

# handbook

## on performance indicators for counter-trafficking projects

A handbook for project managers, developers, implementers, evaluators and donors working to counter trafficking in persons.



The International Organization for Migration (IOM) is committed to the principle that humane and orderly migration benefits migrants and society. As an intergovernmental body, IOM acts with its partners in the international community to: assist in meeting the operational challenges of migration; advance understanding of migration issues; encourage social and economic development through migration; and uphold the human dignity and well-being of migrants.

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## List of Acronyms

<b>ADS</b>	Automated Directives System	<b>NGO</b>	Non-Governmental Organization
<b>CT</b>	Counter-Trafficking	<b>NPA</b>	National Plan of Action
<b>DOJ</b>	United States Department of Justice	<b>OECD</b>	Organization for Economic Cooperation and Development
<b>EC</b>	European Commission	<b>OMB</b>	United States Office of Management and Budget
<b>EU</b>	European Union	<b>OSCE</b>	Organization for Security and Cooperation in Europe
<b>GPRA</b>	United States Government Performance and Results Act 1993	<b>PPP</b>	Prevention, Protection, Prosecution
<b>GAO</b>	United States Government Accountability Office	<b>PRM</b>	United States Department of State's Bureau of Population, Refugees, and Migration
<b>GTIP</b>	United States Department of State's Office to Monitor and Combat Trafficking in Persons	<b>SOP</b>	Standard Operating Procedures
<b>ICMPD</b>	International Centre for Migration Policy Development	<b>TIP</b>	Trafficking in Persons
<b>IFAD</b>	International Fund for Agricultural Development	<b>UNODC</b>	United Nation Office for Drugs and Crime
<b>IOM</b>	International Organization for Migration	<b>UNDP</b>	United Nations Development Programme
<b>LE</b>	Law Enforcement	<b>UNHCHR</b>	United Nations High Commissioner for Human Rights
<b>M&amp;E</b>	Monitoring and Evaluation	<b>UNHCR</b>	United Nations High Commissioner for Refugees
<b>MLA</b>	Mutual Legal Assistance	<b>UNICEF</b>	United Nations International Children's Emergency Fund
<b>MOU</b>	Memorandum of Understanding	<b>USAID</b>	United States Agency for International Development
<b>MoV</b>	Means of Verification	<b>VoT</b>	Victim of Trafficking
<b>NCC</b>	National Coordination Committee	<b>WB</b>	World Bank

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## List of Terms

**Activity** – An important task that is seen as an essential step to achieving a result. These are the actions proposed to achieve the result.

**Data** – (plural of datum) Individual facts, statistics or items of information.

**Evaluation** – The systematic and objective assessment of an on-going or completed project, program or policy, its design, implementation and results. The aim is to determine the relevance and fulfillment of objectives, development efficiency, effectiveness, impact and sustainability.

**Indicators** – Quantitative or qualitative benchmarks that provide a simple and reliable basis for assessing achievement, change or performance. They are a means of analyzing and monitoring the characteristics of operations, services and processes, and their implementation. In addition, they can also be used to measure, monitor, evaluate and improve performance.

**Logical Framework** – A methodology for conceptualizing projects and an analytic tool that allows a project developer / manager to detail a project clearly and understandably.

**Means of Verification (MoV)** – The evidence behind the indicators – i.e. the documentation to prove that the measure given by the indicator has been achieved on the overall objective, project purpose and results levels.

**Monitoring** – A management tool that contributes to effective and efficient project implementation. It can be defined as a continuous function that uses systematic collection of data on specified indicators to provide management and stakeholders with indications on progress and achievement of objectives, and to take action to improve performance.

**Overall Objective** – A single statement of the broader aim of a project, i.e. how the project can contribute to a larger national or international development plan or action.

**Performance Indicator** – Pre-determined measurements that track specific changes or results of a project. Performance indicators are directly linked to measuring progress toward project objectives and are often a combination of monitoring and evaluation.

**Personal Data** – Includes material circumstances of data subjects, as well as supporting documents that verify identification (see Annex B for more information).

**Project Purpose** – The objectives that will be directly achieved by the project. They define the primary reason for the project by directly addressing the problem.

**Result** – Lists direct and measurable results expected from the project activities. They should be tangible, visible and measurable means of achieving the project purposes.

**Stakeholders** – These are agencies, organizations, groups or individuals who have a direct or indirect interest in the counter-trafficking activities and responses, and who affect or are positively or negatively affected, by the implementation of activities. Stakeholders could include governments, donor communities, implementation partners, businesses and project beneficiaries.

**Trafficking in Persons** – 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 purpose of exploitation. Exploitation shall include, at a minimum, the exploitation of the prostitution of others or other forms of sexual exploitation, forced labour or services, slavery or practices similar to slavery, servitude or the removal of organs.

**Vulnerable Groups** – This includes any group or sector of society that is at higher risk of being trafficked due to issues such as having an irregular migration status; conflict or war; natural or manmade disasters; being refugees, internally displaced persons or stateless; discriminatory practices; violence in the home; and economic hardship, etc. For the purposes of counter-trafficking, it is important to consider those persons more susceptible to trafficking in persons, including former victims, in project development and implementation.

## Preface

In 2004, a new initiative began between the International Organization for Migration (IOM) and the U.S. Department of State's Bureau of Population, Refugees, and Migration (PRM) to develop performance indicators for counter-trafficking (CT) projects. As part of continued efforts to improve the quality and assess impact of its counter-trafficking work, IOM has worked closely with the U.S. Government to develop performance indicators within the programming context of trafficking in persons. This effort has been field and experience driven with the goal of developing monitoring and evaluating systems and establishing institutional guidelines for measuring the short, medium and long-term impacts of counter-trafficking work. It is hoped that this handbook will be useful for government and non-governmental stakeholders and service providers for establishing performance indicators for counter-trafficking projects that can be compared across countries and regions, and ultimately assist in effective and successful programming.

Development of this handbook rests upon IOM's worldwide experience of more than 13 years in the area of counter-trafficking, where it has implemented some 212 projects in 84 countries and assisted over 14,000 victims of trafficking. Various definitions, logical frameworks, IOM project documents and monitoring and evaluation structures were compared and reviewed for this project. This included those used by several governmental and inter-governmental agencies that have vast project experience in the area of counter-trafficking.



## Introduction

### What Is the Handbook?

This handbook is a resource and guide for project managers, developers, implementers, evaluators and donors working in the field of counter-trafficking, who want to develop performance indicators for their counter-trafficking projects. It is not intended to be a comprehensive set of guidelines for project development. It is meant to be used by any organization or donor to help define and incorporate indicators that measure project performance within the framework of prevention, protection and prosecution.

Having data is essential to make decisions in designing, re-designing, reviewing, revising or updating counter-trafficking projects. Valid and reliable information can provide useful insight into the background and mechanisms of the human trafficking process. Such information can also help identify gaps and needs in the provision of assistance, which can affect the formulation and implementation of targeted measures to improve conditions. Data and monitoring can help shape a project by highlighting situations that may require corrective action, fill an identified gap or highlight something that is working well that should be replicated.

#### **note**

A certain level of knowledge regarding trafficking in persons, project development and monitoring and evaluation is assumed for those who use this handbook. For more information on these topics, please refer to some of the resources cited in the bibliography.

Performance indicators help measure change occurring in the fight against human trafficking as a result of targeted activities, recognizing that the overall goal of all counter-trafficking projects is to reduce and ultimately eliminate trafficking in persons. The performance indicators included in this handbook can serve as practical guidelines to measure progress toward project goals. In the process of monitoring and evaluation, an analysis of a general set of indicators can not only help determine a specific project's short, medium and long-term impact, but can allow the testing and comparing of project results across regions so that there is better measurement of real "best practices" which have proven impact. It is hoped that the included performance indicators will help shape the process of standardizing some base performance indicators that will then allow for comparable counter-trafficking data for projects across regions.

## Overview of Chapters

This handbook is divided into four chapters. The first chapter presents the general framework for counter-trafficking projects as stated in the United Nations Convention against Transnational Organized Crime's supplementing Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children (UN Protocol), and details why performance indicators are important in counter-trafficking. The second chapter provides basic definitions and the logical framework used in this handbook for developing counter-trafficking performance indicators. The focus of this chapter is on two of the four levels in a logical framework (project purpose and results), in order to highlight the advantages of using such indicators to evaluate the performance of counter-trafficking projects. The third chapter describes how performance indicators are developed and applied in project design and supervision, and discusses important issues related to the meaningful use of indicators. It also includes the matrix that contains the performance indicators chosen for this handbook, an explanation on how to use the matrix in developing performance indicators and tips for adapting it to a project's local context within the framework of prevention, protection and prosecution. Chapter four covers data collection related to counter-trafficking projects, including limitations to consider.

## Chapter 1: Trafficking in Persons

Human trafficking is a rapidly expanding global phenomenon that impacts countries and communities throughout the world.<sup>1</sup> Though governments and non-governmental organizations are increasingly responding to the problem of human trafficking, there is still much to be done. There are lessons to be learned from both the successes and challenges of counter-trafficking efforts globally. Measuring performance by establishing indicators that are comparable across countries and regions is an important step in sharing lessons learned and for measuring the impact of counter-trafficking projects. However, before discussing performance indicators by which to evaluate counter-trafficking projects, it is necessary to understand the basic concepts related to trafficking in persons.

In 2000, the international community developed a definition of trafficking in persons as a supplemental protocol to the United Nations Convention Against Transnational Organized Crime.<sup>2</sup> Article 3 of the United Nations Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, was signed in December 2000 in Palermo, Sicily, Italy. The text reads as follows:

(a) “Trafficking in persons” shall mean 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 purpose of exploitation. Exploitation shall include, at a minimum, the exploitation of the prostitution of others or other forms of sexual exploitation, forced labour or services, slavery or practices similar to slavery, servitude or the removal of organs;

(b) The consent of a victim of trafficking in persons to the intended exploitation set forth in subparagraph (a) of this article shall be irrelevant where any of the means set forth in subparagraph (a) have been used;

(c) The recruitment, transportation, transfer, harbouring or receipt of a child for the purpose of exploitation shall be considered “trafficking in persons” even if this does not involve any of the means set forth in subparagraph (a) of this article;

(d) “Child” shall mean any person under eighteen years of age.

1. This chapter has been adapted from the *IOM Counter-Trafficking Training Modules*.

2. Official text of the Convention and the Protocols can be downloaded at [http://www.unodc.org/unodc/en/crime\\_cicp\\_convention.html](http://www.unodc.org/unodc/en/crime_cicp_convention.html)

The UN Protocol came into force 25 December 2003 and currently has 117 countries as signatories and 118 countries as parties to the Protocol.<sup>3</sup> The Protocol is an important international instrument that defines and standardizes counter-trafficking terminology.<sup>4</sup>

The Protocol requires States to:

- Criminalize trafficking in persons
- Provide assistance and protection to victims in countries of origin, transit and destination
- Assist in the repatriation of victims
- Manage migration to prevent and detect human trafficking (e.g. border control, travel documents)
- Provide training, research and information to prevent and counter trafficking in persons
- Abide by technical provisions (related to signature or ratification)

### Children as a special case

The UN Protocol recognizes the special situation of children in Article 3 sub-paragraph (c), which removes the need for “means” to be present to be considered trafficking in persons under the UN Protocol. In other words, for children it is not necessary that there be “threat or use of force or other forms of coercion, of abduction, of fraud, of deception . . .” to be considered trafficking in persons. For example, if a parent arranges to have their child transported into a situation where they are forced to work (e.g. begging on the streets), this can be considered trafficking, even if the child is a willing participant and is returned after a period of time. It is important to note, however, that national laws on child labour vary greatly, and may not agree with the standards set in the Protocol.

## Responding to the challenge

Trafficking in persons is a global problem that affects hundreds of thousands of people every year.<sup>5</sup> Responding to human trafficking is a daunting task for governments, policymakers and organizations that assist victims. What can be done? Comprehensive counter-trafficking activities often focus on three broad objectives:

1. Prevention
2. Protection
3. Prosecution

3. As of April 2008. Updated numbers available at [http://www.unodc.org/unodc/en/crime\\_cicp\\_signatures\\_html](http://www.unodc.org/unodc/en/crime_cicp_signatures_html)

4. The UN Protocol refers to international trafficking in persons. However, the UN Legislative Guide for the Protocol does elaborate on internal trafficking.

5. Exact figures for trafficking in persons are difficult to determine and estimates vary. The U.S. Government estimates that 600,000 – 800,000 people are trafficked annually worldwide. According to UNICEF, 1 million children are trafficked every year. The UNODC states that the annual profit in trafficking in persons is USD 8 billion, comparable to figures for drug trafficking.

The complexity of human trafficking requires a holistic, human rights-based response that is both broad enough to address the problem on multiple levels and specific enough to make sense in the local context. Human traffickers look for existing migratory flows and potential migrant groups that can be exploited. While trafficking often involves crossing national borders, there are also significant numbers of victims that are trafficked within their own national borders. Identifying the local context and the specific mechanisms of trafficking that are taking place within a country is essential to creating a strategic response.

**Prevention** activities are extremely important in combating trafficking. Countries of origin might work to provide alternatives to groups that could be vulnerable to trafficking in persons, for example. A transit country could work on strengthening border control and providing training to officials to enable them to identify sub-groups of trafficked persons within larger migrant groups moving through their country, legally or illegally. Destination countries might look at exploitation taking place within their borders, and work to strengthen the labour rights of migrants, or could work to facilitate legal flows of migrant workers to lessen the demand for irregular migrants. Countries with internal trafficking issues might strengthen education or create employment programs in vulnerable communities that provide opportunities.

In addition to activities designed to prevent trafficking in persons, protecting victims is an essential part of any counter-trafficking response. **Protection** includes providing immediate protection for potential or identified victims of trafficking. It also means keeping identified victims safe while meeting their immediate basic needs (e.g. shelter, medical, psychological and psychosocial care, food and clothing). Following this, interim care and return and reintegration/integration options should be discussed. This includes options for settlement in the destination area, third country or in another part of the victim's home country as appropriate. Keeping victims safe also requires a high level of confidentiality when managing cases – the identity of victims must be protected. This is essential not only to protect victims and service providers from traffickers, but also to protect victims from potential stigma within their families or communities.

Protection also means creating an environment (social, political and legal) that fosters the protection of victims of trafficking. This could mean creating special temporary or permanent visas that allow victims from other countries to remain legally in the country of destination (in some cases in exchange for cooperation with authorities). Appropriate legislation can be used not only to prosecute traffickers, but also to protect victims. Access to the judicial system grants victims the opportunity for justice and compensation. Emphasis must be given to the fact that victims of human trafficking are victims of crime and must be recognized and treated as such - not as criminals themselves.

Protection could also involve helping victims return to their home country or community – safe voluntary return and reintegration/integration. This includes providing an individualized, victim-centered response to help reduce a person’s vulnerability to re-trafficking.

**Prosecuting** traffickers is another important part of a comprehensive strategy to combat trafficking in persons. Strengthening legislation and policy to hold traffickers accountable for their crimes is necessary in order to have an effect on traffickers. In some countries, the assets of traffickers are confiscated and used to fund victim assistance projects. International cooperation is extremely important, especially when the crime is transnational in nature.

