

**External Review of the  
Southern African Counter-Trafficking Assistance Programme (SACTAP)  
Phase I (2004-05)**

**and**

**Appraisal of SACTAP Phase II Proposal (2006-2008)**

**Volume 1 -- Main report**

**Alex Duncan  
Tove Skarstein  
Denise du Toit**

**February 2006**



### **Acknowledgements and disclaimer**

The review team would like to express its thanks to Kirsti Methi, Advisor at the Norwegian Embassy, Pretoria, for her guidance and support; to IOM staff in South Africa, Mozambique and Zimbabwe for their active and efficient logistical assistance; and to the many people interviewed who were generous with their time.

This report is the responsibility of the team members only, and should not be taken as reflecting the views of the Norwegian government, of any government in southern Africa, or of the IOM.

## Table of contents

|   | <b>Page</b> |
|---|-------------|
| <b>Summary</b>                                | <b>2</b>    |
| <b>1 Introduction</b>                         | <b>6</b>    |
| <b>PART A – REVIEW OF SACTAP I</b>            |             |
| <b>2 Effectiveness and results</b>            | <b>7</b>    |
| <b>3 SACTAP regional dimensions</b>           | <b>13</b>   |
| <b>4 Management of the programme</b>          | <b>14</b>   |
| <b>PART B – APPRAISAL OF SACTAP II</b>        |             |
| <b>5 Context and overall issues</b>           | <b>16</b>   |
| <b>6 Programme design</b>                     | <b>18</b>   |
| <b>7 Conclusions and recommendations</b>      | <b>22</b>   |
| <br><b>Annexes (see Volume 2.)</b>            |             |
| <b>1. Review team’s terms of reference</b>    |             |
| <b>2. Structured questions for interviews</b> |             |
| <b>3. SACTAP I programme document</b>         |             |
| <b>4. SACTAP II proposal</b>                  |             |
| <b>5. People met by review team</b>           |             |

## SUMMARY

The objectives of this review, which was commissioned by the Norwegian Embassy in Pretoria, were to provide an independent assessment of the first phase of the Southern African Counter-Trafficking Assistance Programme (SACTAP I), and to appraise the proposal for a possible second phase.

### PART A – REVIEW OF SACTAP I

SACTAP I was a two-year programme addressing the problem of trafficking in women and children in Southern Africa.

**Effectiveness and results.** Overall we are impressed by the achievements of SACTAP I, especially taking into account the newness of the issue in the region. Without SACTAP, there would by 2006 have been less knowledge of the issue of trafficking in persons (TIP), less government and law enforcement action, and a weaker base for action against trafficking in the future.

SACTAP has had a significant impact in: getting the TIP issue on the agenda of public policy; getting the Palermo Protocol ratified in some countries; and giving momentum to the legislative process in some countries.

Specifically, the activities of SACTAP have: improved the extent of, and availability of, information on TIP; raised awareness among the general public and stakeholders; provided victim assistance and created a system for sustaining it; and provided extensive high-quality training, and embedded this in key organisations, especially those involved in law enforcement.

All major activity areas of the programme (research and strategy, support for legislation, awareness-raising, capacity-building, and victim support) have shown results. There are mutually supporting links between these. All were needed, and dropping any one would have weakened the overall programme.

One concern relates to the stated objective of the Phase I programme to reduce the prevalence of TIP. There is no reason to believe that SACTAP achieved this. However, this objective was never realistic. As a pilot phase, which is how SACTAP should have been seen from the start, the programme was highly effective.

The main reasons for the creditable performance of the programme were the strength of the SACTAP team, with high levels of commitment and professionalism, and aspects of the approach adopted (the partnerships, sensitivity to clients, working at several levels of government, and the sequence of activities that built the credibility of the SACTAP team).

**Sustainability.** The prospects for longer-term sustainability of results so far achieved under SACTAP are mixed: politically, a reasonable start has been made in building support for anti-TIP activities, especially in South Africa, but buy-in is still uneven; institutionally, a good deal has been done to build partnerships and coalitions around TIP; financially, there is some prospect that some activities in South Africa will be embedded in government budgets, but this will take time. Outside

South Africa, the prospects of effective anti-TIP programmes over time will depend on continuing aid funding, creating dependency dilemmas for development agencies.

**Regional dimensions.** SACTAP I has had a limited regional impact outside of South Africa, but has laid a base for future expansion and deepening of anti-TIP activities. This is an acceptable result in a pilot programme.

SACTAP was designed to establish a base of activities and capacity in South Africa, with outreach to other countries of the region. This is logical, for two reasons: other countries look to SA for leadership, so lessons learned there will be influential elsewhere; and South Africa is the main destination country for trafficked persons within and towards the region. The issue of TIP is therefore more likely to gain political attention in South Africa. However, this approach made SACTAP in its first phase in effect largely a South African programme.

**Implementation.** Progress at the regional level is hampered by the lack of a well-established regional institutional and organisational framework. There has been little engagement between IOM and SADC, the main entity for transnational governmental actions, which has undertaken a limited amount of work on TIP, in partnership with UNODC. IOM has engaged with regional entities, notably SARPCCO and Interpol, and has made active use of its Migration Dialogue for Southern Africa (MIDSA) as a mechanism for putting TIP issues on the agenda.

**Management of the programme.** SACTAP has been well managed, with strong leadership. A team was recruited and trained combining professionalism, commitment and good inter-personal skills. The programme has delivered good value for money. Services were delivered quickly, flexibly and at the quality required. The infrastructure of offices set up was at the right level.

**Partnerships and coalitions.** An impressive range of partnerships has been established with law enforcement agencies, law commissions, and NGOs. Partnerships have been based on IOM's credibility, its record of delivering, and the quality of individual staff. Partnerships were not, however, developed with research institutions and with the private sector (other than, in the latter case, with newspapers and some engagement with trucking companies).

**Donor reporting and follow-up.** Reporting to the Embassy of Norway has been on time, and of acceptable quality and coverage. In a possible second phase, as far as is practicable more attention to reporting quantitatively on results is desirable.

