# Annex A
## List of Consultations

# Annex B

## Risk Matrix

# Annex C
## Gender Strategy

# Annex D

## Monitoring and Evaluation Strategy

## Glossary of Key Terms[1]

| TERM | DEFINITION |
|---|---|
| **Accountability** | The obligations of partners to act according to clearly defined responsibilities, roles and performance expectations, often with respect to the prudent use of resources, delivery of quality outputs and the achievement of meaningful results. |
| **Assumptions** | Hypotheses about factors or risks that could affect the progress or success of a development intervention and that are considered to be largely outside of the control of the activity implementation team. |
| **Baseline** | An analysis describing the situation prior to or without a development intervention, against which progress can be assessed or comparisons made. |
| **Beneficiaries** | The individuals, groups, or organizations, whether targeted or not, that benefit, directly or indirectly, from the development intervention. |
| **Boundary Partners** | Those individuals, groups, or organizations with whom the program interacts directly and with whom the program can anticipate some opportunities for influence. Referred to in the Outcome Mapping approach to monitoring and evaluation. |
| **Evaluation** | The systematic and objective assessment of an on-going or completed activity, program or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability. It can be of an ongoing (formative evaluation) or completed activity (ex-post evaluation). In AusAID the terms evaluation and review are frequently used interchangeably. |
| **Goal** | A Management by Objective term referring to the higher-order objective to which an intervention is intended to contribute. Sometimes referred as the vision. Analogous to the Results-based Management term 'impact'. |
| **Impacts** | Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended. Impact may also be used as being analogous to the result achieved at the 'goal' level. Sometimes referred to as the ultimate outcome. |
| **Indicator/ Verifiable Indicator** | Quantitative or qualitative factor or variable that provides a valid and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor. |
| **Activity** | An AusAID-supported intervention (e.g. project, sector-wide program, co-financed initiative, facility, budget support etc.). |
| **Lessons Learned** | Generalisations made based on evaluation experiences with initiatives or policies that abstract from the specific circumstances to broader situations. Frequently, lessons highlight strengths or weaknesses in preparation, design, and implementation that affect the quality of deliverables/outputs, outcome, and impact. |
| **Logframe** | Management tool used to improve the design of interventions, most often at the project/activity level. It involves identifying strategic elements (i.e., inputs, outputs, purpose and goal statements), their causal relationships and the underlying assumptions for these relationships to hold, indicators of progress, and the means of verification/methods of inquiry to gather this information on success and/or failure. It thus facilitates planning, implementation and evaluation of a development intervention. |
| **M&E Arrangements** | Documentation prepared at entry to enable performance assessment of an intervention (i.e., Logframe, M&E section of design document, risk matrix, responsibility matrix, implementation schedule, cost schedule, report schedule & formats, baseline data plan, mobilisation M&E plan).During implementation these resources will be supplemented with various reports, processes and structures required by AusAID (i.e., Annual Plans, QAI, other reports, PCCs/tripartite meetings, TAGs/WB supervisory missions, contractor performance assessments, Post Monitoring Plans/CPRAMPs, Post visits, MTRs/Initiative Implementation Reviews & M&E Plan). |
| **M&E Framework** | A summary format outlining the data, methods and responsibilities required to implement the M&E Plan. |

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[1]These definitions are primarily adapted from AusAID's Activity Level Monitoring and Evaluation Guidance Note

| TERM | DEFINITION |
|------|------------|
| **M&E Plan** | A discrete/stand-alone document prepared during the start-up/mobilisation phase of an intervention that synthesises and refines M&E arrangements agreed during the design phase. Also referred to as 'M&E arrangements' and 'M&E system'. |
| **Means of Verification** | A defined tool or procedure for the capture of M&E information from identified subjects of inquiry. Also called Method of Inquiry. |
| **Monitoring** | A continuing function that uses systematic relevant stakeholders. collection and analysis of information on specified indicators to provide management and the main stakeholders, of an ongoing development intervention, with indications of the extent of progress and achievement of objectives and an understanding of progress in the use of allocated funds. |
| **Most Significant Change (MSC)** | MSC is a form of participatory monitoring which involves many project stakeholders in deciding the sorts of change to be recorded and in analysing the data. It is a form of monitoring because it occurs throughout the program cycle and provides information to assist program management. It also contributes to evaluation because it provides data on impact and outcomes that can contribute to assessment of program performance as a whole. As it is simple and easy-to-use. |
| **Objective** | An explicit statement, a measurable outcome, the intended purpose or aim of the activity that can be plausibly achieved in the timeframe of our support. This term has replaced the use of "Purpose" in AusAID activity design and planning documents. |
| **Outcome** | The intended or unintended effects of the outputs from an activity. Outcomes are the events or changes in conditions, institutional arrangements, behaviour or attitudes that we hope will occur as a result of our activity. In contrast to outputs, outcomes are the results from the actions of multiple stakeholders but they are influenced by the outputs of the activity. It is helpful distinguishing between 'immediate' or short-term outcomes (e.g., levels of satisfaction amongst attendees at a smoking cessation course), 'intermediate' or medium-term outcomes (e.g., numbers of people still smoking 12 months after the course) and the 'ultimate' or long-term outcome (e.g., reduced death due to smoking related disease). |
| **Outcome Mapping** | Outcome mapping focuses on outcomes which "are defined as changes in the behaviour, relationships, activities or actions of the people, groups and organization."[2] It focuses on 'Boundary Partners' as defined above. |
| **Outputs** | The products, capital goods and services delivered by a development activity to direct/immediate beneficiaries. What our activities produce or our money pays for. They are within or largely within the control of a particular activity, although they may be jointly delivered with partners. They are not 'ends' in themselves, rather they are 'means' to positively influence the outcomes we are seeking to achieve. |
| **Progress Markers** | A set of graduated indicators of changed behaviour for a Boundary Partner that focus on the depth or quality of change, used in the Outcome Mapping approach to monitoring and evaluation. |
| **Purpose** | The term AusAID previously used for the publicly stated objective(s) to be achieved within the life of the development activity. AusAID now uses the term "Objective" for the Purpose level statement. |
| **Results Based Management (RBM)** | RBM has been defined as "a life-cycle approach to management that integrates strategy, people, resources, processes, and measurements to improve decision making, transparency, and accountability."[3] RBM provides the management framework for strategic planning, risk management, performance monitoring and evaluation and taking timely corrective action if need be during the Project Cycle of a program[4]. |
| **Risk analysis** | An analysis or an assessment of factors that affect or are likely to affect the successful achievement of an intervention's objectives. A detailed examination of the potential unwanted and negative consequences to human life, health, property, or the environment posed by development interventions; a systematic process to provide information regarding such undesirable consequences; the process of quantification of the probabilities and expected impacts for identified risks and management strategies. |

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[2] Sarah Earl, Fred Carden and Terry Smutylo, *Outcome Mapping*, IDRC, Ottawa, 2001
[3] Werner Meier , Unpublished, Results Based Management Guide, RBMG, Gatineau: May, 2010
[4] Ibid

| TERM | DEFINITION |
|---|---|
| **Stakeholders** | Agencies, organisations, groups or individuals who have a direct or indirect interest in the development intervention or its evaluation. |
| **Strategic Partners** | Partners with which your project works to achieve specific goals and strategies. Referred to in an Outcome Mapping approach to monitoring and evaluation. |

## 1.    Theory of Change

The AAPTIP program design builds on one of the five objectives of Australia's 2011 Aid Policy which states that effective governance, which improves access to justice and human security, is a prerequisite for development and poverty reduction. As outlined in section 2.2.3 of the Design Document, AAPTIP also complements the 2011 to 2015 Australian East Asia Regional Strategy objectives of 'improved capacity of regional organizations and a 'stronger and more effective partnership between Australia and regional organizations to tackle priority regional issues concentrating on…trans-boundary issues including…human trafficking…;

Australia contributes to criminal justice system strengthening to improve protection of poor and disadvantaged groups from corruption and to provide them with opportunities for redress and compensation. Supporting TIP is an entry point to strengthening regional government responses to social protection challenges. AAPTIP will play a key role in the overall strategy of the Australian Government to reduce human trafficking through capacity building in of the criminal justice sectors of ASEAN member states.

The goal of AAPTIP is 'to reduce the incentives and opportunities for trafficking of persons in the ASEAN region'. The assumption is that a criminal justice system, which features effective investigation, prosecution and sentencing following conviction, is a powerful disincentive to potential perpetrators of human trafficking because the risks of trafficking under such a system outweigh the rewards. In addition, a victim sensitive criminal justice system, which affords poor and excluded groups physical security and greater access to information, reduces their vulnerability and hence the opportunity to be trafficked. Further, an effective criminal justice system can keep victims safe and protected from corrupt practices, increasing their likelihood of testifying in trafficking cases and improving overall system effectiveness – another disincentive to trafficking. A further assumption is that AAPTIP will work to increase the capacity of its regional and national partners through a variety of methods including technical assistance, legal expertise, bringing partners together to learn from one another, research, training, mentoring, and by involving partners more directly in knowledge management and monitoring and evaluation. AAPTIP will use a facilitative approach through which partners will mentor each other by sharing approaches and techniques as well as through access to technical knowledge provided through the ISP.

AAPTIP is designed to address 7 overarching problem areas. Section 2.3 of the Design Document outlines these problems. The theory of change in AAPTIP is that addressing these deficiencies through strengthened capacity at regional and national levels will result in improved legislation, systems and abilities of police, prosecutors and courts to respond to human trafficking and the needs of trafficking victims. In summary, the theory of change for AAPTIP is that strengthened judicial system capacity, through partnering and cooperation, technical support, and improved information reliability, will contribute to reducing incentives and opportunities for trafficking in persons in ASEAN.

The theory of change in AAPTIP proffers that addressing these areas through strengthened capacity at regional and national levels (through SOMTC TIP WG, HSU, ASEC, National TWGs and links with other Australian and other initiatives) will result in improved legislation, systems and abilities (of police, prosecutors and judges) to respond to human trafficking and the needs of trafficking victims.

This theory of change assumes that advisory personnel will work with the key partners who contribute to annual national plans in each country to achieve the goal and key outcomes of AAPTIP. It also assumes that AAPTIP coordinates with complementary Australian supported

regional programs including TRIANGLE, UNIAP, MTV Exit Foundation and Project Childhood. It envisages coordination with whole-of-government partners and initiatives such as the Bali Process, in addition to synchronizing with the activities of other donors and multilateral organisations.

As noted in the theory of change for AAPTIP, described diagrammatically in figure 1, each of the 7 outcomes will be achieved primarily through capacity building activities undertaken with and by partners in particular.

**Outcome 1: 'Strengthened legislative frameworks support effective criminal justice responses to trafficking'** will be realized through the provision of technical assistance to support regional frameworks or agreements, and nationally, to support drafting of nationally identified legislation which address gaps in national laws. For this outcome, change will be created primarily through technical assistance and support to drafters of regional agreements or national legislation and sharing of knowledge and skills between the regional and national levels by the drafters. Success after AAPTIP will include a solid framework of regional agreements and national laws that meet accepted international standards for preventing and responding to trafficking and mechanisms which keep them contemporary.

**Outcome 2: 'Enhanced regional investigative and judicial cooperation on trafficking cases'** will be achieved through improved partnering and cooperation among key relevant stakeholders coordinated by ASEC with assistance from AAPTIP. For this outcome, the vehicle for change will be several levels of stakeholders working together to solve trafficking problems, many levels of stakeholders taking part in regional forums, learning workshops etc. Success after AAPTIP will include routine intra-regional and intra-national cooperation and shared practice between criminal justice and other officials on detection and prosecution of trafficking cases.

**Outcome 3: 'Expanded evidence base for policy development and decision making'** will be gathered through production and use of quality research products synthesized regionally by gathering, collating and acting upon data on performance of national criminal justice systems. Change will occur both through the process of gathering information as part of conducting the research and through the research informing professionals working on trafficking issues at both policy and practical levels regionally and nationally. Post AAPTIP, the reality will be robust and informed decision and policy making on trafficking issues that continues to meet evolving needs being undertaken at regional and national levels.

**Outcome 4: 'Trafficking cases investigated in an effective and responsive manner'** by establishing or strengthening national mechanisms and national procedures of evidence gathering as part of national capacity building through sharing at learning forums, mentoring, and training. Change will be created through implementing the above capacity building techniques. After AAPTIP, there will be sustainable capacity to undertake thorough and victim-responsive investigations into complex and protracted trafficking cases within the region wherever they occur.

**Outcome 5: 'Prosecutors contribute to an effective criminal justice response to trafficking'** through inclusion of strengthened victim-centred and gender responsive approaches developed as part of national level capacity building through learning events, mentoring, training etc. Through these means, prosecutors will gain an improved understanding of the victim perspective and a gender sensitive approach which will inform their approach to prosecution. For AAPTIP, success will be sustainable capacity for

prosecutors to prosecute complex and protracted trafficking cases in a victim-sensitive manner wherever they occur in the region**.**

**Outcome 6: 'Trafficking cases are adjudicated fairly and without undue delay'** through improved national court systems which may include fast tracked trials modeled after similar systems in other locations to which AAPTIP will provide access and context. The most effective way of creating change and fast tracked trials is for senior personnel in national court systems to be exposed to approaches demonstrated by professionals they perceive as peers. As a result of AAPTIP, success will be trafficking cases that are handled in a way which is fair to victims and suspects, and adjudicated in a timely manner reducing the necessity for housing victims in detention centres until cases are disposed.

