deliverable C: Draft Evaluation Report in line with UNODC evaluation norms, standards, guidelines and templates</td>
<td>By 30 May 2019 (overall 41 w/d for lead evaluator and 37 for team member, and 4 for senior advisor)</td>
<td>Draft evaluation report, to be cleared by IEU</td>
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<tr>
<td>IEU to share draft evaluation report with Core Learning Partners for comments</td>
<td>1 June 2019 (2 weeks)</td>
<td>Comments of CLPs on the draft report</td>
<td></td>
</tr>
<tr>
<td>Consideration of comments from Core Learning Partners and preparation of draft Evaluation Brief</td>
<td>June 2019 (3 w/d for lead evaluator and 1 for team member and senior advisor)</td>
<td>Revised draft evaluation report</td>
<td></td>
</tr>
<tr>
<td>Final review by IEU; incorporation of comments and finalization of report and Evaluation Brief (can entail various rounds of comments from IEU)</td>
<td>30 June 2019 (3 w/d for lead evaluator and 2 for team member and 1 for senior advisor) (1 week for review)</td>
<td>Revised draft evaluation report; draft Evaluation Brief</td>
<td></td>
</tr>
<tr>
<td>Presentation of evaluation results (to be reviewed and cleared by IEU)</td>
<td>July 2019 (1 w/d for lead evaluator and 1 for senior advisor)</td>
<td>Presentation of evaluation results</td>
<td></td>
</tr>
<tr>
<td>Deliverable C: Final evaluation report;</td>
<td>By 12 July 2019 (overall 7 w/d for lead evaluator and 1 for senior advisor)</td>
<td>Final evaluation report; Evaluation Brief and presentation of evaluation</td>
<td></td>
</tr>
</tbody>
</table>
The UNODC Independent Evaluation Unit may change the evaluation process, timeline, approach, etc. as necessary at any point throughout the evaluation process.

VIII. EVALUATION TEAM COMPOSITION

The independent evaluation will be conducted by 3 external, independent, internationally recognized evaluators hired for this specific purpose that will be supported by evaluation officers from the UNODC IEU. The experts should not have prior involvement with the project under evaluation.

The evaluation team will include:

- One Lead Evaluator (independent external consultant) with extensive experience in evaluation, in particular in applying qualitative and quantitative evaluation methods. He/She shall have an expertise in the area of gender equality and human rights. Work experience with the United Nations is desirable. The Lead Evaluator will supervise and coordinate the drafting of the evaluation report (for more information please see the Lead Evaluator TOR in Annex 1). He/She will also provide specific guidance regarding HR and gender-sensitive and inclusive methodology, HR and gender mainstreaming throughout all evaluation questions and during the evaluation.

- One substantive expert (team member) with substantive expertise in the area of human trafficking and smuggling of migrants will be contracted separately by the UNODC. He/She should not have any previous or current or foreseen involvement with the programmes. The substantive expert will collaborate with the lead evaluator and will be involved in briefing the lead evaluator prior to the field missions. He/She will substantively contribute to the draft evaluation plan, methodology, questionnaires and draft evaluation report. The expert will contribute with his/her expertise throughout the evaluation process to ensure a high quality product.
• One senior advisor to provide high level advice and support to ensure the substantive quality assurance of the independent evaluation. The senior advisor will also provide overall substantive expertise in the area of human trafficking and smuggling of migrants will be contracted separately by the UNODC. He/She should not have any previous or current or foreseen involvement with the programmes. The senior advisor will collaborate and provide overall guidance to the with the lead evaluator and the substantive expert. The expert will contribute with his/her expertise throughout the evaluation process to ensure a high quality product.

• One Evaluation Officer from UNODC IEU may be part of the evaluation team with the role to ensure quality control. He/She oversees the evaluation, may accompany the team during field visits and jointly carry out interviews. One further IEU staff member will act as back-up.

The evaluation team will not act as representative of any party and should use their independent judgement. The evaluation team cannot be involved in the design, appraisal or implementation of the programme. The evaluators will be and remain throughout the process independent and impartial. The evaluation team does not have any authority to make any commitment on behalf of the programme parties (i.e. UNODC), recipient countries and donors.