## **PART B – APPRAISAL OF SACTAP II**

**Context and overall issues.** In several ways, the context for anti-TIP work is changing: there is greater awareness of TIP, including among governments and law enforcement agencies; the region has become a destination for extra-regional trafficking as globalisation, open borders and new technology have allowed international crime syndicates to strengthen their position in southern Africa; a number of countries in the region have ratified the Palermo protocol, and are preparing or discussing anti-trafficking legislation; and IOM has established capacities and credibility.

**Aims and approach.** The aims of SACTAP II as set out in the proposal are appropriate, including in having a stronger regional focus. In terms of the approach proposed, SACTAP II should be more

explicit in: developing a long-term view, especially of institutional development; seeking to achieve maximum financial, institutional, and political leverage; playing a catalytic role; and developing a clear exit strategy for external funders. There is a need to recognise that SACTAP II will almost certainly run into greater institutional problems than did Phase I. We recommend that IOM should more explicitly define a coherent regional anti-TIP strategy.

**Ownership, partners and engagement.** As IOM recognizes, building real ownership among government and NGO bodies is crucial for the sustainability of the project. To achieve this, there should now be more emphasis at highest levels, including political leadership and top officials.

**Geographical coverage.** The particular role of South Africa as a base for anti-TIP actions is correctly recognised and built in to the design of the programme. Coverage of other countries will depend largely on the availability of resources. Given the risk of overstretch, as far as the use of any Norwegian funding for a possible Phase II is concerned, priority (but not exclusive priority) should be given to South Africa and its immediate neighbours already in the core programme.

**Programme design.** Overall the design as proposed is sound. The appraisal team makes a number of specific comments on activity areas, including that:

- Research is rightly a central part of the proposed approach. More emphasis should, however, be given to developing research partnerships, and to setting out a strategy for research.
- In respect of legislation, IOM should make full use of the window of opportunity which may be created when the South African parliament examines the new anti-trafficking bill. There needs to be more active cooperation between IOM and UNODC, and the assistance of the Norwegian government should be sought if needed to ensure that this occurs.
- Activities in the information dissemination component need to continue and expand. In addition, the network of local civil society organisations needs to be extended to increase exposure to human trafficking beyond radio, TV, posters and stickers.
- In respect of capacity-building, the approach successfully used during Phase I will be further developed. Two main directions of change in capacity-building need to be emphasized, however: first, a broader approach to capacity-building will be needed, as increasingly SACTAP will be engaging with partners in countries where severe systemic constraints to the capacity of organizations exist that will not be adequately addressed by training alone; second, the focus of the training provided will need to broaden to include higher levels, notably ministers, but also Parliamentarians, high-ranking civil servants and managers.

More emphasis is needed on monitoring and evaluating the impact of training.

**Helpline and victim assistance.** The helpline and victim assistance will remain core activities under the proposed SACTAP II. The partnerships with the NGOs providing shelters should be strengthened through more training of the staff. Seeking partnerships with shelter providers on a basis other than IOM funding, as well as transfer of knowledge and capacity building, will have to be central elements of an exit strategy. If new anti-trafficking legislation is introduced during the period of SACTAP II, legal counselling under the victim assistance programme should be stepped up.

**Implementation.** The Phase II proposal provides for a sound and credible use of partnerships for implementation, based in good measure on lessons learned in Phase I. These partnerships will need to be intensified as part of an exit strategy for the donors. Establishing sound working relationships with the SADC Secretariat, and possibly the African Union, is highly desirable.

**Steering Group.** In the event Norwegian funding is provided for a Phase II, IOM should make a recommendation to the Embassy on the pros and cons of establishing a Steering Group for the programme.

**Evaluation.** An independent agency should be commissioned to evaluate the impact of the programme; this should begin in year 1 so that baseline data can be established.

**Time-scale.** Three years, as proposed for Phase II, is logical.

**Resource and financial issues.** The budget of US \$8.2 mn, as proposed, is reasonable. In support of its proposal to the Norwegian Embassy for funding, IOM should indicate what the wider prospects for securing funding from other sources are. There is a need for high-level lobbying to get the support of other donors in Pretoria. It may be useful for coordination purposes to set up a group of donors that support the programme.

**Sustainability.** The issues of sustainability will be much the same as were assessed for Phase I (see above), but will be more difficult as the programme extends into a wider range of countries.

**Risk analysis.** There is a need for a more explicit risk analysis. Two initial risks are that: IOM may be unable to raise sufficient funds to implement the programme at a critical minimum level; and even if funds are secured, there may be a period starting immediately during which funds are not available, and parts of the IOM team are dispersed, with a consequent loss of capacity.

### **Conclusions and recommendations**

The team's conclusions in relation to the proposal for a possible Phase II are that: SACTAP II is viable and justifiable; the stronger regional focus, and the activities proposed, are warranted; lessons have been learned from SACTAP I; the programme infrastructure and team provide a good starting point; and IOM has demonstrated that it is a credible agency for this task.

The team's principal recommendation is that the Norwegian government should provide support to SACTAP II.

Our secondary recommendations are that: the Norwegian Embassy should act as rapidly as possible to indicate to IOM what the prospects are for securing funding from the Norwegian government, and if appropriate, might consider the use of bridging finance to minimise the risk of damaging disruptions; and if wider considerations permit, the Norwegian government should significantly increase its financial contribution as compared with that provided for Phase I.

Given Norway's credibility in this area, the embassy should consider playing an active role in getting more donors on board for the programme. The Embassy should also promote closer practical coordination between the SADC Secretariat, UNODC, and IOM.

.....

## 1. Introduction

The objectives of this review<sup>1</sup>, which was commissioned by the Norwegian Embassy in Pretoria, were two-fold: first, to provide an independent assessment of the first phase of the Southern African Counter-Trafficking Programme (SACTAP I); and second, to appraise the proposal for a possible second phase.

The TORs (see Annex 1) called for the review of Phase I to:

- Assess the effectiveness and results of SACTAP in relation to its stated purposes
- Assess the management of the programme
- Evaluate SACTAP's regional design and the extent to which the programme functioned coherently in relation to its stated objectives
- Assess the full scope of SACTAP activities in Southern Africa, ranging from logistical operations in the field to participation and interventions at the policy-making level.

