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Monitoring and Evaluation Handbook for National Action Plans against Trafficking in Human Beings

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MONITORING AND EVALUATION HANDBOOK

FOR NATIONAL ACTION PLANS AGAINST TRAFFICKING IN HUMAN BEINGS

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ABBREVIATIONS

CoE	Council of Europe
DAC	Development Assistance Committee
EU	European Union
CRC	Convention on the Rights of the Child
FMIA	Federal Ministry of the Interior of Austria
ICMPD	International Centre for Migration Policy Development
ILO	International Labour Organization
IOM	International Organization for Migration
M&E	Monitoring and Evaluation
MoU	Memorandum of Understanding
NAP	National Action Plan
NGO	Non-Governmental Organization
NRM	National Referral Mechanism
OECD	Organisation for Economic Co-operation and Development
OSCE	Organization for Security and Co-operation in Europe
RBM	Results-Based Management
THB	Trafficking in Human Beings
TIP	Trafficking in Persons
ToR	Terms of Reference
UN	United Nations
UNDP	United Nations Development Programme
UNIAP	United Nations Inter-Agency Project on Human Trafficking
UNODC	United Nations Office on Drugs and Crime
WHO	World Health Organization

INTRODUCTION

The Monitoring and Evaluation Handbook for National Action Plans against Trafficking in Human Beings (M&E Handbook) has been elaborated in the framework of the project "Strengthening of Comprehensive Anti-trafficking Responses in Armenia, Azerbaijan, and Georgia" implemented by the International Labour Organization (ILO) in partnership with the International Centre for Migration Policy Development (ICMPD), the International Organization for Migration (IOM) and the Organization for Security and Cooperation in Europe (OSCE). The project was financially supported by the European Union and the Dutch Ministry of Foreign Affairs.

The M&E Handbook is meant to be used as a practical tool complementing the *Guidelines for the Development and Implementation of a Comprehensive National Anti-Trafficking Response* developed by ICMPD in 2006.

Following the principles of results-based management, the handbook provides easy-to-follow guidelines on how to monitor, review, evaluate and report on national action plans against trafficking in human beings. More specifically, the handbook builds on sections C.1.5. and D.1.5. of the *Guidelines for the Development and Implementation of a Comprehensive National Anti-Trafficking Response* and describes in detail how, when and by whom effective review, monitoring and evaluation should be carried out.

The handbook is fully in line with the latest international and European standards and takes national good practices into consideration. In addition, it promotes the concepts of governmental ownership, civil society participation and a multi-disciplinary approach as a prerequisite for a sustainable and comprehensive national anti-trafficking response. The recommended steps and measures contained in this M&E Handbook are meant to be adapted to country-specific structures and needs; thus, this document can be used by a wide range of anti-trafficking actors regardless of the geographical area.

HOW TO USE THIS HANDBOOK

This handbook is meant to be a guide for everybody involved in a national anti-trafficking response, especially for those stakeholders involved in the institution or structure mainly responsible for coordination of the implementation of the strategy and national action plan (NAP) fighting trafficking in human beings (THB).

The handbook outlines the most important steps and issues to be considered in setting up effective structures and procedures for results-based monitoring, review and evaluation of national action plans to combat trafficking in human beings. Because specific needs and structures available for the fight against trafficking in human beings vary significantly across countries, relevant stakeholders using this handbook will have to adapt the contents described to their own context when setting up their system for monitoring, review and evaluation.

Besides definitions of the relevant terms, the handbook briefly introduces standards and guiding principles in the fight against trafficking in human beings. It outlines what monitoring is about, explains the differences of monitoring, review and evaluation, and introduces the guiding principles of results-based management and results-based monitoring.

The different phases in the process of monitoring of the national action plans are afterwards introduced with explanations of what needs to be achieved and how. The roles of the relevant stakeholders involved are defined as are preliminary timelines for each phase. Guiding questions and key actions are formulated at the end of each phase herewith offering a checklist of issues that need to be discussed, checked and adhered to. The section, therefore, does not only offer support for anybody involved in setting up a monitoring, review and evaluation system for a national action

plan in any given country but can, with due adaptation to the national context, also be used to revise existing efforts and systems by offering insights on how to possibly improve, what to revise and what other important issues to consider in the process.

Separate boxes throughout the handbook highlight specific topics, being classified as background and specific tools to be applied and/or used in the process.

The information presented in this handbook will enable the relevant stakeholders in a country fighting against trafficking in human beings to develop an effective system for measuring progress and steering the implementation of their National Action Plan. Since monitoring in general is not a static but rather a rolling process, it offers the opportunity to improve elements of the plan while they are implemented.

The handbook follows the subsequent structure:

Part I	Defines the relevant terms for this handbook.
Part II	Provides an overview of standards and guiding principles in the area of trafficking in human beings.
Part III	Introduces standards and guiding principles of results-based monitoring and management.
Part IV	Defines the strategic and operational basis for the national anti-trafficking response.
Part V	Divides the monitoring process of the national action plans into different phases, introducing what has to be done, how, when and by whom.
Part VI	Introduces evaluation as part of the monitoring system.
Part VII	Provides model templates for monitoring reports.

I

DEFINITION OF TERMS

I

DEFINITION OF TERMS

TRAFFICKING IN HUMAN BEINGS (THB) / TRAFFICKING IN PERSONS (TIP)

Trafficking in human beings or trafficking in persons is internationally defined as "the recruitment, transportation, transfer, harbouring or receipt of persons, by means of the threat or use of force or other forms of coercion, of abduction, of fraud, of deception, of the abuse of power or of a position of vulnerability or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purpose of exploitation. Exploitation shall include, at a minimum, the exploitation of the prostitution of others or other forms of sexual exploitation, forced labour or services, slavery or practices similar to slavery, servitude or the removal of organs." (United Nations Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women And Children, 2000: Art. 3a). Both terms are used interchangeably.

VICTIM OF TRAFFICKING/TRAFFICKED PERSON

The terms "victim of trafficking" and "trafficked person" refer to persons who qualify as victims of trafficking in accordance with Article 3 of the UN Trafficking Protocol and/or relevant national legislation. The term "trafficked person" is used to acknowledge that person's trafficking experience as central and in need of redress. For many people, the term "victim" implies powerlessness and constructs identity around the individual's victimization. However, from a human rights perspective, the term "victim" is important as it desig-

nates the violation experienced and the responsibility for redress. Hence, both terms are used in this handbook. (Source: ICMPD Listening to Victims 2007)

MINOR/CHILD

Following the definition of the UN Convention on the Rights of the Child (1989) in this handbook, minor or child refers to any human being below the age of 18 years. According to Article 3 (c) of the United Nations Protocol to Prevent, Suppress and Punish Trafficking in Persons, especially Women and Children, supplementing the UN Convention Against Transnational Organised Crime (2000), the recruitment, transportation, transfer, harbouring, or receipt of a child for the purpose of exploitation shall be considered "trafficking in persons" even if this does not involve any of the means set forth in subparagraph (a) of this article, i.e. even if this does not involve the threat or use of force or other forms of coercion, of abduction, of fraud, of deception, of the abuse of power or of a position of vulnerability or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person.

MONITORING

Monitoring is the continuous, regular, systematic and purposeful observation, gathering of information, and recording of activities, projects, programmes, strategies and/or policies. To monitor is to check on how planned activities are progressing, to identify operational difficulties and to recommend actions. Monitoring is aimed at improving the efficiency and effectiveness of an initiative and at ensuring that activities are transformed into results/outputs. It involves giving feedback about the progress to donors, implementers and beneficiaries of the project. Monitoring is always undertaken during the implementation of activities, projects, programmes, strategies and/or policies.

EVALUATION

Evaluation is the systematic collection and analysis of data in order to assess the relevance, effectiveness and impact of activities in light of project objectives. It involves assessing the strengths and weaknesses of projects, programmes, strategies and/or policies to improve their effectiveness. It involves giving feedback about the progress to donors, implementers and beneficiaries of the project. Evaluations are generally done either during the span of a programme (mid-term evaluation) to measure and allow for mid-stream programme adjustments or upon completion of programmes (ex-post evaluation).

REVIEW

Reviews are the assessment of the performance of an intervention, periodically or on an ad hoc basis. Reviews tend to emphasize operational aspects. Sometimes the terms "review" and "evaluation" are used as synonyms. (Source: OECD/DAC Glossary of Key Terms and Concepts)

In this handbook, review is used for a less comprehensive process than evaluation, which is geared to the adjustment of activities, projects, programmes, strategies or policies in order to reach the defined objectives.

PARTICIPATORY MONITORING AND EVALUATION

Participatory monitoring and evaluation is a process through which stakeholders engage in monitoring or evaluating a particular project, programme or policy. They share control over the content, process, and results of the monitoring and evaluation activity and engage in taking or identifying corrective actions. Participation is increasingly being recognized as being integral. It is geared

towards not only measuring the effectiveness of a project but also towards building ownership, empowering beneficiaries, and building accountability and transparency. Or: ownership and empowering beneficiaries by building…

RESULTS-BASED MANAGEMENT

Results-Based Management (RBM) is a management strategy focusing on performance and achievement of outputs, outcomes, and impacts. (Source: OECD/DAC Glossary of Key Terms in Evaluation and Results Based Management)

RBM identifies strategic elements, such as results, outcomes, impact and outputs and their causal relationship, following a number of assumptions and risks identified. It involves the formulation of relevant indicators to measure success and performance. RBM, as a strategic approach, importantly affects reporting and decision-making. (Source: adapted from UNESCO 2008)

RESULTS

Results are the output, outcome (medium-term change), or impact (long-term change)—intended or unintended, positive and/or negative—of a development intervention. In other words, results are changes that come about due to a cause and effect relationship induced by an intervention.

RESULTS CHAIN

A results chain is the causal sequence for a development intervention that stipulates the necessary sequence to achieve desired

objectives beginning with inputs, moving through activities and outputs, and culminating in outcomes, impacts, and feedback. (Source: OECD/DAC Glossary of Key Terms in Evaluation and Results Based Management) (see Part III, Tools 1 and 2 for examples)

MEANS OF VERIFICATION

Means of verification are sources of qualitative or quantitative information which can measure whether the indicators and results have been achieved.

NATIONAL ACTION PLAN

A National Action Plan (NAP) against trafficking in human beings is an essential tool for the sharing of responsibilities and coordination of action of anti-trafficking stakeholders such as governmental bodies, civil society, international organizations, etc. in a holistic approach. The National Action Plan should operationalize the specific objectives as identified in the national anti-trafficking strategy. It should define responsibilities and time lines for each activity assigned, contain resource plans and a budget, and include monitoring and evaluation criteria (e.g. indicators).

II

THE FIGHT AGAINST TRAFFICKING IN HUMAN BEINGS - STANDARDS AND GUIDING PRINCIPLES

II

THE FIGHT AGAINST TRAFFICKING IN HUMAN BEINGS - STANDARDS AND GUIDING PRINCIPLES

In order to effectively combat the complex and multi-faceted phenomenon of trafficking in persons, an integrated approach that underlines the human rights perspective is needed. In this sense, it is important to draw a compromise between the suppressive angle of combating trafficking in human beings, which is guided by the punishment of traffickers, and the development of strategies centred on the prevention, support, empowerment and inclusion of trafficked persons. There is broad international consensus that all interventions should be based on the inclusion of the human rights perspective as a central element. As a result, each country should adapt political, legislative and administrative measures which promote an effective multifaceted approach to the diverse trafficking dimensions with multi-disciplinary cooperation between the various actors involved while maintaining a human rights perspective.

In November 2000 the United Nations Convention against Transnational Organized Crime and the additional Protocol to Prevent, Suppress and Punish Trafficking in Persons, especially Women and Children appeared as the first international document which set forth a clear definition of trafficking for exploitation purposes. The Organization for Security and Co-operation in Europe (OSCE) and the Action Plan against Trafficking in Human Beings of 2003 have been primary instruments in the international context. The established set of measures called for the adoption of new strategies against human trafficking both at a national and international level. Several recommendations were determined, particularly in the areas of protection, assistance, repatriation, and in the establishment of

special units to combat trafficking, whether in the countries of origin or destination. Further, both social and economic topics/interventions were outlined as means of support for trafficked persons.

