



2021:11

Sida Decentralised Evaluation

FCG Sweden

Evaluation of SHAPE-SEA

Final Report

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Final Report
January 2021

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Sida Decentralised Evaluation 2021:11

Commissioned by Sida, Embassy of Sweden, Bangkok

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Date of final report: 2021-01-17

Published by Nordic Morning 2021

Art. no. Sida62371en

urn:nbn:se:sida-62371en

This publication can be downloaded from: <http://www.sida.se/publications>

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Abbreviations and Acronyms

ACWC	ASEAN Commission on the Promotion and Protection of the Rights of Women and Children
AICHR	ASEAN Intergovernmental Commission on Human Rights
APPA	Academic Partnership and Public Advocacy
AUN-HRE	ASEAN University Network-Human Rights Education Theme
CEDAW	Convention on the Elimination of All forms of Discrimination against Women
HRBA	Human Rights Based Approach
ASEAN	Association of Southeast Asian Nations
HRPE	Human Rights and Peace Education
IHRP	Institute of Human Rights and Peace Studies, Mahidol University
M&E	Monitoring and Evaluation
NHRI	National Human Rights Institution
n.d.	No date
OECD-DAC	Organisation for Economic Co-operation and Development – Development Assistance Committee
PMT	Programme Management Team
RGP	Research Grant Programme
QA	Quality Assurance
SEAHRN	Southeast Asian Human Rights and Peace Studies Network
SEI	Stockholm Environmental Institute
SEK	Swedish Krona
SEPAHAM	Indonesian Lecturer Association for Human Rights
SHAPE-SEA	The Strengthening Human Rights and Peace Research and Education in ASEAN/Southeast Asia Programme
Sida	Swedish International Development Cooperation Agency
SUMERNET	Sustainable Mekong Research Network
THB	Thai Baht
ToR	Terms of Reference

Preface

This evaluation was contracted by the Embassy of Sweden in Bangkok through the Sida Framework Agreement for Evaluation Services. The Evaluation Team consisted of Henrik Alffram and Kasira Cheeppensook. The Final Report was quality assured by Florence Etta, whose work was independent of the Evaluation Team. Karin Nordlöf and Johanna Lindström provided project management support.

Executive Summary

The Embassy of Sweden in Bangkok engaged FCG Sweden to evaluate ‘The Strengthening Human Rights and Peace Research and Education in ASEAN/Southeast Asia (SHAPE-SEA)’ programme. The Embassy has supported the programme since its inception in 2015. The purpose of the evaluation was to provide input towards the design of a second phase of the programme and to give the Embassy and Sida’s Unit for Research Cooperation information for an upcoming assessment and preparation of a potential new phase of the contribution.

The evaluation has strived to answer evaluation questions relating to SHAPE-SEA’s effectiveness, relevance, impact and efficiency. It has been guided by a utilisation-focused and participatory approach. Triangulation has been key to ensuring reliability and validity of findings and to mitigate any biases. The evaluation has applied a mixed-method approach in order to assemble the data necessary to answer the evaluation questions. The Evaluation Team collected data through: (i) a desk review of documentation; (ii) key informant interviews; (iii) an online survey of individuals receiving research grants from the programme; (iv) a survey of participants in selected capacity development initiatives; (v) a discussion of preliminary finding and emerging conclusions with the intended users of the evaluation; and (vi) a session with the same group of users to discuss and develop potential recommendations.

Two university networks AUN-HRE and SEAHRN established SHAPE-SEA as a regional programme hosted by the Institute of Human Rights and Peace Studies at Mahidol University in Bangkok. Sida has been SHAPE-SEA’s primary funder since it started implementing activities in 2015. The total support amounts to SEK 17 million. SHAPE-SEA has also received support from the Norwegian Centre for Human Rights.

SHAPE-SEA is built on a premise that human rights and peace studies and research are not well developed in Southeast Asia, and on the idea that strengthened education and research on these areas is an effective and sustainable way of moving towards an improved condition of human rights and peace in the region. The programme strives to increase the number of academics working on human rights and peace; increase participation in human rights and peace education, and the impact of such education; and enhance the influence of human rights and peace research outcomes. To achieve its objectives, SHAPE-SEA has implemented activities relating to research, publication, capacity building and outreach, and education. SHAPE-SEA’s activities and support targets Brunei Darussalam, Cambodia, Indonesia, Laos, Malaysia, Myanmar, Philippines, Singapore, Thailand, Vietnam and Timor-Leste.

Overall, the SHAPE-SEA programme has carried out a considerable number of activities and produced a range of relevant outputs. The activities have been highly appreciated by participants and consistently of high quality. In line with its specific

objectives, the programme has contributed to improve the standard of research and education in the area of human rights and, to a lesser extent, peace. It has also contributed to an increased body of human rights and peace research about Southeast Asia produced from within the region. To some extent, the programme has also exposed key stakeholders, in particular students and civil society actors, to its supported or commissioned research.

However, the programme initially also suffered from significant delays in activity implementation. SHAPE-SEA's organizational structure was not sufficiently well developed for effective implementation, and the programme relied to a large extent on individuals who were not full-time staff members. SHAPE-SEA eventually managed to broaden its network and engage more people to assist with various aspects of programme implementation. The success of the programme was, however, more an effect of individual commitments than the result of a well-functioning organizational structure.

SHAPE-SEA has also lacked a well-functioning system for monitoring and evaluation (M&E), which has hampered its ability to follow-up on and report on activities and attainment of objectives. However, an analytical approach at an individual level has, in combination with a participatory, transparent and inclusive organizational culture, helped mitigate the relative absence of a formal M&E system. Thus, SHAPE-SEA learned important lessons based on which it adjusted its activities.

SHAPE-SEA's research related work focused on the following thematic areas: ASEAN and Human Rights, Academic Freedom, Business Accountability, Peace and Security, and Governance and Justice. These areas have been relevant and broad enough to accommodate the various interests of human rights and peace researchers in the region. However, SHAPE-SEA's ability to influence policy audiences could probably increase if it also introduced more specific annual research themes. The research outputs could then be the basis for focused advocacy activities, potentially carried out in coordination with other human rights actors.

In terms of efficiency, apart from facing challenges in implementing the programme as planned, SHAPE-SEA had difficulties attracting prime interest in some of its key activities, and in reaching out to countries such as Cambodia, Laos and Timor-Leste with its research support. It is nevertheless clear that SHAPE-SEA added significant value in most areas on which its focused and that it complements rather than duplicated what other actors are doing. Generally, SHAPE-SEA also carried out its work in a way that ensured value for money and made effective use of available academic expertise in the region. However, the current COVID-19 pandemic showed that the programme to a higher degree can make use of virtual interactions and thus reduce both costs and environmental impact.

SHAPE-SEA has had an impact on academic freedom, capacity building, and strengthening of networks of academics working on issues of human rights and peace. It has also had some influence on audiences beyond academic circles. It contributed in some contexts to socialize and normalize issues that are otherwise seen as politically sensitive and opened up normative spaces for research and education. Many informants said they could not have carried out their research without SHAPE-

SEA's grants and support. As for SHAPE-SEA's capacity building initiatives, many informants—especially younger, early career researchers and lecturers—appreciated trainings and the mentorships. Together with the seminars, consultations and conferences organized or supported by SHAPE-SEA, grants and trainings contributed to a sense of belonging to a network of like-minded scholars.

SHAPE-SEA's research outputs and publications have the potential to be a source of knowledge for civil society actors, media, and policymakers. However, more user-friendly briefs are needed, as are better dissemination structures and related advocacy efforts. While SHAPE-SEA has contributed to bridging the existing gap between civil society actors and academics, there is room for further increase in exchanges between these actors and with policy makers at regional and national levels. However, the future challenge for SHAPE-SEA is not to identify meaningful things to do, but to ensure that it does not spread its limited resources too thin and that it maintains a focus on those areas where it is most likely to have an impact.

The evaluation recommends SHAPE-SEA to:

1. Revise and formalize the organizational/programme structure
2. Diversify the funding base
3. Strengthen the monitoring and evaluation system
4. Revise the practice for commissioning research
5. Further emphasize research based on original data collection
6. Introduce more focused research themes
7. Strengthen communications and advocacy capacity
8. Strengthen the focus on academic freedom
9. Increase demand for lecturer workshops and research grants
10. Assess if administrative and financial management requirements for grantees can be simplified
11. Strengthen outreach to countries with less developed academic structures
12. Earmark funds for research grants to PhD students
13. Explore possibilities for online meetings and trainings
14. Focus on core activities

1 Introduction

FCG Sweden, represented by Henrik Alffram and Kasira Cheeppensook, has been engaged by the Swedish Embassy in Bangkok to evaluate “The Strengthening Human Rights and Peace Research and Education in ASEAN/Southeast Asia (SHAPE-SEA)” programme. The Swedish International Development Cooperation Agency (Sida) has supported the programme since its inception in 2015. This report presents the findings, conclusions and recommendations of the evaluation.

1.1 PURPOSE AND INTENDED USERS

The purpose of the evaluation was to (i) provide input to the SHAPE-SEA Secretariat, ASEAN University Network-Human Rights Education Theme (AUN-HRE) and the Southeast Asian Human Rights and Peace Studies Network (SEAHRN) towards the design of a second phase of the programme; and (ii) provide the Embassy of Sweden in Bangkok and Sida’s Unit for Research Cooperation input to the upcoming assessment and preparation of a potential second phase of the contribution.

1.2 OBJECTIVE, CRITERIA AND EVALUATION QUESTIONS

To meet its purpose, the evaluation has in accordance with the Terms of Reference assessed (i) the contribution of activities towards achieving programme objectives, (ii) the organizational and management structure of the SHAPE-SEA programme, (iii) the strategies for budgeting and spending of funds, and (iv) the approaches to monitoring and evaluation of programme progress and achievements. Eight evaluation questions relating to these four evaluation areas are set out in the ToR and structured under four of the evaluation criteria of the OECD-DAC Network on Development Evaluation (OECD-DAC criteria). The main objective of the evaluation is thus an assessment of the effectiveness, impact, relevance and efficiency of the SHAPE-SEA programme and the following evaluation questions:

1. How and to what extent did SHAPE-SEA’s values, objectives, ways of working, and management and organizational structures facilitate and/or constrain its ability to achieve its objectives during phase 1?
2. How and to what extent has the SHAPE-SEA monitoring and evaluation system delivered robust, accurate and relevant information that could be used to assess and improve progress towards objectives?
3. How have lessons learned from what works well and less well been used to adjust the SHAPE-SEA programme during its implementation?
4. To what extent has the SHAPE-SEA programme influenced the degree of academic freedom enjoyed by participants and stakeholders? What, if any, influence

has the SHAPE-SEA programme had for academic freedom at its Southeast Asian partner universities?

5. What are the most important effects of the programme on the quantity, quality and capacity for human rights and peace research and education at Southeast Asian universities?

6. What have been the most important impacts of SHAPE-SEA's advocacy work, education activities, research grants, commissioned research and publications in, and for, Southeast Asia? How have these impacts been achieved, and what have been the most challenging limitations to achieving impact?

7. How relevant have the SHAPE-SEA thematic research areas been for human rights protection and peace building in Southeast Asia? Have additional thematic research areas (e.g. environment/climate, others) emerged during Phase 1 that are of strategic importance? If yes, to what extent and how were these included in the programme?

8. To what extent has the intervention delivered results in a timely and cost-efficient way?

1.3 TIME FRAME AND GEOGRAPHICAL FOCUS

The evaluation covers the period 2015-2019. The geographical scope of the evaluation was determined by the fact that SHAPE-SEA is a regional programme and that its focus should be guided by how the programme relates to the Association of Southeast Asian Nations (ASEAN) and least developed countries in Southeast Asia as identified by OECD-DAC.

1.4 STRUCTURE OF THE REPORT

This report starts with a presentation in section 2 of the methodological aspects of the evaluation. Section 3 contains a description of the evaluated intervention, i.e. SHAPE-SEA. The evaluation's findings relating to the eight evaluation questions are presented in section 4. Section 5 contains the Evaluation Team's conclusions and section 6 its recommendations. The Terms of reference for the assignment and information about data collection tools, documentation and interviewees can be found in annexes 1-4.

2 Methodology

2.1 OVERALL APPROACH

The Evaluation Team strived to apply a utilization-focused and participatory approach, whereby there was regular interaction with key evaluation stakeholders, in order to capture their perspectives and experiences on issues ranging from evaluation design to the development of recommendations and review of the draft evaluation report. Specific opportunities for consultations and for evaluation users to provide input included a start-up meeting, an inception meeting to discuss the draft inception report, a period for comments on the draft inception report, interviews with representatives of the users, a debriefing and discussion of evaluation findings and emerging conclusions, a period for providing comments on the draft evaluation report, and finally a workshop to discuss and jointly develop recommendations before finalization of the report.

The OECD-DAC Guidelines on Quality Standards for Development Evaluation guided the evaluation, which adhered to the principles of impartiality, independence and credibility. A mixed methods data collection strategy was applied, relying on both a qualitative and a quantitative approach.

2.2 DATA COLLECTION AND ANALYSIS

A desk review formed the start of the data collection process. It was structured around the four evaluation criteria, the evaluation questions and sub-questions developed during the inception phase. The desk review served not only to help answer the evaluation questions but also to focus and frame key informant interviews. Annex 3 lists the documents consulted.

The desk review relied primarily on documents obtained from SHAPE-SEA and Sida, including project documents, progress reports, minutes, action plans, internal reviews, guidelines and Sida's assessment memo. The stakeholder categories identified during the inception phase and the actors subsequently approached for interviews are listed Table 1.

Table 1: Stakeholder groups

Stakeholder groups	Actors
SHAPE-SEA staff and officials	Programme Management Team, Secretariat staff, standing committee members.
SHAPE-SEA resource persons	Lecturers, panellists, editors, mentors, selection committee members etc.
Convening university networks	AUN-HRE, SEAHRN

SHAPE-SEA beneficiaries	Grantees, participants in trainings and other activities
Policy audiences	NGOs, media, ASEAN Secretariat, AICHR, ACWC, and national human rights institutions
Donors	Sida, Embassy of Sweden, NCHR
Others	Academics and others that have knowledge of SHAPE-SEA but have not been directly involved with the programme, including representatives of relevant university faculties in the region, Mahidol university and SEI/Sumernet.