**Outcome 7: 'Victims of trafficking are fully supported through the criminal justice system'** by strengthening national systems that support victims at all stages of the criminal justice process. Creating this major change will be achieved through building national capacity, modeling, demonstrating and piloting victim responsive and gender sensitive approaches throughout the criminal justice system and fostering of key partnerships with victim support providers both inside and outside of national governments. For AAPTIP, success will be a criminal justice system that treats victims with respect and sensitivity at all stages of the process and provides adequate levels of support, assistance and information for the duration of their involvement in criminal proceedings. In turn, victims will help ensure that investigators and prosecutors have the necessary evidence to convict more perpetrators of trafficking.

During the inception phase, the ISP and key partners will develop annual work plans at both regional and national levels. At this time, the stakeholders will develop outputs and output level indicators that can be measured during the project life and in a mid-term and final summative evaluation.
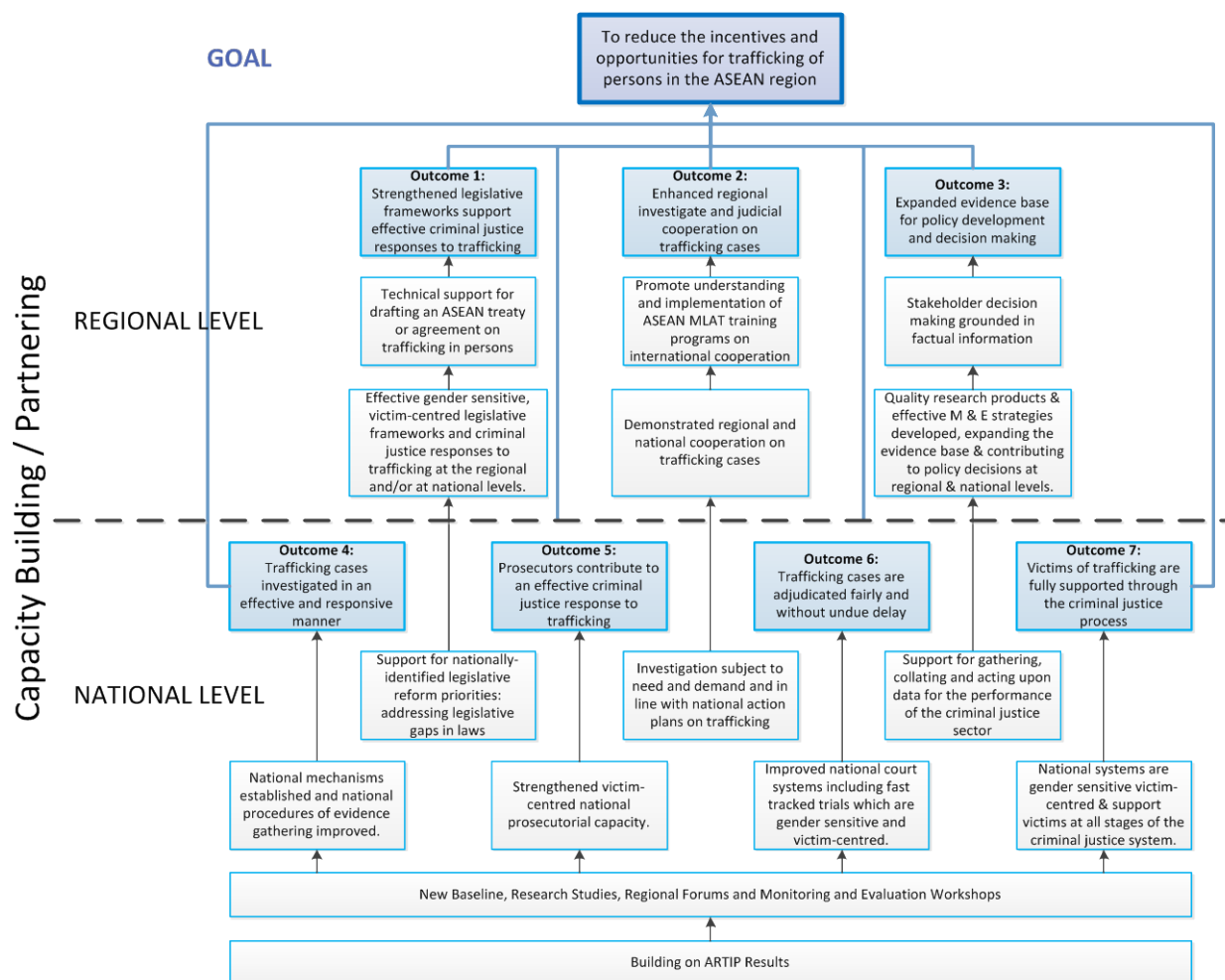
**GOAL**

To reduce the incentives and opportunities for trafficking of persons in the ASEAN region

REGIONAL LEVEL

**Outcome 1:**
Strengthened legislative frameworks support effective criminal justice responses to trafficking

Technical support for drafting an ASEAN treaty or agreement on trafficking in persons

Effective gender sensitive, victim-centred legislative frameworks and criminal justice responses to trafficking at the regional and/or at national levels.

**Outcome 2:**
Enhanced regional investigate and judicial cooperation on trafficking cases

Promote understanding and implementation of ASEAN MLAT training programs on international cooperation

Demonstrated regional and national cooperation on trafficking cases

**Outcome 3:**
Expanded evidence base for policy development and decision making

Stakeholder decision making grounded in factual information

Quality research products & effective M & E strategies developed, expanding the evidence base & contributing to policy decisions at regional & national levels.

NATIONAL LEVEL

**Outcome 4:**
Trafficking cases investigated in an effective and responsive manner

Support for nationally-identified legislative reform priorities: addressing legislative gaps in laws

National mechanisms established and national procedures of evidence gathering improved.

**Outcome 5:**
Prosecutors contribute to an effective criminal justice response to trafficking

Investigation subject to need and demand and in line with national action plans on trafficking

Strengthened victim-centred national prosecutorial capacity.

**Outcome 6:**
Trafficking cases are adjudicated fairly and without undue delay

Improved national court systems including fast tracked trials which are gender sensitive and victim-centred.

**Outcome 7:**
Victims of trafficking are fully supported through the criminal justice process

Support for gathering, collating and acting upon data for the performance of the criminal justice sector

National systems are gender sensitive victim-centred & support victims at all stages of the criminal justice system.

New Baseline, Research Studies, Regional Forums and Monitoring and Evaluation Workshops

Building on ARTIP Results

Capacity Building / Partnering

**Figure 1: Theory of Change Diagram**

## 2.    Background to Monitoring and Evaluation

This annex contains the Monitoring and Evaluation (M&E) strategy for AAPTIP which features a wide variety of stakeholders, including representatives of regional institutions, multilateral organisations, governments, non-government organisations, inter-governmental and other experts across ASEAN member states. During their research, the design team reviewed diverse documents, including baselines, and the studies, monitoring and evaluation framework for ARTIP, and national and regional reports on anti-trafficking progress.

Consultations were undertaken with bilateral donors in the region; UN organisations including UNODC, UNIAP, and UN Women; and Jakarta-based organisations including IOM and the ASEAN Secretariat (ASEC). These consultations were instructive since monitoring and evaluation strategies for partnership projects are best developed with substantive input from a wide variety of stakeholders.

Monitoring and evaluation posed a significant challenge for ARTIP as noted in the Independent Completion Report[5]. That evaluation noted that shortcomings were attributable

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[5]Peter Bazele& Mike Dottridge, Final ARTIP Independent Complete Report, September, 2011

to a combination of issues including an overly complex monitoring and evaluation system; conflicting advice about how to carry out monitoring and evaluation; and insufficient resources allocated to the task

AAPTIP proposes a well-resourced approach to monitoring and evaluation that is aligned to regional and national systems and uses Results Based Management (RBM), augmented by qualitative tools from Outcome Mapping (OM), to help tell a results 'story' in a holistic manner. This approach combines the practicality and quantitative emphasis of results based management with some specific qualitative value-added tools of outcome mapping, such as 'Most Significant Change' and Boundary Partners Exercises.

This strategy however does not seek to integrate RBM and OM. Its approach is to augment RMB with OM tools to improve the gathering of qualitative information. Appendix I to this Annex provides a list of tools and templates to support the monitoring and evaluation strategy of AAPTIP.

The monitoring and evaluation strategy is participative and based on the premise that it essential to have 'buy-in' from those collecting the data and because it is designed to reflect the project design which emphasizes capacity building and partner participation to achieve its long term goal and outcomes. In addition, to ensure that results are well tracked, those who collect the data need to see monitoring and evaluation as directly relevant to them and integral to their own duties and responsibilities.

The approach of AAPTIP to implementation and monitoring and evaluation is consistent with the international aid effectiveness principles of: ownership, alignment, harmonisation, managing for results, and mutual accountability. AAPTIP will work with, and through, partner systems building linkages at regional and national levels. This necessitates AAPTIP having dual levels of monitoring and evaluation

a. **Regional level:** The starting point will be the ASEAN report on criminal justice responses to trafficking in persons. Under ARTIP, this was largely undertaken as a project activity. Under AAPTIP, the approach will involve progressively building ASEC and SOMTC TIP WG and HSU capacity to produce an insightful and robust regional report drawing upon national data and research without external technical assistance.

b. **National level:** Monitoring, evaluation and reporting will be driven from the performance indicators and means of verification inherent in TWG work plans. However ultimately these will be aligned with, and absorbed into, the national plans of action of each member state. To that end, the national partners of AAPTIP will also include the national committees on trafficking in persons.
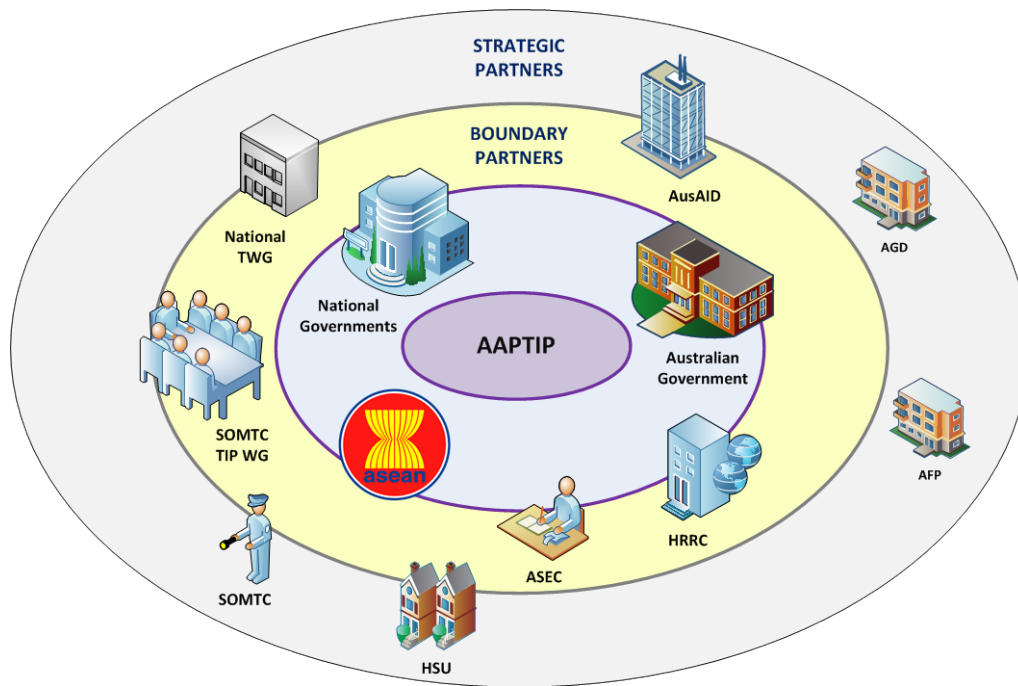
Figure 2: Boundary Partners

The diagram above is provided to highlight boundary and strategic partners of AAPTIP. Boundary Partners are the key partners with which the program works closely and which it hopes to 'influence' directly[6]. For AAPTIP, the key Boundary Partners are SOMTC TIP WG, ASEC, TWG, the seven member states, and AusAID. These Boundary Partners are key stakeholders who need to be part of developing the monitoring system if it is going to work and be of value. Another important group of partners, who are less influenced by the program, are termed Strategic Partners, whose involvement is not constant and tends to be focused on specific issues. These could include the AFP, SOMTC, relevant national and regional counter-trafficking CBOs and INGOs, research institutions, and organisations working in the CJS doing related research such as the HRRC (Human Rights Resource Centre).

Stakeholder analysis and mapping is useful to identify, analyse and illustrate relationships among and between stakeholders who have an interest in the program and may influence achieving its outcomes or outputs. Beyond boundary and strategic partners, traditionally, other project beneficiaries such as victims and vulnerable communities were seen as one or two steps removed from the implementation process and accrued benefits at the outcome level. AAPTIP brings them into the program, thus necessitating the inclusion of organisations working with victims of human trafficking.

