



United Nations Inter-Agency Project on Human Trafficking (UNIAP)

TERMS OF REFERENCE

Title:	Evaluation Specialist
Project:	Evaluation of United Nations Inter-Agency Project on Human Trafficking In the Greater Mekong Sub-region (UNIAP) - Phase III (2007-2011)
Type of Contract:	Individual Contract
Duration :	80 working days over a six-month period during August 2011 – January 2012
Duty Station:	Home-based with travel to Greater Mekong Sub-region

1. Background and Context

The United Nations Inter-Agency Project on Human Trafficking in the Greater-Mekong Sub-region (UNIAP) was established in 2000 to allow UN agencies to promote a coordinated approach and response to trafficking with stakeholders involved in fighting it, supported by improved information on the subject and the efficacy of responses. Phase I (2000-2003) promoted critical analysis, built linkages between agencies and supported small-scale pilot initiatives to address emerging issues. Phase II (2003-2006), originally seen as a consolidation phase, supported the development of a sub-regional Memorandum of Understanding (MoU) between the governments of the six Greater Mekong Sub-region (GMS) states (Cambodia, China, Lao PDR, Myanmar, Thailand and Vietnam), accompanied by a Sub-regional Plan of Action (SPA I) to operationalise the agreement. This process, known as the Coordinated Mekong Ministerial Initiative against Trafficking (COMMIT, to which UNIAP functions as the Secretariat), provides a sub-regional institutional framework for counter-trafficking initiatives. Phase III (originally for the period of January 2007 to November 2009) aims to further consolidate and institutionalise existing initiatives, complemented by a “research and development” role. According to the Phase III project document, UNIAP has the following four objectives:

- **Objective 1: Services to Governments.** To support Governments in the institutionalization of effective multi-sectoral approaches to combat trafficking.
- **Objective 2: Services to UN Partners.** To maximize the UN’s contribution to the overall anti-trafficking response including the COMMIT process.
- **Objective 3: Services to the anti-trafficking sector in general including donors.** To facilitate optimal allocation and targeting of anti-trafficking resources.
- **Objective 4: Special Projects.** To continue to play a catalytic role in the anti-trafficking response by identifying and supporting special projects to address new and emerging issues and opportunities.

The Phase III cycle of the project was to end in November 2009. The Project Management Board (PMB) first decided on 6 June 2008 to extend it until November 2010. On 31 May 2010 the PMB agreed on an additional one-year extension, until the end of 2011. It was also agreed to carry out a final evaluation of the project during this additional year. The PMB later (15 December 2010) decided to further extend the project until the end of 2013.

UNIAP is managed from a Project Management Office in Bangkok, with Country Offices in the capitals of the six GMS states. An estimated funding requirement for Phase III of UNIAP and its further extensions is US\$15 million of which US\$12.9 million has been committed to date by some 15 different donors, whose contributions range from US\$2,300 to US\$2.9 million in size. US\$2.1 million thus remains to be raised for the Project.

A mid-term evaluation was carried out in 2009 with the stated objective to “systematically assess how effectively the four Phase III objectives are being fulfilled and to offer concrete recommendations, where appropriate, for improving Project performance”. The evaluation provided a number of recommendations in relation to project management, project governance, communication, project objectives, gender and human rights.

2. Evaluation purpose

The purpose of this evaluation is two-fold:

1. Building on the mid-term evaluation, it will provide a solid assessment of the project’s relevance, effectiveness, efficiency, impact and the likely sustainability of benefits.
2. The evaluation will also provide a series of recommendations and proposals for improving project design, governance and management structures, and strategic programme approaches in order to inform decisions concerning the future course of action.

The primary users of the evaluation will be the PMB and the six member countries of the COMMIT process for which UNIAP has been functioning as the Secretariat.

3. Evaluation scope and objectives

1) Timeframe

The emphasis of the evaluation will be on the current Phase III (2007-2011). However, the evaluation will take into consideration changes in the context as well as key milestones in the history of the entire project period to date. It will validate the outcomes of the previous phases as reported in the final evaluations as well as the findings of assessments and reviews that have been undertaken to date.

2) Geographical coverage

The evaluation will cover all six countries of this regional project and reach out to all principal stakeholders, i.e. six governments of the GMS, relevant UN agencies (including RC offices in each country of implementation), donors, CSOs and beneficiaries, and UNIAP regional and country offices.

3) Substantive scope

The evaluation will analyze the relevance, effectiveness, efficiency, impact and sustainability of all four main components of the project (“objectives” mentioned in p.1) in terms of results achieved against objectives, ownership of stakeholders, “client satisfaction”, and sustainability of the concerned actions/functions, both financial and organizational. It should consider the inter-agency nature of the project, exploring the extent to which it has allowed the UN and other parties to work in a more coordinated manner with partners, develop synergies in their counter trafficking response, how this has proved possible to achieve in practice, and the efficacy of the model.