Amongst the different stakeholder groups and actors, the Evaluation Team identified a purposeful sample of key informants from a review of programme related documentation and consultations with the SHAPE-SEA Secretariat and the Embassy of Sweden in Bangkok. Geographic diversity was also taken into consideration and a reasonable balance in terms of gender strived for. In total, the Team interviewed 48 persons. The vast majority of these were interviewed virtually, usually jointly by both members of the Evaluation Team. Four interviewees responded in writing. All interviews were semi-structured and adapted to the respondent's expected area of experience and knowledge. The interviews aimed at capturing the interviewees' most significant experiences, reflections and ideas. All informants were interviewed on the basis of voluntary participation and confidentiality. A few individuals were interviewed more than once. Annex 4 contains a list of the persons interviewed.

The Evaluation Team conducted two online surveys targeting (i) recipients of research grants and (ii) participants in Lecture Workshops and other selected capacity development activities. The former of these surveys had a response rate of 56% and the latter a response rate of 43%. The surveys consisted mainly of closed question focusing on the relevance and quality of actives, application of knowledge, and the activities' importance from a networking perspective. Many respondents also used an option to write an overall comment on the programme. Annex 2 contains the survey questions.

Data analysis was not an activity distinct from data collection. Rather, analysis of collected data was an ongoing activity conducted in parallel with the desk review, key informant interviews, focus group discussions and survey work. The ongoing data analysis helped to inform data collection and helped ensuring that it was relevant for addressing the evaluation questions. Content analysis was used to analyse documentation and responses from interviewees. Texts and responses were broken down into manageable categories for analysis in relation to the evaluation questions. The Evaluation Team used an online web-survey analysis tool to collect and analyse survey data. Triangulation was essential to ensuring the reliability and validity of findings. The Team applied it between data collection methods, sources and team members. Towards the end of the data collection phase, the Evaluation Team met with the intended users of the evaluation, as well the Norwegian Centre for Human

Rights (NCHR) and discussed the evaluation's preliminary findings and emerging conclusions.

The Evaluation Team also organized a workshop with the intended users of the evaluation, as well as NCHR, in order to discuss and solicit input to the development of recommendations. It shared a draft version of this report for comments with SHAPE-SEA, Sida and the Embassy of Sweden in Bangkok. The comments received were taken into account when finalizing the report.

3 Evaluated intervention

The two university networks AUN-HRE and SEAHNR established SHAPE-SEA, which is hosted by Mahidol University, represented by the Institute for Human Rights and Peace Studies, in Bangkok. Sida has been SHAPE-SEA's primary funder since it started implementing activities in 2015. The original agreement between Sida and SHAPE-SEA covered the period 2015-2018. It was extended in early 2019 at no extra cost and again in late 2019 at cost. Sida's total support since the beginning of 2015 amounts to SEK 17 million. SHAPE-SEA has also received support from the Norwegian Centre for Human Rights (NCHR), which finances SHAPE-SEA's non-research related education activities.

SHAPE-SEA is built on a premise that human rights and peace studies and research are not well developed in Southeast Asia, and on the idea that strengthened education and research on these areas is an effective and sustainable way of moving towards an improved condition of human rights and peace in the region. SHAPE-SEA strives to increase the number of academics working on human rights and peace; increase participation in human rights and peace education, and the impact of such education; and enhance the influence of human rights and peace research outcomes. SHAPE-SEA considers that a regional approach to education and research adds considerable value as universities with relevant experience can assist those universities and institutions that have little or no experience of teaching or research on issues of peace and human rights. Ultimately SHAPE-SEA's vision is betterment of human rights and peace through research, education and informed policy advocacy. In effect SHAPE-SEA will "serve as a regional, multi-disciplinary human rights and peace studies hub, composed of a pool of individuals and groups of academics, providing high-quality research, knowledge and teaching products to support the work of other human rights organizations and movements."¹

The overall objective of SHAPE-SEA, as presented in the project document for phase, is to "Contribute to the improvement of the Human Rights situation in Southeast Asia through applied research and education". The following specific objectives relate to the overall objective:

- (i) "To increase by 50% the number of people able to research, and the number of research products, on peace and human rights from Southeast Asia universities"; (ii) "To increase the exposure of human rights and peace research produced by member universities to key stakeholders (students, governments, civil society and media)"; and (iii) "To improve standards of human rights and peace education in Southeast

¹ SHAPE-SEA. n.d. *Funding Proposal for SHAPE SEA Programme Phase II (January 2020-December 2022)*

Asia by making relevant research available for textbooks, teaching, curriculum development and classroom engagement.”²

To achieve its objectives, SHAPE-SEA has implemented activities relating to research, publication, capacity building and outreach as well as education. Research focuses on the following thematic areas: ASEAN and Human Rights, Academic Freedom, Business Accountability, Peace and Security, and Governance and Justice. SHAPE-SEA’s activities and support targets Brunei Darussalam, Cambodia, Indonesia, Laos, Malaysia, Myanmar, Philippines, Singapore, Thailand, Vietnam and Timor-Leste.

A Program Management Team (PMT) elected jointly by AUN-HRE and SEAHNR, and headed by a Programme Chair, is responsible for directing and overseeing programme implementation. Four standing committees for Research, Publication, Academic Partnerships and Public Advocacy (APPA), and Education are responsible for the actual implementation of the programme. The chairpersons of these committees, as well as the Programme Chair, receive an honorarium of USD 900 per month, but their expected contributions to the programme is not formally specified in terms of working hours. A Secretariat based at Mahidol University supports the standing committees. Apart from the Programme Chair, the Secretariat comprised, when fully staffed, a Secretariat Director, three project managers (research, publications, and education), one finance officer, one administrator. For a period of 18 months in 2018 and 2019, a monitoring officer, assisting the programme manager for research, was also engaged.

² IHRP, n.d. *Funding Proposal: Funding Proposal: Strengthening Human Rights and Peace Research and Education in ASEAN/Southeast Asia (SHAPE-SEA)*

4 Findings

This section presents the findings of the evaluation. It is structured around the OECD-DAC criteria effectiveness, relevance, efficiency and impact and the eight evaluation questions set out in the ToR. The Evaluation Team's overall conclusions from the described findings are presented in section 5.

4.1 EFFECTIVENESS

Achievements of objectives

The SHAPE-SEA programme was designed to implement a large number and broad range of activities relating to research, education, advocacy and outreach, and publication. There is amongst interviewees broad agreement that the initial plans were very ambitious. Some aspects of the programme were never implemented, or not implemented to the degree originally envisaged. This included parts of the publication plans and the fellowships for research exchanges. There were, however, also some major new activities that were added to address challenges that emerged during the implementation stage of the programme. The table below presents an overview of activities conducted during the period 2015-2019. Activities listed under the heading Education were carried out with support from NCHR. The other activities were funded by Sida.

Table 2: Activities implemented 2015-2019

Activities	Implementation 2015-2019					
Research component	2015	2016	2017	2018	2019	Total
Research Grants	13	19	18	8		58
Commissioned Research			1	1	1	3
Participants in international conferences (EuroSEAS)					8	8
Academic Research Training for Grantees	1	1	1			3
Academic Research Training for non-grantees		2	2			4
Writing workshop					1	1
Research visits by mentors				8		8
Research Awards (2 categories)				1		1
APPA						
SEAHRN conference		1		1		2
National seminar/Regional dialogue	3		5	2		10
Lecture tours		3	3	1	1	8

High level outreach initiatives			5	1	1	7
Education						
Textbook (3 vol)						1
Teaching manual						1
Lecturer workshop		1	1	1	1	4
AUN-HRE Meetings			1	1	2	4
Publications						
Human Rights Outlook in Southeast Asia	1	1	1	1	1	5
Human Rights and Peace in Southeast Asia Series (conference papers)		1		1		2
Commissioned Books					3	3

The Research Grants Programme (RGP) was initially marked by significant delays. Research grantees were not able to produce their research outputs as expected and many grantees, as well as the Research Committee and SHAPE-SEA Secretariat, found that the time frames given to complete the research projects was often too short. In 2018, SHAPE-SEA started visiting grantees to mitigate further delays by negotiating revised workplans and research outputs. In 2019, a writing workshop was also organized to assist the grantees in producing their research outputs under the guidance of mentors and SHAPE-SEA staff. These initiatives facilitated the possibility of closing the projects and classifying them as completed.

Some interviewees are of the view that the quality of the final products is not always at the level that could have been expected, which may in some cases be an effect of SHAPE-SEA's need to have the projects finalized and closed. Others have stressed that a considerable body of valuable research actually was produced. A 2020 five-year SHAPE-SEA commissioned programme review, carried out by researchers Deasy Simandjuntak and Tan Beng Hui, concluded that "With the exception of a few, the majority of grantees produced well written papers, policy briefs and other pieces based on their research. Some of them even went beyond written outputs to encompass tangible and ground-breaking initiatives which did not only enrich our knowledge on human rights issues in the region, but also contributed directly to the promotion of human rights in the education sector³".

According to SHAPE-SEA's records, 34 of the research grants outputs have been published. Nineteen research grants resulted in books, book chapters, academic journal articles, conference papers and op-eds published by others than SHAPE-SEA. SHAPE-SEA itself published 21 research grant outputs, including some of those also published by others, as academic papers on SHAPE-SEA's webpage.

Regardless of how the quality of research outputs is assessed, the Evaluation Team's interviews and survey of research grantees, as well as SHAPE-SEA's own

³ Deasy Simandjuntak and Tan Beng Hui. 2020. Strengthening Human Rights and Peace Research and Education in Southeast Asia: The Pioneering Years. Draft.

five-year review, show that those targeted by the programme found that it contributed to enhance important skills and knowledge relevant for their day-to-day work. There is also broad consensus that the programme contributed to develop research skills and the creation of a larger and stronger network of the academics working in the field of human rights and, to use the terminology of SHAPE-SEA, academic-advocates. Similarly, a vast majority of those who attended SHAPE-SEA's annual lecturer workshops are of the view that the workshops were of high quality and of high relevance for the work they are doing. They also reported having developed new connections with other training participants.

An important aspect of SHAPE-SEA's efforts to develop a stronger regional community of human rights and peace scholars was also the International Conferences on Human Rights and Peace & Conflict in Southeast Asia that were co-organized together with SEAHRN. The conferences held every two years have been positively reviewed by all interviewees who have participated. Apart from being well organized and offering a multitude of interesting sessions, interviewees have specifically stressed their importance from a networking perspective.

SHAPE-SEA has also organized and contributed to several regional and national events which have exposed the participants to a range of human rights issues. Some have noted that these advocacy or outreach activities have been valuable from an awareness raising point of view, but that the efforts have been insufficiently targeted and sustained to realistically bring about any observable changes to the prevailing human rights situation. According to interviews, outreach activities appear, however, to have contributed to increased acceptance of academic human rights education and research amongst political and university level decision makers in some contexts. In several countries and universities, the human rights textbook, originally developed by SEAHRN and updated by SHAPE-SEA, and the related online lectures⁴, has contributed to a human rights education better grounded in the Southeast Asian context. The textbooks have been translated into Burmese, Khmer, Thai and unofficially (not sanctioned by SHAPE-SEA) Vietnamese.

The programme has, in accordance with plan, published the annual Human Rights Outlook which discusses the human rights situation in each country in Southeast Asia. The programme has also published compilations of presentations from the International Human Rights and Peace & Conflict conferences; books based on specially commissioned research on authoritarianism, human rights and peace education, and the nexus between technologies and human rights; more than 20 academic papers written by the research grantees and 17 related policy briefs. The number of online downloads of these documents range from a few hundred to several thousand. The publications work suffered, however, from quite significant delays, apparently because of challenges in finding academics prepared to take on editing

⁴ Based on the textbook and Online Course on Human Rights in Southeast Asia, composed of 13 sessions, has been produced by AUN-HRE with the support of ASEAN Cyber University and the Republic of Korea.

responsibilities. According to interviews, this bottleneck was largely addressed during the latter part of the programme when the rate of publication increased, but ambitious targets for producing and publishing articles for undergraduate students, research papers and policy briefs were never fully met. Interviewees and the five-year review report noted that the authors of the various publications received little support from SHAPE-SEA to advocate around the findings of their research. Interviewees also suggested that the quality of policy briefs and other research outputs could be enhanced both in terms of structure and in terms of layout.

As for the attainment of the programme's three specific objectives, collected data suggests, while difficult to quantify, that the programme has contributed to raise the number of academics from Southeast Asian universities who are able to conduct research and teach about human rights and peace issues, as well as produce outputs related to these issues, but not necessarily with 50% as the programme strived for. It also suggests that SHAPE-SEA has contributed to improve the standard of human rights and peace education in Southeast Asia, but not primarily, as envisaged, by making relevant research available for textbooks, teaching, curriculum development and classroom engagement. Instead, this was mainly achieved through lecturer workshops, lecture tours and direct engagement with high level decision makers at university and ministry levels. The programme has to some extent also increased the exposure of human rights and peace research produced by member universities to some key stakeholders (originally defined as students, governments, civil society actors and media). The fact that the programme has only been in operation since 2015 and that it targets a very broad range of thematic issues means that there are so far few observable indications that it has attained its overarching objective of contributing to an improved human rights and peace situation. The programme's impact is, however, discussed in section 4.4.

How and to what extent did SHAPE-SEA's values, objectives, ways of working, and management and organizational structure facilitate and/or constrain its ability to achieve its objectives during phase 1?

The data collected by the Evaluation Team suggests that there, unsurprisingly, is broad support for SHAPE-SEA's overarching objective of contributing to "the improvement of human rights and peace situation in Southeast Asia through applied research and education" and of the strategy to "directly involve and engage universities to play a more significant role in promoting human rights and peace by contributing research and by increasing the knowledge of human rights and peace by incorporating them into university education."

The programme is guided by the three principles of inclusiveness, participation and transparency. According to interviews, these principles have also guided the practical implementation of the programme, as well as its governance structure. While the structure of SHAPE-SEA and the exact roles and authority of its different bodies and committees is not formally documented, proposals to Sida provide some clarification: Under the Phase 1 structure, AUN-HRE and SEAHRN were responsible for appointing a Programme Management Team, which had the dual role of a board providing policy and strategic direction and an implementing body. Amongst the nine

PMT members were the Programme Chair and the chairs of SHAPE-SEA's four standing committees. The chairpersons and the committees they head were responsible for implementing the Research, Education, Academic Partnerships and Public Advocacy, and Publications work of SHAPE-SEA, respectively. They reported to and presumably stood under the supervision of the PMT. The standing committees were assisted by the Secretariat and its staff, who in effect took direction both from the standing committees and the PMT.

