



THE IOM COUNTER-TRAFFICKING

THEORY OF CHANGE

2023



The IOM Theory of Change was developed by Professor Cathy Zimmerman of London School of Hygiene and Tropical Medicine, with input from IOM colleagues at the global, regional, and country level, through funding by the IOM Migration Resource Allocation Committee (MIRAC).

The opinions expressed in this publication are those of the authors and do not necessarily reflect the views of the International Organization for Migration (IOM). IOM is committed to the principle that humane and orderly migration benefits migrants and society. As an intergovernmental organization, 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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EXECUTIVE SUMMARY

This document provides guidance to **support the design and implementation of effective counter-trafficking projects** that fit within a cohesive approach to thematic programming across the Organization focusing on what works and what we do best, to achieve greater impact.

Specifically, it identifies **eight intervention models** which, cumulatively, have the greatest potential to generate the change IOM seeks to achieve in fighting human trafficking. These models are:

1. delivery of case-management services;
2. capacity-development for service provision and protection;
3. referral system strengthening;
4. strengthening of private sector responses;
5. promotion of ethical recruitment;
6. capacity-development of justice systems;
7. technical assistance for law and policy development; and
8. research, and data collection and management.

For each of the models, the document maps **what IOM aims to achieve and how**, describing the process from the identification of the problem through descriptions of the outcomes and desired impact. Working with local partners, IOM staff can draw on these as a resource to plan, design and implement projects in their specific context.

The document also provides guidance, including basic measurement options, to **strengthen the evaluation**, replication, and adaptation of IOM counter-trafficking projects. Over time, more systematic and robust project evaluations will help IOM produce well-tested, well-articulated, and scalable models of practice, which will contribute to the global evidence base of what works in response to human trafficking.

GLOSSARY¹

Intervention	A single activity or combination of project components or strategies designed to “intervene” to prevent or resolve a problem among individuals or populations. Interventions aim to produce change and may include, for example, education and training programmes to alter individual knowledge and action, the development of policy or legislation to foster more systemic changes, or the provision of funding and resources to facilitate change. While interventions can be implemented in a single setting, they can also be carried out across multiple settings and use multiple strategies (“complex interventions”); this is often the most effective way to deal with complex social problems such as human trafficking.
Intervention model	An activity or project design that is intended to be “replicable” and/or potentially “scalable” in other settings and/or future projects. Intervention models are generally tested and evaluated with a view to assessing their impact, determining whether they are worth replicating, and finding areas for adaptation to other settings or populations.
Beneficiaries	The individuals, groups, or organizations that benefit from the project.
Impact	The longer-term effects that are often beyond the control of the project or not achievable in the project time frame. The impact is frequently only attainable in the longer term and with the involvement of multiple stakeholders.
Outcome	An intended change in institutional performance, individual or group behaviour or attitudes, or in the political, economic, or social position of the beneficiaries. The project does not have full control over outcomes – it cannot guarantee their achievement – but it can influence them. Outcomes are reasonably expected to occur in the medium term after implementation. They typically refer to the application of newly acquired skills, products, or services.
Output	The intended changes in the skills or abilities of the beneficiaries, or the availability of new products or services as a direct result of project activities. They are results that the project can control and delivery of which it can guarantee within the project’s time frame and resources.

¹ Unless otherwise specified, all definitions are based on the IOM Project Handbook (2011). Access: https://publications.iom.int/system/files/pdf/iom_project_handbook_6feb2012.pdf

Activities	The coordination, technical assistance, training, production, delivery, transportation, and other tasks that are organized and executed under the project. In this document, activities are also referred to as <i>inputs</i> .
Indicators	Qualitative or quantitative factors or variables to measure achievement or to reflect expected changes. <i>Quantitative indicators</i> measure results that are inherently objective or fact-based, often expressed in numerical terms: How many? How often? How much? How long? <i>Qualitative indicators</i> are used to measure results that explore subjective understanding, perceptions, opinions, and quality, and are often aimed at understanding: Why? How? Strong indicators are SMART: specific, measurable, achievable, relevant, and time bound. Data should be disaggregated by key characteristics (e.g., age, sex), wherever relevant.
Problem	The main challenge or opportunity to be addressed by the intervention to meet the needs of the intended beneficiaries. The problem statement describes why an intervention is needed and the areas on which it will focus.
Monitoring	An established practice of internal oversight that provides management with an early indication of progress, or lack thereof, in the achievement of results, in both operational and financial activities.
Evaluation	The systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, coherence, impact, and sustainability. ²

² Glossary of Key Terms in Evaluation and Results Based Management. Sida 2007 in cooperation with OECD/DAC. Access: <https://www.oecd.org/dac/evaluation/dcdndep/39249691.pdf>



INTRODUCTION



Introduction

The year 2020 was an opportune moment to reflect on IOM's counter-trafficking agenda.³ It marked 25 years of IOM counter-trafficking programming and the twentieth anniversary of the Trafficking in Persons Protocol.⁴ It was also the year in which IOM embarked on the implementation of its new Strategic Vision, which, in line with the 2030 Agenda for Sustainable Development and the Global Compact for Safe, Orderly and Regular Migration, confirms the Organization's commitment to strengthen the resilience of migrants and protect them from all forms of abuse and exploitation. At the same time, the COVID-19 crisis and resulting economic downturn have created new human trafficking threats and operational challenges that called on the anti-trafficking community to rethink and adjust its responses and ways of doing things.

This was, therefore, a good time to review IOM's achievements, take stock of the counter-trafficking interventions that have shown the most promise and those that have not, and establish goals and priorities accordingly. Future IOM counter-trafficking programming should focus on what we know works and what we do best, so that we can achieve greater impact.

How will we advance effective counter-trafficking programming?

We know that IOM counter-trafficking projects have achieved results and we have anecdotal evidence of successful practices. What we now need is a more coherent articulation of our objectives and more systematic evidence of effective practices that will help us achieve them.

The guidance provided here proposes practical ways to describe what we are doing and why, and to evaluate and document what works well, so that we can share that evidence internally and with IOM's partners and be able to replicate the successful practices at scale.

Background

IOM's counter-trafficking theory of change is based on the lessons of a quarter century of IOM work in the field of counter-trafficking and current global evidence on counter-trafficking work by other service providers. Specifically, the intervention types have been informed by an analytical review of IOM project evaluations and of a synthesis of four reviews of literature on counter-trafficking interventions.⁵

³ IOM counter-trafficking programming concerns itself with severe forms of exploitation, such as trafficking in persons (as defined in the 2000 Trafficking in Persons Protocol); slavery (as defined in the 1926 Slavery Convention); institutions and practices similar to slavery, such as debt bondage and forced marriage (as defined in the 1956 Supplementary Convention on the Abolition of Slavery, the Slave Trade, and Institutions and Practices Similar to Slavery); and forced labour (as defined in the ILO 1930 Forced Labour Convention). IOM projects may also seek to address "modern slavery", which is not defined in international law but is sometimes used as an umbrella term to cover the legal concepts above.

⁴ Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, supplementing the United Nations Convention against Transnational Organized Crime.

⁵ See *What can we learn from past counter-trafficking programming? Review of IOM and external interventions; Review of IOM project evaluation reports; and Analysis of literature review of anti-trafficking interventions: Summary findings.*

Summary **findings** from these two reviews indicate the following:

1. *What works in prevention?* There is currently little reliable, rigorously produced evidence within IOM or externally about what works to prevent human trafficking. In particular:
 - While public awareness-raising may enhance people's ability to identify "trafficking", there is no robust evidence that it prevents human trafficking, or that this knowledge is sustained over time. Conversely, there is some evidence that community awareness-raising activities can have adverse consequences, such as stigmatizing trafficked persons. Sometimes, the problem may also be displaced to another community.
 - Providing information before migration can improve people's knowledge about migration, socioeconomic inequalities, and their individual rights. However, there is little to no evidence of a link between knowledge and individual behaviour, or between different types of behaviour and trafficking-related prevention outcomes. Evidence shows that even when migrants know their rights, they are unable to enjoy them because of the power imbalance vis-à-vis recruiters, employers, and authorities.
 - Community-development interventions that seek to prevent human trafficking by addressing its so-called "root causes" (such as poverty, discrimination, or gender inequality) are generally too ambitious and too costly to be led by the anti-trafficking sector. To tackle these pervasive challenges generally requires development funding, which is much broader than counter-trafficking investment. Counter-trafficking initiatives are best placed to work with, or be integrated into, current development programming.
2. *What works for survivor care?* There is currently little rigorously produced and reliable evidence of effective care practices that improve the health, safety, and socioeconomic well-being of trafficking survivors. Common aspects of care that are reported to be highly valued are psychosocial support and survivor-centred, trauma-informed care. Findings from social work practices in other disciplines (e.g., child protection, protection of survivors of domestic violence) confirm the value of client-centred care, and of coordinated service delivery using a case-management approach.
3. *Coordination activities.* Supporting coordination between practitioners has been instrumental in strengthening counter-trafficking responses such as policy development (at regional and national level), legislative change and comprehensive service delivery to trafficked persons (e.g., through the establishment of national referral mechanisms). However, a causal pathway between coordination activities and the desired outcomes for trafficked persons and those at risk of exploitation has not yet been identified.
4. *Policy and legislative activities.* IOM support for the development of policy and legislation has been highly appreciated by governments, and it is possible to track tangible progress. IOM is generally well-situated to provide technical assistance within and across both development and humanitarian settings.
5. *Capacity-development.* Capacity-development activities can improve practitioner resources, knowledge, and skills. They are likely to be more influential if aimed at specific professionals (health, social work, legal aid) and

are followed up with further support activities over the long-term as opposed to “one-off” training. They are also more likely to be effective if they target both the performance of individuals (e.g., through training or mentoring) and that of their organization (e.g., strengthening organizational systems and processes). At the same time, there is insufficient follow up on post-training implementation and the effects on the primary beneficiaries (i.e., trafficked persons and those at risk), or examination of linkages between knowledge and the actual application of new behaviours.

6. *Pre-project planning*. Pre-project assessments have been limited and non-systematic. Pre-project planning requires strong local engagement and systematic assessments of needs, context, resources, capacity, costs, and types of evaluation called for.
7. *Knowledge-generation and institutional learning*. IOM has substantial advantages in international data collection but has taken only initial steps in the way of robust intervention research. Learning is not consistent across IOM, and knowledge-sharing practices require significant improvement.

IOM's long global history of counter-trafficking work provides an excellent foundation from which to develop an evidence base to determine what works. The Organization should, therefore, over the next decade, **identify priority areas of intervention** and, for each of them, develop models of practice that are proven to work, ready for replication and adaptation, and scalable.

In parallel, IOM should seek to **strengthen institutional practices** that support high-quality project design, implementation, monitoring, evaluation, and knowledge-sharing.

To build evidence that is strong enough to invest in replication, IOM and its partners will have to invest in **rigorous evaluations** of their counter-trafficking work. Such evaluations should include economic elements and produce evidence of the interventions' effectiveness, cost-effectiveness, sustainability, and ethical and safe conduct. To that end, financial allocations for project evaluations may need to be increased to meet these requirements.

