# Terms of Reference

## EXTERNAL MIDTERM EVALUATION OF

**ENHANCING CORPORATE RESPONSIBILITY IN ELIMINATING SLAVERY AND TRAFFICKING IN ASIA (CREST PROJECT)**

**Commissioned by:** IOM Viet Nam Mission Office

<table>
<thead>
<tr>
<th>Project type:</th>
<th>Labour Migration (LM)</th>
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<tbody>
<tr>
<td>Secondary project type:</td>
<td>Protection and Assistance to Vulnerable Migrants (PX)</td>
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<tr>
<td>Geographical Coverage:</td>
<td>South East Asia, South Asia and East Asia</td>
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<tr>
<td>Executing agency:</td>
<td>International Organization for Migration (IOM)</td>
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<tr>
<td>Beneficiaries:</td>
<td>Women and men migrant workers; Employers; Labour Recruiters; Civil society organizations;</td>
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<tr>
<td>Partner(s):</td>
<td>Private sector actors; Civil society organizations; Expert organizations; Regional business and industry groups; International Organizations; Governments and regional organizations;</td>
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<tr>
<td>Management site:</td>
<td>Ho Chi Minh, S-Off, VIET NAM</td>
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<tr>
<td>Duration:</td>
<td>01 October 2017 - 30 September 2022 (12 months inception phase, followed by main implementation phase over 48 months)</td>
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<tr>
<td>Budget:</td>
<td>SEK 52,086,020</td>
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1. Evaluation context

To help businesses realize their potential to uphold and respect the human and labour rights of migrant workers in their operations and supply chains, IOM has launched the Corporate Responsibility in Eliminating Slavery and Trafficking initiative (CREST) in 2017, funded by the Section for Regional Development Cooperation for Asia and the Pacific at the Embassy of Sweden in Thailand.

The goal of the CREST initiative is to enable businesses to respect, promote and remedy the human and labour rights of women and men migrant workers in Asia, in key industries and supply chains. Through the CREST initiative, IOM develops partnerships and projects with businesses to build stronger commitments and capacity to the elimination of modern slavery and encourage collaboration across industries and stakeholders to achieve sustainable change:

OBJECTIVE: Businesses respect, promote and remedy the human and labour rights of women and men migrant workers in Asia, in key industries and supply chains.

- **Outcome 1: Commitment**: Private sector stakeholders commit to the elimination of modern slavery in their operations and supply chains in Asia
- **Outcome 2: Implementation**: Private sector partners are taking measures to implement ethical recruitment for the elimination of modern slavery in their operations and supply chains in Asia
- **Outcome 3: Collaboration**: Private sector stakeholders effectively collaborate with multi-stakeholder platforms to create an enabling environment for ethical recruitment and the elimination of modern slavery

IOM works directly with all actors in labour supply chains: With brands, it aims to enhance transparency in international labour supply chains and address risks of exploitation and modern slavery in their business operations. With employers and labour recruiters, the focus is to build capacity for the implementation of international standards on ethical recruitment and support services to migrant workers. The work aims at increasing migrant workers’ access to transparent information on employment terms and conditions, ethical recruitment services, enhanced worker voice and effective grievance mechanisms.

The CREST initiative directly supports IOM operations in Bangladesh, Hong Kong Special Administrative Region of the People's Republic of China (hereafter Hong Kong SAR), Malaysia, the Philippines, Thailand and Viet Nam. Closely aligned with Sweden’s strategy for regional development cooperation in Asia and the Pacific region (2016-2021), the CREST initiative is supported by the Development Section of the Embassy of Sweden in Thailand from 2017 to 2022. Direct financial and in-kind contributions by the private sector IOM collaborates with under the CREST initiative are expected to match the Swedish funding by the end of the project in 2022.