Under the proposed structure for Phase 2, as presented in SHAPE-SEA's proposal submitted to the Embassy of Sweden in late 2019, a new governing body is established. AUN-HRE and SEAHRN elects the members. The new Governing Board's mandate is limited to governance issues, i.e. providing oversight, policy and strategic guidance. There will be no PMT and no standing committees. A Regional Programme Director will head the Secretariat and be responsible for the day-to-day management of SHAPE-SEA and for ensuring that the programme is well implemented, coordinated, monitored and evaluated. Under the Secretariat, there will be four Programme Units in charge of implementing approved activities, namely: (i) Policy Advocacy and Impact; (ii) Research and Capacity Building; (iii) Knowledge Production and Dissemination; and (iv) Mainstreaming Human Rights and Peace Through Education.

SHAPE-SEA's governance structure under Phase 1 has according to interviews contributed to creating transparency and broad ownership for the programme, something which can be further enhanced with the recent establishment of the Governing Board. At the same time, it appears from interviews that the complexity of the old structure could make the functioning of the programme difficult to comprehend. The decision-making processes and division of labour and responsibilities between different bodies was not entirely clear and insufficiently documented. A recent Sida commissioned systems-based audit of SHAPE-SEA carried out by BDO noted some of these concerns and recommended the adoption of statutes governing the operations of the new Governing Board, and presumably SHAPE-SEA as a whole.

Arguably, transparency and accountability, not to mention the ability to evaluate programme contributions, may have been affected by the fact that many have difficulties in distinguishing between SHAPE-SEA and SEAHRN, and to some extent also between SHAPE-SEA and IHRP. This observation is linked to some informants' concern that SHAPE-SEA's success is related more to a number of engaged and committed individuals, who have worked very well together, rather than to the commitment of any institutions they represent. Those academics who have been engaged by the programme in various capacities, for instance as committee chairs, have in most cases been commissioned directly by SHAPE-SEA rather than through their respective universities.

The BDO systems audit mentioned the legal set-up of SHAPE-SEA as a risk, noting that, "As the contract is signed with Mahidol University, the university might

be able to influence how the programme is run and what themes it covers”⁵. It also noted, however, that its understanding was that “no such pressure was applied by the university during Phase 1 of SHAPE-SEA.” While a few informants interviewed by the Evaluation Team mentioned the dependence on Mahidol as a potential risk, others were of the view that Mahidol and IHRP provided both institutional stability and credibility. Similarly, many interviewees mention the fact that SHAPE-SEA is a product of the two networks AUN-HRE and SEAHRN as a significant added value as it gives the programme legitimacy and an entry point to influence human rights education and research on a regional scale. Through AUN-HRE, SHAPE-SEA has in particular access to the ASEAN decision making structures.

While the proposed structure for Phase 2 makes it easier to create clear roles and responsibilities and to separate governance and management functions, the fact that a geographically decentralized set up for the Programme Units is envisaged adds new complexities. In particular, the plans of channelling funds from the Secretariat to the programme units may be complicated. If this will be considered sub-granting, SHAPE-SEA will need to develop a sub-granting policy and a due diligence process and put in place the necessary structure to implement them. SHAPE-SEA would presumably also need to arrange for audits of each Programme Unit. As the Programme units will not be legal entities, it is also unclear to the Evaluation Team how and to whom funds would be channelled. Concerns about this have also been raised by the Swedish Embassy and Sida.

At the same time as interviewees have commended SHAPE-SEA’s decentralized decision-making structure, and some have called for it to be further strengthened, it is to many also clear that effective and efficient management requires a reasonably strong Secretariat, with people who can dedicate sufficient time to the programme. The Phase 1 set up with standing committees with far reaching responsibility for both programme governance and implementation has in some cases worked well and in other cases less well. While the chairs have received remuneration for their work, it has not been clear how much they were supposed to work for this compensation. In practice, some had difficulties juggling the demands of SHAPE-SEA with other demanding assignments, including regular university jobs. Others seem to have spent much more time on the programme than they had initially expected. To seriously engage other committee members than the chairpersons was often difficult.

Overall, key informant interviews and the desk review show that the success of SHAPE-SEA can on the one hand be credited to the fact that it has benefitted from the enthusiasm and commitment of a number of individuals and to its inclusive and transparent operational culture. On the other hand, the absence of a clear and documented organizational structure, a secretariat with limited staff capacity and

⁵ BDO, 2020. *Review of internal management and control of IHRP (SHAPE-SEA): Summary of findings and recommendations*. Draft

decision-making powers, the high degree of reliance on committee chairs and others who have not been fully engaged by the programme has been a challenge.

How and to what extent has the SHAPE-SEA monitoring and evaluation system delivered robust, accurate and relevant information that could be used to assess and improve progress towards objectives?

In a 2018 assessment of SHAPE-SEA’s monitoring and evaluation system, Roger E. Ricafort found that SHAPE-SEA’s “monitoring and data gathering is predominantly output-focused and quantitative.” He also concluded that “beyond quantitative monitoring (and aggregation), there is currently no system in place to assess (or even measure and describe) significant changes to which the SHAPE-SEA programme is contributing...”⁶ The 2020 five-year review commissioned by SHAPE-SEA also found that “the programme will benefit from having better follow-up mechanisms factored into its activities...” and that “Setting more meaningful impact indicators — including ones that went beyond numeric achievements — can help improve monitoring and evaluation efforts, as would having clearer baseline data.”⁷ Amongst those interviewed by the Evaluation Team, many have stressed that SHAPE-SEA does not have a sufficiently well-developed system for regular follow-up, both of the quality of individual activities and of the contribution to higher level programme results.

SHAPE-SEA’s annual progress reports have primarily focused on following up the degree to which planned activities have been implemented. A traffic light system has been used to illustrate the extent to which planned outputs have been attained. While the accuracy of how SHAPE-SEA has reported attainment of outputs through the system has been questioned⁸, more significant is arguably that no attempts were made at measuring or reflecting on the programme’s contribution to its three specific objectives in a structured manner. The programme’s log-frame included indicators aiming to capture progress at outcome level, but these have not been reported against. The progress reports include, however, a section in which SHAPE-SEA lists as bullet points what the programme considers to be significant impact. While these reflections are interesting and probably likely and sometimes obvious effects of the programme, they are not based on any systematic monitoring and attempts at presenting real evidence to back them up.

The monitoring framework for Phase 1 did not include any gender-related goals, indicators or targets. The annual reports nevertheless include important activity and output related reflections on gender. They have also highlighted the need for paying attention to various gender related aspects in implementation of the programme. Minutes and action points from meetings of the PMT show that issues of gender have

⁶ Roger E. Ricafort. 2018. *Towards Strengthening the SHAPE-SEA Monitoring and Evaluation System: Notes from first conversations*.

⁷ Deasy Simandjuntak and Tan Beng Hui. 2020. *Strengthening Human Rights and Peace Research and Education in Southeast Asia: The Pioneering Years*. Draft.

⁸ Bratt, Henrik. 2020. *Preparatory Work for SHAPE-SEA Evaluation*.

been followed up. It can in this context be noted that a recent “Review of mainstreaming of Gender Equality and HRBA in Sweden’s development cooperation in Asia and the Pacific region 2016-2021” found that “Gender Equality and Human rights-based approach are embedded in the programme’s vision, mission and implementation of activities” and that “SHAPE-SEA has sufficient knowledge and skills to operationalize both HRBA and Gender Equality.” It also indicated that the gender and HRBA aspects of SHAPE-SEA’s monitoring, evaluation and learning system could be strengthened.⁹

An important initiative for the reflection on progress and challenges during the first phase of SHAPE-SEA was the above mentioned 5-year review carried out in 2020. While it provides a number of important lessons for SHAPE-SEA, it has also served as important input to the present evaluation. Another SHAPE-SEA initiative with some relevance from an outcome and impact assessment perspective is the ambitious 2018 follow up of a 2013 mapping and analyses of human rights and peace education in Southeast Asia. The follow-up report, “A Remapping and Analysis of Human Rights and Peace Education in Southeast Asia” notes that significant progress has been made in human rights and peace education (HRPE) around Southeast Asia during the past five years. However, the report did not primarily aim at assessing SHAPE-SEA’s contribution to this progress.

The proposal for Phase 2 states regarding the monitoring and evaluation (M&E) system that SHAPE-SEA will start applying Outcome Mapping and that this follow-up methodology will be combined with the logframe focused approach applied during Phase 1. The details and the tools for the new M&E have not yet been presented. The proposal envisages that a dedicated M&E officer will be responsible for ongoing monitoring on the basis of metrics and indicators approved by the Governing Board. With the input of project managers, the M&E officer will conduct post activity evaluation and be responsible for annual reporting. While some interviewees have noted a need for an M&E officer, others have argued that this is a task that should be mainstreamed in the organization and one the regular programme staff could handle with some capacity development support. In 2018 and 2019, SHAPE-SEA had, as mentioned, a full-time staff member of the Secretariat who carried the title monitoring officer. In practice her job was to follow-up on the research grantees submission of narrative and financial reports, and to review, in collaboration with the Finance officer and Administration officer, all reports for compliance with administrative and financial requirements.

There is broad agreement that SHAPE-SEA’s M&E system has not managed to effectively gauge the perspectives and experiences of those who participated in its

⁹ Dalton, P. et al. 2020. *Review of mainstreaming of Gender Equality and HRBA in Sweden’s development cooperation in Asia and the Pacific region 2016-2021*. Draft. Nordic Consulting Group Consortium.

activities. Neither has the system been effectively gathering data that can be used to assess SHAPE-SEA's progress to attain outcomes and specific objectives.

How have lessons learned from what works well and less well been used to adjust the SHAPE-SEA programme during its implementation?

Key informant interviews and a review of programme related documentation provides a mixed picture of the degree to which lessons learned from what works well and less well have been used to adjust the SHAPE-SEA programme. As discussed in section 4.2.3, the programme has been able to reasonably well assess the degree to which outputs have been attained, even though the aggregation of outputs provides a somewhat unclear picture of the degree to which the programme has been delivered as expected. More importantly, the regular monitoring system provides, as mentioned, limited indication of the extent to which programme objectives are being attained. Together with an analytical assessment of financial reports, the data suggests that a better developed and implemented approach to M&E could probably provide more solid evidence on how to steer the programme and assess if larger adjustments are required.

At the same time, as noted by many interviewees and observed by the Evaluation Team, SHAPE-SEA has managed to engage a group of analytical individuals and has as a programme been characterized by an analytical approach. This has in combination with an open organizational culture guided by the principles of inclusiveness, participation and transparency contributed to a high degree of learning, primarily at activity level. Lessons learned have regularly been discussed in PMT meetings and strategies on how to address observed challenges have been designed. An example of this includes the introduction of targeted training programmes to better reach out to countries from which there was initially little interest in the programme. Another example is the increased efforts made to find and adjust the role of mentors when it was observed that the Research Grants Programme (RGP) faced challenges in terms of timely delivery and quality of research outputs.

At an overall programme level there is less evidence that lessons have been learned and that any lessons that may have been learned have actually influenced the programme, and in particular the planning for Phase 2. Some interviewees have suggested that the programme needs to be better at making hard choices on what to focus on and a downside of the inclusive organizational culture may be that the programme tends to embrace new ideas and suggestions rather than ensuring a tight programme aimed at delivering tangible results on a few select issues. One interviewee noted that SHAPE-SEA will be a very important programme even if it focuses exclusively on the RGP and on organizing the International Conferences on Human Rights and Peace and Conflict in Southeast Asia.

4.2 RELEVANCE

How relevant have the SHAPE-SEA thematic research areas been for human rights protection and peace building in Southeast Asia?

To attain its aims, SHAPE-SEA identified, as noted, five thematic areas for its research related work. The relevance of the research areas is discussed below. In accordance with the ToR for the evaluation, this section also looks at whether “additional thematic research areas (e.g. environment/climate, others) emerged during Phase 1 that are of strategic importance?” and to what extent these were included in the programme.

ASEAN and Human Rights

ASEAN and human rights might be the broadest of the thematic research areas and is considered directly relevant to SHAPE-SEA’s aims. It could be explored broadly as a geopolitical region going beyond the regional organization (the Association of Southeast Asian Nations) per se, but this too might need to be made clear to the prospective grantees. ASEAN consists of ten member countries whose membership criteria includes countries being geographically located in Southeast Asia, the area SHAPE-SEA operates in (Timor-Leste, although located in the region, is not yet an ASEAN member). In promoting human rights protection and peacebuilding in Southeast Asia, a regional organization such as ASEAN is potentially of tremendous importance as an institutional framework recognized by member states. ASEAN has embraced the human rights language officially in its legally binding 2008 ASEAN Charter, establishing a human rights body which became known as the ASEAN intergovernmental Commission on Human Rights (AICHR). It has also issued human rights documents such as ASEAN Human Rights Declaration and ASEAN Declaration on the Rights of Children in the Context of Migration, and Declaration on the Elimination of Violence Against Women in the ASEAN Region, inter alia.

Due to its state-centric nature, ASEAN has been criticized for lack of participation from non-state actors in the past as well as the lack of protection mechanism for those violated. Therefore, the thematic area is highly relevant to SHAPE-SEA wanting to make an impact. Arguably, any research related to ASEAN member countries might also fall under this thematic area, but there are not many research works on the regional organization itself. In 2015, there were two research projects of the 15 grants that focused on ASEAN: “Southeast Asia National Human Rights Institutions: Extending ASEAN Norms”, and “Rights and Social and Health Security of Older People. A Survey of the ASEAN Region”. In 2016, a research project titled “Women and the ASEAN 2025 Vision: Using CEDAW and Human Rights Instruments in Locating the Gender and Human Rights Dimension of the ASEAN Economic Community” was funded. Hence, from all research projects funded from 2015 to 2019, there are only three focusing on ASEAN, with numerous works looking into specific ASEAN member countries or groups of countries. This might signify a lack of interest in the regional institution, or the need for regional collaboration on the part of researchers.

Academic Freedom

Academic freedom is highly relevant to the improvement of human rights and peace in the region through research and education, since it is directly related to how far and how much academic debates could occur, and the taboos thereof. In a region

where implementing human rights as agreed upon by the leaders' declaration bearing in mind the differences in religious, cultural, and historical background, this is even more important when academic freedom is still elusive in the region overall.