The terms used in the document are defined in the glossary which uses AusAID definitions, wherever possible, to ensure consistency in understanding. The Monitoring and Evaluation Strategy is also consistent with AusAID's guidance, its good practice checklist, and with

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[6] Sarah Earl, Fred Carden, and Terry Smutylo, Outcome Mapping, IDRC, Ottawa, Ontario, 2001

international standards of practice in monitoring and evaluation, including the OECD DAC[7] Evaluation Quality Standards and Joint Committee Standards.

In harmony with participation needs and selection of relevant partners, an effective monitoring and evaluation strategy is an integral part of project design management, which should inform project managers about progress and challenges to achieving progress during the life of the initiative. The monitoring and evaluation system should gather and manage information on results and communicate and report these results to management for their use in making continuous improvements during implementation.

Once a monitoring and evaluation strategy is implemented, for example, for it to become fully operational, key project staff and partners must be bought into implementing it since it is often only through partners that ISP staff will be able to measure progress against results. Once all stakeholders are on board, the detailed steps of honing the system can be completed.[8]

Thus, buy-in and understanding that the monitoring and evaluation strategy is relevant to their work are critical to the ongoing success of any monitoring and evaluation system. This Monitoring and Evaluation Strategy for AAPTIP includes tools to support the strategy operationally and was drafted to match AAPTIP design priorities. When implemented, the National Monitoring and Evaluation Officers, working with program partners monitoring and evaluation focal points, will track results on an ongoing basis. This will be rolled up by the AAPTIP regional office into annual and semi-annual reporting to AusAID and other partners.

Although all funders, including AusAID, are interested in evidence of a 'bigger picture', it is essential that the strategy being put in place 'confirms the quality and timeliness of the key outputs'[9]. With respect to how much can be attributed to a project like AAPTIP, the collaborative, relational nature of the project working with many partners makes demonstrating direct attribution difficult. In monitoring and evaluation terms, focus needs to be on the contribution that AAPTIP makes to progress towards achieving the project outcomes and ultimate goal.

The approach to capturing and measuring results presented in this document reports at all levels using RBM augmented by selected OM tools and techniques, to ensure that the results can be measured using both quantitative and qualitative indicators at the immediate output level; the medium term intermediate outcome level; and the long term outcome level. Further details are provided in the log frame which is presented in figure 8.

The monitoring and evaluation strategy for AAPTIP will be implemented in a step-by-step manner:

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[7] OECD – Organisation for Economic Cooperation and Development and the Development Assistance Committee (DAC) which is a forum for selected OECD member states to discuss issues surrounding aid, development and poverty reduction in developing countries.

[8] In Annex A, please see tasks needed to detail the monitoring and evaluation plan (from the Monitoring and Evaluation Guide for IFAD,

[9] From Activity-Level Monitoring and Evaluation prepared by AusAID in July, 2011, page 9.

**Step 1:** During the inception phase, the Regional Monitoring and Evaluation Advisor will facilitate an initial capacity building workshop on monitoring and evaluation with key boundary partners including representatives of regional and national TIP bodies. National Monitoring and Evaluation Officers will participate and be responsible for implementing the monitoring and evaluation plan in their country once it is agreed by the key partners.

**Step 2:** Following the regional workshop, the the Regional Monitoring and Evaluation Advisor and National Monitoring and Evaluation Officers will carry out workshops in each member state. These national monitoring and evaluation capacity building workshops will include all TWG and national committee representatives and whatever strategic partners are viewed as essential to implementing the monitoring and evaluation strategy.

Having both regional and national capacity building monitoring and evaluation workshops should result in similar data being collected using the same templates and methods. As stated earlier, monitoring and evaluation systems work best when the people who are supposed to collect the data are part of selecting what information they will collect, by when and specifically by whom.

Without a specific designated person to carry out this task, data collection is often not carried out in a systematic or satisfactory manner. This Monitoring and Evaluation Strategy and its indicators will not be finalised until the key stakeholders have had an opportunity to provide input and the monitoring and evaluation advisor and national officers are in place.

**Step 3:** After the monitoring and evaluation workshop and training sessions take place, the Monitoring and Evaluation Strategy will be updated. Similar to AAPTIP overall, the Monitoring and Evaluation Strategy is iterative. Indeed, the strategy will continue to be honed as it is being used, since monitoring and evaluation should be iterative to allow new issues and unintended outcomes to be included and also to allow indicators that are not measuring change to be improved or rejected to ensure that they are tracking progress towards results.

## 2.1    Monitoring and Evaluation Guiding Principles for Counter-Trafficking

First, the Monitoring and Evaluation Strategy will be consistent with the Paris Declaration and the Accra Agenda for Action principles as follows:

a.    **Ownership:** Partner governments are boundary partners who share ownership of the program. Projects need to work with and through regional and national systems. In AAPTIP, ownership must include partner ownership of the monitoring and evaluation strategy.

b.    **Alignment:** The AAPTIP program will align with country agendas and priorities, particularly development strategies. This will be fostered initially through joint monitoring and evaluation training, which will include key partners in the 7 member states. It is also aligned with AusAID policies on gender equality and results management.

c.    **Harmonisation:** The program, including its Monitoring and Evaluation Strategy, will be harmonised to the extent possible with other anti-human trafficking programs in the ASEAN region, most of which were interviewed during development of this

design (see also Section 3.2.1 of the Design Document). The objective of these discussions is to avoid duplication and to build synergies among donor and other counter trafficking programs. The proposed Monitoring and Evaluation Strategy uses reporting templates and tools which are consistent with the principles of the OECD-DAC (see Appendix I to this Annex D).

**d.**   **Managing for Results:** The program is committed to developing a culture that is identified with managing for results and working with partners and stakeholders to ensure these results are accessible, measurable and transparent.

**d.**   **Mutual Accountability:** The Monitoring and Evaluation Strategy will not only require the commitment of the Regional Monitoring and Evaluation Adviser and the 7 National Monitoring and Evaluation Officers, but also the full support and engagement of all key boundary partners including ASEC, SOMTC TIP WG, HSU, TWG and national committees. Managing for results requires more than development of indicators to use for measurement. It also requires commitment by all partners to help achieve agreed results and mutual accountability for achieving those results.

In addition to focusing on widening the concept of ownership to include more stakeholders as AAPTIP is doing, the essence of the Accra Agenda for Action is that partnerships need to be more inclusive including CSOs, INGOs, new donors, foundations and others including victims, all of which AAPTIP will include. Finally, the Accra Agenda emphasises that the results that are delivered should have real and measurable impact on development, which in the case of AAPTIP will reduce incentives and opportunities for trafficking in persons in the ASEAN region. These principles should be operationalized as part of the Inception phase.

Second, it is essential that all parts of the Monitoring and Evaluation Strategy be gender sensitive and that sex disaggregated data is collected. The points on monitoring and evaluation included in the final section of the Gender Strategy (see Annex E) must all be addressed.

Third, templates which capture both quantitative and qualitative results are critical. Sample templates to ensure that both can be captured are included as Appendix I to this Annex D.

Fourth, AAPTP will use an RBM approach (which features quantitative measures) augmented by tools which ensure qualitative indicators are used. Together this should provide a robust monitoring and evaluation system that tracks results and contributes to capturing progress towards enhanced decision-making and policy development and achieving project outcomes.

Fifth, beyond traditional monitoring and evaluation, it is critical to contribute to building regional research driven (evidence-based) capacity. This will also contribute to sustainability of program results through increased capacity in the region.

Sixth, considerable information can be gleaned by creating a learning forum consisting of periodic, thematic partner regional and national roundtables facilitated by AAPTIP. These will also facilitate cross partner understanding and promote an environment where learning is derived from each other and from technical advisers provided by the ISP. In short, these forums will contribute both to knowledge building and gathering of results.

Seventh, monitoring and evaluation should promote the programmatic focus of the Australian Government in addition to contributing to discrete AAPTIP results. When designing a monitoring and evaluation system, it is necessary to think about capturing results, developing overall knowledge, and linkages (both strategic and boundary partners) and also to include the donor country which will be done under AAPTIP through inclusion of the AusAID Partnership and Advocacy Manager (PAM).

## 2.2 Evaluation Assessment

In the AAPTIP inception phase, the Regional Monitoring and Evaluation Advisor will conduct an assessment with full stakeholder participation (see Annex I). This assessment will include a review of this Monitoring and Evaluation Strategy, the program logic and proposed outcome objectives. Given the time constraints, it should be done at the same time as the initial regional monitoring and evaluation workshop which should be used as a contribution to the assessment. Therefore these two activities are intended to result in promoting buy-in and at the same time clarify understanding of AAPTIP. These twin exercises should:

- Review the theory of change and suggest adjustments as necessary;

- Clarify whether stakeholders have a shared understanding of AAPTIP;

- Review the program logic of AAPTIP and clarity what it will achieve;

- Review and pilot the initial indicative evaluation questions and add to them;

- Ensure that AAPTIP monitoring and evaluation is gender sensitive and victim centred;

- Surface potential data sources and partner systems through which it can be collected;

- Assess what capacity building support key stakeholders will need to be able to carry out monitoring and evaluation requirements;

- Review resources and budget for monitoring and evaluation activities including national monitoring and evaluation workshops; and

- Identify issues and constraints that will affect the monitoring and evaluation strategy.

## 2.3 Purpose and Scope of M& E Strategy

AAPTIP is committed to ensuring that it is both effective (delivering progress towards the stated goal) and efficient (delivering quality, providing value for money and continuously improving). The program will therefore employ a range of monitoring and evaluation processes to provide credible and verifiable evidence of the achievement of desired program outcomes. The system will capture results at the activity, output, intermediate outcome and long term outcome levels annually and semi-annually. The results will be written so that they can be linked with AusAID's new PMEP Policy which requires AusAID to carry out one evaluation (either a Mid-Term Review or an Independent Completion Review) at the most appropriate time.

The Monitoring and Evaluation Strategy is an integral part of program management and will inform all key stakeholders including, in particular, the AAPTIP Regional Monitoring and Evaluation Adviser and the National Monitoring and Evaluation Officers, about progress and challenges to progress throughout the life of AAPTIP. The strategy will gather and manage

information on results and communicate and report these results to management for their learning and use in making continuous improvements during implementation. The monitoring and evaluation system will also ensure accountability and meet the reporting requirements and information needs of all stakeholders, including the Australian Government, partner governments, implementing partners, NGOs, private sector businesses, and other stakeholders. The monitoring and evaluation needs of all stakeholders will be identified during the inception phase. With the results from the evaluation assessment and the regional monitoring and evaluation workshop with key Boundary Partners, it should be possible for the partners to agree on output statements, output indicators and major activities for AAPTIP.

## 2.4    Approach

Because AAPTIP largely revolves around behaviour change, some OM tools have been added to RBM protocols to enhance qualitative data collection and ensure that qualitative results and 'narratives' are captured along with headline and other quantitative results. Figure 3 below describes how the Monitoring and Evaluation Strategy can be integrated into program management. The four stages do not represent an annual cycle since some components (such as evaluation and audits) are done less frequently, while results-based performance monitoring, learning and decision making are ongoing management activities. Therefore, while these implementation stages are illustrated in a logical sequence, there may be some movement back and forth depending on circumstances. For example, what is learned during the implementation about what works and what does not work may prompt decisions to adjust or intensify monitoring of activities or to review certain issues and make changes. It is included because it highlights some important underlying principles that were adhered to in development of the Monitoring and Evaluation Strategy for AAPTIP.
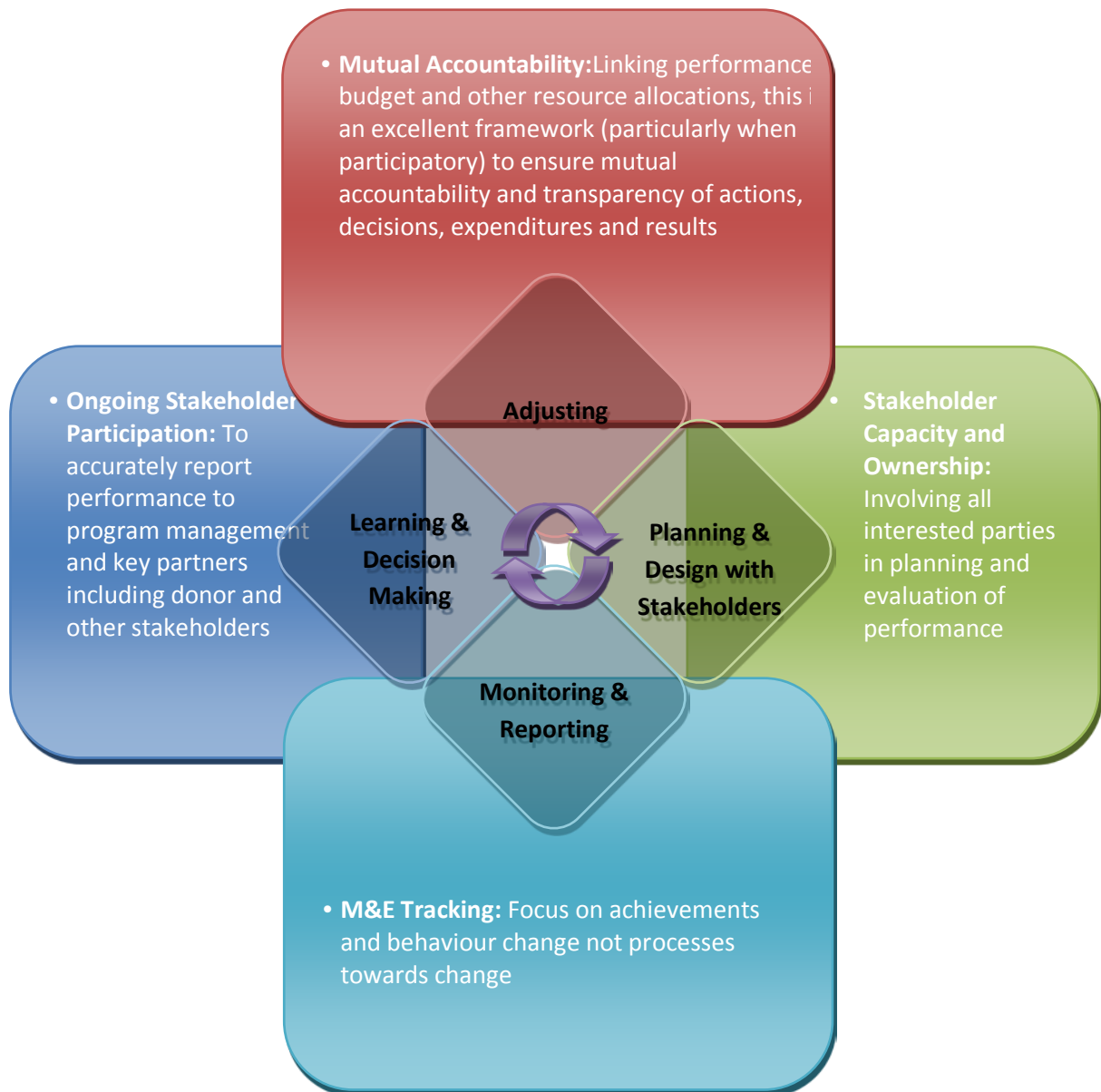
**Figure 3: Program Cycle**