The evaluation team will work closely with the members of the UNODC/HTMSS who will provide them with relevant information on the programme and provide guidance for the implementation of the evaluation.

The UNODC IEU will provide quality assurance throughout the process by participating in the field missions, as necessary, and interviews as well as providing comments and clearance on the evaluation methodology, the draft report and the final clearance for the final evaluation report.

1. Roles and responsibilities of each team member

The evaluation team will consist of 2 full team members and 1 senior advisor: the lead evaluator, the substantive expert with knowledge in the field of trafficking in persons as well as smuggling of migrants and a senior advisor, under the supervision of guidance of an Evaluation Officer from IEU.

Lead evaluator:

The team leader will have the overall responsibility for the quality and timely delivery of all activities and reports and for liaising with the Independent Evaluation Unit (IEU) and with the UNODC Human Trafficking and Migrant Smuggling Section Chief and Programme Managers as specified in these Terms of Reference.

• Closely engage with the team member – the Human Trafficking and Migrant Smuggling Expert - throughout the evaluation-process;
• Carry out the desk review;
• Lead and guide the development of the evaluation methodology, including sample size and sampling technique;
• Prepare the inception report incorporating the above components, in line with the guidelines and templates on the IEU website http://www.unodc.org/unodc/en/evaluation/evaluation-step-by-step.html
• Contribute with specific expertise in human rights and gender equality;
• Incorporate comments received in the Inception Report (clearance by IEU);
• Conduct interviews with the stakeholders;
• Under the supervision of the IEU Evaluation Officer, lead and coordinate the evaluation process and oversee the tasks of the substantive expert (evaluation team member);
• Implement qualitative tools and analyse data;
• Triangulate data and test rival explanations;
• Ensure that all aspects of the terms of reference are fulfilled;
• Review and 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.

**Substantive expert:**
• Contribute with specific expertise in the area of trafficking in persons and smuggling of migrants throughout the evaluation-process;
• Carry out the desk review;
• In collaboration with the Lead Evaluator, draft the inception report (in particular, the parts relevant to his/her expertise);
• Implement data collection tools and analyse data;
• Triangulate data and test rival explanations;
• In collaboration with the Lead Evaluator, draft an evaluation report (in particular, the parts relevant to his/her expertise) in line with the UNODC evaluation policy, guidelines and templates;
• Review and finalize the evaluation report on the basis of comments received;
• In collaboration with the Lead Evaluator, contribute to the Evaluation Brief and present the findings and recommendations of the evaluation as required.

**Senior advisor:**
• Provide independent substantive technical advice to the evaluation team and evaluation, managers in substantive matters related to TIP and SOM and the final evaluation,
• Provide advisory support and technical advice on the evaluation TORs, inception report, and draft evaluation report,
• Provide an independent and professional substantive assessment on the evaluation deliverables.

**IEU evaluation officers:**
• Supervise and oversee the evaluation team in all stages of the evaluation process;
• Oversee and contribute to the development of the evaluation methodology and participate in field missions and interviews, as necessary and appropriate;
• Provide supervision and quality assurance throughout the evaluation process and ensure an independent and transparent process;
• comment on all deliverables of the evaluation;
• Final clearance of all deliverables of the evaluation;
• Ensure that the evaluation is disseminated according to IEU guidelines;
• Ensure that the evaluation findings are shared simultaneously with management and external stakeholders as per the respective resolution and IEU guidelines;
<table>
<thead>
<tr>
<th>Role</th>
<th>Number of consultants/ evaluators (national/international)</th>
<th>Specific expertise required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Team leader</td>
<td>1 (international consultant)</td>
<td>Evaluation methodology and expertise in Gender Equality and Human Rights</td>
</tr>
<tr>
<td>Team member</td>
<td>1 (international consultant)</td>
<td>Substantive expert on TIP and SOM issues</td>
</tr>
<tr>
<td>Senior advisor</td>
<td>1 (international consultant)</td>
<td>Internationally recognized senior expert on TIP and SOM</td>
</tr>
</tbody>
</table>

The evaluators will not act as representatives of any party and must remain independent and impartial. The qualifications and responsibilities for each evaluator are specified in the respective job descriptions attached to these Terms of Reference (Annex 1). The evaluation team will report exclusively to the Chief or Deputy Chief of the UNODC Independent Evaluation Unit, who are the exclusive clearing entity for all evaluation deliverables and products.