Objectives

The counter-trafficking theory of change is intended as a practical tool to help IOM staff **prioritize, design, and implement projects** that are effective and based on strong evaluation evidence..

Specifically, the document:

- ❖ sets IOM **priority intervention areas**;
- ❖ articulates clear **logical links** between identified problems, activities, outputs, outcomes, and impact for the main target audiences;
- ❖ establishes methods to identify **best practices**, i.e., replicable models of intervention that have proven successful in preventing and responding to human trafficking;
- ❖ recommends appropriate **evaluation approaches** to build knowledge and foster learning from IOM's counter-trafficking interventions;

- ❖ capitalizes on IOM resources to share **lessons learned** from IOM’s counter-trafficking interventions, within IOM and externally; and
- ❖ contributes to the operationalization of the overall IOM **Protection approach**.⁶

The IOM counter-trafficking theory of change is designed to be a part of the **Organization’s Strategic Vision** and [strategic results framework](#) for 2019–2023, as well as contribute to IOM’s clusters of **institutional investment**, particularly strategic communications and policy capacity, data, research, and knowledge management.⁷ It also helps achieve the **Sustainable Development Goals**⁸ and supports the implementation of the **Global Compact for Safe, Orderly and Regular Migration**.⁹

While the theory of change is specific to counter-trafficking, it can be used to **inform broader migrant protection programming**. IOM has learned over the years that counter-trafficking interventions are most successful when carried out within broader migrant protection strategies. Its programmes and projects are not limited to human trafficking and other most severe forms of exploitation (e.g., forced labour and slavery); they aim to promote the rights of migrants and protect them from *all* forms of violence, exploitation, and abuse. The counter-trafficking intervention models presented here are applicable to migrants in need more generally, and not only to those who have been identified as trafficked or at risk of human trafficking.

Structure of the theory of change

The theory of change establishes **general objectives** for IOM counter-trafficking programming and the **most effective ways to meet them** in the form of **eight intervention models** that IOM is well-positioned to implement and which, combined, will help attain the desired impact.

⁶ IOM Protection programming seeks to safeguard the rights of all migrants through interventions encompassing primary research, data collection and analysis, and learning; training and capacity-development; advocacy and communication; convening and dialogue; direct assistance; and thematic guidance

⁷ *Inter alia*, IOM counter-trafficking programming will help achieve: Outcome 1.b (*Threats and vulnerabilities are reduced or mitigated through humanitarian protection*); Outcome 1.c (*The quality of humanitarian assistance and response systems are enhanced*); Outcome 2.b (*Migrants and displacement affected populations irrespective of gender, age, disabilities, and legal status, are protected from violence, exploitation and abuse, and their rights are upheld*); and Objective 4 (*Migration is well-governed at all levels and across sectors*).

⁸ Specifically, SDG Targets 5.2 (Eliminate all forms of violence against all women and girls in public and private spheres, including trafficking and sexual and other types of exploitation); 8.7 (Take immediate and effective measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour, including recruitment and use of child soldiers, and by 2025 end child labour in all its forms); 16.2 (End abuse, exploitation, trafficking and all forms of violence and torture against children); 16.3 (Promote the rule of law at the national and international levels, and ensure equal access to justice for all); and 10.7 (Facilitate orderly, safe, and responsible migration and mobility of people, including through implementation of planned and well-managed migration policies).

⁹ The Global Compact was adopted by the United Nations General Assembly on 19 December 2018. The IOM counter-trafficking programming especially contributes to its Objectives 1 (Collect and utilize accurate and disaggregated data as a basis for evidence-based policies); 6 (Facilitate fair and ethical recruitment and safeguard conditions that ensure decent work); and 10 (Prevent, combat, and eradicate trafficking in persons in the context of international migration)

Each of the models is described in detail below, to help IOM staff design more coherent and effective counter-trafficking projects that fit within and contribute to IOM's overall theory of change, and that can be readily monitored and evaluated using a consistent approach across the Organization.

Guidance on using the theory of change in projects is provided in Section IV below.



THE IOM
COUNTER-TRAFFICKING
THEORY OF CHANGE





I. IOM'S COUNTER-TRAFFICKING theory of change

IOM's counter-trafficking theory of change is comprised of **eight intervention models** selected based on the reviews of past IOM programming and of the literature on counter-trafficking programmes implemented by other organizations. They were chosen for one or more of the following reasons:

- The findings of the IOM evaluation reports were primarily positive;
- The findings demonstrated an internal and external logic between inputs and proposed outcomes or impact;
- The activities had a history of practice across IOM projects;
- The activities addressed important risk or protective factors;
- The activities had potential as a model for testing and replication;
- The activities were not proven to be ineffective or associated with adverse outcomes (e.g., stigmatization of trafficked persons);
- The activities represented IOM's comparative advantage and international strategic priorities;
- Independent descriptions for each of the models' design, implementation, and evaluation could be articulated.

The eight models are listed in Figure 1 and discussed in detail below. They are designed cumulatively to generate the intended impact of IOM counter-trafficking programming for trafficked persons and those at-risk, particularly migrants who are vulnerable to exploitation and abuse. They are also designed to promote joint contributions from governments, civil society, and the private sector, which are well-positioned to collaborate with IOM to reach its goals.

Figure 1. Counter-trafficking intervention models

	Model 1	IOM case-management services
	Model 2	Capacity-development for service provision and protection
	Model 3	Referral system strengthening
	Model 4	Strengthening of private sector responses
	Model 5	Promotion of ethical recruitment
	Model 6	Capacity-development of justice systems
	Model 7	Law and policy development
	Model 8	Research and data collection/management

IOM's counter-trafficking theory of change essentially describes the impact that IOM aims to have and how it expects to achieve this by establishing, for each of the intervention models, **logical connections** between activities and results at different levels (outputs, outcomes, impact).

Figure 2 illustrates the **linkages** between:

- 1) the **problems**, based on key risks and protective factors related to human trafficking, and the main target groups (including primary and secondary beneficiaries of IOM interventions);
- 2) IOM-led **activities** (inputs) to address the problem and take advantage of opportunities; and
- 3) the direct **outputs** from the activities conducted under each intervention model.

Figure 3 describes the anticipated **outcomes and impact**, for IOM's primary and secondary beneficiary groups, resulting from the cumulative and complementary effects of the intervention models.

Figure 2. Overview of risk factors, target groups, activities, and outputs of IOM's theory of change

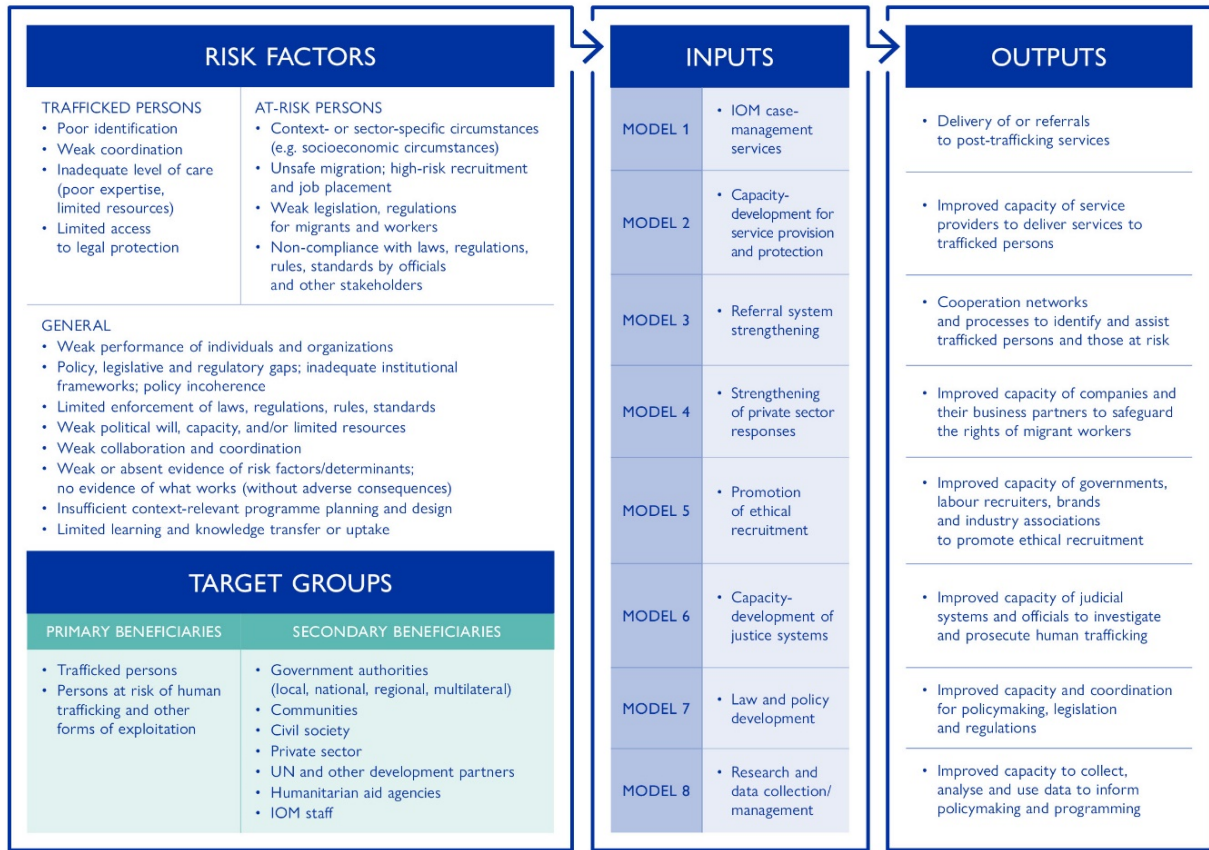
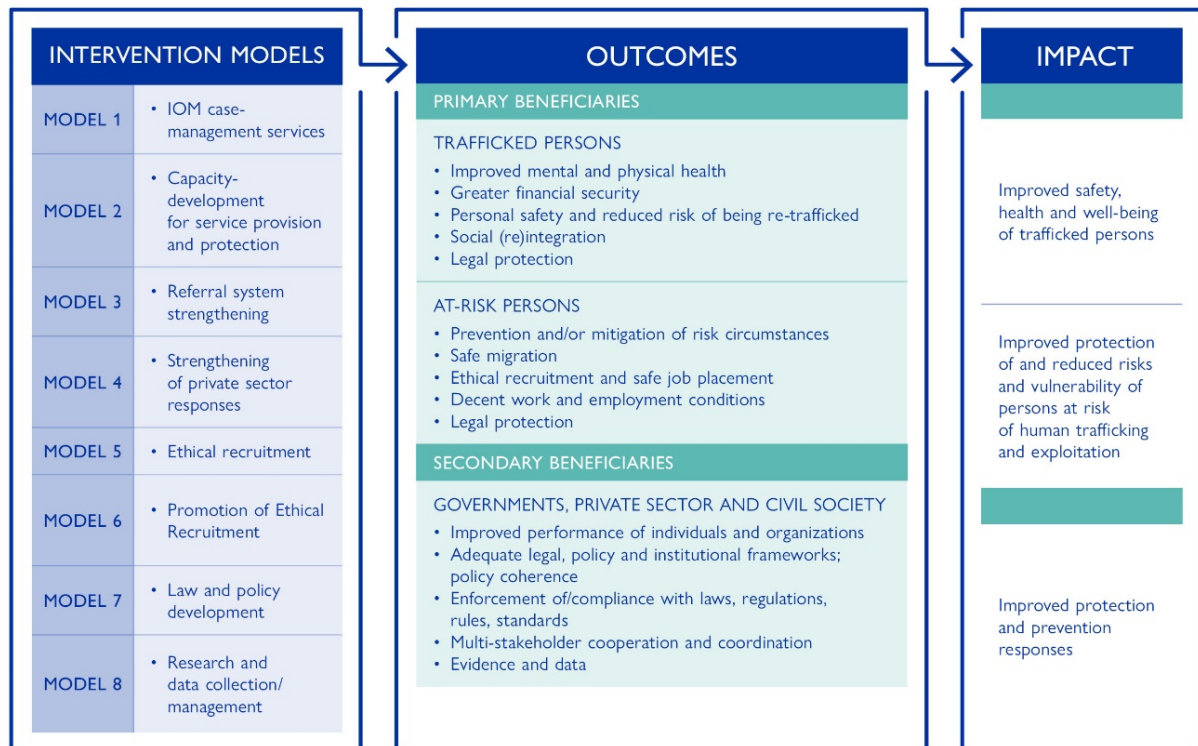