At the European Union (EU) level, the Brussels Declaration on Preventing and Combating Trafficking in Human Beings and the Council Framework Decision 2002/629/JHA of 19 July 2002 on combating trafficking in human beings were adopted in 2002 and, thus, significantly strengthened the EU's engagement in the fight against trafficking in human beings. The Council EU plan on best practices, standards, and procedures for combating and preventing trafficking in human beings (OJ 2005/C 311/1, 9.12.2005) builds on these efforts and provides for actions to be implemented by Member States, the Commission and other EU bodies concerning coordination of EU action, scoping the problem, prevention, reducing the demand, investigating and prosecuting, protecting and supporting victims of trafficking, returns and reintegration, as well as external relations. In 2003 the Commission Decision 2003/209/EC of 25 March 2003 became effective, creating a consultative group to be known as the "Experts Group on Trafficking in Human Beings," thus establishing a consultative group with the aim to provide the European Commission with expertise in the shape of opinions or reports relating to the prevention of and the fight against trafficking in human beings. On 17 October 2007 a Commission Decision setting up the Group of Experts on Trafficking in Human Beings (OJ 2007/L 277/29, 20.10.2007) was adopted ensuring the continuation of the group's activities after the expiration of Decision 2003/209/EC on 16 October 2007.[1]

The most recent EU documents relevant to trafficking in human beings are the Action Oriented Paper on Strengthening the EU External Dimension on Action against Trafficking in Human Beings

[1] http://ec.europa.eu/justice_home/fsj/crime/trafficking/fsj_crime_human_trafficking_en.htm and http://europa.eu/legislation_summaries/employment_and_social_policy/equality_between_men_and_women/l33209_en.htm, accessed July 2010.

(19 November 2009), the European Parliament Resolution on Trafficking in Human Beings (10 February 2010) and the Action Plan Implementing the Stockholm Programme (20 April 2010). Focusing on coordination, cooperation and coherence, the Action Oriented Paper emphasizes the victim-centred and human rights-based approach and calls for multi-disciplinary action. More specifically, the document foresees the following actions: donor coordination; improved information exchange on anti-trafficking actions; financial support toward longer-term, sustainable support for organizations, structures and mechanisms; set up of an EU anti-trafficking portal; and the development of partnerships between the EU, third countries, regions and organizations at the international level. The European Parliament Resolution on Trafficking in Human Beings mentions the need for evaluation measures by stressing that "action against trafficking in human beings cannot be limited to legislative instruments but also needs to include non-legislative efforts, in particular evaluation of the implementation of adopted measures, information gathering and sharing, cooperation and partnership-building and the sharing of best practices."[2] The Action Plan to Implement the Stockholm Programme emphasizes that "more effective prosecution and conviction are as important as attending to the needs of the victims."[3]

The Council of Europe (CoE) Convention against Trafficking in Human Beings (which is not restricted to CoE member states but is open to non-member states and the European Community) was signed in 2005 and became effective on 1 February 2008. To date, it has been ratified by 20 states and signed by an additional 20 CoE members.[4] Adopting a more ambitious and thorough approach to human traf-

[2] http://www.europarl.europa.eu/sides/getDoc.do?pubRef=-//EP//TEXT+TA+P7-TA-2010-0018+0+DOC+XML+V0//EN&language=DE, accessed July 2010.

[3] http://ec.europa.eu/justice_home/news/intro/doc/com_2010_171_en.pdf, accessed July 2010.

[4] http://www.coe.int/t/DG2/TRAFFICKING/campaign/Flags-sos_en.asp, accessed July 2010.

ficking, the Convention is the first international document giving a clear definition of a trafficking victim with an accentuated relevance to human rights. The Council of Europe created the independent multi-disciplinary Group of Experts on Action against Trafficking in Human Beings (GRETA) in order to monitor the implementation of the Convention by the Parties. The group consists of ten to fifteen members who are nationals of states Parties to the Convention (defined by Art 36 of the Convention) and are elected for a four-year term of office, starting from 1 January 2009. GRETA has been meeting quarterly since February 2009 (meeting reports are available on the website) and will produce a report on the status of implementation of the Convention based on information gathered from questionnaires filled out by the relevant national anti-trafficking stakeholders and, if deemed necessary, during country visits.[5]

The International Labour Organization´s Forced Labour Convention of 1930 (n.29), which prohibits any form of forced or compulsory labour, is equally worth mentioning. This convention also specifies that the illegal exaction of forced or compulsory labour shall be punishable as a penal offence.

Background 1: The Human Rights Based Approach in Anti-Trafficking Work

Many agencies refer to a human rights-centred or human rights-based approach in combating trafficking in human beings. While a formal definition of what this approach entails is not yet available, one interpretation is that states are required to monitor both the intended and unintended effects of their policies on individuals who are trafficked or at risk of being trafficked and to adjust their policies and their implementation in light of any negative effects.

[5] http://www.coe.int/t/dghl/monitoring/trafficking/docs/monitoring/greta_EN.asp, accessed July 2010.

In all three intervention areas, namely prevention, protection and prosecution, it has to be ensured that (potential) victims / trafficked persons are not treated as criminals but as victims, and therefore are entitled to specific human rights protection. This includes, in particular, temporary resident status and temporary shelter, medical and psychological services, access to justice as well as compensation or restitution. All people working with trafficked persons need to be concerned with the basic rights of victims of trafficking.

The working paradigm should shift from one of criminal sanction to human rights promotion. Often efforts to prevent trafficking are not protecting the human rights of the persons they are intending to help, sometimes causing "collateral damage" in the form of negative human rights consequences for both trafficked persons and other groups such as illegal migrants.

Rights become real only when people are able to secure them. The best strategies are those which enable the affected people - the victims of trafficking - to express their own grievances and to act on their own behalf. Empowerment, self-representation and participation of those affected by trafficking are fundamental principles for a human rights-based approach. To uphold these principles, mechanisms to reduce secondary victimization of trafficked persons through public institutions and law enforcement agencies must be in place.

Empowering strategies will also lead to more effective investigation and successful prosecution of traffickers. Trafficked persons who understand their rights and are protected from retaliation and prosecution will cooperate in investigations. Individual and tailored assistance and support for trafficked persons enable them to re-/gain control over their lives and reduce the risk of victimization.

III

MONITORING IN THE AREA OF TRAFFICKING IN HUMAN BEINGS – STANDARDS AND GUIDING PRINCIPLES

III

MONITORING IN THE AREA OF TRAFFICKING IN HUMAN BEINGS – STANDARDS AND GUIDING PRINCIPLES

INTRODUCTION

Monitoring, review and evaluation are essential for all anti-trafficking work in order to measure the degree to which a project, programme, strategy and/or policy has realized its objectives and outputs and to observe its long-term effects. It provides the basis for accurate reporting and allows for the identification of lessons learned and obstacles faced, which can be used to plan new programmes as well as to adjust and tailor existing programmes. It is also a valuable planning and management tool. Building monitoring systems and envisaging evaluations at the outset of the programme helps to design and review objectives and to anticipate needed resources. Monitoring, review and evaluation also support the process of continuous learning which should be shared both within the organization and externally with practitioners, policy- and general decision-makers, and donors.

Monitoring allows a constant assessment of the quality and impact of anti-trafficking work against agreed strategies, action plans and objectives. Impacts are effects produced directly or indirectly by an intervention. While impacts are usually intended to be positive, they can also have a negative, unintended impact. As such, it allows organizations to identify where they may have failed to have an impact or even where they have had an unintended negative impact.

As monitoring, review and evaluation are mentioned jointly here, what is the difference then between monitoring and evaluation? They differ but complement each other. Monitoring focuses on the implementation of the programme (i.e. on the different activities undertaken and the progress attained) in a form of a continuous self-assessment. Evaluations are more concerned with the overall results of programme activities, efficient use of resources and the overall relevance of the programme. Monitoring, therefore, refers rather to the activity and objective level, whereas evaluations focus more on the strategic and programme level.

In short, monitoring focuses on where the programme is at a given time in terms of implementation. Evaluation focuses more on why outcomes and goals might have or not have been achieved here-with highlighting achievements and offering recommendations on possible improvements (see part VI of this handbook for more details on evaluation).

Background 2: Complementary Roles of Monitoring and Evaluation

	Monitoring	Evaluation
Time	Continuous process during the implementation of a project, programme, plan or strategy	Either done during the span of a project, programme, plan or strategy (mid-term evaluation) or upon completion of projects, programmes, plans or strategies (ex-post evaluation)
Focus	Check how planned activities are progressing, identifying operational difficulties; recommend actions for improved implementation	Assess achievement of results, relevance, effectiveness, and impact of activities and their contribution to results.
Aim	Improve efficiency and effectiveness; ensure the transformation of activities into results/outputs	Explore intended and unintended results; formulate recommendations for adjustments
Content	Progress attained measured against the set indicators	Fulfilment (degree of and quality) of the indicators
For whom	Primarily for implementers	For implementers, but also for donors and beneficiaries, the broad interested public and research community, should the results be made public

Background 3: **Mechanisms for Monitoring and Reporting on Trafficking in Persons**

Monitoring in the area of trafficking in human beings ultimately is about reporting on actions taken, activities, strategies and/or plans implemented, and results achieved. As the fight against trafficking in human beings implies different dimensions and levels in the international context, monitoring of action in the fight against trafficking also takes place on different levels. Therefore, three different mechanisms can be identified for monitoring and reporting:

a) National reporting (and/or self-assessment)

There are several models adopted by different countries in the area of national reporting. It takes place in the form of an inter-institutional task force, a Committee consisting of the stakeholders involved, a special office or a nationally appointed special rapporteur reporting on the progress made in the area of combating trafficking in human beings. In some cases, reports are also made by a congressional or parliamentary committee with the responsibility to oversee the government´s performance in the fight against trafficking in persons.

b) State reports submitted to international bodies (e.g. on CEDAW, CoE Convention on Trafficking)

States are required by international law to report to specialized Committees set up within the United Nations for the monitoring of compliance with the respective international conventions ratified. The conventions which require reporting on progress in the fight against trafficking in human beings include the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW), the Convention

on the Rights of the Child, the UN Protocol to Prevent, Suppress and Punish Trafficking in Persons, which supplements the UN Convention against Transnational Organized Crime, as well as some regional instruments. Reporting on the CoE Convention on Trafficking in Human Beings must be provided by the states to the monitoring body for the implementation of the Convention of the Council of Europe by the Parties consisting of independent national experts appointed by the CoE (GRETA).

c) International reporting by an international body

Currently, different initiatives for closer and joint reporting on trafficking in human beings by international bodies are underway. The United Nations have, for example, appointed a Special Rapporteur on Trafficking in Persons, especially Women and Children, to report on the status of trafficking in persons worldwide with the power to investigate, monitor and report on government actions. The European Parliament, in its adopted Resolution on Trafficking in Human Beings of 10 February 2010, calls upon the Council and the Commission "to establish, under the supervision of the Commissioner for Justice, Fundamental Rights and Citizenship, an EU anti-trafficking coordinator to coordinate EU action and policies in this field – including the activities of the network of national rapporteurs – and reporting to both the EP and the Standing Committee on Operational Cooperation on Internal Security (COSI);".

Source: Mattar (2008), European Parliament

The present handbook is intended to contribute mainly to national reporting and self-assessment. The monitoring results at the national level should, however, (besides guiding further actions) be used for policy review and analysis and should be able to direct national decision-making on the matter. National level

monitoring results will also be reflected in the state reports submitted to the international bodies. This further underlines the vast importance of monitoring the national action plans against trafficking in human beings.

RESULTS-BASED MANAGEMENT

"It is said that if you do not know where you are going, any road will take you there. This lack of direction is what results-based management (RBM) is supposed to avoid. It is about choosing a direction and destination first, deciding on the route and intermediary stops required to get there, checking progress against a map and making course adjustments as required in order to realize the desired objectives." (UNESCO 2008)

The way planning, monitoring and evaluation are done has considerably changed over the past decade. With a number of international developments, conferences and agreements, especially with the Paris Declaration (2005), the focus in international development cooperation and public institutions has shifted towards improved effectiveness in all efforts, accountability (e.g. of governments towards their citizens or of implementers towards their financers) and sustainability, just to name a few of the underlying principles. With these developments, creating projects and programmes has for many institutions and organizations moved from activity planning (what are we going to do?) to a stronger focus on the overall results (what do we want to achieve?). The focus, thus, lies in the results and consequences of actions and implementation. The envisioned changes have shaped a different strategic approach called results-based management (RBM).

Tool 1: Elements of a Results Chain

Goal/ Objective	**Intended impact** contributing to physical, financial, institutional, social or other benefits to a society, community, or group of people via one of more interventions
Indicators	Quantitative or qualitative **criteria** measuring the **success** of an intervention and the **achievement** of the outcomes.
Outcomes/ Impact	The likely or achieved short-term and medium-term **effects** of an intervention's outputs.
Outputs	Products and services resulting from an intervention; may also include **changes** resulting from the intervention which are relevant to he achievement of outcomes.
Activities	**Actions taken** through which inputs, such as funds, technical assistance and other types of resources are mobilized **to produce specific outputs.**
Input	The **financial, human and material resources** used for the intervention.
Problem	The **key issue** we want to solve.

