

4.3 Monitoring and evaluation indicators

4.3.1 Strategy and policy Indicators

Strategy and policy development goal: Beneficiary countries have capacity, tools and information to develop, implement, monitor and evaluate evidence-based strategies and policies against TIP and SOM, aligned with international instruments.

HRBA / gender goal: Strategies and policies developed in accordance with human rights based and gender sensitive approach.

Expected result	Human rights and gender INDICATOR	Source of information and Means of verification	Results / Targets
1. Strategy and Policy Development Beneficiary countries have capacity, tools and information to develop, implement, monitor and evaluate evidence-based strategies and policies against TIP and SOM, aligned with international instruments.			
1.1. Multi-agency strategies and policies to prevent and address TIP and SOM are developed and / or strengthened, on the basis of reliable data, accumulated knowledge and respect for human rights and gender equality	Agreed process and criteria for participant selection to support strengthening of existing policies, strategies and national action plans in accordance with human rights-based and gender-sensitive approaches Training program developed in partnership with relevant local counterpart institution to tailor human rights and gender-sensitive approach to country context and capacity	Inputs of local counterpart institutions into training programme design and development Workshop feedback and evaluation reports Workshop participant profiles	Nominated participants are appropriately qualified and positioned to participate in trainings Trainings tailored to country context and capacity, and participant capacity, special needs

Expected result	Human rights and gender INDICATOR	Source of information and Means of verification	Results / Targets
	Policies, strategies, and action plans rely on human rights-based research and data that has been collected, shared and protected on the basis of applicable legal and ethical principles and disaggregated on the basis of gender, age, nationality and other potential grounds for discrimination, as appropriate.	Research protocols and data collection tools Legal and ethical data collection frameworks / principles relied on Reports / approvals / exemptions of ethics review committees	Policies, strategies and action plans are implemented Research and data collection done in accordance with human rights and gender equality principles
	TIP and SOM strategies, policies and action plans developed or existing ones revised to explicitly incorporate human rights and gender components. Number of strategies, policies and action plans developed that reduce opportunities for traffickers and smugglers.	Strategies, policies and action plans Stakeholder reports and consultations	Policies, strategies and action plans are implemented Findings from stakeholder reports / consultations be generalizable or verifiable
	Time frame and national coverage of national policy on addressing human trafficking and migrant that incorporate human rights and gender components	Strategies, policies and action plans Stakeholder reports and consultations	Policies, strategies and action plans are implemented equally across a given country and implementation can be equally gauged
	Interagency task forces / coordination bodies on TIP and SOM include stakeholders specialized in human rights and gender issues	Legislation / policy documents outlining formation, composition and mandates of interagency task forces / coordination bodies Human rights and gender stakeholder consultation meetings	Legislation / policy documents outlining formation, composition and mandates of interagency task forces / coordination bodies Human rights and gender stakeholder consultation meetings

Expected result	Human rights and gender INDICATOR	Source of information and Means of verification	Results / Targets
	Human rights and gender specialized stakeholders consulted in development of TIP and SOM strategies and policies	Consultation reports Human rights and gender stakeholder feedback	Appropriate human right and gender equality representatives consulted Inputs obtained through consultation reflected in development of strategies and policies
	Specific mandate of (accredited) national human rights institutions to address rights of non-citizens	Mandate of national human rights institutions Consultation with national human rights institution	Human rights of non-citizens explicitly addressed by national human rights institution
1.2. Targeted TIP and SOM crime prevention action plans developed and implemented along selected TIP and SOM routes	Human rights, gender-sensitive and child-sensitive tools used to inform development of prevention plans	Tools developed Progress and monitoring reports	Use is made of this Toolkit, and Toolkit is appropriately calibrated for country context / programme activity Staff allocate sufficient time and capacity to effectively use tools
	Countries along TIP and SOM routes adopt rights-based, gender-sensitive and child protection approaches to action plans	Action plans	Action plans formulated with stakeholder inputs
1.3. TIP and SOM policies are based on a strengthened understanding of human rights obligations and approaches	Crime prevention plans explicitly include human rights and gender considerations, including those flagged in this Toolkit	Human rights risk mitigation strategies in place	Human rights risks identified and mitigated in implementation of crime prevention policies

4.3.2 Legislative assistance Indicators

Legislative assistance goal: Beneficiary countries adapt their national legal frameworks on trafficking in persons and smuggling of migrants in line with international standards and other good practices.