Although not planned intentionally from the beginning by SHAPE-SEA, one early research in 2015 ("Academic Freedom in Post New Order Indonesia") was instrumental in developing a code of conduct of academic freedom in the region known as the Surabaya Principles of Academic Freedom. It is one of the very few pieces of research (one studied "academic rights" in Malaysian universities, and the other one expulsion of leftist students and scholars from Indonesian universities) that directly focused on this thematic research area. The research project led to a national seminar with the Indonesian Consortium of Human Rights Lecturers (SEPAHAM) fostering links with SEAHRN. When SEPAHAM held another seminar in 2017, the Surabaya Principles were discussed and codified, then adopted in the follow-up workshop. SHAPE-SEA funded the research project but did not allocate any extra funds for the follow-up workshop, an example of a snowballing initiative that gained momentum significantly in one country, then started to roll out. Even though this thematic research area is highly relevant to SHAPE-SEA achieving its aims, there has not been much research focused on the issue and the topic, including the Surabaya Principles, has not been mainstreamed in academic circles in the region.

Business Accountability

This thematic area is important from a human rights protection perspective, in particular because of the great powers corporations often have in relation to rights holders who are typically less powerful, and often vulnerable or marginalized. Amidst rivalry amongst great powers and the trend of technological decoupling which could lead to technology divide, disadvantages, and inequalities, the accountability and transparency in the corporate world is highly relevant. A number of Southeast Asian nations as well as their people might be particularly vulnerable because of economic dependency. The emerging norms therefore include responsibility of the business to respect human rights, and due compensation or remedy.

As early as in 2015, SHAPE-SEA supported research focused on this thematic area and included "Labor Rights Challenges in the Private and Small enterprises in Yangon, Myanmar", "Human Rights Based - Approach, an alternative to improve effectiveness of poverty reduction programme and accountability of state business in Vietnam," and "Accountability Beyond The State: Corporations, Human Rights & Extraterritorial Obligations". Business accountability as a thematic area is a recurring theme and unlike for the two above mentioned themes there have been research works proposed and grants handed out every year.

Peace and Security

Peace and security is relevant to human rights in the sense that human rights could inform peace processes for sustainable peace and security, and thus highly relevant to SHAPE-SEA's aims of promoting human rights and peace in the region. The rights-based approach could indeed govern peace building efforts and reconciliation processes. However, peace and human rights in theory and approach do not go along

as naturally as could be hoped for. There have traditionally been some tensions between peace and human rights scholars in conflict resolution, with the former tending to prioritize concluding peace negotiations while the latter arguing that it is done at the expense of justice and fair retribution.

Peace and security was flagged as a concern by some informants in that there are fewer research grants allocated to this thematic area (considering that four of the other thematic areas have more to do with the concept of rights and freedom). One of the reasons why there was limited interest in the area might be that there are overall fewer people who are trained or focused on peace as their main research areas than human rights, hence fewer applications were received. It was mentioned that most of the leading people in SHAPE-SEA have a stronger focus on human rights, and activities such as seminars, workshops, trainings have therefore been geared towards human rights, with the National Seminar on Addressing Inequalities for Peace and Justice in Malaysia and lecture events by one peace scholar involved with the programme being exceptions. It can also be argued that SHAPE-SEA-organized international conferences naturally accommodated peace related topics and discussions, as was the case with publications; however, the linkage between human rights and peace could still be further explored.

The research funded in the area of peace and security include “Polling for Peace in Southern Thailand”, “Women’s Participation in Peace Processes in Myanmar and Thailand,” “The impact of amnesty law towards the promotion of rule of law in post-conflict society in Aceh”, “Interfaith-based Student Movement: A Strategic Religious Peacemaking in Indonesia”, “Revolutionary Peace: Transformative Roles of Movement Leaders and ‘Insiders’ in the Self-Determination Conflicts in Patani, Thailand and the Bangsamoro areas, Philippines”, “Assessing Peace and Security Situation in the Post-Conflict ‘Widow’s Village’ in Rotan Batu Village, Narathiwat Province, Thailand”, and “Exploring the Linkages between Climate Change Impacts and Human Rights and Security of Local Communities in Selected Conflict-affected Areas in South-central Mindanao, Philippines”.

Overall, there is increasing understanding that peace and human rights are intertwined, and there might be a need for more cross collaboration between those identified as human rights researchers and peace researchers.

Governance and Justice

Governance and justice is obviously also very relevant to SHAPE-SEA’s aims and for human rights protection and peace building in Southeast Asia. A number of research projects funded under this thematic area are cross-cutting, concerning peace and security as well as human rights. For example, “Judicial Independence: The factors undermining the right to a fair trial in Myanmar’s Armed Conflict Region”, “State Inclusion of LGBT Human Rights: Implication to Philippine Development”, and “Mainstreaming Human Rights in the Governance of HIV/ AIDS Response in Indonesia: A Case Study of Education for Children with HIV/AIDS in Jakarta, Solo and Surabaya.”

Some thematic areas were very broadly interpreted. For example, the governance and justice theme was interpreted to encompass resource governance and justice, seen from projects such as “Seeking ‘Arenas of Justice’ on Transboundary Rivers: A

Rights-Based Approach to the Food-Water-Energy Nexus on the Salween and Mekong Rivers” which produced a number of book chapters addressing the National Human Rights Institutions as arenas of transboundary water justice, and arenas of water justice based on case studies from the area.

Additional research areas

The thematic areas allow broad collaboration amongst researchers. For example, “Democracy and Human Rights in Malaysia and Indonesia” was published as a book in 2018 as a result of a SHAPE-SEA funded research project in 2015. The project comprised of fifteen university and civil society researchers from Malaysia and Indonesia exploring how democracy and human rights work hand in hand in these two countries.

Following the SHAPE-SEA Research Grant Programme Core Principles, the research has to be classified under, at least, one of SHAPE-SEA’s research themes. The initial thinking behind these themes was according to interview, however, that they should be inclusive rather than exclusive, as SHAPE-SEA hoped to also attract researchers from other areas into the field of human rights. Although almost all informants (grantees and non-grantees) held the opinion that SHAPE-SEA’s research themes were adequately broad and very relevant, some were not aware of the themes per se, especially the grantees at the stage of submitting their concept notes or research proposals. Some were under the impression that the concept notes only need to be relevant to human rights or peace research in general (with heavier focus on human rights). The core overall objective of the SHAPE-SEA programme is to be able to contribute to the improvement of the human rights situation in Southeast Asia through research and education, and the stakeholders involved with the programme in various capacities echoed the thoughts in the same way that the thematic areas serve that purpose.

As a result, the research works that were funded also vary and cover a broad range of topics with noticeably less focus in some areas, in particular on peace. From the first five years, there were emerging thematic areas in LGBTQ+ community towards the later stage in 2019 (“Integrated Safety and Security Mechanism for Indonesian Lesbian, Bisexual, Queer (LBQ) Women and Transgender Men Activists”) and the rights to environment (“Violations Against The Rights To Environment And Food In The Case Of Development of a Cement Factory in Pati District, Central Java, Indonesia”). These can be perceived as organic, unplanned evolution of sub-themes that could become main themes in the future. Some interviewees feel the RGP would benefit from having changed but more focused thematic areas from one year to the next, which may make it easier to ensure that mentors with relevant research background can be provided and more targeted and effective advocacy efforts carried out.

At the same time, SHAPE-SEA also added commissioned research aimed to engage more experienced researchers to work under a unifying theme which at the end would result in an edited volume. The first chosen theme was “Exploring the

Nexus Between Technologies and Human Rights: Opportunities and Challenges in Southeast Asia.” This was seen by the informants as having value-added, helping to keep the programme more up to date with current developments. The commissioned research focused on the quality of the publications and the expertise of the researchers, which was different from the regular RGP which largely aimed at funding young, early career scholars. When the research grant programme first began; however, the experiences and skills of funded researchers were also vastly different with some having much more experiences and publications than others. Focusing on the publications of more established scholars was seen to contribute to the programme’s profile and relevance from the policy audiences’ point of view, although there were, as discussed below, some serious criticism relating to the less rigorous monitoring process for commissioned research.

Some informants, especially the stakeholders whose work is closely related to policy-making were of the opinion that in order for SHAPE-SEA’ thematic research areas to become even more relevant, SHAPE-SEA could also support evidence-based approaches in research. According to the SHAPE-SEA Research Grants Programme Core Principles, “a proposal based purely or mostly on desk research is least preferred.” The programme promoted utilizing information from the field rather than relying on documentary research. Evidence-based social scientific research could support decision-making based on clear and just use of the best available evidence from various sources. The thematic areas designated might be boosted by evidence-based approaches, which in turn feed into decision-making for policy audiences. It should be noted that a review of the methodologies applied by the research grantees indicate that the grants were in most cases primarily used for travel related to data collection.

4.3 IMPACT

Gauging the impact of SHAPE-SEA in its first phase is challenging, partly because there is no established baseline. The Evaluation Team focused, however, on capturing the perceived change after the programme was put in place, as well as the possibilities it created for those involved. The data collected suggest that SHAPE-SEA had an impact in four main areas. Through a discussion of these areas, the Team strives to answer three evaluation questions: (i) “To what extent has the SHAPE-SEA programme influenced the degree of academic freedom enjoyed by participants and stakeholders in the SHAPE-SEA programme? What, if any, influence has the SHAPE-SEA programme had for academic freedom at its Southeast Asian partner universities?” (ii) “What are the most important effects of the programme on the quantity, quality and capacity for human rights and peace research and education at Southeast Asian universities?” and (iii) “What have been the most important impacts of SHAPE-SEA’s advocacy work, education activities, research grants, commissioned research and publications in, and for, Southeast Asia? How have these impacts been achieved, and what have been the most challenging limitations to achieving impact?”

Academic freedom

This has always been a difficult area in Southeast Asia, with varying challenges in different countries. We see some national academic networks advocating for academic freedom such as the Thai Academic Network for Civil Rights, but no cohesive network at the regional level that focuses on academic freedom. These national networks and institutions have issued statements in response to threats to academic freedom, mainly from national governments. In 2017, there was a statement from Mahidol University's IHRP, which houses SHAPE-SEA, criticizing the Thai government's use of power and failure to abide by the rule of law. Mahidol University denounced the statement and even ordered an investigation against the IHRP, prompting an NGO, the Cross Cultural Foundation, to issue a statement in defence of IHRP's academic freedom.

The Surabaya Principles of Academic Freedom resulting from SHAPE-SEA research grants and the efforts of a national academic network, the Indonesian Lecturer Association for Human Rights (SEPAHAM), could be seen as an attempt at establishing a regional code for academic freedom. The Surabaya Principles were later endorsed by SEAHNR, which gave the Principles a regional status and platform. The Principles emphasize academic freedom as a fundamental freedom and underlines its necessity for the autonomy of academic institutions, as well as the freedom in the classroom with responsible academic culture. The Principles also highlight that public authorities have an obligation to protect and guarantee academic freedom. Interviewees believe the Principles could be mainstreamed further in academic circles and beyond as governing principles in the region. As of now, the Surabaya Principles only inform limited academic circles (namely SEPAHAM and SEAHNR), and how they should be operationalized remain unclear.

Some interviewees stressed that further efforts are needed from SHAPE-SEA to help realize and protect academic freedom in the region. There are still few research projects on the issue. Apart from the one that resulted in the Surabaya Principles, another one was entitled 'Ivory Tower on Dirt: The Impact of Regime Change on Academic Freedom in Indonesian Universities'. There was also a short op-ed called "Academic Freedom and the Responsibility of the University amidst COVID 19 Pandemic" published on SHAPE-SEA's website. So far, there are few regional efforts through which SHAPE-SEA can link up with national networks to promote freedom and potentially mobilize or provide support for academics under threat. SHAPE-SEA has emphasized that research activities should develop mechanisms which monitor and respond to the freedom to teach and research as well as work on policy and legal development which ensures academic freedom. It is not clear to the Evaluation Team if this idea is intended to inform funded research projects, or only SHAPE-SEA own research activities, so the need for systematic mainstreaming program arises. So far there is no commissioned report on the topic of academic freedom. The main contribution of SHAPE-SEA's research has been to fund proposals submitted with the hope that the academics can then advocate around the topic themselves.

SHAPE-SEA's work has, to a certain extent, also attempted to broaden the horizon in research and education. Instructors benefited from SHAPE-SEA's lecturer trainings and used SHAPE-SEA-provided human rights materials in classrooms, exposing their students to human rights concepts and languages in a Southeast Asian

context. The Evaluation Team found this highlighted in particular in Myanmar, where there were previously limited materials that the instructors could use, and some of the materials had to undergo stringent reviews from higher authorities. Attending SHAPE-SEA trainings which equipped them with relevant knowledge and being able to download online materials has helped lecturers broaden what can be discussed in the classroom. Moreover, some informants stressed, as mentioned, that SHAPE-SEA has played an important role in terms of funding research which, because of its perceived sensitive nature, would be difficult or impossible to find funding for domestically.

SHAPE-SEA highlighted its mission of Shaping a Culture of Human Rights and Peace through Education in the 2019 publication: “The Remapping and Analysis of Human Rights and Peace Education in ASEAN/Southeast Asia.” The publication and interviewees argue that there is a need to for human rights education to reach beyond law schools and legal courses, allowing for a more holistic, transdisciplinary approach. During the past five years there has been an overall trend of academic human rights education increasingly being offered in the region, even though the development has been much slower in some countries than in others (for example, Brunei only offers one course, for foreign students). SHAPE-SEA’s focus on increasing the human rights and peace research and education capacity has perhaps shown early signs of contributing to the creation of a critical mass of agents of change that to varying degrees, and sometimes very carefully, are trying to push to increase the space for academic freedom.

Capacity building

SHAPE-SEA hopes to increase the number of scholars equipped with human rights and peace knowledge. In this regard, they have provided research grants, research trainings, lecturer workshops on teaching human rights, and numerous outreach activities, seminars, and workshops. Nonetheless, there are, as discussed below, disparities in the application, which could lead to the conclusion that SHAPE-SEA needs to reach out more to some countries. For example, no one from Brunei has applied for research grants, and only two submitted applications to join the lecturer workshop on teaching human rights (one each year with no one in the first year). This is in stark contrast to for instance Myanmar, from which there were 65 applications over three years to attend the lecturer workshops. Also, there were zero applications from Singapore to join the lecturer workshop, and no one applied for research grants in 2017-2018, same as for Laos.

Those who have attended SHAPE-SEA’s activities or received research grants are, in the vast majority of cases, providing very positive reviews of their experiences, both in survey responses and in interviews. Judging from the Evaluation Team’s survey of research grantees, the grants have been of great importance. Of all respondents, 42% of the respondents see the grant as ‘extremely important’, and 52% see the grant as ‘very important’ for their ability to conduct the supported research project. 81% responded that they were to ‘a great deal’ or ‘a lot’ able to use their research findings and outputs in their work or in teaching. 96% were ‘satisfied’ or ‘very satisfied’ with the quality of the training provided for the grantees and 94%

found the training to be very relevant or somewhat relevant for their current work. Survey respondents and interviewees commented that their own home universities had no capacity to provide the type of training provided by SHAPE-SEA.