Finally, it is important to keep some crosscutting themes in mind when working in counter-trafficking, such as:

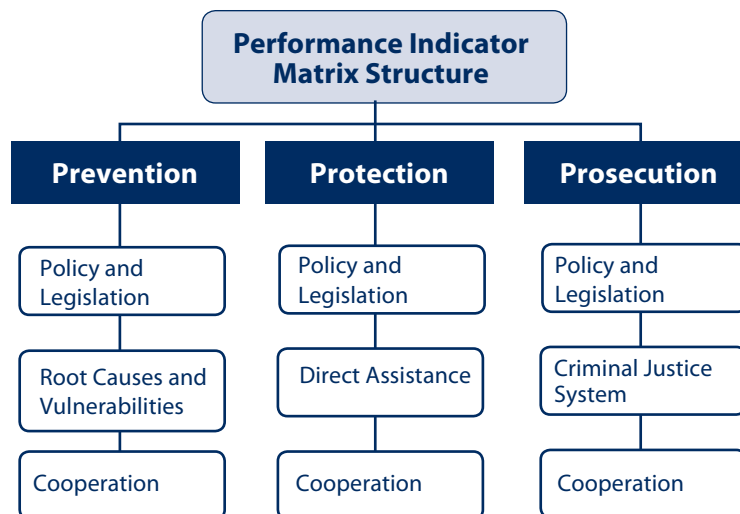
- Victim-centered
- Gendered Response
- Collaboration and Partnership
- Sustainability

The most successful strategies are those that address the root causes and vulnerabilities<sup>6</sup> related to trafficking in persons, strengthen the legal framework in place to prosecute traffickers and sensitize relevant actors to ensure that victims are at the center of counter-trafficking activities. Though responding to human trafficking is a daunting task, it is a challenge that the global community must continue to address through increased, improved and sustainable counter-trafficking measures and enhanced cooperation. This will be the focus of the indicators in the matrix (Chapter 3).

For the purposes of this handbook, the performance indicators related to prevention, protection and prosecution, or the “Three Ps,” will be looked at in the following substantive categories (for further information see Chapter 3):

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6. For the purposes of this handbook, we are defining root causes as those things that are systemic that influence and create human trafficking such as gender/ethnic discrimination, economic hardship, globalization, demand, etc. Vulnerabilities are all the things that make each person, at their specific point in time, more likely to become victims of trafficking. Examples include, a sudden change in socio-economic status, death in the family or medical emergency.



## Why Are Performance Indicators Important In Counter-Trafficking?

Obtaining reliable data on trafficking in persons is admittedly difficult. This is for a variety of reasons, including the fact that human trafficking is a clandestine activity and many cases go unreported. Cases that do surface may not receive priority by law enforcement or, if there are no specific or stringent laws on trafficking, a country may report a case under another heading. The capacity to collect and maintain data may be weak or there may be no organized response in a community/country. There is also a general lack of information sharing between organizations, agencies and governments. Even when information is shared, often the methodology for obtaining data is unclear. Regardless “[w]e .. need to move beyond stating that trafficking is a problem to assessing in more detail how well we are dealing with this problem. If our understanding of trafficking is to improve, we also need to find ways to generate much better data and indicators of the problem.”<sup>7</sup>

Working to counter trafficking in persons is important and efforts have undoubtedly achieved the goal of raising awareness and providing assistance for victims of trafficking and their families in a variety of countries and contexts. However, currently, there is no comprehensive method of measuring performance in the field of counter-trafficking. While some reliable data can be gleaned from specific projects, there is

7. International Organization for Migration (IOM), *Data and Research on Human Trafficking: A Global Survey*, 2005, p14.

little in the way of systematized data gathering and analysis on human trafficking. This makes it difficult to measure the impact of counter-trafficking efforts and to see if the response has been successful on a large scale. To date, the global monitoring and evaluation of counter-trafficking projects has generally been non-standardized and output (not impact) focused. Consequently, the questions remain: Has trafficking in persons reduced? Are we succeeding in our tactics? What is and is not working? How can we adapt activities in one community/country to complement another? Has vulnerability been reduced? Is reintegration generally successful? What are the medium and long-term impacts of activities on the community and individual levels?

The aim of this handbook is to provide the first steps in developing performance indicators for counter-trafficking projects that not only allow for results and purposes of individual projects to be measured, but also to create a method of global comparability to help understand the overall impact. By doing so, efforts can be adjusted as needed at local, national, regional and global levels through similar methods of measurement. However, before exploring specific counter-trafficking performance indicators, it is important to discuss terminology.

**Indicators** are quantitative or qualitative benchmarks that provide a simple and reliable basis for assessing achievement, change or performance. They are a means of analyzing and monitoring the characteristics of operations, services and processes, and their implementation. In addition, they can also be used to measure, monitor, evaluate and improve performance.<sup>8</sup>

An indicator is generic; it could be anything such as the number of people trained or the number of posters printed. However, performance indicators seek to measure specific changes or results of a project. So, instead of measuring just what was printed or what was done, we are measuring a change that actually took place, which implies that the project had some sort of impact.

**Performance indicators** are pre-determined measurements that track specific changes or results of a project. Performance indicators are directly linked to measuring progress toward project objectives and are often a combination of monitoring and evaluation.

## important

We recognize that the term performance indicator can be used in other ways. However, we are using the term as defined above in this handbook.

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8. Adapted from the *IOM Counter-Trafficking Training Modules*.



**note**

It is important to keep in mind that performance indicators are envisioned prior to implementing a project. However, project activities may result in measurable changes that were not foreseen. For example: an awareness raising advertisement is put in a magazine as part of a counter-trafficking information campaign. As a result, the magazine polls its readers and the respondents comment on the awareness campaign's message. This was not part of the campaign's planned activities, but the response does provide information related to the impact of the campaign's message. This, therefore, qualifies as a performance indicator.

During the lifetime of a project, performance indicators:

- show how activities are progressing in achieving project purposes and results;
- enable the identification of problems at an early stage; and
- allow for corrective measures.

Performance indicators are also essential upon completion of project activities, because they serve as a tool to demonstrate if and to what extent achievements/results correspond to set targets and purposes and in some cases, provide a detailed set of preliminary data for measuring impact.

Performance indicators can also be used for advocacy purposes, such as promoting a service provided by the project. For example, an indicator that reveals increased service delivery can support the argument that additional capacity and resources are needed to adequately meet the increased demand.

At the same time, the quantitative and qualitative information used to verify the performance indicators helps in the identification of weaknesses and consequently in devising ways to improve project planning, as well as the provision of services.

Performance indicators are therefore important in that they enable institutions to gauge their own performance and contribute to accountability. Independently of whether they are quantitative or qualitative, indicators help those involved in projects – implementers, beneficiaries, donors – to focus on specific evidence-based results.

Performance indicators need to be specific, measurable, attainable, relevant and trackable (SMART). If too ambitious, for instance, they are not useful as it could become difficult to assess what is realistically achievable and attributable to the project.<sup>9</sup> Thus, measuring performance can help to “tell a story” of a project's progress and achievements, particularly for key stakeholders such as governments, the donor

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9. IOM, *Evaluation Guidelines*, Geneva, January 2006, p16-17.

community and implementing partners. For example, a project purpose may be to prevent trafficking in persons by empowering X number of vulnerable men and women with economic assistance and provision of sustainable livelihood options. The performance indicator could be X number of vulnerable men and women are successfully trained and earning USD 1000 per year, after a period of 2 years of establishing the business enterprise or from employment opportunities. If the target is met or exceeded, the success of the project is clear. If the target is not met, information as to why can help the project manager and the donor address the reasons for this and adjust the project or future projects as needed.

The ability to communicate the achievement of results, share lessons learned and compare project impact across regions is dependent on the ability to collect useful performance information.

## Chapter 2: Conceptual Framework for Developing Performance Indicators in Counter-Trafficking

Before introducing specific performance indicators, it is important to go over some basic definitions related to monitoring, evaluation and the logical framework used for this handbook.

**Monitoring** is a management tool that contributes to effective and efficient project implementation. It can be defined as a continuous function that uses the systematic collection of data on specified indicators to provide management and stakeholders with indications on progress and achievement of objectives, and to take action to improve performance.<sup>10</sup> The monitoring of activities is meant to ensure that inputs through activities are transformed into results.<sup>11</sup>

During monitoring, findings should be used to modify implementation if such actions seem warranted in order to achieve the intended results. Monitoring also allows for an identification of previously unknown trends and issues that have come up during the implementation of a project that could have substantial impact. It thereby provides the basis for evaluation and review.<sup>12</sup>

While monitoring allows the assessment of project implementation, which adjusts to changes in the local context, evaluation allows the assessment of impact, which measures changes in behavior in order to modify project activities and to measure success.

**Evaluation** is the systematic and objective assessment of an on-going or completed project, program or policy, its design, implementation and results. The aim is to determine the relevance and fulfillment of objectives, development efficiency, effectiveness, impact and sustainability. Evaluation also refers to the process of determining the worth or significance of an activity, policy or program.<sup>13</sup> Evaluations assess the project's progress vis-à-vis the project purposes and overall objective and looks at what the overall performance and success of the project has been.<sup>14</sup>

The main objectives of evaluation are to improve decision-making, resource allocation, accountability and the development of future projects. Therefore, evaluation should measure and describe what the activity or service has accomplished and the impact it has had, compare the progress to the original intention, analyse the reasons for what happened or the changes that occurred and, based on the answers to these questions, recommend actions for decision-makers.

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10. IOM, *Evaluation Guidelines*, p10. op. cit.

11. IOM, *Project Development Handbook*, January 2005, p77.

12. PRM, Chapter 7, *Monitoring, Monitoring and Evaluation Guidance*, Monitoring and Evaluation Workshop 15 – 19 August 2005.

13. IOM, *Evaluation Guidelines*, p4, op. cit.

14. IOM, *Project Development Handbook*, p77. op .cit.

**note**

It is important to include the data collection component when developing a project. Know what you plan to do so you can plan for the associated time and related costs. Also remember that the actual data collection process may be different than expected/planned.

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While monitoring focuses on project management directly (helping to answer questions such as: Are we on schedule? Are we on budget?), evaluation is more concerned with the consequences of project activities (What are the results of the project? How were these achieved? What is the impact?). Evaluation thus enables judgments and improvements of project effectiveness and/or generation of knowledge to inform decisions about future projects. Indicators are an important part of both the monitoring and the evaluation process.

**remember**

For the purposes of this handbook, performance indicators are defined as pre-determined measurements that track specific changes or results of a project. Performance indicators are directly linked to measuring progress toward project objectives and are often a combination of monitoring and evaluation.

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## The Logical Framework

The logical framework (log frame) is a methodology for conceptualizing projects and an analytic tool that allows a project developer/manager to detail a project clearly and understandably.

The definition of what a project should achieve qualitatively and quantitatively is fairly uniform among agencies working in counter-trafficking, although not all of them use the same language. For instance, the terms objective, strategic objective, development objective, program goal, strategic goal and performance goal all refer to what is expected to be achieved through the implementation of a project. Equally, the definition of what a project produces varies between agencies.

The terminology selected for this handbook is in harmony with the key definitions previously mentioned, and is of common use and understanding by many project managers and implementers. Hence, the key definitions and structure of the logical framework used in this handbook are: overall objective, project purpose, results and activities.

We recognize that different agencies use varying logical frameworks in project development. While many versions were reviewed for this handbook, the log frame chosen was that of IOM.

## IOM Project Logical Framework Matrix Template

Project Components	Indicators	Means of Verification	Assumptions
<b>Overall Objective:</b>			
Project Purpose(s):			
Results:			
Activities:	Inputs for Each Activity:	Budget:	
Preconditions:			

In the matrix itself (detailed in Chapter 3), the focus of the performance indicators will be at the project purpose and results levels, as seen below, which is taken from the first page of the matrix:

Project Components	Performance Indicators	Means of Verification	Assumptions
<b>Overall Objective:</b>			
		<b>Data Collection</b>	<b>Data Source</b>
<b>Project Purpose(s):</b> A.1 To enhance policy /legislation to prevent TIP and promote safe migration	• Policy/legislation instruments are in place and meet international standards	• Desk review	• Treaty and government records
<b>Results:</b> A.1.1 Existence of policy framework to combat TIP which incorporates prevention measures	<ul style="list-style-type: none"> <li>• Country has ratified the UN Protocol</li> <li>• Anti-trafficking law and/or related legislation passed/amended that includes prevention</li> <li>• Regulations and/or guidelines established to enforce anti-trafficking law and/or related legislation</li> <li>• National Plan of Action is enacted, which contains provisions on prevention</li> </ul>	<ul style="list-style-type: none"> <li>• Desk review</li> <li>• Desk review</li> <li>• Desk review</li> <li>• Desk review</li> </ul>	<ul style="list-style-type: none"> <li>• Treaty and government records</li> <li>• Treaty and government records</li> <li>• Treaty and government records</li> <li>• Treaty and government records</li> </ul>
Activities:	Inputs for Each Activity:	Budget:	
Preconditions:			

Overall objectives are difficult to measure quantifiably. Measuring the project activities alone does not tell enough about a project's performance. Therefore, as seen above, this handbook will concentrate on the project purpose and results levels. They show short- and medium-term progress towards achieving the overall objective. This is an operational perspective, and the aim is to help us understand the value of our work.

### *Logical Framework Key Definitions*<sup>15</sup>

**Overall Objective:** A single statement of the broader aim of a project, i.e. how the project can contribute to a larger national or international development plan or action. Because the project can only contribute to, but not fully achieve the larger development objective, it would normally employ verbs such as "to contribute to," "to enhance," "to strengthen," "to support," "to reinforce," etc.

**Project Purpose:** The objectives that will be directly achieved by the project. They define the primary reason for the project by directly addressing the problem. In formulating the project, it is useful to think in terms of what should be achieved by the end of the project. The project purposes must directly ensure the sustainable benefits for the target group. They should not explain the activities of the project, nor re-state the results.

**Result:** Lists direct and measurable results expected from the project activities. They should be tangible, visible and measurable means of achieving the Project Purposes. The result will be clear about what type of change is implied, what is expected to change: i.e. a situation, a condition, the level of knowledge, an attitude or a behavior.

**Activity:** An important task that is seen as an essential step to achieving a result. These are the actions proposed to achieve the result. They would normally employ "direct action" verbs, e.g. "to identify," "to establish," "to recruit," "to carry out," "to train" etc. Activities produce measurable results that may capture a number of discrete and more specific results.

**Overall Objective  
(To contribute to)**



**Project Purposes  
(To achieve...)**



**Results  
(To produce...)**



**Activities  
(To do...)**

15. Ibid.

## Chapter 3: Developing Performance Indicators for Counter-Trafficking Projects

### Initial Considerations

Now that the logical framework has been established – the overall objective, project purpose, results and activities have been identified – we want to determine how to measure our progress. To do so, a matrix with various common performance indicators is provided as the framework (see page 20). As we begin to look at the matrix and implement its use, remember to consider the following:

#### *Stakeholders*

These are agencies, organizations, groups or individuals who have a direct or indirect interest in the counter-trafficking activities and responses, and who affect or are positively or negatively affected, by the implementation of activities. Stakeholders could include governments, donor communities, implementation partners, businesses and project beneficiaries. Relevant stakeholders should work together to develop or finalize instruments, procedures, performance indicators, recommendations, etc.<sup>16</sup> This is important because a comprehensive, collaborative approach is necessary to countering trafficking in persons in an effective and sustainable way; no single group, agency or individual can do this alone.

Bear in mind one should consult with stakeholders when setting performance indicators. This way not only do they extend their support, but also are able to advise on weaknesses or external interfering factors and can help identify processes that may need to be adjusted. Thus, consulting with donors can help ensure that the chosen indicators correspond to the donor's expectations, while consulting with partners and beneficiaries will help make the indicators feasible. Aligning performance indicators with similar counter-trafficking projects could help provide for data that is comparable across countries. For example, a project funded for US10,000 would probably not have the same expectations and performance indicators that a US500,000 project would have.

#### **remember**

Stakeholders are often part of the data collection process for performance indicators, particularly as most counter-trafficking projects do not operate completely independently, but often are focused on building the capacity of those stakeholders.

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16. Adapted from the *IOM Evaluation Guidelines* 2006, p28.

### ***Vulnerable Groups***

This includes any group or sector of society that is at higher risk of being trafficked due to issues such as having an irregular migration status; conflict or war; natural or manmade disasters; being refugees, internally displaced persons or stateless; discriminatory practices; violence in the home; and economic hardship, etc. For the purposes of counter-trafficking, it is important to consider those susceptible to trafficking in persons, including former victims, in project development and implementation.

### ***Cost Linked to Performance Measurement for Counter-Trafficking***

Cost related to measuring performance can vary greatly depending on the method used and what is measured. There are expensive methods, such as long-term follow up for victims that have been reintegrated, i.e. minimum 2 years of evaluation, and inexpensive methods such as focus groups, phone surveys, random sample polls and many other forms in between. Performance measurement related to monitoring or shorter-term evaluation tends to be less expensive. This is why it is important to consider the availability of financial and human resources, related cost of data collection, data analysis, reporting and storage methods from the beginning when developing a project.

