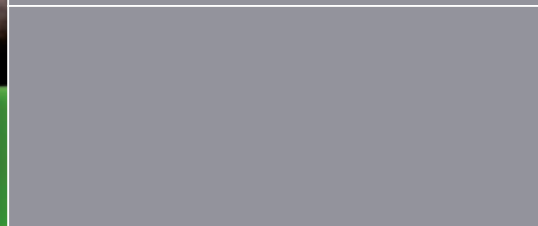
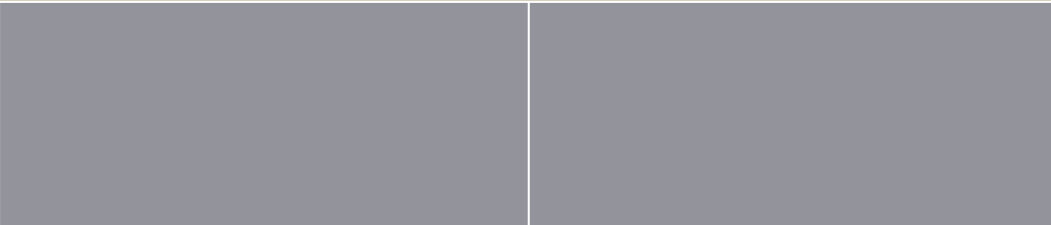




# Evaluation of the International Organization for Migration and its Efforts to Combat Human Trafficking

Report 11/2010 – Evaluation



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Design: Agendum See Design

Print: 07 Xpress AS, Oslo

ISBN: 978-82-7548-584-7

# **Evaluation of the International Organization for Migration and its Efforts to Combat Human Trafficking**

Berkeley Policy Associates

**28 February 2011**

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## Acknowledgments

From June through December 2010, a team of researchers from Mathematica Policy Research and the Research Communications Group (RCG), under contract to Berkeley Policy Associates, undertook an evaluation of IOM's Norway-funded counter-trafficking programmes. The purpose of this study was threefold: (1) to document and assess how projects funded by the Norwegian government and implemented in partnership with the IOM have sought to counter human trafficking in the period between 2000 and 2010; (2) to document key findings related to these counter-trafficking efforts; and (3) to provide relevant recommendations to consider after a decade of support for combating this global practice.

The team was led by Jacqueline Berman who oversaw all aspects of the evaluation including, for example, study design and inception report, site selection, interview and document review protocol development, survey instrument development and quality control. Dr. Berman was also responsible for the Kyrgyz Republic field visit and case study, and was co-lead author for the final report. Phil Marshall, Senior Technical Adviser, provided specialist technical input on trafficking throughout the evaluation, undertook the site visit to IOM headquarters in Geneva and the desk study of the Southern African Counter Trafficking Assistance Project, and was co-lead author of the final report.

All other team members contributed to the evaluation throughout the process, from survey design to preparation and review of report findings. Subuhi Asheer and Rebecca Miller were responsible for preparing cases studies for Bangladesh and Nigeria respectively, each involving a desk review of key documents, a site visit including interviews, focus groups, and observations with multiple stakeholders, and case study preparation. Kate Halvorsen was similarly responsible for the case studies in Macedonia and Norway, as well as review of all Norwegian language documentation. Thomas Goldring was responsible for programming, testing, and reporting on the online survey, as well as additional document review. Lorena Ortiz provided some assistance with data analysis.

The team benefited from the advice and cooperation of many people during the preparation of this report. We would especially like to thank the International Organization for Migration staff at headquarters, in regional offices, and in country offices who generously helped organize field visits, generate respondent lists, gave of their time to respond to project questions and complete project surveys, and shared administrative data. Their cooperation and input were invaluable to this

study. The rapid response times of IOM headquarters staff to additional requests from the team were particularly appreciated.

We would also like to thank partner organizations, including national governmental and civil society groups whose staff, despite extremely limited resources, also generously gave of their time for study data collection activities. It was a pleasure and an inspiration to meet with them and learn about their considerable counter-trafficking efforts.

We are grateful to Frances Laskey for her substantive and nuanced copy edit of this report. We are also appreciative of Debbie Reed of Mathematica Policy Research for her careful review and comments on the report. Finally, we are grateful for the input and advice of Norad's external reviewer, Mike Dottridge, who offered keen insights at many points during this evaluation.

## Preface

This report presents the findings of an evaluation of the International Organization for Migration (IOM) and its efforts to combat human trafficking. The evaluation gives in our view a balanced insight into strengths and weaknesses of the single largest collaboration partner for the Ministry of Foreign Affairs on this topic. During the period 2000-2010 IOM received approximately NOK 89 million to its counter trafficking work.

IOM staff is regarded as “highly skilled” and “very supportive.” The report highlights capacity-building, awareness-raising, and victim support as areas where the organization has been successful. The work with victims has not only enabled the organization to support structures to assist those in need, but has also provided insights into the trafficking problem which have informed other initiatives.

This does not mean that there is no room for improvement. At this point, it is important, that IOM focuses on strengthening its internal processes including those relating to how progress is measured, which lessons are captured and feed into future programmed development and particularly those relating to ensuring that IOM’s expressed commitment to human rights consistently translates into practice.

Furthermore IOM is recommended to increase collaboration with other organisations in order to reduce overlap between its counter trafficking activities and the work of other organizations. Although IOM’s internal view is that a major strength of the organization is being able to address all aspects of trafficking, staff of organizations outside of IOM did not agree and commonly expressed the concern that IOM’s attempt to address all areas of counter-trafficking exceeds IOM’s mandate.

With regard to Norway, the major recommendation is to increase the timeframe of project funding. Today IOM’s work is funded on a project-by-project basis – referred to as projectisation – with only three percent of overall funds coming from core operational resources. One consequence of this form of funding is that IOM tends to create projects in response to donor requests, rather than having a more systematic frame or criteria for determining when and how to allocate resources to countries or programmes.



Asbjørn Eidhammer  
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# Contents

<b>Acknowledgments</b>	<b>iii</b>
<b>Preface</b>	<b>v</b>
<b>Acronyms and Abbreviations</b>	<b>ix</b>
<b>Executive Summary</b>	<b>xiii</b>
<b>1. Introduction</b>	<b>3</b>
1.1 Overview: Human Trafficking on a Global Scale	3
1.2 IOM’s Norway-funded Efforts to Combat Human Trafficking	7
1.3 The International Organization for Migration (IOM)	8
1.4 Scope and Purpose of the Evaluation	10
1.5 Study Design and Methodology	11
1.6 Organization of the Rest of the Report	20
<b>2. Primary Thematic Findings</b>	<b>21</b>
2.1 Introduction	21
2.2 IOM’s Mandate and Platform for Responding to Human Trafficking	22
2.3 IOM’s Activities—Design	35
2.4 IOM’s Activities—Implementation	38
2.5 IOM’s Activities—Results	50
2.6 Evaluation and Institutional Learning	61
2.7 Additional Relevant Findings	65
<b>3. Study Recommendations and Conclusions</b>	<b>67</b>
3.1 Introduction	67
3.2 Recommendations for IOM	67
3.3 Recommendations for the Norwegian Government	74
3.4 Study Conclusions	75
<b>4. References</b>	<b>82</b>

## **Annexes**

List of Annexes	86
Annex A: Additional Information on Study Data and Methods	87
Annex B: Online Document Review Tool	105
Annex C: Survey Instrument	119
Annex D: Bangladesh Case Study (available as downloads at <a href="http://www.norad.no/evaluation">http://www.norad.no/evaluation</a> )	
Annex E: Kyrgyz Republic Case Study (available as downloads at <a href="http://www.norad.no/evaluation">http://www.norad.no/evaluation</a> )	
Annex F: Macedonia Case Study (available as downloads at <a href="http://www.norad.no/evaluation">http://www.norad.no/evaluation</a> )	
Annex G: Nigeria Case Study (available as downloads at <a href="http://www.norad.no/evaluation">http://www.norad.no/evaluation</a> )	
Annex H: Norway Case Study (available as downloads at <a href="http://www.norad.no/evaluation">http://www.norad.no/evaluation</a> )	
Annex I: Terms of Reference	146
Annex J: Sample CTM Data Tables	161

## Acronyms and Abbreviations

ASUU	Academic Staff Union of Nigerian Universities
BKMEA	Bangladesh Knitwear Makers Association
CEB	The Council of Europe Development Bank
CEDAW	United Nations Convention for the Elimination of All Forms of Discrimination Against Women
CIDA	Canadian International Development Agency
CIS	Commonwealth of Independent States
COSUDOW	Committee for the Support of the Dignity of Women
CPCCT	Coordinated Programme to Combat Child Trafficking
CT	Counter Trafficking
CTC	Counter Trafficking Committee
CTFR	Counter Trafficking Framework Report
CTI	Counter Trafficking Initiative
CTM	Counter Trafficking Module (IOM MIMOSA database)
CTU	IOM Counter Trafficking Unit
DAC	Development Assistance Committee
DANIDA	Danish Ministry of Foreign Affairs
DMO	District Magistrate
ESE	Association for Emancipation, Solidarity and Equality of Women
ESS	Economic Support Scheme
EU	European Union
HQ	Headquarters
IGO	Inter-governmental Organization
ILO	International Labour Organization
INGOs	International Non-Governmental Organizations
IOM	International Organization for Migration
KOM	Coordinating Unit for Aid and Protection to Victims of Trafficking
LETI	Legal Education Training Institute
LGA	Local Government Area
MFA	Ministry of Foreign Affairs
MIMOSA	Migrant Management Operational System Application
MLSP	Ministry of Labor and Social Policy
MoHA	Ministry of Home Affairs
MOU	Memorandum of Understanding
MWCA	Ministry of Women's and Children's Affairs

NACTAL	Network of Civil Society Organizations against Child Trafficking, Abuse, and Labour
NAPTIP	National Agency for the Prohibition of Trafficking in Persons
NGOs	Non-Governmental Organizations
Norad	Norwegian Agency for Development Cooperation
OECD	Organisation for Economic Cooperation and Development
PPVHTB	Prevention and Protection for Victims of Human Trafficking in Bangladesh
RMCT	Return Management and Counter-Trafficking Division
SAARC	South Asian Association for Regional Cooperation
SACTAP	Southern African Counter-Trafficking Assistance Programme
SEEU	University of Tetovo
SIDA	Swedish International Development Agency
SOP	Standard Operating Procedure
TEMIS	Macedonian Women Jurists' Association
THB	Trafficking in Human Beings
TIP	Trafficking in Persons
TOR	Terms of reference
TWG	Technical Working Group
UDI	Directorate of Immigration
UN	United Nations
UN.GIFT	United Nations Global Initiative to Fight Human Trafficking
UNILAG	University of Lagos
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNIFEM	United Nations Development Fund for Women
UNODC	United Nations Office on Drug and Crime
VARP	Voluntary Assisted Return Program
VoT	Victim of Trafficking
WARDC	Women Advocates Research and Documentation Centre
WOCON	Women's Consortium of Nigeria
WOTCLEF	Women Trafficking and Child Labour Eradication Foundation

# Executive Summary





## Executive Summary

The Norwegian Agency for Development Cooperation (Norad) commissioned a six-month study of the International Organization for Migration's (IOM) counter-trafficking efforts funded by the Norwegian Government. Based on a multi-country mixed methods study, this report presents a series of findings regarding the design, implementation, and outputs, as well as institutional learning processes, of IOM's counter-trafficking projects. It also presents recommendations designed to inform current and future planning, implementation, and monitoring of Norwegian-funded activities against human trafficking.

### Background

In 2000, the United Nations (UN) General Assembly adopted the UN Convention Against Transnational Organized Crime, along with three accompanying Protocols, including the Protocol to Prevent, Suppress and Punish Trafficking in Persons, especially Women and Children. Widespread ratification of the Convention and Trafficking Protocol (commonly referred to as the Palermo Protocol) has signified global recognition of the practice of human trafficking, the need to launch national and international responses to it, and the implementation of literally thousands of anti-trafficking initiatives.

The Palermo Protocol includes an internationally accepted definition of trafficking. It has, however, often proven difficult even for experienced practitioners to apply this definition to "real world" situations. Different organizations have interpreted and operationalized this definition in different ways. Partly as a result, there is a lack of international consensus on the scale and scope of the problem, with considerable variations in estimates, even among UN agencies.

The lack of clear information on the size of the trafficking problem has complicated efforts to measure the effectiveness of counter-trafficking initiatives. Since 2000, a range of activities have developed including new modes of identification and support for victims; development of new anti-trafficking laws; new arrest and prosecution of perpetrators; conclusion of additional bilateral and multilateral agreements; and the implementation of a wide variety of measures aimed at prevention through raising awareness of the risks of migration as well as alternatives to migration. There is, however, very limited verified evidence of the impact of any of these measures on the size of the trafficking problem.

Since 2003, the Norwegian Government has published three action plans to combat human trafficking. All three action plans have been based on the Palermo

Protocol and its definition of human trafficking. The latest plan also utilizes the Council of Europe Convention on Action against Trafficking, which came into effect in 2008, as part of human rights-based strategies to counter human trafficking. According to the Norwegian Ministry of Foreign Affairs (MFA)'s annual report on its efforts against trafficking in 2007, 110 projects had received or were planned for funding during the period 2000–2010. By the end of 2009, Norway had allocated on the order of NOK 360 million to these projects.

The International Organization for Migration (IOM) is Norway's largest single collaborating partner in its efforts to combat human trafficking. Between 2000 and 2010, IOM received NOK 89 million from Norway to implement counter-trafficking projects around the globe. With global coverage and a stated mission to "promote humane and orderly migration for the benefit of all," IOM has sought to address human trafficking and has become a recognized actor in the field of counter-trafficking, particularly with regard to recovery, return, and reintegration of trafficked persons.

The purpose of this evaluation is to document and assess how projects funded by the Norwegian government and implemented in partnership with IOM have sought to counter human trafficking in the period between 2000 and 2010, to document key findings related to IOM's Norway-funded counter-trafficking efforts, and to provide relevant recommendations to consider after this decade of support for efforts to combat this global practice.

Evaluation methodologies included a review of documents on Norway-funded, IOM- implemented counter-trafficking projects; site visits to IOM headquarters and five IOM counter-trafficking field projects; analysis of administrative data on victims' services maintained by IOM; and a survey of IOM and partner organization staff about their perspectives on IOM's Norway-funded counter-trafficking work. The study team produced case study analyses of site visit data as well as a broader, systematic cross-site analysis to identify themes and classify findings from the various data sources. Study findings (Chapter II) are organized in response to Norad's research questions from the project Terms of Reference, and serve as the basis for all recommendations included in Chapter III. Case study analyses appear in Annexes D-H.

## Key Findings

Study data sustained and supported a diverse and specific set of findings with regard to IOM's counter-trafficking strategies, project and funding structures, counter-trafficking projects, and project activities, as well as their use of human rights practices, evaluation, and institutional learning. While the complete list of study findings can be found in Chapter II, key among these findings are:

**The project-by-project funding structure and short timeframes of IOM's counter-trafficking projects have multiple implications for its counter-trafficking work.**

IOM's work is funded on a project-by-project basis (hereafter referred to as projectization), with only three percent of overall funds coming from core operational



resources. Country and regional offices depend on projects to cover the costs of office staff. Further, approximately half of IOM's counter-trafficking projects are one year in length. Staff identified a number of implications of this combination of projectization and short timeframes including: a reluctance to turn down any funding opportunity within the counter-trafficking area; an inability to offer job security to staff; a lack of resources for needs assessments; and difficulties in long-term planning and promoting sustainability. Another consequence of this dependence on project-by-project funding is that IOM tends to create projects in response to donor requests, rather than having a more systematic frame or criteria for determining when and how to allocate resources to countries or programmes seeking support in their efforts to combat human trafficking.

**IOM has not developed and does not use a formal, written global counter-trafficking strategy.<sup>1</sup> IOM has, however, developed new interventions based on its analysis of gaps and shortcomings identified through its field-based projects.**

Currently, IOM has not developed and does not use a formal, written global counter-trafficking strategy. As one survey respondent noted, IOM is “sometimes too involved in day-to-day implementation to do strategic planning,” while another commented that s/he finds programming to be “reactive” rather than strategic. IOM has, however, developed individual projects and activities informed by specific counter-trafficking lessons, especially lessons that have emerged through field-based projects. These lessons include creating the Global Assistance Fund to respond to trafficking cases where no other institutions are able to provide assistance to victims; a new prevention initiative to address demand for the labor of trafficked persons (“Buy Responsibly”); and initiatives to expand victim assistance activities to other migrants in need.

**IOM has sought to expand services to vulnerable migrants who may or may not meet the definition of trafficking.**

Rather than emphasizing the provision of assistance once a migrant has been identified as falling into a specific legal or administrative category, such as “victim of trafficking,” The Counter Trafficking Unit of IOM (CTU) has encouraged a more flexible approach that prioritizes “needs-first” assistance. IOM reported that some donors had agreed that funds initially earmarked for victims of trafficking could be used for other migrants in need, such as migrants who have been exploited and abused or who are considered highly vulnerable to such treatment (e.g., unaccompanied migrant children). In parallel, IOM has worked with the United Nations High Commissioner for Refugees (UNHCR) to encourage the development of standard operating procedures between their respective country offices so as to improve protection options for trafficked persons and reduce the possibility of a migrant in need not being able to access appropriate services. Should this be implemented more widely across the organization, it would address an issue raised by multiple

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<sup>1</sup> In their review of this report, IOM noted that while they have not developed a *global* counter-trafficking strategy, they have developed various *regional* strategies, most notably in sub-Saharan Africa and Latin America. They also noted, however, that implementation of these regional strategies has been “challenging.”

respondents in this evaluation that IOM's application of the current trafficking definition is too narrow. IOM headquarters staff also expressed the view that this broader approach was aligned with IOM's core mandate on migration.

**IOM major strengths identified in the evaluation included capacity-building, awareness-raising, and victim support. IOM staff are regarded as “highly skilled” and “very supportive.”**

Partners from multiple sectors in South Africa, Macedonia, Bangladesh, and the Kyrgyz Republic highlighted capacity-building as one of IOM's core strengths, both in terms of providing training and providing training resources. In Bangladesh and South Africa, partners highlighted IOM's work in awareness-raising, covering quality and a range of informational materials as well as information techniques. Partners in Macedonia and South Africa in particular praised the quality of IOM staff in terms of both technical skills and responsiveness. In almost all cases, partners identified IOM's knowledge about and ability to provide direct assistance to victims as unique, and in some cases (e.g., the Kyrgyz Republic), partners regarded them as the only international actor with the ability to provide information, experience, and resources to efforts to support victims.

**IOM's internal view is that a major strength of the organization is being able to address all aspects of trafficking. Other organizations suggest that IOM is exceeding its area of mandate.**

IOM's core mandate is to help ensure the orderly and humane management of migration; to promote international cooperation on migration issues; to aid in the search for practical solutions to migration problems; and to provide humanitarian assistance to migrants in need, be they refugees, displaced persons, or other uprooted people. IOM's mandate does not specifically include trafficking and its work on trafficking is not linked to a specific international instrument. IOM staff noted that their 132 member states have, however, endorsed the Organization's 12-point strategy, which includes point 11: “To assist States in the development and delivery of programmes, studies and technical expertise on combating migrant smuggling and trafficking in persons, in particular women and children, in a manner consistent with international law.”<sup>2</sup>

IOM interprets its broad migration mandate as allowing it to address all aspects of trafficking response, including prevention, prosecution (criminal justice), and protection (victim support). IOM staff commonly cited IOM's ability to address all aspects of trafficking as the organization's comparative advantage in the counter-trafficking field. IOM's internal evaluation in 2005 also highlighted this.<sup>3</sup> Staff of organizations outside of IOM did not, however, agree and commonly expressed the concern that (a) IOM's attempt to address all areas of counter-trafficking exceeds IOM's man-

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<sup>2</sup> See IOM Council Resolution 1150 (XCIII) and Annex.

<sup>3</sup> IOM staff noted that this was also a key conclusion in the external review of SACTAP: “All major activity areas of the programme (research and strategy, support for legislation, awareness-raising, capacity-building, and victim support) have shown results. There are mutually supporting links between these. All were needed, and dropping any one would have weakened the overall programme.” At the same time, three of the five non-IOM staff interviewed on SACTAP as part of the current evaluation expressed concerns about IOM capacity in the criminal justice area, despite very favorable comments on the overall work of IOM. This highlights the importance of IOM collaboration with other organizations that possess area-specific expertise.

date, and (b) IOM's perception that it does not need partners because it can cover all aspects of counter-trafficking both constitute major weaknesses of IOM.

**IOM does not clearly document how it applies human rights perspectives to its counter-trafficking work. There are positive examples of IOM applying a human rights perspective. However, IOM does not appear to have a structure to support inclusion and monitoring of human rights principles or address instances where IOM-supported programmes may be in breach of international human rights standards.**

IOM lists respect for human rights as one of its three principles governing all counter-trafficking activities. Respect for human rights was also frequently emphasized in project documents. There is not, however, a formal checklist of these principles, and the documents reviewed by the evaluation team did not clearly demonstrate how the organization applies a human rights perspective. IOM does not have trafficking-specific human rights guidelines and there are no ethical guidelines in place at IOM, despite such guidelines being available outside the organization.<sup>4</sup>

The evaluation identified positive examples of applying a human rights perspective including: many initiatives to support the identification of, and assistance for, victims of trafficking; IOM's work to expand its victim support initiatives to other migrants in need advocacy for the incorporation of human rights concerns in laws and policies; and expansion of options for vulnerable groups.

However, the data collected by the evaluation term raised concerns with regard to the consistency of IOM's adherence to human rights principles. In particular, these relate to how the organization responds to situations involving: closed shelters (those where victims are not allowed to leave); limited victim options for social integration; the extent to which voluntary return is actually voluntary; limited documentation as to how IOM supports victims in accessing their rights; and concerns expressed by respondents that IOM is not sufficiently outspoken about instances of human rights abuse within its area of mandate.

**IOM includes a gender-based perspective in most of its counter-trafficking programs. IOM does not include gender disaggregation of data in all its reporting.**

IOM does not have a specifically articulated gender and counter-trafficking policy. IOM has clear areas of focus with respect to gender, including addressing the phenomenon of trafficking in men, ensuring that materials produced promote good images of women, and expanding the range of services available to trafficked women, children, and men. However, in some cases, the range of training opportunities available to trafficked women in Bangladesh and Nigeria appeared confined to jobs traditionally held by women and the choices were limited. Further, the inclusion

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<sup>4</sup> IOM commented that it relies on the standards provided by international human rights law, and specific guidelines set by OHCHR, and the competent UN agencies with protection mandates. They also noted that IOM's Handbook on Direct Assistance to Victims of Trafficking sets standards of direct assistance which are consistent with international human rights.

of women and children in single projects may not reflect the specific needs of women and may conflate their needs with those of children. This can have the effect of infantilizing women and preventing them from articulating what their return, rehabilitation, and reintegration processes should look like. Gender-disaggregated data for activities were not always available.

**IOM has maintained a strong focus on the rights of child victims of trafficking. IOM has experienced both institutional and political challenges in meeting the needs of children vulnerable to and victims of human trafficking.**

In four of the case study countries, IOM staff have included either some policy initiatives or specific projects to address the needs of child victims of human trafficking. These policies and projects show a strong awareness of and ability to integrate children's needs. These efforts have not, however, always been successful, and have experienced both external (bureaucratic, political) and internal (lack of expertise) challenges. In two case study countries, IOM has either not specifically addressed the needs of children or subsumed them under efforts designed to address the needs of women and children simultaneously.

**IOM has generally strong documentation of the outputs of its programmes. However, IOM does not systematically establish clear linkages between project activities, outputs, interim outcomes, and impacts. It is thus not always possible to attribute impacts to outputs.**

IOM has strong documentation of outputs across all project countries. The organization keeps detailed information about the number of victims assisted (using the CTM database), the number of people trained, the amount of awareness-raising materials produced, and other activities associated with their counter-trafficking projects.

There is, however, much more limited information with which to assess the impacts of IOM's projects on combating human trafficking. Counter-trafficking experts have yet to identify or develop appropriate means and appropriate methodologies for measuring the impact of counter-trafficking interventions. As a result, there is a strong need to focus on impacts and the development of logic models or theories of change so that program developers can create an understanding of the intended links between project activities, project outputs, and project interim and longer-term outcomes, which may then be linked to impacts. None of the case study countries utilized or was necessarily aware of the role and support provided by having and employing an articulated theory of change.

The lack of a theory of change is clearly evident with respect to IOM's information campaigns. Respondents in three countries spoke highly of these campaigns, which use a wide range of techniques and have in some cases received international recognition. Yet there is limited documented evidence to demonstrate the relevance or effectiveness of IOM's information campaigns to preventing trafficking. In particular, no evidence was available as to the link between a person's lack of awareness

and their likelihood of being trafficked. Further, it was not possible to assess progress toward the intended outcome of raised awareness because there was no baseline or follow-up information on awareness levels relating to any of the campaigns.

**The lack of clearly defined outcomes and impacts means it is difficult for this or other evaluations to make findings on the Development Assistance Committee (DAC) criteria of effectiveness, efficiency, or impact of IOM's activities. Within the constraints of projectization, IOM has made clear efforts to promote the DAC criteria of sustainability.**

The study team found that without clearly defined project outcomes, it was difficult to identify relevant findings with regard to the DAC criteria of effectiveness and impact. It was, in turn, also difficult to arrive at meaningful findings on efficiency, since activities *generally* need to be effective in order for resources to be used efficiently. As noted above, while there is currently limited ability to measure the ultimate desired impact – a decrease in human trafficking – there are important outcomes and impacts of specific counter-trafficking projects that could be identified and measured.

With regard to sustainability, the evaluation found that IOM made clear and often major attempts to promote sustainability through the development of counter-trafficking legislation, policies, and systems; supporting the development of networks with the potential to survive following the end of external support; and investing in the development of training materials and programmes to train trainers.

**Norway's sustained commitment to counter-trafficking efforts is recognized and it is regarded as an important contributor to global efforts to combat trafficking.**

IOM staff expressed appreciation for Norway's sustained commitment to counter-trafficking efforts, and Norway is regarded as an important participant in global counter-trafficking efforts. IOM staff spoke positively about Norway as a donor, seeing it as flexible, engaged, and less driven by exclusive national interests (i.e., better able to consider the specific needs of projects, countries, victims, etc.) than other donors.

## **Recommendations**

Study recommendations are grouped into two primary categories: a set of recommendations focused on IOM and its counter-trafficking processes and practices, and a set of recommendations for the Norwegian government as an important support for counter-trafficking efforts. There are 33 consecutively numbered recommendations. All recommendations follow from data collection and analysis for this evaluation. The body of the report provides an explanation of how these recommendations align with the findings of this study. The recommendations are not listed in order of importance.

## **Strategy and Planning**

*Recommendation 1:* IOM should consider developing clear anti-trafficking strategies at the national, regional, and global levels. This should include review of their perceived areas of comparative advantage in relation to counter-trafficking, particularly in relation to criminal justice.

*Recommendation 2:* IOM should make attempts to monitor the effects of devolving endorsement power away from the CTU, particularly with regard to the adherence of counter-trafficking projects to IOM strategies, policies, and institutional knowledge.

*Recommendation 3:* IOM should continue and increase its current efforts to expand victim support services to other migrants in need.

*Recommendation 4:* IOM should endeavor to continue, both externally and internally, the discussion it has initiated with regard to the effectiveness of different approaches to prevention.

*Recommendation 5:* IOM should consider whether it is possible to define clearly the parameters under which it will provide economic support programmes as part of the counter-trafficking portfolio, considering its mandate, its comparative advantages, and the concerns expressed within and outside of the organization about the effectiveness of programmes that attempt to address generalized poverty.

## **Needs Assessments and Situational Analysis**

*Recommendation 6:* IOM should explore the possibility of establishing standardized assessment frameworks for undertaking needs assessments in each area of its anti-trafficking work, particularly prevention and victim support.

*Recommendation 7:* IOM should develop standards for how to apply needs assessments to new counter-trafficking projects. This should include an initial phase that involves testing of the programme logic and assumptions on which activities are to be based.

*Recommendation 8:* IOM should endeavor to develop a comprehensive understanding of the differences between trafficked and non-trafficked migrants (for example, through surveys of returned migrants and other forms of empirical data collection). These efforts should focus on identifying key vulnerability factors that prevention programmes should address and key unmet needs that assistance programmes should include.

## **Information Campaigns**

*Recommendation 9:* IOM should attempt to define clearly the objectives of all information activities in terms of target group, intended behavioral outcomes, and specific messages and methodologies to achieve them.

*Recommendation 10:* IOM should endeavor to undertake baseline and follow-up surveys for information campaigns and determine if there are clear links between these activities and desired project outcomes.

*Recommendation 11:* IOM should field test awareness-raising materials before finalization. The lack of empirical evidence for the link between awareness raising activities and the actual prevention of trafficking, coupled with the considerable funds IOM devotes to these activities, highlights the importance of determining if and how these materials transmit a prevention message before continuing to fund and implement them.

*Recommendation 12:* IOM should explore the feasibility of including in its existing victim tracking systems data on each victim's prior knowledge of migration risks and trafficking. Although subject to the same potential constraints as much of the information provided by victims—including reliance on recall and possible reluctance to provide personal and difficult information—this information can be used to increase knowledge about the extent and relevance of trafficking awareness, the effectiveness of previous and existing information campaigns, and remaining informational needs.

### **Human Rights and Gender**

*Recommendation 13:* IOM should clearly document how it applies a human rights perspective in its work, including reference to gender and child rights.

*Recommendation 14:* IOM should endeavor to monitor and report on the adherence of its counter-trafficking activities to human rights standards.

*Recommendation 15:* IOM should consider developing and disseminating a guidance note for staff on how to address issues with potentially strong human rights implications. These include: closed shelters; victim return, particularly when the only alternative to voluntary return is deportation; access to justice for victims; ensuring victims are fully informed of the range of service options available; and special issues related to children.

*Recommendation 16:* IOM should make an effort to document, in its reporting on direct assistance programs, the range of choices and options available to victims in terms of assistance, including options for job training and placement. IOM should also consider how best to monitor the impact of different forms of assistance on project participants.

*Recommendation 17:* IOM should attempt to ensure sex and age disaggregated data are collected and documented for all activities.

*Recommendation 18:* IOM should consider adopting established ethical guidelines for research.

### **Activities Relating to Children**

*Recommendation 19:* IOM should, to the extent possible, separate projects targeting children from those targeting women. Projects for children should target their specific circumstances (as well as being appropriate for the age group concerned, as well as gender-sensitive). Work with children should explicitly reflect the commit-

ment of states under the Child Rights Convention (CRC) to act in the best interests of the child, regardless of whether the child meets the definition of trafficked.

*Recommendation 20:* IOM should consider disseminating guidelines on working with child victims to all offices to help ensure children's needs are addressed and rights are protected. Both ILO and UNICEF have produced guidelines that may be suitable for the purpose.

*Recommendation 21:* IOM should consider whether it is possible to build stronger partnerships with local NGOs, INGOs, and IGOs that possess expertise and networks able to identify situations children face in countries of origin, destination, and if relocated, return.

### **Cooperation with Other Agencies**

*Recommendation 22:* When designing and implementing projects, IOM should consider surveying the landscape and mapping existing counter-trafficking expertise and resources in order to identify other organizations in a country or region mandated to and/or already implementing counter-trafficking initiatives.

*Recommendation 23:* Where IOM is able to identify other existing expertise or organizations seeking to combat trafficking, IOM should consider how best to partner and/or collaborate with them.

### **Evaluation and Institutional Learning**

*Recommendation 24:* IOM should consider how to strengthen its evaluation of project outcomes, including how to develop robust, project-specific logical framework models and an articulated theory of change.

*Recommendation 25:* IOM should consider the feasibility of developing and reporting on measures of training effectiveness beyond the number of people participating in training.

*Recommendation 26:* IOM should consider developing—or utilizing an existing—system to document the perspectives of trafficked persons on the services available to them.

*Recommendation 27:* IOM should continue and expand its efforts to offer safe migration as a (re)integration option for victims of human trafficking.

*Recommendation 28:* As part of its organizational learning processes, IOM should endeavor to document and disseminate project lessons learned, even when experiences are negative (e.g., the SACTAP study). IOM should then work to ensure that it and other organizations can incorporate these lessons into future projects.

*Recommendation 29:* IOM should consider how results from project evaluations could most effectively be shared within the organization, acknowledging time constraints faced by many staff in reading and absorbing long reports.



*Recommendation 30:* IOM should consider the feasibility of providing some form of training on human trafficking as part of orientation for new staff, possibly in the form of an e-learning tool.

### **Recommendations for the Norwegian Government**

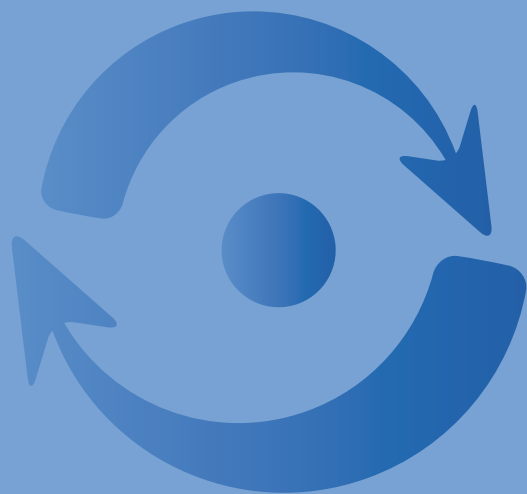
*Recommendation 31:* MFA should consider funding counter-trafficking projects on a multi-year basis, preferably for a minimum of three years, or a length of time that aligns with best practices for victims' assistance (and as appropriate to other project types).

*Recommendation 32:* MFA should consider how to integrate evaluation and, as necessary, needs assessments, into the design of projects, where possible.

*Recommendation 33:* MFA should consider acknowledging the current methodological limitations on measuring impact, and focus on encouraging IOM and other partners to consider (a) whether adopting a theory of change would be beneficial; and (b) how defining clear project outcomes and articulating the linkages between activities, outputs, outcomes, and potential impact might strengthen their counter-trafficking efforts.



# Main Report





# 1. Introduction

## 1.1 Overview: Human Trafficking on a Global Scale

In 2000, the United Nations (UN) General Assembly adopted the U.N. Convention Against Transnational Organized Crime and three accompanying Protocols (called the Palermo Protocols, after their place of adoption of Palermo, Italy), including the Protocol to Prevent, Suppress and Punish Trafficking in Persons, especially Women and Children. As of November 2010, 158 states had ratified the Convention and 142 had ratified the trafficking protocol.

The introduction of an internationally accepted definition of trafficking in the aforementioned protocol (hereafter referred to as “Palermo”) created the first international instrument to which those seeking to counter human trafficking could refer in their work to combat this global practice. The definition is as follows (see Exhibit 1 for a breakdown of this definition):

*“...the recruitment, transportation, transfer, harbouring or receipt of persons, by means of the threat or use of force or other forms of coercion, of abduction, of fraud, of deception, of the abuse of power or of a position of vulnerability or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person for the purposes of exploitation. Exploitation shall include, at a minimum, the exploitation of the prostitution of others or other forms of sexual exploitation, forced labor or services, slavery or practices similar to slavery, servitude or the removal of organs.”*

**Exhibit 1: Definition of Trafficking<sup>5</sup>**

Trafficking is...	By means of...	For the purpose of exploitation, including...
(Action)	(Means)	(Purpose)
Recruitment	Threat	The prostitution of others
Transportation	Use of force	Other forms of sexual exploitation
Transfer	Coercion	Forced labor or services
Harboring	Abduction	Slavery or practices similar to slavery
Receipt	Fraud	Servitude
	Deception	Removal of organs
	Abuse of power	
	Abuse of position of vulnerability	
	Giving or receiving payments or benefits	

When any **one** of the elements from **each of the three** columns above can be applied **together** to the situation of an individual, the individual is considered to be “trafficked.” Where the individual is **under eighteen years of age**, however, proof of any one of the elements from each of **columns one and three is sufficient.**

It has, however, often proven difficult even for experienced practitioners to apply this definition to “real world” situations. Further, the details of what constitutes “other forms of sexual exploitation” have been left up to individual countries to decide in accordance with their domestic legislation. The fact that the Palermo definition is associated with the UN Convention on Transnational Organized Crime has also placed an emphasis on trafficking across borders, sometimes at the expense of domestic trafficking.

National governments, international non-governmental organizations (INGOs), and non-governmental organizations (NGOs), have thus interpreted and operationalized this definition in different ways. This has led to the implementation of multiple, sometimes contradictory, strategies and practices to combat human trafficking without producing any mechanism for ensuring their consistency with Palermo, much less their effectiveness. Some national governments have used Palermo and the need to combat human trafficking as justification for pursuing restrictive immigration policies.

The ambiguity of the definition is exacerbated by the lack of both international consensus on and strong, verifiable evidence of the scope and scale of human trafficking. The figures quoted in governmental documents and inter-governmental (IGO) reports, as well as by the media, are inconsistent, unreliable, and based on ambiguous research methodologies. In recognition of this limitation, the UN.GIFT/ UNODC based their 2009 *Global Report on Trafficking in Persons*, “the first global assessment of the scope of human trafficking and what is being done to fight it,” on

<sup>5</sup> This table can be found in a number of documents, including Marshall, P. and A. Kapoor, *ADB Guide to Understanding and Combating Trafficking in Persons*, forthcoming, p.5.

reported cases of human trafficking only.<sup>6</sup> Despite having collected information from 155 countries, the report authors acknowledged that relying on reported cases is likely to have biased their data towards women and girls trafficked for the purposes of sexual exploitation, upon whom most counter-trafficking programmes have focused.<sup>7</sup> That such a global effort could not identify accurate data demonstrates the paucity and unreliability of data available on human trafficking.

That so many countries have adopted the UN Convention and Palermo does suggest, however, that there is virtually global acknowledgement of the practice of human trafficking and the need to develop means to combat it. Human trafficking is not a new phenomenon but rather a modern manifestation of what Palermo and other international conventions call “slavery and slave-like practices” that have been around for thousands of years.<sup>8</sup> While much governmental, IGO, INGO, and public attention has focused on trafficking for sexual exploitation, people are trafficked into forced labor in sweatshops, factories, and private homes; on plantations and fishing boats; and on the streets to beg. Trafficking for forced marriage, in children for international adoption, and in human organs have also emerged as other manifestations of human trafficking.<sup>9</sup>

Over the past twenty years, numerous factors have facilitated the work of human traffickers. For example, increasing economic inequalities and greater awareness of these inequalities through modern communications have encouraged more and more people to migrate in search of a better life. Further, freer movements of capital, information, and technology across borders, as well as changing demographics, have helped to create spatial mismatches between the demand and supply of labor—often an extension of previous rural–urban migration patterns within and across international borders. Anti-immigrant sentiments and stringent migration policies that do not adequately reflect these realities have led to limited opportunities for legal migration, leading would-be migrants to rely upon criminal networks to move in search of work and new opportunities. Improved transport systems and communications networks have also extended the reach of human traffickers and facilitated the movement of people across often large distances.

Human trafficking also offers local recruiters, informal networks, and criminal groups a means of generating income without, until relatively recently, fear of detection or punishment. Unlike trafficking in arms and drugs, where the profits accrue at the point of sale, victims of human trafficking can be repeatedly exploited, as long as traffickers maintain control over their victims. Among other factors, unfamiliarity with a country, area of transit, or destination; fear of arrest for the illegal nature of their migration; or involvement in informal or illegal labor sectors may make the victim feel subject to the trafficker’s control. Some governments have been reluctant or slow to recognize human trafficking as a prevalent crime in need of redress, and courts have been reluctant to convict traffickers without victim testimony.

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6 <http://www.unodc.org/unodc/en/human-trafficking/global-report-on-trafficking-in-persons.html>.

7 See p. 51 of the Global Report on Trafficking in Persons for discussion of methodological challenges [http://www.unodc.org/documents/Global\\_Report\\_on\\_TIP.pdf](http://www.unodc.org/documents/Global_Report_on_TIP.pdf)

8 See for example, the Slavery Convention <http://www2.ohchr.org/english/law/slavery.htm> , Protocol Amending the Slavery Convention <http://www2.ohchr.org/english/law/pdf/protocol-slavery.pdf> ; and Supplementary Convention on the Abolition of Slavery, the Slave Trade and Institutions and Practices similar to Slavery (1956) <http://www2.ohchr.org/english/law/slavetrade.htm> .

9 <http://www.ungift.org/knowledgehub/en/about/trafficking-for-organ-trade.html>

These factors have created a number of options for traffickers, such as intimidating or threatening victims and their families, and (where trafficking involves the crossing of borders) either arranging for the victims' deportation before they can give evidence or relying on the victims' preference for returning home as soon as possible rather than remaining in victim shelters for potentially long periods of time.<sup>10</sup>

Given the factors noted above (among others), as well as the underground and illicit nature of human trafficking, which creates challenges with detection and identification, there have been a relatively small number of people successfully prosecuted for trafficking. This number is particularly small in relation to the number of victims identified.<sup>11</sup> Further, the number of identified victims is generally regarded as extremely small in relation to any estimate of the actual number of persons trafficked.<sup>12</sup> As such, trafficking has been a crime of significant reward and generally low risk, particularly for those involved in the most exploitative aspects at the end of the trafficking chain.