In light of the current COVID-19 pandemic, the evaluation should take into account constraints both regarding programmatic changes the project had to undertake (revised annual work plans and budget),
as well as mobility restrictions. This Terms of Reference (TOR) takes into account IOM’s Evaluation/OIG\(^1\) guidance on ‘Continuity of Monitoring and Evaluation Interventions during COVID-19’ (version 8 April 2020). While data collection should be conducted virtually, it would need to be adjusted to its specific context and appropriate alternatives to field visits and data collection are recommended to ensure the continuation of monitoring and evaluation activities during this period and should be further explored by the evaluator(s) in coordination with IOM.

2. Evaluation purpose

The mid-term evaluation should generate the following findings, conclusions and recommendations for the Development Section of the Swedish Embassy in Thailand, IOM CREST missions, Project Advisory Board (PAB), as well as project partners:

- Project results and progress towards the achievement of outcomes and objective
- Lessons learned and strategic recommendations for the remainder of the project
- Recommendations for project strategies revision and the development a project sustainability strategy

As an innovative initiative for implementing IOM’s private sector partnership strategy, the mid-term evaluation presents an opportunity for organizational learning to improve future programming and introduce corrective measures to strengthen ability to deliver high results.\(^2\) Beyond this, the evaluation will thus also be institutionally relevant to assess the relevance and the accountability of the project.

The final report and the results of the mid-term evaluation will be shared with the Swedish Embassy in Thailand, IOM CREST missions, as well as Project Advisory Board (PAB) members, which include:

1. Chiefs of Missions from IOM Bangladesh, the Philippines, Malaysia, Thailand, China and Viet Nam;
2. Senior Regional Thematic Specialists from Labour Mobility Human Development (LHD) and Migrant Assistance Division (MAD), Regional Office for Asia and the Pacific;
3. Senior Representatives from LHD and MAD in IOM Headquarters, and
4. CREST Regional Project Manager

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\(^1\) Evaluation in IOM is one of the functions of the Office of the Inspector General (OIG) that also covers Audit, Inspection and Monitoring of Monitoring.

\(^2\) A feasibility study, financed by IOM’s Migration Resource Allocation Committee (MIRAC), an internal funding mechanism, will be conducted to support a more global roll-out of the CREST methodology and tools to contribute to IOM’s efforts on issues pertaining to engagement with the private sector on labour supply chain integrity and migrant worker protection. The study will analyze factors determining the feasibility of scaling up the CREST initiative globally, such as necessary enabling conditions for missions and sustainable funding models, as well as provide recommendations on the management of such a global initiative.
This evaluation will be externally conducted by a firm/consultant who is qualified and experienced in conducting project evaluations, and who is independent from the project formulation, planning and implementation. It is likely, that the evaluation will touch upon confidential aspects of IOM’s partnerships with private sector partners and will require a non-disclosure agreement.

3. Evaluation Scope

The scope of the evaluation will cover the period from 01 October 2017- to 31 May 2020 of the project implementation. Geographically, it will cover the six countries where the project is implemented (Viet Nam, Thailand, Malaysia, the Philippines, Bangladesh and Hong Kong SAR).

While there is clarity on the actors the project intends to target and the impact it seeks to achieve, an independent external mid-term evaluation will examine the relevance, effectiveness, efficiency, coherence, impact, and sustainability. Furthermore, cross-cutting issues will also be included within the evaluation, this will include, gender, human rights and environmental aspects of the interventions.

This will include an evaluation of the project design (including the logical framework - Annex 1) and implementation, including the related partnership projects with businesses, as well as sustainability considerations.

<table>
<thead>
<tr>
<th>Evaluation of the Project Design</th>
<th>Evaluation of the Project Implementation</th>
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<td>1) Evaluation of the logical chain (activities, outputs, outcomes, objective)</td>
<td>3) Assessment of the project’s progress towards outcomes and objective, including causal links between the project and observed effects.</td>
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<td>2) Assessment of the project’s multi-stakeholder Theory of Change (TOC) and wider adoption of CREST methodology and tools.</td>
<td>4) Evaluation of the management and implementation modalities (processes, regional team structure, project strategies, knowledge management etc.)</td>
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This will include an evaluation of the hypotheses and assumptions in the project logical framework and the TOC to better understand sustainability prospects of the project results.