A common issue faced by counter-trafficking projects is project length versus expectations. For example, a one-year direct assistance project may have a performance indicator that is “the reduction of trafficking in persons in x country/area.” However, a measurable reduction in human trafficking would not occur in one year. The activity is not directly linked to the identified performance indicator.

Funding and staff must be made available for performance measuring work. If anticipated costs appear prohibitive, consider some of the following:

- Modifying performance indicators to permit less expensive approaches to regular data collection.
  - Rather than sending a consultant to interview partners, have them create a questionnaire that could be administered via email, or through implementing partners, for example.
  - Data collection based on desk review exercises may be preferred to sample surveys that imply meeting in person. For example, if a reintegration project is under review, phone calls with partners or beneficiaries rather than individual interviews with each beneficiary may be considered.
- Modifying the approach/design of evaluative activities; consider rapid, low-cost alternatives such as focus groups and community interviews, informal surveys and direct observation as appropriate.
- Modifying the purpose or expected result, since it is not possible otherwise to judge progress at a reasonable cost.



## note

Even if costs are prohibitive, the project purpose cannot be compromised because funding is lacking. Some form of performance measurement has to take place.

### ***Data Collection and Data Sources (see Chapter 4 for further information)***

The development of performance indicators comes from measuring expected results against objectives. Data has to be collected to be measured. In this process, collected data is used as a means of verification.

**Means of Verification (MoV)** are the evidence behind the indicators – i.e. the documentation to prove that the measure given by the indicator has been achieved on the project purpose and results levels (ex. surveys, records, statistics, interviews, etc).<sup>17</sup>

### ***Keeping Performance Indicators SMART***

When developing performance indicators, it is important to keep them **SMART**. To define **SMART** indicators, these need to be:

- **Specific:** in terms of magnitude and time
- **Measurable:** as to specify the change resulting from the implementation of the objective and the way to tell whether it has been reached
- **Attainable:** sources of information on indicators have to be reliable and accessible
- **Relevant:** as to reflect or measure the effect of the project, rather than the effect of external factors
- **Trackable:** indicators have to draw upon data that is readily available or that will be collected as part of the project management

## How to Use the Matrix

Developing performance indicators can be challenging, but it is important to remember that a project does not need many indicators to measure performance; three to five is optimum. An important aspect of doing so is to be concrete. Decide what is to be measured, and how it will be measured, based on the local context. Know where you can get data and how it will be obtained. While performance indicators are dependent on each context and situation, in many cases there are common indicators. The performance indicators provided in this handbook are meant to be, at a minimum, a starting point for anyone looking to develop performance indicators for counter-trafficking projects. The choice of performance indicator varies according to the project's purpose and anticipated results. Performance indicators can be set at different levels and relate to different purposes. They do not have to be numerous, but should be specific, independent of each other and verifiable.

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17. IOM, *Project Development Handbook*, p78. op.cit.

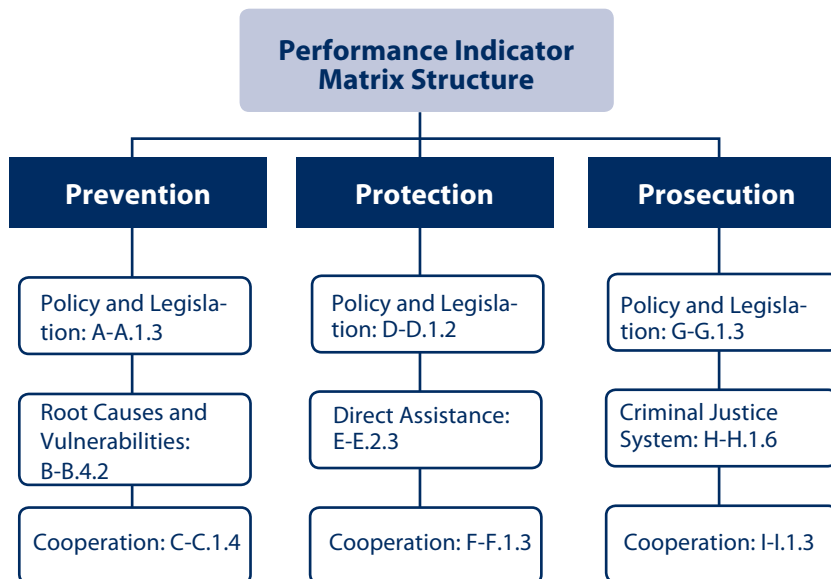
## remember

When developing performance indicators, it is better to have fewer than too many. Three to five is optimum.

As described in Chapter 1, counter-trafficking work often focuses on three broad objectives: prevention, protection and prosecution (Three Ps). The accompanying matrix includes some of the most common performance indicators that could occur in counter-trafficking projects. Within each “P,” the matrix is divided into substantive areas of counter-trafficking work.

For example, the first category in the matrix is Prevention. Under Prevention, there are the substantive areas of Policy and Legislation, Root Causes and Vulnerabilities and Cooperation. Under each of those substantive categories, there are results listed (ex. A.1) with their potential indicators, targets and means of verification. See chart below:

### Overview of Matrix Structure



When using the matrix to develop performance indicators, consider the project, idea, document, and so on:

- Locate which of the “Three Ps” is the focus – prevention, protection or prosecution – and find that “P” in the matrix.
- Now find the substantive area that fits the project and look at the listed project purposes and results.
- The needed performance indicators and results may match the project well and it may only be a matter of adding the correct timeframe, numbers and other specifications.

If the listed results are not exactly right for the project, use the matrix as a guide to figure out what your result might be; use it as a map.

- For example, there may be a different target group, but the matrix can be used to guide the steps that should be taken in selecting the specific result and performance indicator that fits the local context/project.
- The goal of the matrix is to help establish or strengthen systems to monitor, analyse, review and report performance data.

The matrix is not meant to serve as a comprehensive, definitive list of options, but as a starting point. If a performance indicator does not fit your needs, then create a new one, keeping the previous chapters in mind, and remembering to keep indicators SMART.

1. Keep in mind that a project purpose or result may not fit your context. Each will need to be adjusted to link with the specific project and what is within its power to achieve. For example, an organization that does not work on legislation would not work to enhance it and thus, it would not be in a project's activities. The corresponding project purpose in the matrix would either need to be adapted or a different purpose would need to be used.

<b>Prevention</b>				
<b>A. Policy and Legislation</b>				
Project Purpose <sup>1</sup>	Performance Indicators	Target	Means of Verification	
			Data Collection	Data Source
<b>A.1</b> To enhance policy/legislation to prevent TIP and promote safe migration	<ul style="list-style-type: none"> <li>• Policy/legislation instruments are in place and meet international standards</li> </ul>	• Yes/True	• Desk review	• Treaty and government records
Results	Performance Indicators	Target	Data Collection	Data Source
<b>A.1.1</b> Existence of policy framework to combat TIP which incorporates prevention measures	• Country has ratified the UN Protocol	• Yes/True	• Desk review	• Treaty and government records
	• Anti-trafficking law and/or related legislation passed/amended that includes prevention	• Yes/True	• Desk review	• Treaty and government records
	• Regulations and/or guidelines established to enforce anti-trafficking law and/or related legislation	• Yes/True	• Desk review	• Treaty and government records
	• National Plan of Action enacted which contains provisions on prevention	• Yes/True	• Desk review	• Treaty and government records

<b>A.1.2</b> Improved regulation of key stakeholders (labour and recruitment agencies, bridal brokers, adoption agencies)	<ul style="list-style-type: none"> <li>Monitoring procedures are in place</li> <li>Penalties are enforced for non-compliance</li> <li>X%<sup>2</sup> or number of key stakeholders who are penalized for non-compliance<sup>3</sup></li> </ul>	<ul style="list-style-type: none"> <li>Yes/True</li> <li>Yes/True</li> <li>X%<sup>4</sup> increase in key stakeholders who are penalized for non-compliance<sup>5</sup></li> </ul>	<ul style="list-style-type: none"> <li>Desk review</li> <li>Desk review</li> <li>Interviews</li> </ul>	<ul style="list-style-type: none"> <li><b>Government records and agency documents</b></li> <li><b>Government records and agency documents</b></li> <li><b>Relevant stakeholders</b></li> </ul>
<b>A.1.3</b> Policy instruments in place to promote regular migration	<ul style="list-style-type: none"> <li>Bilateral cooperation agreements on migrant labour between sending and receiving countries in place</li> <li>Established registration mechanisms for migrant labour in sending and receiving countries</li> </ul>	<ul style="list-style-type: none"> <li>Yes/True</li> <li>Yes/True</li> </ul>	<ul style="list-style-type: none"> <li>Desk review in both sending and receiving countries</li> <li>Interviews</li> </ul>	<ul style="list-style-type: none"> <li>Government records</li> <li>Government representative</li> </ul>

## Prevention

### B. Root Causes and Vulnerabilities<sup>6</sup>

Project Purpose	Performance Indicators	Target	Means of Verification	
			Data Collection	Data Source
<b>B.1.</b> To provide information about TIP and safe migration to X target groups	<ul style="list-style-type: none"> <li>X% knowledge of X target group about TIP and safe migration</li> </ul>	<ul style="list-style-type: none"> <li>X% increase in knowledge of X target group about TIP and safe migration<sup>7</sup></li> </ul>	<ul style="list-style-type: none"> <li>Sample survey, focus groups</li> </ul>	<ul style="list-style-type: none"> <li>X target group</li> </ul>

- Percentage can only be used if the denominator is known (total number of key stakeholders). Otherwise the indicator should be a number.
- Depending on the context, the numerical value of the performance indicator may increase or decrease.
- The percentage increase/decrease for targets should be based on the baseline number and analysis of what you think your realistic change would be based on your project's activities. Thus, X needs to be replaced with your target number.
- Depending on context, the numerical value of the performance indicator may increase or decrease.
- When creating indicators, be sure to clarify how each specific performance indicator relates to both root causes and/or vulnerabilities.
- For example: Pre information campaign survey results in 6 out of 10 questions right (60% knowledge). This is the baseline. The target could then be a 25% increase in knowledge (7.5 out of 10 questions right).

8. To identify change, compare pre and post data.
9. Accurate means that the definition of TIP is applied correctly.
10. Remember to adapt to the local context; choose the education level on which the project activities will focus (e.x. elementary, university).
11. Level of knowledge can be measured in different ways, such as number of correct answers on a test (expressed as a percent).
12. This is assuming that social programs exist (State or Civil).

Results	Performance Indicators	Target	Means of Verification	
			Data Collection	Data Source
<b>B.1.1</b> Information campaign message is received and used by X target group	<ul style="list-style-type: none"> <li>• X% target group who can identify/describe the campaign message</li> <li>• X% target group who took action as a result of the campaign message or contacted a provider of/for information or services</li> </ul>	<ul style="list-style-type: none"> <li>• X% increase of target group who can identify/describe the campaign message</li> <li>• X% increase of target group who took action as a result of the campaign message or contacted a provider of/for information or services</li> </ul>	<ul style="list-style-type: none"> <li>• Sample survey, focus groups</li> <li>• Hotline statistics ("stats") review<sup>8</sup></li> </ul>	<ul style="list-style-type: none"> <li>• X target group</li> <li>• Hotline call records</li> </ul>
<b>B.1.2</b> Enhanced capacity of media to report accurately on TIP.	<ul style="list-style-type: none"> <li>• X number of media coverage on TIP issues</li> <li>• X number of accurate<sup>9</sup> reports</li> <li>• Media guidelines to report on TIP are established</li> </ul>	<ul style="list-style-type: none"> <li>• X% increase in coverage of TIP issues</li> <li>• X% increase in the number of accurate reports</li> <li>• Yes/True</li> </ul>	<ul style="list-style-type: none"> <li>• Monitoring of TIP article coverage</li> <li>• Monitoring of TIP article coverage</li> <li>• Review of media organizational policies</li> </ul>	<ul style="list-style-type: none"> <li>• Mass media</li> <li>• Mass media</li> <li>• Records of media organizations</li> </ul>
<b>B.1.3</b> Enhanced capacity of educators <sup>10</sup> to prevent TIP	<ul style="list-style-type: none"> <li>• Counter-trafficking curriculum in educational system is institutionalized</li> <li>• Educators' level of knowledge on TIP and their role in preventing trafficking<sup>11</sup></li> <li>• X number in referrals of at risk individuals</li> </ul>	<ul style="list-style-type: none"> <li>• Yes/True</li> <li>• X% increase in educators' level knowledge on TIP and their role in preventing trafficking</li> <li>• X% increase in referrals of at risk individuals<sup>12</sup></li> </ul>	<ul style="list-style-type: none"> <li>• Analysis of curriculum</li> <li>• Focus groups, sample surveys, etc.</li> <li>• Records review of referral stats</li> </ul>	<ul style="list-style-type: none"> <li>• Educational body</li> <li>• Educators</li> <li>• Educational body, implementing partners, governmental bodies</li> </ul>

<p><b>B.1.4</b> Increased capacity of civil society (NGO, social services, religious organizations, etc.) to prevent TIP<sup>13</sup></p>	<ul style="list-style-type: none"> <li>• X% of target group, after X months, who have conducted some TIP prevention related activity on their own</li> <li>• Number of referrals of at risk individuals</li> </ul>	<ul style="list-style-type: none"> <li>• X% increase of target group members, after X months, who have conducted some TIP prevention related activity on their own</li> <li>• X% increase in referrals of at risk individuals</li> </ul>	<ul style="list-style-type: none"> <li>• Reports review and interviews</li> <li>• Records review of referral stats</li> </ul>	<ul style="list-style-type: none"> <li>• Target group</li> <li>• Target groups, partners</li> </ul>
<p><b>B.1.5</b> Expanded and improved information channels on trafficking and safe migration</p>	<ul style="list-style-type: none"> <li>• <b>Multiple information channels established (hotlines, drop-in centers, websites)</b></li> <li>• <b>Number of calls/visits/hits through information channels</b></li> <li>• <b>X% of information channel staff who have received targeted training on trafficking and safe migration</b></li> </ul>	<ul style="list-style-type: none"> <li>• <b>Yes/True</b></li> <li>• <b>X% increase in calls/visits/hits through information channels</b></li> <li>• <b>X% increase in total number of information channel staff who have received targeted training on trafficking and safe migration</b></li> </ul>	<ul style="list-style-type: none"> <li>• <b>Interviews</b></li> <li>• <b>Stats review</b></li> <li>• <b>Training, records review</b></li> </ul>	<ul style="list-style-type: none"> <li>• <b>Relevant stakeholders</b></li> <li>• <b>Informational channels management</b></li> <li>• <b>Training organizations</b></li> </ul>

13. Keep in mind that prevention activities can be in conjunction with civil society organizations focusing on other social issues such as domestic violence, homeless children, migrants rights, etc., as these issues are often interconnected with trafficking risk factors.