Figure 3. Overview of linkages between intervention models, outcomes, and impact



Details on each of these components of IOM’s counter-trafficking theory of change are provided below:

Impact

The two main areas of impact of IOM counter-trafficking programming are defined according to its two primary beneficiary groups: trafficking survivors and persons at risk, particularly migrants vulnerable to exploitation and abuse. They are described in Figures 4 and 5.

Figure 4. Main areas of impact of IOM counter-trafficking programming

RESPONSE	Improved safety, health, and well-being of trafficked persons	This area of impact is focused on actual and presumed survivors of human trafficking. Impact is based on an intervention’s ability to help people exit and remain free of exploitation, and to respond to their post-trafficking needs to enable them to enjoy their rights and to reduce the harmful aftermath of their trafficking experience.
PREVENTION	Improved protection and reduced risks and vulnerability of persons at risk of human trafficking and exploitation	This area of impact is focused on migrants and other individuals in situations that make them vulnerable to human trafficking and other forms of exploitation and abuse. This target group is intentionally broad to capture the range of individuals (e.g., aspiring migrants, migrant workers, irregular migrants, internally displaced populations, and other displacement-affected individuals) who, for various reasons, might be drawn into exploitative situations or targeted by exploiters. Impact is based on the intervention’s ability to address the factors that put these people in situations of vulnerability and to promote their safety.

Figure 5. Impact and primary beneficiaries of IOM programming

Primary beneficiaries	Impact
Trafficked persons	Improved safety, health, and well-being
Persons at risk of human trafficking and exploitation	Reduced risks and vulnerability

Definition of problems and target groups

For every intervention, a problem statement should establish:

- ✓ **what needs to change** (the problem);
- ✓ the **reason it needs to change** (the justification);
- ✓ and **for whom the change is most needed** (the target groups).

An effective way of approaching the description of the problem is to define the **risk factors** (or “determinants”) that cause the problem, how they cause the problem and, to the extent possible, the effects the problem is having on the target group(s). It is also important to identify any “**protective factors**” – evidence about what might actually be working to protect people from experiencing the problem – naturally or as part of an explicit intervention. Evidence on risk and protective factors must identify the **specific populations** that are affected by these factors and how.

It is simultaneously important to consider which factors are the priority areas for change and to make a realistic assessment of which aspects can be changed within a reasonable project timeframe; these are often referred to as “**modifiable**” risk factors.

In identifying these factors, it is helpful to ask questions such as:

- What are the most urgent, prevalent, or severe problems that can be addressed by IOM's intervention?
- Which are the modifiable risk factors that IOM has the greatest likelihood of addressing in a reasonable amount of time using a reasonable amount of money and resources?
- What seems to be protecting people here or elsewhere?
- What is stopping or reducing the problem, or addressing its consequences?¹⁰

The **target groups** should be determined according to the modifiable risk and protective factors that the project will address.

For **example**, if evidence shows that gaps in legislation are a key risk factor contributing to abusive recruitment, then the primary target group for the intervention would be government agencies or their representatives in a position to strengthen legislation and its enforcement. A secondary target group would be civil society and advocacy groups that can help promote the necessary legislative changes. For each activity component and setting, IOM staff should specify the primary and potential secondary intervention target groups.

Furthermore, when identifying counter-trafficking risk and protective factors and developing programme designs for different target groups, it is necessary to assess the implications in terms of **human rights, gender, age, and disability** in each context and draw on the relevant approaches.¹¹ In practice, this means recognizing the observable and imperceptible implications of inequalities, **prioritizing respect for individual needs and circumstances**, and putting in place mechanisms for genuine participation and inclusion.

Outcomes

To enhance prevention and promote the recovery of trafficking survivors, it is important to articulate the most substantial outcomes of IOM interventions, i.e., **the medium- and longer-term effects** that the activities intend to produce among the different target groups (see Figure 6).

For **example**, desired outcomes for trafficking survivors might include improved mental and physical health, or greater financial security. For persons in situations that put them at risk of trafficking, desired outcomes might include safe job placement or decent work and employment conditions.

¹⁰ This last question means building on evidence of what works. For example, for interventions that seek to prevent human trafficking, it is useful to consider the question: What are the differences between people who end up in "good" as opposed to "bad" work situations? Weak or non-existent legislation can explain why trafficked persons are denied justice. On the other hand, well-designed laws supported by strong implementing strategies and adequate resources can be instrumental in improving access to justice.

¹¹ To understand and incorporate human rights-based and gender equal responses into anti-trafficking responses, see [Toolkit For mainstreaming Human Rights and Gender Equality into criminal justice interventions to address trafficking in persons and smuggling of migrants](#) (UNODC, 2021)

Figure 6. Outcomes for primary beneficiaries

Primary beneficiaries	Outcomes	Impact
Trafficked persons	<ul style="list-style-type: none"> • Improved mental and physical health • Greater financial security • Personal safety and reduced risk of being re-trafficked • Social (re)integration • Legal protection 	Improved safety, health, and well-being
Persons at risk of human trafficking and exploitation	<ul style="list-style-type: none"> • Prevention of risk circumstances • Safe migration • Ethical recruitment/safe job placement • Decent work and employment conditions • Legal protection 	Reduced risks and vulnerabilities

Most IOM projects are designed to work with the **secondary beneficiaries**, i.e. governments, civil society, and the private sector. The outcomes for this target group will include:

- Improved performance of individuals and organizations;
- Adequate legal, policy and institutional frameworks, alongside policy coherence;
- Enforcement of and compliance with laws, regulations, rules and standards;
- Multi-stakeholder cooperation and coordination to facilitate anti-trafficking responses;
- Improved evidence and data to inform policymaking and programming.

Inputs

The inputs are the **main activities** that IOM will spearhead to produce outputs (see below). As noted earlier, specific activities should be determined by assessing the main risk and protective factors in each setting, based on local context assessments, mapping, and evidence reviews undertaken by IOM and local partners. This document essentially groups IOM's main counter-trafficking activities by the eight main intervention models.


Outputs

The outputs are the **direct results** (i.e., measurable short-term products) of IOM's activities, which are intended ultimately to foster the more important outcomes for survivors or people at risk of trafficking.

For example, organizing training sessions (the activity) is likely to result in the acquisition of new knowledge or skills (the output). Outputs lead to longer-term outcomes, which may include application of the knowledge or skills gained during the training sessions.

Figure 7 represents broad descriptions of various activities' outputs by intervention model, which will have to be defined in more detailed and measurable terms for each specific project.

Figure 7. Outputs

 <p>Model 1</p>	<p>IOM case-management services</p>	<p>Delivery of or referrals to comprehensive and individually tailored services based on the individual needs, circumstances, and interests of trafficked persons</p>
 <p>Model 2</p>	<p>Capacity-development for service provision and protection</p>	<p>Improved capacity of service delivery organizations to provide timely and appropriate care to trafficked persons</p>
 <p>Model 3</p>	<p>Referral system strengthening</p>	<p>Cooperation and referral processes and mechanisms to identify and refer trafficked persons and those at risk, and ensure that they receive appropriate care</p>
 <p>Model 4</p>	<p>Strengthening of private sector responses</p>	<p>Improved knowledge, skills, and access to tools among companies, their business partners, governments, and civil society organizations, enabling them to safeguard the rights of migrant workers and promote responsible business conduct</p>
 <p>Model 5</p>	<p>Promotion of ethical recruitment</p>	<p>The platforms, tools and skills required by governments, labour recruiters, brands, and industry associations to improve oversight of labour recruiters and promote ethical recruitment</p>
 <p>Model 6</p>	<p>Capacity-development of justice systems</p>	<p>Improved knowledge and skills among justice officials; model legislation, policies, operating procedures, and tools to identify, investigate, and prosecute human trafficking, applying victim-centred approaches</p>
 <p>Model 7</p>	<p>Law and policy development</p>	<p>Improved knowledge, skills, and coordination; progress towards policymaking, legislation and regulations that adhere to international standards</p>
 <p>Model 8</p>	<p>Research and data collection/management</p>	<p>Improved research and data-management standards, quality data, research methods, study instruments, and robust findings to strengthen global and context-relevant evidence production, sharing and use</p>

Designing the intervention models









The design of each intervention model follows the same **structure**:

- *Intervention theory of change*: How and why will the activities produce the desired results that will contribute to achieving the intended impact?
- *Intervention problem*: What risk factors is the intervention trying to address?
- *Intervention context*: What are the contextual factors (e.g., political, social, economic) that will have a positive or negative influence on the success of the intervention?
- *Impact*: What will be the desired longer-term impact? For whom?
- *Outcomes*: What changes will the project bring about during its life cycle that will contribute to the longer-term impact? How can these be measured?
- *Outputs*: What will be the direct results of the activities? How can they be measured?
- *Inputs*: What are the main project activities or what will the project do specifically?

- *Target groups*: Who will be the main target groups for the activities?
- *Recommended coordination partners*: With whom should IOM be coordinating locally, nationally and internationally to design, implement and evaluate the activities?
- *Participation of beneficiaries*: Who will represent and offer input for the primary local beneficiaries of the specific interventions?

Figure 8 below provides a general summary of each of the eight models, and the next section describes them in detail.