The appraisal of Phase II was intended to assess the relevance, feasibility, potential risks and sustainability of the proposed programme, to determine whether the information contained in the proposal document was sufficient, to suggest possible improvements to programme design, and to make recommendations on possible future support by Norway to the programme.

This report is in two parts: Part A covering Phase I (pages 7 to 15), and Part B covering Phase II (pages 16 to 23).

The methods adopted by the review team were largely determined by the terms of reference given to the team and the resources available (Annex 2 indicates the types of questions the team sought to answer). Some 70 people were interviewed, in Pretoria, Cape Town, Johannesburg, Maputo and Harare in the period of 26 January to 6 February, including from the Norwegian Embassy, IOM staff, and a wide range of stakeholders in government and non-governmental agencies. A telephone conversation was held with the SADC Secretariat. An inception report was presented to the Norwegian Embassy in Pretoria on 1<sup>st</sup> February.

---

<sup>1</sup> The review was undertaken between 26<sup>th</sup> January and 15<sup>th</sup> February 2006 by an international team consisting of: Alex Duncan, team leader, the Policy Practice UK; Tove Skarstein, Coordinator for human trafficking issues in the Ministry of Foreign Affairs, Oslo; and Denise du Toit, industrial sociologist South Africa, nominated by IOM Pretoria.



## **PART A – REVIEW OF SACTAP I**

SACTAP I was a two-year programme addressing the problem of trafficking in women and children in Southern Africa. The programme's main objective, purpose and intended results are set out in Annex 3, sections 3, 4 and 5.

### **2. Effectiveness and results**

#### **a. Overall conclusions**

Overall we are impressed by the achievements of SACTAP I, especially taking into account the newness of the issue in the region, and the fact that little prior work, other than some research, had been done. Without SACTAP, there would by 2006 have been less knowledge of the issue of trafficking in persons (TIP), less government and law enforcement action, and a weaker base for wider action against trafficking in the future.

SACTAP has had a significant impact in:

- Getting the TIP issue on the agenda of public policy
- Getting the Palermo Protocol ratified in some countries, and
- Giving momentum to the legislative process in some countries

Specifically, the particular activities of SACTAP have:

- Improved the extent of, and availability of, information on TIP
- Raised awareness among the general public and stakeholders
- Provided victim assistance and created a system for sustaining it
- Provided extensive high-quality training, and embedded this in key organisations, especially those involved in law enforcement

All major activity areas of the programme have shown results.

Other overall conclusions and points arising are:

- By implementing SACTAP the International Organisation for Migration (IOM), has established a high degree of credibility for its work on TIP in southern Africa, especially South Africa.
- The programme was much larger in South Africa than in other Southern African countries. Various activities, notably training, were undertaken elsewhere, but these were sporadic, and in some cases have only recently begun.
- The first year was largely used for setting up programme infrastructure. Country offices outside South Africa were established only in year 2. More widely, the regional programme remains at a very early stage.

One concern relates to the stated objective of the Phase I programme to reduce the prevalence of TIP. There is no reason to believe that SACTAP achieved this. However, this objective was never realistic. Given the newness of the issue, and that TIP is a global phenomenon on the increase, SACTAP I should have been seen from the start as a pilot phase, and in these terms it was very

effective. Recognizing this, both IOM and the Norwegian Embassy now refer to SACTAP I as a pilot phase, but the programme's aim has never been formally restated.

The main reasons for the creditable performance of the programme were:

- The strength of the SACTAP team, with high levels of commitment and professionalism
- Elements of the approach that was adopted, notably:
  - A wide range of partnerships established, increasingly at high level;
  - Sensitivity to the needs of the programme's clients and partners, whether victims, government agencies, or the shelter providers, and the fact that programme staff were professional, flexible and responsive in meeting the demands placed on them;
  - Working at all levels, from individual victims and street level investigations, to middle and high levels of government;
  - The sequence of activities, which included:
    - getting the major 2003 research report out; and
    - starting at the bottom and working up, notably in engaging with government agencies, which initially had little or no knowledge of human trafficking.

There are evident mutually supporting links between the different types of SACTAP activities (research and strategy, support for legislation, awareness-raising, capacity-building, and victim support). All were needed. Dropping any one activity area would have weakened the overall programme.

## **b. Activity area: prevention**

### **i. Research and strategy definition**

IOM has collected a unique body of information on TIP in southern Africa. Much of this preceded SACTAP, but as part of the programme sustained attention was directed to deepening and widening knowledge on TIP. Methods used were innovative, and required initiative and courage on the part of individual staff members.

While knowledge has improved, data on TIP are still very uneven in terms of coverage and quality, and entirely lacking in important areas. A major problem is that while TIP (using the UN Trafficking Protocol definition) undoubtedly does exist in southern Africa, there is at present very little basis for determining its magnitude, and whether it is increasing or decreasing. Information is particularly weak in countries outside South Africa.

The quality of the information obtained under SACTAP appears good: officials of the Crime Analysis Division of the Directorate of Special Operations (the Scorpions) of the National Prosecuting Authority (with which IOM has a formal information exchange agreement) told the review team that they independently validate information received, and find it to be sound, and of considerable value.

Under SACTAP considerable efforts are made to disseminate the findings of the research, not least through the IOM's 'EYE on human trafficking', which is disseminated electronically and sent to 30,000 police officers in South Africa, and through media briefings.

While the gaps in knowledge are very large and need to be addressed, the research undertaken to date is sufficient as a basis for better-informed anti-TIP interventions in future.

## **ii. Legislation**

In all countries of the region the lack of specific legislation criminalizing trafficking in human beings is a main obstacle preventing police and prosecutors from investigating charges and successfully bringing cases to court. TIP is perceived as “low risk-high profit” business throughout the whole region. As for the victims, there are few incentives to co-operate with the police.

National legislation on trafficking is a minimum requirement in countries ratifying the Palermo Protocol, but no countries in the region yet have it in place. A number of countries are, however, using a variety of criminal and immigration laws to prosecute the perpetrators, but the success rate of this approach is very low, not least because the penalties inflicted are insufficiently severe to have any preventive effect.