The evaluation should generate a better understanding on factors of successes and failures during the course of the project (“how” and “why”).

3 To bring greater alignment across various ethical recruitment initiatives, IOM developed a multi-stakeholder theory of change (TOC) on working together to end migrant worker exploitation during the inception phase (see Annex 2 TOC Flyer).
4. Evaluation Criteria and questions

The following key OECD/DAC main evaluation criteria⁴ (plus three cross-cutting ones, gender, human rights and environment) and questions will guide the evaluation. These should be adapted/supplemented by another set of detailed and specific sub-questions by the evaluator in consultation with IOM before commissioning the evaluation.

<table>
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<tr>
<th>Evaluation Criteria</th>
<th>Evaluation Question</th>
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| **1. Relevance:** assessing to what extent the intervention objectives and design respond to beneficiaries’ global, country, and partner/institution needs, policies, and priorities, and continue to do so if circumstances change | 1. To what extent does the project respond to the needs and priorities of migrant workers and businesses throughout the entire labour migration process through the promotion of ethical principles within business operations and supply chains?  
2. Are the project activities and outputs consistent with the intended outcomes and objective?  
3. Do the projects’ underlying strategies, the operational framework (work areas), Theory of Change (TOC) and Ethical Recruitment Roadmap address priorities and needs to respond to global priorities (SDG agenda, international norms and standards etc.)? |
| **2. Coherence:** assessing the compatibility of the intervention with other interventions in a country, sector or institution. | 3. To what extent is there internal coherence that addresses the synergies and interlinkages between the intervention and other interventions carried out by IOM?  
• Are the project’s logical framework, Theory of Change and Ethical Recruitment Roadmap coherent?  
• To what extent is the project coherent with IOM’s objectives, mandate and strategies in the area of labour migration, ethical recruitment, anti-trafficking and private sector partnerships globally and in the Asia-Pacific region?  
• To what extend is there consistency of the intervention with the relevant international norms and standards to which IOM adheres to?  
4. To what extent is there external coherence that considers the consistency of the intervention with other actors’ interventions in the same context? |

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⁴ Based on Revised Evaluation Criteria adopted by the OECD DAC at its meeting on 10 December 2019.
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<td>5. <strong>Effectiveness</strong>: assessing the extent to which the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups.</td>
<td>6. <strong>Effectiveness</strong>: To what extent have the project’s targeted results been achieved? Are there any differences between the male and female beneficiaries, and other types of vulnerable groups?</td>
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<td>7. To what extent do CREST company partnerships contribute to the achievement of the project’s outcomes and objectives? Have the partnerships with private sector under CREST successfully led to concrete actions and commitments by private sector in protecting the rights of migrant workers?</td>
<td>8. What are the key strengths of CREST intervention and what is the added value of CREST to the issue of migrant workers’ rights?</td>
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<tr>
<td>9. What internal and external factors that contribute(d) to progress or delay in the achievement of the output, outcome, and objective results?</td>
<td>10. If there are delays, how drastically did they affect the project, what are the reasons and to what extent have appropriate corrective measures been implemented?</td>
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<td>11. To what extent has the project adapted or is able to adapt to changing external conditions in order to ensure project outcomes?</td>
<td>12.</td>
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<td>6. <strong>Efficiency</strong>: assessing the extent to which the intervention delivers, or is likely to deliver, results in an economic and timely way.</td>
<td>13. How cost-effective is the project? Were the financial resources used appropriate/proportionate to the quality of the results achieved, in particular with regard to staff costs for private sector outreach? Can it be compared to other similar projects implemented elsewhere?</td>
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<tr>
<td>14. Have the beneficiaries and stakeholders provided their share of contributions as inputs (human, financial, in-kind) for the implementation of the project?</td>
<td>6.</td>
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| **7. Impact:** assessing the extent to which the intervention has generated or is expected to generate significant positive or negative, intended or unintended, higher-level effects. | **15.** How efficient is the overall management of the project (e.g. project team composition, coordination modalities, implementation processes)?