Figure 8. Summary of the intervention models

 <p>Model 1</p>	<p>IOM case-management services</p>	<p>Model 1 aims to determine the types of services required to boost the recovery of trafficked persons assisted by IOM and to identify methods for facilitating, coordinating, monitoring, and evaluating their delivery.</p>
 <p>Model 2</p>	<p>Capacity-development for service provision and protection</p>	<p>Model 2 aims to strengthen the ability of local service providers to deliver the care trafficked persons need for their safety, health, and well-being, and to prevent their re-victimization.</p>
 <p>Model 3</p>	<p>Referral system strengthening</p>	<p>Model 3 aims to promote multi-stakeholder coordination to help identify and protect trafficked persons.</p>
 <p>Model 4</p>	<p>Strengthening of private sector responses</p>	<p>Model 4 aims to strengthen systems and capacities to address human trafficking in the private economy.</p>
 <p>Model 5</p>	<p>Promotion of ethical recruitment</p>	<p>Model 5 aims to strengthen the ability of governments, labour recruiters, and brands to reduce abusive recruitment.</p>
 <p>Model 6</p>	<p>Capacity-development of justice systems</p>	<p>Model 6 aims to develop the capacity of the justice system to improve victims' access to criminal and civil justice.</p>
 <p>Model 7</p>	<p>Law and policy development</p>	<p>Model 7 aims to support the development and implementation of legislation and policies that protect trafficking survivors and reduce the risk of human trafficking and exploitation, in line with international standards and best practices.</p>
 <p>Model 8</p>	<p>Research and data collection/management</p>	<p>Model 8 aims to produce and promote the collection, analysis, and dissemination of high-quality data with a view to building a robust, accessible, and growing body of evidence to improve counter-trafficking responses.</p>



DESCRIPTIONS OF THE INTERVENTION MODELS





INTERVENTION MODEL 1: IOM CASE-MANAGEMENT SERVICES

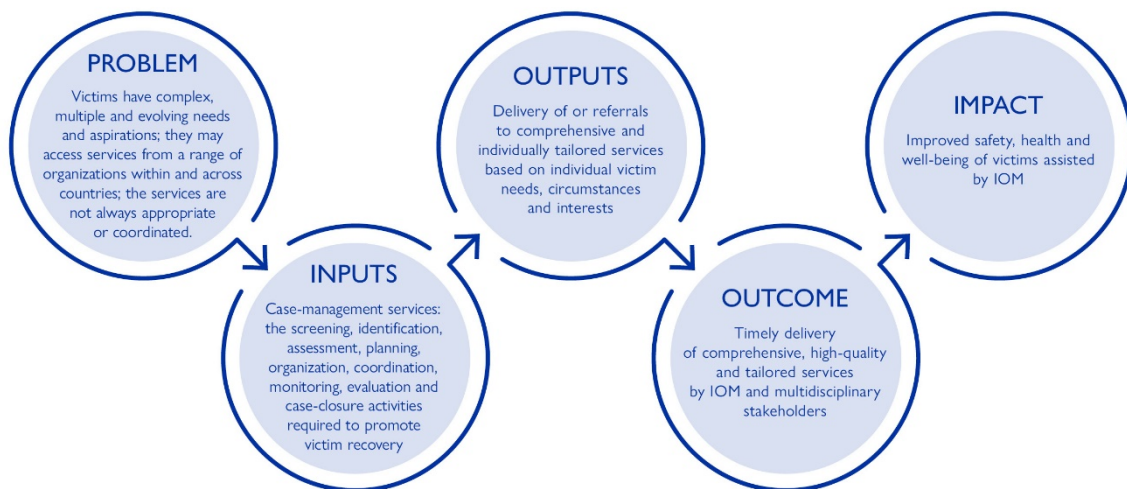
Model 1 aims to determine the types of service required to boost the recovery of trafficked persons assisted by IOM and to identify methods for facilitating, coordinating, monitoring, and evaluating their delivery.

Model 1 was selected as an intervention model pursuant to the review findings, which indicated the value placed on IOM case-management services by beneficiaries, governments, and other stakeholders, the significant potential for impact, and IOM's **substantial experience of case management** in different contexts.

Reports suggest the value of care that is **rights-based, survivor-centered, comprehensive, and coordinated**, and that takes into consideration the individual needs and interests of each trafficked person.

The Model 1 theory of change (see Figure 1.1) fits into IOM's broader theory of change because the activities help improve trafficked persons' safety, health, and well-being, and prevent their re-victimization.

Figure 1.1. Model 1 theory of change components



Model 1 intervention components

Intervention problem

- Trafficked persons have multiple and complex protection needs that are not always adequately assessed. As a result, plans to assist them are neither comprehensive nor tailored; they are unable to address the immediate needs of trafficked persons or facilitate their sustainable resolution. In particular, the impact of gender on individual's needs may not be acknowledged or appropriately addressed throughout the delivery of assistance.
- Trafficked persons are entitled to participate in decision-making regarding their protection and assistance, but their interests may not always be taken into consideration. This is particularly crucial for children, whose best

interests must be at the forefront of any assistance plans. In addition, any aspirations survivors may have (e.g., for integration or relocation) may not be possible or legal in certain contexts.

- Services are typically provided by a range of organizations. In some situations, services will not be appropriate or delivered in a timely and coordinated manner. Service clients moving between jurisdictions will have to be handed over between case-management systems, where they exist, and may need additional support to ensure continued service delivery.
- Assistance plans are not always adapted to the changing circumstances, needs and aspirations of trafficked persons because they are not monitored on a regular basis or evaluated.
- Service delivery may undermine the safety of trafficked persons and their families or breach their confidentiality and privacy.

Intervention context

The following contextual factors can have a positive or negative influence on the outcome of a Model 1 intervention and should be carefully considered during project development and implementation.

- *Legal framework.* Does the legislation protect all trafficked persons and provide for post-trafficking care and safe recovery?
- *Political commitment and local capacity.* Are front-line responders willing and able to identify and refer trafficked persons? How committed are the government and donors to providing funding and other resources to support services for survivors? Are local human and financial resources sufficient to sustain service availability and delivery?
- *IOM capacity.* Does IOM have the capacity to provide case-management services and uphold the principles and standards of assistance?
- *Access to services.* How are the services distributed geographically? Is the survivors' ability or willingness to seek or accept services affected by other barriers, such as language or the stigma attached to human trafficking? Do laws or policies exclude migrants or persons subjected to certain forms of trafficking and/or exploitation from services or condition their access to services?

Impact

Model 1 will improve the safety, health, and well-being of trafficked persons and prevent their re-victimization by facilitating the development and implementation of comprehensive and individualized assistance plans.

Target groups

Case-management services will be delivered to individuals who have been trafficked or are presumed to have been trafficked and are in need of and accept assistance. This will include, for example, individuals referred to IOM by authorities, NGOs, UN organizations, community members, friends, or family; individuals who independently sought IOM's services; and individuals identified in the course of standard IOM operations.

Outcomes

The main outcome of IOM case-management services is the timely delivery of comprehensive, high-quality, and tailored services in coordination with multidisciplinary stakeholders. Measurable outcomes will include, for example, timeliness, quality, and continuity of care that addresses individual survivors' mental and physical health, personal security, financial stability, legal protections, and social and family integration or reintegration.¹² Higher-order outcomes on the pathway to impact will include changes to survivors' mental or physical health, financial stability, social engagement, and perceptions of personal safety.

Outputs

The outputs of Model 1 are the direct results of IOM's case-management activities. Examples include lists of available services; individual assistance plans; risk assessments and mitigation strategies; safety measures for survivors; referrals to other service providers; application of case-management procedures and tools¹³ (e.g., IOM standard screening forms, standard operating procedures for counselling programme intake, MiMOSA); timely, accurate and secure record-keeping; systems to report misconduct by case managers; and policies and procedures regarding child safety, sexual exploitation and abuse.¹⁴

Recommended coordination partners

For its case management activities, IOM will need to coordinate with the relevant authorities, local governmental and non-governmental service providers, and other stakeholders (e.g., international organizations or other transnational referral mechanism actors), including, but not limited to, physical and mental health services, legal service providers, consular services, immigration, and law enforcement. In emergency settings, IOM may coordinate with local authorities and civil society organizations, where possible, and humanitarian aid agencies.

Inclusion of beneficiaries

To ensure that services are tailored to the needs of trafficked persons in each context, representatives from the local survivor population should help plan, implement, and evaluate IOM case-management activities. They should include individuals who are representative of the likely local client base in terms of gender, ethnicity, age, education, and socioeconomic background.

¹² In projects where IOM is the direct service provider, these will be outputs.

¹³ In projects where IOM is the direct service provider, these are related to activities rather than outputs.

¹⁴ In projects where IOM is the direct service provider, these are pre-existing organizational policies and procedures. They are not outputs of separate projects but can be improved based on lessons learned from multiple projects.



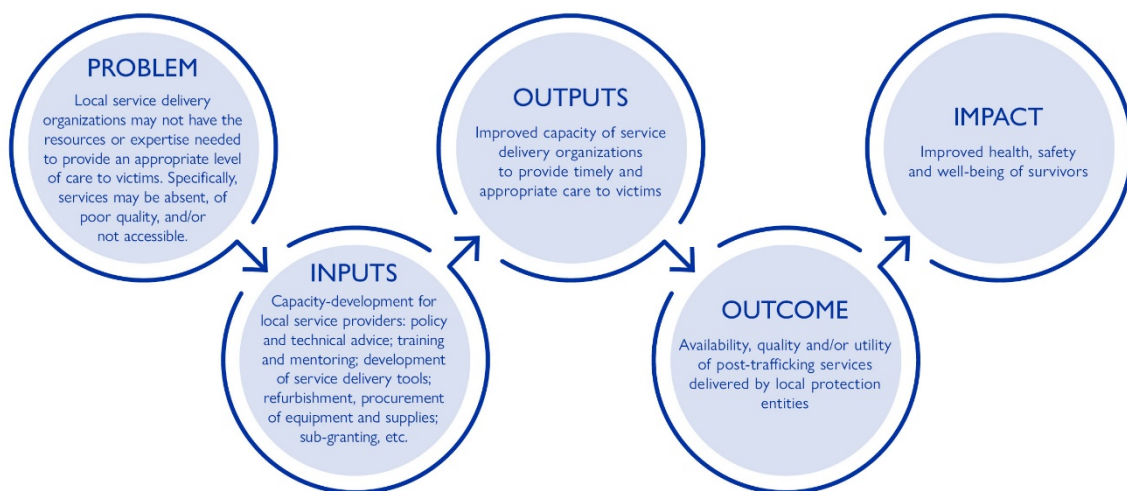
INTERVENTION MODEL 2: CAPACITY-DEVELOPMENT FOR SERVICE PROVISION AND PROTECTION

Model 2 aims to strengthen the ability of local service providers to deliver the care trafficked persons need for their safety, health, and well-being, and to prevent their re-victimization.

Model 2 was selected as an intervention model because the review findings indicated that IOM **regularly works to enhance the capacity** of local service delivery organizations to provide protection and assistance to trafficking survivors. Reports suggest that support to service providers ultimately benefits survivors.

The Model 2 theory of change (see Figure 2.1) fits into IOM's broader theory of change because Model 2 activities help improve access to adequate protective services, which is on the pathway to survivors' health, safety, and well-being.

Figure 2.1. Model 2 theory of change components



Model 2 intervention components

Intervention problem

- Trafficking survivors need individualized, comprehensive support that is delivered in line with international standards and proven good practices, and which addresses the effects that each survivor's experience had on their physical, psychological, social, and financial well-being.
- Local service providers may not, however, have the resources or expertise needed to provide an appropriate level of care. Specifically:
 - Services may not be available (e.g., temporary accommodation for trafficked men; funds to purchase plane tickets for trafficked persons to return home);

- Services may be of such poor quality that, even if used, they will not improve trafficked persons' safety, health or well-being, or eliminate the risk of re-victimization, and may even have an adverse impact;
- Services may not be fit-for-purpose. As a result, trafficked persons may not be able or willing to access them (e.g., because of the stigma associated with shelters, mental-health services, and testing for sexually transmitted illnesses; actual or perceived discrimination by service providers; culturally inappropriate or overly expensive services; service access contingent on cooperation with law enforcement or denied to migrants).