In terms of the workshops for lecturers and trainings for non-grantees, almost all respondents (98%) said that the training met their expectations. 25% felt that the training was of ‘very high quality’, while 70% responded that it was of ‘high quality’. Women were more positive with the overall quality of the training, with 44% responding that it was of “very high quality.” Of all respondents, more than 98% answered that the training was very relevant or somewhat relevant to the work they are now doing. Interviewed informants also stated that the trainings they had attended had been very useful, but some suggested that there should be fieldtrips, more case studies and alumni invited to share their experiences in teaching human rights.

Network building

SHAPE-SEA was built on the established networks of SEAHRN and AUN-HRE, where committed and like-minded academics come together to promote human rights and peace education. SHAPE-SEA could thus capitalize on the existing network when striving to influence younger, emerging scholars in the field. Apart from trainings, workshop, and seminars, the mentorship programme provided by SHAPE-SEA for research grantees was perceived as very helpful from a networking perspective.

The evaluation survey found that, 39% of research grantees were ‘very satisfied’ with the mentorship, 42% ‘satisfied’, and 16% ‘neither satisfied nor dissatisfied’. From the in-depth interviews, the Evaluation Team found that the grantees were generally happy with the research guidance they received. A few felt that they could have benefitted from more specific feedback from the mentors, which should be seen in light of the limited time mentors had to spend on each grantee and that the mentors did not always possess the specific subject matter expertise asked for by the grantees.

Overall, the grantees and trainees felt that they, thanks to SHAPE-SEA, had come to belong to a larger circle of scholars, and that they can reach out for advice and support. 68% of the research grantees who responded to the survey said they still keep in touch with other grantees or trainers. They would, however, like SHAPE-SEA to arrange meetings of alumni so that they can broaden their professional network even more. The Evaluation Team came across some specific examples of snowballing effects from SHAPE-SEA activities. Some of the grantees were for instance able to connect to other scholars with similar interests and were subsequently invited to give lectures at other universities in the region. This potentially also had the effect of spreading knowledge of SHAPE-SEA and its work. Additionally, it should be noted that the grantees and trainees were not exclusively from Southeast Asian countries. There have been a few participants in the lecturer workshops from China and Mongolia and some research grantees with citizenship from outside the region but affiliated with Southeast Asian academic institutions. The education component of SHAPE-SEA is funded by NCHR with an understanding that needs of Northeast Asian academics should also be accommodated and cross regional exchanges promoted.

Influence on policy audiences

In SHAPE-SEA's attempt to strengthen the capacity of scholar advocates to influence human rights and peace situations, it also engaged with civil society networks and state actors, especially through the AUN-HRE. SHAPE-SEA through the APPA Committee initiated high level meetings facilitated by the AUN-HRE which allowed SHAPE-SEA representatives to meet with officials. This also provided platforms for academics to interact with decision-makers regarding mainstreaming of human rights and promoting human rights and peace education.

From in-depth interviews, the Evaluation Team learned that some officials have used SHAPE-SEA publications of their own accord, such as the Human Rights Outlook. However, research findings available on the website could according to interviews be more accessible. Interviewees also thought SHAPE-SEA could serve as a platform where they could look to for materials to inform themselves of the ongoing situation of human rights and peace issues. More interactions with the official track through debriefings or regular communications was seen as something that could be enhanced, but not exclusively at a high level. For SHAPE-SEA-organized workshops or seminars, officials could also be invited to participate in their private capacities.

In the academic circle itself, survey respondents believe that their work to some extent is used by their colleagues and students. 32% responded that their SHAPE-SEA supported research findings and outputs are used 'a lot' while 29% feel that they are used to a moderate extent. Beyond academic circles, more may need to be done to connect with other audiences.

Many interviewees, and in particular civil society representatives consulted, have underlined, however, that SHAPE-SEA serves as an important bridge between academics and civil society actors. SHAPE-SEA has over the years collaborated directly with and provided much appreciated support to the work of different human rights groups. The regional human rights organization Asian Forum for Human Rights and Development (FORUM-ASIA) noted for instance that SHAPE-SEA had reviewed and commented on publications they produced for advocacy and training purposes. A few civil society actors have also mentioned that they have read and made use of SHAPE-SEA research outputs. However, it has also been said that the research outputs could be more attractive and user friendly.

SHAPE-SEA has collaborated with the Stockholm Environment Institute (SEI) and the two actors signed in 2020 a Memorandum of Understanding. SEI believes that SHAPE-SEA can contribute to its environmental research programme the Sustainable Mekong Research Network (SUMERNET), including through training on the application of a human rights-based approach.

SHAPE-SEA also engaged individuals such as journalists to participate in conferences and write pieces and articles. This was by interviews seen as strengthening the network with individuals from different sectors and walks of life, creating a platform comprising committed individuals who gradually open up the normative space accommodating human rights and peace education and promoting the use of that space to influence others. In effect, this could lead to co-production of

knowledge to maintain the idea that human rights and peace have a long-term legitimate role in the region.

4.4 EFFICIENCY

To what extent has the intervention delivered results in a timely and cost-efficient way?

This section assesses whether the intervention has delivered results in a timely and cost-efficient way by looking at whether SHAPE-SEA has been on budget; activities have been delivered as originally scheduled; the programme has been duplicating or adding value to the work of other institutions; and management costs are reasonable and activities cost-effective.

Actual expenditures

Generally, SHAPE-SEA has been using its funds at a lower rate than expected and a no costs extensions of the programme was issued in 2019. As shown in Table 3, during 2015 and 2016, roughly half of the budgeted resources were used. This share has since increased year by year and reached 78% in 2019.

Table 3: Actual expenditures as share of budgeted expenditures 2015-2019

Year	2015	2016	2017	2018	2019
Share of total budget used	52%	49%	68%	74%	78%

The low rate of expenditure partly relates to certain activities not being implemented as planned. As shown in the Table 4, actual expenditures for Publications have repeatedly made up a lower share of the total budget than expected. During the first three years of SHAPE-SEA's operations there were almost no publications issued. In 2015, 2016 and 2018 there was also underspending in the funds allocated for research. The comparatively high percentage for research expenditures in 2017 relate partly to SHAPE-SEA organizing two research trainings for non-grantees. In 2019, the share used for research increased. The funds were used, however, for commissioned research rather than research grants.

The table below gives an overall picture of what SHAPE-SEA used its funds for during the period 2015-2019 (excluding the education programme funded by NCHR) and how the programme originally intended to divide its funds between different activities and budget lines.

Table 4: Each budget category's share of total actual expenditures 2015-2019

Category	Proposal 2015-2018	Actual 2015	Actual 2016	Actual 2017	Actual 2018	Actual 2019
Research	39%	25%	31%	42%	22%	49%
Publications	13%	0%	5%	4%	8%	10%

APPA ¹⁰	21%	26%	29%	24%	42%	18%
Management ¹¹	21%	49% ¹²	29%	28%	25%	23% ¹³
Audit and M&E	6%	-	6%	3%	1.4%	-
	100%	100%	101%	101%	100%	100%

As shown in table 4, the budget share used for management of the programme has been higher than planned. This is not an effect of the actual costs being higher than expected, but an effect of other expenditures being lower than planned. Notably, costs for advocacy and outreach, which mainly concern seminars and conferences, have consistently exceeded the original allocations.

The allocation for research grants should according to the SHAPE-SEA original budget submitted to Sida be one third of the total budget. As shown in table 5, the actual amounts spent on research grants have ranged from 0 to 29% of SHAPE-SEA's actual expenditures (excluding education) annually. During 2018, the final year of the planned programme period, the amount was 11%.

Table 5: % of total expenditures used for research grants (actual)

Proposal 2015-2019	Actual 2015	Actual 2016	Actual 2017	Actual 2018	Actual 2019
33%	19%	25%	29%	11%	0%

The Evaluation Team has not managed to obtain a clear picture as to why spending on research grants has been lower than planned. Interviewees have put forward several possible explanations, including inefficient dissemination of information about the grant and potential grantees being better informed of the burdensome reporting obligations associated with the grant. What is clear, however, is that the number of applicants has decreased rather than increased over time.

Delivery of activities and outreach

In total just over SEK 2 million was spent on research grants during the period 2015-2019. How this amount was divided between different types of grants is illustrated in figure 1.

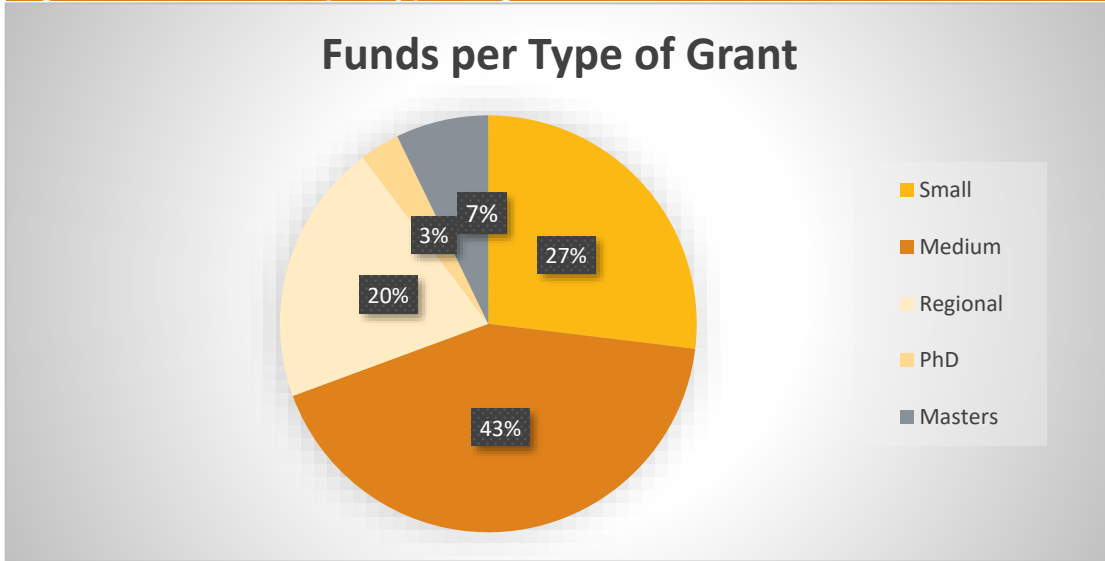
¹⁰ Initially referred to as Capacity Building and Outreach

¹¹ In the budget included in the proposal, a budget post named Management was included. This budget post was later divided up into Secretariat team and Management meetings & General administrative costs.

¹² Including costs for audit and M&E.

¹³ Including costs for audit and M&E.

Figure 1: % of funds per type of grant



Most notable is perhaps that only 3% was spent on grants for PhD students. While master students are generally quite unlikely to remain in the academic world, PhD students are presumably more likely to contribute to human rights research and education also in the future. A few early grants were provided neither to students nor to academics, but to individuals connected to civil society organizations. A decision was later made to only provide grants to individuals affiliated with an academic institution.

The table below shows the number of applications that SHAPE-SEA has received for research grants, as well as the number of grants made, based on the country of origin of the lead researcher and year.

Table 6: Research grant applications received, and grants provided per country and year

Country	2015		2016		2017		2018		Total	
	Appl.	Grant	Appl.	Grant.	Appl.	Grant	Appl.	Grant	Appl.	Grant
Indonesia	11	2	48	4	7	5	18	2	84	13
Thailand	22	2	24	4	7	2	9	2	62	10
Philippines	7	0	10	2	3	3	8	3	28	8
Vietnam	5	2	9	4	3	3	8	1	25	10
Malaysia	5	3	6	3	5	2	4	0	20	8
Myanmar	3	3	10	0	4	2	3	0	20	5
Cambodia	4	0	5	2	3	1	2	0	14	3
Singapore	4	1	1	0	0	0	0	0	5	1
Timor-Leste	1	0	1	0	0	0	3	0	5	0
Laos	1	0	3	0	0	0	0	0	4	0

Non-SEA ¹⁴	2	0	0	0	0	0	1	0	3	0
Brunei	0	0	0	0	0	0	0	0	0	0
Total	65	13	117	19	32	18	56	8	270	58

Table 7 shows that the number of applications has varied significantly from one year to the other and that considerably more applications were received during year one and year two of the programme, than during year three and year four. It has been suggested that this may be a consequence of stricter conditions for the grants.

When it comes to SHAPE-SEA's lecture workshops there has also been diminishing interest judging from the number of applications received. As shown in Table 8, the number of applications has gone from 95 in 2017 to 65 in 2019. If it had not been for Myanmar, which represented 43% of all applications in 2019, the reduction would have been even more noticeable. It has been suggested that one reason for the decreasing number of applications may have been the introduction of new criteria which among other things required that the applicant was teaching or was planning to teach human rights courses.

Table 7: Application for Lecturer Workshops 2017-2019

Country	2017	2018	2019	Total
Myanmar	17	20	28	65
Indonesia	19	17	11	47
Philippines	20	10	4	34
Thailand	6	11	4	21
Vietnam	11	5	3	19
Malaysia	9	5	5	19
Cambodia	7	4	1	12
Laos	0	5	4	9
China	5	0	0	5
Timor-Leste	0	0	3	3
Brunei	0	1	1	2
Mongolia	1	0	1	2
Singapore	0	0	0	0
Total	95	78	65	238

Key information interviews and the survey of training participants indicate, as mentioned in section 4.3.2, that the explanation for the reduced number of applications is not to be found in the quality of the training or in how relevant it has been for those who have attended it. It seems to have more to do with how the course is marketed. It may also be that many of those who are interested in a course of this

¹⁴ Individuals that are connected to an academic institution in a Southeast Asian country are for the purpose of this statistics considered as citizens of this country even if they are originally not from a Southeast Asian country.

nature and have the required English skills have already taken the course. According to the Evaluation Team's survey and interviews, there is amongst past participants an interest in a follow-up course for further development of their skills. Several have also stressed, as mentioned, that they would like to see the establishment of an alumni or an online platform through which training participants can continue to stay in touch and exchange ideas and experiences.