**16.** What system and tools exist for monitoring implementation of the project? What challenges have been experienced in ongoing monitoring of the project implementation and what improvements could be made?

**17.** Considering the multiple partnerships implemented under the CREST initiative, as well as related projects, how can knowledge management and learning processes be improved?

**18.** Is the project log frame able to capture and reflect meaningful progress made? How could Results Based Management (RBM) be strengthened?

| **8. Sustainability:** assessing to what extent the net benefits of the intervention continue, or are likely to continue. | **19.** To what does extent the project contribute to business’ respect, promotion and remedy of the human and labour rights of women and men migrant workers in Asia, in key industries and supply chains?

**20.** To what extent does the project contribute to improving protection of migrant workers in general?

**21.** Migrants being the key beneficiaries of the project, how can impact be both increased and better captured? How can Civil Society Organizations (CSOs) play a bigger role in this endeavour?

**22.** How can the CREST intervention promote the capacity and opportunity of migrant workers’ collective action, as well as enhance the enabling environment for ‘Social Dialogue’?

| **23.** To what extent are the project results likely to be sustained in the long-term?

- To what extent have businesses or governments introduced or modified structures, resources and processes to ensure that benefits generated by the project continue once external support ceases? What level of ownership do key partners have towards the CREST project?

- Are the project beneficiaries (migrant workers) adequately empowered to obtain, strengthen, and maintain the capabilities to set and achieve their own development objectives over time? (taking to account structural inequalities, including gender inequality, poverty and marginalization)

- How can the project strengthen its regional dimension? |
### 24. How can sustainability aspects of the project be improved, taking into consideration three main dimensions:

- **a)** intended changes in institutional performance;
- **b)** intended changes in individual behaviours or attitudes;
- **c)** economic or social position of the beneficiaries.

- How should the project’s hypotheses and assumptions be revised to improve sustainability prospects of the initiative?
- How do the TOC and roadmap facilitate project sustainability?
- How could an external project advisory committee be used as a coordination platform for the remaining implementation period?
- How can the CREST learnings and achievements be further used for wider applicability and scalability beyond what is planned under the project (e.g. externalizing knowledge)?

### 9. Gender, human rights and environment

#### 25. How are migrants’ rights and protection needs considered in the project design, implementation and monitoring, including the risk management plan?

#### 26. How are gender aspects considered during the project design, implementation, and monitoring?

#### 27. How can men and women migrant worker voice be strengthened in the company partnerships (e.g. through the role of CSOs) and migrant worker experiences better guide project interventions?

#### 28. Was the project successfully implemented without any negative impact on human well-being or the environment?

- Were appropriate environmental practices followed in project implementation?
- What capacities exist (within project, partners and project context) to deal with critical risks that could affect project effectiveness such as climate risks, or risks of natural disaster?

#### 29. How inclusive is the CREST project, e.g. has intersectionality been considered? How could barriers be addressed that disadvantaged groups are facing?

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5 The evaluation should take into account intersectionality aspects, e.g. how race, gender, sexuality, class, ethnicity, migration status and disability interact and reinforce vulnerabilities of specific social groups.
5. Evaluation methodology

Initial indications on the methodology are presented below. However, the complete multi-method methodology should be developed by the evaluator(s) and the IOM management team during the inception phase of the evaluation. The evaluation methodology, data analysis and deliverables should be gender responsive.

Document review

Desk review of relevant project documents, project reports, meeting minutes, publications and other materials identified:

- **Project documents**: proposal, logical framework, budget and annual work plans
- **Project strategies**: Gender Strategy, Stakeholder engagement strategy, Outreach strategy, Co-funding modalities, Communications Strategy Framework
- **CREST Theory of Change**
- Draft Ethical Recruitment Roadmap
- **Related projects’ documents** (e.g. CREST company partnerships, CREST Fashion, Earthworm, MFA) [confidential]
- **Project documents of other actors’ interventions within the same context (TBC)**
- **Monitoring, Evaluation, Reporting and Learning (MERL) tools**: Annual narrative and financial reports, CREST project relays [confidential], Annual audit reports,
- **Visibility and communication**: Project external report, newsletters, CREST website
- **Knowledge products**: CREST Migrant Worker Guidelines, Gender Briefing Note, Climate Change Research Brief, Sector Briefing Notes (hospitality, palm oil)