The lack of reliable statistics on persons trafficked presents major and as yet unmet challenges for evaluating the ultimate impact of counter-trafficking programmes, particularly with regard to prevention. A November 2010 UN Global Initiative to Fight Trafficking (UN.GIFT) Strategy Paper highlights that to date, very few independently verified examples exist of activities that have been able to have an impact on reducing trafficking.<sup>13</sup> As such, they recommend that researchers and practitioners find alternative ways to assess and evaluate counter-trafficking projects, often with a focus on outputs and outcomes rather than impacts.

In developing output- and outcome-focused assessment strategies, it is important to have logic models that clearly link outputs, outcomes, and intended objectives.<sup>14</sup> In many counter-trafficking projects, however, there is little evidence of a link between project outputs and outcomes, particularly with regard to awareness-raising and information campaigns, despite heavy governmental, IGO, and INGO investment in them.<sup>15</sup> Unlike the problem of reliable statistics, the issue of linking outputs to outcomes is within the control of individual organizations. The development of logic models and articulated theories of change can demonstrate what outputs organizations expect from their activities, as well as the intermediate and longer-term outcomes that they are pursuing based on these outputs. Understanding and documenting these *linkages* is crucial to any intervention, programme and project, and can help ensure that activities, outputs, and outcomes are closely aligned, which in turn can create a basis and means by which to achieve the desired impacts of a project or set of activities.

Experts in trafficking and related issues, practitioners, and human rights advocates have come to subject existing counter-trafficking strategies to stricter scrutiny in order to gain a more nuanced understanding of trafficking and what can be done to

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10 Paul Buckley, UNIAP, pers. comm.

11 Global Report on Trafficking in Persons, op. cit.

12 Paul Holmes, pers. comm.

13 Unpublished UN.GIFT Strategy Paper, November 2010.

14 See for example US Government Audit Office 2007, p. 27

15 A recent comparative study by UNIAP, for example, found no difference in trafficking awareness between those migrants who were trafficked and those who were not.



counter it effectively. Whereas many early prevention programmes sought to reduce migration through raising awareness of the risks, providing alternatives to migration, or restricting movement through tighter migration controls, prevention work has evolved over the past ten years toward efforts at making migration safer. Nascent efforts are also underway to investigate and document the “demand side” of trafficking as a prevention strategy, targeting in particular products and services produced by trafficked labor.

Support services for victims are gradually undergoing a similar evolution. Many initial programmes grew out of a focus on young women and girls being forced into prostitution, concentrating services in return to home communities and medical and psychological counseling as putatively appropriate. There is now increasing recognition that many victims are reluctant to return to home to the situations they were seeking to escape.<sup>16</sup> Others victims have reported feeling ashamed to return home; others, having suffered a bad experience, prefer to capitalize on the knowledge of migration realities they have acquired and try again to move.<sup>17</sup>

Although the international community has begun to document, define, and address the complexity and scope of the issues surrounding human trafficking, much remains to be done. Further, effective strategies and counter-trafficking programmes remain elusive. The purpose of this evaluation is to document and assess how projects funded by the Norwegian government and implemented in partnership with IOM have sought to counter human trafficking in the period between 2000 and 2010, and to provide relevant recommendations to consider after this decade of support for efforts to combat this global practice.

## **1.2 IOM's Norway-funded Efforts to Combat Human Trafficking**

Since 2003, the Norwegian Government has published three action plans to combat human trafficking. All three action plans have been based on the Palermo Protocol and its definition of human trafficking. The latest plan also utilizes the Council of Europe Convention on Action against Trafficking, which went into effect in 2008, as part of human rights-based strategies to counter human trafficking.

In the Ministry of Foreign Affairs (MFA), anti-trafficking activities are administered by three different sections: the Western Balkans Section, the Section for Global Security Issues and the CIS Countries, and the Section for Human Rights and Democracy. As a directorate under the MFA, the Norwegian Agency for Development Cooperation (Norad) also funds a number of activities in the field of human trafficking through its cooperation agreements with Norwegian NGOs. Norwegian embassies in countries such as Nigeria, Kenya, Malawi, Mozambique, South Africa, Bangladesh, Thailand, and Indonesia also fund counter-trafficking efforts.

According to MFA's annual report on its efforts against trafficking in 2007, about 110 projects (192 annual agreements) had received or were planned for funding during the period 2000–2010. By 31 December 2009, the total funds allocated were approximately NOK 360 million (~\$60 million US).

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<sup>16</sup> Limanowska, B., 2006.

<sup>17</sup> Ginzburg, 2003. Marshall and Thatun, 2005.

The IOM is the largest single collaborating partner for MFA in its efforts to combat human trafficking. Between 2000 and 2010, IOM had received NOK 89 million (~\$15 million US) from Norway to provide counter-trafficking projects around the globe. Other major collaboration partners include the UN and Norwegian NGOs.

A desk review of MFA's portfolio on human trafficking was undertaken in 2008 and published in February 2009. The study concluded that the portfolio provided good coverage of the commitments undertaken by the Ministry under the Government's action plans to combat human trafficking in the period 2003–2009.

The review noted, however, that the underlying data available for the review provided limited information on the results that have been achieved in this field, as most documents focused on activities and often did not specify indicators or a baseline. Many of the projects received funding on an annual basis, which made it difficult to document longer-term results.<sup>18</sup> As discussed further below, the purpose of this evaluation is to provide the Norwegian government with an assessment of its partnership with IOM on their joint efforts to combat human trafficking. Through an analysis of multiple original and extant data collected for this evaluation, this report seeks to document key findings related to IOM's Norway-funded counter-trafficking efforts and to provide recommendations arising from these findings for the Norwegian government to consider as, after ten years of commitment, a major actor in the global combat against human trafficking.

### 1.3 The International Organization for Migration (IOM)<sup>19</sup>

The International Organization for Migration was established in 1951 and, as of November 2010, has 132 member states. According to their website, IOM's mission is complex and includes:

- Helping to ensure the orderly and humane management of migration;
- Promoting international cooperation on migration issues;
- Assisting in the search for practical solutions to migration problems; and
- Providing humanitarian assistance to migrants in need, including refugees and internally displaced people.<sup>20</sup>

In 2009, IOM's total expenditures were \$1.027 billion, supporting 2,360 programmes, 7,000 staff, and 460 field offices in more than 100 countries, including 18 missions with regional functions.<sup>21</sup>

Since 1997, IOM has implemented a total of 757 counter-trafficking projects as part of their work on the broader area of migration. As at 6 January 2011, 110 of these projects were ongoing. In line with its own understanding of its mission to “promote humane and orderly migration for the benefit of all,” IOM has taken up the problem of human trafficking and has become a recognized actor in the field of counter-trafficking, particularly with regard to recovery, return, and reintegration of trafficked persons.

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<sup>18</sup> The information in this section was drawn from the original tender document for the evaluation. Emphasis added.

<sup>19</sup> Unless otherwise stated, the information in this section was supplied by IOM headquarters in an email of 5 January 2011.

<sup>20</sup> <http://www.iom.int/jahia/Jahia/about-iom/lang/en>

<sup>21</sup> [http://www.iom.int/jahia/webdav/site/myjahiasite/shared/shared/mainsite/published\\_docs/books/iomfolder\\_eng/facts\\_figures\\_en.pdf](http://www.iom.int/jahia/webdav/site/myjahiasite/shared/shared/mainsite/published_docs/books/iomfolder_eng/facts_figures_en.pdf)

Over the past four years, IOM's counter-trafficking projects have accounted for between one and two percent of the organization's overall budget.<sup>22</sup> Their budget for counter-trafficking programmes for 2011 is \$12,143,400. IOM's primary donor is the U.S. Government, through the Office to Monitor and Combat Trafficking (GTIP), and the Bureau of Population, Refugees, and Migration (PRM) in the U.S. Department of State. Norway is one of several other countries who regularly provide support for IOM's anti-trafficking initiatives. Others include Germany, Sweden, Switzerland, the Netherlands, and Australia. IOM also regularly seeks counter-trafficking funds through the European Commission, particularly by responding to specific calls for proposals on how to combat the trafficking of human beings.

The main areas of focus in Africa for 2011 counter-trafficking efforts are Angola, Djibouti, Ghana, Guinea-Bissau, Zambia, and Zimbabwe. Subject to funding, IOM will also focus on the SACTAP (discussed in this report). In Latin America, IOM is focusing its counter-trafficking efforts in Argentina, Paraguay, the Dominican Republic, Guatemala, Mexico, Columbia, and Costa Rica.

In Asia, IOM is implementing a large regional programme in Central Asia, as well as conducting counter-trafficking projects in Afghanistan, Bangladesh, India, Indonesia, Japan, Nepal, Pakistan, Sri Lanka, Thailand, Timor-Leste, and Viet Nam. In Europe, IOM counter-trafficking activities for 2011 include a regional project in Eastern and South-Eastern Europe, as well as programmes in Armenia, Azerbaijan, Georgia, Moldova, Albania, Bulgaria, Germany, Kosovo, Norway, the Russian Federation, Turkey, and the Ukraine.

Initially, IOM's counter-trafficking work focused on support for victims of trafficking, including safe accommodation, medical and psychosocial support, skills development and vocational training, and return and reintegration assistance. Over time, IOM has sought to expand its counter-trafficking efforts and to take a more comprehensive approach. To further this goal, IOM has undertaken quantitative and qualitative research on human trafficking; supported projects to prevent trafficking through information campaigns and attempts to provide alternatives to migration; and capacity-building work, including supporting the development of national plans of action and anti-trafficking legislation; facilitating the development of networks and referral mechanisms; and providing training to government officials on topics across the counter-trafficking spectrum.

Other leading international agencies involved in combating trafficking include the International Labor Organization (core focus on forced and child labor), UNICEF (child protection), UNODC (criminal justice), and UNIFEM (women's empowerment and gender equality). The comparative ability of these organizations to support counter-trafficking efforts has significantly shaped the focus and nature of counter-trafficking programmes. With no overarching system to allocate funding between the various agencies, the nature of programmes against trafficking has been heavily influenced by the ability of individual agencies to raise donor funds to support them.

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<sup>22</sup> IOM 2007a, 2008a, 2009c

This is perhaps most notable in terms of UNODC. Whereas the mandates for the other UN organizations to address trafficking arise from their missions in *related* areas, UNODC has a specific mandate on trafficking through the Palermo Protocol. A lack of financial and human resources has, however, limited the role UNODC has taken in countering trafficking. This has contributed to the under-development of the role of the criminal justice sector in countering human trafficking. Some IOM programming has focused on capacity-building in the law enforcement and criminal justice sectors, creating a potential overlap with UNODC. As discussed in Chapter II, collaboration among agencies to combat human trafficking remains somewhat inchoate. UN.GIFT, established in 2007, brings together ILO, IOM, UNICEF, UNODC, Office of the High Commissioner on Human Rights (OHCHR) and the Organization for Security and Cooperation in Europe (OSCE), in an attempt to strengthen this collaboration. A lack of internal incentives within each partner organization to raise funds and promote the work of UN.GIFT has, however, somewhat delayed the full realization of the potential of this project.<sup>23</sup>

## 1.4 Scope and Purpose of the Evaluation

The purpose of this report is to present findings and case studies that summarize the experiences of a selected group of Norwegian-funded IOM counter-trafficking projects and incorporate data from other IOM sources (e.g. CTMs, staff surveys and documents obtained from IOM headquarters). The report articulates the progress of and challenges faced in implementing these projects, while identifying implications and making recommendations for IOM and the Norwegian government that may be relevant for their global efforts to end the practice of trafficking in human beings.

The overall purpose of this evaluation is to provide the Norwegian government with the following:

1. An assessment of IOM's counter-trafficking interventions and activities funded by the Norwegian government and the extent to which they have achieved intended outputs and outcomes;
2. An assessment of how results and lessons learned from IOM's counter-trafficking interventions, including projects funded by donors other than the Norwegian government, are used in current and future planning of the organization's interventions; and
3. Based on findings and conclusions, identification of operational recommendations for current and future planning, implementation, and monitoring of Norwegian-funded activities against human trafficking.

The evaluation was designed to meet these objectives by collecting and analyzing original and extant data on IOM's Norway-funded counter-trafficking projects in order to address the study research questions listed below. The findings of this study are based on analysis of data from IOM and IOM's Norway-funded counter-trafficking projects that were available, compiled, and analyzed between June and December 2010. In this report, we seek to address each research question, and have organized the findings and recommendations in alignment with each question. It is important to note that while all of the research questions informed the develop-

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23 Dalberg Global Development Advisers (2010), UN Global Initiative to Fight Trafficking: Final Preliminary Evaluation, Vienna, p 36.

ment of all data collection instruments (see Annexes A-C), IOM's counter-trafficking work does not afford equal priority to all issues raised in the research questions. Therefore, the amount of data collected and analyzed in relation to each research question, and thus the number of findings and recommendations included in the report, varies according to the available data.

The following sections provide a discussion of the evaluation methodologies (research questions, data collection, and analytical approaches) that the research team employed to achieve the objectives of the study.

## 1.5 Study Design and Methodology

### Research Questions

The study was informed by a series of research questions that Norad established in the Terms of Reference for the project (see Annex I).<sup>24</sup> These questions, which are included in Chapter II, fell into three broad areas:

1. Assessment of IOM's mandate and platform for responding to human trafficking, including their coverage, platform and structure; operational definition of human trafficking; and internal and external perceptions of its comparative advantage on combating various aspects of human trafficking.
2. Assessment of the design, implementation, and results of IOM's counter-trafficking activities, including the role of needs assessment, partner collaboration, national capacity-building, human rights mechanisms in this work. It also includes the outputs, outcomes, and impacts of IOM's counter-trafficking efforts.
3. Assessment of evaluation and institutional learning in IOM's counter-trafficking work, including their use in the planning, implementation, and integration of best practices.

### Data Collection and Initial Analysis

This report is the result of several data collection and analysis methods employed over the period June–December 2010 by a team of researchers from Mathematica Policy Research and the Research Communications Group (RCG). Berkeley Policy Associates contributed to the analysis of the administrative data set.

Data sources and collection included:

1. Review of documents on counter-trafficking projects collected from the IOM website, the Norad Archive in Oslo (June 2010), the Norwegian Ministry of Foreign Affairs (MFA) Archive in Oslo (June 2010), and project documents from case study field respondents.
2. A site visit to IOM headquarters to conduct interviews with counter-trafficking staff and other staff members working in areas relevant to trafficking.
3. Field research site visits to conduct interviews, focus groups, and observations with staff and partners of five IOM counter-trafficking projects that include a significant direct assistance component.

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<sup>24</sup> The study team made some additions and modifications to the original research questions provided in the Terms of Reference, in order to best highlight highly salient issues that emerged during the evaluation. A discussion of these modifications can be found in Annex A.

4. An additional case study undertaken remotely through a review of key documents and phone discussions with staff and partners.
5. Administrative data extraction from IOM's Counter-Trafficking Module (CTM) database that documents the experiences of and services provided to victims of human trafficking who are assisted through IOM Norway- and other donor-funded projects.
6. Survey of IOM and partner organization (NGO, INGO, IGO) staff about their experiences with and perspectives on IOM's Norway-funded counter-trafficking work, administered in November–December 2010 across ten countries.

The research team employed several methods to analyze these data. Data analysis methods included: document review; site visit reporting and case study analysis prepared by field visitors; independent cross-site analysis of case studies by the evaluation team leader and senior technical advisor; administrative data analysis; and survey data analysis. These analytical approaches as well as study limitations are discussed below.

#### *Document Review*

Prior to and during case study analysis, the research team reviewed the published (i.e., on the IOM website) counter-trafficking evaluations related to the case study countries and regions. The purposes of this review were to: increase the research team's understanding of the methods and findings of evaluations of IOM counter-trafficking projects; provide a context for the current study's methods and for guidance to the Norwegian government concerning future counter-trafficking efforts; and identify existing data that could be useful as an input for the case studies of the current evaluation.

After an initial review of (a) five IOM evaluations of counter-trafficking projects (from their website), (b) six Norway-funded projects from the Norad and MFA archives, and (c) Norad's recent review of their own counter-trafficking work,<sup>25</sup> members of the research team developed a structured data extraction tool to facilitate and support a consistent review of the documents collected for this study. Two team members then separately piloted the tool to determine fit and ability to extract relevant data from project documents, and suggested refinements.

Once revised, each field visitor was assigned documents related to his/her case study (a total of five case studies were created) and used the tool to extract data from them (see Annex B). Sources of documents included in document review included: 26 internal and external extant IOM counter-trafficking project evaluations in countries and regions aligned with evaluation case studies, downloaded from the IOM website in June 2010; over 200 documents from Norad and MFA archive documents related to the selected cases (e.g., project proposals, interim and final reports, budgets, etc.) collected on-site in Oslo in June 2010; and documents collected from each field site either in person or via email, July–November 2010. These documents related to on-site project activities and came from the five case study sites and IOM headquarters, with supplemental material from the South

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<sup>25</sup> *Review of the Norwegian Ministry of Foreign Affairs Portfolio on Human Trafficking* (Norad rapport 9/2009).

African case recommended by Norad after review of the inception report produced in the early stages of this evaluation. Each field visitor read and extracted data from these documents using the data extraction tool as a guide. While originally planned as an on-line tool, the project timeframe prevented full population of a document database. The “paper” version was able, however, to guide team members’ systematic review of documents, and to enhance the team’s understanding of IOM’s Norway-funded counter-trafficking projects, help prepare field researchers for site visits, and provide input into case study analyses.

### *Field Visits*

Field visits provided a central means of obtaining information about IOM and partner organizations collaborating on counter-trafficking projects, the coordination among partners, and local implementation of IOM services and activities. For this evaluation, we visited IOM’s headquarters and five separate Norway-funded IOM counter-trafficking projects that included a direct assistance component in their project activities. We also conducted phone interviews with respondents from the regional SACTAP project to collect data on a case of particular interest identified after Norad’s review of the inception report. Working with IOM, we developed a list of 176 staff at IOM headquarters and in field missions, as well as local governmental and non-governmental organizations partnering on specific counter-trafficking projects. Based on availability and project role, we interviewed a selection of these staff during the site visits. Where possible, we also independently identified and interviewed respondents from other relevant international organizations, e.g., UNODC, OSCE, UNDP, ILO, etc., as well as INGOs, MFA staff, and other donors in the region. It should be noted, however, that the majority of respondents were identified by IOM.

Research team members were assigned to sites in regions in which they had previous field experience and worked with an IOM field-based site liaison to arrange each site visit. The research team used the evaluation research questions to guide the development of the data collection protocols used by the field visitors. Included in the protocols was an oral informed consent procedure that guaranteed respondents’ confidentiality.<sup>26</sup> Prior to field visits, site visitors received training on how to use the protocols and how to conduct comprehensive data collection.

Field visits commenced with data collection via phone using an informational protocol to identify appropriate respondents to interview on site, field visit dates, and logistical details, along with an additional schedule template to determine a precise agenda. The team then developed specific interview, focus group, and observational protocols, some of which were piloted during the site visit to IOM headquarters in Geneva, August 2010. Based on feedback from this site visit and from external review of the inception report draft, the team refined the interview, focus group, and observational protocols and used them to collect data during the five case study field visits and supplemental regional phone-based case. The

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<sup>26</sup> The informed consent process for study interviews and focus groups provided confidentiality to all respondents. Respondents were guaranteed that their identity and/or organizational affiliations would not be revealed in reports, presentations, or articles associated with the evaluation and that their names and individual perspectives (i.e., by name) would not be shared with IOM or other project staff, donors, or anyone outside of the research team. Informed consent also guaranteed that project reports would not include lists of names or titles. The study team made this decision in consultation with Norad in order to encourage a free and open discussion of respondent experiences and views, as well as to protect respondents from any retribution that might result of their responses.

research team ultimately developed six versions of the protocol in order to align questions with the expertise of the various respondents.

Each site visit lasted from five to nine days and included 60- to 90-minute interviews with relevant project staff; 60- to 120-minute focus groups with similarly situated project partners (e.g., representatives of partner NGOs); observations of on-site activities of interest for the evaluation; and collection of relevant mission- or project-level documentation. Sites included IOM headquarters in Geneva and counter-trafficking projects located in Dhaka and Keranigonj, Bangladesh; Bishkek and Osh, Kyrgyz Republic; Skopje and Kumanovo, Macedonia; Abuja and Lagos, Nigeria; and Oslo, Norway. Because many relevant respondents were situated at a significant distance from the field visit sites, field visitors also conducted key interviews by phone and obtained follow-up information when needed via email. All field visits were conducted between August and November 2010.

Field visitors took detailed notes on each interview, focus group, and observation to use as input to their field visit report. Ultimately, field data helped provide the evaluation with a comprehensive, qualitative, site-specific portrait of a set of implemented IOM partnerships, project activities, coordination efforts, and service delivery. They give a more nuanced understanding of project structures, processes, services, and partnerships, building a detailed portrait of IOM's projects designed to combat human trafficking, as well as documenting local project variation in prevention, direct assistance, rehabilitation, reintegration, and other services. The site visits also provided a basis for assessing implementation processes, outputs, and outcomes, and thus for cross-site analysis. Cross site analysis then drew directly from the field visits to identify a set of robust project findings, including a set of lessons and practices that can be applied to other similar efforts.

#### *Administrative Data*

In order to identify additional information about IOM's Norway-funded projects available for the evaluation, especially in the case study countries, we contacted IOM headquarters and field staff to determine what kinds of administrative data records they maintain. We determined that IOM tracks its provision of services to victims of trafficking using the Counter Trafficking Module (CTM) of its migration database, MIMOSA. CTM is a case management system that records the demographics of persons who have been registered by IOM as having experienced trafficking, and tracks responses taken from trafficked persons by IOM or partner organization staff about the victim's experiences of trafficking processes and types of exploitation. At the time of data transfer (September 2010), CTM contained data on 13,809 registered victims of human trafficking, collected from 46 IOM missions in all regions of the world, covering 85-plus source and over 100 destination countries. Further information about CTM can be found in Annex A.

In consultation with field liaisons, we determined that none of the case study countries maintain any other administrative records in a format usable for this evaluation, and that most case study sites (Kyrgyz Republic, Macedonia, and Nigeria, as well as SACTAP) utilize CTM to report victims' assistance data to IOM. According to IOM staff, Norway has only recently begun to use CTM and Bangla-



desh is not using it. This is because “IOM has yet to take a decision on the tool being mandatory.”<sup>27</sup> Working with IOM staff, the research team established a Memorandum of Understanding (MOU) for data access as well as a data transfer protocol in line with the IOM Data Protection Principles to receive the data in raw format (unanalyzed). The CTM is not yet fully populated and not all countries (Bangladesh, for example, as noted above), have begun to enter data. Based on the available data, the team conducted simple descriptive analyses for each case study country, the group of ten countries targeted in the survey (discussed in the next subsection), and all countries in the database. These data provide a demographic breakdown of victims identified by and participating in IOM and partner direct assistance programmes. Tables for the survey countries and for the entire set of countries in the database can be found in Annex J. Some of the case studies in the Annexes also include tables based on these data.

### *Online Survey*

The survey of IOM and partner organization staff was designed to collect information about IOM’s counter-trafficking efforts from a cross-national sample of differently situated partners in IOM’s counter-trafficking projects, e.g., IOM headquarters staff, IOM field staff as well as NGO, governmental, INGO, and IGO staff collaborating with IOM in their counter-trafficking efforts in ten different countries. These ten countries included the five case study countries (Bangladesh, Kyrgyz Republic, Macedonia, Nigeria, and Norway); the regional project from which we collected data by phone and through documents (SACTAP); and four additional countries that have received a significant amount of Norwegian funding to work with IOM on counter-trafficking projects (Kazakhstan, Kenya, Turkey, and the Ukraine).

We expanded the list of countries to survey (beyond the case study countries) in order to provide a more global portrait of IOM’s counter-trafficking work. Indeed, the research team originally recommended an even larger set of IOM counter-trafficking projects to include in the survey. In consultation with Norad, however, we determined that a focus on the Norway-funded projects would be of greater value to the evaluation. We then developed the above list of ten countries to survey based on the amount of funding received from Norway to conduct IOM-administered counter-trafficking projects.

The survey instrument (see Annex C) was designed to collect information from a diverse group of respondents with direct experience of Norway-funded IOM counter-trafficking projects, about respondents’ counter-trafficking experience, organizational affiliations, backgrounds, and demographic characteristics; understanding and definition of human trafficking and counter-trafficking and application in their country or region of focus; views of IOM’s role in countering human trafficking; and views of IOM’s counter-trafficking strategies, uses of human rights norms, direct assistance and capacity-building efforts, partnering and collaboration, institutional learning, and overall strengths and weaknesses in relation to combating human trafficking.

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<sup>27</sup> Email correspondence, December 2010.

We piloted the survey with four respondents, none of whom were directly involved with IOM, but all of whom are familiar with IOM's counter-trafficking work and two of whom were non-native speakers of English. The survey was fielded on-line from November 2010 to January 2011. Each potential respondent received an electronic invitation to participate in the survey, which they completed on-line after providing informed consent. The consent process provided respondents with a guarantee of confidentiality.<sup>28</sup> Non-respondents received weekly reminders asking them to complete the survey, and thank you emails were sent to respondents upon survey completion. Because of the large number of Russian-only speakers in the Kyrgyz Republic, Kazakhstan, and the Ukraine, we also fielded the survey in Russian in those countries.

Using the initial list of 176 potential interview respondents provided by IOM (not all of whom were available for interviews), the research team added MFA and field contacts as well as additional staff and stakeholders directly involved in the Norway-funded IOM counter-trafficking projects in these ten countries. The team identified these additional respondents on-site or through the recommendations of other interview respondents. We ultimately fielded the survey to 291 potential respondents.

Including survey data created an opportunity to 'triangulate' data (in relation to interviews, focus groups, and observations) and to determine the robustness of findings by comparing multiple data sources. The purpose of the survey data was to reflect the experiences of a diverse group of respondents, differently situated in relation to IOM (e.g., IOM and non-IOM staff; governmental, inter-governmental and non-governmental). Given the nature of the survey sample (i.e., a convenience sample consisting of respondents involved with the case studies and four other countries receiving funding from Norway to work with IOM on counter-trafficking projects), the results are not generalizable to the larger group of staff involved with IOM counter-trafficking projects. It was not possible to sample from the universe of staff involved in Norway-funded projects, as IOM does not maintain a list of this group or centrally track all partner staff involvement. The sample was thus not weighted to create generalizability. At the same time, the survey allowed the research team to collect data from a much larger group of respondents, and allowed the respondents to provide their views anonymously via the on-line format, thus decreasing concern over potentially negative consequences from supervisors or funders.<sup>29</sup> As of mid-January 2011, the survey had been sent to 291 respondents, 109 of whom responded, which is a response rate of 37.5 percent. This low response rate may introduce non-response bias into the analysis (i.e., if the answers of respondents differ significantly from the answers of non-responders). Because of this, most of the survey data included in this report come from the open-ended questions and are used to provide illustrative information about key project findings from an alternative and generally anonymous data source.

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28 In order to ensure confidentiality, we did not ask respondents to input their names or the proper name of their organizations when responding to the on-line survey. In the consent section of the survey instrument, we guarantee respondents that their names and specific institutional affiliations will not be included in the project report. Please see Annex C for language regarding confidentiality.

29 On-site, at least two respondents directly expressed concerns about providing their views of IOM's efforts openly, especially when IOM knew that they were being interviewed. The on-line survey format was designed to allow a much larger group of staff to express their views away from the surveillance of any other person or organization.

## **Analytical Approaches**

### *Case Study Analysis*

The case study approach contributed to the research team's ability to triangulate data from different sources to identify common themes.<sup>30</sup> 'Triangulation' allowed the research team to identify response patterns and help build evidence for findings on program implementation, and helped illuminate differing experiences among various groups of stakeholders and beneficiaries. It also facilitated checks on intra-case reliability as well as identifying key contradictions among and between data sources, which are themselves important for understanding implementation and outcomes. The multiple data sources and considerable amount of study data consulted and integrated into the case studies helped illustrate how key themes operate in each case.<sup>31</sup>

In conducting case study analysis, we developed an analytical template ("case study template" in Annex A) for each field visitor to use in constructing his/her case study. This template was designed to enable team members to include and organize all relevant data in order to construct a detailed portrait of each site and its context, the design and implementation of counter-trafficking project(s), and perspectives on achieving project outputs and, if available, outcomes. This template was meant as a guide for the case studies, rather than a strict template to follow, since information available during on-site data collection varied by site, including level of project maturation, progress in implementation, documentation practices, and respondents available to participate in interviews.

Upon completion, each case study was subject to an extensive and detailed review by the team leader and senior technical advisor. Once all necessary revisions were completed, the case studies were streamlined into a more fluid format for final write-up and included in the report. Not all sections in the analytical template appear in the case studies, as these were designed to guide analysis but not final presentation, which was guided by a more straightforward set of standardized primary sections (Background and context; Description of IOM, Norway-funded Counter-Trafficking Projects; Analysis of Projects and Stakeholder Views; and Overview of Case Findings), as well as varied, case-specific sub-sections.

### *Cross-Site Analysis*

The analytical approach to the qualitative data of the study involved cross-site analysis of the site visit reports and the single-site case studies, conducted in five steps using structured criteria. The multi-sourced and voluminous amount of study data consulted for cross-site analysis helped illustrate how key themes operate across cases, thus creating a rich context in which to understand the responses to study research questions collected.

Two senior members of the evaluation team (team leader and senior technical advisor) independently examined the relationship between the research questions<sup>32</sup>

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30 Yin, Robert (1994) *Case Study Research. Design and Methods*. Second edition. Thousand Oaks: Sage.

31 Soy, Susan K. (1997). *The Case Study as a Research Method*. Unpublished paper, University of Texas at Austin.

32 Research questions were established in the Terms of Reference by Norad, March 2010.

and the case study data, “matching sufficiently contrasting rival patterns to data” (Yin, 1994). The analysis itself proceeded in the following five steps:

- Step 1: Independent review of site visit reports.
- Step 2: Independent review of single-site case study analysis.
- Step 3: Independent completion of study themes matrix (Annex 1, Matrix 1).
- Step 4: Joint completion of study findings matrix (Annex 1, Matrix 2).
- Step 5: Joint finalization of study findings.

Criteria for interpreting the case study data used in Steps 3 and 4 were structured around the research questions that informed the data collection protocols. The team leader used these criteria to design two cross-site analytical matrices. The team then used the matrices to identify key themes in the data; classify them in relationship to study research questions; and determine their status as a study finding (See Annex A, Matrix 1 and Matrix 2). These criteria followed from the complexity of the original data collected for this evaluation, which came from both national and international respondents in eleven countries. The complexity of the study research questions and the cross- and transnational nature of the data did not support a closed set of codes for use in the analysis of the qualitative data. It was, however, possible to establish broad conceptual categories and classifications linked to the evaluation research questions to serve as criteria in identifying key themes. These criteria reflected the types of work and specific goals pursued by IOM as articulated in the research questions (e.g., counter-trafficking platform; project activities and outcomes; use of human rights principles; assessment and evaluation; institutional learning, etc).

After reviewing each site visit report and case study, the two senior evaluation team members employed the broad criteria listed in Annex A in their independent review to identify and determine the frequency of key themes in the data. We defined ‘theme’ using a standard notion of a unifying subject or idea with a “specific and distinctive quality, characteristic, or concern.”<sup>33</sup> This systematic application of criteria helped to ensure that emergent themes were sufficiently and appropriately supported by evidence found in field data and documents. Further discussion of criteria used can be found in Annex A.

When a theme met all of the above criteria, each reviewer recorded it in his/her own version of the matrix, naming the theme and indicating the frequency and type of respondent, geographic location(s), and adjective(s) used to modify the theme and signal its importance to the respondent. The qualitative analysis (identifying major themes) was thus supplemented with a simple quantitative analysis, i.e., counting the number of times a theme occurred in order to determine its frequency, both cross-organizationally and cross-nationally. Descriptive adjectives were analyzed to determine the relative primacy or significance of the theme to the respondent or in the document. If a theme met the above criteria, it was recorded in Matrix 1. No limitation was placed on the number of themes a reviewer could include in this step.

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33 <http://www.merriam-webster.com/dictionary/theme>.

Once both team members had independently reviewed the reports and analyses and completed independent versions of the analysis matrix, they proceeded jointly to conduct Step 4 in the process, which involved classifying the themes in the two independent versions of Matrix 1 into primary, secondary, and tertiary findings using Matrix 2. More specifically, when a major theme met the criteria discussed in Annex A, it was raised to the level of a finding and considered for inclusion in the report.

Any finding that yielded a 'primary' rating was included in the report as a finding. Any theme identified as secondary or tertiary was subject to discussion between team members conducting the analysis and included only if, upon additional review of data, it could be reclassified as primary. Any finding that did not meet the above criteria was excluded from further analysis.

#### *Survey Data Analysis*

As discussed, the survey of IOM and partner organization staff collected information about IOM's counter-trafficking efforts from a cross-national sample of differently situated partners in IOM's counter-trafficking projects. These data served as a check on and complement to other key data sources and helped the team determine the robustness of findings across data sources.

Once fielding ended, data were reviewed for consistency and data entry errors. The research team then identified any data quality issues and developed an analysis file from the electronic records created through the on-line format. The study team then analyzed the survey data using quantitative software to produce descriptive statistics (frequencies, crosstabs, and means). The team compared survey responses across individuals and countries in order to highlight important similarities and differences. Responses to key questions that related to study findings are presented in Chapter II of this report. As suggested, the survey data provided an important check on and complement to other forms of data, bringing the voices of a much larger and more diverse population of those working to counter human trafficking into the evaluation, illuminating key research questions and aspects of IOM's Norway-funded global, regional, and local efforts.

#### **Study Limitations**

The data sources listed above provide a wealth of information about IOM's Norway-funded counter-trafficking efforts over the past ten years. Nevertheless, the data collected for this study have several important limitations that should be considered in relation to study findings and recommendations. They include the use of a convenience sample of sites and documents chosen for their alignment with criteria of interest (e.g., Norway-funded, IOM-led implementation, geographical dispersion, larger budgets, recent implementation, direct assistance focus); administrative data limited to those contained in the IOM CTM database on the date of extraction (September 2010); and survey data limited to responses provided by respondents chosen because of their involvement with relevant counter-trafficking projects. Further, most of the respondents to the study were identified by—and often received funding from—IOM. This may make respondents more likely to speak favorably about the work IOM. It is also the case that respondents from organiza-

tions in competition with IOM for resources may be more likely to speak unfavorably about IOM's work.

The study data are thus illustrative and not necessarily representative of all IOM's Norway-funded counter-trafficking efforts. Further, most data available involved project outputs. From these data, it is possible to draw some conclusions about what strategies have the potential to improve counter-trafficking efforts. However, beyond the CTM database, very little data are available on project outcomes in practice-based contexts. While it is reasonable to expect that improved strategies will yield stronger project outcomes, this hypothesis remains to be confirmed empirically. The limitations of this study are discussed in greater detail in Annex A.

## 1.6 Organization of the Rest of the Report

The purpose of this report is to describe and assess IOM's Norway-funded counter-trafficking efforts, including integration of lessons learned and best practices, by responding to all study research questions; and to provide recommendations relevant to current and future planning, funding, implementation, and monitoring of Norwegian-funded activities to counter human trafficking. This first chapter was designed to provide the context for the evaluation, including a brief introduction to the issue of counter-trafficking and Norway's partnership with IOM in pursuit of counter-trafficking strategies. It also presents an overview of the evaluation methodologies—data collected, analytical approaches, and study limitations—used to develop the case studies and inform report findings and recommendations in Chapters II and III. The rest of the report is organized as follows: Chapter II describes the evaluation's primary findings based on the triangulation of multiple data sources and in relation to study research questions. The report concludes with Chapter III, which offers recommendations to the Norwegian government concerning IOM counter-trafficking strategies and practices. These recommendations are designed to provide guidance in making partnering and funding decisions related to efforts to combat human trafficking, as well addressing OECD/DAC criteria in these efforts.<sup>34</sup> It also includes a brief overview of future directions that the Norwegian government might consider vis-à-vis counter-trafficking programming, research, and evaluation. Annexes D–H portray IOM's Norway-funded direct assistance and other linked counter-trafficking projects (e.g., prevention programmes and information campaigns) in the form of five discreet, geographically diverse case studies.

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34 For an explanation of the five DAC criteria, see [http://www.oecd.org/document/22/0,2340,en\\_2649\\_34435\\_2086550\\_1\\_1\\_1\\_1,00.html](http://www.oecd.org/document/22/0,2340,en_2649_34435_2086550_1_1_1_1,00.html).

## 2. Primary Thematic Findings

### 2.1 Introduction

In this chapter, we discuss IOM's Norway-funded counter-trafficking initiatives – their organizational experience and expertise as well as the planning, implementation, outputs, and outcomes of their counter-trafficking activities. We also assess the integration of key processes into projects designed to prevent human trafficking, to build national and local capacities to combat trafficking, and to assist its victims – human rights protections, best practices, evaluation, and institutional learning. The following discussion of study findings that emerged from the original data collected and analyzed for this evaluation illuminate key strengths and weaknesses of IOM's Norway-funded counter-trafficking efforts over the past decade and provide a basis for recommendations offered in Chapter III of this report.

The chapter includes all research questions established by Norad for the study in the Terms of Reference (Annex I), as well as the two questions added by the research team, as noted in Annex A. We have organized the findings according to the specific research questions they address. We have grouped each set of research questions and their attendant findings into the following categories, also established in the Terms of Reference: (1) IOM's Mandate and Platform for Responding to Human Trafficking; (2) IOM's Activities—Design; (3) IOM's Activities—Implementation; (4) IOM's Activities—Results; and (5) Evaluation and Institutional Learning.

*The research questions are reproduced in blue, italicized text, and the findings are bulleted and in bold text. Each finding or set of findings is followed by an overview discussion of the data upon which they are based. Further data and discussion relevant to each finding can be found in the case studies in Annexes D–H.*

Overall, the study findings reflect the multiple strategies and practices IOM has utilized in its efforts to combat human trafficking, with a particular focus on Norway-funded projects. While not always applied consistently, IOM's strategies have resulted in the design and implementation of a number of multi-faceted projects designed to combat human trafficking. Respondents found IOM's trainings and network-building projects to be particularly relevant to countering trafficking. They also responded positively to information campaigns, even where outcomes could not always be established. IOM was also often the only or one of very few organizations providing direct assistance (e.g., shelter, clothing, counseling, medical care) and reintegration services (including skills training, micro-lending, etc.) to victims. Challenges identified in the analysis related to the lack of a clear mandate related

to human trafficking; of a systematic model for designing and implementing projects (e.g., needs assessments); of consistent inclusion of evaluation activities in counter-trafficking projects; and of an effective framework for incorporating and ensuring human rights practices into counter-trafficking projects. The analysis also identified the project-by-project funding structure ('projectization') as another key challenge for IOM.<sup>35</sup> This chapter addresses each of these findings, and serves as a basis for all recommendations included in Chapter III.

## 2.2 IOM's Mandate and Platform for Responding to Human Trafficking

The research questions and findings in this section focus on IOM's internal structure, including its headquarters, regional, and country field offices. The questions and findings concern IOM's general mandate related to human trafficking, as well as specific strategies and policies aimed at countering it. This section also examines how IOM has organized (or been required to organize) its specific counter-trafficking projects in terms of focus and timeline. The questions and findings also take up the important issue of the definitions of trafficking and trafficking victim, and how IOM and its partners have applied these definitions to specific counter-trafficking projects. Lastly, the section addresses organizational and partner or stakeholder views of IOM's counter-trafficking initiatives, assessing the strengths and weaknesses of IOM's approaches and comparative organizational advantages in the fight against human trafficking.

***Assess the organization's coverage, platform and structure (including the funding of project's structures through 'projectization') in Headquarters and Country Offices in terms of human trafficking, including its mandate, policy, strategy (ies) and programs in this area.***

- **IOM is in the process of an organizational restructure that will affect how counter-trafficking strategies are pursued.**

At the start of the evaluation (May 2010), IOM's counter-trafficking team was part of the Counter-Trafficking Unit (CTU) of the Return Management and Counter-Trafficking Division (RMCT) of the Migration Management Services Department. CTU staff had "endorsement power" over all counter-trafficking proposals, which meant that all proposals had to be reviewed and approved by Unit staff. Other sections within IOM's headquarters also have "endorsement power" when aspects of counter-trafficking proposals involve areas that are part of their responsibility, for example, the Migration and Health Department for proposals that involve a specific health component or the Research Unit for research-focused proposals. The Gender Officer within the Director-General's Office also provides input into the gender aspects of counter-trafficking proposals but does not have endorsement power.

International Migration Law (IML) provides advice to CTU staff and country offices regarding legal issues. The Office of the Inspector-General is responsible for conducting internal evaluations but does not get involved in external evaluations.

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<sup>35</sup> IOM's core budget of unearmarked funds amounts to only 3 percent of its overall budget. The rest of IOM's budget is raised through donor funding of individual projects. An administrative fee of 5 percent is charged on each project to cover the costs of IOM offices and staff. Counter-trafficking work is no exception and is funded almost entirely on a project-by-project basis, commonly referred to as projectization.