Intervention context

The following contextual factors can have a positive or negative influence on the outcome of a Model 2 intervention and should be carefully considered during project development and implementation.

- *Political and social environment.* Is there any political or social instability that influences service delivery and individuals' access to services?
- *Barriers to access.* How are the services distributed geographically? Are there other barriers, such as language or the stigma attached to human trafficking, that may affect survivors' ability or willingness to seek or accept services? Do laws or policies exclude migrants or persons subjected to certain forms of trafficking and/or exploitation from services or condition their access to services?
- *Local resources.* Are the human and financial resources sufficient to sustain service availability and delivery?

Impact

Model 2 will help improve the safety, health, and well-being of individuals affected by trafficking, and prevent re-trafficking. Impact will result from developing the capacity of local service delivery organizations to provide the high-quality care needed by survivors of human trafficking.

Target groups

Capacity-development activities will target local service delivery organizations working with survivors, such as government agencies, civil society organizations, private companies, and international organizations working, for example, in health care, legal aid, child protection, education or social support. They will usually target both the organizations themselves (e.g., through systems development or financial support) and their individual staff members (e.g., through training or mentoring). In emergency settings, IOM will target humanitarian aid agencies (e.g., clusters and cluster coordinators, front-line humanitarian workers) and, where possible, local authorities and civil society organizations.

Outcomes

The main outcome of IOM capacity-development interventions is improved availability, quality and use of the post-trafficking care delivered by service providers. Measurable outcomes will include the medium- and longer-term ability of local service delivery organizations to provide care for survivors. First-order outcomes will include those associated with meeting the priority needs of survivors in the context and delivering the high-quality services required to support survivor recovery, in line with international standards and proven good practices. Higher-order outcomes on the

pathway to impact will include changes in survivors' mental and physical health, financial stability, social engagement, legal protection, and perceptions of personal safety.

Outputs

The outputs of Model 2 are the direct results of capacity-development activities. Example outputs include training curricula and mentorship plans; improved knowledge and skills among training participants or mentees; the availability of new services or products to improve service delivery (e.g., forensic protocol for doctors, standard operating procedures for counselling and intake, case-management software); new equipment/supplies; and access to funding.

Partnership and coordination

Likely partners will include government agencies, NGOs and private service providers, counter-trafficking authorities and coordinating bodies, child protection authorities, women's affairs ministries, consulates, and ombudspersons.

Inclusion of beneficiaries

To ensure partner organizations are properly selected, representatives from the local survivor population should help plan, implement, and evaluate IOM capacity-development activities. They should include individuals who are representative of the likely local client base in terms of gender, ethnicity, age, education, and socioeconomic background. Target service providers (e.g., legal aid, mental health, livelihood support, health care) should be consulted on priority information and training needs, coordination, and resources.



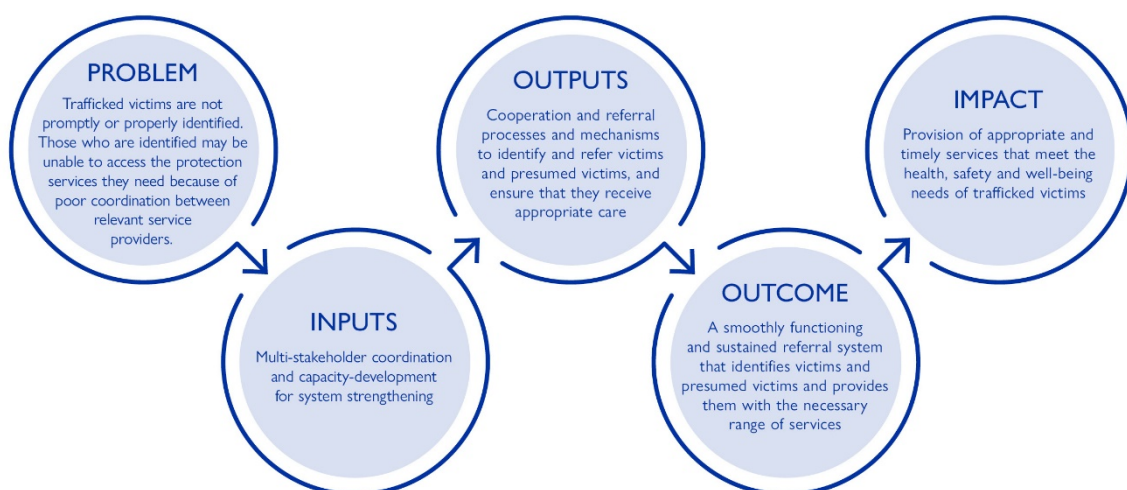
INTERVENTION MODEL 3: REFERRAL SYSTEM STRENGTHENING

Model 3 aims to promote multi-stakeholder coordination to help identify and protect trafficked persons.

Model 3 is at the core of IOM's post-trafficking work. IOM has a **history of supporting coordination** between countries, for example, along a migration route, between governments and civil society, or between social protection and law enforcement agents. Coordination can spur the development and adoption of cooperative systems such as national referral mechanisms, which help identify and support trafficked persons. Review findings suggest that IOM is well placed to convene multiple stakeholders for this purpose.

The Model 3 theory of change (see Figure 3.1) fits into IOM's broader theory of change because the activities help improve survivor health, safety, and well-being.

Figure 3.1. Model 3 theory of change components



Model 3 intervention components

Intervention problem

- Failure to identify trafficked persons promptly and properly will result in their further exploitation and abuse. When trafficked persons are not identified, criminal networks can also continue operating with impunity. Survivors, however, can be reluctant to seek help or identify themselves (e.g., for fear of reprisals from traffickers, fear of deportation, mistrust). States and civil society therefore play a crucial role in identifying and safely referring trafficked persons but may not have the capacity to do so.
- Once identified, survivors require a wide range of services provided by different entities. In many instances, the entity that identifies a trafficked person does not have the mandate, resources, or capacity to provide all the

assistance needed. To ensure survivors get the range of care they need in a timely manner, well-coordinated, multisectoral services are necessary.

- In a specific context, multiple and overlapping protection systems may exist, with a range of organizations with different mandates providing various services. Lack of cooperation can result in fragmented service delivery, ineffective use of resources, and no accountability. Lack of cooperation between social protection and law enforcement entities in particular makes it less likely that trafficking survivors will contribute to law enforcement efforts and increases the possibility of re-victimization.
- Transnational, national, and local referral mechanisms can be used to link stakeholders in two or more locations, including in different countries, for the purposes of identification, referral, and assistance of trafficked persons. They can help ensure a continuum of care across various locations. Referral mechanisms can also be useful for tracing or reuniting family members, especially for unaccompanied children. Transnational referral mechanisms can be particularly helpful when trafficked persons return to their country of origin.
- Referral mechanisms may not have the right resources, policies, and procedures to identify, refer and assist trafficked persons promptly and properly. Capacity-development interventions may be required to close any gaps. These may include technical assistance (e.g., to develop standard operating procedures for initial screening procedures, information management, or specific kinds of assistance such as psychosocial support) and training (e.g., on interviewing techniques, case management, or the prevention of sexual exploitation and abuse).

Intervention context

The following contextual factors can have a positive or negative influence on the outcome of a Model 3 intervention and should be carefully considered during project development and implementation.

- *Legal framework.* Does the legislation protect all trafficked persons? Are protection and assistance services subject to any conditions that may limit access (such as cooperation with law enforcement or residency)? Are there any legal options that allow trafficked persons to stay in the country safely and earn a decent living (e.g., temporary or permanent migration status, work permits)?
- *Government commitment and capacity.* Do the political will, leadership and resources exist that are needed to promote ownership of and support for government-led coordination? Are front-line government responders willing to identify and refer trafficked persons?
- *Access to services.* Are local service providers able to deliver survivor care services? Are there gaps in the services needed to provide a complete network of care? Are key services such as shelter options available? Are there barriers to access to services, such as geographic gaps, inconvenient location of providers or policies that exclude migrants from services? Are local human and financial resources sufficient to sustain service availability and delivery?

Impact

Model 3 aims to ensure that trafficked persons receive appropriate and timely care, by supporting multi-stakeholder coordination to identify trafficked persons and protect them.

Target groups

Multi-stakeholder coordination and capacity-development activities will target State and non-State actors playing a role in the identification of and assistance to trafficked persons, such as government entities (e.g., protection agencies, law enforcement), civil society organizations, international organizations, the private sector, and communities. In emergency settings, IOM will target local authorities and humanitarian aid agencies (e.g., clusters and cluster coordinators, front-line humanitarian workers) to support coordinated prevention and protection responses.

Outcomes

The main outcome of Model 3 coordination and capacity-development activities is a smoothly functioning and sustained referral system that identifies those who have been or are presumed to have been trafficked and provides survivors with the necessary range of services. Measurable outcomes will include progress towards establishing a functioning coordination referral system that maintains case-management and protection standards and relies on proven good practices. First-order outcomes will be associated with a high-quality and smoothly functioning referral system that includes, for example, comprehensive and effective services, and procedures that ensure continuity of care for individual survivors. Higher-order outcomes that are on the pathway to impact will include improvements in survivors' medium- and longer-term recovery that are attributable to the intervention, such as changes in their mental and physical health, financial stability, social engagement, legal protection, and perceptions of personal safety.

Outputs

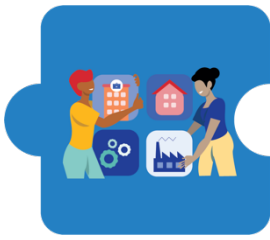
Model 3 outputs are the direct results of IOM's coordination and capacity-development activities. They can take the form of referral directories; draft normative framework or memoranda of understanding; standard operating procedures (e.g., for initial screening procedures, sharing of beneficiary information, cost recovery, payments, and billing); or standard forms (e.g., standard referral, screening, intake, assistance, and case-monitoring forms). They may also take the form of enhanced knowledge and skills among local protection entities, for example on survivor interviewing techniques or prevention of sexual exploitation and abuse.

Recommended coordination partners

To ensure ownership, the government should take the lead in developing referral mechanisms. Any other entity that plays a vital role in the identification and assistance of trafficked persons, including NGOs, international organizations, the private sector, and communities, should also be included. In emergency settings, IOM may coordinate with humanitarian aid agencies and, where possible, local authorities and civil society organizations.

Inclusion of beneficiaries

To ensure the timely and effective operation of a referral network that can respond to survivors' needs, representatives from the local survivor population should help plan, implement, and evaluate IOM activities. They should include individuals who are representative of the likely local client base in terms of gender, ethnicity, age, education, and socioeconomic background. Referral mechanism actors (e.g., law enforcement and social protection agencies, specialized service providers such as legal aid, mental health, livelihood support, health care, etc.) should be consulted on all operational aspects, priority information and training needs, coordination, and resources.