Data collection

In order to capture the experiences, perspectives, and potential benefits of various groups involved in the project, Key Informant Interviews (KPIs), Focus Group Discussions (FGDs) and/or surveys (online) should be conducted with

- a) Implementers (IOM staff managing and implementing the project across all project countries)
- b) Target groups and beneficiaries (business associations, CREST company partners, e.g. brands, employers/suppliers, recruiters, Migrant workers)
- c) Implementation partners (CSOs)
d) Relevant stakeholders implementing similar interventions in the same context

e) Other stakeholders involved in the project (members of the PAB, the Policy Hub, an informal IOM working group supporting the framing of IOM’s growing work on issues pertaining to engagement with the private sector on labour supply chain integrity and migrant worker protection)

f) IOM staff involved in similar interventions targeting the same beneficiaries (“related projects”)

**Utilizing lessons learned from the mid-term evaluation**

The development of a lessons learned report should aim to enhance the relevance and usefulness of the mid-term evaluation for project stakeholders, and democratize knowledge and learnings. The service provider should analyze and frame significant lessons learned that have relevance to the wider context, and can be generalized and replicable.

The service providers are encouraged to place emphasis on the project rationale by verifying the underlying theory of change and the assumptions on which the project is built and, thereby identifying relevance of institutional roles and approaches.

### 6. Management arrangement

**Roles and responsibilities**

- **Management:** The Project Management Team in IOM’s Ho Chi Minh City sub-office will manage the mid-term evaluation and will act as the primary focal point for the selected evaluator(s). The Project Management Team will provide the evaluator(s) with the list of documents, and suggested interviewees. The Management Team will also organize a kick-off meeting with the evaluator(s) once selected and will be responsible for the final approval of all the deliverables.

- **Reference group:** A reference group will be created to provide technical advice to the evaluator(s) during the mid-term evaluation. The reference group will have the specific functions of reviewing the deliverables and providing feedback throughout the process. The reference group is also expected to review the lessons learned, good practices and actionable recommendations identified by the evaluator(s) to ensure that they can be adequately used and implemented. Furthermore, the reference group members will act as advocates for ensuring that the evaluation recommendations are implemented.

- **Evaluator(s):** The selected institution will be responsible for completing the evaluation in line with the present TOR and the deliverables set out therein. All deliverables will need to be approved by the management group and coordinated with the reference group.
7. Evaluation deliverables

Below are the expected deliverables of the evaluation.

1. **An inception report including, at a minimum, the following sections:**
   - A revised and agreed upon terms of reference for the evaluation,
   - Introduction;
   - Evaluation context;
   - Evaluation purpose;
   - Methodology (data collection and analysis methods, samplings, limitations and mitigation strategies);
   - Workplan;
   - Evaluation matrix and a list of persons and documents consulted (annex);
   - Copies of data collection tools such as interviews and FGD protocols, surveys etc. (annex).

2. **Draft Evaluation Report** highlighting the project’s processes and strategies, strengths, bottlenecks and areas for improvement across the evaluation criteria (max. 30 pages, excluding annexes & lessons learned report below).

3. **De-briefing session**, including PowerPoint presentation of initial findings for the project management team

4. **Lessons learnt e-workshop with**
   - regional project team
   - relevant IOM stakeholders in PAB, ROAP and HQ
   - external project stakeholders (donors, implementing partners)

   To identify lessons learnt, key learnings and findings with regard to project strategies and processes, as well as impact and sustainability.