The evaluation should make an assessment of the extent to which the UNIAP project has led to tangible improvements in the prevention of and response to trafficking in the region and the corresponding impact on victim rescue and prosecution of offenders, and comment on areas where such improvements have not been achieved. It will also consider the overall effectiveness of the governance and management structure and communication – both internal and external. In addition, the evaluation will also allow stakeholders to consider whether the objectives of the project remain appropriate ten years after the project inception.

4) Specific objectives

In line with the overall purpose of this evaluation, its specific objectives will be as follows.

- Determine the extent to which results stated in the project document were achieved, including progress on implementation of recommendations from previous evaluations.
- Assess level of ownership of relevant stakeholders of the project as a whole and its individual components.
- Analyze sustainability of the project’s actions and key functions in financial, organizational, and expertise terms.
- Assess organizational, governance, management and communication structures and their efficiency and effectiveness in meeting the objectives of the project (as a whole and in its four components).

- Indicate relevance of the project in relation to the stated goal of aiming “*to make a tangible and sustained impact on human trafficking in the GMS*” and comment on the extent to which those actions have had such an impact.
- Highlight areas where significant progress has not been possible, noting the reasons for lack of progress and lessons learned.
- Assess how effectively the project strengthens the UN’s mandated role and comparative advantage in the area and complements individual agencies’ work at the national and regional level.
- Based on these findings, provide recommendations and proposals for improving strategic programme approaches of the project as well as its design and governance, management and communication structures in order to inform decisions concerning the future of the project.

4. Evaluation questions

The evaluation should be able to answer the following questions:

1) Relevance

- 1.1 Are the project objectives and expected results suited to the needs of GMS countries and the GMS region overall?
- 1.2 Do the project approach and activities reflect current international and regional standards with regards to human trafficking, including those specific to men, women and children?
- 1.3 How are “special projects” identified? What criteria are utilized for their selection?

2) Effectiveness

- 2.1 What direct and indirect changes have occurred due to the project?
- 2.2 To what extent did the design and implementation of project activities contribute towards the results achieved?
- 2.3 What were the major factors that influenced the achievement or non-achievement of the objectives/results?
- 2.4 Are there unintended results?
- 2.5 What mechanisms are in place in order to ensure the project’s performance and accountability including both programmatic and financial accountabilities, and how effective are they?
- 2.6 Are the appropriate project governance, management and communication structures in place to achieve the expected results?

- 2.7 Does the project coordinate effectively with the project partners and beneficiaries (GMS governments, UN, CSOs)? Are synergies effectively built?
- 2.8 To what extent are the project partners and beneficiaries receiving the services they need?
- 2.9 How satisfied are the project partners and beneficiaries with the services they received?
- 2.10 To what extent is the project adding value to existing anti-trafficking programmes and linkages?
- 2.11 To what extent have the project staff contributed towards the delivery of the expected results?
- 2.12 What effect did the region-based approach of the project have on the project as a whole versus implementing the components on an individual country-by-country approach?

3) Efficiency

- 3.1 Are resources used efficiently towards meeting the project objectives?
- 3.2 Does the resource allocation between support to the COMMIT process and other activities reflect the agreed 70/30 principle?
- 3.3 Were the project objectives achieved on time?
- 3.4 Was the project implemented in the most time- and cost-efficient manner compared to alternatives?

4) Impact

- How have the capacities of the project partners and beneficiaries changed as a result of the project?
- What tangible changes in the situation of trafficking have been achieved as a direct result of the project?
- How has inter-agency coordination and collaboration changed as a result of the project interventions?
- What significant changes have the activities achieved for the project partners and beneficiaries?
- Can the results achieved be attributed to the project intervention?

5) Sustainability

- What is the level of ownership of the concerned actors (GMS governments, UN, CSOs) to the project, including with respect to project activities, project priorities, strategic developments and budget allocation?
- To what extent has the project contributed to the generation of regional and national capacity, such that it will be sustainable if donor funding ceases?
- What were the major factors that have influenced the achievement or non-achievement of sustainability of the project interventions?
- What structures are now in place to ensure the long-term sustainability of regional cooperative efforts in counter-trafficking?

5. Evaluation process and methods

The evaluation will be carried out using a combined approach including participatory methods. Methodology will be designed by an evaluation specialist in consultation with the evaluation management group.

The evaluation specialist is expected to collect data at both the regional and the country levels, studying information from secondary sources and produce new information. Data collection methodology will include:

- 1) Documents desk review (see **Annex 5** for a list of documents to be considered)
- 2) Questionnaires and/or individual semi-structured interviews with key stakeholders, i.e. UN agencies regional and country representatives; six governments' representatives (persons representing the governments at the COMMIT process meetings); international NGO partners to the project (see **Annex 4**); and donors to UNIAP's current phase.