In keeping with a participatory approach which champions the principle of ownership and the need to work toward institutionalisation of results in the region, AAPTIP will be driven by its key 'boundary partners' working together assisted by selected strategic partners who will facilitate a development process that will be demand-driven rather than supply-driven. The key role of the ISP will be to facilitate this process and provide technical assistance; support; opportunities for the partners to learn from one another and exchange information and perceptions in learning forums, thematic roundtables and other regional forum. This process will be augmented by the undertaking of key research studies on the criminal justice aspects of human trafficking, victim-centred approaches and gender studies. This will also help partners develop formal and informal networks through which information can be exchanged.

Ultimately, this approach should help create and foster the opportunity for beneficiaries to exercise leadership in identifying their own needs and how they can be addressed by AAPTIP,

while also balancing the need to address the key results requirements of Australian aid. This approach will give a diverse array of stakeholders the opportunity to influence the achievement of outcomes and outputs which they will have defined. A participatory approach will be used to identify key performance indicators and establish who and how data to measure them will be collected. The monitoring and evaluation system will consist of RBM indicators: output, intermediate outcome and long-term outcome levels, which will be augmented by narrative, performance stories of success using most significant change stories, so as to trace the project's influence on behaviour and attitude change in the region and nationally. This change will be captured in reporting against the 7 outcomes.

At inception, in keeping with the participatory design, stakeholders will be asked to participate in monitoring and evaluation by helping to formulate the outputs, specific activities and indicators to be used to measure progress. Given the weakness of monitoring and evaluation in many countries, as part of the operationalisation of the monitoring and evaluation, National Monitoring and Evaluation Officers will mentor country focal points who will collect data which will be rolled up and utilized in project reporting. Stakeholder participation in monitoring and evaluation reporting should ensure common understanding of what constitutes success and how it will be measured. Participation of stakeholders will also help to foster mutual accountability for delivering results. When individual stakeholder representatives have participated in an informed consensus building process to define targets, they are more likely to be confident that targets can be met and therefore will feel more ownership and commitment to help reach those targets. Furthermore, they will be more inclined to hold each other mutually accountable for achieving results.

Figure 4 demonstrates how the monitoring and evaluation approach will be operationalised and implemented in a way which is effective and efficient. As noted earlier, starting with regional and national monitoring and evaluation forums in which activities, outputs and indicators are agreed, the National Monitoring and Evaluation Officers, based in national offices, work with (and train) monitoring and evaluation focal points linked to each TWG who gather data from the relevant activities. This is rolled up regionally by the Regional Monitoring and Evaluation Advisor who reports to all including AusAID in a transparent manner.
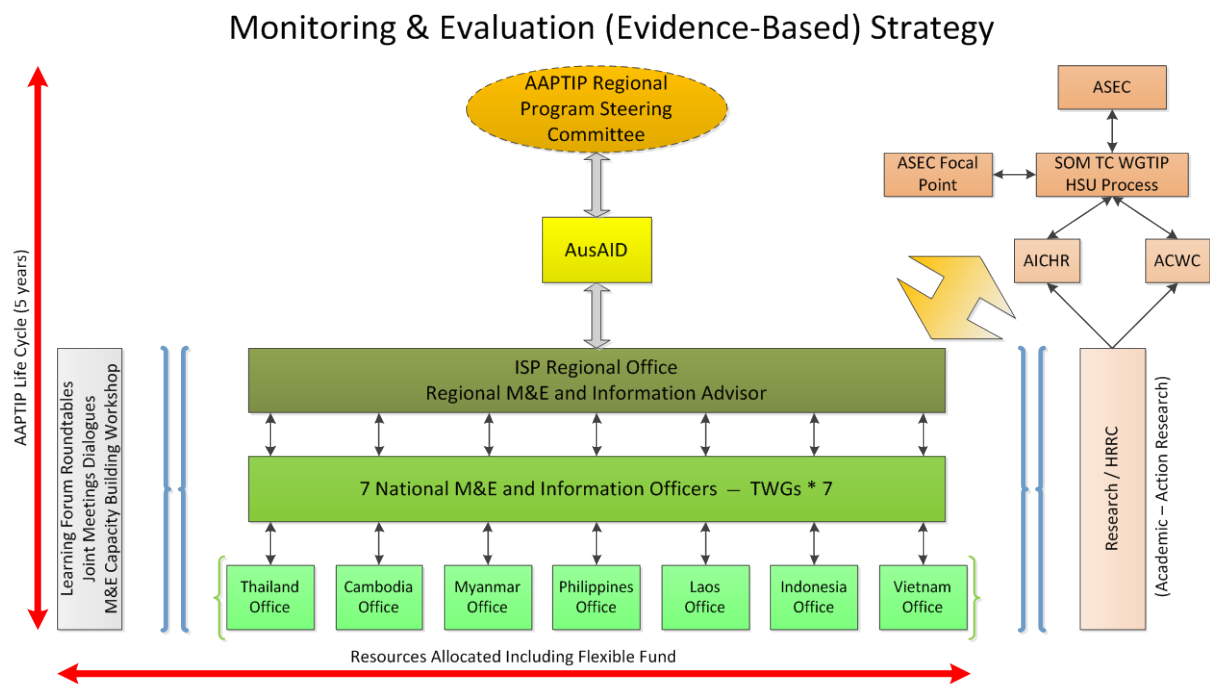
# Monitoring & Evaluation (Evidence-Based) Strategy



**Figure 4: Monitoring and Evaluation Evidence-Based Strategy**

## 2.5 Preparation and Start-Up

Once implementation is commenced, AAPTIP will continue to develop and refine the Monitoring and Evaluation Strategy though consultation with partners facilitated by the Regional Monitoring and Evaluation Advisor assisted by the National Monitoring and Evaluation Officers. Their role will include capacity building and facilitation to ensure that the boundary partners are all engaged and that the required data is being collected and analysed and used to make management decisions. This approach should lay the foundation for a smooth working system in which all key stakeholders share a common understanding of the value of the monitoring and evaluation system. Details of specific inception phase monitoring and evaluation activities are provided in Annex I.

## 2.6 Information and Reporting

The overall approach of the monitoring and evaluation framework is to tell an evidence-based 'performance story' by presenting summary information from the systematic analysis of performance indicator data on resources utilised, implementation processes, products and services provided, beneficiaries involved and, most importantly, on progress towards program outcomes. With more governments issuing annual 'report cards', there is some danger of simply equating success with scoring high results on a limited number of measures over a short period of time. To promote deeper understanding, however, of what the numbers mean, AAPTIP needs to be able to tell their performance stories. Indeed, storytelling should not be dismissed as subjective anecdotes. Stories serve to put measures in context and to provide explanations for numbers and other quantitative success indicators. It is on the basis of these performance stories that project stakeholders gain a greater understanding of, and assign meaning to, the changing realities of program operations. Also, plausible and vivid stories are

important rhetorical and persuasive devices to gain attention for issues and action that the project wants to highlight. In short, they are good project communication material for promoting the projects overall goal which will help maintain stakeholder interest in the monitoring and evaluation and update partners about progress.

As the flow of performance and risk information from monitoring and evaluation activities become increasingly more evidence-based using multiple lines of evidence including most significant change stories, results reporting should improve.

Key findings of monitoring and evaluation activities will be reported as follows:

- In six-monthly reports;
- In annual reports;
- On-line;
- Through training and presentations; and
- Via program publications.

These products will be accessible and disseminated to Boundary Partners, and Strategic Partners where relevant, and strategies formulated to facilitate utilisation of findings for the improvement of program outcomes. Particularly during the annual regional summit or roundtables, partners at the regional and national levels will be encouraged to speak frankly and openly about achievements and lessons learned which should foster improvements in confronting human trafficking in ASEAN.

## 2.7   Gender

As noted in the Gender Strategy, gender is central to this Monitoring and Evaluation Strategy, which includes a detailed list of ways that gender and victim concerns need to be taken into account in monitoring and evaluation. AAPTIP ensures that gender is structurally integrated into all aspects of the program and is explicit and visible throughout the project design, implementation, monitoring and evaluation. This will be perpetuated by explicitly embedding gender in all aspects of the program, rather than creating separate gender outcomes, indicators and tools. In order to ensure that gender issues are adequately addressed and resourced, gender has been integrated into the core program framework, including framing program outcomes, indicators, strategies, targets, activities, risk management and budget allocations. The monitoring and evaluation framework has also been designed to help measure gender equity results and the gender-responsiveness of the criminal justice system, in terms of:

a. **Strengthening legislative frameworks to support effective criminal justice responses to trafficking:** AAPTIP will encourage gender reviews of national trafficking laws and policies to ensure that they provide a robust framework for a victim-centred and gender-responsive criminal justice response to trafficking. AAPTIP will promote rights-based and participatory approaches to legislative reform by supporting stakeholder consultation processes. Particular attention will be given to ensuring that trafficked victims (both women and men), have opportunities, when appropriate, to contribute to the development of trafficking-related laws;

**b.** **Evidence-gathering:** AAPTIP supports the implementation of victim centred and gender responsive operating modalities in the investigative phase

**c.** **Intersection of rights:** Women and girls with disabilities often face multiple forms of discrimination due to their gender, disability and economic status and often face a greater risk of abuse and violence. Gender inequalities impact on access to education, employment, health services and decision making.

**d.** **Inclusion:** Another important way to promote gender balance in terms of trafficking victims is to ensure that males are also included in definitions and therefore identified as victims. Many victims are never identified, particularly if they are male. Thus, if the criminal justice response is to improve significantly, the identification of victims should be part of the gender strategy including the monitoring and evaluation of that strategy.

## 2.8    Capacity Building & Sustainability

The Monitoring and Evaluation Strategy begins with the initial regional and national capacity building workshops which will ascertain capacity levels and provide a clear picture of what needs to be done to strengthen regional and national systems rather than creating parallel systems. This approach using local systems will help meet the capacity building goals at regional and national levels to achieve:

- Sound legislative frameworks;
- Effective systems and procedures;
- Enhanced knowledge and skills; and
- Improved evidence base and access to information, including aligned monitoring and evaluation systems.

This approach includes a focus on building monitoring and evaluation capacity in sessions in which all stakeholders work together. This will both create 'buy in' and increase the likelihood of data on results being gathered since stakeholders - who create their own indicators of successful results - are much more likely to collect data they can see will benefit them to ascertain how effective they are doing their jobs and achieving their goals. The importance of monitoring and evaluation will be reinforced by having a Regional Monitoring and Evaluation Advisor and a National Monitoring and Evaluation Officers in each country. Their roles will focus on assisting all stakeholders with monitoring and evaluation (see Annex H for detailed position descriptions).

There are substantial needs for increased capacity of regional and national stakeholders in all areas noted above in order to move towards a sustainable long term measureable plan vested in the region, which needs only minimal technical support. For example, one way to build capacity is for the ISP to act as a 'Facilitator of Networks' which will allow sharing of knowledge and promote cooperation between organizations and setting performance priorities for the future.