New anti –trafficking legislation is, however, under way or under discussion in several countries. South Africa has gone furthest in the drafting process (with draft legislation expected this year), and the neighbouring countries will look to South Africa’s legislation as a model. This will eventually help to ensure harmonised legislation and a common approach to TIP in the whole region.

Relevant stakeholders have all confirmed that IOM has played a crucial role in getting the Palermo protocol ratified and in assisting the drafting of anti-trafficking legislation. IOM has contributed with substantial inputs to the drafting process in South Africa, and has also in different ways provided useful technical support to legal bodies in several neighbouring countries.

In sum, IOM has had significant impact in getting the issue of trafficking and the need for comprehensive anti-trafficking legislation on the agenda of the law commissions and the national prosecution authorities. IOM has been instrumental in getting the Palermo protocol ratified in five countries in the region. Through written contributions IOM has had a positive influence on the content in the draft proposal for a comprehensive anti–trafficking bill, which is currently under examination in the South Africa Law Reform Commission.

## **c. Activity area: information dissemination**

At the start of the programme, public awareness of TIP was extremely low. Interviews with all stakeholders confirm that while public awareness is still uneven, it has now increased significantly among the general public, especially in South Africa. It is at much higher levels among key stakeholder groups with which SACTAP engages, though even here is still patchy.

Our view is that the programme has played the major role in bringing about this change, and that it has made a successful start with communication media regarding human trafficking. Impact can be discerned both at lower levels and higher up (e.g. by virtue of IOM’s presence on the Inter-sectoral Task Team on Human Trafficking) in raising public awareness through the application of the media.

While we can conclude with a degree of assurance that the programme's work through the media has had an impact overall, this cannot be quantified. There was no initial baseline measurement of general public awareness, including outside South Africa, against which to monitor change. Further, the lack of measurement means that it is difficult to draw more focussed conclusions about the cost effectiveness of different media instruments.

It is probably a fair conclusion that the media approach in Phase I was relatively unfocussed. This is justifiable given the initial starting point of SACTAP in which almost nothing was known about what would be effective in southern Africa. Future activities would benefit from more focus, and more measurement of the effectiveness of different communication media, perhaps utilizing market research institutions specialising in such activities.

In relation to specific media components, some observations may be made.

- The posters and stickers carried high-impact messages, including the helpline numbers, and were widely placed in strategic public places, and in offices. These were translated in various languages that could be understood by the local population, and are of good visual quality. As with the other media, it is difficult to determine specifically whether the cost of the posters in particular was worthwhile, if measured against effectiveness and impact.
- The South African TV programmes "Special Assignment" and "Isidingo – the need" resulted in over 400 telephone calls to the IOM helpline, which demonstrates evidence of effectiveness, but is a once-off exposure that needs to be built on. Television in South Africa is beyond doubt potentially a highly effective medium for the TIP message.
- Radio as a communication medium proved especially effective in South Africa for rural populations, as well as in Zimbabwe and Mozambique. Some evidence for the latter is reflected by calls to the Mozambican office, and by a report on TIP broadcasts on FM radio in Zimbabwe.
- The many media briefings and appearances undertaken by IOM staff appear to have been especially effective in drawing attention to the issue among stakeholders.

#### **d. Activity area: institutional capacity-building**

Institutional capacity building has mainly taken the form of training. With some organisations, this is sufficient to strengthen their capacity; but many institutions are subject to wider constraints that call for actions beyond training, such as higher up political liaison and awareness raising – and this will become more important in countries beyond South Africa. Even in South Africa, however, staff turnover has reduced the effectiveness of training, for instance among border police and immigration officers.

As with communication media, in relation to training the IOM started the programme at lower levels and worked their way upward, starting for instance with officers at border posts. In applying this approach, they managed to achieve credibility at the top levels, and are now also training senior officials, e.g. in the South African Police Service (for which a three year training curriculum already has been developed and approved), the Directorate of Special Operations and other significant stakeholders, including influential NGOs both at community and national level. The training is generally viewed as being highly effective, as indicated by the fact that all stakeholders, whether in South Africa, Mozambique and Zimbabwe, indicated that they wanted the training programme to be continued and extended.

The IOM developed the training materials used in workshops, drawing from international best practices, and customised the material for South Africa. They applied sound educational methodologies and training media in the sessions, including video and presentations, question and answer techniques, and demonstration of experience in the field. The training was exceptionally well done from a teaching point of view, using the credibility IOM has built up on the basis of its international and national expertise, information gathered from the streets, and a staff member with former policing experience.

While there is sufficient evidence to conclude that the training has had a substantial impact, there is a lack of knowledge and analysis of cost-effectiveness. Additionally, it would be beneficial to measure the impact of training in terms of, for example, the number of convictions, and cases prosecuted and investigated, as well as awareness levels among trainees. It is also desirable to know more about the wider factors, such as staff turnover, corruption, etc., that may limit the impact of staff training in TIP.

#### **e. Activity area: rehabilitation – victim assistance**

##### **i. Overall assessment**

The countries in the region have no public services specifically designed to assist victims of trafficking. IOM is the only organisation with the knowledge and the capacity to provide comprehensive assistance and support to victims, adults as well as children.

Within the region South Africa is the main trafficking destination country and has the largest number of identified victims. Approximately 100 victims have been assisted under SACTAP I, some 25% of whom were under the age of 18. The largest foreign group was Thai nationals (approximately 50%), almost all of whom have chosen to return to their home country. Up until now only 10% of the victims have stayed in South Africa.

IOM intervention in this area has had a significant impact on providing quality support and assistance to victims, tailoring it to individual needs. For many, it has probably been the only way to escape the traffickers. Having a structured referral mechanism has also reduced the number of victims who just were summarily deported as illegal migrants.

##### **ii. Helpline**

A toll free 24-hour helpline has been established in South Africa, in cooperation with a partner NGO. Helpline counsellors (mostly law students) have been trained to respond to calls. Posters with the number of the line have been widely distributed. Only 10% of the calls are, however, trafficking-related, and there appears to be no clear link between a broad dissemination of posters and the number of trafficking-related calls. Only South Africa has a help line.