During the period of the evaluation (May–December 2010), IOM was undergoing a restructuring process. The CTU has become the Assistance to Vulnerable Migrants Unit, within the Migrant Assistance Division and the Department of Migration Management. CTU's role will change to focus on policy and strategic issues, and IOM will devolve endorsement power over proposals to regional offices. These decisions were not public at the time of the evaluation site visit to headquarters (August 2010), and according to a headquarters staff member it was too early to assess the implications of this change. In particular, the staff member could not predict the impact of the devolution of proposal review on its ability to ensure field project fidelity to the organizational counter-trafficking policies and strategies that the CTU will be responsible for developing.<sup>36</sup>

- **IOM does not have a formal anti-trafficking mandate.**

IOM's core mandate is to help ensure the orderly and humane management of migration; to promote international cooperation on migration issues; to aid in the search for practical solutions to migration problems; and to provide humanitarian assistance to migrants in need, be they refugees, displaced persons, or other uprooted people.<sup>37</sup> IOM works in four broad areas of migration management: migration and development; facilitating migration; regulating migration; and addressing forced migration. Cross-cutting activities include promotion of international migration law; encouragement of policy debate; provision of migration policy guidance; protection of migrant's rights; promotion of migrant health; and inclusion of gender-specific dimensions of migration.<sup>38</sup>

IOM's mandate does not specifically include trafficking and the organization does not have responsibility for or oversight of a specific international instrument linked to the fight against human trafficking (such as the Palermo Protocol; Convention on the Rights of the Child and Optional Protocol on the Sale of Children, Child Prostitution and Child Pornography; and the Convention for the Elimination of All Forms of Discrimination Against Women [CEDAW]).<sup>39</sup> IOM staff noted that their 132 member states have, however, endorsed the Organization's 12-point strategy, which includes point 11: "To assist States in the development and delivery of programmes, studies and technical expertise on combating migrant smuggling and trafficking in persons, in particular women and children, in a manner consistent with international law."<sup>40</sup>

Two IOM headquarters staff specifically highlighted the lack of a formal protection mandate to address trafficking as a constraint on their work. At the same time, other staff argued that IOM's working relationship with national governments benefited from this lack of a formal international legal instrument, because there was nothing IOM used "to beat them [the national governments] over the head."<sup>41</sup>

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36 The IOM staff review of this report noted that IOM is planning training for May/June 2011 for those officials in regional offices who will assume the responsibility for reviewing and endorsing project proposals. They expect devolution of endorsement responsibility to occur in August 2011.

37 There is considerable literature that interrogates the complex relationships between trafficking and migration. See for example Agustín, 2003; Andrijasevic, 2003; Berman, 2003 and 2010; Campani, 2004; Kempadoo, 1998; Limanowska, 2002; and Morokvasic, 1991.

38 See <http://www.iom.elcat.kg/aboutus.htm>

39 Others include ILO Forced Labour Conventions (No.29 and No. 105); and the ILO Convention No.182 concerning the Prohibition and Immediate Action for the Elimination of the Worst Forms of Child Labour. See <http://www.iom.elcat.kg/aboutus.htm>.

40 See IOM Council Resolution 1150 (XCIII) and Annex.

41 Interview with IOM headquarters staff, August 2010.

That is to say, without a specific mandate, governments do not view IOM as seeking to force them to align with an international convention, but rather as a partner with whom they can collaborate to create counter-trafficking policies and programs. The issue of IOM's relationship with governments is discussed further in the section on human rights.

- **The project-by-project funding structure and short timeframes of IOM's counter-trafficking projects have multiple implications for its counter-trafficking work.**

IOM's work in general, including its counter-trafficking work, is funded on a project-by-project basis, with only three percent of overall funds coming from core operational resources. Staff members in all country offices and in headquarters independently raised the issue of projectization as a primary constraint to the organization's counter-trafficking work. Under projectization, country and regional offices depend on projects to cover the costs of staff and of maintaining an office. This places constant pressure on country offices to raise funds, particularly when project timeframes are short. Two staff noted that this makes it difficult for IOM to turn down any funding opportunity within the counter-trafficking area. It may also create an incentive to identify trafficking as a significant problem, even where evidence is lacking.

Another staff respondent commented that, "IOM's projectization model makes it difficult for IOM offices to develop longer-term approaches," suggesting that this funding model places a major limitation on IOM's ability to ensure that projects can produce needed outputs and link them to identified and desired outcomes. One survey respondent elaborated that a "lack of continuous funding for its projects makes it difficult for the organization to sustain its follow-up activities in view of the nature of projectization. For instance, IOM played a critical role in the development of the Counter Trafficking Act in Kenya through funding from the Norwegian government. Unfortunately since the funding came to an end, it is difficult to follow up the next steps of developing guidelines for implementation of the law, training law enforcement and judiciary and operationalizing the national action plan. This means that the interventions in place may stagnate and this pushes the country backwards." These respondents regard projectization as limiting IOM's ability to follow up and ensure that their work is both able to continue and to produce meaningful outcomes. IOM staff commented that another consequence of projectization that concerns them is that some may see IOM as raising expectations with the establishment of one project only to leave them unfulfilled if additional or follow-on projects go unfunded.

One important ramification of projectization is that IOM does not have the ability to continue counter-trafficking projects using its own funds, regardless of how important or promising they are. This is particularly relevant for IOM's direct assistance programmes. One illustration of this is SACTAP, through which IOM has provided support to a range of different agencies assisting trafficking victims. SACTAP is currently the major funder for many of these organizations. Despite an evaluation recommending that SACTAP continue into a third phase, no funding has yet been

secured, and interview respondents explained this meant that funds would not be available to provide support for new victims.

Closely related to the issue of projectization is short project timelines. The majority of IOM's counter-trafficking projects are funded for one year.<sup>42</sup> As noted in the 2009 MFA review of Norway's counter-trafficking projects, many of the 110 projects funded by Norway were one-year projects.<sup>43</sup> When asked about IOM's weaknesses with regard to human trafficking, one survey respondent commented that "[p]rojectisation lead[s] to the implementation of short term projects. Weak in developing strategies for the medium and long term approach due to short term funding." Responding to a question asking for an assessment of "IOM's policies and/or strategic plans with regard to counter-trafficking," another survey respondent noted that s/he regards IOM's "funding policy" as "short term project, while working in counter trafficking is a long process," suggesting the limitations of short timeframes. These respondents felt that short timelines prevented IOM from developing medium- and longer-term strategies and thus limited their effectiveness.

As well as the issues related to projectization discussed above, IOM field staff and partner respondents identified the following consequences of the combination of projectization and short timeframes:

- IOM is often unable to offer staff any degree of job security, meaning that they are constantly at risk of losing staff to other organizations, and staff are constantly concerned with the need to raise additional funding.<sup>44</sup>
- Without core staff and funding, IOM usually lacks resources to undertake a formal needs assessment before submitting a counter-trafficking project proposal.
- A 12-month project timeframe makes it difficult to build in evaluation processes, as it is often an insufficient period of time in which to conduct a needs assessment, use this information to determine the correct set of activities needed, and often, to generate the desired results, much less evaluate project outcomes.
- It is particularly difficult to promote sustainability in projects with a 12-month timeline.

As one IOM staff member explained, short timeframes create a bias in favor of projects that can quickly yield visible results, making it "difficult to believe in long-term planning."<sup>45</sup> As this quote suggests, there needs to be a consideration of how short project timelines impact how IOM plans, chooses, implements, and evaluates its anti-trafficking activities.

At the same time, two staff noted that short timeframes encourage prompt action and a "can-do" attitude, encouraging staff to act quickly and, in particular, to demonstrate problem-solving skills in promptly overcoming barriers to project implementation.<sup>46</sup> Another staff member added that the need to generate ongoing

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42 The exact figures were not available from IOM. IOM's records identified 41 percent of projects as being for one year only but staff explained that this excluded many projects which were initially for one year and then extended on a year-by-year basis for a year or more.

43 Norad, 2009.

44 Ibid

45 Interview with IOM headquarters staff, August 2010.

46 Interview with IOM headquarters staff, August 2010.

funding for activities can motivate staff to ensure their work is perceived as “effective.”<sup>47</sup> While these respondents regarded short timeframes as having some positive benefits for counter-trafficking projects, most felt that they greatly inhibited their work and ability to achieve their project goals.

Overall, projectization and short project timelines constituted significant concerns for IOM headquarters and field staff, both of which they felt hindered their ability to engage in long-term planning and produce needed outcomes related to projects designed to combat human trafficking.

- **IOM has not developed and does not use a formal, written global counter-trafficking strategy.**

IOM’s organizational strategy (2007) includes only a single reference to human trafficking: “to assist States in the development and delivery of programs, studies and technical expertise on combating migrant smuggling and trafficking in persons.”<sup>48</sup> IOM staff respondents did not, however, regard this general statement as a counter-trafficking strategy.

According to IOM headquarters and field staff respondents, IOM has neither an overall nor a country-specific counter-trafficking strategy.<sup>49</sup> Some headquarters staff identified projectization as largely preventing them from developing a coherent or comprehensive global strategy to counter-trafficking. The current restructure of IOM includes giving the CTU a focus on developing an organizational strategy on trafficking; however, this will not automatically address the constraints placed on strategy implementation by the issue of projectization, particularly when combined with the devolution of endorsement authority away from CTU.

- **IOM has developed new interventions based on its analysis of gaps and shortcomings identified through its field-based projects.**

Although IOM does not have an official global counter-trafficking strategy, it has developed individual projects and activities informed by specific counter-trafficking lessons, especially as they have emerged through field-based projects. They have taken, as one survey respondent put it, a “flexible, needs/gaps based approach,” seeking “innovative approach[es] to the ever-changing situation.” In Central Asia, for example, IOM and its partners have expanded their projects to accommodate groups of exploited migrant laborers who may not have been trafficked as defined by Palermo but who seek their help and need their assistance.<sup>50</sup> This strategy of assisting migrants in need without a specific determination of whether they are victims of trafficking takes the emphasis off the trafficking definition (reducing problems associated with applying the definition of trafficking to on-the-ground situations) and emphasizes the needs of the individual. Four IOM headquarters staff

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47 Interview with IOM headquarters staff, August 2010.

48 MC/INF/287 IOM Strategy: Council Resolution No. 1150 (XCIII) and Annex, June 2007

49 Upon review of this report, IOM staff commented that they have developed (though not always fully implemented) regional strategies in sub-Saharan Africa and Latin America. They also noted that in 2008, the CTU developed a three-year global strategic plan, but this had to be limited to what CTU itself could achieve, without the active participation of IOM field missions.

50 Kyrgyz Republic interview with IOM field staff October; Kyrgyz Republic interview with IOM regional staff Oct; observation and interview with NGO staff October

expressed the view that this approach was aligned with IOM's core mandate on migration.<sup>51</sup> This approach may also contribute to trafficking prevention, as migrants in need may be vulnerable to trafficking if not provided with appropriate assistance.

Another initiative that IOM developed based on field experience is the Global Assistance Fund. This short-term fund was established to provide emergency support to female victims of trafficking, when no other institutions was able to support them. These funds are available to provide a wide range of services according to needs, from return to legal assistance. In 2004–2005 the criteria were expanded to include men. In addition to benefitting victims, the provision of these funds allows IOM to collect information from victims about existing and emerging trends in trafficking. It has also allowed IOM to respond promptly to specific victim needs. According to IOM staff respondents, it has also increased their credibility as an organization able to address immediate needs.<sup>52</sup>

Another strategy that has emerged from IOM's project work involves addressing the demand for the labor of trafficked persons. IOM staff reported a general lack of awareness of how demand affects trafficking in their project work. In response, IOM initiated the Buy Responsibly Campaign ([www.buyresponsibly.org](http://www.buyresponsibly.org)) to raise awareness about trafficking in destination countries.<sup>53</sup> While there is no outside funding for the campaign (the advertising company Saatchi and Saatchi agreed to assist *pro bono*), and documentation has accordingly been limited, IOM staff explain the initiative as seeking to address demand as a root cause of mobilizing the interest of individual consumers in knowing how and where and by whom products are made and in so doing, encourage responsible consumption.<sup>54</sup>

These examples suggest IOM's ability to integrate field-based lessons learned into the development of future projects.

- **IOM supports economic development as a part of a comprehensive approach to dealing with trafficking. However, IOM has recently started to question whether economic development contributes sufficiently to trafficking prevention.**

In all case study countries, IOM is supporting economic assistance projects for people the organization and partners assess as being vulnerable to trafficking. It is important to distinguish this from economic assistance to people who are already victims of trafficking, a much smaller and more easily targeted group. The internal evaluation in 2005 also recommended that this be included as part of a “comprehensive approach to trafficking.”<sup>55</sup> Initiatives falling under this category include micro-credit, vocational training, assistance in business management and accounting, and provision of equipment. In Bangladesh, economic support projects also included one-time cash transfers of \$300 aimed at raising the beneficiary's eco-

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51 Interview with IOM headquarters staff, August 2010.

52 Interview with IOM headquarters staff, August 2010.

53 IOM headquarters, more details on website, [www.buyresponsibly.org](http://www.buyresponsibly.org).

54 The evaluation team asked IOM staff whether they saw this as overlapping with ILO's mandate working with employers. The response was that ILO was more involved in policy work and this was an operational activity. Nonetheless, it would appear important for future work in this area to be well coordinated with other agencies.

55 IOM, 2005.

conomic status to a level at which they could participate in the micro-credit programs to further improve their income levels. In Macedonia, IOM supported economic support programs for women seen as vulnerable and for Roma communities. In Nigeria, IOM staff expressed support for these types of initiatives as addressing the “root causes of trafficking.” Programs there included renovations of schools to encourage children to attend and repair of boreholes for water to improve agricultural productivity.

Respondents in all countries noted the positive benefits of these types of programmes in providing job opportunities, raising the income of beneficiaries, and empowering members of the target group. In Macedonia, South Africa, and Nigeria, such programmes also provided an important entry point to information dissemination on the risks of trafficking. In Macedonia, this included training for partner NGOs on preparing and implementing information campaigns for awareness-raising on human trafficking and irregular migration among the Roma communities. Data from two external evaluations and interviews and group discussions during the site visit highlighted that economic support activities, combined with this awareness raising, have reduced the likelihood of recipients migrating for work to other European countries.<sup>56</sup> The evaluation team, however, has insufficient data with which to assess whether these initiatives are preventing trafficking. Further, at a cost of close to 2500€ for each person assisted, such approaches would only appear viable if the target group can be clearly defined, as in the case of the Roma.<sup>57</sup> The issue of evaluating prevention efforts is discussed further under the Evaluation and Institutional Learning Section.

Recent speeches by senior IOM staff have begun to question the economic support approach, asking for example: “What are these root causes of human trafficking? Do we need to dispel the myth of poverty as a contributing factor? My sense is that we do. There is little evidence to suggest that victims of trafficking suffer severe material deprivation compared to their peers.” Further, “are poverty (and gender discrimination) so much more prevalent today than ever before that they are the causes of a corresponding, and exponential, growth in the trade in human beings? No.”<sup>58</sup>

Many anti-trafficking practitioners share these reservations. For example, in the 2008 Norway-funded mapping of international trends in human trafficking, Moen and Wiik concluded that “Income generating measures, which are the other key strategy in prevention efforts, have rarely been shown to generate sufficient increased revenue to discourage people trying their luck in other countries.”<sup>59</sup>

Overall, the role of economic support programmes in providing potential migrants with alternatives to labor migration, and thus to decrease their vulnerability to trafficking through the process of migration, appears likely to vary significantly by the group targeted and the alternative to migration provided. It is therefore important to identify the specific needs and characteristics of target groups, as well as

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56 Pavlovski and Friscic 2009.

57 See Section 41 of the Macedonia case study in Annex F for more information on this point.

58 International Organization for Migration, 2009.

59 Moen, Hanne Lotte and Christine Wiik, 2008.

the particular relevance of income-generating activities, when considering the inclusion of economic support components in counter-trafficking initiatives.

An additional issue is whether IOM, an organization that focuses on migration, has a comparative advantage in supporting economic development activities aimed at reducing the number of people who migrate. There are numerous national and international actors charged with and engaged in economic development, such as the World Bank, UNDP, USAID, ACTED, DFID, etc. Little evidence exists to suggest how economic development in general terms links to the prevention of human trafficking. The needed expertise, number of other actors in the field, and lack of linkages between development and prevention suggests that IOM and donors need to assess carefully whether or not this is an appropriate part of IOM's counter-trafficking portfolio.

***Which definitions of human trafficking and of victims of trafficking (or trafficked persons) are in use? How are the definitions operationalised and is the IOM consistent throughout its operations in how it defines cases of trafficking?***

- **IOM staff consistently refer to Palermo as their definition of human trafficking. However, not all countries in the study have a law that uses the Palermo definition. The actual application of the Palermo definition to specific cases varies according to government policies and local interpretations.**

IOM staff's consistent response to the question of how IOM defines trafficking was that IOM does not define trafficking, the Palermo Protocol does. IOM advocates for the use of the definition in all anti-trafficking laws and policies, including with regard to identification of victims. Of the survey respondents, 84 responded to the question *How does your organization define human trafficking and/or victim of trafficking?* with "UN Palermo Protocol," while seven cited "Other" as their organizational definition of human trafficking. Interestingly, as shown in Exhibit 2, these same respondents had differing views when asked about how well the definition they use aligns with the cases they see.

***Exhibit 2: How well does the definition of human trafficking you are using fit the cases you see? (Percentage)***

	Europe	Asia	Africa	Latin America	Global
Very well	40.0	30.4	41.7	20.0	37.5
Well	30.0	43.5	29.2	40.0	12.5
Adequate	20.0	26.1	20.8	40.0	50.0
Less than adequate	10.0	0	4.2	0	0
Not well	0	0	4.2	0	0
TOTAL	100.0	100.0	100.0	100.0	100.0

Source: Evaluation of IOM counter-trafficking efforts survey, November 2010–January 2011 (Question C4)  
Note: N=90

The above table suggests a less than perfect fit between the definition in use (generally Palermo) and the cases and situations that direct assistance staff face. Interestingly, the number of survey respondents who regarded their organization's definition as fitting the cases they see "very well" was the same as the number that responded to this definition of trafficking as "Adequate, but there are *often* cases where the definition of victim of trafficking or human trafficking is too limited to serve or work with victims and other organizations." Thus even though a significant majority of survey respondents cited Palermo as the definition they use, the ways in which the definition is applied in practice may not be consistent.

Indeed, as one survey respondent commented, "There are potentially many more exploited migrants who do not fit the definition but who are equally vulnerable and need protection and assistance." This was corroborated by another respondent who explained that "the definition, or the interpretation of it, does not include victims of forced marriage. The definition also makes working with victims of forced labor a challenge." A third respondent noted, "There are cases in which the elements of the three phases of the trafficking definition are not all clear."

Given the ambiguity in the Palermo definition, direct assistance staff have had to adapt to the situations they face when considering whether or not to classify a person as a victim of trafficking and thus eligible for services. In the Kyrgyz Republic, for example, respondents noted that IOM adheres to a strict interpretation to the Palermo definition when making determinations. NGO respondents expressed frustration with this kind of limitation, given the multiple types of exploited migrants they encounter.<sup>60</sup> Thus the presence of the Palermo definition appeared strong but its operationalization proved challenging and sometimes frustrating to those required to apply it.

This problem is not specific to IOM projects. As noted in the introduction, the definition is interpreted differently by different countries and organizations, with the definition of what constitutes sexual exploitation being explicitly left to each government. Even where there is general agreement in principle, there is evidence that it is not always easy to relate the formal definition of trafficking to on-the-ground realities. A survey of 21 (non-IOM) anti-trafficking practitioners in South-East Asia, for example, found no consensus on whether any of 10 cases presented constituted trafficking.<sup>61</sup> Further, while the Protocol defines trafficking, it does not actually include a definition of what constitutes a trafficked person, an important distinction, which can make it difficult to interpret and apply. Finally, an organization providing support for victims may be inclined to interpret broadly what constitutes a trafficking victim, given that they are faced with persons in need of assistance, whom they want to support. Such an interpretation is likely more broad than that of a law enforcement agency charged with combating crimes but sometimes ill-equipped to investigate all cases.

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60 This view was expressed in an interview with an NGO respondent in Bishkek and in both focus groups with NGO partners in Bishkek and Osh, October 2010.

61 Baker, 2008.



In the Kyrgyz Republic, NGO and government respondents from different regions noted that some NGO staff dealing with victims of trafficking classified only female victims of sexual exploitation as victims of trafficking. Some of them placed exploited labor migrants into a separate group and did not regard them as trafficking victims. This then rendered them ineligible for trafficking victim support services. They generally referred victims of labor exploitation, (including those trapped in forced or unpaid labor, or whose with seized documents), to other organizations. While several respondents highlighted the importance of clarifying the definition, a recommendation from NGO staff in the Kyrgyz Republic was the need for a more flexible approach than IOM currently employs so they can better meet the needs of exploited migrant men, women, and children (internal and external).

As discussed below, IOM is seeking support from donors to assist migrants in need, even where their experiences of exploitation do not necessarily align with a singular or strict definition of “victim of trafficking,” or with the relevant government’s interpretation of that definition.

- **IOM has sought to expand services to vulnerable migrants who may or may not meet the definition of trafficking. They have also developed standard operating procedures with UNHCR to reduce the possibility of a migrant in need not being able to access appropriate services.**

IOM has sought to consistently apply the Palermo definition when determining whether or not someone is a victim of human trafficking. At the same time, the real world experiences of IOM and their partners with victims have not always aligned with this definition, or how it is interpreted by different actors on the ground. One survey respondent noted that “[t]here are potentially many more exploited migrants who do not fit the definition but who are equally vulnerable and need protection and assistance.” Another explained that s/he frequently has “borderline cases where it is difficult to identify a person as a victim of trafficking,” although the individual clearly has been exploited in relation to his/her labor. A third survey respondent recommended that “IOM develop a more holistic, migration-oriented approach to addressing trafficking, including protection efforts that focus on a diversity of vulnerable migrants . . .” Study respondents identified a set of unmet needs among migrants who may not always meet the strict criteria of having been trafficked, but who have been exploited nonetheless and require assistance. Direct assistance staff in the field also reported regularly coming into contact with exploited migrants who may or may not have been trafficked but who are in need of assistance services and support.

This situation has encouraged IOM and its partners to begin to expand services to groups of vulnerable migrants who may or may not meet the Palermo definition. For example, IOM headquarters staff advised that they were attempting to expand services for victims to cover other migrants in need. IOM is now trying to, in their words, “transcend” the problems in applying the trafficking definition consistently to on-the-ground situations by expanding programs to other migrants in need.<sup>62</sup> As

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<sup>62</sup> Interview with IOM headquarters staff, August 2010.

explained in the 2009 Annual Report, rather than emphasizing the provision of assistance once a migrant has been identified as falling into a specific legal or administrative category, such as victim of trafficking, CTU has encouraged a more flexible approach that prioritizes “needs-first” assistance

Donors have also begun to recognize the need for a more flexible definition when providing direct assistance to victims of trafficking. IOM staff reported that some donors had now agreed to allow funds initially earmarked for victims of trafficking to be used for other migrants in need.<sup>63</sup> As one IOM interview respondent explained, “We are working to prevent and address violence against migrant workers, addressing each person as a whole person with vulnerabilities rather than a victim of trafficking or not a victim of trafficking.” Three IOM headquarters staff members expressed the reasoning behind this in very similar terms, that is, IOM cannot deal effectively with trafficking without addressing the broader issues of vulnerable migrants.

A related initiative by IOM is its work with UNHCR to develop standard operating procedures when coming across a migrant who may come under the mandates of both organizations; for example, an asylum seeker who may be a victim of trafficking. This work has included developing a joint screening form and agreements on how to refer people from one organization to the other. The aim of this initiative is to increase the number of vulnerable migrants covered by existing protection mechanisms.<sup>64</sup> The initiative’s framework document notes that while the it is designed to address the specific needs of trafficking victims, the responsibility to take action to protect other vulnerable and/or exploited migrants must also be born in mind.<sup>65</sup>

***How does the organisation view itself in terms of the global fight against human trafficking? What does it perceive as its comparative advantage and value added? Does this correspond with the perceptions that partners, donors (in particular the Norwegian Government) and intended beneficiaries have of the organisation?***

Many respondents found it difficult to address this question as written. They tended to provide their responses in terms of IOM’s strengths and weaknesses. The following presentation of findings related to this research question reflects the way in which respondents framed their responses.

- **IOM’s major strengths identified by respondents included capacity building, awareness raising, and victim support. They also regard IOM staff as “highly skilled” and “very supportive.”**

Respondents regard capacity building and awareness raising as core IOM strengths. Partners from multiple sectors in South Africa, Macedonia, Bangladesh, Nigeria, and the Kyrgyz Republic highlighted capacity building as one of IOM’s core

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63 It is worth noting that this can also be seen as a way of preventing trafficking, since migrants in need are often highly vulnerable to traffickers.

64 Interview with IOM headquarters staff, August 2010.

65 IOM/UNHCR (2009) Framework Document: Developing Standard Operating Procedures to Facilitate the Protection of Trafficked Persons. IOM&UNHCR Internal Reference Tool. Skopje: UNHCR/IOM, p.3.

strengths, both in terms of providing training and providing training resources. In South Africa, for example, the South African Qualifications Authority accredited the IOM-produced counter-trafficking curriculum for four government departments. In Bangladesh and South Africa, partners praised IOM's work in awareness raising, noting the quality and range of informational materials as well as information techniques that IOM includes in its projects as beneficial.

Respondents in all countries highlighted the important role IOM plays in victim services, including supporting direct assistance to victims, identifying and supporting shelters, involving civil society in projects, developing referral mechanisms, and linking key actors in source and destination countries. In almost all cases, partners identified IOM's knowledge about and ability to provide direct assistance to victims as unique, and in some cases (e.g., the Kyrgyz Republic), noted that they are the only international actor they knew with the ability to provide information, experience, and resources to efforts to support victims directly.

IOM staff have established good working relationships and garnered the respect of their local partners. Respondents in Macedonia, who described IOM staff working on prevention, direct assistance, and capacity building projects as "highly skilled," and in South Africa praised the quality of IOM staff in terms of both technical skills and responsiveness: "It's such a relief to know that you have somewhere an organization that is dedicated to the cause —I don't know what we would have done without them." As these quotes suggest, the partners who work with IOM on a daily basis generally spoke in positive, often very positive, terms about their working relationships with IOM staff. Staff from other organizations, who are competing or potentially competing with IOM for funds, did not always share this perspective and cited examples where they believed IOM was exceeding its mandate or not collaborating with others (see below).

Other commonly mentioned strengths were: bringing in international standards (mentioned by respondents in four countries, including Norway); IOM's operational focus (mentioned by respondents in three countries); and ability to bring organizations together and create networks (all countries, however in Kyrgyz Republic some respondents argued that IOM should now withdraw and allow the network to proceed independently to designate projects and procedures). IOM staff identified a close relationship with government as an important strength, although responses from non-IOM staff in Macedonia and Nigeria questioned whether the organization was overly accepting of government policies and practices.

- **IOM's internal view is that one of their major strengths is their ability to address all aspects of trafficking. However, other organizations believe that, in some areas, IOM is exceeding its mandate.**

IOM's ability to address all aspects of trafficking was a common theme in responses from IOM staff. IOM's internal evaluation, conducted in 2005, highlighted in its Lessons Learned and Best Practice section that while many agencies worked on trafficking, "almost none are in a similar position or have the capacity to perform a

full cycle of counter-trafficking activities as IOM can.”<sup>66</sup> Multiple respondents in IOM headquarters and field staff in the Kyrgyz Republic and Macedonia highlighted as a key strength of the organization that “IOM can walk the government through the whole process, from beginning to end.”

This was not, however, highlighted as a strength by staff outside of IOM. In fact, the most common weakness raised in the evaluation was that IOM was exceeding its area of mandate and in some cases appeared to operate with the belief that it did not require other international organizations to conduct its counter-trafficking work because it had the expertise to cover all aspects of it. Several organisations in the Kyrgyz Republic commented that they felt IOM was exceeding its mandate by working on law enforcement and legislative development (e.g., helping the Kyrgyz government to revise their criminal code to address the crime of trafficking). Others felt that they lacked expertise to work on some aspects of labour migration, as exemplified by their work with labour migrants that these respondents felt did not fully engage or always apply the relevant ILO Conventions. The organizations concerned, including local NGOs, INGOs, and other IGOs, expressed the view that IOM lacked appropriate expertise in these fields and could readily benefit from cross-organizational collaboration.

In South Africa, views on IOM’s involvement in criminal justice varied: two respondents regarded criminal justice matters related to counter-trafficking as being more appropriately addressed by UNODC. Another reported that IOM had done more in the criminal justice area than UNODC and as such, that it was appropriate for IOM to include criminal justice matters in their counter-trafficking efforts. One respondent suggested that while IOM’s training for law enforcement personnel was well received, law enforcement needed to be seen within a larger framework, incorporating areas such as legislation, development and refinement of operating procedures, investigative skills, intelligence-led policing, and cross-border information exchange. One respondent expressed concern that “These things are outside IOM’s mandate.” Two Norwegian government officials also expressed the view that IOM should stick more closely to its mandate on migration.<sup>67</sup>

Respondents from these organizations recommended additional cross-agency collaboration, pooling of resources to increase effectiveness and sustainability, and clear delineation of roles and efforts to reduce what they regarded as duplications and failures to involve all relevant stakeholders. Other respondents in the Norway case study suggested that IOM work with existing economic development projects in countries of return rather than seeking to undertake all activities itself. Overall, they recommended stronger efforts to collaborate in order to build more effective counter-trafficking initiatives, extend sustainability, and increase the potential for meaningful impact on the practice of human trafficking.

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<sup>66</sup> IOM, 2005

<sup>67</sup> In report review, IOM staff noted that they regard their engagement with criminal justice and law enforcement actors as part of their trafficking, as well as other work.

## 2.3 IOM's Activities—Design

In order to focus on how IOM has employed Norwegian funding to combat trafficking, this section includes research questions aimed at understanding how IOM decides on and structures its counter-trafficking projects. Themes include research conducted prior to the creation and implementation of projects, local needs and resources, and the role of various partners. A central issue involves how IOM in its local efforts complements, works with, and/or contributes to national counter-trafficking strategies. This section also examines IOM's allocation of resources to regions and projects, as well as how staff determine, select, and implement counter-trafficking projects. All of these research questions and the attendant findings reflect how IOM designs its counter-trafficking projects, as well as on the strengths and weaknesses of those design processes.

***What kind of needs and context analyses are undertaken by IOM when designing initiatives? Do they include assessments of where IOM can contribute the most considering the needs and current interventions of other actors?***

- **IOM does not routinely undertake needs and context analyses on its counter-trafficking projects. Further, IOM has no formal structure for needs assessments.**

In the cases studied, IOM undertook detailed needs assessment in Bangladesh and South Africa.<sup>68</sup> In Macedonia, IOM did not undertake a formal needs assessment at the start of activities but conducted an informal needs assessment and situational analysis for each project, based on observations and experiences of on-going project activities, current trends, and donor priorities.<sup>69</sup>

While not full needs assessments with regard to the human trafficking situation in the country, IOM did conduct some provisional research activities that contributed to counter-trafficking project formation in some case study countries. In Nigeria, for example, IOM carried out a basic mapping exercise to identify possible NGOs for inclusion in the referral system and a baseline socio-economic assessment of twenty areas in Edo State, where stakeholders considered trafficking to be endemic. In the Kyrgyz Republic, IOM undertook a regional survey to identify the scope of trafficking in the Central Asian region and used the results both to demonstrate the existence and scope of the problem and to encourage government and civil society actors to get involved in counter-trafficking activities. In Norway, IOM utilized extant government analysis of the situation (conducted for the development of the national action plan) as the basis for determining responses to trafficking in Norway. These research activities contributed to project formation, but do not represent the kinds of comprehensive needs assessments that might have been used to determine what types of counter-trafficking initiatives were required in various countries and regions.

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<sup>68</sup> See Annex D for further detail on Bangladesh; see Duncan et. al 2006 and Nordic Consulting Group 2010 for further detail on South Africa.

<sup>69</sup> Interview with IOM staff, 2010.

IOM staff in headquarters and country offices explained that informal assessments are common, typically drawing on information available and ideas from government, IOM staff, and other partners based on their observation and experience, previous projects, and input from CTU staff, which might include ideas from projects in other countries. Formal and informal assessments may also include information from victims, such as geographic location. IOM headquarters staff explained that, due to projectization and the lack of core-funded staff at the country level, it was often difficult to undertake a formal needs assessment before projects were developed. The ability to undertake formal needs assessments after a project had started depended on whether the donor was willing to include it.<sup>70</sup> IOM has no formal framework to guide needs assessments, which makes it difficult to make a general statement about the extent to which the organization considers the role of other actors.

***To what extent do IOM counter-trafficking activities contribute to, or are integrated within, national or regional strategies and programs?***

- **IOM has provided financial and technical support to the development of National Plans of Action. However, while case study countries have written National Plans of Action on trafficking, they are generally so broad as not to constitute strategic documents.**
- **At the same time, IOM has sought to coordinate its counter-trafficking activities with national and/or regional strategies and programmes.**

By providing an overarching framework for a country, the national plans of action have an important role to play in countering trafficking. The majority of survey respondents affirmed that they believe IOM has “sought to coordinate their counter-trafficking activities with national and/or regional strategies and programmes.” In the majority of case study countries, respondents pointed to IOM’s role in convening multiple stakeholders and even competing actors to contribute to National Plans of Action. In Macedonia, for example, IOM played a significant role in developing the National Plan of Action, maintained almost daily contact with key stakeholders (e.g., National Commission for Combating Trafficking and Illegal Migration and the Unit for Combating Trafficking and Smuggling Migrants within the Ministry of Interior) with regard to developing the national strategy and action plan. IOM provided financial and technical support for Macedonia’s 2009–2012 National Strategy for Combating Trafficking in Human Beings and Illegal Migration, the National Action Plan for Combating Trafficking in Human Beings and Illegal Migration, and the Action Plan for Combating Trafficking in Children.

In the Kyrgyz Republic, respondents praised IOM for convening a working group that included border enforcement, national security, MFA, and Ministry of Labor, Employment and Migration staff, as well as other international organizations, including OSCE and IFRC, to develop a National Plan. This working group ultimately produced a National Plan of Action on Trafficking in Human Beings for 2002 through 2011. Governmental respondents expressed the hope that IOM could play a key role in

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70 IOM staff interview, August 2010.

elaborating the next National Plan, providing resources and convening stakeholders to contribute to the refinement and elaboration of a National Plan able to respond to changing circumstances.

Given the broad nature of these plans, however, it appeared that almost any counter-trafficking activity could be interpreted as contributing to plan implementation. Governmental respondents in the Kyrgyz Republic noted that while numerous ideas and even language for the development of counter-trafficking laws had been proposed in the National Plan, they had been unable to implement it beyond the government accepting its broad guidelines. They cited a lack of resources, poor coordination among oblasts (districts), governmental corruption, and unwillingness to recognize trafficking as a crime as contributing to an atmosphere of disinterest and inaction. The combination of the broad brush of the plan and a general lack of commitment prevented the National Plan from providing meaningful guidance and implementation of counter-trafficking practices on the ground. The government validated a multi-faceted approach to counter-trafficking, especially with regard to prevention and direct assistance, but has done little to realize an effective counter-trafficking strategy. Overall, respondents regarded the National Plan as an expansive set of ideas and directives, unrealized and unimplemented due to both their overly broad sweep and the larger political climate of disinterest.

In general, while IOM and national actors devoted resources to developing National Plans of Action, and these constituted general guidance on paper, they did not result in strategies and practices that allowed anti-trafficking actors to readily prioritize interventions. In practice, this allowed almost any counter-trafficking effort to be considered part of National Plans of Action, and there were few coordinated, strategic attempts to realize these blueprints as coherent plans.

Survey responses strongly corroborated the finding that IOM has sought to coordinate their counter-trafficking activities with national and/or regional strategies and programmes. As the table below shows, between 80 and 100 percent of respondents indicated that they believe IOM has sought to coordinate their counter-trafficking activities with national strategies to combat human trafficking.

**Exhibit 3: Has IOM sought to coordinate their counter-trafficking activities with national and/or regional strategies and programmes? (Percentage)**

	Europe	Asia	Africa	Latin America	Global
Yes	90.6	82.6	91.3	100.0	100.0
No	0	0	0	0	0
Don't know	9.4	17.4	8.7	0	0
TOTAL	100.0	100.0	100.0	100.0	100.0

Source: IOM counter-trafficking survey, November 2010 - January 2011 (Question B9)  
Note: N=91.

***What are the criteria for the allocation of resources to various countries and programmes in terms of human trafficking? How are implementation areas selected?***

***What are the criteria for decisions on what type of programmes should be undertaken/supported by IOM?***

- **IOM does not have specific criteria for resource allocation. IOM undertakes work in all areas of trafficking response and appeared to determine how to allocate resources on a project-by-project basis.**

IOM does not have core funds to support field-based counter-trafficking projects. The allocation of resources across countries and programs is determined primarily by the availability of project funding. IOM thus does not restrict its projects to particular aspects of trafficking. As noted above, the 2005 internal evaluation highlighted IOM's support for a "comprehensive approach to trafficking."<sup>71</sup> In practice, IOM has applied for and received funding for a multitude of anti-trafficking activities covering direct assistance to victims; development of laws and national plans; information campaigns; training of law enforcement officials; and economic support to people seen as vulnerable to trafficking. IOM staff at headquarters and at the country level considered that the organization's role covered all aspects of the response to trafficking, with only one staff member among those surveyed expressing the opinion that the organization should make an effort to consolidate its activities.<sup>72</sup>

IOM headquarters staff explained that a number of factors determine the allocation of resources within particular projects, including formal needs assessments (where available); informal needs assessments; information from previous projects; and areas of donor focus. In addition, IOM lobbies for the inclusion of priorities identified by CTU staff, such as the expansion of program activities to include men as well as women and children. Two staff members added that some donors are quite fixed in what they are willing to fund.<sup>73</sup>

## **2.4 IOM's Activities—Implementation**

Project outputs and outcomes pivot on a successful implementation phase. Research questions and findings in this section address how IOM has implemented its counter-trafficking projects from headquarters and in the field. Key aspects of any implementation are concrete components, such as partners involved, and the operationalization of informing principles, such as human rights, gender perspectives, and the rights of children. The question of human rights principles is central to the evaluation, as key findings relate to how IOM has and has not been able to utilize them in their counter-trafficking projects. The findings in this section address both aspects (the concrete and the operationalization of principle aspects) of IOM's implementation of Norway-funded counter-trafficking projects.

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71 IOM, 2005

72 Interview with IOM field staff, September 2010.

73 Interview with IOM staff, August 2010.



### ***How is IOM cooperating and coordinating its efforts with relevant institutions?***

- **IOM has worked to facilitate coordination and cooperation with government agencies, among NGOs, and between NGOs and governments.**

In all case study countries, IOM is working closely with government partners. As one survey respondent explained, “IOM in this region has become a reference point for governmental and civil society organizations. This is because IOM works at the operational level but maintains engagement at the policy level as well as community level . . . IOM has also made efforts to create linkages between all relevant players in countries and across borders.” All case studies showed strong evidence of IOM’s role in bringing together key actors and stakeholders to partner in the combat of human trafficking.

The case study countries exhibited strong examples of IOM-facilitated cooperation among government agencies as well as between the government and NGOs. In Norway, for example, coordination primarily takes place through the Coordinating Unit for Aid and Protection to Victims of Trafficking, and involves all the key actors, e.g., the Ministry of Justice and Police, the police, social services, child protection services, and reception centers. In Macedonia, IOM works closely with such governmental partners as the Reception Center for Foreigners, the office of the Referral Mechanism, the Police, the Ministry, and others. In Macedonia, all respondents regarded cooperation between IOM and government partners as very close. Some informants questioned whether this relationship has become too close and has created a reluctance on the part of IOM to speak frankly about human rights issues (see discussion under the human rights section below).<sup>74</sup>

Bangladesh and the Kyrgyz Republic also serve as examples of IOM’s close cooperation with national governments and among governmental agencies. Here, IOM has worked with government officials to develop an “alliance” of Ministries, led by the Ministry of Home Affairs, (MoHA). Both government and non-government stakeholders spoke about this cooperation in positive terms. However, it appeared that IOM has been unable to secure adequate government cooperation in its efforts to place victims in jobs, despite government officials expressing this as a priority during data collection. It also appeared that IOM has been unable to impact government policy on the use of closed shelters in Bangladesh. In the Kyrgyz Republic, IOM works closely with multiple governmental partners. For example, they work on a weekly, sometimes daily basis with multiple offices of the Kyrgyz Ministry of Labor, Employment, and Migration at the federal and oblast (district) levels. IOM staff have also worked at various points with several other agencies including the Kyrgyz Ministry of Foreign Affairs to assist with return of trafficked persons and with the Ministry of Internal Affairs to provide legal support to labor migrants.

Respondents in all countries also highlighted IOM’s work in building networks between NGOs as an important strength. When asked about IOM’s strengths in

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<sup>74</sup> Interviews with IOM staff, October 2010. Upon review of this report, IOM staff disputed their reluctance to speak frankly or critically. The evaluation team did not, however, find any evidence to the contrary.

terms of counter-trafficking, several survey responses cited IOM's NGO network-building efforts: one survey respondent cited "capacity building of local NGO and local institutions," while another pointed to "linkages and referrals systems that have been established with NGOs combating trafficking."

