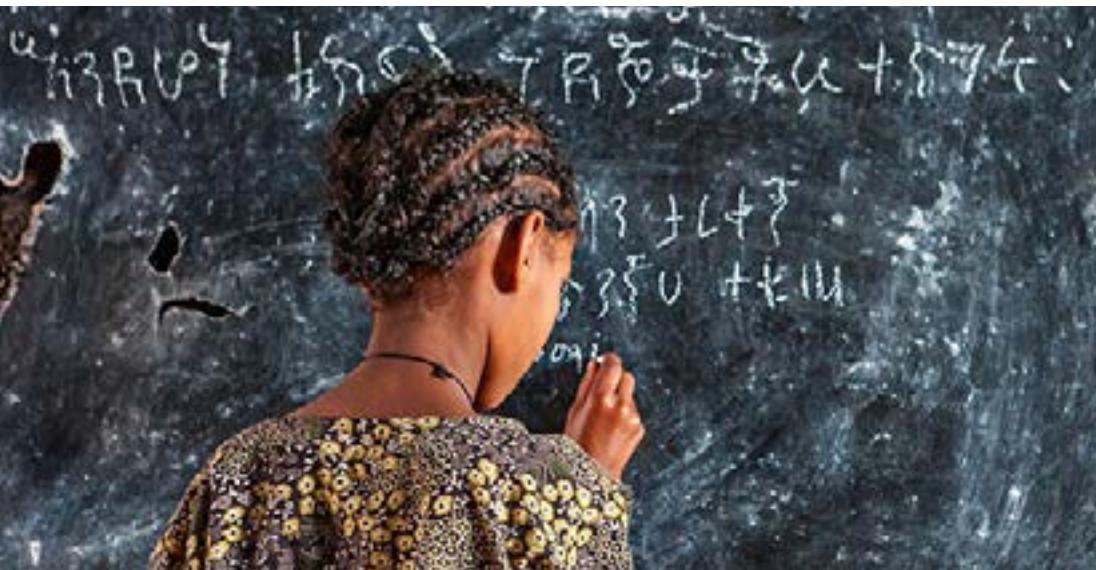


Part 4

TOOLS FOR MONITORING, EVALUATION AND LEARNING IN HUMAN RIGHTS AND GENDER EQUALITY

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4.1 Monitoring checklist

Monitoring happens throughout implementation to ensure that UNODC human trafficking and migrant smuggling interventions / programmes are delivered in a way that is consistent with human rights and gender equality principles and objectives. This effort extends from ensuring a participatory, non-discriminatory approach to delivery, through to transparency about progress and results. It also means ensuring that the partners that UNODC engage with have positive human rights records, and that procurement processes for goods and services are likewise human rights and gender literate and compliant⁸⁴. Efforts to ensure that human rights and gender-based approaches are taken throughout implementation can be supported by the design and application of measurable indicators [Tool 4.3](#) to monitor progress.

Such indicators may also be instructive in evaluations.

Partners including OHCHR, UN Women and non-government organizations should be encouraged to participate in the monitoring of human rights and gender equality outcomes of interventions of both State and non-state actors. Measures to support monitoring at the national level include ensuring that legislators, policymakers, service-providers, law enforcers, prosecutors and the judiciary also monitor their actions and activities from a human rights-based perspective. Some countries have established independent human rights institutions, such as human rights commissions, that conduct inquiries into national situations and advise governments of actions that fall short of international obligations. UNODC has a role to play in equipping those institutions to also consider responses to both trafficking in persons and smuggling of migrants.

⁸⁴ See: United Nations Procurement Manual, Department of Operational Support, Office of Supply Chain Management Procurement Division (30 September 2019)

PROGRAMME PLANNING AND DESIGN

Question	Yes	No	In part	If yes or in part, how will this be addressed?
Framework				
Have relevant international human rights instruments that the State has ratified been identified? 2.2				
Has national compliance of international human rights obligations been identified? 2.3				
Evidence base				
Have human rights and gender equality reports by UN organizations, NGOs, civil society groups or others been consulted in strategy development? Annex 3 & 4				
Has relevant information on how gender influences peoples' experiences, knowledge and involvement in human trafficking and smuggling of migrants and criminal justice system response (e.g. for complainants / victims, witnesses and accused persons) been identified, collected and reflected in planning?				
Has background data / situational analysis information been disaggregated by age, sex, gender, race, ethnicity, language, religion, nationality, disability, marital, birth or other status? 3.4				
Is the project / activity based on data that has been gathered in a gender-sensitive way e.g. focus groups of both men and women, separate women focus groups? 1.3, 3.4				
Risk identification and management				
Have human rights-based and gender equality objectives and indicators been specifically included in the strategy development? 4.3.1				
Have human rights risks of the planned intervention / programme been identified and a mitigation plan been developed and put in place?				
Have the implications of conflict / humanitarian crises been considered and effort made to ensure the intervention / programme is resilient to changes?				