## 3. Key Concepts and Tools

The proposed monitoring and evaluation system for AAPTIP is based on RBM and augmented by OM and its focus on Boundary Partners.

### 3.1 Rationale for Results Based Management augmented by qualitative tools

Since the late 1990s, bilateral donors, the World Bank, UNDP and others, have shifted to RBM. The move, together with the development of the Millennium Development Goals (MDGs), provide a practical, action-oriented method of improving the quality of program delivery using a set of indicators and targets to monitor progress and evaluate performance. By adopting RBM, which is used by the OECD DAC and by many international organisations, the AAPTIP monitoring and evaluation system will contribute to a harmonised approach to monitoring and evaluation, with boundary partners inputting into the 6 monthly and annual reports, which should minimise the time for partners to complete reports for other audiences. In RBM, a result can be defined as a 'describable or measurable change in state that is derived from a cause-and-effect relationship'[10]. In other words, the results show a contribution to a change in state or behaviour. These changes in state or results are usually portrayed using the 'results chain'.

## Results Chain

| How | Why | What |
|---|---|---|
| Should this be implemented? Using what products or services? | Are we programming here? | Are the actual changes over time? |

| Inputs | Outputs | Activities | Impacts | Outcomes |
|---|---|---|---|---|

**Figure 5: Results Chain**

- **Inputs** are financial, human, material and information resources used to produce the outputs through activities which will accomplish results i.e. work plans, budgets developed, technical assistance, participatory materials, training curricula for police, prosecutors and judges, advocacy for project goals and targeted research studies on human trafficking which are cutting edge and regional in scope.
- **Activities** are actions taken or work performed through which inputs are mobilized to produce outputs i.e. training program staff, government dialogues, communities and roundtables.
- **Output**s are the direct products or services stemming from activities of the organization, policy, program or initiative i.e. training reports, training evaluations, Annual Reports by program staff and partners, design and development of curricula, and campaign targeting human trafficking in the police force, relevant government

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[10] Results-Based Management Guide, May 2010

agencies and regional bodies. This should also include those organisations which have come into existence to serve ASEAN institutions, i.e., HRRC which works primarily with AICHR and ACWC. If a mechanism for migrant workers, which would include trafficked victims, was developed AAPTIP should also work with it.

- **Outcomes** are changes occurring primarily as a result of outputs i.e. influencing policy in the target countries; recommendations to state partners leading to revising practices to improve the criminal justice response to human trafficking; and demonstrated improvements for those directly involved: police, prosecutors, judges and victims. Support to ASEC and to select ASEAN member states will be provided incrementally and concurrently to build regional and national capacity and enable effective criminal justice responses to the issue of trafficking. This will build incrementally on assistance that has been provided to ASEAN by Australia since 2003.

- **Impacts** are substantive changes that are sustainable and achieve the overarching purpose of the program which is to reduce the incentives and opportunities for trafficking of persons in the ASEAN region.

Using results-based performance monitoring continuously during implementation will equip AAPTIP management, partner organisations and stakeholders with real time information about use of resources; and the extent of attitude change, reach and achievements in terms of behaviour change for the target groups. Performance will demonstrate progress along the results chain and identify strengths and weaknesses which can help identify corrective actions that can be taken to improve results. For example, program staff can look for attitudinal or behavioural results after a series of training sessions to see if the training has had an impact on the attitudes or behaviour of the target groups, such as on investigators, prosecutors, and court officials.

The development of a working partnership among all stakeholders is also important in RBM. AAPTIP will demonstrate this partnership through its collaboration with its partners such as key ministries and agencies of national governments; ASEAN bodies; and AAPTIP officers. The RBM system helps to improve accountability and transparency in financial administration and the ability to be realistic and flexible in planning and implementation. Use of RBM can also help people to link results with the amount of work being done. RBM values simplicity. The AAPTIP log frame reflects this in the use of indicators to measure the change that is being created by the program. Indicators for AAPTIP will be selected to be S.M.A.R.T (Specific, Measureable, Achievable, Relevant and Timely).

A comparison of RBM and OM is included in figure 6 below because, although the AAPTIP Monitoring and Evaluation Strategy uses an RBM model, the gathering of qualitative information is augmented by using some OM tools and techniques.

| LOGFRAME USING RBM | OUTCOME MAPPING |
|---|---|
| • Expected results and activities are aligned in a cause-and-effect chain. Activities produce outputs (goods and services) resulting in outcomes and impacts. | • Outcomes are defined as changes in behaviour of the people with whom the program works directly.<br>• Uses progress markers as points of reference to |

| LOGFRAME USING RBM | OUTCOME MAPPING |
|---|---|
| <ul><li>Performance measurement is guided by indicators for monitoring different levels of results.</li><li>The logframe uses RBM to measure program results against predetermined targets of these indicators in order to determine success.</li><li>Tries to narrow issues into **specific** results which are linked to desired changes which can be attributed, at least in part, to the program and its actions.</li><li>Data collection and analysis is used for upward accountability, learning, improving program decision-making and managing risks.</li></ul> | motivate reflection and learning, and to represent changes in working with Boundary Partners i.e. change or improvement in relationship such as when a government department invites AAPTIP to provide technical assistance.<ul><li>Recognises that contributions come from multiple factors and actors.</li><li>Balances learning and multiple accountabilities by identifying the use of monitoring and evaluation data and by employing participatory approaches.</li></ul> |

**Figure 6: Comparison of RBM and OM**

## 3.2    Monitoring and Evaluation Tools and Templates

Performance information needs to be gathered systematically and at specific time intervals during the project cycle using tools, protocols, procedures, and quality and verification processes to ensure that AAPTIP can gather and analyse information effectively in ways consistent with OECD-DAC principles. Tools have been selected are sufficiently comprehensive to provide meaningful findings, but simple and efficient enough to implement across each country with varying capacities and needs. The Activity Report, Monitoring and Evaluation Report Framework and Evaluation Framework Templates (largely derived from RBM) are complemented by OM tools to foster participation of stakeholders in the design of performance monitoring (which provides a framework for on-going monitoring and evaluating and helps develop evaluation priorities and planning).

A description of the templates and tools for RBM is provided in figure 7 below. Appendix I to this Annex D contains several templates which are proposed for use in AAPTIP.

| Report of Tool | Description of Purpose | Recommended Stage/Frequency |
|---|---|---|
| *RBM Templates* | | |
| Activity Report | Standard reporting format for partners and countries. Project indicators and/or progress makers can be added (where indicated) for each reporting period and purpose. Activity report templates filled in by all partners will be "rolled up" by the regional office into the six-monthly or annual reports. | Six-monthly |
| Trip/Mission Report Template | Notes the objectives of the trip and the activities including who was met and why on the trip and the results of the trip of benefit to the project. | As needed, i.e., when a trip is undertaken |
| Evaluation Framework | Should be adapted to the activity being monitored or evaluated. Template contains the standard questions, structure and format that will be used to evaluate the program. It reviews the program design, lessons learned, gender equality, governance structure, roles and responsibilities, financial and human resources, match between the development partners and progress on development indicators. | Monitored through the life of the project and evaluated at the end of the project |

**Figure 7: Description of Tools and Templates**

## 3.3    Baseline, Outcome Level Statements and Indicators

### 3.3.1  Baseline

ARTIP carried out baseline surveys against which they measured progress towards results. The ARTIP baseline of June 2011 will be used as a starting point for AAPTIP and will be reviewed and information gaps identified and recalibrated for future use. In addition, the existing baseline data will be supplemented with an assessment of the victim sensitivity and gender responsiveness of the criminal justice system response to trafficking. An assessment of existing national mechanisms for managing victim participation in criminal proceedings will also be undertaken, since there is evidence to support the inter-relationship between victim protection and better criminal justice responses.

Another key regional source for the new baseline is the quality standards presented in the Progress Report on Criminal Justice Responses to Trafficking in Persons in the ASEAN Region. The baseline must also be consistent with the 7 outcome areas specified for AAPTIP in this design document. Another aspect that will contribute to baseline data are two proposed research projects to be supported by AAPTIP (see also Section 3.2.3 of the Design Document), on victim experience in the criminal system, and the political economy of trafficking and the role corruption plays in it.

### 3.3.2  Regional

AAPTIP includes three regional outcomes which are also to be replicated at national level. Each is noted below along with an outcome level indicator that will be used to measure it. Outputs and output level indicators will be developed with counterpart implementers who will develop their own work plans with AAPTIP assistance. To assist in this process, the outcomes are linked to possible indicators (quality standards) relevant to the issues in the Progress

Report on Criminal Justice Responses to Trafficking in Persons in the ASEAN Region. These quality standards will inform the basis for preparation of outputs and output level indicators. Other indicators can and will be created in consultation with regional and national partners during the inception phase.

### 3.3.3 National

The AAPTIP project design includes four outcomes at the national level. Ownership and accountability will vest with the national stakeholders with monitoring and evaluation systems aligned to them. Each is noted below along with an outcome level indicator to measure it. Again, output objectives and indicators will be set at the national level with the TWG. To assist in this process, these outcomes are also linked to possible indicators (quality standards) relevant to the issues included in the Progress Report on Criminal Justice Responses to Trafficking in Persons in the ASEAN Region. These quality standards can form the basis for the preparation of outputs and output level indicators by the partners in each member country, whilst other indicators can and will be created in consultation with national partners in each country during the extended inception phase.

### 3.3.4 Operationalising and Implementing the AAPTIP Logframe

The principles underpinning the AAPTIP logframe are consistent with the overall project design assumptions including, facilitation, partnership, and local ownership (with ownership being an incremental construct). The elements within the AAPTIP logframe, namely: outcome level performance indicators, means of verification, collection frequency, and assumptions are listed against the 7 project outcomes. The outputs and output level indicators and activities will be identified by the partners and ISP collaboratively during the inception phase.

Like any RBM framework, the indicators at the outcome and intermediate outcome levels can be revised and improved as part of the inception phase when the outputs and output level indicators will be developed. For this type of design, getting everyone on board and agreeing on how success will be measured is critical. As noted earlier, to do this, the RBM method is augmented by selected qualitative techniques. Qualitative and quantitative data synthesis at the national and regional level will be the work of the Regional Monitoring and Evaluation Advisor and the dedicated National Monitoring and Evaluation Officers who will collect and analyse the data at the national level and report on it using harmonised and standardised project reporting templates (although adaptations will be done to make allowances for national differences and overall capacity variations among partners). In addition, consultations will include the TWG and National Committees on Trafficking in Persons in each country. Thereafter, under the leadership of the Regional Monitoring and Evaluation Adviser, a transparent overall synthesis will be produced for review by all the partners including key regional TIP bodies and partners, and AusAID.

This system is designed to determine the following:

- Assessment of overall achievement and contribution of a project or program;
- Systematic way of learning from experience to improve current activities;
- Systematic review of evidence and data for better planning for future actions;
- Determine overall program effectiveness and progress towards results;

- Shows contribution and impact of the program to achieving the overall goal of reducing incentives and opportunity for trafficking in persons by achieving the 7 outcomes;
- Strengthen financial responses and mutual accountability of all parties, making monitoring and evaluation a responsibility of all partners as well as the ISP;
- Promote a learning culture focused on improvement of results among partners at national and regional levels that enhances results and promotes attitude and behaviour change;
- Reflect gender mainstreaming throughout the system, not just in gender focused activities, outcomes or indicators;
- Reflect the need for research, learning forums, workshops, and other means of building capacity in the logframe, as well as other aspects of the system;
- Promote replication of successful interventions at national and regional levels; and
- Sharing best practices and lesson learned from programs among partners and by telling the AAPTIP story to the broader national, regional and international community.