Interview and focus group data strongly echoed this survey finding: In Bangladesh, IOM assisted a regional network of NGOs to restructure and implement a plan for self-financing by members, with a view to placing the network on sustainable financial footing without the need for donor funding. Respondents also saw IOM as an important mediator in the relationship between NGOs and the Bangladeshi government. In Nigeria, NGOs also listed IOM's ability to act as a strategic broker between the National Agency for the Prohibition of Trafficking in Persons (NAPTIP) and NGOs as a major strength. Indeed, NGO respondents requested IOM to facilitate more forums for networking and exchanges of experiences.<sup>75</sup> In Macedonia, IOM support for exchange visits by the Macedonian Association of Public Prosecutors helped facilitate the development of a regional cooperation agreement between prosecutors from Macedonia, Albania, Serbia, and Montenegro.

In the Kyrgyz Republic, NGO partners highly praised IOM for identifying and bringing together a network of 35 NGOs throughout the country to combat trafficking. NGO respondents noted that these organizations would not be collaborating at this level, and might not even have been working on human trafficking without IOM's presence.

As these examples suggest, IOM has invested in and built several networks of NGOs, which are highly regarded by the cooperating partners as an important resource in the fight against human trafficking.<sup>76</sup>

- **IOM and other relevant international institutions do not appear to be routinely collaborating on efforts to combat trafficking. In some instances, there is overlap between IOM counter-trafficking activities and the activities of other international agencies.**

In several case study countries, non-IOM respondents expressed significant concern over IOM's lack of collaboration on efforts to combat trafficking. In the Kyrgyz Republic, for example, four separate international organizations (both governmental and non-governmental) explained that key aspects of IOM counter-trafficking activities duplicated their work. This included especially prevention and capacity-building projects. They also noted that while they had sought to collaborate with IOM on their projects, IOM had not expressed interest in partnering with them and had generally rebuffed their efforts to get involved with IOM's projects. They were also concerned that IOM did not always have the appropriate expertise to address

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<sup>75</sup> Interviews, NAPTIP Respondent; NGO Respondent; Email, NGO Respondent.

<sup>76</sup> It is worth noting that while they had worked with IOM in developing the NGO network in the Kyrgyz Republic, respondents explained that they had never worked on counter-trafficking prior to IOM's arrival. For at least three specific NGO respondents, they noted that once they began to work on trafficking, they decreased or even ceased to work on other issues on which they had previously focused, e.g., assistance to victims of domestic violence. Depending on the circumstances, it may be important to consider resources available to address certain issues and for IOM to ensure that their projects do not preclude the continuation of other needed services simply because resources may be more readily available for counter-trafficking projects.

some specific aspects of counter-trafficking they were working on, for example, on migrant labor rights or police and border guard capacity to combat trafficking.<sup>77</sup>

In Nigeria, the ILO has established a new counter-trafficking project that overlaps with existing IOM activities. The ILO project is funded by one of the same donors as the IOM project. IOM's agency head initiated a meeting with his ILO counterpart on how to reduce this overlap and reports that discussions are ongoing: "Our teams are working together in making sure the activities done by the CTI are not necessarily the activities done by the ILO counter-trafficking project."<sup>78</sup>

In Southern Africa, two separate SACTAP evaluations (2006 and 2010)<sup>79</sup> have recommended an agreement be developed between IOM and UNODC to promote collaboration and reduce overlap. This has not happened and comments from both IOM and UNODC indicate that this lack of collaboration follows from differences of opinion regarding each agency's role and capacity with regard to the criminal justice components of countering trafficking. UNODC asserts that its responsibility for the UNTOC and Palermo Protocol provides it with a mandate to lead in the criminal justice sector. IOM argues that UNODC lacks the resources to undertake this mandate and that this has left the very important area of apprehending traffickers and securing justice for victims largely unaddressed.<sup>80</sup> While in some cases this collaboration was lacking, comments from staff of both organizations across several other locations suggested that the relationship has been improving.

Taken together, these examples suggest that IOM's counter-trafficking initiatives would benefit from additional collaboration between IOM and other international agencies also actively working to combat it. There appear to be several projects in the field that aim at similar target audiences and seek to provide similar services but do not always involve all potential partners or resources present in the field.<sup>81</sup> Increased cooperation between IOM and these other agencies could only benefit local, national, and regional efforts to fight human trafficking.

- **IOM has developed partnerships with the private sector, particularly in the area of victim support.**

In addition to such "traditional" institutions as governments, IGOs, INGOs, and donors involved in counter-trafficking, IOM has also established relationships with other key partners in their efforts to combat human trafficking, including the private sector and academic institutions. In particular, study respondents cited several instances where IOM was collaborating with private sector actors, especially to provide opportunities for victims of trafficking to gain job skills or to work.

In Bangladesh, IOM established several collaborations with private sector actors. These included a partnership with a national trade association to provide training and job opportunities for victims of trafficking in one of the primary national indus-

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77 Interviews with IGO and INGO staff, Bishkek, Kyrgyz Republic, October, 2010.

78 Interview with IOM headquarters staff, August 2010

79 Duncan A et al, 2006 and Nordic Consulting Group, 2010

80 Interviews with IOM and UNODC – no more details are provided due to issues of anonymity

81 The IOM staff review of the report noted that when IOM began implementing SACTAP in 2003/4, it was one of the only international actors working on trafficking in South Africa.

tries central to its export sector. IOM was also working with both private sector organizations and government actors to establish local cafes where trafficking victims could train, work, and earn a steady income. In some cases, the cafes are now financially independent and sustain themselves on the income from their sales.<sup>82</sup> In Macedonia, IOM worked with the Chamber of Craftsmen, the Chamber of Commerce, and local businesses to provide vocational and on-the-job training opportunities to at-risk women and members of the Roma community in an effort to decrease their vulnerability to trafficking. These partnerships enabled participants to choose from a range of training options in local businesses including, for example, computer literacy, floristry, and cosmetics.

On a more global level, IOM headquarters staff cited several other examples of cooperation with the private sector, including the *Buy Responsibly* campaign, aimed at encouraging consumers to pay more attention to the origin of the products they buy, for which the advertising firm of Saatchi and Saatchi provided their services *pro bono*. IOM staff also noted that they have established agreements with approximately 40 airlines worldwide to provide discounts of between 40 and 60 percent on airfares, significantly decreasing flight costs and thus increasing the number of trafficking victims and other migrants IOM is able to assist.<sup>83</sup> In general, the fact that IOM has reached out to and involved such non-traditional partners as for-profit companies from the private sector in their counter-trafficking projects has diversified resources available for these initiatives. Private sector actors have been especially important in providing job training and employment opportunities as an untested but potential means of prevention and an important resource for the rehabilitation and reintegration of victims.

### ***Does IOM apply a human rights perspective in its counter-trafficking programs?***

- **IOM does not clearly document how it applies human rights perspectives to its counter-trafficking work. There are positive examples of IOM applying a human rights perspective. However, IOM does not appear to have a structure to support inclusion and monitoring of human rights principles or address instances where IOM-supported programmes may be in breach of international human rights standards.**

IOM lists respect for human rights as one three principles governing all counter-trafficking activities,<sup>84</sup> (also frequently emphasized in project documents). The evaluation team assessed the issue of guidance or inclusion of human rights primarily from the point of view of whether IOM's stated commitment to human rights principles was reflected in their efforts to ensure adherence to international human rights standards, with particular reference to international human rights law and the UN Principles and Guidelines on Human Rights and Human Trafficking.<sup>85</sup>

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<sup>82</sup> A. K. M. Masud Ali, and Sanjida Kasem. Mid-term Review of PPVHTB. Submitted to IOM, Dhaka, September 2009.

<sup>83</sup> IOM response to draft evaluation, February 2011.

<sup>84</sup> <http://www.iom.int/jahia/Jahia/counter-trafficking/lang/en>

<sup>85</sup> Recommended Principles and Guidelines on Human Rights and Human Trafficking. Addendum, Report of the High Commissioner for Human Rights to the Economic and Social Council, UN Doc. E/2002/68/Add.1 (20 May 2002), hereafter UN Principles and Guidelines

IOM documentation reviewed for this study did not in general specify that IOM incorporates a human rights-based approach into all counter-trafficking initiatives.<sup>86</sup> Staff in Macedonia, for example, claimed that they adhere to human rights but did not document the use of such key human rights principles as participation, empowerment, accountability, and transparency in their projects.<sup>87</sup> Concern was in fact expressed in this and other countries about the lack of certain rights-based practices, for example, inclusive decision-making. In Nigeria, both government and IOM respondents thought that at times IOM needed to do more to ensure the active engagement of key project actors, especially during technical missions. As one person commented, “they just visit us and go,” implying IOM staff may not be providing local staff with guidelines needed to ensure that various key principles are operationalized.<sup>88</sup>

When discussing human rights guidance, IOM headquarters staff reported that the CTU pays particular attention to meeting protection standards, including in relation to the potential impacts of programmes on irregular migrants and those involved in the sex industry. They further reported that IOM was in the process of developing a guidance note on human rights, but to date IOM has not formulated or utilized a protocol or checklist or other format that provides a guide to a human rights-based approach for their counter-trafficking projects. Nor did the documents reviewed for this study demonstrate *how* IOM seeks to apply a human rights perspective.

Other study data did provide evidence of IOM applying a human rights perspective. Some examples of this include IOM initiatives to support the identification of, and assistance for, victims of trafficking; IOM's work to expand its victim support initiatives to other migrants in need; advocacy for the incorporation of human rights concerns into national laws and policies; and expansion of service options to groups potentially vulnerable to trafficking. One government respondent even complained that IOM refused to use its influence with victims to persuade them to cooperate with law enforcement authorities, which suggests adherence to the human rights standard of non-coercion of victims.

However, respondents expressed concern around what adherence to human rights principles meant in practice. One survey respondent commented that while s/he had seen IOM introduce the topic of human rights, s/he had “not heard from my colleagues that we must always look at it from that angle,” which concerned him/her. Other survey respondents were unsure how they were to apply human rights principles. Thus, while staff understood the importance of the respect for the human rights of victims, they were not always clear on how to operationalize and/or apply human rights in their counter-trafficking work.

Other data that raised concerns with regard to the consistency of IOM's application of and adherence to human rights principles came from Nigeria. In Nigeria where IOM provides support for the shelter programme, the shelters run by NAPTIP are closed and victims are not allowed to leave, even those who are not Nigerian

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<sup>86</sup> See OHCHR, 2006 for a definition and explanation of rights based approaches

<sup>87</sup> Interview with staff, Macedonia, September 2010.

<sup>88</sup> Interview, NAPTIP Respondent.

citizens. Principle 7 of the 2002 UN Principles and Guidelines states that “Trafficked persons shall not be detained, charged or prosecuted for the illegality of their entry into or residence in countries of transit and destination, or for their involvement in unlawful activities to the extent that such involvement is a direct consequence of their situation as trafficked persons.”<sup>89</sup> The NAPTIP shelters would thus appear not to be in compliance with this human rights guideline.

The 2010 Commentary on the UN Principles and Guidelines (p.133) adds, “The Trafficking Principles and Guidelines are explicit on the point that the detention of victims of trafficking is inappropriate and (implicitly) illegal. Under their provisions, States are required to ensure that trafficked persons are not, under any circumstances, held in immigration detention centres or other forms of custody.” The Commentary (p.135) also suggests the detention of trafficked persons may breach Article 9 (1) of the International Covenant on Civil and Political Rights on arbitrary detention.<sup>90</sup> The evaluation team found no evidence that IOM has a policy position on this issue.

The Nigerian case also raised concerns with regard to family reintegration. The Nigerian programme’s stated objective for victims was that they would be reintegrated with their families. This objective applies to adults as well as to children. When asked what happened when the victims did not wish to return home, an official advised, “We counsel them to do so.” One NGO respondent expressed concern that “The first priority of IOM and NAPTIP is family reunification, but our priority is the victim. You cannot force a reunification.”<sup>91</sup> What appeared to be a lack of choice regarding victims’ reintegration with their families is not consistent with a respect for the rights of victims.

It is important to remember that IOM is not always in a position to be prescriptive on human rights principles and in some countries, the government sets human rights standards lower than what IOM would recommend. However, no IOM staff member expressed a concern about these shelters in Nigeria being closed, or about NAPTIP being responsible for both law enforcement and victim support, an issue raised by several other organizations. In general, it did not appear that IOM has a policy position on how to reconcile its expressed focus on human rights with support for programmes that appear to breach such rights.

Another human rights issue involves deportation: by mandate, IOM is not allowed to support deportation; they do, however, support voluntary return and provide a number of return programmes. In some cases, however, the victim has no alternative other than to return to their country of origin. For victims, IOM staff argue that the victim is choosing to be repatriated voluntarily as the best choice among a very limited range of options. When a victim is located in a receiving country, IOM then requires that s/he sign a voluntary return declaration form in which the s/he confirms that s/he is returning to the sending country voluntarily. If the receiving coun-

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<sup>89</sup> UN Principles and Guidelines, 2002, p3.

<sup>90</sup> Office of the High Commissioner of Human Rights (2010), Recommended Principles and Guidelines on Human Rights and Human Trafficking, New York and Geneva.

<sup>91</sup> Interview, NGO Respondent, October, 2010. The IOM review of this report suggested this was a misunderstanding. It does not, however, appear inconsistent with the view of the government official noted above.

try's rules require return and s/he does not sign the IOM form, s/he may then end up with no other option but placement in a detention facility and/or deportation by national authorities. While IOM prima facie adheres to the human rights principle of voluntary return, the implications of the signature on the paper requirement and the absence of any other meaningful options may compromise the way in which voluntary return is operationalized and create the perception of coercion.

Upon return, IOM requires that victims sign a second form, the IOM acceptance of assistance form; only after s/he signs it, does s/he become eligible for support services. The sequencing of agreements makes clear – and IOM staff noted – that IOM does not ‘tie’ assistance to return. Indeed, there are also cases even cases where, through the Global Assistance Fund, IOM provides emergency support to victims at any stage of the return and reintegration process, regardless of whether or not a victim returns home.<sup>92</sup>

The decision to allow victims to remain in the country is one for governments and not IOM. Further, IOM's approach of voluntary return is not a breach of international law or the UN Principles and Guidelines on Human Rights and Human Trafficking, which refer to “safe (and, to the extent possible, voluntary) return.”<sup>93</sup> At the same time, it appeared (and IOM staff noted) that reintegration support may be *perceived* as an incentive to encourage return. Given *both* the fact that IOM must adhere to national laws *and* the possibility of the perception of coercion, it is important to consider how IOM's return and reintegration procedures resonate with human rights principles. A stated commitment to human rights would seem to question associating assistance with return in any way, especially where victims have almost no other viable options.

Other issues identified by the study which did not appear to be consistent with IOM's statement that human rights is a governing principle of its counter-trafficking work included:

- While some was provided in Macedonia and Nigeria, document review and interview data did not in general highlight how IOM victim support programmes were assisting victims to understand and access their legal rights, and it is not clear that this is a significant focus of victim support initiatives.
- Respondents in two countries expressed the view that IOM should be more outspoken in terms of human rights issues and abuses of migrants.
- No ethical guidelines are in place for much of IOM's work on trafficking,<sup>94</sup> including with regard to how to conduct research on trafficking and cooperate with the private sector on victim support programmes.<sup>95</sup>
- In Norway, some respondents were critical of the IOM screening interview for requiring such detailed information on the background and profile of the victim. According to them, IOM does not need all this information and it only serves to disturb and worry the victim to have to tell her/his story yet another time.<sup>96, 97</sup>

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92 IOM report review, February, 2011.

93 Guideline 11, UN Principles and Guidelines, 2002, p4.

94 IOM does report using WHO Ethical Guidelines for Interviewing Trafficked Women

95 For example, UNIAF *Guide to Ethics and Human Rights in Counter-trafficking: Ethical Standards for Counter-trafficking Research and Programming* [http://www.childtrafficking.com/Docs/uniap\\_08\\_guide\\_counter\\_0109.pdf](http://www.childtrafficking.com/Docs/uniap_08_guide_counter_0109.pdf)

96 Interview with three staff, 2010.

97 IOM staff noted that the IOM interview process requires staff to state explicitly that the interviewee can decline to answer any or all questions.

## ***Does IOM apply a gender-based perspective in its counter-trafficking programs?***

- **IOM does include a gender-based perspective in most of its counter-trafficking programs. While the CTM provides gender-disaggregated data, IOM does not include gender-disaggregated data in all of its planning and reporting.**

IOM does not have a specifically articulated gender and trafficking policy. For the purposes of the evaluation, the team has used the following definition.

A gender perspective on trafficking achieves change by:<sup>98</sup>

- Acknowledging trafficking in both men and women;
- Addressing the similarities and differences in the trafficking experience of women and men in relation to vulnerabilities, violations, and consequences; and
- Addressing the different impacts of laws, policies, and practices on men and women.

IOM has a Gender Unit within the Director-General's Office in headquarters. The Gender Unit is responsible for gender policy within the organization, including gender mainstreaming and gender equity/balance within the organization's own staffing. There is a network of gender focal point staff in each division, mission, and field office. The Unit staff highlighted giving greater profile to trafficking in men as a priority, including publication of research on trafficking in men in Belarus and the Ukraine, but noted that donor funding is often a constraint to including men, i.e., donors specify that funds are to be used to prevent trafficking in women and children. As part of its use of the Palermo definition, IOM automatically advocates for trafficking definitions to include men. Where possible, the Unit reviews visual materials to ensure that they promote positive images of women, remove half-naked photos and specific scare tactics. The Unit has a gender checklist (not trafficking-specific) that promotes gender analysis and appropriate use of language.

Most IOM projects include at least some focus on men as well as women. In some cases, however, men were either not included or only limited services were available to them. The project objective for Bangladesh, for example, does not mention men. While there are shelters in Nigeria that accept men, limited or no other services were available to adult male victims. Several respondents in the Kyrgyz Republic highlighted the presence of a large number of men among exploited migrants and trafficking victims, as well as the need for a shelter for men after the recent civil unrest, which increased the number of male as well as female vulnerable migrants. One recent case, after the June 2010 unrest, involved a male victim for whom there was no shelter or obvious means of assistance. In Bangladesh, where the current law does not recognize trafficking in men, IOM-sponsored economic support services do not include male victims. This suggests the need to extend IOM-provided programmes and services to vulnerable male groups and the growing number of cases recognized as trafficking in men.

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98 UNIAP/UNIFEM, 2002.



Survey respondents generally considered that IOM applies gender perspectives to its counter-trafficking efforts. As Exhibit 4 suggests, 80 percent of IGO (including IOM) and NGO respondents felt that IOM “always” applies gender perspectives. Governmental respondents were less certain (55.6 percent answered “always”), with one-third responding that they did not know or not applicable.

**Exhibit 4: Does IOM apply gender perspectives to its counter-trafficking efforts? (Percentage)**

	National government department, ministry or agency	Local government department, ministry or agency	International governmental organization	Non-governmental organization
Always	55.6	0	79.6	81.0
Often	11.1	100.0	18.4	14.3
Sometimes	0	0	2.0	0
Rarely	0	0	0	0
Never	0	0	0	0
Don't know / Not applicable	33.3	0	0	4.8
TOTAL	100.0	100.0	100.0	100.0

Source: IOM counter-trafficking survey, November 2010 - January 2011 (Question C7)  
 Note: N=91. International governmental organization includes IOM employees.

One survey respondent felt that while s/he understood human rights and child rights and how to apply them to trafficking, “guidelines” related to gender were “less clear.” Another survey respondent noted that “[m]ost of IOM’s work in this area has been designed with a female victim of trafficking in mind, often at the expense of trafficked men.” Several expressed the concern that men “are rarely identified as victims of trafficking or potential victims” and that “[t]he IOM gender perspective is often unbalanced towards women and underestimate[s] men victims of trafficking.” These open-ended responses thus cast some doubt on the strong validation of IOM’s application of gender perspectives found in the aggregate survey responses, especially with regard to the identification of and support for male victims of trafficking.<sup>99</sup>

Other indicators of a sometimes insufficient attention to gender include the range of training opportunities available to trafficked women in Bangladesh and Nigeria, which appeared largely confined to jobs traditionally held by women. Further, gender-disaggregated data for those engaged in various activities were not always available. Such data are essential if IOM is to identify and address the similarities and differences in the trafficking vulnerabilities of men and women.

When thinking about gender, it is also important to consider how women have been co-located with children in several IOM projects. In Bangladesh, the entire set of

<sup>99</sup> Upon report review, IOM staff noted that it is only in the last few years that the international community has come to recognize trafficking in men as an issue. However, the international definition of trafficking agreed in Palermo in 2000 includes men. As one of the major actors in the international anti-trafficking community, IOM has been long aware of the problem of trafficking in men.

projects is aimed at women and children together, as a group. The needs of adult women, however, differ significantly from those of children. Informational campaign materials that target women should be differentiated from those that target children; direct assistance services for women are necessarily different than those of children; and especially the appropriateness and desire to return “home” is often significantly different between women and children. Even where they might have overlapping needs, e.g., in seeking employment, the types of work appropriate for and accessible to adult women are different than work suitable for children. Combining projects for women and children risks infantilizing women and misappropriating resources to meet the needs of a single group called women-and-children without actually meeting the distinct needs of either group. It further plays into the stereotype that women are trafficked because they are weak and without agency. The fact that some IOM projects seek to address women and children as a single target group suggests the need for further focus and application of gender perspectives in IOM’s counter-trafficking work.

### ***Does IOM apply a child rights perspective in its counter-trafficking programmes?***

- **IOM has maintained a strong focus on and programmes designed to address the needs of child victims of trafficking. However, IOM has experienced both institutional and political challenges in meeting the needs of children vulnerable to and victims of human trafficking. In two countries, IOM has either not specifically addressed the needs of children or subsumed them under efforts designed to address the needs of women and children simultaneously.**

IOM projects have frequently included specific projects or activities designed to meet the needs of child victims of trafficking. In four of the case study countries, IOM staff have included either some policy or specific projects to address the needs of child victims of human trafficking. These policies and projects show a strong awareness of and ability to integrate children’s rights.

These efforts have not, however, always been successful and have experienced both external (bureaucratic, political) and internal (lack of expertise) challenges. In Bangladesh, for example, Norad staff sought to focus their efforts on a programme to combat child trafficking—the Coordinated Programme to Combat Child Trafficking (CPCCT)—in its first forays into the country. CPCCT took a multi-faceted approach to combating child trafficking, including training and building police and border patrol capacity, and supporting the prevention, rescue, repatriation, and integration of survivors of trafficking. This project experienced significant delays, lacked staff capacity, and faced challenges related to government-to-government projects with limited resources for implementation.

After addressing these challenges and adding IOM as a partner, donors Norway and Denmark launched the Prevention and Protection for Victims of Human Trafficking in Bangladesh (PPVHTB) project, in 2007. Here also children were a primary project focus in addition to adolescent girls and women. Children were included in activities

designed to screen for cases of child trafficking, ensure children's rights, and provide shelter and recovery services. At the same time, and as suggested above, however, awareness-raising and support for both women and child victims were folded into a single project. The project's livelihood support initiative, as well as the partnerships with private employers, all targeted women over 18, demonstrating how the inclusion of both women and children in a single project may create a situation where limited resources are expected to address the needs of both groups and end up neglecting the needs of one in favor of the other. It may also be the case that the distinction between adults and children was not strictly maintained, thus creating this slippage. In many of the cases, it remains a question as to whether or not a single set of practices and/or strategies can meet the needs of both adults and children, even in a multi-faceted project.

In the Kyrgyz Republic, children have been one of the targets of IOM information campaigns and direct assistance projects. According to a government official and IOM field staff, IOM funds have gone to the production and distribution of books for school children, including a young persons' novel about trafficking. IOM also helped establish a shelter specifically for children both vulnerable to (i.e., abandoned, homeless, engaged in street begging) and victims of trafficking. This shelter included such services as access to social workers, awareness raising for children staying in the shelter, and play strategies designed to help children understand "what trafficking is, how to minimize the risks, and what to do if something happens."<sup>100</sup> The shelter was run by local NGOs in cooperation with local government departments, something uncommon in the region.<sup>101</sup> As one IOM field staff member explained, "the state is responsible for the welfare of children but it is hard because children cannot accept or reject assistance. They need someone to represent them."<sup>102</sup> An awareness of the rights of children appeared to inform the creation, partnerships, and operation of a shelter designed to meet the specific needs of vulnerable and victimized children. Unfortunately, this shelter was burnt down during the June 2010 civil unrest; sustained political instability in its aftermath had prevented IOM from making plans to rebuild it at the time of the field visit (October 2010). Activities such as the children's shelter project demonstrate an awareness of the specific needs of children and suggest a project built on children's rights.

In Norway, IOM reported an increase in the number of child trafficking victims over the past two to three years. IOM staff claim to maintain separate guidelines and routines for protecting children; specific organizational practices appear to confirm this claim. For example in two cases, IOM has recommended that child victims not be returned to their country of origin. In addition to services for child victims, IOM Norway includes additional funds for return and reintegration support for the children of victims of trafficking. One respondent expressed concern over the lack of information about the place of return and how children would be protected upon return. Nevertheless, the recommendation that children not be returned indicates a command of children's rights.

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100 IOM field staff interview, Kyrgyz Republic, October 2010.

101 Focus group, external staff interview, IOM field staff interviews, Kyrgyz Republic, October 2010.

102 IOM staff interview, Kyrgyz Republic October 2010.

In other countries, there appeared to be less programming informed by children's rights. In the case of Macedonia, there has been an increase in the number of children and youth identified as trafficked over the past three years (2007–2010). IOM provided financial and technical support to draft the current National Plan for Action for Combating Trafficking in Children but did not make other explicit efforts to address the needs of children in Macedonia. In the face of an increase in identified child victims, one respondent expressed the concern that the counter-trafficking initiatives of both IOM and other organizations failed to consider sufficiently the needs of children. In the case of Nigeria, there has been relatively little reported focus on the needs or rights of child victims. NGO respondents expressed the concern that the lack of shelter options for boys had led to many boy victims being sent to orphanages.<sup>103</sup>

These examples suggest that in many cases, IOM has included child rights perspectives and programming aimed at the needs of child victims of human trafficking in their projects. At the same time, the lack of programming targeted to the specific needs of children (as well as the subsuming of children's needs under projects aimed at "women and children") suggest that IOM does not have a systematic set of child's rights and child-focused counter-trafficking interventions. Both ILO and UNICEF have produced manuals on how to deal with victims of child trafficking. Although the UNICEF Manual is highlighted in IOM's Handbook on Direct Assistance to Victims of Trafficking (2007), no IOM respondents made mention of either of UNICEF or ILO resources, and the evaluation team did not see evidence of their use. One survey respondent suggested that IOM needed to "improve in this regard by drafting child specific guidance." As this comment suggests, there remains a need to strengthen IOM's ability to address children's needs and to protect children's rights.

## 2.5 IOM's Activities—Results

The purpose of any counter-trafficking project is to produce results that prevent trafficking, build the capacity of relevant actors to address their specific aspect of trafficking (e.g., supporting victims, prosecuting traffickers, etc), or provide rehabilitation and reintegration services to those who have experienced trafficking. The research questions in this section explore the ability of IOM's projects to achieve the results it includes in its project proposals. The findings respond to each of these questions and take up such themes as where and how IOM's projects have helped to build national capacities to fight trafficking, as well as questions related to the ability of IOM or others to identify any key results, including outputs, outcomes, and impacts, of these projects. The section concludes with the issue of the alignment between results and information reported to IOM's board and role of this information in ensuring project coherence and integrity of design.

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103 Interview with NGO respondent, Nigeria, September, 2010.

***To what extent is IOM contributing towards building national capacities to combat human trafficking?***

- **IOM has contributed to the development of national governmental and non-governmental capacities to provide prevention and protection programmes for victims of trafficking.**
- **IOM has helped build national and international networks of partners, particularly among NGOs, with the ability to provide counter-trafficking activities.**
- **IOM has contributed to National Strategies and Plans of Action to Combat Human Trafficking.**
- **IOM has provided trainings on multiple aspects of countering trafficking that contribute to building national capacities.**
- **IOM has not always utilized institutional and international resources available to help build national capacities.**

IOM has documented, and non-IOM respondents have corroborated, extensive work in all case study countries that has contributed to enhancing national capacities to combat human trafficking. These efforts involve identifying and training governmental and NGO partners in how to provide prevention activities, e.g., hotlines for potential migrants and migrants in need and multi-faceted informational campaigns designed to raise awareness about trafficking among vulnerable groups. They also include building governmental and NGO capacity to provide appropriate services to victims of trafficking, e.g., joint governmental, NGO, and IOM shelters in the Kyrgyz Republic for returned victims that offer housing, food, medical assistance, psychological counseling, family reunification, and vocational training among other services.

In Nigeria, IOM initiated shelters and then transferred responsibility for them to the government. A government official explained that this was crucial, since the government initially had nowhere to place trafficking victims. S/he added, “Everything we know about rehabilitation came from IOM.”<sup>104</sup> In Macedonia, IOM provided financial and human resources to both the government and an NGO to establish and run a shelter within the government-run Reception Center for Foreigners. The shelter was subsequently handed over to the Reception Center. The legacy of IOM work in the form of such key resources as NGO networks, stakeholder partnerships, and multi-sourced programmes like shelters for victims clearly indicate IOM’s role in developing national capacities to combat trafficking.

In developing shelters, IOM also brought together networks of NGO partners in, for example, Bangladesh and the Kyrgyz Republic (and throughout Central Asia) to exchange information and provide referrals as well as to create opportunities for peer-to-peer learning. One respondent explained that without IOM, this network would never have been developed and that it now played an important role both in combating trafficking and in empowering civil society.<sup>105</sup>

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<sup>104</sup> Interview with Nigerian government official, September 2010.

<sup>105</sup> Interview with NGO respondent, Kyrgyz Republic, October 2010.

In addition to bringing NGOs together, IOM has brought governmental and non-governmental actors together as partners in the effort to combat human trafficking. Three NGO respondents in the Kyrgyz Republic, as well as NGO respondents in Nigeria, explicitly referred to the benefits of having the civil society—governmental partnership as a means of combating trafficking. The Kyrgyz government and NGOs were working together to provide information campaigns, victims’ shelters, and prevention hotlines, and to develop National Plans of Action. This level of collaboration between government and civil society was unprecedented in the Kyrgyz Republic, especially given the perception of significant corruption and the lack of governmental resources. Both governmental and NGO respondents credited IOM with forging this partnership and creating a multi-sector response to human trafficking. Bangladeshi NGO and other civil society respondents similarly identified IOM’s central role in engaging the Bangladeshi government in acknowledging and “taking ownership of the possible solutions” to the problem, as well as bringing them together with NGO actors to combat of trafficking, for example, by providing employment opportunities and other resources for victims of trafficking. In both of these examples, civil society respondents emphasized that without IOM, the government and NGOs would likely not have formed any kind of partnership in the fight against human trafficking and that without this collaboration, it would not be possible to provide prevention or direct assistance activities to victims.

IOM has regularly participated in national commissions on combating trafficking; convening other committees and workshops; identifying governmental, NGO, and other partners to be involved in the articulation of National Plans of Action; and acting as a participant in these processes. IOM maintained active involvement in these processes, with as much as daily input on national strategies and action plans and as much as bi-monthly consultation to governments in “policy development and networking.” According to one IOM respondent, they had been involved in almost all relevant “policy documents and national mechanisms that have been established during the past ten years.”<sup>106</sup> After identifying partners and facilitating workshops and committees to discuss National Plans of Action, IOM provided regular financial support and technical assistance to the development of national plans in Macedonia, the Kyrgyz Republic, Bangladesh, and Nigeria. IOM played a significant role in ensuring that these national plans were drafted and adopted.

IOM has also provided numerous trainings on trafficking-related issues, many of which enjoyed extensive praise from non-IOM respondents. In the South Africa case study, all respondents specifically mentioned the “high regard” they have for IOM’s law enforcement trainings and the quality of the IOM trainings. In Bangladesh, capacity-building trainings often focused on proper identification of victims and the use of human rights protections, among other activities, in order to strengthen local counter-trafficking committees and motivate them to address issues of human trafficking in their jurisdictions. IOM has also contracted with a legal educational institution to train 50 master trainers from the judiciary to develop their capacity to prosecute trafficking crimes. They have also trained 50 government master trainers to help build capacity and sensitize government officials at the local level to the

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<sup>106</sup> Interview with IOM respondent, Macedonia, September, 2010.

existence of human trafficking and provide, in partnership with local NGOs, recovery services to victims. In other cases (Nigeria and Macedonia), IOM organized field visits for legal professionals as a means of helping them learn how to pursue and prosecute trafficking-related crimes. In Macedonia, professional legal associations that were brought into contact with other regional legal associations through IOM training went on to form their own partnerships with them, suggesting that this training empowered them to collaborate beyond the parameters of the training itself. This kind of action beyond the training suggests the importance of IOM's trainings in building the capacity of governmental and non-governmental actors to combat trafficking.

One concern, expressed especially by IGO respondents, involved the ways in which IOM sought to build national capacities and who they involved in these efforts. In particular, six independent IGO and INGO respondents in the Kyrgyz Republic with relevant expertise on such aspects of counter-trafficking as training law enforcement and protecting vulnerable migrant laborers were not included in IOM counter-trafficking projects; in four cases, these organizations felt actively excluded from this work. It appeared that IOM and other international organizations may not have been collaborating or utilizing available resources of these organizations whose mandates also include aspects of counter-trafficking (e.g., law enforcement training or victims' services) as effectively as they might.

IOM has been one of few international organizations that have sought to build national capacities to combat human trafficking and to leave field sites with resources able to do so after the end of an IOM project. Field respondents universally recognized the crucial role IOM has played in building prevention, direct assistance, networks, and training capacities in these countries. The kinds of resources IOM can bring, e.g., Norwegian support, victims' assistance expertise, and training skills, have helped bring governmental and civil society actors together to collaborate in the fight against human trafficking.

***What are the key results of the selected interventions, at which level (output, outcome, impact)?***

- **IOM has generally strong documentation of the outputs of its programmes. However, IOM does not systematically establish clear linkages between project activities, outputs, interim outcomes, and impacts. It is thus not always possible to attribute impacts to outputs.**

Outputs are those items or plans produced as a result of project activities, e.g., informational print ads explaining trafficking, booklets explaining safe migration, or workshops convened to build local capacity to prosecute traffickers. Additional project outputs may include the receipt of project activities, for example, 500 ads placed on the web and viewed by 200,000 people, 100,000 safe migration booklets distributed to migrants departing from an international train station, or 750 lawyers having received a capacity building workshop. Project outcomes are changes effected in a target population or target entity as a result of their exposure to or participation in project outputs – what is different about target groups' knowl-

edge, attitudes, intentions, or behaviors, as a result of their exposure to these ads, booklets, or workshops. Project impacts are the desired, longer-term results of project outcomes, usually detectable with a rigorous evaluation design, e.g., more cases of safe migration/fewer cases of exploited migrants, more human traffickers prosecuted by local lawyers for their crimes. All of these outputs, outcomes, and impacts strive toward the longer-term impact of decreasing human trafficking.

IOM has strong documentation of outputs across all project countries. The organization keeps detailed information about the number of victims assisted (in most countries using the CTM database), the number of people trained, the amount of awareness-raising materials produced, and other activities associated with their counter-trafficking projects. More information is provided on these outputs in the case studies in Annexes D–H.

There is, however, much more limited information with which to assess the impacts of IOM's projects.<sup>107</sup> The one exception may be in Macedonia, where evaluations conducted in 2006 and in 2009 found that the economic support programmes had improved the economic status of participants as well as the quality of life of their families. The evaluations also noted a fall in the number of people migrating for work. This example aside, however, there is limited information with which to assess the impact of IOM's counter-trafficking work.

In IOM counter-trafficking projects, there are very limited examples of linkages between project outputs and outcomes as well as very few documented outcomes and impacts. For example, such project outputs as convening a workshop or establishing a hotline (project outputs that IOM has documented) can be linked to certain interim outcomes, for example, a documented number of lawyers who participate in a training or number of calls received by a hotline. These interim outcomes do not, however, constitute project impacts. For example, if the goal of a workshop was to increase knowledge about trafficking and how to prosecute it, IOM has, in general, not documented knowledge prior to, immediately after, or one year after a training on how to prosecute traffickers. As such, they cannot assess if the training led to the desired outcome of increasing understanding of how to prosecute traffickers, much less any impact, e.g., increasing the number of traffickers prosecuted and convicted.

Similarly, IOM staff do not routinely collect information on the longer-term impacts of their information campaigns and awareness-raising programmes. Neither do they routinely collect data on the longer-term impacts of its direct assistance work on trafficking victims' rehabilitation and reintegration. There is limited monitoring of reintegrated trafficking victims, and in none of the countries studied did IOM document any feedback received from victims as to their level of satisfaction with the services provided.<sup>108</sup> Indeed, the evaluation found no information about the longer-term impact of any IOM prevention projects (including information campaigns and awareness-raising activities) or victims' assistance services, much less about

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<sup>107</sup> Upon review of this report, IOM staff indicated that they now recognize a lack of project assessment and are developing a new project document and review process that emphasizes outcome-oriented implementation.

<sup>108</sup> While the IOM-developed assistance interview form does allow for the tracking of this information, it is not routinely collected.



impact of these counter-trafficking initiatives on the size, scope, or nature of the trafficking problem.

Several interview and survey respondents noted that the short timeframes of many IOM projects make it difficult to assess outcomes and evaluate projects in general. According to one survey participant, for example, “insufficient attention and resources are devoted to evaluation which greatly reduces the Organization’s ability to identify good practice systematically,” while other participants highlighted the importance of internal evaluation and strengthening the organization’s evaluation capacity.

Although short timeframes are clearly a constraint, they do not account for the fact that IOM does not utilize logic models or theories of change, which would allow the organization to more effectively conceptualize or hypothesize how project activities might link to intended outputs and desired outcomes (which could then, via evaluation, be measured). As discussed in Chapter I, counter-trafficking experts have yet to identify or develop appropriate means and appropriate methodologies for measuring the scale of the human trafficking problem. Without strong evidence of the scope of human trafficking, IOM, like all other organizations involved in the combat of trafficking, cannot measure the impacts of counter-trafficking initiatives in terms of whether they are having an effect on trafficking levels overall. Further, results of interventions are frequently complex and multi-faceted and often beyond the scope of methodologies available to those seeking to identify their presence, measure their magnitude, and assess their implications.

These constraints were recognized in a report produced by the US Government Accountability Office in 2007, entitled “Monitoring and Evaluation of International Projects Are Limited, but Experts Suggest Improvements.” The report evaluated projects receiving US government funding (including IOM projects), and recommended that project designs include a logic framework to “clearly link activities to intended outcomes, identify measurable indicators, and establish procedures for setting and modifying targets.”<sup>109</sup> The report also noted the importance of building monitoring and evaluation into project design.

One indication that IOM acknowledges this problem is that it has produced a handbook on evaluation, which sets out indicators under protection, prevention, and prosecution.<sup>110</sup> However, although the document includes an example of a logical framework, there is no discussion about theory of change and the document does not have a strong focus on the linkages between activities, results (which it uses in place of outputs, outcomes, and impacts), and objectives.

Most of the indicators in the IOM evaluation handbook are output-focused (e.g., number of people receiving training, number of participants in micro-credit schemes, number of calls received by a hotline), and the links between these outputs and the intended results are often not fully conceptualized and more often, not measured. For example, the handbook recommends the number of organiza-

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<sup>109</sup> US Government Audit Office 2007, p. 27

<sup>110</sup> International Organization for Migration (2008), Handbook on Performance Indicators for Counter-Trafficking Projects, Geneva

tions who have “conducted some TIP prevention related activity on their own” as a measure of capacity (p. 23 of the handbook). Further, the prevention section contains major assumptions about the links between such interventions as micro-credit and the prevention of trafficking without fully hypothesizing the link, assumptions that as noted on p. 34 of the handbook, IOM itself questions. There is in fact no discussion these kinds of key informing hypotheses of linkages in the document.

Given the lack of logic models for counter-trafficking projects, it was, in most cases, not possible to determine whether project outputs had led to any perceived outcomes, and whether these outcomes were likely to contribute to impacts/the end goals of trafficking projects: to prevent people from being trafficked or to achieve successful social integration of trafficking victims. IOM’s work in awareness raising provides a clear example of unarticulated and questionable assumptions underlying the linkages between activities, outcomes, and overall objectives, and is covered in more detail immediately below.

- **IOM has strong documentation of various and creative information campaign and prevention materials. However, there is limited documented evidence to demonstrate the relevance or effectiveness of information campaigns as a trafficking prevention strategy.**

Non-IOM respondents in all countries spoke very highly of IOM’s information campaigns in terms of both quality and scope. IOM uses a wide range of techniques to get its messages across, and has produced a wide range of outputs in this area, many of which are used by other organizations. These include: documentaries; public service announcements (one of which won an award at South Africa’s Ninth MultiChoice VUKA! Awards for film-making); posters; and other materials. In 2007, the US Trafficking in Persons Report featured the Awareness Week organized under the SACTAP project as one of its examples of Commendable International Efforts. One headquarters-based staff member also highlighted a video in Moldova which followed the daily life of a staff member working with victims of trafficking, as an example of the type of material that could be used more widely.