This monitoring has changed from a mere implementation and input focus towards an emphasis on measuring outcomes and results (results-based monitoring) of the project or programme, strategy or policy. The focus has shifted from ensuring and monitoring that activities are being implemented to ensuring and monitoring that these activities further enable the envisioned change.

Results-based monitoring, therefore, refers to observations on changes achieved with the use of resources or services of the project or programme, plan or strategy. Results-based monitoring is one part of the overall results-based management (RBM) approach.

Tool 2: Exemplary Results Chain on Re-/Integration of Trafficked Persons

Component of result chain	Example
Goal/Objective: *Intended impact contributing to physical, financial, institutional, social or other benefits to a society, community, or group of people via one or more interventions.*	Trafficked persons are increasingly re-/integrated into their community of origin or another community of choice.
Indicators: *Set quantitative or qualitative criteria which measure the success of an intervention and the achievement of the outcomes.*	- The number of identified trafficked persons has increased by 20 percent (Source: National data base). - 80 percent of interviewed trafficked persons assess the re-/integration services provided as adequate and targeted to their needs (Source: Qualitative survey). - The re-trafficking rate has declined about 50 percent (Source: National data base). - The percentage of trafficked persons living from their own income 1 year after re-integration has increased by 15% (Source: Survey by NGO).
Outcomes/Impact: *The likely or achieved short-term and medium-term effects of an intervention.*	• Trafficked persons are increasingly identified. • Trafficked persons are referred to qualitative service providers. • Trafficked persons can sustain their own livelihood after re-integration.
Outputs: *Products and services which result from an intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes.*	- The cooperation between state and non-state actors is enhanced. - Shelter and police personnel are trained on identification mechanisms and on human rights standards in anti-trafficking work. - Minimum standards for work with trafficked persons are agreed upon. - Service providers for trafficked persons are strengthened. - Selected trafficked persons receive vocational training.
Activities: *Actions taken through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs.*	• Foster cooperation of state and non-state actors (through NRM). • Implement workshops and training for state and non-state actors. • Discuss and develop minimum standards for work with trafficked persons. • Support organizational development of service providers for trafficked persons. • Establish vocational training and income-generating activities for trafficked persons.

Input: *The financial, human and material resources used for the intervention.*	• The Ministry of Youth provides shelter and education for trafficked minors. • The Ministry for Women finances a shelter run by a women's organization. • The women's organization provides human resources and know-how. • An international donor provides financial and technical resources for the development of standards and training for shelter personnel and social worker.
Problem: *The key issue we want to solve.*	There is a lack of sustainable re-/integration services for trafficked persons based on a human-rights approach.

PRINCIPLES AND OBSTACLES OF RESULTS-BASED MONITORING

Results-based monitoring encompasses four dimensions: **specified results** that are measurable, trackable and relevant; **resources** that are adequate for achieving the targeted results; **organizational arrangements** that ensure authority and responsibilities are aligned with results and resources; **processes** for planning, monitoring, communicating and resource release that enable the organization to convert resources into the desired results.

In order to target these four dimensions, **results-based management should follow the subsequent principles:**

- **Orientation on outcomes instead of activities:** This requires a shift in focus from single activities to the overall defined and measurable results and impact of an intervention in anti-trafficking work. It also considers not only the intended but also potential, non-intended negative outcomes.

- **Clear responsibilities and timeframe:** In order to be able to monitor the progress of a certain strategy, policy, programme

and/or project, what data is needed, who is undertaking certain tasks, and due dates must be clearly defined.

- **Relevance:** There are different working areas in the field of anti-trafficking measures. When setting priorities, the relevance of certain measures has to be examined and assessed during monitoring and evaluation.

- **Effectiveness and efficiency:** RBM entails asking if the right things are being done and if they are being done well. It has to be assessed whether resources are available and determined that the most possible positive results can be achieved for the given inputs.

- **Sustainability and impact:** Through RBM, it should be measured if the goals that were set for an intervention have been achieved. Furthermore, it should be monitored whether the impact of a certain strategy or activity is likely to last after the intervention has ended. If not, there should be additional targets such as organizational development or process support to secure sustainability.

- **Scale and innovation:** During planning, it should be assessed if the intervention has the potential for reaching large numbers of the target population. This should be monitored throughout the process.

- **Transparency and accountability:** Governments have the obligation and responsibility to ensure the protection of all human rights for all individuals and to prosecute individuals and government officials who violate the rights of others. In the context of trafficking, a government is responsible for acts committed by its own actors, such as immigration officials, border patrols or police. Individuals can hold governments accountable under international laws embodying human rights

principles. In terms of monitoring and evaluation, the obligation is to provide transparent and comprehensible information on strategies, priorities, activities, as well as possible harm. In the case of anti-trafficking work, this means distribution of information to and discussion with all relevant stakeholders.

- **Participation, ownership and empowerment:** A participatory approach means strengthening the ability of (especially marginalized) groups to participate actively in planning and monitoring processes, to take responsibility and to influence institutions, policies, strategies and programmes according to their specific interests and needs. At the same time, the empowerment of marginalized groups underpins the prevention of trafficking.

- **Non-discrimination and inclusivity:** It has to be ensured that different groups have access to the services provided. Evidence suggests that especially marginalized groups of people, such as migrants, internally-displaced persons, refugees and asylum-seekers, often suffer from negative consequences and that anti-trafficking measures have been counter-productive for some of the very people they are supposed to benefit most directly. Hence, through specific target group analysis during planning, monitoring and evaluation, the negative impact on specific population groups and stakeholders has to be assessed.

There are certain **obstacles when dealing with results-based monitoring:**

Indisputably, baseline studies are a prerequisite for any monitoring and evaluation efforts. However, the **availability and quality of data** is an obstacle in monitoring and evaluation of anti-trafficking work. In general, qualitative data is difficult to find (e.g. on the quality or long-term effects of reintegration efforts). Furthermore, data

often become available only with a time lag, particularly for outcome measures (e.g. a reduced number of trafficked persons). The question is how the results of a current strategy or programme can be judged on the basis of results achieved before the strategy was put in place. Often, certain data has to be collected for the cause of a project or programme. Fragmented data collection systems, additionally, often lead to double counting within the existing data.

Background 4: Data Collection and Information Management Systems (DCIM)

There are a number of initiatives for data collection in the area of trafficking in persons, including the data collection and information management projects which were carried out by ICMPD in South-Eastern Europe and the European Union in 2006-2010.

In the framework of the "Programme for the Enhancement of Anti-trafficking Responses in South-Eastern Europe, Data Collection and Information Management (DCIM) – Phase 1 and 2", which was implemented by ICMPD and funded by the Swiss Agency for Development and Cooperation (phase 1) and the Norwegian Ministry of Foreign Affairs (phase 1 and 2) a database for the collection of victim-related data and a database for the collection of trafficker-related data were developed with a view to harmonize and improve the quality and reliability of data related to trafficking in persons in the participating countries. Two distinct databases were installed within the relevant national institutions in Albania, Bosnia and Herzegovina, Bulgaria, Croatia, Kosovo, FYR Macedonia, Moldova, Montenegro, Romania and Serbia to strengthen the countries' capacities to better analyze trafficking-related data, assess the real scope of the trafficking problem and thus have the basis for development of more effective interventions and policies. Practical information on how these databases

operate as well as more details on the project can be found in the "Handbook on Anti-Trafficking Data Collection in South-Eastern Europe: Developing Regional Criteria", which can be downloaded at www.anti-trafficking.net.

The project Data Collection and Harmonised Information Management Systems (DCIM-EU) was funded under the EU Grant "Prevention of and Fight Against Crime" and implemented by the General Directorate for Internal Affairs, Ministry of Internal Affairs of Portugal, in cooperation with ICMPD. The project responded to the provisions of the 2005 EU Action Plan on best practices, standards and procedures and strengthened the capacities of the participating countries to systematically collect and manage data relevant to trafficking in persons. The Czech Republic (Ministry of Interior), Poland (Ministry of Interior), Portugal (General Affairs Directorate, Ministry of Interior) and Slovakia (Ministry of Interior) participated in the project and established a transnationally harmonized information management system, including commonly agreed upon and comparable indicators to collect data and information on victims of trafficking. The publication "Anti-Trafficking Data Collection and Information Management in the European Union – a Handbook. The situation in the Czech Republic, Poland, Portugal and the Slovak Republic," provides guidance for data collection in the area of trafficking, and more information on the project is available for download at ww.anti-trafficking.net.

Attention: When collecting personal data of trafficked persons, it has to be ensured that the data is protected and cannot be accessed and misused by anyone, thereby causing additional harm to the trafficked person (e.g. when a trafficked person who is a mother is filing for custody of a child, the fact that she was formerly trafficked might be used against her during court procedures).

A second obstacle is the lack of unified **definitions** in the field of anti-trafficking work, which often makes it hard to rely on certain data (e.g. confusion between illegal migrants, smuggled persons, trafficked persons, non-trafficked persons in exploitative conditions).

The third obstacle is the **attribution** of certain changes to the activities undertaken by a certain programme. Especially in anti-trafficking work, where the efforts of many different stakeholders are combined, it is hard to judge the success or failure of a certain policy, strategy or programme. Furthermore, certain parameters, such as the poverty index, unemployment rates or gender inequality influence the phenomenon of trafficking, which has to be considered when judging the outcomes of policies, strategies and programmes.

Tool 3: Steps to set up a Results-Based Monitoring and Evaluation System

Steps to take (general)	Questions to ask	Steps to take for monitoring of NAPs in THB
Formulate outcomes and goals	What do we want to achieve?	(Re-)Formulate a NAP with clear goals and outcomes.
Select outcome indicators to monitor	What are we specifically looking at to measure achievement?	Formulate respective outcome indicators.
Define how to verify that indicators are met (set means of verification)	How do we measure it? What or who is the data source?	Set the means of verification for the indicators.
Gather baseline information on the current condition	Where are we today relative to our goals?	Gather baseline information on the indicators.
Set specific targets to reach and dates for reaching them	When do we want to achieve what?	Set realistic targets (percentages, numbers etc.) and timelines for targets in the NAP (be specific).

Set responsibilities on the regular and constant collection of data	Who is responsible for data collection?	Designate those responsible for the data collection and submission.
Regularly collect data to assess whether the targets are being met	How are we doing relative to our targets?	The different responsible institutions regularly collect the data to assess the attainment of the indicators and report regularly to the defined body (Working Group/Commission/Task Force etc.)
Analyze and report the results	What did we achieve and what needs to be done?	The responsible national body (Working Group/Commission, National Rapporteur, Task Force…) analyzes the data collected and develops an annual report on the status of the implementation of the NAP which includes an assessment of the general situation and impact of the interventions in the area of trafficking in human beings. The results are discussed with all relevant stakeholders and if necessary, joint informed decisions are taken.
Define role, frequency and schedule of evaluation (external, internal, mid-term evaluation vs. final evaluation etc.)	When do we evaluate our actions?	Define with the relevant stakeholders how evaluation is going to happen (external vs. internal evaluation) and discuss funding sources for it. Define a cycle of evaluation (mid-term vs. final evaluation) based on the life-span of the NAP.

(1) Source: adapted from WB 2004.

IV

THE NATIONAL RESPONSE AGAINST TRAFFICKING IN HUMAN BEINGS

IV

THE NATIONAL RESPONSE AGAINST TRAFFICKING IN HUMAN BEINGS

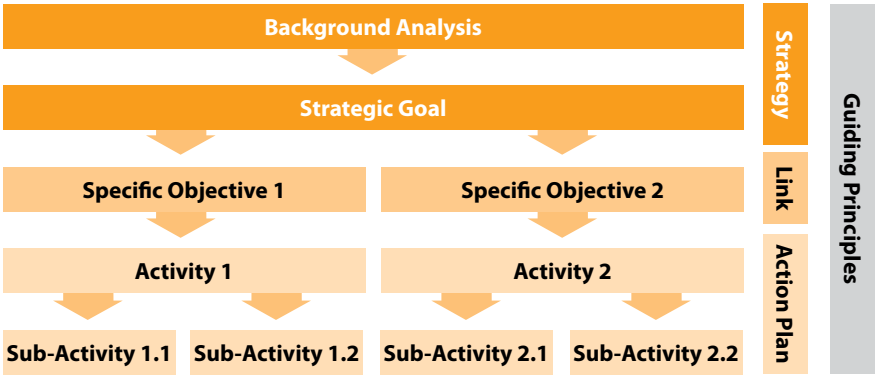
Part IV of this handbook offers insight on how the basis for monitoring has to be developed and structured. Monitoring results can only be as good as its basis, so there is need to invest some efforts into developing a good strategy and action plan or to revise existing ones, if necessary.