14. Implies all levels of education.  
15. Includes vocational training programs and life skills for orphans (social).

Project Purpose	Performance Indicators	Target	Means of Verification	
			Data Collection	Data Source
<b>B.2 To increase social and economic opportunities for vulnerable persons in source communities</b>	<ul style="list-style-type: none"> <li>• X% of project beneficiaries employed, enrolled and/or participating in micro-credit schemes</li> <li>• Number of businesses participating in employment programs for vulnerable groups</li> <li>• Number of higher education institutions providing tuition for vulnerable groups</li> <li>• X% of vulnerable groups using public services (health, legal, social)</li> </ul>	<ul style="list-style-type: none"> <li>• X% increase of project beneficiaries employed, enrolled and/or participating in micro-credit schemes</li> <li>• X% increase in number of businesses participating in employment programs for vulnerable groups</li> <li>• X% increase in number of higher education institutions providing tuition for vulnerable groups</li> <li>• X% increase of vulnerable groups using public services (health, legal, social)</li> </ul>	<ul style="list-style-type: none"> <li>• Survey, interviews or reports review</li> <li>• Records review, interviews</li> <li>• Records review, interviews</li> <li>• Stats/records review</li> </ul>	<ul style="list-style-type: none"> <li>• Beneficiaries, implementing partners</li> <li>• Businesses</li> <li>• Educational institutions</li> <li>• Public services institutions</li> </ul>
Results	Performance Indicators	Target	Means of Verification	
			Data Collection	Data Source
<b>B.2.1 Increased access to education for vulnerable groups<sup>14</sup></b>	<ul style="list-style-type: none"> <li>• X% of target group enrolled in formal or non-formal education</li> <li>• X% of target group regularly attending/completing formal / non-formal education<sup>15</sup></li> </ul>	<ul style="list-style-type: none"> <li>• X% increase of target group enrolled in formal or non-formal education</li> <li>• X% increase of target group regularly attending/completing formal / non-formal education</li> </ul>	<ul style="list-style-type: none"> <li>• Records review</li> <li>• Records review, interviews</li> </ul>	<ul style="list-style-type: none"> <li>• Ministry of Education</li> <li>• Educational institutions and educators</li> </ul>



<p><b>B.2.2</b> Increased economic opportunities for vulnerable groups</p>	<ul style="list-style-type: none"> <li>• X% of project beneficiaries employed</li> <li>• X% of target group participating in micro-credit schemes</li> <li>• Number of businesses participating in employment programs for vulnerable groups</li> </ul>	<ul style="list-style-type: none"> <li>• X% increase of project beneficiaries employed</li> <li>• X% increase in target group participating in micro-credit schemes</li> <li>• X% increase in number of businesses participating in employment programs for vulnerable groups</li> </ul>	<ul style="list-style-type: none"> <li>• Surveys, interviews, reports review</li> <li>• Surveys, interviews, reports review</li> <li>• Records review, interviews</li> </ul>	<ul style="list-style-type: none"> <li>• Beneficiaries, implementing partners</li> <li>• Beneficiaries, implementing partners</li> <li>• Businesses</li> </ul>
<p><b>B.2.3</b> Reduced social, gender, ethnic discrimination (barriers to<sup>16</sup> public services, educational system and employment)</p>	<ul style="list-style-type: none"> <li>• Formal policies enacted to prevent and penalize discrimination (social, educational, employment)</li> <li>• Administrative procedures are in place to reduce discrimination<sup>17</sup></li> <li>• Level of positive attitudes of target groups toward X vulnerable groups</li> <li>• X% of vulnerable groups using public services (health, legal, social)</li> <li>• X% of vulnerable groups employed</li> <li>• X% of vulnerable groups enrolled in and/or completing formal or informal education</li> </ul>	<ul style="list-style-type: none"> <li>• Yes/True</li> <li>• Yes/True</li> <li>• X% increase in level of positive attitudes of target groups toward X vulnerable groups</li> <li>• X% increase of vulnerable groups using public services (health, legal, social)</li> <li>• X% increase of vulnerable groups employment</li> <li>• X% increase of vulnerable groups enrolled in and/or completing formal or informal education</li> </ul>	<ul style="list-style-type: none"> <li>• Desk review</li> <li>• Desk review</li> <li>• Sample surveys, focus groups</li> <li>• Stats/records review</li> <li>• Stats/records review</li> <li>• Stats/records review</li> </ul>	<ul style="list-style-type: none"> <li>• Government records</li> <li>• Government records</li> <li>• Target groups</li> <li>• Public services institutions</li> <li>• Government records, labour records</li> <li>• Government records, school records</li> </ul>

16. Some results in the matrix will be too ambitious or too limited, depending on the local context and implementing organization's role. Do what makes sense where you are and within the project's activities.
17. For example: quotas, bathrooms for girls in schools, alternative insurance schemes for irregular migrants, services for undocumented migrants.

18. I.e. number of calls from target group to the hotline before and after the campaign.

Project Purpose	Performance Indicators	Target	Means of Verification	
			Data Collection	Data Source
<b>B.3</b> To reduce TIP through demand-side measures	<ul style="list-style-type: none"> <li>• Level of knowledge of target consumer group on products and services produced by exploitative and trafficked labour</li> <li>• Number of companies that are levied fines for using trafficked/exploited labourers</li> </ul>	<ul style="list-style-type: none"> <li>• X% increase in level of knowledge of target consumer group on products and services produced by exploitative and trafficked labour</li> <li>• X% increase in number of companies that are levied fines for using trafficked/exploited labourers</li> </ul>	<ul style="list-style-type: none"> <li>• Sample survey</li> <li>• Records review</li> </ul>	<ul style="list-style-type: none"> <li>• Target (consumer) group</li> <li>• Controlling body</li> </ul>
Results	Performance Indicators	Target	Means of Verification	
			Data Collection	Data Source
<b>B.3.1</b> Consumers are informed about products and services produced by exploitative and trafficked labour	<ul style="list-style-type: none"> <li>• Level of knowledge of target consumer group about products and services produced by exploitative and trafficked labour</li> <li>• Number of target group who are reached as a result of the campaign</li> <li>• Developed guidelines for consumers to distinguish between goods/services that have been produced through exploitation versus fair labour methods</li> </ul>	<ul style="list-style-type: none"> <li>• X% increase in level of knowledge of target consumer group about products and services produced by exploitative and trafficked labour</li> <li>• % of reached target group who took action as a result of the campaign message or contacted a provider of information or services</li> <li>• Yes/True</li> </ul>	<ul style="list-style-type: none"> <li>• Sample survey</li> <li>• Sample survey, review of service provider records<sup>18</sup></li> <li>• Interviews</li> </ul>	<ul style="list-style-type: none"> <li>• Target (consumer) group</li> <li>• Target group, service provider</li> <li>• Relevant stakeholders</li> </ul>

<p><b>B.3.2</b> Increased capacity of labour unions, labour inspectors and government officials to develop and implement protective labour regulations</p>	<ul style="list-style-type: none"> <li>• Number of labour inspectors trained and knowledgeable on trafficking issues</li> <li>• Number of victims identified and referred to direct assistance networks by labour inspectors, labour unions and government officials</li> <li>• Number of companies that are levied fines for using trafficked/exploited labourers</li> </ul>	<ul style="list-style-type: none"> <li>• X% increase in number of labour inspectors trained and knowledgeable on trafficking issues</li> <li>• X% increase in number of victims identified and referred to direct assistance networks by labour inspectors, labour unions and government officials</li> <li>• X% increase in number of companies that are levied fines for using trafficked/exploited labourers</li> </ul>	<ul style="list-style-type: none"> <li>• Review of training stats, pre and post surveys</li> <li>• Stats/records review</li> <li>• Records review</li> </ul>	<ul style="list-style-type: none"> <li>• Training organizations, labour organizations</li> <li>• Relevant stakeholders (referring and/or receiving parties)</li> <li>• Controlling body</li> </ul>
<p><b>B.3.3</b> Established self-monitoring mechanisms within private sector companies, employment and recruitment agencies</p>	<ul style="list-style-type: none"> <li>• Establishment of Codes of Conduct or company policies on exploitation</li> <li>• Number of companies that publicly support fair labour practices.<sup>19</sup></li> <li>• Number of victims identified and referred to direct assistance networks by target group</li> </ul>	<ul style="list-style-type: none"> <li>• Yes/True</li> <li>• X% increase in the number of companies that publicly support fair labour practices</li> <li>• X% increase victims identified and referred to direct assistance networks by target group</li> </ul>	<ul style="list-style-type: none"> <li>• Review of policies</li> <li>• Monitoring of related actions</li> <li>• Stats/records review</li> </ul>	<ul style="list-style-type: none"> <li>• Company records</li> <li>• Companies</li> <li>• Relevant stakeholders (referring and/or receiving parties)</li> </ul>
<p><b>B.3.4</b> Established self monitoring mechanisms among international organizations, peacekeepers, and the diplomatic community</p>	<ul style="list-style-type: none"> <li>• Codes of Conduct</li> <li>• Defined disciplinary mechanisms</li> <li>• Number of victims identified and referred to direct assistance networks by target group</li> </ul>	<ul style="list-style-type: none"> <li>• Yes/True</li> <li>• Yes/True</li> <li>• X% increase in victims identified and referred to direct assistance networks by target group</li> </ul>	<ul style="list-style-type: none"> <li>• Review of policies</li> <li>• Review of policies</li> <li>• Stats/records review</li> </ul>	<ul style="list-style-type: none"> <li>• Company records</li> <li>• Company records</li> <li>• Relevant stakeholders (referring and/or receiving parties)</li> </ul>

19. Examples can include joining UN Global Compact and Business Associations.

Project Purpose	Performance Indicators	Target	Means of Verification	
			Data Collection	Data Source
<b>B.4.</b> To improve data/information on TIP (routes, scale, root cause, social and economic impacts, demographics, trends)	<ul style="list-style-type: none"> <li>Prevention activities, strategies and policy (changes) are influenced by research information and recommendations</li> <li>Best practices are identified and disseminated</li> </ul>	• Yes/True	• Comparative analysis	• Project documents, research reports
		• Yes/True	• Monitoring, interviews	• Project documents, relevant stakeholders
Results	Performance Indicators	Target	Means of Verification	
			Data Collection	Data Source
<b>B.4.1</b> Information on different aspects of TIP is systematically collected and processed	<ul style="list-style-type: none"> <li>Mechanism for data collection among diverse stakeholders established</li> <li>Annual reports shared</li> </ul>	• Yes/True	• Interviews, surveys	• Relevant stakeholders
		• Yes/True	• Interviews, surveys	• Relevant stakeholders
<b>B.4.2</b> Increased information and deeper understanding of X aspect of TIP and impact of CT measures	<ul style="list-style-type: none"> <li>Targeted research conducted</li> <li>Best practices are identified and disseminated</li> </ul>	• Yes/True	• Publication monitoring, interviews	• Relevant stakeholders
		• Yes/True	• Publication monitoring, interviews	• Relevant stakeholders

Prevention				
C. Cooperation				
Project Purpose	Performance Indicators	Target	Means of Verification	
			Data Collection	Data Source
<b>C.1</b> To establish or improve cooperation mechanisms among key stakeholders to prevent TIP	<ul style="list-style-type: none"> <li>Formal cooperation mechanisms in place for coordinated prevention efforts<sup>20</sup></li> <li>Roles and responsibilities are clearly defined within the cooperation mechanism<sup>21</sup></li> </ul>	• Yes/True	<ul style="list-style-type: none"> <li>Document review, interviews<sup>22</sup></li> </ul>	• Relevant stakeholders
		• Yes/True	<ul style="list-style-type: none"> <li>Document reviews, interviews</li> </ul>	• Relevant stakeholders
Results	Performance Indicators	Target	Means of Verification	
			Data Collection	Data Source
<b>C.1.1</b> Public-Private Partnerships are created for prevention	<ul style="list-style-type: none"> <li>Total financial and in-kind contribution by private sector for prevention activities</li> <li>Number of businesses participating in employment programs for vulnerable groups</li> </ul>	• X% increase in financial and in-kind contributions by private sector for prevention activities	<ul style="list-style-type: none"> <li>Surveys, interviews</li> </ul>	• Businesses, recipients
		• X% increase in number of businesses participating in employment programs for vulnerable groups	<ul style="list-style-type: none"> <li>Records review, interviews</li> </ul>	• Businesses
<b>C.1.2</b> Cooperation mechanisms are established/enhanced between government and civil society	<ul style="list-style-type: none"> <li>Joint planning and implementation of prevention activities in place</li> <li>Funding for civil society prevention efforts allocated in State budgets</li> </ul>	• Yes/True	<ul style="list-style-type: none"> <li>Document review, interviews</li> </ul>	• Relevant stakeholders
		• X% increase in budget allocation for civil society prevention efforts	<ul style="list-style-type: none"> <li>Budget review</li> </ul>	• State budget
<b>C.1.3</b> Intra-governmental cooperation mechanisms are established/enhanced	<ul style="list-style-type: none"> <li>Inter-ministerial council on trafficking is established to coordinate prevention efforts</li> <li>Level/number of duplicated efforts<sup>23</sup></li> </ul>	• Yes/True	<ul style="list-style-type: none"> <li>Direct observation</li> </ul>	• Government
		• X% decrease in level/number of duplicated efforts	<ul style="list-style-type: none"> <li>Reports review</li> </ul>	• Government documents

20. X% reduction in people trafficked is the ideal target for this action, but not easily measurable. Thus, other indirect indicators must be used.

21. In some cases, a Memorandum of Understanding (MOU) or Standard Operating Procedures (SOP) could be formalized.

22. For example, a Plan of Action.

23. An example of this includes one joint hotline as opposed to multiple hotlines.

24. For example: a bilateral agreement for facilitated labour migration.

<p><b>C.1.4</b> Coordinated efforts between source, transit and destination areas</p>	<ul style="list-style-type: none"> <li>• Joint agreements to promote regular migration flows<sup>24</sup> established/improved</li> <li>• Number of coordinated information and awareness raising activities transnationally/between areas</li> </ul>	<ul style="list-style-type: none"> <li>• Yes/True</li> <li>• X% increase in number of coordinated information and awareness raising activities transnationally/between areas</li> </ul>	<ul style="list-style-type: none"> <li>• Desk review</li> <li>• Observation, document review, interviews</li> </ul>	<ul style="list-style-type: none"> <li>• Government documents</li> <li>• Relevant stakeholders in source, transit and destination areas</li> </ul>
Protection				
D. Policy and Legislation				
Project Purpose	Performance Indicators	Target	Means of Verification	
			Data Collection	Data Source
<p><b>D.1</b> To promote, establish and implement policies and legislation that facilitates victim protection and assistance</p>	<ul style="list-style-type: none"> <li>• State policies established to provide appropriate and comprehensive direct assistance to VoTs</li> </ul>	<ul style="list-style-type: none"> <li>• Yes/True</li> </ul>	<ul style="list-style-type: none"> <li>• Desk review</li> </ul>	<ul style="list-style-type: none"> <li>• Government documents</li> </ul>
Results	Performance Indicators	Target	Means of Verification	
			Data Collection	Data Source
<p><b>D.1.1</b> Comprehensive anti-trafficking and/or related legislation enacted and implemented that entitles victims to comprehensive protection</p>	<ul style="list-style-type: none"> <li>• Country has ratified the UN Protocol</li> <li>• Anti-trafficking law and/or related protection legislation passed/amended that mandates free and comprehensive services to VoTs and is consistent with international standards (ex. medical, psychosocial, voluntary return, reintegration, victim compensation)</li> <li>• State budget allocated towards victim assistance</li> </ul>	<ul style="list-style-type: none"> <li>• Yes/True</li> <li>• Yes/True</li> <li>• Yes/True</li> </ul>	<ul style="list-style-type: none"> <li>• Desk review</li> <li>• Desk review</li> <li>• Budget review</li> </ul>	<ul style="list-style-type: none"> <li>• Government documents</li> <li>• Government documents</li> <li>• State budget</li> </ul>

<p><b>D.1.2</b> National policies reflect the importance and political will of protection mechanisms for victims</p>	<ul style="list-style-type: none"> <li>• National Plan of Action and/or Standard Operating Procedures (SOPs) established or strengthened that entitles victims to comprehensive protection</li> <li>• Budget amounts allocated towards victim assistance</li> <li>• Roles and responsibilities of relevant stakeholders are identified</li> </ul>	<ul style="list-style-type: none"> <li>• Yes/True</li> <li>• X% increase in budget amounts allocated towards victim assistance</li> <li>• Yes/True</li> </ul>	<ul style="list-style-type: none"> <li>• Document review, observation</li> <li>• Budget review</li> <li>• Document review</li> </ul>	<ul style="list-style-type: none"> <li>• Government</li> <li>• State budget</li> <li>• Government</li> </ul>
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## Protection

### E. Direct Assistance

Project Purpose	Performance Indicators	Target	Means of Verification	
			Data Collection	Data Source
<p><b>E.1</b> To provide appropriate and comprehensive direct assistance to VoTs</p>	<ul style="list-style-type: none"> <li>• X% of re/integrated victims employed, re/inserted in an educational system, etc.<sup>25</sup></li> </ul>	<ul style="list-style-type: none"> <li>• X% increase of re/integrated victims employed, re/inserted in educational system, etc.</li> </ul>	<ul style="list-style-type: none"> <li>• Surveys, interviews, direct observation</li> </ul>	<ul style="list-style-type: none"> <li>• Victims, direct assistance providers</li> </ul>
Results	Performance Indicators	Target	Means of Verification	
			Data Collection	Data Source
<p><b>E.1.1</b> VoTs identified and referred for services</p>	<ul style="list-style-type: none"> <li>• Number of victims identified and referred for services<sup>26</sup></li> <li>• Number of victims removed from detention facilities<sup>27</sup></li> <li>• SOPs/guidelines established for identification</li> </ul>	<ul style="list-style-type: none"> <li>• X% increase in number of victims identified and referred for services</li> <li>• X% change of victims removed from detention facilities</li> <li>• Yes/True</li> </ul>	<ul style="list-style-type: none"> <li>• Stats/records review</li> <li>• Stats/records review</li> <li>• Document review, interviews</li> </ul>	<ul style="list-style-type: none"> <li>• Relevant stakeholders</li> <li>• Government, civil society groups</li> <li>• Relevant stakeholders</li> </ul>

25. This will be very dependent on time – ie. how long until someone can be considered as “reintegrated successfully.” It is important to look at this in increments such as 0-6 months as the emergency phase; 6 months – 2 years as the interim phase; and 2 years + as the long term, and adjust indicators accordingly.
26. Please keep in mind that there are also other factors that affect this indicator, such as the overall prevalence of trafficking.
27. Number of victims removed from detention is based on context. For example, some countries rarely place VoTs in detention facilities, thus the change in number might be low or zero.