In line with the recommendations of the internal evaluation in 2005,<sup>111</sup> IOM has increasingly been combining awareness raising with other activities, including the economic support schemes in Macedonia, Nigeria, and Bangladesh. In South Africa, IOM supported an existing theatre group to identify and train unemployed women, perceived to be vulnerable to trafficking, as community educators. In Bangladesh, IOM worked with a folk singer to produce a documentary DVD on trafficking. Cultural events (e.g. song, storytelling, skits, dance) are used to raise awareness with vulnerable groups. In the Kyrgyz Republic, films are used to promote awareness. Respondents in Macedonia, Bangladesh, Nigeria, the Kyrgyz Republic, and South Africa all highlighted the empowerment aspects of this type of approach.

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<sup>111</sup> IOM, 2005.

There is no basis on which to assess the effectiveness of these programs. First, with the exception of Bangladesh, baseline information was not generally available to indicate the need for awareness. Second, there was no follow-up data collection to indicate whether the awareness-raising activities have been successful in raising awareness. (Again, Bangladesh is an exception, with a structured awareness assessment was planned at the end of 2010). Third, there was no evidence provided as to the link between a lack of awareness and trafficking. While this is often taken for granted, evidence that victims of trafficking were less aware than non-victims is limited; there is at least one comparative survey that suggests that victims of trafficking *were not less aware* of what trafficking is than non-victims.<sup>112</sup> This is also reflected in the 2009 MFA Review, which notes that the most common strategy used for the prevention of human trafficking is information campaigns that have as their point of departure the assumption that the target group is unaware of the dangers involved in human trafficking. These campaigns do not take into consideration the possibility that some choose to take that risk, or allow themselves to be exploited because the potential financial gain is still greater than that in their home country.<sup>113</sup>

Fourth, the specific objective(s) of awareness-raising campaigns were not always defined. For example, IOM has not generally specified if their goal of these activities was to mount information campaigns in order discourage people from migrating, facilitate safer migration, educate people about particular types of trafficking tricks, or encourage people to recognize and report trafficking. Bangladesh provides a counter-example in which clear objectives of awareness-raising were identified and measured. Indeed, project assessment found that target groups increased their ability to identify key targeted messages including encouraging potential migrants to check the credentials of recruiters and to increase their reporting of trafficking cases, key goals of this project.

IOM staff do not receive training on messaging and there is no built-in quality control of awareness-raising products.<sup>114</sup> IOM does not systematically undertake field-testing of awareness-raising activities and products before general release. While CTU staff review the ideas for awareness raising as part of the project appraisal process, they did not usually review the end product produced for the campaign. No respondents, IOM staff or otherwise, identified the importance of establishing any base from which to assess the need for, and effectiveness of, awareness-raising activities.

It is the case, however, with the CTM, IOM has a resource that could be used to help begin redress this lack of information about awareness-raising work. Currently, the CTM does not include information about pre-existing levels of awareness of human trafficking. NGO and IOM interviews with trafficked persons that identify and document victims' experiences could, however, provide an occasion to collect information about levels of awareness. This information could then contribute to knowledge about what kinds of prevention messages, formats, activities, and

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<sup>112</sup> UN Inter-Agency Project, forthcoming.

<sup>113</sup> Norad, 2009.

<sup>114</sup> Interview with IOM headquarters staff, August 2010.

interventions reached which target audiences and possibly, about their effect on those who received them. This kind of information might then contribute to evidence about the relevance of information campaigns as a trafficking prevention strategy in different contexts.

***Assess credibility, independence and usefulness of evaluations (referring to UNEG norms and standards) in IOM both at HQ, regional and country level.***

- **The lack of clearly defined outcomes and impacts means it is difficult for this or other evaluations to report findings related to the DAC criteria of effectiveness, efficiency or impact of IOM's activities. Within the constraints of projectization, IOM has made clear efforts to promote sustainability.**

This section incorporates findings on the DAC criteria of relevance, effectiveness, efficiency, impact, and sustainability from the current evaluation as well as, where applicable, external evaluations of Norway-assisted IOM programmes in the five case study countries and SACTAP.

With regard to relevance, responses in all countries highlighted the role played by IOM in supporting and undertaking priority interventions and filling important gaps in counter-trafficking activities. In particular, these responses highlighted IOM's work in providing support for victims, identifying existing shelters equipped to provide appropriate services to victims and strengthening these services, and creating referral networks. As noted elsewhere, respondents also consistently saw IOM's work in training and capacity building as meeting an important need.

The evaluation team also noted a problem with the DAC definition of relevance (i.e., the extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities, and partners' and donors' policies). There appears to be a presumption that an intervention can be equally (and simultaneously) consistent with all of these categories. However, in Nigeria, for example, funding for victim support programmes correlated more closely with the profile of victims trafficked to donor countries than with the overall pattern of victims within the country. As such, there appears to be an inconsistency in some cases between victim needs, country needs, and donor policies.

In terms of the impact and effectiveness of IOM's activities, the study team found that because projects lacked both clearly defined outcomes and as importantly, accurate measurement of them, it was difficult to ascertain relevant findings with regard to these criteria. As noted in the discussion in the results section above, the anti-trafficking sector currently lacks the tools to measure the impact of counter-trafficking activities on the prevalence, type, nature, and scope of human trafficking. IOM's external evaluations did not include significant data on this question, a constraint common to most counter-trafficking evaluations as noted by the GAO report: "Because of the difficulties in evaluating anti-trafficking projects, the few

evaluations that have been completed are qualitative rather than quantitative, focus on process rather than impact, and rarely trace victims over time.”<sup>115</sup>

The lack of measurement of outcomes and impacts returns to the need for IOM to include a theory of change that hypothesizes linkages between outputs, outcomes, and impacts; to develop well-defined indicators of outputs and outcomes; and to measure interim outcomes and longer-term impacts in their counter-trafficking projects. Without hypothesized linkages, indicators of progress, and measurement of outcomes, it is not possible to construct findings on “the extent to which an intervention has attained, or is expected to attain, its major relevant objectives” – as per the DAC criteria of effectiveness.

With regard to the particular DAC criteria of impact, the study did not yield significant – or even much relevant – data. Part of this reflects the conscious decision by the team not to attempt to interview victims of trafficking due to a project timeline that precluded developing the appropriate relationships with the people concerned. It also reflects the fact it is not possible to measure the ultimate outcome – a decrease in human trafficking.<sup>116</sup>

More specifically, however, IOM does not appear to collect systematic information on project outcomes and impacts, whether related to defining and measuring the desired effects of, for example, information campaigns on target audiences; the ability of economic development activities to prevent human trafficking; or the capacity of direct assistance projects to meet the needs of victims, including medium- and long-term outcomes and participant satisfaction with services.

DAC criteria define efficiency as “a measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.” Here, the need to relate resources to results returns to the question of effectiveness. For counter-trafficking initiatives, it would seem that the matter of efficiency remains secondary to the issue of efficacy; efficiency may not be worth pursuing where it is not possible to determine efficacy. As such, the theme of efficiency may not always be of primary import for counter-trafficking projects and programmes.

That said, the study did identify several instances that relate to the question of efficiency: In Norway, respondents cited IOM’s ability to link its trafficking victim return programme with the existing voluntary assisted return programme to create economies of scale in terms of logistics, transport and travel documentation. IOM’s support for referral mechanisms also encouraged the efficient use of resources through having each agency work in its core competency areas.

At least as often, however, the overlap and duplication resulting from limited cooperation with other international organizations appeared to have contributed to an

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<sup>115</sup> US Government Audit Office 2007, p. 23, also supported by a current assessment of trafficking evaluations by Anne Gallagher and Rebecca Surtees (Anne Gallagher, pers. Comm, publication forthcoming)

<sup>116</sup> For example, the appropriate data needed to employ an experimental design that could measure precisely a decrease in human trafficking are not available. Further, one cannot randomly assign vulnerable migrants to an intervention and then determine differences in trafficking incidence between participants and non-participants in the intervention. The obvious ethical problems interact with the methodological inconsistency, e.g., how to determine vulnerability, among other problems, and lack of available data.

inefficient use of resources. For example, it was also notable that although IOM distributes its own materials widely, it does not appear to make significant use of documents and materials produced by other relevant agencies addressing the same or closely related human trafficking issues.

Also with regard to efficiency, respondents in Nigeria expressed concern about the significant portion of the budget devoted to technical missions, which many felt were too frequent and did not represent an effective use of project resources. This decision was, however, made by donors, one of whom is Norway, rather than by IOM.<sup>117</sup>

DAC describes sustainability as “the continuation of benefits from a development intervention after major development assistance has been completed (emphasis added).” The combination of projectization and short timeframes was widely identified by both IOM and non-IOM respondents as a constraint on sustainability. This includes assessing the medium-long term sustainability of the reintegration of individual trafficked persons after programme support has ended.

The short-time frame of projects also emerged for respondents as an issue in relation to the amount of time necessary for appropriate victim support. Victim assistance requires ongoing funding both for individual victims and over time for as long as there are victims. It is important to highlight that long-term sustainability for victim support will generally involve governments taking over responsibility. In some cases, local organizations (government and NGO) are able to provide post-IOM project funding for individual victims support but in others, particularly those in countries lacking basic safety nets, it is not possible for local organizations either to support an individual victim or to make assistance available to victims who might be identified after project end. Respondents in South Africa, for example expressed great concern for the plight of victims following the completion of SACTAP.<sup>118</sup> In the Kyrgyz Republic, the government is unable to provide any form of return assistance and must rely on international organizations to do so.<sup>119</sup> In Macedonia, by contrast, the government has taken over several counter-trafficking projects and thus rendered them more sustainable.

It is also important to note that a potential trade-off between sustainability and the best interests of victims. Where governments lack capacity, technical as well as financial, premature efforts to encourage them to take the lead may result in interventions that, due to lack of resources or expertise, may not be informed by best practices and thus may not be in the best interests of victims.

Within these constraints, the evaluation found that the IOM made clear and often significant attempts to promote sustainability through the development of counter-trafficking legislation, policies and systems; supporting the development of networks with the potential to survive following the end of external support; and investing in the development of training materials and programmes to train the trainers.

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<sup>117</sup> IOM Internal Budget.

<sup>118</sup> SACTAP programme interviews, November 2010.

<sup>119</sup> Interview with NGO respondent and interview with governmental respondent, Kyrgyz Republic, October 2010.

One specific example of sustainability was provided in Bangladesh where several of the cafes run by victims are now commercially viable. In Bangladesh as well as South Africa, drama groups have been trained on trafficking prevention and will be able to continue their work without ongoing technical support. As such, it appeared that the benefits of the projects will continue over time. These groups do still require some limited operational funding, and several groups in South Africa have already been successful in identifying other funding sources. Thus the intellectual capital gained appears to be sustained by groups who could then utilize this to garner financial support to continue their counter-trafficking work.

In Macedonia, IOM has worked through existing government systems and structures and with established businesses through on-the-job-training to enhance sustainability. They are also working through local and international NGOs who have already established alternative funding sources and are not dependent on ongoing IOM support. All the tools developed by IOM in headquarters and in Macedonia, such as training curricula, guidelines, and checklists, remain available.

Programmes were still in progress in all of the countries evaluated by the team, which meant it was not possible to assess whether benefits would continue in contexts where IOM support was no longer involved.

### ***Are the results in accordance with information given in reports to the IOM Board?***

- **The findings from evaluations are not included in the Director-General's Annual Report to the IOM Governing Council.**

The Director General submits a formal report on IOM's work annually to Member States through the Executive Board of the IOM Governing Council. There is no specific report on IOM's counter-trafficking work, which accounts for less than 2 percent of IOM's Operations budget.<sup>120</sup> Although the report does not include a major focus on trafficking, IOM's efforts in this area are reported in the section on Return Management and Counter-Trafficking.

The Evaluation team reviewed the counter-trafficking reporting for the past three years (2007, 2008, and 2009).<sup>121</sup> The reports did not provide information on all of IOM's counter-trafficking work. Instead they provided a general overview of activities and highlighted some activities, programmes, and developments, such as those that IOM considered innovative, those that won awards, etc. Some general figures were provided, such as the number of victims assisted. There did not appear to be any information that contradicted the findings of this study. The reports for the past three years do not mention any evaluations.

## **2.6 Evaluation and Institutional Learning**

In pursuit of gaining a comprehensive assessment of the role of evaluation and institutional learning in their partnership with IOM to combat human trafficking on a

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<sup>120</sup> IOM Blue Book 2009

<sup>121</sup> IOM 2007a, 2008a, 2009c

nearly global scale, Norad developed a series of key research questions about IOM's evaluation of and learning from their counter-trafficking initiatives. These included such topics as IOM's planning, implementation, and uses of evaluation for their counter-trafficking efforts, an important heuristic for understanding how project resources have been used, what outcomes have been achieved, and what new knowledge about human trafficking and how best to combat it has been gained. This section includes a series of questions related to the evaluation function and findings that respond to them, including on the priority afforded to and independence of evaluation and processes related to learning over time. This includes the issue of institutional learning, a research question the study team added to help demonstrate that even though evaluation is not a systematic part of IOM's counter-trafficking efforts, institutional learning is still occurring and lessons acquired from earlier projects are being used to inform new counter-trafficking practices and projects that follow.

### ***How is the evaluation function placed within the organisation? Is it sufficiently independent?***

- **The Evaluation Unit within IOM does not play a role in the evaluation of individual activities.**

Internally, evaluation is situated within the Office of the Inspector General (OIG), whose functions include internal audit, evaluation, and rapid assessment of projects for internal oversight purposes, as well as the investigation of cases of alleged violations of IOM Regulations and Rules and suspected fraud. The Office does not get involved in the evaluation of individual projects. Rather, it undertakes program evaluations, focusing on themes rather than individual activities. The Unit undertook a major internal evaluation of counter-trafficking programs in 2005, involving more than 40 different projects, with a questionnaire to each mission. This evaluation made no attempt to assess outcomes or impacts.

As with all such IOM evaluations, the results go to the Director-General's Department and then to the head of each Department for any required action. The department heads must report back to the Director-General's office within six weeks. Staff explained that in the case of the Trafficking in Persons report, CTU staff worked for one year on the implementation of report findings. Key points in the evaluation included:

- Importance of staff selection and training;
- Importance of a comprehensive approach (from research and information campaigns to direct assistance and capacity building);
- Links between counter-trafficking and overall migration issues; and
- Importance of exchange of information internally.

The evaluation team does not have information to assess the independence of the Office of the Inspector-General.



***What are the routines for planning counter-trafficking evaluating and to learn from them? How are results from evaluations and reviews disseminated and followed up internally in the organisation?***

***How does IOM ensure institutional learning?***

- **Project evaluations within IOM are dependent on donor support.**
- **There are no formal mechanisms for circulating lessons of evaluations.**
- **IOM's institutional learning processes are informal.**
- **IOM's counter-trafficking programs have evolved along with changes in the way trafficking is understood.**
- **Not all lessons learned by IOM are reflected across the organization.**

Evaluations of specific counter-trafficking projects or programmes within IOM are dependent on the willingness of donors to fund them. IOM headquarters staff reported that they are encouraging donors to support evaluations and now routinely include evaluations in project proposals, placing the onus on donors to remove them if they are not seen as necessary. IOM headquarters staff also noted that donors were reluctant to support evaluations of one-year projects.<sup>122</sup>

In this evaluation, there were multiple examples of IOM adapting its counter-trafficking work in accordance with lessons learned about both the problem and the response. As discussed, for example, IOM has expanded an early focus on trafficking of women and children principally for the purposes of trafficking for sexual exploitation to include interventions addressing other forms of trafficking and trafficking in men. In Norway and Macedonia, respondents noted that IOM had been instrumental in identifying new and different forms of trafficking, such as boys trafficked onto boats for forced labor in the fishing industry or for the purposes of begging and engaging in petty crime. In Macedonia, IOM also incorporated the discovery of internal trafficking into their activities. In Bangladesh, the Prevention and Protection for Victims of Human Trafficking in Bangladesh was grounded in a review of the problems faced by the previous project. Other examples include IOM's initiatives to expand coverage of services beyond those strictly meeting the definition of trafficking, to integrate information campaigns with economic support programmes, and to move away from scare tactics in messaging.<sup>123</sup>

Another example of institutional learning is reflected in IOM's recognition that victim support agencies and NGOs are not always able to provide appropriate job training and placement services to victims. In response, IOM has also initiated projects with the private sector in Bangladesh and the private and academic sectors in Macedonia (and a number of other countries outside those surveyed<sup>124</sup>) to provide training and job placement to victims of trafficking.

IOM has also sought to capture its experience in key documents such as the *IOM Handbook on Direct Assistance to Victims of Trafficking* (2007) and the *Caring for*

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<sup>122</sup> Interview with IOM headquarters staff, August 2010.

<sup>123</sup> As reported by IOM headquarters staff, August 2010.

<sup>124</sup> IOM headquarters staff member, August 2010.

*Victims: Guidance for Health Providers Handbook* (2009). The former summarizes and systematizes IOM's experience over 13 years in providing support for victims, and offers suggestions and guidance for effective and appropriate responses. Although the Handbook covers assistance to minors, it recommends practitioners to also refer to UNICEF's Guidelines on the Protection of Child Victims of Trafficking. The *Caring for Victims* handbook aims to provide practical, non-clinical guidance to help health providers to help them understand human trafficking and was peer reviewed by external experts. This guidance document also draws from many sources, including other guidelines, tools, and standards produced by other organizations. The evaluation was not able to collect significant data on the use of these documents but noted that standard operating procedures developed by IOM in collaboration with NAPTIP headquarters in Nigeria were designed in line with IOM's direct assistance handbook.

A further example of institutional learning is the CTM, which IOM uses to generate a clearer picture of the trafficking patterns and trends. While still not fully operational or on-line in all countries with IOM counter-trafficking projects, IOM field staff are entering data into the CTM, where available, on cases of human trafficking including key demographics, countries of origin and destination, levels of education, and forms of exploitation. Not all planned fields of CTM are being populated but the potential of the CTM to collect and centralize empirical data on trafficking victims remains.<sup>125</sup> Eventually, these data should be available for more complete analysis to identify shifts and trends in trafficking modalities, prevalence, locations, and other key activities important to identify in order to combat trafficking. IOM staff noted that one example of this is the current G/TIP research partnership between IOM and NEXUS Institute, whereby CTM data are analyzed to identify less considered aspects on human trafficking.

Notwithstanding these examples, IOM does not have a systematic way of ensuring lessons learned in one project are captured by all parts of the organization. In Nigeria for example, NGOs specializing in victim services provide vocational training for victims. There are a limited range of options available and these options target traditional and perhaps gender-stereotyped work such as hairdressing and sewing. In the absence of any documented feedback from victims or any medium-term monitoring, it is not clear that these skills are usable either locally or elsewhere, should victims choose to migrate again. One survey respondent further corroborated that "insufficient attention and resources are devoted to evaluation which greatly reduces the Organization's ability to identify good practices systematically." When evaluations do take place, as reported by IOM headquarters staff, IOM does not routinely capture and circulate the results. Further, although IOM has provided some training on trafficking to country offices, as recommended in the internal evaluation, this training is not systematic and new employees are not provided with an orientation on trafficking. The informal mechanisms for institutional learning include the review of proposals by CTU staff, informal mentoring by CTU staff, and an internal IOM staff discussion forum.<sup>126</sup>

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<sup>125</sup> During report review, IOM staff noted that they have now enacted a 'sister' core indicator system whereby non-CTM missions can share core data with headquarters outside of the CTM. In addition, IOM plans to move the CTM to the internet during the years 2011-2012, making the tool mandatory for all counter-trafficking missions.

<sup>126</sup> IOM headquarters staff member, August 2010.

Another example of where work in one office has not been adopted across the organization is the terminology around the integration process for trafficking victims. A thematic working group on conceptual clarity supported by IOM in Bangladesh in 2003 reached a consensus on replacing the term “reintegration” of victims with “social integration.” This recognized that a victim of trafficking could never return to the exact situation they were in before the trafficking episode. The working group finalizing the UN Principles and Guidelines on Human Rights and Human Trafficking adopted this terminology, considering it might help to discourage interventions that presumed that the best outcome for the victim was a return to the pre-trafficking location.<sup>127</sup> IOM as an organization has not adopted this new terminology, and the Nigeria and Kyrgyz Republic return and reintegration work specifically aims for both child and adult victims to return to their families. In contrast, IOM in Bangladesh has signed a tripartite agreement with the government and a private sector training facility to recruit, train, and place women in jobs outside Bangladesh to promote safe migration as a viable alternative.<sup>128</sup> This is an example of a social integration approach.

There appears to be scope for IOM to improve its current institutional learning processes through summarizing and circulating the results of evaluations, making these available on the website, and documenting and disseminating lessons learned. This includes documenting negative experiences and the factors leading to them so that these are not repeated.

One such example is research undertaken under SACTAP to estimate the scope of the trafficking problem. This involved using local researchers through the Institute for Security Studies (ISS) to identify trafficking elements within local stories of migration. IOM staff explained that the researchers had insufficient skills to distinguish trafficking from related issues such as smuggling and prostitution and that therefore the raw data was not reliable. The SACTAP evaluation noted that the research cost \$350,000 and recommended that IOM and ISS “need to find a way to finalise the research and publish.”<sup>129</sup> However, this does not appear advisable if there are problems with the raw data. Instead, there would seem to be more value in documenting the reasons behind the failure of this research to reduce the likelihood of this problem recurring in future.

## 2.7 Additional Relevant Findings

- **The Norwegian government’s sustained commitment to counter-trafficking efforts is recognized and regarded as an important contributor to global efforts to combat trafficking.**

IOM staff spoke positively about Norway as a donor. They see Norway as flexible and interested in the issues. Two respondents cited Norway and Sweden as being the donors most willing to discuss the specific content of programs, and as being comparatively less driven by national interest. “Norwegian assistance is quite devolved and much of the dialogue is at field level. There is a strong interest in

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<sup>127</sup> Matthew Friedman, ex Thematic Working Group member, personal communication.

<sup>128</sup> Interview with IOM field staff, and interview with government official, September 2009.

<sup>129</sup> Nordic Consulting Group, 2010, p.9.

monitoring and follow-up.”<sup>130</sup> In the Kyrgyz Republic, respondents valued Norway’s long-term commitment—as one respondent noted (and others echoed) “Norway is the only one that is still here.”<sup>131</sup>

As with other donors, the major concern expressed about Norway was the short-term nature of individual project funding. One person also noted that because of Norway’s decentralized nature, quality is heavily dependent on individuals. “It can be brilliant if the people are good and have some relevant background. In other cases, the funding decisions could be better researched.”<sup>132</sup>

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130 Interview with IOM headquarters staff, August 2010.

131 Interview with government respondent, Bishkek, Kyrgyz Republic, October 2010.

132 Interview with IOM headquarters staff, August 2010.

## 3. Study Recommendations and Conclusions

### 3.1 Introduction

In this chapter, we discuss primary crosscutting recommendations that follow from the findings presented in Chapter II. The recommendations are grouped into two primary categories: the first set of recommendations is addressed to IOM while the second set is directed toward the Norwegian government. The recommendations for IOM include the following topics, each of which align with key components of the counter-trafficking strategies and practices reviewed: Strategy and Planning; Needs Assessment and Situational Analysis; Information Campaigns; Human Rights and Gender; Activities Relating to Children; Cooperation with other Agencies; and Evaluation and Institutional Learning

We have created these headings to group recommendations according to common foci. These foci also align with topics addressed in the research questions and the findings as discussed in the Chapter II. What follows is an introduction to each heading and then each set of recommendations according to theme. There are 33 consecutively numbered recommendations in all. These do not reflect an order of importance. We complete the chapter with a conclusion in the form of an integrated discussion of study findings and recommendations.

### 3.2 Recommendations for IOM

#### **Strategy and Planning**

The study found that IOM does not have formal strategies to combat trafficking at global, regional, or national levels. IOM has, however, actively planned and developed new interventions based on its analysis of gaps and shortcomings identified through its field-based projects. An important example of this is IOM's efforts to expand victim support services beyond those people specifically designated as victims of trafficking. This more holistic focus on migrants can help address difficulties in applying the definition of trafficking to real-life situations, and appears to align with IOM's core mandate, which focuses on the broader issue of migration, rather than more narrowly on human trafficking.

IOM staff recognize the lack of an overall strategy as a constraint to the organization's work, and cite projectization and short timeframes as complicating strategic planning. One notable consequence of a lack of organizational strategy is the lack of a clear articulation of IOM's role in providing economic support programmes. The current reorganization of the role of the CTU is intended to provide a more strategic focus for counter-trafficking efforts. However, the attendant loss of endorsement power (i.e. vetting) of trafficking proposals and the ongoing constraints of projectiza-

tion seem likely to impact CTU's ability to provide a strategic focus to projects. The recommendations for IOM with respect to strategy and planning are:

*Recommendation 1:* IOM should consider developing clear anti-trafficking strategies at the national, regional, and global levels. This should include review of their perceived areas of comparative advantage in relation to counter-trafficking, particularly in relation to criminal justice.

*Recommendation 2:* IOM should make attempts to monitor the effects of devolving endorsement power away from the CTU, particularly with regard to the adherence of counter-trafficking projects to IOM strategies, policies, and institutional knowledge.

*Recommendation 3:* IOM should continue and increase its current efforts to expand victim support services to other migrants in need.

*Recommendation 4:* IOM should endeavor to continue, both externally and internally, the discussion it has initiated with regard to the effectiveness of different approaches to prevention.

*Recommendation 5:* IOM should consider whether it is possible to define clearly the parameters under which it will provide economic support programmes as part of the counter-trafficking portfolio, considering its mandate, its comparative advantages, and the concerns expressed within and outside of the organization about the effectiveness of programmes that attempt to address generalized poverty.

### **Needs Assessments and Situational Analysis**

IOM does not routinely undertake formal needs assessments and situational analyses. The organization's lack of core funding at the country level generally precludes this, unless it is built into project budgets and timelines. IOM staff report that they attempt to undertake informal assessments drawing on available information, ideas from government and other partners, experience with previous projects, and input from CTU staff.

IOM has no formal framework to guide needs assessments. This creates some inconsistency among field offices in how trafficking problems and responses are understood, conceptualized, and prioritized. The lack of a framework for assessing needs also makes it difficult to trace the relationship between the needs identified and the programme components intended to address these needs. In particular, in the absence of comparative data about trafficked and non-trafficked persons, it is not always clear *how* the activities of prevention programmes affect whether or not a person is trafficked. The recommendations for IOM with respect to needs assessments and situational analysis are:

*Recommendation 6:* IOM should explore the possibility of establishing standardized assessment frameworks in each area of its anti-trafficking work, particularly victim support and prevention. These frameworks could:

- Streamline the assessment process and allow consistency between offices;

- Act as an educational and reminder tool—for example, of the importance of having data on awareness needs before embarking on information campaigns; and of piloting awareness-raising tools before they are put to general use;
- Provide benchmarks and targets against which to measure progress.<sup>133</sup>

*Recommendation 7:* IOM should develop standards for how to apply needs assessments to new counter-trafficking projects. This should include an initial phase that involves testing of the programme logic and assumptions on which activities are to be based.

*Recommendation 8:* IOM should endeavor to develop a comprehensive understanding of the differences between trafficked and non-trafficked migrants (for example, through surveys of returned migrants and other forms of empirical data collection). These efforts should focus on identifying key vulnerability factors that prevention programmes should address and key unmet needs that assistance programmes should include.

### **Information Campaigns**

In three of the countries studied, as well as the Southern African regional project, IOM has documentation of the production and dissemination of various and creative information campaign and prevention materials. Respondents in these countries spoke highly of IOM's information campaigns in terms of both quality and scope. IOM's information campaigns employ a wide range of innovative techniques and many of its products are used by other organizations.

At the same time, there is limited documented evidence to demonstrate the relevance or effectiveness of IOM's information campaigns in preventing trafficking. Baseline information was not generally available to indicate the need for awareness and there was no follow-up data collection to indicate whether the awareness-raising activities had met project objectives. Moreover, there was no evidence of a link between a lack of awareness and trafficking. Finally, the specific intention of awareness-raising campaigns, in terms of behavioral outcomes (e.g. do not migrate, migrate safely, report trafficking cases, etc) was often left undefined. Despite significant resources devoted to information campaigns, there are no data to indicate their effectiveness. The recommendations for IOM with respect to information campaigns are:

*Recommendation 9:* IOM should attempt to define clearly the objectives of all information activities in terms of target group, specific messages, and intended behavioral outcomes.

*Recommendation 10:* IOM should endeavor to undertake baseline and follow-up surveys for information campaigns and determine if there are clear links between these activities and desired project outcomes.

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133 IOM's Handbook on Performance Indicators for Counter-Trafficking Projects (2008) would provide a useful reference tool for such a process but does not in itself provide a standardized framework.

*Recommendation 11:* IOM should field test awareness-raising materials before finalization. The lack of empirical evidence for the link between awareness raising activities and the actual prevention of trafficking, coupled with the considerable funds IOM devotes to these activities, highlights the importance of determining if and how these materials transmit a prevention message before continuing to fund and implement them.

*Recommendation 12:* IOM should explore the feasibility of including in its existing victim tracking systems data on each victim's prior knowledge of migration risks and trafficking. Although subject to the same potential constraints as much of the information provided by victims—including reliance on recall and possible reluctance to provide personal and difficult information—this information can be used to increase knowledge about the extent and relevance of trafficking awareness, the effectiveness of previous and existing information campaigns, and remaining informational needs.

### **Human Rights and Gender**

IOM lists respect for human rights as one of its three principles governing all counter-trafficking activities,<sup>134</sup> a commitment further and frequently emphasized in project documents reviewed for this study. The study team has attempted to assess questions regarding IOM's application of human rights, gender, and child perspectives against this statement. The study found that IOM does not clearly document how it interprets and more specifically, applies human, gender, or child rights perspectives in its counter-trafficking work. Further, IOM does not have guidelines on how to address instances where programmes being supported may be in breach of international human rights standards.

IOM headquarters staff report that the CTU considers human rights in the review of all its projects. Indeed, the study identified positive examples of applying a human rights perspective. At the same time, the data collected by the study team raised concerns with regard to the consistency of IOM's adherence to human rights principles. In particular these relate to: closed shelters (those where victims are not allowed to leave); victim options for social integration; the extent to which voluntary return is actually voluntary; limited documentation as to how IOM supports victims in accessing their rights; and views expressed by respondents that IOM does not speak out on instances of human rights abuse within its area of mandate.

In terms of gender, the organization does not have a specifically articulated gender and trafficking policy. There is, however, evidence that IOM has applied a gender perspective to its counter-trafficking work. Clear areas of focus with respect to gender include beginning to develop specific approaches to trafficking in men; ensuring that counter-trafficking materials promote positive images of women; and expanding the range of services available to trafficked women, children, and men. In some cases, however, women and children continued to be addressed as one group, which limited the kinds of services and programmes available to the detriment of both groups. There have also been limitations on the range and types of

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134 <http://www.iom.int/jahia/Jahia/counter-trafficking/lang/en>



training and employment opportunities available to trafficked women, often restricted to jobs traditionally held by women. Gender-disaggregated data for activities were not always available.

Counter-trafficking initiatives that take a single approach to, and thus conflate, the needs of trafficked women and children can lead to the infantilization of women and paternalistic responses that seek to return women home or pressure them to reunite with a family they may have sought to leave behind. Women's needs remain highly differentiated from children's as, for example, with respect to the question of return. It is routinely vital in the cases of children to conduct a best interests determination and assess the risks associated with returning home. Adult women, however, have the right to decide whether or not they wish to return home, with or without a risk assessment. If a project utilizes only a single approach in seeking to address both groups' often very different needs, it may risk being unable to address either groups needs appropriately.

The recommendations for IOM with respect to human rights and gender are:

*Recommendation 13:* IOM should clearly document how it applies a human rights perspective in its work, including reference to gender and child rights.

*Recommendation 14:* IOM should endeavor to monitor and report on the adherence of its counter-trafficking activities to human rights standards.

*Recommendation 15:* IOM should consider developing and disseminating a guidance note for staff on how to address issues with potentially strong human rights implications. These include: closed shelters; victim return, particularly when the only alternative to voluntary return is deportation; access to justice for victims; ensuring victims are fully informed of the range of service options available; and special issues related to children.<sup>135</sup>

*Recommendation 16:* IOM should make an effort to document in its reporting on direct assistance programs the range of choices and options available to victims in terms of assistance, including options for job training and placement. IOM should also consider how best to monitor the impact of different forms of assistance on project participants.

*Recommendation 17:* IOM should attempt to ensure sex and age disaggregated data are collected and documented for all activities it undertakes and those that it supports financially.

*Recommendation 18:* IOM should consider adopting or adapting ethical guidelines for research.<sup>136</sup>

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<sup>135</sup> In their review of this report, IOM staff noted that guidance on the range of options for victims and special issues relating to children already exist in IOM's *Handbook on Direct Assistance to Victims of Trafficking*. This reinforces the recommendation that IOM should consider developing and disseminating a guidance note for staff, so as to expand staff awareness and knowledge as well as ensure the wider usage of existing guidance.

<sup>136</sup> IOM staff note that such guidelines are currently being drafted.

## **Activities Relating to Children**

While experiencing both institutional and political challenges in meeting the needs of children vulnerable to and victims of human trafficking, IOM has generally sought to include child rights perspectives and programming aimed at the needs of child victims of trafficking. The challenges include an acknowledged lack of specialization within IOM in working with children.

In four of the case study countries, IOM staff have included either policy or specific projects to address the needs of child victims of human trafficking. At the same time, the subsuming of children's needs under projects aimed at "women and children" or lack of programming targeted to the specific needs of children suggest that child's rights and child-focused interventions are not systematically in place in IOM's counter-trafficking efforts. As suggested, it may also be harmful to both women and children to group and conflate their needs, and may lead to inappropriate responses for both groups. Recommendations for IOM with respect to activities relating to children are:

*Recommendation 19:* IOM should, to the extent possible, separate projects targeting children from those targeting women. Projects for children should target the specific circumstances and needs of children who are known to be trafficked (i.e. be appropriate for the age group concerned, as well as gender sensitive). Work with children should explicitly reflect the commitment of States under the CRC to make the best interests of the child a primary consideration in all actions affecting a child, regardless of whether the child meets the definition of "trafficked."

*Recommendation 20:* IOM should consider disseminating guidelines on working with child victims to all offices to help ensure children's needs are addressed and their rights are protected. Both ILO and UNICEF have produced guidelines that may be suitable for this purpose.

*Recommendation 21:* IOM should consider whether it is possible to build stronger partnerships with local NGOs, INGOs, and IGOs that possess expertise and networks able to identify situations children face in countries of origin and return.

## **Cooperation with Other Institutions**

IOM has worked successfully to facilitate coordination and cooperation among NGO agencies and between NGOs and governments. Respondents in Nigeria, Bangladesh, South Africa, and the Kyrgyz Republic highlighted IOM's work in building networks between NGOs as an important strength. Respondents also noted IOM's role as a mediator in the relationship between NGOs and the government in the countries studied.

IOM staff identified their ability to address all aspects of trafficking as a major strength of the organization. This view was not, however, shared by several other international organizations, whose staff expressed the view that IOM had exceeded its area of mandate or excluded other organizations from its counter-trafficking work. There is documented and significant overlap between IOM activities for migrants and those run by other international agencies in the Kyrgyz Republic. In

other cases, there is also overlap between IOM's work in the criminal justice area and UNODC's work and between IOM's and the OSCE's work in law enforcement training and capacity building. While IOM widely disseminates some of its counter-trafficking resources and in some cases, uses those of other organizations, it does not appear to take advantage of some other relevant resources produced by other organizations. The recommendations for IOM with respect to Cooperation with other Agencies are:

*Recommendation 22:* When designing and implementing projects, IOM should consider surveying the landscape and mapping existing counter-trafficking expertise and resources in order to identify other organizations in a country or region mandated to and/or already implementing counter-trafficking initiatives.

*Recommendation 23:* Where IOM is able to identify other existing expertise or organizations seeking to combat trafficking in a country or region, IOM should consider how best to partner and/or collaborate with them.

### **Evaluation and Institutional Learning**

Without baseline data or strong evidence of the scope of human trafficking, IOM, like other organizations involved in counter-trafficking, cannot measure the impacts of counter-trafficking efforts. This means that attention must inevitably focus on outputs. It also highlights the importance of sound theories of change that hypothesize how project activities might link to outputs, outcomes, and impacts, which then should be measured and evaluated to establish such linkages. IOM does not, however, utilize logic models or theories of change in their counter-trafficking projects, making it difficult to determine how linkages between project outputs and outcomes were hypothesized, as well as how best to measure the accuracy of the hypothesis of linkages. In terms of the impact of trafficking programmes on individuals, IOM does not appear to collect information systematically on the experiences of victims, including medium- or long-term outcomes and service-user satisfaction surveys that might in turn be used to determine the effectiveness of counter-trafficking initiatives.

IOM does not have a systematic way of ensuring lessons learned in one project or country are available to all other parts of the organization. IOM does not routinely collect and circulate the results of evaluations, and new employees are not provided with an orientation on trafficking. There are, however, a number of informal mechanisms for institutional learning, including the review of proposals by CTU staff, informal mentoring by CTU staff, and an internal IOM staff discussion forum.

The study found multiple examples of IOM employing lessons learned about the problem of and responses to human trafficking, and adapting its work accordingly. Examples include expanding from an early focus on trafficking of women and children for sexual exploitation to programmes with wider coverage that are aligned with the Palermo Protocol; moving away from scare tactics in messaging; and initiating partnerships to provide better employment opportunities for victims. Lessons learned are not, however, always reflected across the organization, as illustrated, for example, by the fact that programmes in Nigeria were still attempting

to work through NGOs that lacked relevant experience in assisting victims to find employment, while programmes in Macedonia were partnering with appropriate local partners (e.g., businesses and universities) to provide skill building and employment training. The recommendations for IOM with respect to Evaluation and Institutional Learning are:

*Recommendation 24:* IOM should consider how to strengthen its evaluation of project outcomes, including how to develop robust, project-specific logical framework models and an articulated theory of change.

*Recommendation 25:* IOM should consider the feasibility of developing and reporting on measures of the effectiveness of field training beyond the number of people participating.

*Recommendation 26:* IOM should consider developing a system—or utilizing an existing one—to document the perspectives of trafficked persons on the services available to them.

*Recommendation 27:* IOM should continue and expand its efforts to offer safe migration as a (re)integration option for victims of human trafficking.

*Recommendation 28:* As part of its organizational learning processes, IOM should endeavor to document and disseminate project lessons learned, even when experiences are negative (e.g., the SACTAP study). IOM should then work to ensure that it and other organizations can incorporate these lessons into future projects.

*Recommendation 29:* IOM should consider how results from project evaluations could most effectively be shared within the organization, acknowledging time constraints faced by many staff in reading and absorbing long reports. This could include summarizing and disseminating the results of evaluations, routinely making evaluations public on the IOM website, and incorporating primary evaluation findings in the Director-General's Annual Report.

*Recommendation 30:* IOM should consider the feasibility of providing some form of orientation training for new IOM staff on human trafficking, possibly in the form of an e-learning tool.

### **3.3 Recommendations for the Norwegian Government**

IOM, national government, and NGO staff expressed appreciation for Norway's sustained commitment to counter-trafficking initiatives. Norway is widely regarded as an important actor in global efforts to combat trafficking. IOM and other staff spoke positively about Norway as a donor, whom they regard as flexible, engaged, and less driven by national interest than other donors. One specific concern raised (both in this study and the 2009 MFA review of Norway's counter-trafficking projects) was the short, often one-year, funding timeframes. This has meant limited time for planning, encouraged activities that could generate some results within a short time period, and made sustainability a generally unrealistic objective. The recommendations for the Norwegian government to consider are:

*Recommendation 31:* MFA should consider funding counter-trafficking projects on a multi-year basis, preferably for a minimum of three years, or a length of time that aligns with best practices for victims' assistance (and as appropriate to other project types).

*Recommendation 32:* MFA should consider how to integrate evaluation and, as necessary, needs assessments into the design of projects it supports, where possible.

*Recommendation 33:* MFA should consider acknowledging the current methodological limitations on measuring impacts and focus on encouraging IOM and other partners to consider (a) whether adopting a theory of change might be beneficial; and (b) how defining clear project outcomes and articulating the linkages between activities, outputs, outcomes, and potential impact might strengthen their counter-trafficking efforts.

### **3.4 Study Conclusions**

Overall, the study findings reflect how IOM has employed Norway funding to engage in multiple counter-trafficking strategies and practices. While neither systematized nor necessarily similar across projects, IOM's strategies have resulted in the design and implementation of a number of multi-faceted projects intended to combat human trafficking. Respondents found IOM's trainings and network-building projects to be particularly relevant to countering trafficking. They also responded positively to information campaigns, even where outcomes could not always be established. IOM was also often the only or one of very few organizations providing direct assistance to victims, including services aimed at their recovery (e.g., shelter, clothing, and counseling) and reintegration (e.g., skills training and micro-lending).