HRBA / Gender goal: Legislative frameworks are developed or amended in a way that explicitly upholds human rights and gender equality in a way that is inclusive of / does not exclude marginalized groups

Expected result	Human rights and gender INDICATOR	Source of information and Means of verification	Results / Targets
2. Legislative assistance Beneficiary countries adapt their national legal frameworks on trafficking in persons and smuggling of migrants in line with international standards and other good practices			
2.1. Gaps and inconsistencies in national laws and procedures on TIP and SOM identified with clear recommendations for improvement through law changes, judicial decree or other means as appropriate	State has taken steps to implement international human rights treaties it has ratified into the interpretation and application of national laws and procedures on TIP and SOM	Treaties and reservations thereto and any implementing legislation	Ratification of treaties tantamount to their implementation. Reservations do not detract from implementation.
	Country assessment of domestic legislation conducted and shared with government stakeholders, and captures human rights, gender equality and child protection issues	Country assessments Stakeholder consultations	Persons carrying out assessment of domestic legislation have requisite human rights, gender and child-protection capacity Sufficient consultation with human rights, gender and child-protection specialists in conducting legislative assessments

Expected result	Human rights and gender INDICATOR	Source of information and Means of verification	Results / Targets
	Initiatives to promote legislative development (legal drafting workshops and assistance, technical working groups) in accordance with human rights instruments.	Initiatives to promote legislative development (legal drafting workshops and assistance, technical working groups) in accordance with human rights instruments.	Adequately qualified persons nominated to participate in workshops Staff, consultants and others who deliver workshops and provide assistance have appropriate human rights, gender and child-protection expertise Initiative addresses practical constraints and designed and delivered with support and agreement of key stakeholders including politicians
	Country signing and taking concrete steps or expressing intention to sign international human rights treaties.	Treaties signed, consent to be bound expressed.	State committed to implementing obligations in good faith
	Recommendations from legislative reviews and / or proposals delivered for legislative reform or judicial guidance to align national legal frameworks with human rights treaties.	National legislative assessment reports Consultations with stakeholders	National legislative assessments undertaken with a human-rights and gender equality approach. Human rights and gender-specialized stakeholders have been consulted.
	Entry into force of domestic law that upholds equality between people of all genders and criminalizes all forms of violence against women	National legislation / amending instruments	National legislation implemented.
	Entry into force of domestic law that prohibits discrimination on any of the grounds provided for in international law	National legislation / amending instruments	National legislation implemented.

Expected result	Human rights and gender INDICATOR	Source of information and Means of verification	Results / Targets
	Entry into force of safeguards for persons facing the death penalty (including minimum age, pregnancy, disability).	Safeguards in law / policy	Safeguards applied; relevant stakeholders aware of safeguards.
2.2. Key national stakeholders and decision-makers support the alignment of the legal TIP and SOM framework with international law and standards and other good practice	Number of key stakeholders (male / female) who participate in legislative capacity building workshops addressing human rights and gender issues.	Participant lists Workshop materials Workshop reports	Adequately qualified persons nominated to participate in workshops; staff, consultants and others who deliver workshops and provide assistance have human rights, gender and child-protection expertise.
	Number of stakeholders (male / female) who have increased understanding of implications of human rights obligations and gender sensitivity on TIP and SOM legislation.	Workshop evaluations / post-workshop evaluations and monitoring of work	Evaluations offer meaningful insight into participant capacity to apply new knowledge. Evaluations offer meaningful insight into changed practice as a direct result of activity.
	Amendments made to address any identified discriminatory treatment of particular groups of rights holders in national legislation, including to draft legislation protecting gender equality	Amended legislation	Amended legislation applied in non-discriminatory ways.
	Amendments made to national law to bring the age of the child (below 18) into accord with international law	Amended legislation	Amended legislation be applied effectively and equally in all regions.
	Amendments made to national law to prohibit application of the death penalty for TIP and SOM, and to meet minimum standards for application of death penalty	Amended legislation Non-application of the death penalty for TIP and SOM crimes	Amended legislation applied effectively and equally in all regions.

