Mid-term internal evaluation of the project, "Strengthening Counter-Trafficking Response by Improving Identification, Investigation and Prosecution of Trafficking in Persons in Kazakhstan".

Report Date: 19 July 2021

Project Title	Strengthening counter-trafficking response by improving identification, investigation and prosecution of trafficking in persons in Kazakhstan
Project dates	20 June 2020 – 19 December 2021
IOM project codes:	Project Code: PX.0179
Executing Organization:	International Organization for Migration (IOM)
IOM Managing Mission	Kazakhstan
IOM Project Manager	Aliya Belonossova
Donor	United States Department of State – International Narcotics and Law Enforcement (INL)
Total Funding	USD 350,000

Evaluation Information

Evaluation Commissioner	IOM Country Office in Kazakhstan
Evaluation Manager	Aliya Belonossova
Evaluator	Laura Smith, Associate M&E Officer, IOM Regional Office in Nairobi
Evaluation virtual field dates	7-11 June 2021

Executive Summary

This mid-term evaluation was conducted on the project "Strengthening counter-trafficking response by improving identification, investigation and prosecution of trafficking in persons in Kazakhstan" by the Kazakhstan country office of the International Organization for Migration (IOM) and funded by the United States Department of State – Bureau of International Narcotics and Law Enforcement Affairs (INL). This evaluation was conducted by Laura Smith, Associate Monitoring and Evaluation Officer with IOM's Regional Office in Nairobi with coaching support from Sarah Harris, Regional Monitoring and Evaluation Officer with IOM's Regional Office in Vienna. It was an internal independent evaluation as the evaluator was not involved in the design or implementation of the project.

Evaluation Context and Purpose

In recent years, Kazakhstan has made significant progress towards the elimination of trafficking in persons in the country (e.g. improvement of anti-trafficking legislation, training for law enforcement agencies, actions to end the use of child labour during the annual cotton harvest, establishing government-funded assistance to victims of trafficking, and increasing state funding to anti-trafficking NGOs[1]). However, notable gaps remain such as low identification rate among migrant workers, limited access to government-funded assistance to foreign victims of trafficking, and limited efforts of law enforcement agencies to investigate, persecute and convict individuals conducting labour trafficking crimes[2]. In the 2019 United States Trafficking in Persons (TIP) Report 2019, Kazakhstan was downgraded from "Tier 2" to "Tier 2 Watch List"[3]. In the 2020 TIP report, Kazakhstan remained on the Tier 2 Watch List[4][5].

It is in this context that IOM Kazakhstan is implementing the project, "Strengthening Counter-Trafficking Response by Improving Identification, Investigation and Prosecution of Trafficking in Persons in Kazakhstan." The overall objective of this project is to improve the identification, investigation and prosecution of crimes of trafficking, especially labour exploitation.

The purpose for this mid-term evaluation was to assess the progress of the project towards achieving results in the first year of implementation. The evaluation will be used by the project management team to improve project implementation. Additionally, this evaluation will be shared with INL to assess value for money.

Evaluation methodology

Data collection for the evaluation included an unstructured document review of relevant project documents, semi-structured key informant interviews including key project stakeholders and IOM staff, and one focus group discussion with key project participants.

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[1] IOM Kazakhstan, *Concept Note "Strengthening Counter-trafficking Response in Kazakhstan".*

[2] United States of America Department of State. *Trafficking in Persons Report,* June 2019. Available from WWW.STATE.GOV/J/TIP

[3] ibid.

[4] United States of America Department of State. *Trafficking in Persons Report,* June 2020. Available from WWW.STATE.GOV/J/TIP

[5] 5 In 2021, The Republic of Kazakhstan was upgraded to Tier 2. As this report was published outside the scope of this evaluation, it is not addressed in this report; however, this new status may have implications on the rest of the project.

The primary analysis method was content analysis of qualitative data. The evaluator also extracted, compiled, and analysed quantitative monitoring data reported in various documents (donor reports, financial data, etc.) Data was triangulated using cross-analysis of data from multiple sources to ensure validity. The evaluator followed IOM's Data Protection Principles and the United Nations Evaluation Group's norms and standards as well as ethical principles.

Findings and Conclusions

Overall, the project is *relevant* to the current context. As the majority of project activities are embedded within the national action plan, these are agreed-upon priorities of critical stakeholders. The changes noted related to the attitudes of stakeholders show that this project is in line with the external reality. The one finalized project product is in line with international standards and consultants with ongoing project products have identified relevant international standards and best practices, including the Palermo protocol, to use in the creation.

At this point, the project objective and outcomes still make sense. However, it may be prudent to drop output 1.2, developing the guidance document to have a common understanding of criminal legislation and how it relates to human trafficking, if there is confidence that the draft law will be implemented in the near future. Even if this draft law is going to be implemented, there will be a gap in time between the current legislation and the new legislation and adapting this guidance document for the transition time may also be strategically important. There are a number of suggested additional activities and complementary activities made by stakeholders. There are several good suggestions for how to strengthen this project that are directly related to the products/activities of this project such as developing the accompanying documents for the draft law and training additional members for the mobile task forces.

As of yet, it is too early to comment on the overall *effectiveness* of the program, but it is promising that the project will be effective by project closure. Due to gaps in implementation related to the COVID-19 pandemic, onboarding and other logistical challenges the project has not been implemented according to schedule. The completed or ongoing project products, the assessment report, draft law, guiding document for mobile task forces, are well-defined. The overall goal of the mobile task force, however, is different according to different stakeholders. Due to the gap identified between planned results and achieved results, the question on different set of activities was unable to be addressed at this time as any alternatives could have faced similar implementation challenges related to the COVID-19 pandemic. The evaluator therefore suggests that this question be added to the final or ex-post evaluation if conducted.

In addressing the *efficiency* of the project, largely due to implications of the COVID-19 pandemic, expenditures are not in line with the agreed upon budget. As of this evaluation, May 2021, 48% of the budget had been spent – addition of expenses, commitments and pre-commitments – with 52% remaining. Some activities cost more than originally allocated and other activities cost less. Depending on the modality of future national dialogues and the decision on output 1.2, the project could have unspent funds by the close of the project. Additionally, the use of IOM standard tools for results and activities monitoring are not regularly utilized.

Concerning *impact*, the early changes reported focus on knowledge, attitude and IOM-supported behaviour change. The increase in knowledge is likely directly related to the project. The attitude changes are likely a combination of factors between this project and external factors. The behaviour change is currently supported by IOM. Additionally, there have been a few unexpected changes: increased collaboration between local NGOs and their government counterparts as well as the additional uses of the assessment report produced by the IOM consultants which did not bear additional costs.

Finally, in regard to *sustainability*, the project is supported by local institutions and by local partners. Additionally, local partners and stakeholders have been participating in the implementation of the project. While the activities of the project are embedded in the National Action Plan for prevention and combatting human trafficking-related crimes for 2021-2023, it is too early to assess whether the project will be sustainable.

Lessons learned:
1. Membership of the task force appears to be based on individuals rather than institution and this can be challenging with the frequent staff turnover in police.
2. While a useful platform during COVID-19 restrictions, virtual modalities are imperfect substitutes for conducting research and presenting results with the intention of capturing feedback.
3. Collaboration with government stakeholders means working according to their time schedules.

Good practices:
1. Embedding activities of the project into the national action plan.
2. Taking time at the beginning of the project to fully onboard and incorporate opinions of key stakeholders.

Recommendations for IOM Kazakhstan

1. Agree on the main purpose of the task forces: awareness raising, identifying victims of trafficking/labour exploitation, or an advocacy tool and communicate this clearly with task force members. Depending on the main purpose, consider what necessary tools/resources the task force needs to meet this purpose.
2. Decide how task force success should be assessed through conversations with task force members and task force consultant. Formalize key performance indicators (KPIs) on this, in addition to current monitoring practices, and monitor these new KPIs.
3. Consider using available IOM monitoring templates to track activities, risk, and results more regularly (bi-weekly/monthly).
4. Make a decision jointly with the donor on output 1.2. The evaluator sees three paths forward: 1) proceed as initially planned, 2) adapt the guidelines so that it can serve as a transition document, 3) drop the activity and use the funds for a complementary activity.
5. Have a conversation with the donor related to the budget. As of now, there are unspent funds from savings in activity cost due to online modalities. In this conversation, it could be beneficial to decide whether the next national dialogues are going to be online or in person and what to do with current savings and possible future savings. There may be room in the budget to implement an additional activity.
6. Create a list of what minimum circumstances would need to occur for a phase two to be successful (e.g. passage of the draft law, reaction to upcoming TIP report, current champions maintain current position/standing).
7. Begin conversations with stakeholders regarding which of the recommendations from the assessment report would be most feasible to achieve for a potential phase two of this project.

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List of Acronyms

COVID-19	2019 Novel Coronavirus Disease
CTIP	Counter Trafficking in Persons
INL	Bureau of International Narcotics and Law Enforcement Affairs
IOM	International Organization for Migration
KPI	Key Performance Indicators
NGO	Non-government Organization
PRIMA	Project Information and Management Application
US DOS	United States Department of State
UNODC	United Nations Office on Drugs and Crime
TIP	Trafficking in Persons

Introduction

This mid-term evaluation of the project "Strengthening Counter-Trafficking Response by Improving Identification, Investigation and Prosecution of Trafficking in Persons in Kazakhstan", funded by the Bureau of International Narcotics and Law Enforcement Affairs (INL), is commissioned by IOM Kazakhstan. The evaluation was conducted by an IOM internal evaluator from the Regional Office in Nairobi (Laura Smith) with coaching support from the Regional Monitoring and Evaluation Officer in the Regional Office in Vienna (Sarah Harris).

The data collection phase of the evaluation occurred virtually from 7-11 June 2021. Prior to data collection, the evaluator reviewed project documents which informed the data collection tools. Interviews and a focus group discussion occurred with key project stakeholders and project staff. Initial findings were presented to the project team for validation, clarification, and implementation of any time-sensitive recommendations.

Evaluation context and purpose

Evaluation Context

Since 1998, IOM has been working in Kazakhstan to combat human trafficking and in 2002 the IOM Counter-Trafficking Programme began. Over the past decade, IOM had implemented projects in the country focusing on prevention of human trafficking, protection of victims of trafficking, and prosecution of recruiters and traffickers. In this work, IOM has built partnerships with government and civil society.

In recent years, Kazakhstan has made significant progress towards the elimination of trafficking in persons in the country (e.g. improvement of anti-trafficking legislation, training for law enforcement agencies, actions to end the use of child labour during the annual cotton harvest, establishing government-funded assistance to victims of trafficking, and increasing state funding to anti-trafficking NGOs[6]). However, notable gaps remain such as low identification rate among migrant workers, limited access to government-funded assistance to foreign victims of trafficking, and limited efforts of law enforcement agencies to investigate, persecute and convict individuals conducting labour trafficking crimes[7]. In the 2019 United States Trafficking in Persons Report 2019, Kazakhstan was downgraded from "Tier 2" to "Tier 2 Watch list"[8]. In the 2020 TIP report, Kazakhstan remained on the Tier 2 Watch List[9].