Many of the challenges identified in the findings relate to how IOM structures its counter-trafficking initiatives. Foremost among these were issues relating to projectization. As has been noted throughout this report, IOM's work is funded on a project-by-project basis; and a significant majority of IOM's counter-trafficking projects are for one year. The implications of these two factors when taken together are multiple and affect almost every aspect of IOM's counter-trafficking work. These include: IOM's ability to develop and implement national, regional, and global counter-trafficking strategies; its potential to undertake needs assessments and evaluations; how IOM defines its counter-trafficking mandate; the nature of projects undertaken; and IOM's capacity to invest in staff development and institutional learning. IOM has endeavored to address these constraints in a range of ways, largely through informal processes including collaboration between staff across the organization, something clearly in evidence during the evaluation, particularly between IOM headquarters and the regional and country offices.

Country and regional offices depend on projects to cover the costs of office staff. The need for funding can lead to the pursuit of counter-trafficking projects wherever opportunities emerge. Combined with the need for matching interventions with the priorities of donors, this limits both the space and the incentives for strategic development. Because donors fund projects directly and because it does not have

core funding, IOM largely lacks the ability to determine the allocation of resources across countries and regions or to make decisions about the allocation of resources between different types of interventions. There are, however, opportunities for IOM to work with donors to design and implement appropriate activities. IOM's restructure and the prescribed increased role of the CTU in setting counter-trafficking strategies and policies suggest the organization would like to develop a more strategic approach. It is not, however, clear whether this can be done within the current funding structure.

During the study, IOM staff frequently highlighted how IOM understands itself as an organization that can address all aspects of human trafficking. At the same time, none of the other stakeholders suggested that IOM has the attempt to cover all aspects of trafficking as an IOM strength or comparative advantage; indeed this view was seen by some as overstepping IOM mandates.

Stakeholders saw IOM's comparative advantages in a number of areas: victim support, network building, training, and/or awareness raising. However, it is not readily clear from the data collected in the study that IOM has a comparative advantage in all areas of counter-trafficking, for example, especially with regard to criminal justice. While respondents had high praise for IOM's work in training of law enforcement officials in South Africa, for example, these activities remained unconnected to wider criminal justice system development.

IOM's view that it can and should be involved in all aspects of trafficking response has also led to overlap with many other international agencies. Several of these agencies understandably expressed concern about this.

Despite constraints on developing and implementing a formal strategy, there is evidence of strategic thinking in the way IOM has used and analyzed project experience to develop new programmes, approaches, and activities. The Global Assistance Fund, which provides emergency support for victims of trafficking, is an example of an initiative that both responds to a clear and immediate need and can provide information important to counter-trafficking strategies by providing additional information existing and emerging trafficking patterns through interviews with trafficked persons entered into CTM.

IOM practices that seek to re-focus trafficking prevention on preventing exploitative practices rather than on making people less vulnerable to them are also worthy of note. Many counter-trafficking practitioners, and a previous review of Norad counter-trafficking assistance, questioned the likely effectiveness of "supply side" prevention solutions such as poverty reduction, arguing that the supply of potential migrants is too plentiful to be addressed in this manner. IOM senior staff have also questioned the effectiveness of economic assistance programmes publicly.

Within the existing focus on prevention, IOM's reflection on the issue of how economic support activities may prevent trafficking represents another form of institutional learning. An issue of ongoing debate within the counter-trafficking community, the debate over whether or not IOM should continue to fund economic support

emerged during the course of the evaluation. On the one hand, the supply side argument points to the overly general nature of this approach. With half of the world's population earning less than \$2 a day, the potential supply pool to be addressed by poverty alleviation measures arguably numbers in the billions, thus suggesting that such approaches are too generalized to meet the specific needs of vulnerable migrants.

On the other hand, economic support programmes do appear to provide an entry point for, and to strengthen, information campaigns. Further, while programmes targeting generalized poverty may not address the specific situation of groups vulnerable to trafficking, it may be possible to address trafficking through targeted programmes to a well-defined vulnerable group, e.g., the programme targeting Roma in Macedonia or creating programmes for those displaced by civil unrest in the Kyrgyz Republic. There may also be a role for programmes addressing those whose poverty is acute, such as in Bangladesh where IOM is providing case grants of around \$300 to assist poor women and their families as a means to engender economic self-sufficiency.

A second consideration, however, is IOM's role in undertaking what are essentially core economic development initiatives. It appears difficult to relate specific economic development projects, e.g., the digging of bore holes or renovation of schools, to IOM's migration-based mandate, particularly when many other international organizations already have an established economic development focus.

More in keeping with IOM's migration mandate are initiatives to expand IOM's services for migrants in need beyond those officially identified as victims of trafficking. One example of this type of initiative is the development of standard operating procedures with UNHCR that encourage providing support to exploited groups in the context of counter-trafficking projects. Indeed, IOM partners cited the narrowness of the Palermo definition of trafficking as a challenge, which reiterates the relevance and timeliness of the UNHCR initiative and its ability to address the needs of a broader group of exploited migrants.

As well as better aligning IOM's work with its core mandate, an expanded approach to migrant support may also assist the organization in addressing challenges it faces related to mixed migration flows when implementing counter-trafficking projects. If migrants do not view migration through a trafficking paradigm, they may regard trafficking as one form of unsuccessful migration and thus dismiss the inherent risks and exploitation they may face in migration. Decisions about the provision of assistance based on the Palermo Protocol or, in fact, any one definition of trafficking, can often seem arbitrary to those who seek to assist vulnerable and exploited migrants.<sup>137</sup>

The expanded approach to victim support is a strong example of how IOM is bringing a human rights perspective to its work; as one staff member put it, "seeing the migrant as a whole person." Notwithstanding this positive example, study data

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<sup>137</sup> Ginzburg (2003), Marshall and Thatun (2005)

suggested some variance between IOM's statement that human rights are one of the three principles governing all its counter-trafficking activities and actual practice with regard to human rights. This is not so much a question of whether IOM does or does not uphold human rights principles and standards but of an apparent lack of any structure to support their inclusion and monitoring, and to address instances where programmes being supported may be in breach of international human rights standards. Study data reveal a lack of guidelines for counter-trafficking staff on how to apply human rights principles or address the human rights issues they are likely to face in their work on trafficking. IOM also does not appear to have any system in place for monitoring adherence to human rights principles in relation to trafficking interventions or addressing any problems. Further, IOM does not report on how it ensures that human rights principles are central to its work.

IOM also lacks a specifically articulated strategy to incorporate gender-based perspectives into its counter-trafficking projects. Gender did, however, appear to be more clearly defined in practice than the organization's work in the broader area of human rights. IOM has staff dedicated to gender issues who were able to articulate clear areas of focus and cite examples of how these were applied in practice. These included giving greater profile to trafficking in men, ensuring that information materials produced promote positive images of women, and expanding the range of services available to trafficked women, children, and men.

With regard to children, IOM has maintained a strong focus on and projects designed to address the needs of child victims of trafficking. It has, however, experienced institutional challenges in meeting the needs of children vulnerable to and victims of human trafficking. The IOM acknowledged these challenges and was seeking to increase its capacity to address children's needs, including through increased dialogue with UNICEF.

In terms of institutional learning, the study found that IOM does not have formal systems for capturing lessons learned. However, IOM staff explained that there are informal mechanisms for this, including internet-based discussion forums and CTU review of all counter-trafficking proposals. The creation of the Global Assistance Fund is one example of strategic thinking within the organization that has its roots in institutional learning processes. Overall, organizational learning appeared dynamic, and in some areas in the forefront of, global trafficking discourse.

Due to the informal nature of this institutional learning, it is perhaps inevitable that the study found gaps. The most obvious example was IOM's association in Nigeria and in the Kyrgyz Republic with activities that have as their stated objective or their regular process the return of (adult) trafficking victims to their families. IOM staff did not express concerns about this practice, despite pioneering work supported by IOM in Bangladesh several years ago on conceptualizing trafficking. This included understanding the importance of not assuming family reunion as the best or only option for victims of trafficking. As noted, the conceptualization group even developed the term "social integration" as an alternative term to "reintegration," specifically to illustrate this point. Wider discussion of the work supported by IOM in Bangladesh would presumably lead to more questioning of programmes that take



as a starting point the presumption that adult victims are best served by being returned to their families.

Ensuring that lessons captured by one part of an organization become part of the institutional knowledge base is a challenge for any organization. IOM could strengthen these processes in a number of ways including, for example, developing an orientation training package for new workers on trafficking; summarizing, circulating, and aggregating the findings of project evaluations; creating and updating a simple document on key lessons learned; and standardizing the formats it uses for needs assessments.

The study found a varied record of cooperation between IOM and other relevant organizations. Respondents recognized and commended IOM's work in facilitating coordination and cooperation among NGO agencies and between NGOs and national governments. Respondents in Nigeria, Bangladesh, South Africa, and the Kyrgyz Republic highlighted IOM's work in building networks between NGOs as an important strength. IOM also developed partnerships with the private sector, particularly in the area of victim support. On the other hand, the study documented duplication and overlap between IOM activities and activities run by other international agencies, particularly but not limited to UNODC. Such overlap between international agencies is common but there were several occasions where IOM did not appear to use relevant materials developed by other organizations or to partner with those providing similar counter-trafficking services, and thus did not avail itself of relevant resources in the field to combat trafficking.

Several key findings involved the issue of evaluation. In particular, it is clear that without baseline data or strong evidence of the scope of human trafficking, IOM, like all other organizations involved in counter-trafficking, cannot measure impacts of counter-trafficking efforts. IOM could nonetheless improve its ability to track and monitor progress by the use of logic models or theories of change in their counter-trafficking projects. This could help engender stronger links between project activities and outputs and between outputs and outcomes, as well as highlighting underlying assumptions that could then be reviewed according to developing and evolving knowledge about trafficking.

With regard to the issue of impact of programmes on victims of trafficking, the study did not yield significant data. In consultation with Norad, the team made a conscious decision not to attempt to interview victims of trafficking due to the project timeline, thus eliminating one source of relevant data. IOM does not appear to collect systematic information on the experiences of victims, including medium-long term outcomes and service user satisfaction services (although there is a mechanism provided to do so through the IOM assistance interview form and the CTM). While the former is difficult within short project timeframes, IOM could potentially seek and document the perspectives of trafficked persons on the services available to them. In terms of wider impact of counter-trafficking programmes, the evaluations reviewed by the team generally had limited focus on this area. As such, there is a need for additional discussion on how best to seek out and capture this information as part of evaluation efforts.

Finally, with respect to Norwegian assistance, the study found that respondents regarded Norway favorably as a donor. IOM staff particularly valued the dialogue with Norwegian government staff at the country level, and considered them flexible, generally informed, and interested in the issues. Only one real constraint was noted, and it is a major one. Returning to the first point raised in this section, the study found that the combination of projectization and one-year timeframes has widespread and generally negative implications for counter-trafficking efforts.

Given the pervasiveness of this structural issue, MFA might consider the possibility of supporting longer-duration projects, for example, of at least three years. This will increase the potential capacity of Norwegian assistance to combat trafficking by expanding the range of potential interventions, allowing time for targeted needs assessments where necessary, allowing activities to be adjusted in response to experiences and lessons learned, strengthening the potential for sustainability, and providing a stronger basis for evaluation. MFA might also consider incorporating evaluation from the outset of programmes. This process could be assisted through the development of clear frameworks under which prevention, protection, and prosecution activities can be conceptualized, specific targets set, and progress measured. This will facilitate the development of project designs in which clear activities, outputs, and outcomes are linked by a robust theory of change. This will in turn strengthen the basis on which programmes can be evaluated and changes made. The Norwegian government should consider whether it can support the development of such frameworks.

Based on the above study findings, the team created a list of recommendations for IOM to consider. The recommendations for IOM largely focus on improving their internal processes. These include: the processes by which projects are conceptualized, planned, and evaluated; the processes by which adherence to standards, particularly human rights standards, is assured and documented; and the process by which lessons, including those from evaluations, are captured and feed into future programme development. IOM's intention of revising the role of the CTU indicates recognition of at least some of these recommendations for improvement.

With regard to Norway, the major recommendation is to increase the timeframe of project funding. This by itself is likely to ensure an increase in project quality and effectiveness. Effectiveness will be further improved by building needs assessments and evaluations into projects and working with partners to develop an effective basis on which these evaluations can be undertaken.

With Norway's crucial support, IOM has undertaken a wide range of important counter-trafficking initiatives, developed a great number of resources, and, most importantly, assisted a large number of people. In particular, IOM's work with victims has not only enabled the organization to support structures to assist those in need, but has also provided insights into the trafficking problem which have informed the development of other initiatives. At this point, it is important that IOM focuses on strengthening its internal processes, including those relating to

how progress is measured and particularly those relating to ensuring that its expressed commitment to human rights consistently translates into practice. Once it has addressed these internal processes, IOM will be a position to enhance the already significant contribution it has made to global efforts to combat human trafficking.

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# Annexes



## List of Annexes

Annex A: Additional Information on Study Data and Methods

Annex B: Online Document Review Tool

Annex C: Survey Instrument

Annex D: Bangladesh Case Study (available as downloads at <http://www.norad.no/evaluation>)

Annex E: Kyrgyz Republic Case Study (available as downloads at <http://www.norad.no/evaluation>)

Annex F: Macedonia Case Study (available as downloads at <http://www.norad.no/evaluation>)

Annex G: Nigeria Case Study (available as downloads at <http://www.norad.no/evaluation>)

Annex H: Norway Case Study (available as downloads at <http://www.norad.no/evaluation>)

Annex I: Terms of Reference

Annex J: Sample CTM Data Tables



## Annex A: Additional Information on Study Data and Methods

### Modifications to Research Questions

The research team made two substantive modifications to the original research questions, in each case adding an additional question. In the first case, the question “*Does IOM apply a human rights perspective in its counter-trafficking programs?*” was added to the two original research questions related to rights: (1) “*Does IOM apply a gender-based perspective in its counter-trafficking programmes?*” and (2) “*Does IOM apply a child rights perspective in its counter-trafficking programmes?*” The human rights question was added because IOM’s mission, website, project documents, and evaluations all promote human rights as a key principle to combating human trafficking in its many forms.<sup>138</sup> In addition, it is difficult to discuss issues around gender and child rights without reference to the broader human rights context. Therefore, the research team considered it important to investigate the use of human rights as well as gender-based and child rights approaches to countering human trafficking.

The second substantive modification was the addition of the question “*How does IOM ensure institutional learning?*” under the sub-heading “Evaluation and Institutional Learning.” There were no specific questions on institutional learning among the original research questions, and the team considered that it better to consolidate the findings on this topic in this section rather than integrate them into other parts of the document. Accordingly, the team added the question.

One additional modification to the research questions was to split the following question into two parts: “*How is IOM cooperating and coordinating its efforts with relevant institutions to maximize impact and ensure sustainability?*” Because impact is a challenging issue, we sought to answer the question, “*How is IOM cooperating and coordinating its efforts with relevant institutions?*” in order to isolate this key aspect of how IOM conducts its counter-trafficking work. We then addressed impact and sustainability as part of the discussion of DAC criteria.

### Case Study Selection

The case studies were designed to provide the evaluation with several distinct portraits of Norway-funded IOM-administered counter-trafficking projects. Despite focusing on one setting, each case study illustrates and explores specific structures and models involved in program implementation as well as the conditions under which key outputs are produced and outcomes engendered in complex, ‘real-world’

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<sup>138</sup> <http://www.iom.int/jahia/Jahia/counter-trafficking/lang/en>

situations.<sup>139</sup> After review of 38 different Norway-funded counter-trafficking projects during the period 2000 to 2010 (some with multiple phases) in three regions of the globe (Africa, Asia, and Europe), the research team developed a matrix for selecting projects to visit for this evaluation. In consultation with Norad and Mike Dottridge as an external reviewer, we chose four case studies that reflected diversity in geographic distribution but held approximately constant several other variables in order to construct a sample with rough comparability and thus basis for comparison: type of country (origin); type of project (direct assistance); funding period (most recent and on-going); locational structure (single country rather than regional); and budget size (largest). We also included one country of destination (Norway), since it met the other criteria and was a case of particular interest to the Norwegian government. At the recommendation of Mr. Dottridge, we also included one regional project (SACTAP) to which we did not conduct a field visit, but rather conducted phone interviews and reviewed project documents and evaluations.

The below chart summarizes the criteria used and approximate comparability of the case studies chosen (with geography as the diversifying variable). To reiterate, we did not seek *precise* comparability, as this is not possible among Norway-funded, IOM counter-trafficking projects (2000-2010). Nor did we seek one example of each type of project or to cover the universe of possibilities, e.g., information campaign, research, direct assistance, technical cooperation; regional vs. country specific; or the same number of sending and receiving countries, etc. Rather, we focused on rough comparability among all cases in order to draw out emergent strengths and weaknesses, as well as best practices from projects of similar size and scope and responding to the most recent (2007-10) – and thus relevant – modalities of trafficking, which tend to change over time and vary by region.

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139 Pope, Catherine and Nicholas Mays (1995) "Qualitative Research: Observational Methods in Health Care Settings." *British Medical Journal*, 31, 6998: 42-46.

### Case Study Comparability

	Origin Country	Destination Country	Project Type	Funding Period	Regional vs. Single Country	Budget (US\$)	Region	Subregion
<b>Macedonia</b>	✓	✓	Protection, return & re-integration; stabilization	2005-10 (two separate projects)	Single	~177,000/yr	Europe	Southeast Europe
<b>Kyrgyz Republic</b>	✓		Prevention and protection	2007-10	Single	~330,000/yr	Asia	Central Asia
<b>Bangladesh</b>	✓		Prevention and protection	2007-10	Single	~577,000/yr	Asia	South Asia
<b>Nigeria</b>	✓		Direct assistance to women	2007-10	Single	~328,000/yr	Africa	West Africa
<b>Norway</b>		✓	Return & re-integration	2007-10	Single	~124,000/yr	Europe	Western Europe
<b>SACTAP South Africa</b>	✓	✓	Prevention, return & reintegration, capacity building	2003-10	Regional	~850,000/yr	Africa	Southern Africa

As the above discussion and chart suggest the cases chosen are not meant to be *representative* of Norway-funded IOM-administered counter-trafficking projects or in any way encompass all similar efforts. The pursuit of broad comparability of cases was designed to help document direct assistance projects of roughly the same size and in the same time period (reflecting lessons learned over time with regard to combating trafficking), their outputs, and any outcomes that may have emerged. Although the original rationale for the inclusion of SACTAP was its regional focus, it was not possible to interview a cross-section of respondents from all countries. All SACTAP case study respondents were based in South Africa.

### **Counter-Trafficking Module (CTM) Database**

As indicated in the body of the report, the Counter-Trafficking Module (CTM) is part of a larger IOM migration database, MIMOSA, created as a case management system for victims of human trafficking. IOM staff developed the CTM to centralize information collected from IOM counter-trafficking and return and reintegration projects. CTM currently contains data on 13,809 registered victims of human trafficking collected from 46 IOM missions in all regions of the world, covering 85-plus source and 100-plus destination countries. The data fall into four areas: (1) demographics on trafficked persons; (2) information on the trafficking process experienced; (3) patterns of exploitation (types, length, means), including re-trafficking; and (4) response and assistance provided (referrals, medical or mental health care, law enforcement).

IOM first put the CTM in place in 2000, as a case management system for victims of human trafficking related to the conflict in Kosovo. In 2005, IOM expanded and updated CTM's use to include other IOM missions assisting trafficked persons. For this purpose, they created two standardized data collection tools for use across service providers: (1) the screening interview form, which collects data used to assess whether an individual is a victim of trafficking and eligible for an IOM's assistance programme; and (2) the assistance interview form, which tracks the direct assistance provided and documents the trafficking experience. Currently, not all IOM missions use the CTM system. Some missions and local service providers (e.g., NGOs) have their own data systems and some may not have sufficient staff or training to collect these data. IOM headquarters encourages all missions to use the CTM to assess eligibility, collect data on service provision, and supplement documented information on trafficking experiences, modalities and practices. Partners generally collect data in hard copy and send them to the relevant mission for data entry.

IOM is currently converting data entry from the intake forms to a web based system. Once the web-based system is complete, IOM is considering whether or not to require all IOM missions to enter relevant data into CTM (IOM will provide staff with training on CTM usage). As of 2008, because not all missions had access to the database, IOM encouraged them to at least complete the core questions, which include variables extracted from both the screening and assistance forms.

IOM staff complete CTM forms and conduct data entry at several points in time. For instance if a victim is referred to an IOM agency, intake staff complete the screen-

ing interview form and then refer him/her to a different agency for services. The next agency might then complete the assistance interview form with the victim and send the form back to IOM for entry into the CTM. The CTM also documents how and when data change (i.e., if victim responses change over time) as an important component of capturing information about the experiences of victims. IOM staff provide a data entry time stamp each time data are entered to help track these changes.

### Cross-site Analysis Criteria

The criteria used to identify themes included:

- (a) **Alignment with study research question(s):** Does the theme address or respond to one of the topics identified in any of the study research questions? If so, how well does it respond to it (high, medium, low)?
- (b) **Organizational affiliation and frequency:** Did at least two independent respondents or documents in the site visit reports and/or case studies with different organizational affiliations/sources (e.g., IOM, IGO, INGO, NGO, national government) mention the theme?
- (c) **Geographic location and frequency:** Did at least two independent respondents or documents in the site visit reports and/or case studies with different geographic foci (e.g., by country, region, or IOM headquarters) identify a theme?
- (d) **Quality/Importance:** Did at least two independent respondents or documents in the site visit reports and/or case studies employ an adjective indicating primacy to their discussion of a theme, e.g., “important benefit,” “significant problem,” “frequent challenge,” etc?

Criteria used to determine if a theme should be raised to the level of a finding and considered for inclusion in the report included:

- **Primary:** A theme that was both (a) identified independently by **both** reviewers; and (b) ranked as **high** on the three point scale in its alignment with one of the study research questions;
- **Secondary:** A theme that was (a) identified by **one** reviewer; and (b) ranked as **high** on the three point scale in its alignment with one of the study research questions or (a) identified by **both** reviewers; and (b) ranked as **medium** by at least one reviewer;
- **Tertiary:** A theme that was (a) identified by **one** reviewer; and (b) ranked as **medium or low** on the three point scale in its alignment with one of the study research question or (a) identified by **both** reviewers; and (b) ranked as **low**.

### Study Limitations

Study limitations include:

*Representativeness.* It is important to note that while far-reaching in scope, the interviews, focus groups, and observations described above were collected from a convenience sample of sites and their staff chosen for their alignment with criteria of interest (e.g., Norway-funded, IOM-led implementation, geographical dispersion, larger budgets, recent implementation, and direct assistance focus). Similarly, the documents reviewed were limited to materials on counter-trafficking from the

regions and countries of interest (case studies) that the research team was able to identify in the Norad archive, MFA archive, IOM website evaluation page, or materials provided on-site by study respondents. The administrative data were limited to those contained in the IOM CTM database on the date of extraction (September 2010). Not all countries working with IOM on services to victims of trafficking are included in the database and not all countries began reporting to the database at the same time. For these analyses, the findings are limited to the information in the CTM database and do not represent the universe of IOM-assisted victims of trafficking.

Survey data were limited to the responses provided from a convenience sample of IOM headquarters and field staff, relevant MFA staff, and implementing partner organization staff (NGO, INGO, IGO). These respondents were chosen because of their involvement with IOM headquarters, one of the five case study countries, or one of five additional sites chosen because they partnered with IOM and received significant Norwegian funding to combat human trafficking during the period of evaluation (2000 – 2010). The survey responses were also limited to those provided by the respondents identified by IOM and entered during the fielding period in November 2010 through January 2011.<sup>140</sup> Consequently, it is best to consider data on IOM counter-trafficking strategies, projects, policies and procedures as illustrative, but not necessarily representative of all IOM Norway-funded counter-trafficking strategies, projects, staff and partner organization perspectives, or documents. As noted in the body of the report, the low response rate (37.5 percent) may introduce non-response bias into the analysis, wherein data included in the analysis were limited to those responses provided during the survey fielding period and do not necessarily represent the entire pool of potential responses.

*Reliance on staff recall.* Data on sites' counter-trafficking projects have been obtained primarily from interviews with staff and therefore rely on staff recall over a period of approximately one to as many as ten years (2000 – 2010). In some cases, interviewees were relatively new to their programs and relied on second-hand information as reported to them by colleagues. Memory decay also affected data validity; for example, on various occasions, interviewees reported difficulty remembering all of the activities their projects included or when and how they became involved with counter-trafficking work or IOM, etc. The principal limitation of the staff survey data is that it uses a retrospective panel design that relies on staff recall over a period of one to ten years regarding their opinions of IOM's counter-trafficking work. Memory decay is one limitation and reliance on indirect or second-hand information about IOM's work is another.

*Variation in interview, focus group, and observation content.* Interview and focus group data were collected from IOM, partner organization, and Norwegian MFA staff in seven different sites (i.e., the five case study countries, IOM headquarters in Geneva, and one IOM regional project) using semi-structured interviews of approximately 60 to 90 minute duration (120 minutes in some cases, especially focus

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<sup>140</sup> IOM provided the list of primary list of respondents for interviews and surveys. The research team supplemented this list with other recommendations given by interview respondents and Norad. These additional respondents were limited to about 15, thus leaving the bulk of 247 respondents.

groups). Field researchers did not always cover precisely the same interview and focus group topics (or cover them to the same degree) across sites or stakeholders, since sites' situations and interviewees' expertise and involvement with IOM and counter-trafficking varied significantly and some respondents emphasized some topics more than others, as pertinent to their situation. Similarly, the research team also did not conduct the same kinds of observations in each case, since not all sites visited provided the same types of services, e.g., crisis shelters, hotlines, trainings, awareness-raising activities, etc. Consequently, the coverage of common issues across cases is sometimes uneven. Finally, this report incorporates data collected at a point in time, anywhere from current to ten years after Norway first funded IOM counter-trafficking work in an area.

While significant in number overall (e.g., 30-plus interviews, two focus groups, and several observations *per case study*), the number of interviews, focus groups, and observations are relatively small compared to of the population of interest. As such, we do not provide percentages regarding responses in order to avoid implying that there is more evidence than we collected during the evaluation.

We generally report the precise number of a response, e.g., three NGO staff members in one country . . . or two staff members from different IGOs in two separate countries . . . We occasionally use terms like “most,” “a few,” or “approximately X interviewees” to indicate how frequently respondents gave certain responses. Survey data are, however, reported in percentages.

In this light, it should be noted that qualitative data are sometimes differ from quantitative data derived from surveys or administrative records that might emphasize the average number of occurrences or of responses of a group. While we often seek convergence of results, divergence in findings from a multi-methods approach is important, as it helps researchers better understand multi-faceted situations or helps portray the human experience in its more complete complexity.

*Lack of data on practice-based impact.* Most data available on IOM counter-trafficking project involved project outputs. From these data, it is possible to draw some conclusions about what practices and strategies have the potential to improve counter-trafficking efforts. However, beyond the CTM database, very little data are available on the outcomes of IOM's counter-trafficking projects in practice-based contexts (e.g., only one case provided the study team with a separate outcome evaluation that identified and verified project outcomes, despite a request to all sites that they provide copies of any available reports). While it is reasonable to expect that improved practices and strategies will yield stronger project outcomes, this hypothesis remains to be confirmed empirically.

Although not representative of all IOM, Norway-funded counter-trafficking efforts, the data and the research team's analyses illuminate key aspects of IOM's Norway-funded counter-trafficking programming, especially with regard to programme implementation, collaboration, and sustainability. They also include important insights into the issues and challenges involved in providing counter-trafficking projects in numerous sites. Further, the study provides broader information on

relevant issues pertaining to IOM's counter-trafficking efforts that cut across Norway-funded and non Norway-funded projects, thus giving some more global context for the experiences encapsulated in the five case studies. This includes: direct assistance to victims of human trafficking from 80-plus countries; and multiple stakeholder perspectives on IOM's counter-trafficking work in ten-plus countries.

### **Case Study Template (guide for conducting case study analysis)<sup>141</sup>**

For the case studies you are preparing for the Evaluation of IOM's Counter-Trafficking Efforts, please use the following guidelines to construct a synthesis of the major themes and trends that emerge from your analysis of the data collected. The data you will use to construct your case study, which will be part of the final report, will include the following:

- (a) On-site interviews, focus groups, observations;
- (b) Phone interviews;
- (c) Document review data from IOM, Norad, MFA, site provided, *Review of the Norwegian MFA Portfolio on Human Trafficking* (2009) and any other documents you may have included in your document review;
- (d) Administrative data from your country/region (if available); and
- (e) Survey data from your country/region (if available).

Each case study should be approximately 10-15 pages in length and should be thought of as an occasion to share your analytical perspective on (and analytical synthesis of) what the various and diverse data reveal about IOM's counter-trafficking programmes, projects, activities, outcomes, impacts, and reputation with the rest of team and the client, as these will likely be included in close to their entirety in the final report.

At the same time, some of the data from your case study will be used in other parts of the report, i.e., it is both a stand alone piece for the report and something that we will use to address specific issues *that apply more globally* to IOM's counter-trafficking work in the final report. As such, you want to provide as much detail as possible about your case, describing and explaining your data, *as well* as providing an analysis of what the various data demonstrate about IOM's counter-trafficking work in your case, region, and more globally, as applicable.

It is helpful to think of various interacting levels in IOM's work: the issue(s) of focus overall (Section 1 below); IOM's activities (completed or planned) related to this issue(s) (Section 2); how others have reacted to IOM's activities or planned activities (Section 3); and an analysis of IOM's progress, challenges and opportunities around this issue, including any nascent impacts you detect (Section 4). **Section 5 is the crucial one. Please be sure to provide your best empirically-informed analysis and insights as part of Section 5.**

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<sup>141</sup> Case study team members used this as a *guide* for writing their case studies but were not required to follow this outline precisely, as what they included depended upon what data were available (e.g., who was available to interview, what project documentation existed, where projects were in their implementation cycle, among other site variations). They were required to provide a full description of data collected on site that could then be used for the analysis provided in the body of the report.



## **1. Background and Context**

- A. Provide a summary description of the needs and issue(s) related to (and that motivated) the programme(s) and/or projects that constitute IOM's counter-trafficking work in your case, e.g., raising awareness of trafficking, preventing trafficking, providing direct assistance to trafficked persons, training staff to work with trafficked persons, building networks among organizations seeking to counter trafficking in some way, etc. What is the trafficking situation in the country and why has IOM sought to address it and in what ways? The summary should address all of the issues that IOM and its partners have sought to address with their current counter-trafficking programming in your country/area as discussed in the data reviewed.
- B. Summarize any debates and/or competing positions around this issue, e.g., competing definitions of what constitutes trafficking; arguments about how best to prevent trafficking, e.g., information vs. skills training vs. job opportunities, etc; debates over how best to assist trafficked persons – in-country programmes; access to residence and work permits; return and reintegration, etc.
- C. Include any discussion of the larger policy context in which these counter-trafficking efforts emerged and/or debates are taking place necessary to understand the issue of focus, i.e., what are the major issues and positions on this issue being discussed in the country, region or public arena more generally. Please include discussion any other groups who are working on the same issue(s) from either consonant or dissident perspectives/positions.

## **2. IOM and Programme Positions**

- A. Describe IOM's specific position(s) on each issue covered in the data reviewed. Include any dissent or debate among respondents with regard to the issue or approach.
- B. Detail any or all proposals and positions that have emerged to represent IOM's position on an issue, e.g., for or against return and reintegration; for or against in-country assistance and access to visas?
- C. Provide an overview of why IOM has taken this position on the issue. Why do they support this strategy as a way to assist trafficked persons and more generally, counter trafficking effectively? What do they hope to achieve with this position? Include discussion of specific programme and/or project goals.
- D. Discuss the relationship between this position/programme/project and IOM's broader strategic principles with regard to countering trafficking in the country, region and/or globally, as appropriate.
- E. Discuss the relationship between this position/programme/project and IOM's broader approach and governing principles for counter trafficking activities:
  - Respect for human rights
  - Physical, mental and social well-being of the individual and his or her community
  - Sustainability through institutional capacity building of governments and civil society

Please also consider their goal of seeking to strengthen the capacities of government and civil society partners and to set operational standards to achieve sustainable results that will:

- provide protection and empower trafficked women, men, girls and boys
  - raise awareness and understanding of the issue
  - bring justice to trafficked persons
- F. Include any information about how IOM's positions or approach to this issue within the counter-trafficking agenda have evolved over time.
- G. Describe any positions of other local actors (e.g., Norwegian embassy staff, partner organization staff) on the primary and relevant counter-trafficking issues, e.g., how best to define human trafficking, assist trafficked persons, combat trafficking nationally, regionally or globally, etc., especially where they differ from those of IOM.

### **3. Project Activities**

- A. Describe what activities IOM and its partners have undertaken in its national or regional counter-trafficking programming and/or for counter-trafficking projects, both planned and realized, e.g., community forums, public information campaigns, employment or skills training, case management to trafficked persons, return and reintegration programmes, capacity-building trainings, network creation, etc. Include a discussion of the timeline for all project activities, including plans for future work.
- B. Include information about the project's current phase, referring to IOM's and/or any national plans of action to counter trafficking to identify their key project structures and phases. Please note that not all projects will neatly align with IOM and/or national plans of action but all should make some reference to or fit into a national or regional counter-trafficking plan. Try to address how these activities fit into some kind of larger (national, regional, global) plan to combat trafficking.
- C. Include information regarding any shifts in project activities, either in focus or action. If applicable, please also describe any activities that were not realized and the reasons why they were not implemented (e.g. activity was no longer aligned with project goals, shifted focus in response to local needs, challenges with implementing partners, funding, etc.).

### **4. Stakeholder Views (about the counter-trafficking issue and IOM activities)**

- A. Identify key stakeholders and stakeholder roles for the issue(s) addressed by the counter-trafficking programme(s)/project(s) you are visiting/addressing (not by name but by type of organization or group, etc). Include an explanation of why they are considered stakeholders.
- B. Describe stakeholders' opinions of the relevant trafficking and counter-trafficking issue(s) and programming and/or projects designed to address it/them: How do respondents describe IOM's position and work around this issue(s)? Who and/or what groups do they associate with this issue(s)? Are there differences in the types of people or groups that tend to support or oppose IOM's work or positions? Be sure to capture *both* (a) their general position on the issue(s) *and* (b) their perspective on IOM's position or work around this issue(s).

- C. Identify the degree to which IOM is associated with a specific position or strategy related to trafficking and combating it: Is IOM associated with a position or project by name as an organization or in association with a key staff, e.g., return and reintegration, information campaigns, regional networks, etc? Who identifies or associates IOM with the issue(s)? Is that association of IOM with an issue or position positive or negative? How do they describe IOM's counter-trafficking work?

**5. Findings and Implications (KEY SECTION)**

- A. Provide your initial assessment of the extent to which IOM has achieved their goals related to the project(s) you are assessing, i.e., prevention, direct assistance, research, technical cooperation. Please include a description of **all evidence** you are using to make your assessment, i.e., any evidence of progress that you have found, specific data sources, etc.
- B. Assess IOM's achievement of its larger goals with regard to this programming or project(s) – countering trafficking through prevention, direct assistance, research, and technical cooperation projects. Does IOM's position or work on this issue suggest that they have been able to set the counter-trafficking agenda? Effectively collaborate with local, national and regional partners? Effectively design and implement counter-trafficking programmes and/or projects? Produce concrete outcomes? Have an impact on trafficking in the region? Also evaluate them in terms of their own goals as articulated above in 2.E. In what ways. Include a description of **all evidence** you are using to support your view of impact in these areas.
- C. Describe any challenges IOM has faced in this case study, again including any evidence for challenges or obstacles you are citing.
- D. Identify any suggestions found in the data for how IOM should handle this issue or strategy differently either in terms of their actual position or their activities with regard to this issue. Please be sure to identify all data and/or sources that you are using. Please also include specific recommendation made and by whom, e.g., a local government leader strongly recommends that IOM increase their collaboration efforts with local organizations or local NGO staff recommend that IOM change.
- E. Offer any specific **findings based on (directly and specifically tied to) these findings** that, based on your careful analysis of the data, you would make to IOM and/or Norad about the counter-trafficking strategy(ies), programming, project(s), and/or activities surrounding the information campaigns, direct assistance projects, research, and/or technical cooperation undertaken under IOM's auspices and in relation to your case.

**Cross-site Analysis Matrices A and B: Primary Study Themes and Findings**  
**Cross-Site Analysis Matrix 1: Primary Themes, Frequency, Quality, and Alignment with Research Questions**

Research Question	Theme	Alignment with Research Question (High, Medium, Low)	IOM Respondent	IGO Respondent	INGO Respondent	Government Respondent	NGO Respondent	Other Document or Publication	Geographic location (Africa, Central Asia, South Asia, SE Europe, Western Europe)	Descriptive adjective(s) used
<b><i>IOM's mandate and platform for responding to human trafficking</i></b>										
Assess the organization's coverage, platform and structure in HQ and COs in terms of human trafficking, including its mandate, policy, strategy (ies) and programs in this area.	Theme A	✓								
	Theme B									
	Theme C									
	Theme D									
	Etc etc									
Which definitions of human trafficking and of victims of trafficking (or trafficked persons) are in use? How are the definitions operationalised and is IOM consistent throughout its operations in how it defines cases?										
How does the organization view itself in terms of the global fight against human trafficking? Does this correspond with the perceptions that partners, donors and beneficiaries have?										

Research Question	Theme	Alignment with Research Question (High, Medium, Low)	IOM Respondent	IGO Respondent	INGO Respondent	Government Respondent	NGO Respondent	Other Document or Publication	Geographic location (Africa, Central Asia, South Asia, SE Europe, Western Europe)	Descriptive adjective(s) used
IOM's activities—design, implementation and results										
What kind of needs and context analyses are undertaken by IOM when designing initiatives?										
To what extent do IOM counter trafficking activities contribute to national or regional strategies and programmes?										
What are the criteria for allocation of resources to various countries and programmes? What are the criteria for decisions on what type of programs should be undertaken/ supported by IOM?										

Research Question	Theme	Alignment with Research Question (High, Medium, Low)	IOM Respondent	IGO Respondent	INGO Respondent	Government Respondent	NGO Respondent	Other Document or Publication	Geographic location (Africa, Central Asia, South Asia, SE Europe, Western Europe)	Descriptive adjective(s) used
How is IOM cooperating and coordinating its efforts with relevant institutions to maximize impact and ensure sustainability?										
Does IOM apply a human rights perspective in its counter-trafficking programs?										
Does IOM apply a gender-based perspective in its counter-trafficking programmes?										

Research Question	Theme	Alignment with Research Question (High, Medium, Low)	IOM Respondent	IGO Respondent	INGO Respondent	Government Respondent	NGO Respondent	Other Document or Publication	Geographic location (Africa, Central Asia, South Asia, SE Europe, Western Europe)	Descriptive adjective(s) used
Does IOM apply a child rights perspective in its counter-trafficking programs?										
To what extent is IOM contributing towards building national capacities to combat human trafficking?										
What are the key results of the selected interventions, at which level (output, outcome, impact)? Assess credibility, independence and usefulness of extant evaluations (referring to UNEG norms and standards) in IOM.										

Research Question	Theme	Alignment with Research Question (High, Medium, Low)	IOM Respondent	IGO Respondent	INGO Respondent	Government Respondent	NGO Respondent	Other Document or Publication	Geographic location (Africa, Central Asia, South Asia, SE Europe, Western Europe)	Descriptive adjective(s) used
Do results align with info given in reports to the IOM Board?										
Evaluation and institutional learning										
How is the evaluation function placed within the organization? Is it sufficiently independent?										
Do evaluations pay sufficient attention to assessing the impact of IOM activities?										



Research Question	Theme	Alignment with Research Question (High, Medium, Low)	IOM Respondent	IGO Respondent	INGO Respondent	Government Respondent	NGO Respondent	Other Document or Publication	Geographic location (Africa, Central Asia, South Asia, SE Europe, Western Europe)	Descriptive adjective(s) used
How are results from evaluations/reviews disseminated and followed up internally in the organization?										
How does IOM ensure institutional learning?										

**Cross-Site Analysis Matrix 2: Primary Findings by Frequency, Quality, and Rank**

Finding	Number of Times Identified as a Theme	Quality of Map to Research Question	Classification
		High	Primary
		Medium	Secondary
		Low	Tertiary

## Annex B: Online Document Review Tool

### IOM Counter Trafficking Evaluation Document Review Data Abstraction Tool

#### I. OVERARCHING ATTRIBUTES

##### A. Reviewer

- Jacqueline
- Kate
- Phil
- Rebecca
- Subuhi
- Thomas

##### B. Project title

---

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##### C. Document titles, authors, dates

- i. Enter the report titles for this project:

---

- ii. Enter the report authors, if available:

---

- iii. Enter the report dates, if available:

YYYY-MM-DD

##### D. Document types

- i. Select all of the document types included in this project:
- IOM external evaluation
  - IOM internal evaluation
  - CT project proposal
  - MOU
  - Contract with service provider

- Provider data collection tool
- Interim project report to IOM or Norad
- Final project report to IOM or Norad
- Missing or needed documents (specify below)
- Other (please specify)

---

ii. If there are missing or needed documents, please specify:

---

iii. Add the document file name(s) for each document type:

---

---

---

**E. Project funders**

i. Select the project funders:

- Norad/Norwegian MFA
- Norwegian embassy
- Norwegian NGO
- Other IGO
- Other national government
- Other NGO/INGO
- Other

ii. Specify the project funders:

---

---

---

## II. PROJECT ATTRIBUTES

### A. Country or regional project

- Country
- Region [SKIP to II.C.]