Absence of Conflict of Interest

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

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

**Partnership Agreements**

**IOM**

The Project Cooperation Agreement between UNODC and IOM was signed on 11 May 2016 and under the framework of GLO.ACT is called the 'IOM Global Action to Protect and Assist Trafficked and Smuggled Migrants, and Similarly Vulnerable Persons'. IOM activities under GLO.ACT are intended to contribute to preventing and addressing trafficking in persons and the smuggling of migrants, by assisting select beneficiary countries (Belarus, Brazil, Lao PDR, Mali, Morocco, and South Africa) to develop assistance and support programmes for adult and child victims of trafficking, and to protect the rights of vulnerable migrants, such as smuggled migrants. The design, planning and implementation of IOM activities was carried out in close coordination with UNODC and UNICEF in order to ensure consistency and complementarity among GLO.ACT’s six pillars of intervention. Project activities are implemented and managed by IOM staff, as well as 2 short-term experts and service providers identified and procured by IOM. In some GLO.ACT countries, the project has disbursed small grants to civil society partners for the provision of assistance and reintegration services to trafficked victims, smuggled migrants and other vulnerable migrants, including child victims, and vulnerable migrant children. During the reporting period, grants were given to Belarus, Lao PDR, Mali and Morocco.

**UNICEF**

The Agreement between UNODC and UNICEF was signed on 20 July 2016 and under the framework of GLO.ACT is called the UNICEF Global Programme ‘Enhanced Protection For Child Victims Of Human Trafficking And Smuggling Within National Child Protection Systems’. UNICEF activities under GLO.ACT will address the special protection needs of children, in particular children victims of trafficking as well as separated or unaccompanied children in
 IX. MANAGEMENT OF THE EVALUATION PROCESS

Roles and responsibilities of the Project Manager

The Project Manager is responsible for:
- drafting and finalizing the ToR in close collaboration with IEU and CLPs,
- selecting Core Learning Partners (representing a balance of men, women and other marginalised groups) and informing them of their role,
- recruiting the evaluation team following discussions with and clearance by IEU, ensuring issued contracts ahead of the start of the evaluation process in line with the cleared ToR. In case of any delay, IEU and the evaluation team are to be immediately notified,
- providing desk review materials (including data and information on men, women and other marginalised groups) to the evaluation team including the full TOR – ensuring that any further desk review material, as requested by the evaluators, is provided,
- liaising with the Core Learning Partners,
- reviewing the draft report for factual errors only,
- developing a follow-up plan for the usage of the evaluation results and recording of the implementation of the evaluation recommendations (to be updated once per year),
- disseminate the final evaluation report and communicate evaluation results to relevant stakeholders as well as facilitate the presentation of evaluation results;
- ensure that all payments related to the evaluation are fulfilled within 5 working days after IEU’s request - non-compliance by Project/Programme Management may result in the decision to discontinue the evaluation by IEU.

The Project Manager will be in charge of providing logistical support to the evaluation team (including IEU staff) including arranging the field missions of the evaluation team, including but not limited to:
- All logistical arrangements for the travel (including travel details; DSA-payments; transportation; etc.)
- All logistical arrangement for the meetings/interviews/focus groups/etc., ensuring interview partners adequately represent men, women and other marginalised groups (including independent translator/interpreter if needed); set-up of interview schedules; arrangement of ad-hoc meetings as requested by the evaluation team; transportation from/to the interview venues; scheduling sufficient time for the interviews (around 45 minutes); ensuring that members of the evaluation team and the respective interviewees are present during the interviews; etc.)
- All logistical arrangements for the presentation of the evaluation results;
- Ensure timely payment of all fees/DSA/etc. (payments for the evaluation team must be released within 5 working days after the respective deliverable is cleared by IEU).