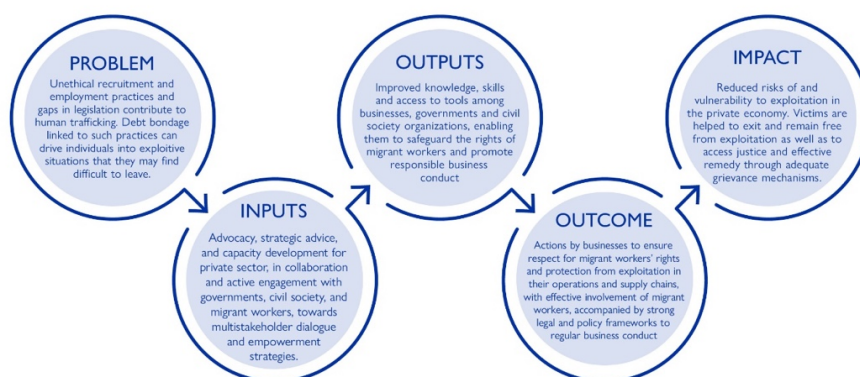
INTERVENTION MODEL 4: STRENGTHENING OF PRIVATE SECTOR RESPONSES

Model 4 aims to strengthen systems and capacities of the private sector stakeholders to address human trafficking in the private economy.

Model 4 is a growing area of IOM engagement in which the Organization works with the private sector to **reduce exploitation in the private economy**, including human trafficking. IOM’s initiatives, such as Corporate Responsibility in Eliminating Slavery and Trafficking ([CREST](#)), are intended to increase commitment of private sector actors to end exploitation of migrant workers, strengthen corporate policies to address the risk of abuse in business operations and supply chains and their effective implementation (e.g., through enhanced human rights due diligence); strengthen multi-stakeholder dialogue and promote collaboration across the private sector, government and civil society; and strengthen public policy, regulation, enforcement and worker engagement and inclusion to promote responsible business practices, access to effective remedy where harm has occurred, and hold businesses to account for violations. While some case studies have suggested emerging good practices,¹⁵ measuring and understanding the impact of interventions in this area remains a challenge, thus, all relevant stakeholders should strengthen the methodologies and tools for data collection, increase knowledge sharing, and promote transparency.

The Model 4 theory of change (see Figure 4.1) fits into the broader IOM theory of change, by helping reduce labour exploitation in the private economy and enhance respect for the rights of migrant workers in line with the United National Guiding Principles for Business and Human Rights.

Figure 4.1. Model 4 theory of change components¹⁶



¹⁵ For example, see case studies on grievance mechanism and remedy are included in Remediation Guidelines: <https://publications.iom.int/books/operational-guidelines-businesses-remediation-migrant-worker-grievances>

¹⁶ For CREST-specific Theory of Change, visit https://crest.iom.int/system/files/crest/resources/document/CREST%20theory_of_change.pdf

Model 4 intervention components

Intervention problem

- Migrant workers face serious human rights risks throughout the labour migration process and at work, including discrimination, unequal wages, and restrictions on access to their fundamental rights and freedoms. Migrant workers, especially those in lower skills categories and/or employed in the informal economy, remain disproportionately vulnerable to and affected by unacceptable working conditions and exploitation that, in the worst cases, can amount to forced labour and human trafficking. Threats and coercion, deception, charging migrant workers excessive recruitment fees and related costs, restriction of movements, non-payment of wages, and excessive working hours, are widespread within global supply chains, often concealed under layers of subcontractors. Risks to migrant workers are further exacerbated by the complexity, opacity, and often weak regulation of cross-border recruitment systems that serve to place migrant workers in supply chain operations.
- Despite the resilience and agency that migrant workers have, the combination of various forms of discrimination, inequality, uneven power relations, and gaps in regulatory frameworks increase migrant workers' vulnerabilities. Structural factors that disadvantage migrant workers and advantage employers include laws that exclude protection for certain categories of workers (e.g., domestic workers), weak enforcement capacity (e.g., labour inspection and criminal justice systems), and the difficulty reaching migrant workers in certain sectors (e.g., commercial fishing, domestic work, remote plantation agriculture).
- Risks of exploitation also result from irresponsible business practices (e.g., commercial pressures on suppliers to cut costs, especially in labour-intensive sectors; tight delivery deadlines; outsourcing; weak supply chain monitoring systems that overlook exploitation of the workforce, or lack of such systems, etc.) and inaction (e.g., poor awareness of the problem; wilful denial; lack of response to identified violations, etc.).
- Difficult socioeconomic circumstances, including pre-existing debt, can drive individuals into hazardous or exploitative working conditions and make it difficult for them to step away from an abusive recruitment process or leave an abusive employer. This is exacerbated when migrant workers incur significant debts to pay for recruitment fees and related costs, which leaves them trapped in debt-bonded labour situations.
- Numerous international standards have been adopted to enhance the protection of migrant workers (e.g., international human rights law, international labour law, transnational criminal law). They have been reinforced by voluntary instruments such as the Global Compact for Safe, Orderly, and Regular Migration and the UN Guiding Principles on Business and Human Rights. What is needed now is better implementation by States and the private sector. In some countries, legislation on transparency and due diligence obligates certain companies to report publicly on their anti-trafficking efforts. The forthcoming EU Directive on Corporate Sustainability Due Diligence is an example of an important legislative initiative promoting human rights due diligence across global supply chains.
- Many governments lack the political will or capacity to promote responsible business practices, including ethical recruitment, or enforce existing regulations. Those with capacity constraints may require support to, for example, develop and implement national action plans on business and human rights, forced labour, or human trafficking; enact legislation on transparency and due diligence; adopt trade or public procurement policies to

address the use of trafficked persons or purchase of products made using forced labour; or convene a multi-stakeholder dialogue. Governments do not only need support to improve policies but also to implement them, including through better monitoring and oversight (e.g., of business), better inspection and enforcement, and capacity-development to enhance access to grievance mechanisms and effective remedy.

- Companies can benefit from support to conduct their business responsibly. For example, they may require strategic advice, technical assistance, and capacity development to establish and implement effective supplier due diligence programmes, codes of conduct, ethical recruitment and employment guidelines etc.; risk assessments; labour migration process mapping and audits; grievance management and effective remediation mechanisms. Companies often require help engaging in stakeholder dialogue, including with governments, policymakers and civil society.
- Poor worker engagement hinders effective supply chain management strategies. Strategies on employer–employee relations tend to neglect coordination with trade unions and civil society, and actions tend to omit opportunities for worker empowerment. Migrant workers are often not allowed to join unions. Companies should establish a meaningful workplace dialogue with migrant workers or their representatives to ensure that policies and practices are designed, evaluated, and improved based on worker feedback, while grievance mechanism and remedy is accessible and effective.

Intervention context

The following contextual factors can have a positive or negative influence on the outcome of a Model 4 intervention and should be carefully considered during project development and implementation.

- *Business environment.* Are the business and regulatory environments promoting or enabling ethical recruitment and responsible employment of migrant workers? In particular, are companies required to carry out due diligence and publicly report on their anti-trafficking efforts? Are there any other incentives or pressure for responsible business practices (e.g., investor strategies, consumer activism)?
- *Business policies and practices.* Do business policies and practices (e.g., for the recruitment and employment of migrant workers) exacerbate or minimize the risk of human trafficking in the company's operations, supply chains or community of operation? Are specific industries and migration corridors at heightened risk of labour exploitation and human trafficking? How might the characteristics of the country or region where the goods and services are produced or sourced influence exploitative practices?
- *Legal protections.* In what ways does the legal framework protect all workers, including migrant workers? What are the gaps and strengths in legislation or enforcement, for instance, for migrant workers?
- *Political support.* Where does the government place human trafficking on its political agenda? Does the government already have a strategy in place to promote responsible business practices or respond to human trafficking?
- *Worker engagement.* What avenues are available for worker engagement? What measures are in place for workers to speak out or report violations without repercussions? How can worker engagement be increased and sustained?

- *Workers' circumstances that put them at risk.* What socioeconomic circumstances make some people within the workforce (e.g., migrant workers) particularly vulnerable to human trafficking and exploitation? Do migrant workers play a role in tackling exploitation? Are resources and capacities that facilitate protection and resiliency in place? To what extent are migrant worker organization and participation in workplace dialogue promoted or hindered?

Impact

Model 4 aims to improve the ability of the private sector to respect the rights of migrant workers, protect them from human trafficking and exploitation, and implement effective grievance and remedy mechanisms. It also seeks to strengthen the ability of the government and civil society to promote responsible business practices and to increase migrant worker engagement.

Target groups

IOM will target the private sector, including multinational enterprises, employers, recruiters, industry and trade associations, employer organizations, and chambers of commerce; civil society, including the labour movement, migrants' rights organizations, and other migrant worker advocates, including migrant workers themselves; and multi-stakeholder initiatives that bring together the above-mentioned groups to promote ethical recruitment and responsible employment of migrant workers in global supply chains. Activities under Model 4 will also target governments at national and subnational levels and across relevant ministries, including labour, foreign affairs, commerce, economic affairs, immigration, health, and environment.

Outcomes

The main outcome of IOM's holistic private sector engagement is action taken by businesses to ensure respect for migrant workers' rights and promote the participation of workers in their protection from exploitation in business operations and supply chains. Outcomes will also include action by governments to adopt and enforce strong legal and policy frameworks to regulate business conduct. First-order outcomes will include those associated with improvements in corporate policies and management systems, and other actions, including worker involvement, to prevent and respond to the risk of labour exploitation, as well as provide or facilitate access to effective remedy, if harm has occurred. Further first-order outcomes related to national or local policies or regulations will include stronger legal and regulatory frameworks that require responsible business conduct, and strengthened monitoring and enforcement mechanisms to promote legal compliance among businesses. Higher-order outcomes that are on the pathway to impact will include improvements in migrant worker recruitment systems, workplace safety, employment terms, working conditions and wages, worker engagement in monitoring and reporting, and respect for workers' rights.

Outputs

The outputs of Model 4 are the direct results of activities to strengthen private sector responses. They may take the form of corporate institutional frameworks that promote multi-stakeholder engagement and dialogue; worker engagement strategies; tools and resources for companies (e.g., due diligence tools); new training and courses for diverse stakeholders; and model policies and regulations for policymakers.

Recommended coordination partners

IOM will collaborate with international and national partners, including governments, the private sector, civil society, UN agencies (e.g., UNDP, ILO) and other international organizations (e.g., the OECD). This includes formal cooperation as already established with industry associations, global businesses, migrants' rights groups, and multi-stakeholder groups; it also includes participation in leading initiatives that champion responsible business practice and convening multi-stakeholder dialogue to promote knowledge, learning, and good practice.

Inclusion of beneficiaries

To ensure that the interventions are able to meet the actual needs of rights holders – migrant workers at all stages of labour migration process, from recruitment, to monitoring of and reporting on their conditions, to return or onward migration, – it is essential to involve them from the design phase of the interventions through to the implementation and evaluation, and, finally, to improvement measures. For interventions that target the private sector, it will be important to select migrant workers who represent a wide range of demographic groups, including different nationalities, ages, and genders, as well as geographic locations, and business sectors. Where feasible and appropriate, secondary beneficiaries including individual businesses, business associations, employers' associations, trade unions, relevant governmental entities, etc. should be consulted on project design and implementation modalities as well as on monitoring and evaluation planning.