4.3.3 Criminal justice capacity building Indicators

Criminal justice capacity building goal: Beneficiary countries provide a strengthened criminal justice response to trafficking in persons and smuggling of migrants.

HRBA / gender goal: Criminal justice duty bearers have increased capacity to take human rights based and gender sensitive approaches to their work to prevent and address human trafficking and migrant

Expected result	Human rights and gender INDICATOR	Source of information and Means of verification	Results / Targets
3. Criminal Justice capacity building Beneficiary countries provide a strengthened criminal justice response to trafficking in persons and smuggling of migrants			
3.1. Comprehensive, realistic and sustainable criminal justice capacity development strategy on TIP and SOM developed and agreed by key stakeholders, including funders	Country has introduced capacity development strategy to prevent and address human trafficking and migrant that explicitly integrates human rights, gender-equality, and child protection components	National strategy / strategies Stakeholder consultations	Criminal justice system adequate to respond to TIP and SOM in accordance with human rights, gender equality and child-protection
	Number of national initiatives to strengthen / implement criminal justice strategy in accordance with human rights and gender equality obligations	National strategies Stakeholder consultations	Strategies are tailored to country context (including conflict and humanitarian crises) and capacity

Expected result	Human rights and gender INDICATOR	Source of information and Means of verification	Results / Targets
<p>3.2. Strengthened national capacity to provide criminal justice responses to trafficking in human beings and / or migrant smuggling</p>	<p>Training materials specifically refer to relevant local laws and procedures Training is tailored to the specific TIP/SOM patterns found in the country, including conflict settings Training is aligned to specific standards agreed with national / local counterpart institutions Curriculum identifies and addresses potential national / local barriers to implementation of human rights, gender sensitive and child-friendly process.</p>	<p>Training curricula Agreements entered into with national training academies</p>	<p>Training curricula tailored to local context and capacity Training curricula delivered effectively</p>
	<p>Number of participants (male / female) trained in human rights, gender equality and child protection issues in combating TIP and SOM</p>	<p>Participant lists Workshop agendas</p>	<p>Nominated participants are appropriately qualified or positioned to participate in trainings Staff, consultants and others who deliver training have TIP / SOM related human rights, gender and child-protection expertise</p>

Expected result	Human rights and gender INDICATOR	Source of information and Means of verification	Results / Targets
	Percentage of training participants (male / female) demonstrating improved knowledge of human rights, gender equality and child protection issues	Pre and post-evaluations Workshop reports Assessment reports	Nominated participants are appropriately qualified or positioned to participate in trainings Law staff turnover facilitates skill retention Increased number of female investigators and prosecutors participating in capacity building activities
	Increased number of female investigators and prosecutors participating in capacity building activities	Participant / contact lists	Female attendees nominated by States are appropriately skilled / qualified to participate Application of gender quotas results in increased participation of appropriately skilled / qualified females (rather than merely increasing number of female participants)
	Number of TIP / SOM cases investigated and prosecuted in accordance with human rights obligations to victims, witnesses and perpetrators	Reports from beneficiary countries on official statistics Consultation with State stakeholders Mission reports Reports from human rights and other groups	Reports from beneficiary countries on official statistics Consultation with State stakeholders Mission reports Reports from human rights and other groups