Roles and responsibilities of the evaluation stakeholders

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

IEU will participate and clear the selection of the proposed Evaluation Team and liaise with the evaluators throughout the entire evaluation process. The IEU will comment on the evaluation methodology and provide methodological support throughout the evaluation, including commenting on the draft report and endorsing the quality of the final report. The IEU will have the following functions:

- Contribute to the finalization of the evaluation ToR;
- Contribute to the production of a clear, time bound work plan for the evaluation process;
- Ensure endorsement of all steps (ToR, Selection, Inception, Draft/Final Reports) by all parties;
- Clear the selection of the evaluation team;
- Ensure the evaluation products meet UNODC/UNEG quality standards;
- Provide clear specific advice and support to the evaluation stakeholders and the evaluation team throughout the whole evaluation process;
- Ensure a fully inclusive and transparent approach to the evaluation;
- Ensure the liaison and facilitate the relation with Core Learning Partners;
- Safeguard the independence of the exercise, including the selection of the evaluation team;
- Review and clear all steps in the evaluation process: Terms of Reference; Selection of evaluator(s); Inception Report; Draft Evaluation Report; Final Evaluation Report; Evaluation Follow-up Plan.

More specifically, IEU staff as evaluation team member will be responsible for the following tasks:

- Discuss the work plan with the evaluator and experts and guide the evaluation process to ensure that all aspects of the Terms of Reference are fulfilled; Support and guide the evaluation team on field mission;
- Ensure that the evaluation will be conducted in a timely, high quality manner, in line with the related UN Guidelines, Norms and Standards

X. PAYMENT MODALITIES

The evaluation team will be issued consultancy contracts and paid in accordance with UNODC rules and regulations. The contracts are legally binding documents in which the evaluation team agrees to complete the deliverables by the set deadlines. Payment is correlated to deliverables and four instalments are typically foreseen:

1. The first payment upon clearance of the Inception Report (in line with UNODC evaluation norms, standards, guidelines and templates) by IEU;
2. The second payment upon clearance of the report on missions conducted (in line with UNODC norms, standards, evaluation guidelines and templates) by IEU;
3. The third payment will be upon clearance of the Draft Evaluation Report (in line with UNODC norms, standards, evaluation guidelines and templates) by IEU;

4. The final payment (i.e. the remainder of the fee) only after completion of the respective tasks, receipt of the final report, Evaluation Brief (in line with UNODC evaluation norms, standards, guidelines and templates) and clearance by IEU, as well as presentation of final evaluation findings and recommendations.

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

IEU is the sole entity to request payments to be released in relation to evaluation. Project/Programme Management must fulfil any such request within 5 working days to ensure the independence of this evaluation-process. Non-compliance by Project/Programme Management may result in the decision to discontinue the evaluation by IEU.
ANNEX II.  DESK REVIEW LIST

UNODC documents

General
1. Donor reports (including the semi-annual workplans); 9 documents
2. Draft GLO.ACT indicator tool
3. Draft Logic Model for Mali, Nepal, Ukraine and general template (3 documents)
4. EU Policy on Smuggling of Migrants and Trafficking in Human Beings (March 2019)
   UNODC Brussels Liaison Office
5. Evolution on GLO.ACT reporting 2016, 2017, 2018 from SPIA
6. GLO.ACT general MEL tools (12 documents)
7. GLO.ACT Good Practices Exchange - Communications & Visibility
8. GLO.ACT Good Practices Exchange - Policy & Strategy
9. GLO.ACT HQ Field Staffing Table (March 2019)
10. GLO.ACT Identifying Results and Logical Pathways (Presentation)
11. GLO.ACT II Project document (November 2018)
12. GLO.ACT ROM Comms support document (23 May 2018)
14. GLO.ACT ROM report (May 2018)
15. GLO.ACT Selection of countries – process (18 documents)
16. GLO.ACT Sustainability Survey Results
17. GLO.ACT-Project budget report (per Outcome/Output and per country)
18. Guidance Note on Gender Mainstreaming in UNODC (2013)62
19. Progress reports (internal from ProFI); 4 documents
20. Project document (plus drafts and governing frameworks) and agreement signed with
   the EU; 8 documents
21. Project logframes: 2 documents
22. Project revisions; 45 documents
23. Project Steering Committee minutes and other relevant minutes; 29 documents63
24. Relevant evaluation reports of implementing partners (IOM and UNICEF) 26
   documents
25. UNEG Ethical Guidelines for Evaluation64
26. UNEG Norms and Standards for Evaluation (2016)65
27. UNEG: Integrating human rights and gender equality in evaluation66
29. UNODC brochure: Better Data to monitor violence, trafficking, corruption and access
   to Justice (2017)68