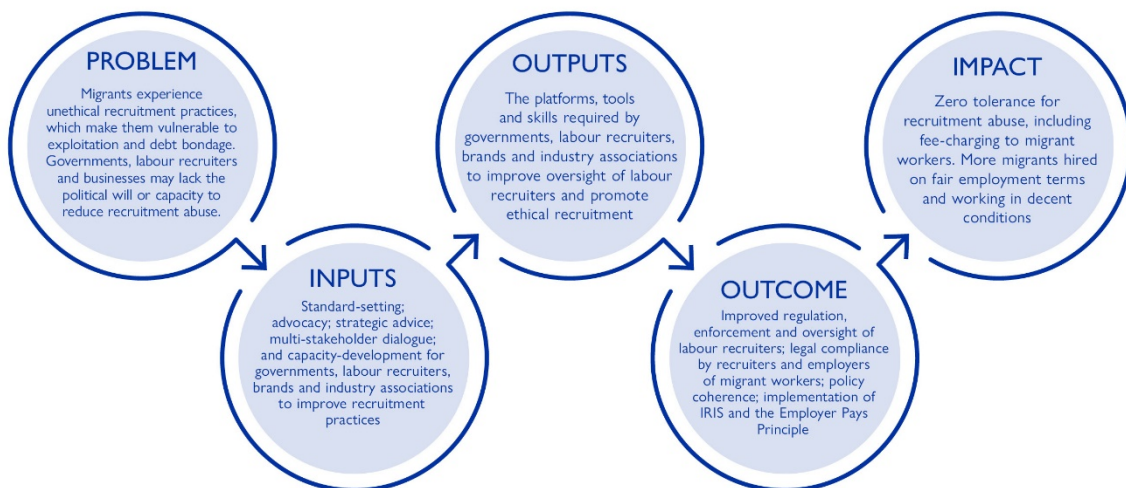
INTERVENTION MODEL 5: PROMOTION OF ETHICAL RECRUITMENT

Model 5 aims to strengthen the ability of governments, labour recruiters, and employers to reduce abusive recruitment.

Model 5 is a growing area of IOM work through which the Organization aims to reduce the risks of exploitation that migrant workers face as a result of unethical recruitment and governance gaps in cross-border labour migration. IOM's flagship [IRIS: Ethical Recruitment](#) Initiative **prevents risks of recruitment-related abuse**, including the charging of recruitment fees and related costs to migrant workers, which can lead to debt bondage, and deception or misinformation about work, pay, or employment terms and conditions. IOM's strategic, multi-stakeholder approach is designed to work with governments, businesses (both employers and recruiters), and civil society organizations, as well as with the migrant workers themselves, to support mutually reinforcing public and private engagement to safeguard migrant workers' rights throughout the recruitment and labour migration process.

The Model 5 theory of change (see Figure 5.1) fits into the broader IOM counter-trafficking theory of change by helping to enhance ethical recruitment practices and concomitantly to reduce exploitation of migrant workers.

Figure 5.1. Model 5 theory of change components



Model 5 intervention components

Intervention problem

- Unethical recruitment is often associated with jobs in lower-skills sectors, where prevailing practices are based on a “worker pays” business model. Under this arrangement, migrant workers pay the fees and costs related to recruitment and migration, which often leaves them heavily indebted. Other unethical practices include

providing false or misleading information on wages or working conditions, limitations on freedom of movement, coercion, confiscation of identity documents, and other personal property. Such practices make migrant workers vulnerable to exploitation and abuse, including forced labour and human trafficking.

- In many labour migration corridors, gaps in legislation, regulation, and enforcement exacerbate the vulnerability experienced by migrant workers during the recruitment process. Inconsistencies across jurisdictions, including countries of origin, transit, and destination, coupled with uneven enforcement capacity, put migrant workers at risk of unsafe and exploitative conditions. This includes the lack of labour migration policies, of effective public licensing and oversight of recruitment agencies, of robust inspection and enforcement mechanisms as well as of broader investment in bilateral cooperation and other means that can be used to enhance migrant worker protection.
- Labour recruitment often involves multiple intermediaries or networks of recruitment and placement agents at source and destination locations. Prospective workers are rarely aware of each of the agents involved, especially at destination, and there are currently few examples of effective bi-lateral government collaborations to monitor, control, or punish unethical and/or unsafe recruitment practices.
- Labour recruiters may be unaware of or ignore applicable laws and ethical recruitment standards. Similarly, employers may be unaware of or overlook unethical recruitment practices, including fee-charging to migrants, or unwilling to implement ethical recruitment practices. Employers and labour recruiters often do not have the necessary policies or procedures in place to ensure that recruitment is performed ethically and that migrant workers are protected. While significant steps have been taken to promote ethical recruitment in supply chains, including new global initiatives established to meet this purpose, nevertheless, gaps remain across economic sectors, including agriculture, manufacturing, services, etc.

Intervention context

The following contextual factors can have a positive or negative influence on the outcome of a Model 5 intervention and should be carefully considered during project development and implementation.

- *Legal framework.* What legal, regulatory, and enforcement measures exist to promote ethical recruitment and protect migrant worker? Is there a labour recruiter licensing or registration scheme and are inspection services mandated to monitor the activities of labour recruiters? What are the existing sanctions regime to punish labour recruiters who don't comply? Does existing policy and regulation explicitly prohibit the charging of recruitment fees and costs to jobseekers? What are the legal recruitment due diligence requirements and accountability mechanisms? What measures are in place to compensate workers who are abused or exploited by recruiters or labour intermediaries?
- *Enabling regulatory environment.* To what extent do the regulation of labour migration, recruiters and employers help to prevent abusive recruitment practices, promote ethical recruitment, and protect migrant workers? Do the business and regulatory environments promote or enable responsible business practices aligned with the UN Guiding Principles of Business and Human Rights? In particular, do companies have to publicly report on their human rights due diligence efforts? Are there any other incentives promoting responsible business conduct (e.g., consumer or civil society activism)?

- *Business policies and practices.* Do business policies and practices (e.g., for the recruitment and placement of migrant workers) exacerbate or, on the contrary, minimize the risks of human trafficking and exploitation in the company's operations, business partnerships, supply chain, and community of operation? Are there industries particularly vulnerable to labour exploitation and abuse, including human trafficking and debt bondage? Is human trafficking prevalent along the labour migration corridors? Are there existing industry-based or multi-stakeholder initiatives dedicated to combating human trafficking and to the protection of migrant workers?
- *Political support.* Is there a public commitment to ethical recruitment? Is the government a member of the IRIS Global Policy Network on recruitment? Do they support public efforts to promote the ethical recruitment and migrant worker protection agendas? Does the government pursue labour migration schemes, including through bilateral labour migration agreements that include principles of ethical recruitment? Does the government have a strategy to promote responsible business practices or a National Action Plan on business and human rights, where in risks of unethical recruitment and human trafficking are addressed?
- *Worker circumstances and risks.* Which worker circumstances and employment arrangements put migrant workers most at risk? Why might certain workers be at a greater risk of exploitation and poor working or employment conditions than others?

Impact

Model 5 protects migrant workers from severe forms of exploitation, including debt bondage and human trafficking, by reducing recruitment abuses.

Target groups

IOM's multi-faceted, multi-stakeholder approach to promoting ethical recruitment, protecting migrant workers, and inspire recruitment industry transformation leverages the strength and influence of all relevant stakeholders, including: governments at national and subnational levels and across relevant policy portfolios, including labour, social welfare, foreign affairs, justice, interior, and immigration, and others; the private sector, including global companies, employers, labour recruiters, industry and trade associations, employer organizations and chambers of commerce; civil society, including the labour movement, migrants' rights organizations, diaspora, faith-based groups, academia, think tanks, and other migrant worker advocates; multi-stakeholder initiatives that bring together the above-mentioned groups to promote sustainability standards in global supply chains; and migrant workers, their families, and communities of origin and destination.

Outcomes

The main outcome of Model 5 activities is well-implemented laws, regulations, and enforcement mechanisms that improve oversight and legal compliance of labour recruiters and recruitment practices. First-order outcomes include improved policy coherence across jurisdictions to protect migrant workers; strong enforcement mechanisms to promote legal compliance by recruiters and employers; bilateral and multilateral cooperation to promote the principles of ethical recruitment; uptake of the [IRIS Standard](#) by labour recruiters; and the commitment and implementation by international brands and employers of ethical recruitment and hiring practices. Higher-order

outcomes on the pathway to impact will include zero tolerance to abusive recruitment and fee-charging to migrant workers as well as a rise in the number of workers employed in decent working conditions and free from recruitment-related debt.

Outputs

The outputs of Model 5 are the direct results of activities to promote ethical recruitment. They will include, for example, tools to support stakeholder engagement and multi-sector dialogue on ethical recruitment; resources for labour recruiters, employers, and global brands; advocacy and communications materials; training and capacity building opportunities for recruitment-related stakeholders; platforms to facilitate bilateral and multilateral labour migration schemes; model policies and regulations for policymakers; due diligence tools to increase transparency; strategies and resources to amplify migrant workers' voice and enhance their inclusion and empowerment; increased awareness among migrant workers of their rights and ethical recruitment standards; and multi-stakeholder piloting initiatives..

Recommended coordination partners

IOM collaborates with international and national partners, including government, the private sector and civil society. This includes formal cooperation as already established with industry associations, global businesses, labour recruiters, migrants' rights groups, and multi-stakeholder groups. It also includes participation in leading initiatives that champion ethical recruitment such as the [Leadership Group for Responsible Recruitment](#), of which IOM is a founding member, and the [Responsible Labour Initiative](#).

Inclusion of beneficiaries

To ensure that the interventions are able to meet the needs of jobseekers and migrant workers, it is essential to involve them from the design phase of the project through to the evaluation. For interventions that address recruitment policies, regulations, and practices, it will be important to select beneficiaries that represent current or prospective migrant worker groups in the target location and relevant sectors. Those selected should include individuals who are representative of the target groups in terms of gender, ethnicity, age, education, and socioeconomic background. Where feasible, secondary beneficiaries such as labour recruiters and employers, civil society organizations, and relevant government officials, should be consulted on the process of developing, implementing, and monitoring mechanisms to promote ethical recruitment.