It is in this context that IOM Kazakhstan is implementing the project, "Strengthening Counter-Trafficking Response by Improving Identification, Investigation and Prosecution of Trafficking in Persons in Kazakhstan," funded by INL with implementation period 20 June 2020 – 19 December 2021. The overall objective of this project is to improve the identification, investigation and prosecution of crimes of trafficking, especially labour exploitation.

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[6] IOM Kazakhstan, *Concept Note "Strengthening Counter-trafficking Response in Kazakhstan".*

[7] United States of America Department of State. *Trafficking in Persons Report,* June 2019. Available from WWW.STATE.GOV/J/TIP

[8] ibid.

[9] United States of America Department of State. *Trafficking in Persons Report,* June 2020. Available from WWW.STATE.GOV/J/TIP

In order to contribute towards this objective, the project involves six outputs:

- Output 1.1 – Lawmakers have access to **recommendations and best practices** to criminalize trafficking in persons and to protect trafficking victims.
- Output 1.2 – Police, prosecutors, and judges have access to **guiding documents on trafficking cases**.
- Output 1.3 – Law enforcement have the **knowledge and skills on evidence collection** in addition to the **value of victim testimony** for all categories of victims, including forced labour and victims of sexual exploitation.

These three outputs together influence outcome 1 which aims to see the change that anti-trafficking legislation is improved and applied.

- Output 2.1 – All stakeholders (relevant central government agencies, the Parliament, and the Presidential Administration) have **clear understanding on roles and responsibilities** in combating trafficking in persons and are actively involved in the process.
- Output 2.2 – Law enforcement agencies **have clear guidance to identify and refer trafficking victims**, adopting a gender-sensitive and victim-centred approached.
- Output 2.3 – **Task force** on identification and referral of victims of trafficking is piloted and supported by central government agencies.

These three outputs together influence outcome 2 which aims to see the change of improved identification for all trafficking victims, especially labour and foreign victims.

Evaluation Purpose

The purpose for this mid-term evaluation was to assess the progress of the project towards achieving results in the first year of implementation, consider validity of the project in the current reality in Kazakhstan, document best practices and lessons learned, and identify any early indicators of project sustainability and impact.

The evaluation will be used by the project management team to improve project implementation by capitalizing on documented strengths and mitigating weaknesses during the remaining implementation period. Additionally, this evaluation will be shared with the donor of the project, INL, to assess value for money.

Evaluation Scope

The evaluation focused on activities conducted during the period 20 June 2020 and 31 May 2021. While the scope of the project is national due to the engagement with central government bodies, the task force members and NGO members interviewed are from three regions of Kazakhstan, Karagandy, Mangystau and Turkestan. These are the same regions where the mobile task forces are being piloted.

Evaluation Approach and Methodology

Evaluation Approach

The approaches used were utilization-focused evaluation, which focuses on ensuring usefulness of the evaluation for the end users, as well as theory-based evaluation, which focuses on an in-depth understanding of the workings of the project according to the programme theory or logic.

Evaluation Criteria

The evaluation criteria considered in this evaluation are the OECD-DAC criteria of relevance, effectiveness, efficiency, impact, and sustainability. The criterion of coherence is not included within this evaluation[10]. As this is a mid-term evaluation, the evaluator assessed early indications of impact and sustainability with the understanding that findings according to these criteria may not be fully realized at the time of data collection.

The evaluation questions, sub-questions, indicators, sources of data and data collection methods are articulated in detail in the evaluation matrix in Annex A.

1. <u>Relevance</u>: the extent to which the objectives/goals of a project/programme remain valid and pertinent either as planned or as subsequently modified.
2. <u>Effectiveness</u>: the extent to which the intervention achieves or is expected to achieve its objectives and its results.
3. <u>Efficiency</u>: helps analyse how well human, physical and financial resources are used to undertake activities, and how well these resources are converted into outputs.
4. <u>Impact</u>: helps assess the positive or negative, and primary or secondary long-term effects produced by an intervention, directly or indirectly, and intentionally or unintentionally.
5. <u>Sustainability</u>: the durability of the project results or the continuation of the project's benefits once external support ceases.

This evaluation also looked at crosscutting themes as well as lessons learned and early indications of best practices.

- Crosscutting themes: To what extent and how have gender and human rights considerations (rights-based approach) been integrated into the design, planning and implementation of the project?

Data sources and collection

Data collection for the evaluation involved:
- An unstructured document review of relevant project documents including project proposal, donor reports, background documents, meeting notes, and other relevant documents. A full list of documents reviewed can be found in Annex C.

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[10] According to the project team, there are two other organizations working on countering trafficking in persons in Kazakhstan. However, these organizations primarily focus on preventions and protection while this project also addresses prosecution and partnerships.

- Semi-structured key informant interviews with three IOM staff, four consultants, one representative from the donor agency, four government agencies and three partnering NGOs.
- One focus group discussion with mobile task force members.

A schedule of persons interviewed can be found in Annex B.

Data analysis methods

The primary analysis method was content analysis of qualitative data. The evaluator noted the presence and absence of different themes that emerged from the data and use this to answer the evaluation questions. The evaluator also extracted, compiled, and analysed quantitative monitoring data reported in various documents (donor reports, financial data, etc.) Data was triangulated using cross-analysis of data from multiple sources to ensure validity. The evaluator followed IOM's Data Protection Principles and the United Nations Evaluation Group's norms and standards as well as ethical guidelines.

Sampling

This evaluation utilized purposeful sampling of stakeholders based on sampling characteristics coupled with availability and feasibility as the data collection was conducted virtually with an interpreter.

Sampling frame: persons directly involved with the project either through collaboration with IOM on project outputs or key project stakeholders.

The main project stakeholders in this project are the Commission on Human Rights under the President of Kazakhstan, Parliament, Supreme Court, General Prosecutor's Office, Ministry of Interior, and partner NGOs are key partners of the project. IOM works in tandem with the Ministry of Interior and General Prosecutor's Office through the activities in the National Action Plan for prevention and combatting human trafficking-related crimes for 2021-2023. As such, these ministries were prioritized for interviews. IOM Kazakhstan also arranged an interview with the Ministry of Labour and Social Protection of Population, which was not identified as a main stakeholder at the beginning of the project, but as the ministry was assigned to implement activities on the development of the draft law on CTIP under the NAP, it was important to involve it into the evaluation. Another important change in the main project stakeholders was involvement into the project implementation of the Human Rights Commissioner (Ombudsman of the Republic of Kazakhstan) instead of the Commission on Human Right under the President of Kazakhstan. It happened due to internal changes on distribution of roles of these two state human rights mechanisms. IOM continued to cooperate with the Commission on Human Rights under the President of Kazakhstan within other CTIP projects related to protection components. While the representatives of the office of the President of Kazakhstan, the Parliament, and Supreme Court are key partners in this project, they are the audience for project products and so were not considered for interviews in this evaluation.

Limitations and proposed mitigation strategies

The first limitation of this evaluation was that it was conducted virtually, cross-culturally with an interpreter. In order to mitigate the effect of this, the evaluator discussed with the interpreter the data collection tools to ensure intent of the questions were understood.

The second limitation of the evaluation was that the interviews were conducted virtually, and it is often difficult to build rapport online. In order to help put the interviewee at ease, a project team member provided a brief introduction of both the evaluator and the purpose of the evaluation at the beginning of each interview. Additionally, in asking for consent, the evaluator noted how the data provided was going to be used.

Findings

Relevance

To what extent does the project/programme continue to make sense in the current context, and to what extent do project objective and intended results remain valid and pertinent?

It was noted that the project is strategically important and addresses topics that are of high political importance. There is an expressed need by IOM project staff along with government counterparts to improve identification of possible cases of human trafficking, investigation related to trafficking in persons, and prosecution of crimes of human trafficking. While central government agencies have a sophisticated understanding of the current trends related to TIP, it is noted that local capacity to address TIP is limited.

In 2019 and in 2020, Kazakhstan was rated "Tier 2 Watch" in the United States Department of State Trafficking in Persons report. This rating is taken seriously by officials within Kazakhstan. In total, eight interviewees representing different project stakeholders mentioned this report in their interviews. The project itself was initially designed around the 2019 TIP recommendations.

Kazakhstan is a country of destination which hosts a large number of migrants from central Asia and there are regular occurrences of human labour trafficking. However, there is sometimes disagreement amongst stakeholders of the difference between labour exploitation, human trafficking, and dishonest employer practices. Additionally, trafficking in infants/new-borns, sexual exploitation, labour exploitation, and organ trafficking are occurrences within the country and these are noted within the national action plan.

Furthermore, this project is in line with IOM's Global Strategic Vision as well as the IOM Central Asia Strategy 2020-2024. The outcomes and the outputs of this project builds on the extensive work of IOM in the country since its initial operation.

Is the project consistent with the external reality (national and regional government policies, administrative capacities, and institutional and cultural factors)?

The majority of the activities of this project are embedded within the National Action Plan for prevention and control of trafficking-related crimes for 2021-2023. The national action plan is the document that articulates the plans of the government of Kazakhstan related to counter trafficking in persons (CTIP) as there is not a specific CTIP policy. Additionally, this project was noted as complementing the work of the Embassy of the United States (US). CTIP is a priority issues for the US Embassy. This subject is raised by the US Embassy in forums with senior staff. Also, the US Ambassador also regularly raises this issue.

The project products being produced during this evaluation period are at various stages of creation. The assessment report, the one finalized project product, was noted as being very reflective of the reality of the situation related to trafficking in persons in Kazakhstan. Some of the recommendations in the assessment report are repeated recommendations from the US TIP report, the report produced by the special rapporteur on contemporary forms of slavery, and ILO reports.

Are there any elements which could lead to the conclusion that the overall objective or (one of) the project purposes have to be dropped, revised, amended or new ones added in order to make the project more in line with the current reality and needs? To what extent is it already evident that additional or complementary activities/projects need to be implemented?

The IOM project team has put on hold the activity of developing guidelines for law enforcement officers and judges on how to read the current criminal legislation. As the assessment report underscored the need to amend the criminal legislation and exploring legislation changes is part of the national action plan, it is a question regarding how useful this document would be; providing a uniform understanding on legislation that may be changed in the near future.

In terms of additional activities, stakeholders proposed a number of complementary or additional activities either previously or during data collection. Most stakeholders interviewed, requested that this project continue and not end in December. This was followed by additional or complementary activities that they suggested.