63 the evaluation team reviewed minutes but not annexes, workplans and presentations from
  countries
64 www.uneval.org/document/download/548
65 www.unevaluation.org/document/download/2601
66 http://www.uneval.rgdetail/980
67 https://undg.org/document/2017-undaf-guidance/
68 http://www.unodc.org/documents/data-and-analysis/Crime-
   statistics/Brochure_goal16_2017_web.pdf

72
30. UNODC brochure: UNODC and the Sustainable Development Goals
31. UNODC Country/Regional programmes development and approval process (2013)
32. UNODC Development and approval process for global programmes (2013)
33. UNODC evaluation guidelines, templates, handbook, policy
34. UNODC Evaluation Quality Assessment
35. UNODC Evaluation Report Guidelines and Template
36. UNODC Global Report on Trafficking in Persons, 2018
37. UNODC Global Report on Trafficking in Persons, 2016
38. UNODC Global Report on Smuggling of Migrants, 2018
39. UNODC Inception Report Guidelines and Template
40. UNODC Independent Evaluation Unit: Evaluation-based analysis of good practices in UNODC’s approach to capacity building
41. UNODC Independent Evaluation Unit: Meta-Analysis 2011-2014
42. UNODC Independent Evaluation Unit: Meta-Analysis 2015-2016
43. UNODC Internal Audit, report 2017/077
44. UNODC Position Paper on Human Rights (2011)
45. UNODC Strategy For Gender Equality And The Empowerment Of Women (2018–2021)
46. UNODC website: UNODC and the Sustainable Development Goals
47. UNODC Case Digest: Evidential Issues in Trafficking in Persons Cases, 2017
48. UNODC – GLO.ACT Gaps and Needs assessment reports, 13 reports
49. UNODC Toolkit to Combat trafficking in persons, 2008
50. UNODC Model Law against Trafficking in persons, undated
51. UNODC Model Law against the Smuggling of Migrants, 2010

Belarus
1. Details of activities including workplan, agendas for training, partners meeting, list of OMTs, web story, country overview, 8 documents.
2. Unicef conference agenda, list of participants, 2 documents
3. Concept papers, labour exploitation, child sexual exploitation, 5 documents
4. Training workshop questionnaire and documents, 3 documents
5. Steering group meeting documents, 5 documents
6. From IOM: email exchange with data on assisted victims, law of Belarus on Trafficking, NRM regulation and report from NRM event, 4 documents

69  https://www.unodc.org/documents/SDGs/UNODC-SDG_brochure_LORES.pdf
Brazil
1. Details of activities 2017 and 2018, including workplans; 73 documents
2. Extra information collected during field mission; 8 documents
3. GLO.ACT Brazil Funding requests and OMT; 37 documents
4. GLO.ACT Brazil Media Coverage; 2 documents
5. GLO.ACT Monitoring Evaluation Learning Checklist (January 2019)
6. Lists of participants: 32 documents
7. Minutes of relevant meetings: 9 documents

Colombia
1. Agendas and list of participants; 47 documents
2. Details on activities 2017 and 2018; 26 documents
3. Evaluations and questionnaires; 5 documents
4. GLO.ACT Colombia Funding requests and OMT; 23 documents
5. GLO.ACT Monitoring Evaluation Learning Checklist (January 2019)
6. Workplans; 5 documents