### B. Country

- Bangladesh
- Kyrgyz Republic
- Macedonia
- Nigeria
- Norway
- South Africa
- Uganda
- Other (please specify) \_\_\_\_\_

[SKIP to II.D.]

### C. Region

- Western Europe
- Eastern Europe
- Southeastern Europe
- Central Asia
- South Asia
- Southeast Asia
- East Asia
- North Africa
- West Africa
- East Africa
- Sub-Saharan Africa

### D. Project duration

(Please complete month/year in following format: 06/2005 – 08/2007)

i. Is the project duration clear? *(Is the project duration available in the following format: From MM/YYYY to MM/YYYY? If only the year is given, select Yes.)*

- Yes
- No
- N/A

ii. Enter the start date for this project:

MM: \_\_\_\_\_

YYYY: \_\_\_\_\_

iii. Enter the end date for this project:

MM: \_\_\_\_\_

YYYY: \_\_\_\_\_

**E. Project type**

Select the project type:

- Prevention (skip to II.F)
- Research project (skip to II.G.)
- Direct assistance (skip to II.H.)
- Technical cooperation (skip to II.I.)

**F. Prevention focus**

- Alternatives to migration
  - Awareness raising on human trafficking
  - Policy development
  - Advocacy campaign
  - Other (please specify)
- 

**G. Research project focus**

- Survey
  - Quantitative analysis
  - Qualitative/field-based
  - Database
  - Other (please specify)
- 

**H. Direct assistance focus**

- Protection of victims
  - Return and reintegration
  - Other (please specify)
- 

**I. Technical cooperation focus**

- Police training/capacity building
- Lawyer training/capacity building
- Medical professionals training/capacity building
- Border guards training/capacity building
- Governmental staff training/capacity building
- NGO staff training/capacity building

- Network building (specify types of partners below)
  - Other (please specify)
- 

i. If you selected network building, please specify the types of partners:

---



---



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**J. Project purpose/objectives (Please choose all that apply)**

- Provide alternatives to migration for at-risk groups: vocational training
- Provide alternatives to migration for at-risk groups: microcredit
- Provide alternatives to migration for at-risk groups: other (please specify below)
- Provide information on risks of trafficking
- Provide information on how to migrate safely
- Facilitate safe migration
- Facilitate legal migration
- Provide experts, stakeholders, governments, IGOs, and/or general public with research and information about the scope and nature of trafficking in a particular country or region
- Protect victims of trafficking from traffickers, including from being re-trafficked
- Provide support services to victims of trafficking
- Support shelters for victims of trafficking
- Assist victims of trafficking to return home
- Assist victims of trafficking to reintegrate into society
- Train technical personnel (e.g., police, lawyers, etc) on how to support and assist victims of trafficking
- Train NGO direct services staff on how to protect, assist, and/or support victims of trafficking
- Create cooperation/collaboration among different social protection institutions (e.g., police, courts, prosecutors, lawyers, border guards, etc) in combating TIP
- Provide assistance with developing national plans
- Provide advice/recommendations on trafficking policy
- Provide advice/recommendations on migration policy
- Strengthen capacity of law enforcement agencies to combat human trafficking
- Build community networks to combat trafficking, including referral systems
- Collect information on trafficking (e.g. its characteristics, patterns, flows, sources, monitor access to services, prosecution, etc), including the establishment of a database

- N/A
  - Other (please specify)
- 

**K. Project motivation and documentation**

- i. Select the project motivation:
  - High levels of trafficking in the area
  - Lack of information about trafficking
  - Potential for trafficking/existence of factors thought to make population vulnerable to trafficking
  - Lack of network to prevent trafficking
  - Lack of network to assist trafficking victims
  - No motivation given
  
- ii. For each project motivation checked above, include the evidence of this motivation and its source. Include institution and year of evidence.

High levels of trafficking in this area

---

Lack of information about trafficking

---

Potential for trafficking/existence of factors thought to make population vulnerable to trafficking

---

Lack of network to prevent trafficking

---

Lack of network to assist trafficking victims

---

**L. Target group/population** *(Each counter-trafficking project should have a target population, either for the information campaign, research, direct services, or technical cooperation.)*

- General public
- Women at risk of trafficking (20 years and older)
- Men at risk of trafficking (20 years and older)
- Female youth at risk of trafficking (approx. 15-20 years old)



- Male youth at risk of trafficking (approx. 15-20 years old)
  - Boys at risk of trafficking (18 years and under)
  - Girls at risk of trafficking (18 years and under)
  - CT experts/stakeholders
  - Female victims of trafficking (20 years and older)
  - Male victims of trafficking (20 years and older)
  - Girl victims of trafficking (18 years and under)
  - Boy victims of trafficking (18 years and under)
  - NGO staff
  - Participating technical staff (police, lawyers, teachers, medical professionals, etc.)
  - Governmental staff
  - Not specified
  - N/A
  - Other (please specify)
- 

**M. Project activities** *(This question refers to activities that occurred as part of the project.)*

1. Project Design

- Needs assessment
- Target group definition
- Articulation of problem and project assumptions
- Alignment between problem definition, project activities, project objectives and project outcomes (theory of change and/or logic model)
- Human rights principles
- Child rights principles
- Gender perspectives
- Identification of IOM's role in counter-trafficking
- Building evaluation components into the project

2. Information and prevention campaigns for at-risk groups

- Definition of trafficking
- Modalities and risks of trafficking
- Employment training/skills building for at-risk groups
- Other migration alternatives (please specify)

- 
- Migration hotline
  - Outreach and/or dissemination plan

3. Safe migration programmes (non-information campaigns)

- Pre-migration training
- Migrant support networks
- Strengthening/enforcement of labor standards
- Programmes to combat discrimination

4. Research projects
  - Trafficking trends
  - Trafficking routes
  - Vulnerability factors based on assessment of those at-risk
  - Vulnerability factors based on assessment of victims
  - Availability of victim services
  - Market surveys for job training and placement – victims
  - Market surveys for job training and placement – at-risk
  - Dissemination of research findings
  
5. Victim identification programme
  - Victim identification guidelines
  - Victim identification/determination
  - Programme intake
  - Hotlines for victim identification
  
6. Trafficking victim protection programme
  - Guidelines for victim Support
  - Referrals to other supports
  - Case management programmes
  - Support to shelters
  - Monitoring of shelters
  - Medical services
  - Counseling services
  - Legal Support
  - Vocational Training
  - Occupational Therapy
  - Job readiness training
  - Job Placement
  - Life skills
  - Special programmes for children
  
7. Return and reintegration programme
  - Guidelines for return and reintegration
  - Return services
  - Family tracing for children
  - Reintegration services
  - Referrals to home country service providers
  - Alternatives to return
  - Third country relocation
  
8. Training/capacity building to NGO, governmental or other technical staff (e.g., lawyers, doctors, police, border guards, etc.)
  - Support for development of National Plans
  - Support for policy development – trafficking
  - Support for policy development – migration
  - Training in information campaigns
  - Training for shelter staff

- Training in victim identification
  - Training in services to victims
  - Training in investigations
  - Training for prosecutors/judges
  - Establishment of a community referral network for trafficking victims
  - Establishment of other types of networks to combat trafficking
9. Design of a trafficking database
- Case management
  - Law enforcement
  - Information on victims
  - Information on trafficking
10. Other (please specify)
- 

11. N/A

**N. Evaluation data collected**

1. Participant information

- Numbers of participants/clients/trainees
  - Types of participants
  - Attendance or frequency of participation
  - Other (please specify)
- 

2. Documentation of services provided

- Tracking system of client services/case management system (services and referrals received)
  - Tracking system of types, content, and/or nos. reached by outreach campaign activities
  - Tracking of training topics, no. of trainings provided, and/or nos. of people reached
  - Tracking of capacity building meetings, topics, and/or nos. and types of participants
  - Other (please specify)
- 

3. Knowledge tests

- Pre- and post-programme knowledge tests (information campaigns)
  - Pre- and post-programme knowledge tests (prevention projects Pre- and post-programme knowledge tests (training projects)
  - Post-test only (information campaigns)
  - Post-test only (prevention projects)
  - Post-test only (training projects)
  - Other (please specify)
-

4. Staff and participant satisfaction
  - Staff (direct services, e.g., intake, case management, etc)
  - At-risk groups (prevention projects)
  - Clients (direct services, e.g., return and reintegration)
  - Trainees (trainings or workshops)
  - Programme participant (capacity-building project)

5. Programme outcomes
  - Outcomes of direct assistance services received
  - Follow up information on trafficking victims
  - Other (please specify)

---

6. Comparative Study
  - Victims vs. non-victims
  - Programme participants vs. non-participants
  - Other (please specify)

---

100. N/A

**0. Key findings with relevant details and source of findings** *(You can enter up to five key findings for each project type specified in Question E. Each key finding should include a heading, finding, source provided (Y/N), name of actual source provided, and any other key pertinent information. Example source: Guidelines for the Collection of Data of Trafficking in Human Beings, Including Comparable Indicators, IOM 2009. Enter up to five findings or choose N/A.)*

1. Information campaign/prevention programme  
Heading:

---

Finding:

---

Source provided: Y/N

Name of actual source provided:

---

Other pertinent information:

---

N/A

2. Research project

Heading:

---

Finding:

---

Source provided: Y/N

Name of actual source provided:

---

Other pertinent information:

---

N/A

3. Direct assistance

Heading:

---

Finding:

---

Source provided: Y/N

Name of actual source provided:

---

Other pertinent information:

---

N/A

4. Technical Cooperation

Heading:

---

Finding:

---

Source provided: Y/N

Name of actual source provided:

---

Other pertinent information:

---

N/A

**P. Recommendations offered by the project or programme** (Use your judgment to choose the top five recommendations.)

1. Information campaign

Recommendation A:

---

Recommendation B:

---

Recommendation C:

---

Recommendation D:

---

Recommendation E:

---

2. Research project

Recommendation A:

---

Recommendation B:

---

Recommendation C:

---

Recommendation D:

---

Recommendation E:

---

3. Direct assistance

Recommendation A:

---

Recommendation B:

---

Recommendation C:

---

Recommendation D:

---

Recommendation E:

---

4. Technical Cooperation

Recommendation A:

---

Recommendation B:

---

Recommendation C:

---

Recommendation D:

---

Recommendation E:

---

**Q. Trafficking trends/original information**

i. Enter trafficking trends/original information of choose N/A:

---

---

---

ii. N/A

**R. Plans for follow up projects/activities**

- Additional information campaign with same target group
  - Information campaign for new target group
  - Follow up research project, same format/methodology
  - Follow up research project, new format/methodology
  - Follow up protection programme, same target group and format
  - New protection programme, new target group and/or format
  - Follow up return and reintegration programme, same target group and services
  - New return and reintegration programme, new target group and/or services
  - Follow up network-building or other technical cooperation project
  - New network-building or other technical cooperation project
  - Follow up capacity building or training project
  - New capacity building or training project
  - N/A
  - Other (please specify)
- 

**S. Additional comments**

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## Annex C: Survey Instrument

### **STAFF SURVEY**

#### **for the Evaluation of the International Organization of Migration and their Efforts to Combat Human Trafficking**

#### **IOM and Partner Organization Staff**

**October 2010**

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#### **Survey Instructions**

An independent research team – Berkeley Policy Associates, Mathematica Policy Research and the Research Communications Group (RCG) – is working with the International Organization for Migration (IOM) and the Norwegian government to conduct an evaluation of IOM counter-trafficking efforts between 2000 and 2010. This study will identify key counter-trafficking processes and practices, as well as assess the outcomes of IOM's efforts to combat human trafficking in different countries, regions, and globally.

A core component of the evaluation is a survey of IOM staff and partners. This survey enables the research team to gain insight on this work from a large number of IOM staff and implementing partners who work directly on counter-trafficking efforts, including prevention projects, direct assistance to victims, research projects, and technical cooperation and capacity building programmes.

We invite you to participate in this web-based survey regarding IOM's efforts to combat human trafficking. We hope you will find it interesting to describe your opinions regarding IOM's counter-trafficking efforts including prevention, research, direct assistance, and technical cooperation projects over the past 10 years. We appreciate your honest and thoughtful responses. Your answers represent an important contribution toward understanding the structure, implementation, outcomes and impacts of IOM's counter-trafficking efforts.

By clicking the button at the bottom of this page, you will be forwarded to the first page of the online questionnaire.

#### **Confidentiality**

Your participation is confidential and your responses cannot be traced to you in any way. Your identity and/or organizational affiliation will **not** be revealed in reports, presentations, or articles and will not be recognizable to anyone beyond the re-

search team. We will **not** include your name or title or your partner organization in an informants list or in any other format. All responses will be reported in aggregate only.

Please give your most honest and complete answers so that your opinions can help provide a better understanding of IOM's counter-trafficking work and how best to strengthen it. Your responses will be used for research purposes only and will not be shared with the donor, IOM staff, or anyone beyond the research team.

### **Compensation and Freedom to Withdraw**

There is no compensation for your participation in this study. Your participation is voluntary. You may choose not to participate at all, or you may refuse to answer certain questions or discontinue your participation at any time without any penalty. There are no right or wrong answers to these questions.

Please answer questions to the best of your ability. If you do not know about a certain issue, please answer "Don't know." If a question asks about an issue you do not deal with in your position, please choose the "N/A" (Not Applicable) option or you may skip the question altogether. You are under no obligation to participate in this survey or to answer any specific question.

The survey asks about many aspects of IOM's counter-trafficking projects and should take about 20-30 minutes to complete. We would like to ask you to complete this survey now, or as soon as possible. We greatly appreciate your participation.

If you have a comment or a question about the survey or would like to qualify an answer in any way, please email us at [iom.survey@gmail.com](mailto:iom.survey@gmail.com).

All survey responses will be reported anonymously and in aggregate, as part of a larger evaluation of IOM's Norway-funded counter-trafficking efforts. These data will contribute to (a) an analysis of the outcomes of IOM's counter trafficking activities; (b) examination of how lessons learned from previous counter-trafficking projects have been used in current and future project planning; (c) identification of lessons learned through current programming; and (d) provision of original recommendations regarding future policy making and planning for donor-funded activities against human trafficking.

**Thank you for your participation!**

## Section A: Current Counter-Trafficking Work

**In this section, we would like to learn more about your current position and the types of counter-trafficking work that you do.**

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**A1.** What is your current, official title?

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**A2.** How would you describe your level or position? *(Please choose only one)*

- Senior management
- Middle-lower management
- Administrative
- Programme/Project Coordination or Manager
- Technical Adviser, i.e., topical area expert providing input on project or programme design and content
- Operations staff
- Victim Support staff
- Trainer or educator
- Technical Assistance staff, i.e., providing direct technical advice on programme implementation
- Other (please specify) \_\_\_\_\_

**A3.** Please indicate your primary job responsibilities related to countering trafficking *(Please choose all that apply to the type of work you do day-to-day):*

- Programme or project management
- Participant or client outreach
- Information campaign staff, e.g., design, training, dissemination of materials related to prevention and other informational/educational programmes
- Participant recruitment, i.e., engaging target groups for informational campaigns, trainings, network building etc activities, e.g., border guards, police officers, lawyers, judges, NGOs, teachers, governmental officials, etc
- Client intake and programme eligibility
- Service determination and advisement
- Case management
- Referral services
- Research (quantitative and/or qualitative)
- Training *(Please specify type of training you do)*

\_\_\_\_\_  
 Technical Assistance *(Please specify type of TA you provide)*

\_\_\_\_\_  
 Network building *(Please specify activities)*

\_\_\_\_\_  
 Programme or project evaluation

Other *(Please specify)* \_\_\_\_\_

**A4.** What type of organization or institution do you work for? (Please choose only one)

- National governmental department, ministry or agency
- Local governmental department, ministry or agency
- International governmental organization
- International non-governmental organization
- Regional governmental organization
- Regional non-governmental organization
- Local non-governmental organization
- International philanthropy or foundation
- Local philanthropy or foundation
- Academic or research institution

**A5.** How long have you been employed by your current organization?

\_\_\_\_\_ years

\_\_\_\_\_ months

**A6.** How long have you been working on counter-trafficking issues?

\_\_\_\_\_ years

\_\_\_\_\_ months

**A7.** What types of counter-trafficking work are you or your organization currently involved in? (Please check all that apply)

	Planning	Implementation	Evaluation	Not involved	Not Sure	N/A
a. Informational campaigns targeted to groups vulnerable to trafficking (prevention focused).	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Informational campaigns targeted to victims, consumers of victim services, potential whistle blowers, etc. to raise awareness and provide assistance (assistance focused)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Other prevention programmes, e.g., skills building, migration resource centres, alternatives to migration, etc.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Research on human trafficking (quantitative and/or qualitative)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

	Planning	Implementation	Evaluation	Not involved	Not Sure	N/A
e. Identification of victims of human trafficking	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. Case management for victims of human trafficking	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g. Direct services to victims of human trafficking e.g., counseling, medical services, legal advice, skills building, etc.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h. Legal advice, representation, and other legal services to victims of human trafficking	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
i. Return and reintegration programmes or projects	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
j. Training of professional staff, i.e., lawyers, judges, border guards, police officers, etc.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
k. Technical assistance to counter-trafficking programmes/projects	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
l. Technical cooperation or network building among local partners	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
m. Regional/cross-border cooperation or network building among international partners	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
n. Evaluation of counter-trafficking programmes or projects	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**A8.** Do you work – or have you worked – with victims of trafficking directly?

- Yes
- No

**A8a.** If you work/have worked with victims of trafficking directly, what is/was your average caseload size per month?

\_\_\_\_\_ cases

**A9.** What is your affiliation with IOM? *(Please choose only one)*

- IOM Headquarters Staff
- IOM Regional Staff
- IOM Counter-Trafficking Programme Staff
- IOM Country Staff
- Governmental agency staff currently receiving technical or financial support from IOM
- Local NGO staff currently receiving technical or financial support from IOM

- International NGO staff currently receiving technical or financial support from IOM
- Staff of other organization currently receiving technical or financial support from IOM (Please specify)
- Governmental agency staff that has previously received technical or financial support from IOM
- Local NGO staff that has previously received technical or financial support from IOM
- International NGO staff that has previously received technical or financial support from IOM
- Staff of other organization that has previously received technical or financial support from IOM (Please specify) \_\_\_\_\_
- Governmental agency staff not receiving direct support from IOM
- Local NGO staff not receiving direct support from IOM
- International NGO staff not receiving direct support from IOM
- United Nations staff
- Staff of other organization not receiving direct support from IOM (Please specify) \_\_\_\_\_

**A10.** Have you received adequate training in the following areas: (Training could include both formal staff training provided by your agency and informal guidance provided by your supervisor.) *(Please check all that apply or N/A for areas that are not relevant to your work)*

	Totally Inadequate	Somewhat Adequate	Adequate	Very Adequate	Totally Adequate	N/A
a. How to develop and manage counter-trafficking programmes and projects that align with specific local and/or regional needs	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. How to design/plan/implement/manage informational campaigns	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. How design/plan/implement/manage other prevention programmes	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. How to conduct research on human trafficking	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. How to define victims of human trafficking	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. How to identify victims of human trafficking	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g. How to conduct case management for victims of human trafficking	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h. How to provide other direct services to victims	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

	Totally Inadequate	Somewhat Adequate	Adequate	Very Adequate	Totally Adequate	N/A
i. How to investigate the crime of trafficking	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
j. How to provide training to technical staff seeking to counter trafficking	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
k. How to provide technical assistance to professional staff	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
l. How to build networks among local staff/ organizations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
m. How to build networks among cross-border/regional staff/organizations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
n. How to evaluate counter-trafficking programmes and/or projects	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**A11.** Do you have enough information about the phenomenon of human trafficking to understand what it is and how it works, including its specific forms in your geographic area of focus (if you have one)?

- Yes
- No
- Not Sure

**A12.** Do you have enough information about what counter-trafficking is (i.e., how to combat human trafficking) to design and build effective counter-trafficking projects and programmes?

- Yes
- No
- Not Sure

**A13.** Please rank from 1 to 9 *in order of importance to you* additional sources of information that would be helpful to you in your counter-trafficking work (using 1 is most important and 9 is least important)

- \_\_\_\_\_ Web-based definitions of and updates on the phenomenon of trafficking in your country or region
- \_\_\_\_\_ Web-based information about how to design, plan, and implement effective counter-trafficking projects and programmes
- \_\_\_\_\_ Face-to-face training from IOM or other international staff on specific aspects of countering trafficking (*Please specify*) \_\_\_\_\_
- \_\_\_\_\_ Additional oversight and input from on-site staff on how to run effective counter-trafficking programmes
- \_\_\_\_\_ Peer-to-peer exchanges with other staff working to counter trafficking and/or assist victims
- \_\_\_\_\_ Information and/or training on how to evaluate counter-trafficking projects and programmes
- \_\_\_\_\_ Information (e.g., reports, publications, educational, and communication materials) from other institutions or organizations seeking to combat human trafficking
- \_\_\_\_\_ Information on how to adapt counter-trafficking models for assisting victims or combating trafficking to your region or country
- \_\_\_\_\_ Other (*Please specify*) \_\_\_\_\_



## Section B. IOM and Counter-Trafficking

In this section, we are interested in better understanding IOM's counter-trafficking work and how you work with IOM in planning and implementing counter-trafficking efforts. For these questions, we are interested in your views on IOM's contributions to and coordination with local and regional counter-trafficking actors and strategies.

**B1.** In which areas of counter-trafficking should IOM be involved?

	Never	Rarely	Sometimes	Often	Always	Not Applicable	Don't Know
a. Raising awareness about trafficking risks	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Raising awareness about how to migrate safely	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Raising awareness to address the demand for goods and services provided by victims of trafficking.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Supporting other types of prevention activities (training, lifeskills, alternatives to migration, microcredit)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Supporting development of laws and legal processes against trafficking	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. Training for criminal justice sector (law enforcement, border guards, immigration staff, prosecutors, judges, etc)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g. Training for social service providers (shelter staff, counselors, hotline operators, skills trainers, etc)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h. Victim identification	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
i. Victim support (counseling, medical, shelter, basic needs)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
j. Vocational training for victims	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
k. Legal services for victims	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
l. Victim return and reintegration	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
m. Development of national policies and plans	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
n. Research	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**B2.** What do you regard as IOM's role in countering human trafficking?

	Never	Rarely	Sometimes	Often	Always	Not Applicable	Don't Know
a. Helping to set global or regional counter-trafficking policy	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Helping to set national counter-trafficking policy	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Providing advice on victim identification practices and policies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Providing advice on victim rescue and recovery practices and policies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Providing advice on victim return and reintegration practices and policies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. Designing counter-trafficking programmes and projects	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g. Planning counter-trafficking programmes and projects with other international and/or regional actors	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h. Planning counter-trafficking programmes and projects with national actors	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
i. Coordinating regional counter-trafficking programmes and projects	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
j. Coordinating national counter-trafficking programmes and projects	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
k. Funding counter-trafficking programmes and projects	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
l. Conducting or encouraging technical cooperation and capacity building projects for national and/or international partners	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
m. Providing or supporting training and technical assistance for counter-trafficking programmes and projects	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
n. Conducting research on human trafficking and how best to combat it.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
o. Evaluating counter-trafficking programmes and projects	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
p. Creating/supporting/coordinating regional or cross-border counter-trafficking projects	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**B3.** What kinds of needs assessment does IOM conduct when determining what kinds of counter-trafficking programmes or projects are appropriate for your geographic area of focus (Please respond even if your focus is global)?

	Never	Rarely	Sometimes	Often	Always	Not Applicable	Don't Know
a. Interviewing local experts and staff about local needs and challenges	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Seeking input from local people and/or associations of people who have experienced trafficking or other forms of abuse and exploitation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Collecting or reviewing national and/or regional information (including statistics) on trafficking and/or other forms of migrant and migrant labor abuse and exploitation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Analyzing the local economic environment, including labor market conditions, development programmes, and other attributes that affect vulnerability for trafficking	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Assessing existing local efforts to combat trafficking, including interventions, shelters, capacity-building and other extant programmes and projects	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. Drawing on lessons learned from other counter-trafficking or related initiatives	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**B4.** With whom does your organization consult, coordinate and/or involve in their counter-trafficking efforts in your geographic area of focus (Please respond even if your focus is global)?

	Never	Rarely	Sometimes	Often	Always	Not Applicable	Don't Know
a. Governmental entities, ministries, and/or departments	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. International governmental organizations, e.g., United Nations, OSCE, ASEAN, OAS, OECD, etc.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. International or regional non-governmental organizations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Local non-governmental organizations (NGOs)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Universities and research institutes	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. Other (Please specify) _____	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**B5.** How would you assess IOM's **policies and/or strategic plans** with regard to counter-trafficking (in your geographic area of focus if you have one)?

	Highly inappropriate	Inappropriate	Neither appropriate nor inappropriate	Appropriate	Highly appropriate	Not Applicable	Don't Know
a. Regional counter-trafficking approach or strategic plan	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. National counter-trafficking approach or strategic plan	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Policy on how to define human trafficking	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Policy on victim identification, i.e., how to identify	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Policy on victim rescue and recovery, i.e., how best to rescue and help with recovery	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. Policy on victim return and reintegration	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

	Highly inappropriate	Inappropriate	Neither appropriate nor inappropriate	Appropriate	Highly appropriate	Not Applicable	Don't Know
g. Policies on coordination and cooperation with regional and/or national actors	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h. Funding policies, i.e., types and levels of programmes and projects funding	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
i. Policy on programme and project evaluation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**B5a.** If you checked “Inappropriate” or “Highly inappropriate” for any of the above, please explain.

[250 character limit] \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**B6.** How would you assess the **counter-trafficking programmes and projects** that IOM supports in your geographic area of focus (if you have one)? (i.e., how well do they respond to actual needs?)

	Highly inappropriate	Inappropriate	Neither appropriate nor inappropriate	Appropriate	Highly appropriate	Not Applicable	Don't Know
a. Informational campaigns targeted to groups vulnerable to trafficking (prevention focused)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Informational campaigns targeted to victims, consumers of victim services, potential whistle blowers, etc. to raise awareness and provide assistance (assistance focused)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

	Highly inappropriate	Inappropriate	Neither appropriate nor inappropriate	Appropriate	Highly appropriate	Not Applicable	Don't Know
c. Other prevention programmes, e.g., skills building, migration resource centres, alternatives to migration, etc.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Programmes designed to rescue victims	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Programmes to help victims recover	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. Return and reintegration programmes	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g. Research projects, including evaluations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h. Technical cooperation and network building projects	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
i. Capacity-building and training projects for professional staff	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
j. Technical assistance programmes and projects	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**B6a.** If you checked “Inappropriate” or “Highly inappropriate” for any of the above, please explain.

[250 character limit] \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**B7.** To what extent is IOM building the capacity of **governmental actors** to combat human trafficking?

	Never	Rarely	Sometimes	Often	Always	Not Applicable	Don't Know
a. Overall policy and strategy	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Programme/project management	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Victim identification	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Victim assistance	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

	Never	Rarely	Sometimes	Often	Always	Not Applicable	Don't Know
e. Return and reintegration	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. Role of the judiciary (legal system)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g. Law enforcement sector	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h. Programme/project evaluation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
i. Regional and cross/border cooperation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**B8.** Is IOM helping to build the capacity of **local NGOs/civil society actors** to combat human trafficking?

	Never	Rarely	Sometimes	Often	Always	Not Applicable	Don't Know
a. Overall policy and strategy	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Programme/project management	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Victim identification	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Victim assistance	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Return and reintegration	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. Role of the media	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g. Law enforcement and security sector role	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h. Programme/project evaluation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
i. Regional and cross/border cooperation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
j. Raising awareness of human trafficking	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
k. Promoting safe migration	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
l. Providing alternatives to migration	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**B9.** Has IOM sought to coordinate their counter-trafficking activities with national and/or regional strategies and programmes?

- Yes
- No
- Don't know

**B10.** What are some of IOM strengths in terms of countering trafficking in your geographic area of focus (if you have one. Please comment even if your focus is global)?

[250 character limit] \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**B11.** What are some of IOM weaknesses in terms of countering trafficking in your geographic area of focus (if you have one. Please comment even if your focus is global)?

[250 character limit] \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**B12.** What would you like to see IOM do differently, change, or improve with regard to countering trafficking in your geographic area of focus (Please comment even if your focus is global)?

[250 character limit] \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**B13.** Is IOM, in your opinion, having an impact on the human trafficking situation in your geographic area of focus (Please comment even if your focus is global)?

- Yes
- No
- Don't know

**B13a.** Please comment on your response (even if you chose "Don't know"):

[250 character limit] \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_



### Section C: Framing the Counter-trafficking Agenda

In this section, we would like to get your opinions on definition of human trafficking and victims of human trafficking, including IOM's definition. We would also like to get your input on how well the definitions you use align with the human trafficking situations you encounter in your area of the world – if the definitions fit with your experiences or are too narrow, too broad, do not encompass the kinds of situations you see, etc. The goal is to understand how IOM's positions on trafficking help or hinder (or both help and hinder) the counter-trafficking work that you do. When answering these questions, try to imagine how your programme would be different if you were not working with IOM to counter trafficking, i.e., if you were still able to conduct your counter-trafficking work but without the definitional input or requirements of IOM.

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**C1.** Are you required by your government, a donor, IOM, or any other entity or partner to utilize a specific definition of human trafficking or victim of trafficking in your counter trafficking and direct assistance work?

- Yes
- No (Skip to C3)
- Don't know (Skip to C3)

**C2.** Who requires that you use this definition of human trafficking or victim of trafficking?

- Your national government
- IOM
- UN Agency
- OSCE
- USAID
- Other partner (please specify) \_\_\_\_\_
- Other donor (please specify) \_\_\_\_\_

**C3.** How does your organization define human trafficking and/or victim of trafficking?

- UN Palermo Protocol
- Other (Please specify below)

[250 character limit] \_\_\_\_\_

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**C4.** How well does the definition of human trafficking you are using fit the cases you see, i.e., are you able to assist all of the people who seek assistance or conduct capacity building with all of the organizations you might want to involve in your counter-trafficking work based on the definition you are using?

- Very well, the definition of victim of trafficking or human trafficking very effective
- Well, but there are *occasionally* cases where the definition of victim of trafficking or human trafficking is too limited to serve or work with victims and other organizations
- Adequate, but there are *often* cases where the definition of victim of trafficking or human trafficking is too limited to serve or work with victims and other organizations
- Less than adequate, there are *too many* cases where the definition of victim of trafficking or human trafficking is too limited to serve or work with *many* victims and other organizations
- Not well, the definition of victim of trafficking or human trafficking is too limited to serve or work with the *majority* victims and other organizations

**C4a.** Please comment of the definition of human trafficking and your response to question C4:

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**C5.** Does IOM apply human rights perspectives to its counter-trafficking efforts?

- Never
- Rarely
- Sometimes
- Often
- Always
- N/A
- Don't know

**C5a.** Please comment on your answer to question C5:

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**C6.** Does IOM apply child's rights perspectives to its counter-trafficking efforts?

- Never
- Rarely
- Sometimes
- Often
- Always
- N/A
- Don't know

**C6a.** Please comment on your answer to question C6:

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**C7.** Does IOM apply gender rights perspectives to its counter-trafficking efforts?

- Never
- Rarely
- Sometimes
- Often
- Always
- N/A
- Don't know

**C7a.** Please comment on your answer to question C7:

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## Section D: Counter-trafficking

**In this section, we would like to gain an understanding of the larger human trafficking and counter-trafficking situation in your geographic area of focus (if you have one). This will help provide a broader portrait of the trends and modalities of trafficking in persons, as well as provide a basis for assessing programming needs.**

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**D1.** Is trafficking in persons a criminal offense in your geographic area of focus (if you have one)?

- Yes
- No (Skip to D3)
- Don't know (Skip to D3)

**D2.** If yes, does the criminal definition match the Palermo Protocol Definition?

- Yes
- No, applies to women and children only
- No, there is no definition of child trafficking
- No, there is no specific definition of trafficking as a crime
- No, it is defined in the criminal code but the definition of trafficking is unclear
- No, other (please specify) \_\_\_\_\_
- Don't know

**D3.** Are there identified cases of adult women victims of trafficking in your geographic area of focus (if you have one)?

- Yes, and women are the large majority of victims
- Yes, and women are the majority of victims
- Yes, and there is about an even number of men and women who are victims
- Yes, but not many female victims
- No (Skip to D5)
- Don't know (Skip to D5)

**D4.** Are services available to identify female victims of trafficking or forced migration for labor exploitation?

- Yes, and they are supported by IOM
- Yes, but they are supported by agencies or donors other than IOM
- No, but there are concrete plans and funding to create services
- No, and there are no specific plans to provide services to women
- Don't know

- D5.** Are there identified cases of adult male victims of trafficking in your geographic area of focus (if you have one)?
- Yes, and they are the majority of victims
  - Yes, and there is about an even number of men and women who are victims
  - Yes, but not many male victims
  - No (Skip to D7)
  - Don't know (Skip to D7)
- D6.** Are services available to male victims of trafficking or forced migration for labor exploitation?
- Yes, and they are supported by IOM
  - Yes, but they are supported by agencies or donors other than IOM
  - No, but there are concrete plans and funding to create services
  - No, and there are no specific plans to provide services to men
  - Don't know
- D7.** Are there identified cases of child victims of trafficking in your geographic area of focus (if you have one)?
- Yes, and they are the majority of victims
  - Yes, and there is about an even number of child and adult victims
  - Yes, but there are not many child victims
  - No (Skip to D9)
  - Don't know (Skip to D9)
- D8.** Are distinct programmes available to child victims?
- Yes, and they are supported by IOM
  - Yes, but they are supported by agencies or donors other than IOM
  - No, but there are concrete plans and funding to create services
  - No, and there are no specific plans to provide services to children
  - Don't know
- D9.** For victims of trafficking from another country, do the laws in your geographic area of focus (if you have one) allow alternatives to repatriation of the trafficked person? Or are they required to return to their country of origin?
- Yes, and there are no requirements to access alternatives
  - Yes, but victims have to be willing and able to cooperate with the investigation and prosecution of their traffickers in order not to be repatriated

- Yes, but victims are required to cooperate with the investigation and prosecution of their traffickers in order not to be repatriated
- No
- Don't know

**D10.** Have you encountered cases of involuntary repatriation of trafficked persons?

- Yes
- No
- Don't know

**D10a.** Please comment, including partners and policies involved and reasons for involuntary repatriation:

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**D11.** In your geographic area of focus (if you have one), are there closed shelters, i.e. shelters where victims are required to stay prior to repatriation? Or do victims stay in shelters in your geographic area of focus (if you have one) on a voluntary basis only, i.e., open shelters?

- There are only closed shelters
- There are only open shelters
- There are both open and closed shelters
- There are no closed shelters but in practice, there are many cases where victims are required to stay in a shelter until they are repatriated
- We do not have closed shelters but there are a few cases where victims are required to stay in a shelter until they are repatriated
- Don't know

## Section E: Institutional Learning

**In this section, we would like to gain an understanding of any mechanisms you have in place to gain and integrate the feedback of program participants and monitoring and evaluation of your counter-trafficking projects. We are interested to know if you have sufficient opportunities to learn about participant views and program implementation, outputs and outcomes in order to utilize them to change and improve your projects.**

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**E1.** Do you ask for or collect feedback from program participants, including participants in capacity-building trainings, targets of information campaigns, and/or recipients of direct assistance?

- Yes, and we utilize this feedback to make changes our counter-trafficking projects
- Yes, but we are not always able to utilize this information
- No, we do not collect feedback (Skip to E3)
- Don't know (Skip to E3)

**E2.** Please explain how you use this feedback – or why you are not able to use it:

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**E3.** Have you been involved with evaluation of IOM's counter-trafficking projects?

- Yes
- No (Skip to Section G)
- Don't know (Skip to Section G)

**E4.** Did the evaluation include:

- Process or implementation evaluation
- Outcomes evaluation
- Impact evaluation
- Combination of implementation and outcomes evaluation
- Don't know
- Other (please specify) \_\_\_\_\_

**E5.** Do you consider the evaluation you were involved in to be independent?

- Yes (Skip to E6)
- No
- Partly
- Don't know (Skip to E6)

**E6.** If you did not consider the evaluation independent, why not?

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**E7.** Did you receive the results of the evaluation?

- Yes
- No (Skip to Section G)
- Don't know (Skip to Section G)

**E8.** How did you utilize these results? Did you make any changes to your current or future counter-trafficking work based on these results?

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## Section F: Personal Characteristics

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**F1.** What is your age?

- 18-21
- 22-29
- 30-39
- 40-49
- 50-59
- 60-64
- 65 years or older

**F2.** Are you:

- Male
- Female

**F3.** In or with what region of the world do you work?

- Latin America
- Western Europe
- Eastern Europe
- Southeastern Europe
- Central Asia
- South Asia
- Southeast Asia
- East Asia
- North Africa
- East Africa
- West Africa
- Sub-Saharan Africa
- Global

**F4.** Is English your first language?

- Yes
- No

**F5.** What language do you speak in your work, including when working with your clients if applicable?

- English
- French
- Russian
- Spanish
- Work with an interpreter (please specify your native language and the language for which you need an interpreter below)
- National language (please specify below) \_\_\_\_\_

**F5a.** If you work with an interpreter, please specify your native language and the language for which you need an interpreter:

[250 character limit] \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**F5b.** If you speak your national language at work, please specify your native language:

[250 character limit] \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Thank you for your participation!**

**Annexes D-H are available as downloads at  
[www.norad.no/evaluation](http://www.norad.no/evaluation)**

## Annex I: Terms of Reference<sup>142</sup>

### Evaluation of the International Organization for Migration and its efforts to combat Human Trafficking

#### 1 Background and Description of the Evaluation Objective

##### 1.1 Human trafficking - estimates and extent

Trafficking in human beings - a worldwide crime involving the exploitation of men, women, and children for the financial gain of others - is a violation of fundamental human rights. Victims are often deceived or coerced and subsequently forced, through various means, to work in prostitution, sweatshops, agricultural settings, or domestic service, among other types of exploitation. In addition to inflicting grave personal damage upon its victims and their families, trafficking undermines government authority, fuels organized criminal groups and gangs, and imposes social and public health costs.

It is very difficult to assess the real size of human trafficking because the crime takes place underground, and is often not identified or misidentified. However, a conservative estimate of the crime puts the number of victims at any one time at 2.5 million. Furthermore it affects every region of the world and generates tens of billions of dollars in profits for criminals each year.<sup>143</sup>

Furthermore human trafficking affects every country of the world, as countries of origin, transit or destination - or as a combination of all. Trafficking often occurs from less developed areas to more developed areas where people are rendered vulnerable to trafficking by virtue of poverty, conflict or other conditions. Europe is the destination for victims from the widest range of source countries, while victims from Asia are trafficked to the widest range of destinations. The Americas are prominent both as the origin and destination of victims of human trafficking.<sup>144</sup>

##### 1.2 Legal framework and Definition of Human Trafficking

A definition of human trafficking was adopted by the UN in 2000 in the *Protocol to Prevent, Suppress and Punish Trafficking in Persons, especially Women and Children* (often called the Palermo Protocol). This Protocol supplements the United Nations *Convention against Transnational Organized Crime (TOC)* that was adopted the same year. The *Palermo Protocol* is widely used and accepted internationally as the standard definition of human trafficking. Over 110 states have ratified the protocol.

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142 Written by Norad as Tender Document 0900530-20 Tender IOM.doc 910360\_1\_0.pdf.

143 Source: UNODC: [http://www.unodc.org/unodc/en/human-trafficking/fags.html#How\\_widespread\\_is\\_human\\_trafficking](http://www.unodc.org/unodc/en/human-trafficking/fags.html#How_widespread_is_human_trafficking)

144 Source: UNODC: [http://www.unodc.org/unodc/en/human-trafficking/fags.html#How\\_widespread\\_is\\_human\\_trafficking](http://www.unodc.org/unodc/en/human-trafficking/fags.html#How_widespread_is_human_trafficking)

Article three of this protocol defines human trafficking as “the recruitment, transport, transfer, harbouring or receipt of a person by means of the threat or use of force or other forms of coercion, of abduction, of fraud, of deception, of the abuse of power or of a position of vulnerability or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purpose of exploitation.”

According to this definition, trafficking consists of three core elements. The **action** of trafficking which means the recruitment, transportation, transfer, harbouring or receipt of persons; the **means** of trafficking which includes threat or use of force, deception, coercion, abuse of power or position of vulnerability, and the **purpose** of trafficking which is always exploitation.<sup>145</sup> In the words of the *Palermo Protocol* “exploitation shall include, at a minimum, the exploitation of the prostitution of others or other forms of sexual exploitation, forced labor or services, slavery or practices similar to slavery, servitude or the removal of organs.”