STRATEGY AND NATIONAL ACTION PLAN

National anti-trafficking responses often consist of a strategy and a corresponding action plan, following a thorough assessment of the trafficking situation in the country. Both the strategy and the action plan should follow the same guiding principles in their design and define strategies and actions for the areas of the supporting framework and the 3 P's: Prevention, Protection and Prosecution.

While the strategy defines what shall be achieved (strategic goal(s)) and breaks down the strategic goal(s) into specific objectives, the national action plan clarifies exactly how the specific objectives outlined in the strategy will be achieved. The action plan makes the strategy operational as it breaks it down into activities (per specific objective), identifies measurable progress (through the development of corresponding indicators), defines timelines and assigns clear responsibilities.

The chart below shows the link between the strategic and the operational level and is part of the Guidelines for the Development of a Comprehensive National Anti-Trafficking Response (ICMPD 2006).



STRUCTURE OF NATIONAL ACTION PLANS

In order to fulfil the operational task and to be an effective instrument for the fight against trafficking in human beings, a set of standards has to be carefully followed for the national action plans. As only a complete national action plan allows effective monitoring of the planned actions and their results and, since the quality of the monitoring results will mainly depend on the quality of the action plan formulated, this section re-introduces some important principles of an effective national action plan, adapting them further to match a results orientation within the framework of results-based management (RBM).

The action plan should contain formulated:

- Outcomes
- Outcome indicators
- Activities/sub-activities
- Assigned responsibilities

- Timelines
- Resources (financial and human resources).

These need to be developed for each specific strategic goal and corresponding objective of the respective strategy. As seen above, if there is no strategy to the action plan, the goals and corresponding objectives (which relate to the strategic level of the national anti-trafficking response) need to be developed when drawing the action plan.

Tool 4:	**Model for a National Action Plan**
See Annex I. Adapt to your situation where necessary.	

Attention: While planning or re-visiting the national action plan, focus on the overall results and changes you want to achieve with the implementation. Don't get lost in activity-based planning.

OUTCOMES AND INDICATORS

The development of relevant, specific and measurable outcomes and outcome indicators is key to the success of the national action plan and for its monitoring. The corresponding activities to achieve the outcomes and indicators are quickly found. The starting point, however, must be to formulate the outcome as an intended change you seek as a result from your actions in the area of trafficking in persons, in the supporting framework, the area of prevention, protection or prosecution. The change formulated should refer to an institutional change, a change in the general framework or a behaviour change. The way the outcome, change and corresponding indicators are formulated should follow the SMART rules.

Tool 5: How to Formulate SMART Outcomes and Indicators for Monitoring

In order to effectively monitor, review and/or evaluate the progress of projects, programmes, strategies and/or policies, it is essential to define success indicators which should follow certain standards. Each outcome and indicator chosen should follow the SMART rule:

- ✓ **S**pecific
  Outcome: Does the outcome describe a specific future condition?
  Indicator: Is the indicator specific and clear? Is it concrete?

- ✓ **M**easurable

  Outcome: Is it possible to measure the achievement of the outcome through a clearly defined and measurable indicator?

  Indicator: Can the necessary information (quantitative or qualitative means of verification) for this indicator be collected? Is there a source for the information needed? Are necessary resources to collect the information available or will it require too much time and skills to do so?

- ✓ **A**ctionable / Achievable
  Outcome: Is the formulated change achievable? Is it within the capacity of the partners and stakeholders involved to achieve it?

  Indicator: Will the indicator be achievable? Would it be possible to take action, if necessary, in response to the in-

formation that the indicator provides? Will the indicator give enough information to make an appropriate decision?

- ✓ **R**elevant

  Outcome: Is the formulated change a contribution towards the (national or other laid out) priorities in the area of trafficking in persons?
  Indicator: Will the indicator provide information that is relevant and necessary for decision-making about the project/programme, or will it give information that is just "nice to have"?

- ✓ **T**ime-bound
  Outcome: Does the outcome have a set date for the change to be accomplished?

  Indicator: Will the indicator tell what we need to know at the right time? Is the data to measure an indicator collected frequently enough to enable timely decisions?

- ✓ In addition, **responsible** persons for each target and the referring indicators have to be defined.

Outcomes can be formulated at different levels--short, medium and long-term outcomes—and with differing ambitions— high-level and strategic outcomes or specific outcomes at a lower level. In view of the national action plans, the outcomes formulated should be specific and tangible within the area of influence of the actors involved. Formulate as many realistic outcomes as may be needed to achieve goals.

Tool 6: Some Exemplary Outcomes in the Area of Trafficking in Human Beings

The following outcomes are just examples. You can already observe that there is a difference in the ambitions of the formulated outcomes as some are formulated in a broader way than others. However, you will need to formulate your own outcomes according to the needs identified in the area of trafficking in human beings.

Supporting framework:

- Increased harmonization of the national anti-trafficking legislative framework with international human rights standards
- Clarified procedures for the national anti-trafficking response
- Relevant policy framework reformed to support action against trafficking in human beings
- National Referral Mechanisms for the treatment of (potential) trafficked persons in place
- Improved structures for assistance and rehabilitation to victims established

Prevention:

- Increased awareness of trafficking in human beings
- Increased available information on trafficking in human beings
- Increased information to minors about trafficking in human beings
- Increased knowledge about trafficking patterns in the region

- Hotline established with information on safe migration

Protection:
- Improved protection of victims
- Improved standards for identification of and dealing with victims of trafficking in human beings
- Legal framework for the protection of victims strengthened
- Sustainable system for the rehabilitation and reintegration of victims
- Improved system for dealing with minors as victims of trafficking in persons
- Increased number of facilities for victims
- Compensation mechanisms for victims established

Prosecution:
- Legal system for the prosecution of perpetrators strengthened
- Increased number of cases of trafficking handled in courts
- Increased number of cases of trafficking reported to the relevant authorities

Attention: While developing or re-visiting your national action, the beneficiaries, the target group of the plan, and its outcomes should always be at the centre of your attention. Constantly ask yourself, who is it that benefits from this, how, why? Are we planning and doing the right thing for our beneficiaries? This is extremely important because every intervention, even if planned with the best intention, can lead to an unintended negative impact on your target group.

INDICATORS

To measure the outcomes developed, you have to find corresponding indicators. The indicators should help to verify that the intended change is reached.

Indicators need to be measured afterwards with either quantitative or qualitative data (sometimes with a mixture of both). In the case of the national action plans, your indicators might need to be a mix of outcome and output (as a result of the activity) indicators in order to measure concrete ongoing implementation as well.

Tool 7: Quantitative and Qualitative Indicators

The following indicators are examples which could be used within a NAP. However, the sources and baselines or percentages indicated are purely indicative and would need to be established and replaced with those valid for your context. The indicators cover the different areas of the supporting framework and the 3 P´s as indicated in the [brackets]. Remember that indicators, no matter whether quantitative or qualitative, have to be SMART (specific, measurable, achievable, realistic and time-bound) and related to the formulated outcomes.

Quantitative indicators are **statistical measures**.

With **quantitative indicators,** you measure results in terms of:

- **Number…** e.g.: The number of victims of trafficking assisted through specialized, non-governmental organizations has risen from 78 (baseline 2010) to 100 (at the end of 2011) (Source: Statistics from NGOs). [Protection].
- **Percentage…** e.g.: The number of calls received by the national hotline increased by 25% by the end of 2011 (Source: Statistics from hotline) [Prevention and Protection]. The

number of cases of trafficking brought to court increased by 20% in 2011 (Source: Statistics of the Ministry of Justice, established baseline in 2010) [Prosecution].

- **Rate…** e.g.: The rate of re-trafficked victims among identified victims decreased by 25% between 2010 and 2015 (Source and baseline 2010: Police statistics) [Protection].

Qualitative indicators reflect people's judgements, opinions, perceptions and attitudes towards a given situation or subject. They **can include changes** in sensitivity, satisfaction, influence, awareness, understanding, attitudes, quality, perception, dialogue or sense of well-being.

With **qualitative indicators** you measure results in terms of:

- **Compliance with… e.g. set international/national standards, legislation, procedures** e.g.: The national legal framework concerning trafficking in persons complies with the undersigned conventions and standards by 2013. (Source: GRETA reports, European Convention communication/reports) [Prosecution].
- **Quality of…** e.g.: 80 % of interviewed trafficked persons assess the quality of re-/integration services provided as adequate and targeted to their gender and age specific needs (Source: Qualitative survey by State Fund or similar structure) [Protection]; In 2013 80 % of victims of trafficking re-integrated are satisfied with the assistance rendered in the process by the different authorities involved (Source: Qualitative survey conducted by the State Fund or the NRM with all victims that have been re-integrated) [Protection]. *Please note that the 80% of victims in this context do not make this indicator quantitative but rather represent an inbuilt quantitative target.*

- **Level of…** e.g.: The level of knowledge on THB among the participants of trainings has increased (Source: Questionnaire). [Prevention]; The level of coordination among the relevant stakeholders (government and non-governmental actors) for the fight against THB has increased (Source: Schedule of regular meetings and minutes, survey amongst stakeholders). [Supporting Framework]; The (level of) awareness of the general population on governments action in the fight against trafficking in persons has increased (Source: Survey and downloads of monitoring reports) [Supporting Framework, relating to M&E, Prevention]
- **Extent of…** e.g.: The extent of NGO involvement in the national anti-trafficking response significantly increased by the end of 2011 (Source: survey amongst NGOs) [Supporting Framework]; The extent of regular joint analysis of monitoring results increased significantly by the end of 2011 (Source: Anonymous questionnaire to stakeholders) [Supporting Framework]; The extent to which standards for interviewing victims are observed increased by the end of 2011 (Source: Police reports, Interview protocols, baseline 2010) [Protection].

Indicators need to be disaggregated to the greatest extent possible and necessary. Discuss and decide whether it makes sense to disaggregate the victims in men, women, and children in your indicator. Even if you don't disaggregate your indicators, collect your data disaggregated anyways.

Source: adapted from UNDP 2009

Where necessary, the indicators need to be disaggregated (according to sex, age, geographical area, special needs or ethnicity). When drawing indicators, you need to reflect how you can measure the indicator as you will need to identify in your monitoring and evaluation plans how specifically you will measure the fulfilment of the indicators.

Tool 8: Checklist for Outcome and Indicators

Quick checklist for reviewing outcomes and indicators	Yes	No
The outcomes and their indicators are specific, measurable, achievable, realistic and time-bound (SMART)		
The outcomes clearly outline an area of work where all relevant institutions and partners can have significant influence		
The outcomes are worded to communicate changes - what has changed, for whom (if relevant) and when		
The outcomes clearly address the specific interests and concerns of men, women and/or marginalized groups (if relevant)		
The outcomes address changes in institutional capacities and behaviour that should lead to sustainable improvement in the area of combating trafficking in human beings in the country (or region, if relevant)		
The outcomes speak to changes in conditions and capacities and not the delivery of products and services		
The outcomes have indicators that signal how the desired change will be measured		
The outcome and its indicators provide a very clear and precise image or picture of what the future should look like and is not so general that it could cover almost anything		
There are indicators that measure both the process of producing the outputs (e.g. how many of something was done), as well as the quality and/or effect of what was produced (e.g. level of usage or user satisfaction with what was produced).		

Source: adapted from UNDP 2009

OUTPUTS

Services and/or products that will be produced or rendered by the activities that will be used to achieve the outcome, to bring about the change you are striving for.

ACTIVITIES

Formulate activities that will facilitate the achievement of the indicators and will lead to the production of certain outputs. Sometimes it can be helpful to formulate sub-activities into a bigger activity. Several activities might be needed for one activity, but sometimes one activity can also serve a number of indicators.

RESPONSIBILITIES

Usually there are multiple stakeholders–different government institutions and NGOs—involved in the implementation of a national action plan against trafficking in human beings. Therefore, the responsibilities for the different indicators and activities have to be clearly defined.

TIMELINE

Indicate the period for implementation of the activities. Sequence the activities and be as specific but also as realistic as possible with your timelines.

RESOURCES

Every plan needs financial and human resources to be implemented. Often an action plan is co-funded by different agencies, the government or several donors. It is, therefore, vital to draw an approximate but realistic budget for the plan in order to be able to estimate the resources needed and/or to ask for funding of a specific part of the action plan.