The helpline number was also displayed at the end of every episode of the most popular television soap opera in October 2004, which led to an immediate increase in the number of calls, confirming that television seems to be effective in leading people to call the helpline. Calls to the line have also prompted a closer cooperation between IOM and law enforcement agencies, and even led to raids.

In summary, the helpline is cost-effective, and the running costs are low. It is an essential part of a victims' assistance programme. The partner NGO expressed satisfaction with the arrangement.

### **iii. Shelters**

Police, social workers and IOM staff refer victims to NGO shelters for victims of abuse. IOM has signed formal agreements with twelve shelters in South Africa and one in Zimbabwe, and the first shelter for victims of trafficking in Mozambique will be opened in the near future. Upgrading of security arrangements in three shelters in South Africa allows for accommodation of victims who are at risk, especially from organised crime.

The strategy using the existing shelter infrastructure, which is quite well developed in South Africa, though less so elsewhere, is sound. Forging partnership with NGOs has laid the basis for an informed NGO referral and support network on trafficking in southern Africa. The inter-personal skills and expertise of the IOM staff are much appreciated by the partner NGOs. By working with IOM, the NGO community has been sensitised to the issue of trafficking. The arrangements do, however, rely on continued funding under SACTAP.

IOM offers assistance to voluntary return and reintegration in the country of origin. The IOM office in the return country provides follow-up when needed. An obvious advantage of IOM is the world-wide presence of offices, which enables IOM to undertake assisted returns and provide reintegration packages in the home country.

### **f. Sustainability**

The prospects for longer-term sustainability of results so far achieved under SACTAP are mixed:

- In political terms a reasonable start has been made in building support for anti-TIP activities, especially in South Africa, but buy-in is still uneven, both within South Africa, and between the different countries, and there is a long way still to go. The listing by the US State Department in its 2005 TIP Report of South Africa as a Tier 2 Watch List country has caused politicians in South Africa to become aware of the implications and focus on the issue.
- In institutional terms, a good deal has been done to build partnerships and coalitions around TIP, at all levels, and for the different activity areas under the programme. However, most of these depend on IOM funding. Encouragingly, though, TIP awareness and activities are becoming internalised within some organisations (e.g. in South Africa the National Prosecuting Authority, the police training division, and some NGOs, and in Zimbabwe the Victim-Friendly Unit of the police).
- In terms of financial sustainability, there is some prospect that some activities in South Africa will be embedded in budgets (e.g. training for the police, and in the Department of Home Affairs for training immigration staff), but this will take time. In several countries, legislation will improve funding prospects by requiring governments to fund certain TIP activities. In general, an exit strategy for donors from support for anti-TIP work is more realistic in South Africa than elsewhere because in the latter there is much less if any prospect of sustainable funding from public sources. The prospects of effective anti-TIP programmes in such cases will depend on continuing aid funding, creating dependency dilemmas for aid agencies.

### **3. SACTAP regional dimensions**

#### **a. Overall impact**

SACTAP I has had a limited regional impact outside of South Africa, but has laid a base for future expansion and deepening of anti-TIP activities. This is an acceptable result in what we believe should have been seen from the start as a pilot programme.

#### **b. Objectives**

A regional perspective was built into the overall objective of SACTAP I, and into the aims and coverage of the different activities. The starting point was an almost complete lack of knowledge in the region, of TIP as a whole, and of the institutions and policies in the various countries.

The programme did not have a clearly articulated regional strategy for addressing TIP issues. However, given the starting point, this was not surprising, but needs to be addressed in future.

#### **c. Design**

SACTAP was designed to establish a base of activities and capacity in South Africa, with outreach to other countries of the region. This is logical, for two reasons:

- Other countries look to SA for leadership, so lessons learned there will be influential elsewhere
- South Africa is the main destination country for trafficked persons within the region, and the only destination for people trafficked in from outside the region. The issue of TIP is therefore more likely to gain political attention in South Africa.

However, this approach made SACTAP in its first phase largely a South African programme. Only in year 2 were SACTAP focal points set up (in existing IOM offices) in Zambia and Zimbabwe, and an IOM office, with a SACTAP focal point, in Mozambique.

The programme's aims in Malawi were not achieved, owing largely to lack of follow-up on the part of the government to IOM's approach. It is uncertain whether this results primarily from lack of interest, or weak capacity. In either case the experience underlines the fact that in-country presence is necessary to allow significant progress in anti-trafficking work.

#### **d. Implementation**

Progress at the regional level is hampered by the lack of a well-established regional institutional and organisational framework. There has been little engagement between IOM and SADC, the main entity for transnational governmental actions. SADC, has undertaken a limited amount of work on TIP in partnership with UNODC. Through its Directorate for the Organ on Politics, Defence and Security, it collaborates with UNODC, providing training for legal personnel, and has undertaken two assessments of TIP in the region. As part of a future regional strategy, a stronger working

relationship with SADC, and a clearer definition of functions between IOM and UNODC, will be needed to avoid unnecessary duplication and waste of effort.

For particular elements of SACTAP, IOM has engaged with regional entities, notably SARPCCO and Interpol, with which strong working relationships have been established.

Under SACTAP active use has been made of IOM's Migration Dialogue for Southern Africa (MIDSA) as a mechanism for putting TIP issues on the agenda. This has not yet been used for ministerial level engagement.

#### **4. Management of the programme**

##### **a. Overall**

SACTAP has been well managed. Leadership has been strong, combining vision with effective operation at practical levels. During year 1, a team was recruited and trained which combines professionalism and commitment. Inter-personal skills are good, and have rightly been emphasised as being important if IOM was to be able to establish credibility and a dialogue with stakeholders, including at senior levels.

##### **b. Efficiency**

The programme has been efficiently managed, achieving a good deal with a modest budget (a little under US \$2 million, of which Norway contributed an estimated 57%, the US 42% and South Africa 1%) and small team. It has delivered good value for money. All interviewees, including a range of IOM clients and partners, said IOM was efficient in their dealings. Services were delivered quickly, flexibly and at the quality required.