Complementary activities (which would contribute to existing project results matrix):
- Inform the general public about the draft law on social media and use this to receive feedback and use this to adjust or strengthen the law. From there, invoke a working group of experts to edit the law.
- Hire a consultant to produce the necessary economic justification to accompany the draft law as well as a budget breakdown of what it would cost to implement the law.
- Create a comparative table to share with parliament: A document with how the legislation exists, how it should be changed and the justification behind this.
- Have more frequent meetings amongst relevant stakeholders involved in the mobile task forces.
- Train/onboard additional members of the task force as not all the original members will remain on the team.

Additional activities (which would require revisions to results matrix):

- Conduct a road mapping exercise of what is needed to be done based on the findings of the assessment report and what resources exist within the country.
- Collaborate with the national entrepreneur's chamber and the Kazakh farmers association. Namely, discuss the problem of labour exploitation and highlight plans to do prevention work.
- Conduct more prevention work within the mobile task forces.
- Strengthen both the research and educational components of the regional education hub. Articulate the governance of this hub and prepare methodologies for cascading trainings.
- IOM to produce a document highlight international best practices related to shelters and note how the system in Kazakhstan can be improved.
- Source cyber-volunteers to monitor social media for potential cases of human trafficking.
- Conduct more specialized research, specifically looking at alternative measures for those who violate migration law.
- Put up billboards in parking lots, gas stations, camping grounds with information and telephone numbers in multiple languages (Tajik, Uzbek, Russian, Kazakh) related to CTIP. Also inform the owners of these places what to do when they see someone who they suspect is a fleeing victim of trafficking.

Activities proposed but declared to be outside the intended objective of the project by the donor:
- A media consultant came up with the idea of having a rock band compose and perform a song related to TIP, but this idea did not manifest as it was deemed outside the scope of the project.
- Paying an honorarium for researchers outside the two consultants for their work on the assessment report.
- Paying an honorarium for one of the co-authors of the report to travel to Kazakhstan. This was also judged to be outside the original budget.

Are the project products in line with international standards, including the Palermo protocols and other international documents?

The assessment report references international standards in every theme addressed. Furthermore, stakeholders explicitly noted that the assessment report highlighted where the Palermo protocol was not considered. They also noted that the report took into consideration international best practices.

The first stage of draft law creation is looking at the current legislation and noting whether it complies with the international commitments of Kazakhstan. According to the constitution, international law takes priority over Kazakh law. The international standards that will be guiding the law itself are the Palermo protocols, United Nations Office on Drugs and Crime (UNODC) model law, as well as laws from Georgia and Azerbaijan. Additionally, the guidelines for the task forces will be aligned according to national legislation and international legislation.

Effectiveness

Is the project/programme effective in reaching planned results, in bringing planned changes?

The project is at different stages for each output in reaching planned results.

Outcome 1	Anti-trafficking legislation is improved and applied
Indicator 1A	Amendments to anti-trafficking legislation align with international standards
Baseline	N/A
Target	Yes
Progress: there is noted interest from representatives of the Government of Kazakhstan in developing a single law related to combatting trafficking in persons. The IOM contractor hired to work on the draft law is currently, as of 31 May, undertaking a literature review of international standards related to countering trafficking in persons. Additionally, the IOM project team received a call from a ministry partner to ensure that the draft law will be ready according to the timeline set out in the national action plan. Status: not yet achieved	

Indicator 1B	Draft law against trafficking in persons includes alternatives to deportation of victims of trafficking to their country of origin
Baseline	No
Target	Yes
Progress: as mentioned above, the research phase related to the draft law was currently ongoing and interest has been noted by key government partners. Status: not yet achieved	

Indicator 1C	Trafficking criminal cases filed reflect more accurately the forms of exploitation present in the country (e.g. number of cases of labour exploitation against other forms of exploitation)
Baseline	No
Target	Yes (of 15 cases filed from baseline to end of project)
Progress: as of this evaluation, there has been one labour exploitation case from Karagandy which is currently under investigation. Status: not yet achieved	

Output 1.1	Lawmakers have access to recommendations and best practices to criminalize trafficking in persons and to protect trafficking victims
Indicator 1.1A	Number of analytical papers with recommendations to improve anti-trafficking legislation submitted to lawmakers
Baseline	0
Target	1
Progress: The assessment report, conducted by two IOM contractors, has been completed and two national dialogues have been conducted related to the results. One dialogue was with representatives of the Government of Kazakhstan. The second was with civil society, including NGO partners involved in this project. Status: achieved	

Indicator 1.1B	Number of best practices shared with the lawmakers
Baseline	0
Target	2

Progress: The assessment report highlights best practices and international standards within each theme addressed. These best practices are included in the report itself as well as were shared during the national dialogue with lawmakers.

Status: overachieved

Indicator 1.1C	Number of lawmakers participated in national dialogue on best practices and international standards to criminalize trafficking and to protect trafficking victims
Baseline	0
Target	10

Progress: the national dialogue with lawmakers was conducted at the end of May. There were 2 lawmakers out of 55 representatives of state agencies and non-governmental organizations present in this virtual presentation. IOM and the Human Rights Commissioner (HRC) submitted the assessment report's recommendations to the Parliament committee on judicial and legal reform and the Presidential Administration to reach more lawmakers. IOM and HRC will continue meeting with lawmakers to raise their awareness on the best practices and international standards to criminalize trafficking and to protect trafficking victims.

Status: not yet achieved

Output 1.2	Police, prosecutors, and judges have access to guiding documents on trafficking cases
Indicator 1.2A	Guiding document to explain how legislation is applied is in place and is submitted for endorsement by entitled state agency
Baseline	No
Target	Yes

Progress: after the assessment report was completed, the IOM project team assessed the benefits of completing this activity now or wait until the Government of Kazakhstan decided to implement changes related to the criminal legislation. As the assessment report contained clear examples of the need to change the criminal law and conversations amongst government partners appeared that the criminal legislation may be changed in the near future, it was decided to postpone this activity until a decision was made related to changing the criminal legislation.

Status: not yet achieved

Indicator 1.2B	Number of government agencies participated in consultative workshop
Baseline	0
Target	4

Progress: see indicator 1.2A
The activity is postponed until a decision is made by the Government of Kazakhstan related to changes in criminal legislation

Status: not yet achieved

Indicator 1.2C	Number of government agencies participated in validation/presentation workshop
Baseline	0
Target	4

Progress: see indicator 1.2A; activity is postponed until a decision is made by the Government of Kazakhstan related to changes in criminal legislation

Status: not yet achieved

Output 1.3	Law enforcement have the knowledge and skills on evidence collection in addition to the value of victim testimony for all categories of victims, including forced labour and victims of sexual exploitation
Indicator 1.3A	Training module is developed and endorsed by ministry of internal affairs
Baseline	No
Target	Yes

Progress: Due to the COVID-19 pandemic, in-person trainings in Kazakhstan were suspended. Adhering to COVID-19 pandemic protocols, the training is tentatively scheduled to take place in quarter three of 2021. . Noting that online trainings are often not as effective as offline trainings, the IOM project team and INL agreed to postpone this activity until in-person trainings resumed. Nonetheless, the relevant government partner has already identified the target audience for this training which will include officers of the anti-trafficking unit and criminal investigative officers.

Status: not yet achieved

Indicator 1.3B	Number of law enforcement officers trained through new curriculum
Baseline	0
Target	40

Progress: see indicator 1.3A; postponed, scheduled to take place in quarter three of 2021

Status: not yet achieved

Indicator 1.3C	% of knowledge achieved after the training (based on pre- and post-tests)
Baseline	0%
Target	75%

Progress: see indicator 1.3A; postponed, scheduled to take place in quarter three of 2021

Status: not yet achieved

Indicator 1.3D	Application of new skills by trained staff
Baseline	0
Target	20

Progress: see indicator 1.3A; postponed, scheduled to take place in quarter three of 2021

Status: not yet achieved

Outcome 2	Improved identification for all victims of trafficking, especially labour and foreign victims
Indicator 2A	Number of state agencies involved/responsible for trafficking in persons
Baseline	1 (criminal police)
Target	5

Progress: the mobile task forces comprise representatives from the general prosecutor's office (prosecutors), the criminal police (local police), and the ministry of interior (labour inspectors) along with staff from non-governmental organizations. The National Action Plan for prevention and combatting human-trafficking-related crimes for 2021-2023 establishes responsibility of each state agency for implementation of the workplan

Status: overachieved

Indicator 2B	Draft law against trafficking in persons is in place and submitted for endorsement by entitled state agency
Baseline	No
Target	Yes

Progress: The analysis of current legislation and its alignment to international commitments and standards is ongoing by an IOM hired consultant.

Status: not yet achieved

Output 2.1	All stakeholders have clear roles and responsibilities in combatting trafficking in persons and are actively involved in the process
Indicator 2.1A	Number of stakeholders that provided input to the development of the draft law against trafficking in persons
Baseline	0
Target	5

Progress: As the consultant is conducting the preliminary research and analysis for the draft law, the IOM project team is coordinating with stakeholders to work on the language of the draft law. After the text is written, the draft law will be assessed by relevant government agencies and public hearings will be conducted.

Status: not yet achieved

Output 2.2	Law enforcement agencies have clear guidance to identify and refer trafficking victims, adopting a gender sensitive and victim-centred approach
Indicator 2.2A	Guidelines to enforce identification and referral of victims of trafficking are updated and submitted for endorsement by entitled state agencies
Baseline	No
Target	Yes

Progress: this is a need that has been addressed by representatives of the mobile task forces. The production and implementation of such guidelines are yet to be approved by the central government. However, the IOM project team is identifying opportunities for these guidelines to be endorsed at the central level and be incorporated into other guiding documents so that it is more than a series of methodological recommendations.

Status: not yet achieved

Indicator 2.2B	Guidelines are published and shared with police officers
Baseline	No
Target	Yes

Progress: see indicator 2.2A; activity not started

Status: not yet achieved

Indicator 2.2C	Level of awareness of published guidelines among police officers
Baseline	N/A
Target	70% of officers show awareness of published guidelines (100 police officers including 20 from TIP specific units, chosen randomly at project end)

Progress: see indicator 2.2A; activity not started

Status: not yet achieved

Indicator 2.2D	Number of police departments (by type) that are involved in identification and referral
Baseline	1
Target	6

Progress: see indicator 2.2A; activity not started

Status: not yet achieved

Output 2.3	Task force on identification and referral of victims of trafficking is piloted and supported by central government agencies
Indicator 2.3A	Number of piloted task forces
Baseline	0
Target	3

Progress: three task forces have been formed since the beginning of this project. The task forces have been able to accomplish their scheduled visits to varying degrees due to COVID-19 pandemic restrictions as well as alignment of schedules of the different members of the task forces.

Status: not yet achieved (piloting still ongoing)

Indicator 2.3B	Number of visits of central government representatives
Baseline	0
Target	10

Progress: the central government has conducted three monitoring visits of the mobile task forces.