V

MONITORING OF NATIONAL ACTION PLANS AGAINST TRAFFICKING IN PERSONS

V

MONITORING OF NATIONAL ACTION PLANS AGAINST TRAFFICKING IN PERSONS

Part V of the handbook discusses the different phases of monitoring and offers guidance on what to do, how and with whom and when activities take place for successful monitoring of the national action plan against trafficking in human beings.

PHASES OF MONITORING

Monitoring is a continuous and rolling process that should inform on progress made towards the planned results. Monitoring as such can be divided into different phases:

PLAN

A) Preparation: Defining how the results of the national action plan should be monitored, including responsibilities, communication and structures for monitoring of the national action plan.

DO

B) Implementation: The constant collection of qualitative and quantitative data while implementing the national action plan.

CHECK

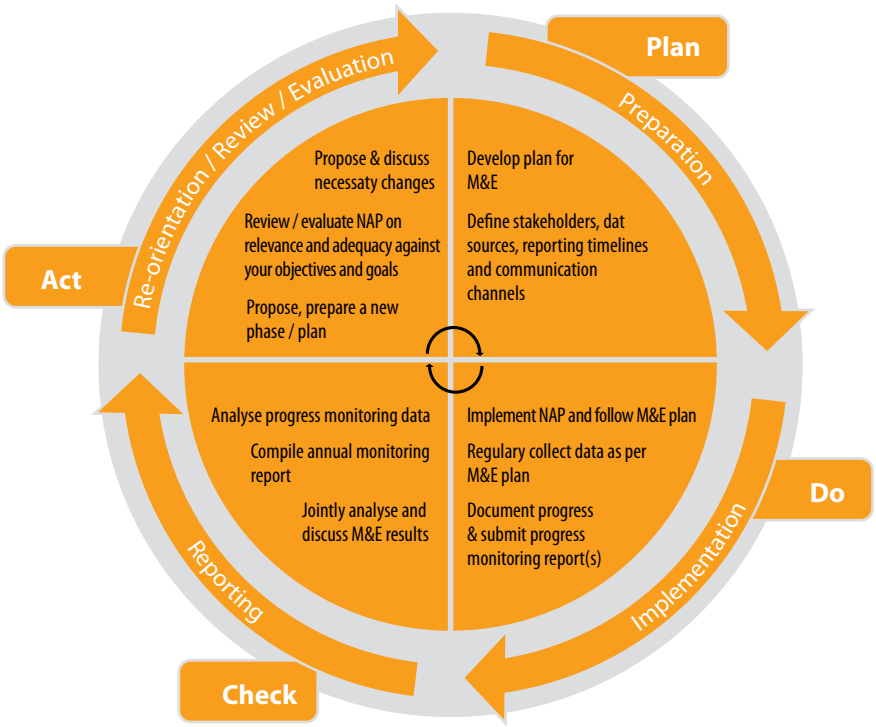
C) Reporting: Analyzing the data gathered and potential lacks of data when producing a monitoring report.

ACT

D) Review: Depending on the results of the monitoring report analysis, the strategy and plan might have to be revised, vis-à-vis changed practices and developments in the area of trafficking in human beings.

Different needs and actions characterize the outlined phases as explained in the following sections in more detail. However, the phases are not necessarily always in sequence but sometimes overlap. Nonetheless, the phases and the corresponding actions to take are part of the following monitoring cycle:

Figure 1: Monitoring and Evaluation Cycle



Attention: The outlined phases as well as the sequence in the monitoring cycle should be taken as a helpful guidance, however, in the specific cases the phases might not be as clearly distinguishable and may overlap. After all, it is most important that you are aware that it is a process you are dealing with that requires steering and certain actions at a certain time.

A) PREPARATORY PHASE

WHAT

The preparatory phase lays the groundwork for the success of the monitoring and evaluation of the national action plan.

To summarize, what you have to do in the preparatory phase is:

Develop the monitoring and evaluation plan to set up your monitoring system with the stakeholders involved:

- Define whether to do a review and/or evaluation and when to do it;
- Determine your data sources for the indicators (means of verification), your baseline and your targets;
- Determine the specific responsibilities for data collection and reporting (who reports to whom on what);
- Set reporting timelines;
- Define your communication.

HOW

Develop the monitoring and evaluation plan to set up your monitoring system.

To develop your monitoring system for the national action plan, you first have to ensure the national action plan follows the basic principles and the structure of the national action plan outlined in part IV of this handbook.

In a participatory approach involving the relevant stakeholders of the national anti-trafficking response, determine your monitoring system by jointly drawing your M&E plan with the relevant stakeholders involved. The participatory approach is vital here as the anti-trafficking response draws upon multiple stakeholders. As a consequence, those stakeholders mostly have a role to play in the collection of relevant data for the monitoring.

The monitoring plan predominantly follows the structure of the national action plan, using its outcomes, outputs, activities as well as indicators. However, the monitoring and evaluation plan needs to be more specific on how to measure the indicators and who should be doing it. Jointly with the relevant stakeholders, discuss and fill the plan with the information you determine following the outlined steps.

Tool 9:	Monitoring and Evaluation Plan - Template
See part VII for the template. Adjust it according to your needs and situation.	

Determine whether to do a review and/or evaluation

You need to determine for your plan whether you want to do a review of the action plan and/or an evaluation. The evaluation can

be external or internal and either a mid-term and/or an end evaluation. The determining factors for such decisions are to identify a) the purpose of the review and/or evaluation; b) whether the duration and the planned impact of the national action plan call for or require an evaluation and c) what resources are available. For further details on the differences of a review and an evaluation, see D) Review and Part VI on Evaluation.

Determine your data sources to measure the indicators, baseline and targets

As part of the process, you need to determine **suitable data sources** (your means of verification) to measure your indicators. By doing so, you need to look into what exactly you need to measure to show the fulfilment of your indicators and to determine what sources are best placed to provide you with that data. In general, it is important to use whatever data is already there (though it also needs to be reliable data), e.g. at the statistics office, records that are being kept, etc. Depending on the country, there might already be databases for certain types of data in place, e.g. a victim-centred database or a trafficker-centred database. Only where necessary, establish your own databases or undertake a separate assessment, as you will have to have the necessary resources for doing so.

In case there is already a broader information and data gathering process established in the country, the monitoring data sources for the national action plan should, to the greatest extent possible, feed into the existing process.

As a next but related step, you should determine the **baseline**; in other words, document the actual status of indicated information. This refers to the data your indicators relate to at that particular moment in time. If the indicator relates to increased availability of shelters, record the actual number of shelters or the number of spaces available in each shelter available at that moment. The baseline is important since it gives you a descrip-

tion of the status before the intervention, before the implementation of the action plan.

The next step is to identify your **targets** by looking at the outputs and indicators determined to establish your targets. Suitable targets are e.g. an increase in percentage or a definite number of something. You also have to state by when this target should be reached. Depending on the duration of the action plan, you can identify percentages/numbers per year or put down a certain percentage or number to be reached by the end of the implementation period. Sometimes, however, a sequence of actions is advisable so it is clear that certain steps would come before others, so be as specific as possible. Targets can, for example, look like the following: Increase by percent by the end of (year); X number of trainings held by (month/year). It is important, however, that you formulate realistic and relevant targets.

Determine specific responsibilities for data collection

By looking at the data sources, you can identify different institutions and organizations that might provide this data on a regular basis. There might be a Ministry or other government institution involved in the shelter for victims or a non-governmental organization, and whoever runs the shelter would be reporting on the numbers of trafficked persons served and the kind of services provided.

For your plan, you therefore have to identify the adequate institution or organization to provide the data on a regular basis. If possible, write down specific persons to be responsible for the provision and follow up on the data. If you put down the whole institution or organization, nobody might feel responsible in the end, herewith compromising the quality of your monitoring. Fill in the respective column (responsible for data collection) in the plan corresponding to the data the identified responsible stakeholders report on.

Furthermore, you need to clarify in the section on reporting who the respective responsible persons in the institutions or organizations submit the monitoring reports to.

Set reporting timelines

In order to collect the data regularly, you have to set strict and clear reporting timelines. Usually an annual monitoring report is produced to inform the Parliament or Cabinet and sometimes even the President. This annual monitoring report is based on the data collected by the institutions and organizations you have identified under c. However, to improve the monitoring underway, it is important to collect the data continuously and regularly. Therefore, quarterly monitoring reports should be envisaged to be submitted to the responsible party for the annual monitoring report.

However, this person or structure has to regularly follow up on these quarterly monitoring reports, ensuring their quality and/or determining where implementation of the national action plan is not going well. This information provides the basis for eventual steering of the implementation, should this be necessary.

Define the communication channels

It is important to clarify in the monitoring and evaluation plan who communicates to whom on what. This depends a lot on the national structures of the anti-trafficking response. The more actors involved, the more important is this kind of clarification.

Discuss and clarify who communicates on the regular monitoring reports with whom, to whom challenges in the implementation would be directed, etc. There are different possibilities: communication channels can either be established in a centralistic way where one person and its supporting structure is responsible (which has the downside of putting a lot of responsibility on very few people who need to coordinate and communicate everything), or another

option is to assign focal points within the national anti-trafficking response for either the 3 P's or subsections of the 3 P's and the supporting framework who then in the end report back to the person/body overall responsible of the anti-trafficking response.

As there are many ways to do it, these need to be discussed, clarified, documented (e.g. in the plan) and communicated to everybody.

WHEN

The monitoring and evaluation plan ideally has to be determined right after the national action plan has been drawn and before implementation starts.

It is, however, still possible and – if not done earlier - necessary to draw the monitoring plan even if implementation has already started. After the first quarterly monitoring reports, the plan can and should be revised for possible changes in responsibilities or the like. In general, such a plan is a living and rolling document and should therefore be used as such. It needs to be adjusted as well if any changes are made to the national action plan.

WHO

The drafting of the monitoring plan should be initiated by the highest level within the national anti-trafficking response. Since the structures vary from country to country, it can be either a single person or an inter-agency working group structure or task force. However, in all cases, the task to initiate the drawing of the plan can be delegated or assigned to a relevant person within the anti-trafficking response.

As the exercise should be participatory and include the relevant actors, the relevant stakeholders should therefore form part of the process.

Background 5: **The Dutch Model: The National Rapporteur on Trafficking in Human Beings in the Netherlands**

On 1 April 2000, Netherlands appointed a National Rapporteur on trafficking in human beings as a response to the recommendations of the Hague Ministerial Declaration on European Guidelines for Effective Measures to Prevent and Combat Trafficking in Women for the Purpose of Sexual Exploitation of 1997 (the Hague Declaration) to appoint National Rapporteurs "who report to Governments on the scale, the prevention and combating of trafficking in women" (III.1.4). The rapporteur is an independent position and reports to the Dutch Government, which in return responds to the presented report to Parliament. Furthermore all reports of the National Rapporteur are publicly available on the rapporteur's website (http://english.bnrm.nl/reports). The National Rapporteur, however, does not have power of criminal investigation nor is it a complaints body.

Attention: The Hague Declaration recommended the establishment of National Rapporteurs on trafficking in women. The Netherlands have importantly broadened the mandate of the National Rapporteur to trafficking in all persons, including women, men and children. The function of a National Rapporteur on trafficking in persons can either be established as a government-independent body, as in the Netherlands, or by naming a government structure or ministry, as it was done in Sweden. Sweden has, as the first country to observe the Hague Declaration, appointed the National Police Board as the National Rapporteur on trafficking in women. While there are different advantages to both models, the important issue is that one responsible party is named who serves as National Rapporteur responsible for the regular and transparent collection of data and their analysis on trafficking in persons and the drawing of relevant, informative and accessible annual reports for

Parliament (and the President). Therefore it has to be highlighted that the National Rapporteur, being established as an independent body or appointed from within the existing Government structure, has an important monitoring function guaranteeing increased transparency, monitoring and analysis of the situation of trafficking in human beings in a country. However, the position should be independent from the policy-making and implementing operational structures thereby providing impartial recommendations on the development of national policies and action plans. This implies that the implementing, operational structures still need their own monitoring on targets etc., which the National Rapporteurs office might also consult.

KEY QUESTIONS AND ACTIONS FOR THE PREPARATORY PHASE

Questions	Actions
Do you have a monitoring & evaluation plan?	Ensure that it defines the data to be collected, roles, responsibility for the different actors involved and clear and specific timelines.
If you don´t have a monitoring & evaluation plan, here is what you should do:	
Do you need a review of the national action plan or an evaluation (mid-term, end evaluation, externally or internally conducted) or both?	Document your decision in the plan (using the template from part VII).
What data do you need for effective monitoring of your action plan?	Analyze your national action plan and identify the different data needed to measure your indicators. Identify which source will provide you with the data. Consider results oriented data showing differences in the situation observed additionally to quantitative data.
Which data is available from within the national statistics system or existing databases for trafficking? How reliable is the data?	Analyze which data needed can be provided by the national statistics system or existing trafficking databases. Remember: data for trafficking in human beings needs to be specific, taking into account gender (sex disaggregated data), age, citizenship etc.