The infrastructure of offices set up in South Africa (Pretoria, Cape Town and Durban) and in the three other countries (each of which now has a one-person office) was at the right level, using existing IOM facilities as a base. The experience in Malawi suggests that an in-country presence, even of minimal size, is needed if momentum is to be established and sustained.

##### **c. Partnerships and coalitions**

An impressive range of partnerships has been established, including at senior levels, from a standing start, notably with:

- Law enforcement agencies in South Africa and to a lesser extent other countries
- Law commissions responsible for preparing legislation
- NGOs (though these relationships are in several cases based on contracts, implying financial dependency which will need to be addressed).

Partnerships were not, however, developed with:

- Research institutions in South Africa or the region. These would offer real potential for achieving more impact and sustainability in the area of strengthening knowledge about TIP.



- Private companies, other than with newspapers which provided free advertising, and with bus and trucking companies (the latter has yet to yield formal results, however.) This is perhaps an area with further potential.

IOM is also part of the South African Inter-sectoral Task Team on Human Trafficking, led from within the National Prosecuting Authority. In effect this is a coalition, including civil society with a range of state agencies, to promote change in the area of TIP.

Partnerships have been based on IOM credibility, record of delivering, and quality of individual staff.

#### **d. Donor reporting and follow-up**

Reporting to the Embassy of Norway has been on time, and of acceptable quality and coverage.

The general weakness of measurement of the impact of SACTAP is reflected in the content of the reports. However, we regard this as acceptable in a first phase, but it is an area needing attention in a possible second phase.

## **PART B – APPRAISAL OF SACTAP II**

Part B of this report is an appraisal of IOM's proposal for a three-year second phase of the SACTAP programme, for which funding is now being sought from, among others, the Embassy of Norway. The proposal is attached as Annex 4. The objective, purposes and results of the programme are given in sections 3, 4, and 5 of the proposal.

### **5. Context and overall issues**

#### **a. Changing context in region and internationally**

Trafficking in human beings is not a new development in the region. What is new is that the region has become a destination for extra-regional trafficking organised by foreign crime syndicates with links to South African syndicates. Human trafficking is an emotive subject and governments in Southern Africa have been reluctant to recognize its existence within their national borders. Thanks largely to the awareness-raising work of IOM under SACTAP I, it has become a larger concern in the region.

Globalisation, open borders and new technology have allowed international crime syndicates to strengthen their position in southern Africa. Organized crime as a whole is increasing. The networks are becoming more sophisticated and have strong international links, inter alia to Nigerian and East European syndicates and the Chinese Triads. TIP is on the increase, but, as noted above, there are no reliable data that can confirm its exact magnitude.

A number of countries in the region have ratified the Palermo protocol. Most of them are lacking in implementation capacity, and have yet to introduce specific anti-trafficking legislation. However, most countries are in the process of doing so, with South Africa in the lead, and with the support both of IOM and UNODC. It will be many years, however, before all countries of the region will have introduced legislation, though increased international pressure (notably from the USA and UN) may speed up the process.

The new legislation will without doubt lead to a progressive increase in prosecutions. This will need to be matched by greater training of police, prosecutors and judges, as well as putting an adequate victim protection programme in place. Institutional weakness will also become more evident. Corruption of border officials, and in the issuing of IDs, passports and visas, remains prevalent and needs to be addressed.

The low level of practical regional cooperation on TIP noted so far is due to many outside factors such as SADC's limited involvement. Bilateral agreements do not seem to have produced the anticipated results. Under a possible SACTAP II, regional cooperation must be emphasised, using not just SADC but also more specific mechanisms such as the African Prosecutors Association, and SARPCCO / Interpol. Most important is to achieve a regional harmonisation of anti-trafficking legislation and close cooperation regarding casework related to international organised crime. IOM's role should be to facilitate such initiatives and processes, further developing partnerships with national, regional and international entities, notably SADC and UNODC.

IOM has established capacities and credibility which mean that in the years to come it will be uniquely placed to provide comprehensive protection and assistance in the region.

### **b. Aims and approach**

The aims of SACTAP II as set out in the proposal are appropriate, in terms both of the wider context and of the lessons learned in Phase I. We support the stronger regional focus as TIP is a regional issue in southern Africa and must be met by regional counter-measures. We also support the greater realism shown in dropping the explicit aim of reducing the prevalence of TIP, as this depends on many factors well beyond the scope of the programme.

In terms of the approach proposed, SACTAP II should be more explicit in all areas of implementation by seeking:

- To develop a long-term view, especially of institutional development. Although a possible SACTAP II will end in three years, problems of TIP will continue beyond that date;
- To achieve financial, institutional, political leverage; that is, the programme should seek in all it does to find ways of bringing in resources and influence from other stakeholders that share SACTAP objectives;
- To play a catalytic role, through seeking to stimulate wider patterns of change that will become self-sustaining; and
- To develop a clear exit strategy for external funders, so that their withdrawal threatens as little as possible the sustainability of achievements.

There is a need to recognise that SACTAP II will run into greater institutional problems than did Phase I, as it intensifies work in countries with major weaknesses in the public sector, and with less well-established civil society organisations compared to South Africa.

We recommend that IOM should more explicitly define a coherent regional anti-TIP strategy as guiding vision in order to strengthen IOM's role as an active facilitator of change. Such a strategy is essential because, although most substantive implementation of anti-TIP actions takes place within individual countries, TIP is regional and international. Without a regional perspective, anti-TIP actions will ultimately fail; but without effective actions in particular countries, a regional strategy will be hollow. However, as IOM staff correctly point out, ensuring ownership among stakeholders is extremely important; the regional strategy should therefore be primarily used by IOM as an internal guide to ensure SACTAP remains focused on priorities. It should not be actively 'sold' to partners.

### **c. Ownership, partners and engagement**

Building real ownership among government and NGO bodies is crucial for the sustainability of the project. SACTAP II should continue with its present partnerships, and follow the process as designed in the project proposal.