Status: partially achieved (3 against target of 10)

Indicator 2.3C	Existence of report on proposed concrete amendments and/or suggestions on institutional changes based on the task force operations
Baseline	No
Target	Yes

Progress: the task forces will meet in-person after implementing visits for a couple of months. Some of the lessons learned and suggestions will arise in this meeting which can be included in the final report on the task forces.

Status: not yet achieved

Indicator 2.4D	The report on task forces' operations is presented to MIA and the National Interagency CTIP Commission to assess the adoption of the task force concept
Baseline	No
Target	Yes

Progress: see indicator 2.3C

Status: not yet achieved

Does a major gap exist between the planned and achieved results (indicators listed and verified data)? How can it be interpreted? How can gaps be explained?

According to the original project plan, by 31 May 2021, all activities aside from monitoring, continued task force mobile visits, and one national dialogue should have been completed. Due to the COVID-19 pandemic, there were adjustments made to the project plan.

Some delays were experienced, and revisions made to the project plan, including putting some activities on hold, as described below.

This project has a strong emphasis on the partnership aspect of the "4 P framework"[11] in countering human trafficking. It was necessary at the beginning of the project to ensure that partners were well aligned with the aims of the project and that all partners' contributions were considered. Furthermore, many project activities are incorporated into the national action plan and this plan was finalized in February 2021. As a result, implementation speed took backseat to embedding these into a unified government plan/document. However, a government partner noted that this work of IOM has been on time. There were also delays relating to finding a good fit amongst candidates to conduct the assessment report. There was also a delay noted in beginning the work on the draft law due to collaboration challenges.

Adjustments to the project timetable had to be altered with the restriction of movement and on gatherings made necessary through the COVID-19 pandemic. While some activities of the project, such as the national dialogue presenting the results of the assessment report, were able to be adjusted to a virtual platform other activities were not. One of the activities that was put on hold was the training for law enforcement officials related to evidence collection. It was noted by several stakeholders that online trainings, for a variety of reasons, are not as effective as offline trainings. A decision was made jointly between the IOM project team and INL to wait until it was feasible to conduct this training offline. The training module is currently under development and the training is planned to take place in quarter three of 2021. Furthermore, the police training will be conducted by an international trainer and so the training had to wait until COVID-19 restrictions eased in the country and also to wait for international travel to be feasible.

Another activity that was affected by the COVID-19 pandemic restrictions was the mobile task force visits. This was noted by local partners, government partners and IOM staff. With each region experiencing different levels of outbreak, the movement of some teams was more affected than the movement of other teams. . In part due to the pandemic, one mobile task force has not been able to continue task force visits during the spring months.

While some activities were able to continue virtually, there were noted challenges related to conducting their work in a virtual environment. For example, the research for the assessment report was conducted virtually. It was reportedly more of a challenge to conduct the research online than it would have been offline. Also, it was noted that zoom conferences are not the ideal platform for collecting feedback. However, the assessment team provided direct contact information in case of any desire to provide feedback after the dialogue.

Likewise, the research conducted for the guidelines for the task force was conducted online. The consultant noted that they would have liked to have the opportunity to accompany a mobile task

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[11] The 4 Ps of countering human trafficking are: prevention, protection, prosecution and partnership.

force visit to ensure that their research and suggestions for the guidelines were grounded in reality rather than theoretical.

Despite these delays, the IOM project team reported no concerns related to completing all activities by December[12].

Were the activities sufficiently well-defined and implemented in order to reach relevant results? If results are not reached, would a different set of activities have produced the results?

The assessment report reflects the current situation related to the identification of victims of trafficking and prosecution of crimes of human trafficking. This was undertaken in order to find the gaps that exist, explain how the gaps may be addressed and propose a framework on how addressing these gaps could be done. The assessment has been well received by various stakeholders.

One of the noted challenges related to completing the assessment report was the lack of certain statistics related to legal proceedings of cases involving trafficking in persons. One of the repeated gaps was the lack of compensation data. Namely, the overall amount of money that Kazakhstan has paid related to compensating victims of trafficking. Also missing was data related to how much money was spent on victim assistance. No record shared on what kinds of victims were assisted, the type of assistance provided, and the completion rate of participants in programmes related to victim assistance.

Stakeholders have different opinions related to the composition of the task forces and the modality of work of the task forces. One stakeholder wondered whether the inclusion of NGOs as part of the task force mobile teams is appropriate. Contrarily, it was noted by other stakeholders that all people involved in the task force are essential. A stakeholder narrated that if a trafficking case is discovered then the relevant bodies are involved. It was highlighted that the local police know their territory well and can help with identifying crucial areas to inspect for potential labour exploitation. It was raised that, in some cases, individuals do not trust the police in these matters. Others noted that local NGOs are well known in the areas where the mobile task forces work, and so people sometimes trust local NGOs to address cases of trafficking more than the police. Once these cases are raised, the NGO can share the relevant information with oversight bodies who can conduct formal investigations. Additionally, it was noted that mobile task forces in other countries involved reaching out to local teachers in order to gather information on exploitation cases and that this could be added to the work of the task forces in Kazakhstan.

Additionally, there is concern related to the modality of work. The work of the task forces concerns itself a lot with farms and there needs to be an appointment made in most cases in order to visit the farm for inspections. This can prevent accurate identification of victims of trafficking if the farm owner has advance notification that a task force is going to visit. Furthermore, it was noted that

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[12] After the data collection phase of this report, 7-11 June 2021, the Republic of Kazakhstan, like much of the world experienced a new wave of COVID-19 due to the Delta variant. As a result, offline activities scheduled for July have now been tentatively scheduled for September. However, this will be dependent on the COVID-19 situation in the country. The IOM project team are in communication with state partners and the donor regarding this situation.

conducting awareness raising events can be at odds with identifying victims of trafficking due to advance notice.

Furthermore, different stakeholders reported different goals of the mobile task forces:

- To identify victims which would in turn identify traffickers so that oversight agencies cand prosecute.
- To improve capacity for identifying cases, providing help to victims who have been exploited, and raising awareness among the population, especially the rural population, of the risks that exist and how to report cases of exploitation.
- To raise awareness of the community related to TIP and to identify victims.
- To eliminate forced labour.
- To carry out proactive identification of cases of labour and sexual exploitation.
- To spread information about what to do in cases of human trafficking and provide hotline number/contact information.
- To prosecute those who commit crimes of trafficking in persons.
- To identify cases of TIP and get the current legislation amended.

Have the achieved results reached the target group as planned? Have the achieved results reached any indirect beneficiaries and has there been any unexpected consequences?

According to project documents and interviews conducted, two activities have been fully completed as of 31 May. These activities were the assessment report and the national dialogue focusing on sharing findings of the assessment report and sharing best practices. The assessment report was originally over 160 pages in length. The report was shortened to share with a government partner who then recommended it should be shortened further. In all, three 10-page documents were circulated to members of parliament containing the key findings, conclusions and recommendations of the assessment report. As highlighted above there were 2 lawmakers out of 55 participants present during the virtual national dialogue. As of now, no unexpected consequences reported, nor accounts of indirect beneficiaries reached from these completed activities.

Mobile task force visits are underway in all of the three regions, one region has paused mobile task force visits but are eager to restart, and there have been three monitoring trips from the central government visiting the mobile task forces. It was noted that there has been an increase in knowledge amongst those who have gone on the task force trips.

Efficiency

Are the project expenditures in line with the agreed upon budget?

As of 31 May 2021, 11 months of project implementation, 48% of the budget had been spent with 52% remaining. Some activities have costed more than originally allocated, facilitation of the task forces cost more money than projected (36%), assessment cost more than projected (5%) and office cost more than projected (57%). On the other hand, some activities have been less than originally budgeted. Excluding the media consultant, the budget for the national dialogue was about USD 16K. However, only USD 1.6k was spent for translation and venue. If the activities related to producing the guiding document on current national legislation are eliminated, then there will be an

unallocated USD 6k. Furthermore, if subsequent national dialogues are also hosted in a virtual environment, then there are additional budget gaps that will occur.

Budget remaining for Outcome 1

Budget remaining for Outcome 2
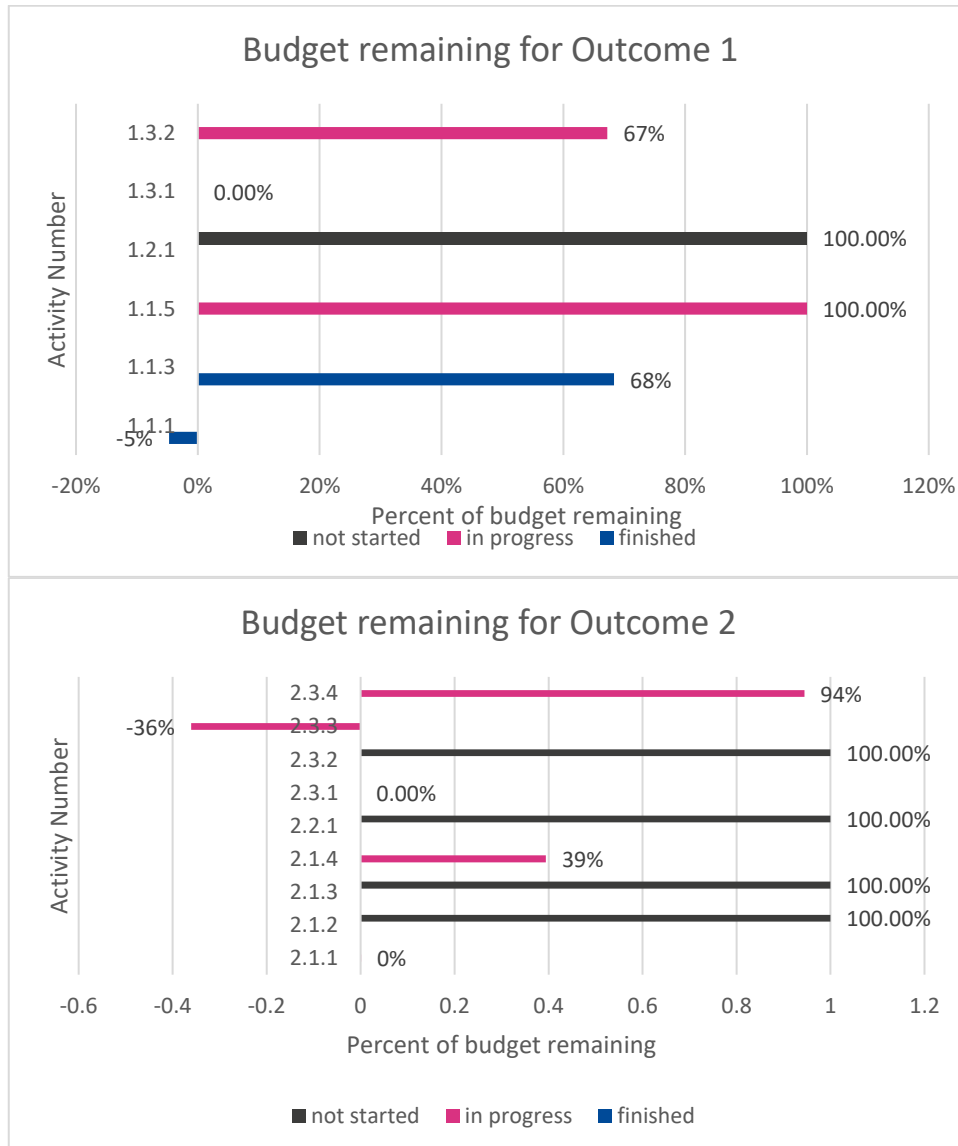
Are there any additional (unexpected) results achieved without additional costs?