28. Out of identified victims.
29. Comparison of time as a percentage.
30. An example of this would be organizational procedures.
31. Consider the context. If nothing exists, create it.

<p><b>E.1.2</b> Victims received appropriate and tailored medical and psychosocial care</p>	<ul style="list-style-type: none"> <li>Establishment of standardized medical and psychosocial needs assessment tools</li> <li>X% of victims receiving voluntary medical and psychosocial care linked to the needs identified in an assessment</li> </ul>	<ul style="list-style-type: none"> <li>Yes/True</li> <li>X% increase of victims receiving voluntary medical and psychosocial care linked to the needs identified in the assessment<sup>28</sup></li> </ul>	<ul style="list-style-type: none"> <li>Document review, interviews</li> <li>Case review</li> </ul>	<ul style="list-style-type: none"> <li>Direct assistance providers</li> <li>Direct assistance providers documents</li> </ul>
<p><b>E.1.3</b> Victims provided with appropriate legal assistance/ temporary resident permit</p>	<ul style="list-style-type: none"> <li>Number of temporary residence permits issued<sup>29</sup></li> <li>X% of victims receiving compensation</li> <li>X% of identified victims who have filed criminal complaints</li> <li>X% of identified victims who have received legal counseling</li> </ul>	<ul style="list-style-type: none"> <li>X% increase in number of temporary residence permits issued</li> <li>X% increase of victims receiving compensation</li> <li>X% increase of identified victims who have filed criminal complaints</li> <li>X% increase of identified victims who have received legal counseling</li> </ul>	<ul style="list-style-type: none"> <li>Stats/records review</li> <li>Records review, interviews</li> <li>Stats/records review</li> </ul>	<ul style="list-style-type: none"> <li>Government</li> <li>Government, victims, direct assistance providers</li> <li>Government</li> </ul>
<p><b>E.1.4</b> Victims provided with voluntary, dignified and safe return</p>	<ul style="list-style-type: none"> <li>X% of victims whose return home was consistent with international protection standards (security assessment, family tracing completed)</li> <li>Protection standards/mechanisms established</li> </ul>	<ul style="list-style-type: none"> <li>X% increase of victims whose return home was consistent with international protection standards<sup>30</sup> (security assessment, family tracing completed)</li> <li>Yes/True<sup>31</sup></li> </ul>	<ul style="list-style-type: none"> <li>Interview, case review</li> <li>Document review, interviews</li> </ul>	<ul style="list-style-type: none"> <li>Victims, direct assistance providers</li> <li>Direct assistance providers</li> </ul>



<p><b>E.1.5</b> Victims provided with individualized and comprehensive return and re/integration<sup>18</sup> assistance (shelter, employment, vocational training, etc.)</p>	<ul style="list-style-type: none"> <li>• X% of returned/identified victims who underwent a voluntary needs assessment for reintegration</li> <li>• X% of victims who receive continued medical and psychosocial care according to their assessment</li> <li>• Establishment of a standard needs assessment tool and individualized reintegration plans</li> <li>• X% of reintegrated victims employed or reinserted into an educational system</li> <li>• Durable,<sup>32</sup> voluntary return provided for X% of identified victims</li> </ul>	<ul style="list-style-type: none"> <li>• X% increase in identified/returned victims who underwent a voluntary needs assessment for reintegration</li> <li>• X% increase of victims who received continued medical and psychosocial care according to their assessment</li> <li>• Yes/True</li> <li>• X% increase of re/integrated victims employed or reinserted into an educational system</li> <li>• X% increase in victims who received durable return assistance</li> </ul>	<ul style="list-style-type: none"> <li>• Stats/records review</li> <li>• Case review, interviews</li> <li>• Document review, interviews</li> <li>• Stats/records review, interviews</li> <li>• Stats/records review, interviews</li> </ul>	<ul style="list-style-type: none"> <li>• Direct assistance providers</li> <li>• Direct assistance providers, victims</li> <li>• Direct assistance providers</li> <li>• Direct assistance providers, victims, employers, educational institutions</li> <li>• Direct assistance providers, victims, educational institutions, families</li> </ul>
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32. Durable means a safe, legal return/re/integration solution to the home community, in the destination country, third country, etc., for long-term purposes. Whatever solution is most appropriate for each victim in their individual contexts.

18. Return and re/integration refers to the full range of services that are provided to victims of trafficking, from the point of identification through long-term re/integration. Please note that no single standard of time exists for "long-term;" IOM often categorizes this as 2+ years.

33. Based on context – composition of law enforcement, NGOs, businesses, and government will vary.

Project Purpose	Performance Indicators	Target	Means of Verification	
			Data Collection	Data Source
<b>E.2</b> To build/enhance capacity of X stakeholder to identify victims and provide direct assistance through targeted technical assistance and training	• SOPs and guidelines established to identify and provide appropriate and comprehensive direct assistance for VoTs	• Yes/True	• Reports review	• International organizations, implementing partners
	• Number of victims identified and assisted by X stakeholders	• X% increase in number of victims identified and assisted by X stakeholders	• Reports review	• International organizations, implementing partners
Results	Performance Indicators	Target	Means of Verification	
<b>E.2.1</b> Referral network established/improved	• List established of NGOs and government officials assisting VoTs	• Yes/True	• Reports review	• International organizations, implementing partners
	• SOPs and guidelines established on roles, responsibilities, case management and information sharing	• Yes/True	• Reports review	• International organizations, implementing partners
	• All relevant stakeholders are part of the referral network <sup>33</sup>	• Yes/True	• Reports review	• International organizations, implementing partners

<p><b>E.2.2</b> Enhanced capacity of health providers to deliver appropriate medical treatment and care</p>	<ul style="list-style-type: none"> <li>• Health providers' level of knowledge on VoT-specific medical treatment and care</li> <li>• X% of health providers who have received specialized training and are assisting VoTs</li> <li>• Level of satisfaction of VoTs who received medical assistance</li> </ul>	<ul style="list-style-type: none"> <li>• X% increase in health providers' level of knowledge on VoT-specific medical treatment and care</li> <li>• X% increase of health providers who have received specialized training</li> <li>• X% increase in the level of satisfaction of VoTs who received medical assistance</li> </ul>	<ul style="list-style-type: none"> <li>• Pre/post surveys, reports review</li> <li>• Pre/post surveys, reports review</li> <li>• Pre/post surveys, reports review</li> </ul>	<ul style="list-style-type: none"> <li>• Medical rehabilitation center, implementing partners</li> <li>• Medical rehabilitation center, implementing partners</li> <li>• Medical rehabilitation center, implementing partners</li> </ul>
<p><b>E.2.3</b> Enhanced capacity of service providers to deliver tailored non-medical services to victims</p>	<ul style="list-style-type: none"> <li>• Service providers' level of knowledge of service providers on appropriate non-medical direct assistance services (family counseling, employment training, follow-up)</li> <li>• X% of service providers who have received specialized training and are assisting VoTs</li> <li>• Satisfaction level of VoTs who receive non-medical assistance</li> </ul>	<ul style="list-style-type: none"> <li>• X% increase in service providers' level of knowledge on appropriate non-medical direct assistance services (family counseling, employment training, follow-up)</li> <li>• X% increase of service providers who have received specialized training and are assisting VoTs</li> <li>• X% increase in satisfaction level of VoTs who received non-medical assistance</li> </ul>	<ul style="list-style-type: none"> <li>• Surveys, reports review</li> <li>• Surveys, reports review</li> <li>• Surveys, reports review</li> </ul>	<ul style="list-style-type: none"> <li>• Implementing partners</li> <li>• Implementing partners</li> <li>• Implementing partners</li> </ul>

34. Local, national, regional, transnational.
35. A more detailed indicator could be measuring the number of unknown cases (Cases of VoTs that entered the system but the VoT exits the system before completion of services).
36. Examples of bilateral mechanisms: Danish Return Fund and Adolescent Return Protocol in Central America

<b>Protection</b>				
<b>F. Cooperation</b>				
Project Purpose	Performance Indicators	Target	Means of Verification	
			Data Collection	Data Source
<b>F.1.</b> To strengthen cooperation at X level <sup>34</sup> to identify VoTs and provide them with appropriate and comprehensive direct assistance	<ul style="list-style-type: none"> <li>Nationwide monitoring and referral systems established and functioning</li> <li>Number of victims identified and assisted through the referral and assistance network</li> </ul>	<ul style="list-style-type: none"> <li>Yes/True<sup>35</sup></li> <li>X% increase in the number of victims identified and assisted through the referral and assistance network</li> </ul>	<ul style="list-style-type: none"> <li>Document review, observation, interviews</li> </ul>	<ul style="list-style-type: none"> <li>Direct assistance providers</li> </ul>
			<ul style="list-style-type: none"> <li>Stats/records review</li> </ul>	<ul style="list-style-type: none"> <li>Direct assistance providers</li> </ul>
Results	Performance Indicators	Target	Means of Verification	
			Data Collection	Data Source
<b>F.1.1</b> Taskforce/ coalitions/ coordinating bodies on CT established/ strengthened	<ul style="list-style-type: none"> <li>Regular taskforce meetings are held</li> <li>Endorsed SOPs with clearly defined roles and responsibilities for each member</li> </ul>	<ul style="list-style-type: none"> <li>Yes/True</li> </ul>	<ul style="list-style-type: none"> <li>Reports review, observation</li> </ul>	<ul style="list-style-type: none"> <li>Relevant stakeholders</li> </ul>
		<ul style="list-style-type: none"> <li>Yes/True</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> </ul>	<ul style="list-style-type: none"> <li>Coordinating body</li> </ul>
<b>F.1.2</b> Coordinated efforts to mobilize resources for CT from all stakeholders	<ul style="list-style-type: none"> <li>Appropriate inputs of resources from all stakeholders (financial, in-kind, human, etc.)</li> </ul>	<ul style="list-style-type: none"> <li>Yes/True</li> </ul>	<ul style="list-style-type: none"> <li>Document and budget review</li> </ul>	<ul style="list-style-type: none"> <li>Relevant stakeholders</li> </ul>
<b>F.1.3</b> Bilateral/ multilateral mechanisms established/ strengthened between source, transit and destination areas to provide protection and assistance to VoTs	<ul style="list-style-type: none"> <li>Regular bilateral and multilateral meetings held</li> <li>Number of VoTs identified, referred and assisted through bilateral mechanisms<sup>36</sup></li> </ul>	<ul style="list-style-type: none"> <li>Yes/True</li> </ul>	<ul style="list-style-type: none"> <li>Reports review, observation</li> </ul>	<ul style="list-style-type: none"> <li>Relevant stakeholders</li> </ul>
		<ul style="list-style-type: none"> <li>X% increase in the number of VoTs identified, referred and assisted through bilateral mechanisms</li> </ul>	<ul style="list-style-type: none"> <li>Stats/records review</li> </ul>	<ul style="list-style-type: none"> <li>Direct assistance providers</li> </ul>

<b>Prosecution</b>				
<b>G. Policy and Legislation</b>				
Project Purpose	Performance Indicators	Target	Means of Verification	
			Data Collection	Data Source
<b>G.1.</b> To promote, establish and implement policies and legislation that criminalize TIP or associated crimes <sup>37</sup>	<ul style="list-style-type: none"> <li>• Anti-Trafficking legislation is in place and enforced with definitions based on the UN Protocol and adequate sentencing provisions</li> </ul>	<ul style="list-style-type: none"> <li>• Yes/True</li> </ul>	<ul style="list-style-type: none"> <li>• Desk review, interviews<sup>38</sup></li> </ul>	<ul style="list-style-type: none"> <li>• Government</li> </ul>
Results	Performance Indicators	Target	Means of Verification	
			Data Collection	Data Source
<b>G.1.1</b> Anti-trafficking law and/or related legislation enacted or strengthened that criminalize trafficking and/or acts associated with trafficking	<ul style="list-style-type: none"> <li>• Country has ratified the UN Protocol</li> </ul>	<ul style="list-style-type: none"> <li>• Yes/True</li> </ul>	<ul style="list-style-type: none"> <li>• Desk review</li> </ul>	<ul style="list-style-type: none"> <li>• Government</li> </ul>
	<ul style="list-style-type: none"> <li>• Anti-trafficking law and/or related legislation passed/amended that includes articles criminalizing trafficking, consistent with the UN Convention and Protocol</li> </ul>	<ul style="list-style-type: none"> <li>• Yes/True<sup>39</sup></li> </ul>	<ul style="list-style-type: none"> <li>• Desk review</li> </ul>	<ul style="list-style-type: none"> <li>• Government</li> </ul>
	<ul style="list-style-type: none"> <li>• Regulations and/or guidelines established for enforcing anti-trafficking law and/or related legislation</li> </ul>	<ul style="list-style-type: none"> <li>• Yes/True</li> </ul>	<ul style="list-style-type: none"> <li>• Desk review</li> </ul>	<ul style="list-style-type: none"> <li>• Government</li> </ul>
<b>G.1.2</b> National policies reflect the importance and political will to criminalize trafficking	<ul style="list-style-type: none"> <li>• National Plan of Action established or strengthened that promotes the criminalization of trafficking</li> </ul>	<ul style="list-style-type: none"> <li>• Yes/True</li> </ul>	<ul style="list-style-type: none"> <li>• Document review, observation</li> </ul>	<ul style="list-style-type: none"> <li>• Government</li> </ul>
	<ul style="list-style-type: none"> <li>• Amount of budget allocated towards criminalization<sup>40</sup></li> </ul>	<ul style="list-style-type: none"> <li>• X% increase in amount of budget allocated towards criminalization</li> </ul>	<ul style="list-style-type: none"> <li>• Budget review</li> </ul>	<ul style="list-style-type: none"> <li>• State budget</li> </ul>

37. Keep in mind that regulatory and criminal processes should be considered on the demand side; for example, having legislation in place to penalize companies conducting unfair labour practices which includes trafficking.

38. Note that measuring enforcement would require an extensive assessment. However, perception of enforcement of laws can be obtained through interviews.

39. This can include legislation and regulations for facilitating law enforcement cooperation such as MLAs. This indicator could also be used under cooperation.

40. Criminalization includes legislation.

41. Funds from asset forfeiture are used as a deterrent, but can be leveraged as a funding mechanism for VoT protection and prevention.
42. Transparency means that the mechanism is formalized and there are checks and balances within the process.
43. Note that this indicator assumes a definition of trafficking, that is in line with international standards, and has been incorporated into national legislation. It also assumes a credible justice system that respects due process. An increased conviction rate can be the result of many factors. This includes political pressure encouraging trafficking convictions – even without the evidence necessary for these convictions. Adjust to the timeframe of the project and local context, keeping both the quantity and quality of the performance indicator in mind.