Egypt
1. Details of workshops and trainings; 36 documents
2. Evaluation of trainers; 8 documents
3. GLO.ACT Egypt Funding requests and OMT; 23 documents
5. MoU with Public Prosecution Office
6. Workplans and other planning documents (including calendar of trainings); 9 documents

Kyrgyz Republic
1. Country overview, workplans and GLO.ACT outcomes report, 7 documents
2. OMTS 2017 – 2019, 20 documents
3. Agendas, list of participants various activities, 10 documents
4. Press clippings, promotional materials, media workshop, 15 documents
5. List of beneficiaries and stakeholders, 4 documents
6. Monitoring and evaluation, learning checklist
7. EU Rule of law initiative for Central Asia

Lao PDR
1. Agendas, list of participants and stakeholders for various activities, 9 documents
2. Funding Request/OMT, 8 documents
3. Web stories, 4 stories
4. Country Overview and analyses, 3 documents
5. Stakeholder consultation documents, 6 documents

Mali
1. Logical Framework and Outcomes report, 2 documents
2. Agendas, 3 documents
3. Evaluation of sub-regional meeting with Niger, Morocco
4. Country overview and workplans, 3 documents
5. Monitoring and Evaluation checklist

79 Only main documents revised. The country office provided many more than 73, including photographs
6. List of participants, partners, 4 documents
7. OMTs and Funding requests – 10 documents
8. Web stories, 4 documents

Morocco
1. UN Expert commends Morocco’s international leadership on migration but urges immediate action on domestic racial inequality
4. IOM Tender document for civil society grant applicants in Morocco
5. IOM evaluation of training of civil society actors on identification and assistance to vulnerable migrants, July 2018
6. GLO.ACT/IOM Practical Guide for Labour Inspectors on identification of trafficking victims and victims of labour exploitation (French), 2018
7. GLO.ACT outcomes report and country overviews, 3 documents
8. List of national stakeholders
9. Monitoring and Evaluation checklist
10. Workplans, 2 documents
11. Training of trainers participants list, press communication, agenda, 4 documents

Nepal
1. Details of activities (TIPOR training manual); 13 documents
2. GLO.ACT Nepal Funding requests and OMT; 13 documents
3. GLO.ACT NEPAL Monitoring Evaluation Learning Checklist (January 2019)
5. Workplans and other planning documents: 7 documents

Niger
2. Report of the UN Special Rapporteur on contemporary forms of slavery, misión to Niger, July 2015 (A/HRC/30/35/Add 1)
3. UN Committee on the Protection of the Rights of all Migrant Workers and Members of their Families, Initial report by Niger and Concluding Observations on the initial report of Niger, October 2016 – 2 documents


8. Email Exchange and documents shared by Aimee Comrie including meeting notes with Niger Ministry of Justice, web story link, case materials, meeting minutes, 6 documents
9. Outcomes report, agendas and lists of participants, 26 documents
10. Funding requests and OMTs, 33 documents
11. Country overview
12. Monitoring, evaluation and learning checklist
13. Various reports on activities and promotional materials, 17 documents
14. Meeting minutes, 2 documents
15. Lists of beneficiaries and stakeholders, 2 documents
16. Logframe with baseline and targets
17. Press clippings, 4 documents
18. Evaluation pre and post tests, 10 documents
19. Workplans, 5 documents
20. Training modules, 8 documents

Pakistan
1. Details of activities 2017 and 2018; 101 documents
2. Extra information collected during field mission; 3 documents
3. GLO.ACT Monitoring Evaluation Learning Checklist (January 2019)
4. GLO.ACT Pakistan Funding requests and OMT; 24 documents
5. Media Coverage of GLO.ACT events June 2017 - July 2018
6. Minutes of meetings; 5 documents
7. Workplans and other planning documents; 6 documents