As highlighted in deeper detail in the impact section, there have been some additional results achieved and these have not borne additional costs. The unexpected changes have revolved around increased collaboration between local NGOs and their government counterparts as well as additional uses of the assessment report produced by the IOM consultants.

Are the project resources managed and monitored appropriately, including monitoring of activities, results, budget and expenditures, and risks?

All partner organizations were explicitly asked if there were issues related to reporting for IOM or funding received from IOM and all three noted no challenges as the IOM team provided clear instructions on what was needed from them in reporting and were on time with funding. Before project implementation, the IOM team provided necessary documents and guidelines.

Additionally, one partner organization noted that the budget building was collaborative. They and the IOM project team worked together to articulate an appropriate budget to ensure that the districts covered by the mobile task force were the ones which had more likely cases of trafficking in persons.

The results matrix is the primary document for project results monitoring. MS Project in PRIMA is not used for project activity monitoring. Rather, the project team makes decisions and coordinates together periodically. For example, the team decided to wait for the situation surrounding COVID-19 in order to conduct trainings offline. These decisions are also done in coordination with state partners as many activities are part of the National Action Plan. Additionally, other IOM standard monitoring tools (offline activity monitoring using detailed workplan, results monitoring framework, and risk management plan) were not shared with the evaluator as part of the project documents. Regarding financial monitoring, the resource management officers in the IOM office supports in tracking budget expenditures.

Of note, the project team is composed of two IOM staff members who also work on other projects in the country or region. All stakeholders interviewed noted a good working relationship with IOM and emphasised the project team's expertise in the area of combatting human trafficking. One consultant noted that there were delays in communication through email earlier, but this has recently not been a concern. The IOM project team noted that there is a lot of coordination involved and the addition of an intern to the team in April 2021 has helped.

To what extent did allocation of resources to targeted groups take into account the need to prioritize those most marginalized?

One partner organization noted that the project team highlighted who should be the target groups of the project. The articulated focus was on marginalized groups such as migrants, those who are illiterate, and youth. Furthermore, project products are aligned with international best practices and standards.

Impact

What changes can be observed in the target population/key stakeholders?

As mentioned previously, this evaluation is a mid-term evaluation which will focus on early indications of impact noting that the full scale of the impact will only be realized once the project is completed.

Overall, the increase in focus on trafficking in persons by the Government of Kazakhstan was noted by the project team and other key partners. Additionally, there has been a shift in improving protection related to trafficking in persons, specifically providing social standards for victims of trafficking who are foreign nationals. Previously, foreign nationals did not receive this attention as the focus was on Kazakhstani nationals.

Output 1.1: Lawmakers have access to recommendations and best practices to criminalize trafficking in persons and to protect trafficking victims.

- As noted previously, the assessment report was well received by key project stakeholders. The report, likewise, was perceived to accurately reflect the current situation related to trafficking in persons in the republic of Kazakhstan. It was noted by several stakeholders that the assessment report has uncovered new information and that they learned from the report itself or from the national dialogue on the report. Furthermore, government partners are open to the recommendations provided in the assessment report and some have expressed interest in taking these recommendations forward.

Output 1.2: Police, prosecutors, and judges have access to guiding documents on trafficking cases.
- no changes yet observed.

Output 1.3: Law enforcement have the knowledge and skills on evidence collection in addition to the value of victim testimony for all categories of victims, including forced labour and victims of sexual exploitation.
- no changes yet observed.

Output 2.1: All stakeholders have clear understanding on roles and responsibilities in combating trafficking in persons and are actively involved in the process.

- Conversations related to the development of a single law on combatting trafficking in persons have become more prominent[13]. Previously, it was thought that there was not a need for a single law as elements related to CTIP were captured under existing criminal and social legislation. However, as reported in the national action plan, there is an activity related to exploring how a single law would work and what it would need to cover. Furthermore, government partners and NGO partners both raised the importance of amending the current legislation or creating new legislation related to combatting trafficking in persons.

Output 2.2: Law enforcement agencies have clear guidance to identify and refer trafficking victims, adopting a gender-sensitive and victim-centred approached.
- no changes yet observed.

Output 2.3: Task force on identification and referral of victims of trafficking is piloted and supported by central government agencies.
- Members of the task force reportedly have increased their capacity in strategically providing information to local populations. Additionally, there is better collaboration and communication between local NGOs and government agencies relating to combatting trafficking in persons since the task forces started.
- Two partner organization reported that after visits of the mobile task forces, individuals called them to verify information received and/or self-report as a potential case of labour exploitation/trafficking victim.

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[13] A government partner noted that the same day as our interview, the president of the republic of Kazakhstan was going to sign a presidential decree. In this decree, it was noted that the parliament is expected to introduce changes to criminal and social law accordingly and adopt these changes. However, this decree was published outside the scope of this evaluation and so is noted here but was not included as a data point for analysis.

What other unplanned changes can be observed whether positive or negative?

As this project recently fully completed only two activities, the scale of changes, both planned and unplanned are limited. Nonetheless, there are some unplanned changes related to the assessment report.

As mentioned, the results of the assessment shifted the priorities of the project including the suggestion to postpone the activity on providing a guidance document for police (and other stakeholders) because of a renewed focus on amending the law to comply with the Palermo protocols and other international standards. The assessment report has received a lot of attention. A government partner noted that they want to use the results of the survey conducted as part of the assessment report in trainings that their agency is organizing.

What is the likely contribution of the project to the observed changes, considering also other likely contributing factors?

Output 1.1: Lawmakers have access to recommendations and best practices to criminalize trafficking in persons and to protect trafficking victims.
- The changes noted in output 1.1 is new information gained from results of the report and agreement on the recommendations provided.

As the change focuses on increased knowledge gained through either reading the assessment report or from the national dialogue, this is likely directly related to the production of the assessment report and/or the presentation of its results for lawmakers and key stakeholders. As mentioned previously, a good portion of the recommendations in the assessment report are not new; therefore, the agreement on recommendations is likely a mix of influences related to the justification and background provided by the assessment report and other influences outside of this project. The interest in carrying forward some of the recommendations is also likely a mix of influences where the assessment report and national dialogue re-encouraged partners to move forward these recommendations.

Output 2.1 All stakeholders have clear understanding on roles and responsibilities in combating trafficking in persons and are actively involved in the process.
- The change noted in output 1.2 is the centrality of discussion related to amending the draft law.

The national action plan includes an activity related to this. Therefore, it is likely that there are additional contributing factors, like the US TIP report, which contributed to this change. It was also noted by stakeholders that the assessment report underscored this need. The change is likely a mix of influences related to this project and outside of this project.

Output 2.3 Task force on identification and referral of victims of trafficking is piloted and supported by central government agencies.
- The changes noted in output 2.3 are improved collaboration between NGOs and local government bodies and new calls related to self-reporting.

The change of increased collaboration and communication was reported to be due to involvement of different stakeholders in the mobile task forces by different sources. The new calls related to self-reporting as a victim of labour exploitation or human trafficking could be due to a variety of influences. While these calls were noted after mobile task force visits where stakeholders used different communication/visibility techniques (e.g. wearing face masks with the trafficking hotline number on it and distributing personal business cards with direct phone numbers) this change cannot be directly attributed to the mobile task force visits without additional data. As of now, this is a reported correlation that deserves further attention.

An IOM consultant noted that changes can be made very quickly in Kazakhstan with the right champions. For example, the law on special social services and standards of assistance of human trafficking were very quickly put in place. There was a focal point in the President's office who championed these issues which helped in the rapid implementation.

Sustainability

Is the project supported by local institutions and well-integrated with local social and cultural conditions?

The level of engagement from high level government officials is reportedly high. This, in part, builds on the relationships between government partners and IOM in the past which has been traditionally good. Furthermore, NGOs have been supportive of the work conducted in this project. Stakeholders additionally report that the engagement with international experts through this project has been a useful and enlightening component.

Have local partners and stakeholders been participating in the implementation of the project/programme to guarantee sense of ownership and interest in the sustainability?

There is good collaboration between NGOs and IOM staff. It is also noted that the NGOs involved in this project are strong NGOs that have been working in the area of CTIP for many years.

Additionally, Government partners are collaborating with IOM consultants on various project products even though government agencies could work unilaterally on these actions that are outlined in the national action plan. This is complemented by the fact that there has been an increase in the number of state agencies who work on CTIP.

Do partners have the financial capacity to maintain the benefits of the project/programme on a longer-term basis?

It is reported that, at the central level, there is high interest amongst state agencies to work on CTIP but, in the regions, there are only two law enforcement officers per region: 44 in total. It is of the opinion of stakeholders interviewed that there is capacity: manpower, financial, and prosecutorial capacity to maintain the benefits of this project. Nonetheless, there has not yet been concrete actions related to allocating resources to these initiatives aside from those activities written in the national action plan. While written in the plan, more data is needed related to the progress of state agencies on these activities.

It is too early to draw any conclusion on the sustainability of the program. Currently there were no activities reportedly ongoing without the support of the project. The reported progress of the project outlined in detail in the effectiveness section demonstrate that most activities are still in progress. The changes noted in the section on impact relate to knowledge change, attitude change, and IOM-supported behaviour change through the mobile task forces.

What should be done in order to guarantee the sustainability, if necessary?

One stakeholder aptly noted that in order to build a good counter-trafficking system then there needs to be regular and consistent trainings and standard operating procedures within law enforcement. Additionally, to ensure sustainability, another stakeholder highlighted there should not be a gap between passing the new law and implementation of the law which traditionally has a gap. Furthermore, it was suggested that the mobile task force visits need to be regularly scheduled not just one-time events.

Most stakeholders interviewed, requested that this project continue and not end in December.

Cross-cutting

To what extent and how have gender and human rights considerations (rights-based approach) been integrated into the design, planning and implementation of the project?

This project has a gender marker of 2a which means that the project does not primarily focus on gender inequality but has included gender in three aspects of the project: needs assessment, outputs, and activities. Gender mainstreaming is mentioned within the project proposal articulating the need to incorporate gender perspectives within counter-trafficking responses. The proposal also comments on the different experiences of Central Asian men in human trafficking. While the results matrix does not note objective, outcome, and output indicators disaggregated by sex and age, the results monitoring framework within PRIMA does note disaggregation according to these characteristics. The activities described in the results matrix are written without specific references to gender. However, the assessment report incorporates different experiences of human trafficking by gender, noting the absence certain of gender-disaggregated statistics and provides recommendations related to ensuring trainings are gender-sensitive.