<p><b>G.1.3</b> Creation of asset forfeiture provisions and the mechanism to enforce collection<sup>41</sup></p>	<ul style="list-style-type: none"> <li>• Passage and/or amendment of legislation to include asset forfeiture of convicted traffickers</li> <li>• X% of cases that have included asset forfeiture as part of the sentencing</li> <li>• Establishment of a transparent<sup>42</sup> mechanism for asset collection</li> </ul>	<ul style="list-style-type: none"> <li>• Yes/True</li> <li>• X% increase in the number of cases that have included asset forfeiture as part of the sentencing</li> <li>• Yes/True</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Stats/records review</li> <li>• Document review, interviews, observation</li> </ul>	<ul style="list-style-type: none"> <li>• Government</li> <li>• Government</li> <li>• Government</li> </ul>
<b>Prosecution</b>				
<b>H. Criminal Justice System</b>				
Project Purpose	Performance Indicators	Target	Means of Verification	
			Data Collection	Data Source
<p><b>H.1</b> To enhance the capacity of the criminal justice system to investigate, prosecute and convict traffickers</p>	<ul style="list-style-type: none"> <li>• X% of convictions out of the total number of criminal cases filed<sup>43</sup></li> <li>• Sentences for traffickers are in proportion to other serious crimes</li> <li>• Criminal cases filed are in proportion to the forms of trafficking present in X region</li> </ul>	<ul style="list-style-type: none"> <li>• X% increase of convictions out of total criminal cases filed</li> <li>• Yes/True</li> <li>• Yes/True</li> </ul>	<ul style="list-style-type: none"> <li>• Stats/records review</li> <li>• Stats/records review and analysis</li> <li>• Stats/records review and analysis</li> </ul>	<ul style="list-style-type: none"> <li>• Government</li> <li>• Government, relevant stakeholders</li> <li>• Government, relevant stakeholders</li> </ul>

Results	Performance Indicators	Target	Means of Verification	
			Data Collection	Data Source
<b>H.1.1</b> Institutional LE mechanisms to investigate trafficking complaints created	• Specialized units or officers designated as focal points to investigate trafficking complaints	• Yes/True	• Observation, interviews	• Government
	• Appropriate number of officers as part of a specialized unit or focal points	• Yes/True	• Observation, interviews	• Government
	• Amount of financial resources allocated to support unit or focal points	• X% increase in amount of financial resources allocated to support unit or focal points	• Budget review	• State budget
	• Specialized unit or focal points operational in X province/district	• Yes/True	• Observation, interviews, document review	• Government
<b>H.1.2</b> Enhanced capacity of front line officers and/or specialized officers to investigate trafficking complaints	• Officers' level of knowledge on the definition of trafficking, victim identification and laws that can be used to investigate trafficking complaints	• X% increase in officers' level of knowledge on the definition of trafficking, victim identification and laws that can be used to investigate trafficking complaints	• Pre and post surveys	• Officers who have been trained
	• Number of investigations by trained officers	• X% increase in the number of investigations by trained officers	• Stats/records review	• Government
	• Number of investigations by trained officers, measured against the total number of investigations	• X% increase in number of investigations by trained officers measured against the total number of investigations	• Stats/records review	• Government

44. The scope of training for prosecutors can be expanded to fit the context (definition of trafficking, interview techniques, legal framework, etc.)

<p><b>H.1.3</b> Enhanced capacity of prosecutors to prosecute trafficking cases</p>	<ul style="list-style-type: none"> <li>• Prosecutors' level of knowledge on the definition of trafficking, interview techniques and laws that can be used to prosecute trafficking cases<sup>44</sup></li> <li>• Number of prosecutions by trained prosecutors</li> <li>• Number of prosecutions and/or convictions</li> </ul>	<ul style="list-style-type: none"> <li>• X% increase in prosecutors' level of knowledge on the definition of trafficking, interview technique and laws that can be used to prosecute trafficking cases</li> <li>• X% increase in the number of prosecutions by trained prosecutors</li> <li>• X% increase in the number of prosecutions and/or convictions</li> </ul>	<ul style="list-style-type: none"> <li>• Pre and post surveys</li> <li>• Stats/records review</li> <li>• Stats/records review</li> </ul>	<ul style="list-style-type: none"> <li>• Prosecutors who have been trained</li> <li>• Government</li> <li>• Government</li> </ul>
<p><b>H.1.4</b> Enhanced capacity of judiciary to convict and sentence traffickers</p>	<ul style="list-style-type: none"> <li>• Judiciary's level of knowledge on the definition of trafficking, interview techniques, laws that can be used to convict traffickers and appropriate sentencing guidelines</li> <li>• Number of traffickers convicted by judges who have been trained</li> <li>• Sentences for traffickers in proportion to other serious crimes (homicide, rape, smuggling, etc.)</li> <li>• Number of convictions</li> </ul>	<ul style="list-style-type: none"> <li>• X% increase in the judiciary's level of knowledge on the definition of trafficking, interview techniques, laws that can be used to convict traffickers and appropriate sentencing guidelines</li> <li>• X% increase in the number of traffickers convicted by judges who have been trained</li> <li>• Yes/True</li> <li>• X% increase in the number of convictions</li> </ul>	<ul style="list-style-type: none"> <li>• Pre and post surveys</li> <li>• Stats/records review</li> <li>• Stats/records review and analysis</li> <li>• Stats/records review</li> </ul>	<ul style="list-style-type: none"> <li>• Judges who have been trained</li> <li>• Government</li> <li>• Government</li> <li>• Government</li> </ul>



<p><b>H.1.5</b> Criminal justice process is built around victim centered approaches</p>	<ul style="list-style-type: none"> <li>• Number of complaints filed by victims</li> <li>• Availability of victim friendly testimony options (remote, video, conferencing, etc.)<sup>45</sup></li> <li>• Witness protection process is in place</li> </ul>	<ul style="list-style-type: none"> <li>• X% increase in the number of complaints filed by victims</li> <li>• Yes/True</li> <li>• Yes/True<sup>46</sup></li> </ul>	<ul style="list-style-type: none"> <li>• Stats/records review</li> <li>• Observation, interviews</li> <li>• Document review, observation, interviews</li> </ul>	<ul style="list-style-type: none"> <li>• Government</li> <li>• Direct assistance providers, victims, government</li> <li>• Direct assistance providers, government</li> </ul>
<p><b>H.1.6</b> Improved transparency and accountability within the criminal justice system to minimize corruption</p>	<ul style="list-style-type: none"> <li>• Court decisions opened to public scrutiny</li> <li>• Monitoring mechanism is in place to evaluate the uniformity of decisions and sentencing between cases heard<sup>47</sup></li> <li>• Number of convictions</li> <li>• Corruption Perception Index<sup>48</sup></li> </ul>	<ul style="list-style-type: none"> <li>• Yes/True</li> <li>• Yes/True</li> <li>• X% increase in number of convictions</li> <li>• Increase in score of Corruption Perception Index</li> </ul>	<ul style="list-style-type: none"> <li>• Document review and analysis, interviews</li> <li>• Document review, interviews</li> <li>• Stats/records review</li> <li>• Index report review</li> </ul>	<ul style="list-style-type: none"> <li>• Government, civil society</li> <li>• Government, watch dog groups</li> <li>• Government</li> <li>• International monitors</li> </ul>

45. This can also be a form of witness protection.

46. Witness protection includes a complex set of issues and can, in itself, be a focus for intervention.

47. These mechanisms can include civil society watch dog groups, independent third party reviews, etc.

48. This is an example of using existing indices as proxy indicators.

<b>Prosecution</b>				
<b>I. Cooperation</b>				
Project Purpose	Performance Indicators	Target	Means of Verification	
			Data Collection	Data Source
<b>I.1.</b> To establish cooperative mechanisms among criminal justice agencies and with key stakeholders to convict traffickers and protect victims	<ul style="list-style-type: none"> <li>• Number of criminal complaints filed by victims</li> <li>• Number of convictions of traffickers</li> </ul>	<ul style="list-style-type: none"> <li>• X% increase in the number of criminal complaints filed by victims</li> <li>• X% increase in number of convictions of traffickers</li> </ul>	<ul style="list-style-type: none"> <li>• Stats/records review</li> <li>• Stats/records review</li> </ul>	<ul style="list-style-type: none"> <li>• Government, direct assistance providers</li> <li>• Government</li> </ul>
Results	Performance Indicators	Target	Means of Verification	
			Data Collection	Data Source
<b>I.1.1</b> Cooperative mechanisms within and among criminal justice agencies to convict traffickers and protect victims are put in place or enhanced	<ul style="list-style-type: none"> <li>• SOPs and/or guidelines on joint investigations, identification and treatment of VoTs are established</li> <li>• Regular meetings are held among criminal justice agencies</li> </ul>	<ul style="list-style-type: none"> <li>• Yes/True</li> <li>• Yes/True</li> </ul>	<ul style="list-style-type: none"> <li>• Document review, interviews</li> <li>• Observation, interviews</li> </ul>	<ul style="list-style-type: none"> <li>• Government</li> <li>• Government</li> </ul>

<p><b>I.1.2</b> Cooperative mechanisms between criminal justice agencies and other direct assistance providers to protect and assist victims are put in place or enhanced</p>	<ul style="list-style-type: none"> <li>• Number of referrals from other direct assistance providers to law enforcement</li> <li>• Number of referrals from law enforcement agencies to other direct assistance providers</li> <li>• SOPs and/or guidelines on victim protection and assistance established</li> <li>• Regular joint meetings/trainings on victim protection and assistance are held</li> </ul>	<ul style="list-style-type: none"> <li>• X% increase in the number of referrals from other direct assistance providers to law enforcement</li> <li>• X% increase in the number of referrals from law enforcement agencies to other direct assistance providers</li> <li>• Yes/True</li> <li>• Yes/True</li> </ul>	<ul style="list-style-type: none"> <li>• Stats/records review</li> <li>• Stats/records review</li> <li>• Document review, interviews</li> <li>• Observation, interviews</li> </ul>	<ul style="list-style-type: none"> <li>• Government, direct assistance providers</li> <li>• Government, direct assistance providers</li> <li>• Relevant stakeholders</li> <li>• Government, direct assistance providers</li> </ul>
<p><b>I.1.3</b> Cooperative and enforcement mechanisms between source, transit and destination areas to convict traffickers and protect VoTs are put in place or enhanced</p>	<ul style="list-style-type: none"> <li>• X% of mutual legal assistance requests completed</li> <li>• Average response time of mutual legal assistance requests</li> <li>• Formal agreements established on cooperation between agencies in source, transit and destination areas</li> <li>• Regular meetings between criminal justice agencies in source, transit and destination areas are held</li> </ul>	<ul style="list-style-type: none"> <li>• X% increase of mutual legal assistance requests completed</li> <li>• X% decrease in the average response time for mutual legal assistance requests</li> <li>• Yes/True</li> <li>• Yes/True</li> </ul>	<ul style="list-style-type: none"> <li>• Stats/records review</li> <li>• Document review</li> <li>• Observation, interviews</li> <li>• Records review, interviews</li> </ul>	<ul style="list-style-type: none"> <li>• Government</li> <li>• Government</li> <li>• Government</li> <li>• Relevant stakeholders</li> </ul>

## Chapter 4: Data Collection

**Data** are individual facts, statistics or items of information. Therefore data collection is the gathering of information (figures, words or responses) that describes some situation from which conclusions can be drawn. Data can also help a person understand how a process works or how it is working.<sup>19</sup> Such information can also be used as a means of verification.

Means of verification (MoV) are important because you cannot measure something if you cannot get the information needed to measure it. Means of verification can be government reports, census data, client feedback, letters, survey results, etc. Such data collection should be planned as early as possible to ensure the data is both obtainable and objectively verifiable.<sup>20</sup>

Data can be **qualitative** or **quantitative**. When assessing quantitative against qualitative indicators, some important questions to ask include:

- Can meaningful information be obtained by using quantitative indicators?
- Can objective, convincing information be obtained by using qualitative indicators?
- Can qualitative indicators be quantified without losing important information?

### note

When possible, it is best to obtain a combination of qualitative and quantitative data.

For both quantitative and qualitative analysis, various methodologies can be used to obtain information. Some of the more common methodologies include documentation review, direct observation, interviews, focus groups, questionnaires, surveys and case studies, each with sub-categories and specific procedures.<sup>21</sup>

## Data Sources

Data can be collected from a variety of sources using a variety of methods. Some methods are hands-on and highly participatory, while others are more exclusive and rely on the opinion of specialists. In most cases, time and resources permitting, it is best to use more than one data collection method per

19. Dictionary.com. *Dictionary.com Unabridged (v 1.1)*. Random House, Inc., available at <http://dictionary.reference.com/browse/data>

20. IOM, *Project Development Handbook*, p50. op. cit.

21. IOM, *Evaluation Guidelines*, p7. op. cit.

project purpose and/or result. This allows cross-checking between outcomes of the methods and helps to ensure truthfulness and reliability of the data collected. Sources can be primary or secondary, and data can be formal or informal. This includes victims of trafficking themselves. However, when collecting or using data from a victim, confidentiality and consent are required (see Data Collection on Victims of Trafficking, in this chapter).

## Data Collection

Deciding what type of data to collect will be relatively contingent on a project's needs balanced with what is actually available, attainable and practical. When deciding what method of data collection to use, the following factors should be considered:

**Cost:** What is a reasonable cost to incur for collecting the data? Some low-cost data collection methods limit the type of information that can be collected, while high-cost methods may discourage project managers and donors.

**Speed:** How much time is available and reasonable for data collection and processing? How will shorter collection times impact other data characteristics - accuracy/level of detail?

**Geographic Diversity:** What is the geographic area impacted by the project? How can data be effectively collected in hard-to-reach or widely-dispersed geographic areas?

**Demographic Diversity:** How much diversity is present in the target audience (ex. literacy, income, ethnicity). A diverse population whose target audience is non-homogeneous on one or more factors may require a larger sample size to capture impact accurately.

**Level of Accuracy:** How accurate should the data be? How accurate are the local government statistics? How do you balance the level of accuracy against the cost of collecting data?

**Reliability:** Can comparable data be collected using this same method in the future?

**Frequency:** When should data be collected? How often should data to be collected? How does this impact data collection in terms of staff/partner resources and costs associated with collecting the data?

**Duration:** The method of data collection should complement the duration of the project, and the human and financial resources to carry out data collection. For a short-term project (less than 1 year), data collection may only be able to take place 'in house.'

**note**

It is important to monitor appropriately during data collection and adjust accordingly if the assumption regarding the kind of data that could be collected was wrong.

Another important consideration when collecting data is to disaggregate it as much as possible. However, disaggregation should be proportional to the purpose of collection and should not be excessive:<sup>22</sup>

- Trafficking in persons involves and affects males and females, adults and children and foreign and national victims differently (ex. type of exploitation, health consequences, re/integration).
- These differences are significant for project planning, implementation and managing towards sustainable impact. Examples of such activities include: psychosocial assistance, micro-enterprise grants, education opportunities or targeted training programs.

**Data Collection from Victims of Trafficking<sup>23</sup>**

As previously mentioned, victims of trafficking can also be sources for data collection. However, there are certain precautions that need to be implemented when collecting information from victims.

**Personal data:** Trafficking cases are uniquely sensitive because of the potential repercussions that could result from unauthorized disclosure of biographical data, background information and material circumstances of the victims. It is therefore necessary to highlight the sensitivity of personal data to ensure that it is treated with the utmost care and confidentiality. All disclosures of personal data both within and outside an organization should be carefully evaluated on a case by case basis. Data security and access controls should be carefully monitored to ensure that the personal data do not fall into the “wrong hands.”

**Statistical data:** Personal data used for statistical purposes should be rendered anonymous in such a way that the data subject cannot be reasonably traced. Given the sensitivity of the personal data relating to trafficking in persons, it is very important to protect the anonymity of the data subject.