South Africa
1. Logical Framework, 2 documents
2. Outcomes report
3. List of beneficiaries
4. Country overviews, 3 documents
5. Reports on data coordination workshop and smuggling workshop, 2 documents
6. Project steering committee talking points
7. Monitoring evaluation checklist
8. Lists of participants, 12 documents
9. OMTs, 39 documents
10. Various activity reports, 13 documents
11. Workplans, 7 documents
Ukraine
1. Report on identifying and assisting child victims of trafficking, regulation and agenda for training, 3 documents
2. Judges curriculum materials, 60 documents
3. Pre and post evaluations, 2 documents
4. Monitoring and evaluation checklist
5. List of beneficiaries and stakeholders, 2 documents

External documents

General
5. Pivoting toward the evidence; ICAT issue paper, UN, 2016
6. UN Protocol against the Smuggling of Migrants by Land, Sea and Air
7. UN Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children (Trafficking Protocol)
8. Sarah Stachowiak, Organizational Research Services, Six Pathways for Change, 2013
12. European Agenda on Migration, Brussels, 13.5.2015
13. EU Global Approach to Migration and Mobility, Brussels, 18.11.2011
15. EU Action Plan Against Migrant Smuggling (2015-2020), Brussels 27.5.2015
16. EU Anti-Trafficking Directive 2011/36/EU and EU Communication on the follow up to the EU Strategy on Human Trafficking, Dec 2017, 2 documents
17. EU Valletta Action Plan, joint conclusions, 19.11.2018
18. Global Compact on Migration, December 2018
19. Sustainable Development Goals, 2030 Agenda

OIM
1. Agenda National Workshop "Development of Effective Referral Mechanism for Protection of Vulnerable Migrants and Victims of Human Trafficking" (March 2019)
3. IOM Budget target country breakdowns
5. Referral Mechanisms for The Protection And Assistance Of Migrants Vulnerable To Violence, Exploitation and Abuse And Of Victims Of Trafficking; Practical Guidelines For Development And Implementation (2019)

TOTAL OF DOCUMENTS CONSULTED: 1 130
### ANNEX III. LIST OF PERSONS CONTACTED DURING THE EVALUATION (in person, via Skype or survey)