Of note, only two of the 15 task force members are women, the remaining are men. The two female task force members are from the same NGO in the same task force. The other two task forces are all male members.

The objective of this project is directly related to increasing human rights, through identification of victims of human trafficking, investigation of crimes of human trafficking and prosecution of human trafficking crimes. The assessment report notes the gaps where the current legislation does not match international standards or commitments in protocols and conventions that Kazakhstan has ratified. Furthermore, there is an activity specifically focusing on incorporating

victim testimony as part of investigation of crimes of trafficking in persons. Related to engagement of stakeholders, NGOs noted participation in drafting mobile task force plans and have reported a good working relationship with IOM where challenges and ideas can be expressed openly.

Conclusions

Relevance

Overall, the project is relevant to the current context. As the majority of project activities are embedded within the national action plan, these are agreed-upon priorities of critical stakeholders. The changes noted related to the attitudes of stakeholders show that this project is in line with the external reality. The one finalized project product is in line with international standards and consultants with ongoing project products have identified relevant international standards and best practices, including the Palermo protocols, to use in their creation.

At this point, the project objective and outcomes still make sense. However, it may be prudent to drop output 1.2, developing the guidance document to have a common understanding of criminal legislation and how it relates to human trafficking, if there is confidence that the draft law will be implemented in the near future. Even if this draft law is going to be implemented, there will be a gap in time between the current legislation and the new legislation and adapting this guidance document for the transition period may also be strategically important. There are a number of suggested additional activities and complementary activities made by stakeholders. There are several good suggestions for how to strengthen this project that are directly related to the products/activities of this project such as developing the accompanying documents for the draft law and training additional members for the mobile task forces.

Effectiveness

As of yet, it is too early to comment on the overall effectiveness of the program, but it is promising that the project will be effective by project closure. Due to gaps in implementation related to the COVID-19 pandemic, onboarding, and other logistical challenges the project has not been implemented according to schedule. The completed or ongoing project products, the assessment report, draft law, guiding document for mobile task forces, are well-defined. The overall goal of the mobile task force, however, is different according to different stakeholders.

Due to the gap identified between planned results and achieved results, the question on different set of activities was unable to be addressed at this time as any alternatives could have faced similar implementation challenges related to the COVID-19 pandemic. The evaluator therefore suggests that this question be added to the final or ex-post evaluation if conducted.

Efficiency

Largely due to implications of the COVID-19 pandemic, project expenditures are not in line with the agreed upon budget. As of this evaluation, May 2021, 48% of the budget had been spent – addition of expenses, commitments and pre-commitments – with 52% remaining. Some activities cost more than originally allocated and other activities cost less. Depending on the modality of

future national dialogues and the decision on output 1.2, the project could have unspent funds by the close of the project. Additionally, the use of IOM standard tools for results and activities monitoring are not regularly utilized.

Impact

The changes reported focus on knowledge, attitude and IOM-supported behaviour change. The increase in knowledge is likely directly related to the project. The attitude changes are likely a combination of factors between this project and external factors. The behaviour change is currently supported by IOM.

Additionally, there have been a few unexpected changes: increased collaboration between local NGOs and their government counterparts as well as the additional uses of the assessment report produced by the IOM consultants which did not bear additional costs.

Sustainability

The project is supported by local institutions and by local partners. Additionally, local partners and stakeholders have been participating the implementation of the project. While the activities of the project are embedded in the National Action Plan for prevention and combatting human trafficking-related crimes for 2021-2023, it is too early to assess whether the project will be sustainable.

Recommendations for IOM Kazakhstan

1. Agree on the main purpose of the task forces: awareness raising, identifying victims of trafficking/labour exploitation, or an advocacy tool and communicate this clearly with task force members. Depending on the main purpose, consider what necessary tools/resources the task force needs to meet this purpose.
2. Decide how task force success should be assessed through conversations with task force members and task force consultant. Formalize key performance indicators (KPIs) on this, in addition to current monitoring practices, and monitor these new KPIs.
3. Consider using available IOM monitoring templates to track activities, risk, and results more regularly (bi-weekly/monthly).
4. Make a decision jointly with the donor on output 1.2. The evaluator sees three paths forward: 1) proceed as initially planned, 2) adapt the guidelines so that it can serve as a transition document, 3) drop the activity and use the funds for a complementary activity.
5. Have a conversation with the donor related to the budget. As of now, there are unspent funds from savings in activity cost due to online modalities. In this conversation, it could be beneficial to decide whether the next national dialogues are going to be online or in person and what to do with current savings and possible future savings. There may be room in the budget to implement an additional activity.
6. Create a list of what minimum circumstances would need to occur for a phase two to be successful (e.g. passage of the draft law, reaction to upcoming TIP report, current champions maintain current position/standing).
7. Begin conversations with stakeholders regarding which of the recommendations from the assessment report would be most feasible to achieve for a potential phase two of this project.

Good practices and lessons learned

Lessons learned:
1. Membership of the task force appears to be based on individuals rather than institution and this can be challenging with the frequent staff turnover in police.
2. While a useful platform during COVID-19 restrictions, virtual modalities are imperfect substitutes for conducting research and presenting results with the intention of capturing feedback.
3. Collaboration with government stakeholders means working according to their time schedules.

Good practices:
1. Embedding activities of the project into the national action plan.
2. Taking time at the beginning of the project to fully onboard and incorporate opinions of key stakeholders.

Annexes

A. Evaluation Matrix

B. Data Collection Schedule

C. List of Documents Reviewed

D. Terms of Reference

Annex A: Evaluation Matrix

Key Evaluation Questions	Sub-questions	Indicators/signs	Sources of Data	Data Collection Method
1. Relevance: Is the intervention doing the right things?				
1.1 To what extent does the project/programme continue to make sense in the current context, and to what extent do project objective and intended results remain valid and pertinent?	What was the context at the project design phase?	Description of context	Project documents	Desk review
	How has the context shifted since the start of the project?	Documented changes & Perception of IOM staff	Project documents, IOM staff, NGO partners, Donor	Desk review & interview
	To what extent is the project as designed still relevant if the context has shifted?	Perceptions of key stakeholders	Government officials, NGO partners, Donor, IOM staff	Interviews
1.2 Is the project consistent with the external reality (national and regional government policies, administrative capacities, and institutional and cultural factors)?	What are current national, regional policies? To what degree does the project align to these?	List of identified relevant policies; Degree of alignment	Project documents, IOM staff	Desk review & interviews
	What are current administrative capacities?	Perceptions of capacity to undertake this project	NGO partners, IOM Staff	Interviews
	What are current institutional and cultural factors? To what degree does the project align to these?	List of identified relevant factors; Degree of alignment	Government officials, police, NGOs, IOM staff	Interview
	How well does the project take these into account?	Perceptions of alignment	Government officials, police, NGOs, IOM staff	Interviews & Questionnaire
1.3 Are there any elements which could lead to the conclusion that the overall objective or (one of) the project purposes have to be dropped, revised, amended or new ones added in order to make the project more in line with the current reality and needs? to what extent is it already evident that additional or complementary activities/projects need to be implemented?	What changes have occurred in the context since the design of the project? (1.1)	Documented changes & Perception of IOM staff	Project documents, IOM staff, Donor	Desk review and Interviews
	How do these changes affect the program as designed? (1.1)	Perceptions of key stakeholders	Government officials, NGO partners, Donor, IOM staff	Interview
	What elements of the project are now redundant?	Contextual/capacity factors	NGO partners, IOM staff	interview
	What could be additional elements needed to strengthen the program?	Descriptions of how the project could be strengthened	Government officials, NGO partners, IOM Staff	Interview
1.4 Are the project products in line with the international standards, including the Palermo protocols and other international documents?	What international standards were used to inform project products?	List of identified relevant standards	Project documents, IOM staff, consultant	Desk review, interview
	How well do the project products match these standards?	Degree of alignment	Project documents, consultant, MPA RTS	Desk review, email/interview
2. Effectiveness: is the intervention achieving its objectives?				
2.1 Is the project/programme effective in reaching planned results, in bringing planned changes?	What results have been achieved so far?	Description of results achieved	Project documents	Desk review
	What should have been achieved at this point in the project?	Alignment to workplan and results monitoring framework, assumptions in theory of change	Project documents (theory of change, RMF)	Desk review
2.2 Does a major gap exist between the planned and achieved results (indicators listed and verified data)?	Building on 2.1 If there is a gap between planned and achieved results, what has been the reason?	Alignment to workplan, descriptions of delays, assumptions in theory of change	Project documents, IOM staff, NGO partners	Desk review & interview

How can it be interpreted? How can gaps be explained?	Were these reasons within the control of the project team?	Description of delays and perceived control	Project documents, IOM staff, NGO partners	Desk review & interview
2.3 Were the activities sufficiently well-defined and implemented in order to reach relevant results? If results are not reached, would a different set of activities have produced the results?	How did stakeholders interpret the activities?	Perceptions of stakeholders and project staff	Consultant, task force members	Interview & questionnaire
	Does this interpretation match the project as designed?	Degree of alignment	Consultant, task force members	Interview & questionnaire
	What were the alternatives for this project? Would these have been better suited to the contest?	Perceptions of project staff	IOM staff, NGO partners	Interview
2.4 Have the achieved results reached the target group as planned? Have the achieved results reached any indirect beneficiaries and has there been any unexpected consequences?	What should the target group have received at this point in the project?	Degree of alignment	Project documents	Desk review
	Did they receive this?	Accounts of existence	Project documents, stakeholders	Desk review, Interviews
	Who else has benefited from project activities?	Accounts of existence	Stakeholders	Interviews
3. Efficiency: How well are resources being used?				
3.1 Are the project expenditures in line with the agreed upon budget?	What has been spent so far in the project?	Expenditures and burn rates	Project documents	Desk review
	What should have been spent to date?	Expenditure plans as documented or described	Project documents, project staff	Desk review, Interview
3.2 Are there any additional (unexpected) results achieved without additional costs?	What changes have occurred? (4.1)	Monitoring data, Accounts of change	Project documents, Stakeholders (government, police, NGOs, project staff)	Desk review, Interviews & questionnaire
	Through what mechanism did these changes occur? Are these through project mechanisms? (4.2)	Description of source of change	Stakeholders (government, police, NGOs, project staff)	Interviews & questionnaire
	Did these changes utilize project resources?	Description of source of change	Stakeholders (government, police, NGOs, project staff)	Interviews & questionnaire
3.3 Are the project resources managed and monitored appropriately, including monitoring of activities, results, budget and expenditures, and risks?	How are resources managed?	Alignment with IOM practices	Project documents, project staff, NGO partners	Desk review & interview
	How are activities, results, budget, expenditures, risks monitored?	Alignment with IOM practices	project staff, NGO partners	Interview
3.4 To what extent did allocation of resources to targeted groups take into account the need to prioritize those most marginalized?	How are resources allocated? Who is the focus of resource allocation	Accounts of resource allocation	Project documents, Stakeholders (government, police, NGOs, project staff)	Desk review & interview
4. Impact: What difference does the intervention make?				
4.1 What changes can be observed in the target population/key stakeholders?	What changes have occurred?	Monitoring data, Accounts of change	Project documents Stakeholders (government, police, NGOs, project staff)	Desk review, Interview & questionnaire
	What has been the most significant change among target population/key stakeholders?	Accounts of change	Stakeholders (government, police, NGOs, project staff)	Interview & questionnaire