The programme should continue with the approach of working upwards from lower levels. However the credibility established in Phase I means that in a Phase II there should now be more emphasis at highest levels, including both political leadership and top officials.

The possibility of involving private sector partners in anti-TIP work should also be explored.

#### **d. Geographical coverage**

The particular role of South Africa as a base for anti-TIP actions is correctly recognised and built in to the design of the programme. The pace, extent and depth of coverage of other countries in the region will be a matter for judgement of the IOM, and will depend in good measure on the availability of resources, and the conditions attached to those resources.

As far as the use of any possible Norwegian funding in a Phase II is concerned, priority should be given to South Africa and those of its immediate neighbours that are already in the core programme of IOM. This is not to say that all Norwegian funding should be restricted to these countries, but there is risk of geographical over-stretch in the programme, and those implementing it would need to make the case that this risk is recognised and is being carefully managed.

### **6. Programme design**

This section comments on the proposed design for Phase II.

#### **a. Overall**

Overall the design as proposed is sound.

Information on TIP as a whole, and on the policies and institutions of the various countries of the region, is weak and uneven, but is adequate to justify proceeding, given that the programme itself gives priority to strengthening the information base.

#### **b. Selection of programme components and activities**

**Research and information.** Research is rightly a central part of the proposed approach. We suggest that a clearer strategy for research should be set out which takes a longer-term view (beyond the three years of a possible second phase of SACTAP) as to how the understanding of TIP can be strengthened. As part of this strategy, more emphasis should be given to developing partnerships with reputable research institutions in the region. While it is important that IOM staff continue to be involved directly in investigations of TIP, a wider research strategy may well identify dimensions of the topic (for instance the socio-economic conditions that give rise to TIP, or the governance problems that make it more difficult to deal with) that might benefit from a broader involvement of research partners.

**Legislation.** Current activities such as pressing for new legislation and providing technical assistance to legal bodies should be continued under a possible SACTAP II. IOM should make full use of the window of opportunity which may be created when the South African parliament examines the new comprehensive anti-trafficking bill. Contact with and support to regional bodies, such as the African Prosecutors Association and SARPCCO, should also be a priority in the coming phase.

In the area of legislation, there needs to be more active cooperation between IOM and UNODC, and the assistance of the Norwegian government should be sought if needed to ensure that this occurs.

If legislation is introduced in any country during the period of SACTAP II, the new legislation would no doubt be incorporated in all training programmes. Further, the implementation of the legislation should also be built into IOM's monitoring activities.

**Information dissemination.** Activities in the information dissemination component need to continue and expand. SACTAP II should build on the success of SACTAP I and, for example, spread preventative messages and warn of the threat of human trafficking using key media agencies. As far as radio is concerned, the programme is already firmly embedded as a counter-TIP strategy, and needs to drill down with new innovative messages aired on community radio in SADC countries, including in vernacular languages. It also needs to acquire the support of local partners to reach those countries previously not involved in the strategy.

Additionally the network of local civil society organisations needs to be expanded to increase exposure to human trafficking beyond the boundaries of radio, TV, posters and stickers. The SACTAP II strategy on information dissemination is well thought-out, and implementation following the strategy is well described in the document.

**Capacity Building.** As indicated in the proposal, the approach successfully used during Phase I will be further developed. The current model for capacity building in law enforcement agencies provides a good starting point, including the training of immigration and police officials, and stepping up the existing cooperation with the regional Interpol office in Harare.

Two main directions of change in capacity-building need to be emphasized, however:

- First, a broader approach to capacity-building will be needed. Increasingly SACTAP will be engaging with partners in countries in which a wide range of public institutions are extremely weak. Experience with capacity-building programmes suggests that the reasons for this weakness are often not to be found in skill shortages alone, but in severe systemic constraints (e.g. the nature of the incentives affecting organisational behaviour, the political process, the state of public finances, etc.) Under these circumstances, training will not itself, in isolation from wider measures to address the constraints, be sufficient to raise organisational effectiveness. In the different countries, IOM will need to adopt a broad approach to understanding the nature of the constraints, and within the limits of what is practical, to go beyond training to address the wider factors that limit the effectiveness of partner organisations.
- Second, the focus of the training provided will need to broaden to include higher levels, notably ministers, but also Parliamentarians, high-ranking civil servants and managers of organisations, including in the media and civil society in selected primary target countries. As and when legislation is introduced, the training of state prosecutors and judges would become a priority.

IOM has already shown the leverage and sustainability value of (i) influencing the plans of training departments of relevant governmental organisations, (ii) curriculum development, and (iii) the preparation of training materials. These deserve continuing emphasis. The training methodologies

used in SACTAP I that proved to be highly successful would be continued. The “train the trainer” methodology needs, however, to be approached with care, since the credibility of IOM staff has to date been an important ingredient in the success of the training; trainers need to be selected carefully to have the requisite communication and educational skills.

More emphasis is needed on monitoring and evaluating the impact of training, including the identification of wider factors that limit its effectiveness within particular organisations.

**Helplines and victim assistance.** The helpline and victim assistance will remain core activities under the proposed SACTAP II.

The partnerships with the NGOs providing shelters should be strengthened through more training of the staff. For instance, sensitising selected shelter staff in South Africa on Thai culture will contribute to a better understanding of the particularities of that group. Seeking partnerships with shelter providers on a basis other than IOM funding, as well as transfer of knowledge and capacity building, will have to be a central element of an exit strategy. Encouragingly, the draft bill on trafficking in South Africa reportedly includes proposals for government-run and funded shelters for victims of trafficking.

If the funding situation and wider context allow it, helplines and adequate shelter capacity should be established in other southern African countries, based on the experience and lessons learned from South Africa. More helpline publicity on TV could be considered.

If new anti-trafficking legislation is introduced under SACTAP II, legal counselling under the victim assistance program should be stepped up in order to encourage the victim to cooperate with the police investigations and prosecutions of perpetrators, especially the organised criminal networks.

### **c. Implementation**

The Phase II proposal provides for a sound and credible use of partnerships for implementation, based in good measure on lessons learned in Phase I. These will need to be intensified as part of exit strategy for the donors.