**Disclosure:** Personal data should only be shared under the three strict conditions of transfer, namely: a) for a specified purpose; b) with the explicit consent of the data subject; and c) under the guarantee of adequate safeguards to protect the confidentiality of personal data and to ensure the protection of the rights and interests of the data subject. These three conditions of transfer are relevant only to emphasize that sharing personal data with law enforcement agencies may fall outside the confidentiality relationship an organization has with its victim clients. When sharing data, be clear that it cannot reveal

22. International Organization for Migration, IOM Counter-Trafficking Database, *Return and Reintegration Assistance*, June 2006.

23. The following information was adapted from the draft version of IOM's *Annotated Data Protection Principles*, 2008.

any information that directly or indirectly identifies the data subject, unless the three conditions of transfer are guaranteed. Generally, only anonymous aggregate data should be shared with third parties.

**Transmission:** It is important to ensure that safe and secure methods of transmission are used to protect personal data. Always use encryption when transferring personal data via email; be cautious when selecting email recipients and limit correspondence to authorized persons on a “need to know” basis.

It is important to conceptualize security practices and access control measures when developing a project and ensure that they are in place when the data collection process begins. Confidentiality and all disclosures should be governed by a confidentiality form. Trafficking data is highly sensitive because of the potential repercussion that could result from unauthorized disclosure. Written consent should be obtained before the collection, use and disclosure of any data about a victim.

### note

Due to the high sensitivity of VoT data and often the link to organized crime, there may be sophisticated methods of tracing the victim. It is therefore important to use discretion when disclosing data on victims, to avoid the possibility of identification and the risk/harm that could

## Data Quality

The ability to obtain quality data that is accurate, current and reliable is necessary to properly inform decisions in developing, running or adjusting any project. Poor data can lead to incorrect inferences, improper budgeting and inefficient project performance. Understand data limitations and correct these limitations whenever possible.

Data should also meet reasonable standards including the following:

### ***Requirements for Data Quality***<sup>24</sup>

***Validity:*** Data are valid to the extent that they clearly, directly and adequately represent the result that was intended to be measured. Measurement errors, unrepresentative sampling and simple transcription errors may adversely affect data validity.

***Reliability:*** Data should reflect stable and consistent data collection processes and analysis methods over time. Progress toward performance targets should reflect real changes rather than variations in data collection methods. Reliability can be affected by threats to validity and changes in the process of data collection.

***Timeliness:*** Data should be available with enough frequency and should be sufficiently current to inform decision-making at the appropriate levels. Effective decisions depend upon regular collection of up-to-date performance information.

***Precision:*** Data should be sufficiently accurate to present a fair picture of performance and enable confident management decisions. The expected change being measured should be greater than the margin of error.

***Integrity:*** Data that are collected, analysed and reported should have mechanisms in place to reduce the possibility that they are manipulated for political or personal reasons.

### **note**

Accuracy and truthfulness of data are equally important aspects of data quality, as they may have an impact on the services rendered to victims of trafficking.

## **Limitations for Data Collection**

The ability to use certain data collection methods will vary and can add considerably to the effort required to obtain the data.

24. Adapted from USAID, Automated Directives System (ADS), Requirements for Data Quality (ADS 203.3.6.5), found in *The Performance Management Toolkit: A Guide to Developing and Implementing Performance Monitoring Plans*, PricewaterhouseCoopers, January 2001, p37.



Limitations may include:

- Data collection capacity and tradition in the host country/community
- Access to government information
- Local government counter-trafficking efforts and unit capacity
- Capacity of other local government agencies such as judiciary, police, immigration, health, education, etc.
- Capacity of implementing partners
- Willingness of primary sources to provide information
- Public attitudes toward social data and surveys
- General lack of control over the data collecting process – i.e. having to depend on other actors/ partners for information and the verification of its validity
- Available data documentation
- Confidentiality and requirements, such as the consent of the VoT to respond to a survey
- Available funding
- Timeframe of project

While limitations will inevitably pop-up, they should not completely deter efforts to collect some data for a project. Many countries lack standardized statistics or computerized cataloguing of information. Try to think broadly and be creative. Literature and media reviews, informal discussions with trusted persons, focus groups, speaking to other organizations or government entities working in the field of counter-trafficking (or other relevant fields), public service announcements and advertisements can all be useful sources of information. Do what you can with your resources, within the time you have, to the best of your ability and go from there. Ensure that your project keeps good records related to data so future projects have a baseline from which to work.

## Conclusion

Establishing a monitoring and evaluation system that assesses the performance of counter-trafficking projects is a long-term objective that involves many stakeholders. It is recognized that this is a complex issue and that this handbook does not provide a final, comprehensive and complete document that sets a single standard. This is an important area in which there is a great need for continued and collaborative work to help achieve the overall goal of measuring our success in addressing the issue of trafficking in persons individually, locally, nationally and globally. However, it is hoped that this information will serve to contribute to the overall discussion within the international community regarding performance measurement in counter-trafficking, and as this is a new field of discourse, the aim is also to further that dialogue. We welcome further discussion and hope this handbook is useful in your counter-trafficking work.

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## ANNEX A

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### EXAMPLES OF IOM PROJECTS FUNDED BY THE U. S. DEPARTMENT OF STATE, BUREAU OF POPULATION, REFUGEES, AND MIGRATION (PRM) WITH PERFORMANCE INDICATORS AND INTERIM RESULTS

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The information in this annex is extracted from proposals and progress updates of four counter-trafficking projects that IOM is currently implementing (April 2008). Excerpts from project proposals include the executive summary of accomplishments, project objectives, expected results and performance indicators. Actual results as tracked during project implementation were taken from progress updates and are also included for each project. Names of some partners in government and civil society, and details on location, have been omitted due to confidential and security concerns that are involved for victims, their families and those working to counter the crime of trafficking in persons.

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#### A.1

##### A COUNTER-TRAFFICKING INITIATIVE IN TANZANIA THROUGH PREVENTIVE MEASURES, PROTECTION AND VICTIM ASSISTANCE

###### **Executive Summary of Accomplishments:**

The proposed project will be a second phase for the IOM counter-trafficking project entitled “*Anti-Trafficking Initiative in Tanzania through Awareness Raising and Assistance to Victims*,” currently implemented in Tanzania and funded by the U.S. Department of State’s Bureau of Population, Refugees, and Migration (PRM). This project was developed in support of the Presidential Initiative to Combat Trafficking in Persons, announced by President Bush at the United Nations in January 2003. The second phase will be funded by the same donor.

The proposed project will assist the Government of Tanzania (GoT) and Tanzanian civil society in their efforts to respond to the problem of human trafficking through direct assistance to victims of trafficking, institutional capacity building and awareness raising activities. Specifically, IOM will continue and expand its current efforts to offer assistance options for victims of trafficking in Tanzania. Assistance will be tailored to the specific circumstances and needs of victims in Tanzania, and will include shelter protection, medical and psychological care, return options where feasible, as well as rehabilitation and reintegration assistance. IOM will further build the capacity of service providers and non-governmental organizations in assisting victims of trafficking through the provision of targeted training as well as by creating an informed referral and support network for victims in Tanzania. Finally, IOM will act to increase the awareness of relevant stakeholders and the general public to the dangers of human trafficking.



**Project Objective:**

The overall objective of this project is to assist the Government of Tanzania and Tanzanian society to respond to the problem of human trafficking, through victim assistance based on assessed needs, capacity building and public awareness raising.

Specific objectives include:

- A) Strengthening the capability and capacity of service providers, non-governmental and civil society organizations in Tanzania to provide assistance to victims of trafficking;
- B) Facilitating the creation of a coordinated and sustainable referral mechanism between government authorities, non-governmental organizations and IOM, aimed at providing appropriate and timely assistance to victims, in line with international standards and practices;
- C) Providing protection and assistance to victims of trafficking for the long-term; and
- D) Providing information to the public, policymakers, victims, potential victims and communities on the dangers of trafficking and available victim assistance services.

**Expected Results for Objective A: Increased Capacity of NGOs and Service Providers to Provide Direct Assistance to Victims of Trafficking**

- National mapping exercise is completed that identifies government agencies, civil society organizations, NGOs, international organizations and other agencies active in providing assistance to victims of trafficking.
- NGOs and relevant government departments are selected for targeted capacity building activities. Selections are based on findings from the national mapping exercise, results from IOM's baseline information research, recommendations from the relevant ministries and the working relationships established during the first phase of the project.
- Training sessions are conducted to increase the presently limited national capacity in assisting victims of trafficking. The training sessions will focus on topics such as the purpose and function of referral networks, identifying victims of trafficking, best practices in assistance to victims, liaising with other service providers and best practices in return and reintegration, (including topics such as family reunification, vocational training or return to school). Further, a training component on health and well-being related to human trafficking and a component on best practices in providing health care and other services to victims will be included. IOM will develop training curricula in conjunction with local stakeholders and partners to ensure the content is adjusted to the Tanzanian reality.

**Performance Indicators for Objective A:**

- Government agencies and NGOs identified participate in capacity building workshops.
- Number of training workshops held / 2 targeted.
- Increased knowledge and understanding by trained government officials and NGOs as to the special needs of victims of trafficking and the required assistance, as assessed by pre- and post-questionnaires.

- Number of NGOs and/or government departments provided with advanced shelter management training /10 trainees targeted.
- Number of NGO and/or government departments who received relevant equipment.

### **Actual Results as Tracked During Project Implementation for Objective A:**

- IOM finalized its national mapping exercise aimed at identifying government agencies, civil society organizations, NGOs, international organizations and other agencies active in providing assistance to victims of trafficking.
- IOM identified NGOs and relevant government departments for targeted capacity building training workshops to increase the presently limited national capacity in assisting victims of trafficking.
- IOM renewed its agreement with NGO A<sup>25</sup> to provide assistance to female victims of trafficking and operate the IOM funded shelter for girls and young women. The new agreement includes provisions that will allow for enhanced capacity and improved services for victims, such as additional staff at the shelter, additional vocational training courses.
- In June 2007, IOM signed an agreement with Organization B<sup>26</sup> to provide assistance services to male/ boy victims in the Dar es Salaam area. The agreement includes resources for: 1. the refurbishing of a shelter for boys, 2. assistance to identified victims, and 3. provision of training (both introduction training as well as on-the-spot training) for shelter staff.
- IOM offered two training sessions to Organization B on the screening of victims of trafficking and the provision of proper assistance.
- By July 31, 2007, the shelter was refurbished and immediately started to receive male victims.

### **Expected Results for Objective B: Creation of a Referral System for Victim Assistance**

- Agencies willing to participate in a national referral system are identified based on a national review of assisting agencies, and the identification of government agencies, civil society organizations, NGOs and international organizations.
- Creation of a forum to have relevant stakeholders discuss and establish a referral mechanism, in partnership with the GoT.
- Provision of technical assistance for the establishment of collaborative relationships and structures, as well as standard operational procedures between relevant agencies that clearly delineate specific responsibilities of each actor, procedures for victim identification and movement and guidelines for voluntary return and repatriation.
- Finalize standard operating procedures for identification and referral, for adult and child friendly procedures, assistance and return and reintegration.
- Material for awareness-raising produced and distributed to target audience. Such material will include posters and pamphlets with service providers' contact information and information cards for victims.

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25. The name of the NGO has been removed and assigned a letter for privacy and security reasons.

26. The name of the organization has been removed and assigned a letter for privacy and security reasons.

- Quarterly stakeholder meetings held to report to the GoT and other stakeholders on the progress in the development of the referral mechanism and victim assistance activities.

### **Performance Indicators for Objective B:**

- Number of victims identified and referred for assistance increased.
- Number of institutions mapped as part of the referral mechanism based on recommendations from the Ministry of Health and Social Welfare.
- Number of standard operating procedures manuals published and distributed to referral system members / 200 targeted.
- Number of pamphlets and posters distributed to service providers / 4,000 targeted.
- Number of information cards produced and distributed to service providers for dissemination to actual or potential victims of trafficking / 3,000 targeted.
- Number of agencies applying the standard operating procedures to improve service delivery.
- Number of stakeholders' meetings held / 4 targeted.

### **Actual Results as Tracked During Project Implementation for Objective B:**

- IOM's implementing partner, is receiving referrals from local police officers, social welfare officers, street leaders, bus and railway personnel, members of the media and others.
- IOM's implementing partner continues efforts to promote the dissemination of information regarding, trafficking, services available and ways to reach those services or refer victims.
- IOM's implementing partner operates a hotline that allows for immediate referrals.

### **Expected Results for Objective C: Victims Protected and Assisted, Working Closely With The Implementing NGO Partner(s)**

- Local NGO(s) identified to provide shelter and carry out assistance activities (in addition to NGO A).
- Local NGOs identified to provide legal assistance to victims of trafficking.
- 80 victims of trafficking identified, referred and provided with assistance options, which may include shelter and rehabilitation, legal, medical and psychological counselling, return and reintegration and life skills and vocational training.
- Repatriation of 10 victims of trafficking, to or from, Tanzania.
- 25 victims receive additional income generating assistance.

### **Performance Indicators for Objective C:**

- Number of shelters providing assistance to victims of trafficking / 3 targeted.
- Number of victims provided with individualized assistance packages / 80 targeted.
- Number of victims of international trafficking repatriated to, or from, Tanzania / approximately 10 targeted.
- Number of victims provided with employment placements, apprenticeships, vocational training or income generating alternatives / 25 targeted.
- Number of cases followed and monitored on a voluntary basis / 60 targeted.

**Actual Results as Tracked During Project Implementation for Objective C:**

- Since the beginning of the year, 40 female victims have received assistance from NGO A. During the reporting period 28 victims of trafficking were accommodated in the shelter and provided with assistance. Of the 28 victims recovered in the shelter, 17 were identified during the reporting period. The remaining 12 females have been reunified with their families in 9 different areas. Three out of the 12 victims that were reunified with their family had to return to the shelter. These vulnerable cases included orphans where their relatives did not recognize them as part of their family or were not able to take good care of them. Victims were provided with safe accommodation, medical care, psychosocial counseling, leisure activities, informal schooling, vocational training, family reunification assistance and family support grants as needed. Beneficiaries were encouraged to return to school and were assisted to take the national exams which allows them to rejoin the formal school system.
- During July, 12 boys were identified as victims of trafficking. They are presently receiving assistance in the shelter of Organization B through boarding, schooling, vocational training, medical care, psychosocial counseling, recreation and, when possible, family reunification.
- Following an explorative visit to Area X, IOM identified and met with several NGOs that could be potential partners for victim assistance activities. Detailed discussions regarding the forms of collaboration are currently ongoing.

**Expected Results for Objective D: Awareness Raised Among Key Stakeholders in Government and Civil Society as Well as Among The General Public, Especially Victims, Potential Victims and Their Communities:**

- Information regarding the dangers of trafficking in Tanzania based on outcomes of the PRM funded baseline research prepared and disseminated, using measures such as written or electronic media, IEC materials or community meetings.
- Information disseminated regarding the options for assistance for victims of trafficking in Tanzania (as developed by the project) and how to reach them, using measures such as written or electronic media, IEC materials or community meetings.
- Conducted meetings with community leaders and local administration in 6 targeted regions regarding the dangers of trafficking, human trafficking in their respective region, identification and referral of victims.
- Quarterly stakeholder meetings convened to sensitize stakeholders in government and civil society organizations, as well as the media, on trafficking in Tanzania.

**Performance Indicators for Objective D:**

- Increased understanding of the dangers of human trafficking as reflected in pre- and post- surveys.
- Estimated number of people reached through awareness-raising activities at local and regional levels.
- Increased public awareness on trafficking in Tanzania to be determined by level of interest in call in programs (radio or television).

- Number of meetings conducted with community leaders and local administration / 6 targeted.
- Number of stakeholders' meetings conducted / 4 targeted.

**Actual Results as Tracked During Project Implementation fo Objective D:**

- During the reporting period IOM continued to disseminate IEC materials including posters, leaflets, t-shirts, caps and stickers.
  - IOM implementing partner NGO A is to raise awareness about the issue of human trafficking and child trafficking in particular through a weekly radio program on national radio.
  - IOM identified an NGO as a partner for awareness raising activities in Zanzibar and an agreement is currently being negotiated.
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**A. 2****GLOBAL ASSISTANCE FUND (GAF) FOR THE PROTECTION, RETURN AND REINTEGRATION OF VICTIMS OF TRAFFICKING****Executive Summary:**

This project proposes the maintenance of the Global Assistance Fund (GAF) to ensure the continued provision of return and/or reintegration assistance to stranded victims of trafficking who are unable to access or are not otherwise eligible for assistance under existing voluntary return and/or reintegration assistance programs. Funded by the U.S. State Department, Bureau of Population, Refugees, and Migration (PRM), the GAF has provided assistance to 573 trafficked persons since its inception in 2000 through February 2007.