4.2 What other unplanned changes can be observed, whether positive or negative?	Building on 4.1 Through what mechanism did these changes occur? Are these through project mechanisms?	Accounts of change	Stakeholders (government, police, NGOs, project staff)	Interview & questionnaire
	Are these changes in line with expected results?	Accounts of change & alignment with expectations	Stakeholders (government, police, NGOs, project staff)	Interview & questionnaire
4.3 What is the likely contribution of the project to the observed changes, considering also other likely contributing factors?	Building on 4.1 To what extent do project stakeholders contribute this change to the project?	Accounts of change & description of contribution	Stakeholders (government, police, NGOs, project staff)	Interview & questionnaire
5. Sustainability: Will the benefits last?				
5.1 Is the project supported by local institutions and well-integrated with local social and cultural conditions?	To what extent do stakeholders support this project?	Descriptions of support	Stakeholders (police, government, NGO partners)	Interviews
	To what extent is the project aligned with current context? (1.1)	Degree of alignment		
5.2 Have local partners and stakeholders been participating in the implementation of the project/programme to guarantee sense of ownership and interest in the sustainability?	To what extent were stakeholders involved with project design?	Perceptions of involvement and records of participation	Project documents and stakeholders (gov and police), donor	Interviews & questionnaire
	To what extent have stakeholders been involved in project implementation?	Perceptions of involvement and records of participation	Project documents and stakeholders (gov and police)	Interviews & questionnaire
	To what extent is there a need for this project continue?	Concrete needs, Perceptions of reasons for continuation	Stakeholders (gov, police, donor, NGO partners)	Interviews & questionnaire
5.3 Do partners have the financial capacity to maintain the benefits of the project/programme on a longer-term basis?	To what extent do local institutions have the financial capacity to maintain benefits of the project?	Perceptions of capacity	NGO partners, IOM staff	interview
	If not, what is needed?	Perceptions of capacity	NGO partners, IOM staff	interview
5.4 Are the results obtained sufficient to draw any conclusion on the sustainability before the actual end of the project/programme? Are some activities already on-going without anymore support from the project/programme?	What has been achieved? (2.1)			
	Do partners have capacity to guarantee sustainability? (5.5)	Descriptions of needs for sustainability	NGO partners, IOM staff, government partners	Interviews
	What are current partners doing? Are any conducting activities without support from project?	Match descriptions of involvement with project documents	NGO partners, IOM staff, government partners, project documents	Desk review & Interview
5.5 What should be done in order to guarantee the sustainability, if necessary?	What else is needed to guarantee sustainability?	Descriptions of needs for sustainability	NGO partners, IOM staff, government partners	Interviews
	To what extent to local institutions have financial capacity to maintain the project? (5.3)	Perceptions of capacity	NGO partners, IOM staff	Interviews
	If not, what is needed? (5.3)	Perceptions of capacity	NGO partners, IOM staff	Interviews

Annex B: Data Collection Schedule

Time in Nairobi	Time in Kazakhstan	Meeting with	Comments
June 7, 2021			
09:00 – 10.30	12.00 – 13.30	IOM Programme Manager	
10.30 – 11.00	13.30 – 14.00		Lunch break in Kazakhstan
11.00 – 12.30	14.00 – 15.30	IOM Programme Specialist	
12.30 – 13.30	15.30 – 16.30		Lunch break in Nairobi
13.30 – 14.00	16.30 – 17.00	IOM Kazakhstan Chief of Mission	
15.30 – 16.00	18.30 – 19.00	IOM Consultant (assessment)	Consultant is in Ukraine (time 15:30, English speaking)
June 8, 2021			
08.30 – 09.00	11.30 – 12.00	Meeting with translator	
09.00 – 10.00	12.00 – 13.00	Ombudsman	
10.00 – 11.00	13.00 – 14.00		Lunch break in Kazakhstan
11.00 – 12.00	14.00 – 15.00	Ministry of Interior	
12.00 – 13.00	15.00 – 16.00	Ministry of Labour and Social Protection	
13.00 – 14.00	16.00 – 17.00		Lunch break in Nairobi
June 9, 2021			
09:00 – 09.30	12.00 – 12.30	IOM Consultant (assessment)	Consultant is in Australia (time 16:00, English speaking)
10.00 – 11.00	13.00 – 14.00		Lunch break in Kazakhstan
11.00 – 11.30	14.00 – 14.30	IOM Consultant (draft law)	
11.30 – 13.00	14.30 – 16.00	Partnering NGO 1	
13.00 – 14.00	16.00 – 17.00		Lunch break in Nairobi
14.00 – 15.30	17.00 – 18.30	Partnering NGO 2	
June 10, 2021			
11.00 – 12.30	14.00 – 15.30	Partnering NGO 3	
12.30 – 13.30	15.30 – 16.30		Lunch break in Nairobi
12.30 – 13.00	16.30 – 17.00	IOM Consultant (Task Forces)	Consultant is in Moldova (time 13:30)
June 11, 2021			
09:00 – 10.00	12.00 – 13.00	Donor INL	
10.00 – 11.00	13.00 – 14.00		Lunch break in Kazakhstan
12.00 – 14.00	15.00 – 17.00	Task Forces (focus group)	

Annex C: List of documents reviewed

- KZ10P0502 Concept Note
- KZ10P0502 Proposal
- KZ10P0502 Workplan
- KZ10P0502 Narrative Interim Report 1
- KZ10P0502 Narrative Interim Report 2
- KZ10P0502 Narrative Interim Report 3
- "Assessing the effectiveness of measures for the identification of (potential) victims of trafficking and prosecution of trafficking-related crimes in the Republic of Kazakhstan (Draft Full Report)"
- Kazakhstan 2019-2020 TIP Action Plan
- Meeting with Task Forces and Ministry of Interior
- National Action Plan 2021-2023
- State Government and IOM's report on implementation of TIP report recommendations
- Task Forces Schedule as approved by MIA
- Task forces TOR provided by MIA
- United States Department of State Trafficking in Persons Report 2019
- United States Department of State Trafficking in Persons Report 2020

Terms of Reference

Mid-term internal evaluation of the project "Strengthening Counter-Trafficking Response by Improving Identification, Investigation and Prosecution of Trafficking in Persons in Kazakhstan"

Commissioned by*: IOM Kazakhstan

Evaluation context

IOM's Central Asian Regional Trafficking Cases Statistics from 2002 to 2018 for Kazakhstan shows that only 1,107 non-Kazakh victims were identified and assisted in the country during that period, compared to 4,520 who sought assistance after they returned to their native countries from Kazakhstan. IOM's Global Counter-Trafficking Data also contains individual cases of victims who were trafficked to and exploited in Kazakhstan but identified only in their countries of origin located outside the Central Asian region. Majority of victims identified by IOM in Kazakhstan are from Uzbekistan, Kyrgyzstan, Tajikistan, Russian Federation, Philippines and Republic of Moldova. Taking into consideration the growing number of migrant workers in Kazakhstan, this relatively low number of foreign victims of trafficking identified while in the country seems to be grounded on the poor identification of victims of trafficking and potential victims of trafficking, especially among migrants. In addition, the national legislative framework does not provide the opportunity to remedy this.

In 2019 the United States Trafficking in Persons (TIP) Report, Kazakhstan was downgraded to the Tier 2 Watch list, after having been a Tier 2 nation since 2008. Despite progress Kazakhstan demonstrated notable progress in eliminating trafficking in Kazakhstan, several major issues remain, such as the low identification rate among migrant workers and limited access to government-funded assistance for foreign victims. These issues have been reported for almost a decade by the TIP Report with recommendations to increase efforts to identify trafficking victims – particularly foreign forced labor victims, as well as to increase assistance available to foreign victims and ensure that victim identification and assistance are not contingent upon participation in the investigation and prosecution.

The project is being implemented in Kazakhstan to contribute to strengthening counter-trafficking response by improving identification of victims, as well as investigation and prosecution of trafficking in persons in Kazakhstan, especially for labour exploitation. To achieve this goal the project has been conducting an assessment to identify gaps, challenges and obstacles that lead to ineffective prosecution, and produce several documents: 1) the first document will explain in clear terms, how criminal anti-trafficking legislation must be interpreted to avoid misunderstanding the intent of the law; 2) the second document will provide clear guidelines for police units (in addition to criminal police) to identify and refer victims; 3) the third document will define the roles of the government agencies to combat trafficking in persons and will propose a draft law against trafficking in persons. In addition, under this project, IOM has supported establishment and maintenance of Task Forces, comprised of representatives of police officers, prosecutors and NGOs in three pilot regions of Kazakhstan (Karagandy, Mangystau and Turkestan), to improve identification of victims of trafficking, especially foreign citizens and cases of labour exploitation, and conduct training on data collection for police officers to improve prosecution of trafficking in persons.

The project aims to contribute to strengthening counter-trafficking response by improving identification of victims, as well as investigation and prosecution of trafficking in persons in Kazakhstan, especially for labor exploitation. IOM will support efforts towards (outcome 1) improvement and application of the anti-trafficking legislation through: (output 1.1.) recommendations and best practices to criminalize

trafficking in persons and to protect trafficking victims for lawmakers; (output 1.2.) guiding documents on trafficking in persons cases for police, prosecutors and judges; and (output 1.3.) providing knowledge and skills on evidence collection in addition to the value of victim testimony for all categories of victims, including forced labor and victims of sexual exploitation for law enforcement. Within the project IOM will also contribute (Outcome 2): improvement of identification for all trafficking victims, especially labor and foreign victims, through: (output 2.1.) ensuring of clear understanding for all stakeholders on roles and responsibilities on combating trafficking in persons and are actively involved in the process; (output 2.2.) law enforcement agencies have clear guidance to identify and refer trafficking victims, adopting a gender sensitive and victim- centered approach; and (output 2.3.) support of task forces on identification and referral of victims of trafficking is piloted and supported by central government agencies.

In September 2020, IOM offered to the State Interagency Commission on CT the project's activities as suggestions for its including into the National Action Plan (NAP) on Counter-trafficking in persons (CTiP).