SHAPE-SEA has, as already reported, difficulties reaching out to some of the countries with the lowest Human Development Index ranking in the region, in particular Cambodia, Laos and Timor-Leste, and to those with the highest ranking, Singapore and Brunei Darussalam. From the perspective of Swedish development cooperation priorities, it is in particular a challenge that the programme is facing difficulties in reaching out to the former group of countries, as there is a Swedish strategy requirement that the support has "a primary focus on low-income countries and regions."¹⁵

As shown in Table 7, the total number of research grant applications from Cambodia, Laos and Timor-Leste have together made up no more than 9% of the total number of applications, and no grants have been given to researchers from Laos and Timor-Leste. It is also noteworthy that the data does not indicate a significant increase in research applications over time from the three countries. A similar situation can be seen when it comes to the Lecturer Workshops, where 10% of all applications have come from Cambodia, Laos and Timor-Leste. Between 2017 and 2019, the number of applications from Laos and Timor-Leste increased, while it decreased in the case of Cambodia. The exception when it comes to the countries with the lowest HDI-ranking is Myanmar. More applications to attend the Lecturer Workshops have been received from Myanmar than from any other country, and the number of applications has been increasing year-by-year. There has also been a higher number of applications for research grants from Myanmar than from the other countries with a low HDI-ranking, and five grants have also been provided to researchers from Myanmar.

Several special efforts have been made to make Cambodia, Laos and Timor-Leste more closely involved with SHAPE-SEA, and to ensure that academics from these countries benefit from the programme. Amongst these efforts are training programmes for non-research grantees aimed at creating interest in human rights and peace research and education, and to develop research design skills and capacity for grants proposal writing.

There are several potential explanations for why the programme still faces challenges in terms of reaching out to Cambodia, Laos and Timor-Leste, including that there are few human rights and peace education courses in these countries and that it may be challenging to identify lecturers and researchers with sufficient English language skills. The number of applicants, both for research grants and the

¹⁵ Ministry for Foreign Affairs. 2015. *Strategy for research cooperation and research in development cooperation 2015-2021*.

participation in Lecturer Workshops, should, however, also be set in relation to population size and the populations of Cambodia, Laos and Timor-Leste are after all much smaller than those of for instance Indonesia, Philippines, Thailand. In some aspects of the programme, SHAPE-SEA has, however been successful in increasing its outreach. It can for instance be mentioned that in the Human Rights Outlook in Southeast Asia series, SHAPE-SEA has managed to increase the number of countries covered, from seven countries in 2015, when Brunei Darussalam, Cambodia, Laos and Timor-Leste were not covered, to all eleven countries in the region in 2017 and 2018.

Added value

There are several other actors supporting Southeast Asian universities to develop or strengthen their human rights education programmes. Two Scandinavian actors, the Danish Institute of Human Rights (DIHR) and the Raoul Wallenberg Institute of Human Rights and Humanitarian Law (RWI) are for instance amongst the different actors working with universities in Myanmar. RWI also has a history of working with universities in Indonesia and Cambodia, as well as with IHRP.

There are, however, few regional initiatives focusing on supporting human rights and peace research. According to those interviewed in connection with this study, it is generally difficult to find funding for human rights and peace related research projects. While the conditions will vary between countries it has been stressed that it is a challenge in the region to obtain funding for any research that may challenge the actions or positions of the government, and that many researchers are reluctant to even apply for funding for such projects. The added value of being able, in this context, to receive funding from a Southeast Asian research fund, such as SHAPE-SEA, has been stressed. Challenging the objectivity, credibility and motivation of research with such financial support is more difficult than if the funding comes from a source outside of the region, such as a foreign research fund or embassy.

Value for money

The above-mentioned systems audit carried out by the audit firm BDO in 2020 found that salaries at SHAPE-SEA in general were at a reasonable level. Some of those interviewed by the Evaluation Team are of the view that they are spending much more time on the programme than they are being compensated for, others are of the view that the compensation they receive is reasonable. While it seems clear that the workload differs from one individual to the other and that there is no clear correlation between workload and financial compensation, salary levels for staff at the secretariat are commensurate with those of Thai universities. Salaries should, however, be seen in light of the fact that several employees worked also for other organizations, sometimes full time.¹⁶ The systems-based audit noted that SHAPE-

¹⁶ Dr.Sriprapha, the chair of SHAPE-SEA, worked part-time at the IHRP from October 2016 till present.

SEA should ensure that salaries are linked to the percentage time input of each person.

In terms of activity implementation, interviewees state that efforts have been made to keep costs down by for instance striving to use cheap airline tickets, reasonably priced venues and, when possible, organizing back-to-back meetings. The programme pays THB 316,500 (SEK 90,000) to Mahidol in order to be able to use its office space and facilities, which does not seem excessive. BDO found that per diems and allowances were at a reasonable level.

At the same time, similar to many other regional programmes a substantial part of the budget has been used for travel-related expenses. This includes travel for management meetings, conferences, trainings, launches, advocacy and follow-up as well as travel relating to the research grants. Some interviewees have noted that travel for management, training and research purposes could be reduced and that this will not only contribute to reducing costs but also to reduce the environmental impact of the programme.

Considering that the secretariat costs of the programme were more or less constant throughout the programme period, the relative costs of managing the programme could have been reduced with a higher rate of programme implementation and disbursement of funds for research grants. It also appears from interviews that the financial management aspects of the programme have impacted on its efficiency. Selection committee members, mentors, secretariat staff and grantees appear to have spent an undue amount of time dealing with issues relating to financial management and follow up, and according to some accounts more time on this than on the research related aspects of the support. One interviewee has suggested that larger research grants ought to include funds for a programme manager responsible for dealing with the administrative aspects of the grant.

It should also be noted that the SHAPE-SEA commissioned 5-year review found that the commissioned research, as a pioneering initiative, was marked by efficiency related flaws. It noted for instance that “the amount of grant per researcher was too large for the work and output produced” and that a large share of the allocated funds could have been used for other purposes, such as such as “creating an open-access collaboration with established commercial publishers, to ensure greater outreach, instead of only publishing the chapters under Shape-Sea.” The review also found that there were “concerns that the grant could be manipulated by the researchers to publish outputs of their own existing projects or those they have done earlier” and that there was no obligation for researchers to help with the dissemination of their outputs”¹⁷. It can be noted that the articles in the commissioned research publication “Spectra of Authoritarianism in Southeast Asia” are based on a review of existing written sources, while several of the articles in the book “Exploring the Nexus

¹⁷ Deasy Simandjuntak and Tan Beng Hui. 2020. Strengthening Human Rights and Peace Research and Education in Southeast Asia: The Pioneering Years. Draft.

between Technologies and Human Rights: Opportunities and Challenges in Southeast Asia” are based on primary data.

Overall, the data collected by the Evaluation Team suggests a mixed picture as to SHAPE-SEA’s efficiency. The programme has faced challenges in terms of being on budget, carrying out some activities on time and reaching out to some of the targeted countries. At the same time SHAPE-SEA has clearly added value to the work of others and managed to keep both activity and management costs at a reasonable level. While this evaluation has not looked the issues of sustainability, it is obvious that SHAPE-SEA’s dependence on only two international donors and the fact that it raises no fund in the Southeast Asia region is far from ideal for its ability to deliver activities and results in the long run.

5 Conclusions

Overall, the SHAPE-SEA programme has carried out an impressive number of activities and produced an impressive number of relevant outputs. The activities have been highly appreciated by participants and consistently of high quality. In line with its specific objectives, the programme has contributed to improve the standard of research and education in the area of human rights and, to a lesser extent, peace. It has also contributed to an increased body of human rights and peace research about Southeast Asia produced from within the region. To some extent, the programme has also exposed key stakeholders, in particular students and civil society actors, to its supported or commissioned research.

However, SHAPE-SEA's initial plans were very ambitious for a new programme with limited human resources, an implementation period of less than four years, and no established and tested structures to implement the programme. At the beginning, SHAPE-SEA also suffered from significant delays. While the rate with which the programme reached its outputs increased over time, some planned activities were not carried out.

To implement the programme, SHAPE-SEA relied on its four standing committees made up of academics with other jobs and a small Secretariat. It early on became clear that the structure was not sufficient to ensure the necessary processes, routines and networks for an effective and timely implementation of the programme. As SHAPE-SEA eventually managed to engage more people throughout the region to help implement the programme, the delays were significantly reduced. Arguably, the success of the programme was as much the effect of individual commitments as the result of a well-functioning organizational structure.

For a second Phase, SHAPE-SEA proposed in late 2019 a revised organizational structure. This structure would require SHAPE-SEA to channel funds from Thailand to programme units in different parts of the region. This would in turn mean that SHAPE-SEA would have to introduce new due diligence processes and increase its administrative processes significantly. The Evaluation Team is of the view that SHAPE-SEA would benefit from a simplified organizational structure with clear separation of governance and management functions (as SHAPE-SEA has also suggested for Phase 2) and a properly staffed Secretariat with full responsibility for the day-to-day implementation of the programme in line with the policy and strategy directions provided by SHAPE-SEA's governing structure. The ability for SHAPE-SEA to continue to draw on its network of scholars around the region will be essential for effective activity implementation also in the future.

During Phase 1, SHAPE-SEA did not have in place a well-functioning system for monitoring and evaluation that provided reliable information for assessing activities and progress towards objectives. The absence of such a system has not meant, however, that SHAPE-SEA has had no capacity to learn and adjust its ways of

working. An analytical approach at an individual level has in combination with a participatory, transparent and inclusive organizational culture ensured that SHAPE-SEA has learnt many lessons and that it has made adjustments to address identified shortcomings. Nevertheless, a stronger M&E system could contribute to a more systematic collection of data for activity and programme assessment and for better documentation and more analytical and convincing results reporting. However, with its strong research and academic base, SHAPE-SEA is well placed to put such a system in place. It already has the most important ingredient, an open and reflective organizational culture.

The five thematic research areas identified by SHAPE-SEA have been relevant for the programme. They are broad enough to accommodate a variety of grantee interests and contribute to the overall objectives of SHAPE-SEA. Nonetheless, some key informants believe peace research has received insufficient attention. SHAPE-SEA's ability to influence policy audiences can be facilitated if it selects more specific annual research themes, and these themes are accompanied by intense advocacy efforts. The advocacy related activities could potentially be carried out jointly with other human rights actors. It should be mentioned that SHAPE-SEA has already worked with more targeted research themes in its commissioned research.

In terms of efficiency, apart from facing challenges in implementing the programme as planned, SHAPE-SEA had difficulties attracting high interest in some of its key activities, and in reaching out to some countries which from the perspective of Swedish development cooperation ought to be prioritized. It is nevertheless clear that SHAPE-SEA has added significant value in most or all areas of activity and that it has complemented rather than duplicated what other actors have been doing. Generally, SHAPE-SEA has also carried out its work in a way that ensures value for money. However, the current Covid-19 pandemic has also shown that the programme to a higher degree can make use of virtual interactions and thus reduce both costs and environmental impact.

SHAPE-SEA has had an impact on academic freedom, capacity building, and strengthening of networks of academics working on issues of human rights and peace. It has also had some influence on audiences beyond academic circles. SHAPE-SEA contributed in some contexts to normalize issues that are domestically sensitive and opened up normative spaces for research and education. Many informants said they could not have carried out their research without SHAPE-SEA's grants and support. As for SHAPE-SEA's capacity building initiatives, many informants—especially younger, early career researchers and lecturers—appreciated the trainings and the mentorships. Together with the seminars, consultations and conferences organized or supported, grants and trainings contributed to a sense of belonging to a network of like-minded scholars. SHAPE-SEA has clearly worked well alongside and complemented existing networks such as SEAHNR and the ASEAN-recognized AUN-HRE.

SHAPE-SEA's publications could be a source of knowledge for civil society actors, media and decision makers because of the high credibility of the epistemic communities involved. However, more user-friendly briefs are needed, as are better dissemination structures and related advocacy efforts. While SHAPE-SEA has

contributed to bridging the existing gap between civil society actors and academics, there is room to further increase exchanges between these actors and with policy makers at regional and national levels. However, the future challenge for SHAPE-SEA is not to identify meaningful things to do, but to ensure that it does not spread its limited resource too thin and that it maintains a focus on those areas where it is most likely to have an impact.

6 Recommendations

This section sets out 14 recommendations aiming at strengthening SHAPE-SEA and the work it carries out.

1. Revise and formalize the organizational/programme structure

SHAPE-SEA should regulate its governance structure and decision-making processes in by-laws. It is recommended that SHAPE-SEA considers an organizational/programme structure that builds on the set up during Phase 1, draws on ideas presented in the November 2019 proposal for Phase 2 and includes the following bodies and features:

- **General Assembly:** Functions as SHAPE-SEA's highest decision-making body, mandated to adopt and amend the by-laws. The General Assembly elects the members of the Governing Board. It comprises representatives of SEAHNR and AUN-HRE.
- **Governing Board:** Responsible for developing policies and strategies, adopting budgets, overseeing programme implementation and financial matters, approving cooperation agreements with donors (even though these need to be signed by Mahidol University rather than SHAPE-SEA), appointing the Secretariat Director and selecting the auditor. The Governing Board can also establish sub-committees. Apart from academic qualifications, it is desirable that the Board has competencies relating to research administration, financial management, organizational management, project management, fundraising and communication and advocacy.
- **Sub-committees (e.g., on Research, Education, Publications and APPA):** Report to the Governing Board. Assists the Board in terms of policy and strategy development, and in its oversight role. The sub-committees are not responsible for activity implementation but can provide advice to the Secretariat in this regard.
- **Secretariat:** Implements the policies determined by the Board and carries out the directions it provides. The Secretariat is responsible activity implementation and for the day-to-day scientific leadership and operations of SHAPE-SEA. The Secretariat is headed by a Director responsible for hiring of staff. The Secretariat should include at least one role that has a high level of research qualifications (e.g. PhD and research experience). Staff should be paid on the basis of the number of hours worked. SHAPE-SEA should avoid having programme units outside of Mahidol University to which decision-making authority is delegated and funds sub-granted.

2. Diversify the funding base

SHAPE-SEA should explore options for obtaining a more diversified funding base with the aim of ensuring long-term sustainability.

3. Strengthen the M&E system

SHAPE-SEA is recommended to strengthen its M&E system. This includes development of realistic goals with corresponding indicators/progress markers with baseline values against which progress can be measured. It also includes ensuring that there is sufficient capacity to develop and implement the M&E system and certifying that it is used for purposes of reporting and learning. It should be ensured that the M&E system is designed to capture gender-related issues and the application of a Human Rights Based Approach. To assess the quality of the research produced, a measurement or evaluation of quality should be built into the RGP.