**Project Objectives (including target beneficiaries):**

The objective of this project is to contribute to the protection of trafficked persons in Africa, Asia, Latin America and the Caribbean, with the maintenance of a fund that can be accessed in support of emergency voluntary return and/or reintegration assistance. During the next project cycle, the GAF will assist approximately 100 victims of trafficking in Africa, Asia (excluding Australia, Japan and New Zealand), Latin America and the Caribbean who are unable to access adequate support through any other return assistance program.

**Expected Results:**

This continuation of the GAF expects to produce the following outputs:

- 100 victims of trafficking stranded in host countries have been identified, returned voluntarily to their countries of origin and/or received reintegration assistance.

- A range of data collected and encoded in the IOM CTM for statistical reporting, including nationality, age, marital status, education and training levels of GAF beneficiaries, as well as countries of origin, transit and destination and types of assistance provided through GAF.

**Performance Indicators:**

- Number of victims of trafficking identified by IOM and assisted through the GAF with voluntary return and/or reintegration/100 targeted.
- Percentage of GAF beneficiaries who accept reintegration assistance/80% targeted.
- Percentage of GAF beneficiaries whose return and/or reintegration was consistent with international protection standards/100% targeted.
- Percentage of GAF-assisted beneficiaries who are registered in the IOM CTM database.

**Actual Results as Tracked During Project Implementation:**

- 164 cases assisted in the period 01/01/06 - 28/02/07; 53 victims received assistance in the first six months of 2007; the total number of 605 for period 01/08/2000 - 24/07/07.
- 100% of GAF beneficiaries accepted reintegration assistance.
- 100% of GAF beneficiaries were return and/or reintegration was consistent with international protection standards.
- 100% of GAF-assisted beneficiaries are registered in the IOM CTM database.

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## A. 3

### PREVENTION AND ASSISTANCE FOR SURVIVORS OF TRAFFICKING (PAST)

**Executive Summary of Accomplishments:**

The program will draw from the experiences and learnings that have emerged from the successful model set forth by the *Economic Rehabilitation of Victims of Trafficking* in India, supported as of March 2005, by the U.S. Government's Presidential Initiative to combat trafficking in persons. This project seeks to capitalize on the base that has been created during the implementation of the ERTV project and extend it to the vulnerable groups who can be prevented from being trafficked. The success stories and the prototypes created need sustained endeavour for the concept to spread and be replicated, so that a larger number of beneficiaries can be reached. The project, as part of its rights based approach, also follows a very participatory process including all stakeholders and survivors who are involved at every stage of the decision making process. This is the key to ensuring sustainability as they take charge from the beginning and gain ownership of the entire process.

The proposed project aims to empower 300 beneficiaries through the provision of economic opportunities: 150 survivors of trafficking and 150 who are considered especially vulnerable to trafficking will be assisted as a preventive measure. This will be achieved by creating avenues and opportunities for economic development through micro-credit, business support, employment opportunity creation and organizing collaborations/franchises from business houses and/or through viable enterprise development activities. As a pilot initiative, a module will be developed in the local language, which will provide beneficiaries with information pertaining to their legal rights in their communities. Comprehensive psychosocial support will be extended to beneficiaries wherever required through the project.

**Overall Objective:**

To empower 300 survivors of trafficking by providing them an environment where services related to health, self-esteem and confidence building are imparted through various trainings including psychosocial, vocational, entrepreneurial, marketing skills and micro-credit assistance to set up viable business enterprises and/or employment opportunities.

**Expected Results:**

- 150 survivors of trafficking (labour and sexual exploitation) are identified and involved in an economic rehabilitation process.
- 150 vulnerable men and women are identified and provided a sustainable livelihood activity.
- Successful partnerships are forged with at least 8 NGOs and capacity building for NGO networks to handle and implement this project independently.
- 10 corporate houses will be involved in providing employment/business, franchisee/training/marketing and support/funding to the beneficiaries.
- Beneficiaries are developed as peer educators, by training them on entrepreneurship development, team building, motivation, trust building skills and awareness on trafficking.
- A module for peer education on trafficking and legal awareness will be developed in the local language.
- A “Do It Yourself” handbook is developed, which will also serve as a directory of livelihood options for the proposed target group with clear operational mechanisms.
- A video documentation in the form of a short film on the project is developed.
- The model is widely disseminated and experiences shared through seminars and workshops.
- The enterprises formed for the beneficiaries are registered and an institution of survivors is formed out of the revolving fund and emerges to move the project forward.

**Performance Indicators:**

- At least 2 stakeholder meetings and one dissemination workshop are conducted and future expansion plans are drawn out.
- A “Do It Yourself” handbook is developed and circulated.

- A short film on the project is available.
- The drop out rate of beneficiaries is not more than 10 - 20%.
- Beneficiaries initiate taking over management of the enterprises towards the end of the project.
- Capacity has been built for at least 8 NGOs and they are implementing the project independently.
- At least 10 corporate houses are working actively by providing employment/resource or financial support.
- Group enterprises are registered as legal entities before/after the withdrawal of IOM.
- At least 80% of the beneficiaries are earning USD 1000 per annum after one year of initiating the process.
- At least 80% of the vulnerable target groups are engaged in gainful commercial activities and are prevented from being trafficked or exploited.

### **Actual Results as Tracked During Project Implementation:**

- Partner NGO 1<sup>27</sup>: Provides psycho-social support, business, orientations with institutions, counselling and follow up; community based model for replication.
- Employment: 35
- Enterprises: Enterprise A<sup>28</sup>
- Corporate Support: Group A and Group B in Goa.
- Goa Chamber of Commerce & Industry Federation has promised to support the business through orders.
- Government: The Court has passed an order to direct the victims to this rehabilitation centre. SP of Goa gives orientation on legal awareness/rights.

Partner NGO 2: Orientation, counselling, EDP training planned by end of this month.

- Employment: 0
- Enterprises: 9 individual enterprises initiated (small scale business).
- Corporate Support: Support from training institute A –EDP trainings, which will provide market linkages for individual /group enterprises.
- Government: Initiated with government for rehabilitation of survivors and also prevention of trafficking.

Partner NGO 3: Provides various types of support.

- Employment: 16 - housekeeping at airport.
- Enterprises: 5 (2 women and 3 men) -beneficiaries in one canteen.
- Corporate Support: Group C is providing the tea/coffee vending machine. Group D provided training and placement.
- Government: District collector stopped tender, provided space at concessional rate.

27. NGO names have been removed and assigned numbers for privacy and security reasons.

28. Names of enterprises, corporate support and training have been removed and assigned letters for privacy and security reasons.



Partner NGO 4: Providing various types of support.

- Employment: 12- vulnerable group as custodial staff.
- Enterprises: Group enterprise planned, EDP training lined up.
- Corporate Support: Group D providing custodial training and placement.
- Government: NGO 4 is trying to mobilize space from local government for enterprise.

Partner NGO 5: Providing various types of support

- Employment: 0
- Enterprises: 25 beneficiaries in 4 group enterprises in the community and farm based activities at their family homes.
- Corporate Support: Training institute A provides EDP training and IOM on soft skills.
- Government: Mobilizing with the government for infrastructure of constructing a work-shed in the community.

Partner NGO 6:

- Employment: 12 beneficiaries getting basic training in computers and bed nursing.
- Enterprises: Market survey is going on for group enterprise.
- Corporate Support: Group E is providing the corporate support for trainings, placements and group enterprise.
- Government: Current Chairperson of Group E is MP (Congress Party) and he is keen to support IOM.

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## A. 4

### **ASSISTED VOLUNTARY RESCUE, REHABILITATION, RETURN AND REINTEGRATION OF GHANAIAN CHILDREN VICTIMS OF TRAFFICKING FOR LABOUR EXPLOITATION IN FISHING COMMUNITIES IN THE VOLTA REGION**

#### **Executive Summary of Accomplishments:**

In the past year, IOM has managed to rescue, rehabilitate, return and reintegrate 25 trafficked children who had been working in hazardous conditions in fishing communities along Lake Volta. Moreover, the parents and guardians of these children and the fishermen who released them were provided with micro-credit assistance in the form of community revolving loans, inputs, skills training and credit management training. The 587 trafficked children rescued, prior to the last group of 25 children, and their parents and guardians continued to be assisted under the project. The major sending and receiving communities were both sensitized on the dangers inherent in trafficking through information dissemination. Three research studies were conducted in the major sending and receiving communities to determine the root causes and magnitude of the problem, as well as to gather preliminary quantitative data. A network

of support was enhanced involving government agencies at the national and district levels, as well as non-governmental organizations (NGO) and other civil society organizations (CSO) that were trained to provide assistance and support to trafficked children. This network will be strengthened in the next phase of the project through technical assistance, provided to the Government of Ghana, to enhance the national institutional framework that was established by the government in the past year. This framework governs all policies, procedures and legislative instruments designed to assist, protect and support children victims of trafficking. Ultimately, the framework will help to ensure that children who are rescued under the project will continue to be assisted beyond its completion, through continued cooperation between national and local authorities.

### **Project Objectives:**

1. To rescue, rehabilitate, return and reintegrate 25 children victims of trafficking from fishing communities along Lake Volta in District A<sup>29</sup> of the Volta Region over the next year, and provide micro-credit assistance to their parents and guardians and the fishermen who release them.
2. To continue to provide rehabilitation and reintegration assistance to the 25 children rescued in the last phase of the project, as well as to monitor micro-credit assistance given to their parents and guardians.
3. To build the capacity of government agencies, NGOs, other CSOs and chiefs to raise awareness of children's rights and the Ghana Human Trafficking Act in major sending communities through the use of two IOM Counter-Trafficking Modules.

### **Expected Results:**

With regard to the first objective, it is expected that 25 trafficked children will have been rescued from fishing communities along Lake Volta at Yeji, rehabilitated at a shelter for three months, returned to their parents or guardians and reintegrated into their communities of origin. The parents and guardians of these trafficked children will have received their micro-credit assistance in the form of community revolving loans and skills, business and credit management training and will be acting responsibly in looking after their children's welfare. The fishermen will not have recruited additional trafficked children for fishing after having released these children. The intended impact will be the enhancement of the 25 children's moral, social, educational and psychological development as a result of having been removed from exploitative conditions and being given an opportunity to grow in a healthy environment.

The expected results pertaining to the second objective would be almost the same as those related to the first objective. All 25 trafficked children who had been rescued during previous phase of the project would continue to receive comprehensive rehabilitation and reintegration assistance. By the same token, their parents and guardians would continue to receive skills and business training provided that

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29. The District name has been removed and assigned a letter for privacy and security reasons

they adhere to the loan repayment schedule and fulfil their responsibilities toward their children. The main differences lie in the fact that these children would not be rescued in this phase and the fishermen who had released them over the past few years would not receive any additional micro-credit assistance, but would continue to be monitored to ensure that they are not recruiting additional trafficked children. Although the expected results for the second and third objectives are quite similar, the intended impact would be much different. In the case of the third objective, the impact would be seen if the majority of the 25 children manage to adjust to their new environment, are still in school, and are making progress in recovering from their trauma. Parents and guardians of these children will be able to cater for the needs of their children and will be in the process of becoming self-sufficient.

Concerning the third objective, some of the copies of the Human Trafficking Act, as well as posters and brochures that were printed in two Ghanaian languages in the previous phase, will be distributed in 20 major sending communities. Ultimately, officials trained in the last phase will have sensitized 10 major sending communities in each of the two regions on children's rights and the Human Trafficking Act on the basis of what they had learned at the training workshops. The intended impact should be a reduction in the incidence of child trafficking in 20 of the major sending communities of the Central and Volta Regions.

### **Performance Indicators:**

#### **Objective 1: Return and Reintegration Assistance for New Children/Micro-Credit Assistance for Parents/Guardians and Fishermen**

- 25 trafficked children are removed from exploitative labour conditions, are no longer fishing and have been placed in a protective environment.
- Children are becoming more assertive and confident.
- Parents and guardians exhibit greater awareness and understanding of their responsibilities toward their children.
- Fishermen are spending some of their time engaging in alternative livelihoods and making a profit.

#### **Objective 2: Return and Reintegration Assistance for Old Children/Skills and Business Training for Old Parents/Guardians**

- An increase in the number of children who have recovered from physical ailments.
- The rate of attendance among children enrolled in schools and improvement in their academic performance.

- The majority of parents and guardians are providing for their children's basic needs.
- Parents and guardians are repaying their loans on time and have accumulated some savings in their bank accounts.

### **Objective 3: Capacity-Building/Information Campaign**

- Level of awareness and understanding of children's rights and the Human Trafficking Act is raised among parents and guardians in 20 major sending communities.
- Fewer children have been sent away from the 20 targeted major sending communities.

### **Actual Results as Tracked During Project Implementation:**

- Community sensitization programmes on the ill-effects of trafficking, children's rights and the Ghana Human Trafficking Act in sending and receiving communities have taken place.
- Monitored children and parents in project communities to assess their social and welfare needs.
- Conducted assessments and counselled children.
- Rescued trafficked children from past years were provided with reintegration assistance.
- Identified and registered additional trafficked children on fishing islands in District A for possible rescue early in 2008.
- 25 children were rescued in January 2008 from District A.
- Began the process of providing comprehensive rehabilitation assistance to 25 newly-rescued children.
- 89 rescued children from past years have been provided with educational and medical assistance.
- A total of 230 persons have benefited from community sensitization programmes, organized to educate communities in the sending areas on the Ghana Children's Act and the Ghana Human Trafficking Act.
- A total of 106 children and their parents have been monitored in project communities to assess their economic, social and educational needs and to provide them with the necessary assistance.
- 96 children have been assessed and 58 have been given psychosocial counselling.
- 224 additional trafficked children in District A have been identified and registered for possible rescue in 2008.

## ANNEX B

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### PERSONAL DATA <sup>30</sup>

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When handling personal data, data controllers should always be aware of the sophisticated methods that can be used to identify data subjects. The degree of sensitivity applied to personal data depends on the nature of the project and the circumstances surrounding data collection and data processing. This includes inter alia, the country situation, target population group or individual data subject, social and cultural attitudes, and the potential physical harm and discrimination that could result from authorized or unauthorized disclosure. Personal data and material circumstances that can be used to threaten the life of victims of trafficking, their families, friends or anyone involved in any counter-trafficking project, should be treated as highly sensitive.

Personal data includes:

- ✓ **Biographical data** such as name, date of birth, marital status, address or last place of residence, employment, contact details, age, language, sex, gender, sexual orientation, race, ethnic or social origin, nationality, religion, culture, political opinions or other beliefs, membership of a particular group, physical or mental disability and health status.
- ✓ **Biometric and genetic data** such as fingerprints, iris scanning, hand patterns, facial image, voice recognition and DNA samples.
- ✓ **Background data** such as family and household history, relationships with relatives, community members and close associates.
- ✓ **Material circumstances** such as experience of human rights violations and transit details, including route taken, employment history, work address, and names and contact details of staff or agents that conduct interviews and collect personal data.
- ✓ **Images and recordings** such as pictures or photographs, television images, videos, voice recordings, medical X-rays and ultrasound.

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30. Adapted from the the draft version of IOM's *Annotated Data Protection Principles*, 2008.

- ✓ **Corroborating materials** such as medical reports, psychological reports, hotline reports, police or other official and unofficial reports.
- ✓ **Personal documents** such as health records, financial records, bank details and criminal records or activities.
- ✓ **Verification documents** such as originals or copies of passports, identity cards, social security cards, birth certificates, temporary permits, driver's license, visas, marriage certificates, school diplomas, medical certificates and employment contracts or recruitment offers.

This list is not exhaustive, it merely illustrates the types of personal data collected and processed in the context of project activities.