The project's timeline is between 20 June 2020 and 19 December 2021; the project proposal's objective and outcomes have been coordinated with the Donor, International Narcotics & Law Enforcement (INL) office in Nur-Sultan, before official submitting it through official channels.

Evaluation purpose

The purpose of the mid-term evaluation is to look at the project's performance and achievements to date (effectiveness and efficiency), to identify best practices and aspects that could be improved, as well as to propose any correctional/additional/follow-up activities, as necessary and depending on resource availability. Secondarily, the evaluation will also consider the continued relevance of the project design to the current context, as well as likely impact and sustainability of the project and identification of related factors and challenges.

The evaluation is being conducted for use by: a) the project management team to re-direct if necessary the implementation of the activities within the project, as well as to identify the project strength and weaknesses and to improve the performance based on the mid-term evaluation findings; b) the donor to assess value for money for the funded activities.

Evaluation scope

The mid-term evaluation will cover the period of 20 June 2020 and 1 May 2021. The evaluation will cover the entire geographical scope of the project, with the main stakeholders of the projects located in Nur-Sultan, Karagandy, Mangystau and Turkestan cities and activities taking place in Nur-Sultan, Karagandy, Mangystau and Turkestan cities. Either in person meetings in Nur-Sultan and Karagandy, Kazakhstan will be arranged by IOM, or the evaluation will be conducted remotely depending on COVID-19 situation.

Evaluation criteria

Given the above stated purposes, this evaluation will be guided by the following OECD-DAC evaluation criteria: relevance, effectiveness, efficiency, impact and sustainability. Gender and human rights will also be considered as cross-cutting issues.

Evaluation questions

Relevance:

1) to what extent does the project/programme continue to make sense in the current context, and to what extent do project objective and intended results remain valid and pertinent?
2) is the project consistent with the external reality (national and regional government policies, administrative capacities, and institutional and cultural factors)?

3) are there any elements which could lead to the conclusion that the overall objective or (one of) the project purposes have to be dropped, revised, amended or new ones added in order to make the project more in line with the current reality and needs?
4) to what extent is it already evident that additional or complementary activities/projects need to be implemented?
5) are the project products in line with the international standards, including the Palermo protocols and other international documents?

Effectiveness:

6) is the project/programme effective in reaching planned results, in bringing planned changes?
7) does a major gap exist between the planned and achieved results (indicators listed and verified data)? How can it be interpreted? How can gaps be explained?
8) were the activities sufficiently well-defined and implemented in order to reach relevant results? If results are not reached, would a different set of activities have produced the results?
9) have the achieved results reached the target group as planned? Have the achieved results reached any indirect beneficiaries and has there been any unexpected consequences?

Efficiency:

10) are the project expenditures in line with the agreed upon budget?
11) are there any additional (unexpected) results achieved without additional costs?
12) are the project resources managed and monitored appropriately, including monitoring of activities, results, budget and expenditures, and risks?
13) to what extent did allocation of resources to targeted groups take into account the need to prioritize those most marginalized?

Impact:

14) what changes can be observed in the target population/key stakeholders?
15) what other unplanned changes can be observed, whether positive or negative?
16) what is the likely contribution of the project to the observed changes, considering also other likely contributing factors?

Sustainability:

17) is the project supported by local institutions and well-integrated with local social and cultural conditions?
18) have local partners and stakeholders been participating in the implementation of the project/programme to guarantee sense of ownership and interest in the sustainability?
19) do partners have the financial capacity to maintain the benefits of the project/programme on a longer-term basis?
20) are the results obtained sufficient to draw any conclusion on the sustainability before the actual end of the project/programme? Are some activities already on-going without anymore support from the project/programme?
21) what should be done in order to guarantee the sustainability, if necessary?

Gender and human rights:

- To what extent and how have gender and human rights considerations (rights-based approach) been integrated into the design, planning and implementation of the project?

The evaluation should also identify any good practices or lessons learned in the project implementation and provide recommendations for follow-up and/or additional activities within available project resources, as well as correctional efforts, if such are needed.

Evaluation methodology

IOM will select one internal evaluator (IOM staff from other Missions on the IOM global roster of internal evaluators) to carry out this evaluation.

The mid-term evaluation should be conducted in line with the norms and standards for evaluation established by the United Nations Evaluation Group (UNEG), and the standard procedures as outlined in the IOM Project Handbook, consisting of three main stages:

1. Desk review – project document, interim reports to the donor, key outputs to date, as well as final documents on the predecessor programme
2. Data collection, to observe project activities and interview project stakeholders; and
3. Data analysis and synthesis phase, in which the results are compiled into the evaluation report, along with an accompanying two-page evaluation brief to summarize the main findings and recommendations.

Evaluation deliverables

The deliverables expected from the Evaluator include the following:

- An **inception report** will be prepared by the Evaluators and shared with the Evaluation Manager (the IOM Kazakhstan project manager). The report should include an evaluation matrix and a draft interview guide, along with any other needed data collection tools. The **Evaluation Matrix** will demonstrate the Evaluators' understanding of the ToR and outline data collection and analysis plans, to be completed and reviewed with the Project Manager prior to the field visit.

- Following the field visit, the Evaluators will prepare a short **presentation** of the initial findings and tentative conclusions and recommendations. This will be used to debrief the Evaluation Manager and other relevant parties, to identify and address any misinterpretations or gaps.

- Building on the debrief and initial feedback received, the Evaluators will produce a **draft report** that will be shared with the Evaluation Manager for review. The Evaluation Manager will solicit and consolidate feedback (including from the Chief of Mission for IOM Kazakhstan, Regional Thematic Specialist and Regional M&E Officer at RO Vienna, and the Donor) and present it to the Evaluator. Feedback should focus on technical aspects and not on the conclusions or findings, unless those are based on inaccurate or incomplete information, in which case corrected or supplemental information should be provided.

- Once feedback is provided by the Evaluation Manager, the Evaluator will prepare the **final report.** The report will follow the same presentation logic and include, at a minimum, the information described in the IOM Project Handbook template for evaluation reports: executive summary, list of acronyms, introduction, evaluation context and purpose, evaluation framework and methodology, findings, conclusions and recommendations. Annexes should include the TOR, inception report, list of documents reviewed, list of persons interviewed or consulted and data collection instruments.

- The Evaluators will also prepare a **two-page Evaluation Brief** to facilitate sharing of the key findings, conclusions and recommendations. The **Evaluation Brief** will include: identification of audience of the learning brief; project information (project title, countries covered, project type and code, project duration, project period, donor(s), and budget); evaluation background (evaluation purpose, evaluation team, evaluation timeframe, type of evaluation, methodology); and evaluation results: key findings and/or conclusions, including best practices and lessons learned, and key recommendations.

- Finally, the Evaluation will provide a draft **Management Response Matrix** with proposed timeline and actions related to the recommendations posed in the evaluation report. This will be drafted in close coordination with the Evaluation Manager, who will then finalize afterwards the matrix in coordination with other relevant colleagues and partners.

All deliverables are to be written in English and meet good language standards. The final report should meet the standards laid out in the UNEG Quality Checklist for Evaluation Reports.

Evaluation workplan

The Evaluation Manager will arrange a first meeting with the evaluator to make sure that the TOR is clear and share initial background and info about project. The inception report will be submitted after this meeting. Based on the TOR, the Evaluators will carry out a review of documents provided by the Evaluation Manager and draft the Inception Report for review by the Evaluation Manager. The Evaluation Manager will confirm final logistics, and review and give inputs into data collection plans as outlined in the Inception Report.

Arranging logistics for data collection in the will be the responsibility of the Evaluation Manager, including arranging meetings, transportation, and external interpretation services for meetings and field visits (or remote data collection in case a field visit will not be possible). The presentation on the initial findings following conclusion of the data collection and preliminary analysis will allow for any obvious oversights, misinterpretations, or information gaps to be identified and addressed before the evaluator begins drafting the full report. A draft report will then be proposed within one month of the field visit, and then finalized based on comments from the Evaluation Manager along with the two-page evaluation brief.

Once approved by the Evaluation Manager, the report and brief will be shared with the donor (by Evaluation Manager), with IOM's Office of the Inspector General (by the Regional M&E Officer for RO Vienna), and with other CT specialists as needed (by the MPA Regional Thematic Specialist for RO Vienna).

The evaluation is planned to take place, including potential visits, in May-July 2020. A precise timeline will be established with the selected Evaluator, and will consist of the following stages (dates are tentative and can be adjusted):

1.   Planning and Desk Research Phase

In the desk research Phase, the relevant project documents should be reviewed: The Project proposal, budget, the relevant guidelines, the progress/semestrial (6-months) and reports with the annexes.
Deliverable: The evaluators will prepare a detailed evaluation matrix with an indicative list of people to be interviewed, and the methodological tools to be used.

2.   Data Collection Phase

The evaluators will carry out the assessment**.** The data will be collected according to the following methods and the Evaluation sheet will serve to compile the data:
- ✓ **Briefing meetings** with project management staff at the beginning and the end of the Data Collection phase;
- ✓ **In-depth interview** with the key project partners and relevant stakeholders in the government and local authorities of pilot regions (face to face and/or via telephone/skype)
- ✓ **Focus group discussion** with partners, IOM staff supporting similar projects.

Deliverable: Following the data collection (field visits or remote), the Evaluators will prepare a short **presentations** of the initial findings and tentative conclusions and recommendations, delivering it over a de-briefing meeting at the end of the data collection phase.

3.   Data Analysis and Synthesis Phase.

This phase is devoted to the development and submission of the evaluation report and two-page brief.

Deliverable: The Evaluators will submit a **Draft Evaluation Report. Based on comments to the draft report, the Evaluator will submit** the **final report along with the two-page brief** (within one week after receiving the comments on the draft report).

The estimated workload and responsibilities' allocation read as follows:

Activity	Responsible	Timeline
Compile and share relevant documentation, organize initial management meeting with Evaluator	Evaluation manager	4 days
Review documents and prepare inception report, including at minimum the evaluation matrix and the data collection tools	Evaluator	4 days
Planning and facilitation of the data collection (meetings, focus groups, phone calls), logistical arrangements and agenda	Evaluation manager	1 week
Data collection, including travel time if in-person (meetings, focus groups, phone calls) depending on COVID-19 situation	Evaluator	1-2 weeks (TBC)
De-brief Evaluation Manager on the initial findings and tentative conclusions	Evaluator	1 week
Draft report	Evaluator	1.5 month
Review and comment on the draft report	Evaluation manager	5 days
Final report and two-page evaluation brief	Evaluator	1 week
Translation of the brief and sharing it with stakeholders along with full evaluation report	Evaluation manager	4 days

Evaluation budget

A total budget of USD 6,000 has been allocated for the mid-term evaluation of the Project that should include evaluators' travel fare, per diem, local transportation and any associated costs as required.