What other (external) sources for relevant data exist? Who else could provide the data?	Assess which different institutions/organizations can help with providing the necessary data or could assist in the regular collection. Document and involve them if they are not already part of your task force/committee.
Who needs to be involved in the regular collection of that necessary data?	Define specific and clear responsible parties for the collection of data relevant to monitor your national action plan. Those responsible need to agree to their designation.
What institutional responsibilities exist? Who has to report on the implementation of the action plan, to whom and when?	✓ Identify reporting responsibilities (national, regional, international level). ✓ Identify the responsible institution/structure to provide the ultimate reporting on implementation of the NAP at national level. ✓ Identify who receives the reporting (e.g. annual report to Parliament, Cabinet and/or the President, quarterly monitoring reports to the national anti-trafficking structure). ✓ Identify when the reporting is due.
When is the data needed (regularly, annually and/or quarterly)?	✓ Define deadlines for all other under-year monitoring reports (e.g. quarterly dates). ✓ Define when the data is needed for the national reporting (set deadline for relevant data for annual reporting at 1 month prior to that date in order to submit on time; with regular reporting this will not be necessary).
Who will need the data? In which form and format is the data/reporting on implementation of the national action plan needed or wanted to be reported on?	Define who will need to receive the data and how (in which format). If there is no format defined, discuss the necessary format with the receiving entity.
Have you considered everything that is needed for effective monitoring of your national action plan?	Having considered all the necessary details develop your monitoring & evaluation plan. Include the information you gathered in the format (see template in part VII); share and discuss the finalized plan again amongst the stakeholders involved, if necessary.

B) IMPLEMENATION PHASE

WHAT

During the implementation phase, the following steps have to be undertaken:

Regularly collect the relevant data as indicated in the monitoring and evaluation plan:

- Observe the relevant standards and national legislation for data collection and transmission in the area of trafficking in persons;
- Inform and, if necessary, train all institutions/organizations involved in the data collection and transmission on the relevant standards, legislation and necessary procedures;
- Coordinate the data collection amongst the different parties involved (different ministries, police, border police, NGOs).

Fill out monitoring progress reports within the timeframe agreed upon in the monitoring plan and

Submit the completed progress report to the designated national entity.

HOW

There are certain standards which you should follow when collecting and analyzing the data necessary for the monitoring. Train the relevant institutions and responsible party involved, if necessary:

- The process of data collection should, in general, be as simple as possible. Data collection is a means for monitoring, review and evaluation, not a means in itself. Hence, **time and effort** spent on data collection should be justified considering the insights that can be gained through the analysis of the collected data. Therefore you should use any data already collected by other actors, ensuring that the relevant standards are met during data collection.

- **Legal provisions** usually regulate the protection of personal data and also that of (potential) victims. Their existence and scope differs from country to country. Besides the national legal provisions on data protection (which, if they are not in place yet or not yet harmonized with international or EU standards, could be one important area for action within the action plan), international ethical guidelines (e.g. by the UN)[6] should be applied when dealing with (potential) victims of trafficking. Related to this, the **rights of trafficked persons** have to be protected during the collection of data. (Potential) victims of trafficking have to agree to be interviewed and have to give their consent for the collection of their personal data as well as for the further use of their data. Data should, as a safety and human rights measure, be saved anonymously. Because victims are often traumatized, in order not to re-traumatize them, the below-mentioned principles should be guiding the interviews.

[6] A number of guidelines have been developed by UN agencies, e.g.: the 2008 UNIAP Guide to Ethics and Human Rights in Counter-Trafficking: http://www.no-trafficking.org/reach_micro/uniap_ethics_guidelines.pdf; the 2002 Recommended Principles and Guidelines on Human Rights and Human Trafficking by the United Nations High Commissioner for Human Rights: http://www.no-trafficking.org/reach_micro/uniap_ethics_guidelines.pdf; Several relevant ethical aspects in the fight against trafficking in human beings can also be found in the UNODC Online Toolkit to Combat Trafficking in Persons: http://www.unodc.org/unodc/en/human-trafficking/electronic-toolkit-to-combat-trafficking-in-persons---index.html#6

Tool 10: Guiding Principles for Interviewing Trafficked Persons

There are ten guiding principles for the ethical and safe conduct of interviews with persons who have been trafficked:

- **1. Do no harm**
  Treat each person and the situation as if the potential harm is extreme until there is evidence to the contrary. Do not undertake any interview that will make the person's situation worse in the short or longer term.
- **2. Know your subject and assess the risk**
  Learn the risks associated with trafficking and each person's case before undertaking an interview.
- **3. Prepare referral information – do not make promises that you cannot fulfil**
  Be prepared to provide information in the person's native language and the local language about appropriate legal, health, shelter and social support and security services, if requested.
- **4. Adequately select and prepare interpreters and co-workers**
  Weigh the risks and benefits associated with employing interpreters, co-workers or others and develop adequate methods for screening and training.
- **5. Ensure anonymity and confidentiality**
  Protect a respondent's identity and confidentiality throughout the entire interview process.
- **6. Get informed consent**
  Make certain that each respondent clearly understands the content and purpose of the interview, the

intended use of information, the right not to answer questions as well as to terminate the interview and to put restrictions on how the information is used.

- **7. Listen to and respect each person's assessment of his/her situation and risks to his/her safety**
  Recognize that each person will have different concerns, and that the way he/she views his/her concerns may be different from how others might assess them.
- **8. Do not re-traumatize the interviewed person**
  Do not ask questions intended to provoke an emotionally charged response. Be prepared to respond to a person's distress and highlight his or her strengths.
- **9. Be prepared for emergency interventions**
  Be prepared to respond if a person says he or she is in imminent danger.
- **10. Put information collected to good use**
  Use information in a way that benefits an individual or that advances the development of good policies and interventions for trafficked persons.

Source: adapted from World Health Organisation (WHO) (2003)

- It is important to secure the **confidentiality** of staff involved in the collection of data. This can be done by a confidentiality agreement. However, one has to be aware that confidentiality is often limited when it comes to court procedures and staff might have to serve as witnesses.

- Neither trafficked persons nor traffickers are a homogeneous group. In order to be able to analyze the data and to adapt strategies, policies, programmes and projects, data collected

should be disaggregated, meaning it should indicate certain **categories**, such as male/female, age, nationality, ethnicity, disabilities. One of the main problems is the duplication of data and cases, especially with anonymized data. When collecting the data be aware of the danger of duplication. Cross-checking the information in the mentioned categories helps to identify possible duplication.

The responsible party in the designated institutions and/or organizations reporting on a specific indicator or a specific set of indicators must **regularly (e.g. quarterly) fill in the monitoring progress report** with the relevant data and **submit it to the nationally assigned institution/responsible** to collect and process the data ultimately for the annual monitoring report.

Tool 11:	**Monitoring Progress Report – Template**
See part VII Monitoring tables	

Attention: Since there are a variety of different actors involved in the data collection (ministries, police, social services, NGO, border police etc), it is important that a) the data collected is based on the same definitions and assumptions; b) data is collected, if possible, based on the same templates (see IOM/FMIA 2009 for examples and templates) and should be centrally stored; c) data collected for the monitoring contributes to national databases if possible and d) the collection of the data is well managed and coordinated as part of a constant and rolling monitoring process aiming at constant improvement of the data. Where necessary, MoUs can be drawn with the collecting institutions/organization, outlining the specific reporting task, timelines and responsibilities.

WHEN

The data collection is a consecutive process. However, a deadline and pressure for submission of the collected data (e.g. in a quarterly progress report) usually supports the sustainability and commitment. The submission of the monitoring progress reports depends on the set timelines in the monitoring and evaluation plan and can be monthly, quarterly (recommended) or bi-annually.

WHO

- All relevant stakeholders that have been identified as responsible for a data source or for collecting the data for indicator(s) in the monitoring and evaluation plan.
- The (assigned) responsible for the management, steering and coordination of the collection process.

KEY QUESTIONS AND KEY ACTIONS FOR THE IMPLEMENTATION PHASE

Questions	Actions
Are the relevant actors involved in the regular data collection familiar with the relevant standards and legal implications of data protection?	If they are not familiar, train them and raise their awareness. Where possible, operate with standardized templates and/or discuss them in your task force or working group.
Do all the responsible parties identified submit progress data reports?	If the progress data reports are not submitted on time, a list could be circulated on the submission status of the data.
Is there need for coordination of the data collection?	Data being collected by different entities requires coordination and contact of those entities involved. The NC might need to enforce such close cooperation and dialogue.
Would any kind of cross-country cooperation /regional cooperation on the monitoring help? If so, who could you cooperate with?	In view of trafficking being a problem that does not stop at borders, consider and enforce cooperation across borders, especially in the area of data collection (particularly true in the case of identified victims and re-patriation). Additionally, consider taking part in the efforts around harmonizing data collection and information-sharing in the OSCE area.

C) REPORTING PHASE

WHAT

Within the overall implementation of a national action plan, different types of reporting with different timelines apply:

(1) Monitoring progress reporting (within the year, e.g. quarterly or bi-annually)

(2) Annual progress reporting (by the respective party responsible for reporting)

(3) Review and/or evaluation report

(4) International reporting

HOW

(1) Monitoring progress reporting (within the year, e.g. quarterly)

The submitted progress reports by the individual institutions should be jointly stored and analyzed upon receipt. Depending on the preference, a database can be established for the data to be reported regularly. More important than the actual administration of the overall data in terms of safe storage, however, is that the data is analyzed by the responsible party for the national anti-trafficking response.

The data submitted should be used to steer the implementation of the action plan and to act where necessary on shortfalls in the implementation. With the monitoring progress reports, challenges in implementation can be identified and acted upon. This shows that, under certain circumstances, the reporting phase importantly overlaps with the implementation phase.

(2) Annual progress reporting

The annual progress reporting on the implementation of the NAP by the structure regularly reporting to the Parliament, Cabinet, President or other authorities in the country can in some cases coincide with the general annual reporting foreseen by the National Rapporteur, if established. In the latter case the reporting should be combined. Therefore, a structure for an annual monitoring report is proposed that entails a general section on assessment of developments in the area of trafficking in human beings, trends emerging, meaning possible changes in the scope of the problem or in patterns, either how traffickers operate (recruitment, routes, means of exploitation, etc.) or changes related to the victims (vulnerability, re-trafficking, gender, age, geographical areas or ethnicity). The analysis of the country's legal framework, the compliance with the legal international framework is also important and should be integrated into the report.

This combined annual monitoring report furthermore offers one section on monitoring of the implementation of the NAP at outcome level, presenting and assessing the results and achievement. The progress reports feed into this annual monitoring report as they provide the basis for the data and an assessment whether the implementation of the action plan is on track or whether and where it requires adjustment.

In preparing this report, the progress data has to be analyzed differently and put into broader perspective. Where possible, the party responsible for preparing the annual monitoring report should seek as much input from the wider stakeholder group as possible (e.g. a preparatory meeting of the M&E group 2 months before the report is due with the wider group of stakeholders to discuss the different topics to be reflected in the report). If possible, make the annual monitoring report publicly available (e.g. through a website).

Tool 12:	Annual Monitoring Report – Template

See part VII Monitoring tables and adapt to your situation and needs.

(3) Sharing of the review and/or evaluation report

The review and/or evaluation reports concerning the national action plan have to be widely disseminated and available and accessible to inform the general public.

International reporting

There are sections in the reporting on CEDAW, the Convention on the Rights of the Child (CRC) and the UN Convention against Transnational Organized Crime and its corresponding Protocol to Prevent, Suppress and Punish Trafficking in Persons, especially Women and Children that require the input of the national responsible parties on trafficking in persons. The arrangements in the development and submission of such reports differ amongst countries. The important issue, however, is that the respective responsible structure/person provides the input required on activities and changes in the area of trafficking, which is facilitated by regular and responsible monitoring and reporting. If a National Rapporteur has been appointed, his/her role in the (international) reporting has to be clarified.

WHEN

There are different timelines for the different ways of reporting related to trafficking in human beings:

- For the **monitoring progress reports** the due date is fixed in the monitoring plan (e.g. quarterly dates)

- For the **annual reporting** on the implementation of the national action plan of the responsible for the national anti-trafficking response the due date is fixed every year at a specific time.