PROGRAMME PLANNING AND DESIGN				
Question	Yes	No	In part	If yes or in part, how will this be addressed?
Consultation and participation				
Have beneficiaries of all genders including those from relevant marginalized groups been consulted in the design of the intervention / programme in a participatory and non-discriminatory way?				
Have partners of all genders been able to freely participate in strategy development and planning?				
Personnel / human resources				
Have human rights and gender specialists with expertise in trafficking in persons and smuggling of migrants, been consulted throughout the process of planning and strategy development?				
Do UNODC TIP and SOM focal points have competencies in human rights-based approaches and gender equality, and if not, received training, or have specialists with relevant expertise been hired to fill capacity gaps?				
Do UNODC staff / consultants who will engage directly with vulnerable populations have sufficient training to do so in accordance with respect for human rights and gender sensitivity?				
Have UNODC programme / project staff / consultants been briefed on human rights and gender issues?				
Budgeting and procurement				
Do project budgets allow for human rights and gender capacity in planning for staff recruitment and training, and have donors been approached to support these efforts?				
Do procurement processes for the project / activity comply with the United Nations Procurement Manual, including by ensuring that goods and services are only procured from providers who respect human rights and gender-sensitive considerations of their employees?				

PROGRAMME PLANNING AND DESIGN

Question	Yes	No	In part	If yes or in part, how will this be addressed?
Programmatic integration				
Does the planned intervention / programme advance human rights protections for marginalized groups?				
Have human rights and gender-related linkages with other projects / programmes been identified and incorporated into the strategy / plan?				
Have human rights and gender-related linkages with humanitarian work been identified and incorporated into the strategy / plan in conflict-affected areas?				
Sustainable capacity building				
Does the planned project / programme, contribute to the capacity of national counterparts to promote full compliance with their international human rights obligations?				
Is a plan in place to ensure that national counterparts can take ownership of programmes, and maintain a human rights-based approach and without compromising the human rights of stakeholders?				

4.2 Evaluation checklist

In relation to **evaluation** of activities that have been implemented, the UNODC Evaluation Handbook emphasizes that all UNODC **evaluations** must consider human rights and gender factors, and all evaluation processes, products and deliverables must respond to human rights and gender quality standards⁸⁵. That Handbook states: “It is mandatory for the United Nations entities to consider human rights and gender equality principles and standards in the design, implementation and evaluation processes of all interventions, regardless of whether these issues are the focus of the intervention itself⁸⁶.”

UNODC’s guidance note on gender mainstreaming offers insight into integrating gender criteria into evaluations⁸⁷. **Gender-responsive evaluations** are assessments that provide “credible and reliable evidence-based information about the extent to which an intervention has resulted in progress (or lack thereof) towards intended and / or unintended results regarding gender equality and the empowerment of women⁸⁸.” They must be sensitive to the diverse forms of discrimination that people of all genders face, and require analysis of gender-related strategy, processes and practices used by an intervention.

In summary, principles that underline UNODC evaluations include equality, inclusion, participation, non-discrimination and fair power relations, both in respect of what the evaluation examines, and how the evaluation is carried out⁸⁹.

In relation to *what the evaluation entails*, issues that should be considered include:

⁸⁵ UNODC Evaluation Handbook (2017, UNODC), 4.

⁸⁶ UNODC Evaluation Handbook (2017, UNODC), 30

⁸⁷ Mainstreaming Human Rights and Gender Equality (2013, UNODC), 40-41

⁸⁸ How to Manage Gender-Responsive Evaluation: Evaluation Handbook (UN Women, 2015) 4

⁸⁹ UNODC Evaluation Handbook (2017, UNODC), 123

- The extent to which human rights and gender equality were integrated (mainstreamed) into the design, implementation, monitoring and evaluation
- Progress or lack of progress towards intended human rights and gender equality results
- The degree to which gender relations have changed as a result of the intervention. The extent to which the intervention responded to and affected the human rights of different stakeholders, including women, men, boys, girls, sexual minorities, people with disabilities, etc.

In relation to *how the evaluation is carried out*, consideration should be given to:

The involvement of a diversity of stakeholders involved in the evaluation process (potentially including stakeholders from beneficiaries, partner organizations, UNODC staff, consultants and government agencies)

- Involvement of external stakeholders with expertise in human rights and gender (potentially including civil society organizations, international organizations, research institutions, human rights and women's organizations)
- Integrating human rights and gender equality into the scope of analysis, criteria and key questions used for the evaluation
- Using participatory approaches, methods and tools
- Reflecting human rights and gender-equality analysis in evaluation findings, conclusions and recommendations⁹⁰.

Tangible examples of efforts undertaken by UNODC to mainstream human rights and gender equality into evaluation include:

- Hiring evaluation staff and consultants

⁹⁰ UNODC Evaluation Handbook (2017, UNODC), 124

with human rights and gender expertise to support evaluation processes, including by developing guidelines and tools

- Increasing understanding among internal and external stakeholders about human rights and gender, including by ensuring evaluation teams receive relevant guidance as part of their key reading material
- Including human rights and gender experts on evaluation teams conducting in-depth evaluations to further strengthen and facilitate organizational learning, and to the extent possible, ensuring representation of both genders on evaluation teams
- Ensuring training to enhance evaluation function expertise and capacity for human rights and gender responsive evaluation

- Having persons involved in evaluation, actively participate in and contribute to the United Nations Evaluation Group (UNEG) working group on human rights and gender equality⁹¹.