| Outcome Statement | Outcome Performance Indicators | Means of Verification | Collection/ Frequency | Assumptions |
|---|---|---|---|---|
| **Outcome 1:** Strengthened legislative frameworks support effective criminal justice responses to trafficking (IQS 1) | **Long-term Outcome Indicator 1:** Effective gender sensitive, victim-centred legislative frameworks and criminal justice responses to trafficking at the ASEAN/regional and/or at national levels.<br><br>**Intermediate Outcomes Result 1:** Regional framework or agreement on trafficking in persons, consistent with international standards.<br><br>**Result 2:** New or improved comprehensive legislation at the national level that supports an effective and victim-centred criminal justice response to trafficking<br><br>**Result 3**: Nationally identified legislative reform priorities addressing legislative gaps in specialist trafficking laws and other relevant laws applied in human trafficking cases<br><br>**Result 4**: Gender review of laws and policies to ensure that they provide a robust framework for a victim-centred and gender responsive criminal justice response | SOMTC TIP WG, ASEC, AICHR, ACWC – Treaty, Declaration, Agreement<br><br>Comprehensive Legislation on human trafficking in AAPTIP target countries<br><br>Laws exist which address legislative gaps in trafficking Other relevant laws are used in human trafficking cases<br><br>Gender reviews of laws and polices | On-going<br><br>Regional M &E Adviser<br><br>TWGs (regional criminal justice responses to trafficking)<br><br>TA Gender ISP | Review and update baseline data from ARTIP<br><br>Regional bodies will take action in their Work plans on human trafficking<br><br>National TWGs support the process of drafting/improving legislation<br><br>Law makers are open to addressing the gaps in human trafficking cases<br><br>Commissioned expert gender reviews on laws and policies supported |
| **Outcome 2:** Enhanced regional investigative and judicial cooperation on trafficking cases (IQS 7) | **Long-term Outcome Indicator 2:** Demonstrated regional and national cooperation on trafficking cases.<br><br>**Intermediate Outcomes Result 1:** Established regional network of specialist prosecutors on trafficking cases (building on the HSU process)<br><br>**Results 2:** Evidence and | Specialist Prosecutor Network exchange on trafficking cases exists<br><br>Evidence and information exchanged on SOP and formal legal tools for investigative capacity | On-going<br><br>Regional M &E Adviser<br><br>TWGs (regional criminal justice responses to trafficking)<br><br>Started in first year and fine- | Review and update baseline data from ARTIP<br><br>Specialist Prosecutors welcome a regional network for trafficking cases<br><br>Mechanism(s) for exchange of information, SOPs and Legal tools are designed and utilized |

| Outcome Statement | Outcome Performance Indicators | Means of Verification | Collection/ Frequency | Assumptions |
|---|---|---|---|---|
| | information exchanged and SOPs finalised, resulting in enhanced gender sensitive, victim-centred regional and national investigative capacity.<br><br>**Result 3:** SOMTC TIiP WG, HSU develop and implement their own work plans for strengthening regional investigative and judicial cooperation on trafficking cases.<br><br>**Result 4:** Development of internal guidelines to provide investigators and prosecutors with practical step-by-step assistance on responding to, and inter-acting with national authorities on trafficking | SOMTC TIP WG, HSU developed and/or implemented WPs<br><br>Internal guidelines (with step-by-step assistance on response and interaction on trafficking) developed for investigators & prosecutors | tuned in 2$^{nd}$ year<br><br>Utilized and tested<br><br>Evaluated and refined further | Strengthening regional investigative and judicial cooperation is a trafficking priority for regional bodies.<br><br>Interest in guidelines on translational issues |
| **Outcome 3:** Expanded evidence base for policy development and decision making (IQS7) | **Long-term Outcome Indicator 3:** Quality research products and effective monitoring and evaluation strategies developed, expanding the evidence base and contributing to policy decisions at regional and national levels<br><br>**Intermediate Outcomes**<br>**Result 1:** Standardised M&E system including anti-trafficking data useable by AAPTIP partners<br><br>**Results 2**: National Plan Actions have well-developed performance monitoring and means of verification at national level<br><br>**Results 3:** Pilot research undertaken on victims of trafficking and the political economic of trafficking | Standardised reporting, templates, data collection. NPAs have M&E component Completed pilot research on victims of trafficking and political economy of trafficking<br><br>Pilot data management system developed<br><br>Regional Roundtables facilitated by ISP are attended by partners and other stakeholder (i.e., civil society) who share their knowledge and lessons learned in a learning forum atmosphere | M & E system – finalised during inception phase with implementing partners and ISP<br><br>Regional M &E Advisor hired and carry out role<br><br>7 National M & E officers hired work closely with TWG x 7<br><br>On-going collection<br><br>Roundtables – defined by partners, ISP (i.e., CBOs) | Review and update baseline data from ARTIP<br><br>Regional bodies support research on human trafficking<br><br>Road-show on two pilot research studies are of interest to regional bodies<br><br>Also of interest to ACWC and AICHR (compliant with their 5 year work plans which contain focus on human trafficking<br><br>Work with CBOs and with victims of trafficking to |

| Outcome Statement | Outcome Performance Indicators | Means of Verification | Collection/ Frequency | Assumptions |
|---|---|---|---|---|
| | **Result 4**: Acting as a "facilitator of networks" the ISP convenes a series of regional roundtables (a learning forum) which promotes cross-fertilization, common understanding, and knowledge sharing, augmenting data collected by the monitoring and evaluation system. | | | |
| **Outcome 4**: Trafficking cases investigated in an effective and responsive manner (IQS 2) | **Long-term Outcome Indicator 4:** National mechanisms established and national procedures of evidence gathering improved.

**Intermediate Outcomes Result 1**: Demonstrated capacity built for effective and gender sensitive, victim centred investigations

**Result 2:** Systems established with policies and operational procedures which enable national investigators to conduct proactive gender sensitive and victim centred investigations

**Result 3**: Strengthened coordination of criminal justice responses for appropriate victim and witness protection measures throughout criminal investigations | Increasingly over the next 5 years, investigation are gender sensitive and victim centred

National investigators have access to systems (complete with policies and procedure) that are gender sensitive and victim centred.

Coordinated CJR evident throughout criminal investigations which are victim-witness sensitive | On-going

Regional M &E Advisor working with Prosecutors, and TA from ISP Work with CBOs closely associated with victim-centred organizations in 7 countries, and also work with 7 National Officers | Review and update baseline data from ARTIP

Interest in working towards actualising gender sensitive and victim centred responses which don't avoid reinforcing gender stereotypes

Understanding of the importance of gender sensitive, victim sensitive system (complete with policies and procedures) |
| **Outcome 5**: Prosecutors contribute to an effective criminal justice response to trafficking (IQS 4) | **Long-term Outcome Indicator 5:** Strengthened victim-centred national prosecutorial capacity.

**Intermediate Outcomes Result 1**: Improved capacity of prosecutors in terms of case load management**,** risk | Case loads and trial performance is more efficient and effective at the national level using SOPs

Yearly partners | Beginning in the 2nd year to track progress

7 National M&E Officers Working with TWGs

Roundtable are facilitated by | Review and update baseline data from ARTIP

The countries are willing to invest in the building of capacity at the case management, risk assessment, and oversight of |

| Outcome Statement | Outcome Performance Indicators | Means of Verification | Collection/ Frequency | Assumptions |
|---|---|---|---|---|
| | assessment, oversight of prosecutorial trial performance and access to technical assistance at the national level<br><br>**Result 2:** AAPTIP facilitated regular dialogues between investigators and prosecutors on human trafficking<br><br>**Result 3**: Prosecutors play a key role in ensuring victims receive support , prior to coming to court and throughout the trial process | attend regional roundtables on thematic issues related to trafficking and CJR<br><br>Prosecutors inquire about victims support and ensure that they are well treated | ISP Regional M &E | prosecutorial level There is real interest in the 7 countries learning from one another, not just from the AAPTIP TA<br><br>Prosecutors see the value of victims being well supported (both for its own sake and because they understand that it will improve cconviction rate |
| **Outcome 6:** Trafficking cases are adjudicated fairly and without undue delay (IQS 4) | **Long-term Outcome Indicator 6:** Improved national court systems including fast tracked trials which are gender sensitive and victim-centred<br><br>**Intermediate Outcomes** **Result 1:** Existing court rules, procedures and practice handbooks are refined to ensure faster but effective resolution of cases<br><br>**Result 2:** Fast-tracked cases are processed in a gender-sensitive and victim-centred manner and contribute to increased number of prosecutions<br><br>**Result 3**: Enhanced understanding of judges with respect to human trafficking demonstrated through gender sensitive and victim centred adjudication of cases. | Judges are more knowledgeable about human trafficking<br><br>Court rules, procedures, and practice handbook are refined<br><br>There are procedures in place for fast-tracking trafficking cases and judges and prosecutors agree to use them<br><br>Victim of human trafficking who have gone through criminal justice system are s surveyed and report that they felt supported and protected throughout | 7 National M&E Officers collect this information<br><br>TWGs and National Committees on Trafficking in Persons<br><br>Timing to be determined by programming | Review and update baseline data from ARTIP<br><br>Judges in the 7 countries are interested in learning about trafficking cases<br><br>There is interest in having Human Trafficking become part of the training received by Judges<br><br>Judges and prosecutors agree that fast-tracking is important to victims and also to the successful prosecution of trafficking cases |

| Outcome Statement | Outcome Performance Indicators | Means of Verification | Collection/ Frequency | Assumptions |
|---|---|---|---|---|
| **Outcome 7**: Victims of trafficking are fully supported through the criminal justice process (IQS 6) | **Long-term Outcome Indicator 7**: National systems are increasingly gender sensitive and victim-centred and support victims at all stages of the Criminal Justice System.<br><br>**Intermediate Outcomes**<br>**Result 1:** Gender and age appropriate guidelines and systems ensure that victims of trafficking are supported throughout the criminal justice process<br><br>**Results 2**: Victim and witness support services are attached to or linked with justice agencies and designed to protect victim rights<br><br>**Result 3**: Strengthened victim access to justice and compensation through civil remedies | National systems have gender sensitive, age appropriate, victim centered, protocols in the 7 countries for how victims should be supported throughout trials<br><br>Gender sensitive and age appropriate guidelines exist in the 7 countries for victims of human trafficking how are witness/going through the criminal justice system<br><br>Victims have access to civil as well as criminal remedies and compensations | On-going<br><br>National M &E Officers work with TWGs<br><br>Coordination with Victim Support CBOs<br><br>AWCW – and SE Women's Caucus<br><br>UN Women and ACWC (working with AICHR) – UN Women CEDAW SE Asian Gender Equality and Empowerment of Women | Review and update baseline data from ARTIP<br><br>There is an interest in creating more gender sensitive, victim centered criminal justice process in the 7 countries<br><br>Justice agencies work with victim support groups and victims themselves in order to understand how best to serve them in the criminal justice system<br><br>There is a understanding that victims should be compensated<br><br>Interest in national level women's groups to link with SE Asian Women's Caucus (which interfaces with ACWC and AICHR) |

Figure 8: Log Frame

# Annex E
## Indicative Costings

# Annex F
## Scope of Services

# Annex G
## Basis of Payment

# Annex H
## Position Descriptions

# Annex I
ISP Inception Phase Activities

# Annex J
## Lessons Learned

| Lesson: | Implications |
|---|---|
| **Expectations and duration of support** | |
| The process of building sustainable institutional capacity to more effectively combat trafficking in the region is a complex long-term endeavour, and will remain work in progress for all concerned stakeholders for the foreseeable future. | AAPTIP must be designed and then implemented with realistic expectations as to what can be achieved over the next 5 years. While the indicative budget of A$50m is substantial, it is nevertheless a modest contribution to addressing a very complex challenge and bringing about institutional change at both national and regional levels. |
| **Legislative frameworks, policies and plans** | |
| ARTIP was heavily focused on the strengthening of legislative frameworks, policies, plans, and processes rather than on their effective implementation. | There is a need to focus on how laws and policies are being implemented within and among criminal justice agencies in the ASEAN region. AAPTIP should provide support for implementation by moving to a more demand-driven approach, which will facilitate on-the-job training and mentoring on specific cases in a way that will be sensitive to international adviser involvement. |
| **Prevalence of labour trafficking** | |
| Many people who are trafficked in the ASEAN region are trafficked for the purpose of forced labour. | Law enforcement responses and AAPTIP capacity building initiatives to strengthen them need to be mindful of that phenomenon. Noting the contributions of other projects (such as Project Triangle) and the work of other stakeholders (such as ILO and IOM), developing the capacity of police investigators in countries of origin to investigate crimes by employment agencies and other institutional brokers that arrange employment abroad for migrant workers (including capacity for financial investigations), should be a key consideration for AAPTIP. |
| **Flexibility** | |
| The flexibility of ARTIP to respond to changing circumstances and needs was a key asset. Flexibility should not be seen as a design weakness. | AAPTIP should be designed and managed in such a way that it can remain flexible to respond to changing circumstances and needs. It should not be a blueprint design based on prescribed and inflexible outputs, timelines, or budgets. It must have a clear |

| Lesson: | Implications |
|---|---|
| | strategic vision, rolling operational plans, annual budgets, adequate delegated decision making authorities, and sound monitoring, evaluation and risk management processes. |
| **Capacity building approach and sustainability** | |
| ARTIP successfully delivered and supported some high quality technical products (including SOPs, training, and analytical reports and research) and contributed directly to strengthening regional institutional mechanisms to address trafficking (e.g. the HSU process). It also built a foundation of trust and good will – essential to its operational effectiveness. There is now an opportunity to build on these achievements, but shift the focus of future support 'upstream' to greater institutionalisation and operationalisation of these products and processes.<br><br>Capacity building approaches must be more holistic, and not only focus on training.<br><br>Sustainability must be built into the project from the start. | Rather than continuing to design and deliver basic and intermediate training to front-line law enforcement (FLO) and other Criminal Justice Sector officials, future support should focus on institutionalising existing and emerging ASEAN endorsed standards, procedures and training products into national systems (including training curricula). This would involve a broader approach to building institutional capacity, with a particular emphasis on strengthening strategic planning, monitoring and evaluation by national and regional institutions mandated to combat trafficking.<br><br>Specialist training should continue, but be carefully targeted, and be complemented by more mentoring type support, as well as support for bilateral cooperation to address specific priority trafficking issues and actual cases.<br><br>The AAPTIP design must clearly support aid effectiveness principles - in order to promote sustainability of benefits. Supporting established national and regional priorities, and working with and through local institutional structures, is key. |
| **Regional partners and ownership** | |
| The ACR and ICR noted three key lessons from the ARTIP experience: (i) ASEAN is an essential partner in any effort to promote common standards and approaches in the region; (ii) SOMTC is the most appropriate vehicle for taking this cooperation forward; and (iii) ASEAN involvement in and endorsement of Australian supported resources is | The SOMTC and its TIP WG should remain a primary focus of attention. Support to ASEC should aim to build ASEC capacity to effectively service these bodies into the future, not to build up trafficking expertise within ASEC. AAPTIP should focus attention on cultivating an enhanced planning and monitoring capacity within the TIP WG. The 2011 ASEAN Progress Report provides a template for a system of regular reporting that will help to improve the quality of regional data collection and |

| Lesson: | Implications |
|---|---|
| critical to their credibility and acceptability at the national level within ASEAN. Pressure from important neighbours or through a regional forum appears more effective in promoting change than 'external' pressure. | analysis; reinforce regional standards and approaches; and capture lessons, both good and bad.