- 3) Focus group discussion (according to stakeholder groups and geographical focuses) to be considered. This should include civil society organisations at the country level working with survivors of trafficking, representatives of the partners to the project at the working level (governments, UN agencies, international NGOs).
- 4) Multi-stakeholders workshops to discuss and validate findings

Qualitative assessment should be backed up by statistical analysis of questionnaires' responses. The following timeframe and steps are planned:

Activities		Dec 10	June	July	August	Sept	Oct	Nov	Dec	Jan
1.	TOR drafted and consensus reached with all stakeholders									
2.	Selection of consultants and hiring process									
3.	Project documents desk review – home-based – 6 working days									
4.	Development of evaluation methodology and preparation of evaluation inception report – home-based / 15 working days									
5.	Methodology review by Evaluation Management Group and feedback provided									
6.	Consultation of stakeholders at regional level (Bangkok) – 5 working days									
7.	Field visit in the first three GSM countries (1 week each) – 18 working days									
8.	Data classification, systematization, and analysis									
9.	Elaboration of mid-term findings – 2 working days									
10.	Presentation of mid-term findings to the PMB and feedback provided – 5 working days									
11.	Field visit in the second three GSM countries (1 week each) – 18 working days									
12.	Drafting of Report – could be home-based / 12 working days									
13.	Submission of first draft and review by PMB and stakeholders									
14.	Workshop to present draft findings to all stakeholders – 5 working days									
15.	Finalization of Evaluation report									

* The Evaluation specialist is expected to commit for 80 working days over a six-month period (tentatively between August 2011 through January 2012).

6. Evaluation products (deliverables)

The evaluation specialist will deliver the following:

- a. Evaluation inception report—should detail her/his understanding of what is to be evaluated and why, showing how each evaluation question will be answered by way of: proposed methods; proposed sources of data; and data collection procedures. The inception report should include a proposed schedule of tasks, activities and deliverables. The inception report should also identify the site visit(s) in each country and it should elaborate on the selection criteria for those

sites selected.

- b. Mid-term findings – initial findings to be shared and discussed with the PMB in a PowerPoint format.
- c. Draft evaluation report – for distribution to all project’s counterparts for comments.
- d. Final evaluation report

7. Management arrangements

The Principal Project Representative (a role played by the UN Resident Coordinator for Thailand) will be accountable to ensure overall implementation and quality of the evaluation process. The Evaluation Management Group (see below) will facilitate the overall process and provide specific guidance and advice to the evaluator through the Chief of the UN Resident Coordinator’s Office for Thailand.

The evaluation specialist will have the following main roles and responsibilities.

Who: Actors and Accountability	What: Roles and Responsibilities
Evaluation specialist	<ul style="list-style-type: none"> ▪ Ensure the overall implementation of the evaluation TOR. ▪ Develop methodology for the evaluation and detailed work plan. ▪ Travel to the six GMS countries to conduct interviews and focus groups discussions. ▪ Organise and conduct as appropriate multi-stakeholder workshops and other events. ▪ Elaborate findings and draft the evaluation report. ▪ Present outcomes of the evaluation to the PMB and other stakeholders and provide regular briefing to the Evaluation Management Group.

The evaluation specialist will interact with the following actors and bodies.

Who: Actors and Accountability	What: Roles and Responsibilities
Project Principal Representative (UN Resident Coordinator in Thailand)	<ul style="list-style-type: none"> ▪ Ensure the independence of the evaluation exercise and quality of evaluations. ▪ Prepare a management response to all evaluations and ensure the implementation of committed actions in the management response.
Project Management Board plus the other 4 GMS countries (not represented in the Board)	<ul style="list-style-type: none"> ▪ Represent the interests of stakeholders involved in the project. ▪ Serve as a “sounding board” for the evaluation process. ▪ Provide inputs to the review of the evaluation methodology and draft report.
Evaluation Management	<ul style="list-style-type: none"> ▪ Act as evaluation manager to manage the overall evaluation