### **1.3 Norwegian Ministry of Foreign Affairs Portfolio on Human Trafficking**

The Norwegian Government has published three action plans to combat human trafficking since 2003. Six ministries are responsible for the implementation of the plans. All three action plans are based on the Palermo Protocol and its definition of human trafficking. The latest plan is also taking into account the Council of Europe Convention on Action against Trafficking which came effect in 2008.

In the Ministry of Foreign Affairs (MFA) anti-trafficking activities are administered by three different sections: the Western Balkans Section, the Section for Global Security Issues and the CIS Countries, and the Section for Human Rights and Democracy. Norway also funds a number of activities in the field of human trafficking through its cooperation agreements with Norwegian NGOs. Norwegian embassies in countries such as Nigeria, Kenya, Malawi, Mozambique, South Africa, Bangladesh, Thailand and Indonesia also provide funding.

According to the Ministry’s annual report on its efforts against trafficking in 2007, about 110 projects (192 annual agreements) had received or were planned for funding during the period 2000-2010. By 31 December 2009 the total funds allocated for the period amounted to approx. 360 million NOK.

By 2007 Europe was by far the largest region in terms of funding while Bosnia and Herzegovina was the largest single recipient country. Other major recipients were Albania and Macedonia. Asia was the second largest region with regard to funding, followed by Africa.

### **1.4 Partners**

The largest single collaboration partner for MFA in its efforts to combat human trafficking is the International Organization for Migration (IOM), which by 2007 had

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<sup>145</sup> The recruitment, transportation, transfer, harboring or receipt of a child for the purpose of exploitation shall however be considered “trafficking in persons” even if this does not involve any of the means listed in the paragraph (Source: Palermo Protocol article 3 paragraph c)

received about NOK 89 million for the period 2000-2010. Other major collaboration partners are the UN and Norwegian NGOs.

### **1.5 Desk review**

A desk review of the Norwegian Ministry of Foreign Affairs' portfolio on human trafficking was undertaken in 2008 and published in February 2009. The study concluded that the portfolio provided good coverage of the commitments undertaken by the Ministry under the Government's action plans to combat human trafficking in the period 2003-2009. The review noted, however, that the underlying data available for the review provided limited information on the results that have been achieved in this field, as most documents focused on activities and often did not specify indicators or a baseline. Many of the projects received funding on an annual basis, which made it difficult to document longer-term results.

### **1.6 The International Organization for Migration - Prevention and protection against human trafficking**

IOM is an intergovernmental organization and a key actor in the fight against human trafficking. IOM was established in 1951 and conducts its projects in collaboration with governments and NGOs in 125 member states. IOM has country offices (COs) in over 100 countries including Norway, where an office was set up in 2002.

IOM's counter-trafficking (CT) projects primarily aim to prevent human trafficking, and to protect victims while offering options of safe and sustainable reintegration and/or return. Activities include:

- Information campaigns that seek to educate the public about human trafficking and equip vulnerable populations with the information necessary to protect themselves from the recruitment tactics of traffickers, or to discourage demand for the goods produced and services provided by trafficked persons.
- Research on human trafficking that explores routes and trends, the causes and consequences of human trafficking as well as the structures, motivations, and *modus operandi* of organized criminal groups.
- Direct assistance to trafficking victims that provides accommodation in safe places, medical and psychosocial support, skills development and vocational training, reintegration assistance, and the options of voluntary and dignified return to the country of origin or resettlement to a third country in extreme cases.
- Technical cooperation that builds the capacity of government and civil society institutions to better address the challenges posed by human trafficking through specialized training and technical support in the development of counter-trafficking policies and procedures, legal frameworks, and infrastructural upgrades.

In 2000, IOM started *Counter Trafficking Module Database* (CTM) which operates as the largest database in the world of victims subjected to trafficking. CTM registers much of IOM's direct assistance work, such that victims' own experiences are recorded. IOM believes that this strengthens knowledge and understanding of the processes, trends and results caused by trafficking. With an analysis of case information contained within the human trafficking database, IOM has produced 7 internal and external country level reports, 4 thematic reports (with 5 more in the

pipeline for the year 2010), and handles approximately 100 annual requests for information on data contained within the system and/or the methodology employed by IOM to collect systematic data on human trafficking. Based on the Organization's experience in collecting primary, cross-border information on human trafficking, IOM has also been consulted as an expert project partner in a number of national, regional, and international data collection initiatives.

IOM has in addition published more than 30 research reports on human trafficking worldwide. The 2007 Publications Catalogue contains a list of all IOM publications. In addition, IOM Research Compendium 2005-2007 gives an overview of all research projects and other projects/programmes with research components. More than 20 evaluations covering counter trafficking programmes and conducted the last 10 years are also listed under the IOM Website, Evaluation pages.

A large number of IOM offices offer referral mechanisms and assistance to victims of trafficking. IOM assists with direct assistance to victims of trafficking, such as a safe place to live and return home. In Norway, IOM runs the "Voluntary return and reintegration assistance to victims of trafficking" project.

## **2 The Evaluation Purpose, Questions, Scope and Methodology**

### **2.1 Purpose**

The purpose of this evaluation is:

- To provide information about the results of IOM counter-trafficking activities funded by the Norwegian Government including activities co-funded with other donors; and
- To outline lessons that can be used in future identification, design, and implementation and monitoring of efforts to work against human trafficking.

The main users of the findings of the evaluations will be MFA, Norad, IOM and other stakeholders who have direct or indirect interest in design and implementation of activities to combat human trafficking. In this context, MFA refers to its officials and the Norwegian Embassies in countries collaborating with IOM on human trafficking issues. IOM refers to its officials at GENEVA, regional and country level. In addition, the stakeholders include governmental partners and other partners (local and international) working against human trafficking. Beneficiaries include individuals, communities, and relevant local and national institutions that benefit directly or indirectly from the interventions.

### **2.2 Objective and Scope**

The main evaluation objectives are to:

- Assess IOM's counter-trafficking interventions/activities funded by the Norwegian Government both at country and international level in achieving intended outputs and outcomes.
- Assess how results and lessons learnt from IOM's counter-trafficking interventions, including also from other donors' funded project, are used in current and future planning of the organisation's interventions.
- Based on findings and conclusions, identify lessons learned and give operational recommendations that are relevant for current and future planning and imple-

mentation and monitoring of Norwegian funded activities against human trafficking:

The evaluation will use all information documented in earlier reports and evaluations, together with data collected in this evaluation, to measure the outputs and outcomes. Case studies of a few projects/programmes supported by Norway (MFA and Norwegian embassies) for closer scrutiny are envisaged in this evaluation. The time for the analysis will be from 2000 to date.

### **2.3 Evaluation Criteria/ Questions**

The evaluation will apply the evaluation criteria of relevance<sup>146</sup>, effectiveness<sup>147</sup>, sustainability<sup>148</sup>. To the extent possible, aspects of efficiency<sup>149</sup> and impact<sup>150</sup> should also be included.

The evaluation will focus on the following:

#### *IOM's mandate and platform for responding to human trafficking*

- Assess the organisation's coverage, platform and structure (including the funding of project's structures through 'projectization') in HQ and COs in terms of human trafficking, including its mandate, policy, strategy (ies) and programmes in this area. Which definitions of human trafficking and of victims of trafficking (or 'trafficked persons') are in use? How are the definitions operationalised and is the IOM consistent throughout its operations in how it defines cases of trafficking?
- How does the organisation view itself in terms of the global fight against human trafficking? What does it perceive as its comparative advantage and value added? Does this correspond with the perceptions that partners, donors (in particular the Norwegian Government) and intended beneficiaries have of the organisation?

#### *IOM's activities - design, implementation and results*

- What kind of needs and context analyses are undertaken by IOM when designing initiatives? Do they include assessments of where IOM can contribute the most considering the needs and current interventions of other actors? To what extent do IOM counter trafficking activities contribute to or are integrated within national or regional strategies and programmes?
- How is IOM cooperating and coordinating its efforts with relevant institutions and actors to maximize its impact and to ensure the sustainability of its efforts?
- To what extent is IOM contributing towards building national capacities to combat human trafficking?

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146 Definition of relevance: 'The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies' (Glossary of Key Terms in Evaluation and Results Based Management, OECD/DAC, 2002).

147 Definition of effectiveness: "...an aggregate measure of (or judgment about) the merit or worth of an activity, i.e. the extent to which an intervention has attained, or is expected to attain, its major relevant objectives" (ibid.).

148 Definition of sustainability: "The continuation of benefits from a development intervention after major development assistance has been completed" (ibid.).

149 Definition of efficiency: "A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results" (ibid.).

150 Definition of impact: "Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended" (ibid.).



- What are the criteria for allocation of resources to various countries and programmes in terms of human trafficking? How is implementation areas selected?
- Does IOM apply a gender based perspective in its counter-trafficking programmes?
- Does IOM apply a child rights perspective in its counter-trafficking programmes? Are there special interventions for children (those aged less than 18 years old) and are the best interests of the child invariably a prime consideration in decisions and actions affecting a trafficked child?
- What are the key results of the selected interventions, at which level (output, outcome, impact)? E.g. is the CTM data- base being used effectively and efficiently), how does the IOM expect it to evolve in order to maximise its benefits? Are the results in accordance with information given in reports to the IOM Board? What are the conditions under which IOM works most effectively?

*Evaluation and institutional learning:*

- What are the routines for planning counter-trafficking evaluations and to learn from them?
- How is the evaluation function placed within the organisation? Is it sufficiently independent?
- Assess credibility, independence and usefulness of evaluations (referring to UNEG norms and standards) in IOM both at HQ, regional and country level. Do evaluations pay sufficient attention to assessing the impact of IOM activities, including the impact (both positive impacts and ones which are unexpected and possibly negative) on beneficiaries who have been trafficked or were regarded as being at risk of being trafficked?
- How are results from evaluations and reviews disseminated and followed up internally in the organisation?
- How is the IOM Board being kept informed and involved?

It is expected that the evaluation will analyse the political, social and institutional contexts in which IOM's activities and interventions against human trafficking operate. In particular, the evaluation will document the performance of the donor (the Norwegian Ministry of Foreign Affairs) and the partner country, where it is considered a decisive factor in determining the outcomes and to the extent possible, the impacts identified in this study.

For the activities in progress, the evaluation will answer the above questions based on assessment of the design, features, and implementation of the current programs, and the likelihood of the outcomes in the near future. The analysis will outline lessons that are useful for result-oriented implementation and future programming of interventions to combat human trafficking.

#### **2.4 Evaluation Approach/Methods**

It will be part of the assignment to develop a methodological and conceptual framework to ensure an objective, transparent and impartial assessment of the issues to be analysed in this evaluation as well as ensuring learning during the course of the evaluation.

The evaluation team should make use of empirical methods such as document analysis, questionnaire surveys, interviews, focus groups, field visits, case studies and data/literature surveys to collect data which will be analysed using specified judgement criteria and suitably defined qualitative and quantitative indicators.

The team is expected to interview different stakeholders including IOM at HQ and country level, MFA, the Norwegian Embassies, Norad, and partners at country level including international, multilateral and non-governmental organisations (taking into account the competitive nature and fundraising between agencies) and depending on the case programme/projects selected, beneficiaries (e.g. individuals or communities that benefit directly or indirectly from the interventions). The team should be satisfied that it has access to the views of beneficiaries who have been trafficked, or were regarded as at risk of being trafficked, and that these views have not been distorted in the process of transmission by any intermediary.

In order to document results at outcome and impact level as well as identifying lessons learnt, the consultant will propose 5 cases at project/programme level for closer scrutiny. The proposed cases should be selected using the criteria budget size, length of support, geographic coverage and type of intervention, one of which should be linked to direct assistance to victims of trafficking. The proposed case studies should be presented in the inception report for discussion with MFA, concerned embassies and Norad.

*Guiding principles:* Triangulate and validate information, assess and describe data quality in a transparent manner (assess strengths, weaknesses, and sources of information). Data gaps should be highlighted.

#### *Data collection*

The evaluation team is responsible for data-collection access to archives will be facilitated by MFA and IOM.

The evaluation team might consider using national consultants/research assistants in data collections for assessments on achievements at outcome/impact level.

Validation and feedback workshops shall be held at the end of each programme/country visit, involving those that have provided information, and others who are relevant.

Where relevant, gender and age shall be accounted for in the report, in the data collection, the analysis and the findings and recommendations.

### **3 Organisation and requirements**

#### **3.1 Composition of Team**

The evaluation team will report to the Evaluation Department in Norad through the team leader. All members of the team are expected to have relevant academic qualifications and evaluation experiences. In addition the evaluation team should cover the following competencies:

Competence	Team Leader	The evaluation team
Academic	Higher relevant degree M.Phil, PhD	Relevant qualifications
Discipline??	Relevant discipline	Relevant discipline
Evaluation	<ul style="list-style-type: none"> <li>• Proven successful team leading; the team leader must document relevant experience with managing and leading evaluations.</li> <li>• Advanced knowledge and experience in evaluation principles and standards in the context of international development.</li> </ul>	Competence/ experience in evaluation and/or research of such programmes
Development Cooperation	Yes	
		<ul style="list-style-type: none"> <li>• Knowledge of Norwegian development cooperation policy and instruments.</li> <li>• Competence in the area of combating human trafficking</li> <li>• Experience of interviewing women or girls who have suffered gender violence</li> <li>• Competence in organisational learning</li> </ul>
Country Region		• Relevant
Other		
Language:		
• English	Write, read, speak	Write, read, speak
• Scandinavian		Read

Quality assurance shall be provided by the company delivering the consultancy services, including a person that is external to the evaluation team.

### 3.2 Organisation

The evaluation will be managed by the Evaluation Department in Norad. An independent team of researchers or consultants will be assigned the evaluation according to the standard procurement procedures of Norad (including open international call for tenders). The team leader shall report to Norad on the team's progress, including any problems that may jeopardize the assignment.

The team is entitled to consult widely with stakeholders pertinent to the assignment. All decisions concerning these TOR, the inception report, draft report and final report are subject to approval by the Evaluation Department. The evaluation team shall take note of comments received from stakeholders. Where there are significantly diverging views between the evaluation team and stakeholders, this should be reflected in the report.

### **3.3 Budget**

The tender shall quote a total price for the assignment excluding travel and subsistence costs related to case project/programme visits. The evaluation is budgeted with a maximum of 40 consultant person weeks.

The team is expected to visit the case programmes/projects as well as MFA in Oslo and other relevant stakeholders. Additionally, two team members are expected to participate in the following four meetings in Oslo: A contract-signing meeting, a meeting to present the inception report, a meeting to present the draft report and a meeting to present the final report to relevant stakeholders. Direct travel costs related to the possible dissemination in a case country will be covered separately by the Evaluation Department on a needs basis and are not to be included in the budget.

The budget and work plan should allow sufficient time for presentations of preliminary findings and conclusions, including preliminary findings to relevant stakeholders in the countries visited and for receiving comments to the draft report.

### **3.4 Reporting and Outputs**

The Consultant shall undertake the following:

- Prepare an inception report in accordance with the guidelines given in annex 3.1 in this document. This includes a preliminary description of the context, a description of the methodological design to be applied and suggested selection of cases at project/ programme level for closer scrutiny. The inception report should be of no more than 15 pages excluding necessary annexes.
- At the end of each programme/country visit, present preliminary findings, conclusions and recommendations in a meeting to relevant stakeholders, allowing for comments and discussion.
- Prepare a draft final report and a final report in accordance with the guidelines in annex 3.2 of this document. The final report shall not exceed 60 pages, excluding annexes.
- Present the final report at a seminar in Oslo and/or in one of the case countries.

All reports shall be written in English and are to be submitted in electronic form in accordance with the deadlines set in the time-schedule specified under *Section 2 Administrative Conditions in Part I Tender Specifications* of this document.

The Consultant is responsible for editing and quality control of language. The final report should be presented in a way that directly enables publication. The Evaluation Department retains the sole right with respect to all distribution, dissemination and publications of the deliverables.

The evaluation team is expected to adhere to the DAC Evaluation Quality Standards<sup>151</sup> as well as the Norad Evaluation Guidelines.<sup>152</sup>

Any modification to these terms of reference is subject to approval by the Norad Evaluation Department.

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<sup>151</sup> <http://www.oecd.org/dataoecd/43/54/35336188.pdf>

<sup>152</sup> See <http://www.norad.no/en/Tools+and+Publications/Publications/Publication+Page?key=109574>

## Annex 1

**Specifications for Preparing Technical Proposal** Technical proposal not exceeding 15 pages should provide the following information:

### Competence-Qualifications and Technical Competence

The technical proposal should provide:

- Information about the experience and technical competence of the tenderer firm, its sub-contractors (where relevant), and the evaluation team to demonstrate that they satisfy the qualification and competence requirements specified in the ToR for this evaluation.
- A summary of the competencies of the team members shall be provided in a tabular form as follows:

Evaluation Team					
	Leader	Member	Member	Member	Member
Name					
Affiliation (Main employer)					
Country					
<b>Competence</b>					
Academic					
Discipline					
Evaluation					
Sector					
Development Cooperation					
Country/region					
Other					
Language fluency					
English					
Norwegian					
Other					

### Approach and Methodology

- The tenderer's understanding of the purpose, role and subject matter of the assignment.
- The proposed research strategy, design for the study, methodological choices, strategy with respect to concretisation of the issues, and as far as possible indicators and data sources to be used to answer the main questions posed in this evaluation.
- Tenderers are invited to make well-founded comments or alternative suggestions where relevant to methodological specifications, evaluation issues and questions outlined in the ToR.

### **Quality Assurance System**

- A description of the tenderer's quality assurance system to ensure that the assignment will be performed in accordance with the technical proposal and plans outlined in the tender. The description should outline the tenderer's policy concerning control of scientific quality of the deliverables, together with routines with respect to document control, reporting of deviations from agreed plans and corrections thereof, auditing of inputs, communication with the client, and competence development of its staff.

### **Price**

The tenderer shall quote a total price for the assignment excluding travel and subsistence costs related to case project/programme visits. All fees and costs shall be quoted in NOK, exclusive of VAT, and the total price shall specify:

- The hourly fee, and hours for each member of the staff proposed for the assignment.
- Travel and subsistence costs excluding case project/programme visits.
- Other costs if any.

The travel and subsistence costs related to project/programme visits shall be covered by the Client in accordance with the Norwegian Government's Travel Regulations. With regard to travels, the cheapest alternative shall be chosen, e.g. Economy/Excursion tickets. If accommodation is provided by the Client, no allowance for accommodation will be granted. The Norwegian Travel Regulations are available at the website [www.odin.no/mod/](http://www.odin.no/mod/) (only in Norwegian). If the rates for per diem and night allowance are changed during the travel, the prevailing rate at any time shall be used.

Accommodation and subsistence allowance for national personnel on field work outside their place of residence will be covered in accordance with the Travel Regulations of relevant country. Expenses for travels within countries selected for field work shall be covered at actual costs, unless otherwise agreed.

Field travel budgets shall be subject to prior approval by Norad.

### **Availability**

The technical proposal should include a tentative work-plan that also gives a specification of the time set out for each member of the team for the fulfilment of the assignment. The division of work between the team should be in line with the competencies of the individual team members. The tentative work-plan should reflect timely completion of the deliverables in the assignment.

The time-schedule for the project is fixed as given in *Part I, Section 2 Administrative Conditions* of this document. Tenderers may however, propose a revised time-schedule for project deliverables. Maximum acceptable delay in project completion is 2 months. Tenders offering delivery within the specified time-scheduled will be credited according to the availability criterion as specified in Part I Section 4- *Award criteria* in this document.

## Annex 2

### Specifications for preparing the tender

Tenders shall be structured as follows:

#### Part A. Covering Letter and Declarations

A covering letter for the tender (with the signature of an authorised person on the front page) declaring that:

- the tenderer accepts all the conditions specified in this tender document. Reservations if any to any of the conditions must be explicitly stated in the declaration, specifying the relevant condition and the terms of the reservation.
- that neither the tenderer, nor any of the members of the evaluation team have any existing, or potential conflict of interest in undertaking the tendered assignment.

#### Part B. Technical Proposal

- Prepared according to the specification in *Part 3, Annex 1* of this document.

#### Annexes

All the documentation specified in *Part I Tender specification, Section 3 Qualification* requirements of this document must be enclosed.

## Annex 3

### Guidelines for Reports and Field Work

#### 3.1 Guidelines for Inception Report and Field Work

The inception report shall give a detailed description of the research strategy and methodology, data collection and sources, the analytical approach and indicator framework, preferably with a prototype of the analysis to be performed in the study. The report will also give a summary of the information collected to date. Information gaps will be identified and strategy to fill the gaps, including (if relevant), the plans for **field-work** will be outlined. The inception report will specify the list of informants to be contacted in the case countries, the methods to be used to collect required information, preliminary draft of the questions to be asked of the informants, and itinerary for the field visit.

A detailed **work plan**, specifying the roles and responsibilities for each evaluation team member, and **a preliminary outline of the final report format** will be included as an appendix in the inception report.

It is the obligation of the selected firm and the team-leader to ensure that ethical standards are maintained in conduct of the field-work, and data collection is conducted under free and informed consent of the key informants.

### **3.2 Guidelines for Final Evaluation Report**

The final report shall normally not exceed 60 pages, excluding the annexes. The report shall convey insights in an informative, clear and concise manner. Use of abbreviations and acronyms, footnotes and professional terminology shall be limited to the minimum, and explanations shall be given for all such terms used in the report. The consultant is expected to adhere to the DAC Evaluation Quality Standards<sup>153</sup> and the same will be reflected in the report. (a special reference is made to the incorporation of stakeholders' comments, § 8.1).

The text shall preferably be written in Microsoft Word. The font of the body matter shall be Times New Roman 12 points or equal. The margins shall be 2.5 cm. The report shall be delivered edited, language vetted, and proofread and ready for publication. The reports shall be submitted to the Evaluation Department electronically, together with a hard copy.

The final report shall be developed in two phases: a draft final report and the final report. The draft final report shall contain all the main elements and major arguments conclusions and recommendations that are to appear in the final The final report shall be prepared subsequent to the approval of the draft by EVAL. The structure of the reports shall be as follows:

- **Front page/title page**

The front page shall contain the title of the evaluation.

- **Table of Contents**

- **Acknowledgements**

This page shall provide the following information

- Name of the team leader and the team members
- Division of work between the team members
- Name of the firm(s) responsible for the report
- Reference group (stakeholders?) members where relevant
- A declaration stating

“This report is the product of its authors, and responsibility for the accuracy of data included in this report rests with the authors. The findings, interpretations, and conclusions presented in this report do not necessarily reflect the views of EVAL.”

- **Acronyms and abbreviations**

- **Executive Summary**

- The overall objective shall be to convey the main points to a non-technical reader without resorting to unnecessary technical material and jargon. The executive summary shall be a maximum of one tenth of the length of the main report excluding its annexes. It shall present the main findings and recommendations *in the same order as they appear in the report*. A simple declarative sentence shall be used to present each finding and recommendation. Supporting or explanatory sentences for each finding and recommendation may be

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<sup>153</sup> See <http://www.oecd.org/dataoecd/34/21/38686856.pdf>



included where necessary. The summary shall function as an independent excerpt free of references to other parts of the report. Use of acronyms, abbreviations, and technical terms shall be minimised in the summary.

- **Chapter 1. Introduction or Background**
- The main purpose of this chapter is to provide information which is important for the reader to understand the report. The introduction shall state the purpose, objectives, main questions, scope, and main users of the evaluation. This shall be followed by a presentation of the object of evaluation. . Included herein is the background information related to chronology, stakeholders, organisation, budgets, and policy documents. The chapter shall conclude with a brief literature review of the relevant project and program cycle documents related to the object of evaluation.
- **Chapter 2 Methodology and analytical framework**
- This chapter should provide a detail description of the research strategy, method and indicator framework used in the evaluation. All data and survey instruments shall be provided in annex 1 of the report. EVAL is committed to making evaluations publicly available and it is important that the details provided in this chapter and annex 1, are sufficient to enable the replication and extension of results by other researchers.
- **Chapters presenting findings**
- Findings : A body paragraph shall be allocated for each finding. The finding shall be presented as a clear topic sentence. This shall be followed by presentation of the relevant data, quotations, references, and analysis that shows how and why the evidence presented supports the position taken in the topic sentence. Included herein is also the presentation of the comparisons with other studies, significant trends if any, uncertainties, and limitations relevant for the analysis presented.
- **Chapter presenting conclusions and recommendations**
- The chapter shall consist of two sections:
- **Conclusions:** A body paragraph shall be allocated for each conclusion. The conclusion shall be presented as a clear and direct topic sentence. This shall be followed by supporting sentences that clearly show how the conclusion has been deduced, and which findings are relevant in deriving the conclusion.

**Recommendations:** A body paragraph shall be allocated for each recommendation. The recommendation shall clearly outline the directions and actions that should be taken keeping in view the findings and the conclusions. It is essential that the actions suggested follow from the findings and conclusions presented in the report. As far as possible the recommendations should identify the modus operandi for implementation of the suggestions.

- **Annexes**
- Annex 1: Definitions, data and survey instruments
- Annex 2: Other information on need basis
- Annex 3: Details of the field work elaborating the itinerary and the list of informants consulted
- Annex 4: Terms of Reference (TOR)

- **References**

The references shall preferably follow Oxford's Manual of Style: In the text, the last name of the author, followed by the year of publishing, shall be presented in parenthesis. At the very end of the report, the references shall be presented in alphabetical order, according to the author's name and year of publishing as referred to in the text.

## Annex J: Sample CTM Data Tables

### Full Sample

**Table 1: Full Sample**

<b>All Countries (N=13,845)</b>		
	<b>n</b>	<b>%</b>
<b>Gender</b>		
Female	11,312	81.7
Male	2,531	18.3
<b>Age</b>		
Less than 15	1,018	7.7
15-17	1,380	10.5
18-24	6,285	47.6
25-30	2,097	15.9
Greater than 31	2,415	18.3
<b>Education</b>		
Primary or Elementary School	1,488	14.1
Middle School	2,525	23.9
High School	2,292	21.7
Technical Training	2,494	23.7
University	1,014	9.6
Secondary School	115	1.1
Religious Education	15	0.1
None	602	5.7
<b>Year of Assistance</b>		
1999	25	0.2
2000	583	4.2

<b>All Countries (N=13,845)</b>		
	<b>n</b>	<b>%</b>
2001	802	5.8
2002	1,203	8.7
2003	1,131	8.2
2004	1,802	13.0
2005	2,698	19.5
2006	2,602	18.8
2007	1,880	13.6
2008	695	5.0
2009	424	3.1
<b>Destination Region</b>		
United States, Canada, Latin America, and the Caribbean	395	3.5
European Union and Turkey	3,521	31.0
Gulf States and the Middle East	198	1.7
Russian Federation, Caucasus, and Central Asia	2,596	22.8
Southeastern Europe	2,416	21.3
North and Sub-Saharan Africa	1,600	14.1
South Asia and Southeast Asia	556	4.9
East Asia	88	0.8
<b>Relationship with Recruiter</b>		
Family	135	1.6
Relative	645	7.5
Partner	227	2.7
Friend	2,035	23.8
Pimp	35	0.4
Stranger	4,712	55.0
Business Contact	453	5.3
Acquaintance	302	3.5
Neighbour	23	0.3
<b>Type of Trafficking</b>		
In Country	1,951	16.1
Transnational	10,192	83.9

<b>All Countries (N=13,845)</b>		
	<b>n</b>	<b>%</b>
Industry Trafficked Into*		
Sexual Exploitation	7,170	51.8
Forced Labor	4,083	29.5
Low-level Criminal Activities	115	0.8

Source: Counter Trafficking Module Database (CTM) provided by the International Organization of Migration (IOM)  
Note: Numbers may not add up to total n due to missing data.

Countries of Destination

**United States, Canada, Latin America, and the Caribbean:** Argentina, Bolivia, Brazil, Columbia, Dominican Republic, Ecuador, Honduras, El Salvador, Paraguay, Uruguay, Peru, Mexico, Netherlands Antilles, Aruba, Bahamas, Canada, Chile, Guatemala, Jamaica, United States Venezuela

**European Union and Turkey:** Italy, Poland, Latvia Lithuania, Hungary, Romania, Estonia, Slovakia, Czech Republic, Slovenia, Austria, Belgium, Switzerland, Cyprus, Germany, Spain, France, United Kingdom, Greece, Ireland, Netherlands, Malta, Norway, Portugal, Sweden, Turkey

**Gulf States and the Middle East:** Lebanon, Islamic Republic of Iran, Iraq, United Arab Emirates, Bahrain, Israel, Jordan, Qatar, Saudi Arabia, Syrian Arab Republic

**Russian Federation, Caucasus, and Central Asia:** Russian Federation, Ukraine, Belarus, Armenia, Azerbaijan, Georgia, Kyrgyzstan, Uzbekistan, Turkmenistan, Tajikistan, Kazakstan

**Southeastern Europe:** Albania, Bosnia and Herzegovina, Bulgaria, Croatia, the Former Yugoslav Republic of Macedonia, Kosovo, Serbia, Montenegro, Republic of Moldova

**North and Sub-Saharan Africa:** Egypt, Tunisia, Morocco, Angola, Burkina Faso, The Democratic Republic of the Congo Cote d'Ivoire, Cameroon, Ethiopia, Benin, Ghana, Guinea-Bissau, Guinea, Zimbabwe, Togo, Swaziland, Senegal, Sierra Leone, Seychelles, Rwanda, South Africa, Uganda, Mali, Kenya, Nigeria, Mozambique, Mauritania, Djibouti, Algeria, Liberia, Libyan Arab Jamahiriya, United Republic of Tanzania, Zambia

**South Asia and Southeast Asia:** Sri Lanka, India, Lao People's Democratic Republic, Thailand, Cambodia, Indonesia, Vietnam, Philippines, Myanmar, Malaysia, Singapore, East Timor

**East Asia:** China, Hong Kong, Japan, Republic of Korea

\*Categories are not mutually exclusive.

## Regions of Origin Regions of Origin

	Southeast Europe		Central Asia		Russian Federation and Caucasus		Eastern Europe		North Africa and the Middle East		South Asia		Sub-Saharan Africa		Latin America and the Caribbean		East and Southeast Asia		Other		
	n	%	n	%	n	%	n	%	n	%	n	%	n	%	n	%	n	%	n	%	
Gender																					
Female	4,150	97.7	653	77.3	321	93.9	4,433	80.3	5	55.6	5	100.0	636	39.0	433	82.3	665	94.3	2	100.0	
Male	98	2.3	192	22.7	21	6.1	1,087	19.7	4	44.4	0	0.0	994	61.0	93	17.7	40	5.7	0	0.0	
Age																					
Less than 15	131	3.3	21	2.6	6	1.8	54	1.0	1	14.3	0	0.0	673	41.9	111	22.1	20	3.0	0	0.0	
15-17	667	16.5	42	5.1	22	6.7	215	4.1	0	0.0	0	0.0	307	19.1	56	11.2	68	10.1	0	0.0	
18-24	2,379	59.0	363	44.3	185	56.6	2,397	46.0	3	42.9	0	0.0	539	33.0	155	30.9	266	39.6	1	100.0	
25-30	531	13.2	162	19.8	58	17.7	1,063	20.4	3	42.9	0	0.0	64	4.0	74	14.7	141	21.0	0	0.0	
Greater than 31	327	8.1	232	28.3	56	17.1	1,480	28.4	0	0.0	5	100.0	32	2.0	106	21.1	176	26.2	0	0.0	
Education																					
Primary or Elementary School	641	22.1	34	7.3	14	5.2	59	1.1	0	0.0	1	25.0	533	47.1	118	49.0	86	35.4	1	50.0	
Middle School	1,083	37.4	208	44.9	118	43.9	929	17.6	3	75.0	0	0.0	79	7.0	40	16.6	63	25.9	0	0.0	
High School	624	21.6	91	19.7	71	26.4	1,358	25.7	1	25.0	0	0.0	54	4.8	30	12.5	62	25.5	0	0.0	

	Southeast Europe		Central Asia		Russian Federation and Caucasus		Eastern Europe		North Africa and the Middle East		South Asia		Sub-Saharan Africa		Latin America and the Caribbean		East and Southeast Asia		Other		
	n	%	n	%	n	%	n	%	n	%	n	%	n	%	n	%	n	%	n	%	
Technical Training	323	11.2	50	10.8	22	8.2	2,054	38.9	0	0.0	0	0.0	16	1.4	22	9.1	4	1.7	0	0.0	
University	96	3.3	32	6.9	37	13.8	814	15.4	0	0.0	0	0.0	4	0.4	17	7.1	14	5.8	0	0.0	
Secondary School	3	0.1	46	9.9	4	1.5	57	1.1	0	0.0	0	0.0	0	0.0	4	1.7	0	0.0	1	50.0	
Religious Education	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	15	1.3	0	0.0	0	0.0	0	0.0	
None	125	4.3	2	0.4	3	1.1	11	0.2	0	0.0	3	75.0	431	38.1	10	4.2	14	5.8	0	0.0	
Year of Assistance																					
1999	20	0.5	2	0.2	0	0.0	3	0.1	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	
2000	508	12.0	0	0.0	7	2.1	67	1.2	0	0.0	0	0.0	0	0.0	1	0.2	0	0.0	0	0.0	
2001	628	14.8	0	0.0	23	6.7	111	2.0	0	0.0	0	0.0	9	0.6	31	5.9	0	0.0	0	0.0	
2002	655	15.4	10	1.2	25	7.3	200	3.6	0	0.0	0	0.0	172	10.6	139	26.4	0	0.0	0	0.0	
2003	511	12.0	125	14.8	6	1.8	102	1.9	0	0.0	0	0.0	316	19.4	66	12.6	2	0.3	0	0.0	
2004	510	12.0	250	29.6	17	5.0	677	12.3	5	55.6	1	20.0	216	13.3	38	7.2	87	12.3	0	0.0	
2005	557	13.1	101	12.0	53	15.5	1,339	24.3	0	0.0	0	0.0	437	26.8	29	5.5	180	25.5	0	0.0	
2006	624	14.7	54	6.4	65	19.0	1,304	23.6	0	0.0	3	60.0	237	14.5	36	6.8	277	39.3	0	0.0	

Destination Region	Southeast Europe		Central Asia		Russian Federation and the Caucasus		Eastern Europe		North Africa and the Middle East		South Asia		Sub-Saharan Africa		Latin America and the Caribbean		East and Southeast Asia		Other	
	n	%	n	%	n	%	n	%	n	%	n	%	n	%	n	%	n	%	n	%
2007	143	3.4	112	13.3	71	20.8	1,285	23.3	2	22.2	1	20.0	109	6.7	25	4.8	131	18.6	1	50.0
2008	83	2.0	81	9.6	49	14.3	311	5.6	2	22.2	0	0.0	113	6.9	29	5.5	26	3.7	1	50.0
2009	9	0.2	110	13.0	26	7.6	122	2.2	0	0.0	0	0.0	21	1.3	132	25.1	2	0.3	0	0.0
Destination Region																				
United States, Canada, Latin America, and the Caribbean	1	0.1	1	0.1	0	0.0	9	0.2	0	0.0	0	0.0	1	0.1	383	79.1	0	0.0	0	0.0
European Union and Turkey	795	34.7	173	21.7	172	57.7	2,318	44.0	4	66.7	1	20.0	42	2.8	15	3.1	0	0.0	1	50.0
Gulf States and the Middle East	2	0.1	25	3.1	1	0.3	147	2.8	0	0.0	0	0.0	16	1.1	4	0.8	3	0.4	0	0.0
Russian Federation, Caucasus, and Central Asia	13	0.6	427	53.6	59	19.8	2,066	39.2	0	0.0	1	20.0	23	1.5	0	0.0	1	0.2	0	0.0
Southeastern Europe	1,467	64.1	159	20.0	66	22.2	691	13.1	1	16.7	0	0.0	9	0.6	3	0.6	14	2.1	0	0.0
North and Sub-Saharan Africa	3	0.1	1	0.1	0	0.0	29	0.6	1	16.7	3	60.0	1,435	93.8	0	0.0	127	18.7	1	50.0



	Southeast Europe		Central Asia		Russian Federation and the Caucasus		Eastern Europe		North Africa and the Middle East		South Asia		Sub-Saharan Africa		Latin America and the Caribbean		East and Southeast Asia		Other	
	n	%	n	%	n	%	n	%	n	%	n	%	n	%	n	%	n	%	n	%
South Asia and Southeast Asia	8	0.4	10	1.3	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	16	3.3	522	77.0	0	0.0
East Asia	0	0.0	0	0.0	0	0.0	10	0.2	0	0.0	0	0.0	4	0.3	63	13.0	11	1.6	0	0.0
Relationship with Recruiter																				
Family	42	1.8	4	1.0	1	0.5	24	0.6	0	0.0	0	0.0	39	5.5	18	7.6	4	1.7	1	100.0
Relative	95	4.0	9	2.2	2	0.9	50	1.1	0	0.0	0	0.0	470	66.4	9	3.8	9	3.9	0	0.0
Partner	138	5.8	2	0.5	7	3.2	56	1.3	0	0.0	0	0.0	15	2.1	6	2.5	2	0.9	0	0.0
Friend	812	34.3	128	30.6	79	36.2	820	18.8	0	0.0	2	50.0	39	5.5	85	35.9	67	28.8	0	0.0
Pimp	16	0.7	5	1.2	3	1.4	8	0.2	0	0.0	0	0.0	1	0.1	1	0.4	1	0.4	0	0.0
Stranger	1225	51.8	222	53.0	108	49.5	2,847	65.2	3	100.0	1	25.0	84	11.9	80	33.8	139	59.7	0	0.0
Business Contact	25	1.1	21	5.0	12	5.5	375	8.6	0	0.0	1	25.0	10	1.4	5	2.1	4	1.7	0	0.0
Acquaintance	12	0.5	22	5.3	5	2.3	186	4.3	0	0.0	0	0.0	50	7.1	19	8.0	7	3.0	0	0.0
Neighbour	1	0.1	6	1.4	1	0.5	1	0.0	0	0.0	0	0.0	0	0.0	14	5.9	0	0.0	0	0.0

Type of Trafficking	Southeast Europe		Central Asia		Russian Federation and Caucasus		Eastern Europe		North Africa and the Middle East		South Asia		Sub-Saharan Africa		Latin America and the Caribbean		East and Southeast Asia		Other		
	n	%	n	%	n	%	n	%	n	%	n	%	n	%	n	%	n	%	n	%	
In Country	435	14.0	170	24.7	46	18.1	419	7.8	0	0.0	0	0.0	689	44.6	129	27.9	59	8.7	0	0.0	
Transnational	2,664	86.0	518	75.3	208	81.9	4,973	92.2	7	100.0	5	100.0	856	55.4	334	72.1	618	91.3	2	100.0	
Industry Trafficked Into*																					
Sexual Exploitation	2,724	64.1	303	64.1	242	70.8	3,220	58.3	2	22.2	0	0.0	131	8.0	313	59.5	229	32.5	1	50.0	
Forced Labor	228	5.4	210	24.9	37	10.8	2,132	38.6	2	22.2	1	20.0	1,271	78.0	130	24.7	68	9.7	0	0.0	
Low-level Criminal Activities	79	1.9	0	0.0	2	0.6	26	0.5			5	100.0	7	0.4	0	0.0	1	0.1	0	0.0	
<b>Total n</b>	<b>4,248</b>		<b>845</b>		<b>342</b>		<b>5,521</b>		<b>9</b>		<b>5</b>		<b>1,630</b>		<b>526</b>		<b>705</b>		<b>2</b>		

Source: Counter-Trafficking Module Database (CTM) provided by the International Organization of Migration (IOM)

Note: Numbers may not add up to total n due to missing data.

Countries of Destination

**United States, Canada, Latin America, and the Caribbean:** Argentina, Bolivia, Brazil, Columbia, Dominican Republic, Ecuador, Honduras, El Salvador, Paraguay, Uruguay, Peru, Mexico, Netherlands Antilles, Aruba, Bahamas, Canada, Chile, Guatemala, Jamaica, United States Venezuela  
**European Union and Turkey:** Italy, Poland, Latvia Lithuania, Hungary, Romania, Estonia, Slovakia, Czech Republic, Slovenia, Austria, Belgium, Switzerland, Cyprus, Germany, Spain, France, United Kingdom, Greece, Ireland, Netherlands, Malta, Norway, Portugal, Sweden, Turkey  
**Russian Federation, Caucasus, and Central Asia:** Russian Federation, Ukraine, Belarus, Armenia, Azerbaijan, Uzbekistan, Kyrgyzstan, Turkmenistan, Tajikistan, Kazakhstan  
**South and Sub-Saharan Africa:** Egypt, Tunisia, Morocco, Angola, Burkina Faso, The Democratic Republic of the Congo Cote d'Ivoire, Cameroon, Ethiopia, Benin, Ghana, Guinea-Bissau, Guinea, Zimbabwe, Togo, Swaziland, Senegal, Sierra Leone, Seychelles, Rwanda, South Africa, Uganda, Mali, Kenya, Nigeria, Mozambique, Mauritania, Djibouti, Algeria, Liberia, Libyan Arab Jamahiriya, United Republic of Tanzania, Zambia  
**South Asia and Southeast Asia:** Sri Lanka, India, Lao People's Democratic Republic, Thailand, Cambodia, Indonesia, Vietnam, Philippines, Myanmar, Malaysia, Singapore, East Timor

\*Categories are not mutually exclusive.

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