- The **reporting on relevant international conventions** is usually due every 4 years and the due dates and years differ from country to country.

WHO

- Those responsible for the submission of the quarterly reports are identified in the monitoring and evaluation plan.

- The annual reporting (to Parliament, Cabinet and/or the President) usually lies within the responsibility of the corresponding national responsible party and/or the appointed National Rapporteur in the country. If the National Rapporteur is reporting, it should, however, be combined with information on the status of implementation of the action plan.

- According to the responsibilities set out, the national responsible or National Rapporteur has to submit his/her input to those responsible for the international reporting.

KEY QUESTIONS AND KEY ACTIONS FOR THE REPORTING PHASE

Questions	Actions
How should the progress report information be stored?	Decide how to centrally and safely store the data of the progress reports (e.g. develop one database to inform annual reporting).
What do the progress reports reveal on the status of implementation?	Have the national responsible party, possibly within his/her team, analyze what the progress reports reveal on the status of implementation. Act where necessary if the data show challenges in the implementation.
What trends can the data offer in the three different areas and the supporting framework? Are there new developments in the area of trafficking in human beings that would require the legislator to act, the executive to get differently engaged, actors to be trained on new phenomena?	Document new developments in the annual monitoring report. If necessary, discuss these beforehand in a meeting with a broader group of stakeholders to come up with a majority opinion and consensus.
How should it be ensured that information on the status of implementation of the NAP is available?	According to national possibilities and regulations, grant access to the annual monitoring information to the wider public.
What do we need to report on international conventions and when?	Ensure that relevant input for reporting on CEDAW, the CRC, the UN Convention against Transnational Organized Crime and its related Protocol is granted.

D) REVIEW OF NATIONAL ACTION PLANS AGAINST TRAFFICKING IN PERSONS

WHAT

The regular review of the national action plans is especially important when no anti-trafficking strategy is in place, since in this case it outlines both the strategic and operational response to trafficking in human beings in the country. The timelines for a review depend again on the duration of the action plan, which tends to vary (it can, for example, run for 2, 3 or 4 years).

A review is often referred to as an evaluation. However, in the case of national action plans against trafficking in human beings, a review refers to looking at the overall plan, analyzing whether the goals, outcomes and planned activities to reach the outcomes are still valid. The review is, thus, not so much related to the actual overall achievements of the action plan but rather related to ensure a possible adaptation of the plan to newly emerging trends, facts or changes that occurred in the general framework of the anti-trafficking response. The purpose of a review is to ultimately enable the national anti-trafficking response to adequately react to and adjust to new developments in trafficking in persons.

The review, therefore, has to profoundly deal with the following issues:

- What are the general developments in the area of trafficking in human beings?
- Are the envisioned results in the action plan still relevant when taking into account the general developments in trafficking?
- Were all the necessary areas covered with the national action plan (supporting framework, prevention, protection and prosecution)?
- The attainment of results
    - General assessment and description: What results have been attained, what is the impact?
    - Which outcomes have been achieved and to what extent (against the baseline established)?
    - Which outputs have been produced and how have they been used to achieve the outcomes and results?
- What have been contributing / impeding factors for the implementation of the national action plan and the attainment of the results?

- What are important lessons learned (content, implementation and implementation structures, resources)?
- Should the national action plan in its present form be adapted or changed?

A review report has to be drawn with the discussions and conclusions of these issues, disseminated and made publicly available.

HOW

A review should generally be a participatory process involving the strategic decision-makers as well as the implementers of the national action plan. This way, both perspectives can importantly complement each other.

Participatory review

The review should be initiated and steered by the top national coordination structure of the anti-trafficking response but undertaken in a participatory approach involving the broader group of relevant. Get an experienced moderator or two to guide you through the process. Calculate 1-2 days for adequate results.

The outlined relevant issues for the review should be discussed and documented in working groups to attain an assessment of the situation by majority and consensus. This way the review qualifies as a learning process for everybody involved.

All results should be documented in a report which should first be circulated for comments and additions and made publicly available thereafter.

Centralized review

Should the national situation and structure of the anti-trafficking responses not support such a participatory review, a cen-

tralized review can still be considered. This review would only include the top of the national anti-trafficking response—the strategic responsible parties rather than the operational implementers. However, the discussions and considerations have to be the same; the outlined questions have to be discussed in meetings of the designated group which should still be composed in a way to represent at least the 3 P's and the supporting framework. At least one opinion-holder from the implementers group should in this case be allowed to either participate or give an input on the perceived adequacy of the national action plan as it has been implemented, outlining possible areas for improvement. The results of this smaller review group should afterwards be submitted to the stakeholders involved for comments and additions. The final review report should again be publicly available.

WHEN

A review of an action plan against trafficking in human beings should take place at least every two years. If an evaluation(mid-term or end) takes place, the evaluation replaces the need for a review process.

WHO

The overall responsible structure for the anti-trafficking response in the country is responsible for steering, supervising and undertaking the review jointly with the other stakeholders. Issues arising need to be discussed with all stakeholders involved during a review. The role of a National Rapporteur (if established) in a review should also be clarified. He/she could, however, give substantial input and recommendations throughout the review.

KEY QUESTIONS AND KEY ACTIONS FOR THE REVIEW OF NATIONAL ACTION PLANS

Questions	Actions
What do you need to undertake the review and who should participate in it?	Start the necessary preparations for the review; decide on the scope, the timeline and relevant participants.
During the review, discuss the following issues:	
What are the general developments in the area of trafficking in human beings?	Discuss and document the trends and new patterns in the area of trafficking.
Did the plan cover all areas (supporting framework, protection, prevention, prosecution)?	Discuss the plan as a whole, whether it succeeded in covering the necessary areas for the anti-trafficking work in the country. Was something missing?
Are the results envisaged in the action plan still relevant and adequate?	Discuss the relevance of the results vis-à-vis the previous discussion.
What results, outcomes and outputs have been attained?	Jointly analyze your results. Did our interventions have an unintended negative impact on certain population groups? Jointly analyze the findings.
What have been contributing / impeding factors for the implementation of the NAP?	Get more knowledge about the framework conditions and its impact on your work.
What are lessons learned?	Discuss and analyze whether you have been doing the right things. Are the institutional arrangements adequate, did you have enough resources and were they spent wisely? What could/should be done differently, what led to good results and could be replicated elsewhere?
What is the way forward?	Depending on your lessons learned, revise or adjust the action plan. Decide and plan the next steps for it.

VI

EVALUATION OF NATIONAL ACTION PLANS AGAINST TRAFFICKING IN PERSONS

VI

EVALUATION OF NATIONAL ACTION PLANS AGAINST TRAFFICKING IN PERSONS

INTRODUCTION

Evaluation refers to the overall project, programme strategy or policy achievements and their relevance, in this case, to the evaluation of the achievements, results and relevance of the national action plan against trafficking in persons. In general, an evaluation can have varying purposes, such as to improve the project, programme, strategy or policy, to contribute (with learning points) to a continuation or new phase of the project, programme, strategy or policy and/or to account for the resources spent.

Evaluations, similar to review and monitoring should follow a participatory approach involving all relevant stakeholders and, if possible, selected beneficiaries. This allows not only an overall view on the achievements, results and changes accomplished (or not) but also caters for improved ownership, accountability and transparency for everybody involved in the implementation of the national action plan against trafficking in persons.

WHAT

(1) Determine the scope of the evaluation to be conducted:

- External evaluation versus internal evaluation
- Mid-term evaluation versus end evaluation

(2) Conduct the evaluation:

- Develop terms of reference (ToR) for the evaluation.
- Identify internal or external evaluation and anti-trafficking expert(s).
- Disseminate results of the evaluation.
- Use results of the evaluation for a follow-up plan.

HOW

(1) Determine the scope of the evaluation to be conducted.

The decision of whether to undertake an evaluation of the national action plan against trafficking in human beings and which type of evaluation depends on a number of factors:

- **The general purpose and objectives of the evaluation:** What is the purpose of the evaluation? Do we have concrete questions we want to answer through the evaluation?
- **The duration of the plan:** Does the duration of the plan justify a mid-term evaluation?
- **Impact of the evaluation:** Is the assumed impact significant enough to justify an evaluation? Can the information needed also be obtained during a review mission?

External or internal evaluation:

An external evaluation would mean to involving evaluation experts not related to the national action plan or its implementation, herewith bringing in an external perspective. This has, however, fi-

nancial implications as external evaluators will require to be identified and be paid for their services.

If an evaluation is to be conducted externally, a related question is how big the evaluation team should be (one person or a team). This mostly depends on the size, the extent and complexity of the national action plan to be evaluated.

If, however, an evaluation is to be conducted internally, evaluators with the necessary capacity and profile should be selected. Another important aspect is that the internal evaluators should have the trust of the stakeholders. They would need to follow a strict set of rules, guiding questions etc., which they need to develop such as is the case in the framework of an external evaluation (for more information on the necessary steps see external evaluation section below).

Attention: When choosing evaluators, it is important to ensure they have the full acceptance of all relevant stakeholders. Acceptance might increase with a transparent and open selection process. Otherwise, it might be difficult for them to access certain information, especially qualitative data during the actual evaluation.

Mid-term or end evaluation:

As already outlined, deciding on when evaluation takes place depends on the duration of the plan. With a 2-year national action plan, a review would be the adequate instrument and, if the duration is 4 years, a review or mid-term evaluation after 2 years and an evaluation at the end could be considered. However, the decision is very much dependent on the situation in the country, on the structure of the national anti-trafficking response and on how inclined the implementation structures are towards learning from an evaluation of the implementation of the national action plan

since a mid-term evaluation provides the opportunity for important insights and corrections in the implementation undertaken.

(2) Conduct the evaluation.

When conducting an external evaluation, you have to:

- Determine the duration and timing of the evaluation;
- Secure funds for conducting external evaluation; and
- Develop terms of reference (ToR) for the evaluator(s).

When conducting an internal evaluation, you have to:

- Determine the duration and timing of the evaluation;
- Identify suitable internal candidates to undertake the evaluation, ensuring their capacity, independence and acceptance within the anti-trafficking response;
- Ensure time and availability of the internal evaluator(s) identified;
- Develop terms of reference (ToR) for the internal evaluator(s), identifying scope and methodology (desk review and interviews or focus group discussions with all relevant stakeholders) and circulate them amongst the stakeholders.

Tool 13:	Terms of Reference for Evaluators – List of Content

The ToR for the evaluator(s) should outline all important details:

- Goals, purpose of the evaluation;
- Background on the issue (outlining the national action plan, institutional arrangements, mapping of the different actors involved);
- Approach/Methodology to apply for the evaluation (research and collection of the necessary data, participatory approach, conduction of interviews, focus groups - all including wide-range consultation of stakeholders), including guiding evaluation questions according to the purpose you have defined for the evaluation;
- The detailed terms of the evaluation: number of days, place, expected outputs (e.g. a report with the evaluation results with concrete recommendations for action and lessons learned, a dissemination workshop), remuneration;
- The services and or products that will be rendered to the evaluators during the evaluation (e.g. transportation, relevant materials, access to a meeting room and workstation, support for appointments etc.). In addition, it must be ensured that the evaluator(s) have access to all relevant data and materials available;
- Expected profile(s) of the evaluator(s) (impartial, with no prior contact to the project, implementation and plan; independent, qualified, dutiful etc.). If it is a team, the expertise should be complementary with a balance of evaluation skills and relevant thematic and national or at least regional knowledge (in TIP) as well as gender balanced.

Tool 14: The five DAC Criteria for Evaluation

The Development Assistance Committee of the Organisation for Economic Co-operation and Development (OECD-DAC) has developed a set of criteria for evaluation. They are not only helpful in assessing results but also, being international criteria and often observed, offer a certain degree of comparability of results. It is, therefore, useful to integrate these criteria as an evaluation design to the terms of reference (TOR).
The evaluation report (one of the expected outputs) must cover:

- The development and policy context
- The institutional context
- The socio-political context
- Implementation arrangements (including monitoring arrangements)
- Assessment of results.

The assessment criteria:

Relevance. Is the national action plan relevant (consistent with the national framework and policies, relevant to the beneficiaries etc)?

Effectiveness. To which extent were the intended outcomes, results and outputs achieved?

Efficiency. Were resources cost-effectively put to use while implementing the national action plan in relation to the achieved results?

Impact. Positive and negative, primary and secondary long-term, intended or unintended effects produced directly or indirectly by an intervention.

Sustainability. Will the benefits of the achievements of the national action plan remain and continue on a long-term basis? How sustainable are the achievements of the national action plan?