Expected result	Human rights and gender INDICATOR	Source of information and Means of verification	Results / Targets
	Number of investigations and prosecutors of overall portion of all investigators and prosecutors to have received training on human rights based approaches to investigating and prosecuting TIP and SOM; proportion of female trainees among them	Mission reports Training evaluations Participant lists	Low turnover of personnel strengthens impact / sustainability of trainings Female participants sent to participate in trainings are appropriately skilled / qualified
	Proportion of law enforcement officers (male / female) to have received training on human rights implications use of detention for migrants in irregular situations; proportion of female trainees among them	Mission reports Training evaluations Participant lists	Training on human rights based and gender-sensitive approaches to detention does not inadvertently increase detention of migrants
	Proportion of persons arrested / detained (male / female) for alleged trafficking and smuggling crimes provided with legal representation (including through legal aid)	Case files / reports Consultations with stakeholders	Persons arrested are high-level actors; legal representation appointed have sufficient TIP / SOM expertise to provide sufficient defence
	Legal time limits for arrest or detention before being informed of reasons for arrest and detention, and being brought before court	Laws / policy setting time limits Case and court files / records Consultations with persons arrested / detained	Pressure to reduce time limits does not result in poor quality evidence-gathering

Expected result	Human rights and gender INDICATOR	Source of information and Means of verification	Results / Targets
	Proportion of officials formally investigated for abuse of power, complicity or other crime relevant to TIP / SOM; Proportion of formal investigations resulting in disciplinary action	Case files / reports Consultations with stakeholders	Powerful actors are targeted in abuse of power / complicity investigations (and low-level actors are not used as scapegoats)
	Number of smuggling of migrants sentences that are aggravated on the basis of circumstances provided for in article 6(3) of the Smuggling Protocol	Court records / media reports Consultations with stakeholders	Domestic legislation on smuggling of migrants accords with international definition
	Proportion of requests for legal assistance and free interpreters (male/female) being met in criminal proceedings	Court records / case files Stakeholder consultations	Interpreters sufficiently screened, certified or trained in TIP / SOM issues; recruitment process upholds integrity of criminal proceedings

4.3.4 Regional and trans-regional cooperation Indicators

Regional and trans-regional cooperation goal: Beneficiary countries contribute to strengthened regional and trans-regional cooperation related to trafficking in persons and smuggling of migrants.

HRBA / Gender goal: Strengthened regional and trans-regional cooperation strengthens human rights based and gender sensitive approaches to trafficking in persons and smuggling of migrants

Expected result	Human rights and gender INDICATOR	Source of information and Means of verification	Results / Targets
4. Regional and trans-regional cooperation goal Beneficiary countries contribute to strengthened regional and trans-regional cooperation related to trafficking in persons and smuggling of migrants			
4.1. Strengthened national capacity to cooperate at regional and trans-regional level in criminal matters related to TIP and SOM.	Number of regional and trans-regional cooperation agreements / initiatives on TIP and SOM that explicitly reflect human rights, gender equality and child protection issues	Recommendations and documents from regional and trans-regional meetings Cooperation agreements	Regional and trans-regional political relationships effectively facilitate cooperation efforts Cooperation agreements are implemented in practice
	Number of criminal justice practitioners (male / female) that demonstrate understanding of human rights, gender and child protection implications in international cooperation on TIP and SOM	Assessment reports Meeting reports Stakeholder consultations	Nominated participants are appropriately qualified and positioned to participate in trainings Low staff turnover facilitates skill retention
	Number of stakeholders trained to cooperate across borders on TIP and SOM in accordance with human rights, gender and child protection issues	Pre and post training evaluations Agendas and participant lists	Nominated participants are appropriately qualified or positioned to participate in trainings Low staff turnover facilitates skill retention

Expected result	Human rights and gender INDICATOR	Source of information and Means of verification	Results / Targets
	National human rights institutions participating in national coordination mechanisms on TIP and SOM; human rights institutions are accredited	Accreditation documentation Consultation with national human rights institutions	Human rights institutions have specialized TIP and SOM expertise
	Number of UN organizations, NGOs and civil society groups consulted in the design or regional or trans-regional cooperation agreements	Consultation with stakeholders Stakeholder meeting records	Views of less powerful / influential stakeholders given equal consideration to those of more powerful / influential stakeholders
	Number of human rights and gender specialized stakeholders included in regional and trans-regional cooperation agreements on TIP / SOM supported by UNODC	Cooperation agreements	Stakeholders included in cooperation agreements are active members, with sufficient capacity to be effective in promoting human rights and gender equality
	Collaborative relationships established with State actors, that UNODC staff / consultants actively engage to address human rights and gender equality dimensions of work	Cooperation agreements	Human rights and gender equality issues raised with collaborative partners, to positive effect.