HSU capacity to engage in standards based monitoring and reporting, linked to its own operational goals and aimed at feeding into the Working Group system should also be supported, although only for another year or two given the need for this to become fully self-supporting at the earliest opportunity. |
| **Regional and national focus** | |
| ARTIP supported both regional and national level priorities and needs. Regional priorities and standards need to be established, and then implemented at national level, based on a clear shared vision. | AAPTIP should maintain an effective balance across regional and national levels to help address both regional and national capacity building needs. |
| **Different national capacities and priorities** | |
| With respect to providing support at the national level, it is essential to recognise and respond to the significant differences in national capacity to absorb institutional change. | AAPTIP must continue to take account of different national capacities to absorb institutional change, as well as the different trafficking issues facing different countries (for example whether they are primarily source, transit or destination countries). The National Action Plan on Trafficking of each member state should be the plan that AAPTIP supports, not any new or parallel project centric plan.

Strategic priorities need to be agreed and set, given the wide and varied scope of national level needs, and the limited resources available. For example, institutional strengthening initiatives at the national level need to be focused on countries that have demonstrated a capacity and interest to undertake institutional reforms. These countries can in turn then influence responses to trafficking by their ASEAN neighbours. |
| **Engagement with non ODA and non ASEAN countries** | |
| Regarding non ODA countries, the | Given that Malaysia, Singapore and Brunei cannot |

| Lesson: | Implications |
|---|---|
| main lesson to be taken from the ARTIP experience is a familiar one. An inability to provide funding makes involvement much less certain to predict because it becomes dependent on factors such as political will, capacity and resources, that are outside the control of the project. | be the direct recipients of ODA funds, their engagement in AAPTIP related initiatives will have to continue to be based on their interest and ability to self-fund their participation. Nevertheless, a project like AAPTIP can offer expert services provided by organisations or individuals from non ODA countries, and this may be one way in which to promote their engagement and interest in AAPTIP supported initiatives. Expert advice can also be provided under AAPTIP into regional forums that are attended by non-ODA countries together with their ODA colleagues.<br><br>It is particularly important that TIP destination countries in ASEAN are engaged by the program. |
| **Australian government engagement** | |
| AusAID considers that some opportunities were missed during ARTIP implementation for AusAID itself to be more directly engaged in the regional policy dialogue around trafficking; partnership building; and learning process. | AusAID will directly appoint a Partnership and Advocacy Manager who will collaborate with the AAPTIP team to advance AusAID strategic priorities and partnerships in the region. |
| **Gender equality** | |
| While regional standards and guidelines on gender and victim support broadly meet international standards, gaps remain between these regionally endorsed standards and national practices.<br><br>Lessons from international experience suggest that ensuring that women are present in meaningful roles in the provision of justice services can help to enhance accountability and create a system that is responsive to women.<br><br>ARTIP experience has confirmed that the specific needs and vulnerabilities | AAPTIP will continue to mainstream gender into all project activities at both regional and national levels, with a particular focus on national level practices, including:<br><br>• Promoting a more appropriate gender balance within criminal justice agencies, through an increase in the appointment of women to senior posts in specialist anti-trafficking positions.<br><br>• Promoting a gender approach that recognises and addresses the needs of boys and men as victims of trafficking, as well as addressing issues that specially or disproportionately |

| Lesson: | Implications |
|---|---|
| of men and boys, not just women and girls, need to be addressed. <br><br> Program staff must all have sound understanding and skills in promoting gender equality objectives. | affect women and girls. <br><br> • Ensuring that all project staff and advisers have the necessary gender knowledge and skills to develop and promote effective responses. |
| **Victim support** | |
| The types of support available to trafficked victims remains limited, and cooperation and coordination between criminal justice officials and victim support agencies remains inconsistent. <br><br> Failure to properly support and protect victims has a significant detrimental effect both on victims' access to justice, as well as the justice system's capacity to successfully prosecute traffickers. | AAPTIP will actively promote enhanced cooperation and collaboration between criminal justice officials and victim support agencies - government and non-government - including through the TWG mechanism. <br><br> The project will continue to promote more victim-sensitive attitudes and practices by police, prosecutors and judges who are primarily responsible for dealing with trafficking cases, through example, advocacy, training and through soliciting the views of victims in order to ensure their views and perspectives are heard. <br><br> AAPTIP will support government counterparts to develop more structured victim-witness support mechanisms. |
| **Human rights** | |
| There are risks of unintended adverse human rights consequences if support is provided to help convict trafficking suspects within weak criminal justice systems, where basic human rights are not adequately protected (for example the right to a fair trial and presumption of innocence). | AAPTIP will, as one of its core implementing principles, take a rights-based approach. This means that AAPTIP will undertake ongoing risk assessment of its support with respect to any potential negative human rights implications. This will be particularly important if and when AAPTIP is directly involved in supporting national authorities on any specific trafficking cases. <br><br> The focus on gender equality and victim support by AAPTIP also reflect its approach to promoting the rights of vulnerable and marginalised groups. |
| **Incentives and flexible funding** | |

| Lesson: | Implications |
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| A flexible fund was not a part of the original ARTIP design, but was instituted to provide a pool of unallocated funds that could be used to help meet locally determined emerging priorities. The flexible fund provided a useful incentive mechanism, as it could only be accessed to address TWG determined priorities once certain mutually agreed conditions had been met.<br><br>In retrospect, the flexible fund could have been initiated from the outset of ARTIP and could have been a greater share of total project resources. Nevertheless, the experience of ARTIP also indicates that the conditions for accessing flexible funds need to be carefully considered as to their cost effectiveness. While the Case Analysis System requirement under ARTIP provided some very valuable insights on which to identify gaps and constraints in the handling of trafficking cases through the criminal justice system, it was extremely time consuming and resource intensive. Other requirements therefore need to be considered by AAPTIP. | AAPTIP should also include a flexible fund. Use of these funds should be determined primarily by each country TWG, based on clear guidelines as to the use of these resources, and in line with their national plans and priorities.<br><br>The fund should be used, in part, as an incentive mechanism, and mutually agreed requirements need to be set with each TWG as to the use of such funds. Examples of such requirements on the part of national authorities might include the collection and provision of national data; the completion of other specified reports or data analysis; or the implementation of agreed human resource policies (such as with respect to reducing staff turnover in specialist units; or improving gender balance).<br><br>AAPTIP should also consider increasing the size of the flexible fund as a proportion of overall project resources (e.g. more than the 2% provided for under ARTIP). However, it should be noted that AAPTIP is intending to provide a significant amount of programming funds to support implementation of partner annual plans, in a way that ARTIP did not do. Because of the significant time and effort that will need to be devoted by AAPTIP to helping each TWG plan for and expend these funds, it is not recommended that the size of the flexible fund be too large (given the high transaction costs for managing such flexible funding mechanisms). |
| **Monitoring and evaluation** | |
| M&E for a project like ARTIP is complex and there are no ready-made solutions. Nevertheless, a guiding principle for an effective M&E system is that the information it generates must be based on user defined needs, and it must be practical and cost effective to implement. | Each participating country should be asked to identify, with AAPTIP support and on the basis of agreed standards, its own performance indicators, as well as the means through which performance is to be monitored and evaluated. National counterparts must lead discussion on what is to be measured and how. By so doing, a learning culture can be promoted by the project. |

| Lesson: | Implications |
|---|---|
| Establishing a clear baseline is important. This is resource intensive and time consuming – but key to defining and measuring performance/change over time. An appropriate balance of quantitative and qualitative data / information is necessary.<br><br>A strengthened evidence base is important to inform policy and strategic decisions.<br><br>External monitoring can have significant transaction costs for local counterparts as well as for project team members, and needs to be carefully and judiciously used and managed. | AAPTIP needs to establish an updated baseline against which change can be measured over time. However, it is important to build on existing data/information (such as the ASEAN Progress Report and the ARTIP baseline update of 2011), and thus not duplicate work already done.<br><br>Research on priority topics should be supported by AAPTIP to help develop the evidence base, as well as providing support to partner governments to develop their own TIP information collection and management systems.<br><br>It is proposed that AusAID use an independently contracted 'Technical Advisory Group' to assist in quality assuring / validating the quality of service provision, monitoring and reporting conducted by the International Service Provider. This group should be used on an 'as needed' basis. |
| **Inception phase** | |
| ARTIP experience confirms the need for a lead-in phase of six or 12 months for the specific purpose of securing the commitments and structures necessary for successful implementation of AAPTIP. | The first 6 to 9 months of AAPTIP should be designed as a pre-operational phase, during which the following types of activities would be carried out/facilitated: (i) establishment of a contractor team and their working relationships/contacts with key counterparts; (ii) counterpart nomination of key personnel for an agreed period; (iii) signing of formal partnering agreements with each country in receipt of ODA (e.g. Memoranda of Subsidiary Arrangements); (iv) agreement on national and regional performance benchmarks, as well as required data and methodology for collection / analysis; (v) completion of a fresh baseline study to provide a measurement benchmark and also test the agreed methodologies for information collection and analysis; and (vi) preparation of national and regional operational work plans (first annual plans). |

| Lesson: | Implications |
|---|---|
| **Management and organisation of project resources** | |
| Finding, recruiting and keeping high-quality experts/staff as part of the contractor team is a key to success. The role of Country Program Coordinators and other local staff are also keys to relationship building and a foundation to program success. Identifying and retaining high quality experts/TA suited to the task is nevertheless a significant challenge, and requires high quality HRM support from the contractor's head office. Team members also need ongoing professional development opportunities to ensure high levels of performance and commitment, particularly as the crime of trafficking changes dynamically in response to effective criminal justice responses.

There is a need to recognise that capacity building, management and M&E require specialist skills which may not be automatically possessed by team members selected for other qualities.

Strong communication is essential for successful management of a regional project. Communication strategies need to focus on building across-team cooperation and involvement.

Mobilisation of counterpart and other resources is required to maximize project effectiveness, promote mutual accountability and prospects for sustainability. | The service provider selected to manage AAPTIP resources, must demonstrate a strong HRM capacity, particularly with respect to international recruitment and ongoing professional development of staff.

Local staff who worked under ARTIP needs to be retained, as appropriate, through a process of novation to the new contractor team.

The AAPTIP service provider team needs to include, or have access to, specialist skills in such areas as institutional capacity development, strategic planning and management, gender analysis, and monitoring and evaluation.

AAPTIP must develop, and effectively implement, a clear communication strategy both within the contractor team, and with implementing partners.

Specialist TA should be pooled, rather than allocated (up-front) to individual countries.