Identify evaluation expert(s):

With the TOR developed, you can identify your experts through a tendering process. Select suitable candidates from the applications sent in based on an assessment of their financial/technical proposal and their references.

Disseminate results of the evaluation:

For an optimal learning process, the results of the evaluation should be disseminated and discussed by the evaluator(s) in a participatory approach with the involvement of multiple, relevant stakeholders of the anti-trafficking response and the implementation of the national action plan.

Use results of the evaluation for a follow-up plan:

The results of the evaluation, recommendations and lessons learned need to be further used and should feed into the development of a new action plan or any other planned action in the area of the anti-trafficking response in the country. It is recommended to have a participatory workshop at the end of the evaluation to share and discuss the findings and to undertake a joint analysis of critical questions.

WHEN

Depending on the decision taken, the evaluation would be undertaken either:

- Mid-term or
- At the end of the national action plan against trafficking in human beings.

Attention: An evaluation requires a lot of time and dedication in its preparation and conduction. Be aware of this fact and – in case of an end evaluation - start preparations as early as 5 months before the end of the national action plan.

WHO

The overall coordination of the evaluation should lie within the official responsible structure for the national anti-trafficking response. In addition, it is recommended to appoint a civil society representative to accompany the evaluation in order to ensure the integration of a broader and more independent perspective on government actions. Especially when civil society and NGOs contribute importantly to the anti-trafficking interventions, their representation and/or concrete participation should be ensured.

VII

MONITORING TABLES

VII

MONITORING TABLES

The templates provided in this section serve as an orientation. In case of multiple reports - as is the case with the Progress Reports - the format should not be adapted unilaterally since it will jeopardize comparability of information. However, if necessary, all the templates presented can be adapted to the specific situation and needs.

I MONITORING AND EVALUATION PLAN – TEMPLATE

Purpose:
- Plan for monitoring and evaluation of the National Action Plan against Trafficking in Human Beings in country xxx, running from xxx to xxx.

Context:
- Short paragraph on national structures, roles and definition of responsibilities for THB
- Communication: what are the channels of communication and who communicates with whom on what (progress, challenges, general implementation issues), who is the entry point to the ultimately responsible structure (however, some things might have to be clarified with supporting structures)

Reporting:
- Short text clarifying:
  - Which data and reports go when to whom (Monitoring)
  - Who writes the annual monitoring report
  - Joint discussion of the annual monitoring report
  - Presentation of the annual monitoring report to Cabinet, Parliament or the like (including timeline, if it exists)

Review & Evaluation:
- Define whether to do a review of the NAP or an evaluation (mid-term or end evaluation)
- Define purpose of the review / evaluation
- Define timing / frequency of review / evaluation
- Who is responsible for the review and/or evaluation? (overall responsibility, detailed responsibilities)

1. Supporting Framework						
Outcome x:						
Outputs	Indicators	Baseline	Targets	Means of verification	Frequency of data collection	Responsible (who collects the data)
Outcome x:						
Outputs	Indicators	Baseline	Targets	Means of verification	Frequency of data collection	Responsible (who collects the data)
Outcome x:						
Outputs	Indicators	Baseline	Targets	Means of verification	Frequency of data collection	Responsible (who collects the data)
2. Prevention						
Outcome x:						
Outputs	Indicators	Baseline	Targets	Means of verification	Frequency of data collection	Responsible (who collects the data)
Outcome x:						
Outputs	Indicators	Baseline	Targets	Means of verification	Frequency of data collection	Responsible (who collects the data)
Outcome x:						

Outputs	Indicators	Baseline	Targets	Means of verification	Frequency of data collection	Responsible (who collects the data)
3. Protection						
Outcome x:						
Outputs	Indicators	Baseline	Targets	Means of verification	Frequency of data collection	Responsible (who collects the data)
Outcome x						
Outputs	Indicators	Baseline	Targets	Means of verification	Frequency of data collection	Responsible (who collects the data)
Outcome x						
Outputs	Indicators	Baseline	Targets	Means of verification	Frequency of data collection	Responsible (who collects the data)
4. Prosecution						
Outcome x						
Outputs	Indicators	Baseline	Targets	Means of verification	Frequency of data collection	Responsible (who collects the data)
Outcome x:						

Outputs	Indicators	Baseline	Targets	Means of verification	Frequency of data collection	Responsible (who collects the data)
Outcome x:						
Outputs	Indicators	Baseline	Targets	Means of verification	Frequency of data collection	Responsible (who collects the data)

II MONITORING PROGRESS REPORT – TEMPLATE

Monitoring Progress Report – National Action Plan against Trafficking in Human Beings

Institution / organization (filing the progress report)		
Contact person		
Reporting period		
Reporting to		
General observations / comments (on changes observed etc)		
Field (Supporting Framework, Prevention, Protection, Prosecution)		
Outcome x		
Planned result /target		
Achieved result(s)		
Indicator (x1)[7]		
Planned result /target		
Baseline		
Output(s) (achieved)		
Activity /activities (implemented)		
Assessment: the result is	Off track:	On track:
Budget		
Donor(s)		

[7] The x stands for a number of the outcome. Since one outcome usually has more than one or two indicators, it is indicated as indicator x (referring to outcome x), number 1, the second indicator as indicator x2 and so on, as many as you have to report on. For each outcome and corresponding indicators the table needs to be repeated.

Comment		
Indicator (x2)		
Planned result /target		
Baseline		
Output(s) (achieved)		
Activity /activities (implemented)		
Assessment: the result is	Off track:	On track:
Budget		
Donor(s)		
Comment		

Please observe: if your institution has the responsibility for more than one outcome or respective indicators, repeat the columns from the thick line below for another outcome. For more indicators, just copy and add from the column Achieved result(s) up to the next indicator.

Assess whether (measured against the target(s) set) your achievements are on track or off track. This assessment must be realistic and match the targets set against the achieved results. If necessary, include any explanation and/or observations in the comment line.

III ANNUAL MONITORING REPORT - TEMPLATE

Annual Monitoring Report on the implementation of the National Action Plan and general developments in the area of trafficking in human beings – template

1. Introduction

- Who reports on what (institution, contact person)
- Reporting period
- Who to report to
- Who has been part of the reporting

2. Observations of developments in the area of trafficking in persons

- Nature and scale of the problem and developments
- Developments in the modus operandi of perpetrators in trafficking in persons
- Developments in the profile of victims (important information for possible prevention measures)

3. The national anti-trafficking policies and legal framework

- Changes in policies and the legal framework

4. Compliance with the international legal standards

- Status of and/or changes in the legal framework relating to compliance with the international legal standards

5. Progress in the implementation of the National Action Plan against Trafficking in Human Beings (year – year)

a. General observations:

- How has the implementation been proceeding in the reporting phase, general assessment
- Institutional arrangements for implementation, general assessment
- Challenges identified
- Review /evaluation planned (if review/evaluation in progress, present a short summary of the findings)

b. Detailed progress of the implementation of the NAP:

Overall results and achievements in the reporting period:

- Description of overall results /achievements of the implementation (in relation to the goals and outcomes, the changes the NAP has aspired to, describing the changes that can be attributed to the activities as part of the implementation of the national action plan)

Detailed results and achievements in the reporting period:

Supporting Framework:	
Outcome x	
Outcome x	
Outcome x	
Achievements:	- Description of change achieved, taking into account the data collected

Activity /activities implemented		
Assessment: The implementation in this area is (measured against the fulfilment of the indicators)	Off track:	On track:
Comments (provide further information if the implementation is off track)		
Resources spent:		
Prevention:		
Outcome x		
Outcome x		
Outcome x		
Achievements:	- Description of change achieved, taking into account the data collected	
Activity /activities implemented		
Assessment: The implementation in this area is (measured against the fulfilment of the indicators)	Off track:	On track:
Comments (provide further information if the implementation is off track)		
Resources spent:		

Protection:		
Outcome x		
Outcome x		
Outcome x		
Achievements:	- Description of change achieved, taking into account the data collected	
Activity /activities implemented		
Assessment: The implementation in this area is (measured against the fulfilment of the indicators)	Off track:	On track:
Comments (provide further information if the implementation is off track)		
Resources spent:		
Prosecution:		
Outcome x		
Outcome x		
Outcome x		
Achievements:	- Description of change achieved, taking into account the data collected	
Activity /activities implemented		

Assessment: The implementation in this area is (measured against the fulfilment of the indicators)	Off track:	On track:
Comments (provide further information if the implementation is off track)		
Resources spent:		

c. Observations, comments

- Outline any observations or comments relating to the implementation of the NAP you might have.

d. Lessons learned

- Outline any lessons learned in the reporting period that will cater for a different approach in the next reporting period.

e. Next steps / Way forward

- Give an overview on how you (the anti-trafficking response) plan to proceed in the next reporting period, taking into account either institutional changes, changes in focus, necessary changes through new developments, follow-ups on a review or evaluation or the upcoming preparation of one.

REFERENCES

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ANNEX I

MODEL TEMPLATE FOR A NATIONAL ACTION PLAN AGAINST TRAFFICKING IN HUMAN BEINGS

In the following you find a model template for a NAP against THB which is an updated version of the one in the Guidelines for the Development and Implementation of a Comprehensive National Anti-Trafficking Response (ICMPD, 2006).

Especially if there is no separate strategy on trafficking in persons in place, the use of the full table proposed is advisable since it facilitates the logic of results-based planning, which then is also important to be able to draw a results-based monitoring.

Required fields for an effective NAP are:

- Goals. In case there is a strategy in place, the goals of the NAP should match the strategy as it is an implementation tool for the strategy developed.

- Outcomes. The change the action plan wants to achieve in terms of supporting framework, prevention, protection, prosecution. Several outcomes per area can be formulated. The outcomes should relate to the achievement of the strategic goals (and objectives of the strategy, if available).

- Indicators. The indicators need to be at outcome and output level, formulated in a way so they do not simply measure the activities but also the change planned for. Several indicators can be developed for one outcome/output.

- Output. Services or products to be delivered and used that will contribute to the outcome (change) envisaged.

- Activities. The activities needed to achieve the indicators (herewith contributing to the outcome). A set of activities is possible to achieve one outcome.

- Those responsible. Multiple stakeholders are usually involved in the national anti-trafficking response and the issue cuts across different sectors. The responsibles are therefore manifold and it is vital to identify who is responsible for exactly what area in the NAP.

- Timelines. These need to be as specific as possible, indicating periods that can be measured so that monitoring can indicate whether the implementation is on track.

- Budget (financial and human resources). It is important to know what resources are going to be needed to implement the NAP and specific measures. A budget indication is therefore necessary.

Introduction: short description of the scope of the problem and the structures for the fight against trafficking in human beings in place in the country (e.g. inter-agency approach, responsibilities etc.)

Strategic Goal: overall goal from the strategy or, if none in place, one developed for the NAP

Vision / Mission: vision or mission from either the strategy or the vision/mission developed for the NAP

Approach: description of the approach taken to fight trafficking in persons (e.g. human rights-centred approach, focus of the NAP deriving from the scope of the problem in the country etc., how gender, children as victims of trafficking in persons, forced labour etc. are considered in the approach and the NAP

Strategic Goal	Outcome	Indicators	Outputs	Activities / Sub-activities	Responsible parties	Timeline	Budget (financial & human resources)
1. Supporting framework							
1.1 Co-ordination structures							
1.2 Legal and regulatory framework							
1.3 Information management and research							
1.4 Resource and budget mobilization							
1.5 Review, monitoring and evaluation							
2. Prevention							
2.1 Awareness-raising and education							
2.2 Reduction of vulnerability							
2.3 Administrative controls							
3. Protection							
3.1 Victim identification							
3.2 Reflection/recovery period and residence status							

Strategic Goal	Outcome	Indicators	Outputs	Activities / Sub-activities	Responsible parties	Timeline	Budget (financial & human resources)
3.3 Social support and protection of victims							
3.4 Access to civil procedures, witness protection and judicial treatment of trafficked persons							
3.5 (Re)-integration, social inclusion, return							
4. Investigation and Prosecution							
4.1 Balance of proactive and reactive investigation							
4.2 International law enforcement and judicial co-operation							
4.3 Prosecution and conviction of offenders							
4.4 Legal redress and compensation for victims							
4.5 Police and judicial treatment of victims / witnesses							
4.6 Anti-corruption measures*							

* All the sub-points in this template are suggestions based on the guidelines for the development and implementation of a comprehensive national anti-trafficking response. Should the assessment of your situation in the country or the strategy, however, suggest that there is no need for action in that particular field, please feel free to adjust the format and the sub-points to your specific national needs and situation.