4.3.5 Protection and assistance Indicators

Protection and assistance goal: Beneficiary countries improve the scope and quality of their protection response, including identification, referral and support for victims of trafficking, vulnerable smuggled migrants and other vulnerable migrants.

HRBA / Gender goal: Victims of trafficking, vulnerable smuggled migrants and others are protected and assisted in accordance with human rights and gender-based approaches.

Expected result	Human rights and gender INDICATOR	Source of information and Means of verification	Results / Targets
5. Protection and assistance Beneficiary countries improve the scope and quality of their protection response, including identification, referral and support for victims of trafficking, vulnerable smuggled migrants and other vulnerable migrants			
5.1. Governments and civil society partners in target countries have the skills and mechanisms to identify and screen both adult and child migrants for vulnerabilities, including trafficked victims, unaccompanied minors and smuggled migrants, and refer them to relevant service providers	Number of initiatives on identification, referral and assistance of victims of trafficking, smuggled migrants and other vulnerable migrants in line with human rights, gender equality and child protection standards	Government reports and consultations with state actors NGO reports and consultations with NGOs Mission reports Existence of national referral mechanisms in place	Rights of migrants in irregular situations recognized
	Number of State and non-state actors trained to identify and refer trafficked persons and smuggled migrants	List of participants Training material / curricula	Willingness of state and non-state actors to cooperate in training Nominated participants are appropriately qualified and positioned to participate in trainings Staff, consultants and others who deliver training have human rights, gender and child-protection expertise

Expected result	Human rights and gender INDICATOR	Source of information and Means of verification	Results / Targets
	Proportion of persons identified (men, women and children) as in need of protection and assistance effectively identified and referred through National Referral mechanism	National referral mechanism Guidelines and procedures in place to support identification of men, women and children	
	Percentage of training participants (male / female) who apply human rights, gender and child protection standards in their work on TIP and SOM	Post-training follow up survey / monitoring	Sufficient resources to adhere to standards Low staff turnover facilitates retention of knowledge
	National referral mechanisms in place apply to victims of trafficking and smuggled migration in need of protection, irrespective of nationality, gender or status	National referral mechanisms State and non-state reports and consultations	National referral mechanism applied in practice There are sufficient services available on which to establish an NRM
	Number of countries that have transnational referral mechanisms in place that apply to victims of trafficking and smuggled migration in need of protection irrespective of nationality, gender or status	Transnational referral mechanisms State and non-state reports and consultations	Transnational referral is not misused to carry out deportation, forced return, refoulement or extradition

Expected result	Human rights and gender INDICATOR	Source of information and Means of verification	Results / Targets
	Number of identified victims of trafficking in persons (male, female, adult, child) who are accommodated in shelters; information and consent-based procedures; existence of procedures to challenge accommodation in shelters	State and non-state reports and consultations including with shelters	Alternatives to closed-shelter systems
5.2. Expanded and improved implementation and monitoring of support service for victims of trafficking and migrants in need of protection, in line with international law and standards	Number of state and non-state stakeholders (male / female) trained to provide services to trafficked persons, smuggled migrants and persons accused of TIP and SOM in accordance with international law and standards	Participant lists Training material / curricula	Nominated participants are appropriately qualified and positioned to participate in trainings Staff, consultants and others who deliver training have human rights, gender and child-protection expertise
	Number of countries to adopt guidelines / SOPs for integrating human rights, gender and child protection considerations into protection mechanisms and referral frameworks relevant to victims of trafficking and smuggled migrants in need of protection	Guidelines and SOPs	Guidelines / SOPs are applied in practice