Opportunities should be sought (on an ongoing basis) to mobilise counterpart financing contributions, as well funding from other external funding sources (e.g. other donor/development partner projects). |
| **The purposes of human trafficking** | |
| Whilst trafficking for the purpose of | There needs to be awareness of labour trafficking |

| Lesson: | Implications |
|---|---|
| sexual exploitation has reasonably high visibility, many of people who are trafficked in the ASEAN region are trafficked for the purpose of forced labour. | and, to the extent that it is relevant to specialist anti-trafficking unit mandates, on the types of approaches that might best uncover and combat this crime. Strengthening law enforcement responses to trafficking in persons under AAPTIP should include a focus on capacity of police investigators (as well as others in the CJS) in countries of origin to investigate crimes by employment agencies and other institutional brokers that arrange employment abroad for migrant workers, when this is reported to have resulted in trafficking. To do so, inclusion of specialist support in the area of financial investigations and money laundering would be particularly worthwhile. |
| **Value for money** | |
| International technical assistance is an expensive capacity building modality and its use should be contained to the highest areas of potential benefit.<br><br>Balance must be achieved between the use of technical assistance and other capacity development modalities. | Program (and particularly stakeholder) requests for international technical resources need to be carefully considered and balanced against the availability and competence of local advisers where it makes sense. The AusAID adviser remuneration framework must be used as the foundation for costing international technical advisers. Annual planning must carefully match capacity building options against capacity building needs.<br><br>Pooling and centralisation of TA is more cost-effective than allocating specialists to different countries. |

# Annex K

## Activity in Anti-Human Trafficking in the ASEAN Region

## Activity in Anti-Human Trafficking in the ASEAN Region

### AusAID initiatives:

a.   **Project TRIANGLE:** The ILO Tripartite Action to Protect Migrants within and from the Greater Mekong Sub-Region from Labour Exploitation (TRIANGLE) is a 5-year (2010-2015) AUD$10.5 million project which aims to significantly reduce the exploitation of labour migrants through increased legal and safe migration and improved labour protection. The project works to strengthen and implement migrant recruitment and protection policies in Cambodia, China (primarily Yunnan and Guangxi provinces), Lao PDR, Malaysia, Thailand and Vietnam.

b.   **Project Childhood:** Addressing the dual pillars of prevention and protection, the AUD$7.5 million Project Childhood aims to combat child sexual exploitation in the tourism industry in Thailand, Vietnam, Cambodia, and Lao PDR. AusAID is working with the United Nations Office on Drugs and Crime (UNODC) and Interpol, and is assisted by the Australian Federal Police (AFP) to protect at-risk children through training local law enforcement agencies, with the aim of increasing arrests and prosecutions. Concurrently World Vision Australia is working with partner countries to develop effective national preventative measures and build community resilience to, and awareness of, child sexual exploitation.

c.   **MTV EXIT:** MTV EXIT is a multi-media campaign aimed at preventing human trafficking by raising awareness and understanding of the issue, particularly among young people. AusAID partners with the United States Agency for International Development (USAID) to support MTV EXIT to deliver educational programs, concerts and workshops in countries with a high incidence of trafficking such as Thailand, Philippines, Cambodia, Vietnam, Indonesia and Malaysia. AusAID has committed AUD$1.95 million for the current third phase (2010-12) which is in addition to AUD$800,000 provided under the second phase in 2010.

d.   **Regional Child Protection Program:** AusAID is providing AUD$3.0 million across 2011 and 2012 in support of the Regional Child Protection Program being implemented by UNICEF. This program supports the development of legislation, policies, enhanced child protection services and public awareness programs, in collaboration with education, social welfare and provincial development ministries, health professionals, police and the judiciary across the region.

e.   **United Nations Inter-Agency Project on Human Trafficking:** AusAID has provided AUD$1.2 million to a second phase of UNIAP which supports the Coordinated Mekong Ministerial Initiative Against Human Trafficking (COMMIT) Process.

### Other donor initiatives:

Interviews with major donors in the region during the design mission revealed that although many are active in the field human trafficking, few are focused on the prosecutorial response. A number of donors provide funding support to UNIAP in an attempt to drive a coordinated

sub-regional response to human trafficking. Other donor initiatives are focused on the prevention and protection side of the response, the majority of which are implemented through bilateral programs.

## Multi-Lateral and Non-Government initiatives:

In addition to government donors, there are a number of other multilateral and non-government institutions working to combat human trafficking in the region.

a. **UNIAP:** UNIAP was established in 2000 with a mandate to facilitate a stronger and more coordinated response to trafficking in persons in the Greater Mekong sub-region. As an inter-agency project, its focus is on coordination across national plans of action rather than the delivery of targeted streams of interventions. UNIAP also functions as the Secretariat to the COMMIT process, which brings together the 6 Mekong countries and is an important framework for driving coordination across the three Ps of the human trafficking response. It should be noted that the current management structure and mandate of UNIAP is under review and may change in the near future.

b. **UNODC:** In the East Asia region, UNODC have worked in countries to promote a strengthened prosecutorial response to TIP. For example in Lao PDR, UNODC worked to strengthen legislative frameworks. In Thailand UNODC are working enhance counter-TIP investigative capacity. Globally, UNODC also have an awareness-raising initiative on TIP called the Blue Heart Campaign. UNODC also manage the UN GIFT initiative, which works with a spectrum of anti-trafficking stakeholders - governments, business, academia, civil society and the media - to support each other's work, create partnerships and develop tools to fight human trafficking. These last two initiatives are not prominent in the ASEAN region.

c. **World Vision:** World Vision Australia has been carrying out anti human trafficking programming regionally in the Mekong for several years. In 2011 they amalgamated several projects into one large regional project called 'End Trafficking in Persons' (ETIP) focused on the three pillars of prevention, protection and policy.

d. **Other NGOs:** There are numerous non-government organisations which provide smaller amounts to anti-trafficking programming in prevention and protection including: Save the Children (protection services for child trafficking survivors), the Coalition Against Trafficking in Women-Asia Pacific, EMPOWER (advocating for sex worker rights in Thailand), Plan, Hagar (shelter and services for women victims of trafficking in the Mekong), FREELAND, Visayan Forum (preventing trafficking in the Philippines) Fight Against Child Exploitation (FACE) (coordinating a better criminal justice response to child exploitation and abuse in Thailand), The Asia Foundation, and Oxfam.

e. **Other UN Agencies:** Multilateral organisations have also focussed their efforts on the prevention and protection spectrum of the 3P response. UNESCO for example has worked on preventing trafficking of ethnic minorities; UN Women on improving equality and rights for women migrant workers in East and South Asia; ILO on

eliminating child labour and migrant worker exploitation; IOM on reintegration and rehabilitation of trafficking survivors; and UNICEF on systems-building to enhance protection services and prevent vulnerable children from being trafficked.

# Annex L
## Summary of the Impacts of Human Trafficking

## Summary of the Impacts of Human Trafficking

The dynamics of trafficking are constantly evolving as is the case for all national and trans-national crime types. As difficult as it is to accurately measure the scope of human trafficking, it is equally as difficult to measure its impact. Trafficking-related data are dependent upon a variety of sources, methodologies and definitions. Because trafficking is a criminal activity often interwoven with other crimes such as money laundering, forgery, identity theft, bribery and so on, its consequences are often masked. Universal indicators that will allow the anti-trafficking community to successfully measure the true consequences and impact of this crime have yet to be developed. But it is indisputable that there are significant and complex interrelationships, influences and overlapping factors within each area of consequence. Impacts may contribute to and/or influence each other in many ways and they are frequently closely related. Recognition of the complex nature of trafficking in persons and how it has an impact is pivotal to informing effective responses and, ultimately, to the successful combating of human trafficking. A summary of the impacts of trafficking on the rule of law; the economy;

a. **Impact on the rule of law:**

As a criminal act, trafficking violates the rule of law, which threatens national jurisdictions, *inter alia*, by undermining community confidence in the institutions of the state. Effective and impartial application of the rule of law is indispensable for sustaining a democratic society. Corruption and related crimes linked to trafficking also undermine governments, particularly when government officials are complicit in the crime. It also reduces accountability and representation in policymaking, denies natural justice and results in unequal service provision. The spread of organised crime, including trafficking, has become an important mechanism for unlawful redistribution of national wealth. Organised crime undermines law enforcement efforts, slows economic growth, raises the cost of regional trade and disrupts the transition to a market economy. This can have flow-on negative impact on public trust in democratic and market economy institutions and breeds disillusionment with reforms in general. Public safety may be threatened and communities may lose faith in their national, state or provincial governments. The donor community may be reluctant to invest where criminal enterprises undermine the potential for successful development outcomes.

b. **Economic Impacts:**

The cost of crime is essentially a measure of the impact of that crime on society. The true costs of trafficking include the value of all resources devoted to its prevention, the treatment and support of victims and the apprehension and prosecution of offenders. Human trafficking redirects the economic and social benefits of legitimate migration from migrants, their families, their community, and both government and other legitimate non-government employers; to organised crime syndicates, individual traffickers and their associates.

   i. **Lost Resources:** Human trafficking results in an irretrievable loss of human resources and reduction in revenues. Trafficking yields no tax revenues, and may even lead to a net revenue loss because tax evasion and money-laundering are commonly crimes ancillary to trafficking. In source countries, trafficking will influence the future productivity of children,

who may lose access to education or suffer health problems where a parent is trafficked and family support is lost. There will be fewer individuals with fewer resources available to care for elderly people or children. Non-monetary economic loss such as health-related impacts may be significant, as trafficked victims and their families suffer the consequences of this crime

ii. **Reduced Remittances:** For many ASEAN economies remittances are the single largest or at least a significant source of foreign exchange which are stable and resilient in the face of local economic downturns. The most direct economic impact of human trafficking on individuals is the receipt of little or no income and, consequently, the loss of migrant remittances. While it is not possible to accurately estimate the potential value of the labour of trafficked persons, some states have taken tentative steps when assessing compensation, to calculate income payments owed to trafficking victims. While compensation payments remain rare and generally constitute small financial sums, a well-documented motivation for many trafficking victims in initially consenting to approaches by traffickers is, firstly, the opportunity to earn an anticipated level of income and, secondly, to send that income home as remittances. Women, children and the elderly are said to be the majority of beneficiaries of these remittances and hence they are most likely to be adversely impacted by its reduction or discontinuation.

iii. **The Profits of Organised Crime:** The profits of trafficking are significant. Unlike smuggling of migrants, which produces a one-time profit, trafficking involves the long-term exploitation of individuals, which translates into continuous income. Estimates of the ILO suggest that the global profits of trafficking in human beings are around $31.6 billion annually. This translates into an annual illicit profit of approximately US$13,000 per victim[11]. Human trafficking crimes are also closely integrated into legal business interests such as tourism, employment and recruitment agencies, and leisure and entertainment businesses. Criminal organisations may hide revenues from their illegal activities by directly and indirectly investing their profits into legitimate financial institutions. Although some businesses are simply established to launder money and not necessarily to make profits, this practice may in turn have a negative impact on the economy, as legitimate businesses may find themselves having to compete against enterprises being secretly or unknowingly subsidised by laundered proceeds of crime or supported by the exploitation of trafficked persons. Fair competition may also be affected when exploited trafficked persons have been used further down the supply chain to produce materials such as textiles.

c. **Consequences for Individuals and Communities:**

Trafficked people have limited access to essential health, education, and welfare services which would improve their quality of life and enable social development. Nobel economist Amatrya Sen[12] argues that it is the role of the State to protect and enable the capabilities of its citizens, such as the capacity to work, learn or move. As so clearly articulated by the Millennium Development Goals, it is the capabilities exercised by individuals and their

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[11]Belser, Patrick: See www.ilo.org/sapfl/Informationresources/ILOPublications/lang--en/docName--WCMS_081971/index.htm

[12] Sen, Amartya (1999). *Development as Freedom* (Oxford: Oxford University Press)

communities which drive development and reduce national poverty. State failure to guarantee a minimum threshold of capabilities will inevitably hinder progress towards development and prosperity.

i. **HIV/AIDS:** Increased likelihood of HIV infection is often cited as a risk among women trafficked for sexual exploitation owing notably to a lack of bargaining power concerning condom use and other potentially dangerous sexual practices. Trafficked women are also less likely to be beneficiaries of medical or educational services made available to non-trafficked women working in prostitution. Whilst reliable statistics are unavailable across ASEAN, a recent study focusing on the prevalence and predictors of HIV infection among trafficked women and girls rescued from brothels in India found that 22.9 per cent of trafficked individuals tested positive for HIV[13].

ii. **Mental Health Impact:** Relentless anxiety, insecurity, fear, physical pain and injury may have significant long-term effects on the mental health and well-being of trafficked victims. Symptoms of psychological trauma reported by trafficked persons include post-traumatic stress disorder, depression, alienation and disorientation.

iii. **Child Victims:** Child victims of trafficking are subject to the same adverse treatment as adults however their age makes them even more vulnerable to the harmful consequences of abusive practices. Trafficked children find it difficult to trust authority figures and if their trafficking situation was initiated by a family member, or if they were very young, they may be subsequently unable to return to their families or connect with them. They may have attachment problems and anti-social behaviours, aggression, sexualized behaviour or addictions. If offered a chance at education, they may suffer developmental delays, language and cognitive difficulties, deficits in verbal and memory skills, poorer academic performance and grade retention.

iv. **Substance Abuse:** Trafficked victims may be subjected to substance abuse by their traffickers. Some trafficked women have described how they were forced to use drugs or alcohol to ensure their compliance and, in situations of trafficking for prostitution to enable them to take on more clients, work longer hours or perform objectionable or risky acts. Trafficked persons may also turn to substance abuse as a mental escape from their situation, often resulting in addiction, organ damage, malnutrition, needle-induced infections, overdose and death.

v. **Recovery:** Return and reintegration for a trafficked person is a long-term and complex process with no guarantee of recovery. Returned survivors of human trafficking may suffer trauma and ill health over many years and are known to face significant challenges finding work upon repatriation. This effect on wellbeing and livelihood is a burden which must then be shared by the community to which a trafficking victim returns. Even where physical problems can be addressed and stigma overcome, trauma and psychological damage make recovery a difficult task rendered even more so by the problems in accessing necessary resources and in communicating with support persons and family. Some trafficked victims

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[13] J. G. Silverman and others, "HIV prevalence and predictors among rescued sex-trafficked women and girls in Mumbai, India", *Journal of Acquired Immune Deficiency Syndromes,* vol. 43, No. 5 (2006), pp. 588-593

may not adjust to a lifestyle that they previously considered normal. If employment can be found, a trafficked person's behaviour, as a result of the experiences of severe trauma, may make it difficult to remain employed.

# A n n e x   M
## Proposed Research Topics