4. Revise the practice for commissioning research

SHAPE-SEA should further strengthen the procedures for ensuring a high level of scientific quality of commissioned research and publications or consider replacing the commissioned research with a thematically focused grants programmes for more established researchers. SHAPE-SEA should consider encouraging collaborations between emerging researchers and more established researchers.

5. Further emphasize research based on original data collection

SHAPE-SEA is recommended to further emphasize that it primarily supports and commissions research based on original data collection/empirical field work.

6. Introduce more focused research themes

SHAPE-SEA is recommended to consider combining its current research themes with more focused research grant calls. The themes should be reviewed annually to ensure relevance.

7. Strengthen communications and advocacy capacity

The proposed focused research grant calls should be combined with targeted communications and advocacy efforts aiming not only at awareness raising but at bringing about change. This includes an improved research communication function, which strengthens SHAPE-SEA's capacity to engage with potential users of its research and that can improve the researchers' and the Secretariat's capacity to deliver research products that can have impact.

8. Strengthen the focus on academic freedom

SHAPE-SEA should consider having academic freedom as a permanent research theme around which it builds specific advocacy capacity.

9. Increase demand for lecturer workshops and research grants

SHAPE-SEA is recommended to strengthen marketing of lecturer workshops and the RGP in order to obtain an increased number of qualified applications, in particular

from academics working on peace and conflict. It should be ensured that the strengthened marketing is combined with an attractive package of support and efforts to minimize the administrative burden of the grantees.

10. Assess if administrative and financial management requirements for grantees can be simplified

SHAPE-SEA should together with the Embassy of Sweden explore possibilities for simplifying the administrative and financial management requirements for research grantees.

11. Strengthen outreach to countries with less developed academic structures

SHAPE-SEA should strengthen the outreach of its research and education activities in order to ensure that countries with less developed academic traditions and structures in the field of human rights and peace research and education (in particular Cambodia, Laos and Timor-Leste) to a higher extent benefit from the programme. The establishment of a special quota for applications from these countries, or a special targeted research programme, should be considered. Further efforts should be made to involve and attract research partners from Singapore and Brunei in regional collaborations.

12. Earmark funds for research grants to PhD students

SHAPE-SEA should consider earmarking funds for research grants to PhD students.

13. Explore possibilities for online meetings and trainings

In order to reduce costs and environmental impact, SHAPE-SEA should always carefully consider if international travel is justified or if meetings and training can instead be held online.

14. Focus on core activities

SHAPE-SEA should maintain a narrow focus on core activities in order to ensure that these are carried out effectively and professionally. The above recommendations should be considered in light of this recommendation to resist temptations of significantly expanding the programme in the near future.

Annex 1 – Terms of Reference

Terms of Reference for the Evaluation of the Strengthening Human Rights and Peace Research and Education in ASEAN/Southeast Asia (SHAPE-SEA) programme supported by the Embassy of Sweden in Bangkok

Date: 25 June 2020

1. General information

1.1 Introduction

The Strengthening Human Rights and Peace Research and Education in ASEAN/Southeast Asia (SHAPE-SEA) is a regional programme belonging to two academic networks based in Southeast Asia: ASEAN University Network- Human Rights Education Theme (AUN-HRE) and Southeast Asian Human Rights and Peace Studies Network (SEAHRN). SHAPE-SEA engages with ASEAN and has activities in Brunei Darussalam, Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand, Vietnam and Timor-Leste. The SHAPE-SEA Secretariat is hosted by the Institute of Human Rights and Peace Studies of Mahidol University in Bangkok, Thailand.

The SHAPE-SEA programme is designed to strengthen human rights and peace research and education at the university level in Southeast Asia. More generally, this intervention is expected to contribute to sustaining and strengthening human rights promotion and protection and peace building in Southeast Asia. SHAPE-SEA works specifically within five themes: ASEAN and Human Rights, Academic Freedom, Business Accountability, Peace and Security, and Governance and Justice. SHAPE-SEA activities include research, education, capacity building, and stakeholder engagement.

- Phase 1 of the SHAPE-SEA programme has contributed to the building of a region-wide network of human rights and peace scholars that produces new knowledge and contributes to discussions and debates on human rights and peace in Southeast Asia. Also, during Phase 1, a SHAPE-SEA Secretariat was established at Mahidol University that has successfully managed SHAPE-SEA activities in accordance with the financial and administrative requirements of Sida.

Since 2015 the Embassy of Sweden in Bangkok is the primary funder of SHAPE-SEA. Swedish support during this time was possible through Sweden's Strategy for research cooperation and research in development cooperation, and in alignment with Strategy for Sweden's regional development cooperation in Asia and the Pacific region. SHAPE-SEA's regional approach to supporting research and research capacity building in peace and human rights in Southeast Asia, as well as the focus on academic freedom in Southeast Asia are identified as of particular relevance for the above-mentioned cooperation strategies.

The Norwegian Centre for Human Rights (NCHR) is a partner to SHAPE-SEA offering financial support for activities pertaining to peace and human rights education.

1.2 Evaluation object: Intervention to be evaluated

The evaluation object is The Strengthening Human Rights and Peace Research and Education in ASEAN/Southeast Asia (SHAPE-SEA) programme which Sida has supported since 2015 when it entered into an agreement with Mahidol University, Bangkok. The total agreement amount is SEK 17 million.

SHAPE-SEA's mission is to contribute to a culture of peace and human rights in Southeast Asia through research, education, informed policy advocacy and capacity building of academics, researchers and students in the region. Specific objectives of the programme include:

- enhancing the influence of human rights and peace research produced by member universities on students, government and media;
- increasing participation in and impact of human rights and peace education in Southeast Asia,
- increasing by 50% the number of qualified academics working on human rights and peace at Southeast Asian universities by 2018.

Towards achieving these objectives, SHAPE-SEA provides support that includes awarding research grants, publishing research findings, facilitating mentorship, developing university curriculum, carrying out capacity building and trainings, engaging in advocacy and policy dialogue with key stakeholders, and organizing lecture series.

The intervention logic or theory of change of the intervention may be further elaborated by the evaluator in the inception report, if deemed necessary.

1.3 Evaluation rationale

The evaluation is to be carried out now because the SHAPE-SEA programme is concluding Phase 1 and in the process of developing a proposal for a second phase. The SHAPE-SEA programme has not previously been the object of a fully independent evaluation.

2. The assignment

2.1 Evaluation purpose: Intended use and intended users

The evaluation will use a participatory and interactive methodology to engage with the SHAPE-SEA programme. It will collect and analyse lessons learned, challenges faced and best practices during the implementation of phase 1 that could inform a phase 2 of the programme. The emphasis of the evaluation is on learning lessons in order to understand what has and has not worked as a guide to future planning.

The purpose or intended use of the evaluation is to 1) provide critical and constructive input to the SHAPE-SEA Secretariat, Mahidol University, AUN-HRE, and the SEAHNRN towards the design of a second phase of the programme; and 2) to

provide the Embassy/Sida with input to the upcoming assessment and preparation of a possible second phase of the contribution.

The primary intended users of the evaluation are the Embassy of Sweden in Bangkok, Sida's Unit for Research Cooperation, the SHAPE-SEA Secretariat, Mahidol University, AUN-HRE and SEAHRN.

The evaluation is to be designed, conducted and reported to meet the needs of the intended users and tenderers shall elaborate in the tender how this will be ensured during the evaluation process.

Other stakeholders that should be kept informed about the evaluation include the Norwegian Centre for Human Rights (NCHR).

During the inception phase, the evaluator and the users will agree on who will be responsible for keeping the various stakeholders informed about the evaluation.

2.2 Evaluation scope

The evaluation scope is limited to the SHAPE-SEA programme during the period of 2015-2019.

The analysis shall include 1) the contribution of activities towards achieving programme objectives, 2) the organizational and management structure of the SHAPE-SEA programme, 3) strategies for budgeting and spending funds, and 4) approaches to monitoring and evaluation of programme progress and achievements.

The SHAPE-SEA Programme is a regional Southeast Asian initiative with activities and support in Brunei Darussalam, Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand, Vietnam and Timor-Leste. The evaluation should have a regional coverage that includes analysis of SHAPE-SEA's work as it relates to ASEAN, and as it relates to least developed countries in Southeast Asia as identified by OECD DAC.

The analysis shall be put in the context of other trends and developments in peace and human rights research and research training in Southeast Asia.

If needed, the scope of the evaluation may be further elaborated by the evaluator in the inception report.

2.3 Evaluation objective: Criteria and questions

The main objective of this evaluation is to evaluate the effectiveness, impact, relevance and efficiency of the SHAPE-SEA programme and formulate recommendations as an input to discussions between the Embassy and SHAPE-SEA concerning the preparation of a second phase of the intervention.

More specifically, the evaluation should provide answers to the following questions:

Effectiveness

- How and to what extent did SHAPE-SEA's values, ways of working, and management and organizational structure facilitate and/or constrain its ability to achieve its objectives during phase 1?
- How and to what extent has the SHAPE-SEA monitoring and evaluation system delivered robust, accurate and relevant information that could be used to assess and improve progress towards objectives?

- How have lessons learned from what works well and less well been used to adjust the SHAPE-SEA programme during its implementation?

Impact

- To what extent has the SHAPE-SEA programme influenced the degree of academic freedom enjoyed by participants and stakeholders in the SHAPE-SEA programme? What, if any, influence has the SHAPE-SEA programme had for academic freedom at its Southeast Asian partner universities?
- What are the most important effects of the programme on the quantity, quality and capacity for human rights and peace research at Southeast Asian universities?
- What have been the most important impacts of SHAPE-SEA research grants, commissioned research and publications in, and for, Southeast Asia? How have these impacts been achieved, and what have been the most challenging limitations to achieving impact?

Relevance

- How relevant have the SHAPE-SEA thematic research areas been for human rights protection and peace building in Southeast Asia? Have additional thematic research areas (e.g. environment/climate, others) emerged during Phase 1 that are of strategic importance? If yes, to what extent and how were these included in the programme?

Efficiency

- To what extent has the intervention delivered results in a timely and cost-efficient way?

Questions are expected to be developed in the tender by the tenderer and further refined during the inception phase of the evaluation.

2.4 Evaluation approach and methods

It is expected that the evaluator describes and justifies an appropriate evaluation approach/methodology and methods for data collection in the tender. The evaluation design, methodology and methods for data collection and analysis are expected to be fully developed and presented in the inception report.

Limitations to the chosen approach/methodology and methods shall be made explicit by the evaluator and the consequences of these limitations discussed in the tender. The evaluator shall to the extent possible, present mitigation measures to address them. A clear distinction is to be made between evaluation approach/methodology and methods.

A *gender responsive* approach/methodology, methods, tools and data analysis techniques should be used.

Sida's approach to evaluation is *utilization-focused*, which means the evaluator should facilitate the *entire evaluation process* with careful consideration of how everything that is done will affect the use of the evaluation. It is therefore expected that the evaluators, in their tender, present i) how intended users are to participate in and contribute to the evaluation process and ii) methodology and methods for data collection that create space for reflection, discussion and learning between the intended users of the evaluation.

Qualitative methods such as interviews, focus group discussions, and/or participatory workshops should be used. The evaluation shall include input from the SHAPE-SEA Secretariat, Mahidol University, the SHAPE-SEA Programme Management Team, as well as selected members of SHAPE-SEA Committees, AUN-HRE, SEAHNR, recipients of SHAPE-SEA research grants, and other persons/organizations identified by the evaluators as being of relevance for the evaluation. Efforts should be made to contact universities, research centres and organizations that have engaged with the SHAPE-SEA Programme, including the ASEAN Secretariat, the ASEAN Intergovernmental Commission on Human Rights (AICHR), SEAMEO, SEI-Sumernet, Forum Asia.

In cases where sensitive or confidential issues are to be addressed in the evaluation, evaluators should ensure an evaluation design that do not put informants and stakeholders at risk during the data collection phase or the dissemination phase. Peace and human rights research and advocacy can be sensitive issues in Southeast Asia, and the evaluation design should ensure that the evaluation does not pose a risk to the safety and general well-being of individuals and organizations. As a result of the Covid-19 pandemic, possibilities for travel to and within Southeast Asia are currently limited. For this reason, the tender should provide alternative methodologies and budgets for a situation where 1) international travel to/within Southeast Asia is possible, and where 2) international travel to/within Southeast Asia is not possible.

2.5 Organisation of evaluation management

This evaluation is commissioned by The Embassy of Sweden in Bangkok. The intended users are The Embassy of Sweden in Bangkok and the SHAPE-SEA Programme. The evaluand SHAPE-SEA Programme has contributed to the ToR and will be provided with an opportunity to comment on the inception report as well as the final report, but will not be involved in the management of the evaluation. Hence the commissioner will evaluate tenders, approve the inception report and the final report of the evaluation. The start-up meeting and the debriefing/validation workshop will be held with the commissioner and with the SHAPE-SEA Secretariat.

2.6 Evaluation quality

All Sida's evaluations shall conform to OECD/DAC's Quality Standards for Development Evaluation¹⁸. The evaluators shall use the Sida OECD/DAC Glossary of Key Terms in Evaluation¹⁹ and the OECD/DAC Better Criteria for Better Evaluation²⁰. The evaluators shall specify how quality assurance will be handled by them during the evaluation process.

¹⁸ OECD (2010) *DAC Quality Standards for Development Evaluation*.

¹⁹ Sida (2014) *Glossary of Key Terms in Evaluation and Results Based Management*.

²⁰ OECD/DAC (2019) *Better Criteria for Better Evaluation: Revised Evaluation Criteria Definitions and Principles for Use*.

2.7 Time schedule and deliverables

It is expected that a time and work plan is presented in the tender and further detailed in the inception report. The evaluation shall be carried out during 17 August 2020 until 15 January 2021. The timing of any field visits, surveys and interviews need to be settled by the evaluator in dialogue with the main stakeholders during the inception phase.

The table below lists key deliverables for the evaluation process. Alternative deadlines for deliverables may be suggested by the consultant and negotiated with SHAPE-SEA and Sida during the inception phase.