Expected result	Human rights and gender INDICATOR	Source of information and Means of verification	Results / Targets
	Number of trafficked and smuggled persons identified (male / female) and assisted by stakeholder beneficiaries of UNODC interventions	State and non-state actor reports and consultations Official government statistics	Persons identified and assisted wish to be identified and assisted
	Number of times national referral mechanisms have been deployed to assist and refer victims of trafficking and smuggled migrants	State and non-state actor reports and consultations Official government statistics	State and non-state actor reports and consultations Official government statistics
	Number / proportion of smuggled or trafficked persons detained on the basis of a court order / action; Number / proportion of habeas corpus and similar petitions filed and persons released from conditions amounting to arbitrary detention; Number of reported cases of arbitrary detention, including post-trial awaiting removal orders	Court orders / reports Country reports of Working Group on Arbitrary Detention, international organizations, NGOs and civil society organizations	Challenges to detention reflect that rights-holders have information about their rights and are equipped to challenge detention
	Number of registered / accredited / active NGOs (per 100,000 persons) involved in protecting human rights of trafficked or smuggled persons.	Government registration documentation Consultation with State and NGOs	Registration / accreditation programmes do not impede capacity of NGOs to engage on TIP and SOM

Expected result	Human rights and gender INDICATOR	Source of information and Means of verification	Results / Targets
	Level of engagement of (accredited) national human rights institutions in overseeing protection and assistance of smuggled migrants and trafficked persons	Consultations with national human rights institutions; Reports / communications of national human rights institutions	National human rights institutions have TIP and SOM expertise; Government accreditation programmes do not interfere with independence of human rights institution
	Proportion of received complaints of treatment by trafficked persons or smuggled migrants to be have been followed up by national human rights institution / ombud / other mechanism.	Complaints received by complaints mechanisms; Consultations with stakeholders including human rights institutions	Human rights institutions have sufficient capacity to address TIP and SOM issues TIP and SOM issues do not distract human rights institutions from higher human rights priorities
	Proportion of communications sent by Special Rapporteurs relevant to TIP and SOM to be effectively responded to by the Government	Government responses to Special Rapporteur communications	
5.3. Beneficiary countries develop frameworks for protection and assistance of children in the context of migration flows including trafficked victims, unaccompanied minors, children left behind, and child offenders	Number of guidelines for the assistance and protection of children who have been trafficked, smuggled, are witnesses or perpetrators to these crimes	Guidelines in place Reports and consultations with state and non-state actors, including child representatives among them	Rights of migrants in irregular situations are recognized; children who are not citizens receive protection on a par with those who are citizens Guidelines in place are applied in practice

Expected result	Human rights and gender INDICATOR	Source of information and Means of verification	Results / Targets
	Proportion of relevant State and non-State authorities trained to develop procedures and national referral systems that take into account child protection considerations	Training reports; pre-and post evaluations Participant lists and agendas Training content and curricula	State and non-State actors willing to participate in joint training. Low staff turnover facilitates skill retention. Nominated participants are appropriately qualified or positioned to participate in trainings. Staff, consultants and others who deliver training have human rights, gender and child-protection expertise.
	Number of procedures in place to protect and assist children who have been trafficked or smuggled, that explicitly uphold best practices in child-protection including non-detention of children	Procedures in place Reports and consultations with state and non-state actors Assessment and mission reports Evaluations and questionnaires	Specific protections in place for trafficked (or smuggled) children do not reduce their access to other child protection frameworks.
	Number of persons (male / female) registered / accredited to serve as guardians for children, per number of unaccompanied or separated minors / as an overall proportion of social workers	Lists of registered / accredited persons (male / female)	Registration / accreditation requires sufficient screening, qualification, training

Expected result	Human rights and gender INDICATOR	Source of information and Means of verification	Results / Targets
	<p>Number of procedures in place to protect and assist children who have been accused or convicted of trafficking or smuggling offences, that explicitly uphold the United Nations Standard Minimum Rules for the Administration of Juvenile Justice</p>	<p>Procedures in place Reports and consultations with state and non-state actors Assessment and mission reports Evaluations and questionnaires</p>	<p>Juvenile offenders protected in accordance with their rights.</p>