However, in the continued absence of anti-TIP legislation in individual countries, SACTAP would not have a single institutional champion within government. Careful coalition-building, in which IOM now has good experience, will therefore continue to be needed. This challenge will be further intensified as the programme becomes more regional, as partnerships will need to be built not just within a growing number of countries, but also with regional entities. Establishing sound working relationships with the SADC Secretariat, and possibly the African Union (which includes human trafficking in its Protocol to the African Charter on Human and Peoples' Rights on the Rights of Women in Africa [Article 5, d]), is highly desirable.

The present SACTAP approach to implementation, which is in part based in seeking individuals who are willing to act as champions for TIP, will have to continue, but this is inevitably unstable as a basis for implementation and for ownership.

**Steering Group.** We have carefully considered the pros and cons of establishing a formal Steering Group for the programme. While there are clear advantages in terms of ownership and continuity,

there are also major practical challenges given the multi-country and regional nature of the proposed Phase II. We suggest that in the event Norwegian funding is provided for a Phase II, IOM should make a recommendation to the Embassy on this matter.

**Evaluation.** The Phase II proposal suggests that the implementing agency, IOM, should also evaluate the programme. We recommend that in addition to internal monitoring by IOM, an independent agency should be commissioned to evaluate the programme, and that this should begin in year 1 so that baseline data can be established. The contract for this work may be issued either by the Norwegian Embassy, or by IOM subject to Embassy approval.

#### **d. Time-scale**

Three years, as proposed for Phase II, is logical. Given the institutional challenges, key steps are unlikely to have been completed within two years.

#### **e. Resource and financial issues**

The budget of US \$8.2 mn, as proposed, is reasonable. The quantity of inputs, in particular staff time which is the major item, is appropriate, and the unit costs and overheads are not excessive, and follow UN and IOM regulations.

IOM is currently seeking to secure the funding from several sources. Obtaining the full US \$3.5 mn for year 1 will undoubtedly be a challenge, and IOM recognises that some prioritising and rescheduling may be needed.

In support of its proposal to the Norwegian Embassy for funding, IOM should indicate what the wider prospects for securing funding from other sources are, and the conditions attached. We understand that a good start has been made, with IOM being given a specified role for training within South Africa (together with a €1.6 mn budget) in the proposed EC-funded anti TIP programme, and that at least one other donor has expressed interest in participating.

There is clearly a need for high-level lobbying to get support of donors in Pretoria, a process in which IOM management and supportive donors could play an important role. It may be useful to set up a group of donors that support the programme, for regular consultation. One function such a group may play is to minimise the multiple reporting task that may face IOM.

#### **f. Sustainability**

The issues of political, institutional and financial sustainability will be much as assessed in Phase I (see section 3(f) above) but, as noted, will be more difficult (at least institutionally and financially) as the programme extends substantive operations into a wider range of countries.

#### **g. Risk analysis**

The review team discussed with IOM staff the need for a more explicit risk analysis which identifies risks by (i) potential impact on the programme, and (ii) probability, and which specifies measures to be taken under the programme to mitigate or manage those risks. IOM is considering preparing such an analysis.

Two initial risks are that:

- IOM is unable to raise sufficient funds to implement the programme at a critical minimum level to achieve impact; and
- Even if funds are secured, there is a period starting immediately during which funds are not available, and parts of the IOM team are dispersed, with a consequent loss of capacity.

## **7. Conclusions and recommendations**

### **a. Conclusions**

The team's conclusions in relation to the proposal for a possible Phase II are that:

- SACTAP II is viable and justifiable along the lines set out in the proposal, and in the budget
- The stronger regional focus, and the activities proposed, are warranted
- The proposal takes into account the lessons learned in SACTAP I, and has made the necessary adjustment to programme aims and design
- It is justifiable, as proposed, to extend the substantive geographical outreach, but what is done in practice will have to depend on financial realities, and take account of the priorities of individual donors.
- The programme infrastructure and team provide a good starting point for implementation. IOM has demonstrated that it is a credible agency for this task.

### **b. Recommendations**

The team's principal recommendation is that the Norwegian government should provide support to SACTAP II.

This recommendation is based on:

- Our review of Phase I
- Our conclusions on the SACTAP II proposal
- The fact that the Norwegian National Action Plan includes measures to assist countries that are seriously affected by TIP
- The fact that the programme is supportive of Norwegian policy to strengthen human rights in southern Africa

Our secondary recommendations are that:

- The Norwegian Embassy should act as rapidly as possible to indicate to IOM what the prospects are for securing funding from the Norwegian government, in order to enable IOM



to manage the challenges of continuity and to minimise the very real risk of loss of valuable staff expertise. If appropriate, the Embassy might consider the use of bridging finance to minimise the risk of costly disruptions.

- If wider considerations permit, the Norwegian government should significantly increase its financial contribution as compared with that provided for Phase I.

This recommendation is based on our view that an expanded Norwegian contribution would:

- Acknowledge that IOM has persuasively made the case for a second phase that is larger and longer than Phase I.
  - Be seen as a significant contribution to strengthening the human rights situation in southern Africa.
  - Reflect the Norwegian government's commitment to contribute to the eradication of TIP worldwide (ref. the Norwegian Government's Action Plan against trafficking in human beings 2005-2008).
  - Significantly raise the prospects that IOM will be able to secure matching funds from other sources sufficient to reach a critical minimum level. This will enhance prospects sufficient of achieving the main objectives of SACTAP II, and represent a means of leveraging the effect of Norway's financial contribution.
- Given Norway's credibility in this area, the embassy should consider playing an active role in getting more donors on board for the wider programme. Inter alia, an approach to the Thai Embassy and embassies from like-minded countries (Nordic countries, Switzerland, the Netherlands, UK and USA) might be considered.
  - The Embassy should also consider promoting closer practical coordination between the SADC Secretariat, UNODC, and IOM.
  - The embassy should indicate to IOM that IOM should take into account the various issues raised by this appraisal of the SACTAP II proposal. However, these are largely issues to be addressed during implementation and do not provide a reason for delaying the start of the programme