⁹¹ UNODC Evaluation Handbook (2017, UNODC), 35-36

Table: Reflecting human rights and gender quality into evaluation criteria

UNODC Evaluation Criteria	Human Rights	Gender Equality
Relevance: The extent to which the intervention conforms to the needs of participants and other stakeholders, complements existing initiatives, and aligns with organizational mandates and policies.	The extent to which the intervention is guided by human rights standards and principles following a human rights-based approach and addressing issues such as non-discrimination, participation, accountability and social transformation	The extent to which the intervention integrates a gender perspective (gender mainstreaming) and addresses issues such as power relations and social transformation, equal inclusion and participation, and the empowerment of women and marginalized groups.

	Human Rights	Gender Equality
Effectiveness: The extent to which intended outcome-level results are being achieved	Extent to which result framework was defined, monitored and achieved by human rights, and human rights were incorporated into design, implementation and evaluation.	Extent to which results framework was defined, monitored and achieved by gender equality, and gender equality was incorporated into design, implementation and evaluation.
Efficiency: The extent to which resources and inputs are managed and used in an optimal way.	Analysis of costs / benefits of integrating human rights into interventions on short, medium and long-term basis.	Analysis of costs / benefits of integrating gender equality into interventions on short, medium and long-term basis
Sustainability: The degree to which processes started and results obtained are likely to remain in place after intervention completion	Extent to which an intervention has advanced long-term respect, protection and fulfilment of human rights, including through institutional, attitudinal and behavioural change.	Extent to which the intervention has advanced long-term pursuit and fulfilment of gender equality, including through institutional, attitudinal and behavioural change.
Impact: The lasting changes—positive and negative, intended and unintended—arising from the intervention.	Actual, lasting realization of human rights by rights-holders and capacity of duty-bearers to respect, protect and fulfil rights.	Actual, lasting realization of gender equality among men, women, boys and girls, including access to and use of resources, opportunities, power etc.
Cooperation and partnerships: The cooperation that results and the partnerships that have been cultivated from the intervention.	Cooperation and partnerships: The cooperation that results and the partnerships that have been cultivated from the intervention.	The extent to which cooperation and partnerships developed / strengthened by the intervention reflect and advance gender equality.

EVALUATION

Question	Yes	No	In part	If yes or in part, how will this be addressed?
Have quantitative and qualitative evaluation indicators been designed to ensure data on human rights and gender equality will be collected?				
Are human rights and gender equality integrated in the scope of analysis for evaluating the intervention?				
Have human rights and gender equality been integrated into evaluation criteria, with questions that specifically address how both have been integrated into the design, planning and implementation of the intervention, and the results achieved?				
Do evaluation mission staff / consultants have human rights and gender equality expertise, and have they been briefed on relevant human rights and gender issues?				
Do evaluation methodologies make use of sex and gender-disaggregated data?				
Are conflict / crises responses monitored for their human rights impact on trafficking and smuggling programmes?				
Do programme beneficiaries know how to access programme evaluations?				
Do evaluation findings, conclusions and recommendations reflect an human rights based and gender responsive analysis, outlining gaps and successes?				
Have project staff reviewed evaluation reports to ensure human rights and gender based perspectives are reflected, including to reflect gaps and successes?				
Have human rights and gender equality recommendations been developed on the basis of human rights and gender responsive analysis? (See table below)				

EVALUATION OF HUMAN RIGHTS AND GENDER EQUALITY RECOMMENDATIONS				
Question	Yes	No	In part	If yes or in part, how will this be addressed?
In relation to human rights and gender equality recommendations developed...				
Are they relevant to the object and purpose of the evaluations?				
Were they developed in consultation with stakeholders?				
Are they supported by evidence and conclusions				
Do they clearly identify target group(s) for each (e.g. UNODC, state, non-state actors)				
Are they clearly stated with priorities for each action				
Are they actionable and reflect an understanding of UNODC follow-up constraints				

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
3.2. Strengthened national capacity to provide criminal justice responses to trafficking in human beings and / or migrant smuggling	<p>Training materials specifically refer to relevant local laws and procedures</p> <p>Training is tailored to the specific TIP/SOM patterns found in the country, including conflict settings</p> <p>Training is aligned to specific standards agreed with national / local counterpart institutions</p> <p>Curriculum identifies and addresses potential national / local barriers to implementation of human rights, gender sensitive and child-friendly process.</p>	<p>Training curricula</p> <p>Agreements entered into with national training academies</p>	<p>Training curricula tailored to local context and capacity</p> <p>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</p> <p>Workshop agendas</p>	<p>Nominated participants are appropriately qualified or positioned to participate in trainings</p> <p>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>