Who: Actors and Accountability	What: Roles and Responsibilities
Group consisting of the Regional Advisor on Human Trafficking of UNODC, a representative of UNEDAP and chaired by the Chief of the UN Resident Coordinator Office	<p>process.</p> <ul style="list-style-type: none"> ▪ Prepare TOR for the evaluation ensuring participation of stakeholders. ▪ Facilitate recruitment and selection of the evaluation specialist. ▪ Facilitate communication between the evaluation specialist and senior management, project staff and PMB. ▪ Monitor evaluation implementation and provide guidance to the evaluation specialist. ▪ Report to PMB/PPR any significant deviation from the evaluation plan. ▪ Facilitate and ensure knowledge of evaluation mid-term and final findings. ▪ Facilitate preparation of management response to the evaluation and implementation of the recommendations.
UNIAP Regional Project Manager and Project Staff (both at Regional Project Management Office and Country Offices)	<ul style="list-style-type: none"> ▪ Facilitate the work of the evaluation specialist by providing relevant information, documents and contacts. ▪ Provide a staff who will act as an Administrative Assistant to the evaluation specialist (see below). ▪ Facilitate the work of the evaluation specialists in her/his country visits by providing necessary administrative and logistical support including arranging an interpreter. ▪ Facilitate and ensure the preparation and implementation of relevant project management responses. ▪ Facilitate and ensure knowledge sharing and use of evaluative information.

The evaluation specialist will work with help from an Administrative Assistant who will be assigned by the project to provide necessary administrative and communication support as follows. The UNIAP's Project Management Office in Bangkok will identify a staff who will perform this function.

Who: Actors and Accountability	What: Roles and Responsibilities
Administrative Assistant	<ul style="list-style-type: none"> ▪ Facilitate implementation of the evaluation by the evaluation specialist by providing her/him administrative and communication support in organizing meetings, country visits, workshops and other arrangements (eg. translation services in respective countries if needed) in coordination with UNDP and UNIAP project staff at the country level. ▪ Assist the organization and classification of the information collected. ▪ Any other duty as requested by the evaluation specialist.

The evaluation specialist will be provided with office space at the UNDP Country Office for Thailand, which is the fiduciary for UNIAP as a project. The UNDP will also facilitate other logistical

arrangements for the evaluation specialist to travel to the concerned countries. UNIAP's project staff at the country level will be responsible for administrative and logistical arrangements in loco and setting up requested meetings and workshops.

Methodology, mid-term findings and draft report will be reviewed by the Evaluation Management Group through the Chief of the UN Resident Coordinator Office.

8. Evaluation specialist and required competencies

The following will be the expected qualification, skills and experiences of the evaluation specialist.

Education

- Advanced university degree in social science, public administration, management or related fields.

Skills

- Excellent inter-personal and communication skills.
- Excellent written and spoken English and presentational skills.
- Extensive knowledge of qualitative and quantitative evaluation methods.
- Knowledge of the UN system a strong asset.

Professional experience

- At least 10 years of experience in evaluation of social development programmes.
- Experience in multi-country programme evaluations, possibly in the development field and with international organizations (at least eight evaluations)

Important: The evaluation specialist needs to explicitly declare her/his independence from any organizations/individuals that have been involved in designing, executing or advising any aspect of UNIAP. Selection process will ensure that the evaluation specialist does not have any relationship with UNIAP and its related personnel in the past, present or in the foreseeable future.

9. Evaluation ethics

Evaluations in the UN are to be conducted in accordance with the principles outlined in both UNEG Norms and Standards for Evaluation in the UN System and by the UNEG Ethical Guidelines for Evaluation. These documents will be attached to the contract. The evaluation specialist is required to read the Norms and Standards and the guidelines and ensure a strict adherence to it, including establishing protocols to safeguard confidentiality of information obtained during the evaluation.

Annexes to the Terms of Reference

1. UNIAP Phase III project document (including results framework; to be provided by the UNIAP's Project Management Office in Bangkok)
2. UNIAP Phase III annual work plans and budgets
3. Monitoring plans and indicators, including project progress reports (to be provided by the UNIAP's Project Management Office in Bangkok)
4. List of key stakeholders and partners (to be provided by the UNIAP's Project Management Office in Bangkok)
5. Documents to be consulted:
 - a. COMMIT– *Memorandum of Understanding and Sub-regional Plan of Actions* (to be provided by the UNIAP's Project Management Office in Bangkok)
 - b. UN agencies programmes to combat human trafficking (a list to be provided by the UNIAP's Project Management Office in Bangkok)
 - c. CSOs programmes at regional and national level (a list to be provided by the UNIAP's Project Management Office in Bangkok)
 - d. Partnership arrangements/Memorandum of Understanding (to be provided by UNDP)
 - e. Project funding agreements with donors (to be provided by UNDP)
 - f. Previous evaluations and assessments (to be provided by UNDP)
 - g. UNDP Handbook on Planning, Monitoring and Evaluating for Development Results (to be provided by UNDP)
6. Evaluation matrix format (to be used by the evaluation specialist in the inception report)

Relevant evaluation criteria	Key Questions	Specific Sub-Questions	Data Sources	Data collection Methods / Tools	Indicator s/ Success Standard	Methods for Data Analysis