Deliverables	Participants	Deadlines
1. Start-up meeting at Embassy of Sweden in Bangkok and/or virtually	Evaluators, SHAPE-SEA Secretariat, Embassy of Sweden	Week 34 (17-21 August)
2. Draft inception report		Tentative Week 34 - 36
3. Inception meeting at Embassy of Sweden in Bangkok and/or virtually	Evaluators, SHAPE-SEA Secretariat, Embassy of Sweden	Tentative Week 37 (7-11 September)
4. Comments from intended users to evaluators		Tentative 16 September
5. Data collection, analysis, report writing and quality assurance	Evaluators	Week 38 - 42
6. Debriefing/validation workshop (meeting)	Evaluators, SHAPE-SEA Secretariat, Embassy of Sweden	Week 42 (12-16 October)
7. Draft evaluation report		Tentative Week 46 (9-13 November)
8. Comments from intended users to evaluators		Tentative 23 November
9. Final evaluation report		7 December
10. Seminar (in Bangkok and/or virtual)	Evaluators, SHAPE-SEA Secretariat, Embassy of Sweden, Key Stakeholders	Tentative Week 2 (11-15 January)

The inception report will form the basis for the continued evaluation process and shall be approved by Sida before the evaluation proceeds to implementation. The inception report should be written in English and cover evaluability issues and interpretations of evaluation questions, present the evaluation approach/methodology (including how a utilization-focused and gender responsive approach will be ensured), a stakeholder mapping, methods for data collection and analysis as well as the full evaluation design. A clear distinction between the evaluation approach/methodology and methods for data collection shall be made. All limitations to the methodology and methods shall be made explicit and the consequences of these limitations discussed. A specific time and work plan, including number of hours/working days for each team member, for the remainder of the evaluation should be presented. The time plan shall allow space for reflection and learning between the intended users of the evaluation.

The final report shall be written in English and be professionally proofread. The final report should have clear structure and follow the report format in the Sida Decentralised Evaluation Report Template for decentralised evaluations (see Annex C). The executive summary should be maximum 3 pages. The evaluation approach/methodology and methods for data collection used shall be clearly described and explained in detail and a clear distinction between the two shall be made. All limitations to the methodology and methods shall be made explicit and the consequences of these limitations discussed. Findings shall flow logically from the data, showing a clear line of evidence to support the conclusions. Conclusions should be substantiated by findings and analysis. Evaluation findings, conclusions and recommendations should reflect a gender analysis/an analysis of identified and relevant cross-cutting issues. Recommendations and lessons learned should flow logically from conclusions. Recommendations should be specific, directed to relevant stakeholders and categorised as a short-term, medium-term and long-term. The report should be no more than 40 excluding annexes (including Terms of Reference and Inception Report). The evaluator shall adhere to the Sida OECD/DAC Glossary of Key Terms in Evaluation²¹.

The evaluator shall, upon approval of the final report, insert the report into the Sida Decentralised Evaluation Report for decentralised evaluations and submit it to Nordic Morning (in pdf-format) for publication and release in the Sida publication data base. The order is placed by sending the approved report to sida@nordicmorning.com, always with a copy to the responsible Sida Programme Officer as well as Sida's Evaluation Unit (evaluation@sida.se). Write "Sida decentralised evaluations" in the email subject field. The following information must always be included in the order to Nordic Morning:

1. The name of the consulting company.
2. The full evaluation title.

²¹ Glossary of Key Terms in Evaluation and Results Based Management, Sida in cooperation with OECD/DAC, 2014

3. The invoice reference “ZZ980601”.
4. Type of allocation "sakanslag".
5. Type of order "digital publicering/publikationsdatabas.

2.8 Evaluation team qualification

In addition to the qualifications already stated in the framework agreement for evaluation services, the evaluation team shall include the following competencies:

- At least one team member should hold a PhD in social sciences, humanities or education
- Previous experience of teaching and supervising post-graduate students
- Previous experience of evaluating, supervising and/or working with research and higher education in Southeast Asia

It is desirable that the evaluation team includes the following competencies

- Expertise in peace and human rights research

A CV for each team member shall be included in the call-off response. It should contain a full description of relevant qualifications and professional work experience.

It is important that the competencies of the individual team members are complimentary. It is highly recommended that local consultants are included in the team if appropriate.

It is required that at least one Thailand-based consultant is included in the team.

The evaluators must be independent from the evaluation object and evaluated activities, and have no stake in the outcome of the evaluation.

2.9 Financial and human resources

The maximum budget amount available for the evaluation is SEK 600 000.

The contact person at Swedish Embassy is Eren Zink, Senior Programme Manager, Section for Development Cooperation. The contact person should be consulted if any problems arise during the evaluation process.

Relevant Sida and Embassy documentation will be provided by Eren Zink, Senior Programme Manager, Section for Development Cooperation.

Contact details to intended users (cooperation partners, Swedish Embassies, other donors etc.) will be provided by Eren Zink, Senior Programme Manager, Section for Development Cooperation.

Contact details for other stakeholders and participants in the SHAPE-SEA Programme (e.g. SEAHNR, AUN-HRE, SHAPE-SEA grantees, research collaborators) will be provided by Joel Mark Barredo, Programme Director, SHAPE-SEA Secretariat, Institute of Human Rights and Peace Studies, Mahidol University.

The evaluator will be required to arrange all logistics (including bookings, interview bookings, virtual meetings, preparation of meetings) including any necessary security arrangements.

3. Annexes

Annex A: List of key documentation

Agreement and Application

- Grant Agreement Sida-Mahidol University
- Funding Proposal: Strengthening Human Rights and Peace Research and Education in ASEAN/Southeast Asia (SHAPE-SEA)

Annual Narrative and Financial Reports

- 2015 Annual Report
- 2016 Annual Report
- 2017 Annual Report
- 2018 Annual Report
- 2019 Annual Report

Other relevant assessments of SHAPE-SEA

- Mid-term review: Towards strengthening the SHAPE-SEA monitoring and evaluation system (March 2018)
- SHAPE-SEA Programme Phase 1 Logframe
- SHAPE-SEA Research Registry 2015-2018

Other relevant SHAPE-SEA Publications

- The Remapping and Analysis of Human Rights and Peace Education in ASEAN/Southeast Asia
- Exploring the Nexus between Technologies and Human Rights: Opportunities and Challenges in Southeast Asia
- The Spectra of Authoritarianism in Southeast Asia
- Human Rights Outlook in Southeast Asia 2018
- Human Rights Outlook in Southeast Asia 2017
- Human Rights Outlook in Southeast Asia 2016
- Human Rights Outlook in Southeast Asia 2014-15
- Human Rights and Peace in Southeast Asia Series 6
- Human Rights and Peace in Southeast Asia Series 7

Swedish Strategies

- Swedish strategy for research cooperation and research in development cooperation 2015-2021
- Strategy for Sweden's regional development cooperation in Asia and the Pacific region 2016-2021

Annex B: Data sheet on the evaluation object

Information on the evaluation object (i.e. intervention)	
Title of the evaluation object	Strengthening Human Rights and Peace Research and Education in ASEAN/Southeast Asia (SHAPE-SEA)
ID no. in PLANIt	51020042
Dox no./Archive case no.	UF2011/55319
Activity period (if applicable)	2015-01-01 – 2021-06-30
Agreed budget (if applicable)	17 000 000 kr
Main sector	Research

Name and type of implementing organisation	Other
Aid type	Project
Swedish strategy	Swedish strategy for research cooperation and research in development cooperation 2015-2021

Information on the evaluation assignment	
Commissioning unit/Swedish Embassy	Regional Development Cooperation Section, Embassy of Sweden in Bangkok
Contact person at unit/Swedish Embassy	Eren Zink
Timing of evaluation (mid-term, end-of-programme, ex-post, or other)	End-of-programme
ID no. in PLANIt (if other than above).	

Annex 2 - Data collection tools

A. Online survey of participants in lecturer workshops and trainings for non-research grantees

- Q1. Gender? (open)
- Q2. In which country do you live?
- Q3. Which of the following SHAPE-SEA activities have you participated in?
- Q4. Did the content of the training/capacity building event meet your expectations? (if you have attended several events, please chose the most recent when answering the questions)
- Q5. How would you rate the overall quality of the training/capacity building event?
- Q6. Was the training/capacity building event relevant to the work you now do in your workplace?
- Q7. Did you keep in touch with other students or lecturers/trainers after the training/capacity building event?
- Q8. Do you have any further comments about the training/capacity building event?

B. Online survey of research grantees

- Q1. Gender? (open)
- Q2. In which country do you live?
- Q3. How important was the grant from SHAPE-SEA for your ability to carry out the research supported by the programme?
- Q4. Are you satisfied with the feedback/review process from SHAPE-SEA?
- Q5. Are you satisfied with other assistance (if any, such as mentorship) beyond the grant from SHAPE-SEA?
- Q6. Are you able to use the SHAPE-SEA supported research findings and outputs in your work or in teaching?
- Q7. Are others (e.g. students, colleagues) using your SHAPE-SEA supported research findings and outputs?
- Q8. Any further comments/suggestions?

Annex 3 – Documentation

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BDO, 2020. *Review of internal management and control of IHRP (SHAPE-SEA): Summary of findings and recommendations*. Draft

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Annex 4 - List of interviewees

Name	Position	Organisation	Date of interview
Andreas Ljungholm	Deputy Programme Director	Raoul Wallenberg Institute of Human Rights and Humanitarian Law	27 Oct 2020
AnnaKarin Norling	Senior Research Advisor	Unit for Research Cooperation, Sida	23 Oct 2020
Atcha Songcharoen	Former SHAPE-SEA Monitoring Officer	Freelance	16 Oct 2020
Azmi Bin Sharom	Deputy Chair	Election Commission of Malaysia	15 Oct 2020
Ayesha Uy Abubakar	Senior Lecturer	University Malaysia Sabah	10 Nov 2020 (in writing)
Bhawornrat (Nok) Khwamlub	Finance officer	IHRP	8 Oct 2020
Carl Middleton	Lecturer, grantee	MAIDS program, Chulalongkorn University	13 Nov 2020
Chayanis Krittasudthacheewa	Deputy Director	SEI Asia	10 Nov 2020
Chin Yahan	EC member	SHAPE-SEA	19 Oct 2020
Choltis Dhirathiti	AUN Executive Director	Chulalongkorn University	22 Oct 2020
Cornelius Hanung	Programme Officer	Asian Forum for Human Rights and Development	28 Oct 2020
Darika Barmrungchok	Author	Engage Media	2 Nov 2020
Daw Than Nwe	Former member	MNHRC	20 Oct 2020
Deasy Simandjuntak	Associate Fellow	ISEAS-Yusof Ishak Institute	3 Nov 2020
Debbie Stothard	Coordinator	ALTSEAN-Burma	30 Oct 2020
Eakpant Pindavanija	Former Deputy-Director of Administration	IHRP	8 Oct 2020

Eren Zink	First Secretary/Research Advisor	Embassy of Sweden, Bangkok	12 Oct 2020
Eunice Barbara Novio	Journalist	Freelance	9 Oct 2020
Hadi Rahmat Purnama	PhD Researcher	Vrije Universiteit, Amsterdam	23 Oct 2020
Harpreet Kahlon	Communications officer	SHAPE-SEA	15 Oct 2020
Herlambang Wiratraman	Lecturer	Airlangga University	27 Oct 2020
Hoanganh Nguyen	Hanoi	School of Law, Vietnam National University	17 Nov 2020
Joel Mark Baysa-Barredo	Programme Director	SHAPE-SEA	Multiple times
Kamarulzaman Askandar	Professor	University Sains Malaysia	21 Oct 2020
Kavi Chongkittavorn	Journalist/ Senior fellow	Bangkok Post/ Chulalongkorn University	9 Oct 2020 (by writing)
Khoo Ying Hooi	Head of Department and Senior Lecturer	Faculty of Arts and Social Sciences, University of Malaya	13 Oct 2020
Le Thi Nam Huong	Assistant Director, Human Rights Division	ASEAN Secretariat	2 Nov 2020
Le Thi Nguyet Chau	Dean	Faculty of Law, Can Tho University	16 Oct 2020
Maimuna Merican	Lecturer	Gender studies, University of Malaya	11 Nov 2020 (by writing)
May Thida Aung	National Legal Advisory	Danish Institute of Human Rights, Yangon	30 Oct 2020
Melizel Asuncion	Former Director of Secretariat	SHAPE-SEA	20 Oct 2020
Mike Hayes	Lecturer	IHRP	16 Oct 2020
Naruemon Thubjoomphol	Lecturer	MAIDS program, Chulalongkorn University	26 Oct 2020
Nathalina Naibaho	EC member, former NHRI member	SHAPE-SEA	2 Nov 2020

Patricia Rinwigati Waagstein	Lecturer	Faculty of Law, University of Indonesia	2 Nov 2020
Phan Thi Ngoc Thuy	Country Manager	Global Engagement Institute	27 Oct 2020
Ryan Silverio	Regional Coordinator	ASEAN SOGIE Caucus	3 Nov 2020
Sharon Kaur	Senior Lecturer	Faculty of Law, University of Malaysia	16 Nov 2020
Siriporn Lertthanongsak	Finance Officer	SHAPE-SEA	8 Oct 2020
Sriprapha Petcharamesree	Programme Chair	SHAPE-SEA	9 Oct 2020
Staffan Herrström	Ambassador	Embassy of Sweden, Ankara (previously Bangkok)	30 October 2020
Sunsanee Sutthisunsanee	Education Programme Officer	SHAPE-SEA	6 Oct 2020
Than Soe	Research grantee	Myanmar	27 Oct 2020
Titapa Musignilpan	Controller	Embassy of Sweden	5 Nov 2020
Titie Yustisia Lestari	Lecturer	Criminal Law Department, Law Faculty, Tadulako University	30 Oct 2020
Vacharutai Boonthin	Lecturer	Mahidol University	23 Oct 2020
Vitit Muntarbhorn	Professor	Faculty of Law, Chulalongkorn University	24 Nov 2020
Yi Wang	Head for Section on Human Rights Education, International Department	Norwegian Centre for Human Rights	23 Oct 2020



Evaluation of SHAPE-SEA

The purpose of the evaluation was to evaluate SHAPE-SEA's effectiveness, relevance, impact and efficiency, and provide input towards the design of a second phase. Established by two University networks, SHAPE-SEA implements activities relating to research, publication, capacity building and outreach, and education on human rights and peace, in Brunei Darussalam, Cambodia, Indonesia, Laos, Malaysia, Myanmar, Philippines, Singapore, Thailand, Vietnam and Timor-Leste. The report finds that SHAPE-SEA has carried out its work in a way that ensure value for money, effective use of available academic expertise in the region and creates an impact on academic freedom, capacity building, and strengthening networks of academics working on issues of human rights and peace. SHAPE-SEA has contributed to bridging the existing gap between civil society actors and academics. The report also finds that there is room for further increase in exchanges between these actors and with policy makers at regional and national levels, while maintaining a focus on those areas where it is most likely to have an impact.

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