5. **Final lessons learned workshop report** (max. 10 pages) including recommendations for
   - revising the project strategies
   - improved and streamlined implementation and management modalities
   - improved monitoring and knowledge management processes and tools
   - developing the project’s sustainability strategy
   - promising practices and approaches, challenges and gaps, as well as recommendations for improvement within the wider scope of IOM’s and partners work
6. Evaluation Brief (3-5 pages)

7. Final Evaluation Report, including feedback from project mgmt. team

8. Evaluation budget
The evaluation company should provide a quotation covering costs for the evaluation team, i.e. lead consultant and other consultants as per deliverables indicated above. A detailed work plan will be prepared and agreed on between the evaluator(s) and the project management team before commissioning the evaluation.

9. Ethics, norms and standards for evaluation
IOM abides by the norms and standards of the UN Evaluation Group and expects all evaluation stakeholders to be familiar with the ethical conduct guidelines of UNEG and the consultant(s) with the UNEG codes of conduct as well.

9. SUBMISSION OF APPLICATION
In light of the above, IOM is looking to receive proposals from service providers to deliver the outlined scope.

Service Providers are requested to submit the following:

- A proposal with description of proposed approach, activities, methodology, deliverables, a work plan (including data collection plan), proposed team composition and their respective experience and expertise, and examples of similar work within the thematic areas and region, including references. Proposal should also provide information about the approach for capturing lessons learned and how the lessons learnt workshop will be organized.
- A registration certificate for the organization
- The budget in USD. The budget should include a detailed breakdown of costs per activity, personnel costs, and any other costs relating to the implementation of the tasks outlined under this TOR.

Contract period: July to September 2020

Potential conflict of interest should be declared.

Only shortlisted candidates will be notified.
IOM reserves the right not to accept any tenders submitted.

Proposals must be submitted via email send on or before midnight 20-July-2020 (GMT+7) to the following email address: IOM_CREST@iom.int. The application should be titled: “Proposal_ Mid-Term Evaluation for the CREST project”.

Should you need any additional information, please send us your queries in writing to IOM_CREST@iom.int
Annex 1 CREST Logical Framework

OBJECTIVE: Businesses respect, promote and remedy the human and labour rights of women and men migrant workers in Asia, in key industries and supply chains.

**Outcome 1: Commitment**: Private sector stakeholders commit to the elimination of modern slavery in their operations and supply chains in Asia

**Output 1.1: Stakeholder coordination**: Increased coordination among relevant actors and initiatives that promote ethical recruitment and the elimination of modern slavery

**Output 1.2: Private sector engagement**: Increased engagement with private sector stakeholders working towards a better understanding of men and women migrant worker vulnerabilities and the promotion of ethical recruitment principles

**Output 1.3: Research, knowledge sharing and thought leadership**: Project stakeholders have increased access to the business case for ethical recruitment and evidence-based knowledge products on men and women migrant worker vulnerabilities and modern slavery risks

**Outcome 2: Implementation**: Private sector partners are taking measures to implement ethical recruitment for the elimination of modern slavery in their operations and supply chains in Asia

**Output 2.1: Tools and methodologies**: Gender sensitive project tools and methodologies are available and responsive to the specific needs of companies, suppliers, recruiters and migrant workers

**Output 2.2: Rollout of CREST related projects with partner companies**: Project partners have the knowledge on project tools and methodologies to incorporate ethical recruitment principles into their business operations and supply chains

**Output 2.3 Support to migrant workers through CREST related projects**: Men and women migrant workers have increased access to ethical recruitment channels, migration support services and remediation provided by project partners

**Outcome 3: Collaboration**: Private sector stakeholders effectively collaborate with multi-stakeholder platforms to create an enabling environment for ethical recruitment and the elimination of modern slavery

**Output 3.1: Regional partnerships, policy dialogue and capacity building**: Project learnings are disseminated via regional and national multi-stakeholder platforms and collaboration

**Output 3.2: IRIS rollout**: Enhanced regional policy coherence and capacity among recruitment industries on ethical recruitment and the application of the IRIS Standard

**Output 3.3: Civil society collaboration and migrant communities**: Civil society actors are supported to enhance a sustainable enabling environment for ethical recruitment