<table>
<thead>
<tr>
<th>Number of interviewees</th>
<th>Type of stakeholder</th>
<th>Sex disaggregated data</th>
<th>Country</th>
</tr>
</thead>
<tbody>
<tr>
<td>19</td>
<td>UNODC HTMSS/GLO.ACT team</td>
<td>Male: 9 Female: 10</td>
<td>Austria</td>
</tr>
<tr>
<td>4</td>
<td>UNODC Senior Management in HQ</td>
<td>Male: 2 Female: 2</td>
<td>Austria</td>
</tr>
<tr>
<td>22</td>
<td>UNODC staff from HQ (from other sections and units)</td>
<td>Male: 10 Female: 12</td>
<td>Austria and Belgium</td>
</tr>
<tr>
<td>7</td>
<td>UNODC staff from regional and country offices</td>
<td>Male: 2 Female: 5</td>
<td>(Several)</td>
</tr>
<tr>
<td>12</td>
<td>Donor (European Union)</td>
<td>Male: 4 Female: 8</td>
<td>(Several)</td>
</tr>
<tr>
<td>14</td>
<td>Implementing partner (IOM and UNICEF)</td>
<td>Male: 6 Female: 8</td>
<td>(Several)</td>
</tr>
<tr>
<td>12</td>
<td>GLO.ACT NPOs</td>
<td>Male: 5 Female: 7</td>
<td>(Several)</td>
</tr>
<tr>
<td>13</td>
<td>Civil Society</td>
<td>Male: 3 Female: 9 Prefer not to say:1</td>
<td>Brazil</td>
</tr>
<tr>
<td>23</td>
<td>Government (National and local)</td>
<td>Male: 8 Female: 15</td>
<td>Brazil</td>
</tr>
<tr>
<td>4</td>
<td>Criminal justice actor</td>
<td>Male: 3 Female: 1</td>
<td>Brazil</td>
</tr>
<tr>
<td>19</td>
<td>Final beneficiaries</td>
<td>Male: 11 Female: 8</td>
<td>Brazil</td>
</tr>
<tr>
<td>3</td>
<td>Other (private sector)</td>
<td>Male: 2 Female: 3</td>
<td>Brazil</td>
</tr>
<tr>
<td>12</td>
<td>Government (National and local)</td>
<td>Male: 3 Female: 9</td>
<td>Colombia</td>
</tr>
<tr>
<td>5</td>
<td>Criminal justice actor</td>
<td>Male: 2 Female: 3</td>
<td>Colombia</td>
</tr>
<tr>
<td>4</td>
<td>Civil Society</td>
<td>Male: 1 Female: 3</td>
<td>Colombia</td>
</tr>
<tr>
<td>2</td>
<td>Government</td>
<td>Male: 2</td>
<td>Kyrgyzstan</td>
</tr>
<tr>
<td>1</td>
<td>Criminal justice actor</td>
<td>Male: 1</td>
<td>Kyrgyzstan</td>
</tr>
<tr>
<td>2</td>
<td>Gov</td>
<td>Male: 2</td>
<td>Lao PDR</td>
</tr>
<tr>
<td>4</td>
<td>Civil Society</td>
<td>Female: 4</td>
<td>Lao PDR</td>
</tr>
<tr>
<td>12</td>
<td>Government</td>
<td>Male: 8 Female: 4</td>
<td>Morocco</td>
</tr>
<tr>
<td>No.</td>
<td>Role</td>
<td>Gender Details</td>
<td>Country</td>
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<tr>
<td>-----</td>
<td>-------------------------------------</td>
<td>----------------</td>
<td>---------------</td>
</tr>
<tr>
<td>10</td>
<td>Criminal justice actor</td>
<td>Male:6 Female:4</td>
<td>Morocco</td>
</tr>
<tr>
<td>1</td>
<td>Civil society</td>
<td>Female:1</td>
<td>Morocco</td>
</tr>
<tr>
<td>5</td>
<td>Government (National)</td>
<td>Male: 3 Female:2</td>
<td>Nepal</td>
</tr>
<tr>
<td>5</td>
<td>Criminal justice actor</td>
<td>Male: 4 Female:1</td>
<td>Nepal</td>
</tr>
<tr>
<td>3</td>
<td>Government</td>
<td>Male:2 Female:1</td>
<td>Niger</td>
</tr>
<tr>
<td>7</td>
<td>Criminal justice actor</td>
<td>Male: 6 Female:1</td>
<td>Niger</td>
</tr>
<tr>
<td>2</td>
<td>Civil society</td>
<td>Male:2</td>
<td>Niger</td>
</tr>
<tr>
<td>1</td>
<td>Other international organisation</td>
<td>Male:1</td>
<td>Niger</td>
</tr>
<tr>
<td>6</td>
<td>UN Volunteers</td>
<td>Male:3 Female:3</td>
<td>Niger</td>
</tr>
<tr>
<td>15</td>
<td>Civil Society</td>
<td>Male: 8 Female:7</td>
<td>Pakistan</td>
</tr>
<tr>
<td>24</td>
<td>Criminal justice actor</td>
<td>Male: 17 Female:7</td>
<td>Pakistan</td>
</tr>
<tr>
<td>19</td>
<td>Government (National and local)</td>
<td>Male: 15 Female:4</td>
<td>Pakistan</td>
</tr>
<tr>
<td>4</td>
<td>Government</td>
<td>Male:2 Female:2</td>
<td>South Africa</td>
</tr>
<tr>
<td>9</td>
<td>Criminal Justice Actor</td>
<td>Male: 4 Female:5</td>
<td>South Africa</td>
</tr>
<tr>
<td>7</td>
<td>Civil Society</td>
<td>Male: 4 Female:3</td>
<td>South Africa</td>
</tr>
<tr>
<td>1</td>
<td>Other international organisation</td>
<td>Male: 1</td>
<td>South Africa</td>
</tr>
</tbody>
</table>

Total: 315
Male: 160
Female: 152
Prefer not to say: 1