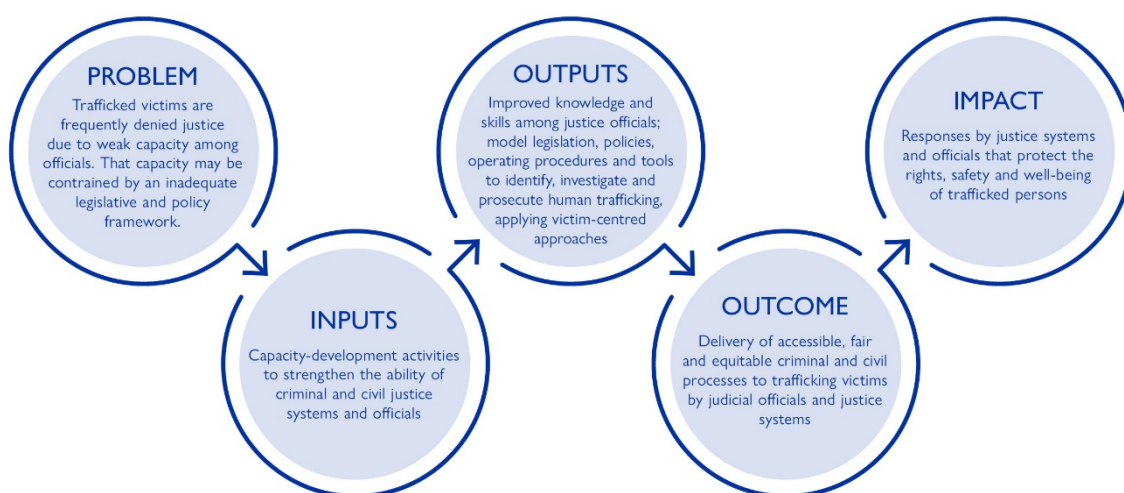
INTERVENTION MODEL 6: CAPACITY-DEVELOPMENT OF JUSTICE SYSTEMS

Model 6 aims to strengthen the capacity of the justice system to improve victims' access to criminal and civil justice.

Model 6 has a long-standing history of implementation by IOM and other counter-trafficking organizations. There is limited evidence on effectiveness, delivery can be challenging in contexts where the justice system is overwhelmed, overstretched, or highly corrupt, and results are highly dependent on the system's overall functionality.

The Model 6 theory of change (see Figure 6.1) fits into IOM's broader theory of change because the activities help improve survivor legal protection.

Figure 6.1. Model 6 theory of change components



Model 6 intervention components

Intervention problem

- Failure to identify trafficked persons and respond to their situation enables perpetrators of trafficking to continue the exploitation and abuse of vulnerable people with impunity.
- In many contexts, victims of trafficking are denied justice because of legal restrictions, inadequate institutional structures, and the weak capacity of criminal and civil justice officials. Trafficked persons, especially migrants, may be reluctant to self-identify to law enforcement or engage in judicial processes (e.g., for lack of confidence in the justice system or fear of reprisals from traffickers).
- In many national jurisdictions, victims of trafficking, including those who have already returned home, are permitted to sue exploitative employers for civil damages, but poorly developed jurisprudence (including the

absence of specific precedent), a lack of knowledge among judges and lawyers, and inadequate legal and financial support have resulted in many victims being denied the remedies available to them by law.

- Poor knowledge and skills among justice system representatives reduces the effectiveness of the law enforcement efforts against human trafficking. It can also lead to secondary abuse of victims at the hands of law enforcement agents, prosecutors, and judges.

Intervention context

The following contextual factors can have a positive or negative influence on the outcome of a Model 6 intervention and should be carefully considered during project development and implementation.

- *Legislation.* Does the legislative and policy framework provide for criminal and civil responses to human trafficking? Are victims punished for crimes committed as a result of being trafficked? Are migrants denied access to justice? Is there any specific jurisprudence empowering judges to consider civil claims made by or on behalf of victims, including those who are without legal status or those who have already returned to their home countries without being identified as victims of crime?
- *Local capacity.* Is the justice system generally functional? Is the system overstretched or corrupt? Are front-line responders knowledgeable, willing, and able to respond to human trafficking according to the law? Do officials in positions of power or seniority support actions by front-line responders? Is IOM able to coordinate with governments and members of the criminal and civil law systems?
- *Barriers to access.* Is it safe for trafficked persons to report to and cooperate in criminal, civil and judicial processes? Are they willing to do so?
- *Sustainability.* Will there be sufficient local human and financial resources to sustain and follow up IOM's training and mentorships activities?

Impact

Model 6 aims to improve access to justice for victims of trafficking by strengthening judicial structures and systems, including officials' knowledge, skills, and performance.

Target groups

Target groups might include the police force, justice ministries, national law reform commissions, national training academies, specialized victim/witness teams, private law firms (e.g., for pro bono assistance), legal aid clinics, and NGOs.

Outcomes

The main outcome of Model 6 criminal and civil justice capacity-development activities is the delivery of accessible, fair, and equitable criminal and civil processes to victims of trafficking by justice officials and systems. First-order outcomes will include improvements in the implementation of knowledge and skills by stakeholders – governmental and non-governmental – in trafficking cases, including, for example, by prioritizing victim safety and well-being, ensuring justice processes are accessible, safe, and rights-based, and helping victims to pursue compensation and reparation claims. Higher-order outcomes will include a rise in the number of trafficking survivors who obtain justice from a well-functioning criminal and civil justice system.

Outputs

The outputs of Model 6 are the direct results of activities to build the capacity of justice officials and systems. They will include, for example, draft normative framework, guidelines, or standard operating procedures, memoranda of understanding or cooperation agreements among stakeholders in one or more countries, relevant and high-quality training curricula and reference materials, engagement of appropriate target groups, and knowledge uptake and learning by training and mentorship participants, enhanced resources, etc.

Recommended coordination partners

For Model 6, IOM will collaborate with, for example, ministries of justice, police forces, national training academies, legal aid boards, NGOs and private law firms offering pro bono assistance.

Inclusion of beneficiaries

To ensure that the criminal and civil justice systems and their representatives are prepared to meet the needs of trafficked persons throughout judicial processes in each context, representatives from the local survivor population, including both individuals who have had experiences with the justice system and those who have been left out, should help plan, implement, and evaluate IOM's activities. They should include individuals who are representative of the likely local survivor population in terms of gender, ethnicity, age, education, and socioeconomic background. Justice system actors (e.g., law enforcement authorities, the judiciary, legal aid providers etc.), as well as organizations providing support to victims, should be consulted on issues such as legal gaps, priority information, training, and equipment needs, coordination, resources, and others.



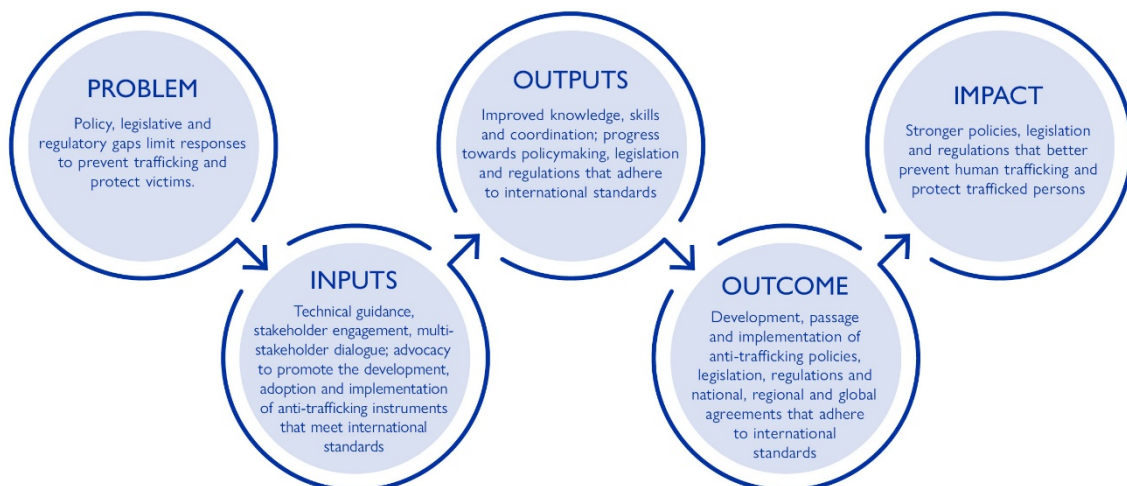
INTERVENTION MODEL 7: LAW AND POLICY DEVELOPMENT

Model 7 aims to support the development and implementation of legislation and policies that protect trafficking survivors and reduce the risk of human trafficking and exploitation, in line with international standards and best practices.

Model 7 is a form of anti-trafficking intervention regularly carried out by IOM. The Organization has **a strong history of providing technical guidance** to help governments develop legislative and policy responses to human trafficking, and adhere to appropriate international legal frameworks and standards. It is also well placed to convene and facilitate multi-stakeholder dialogue at national, regional, and global level. Review findings suggest that such forums are effective at promoting coordination and the development of cooperation mechanisms (e.g., national plans of action, bilateral and regional agreements).

The Model 7 theory of change (see Figure 7.1) fits into the broader IOM theory of change because the activities contribute to improved protection, prevention, and (where relevant) prosecution responses.

Figure 7.1. Model 7 theory of change components



Model 7 intervention components

Intervention problem

- Human trafficking responses are often constrained by legislative, policy and regulatory gaps. For example, gaps in legislation can lead to impunity for trafficking perpetrators; they can also result in trafficking survivors being denied justice.

- Several widely ratified international instruments provide the framework for addressing human trafficking. For example, States must protect trafficked persons as part of their international obligations under the Trafficking in Persons Protocol. Some countries have not ratified the relevant international instruments; many more countries have not yet put in place national counter-trafficking legislation that meets international standards.
- Effective counter-trafficking policy responses require multi-stakeholder coordination and collaboration. For example, national plans of action can create an enabling environment for comprehensive anti-trafficking responses. Other examples of effective cooperation mechanisms include bilateral and regional labour agreements, which can prevent abusive and fraudulent practices in the recruitment of migrant workers.
- Governments often require support to develop laws and policies. They may also turn to honest brokers to support policy dialogue and coordination (e.g., across government; between government, civil society and the private sector; at national or multilateral level) and ensure policy coherence.

Intervention context

The following contextual factors can have a positive or negative influence on the outcome of a Model 7 intervention and should be carefully considered during project development and implementation.

- *Political commitment.* Do the government's representatives have the necessary political will and commitment? Who might be policy champions? How will this level of commitment affect the project? What are the current and upcoming opportunities for and barriers to building the political will and cross-government, bilateral or regional consensus that might affect the actions related to each of the different forms of trafficking?
- *Competing or contradictory political agenda or policies.* What current or upcoming policies or legislative agenda might compete with or contradict the project aims?
- *National or regional instability, crises, or upheaval.* What are the foreseeable national or regional instabilities or discord that might affect the development, agreement or roll-out of policies or legislation? What might be the effects?
- *Weaknesses or gaps in human or financial resources to sustain and follow up training or mentorships.* What human and financial resources are currently available to invest in, maintain and follow up training or mentorship activities? What events might disrupt the flow of resources? How might this affect the project?
- *Government leadership in policy and legislative processes.* Is there sufficient leadership to advance the policy agenda on human trafficking? If yes, what strategic partnerships should be aligned? If no, how will the project be affected by these gaps?
- *Donor commitment to invest in support for legislative and policy development.* What are the current and future levels of donor commitment to policy development and implementation? How might increased or reduced investments affect the programme?

Impact

Model 7 aims to support the development and implementation of legislation and policies that protect trafficked persons and reduce the risk of human trafficking and exploitation, in line with international standards and best practices.

Target groups

Target groups traditionally include policymakers in central and local government, and parliamentarians. “Whole-of-society” approaches to public policymaking increasingly require engagement with additional stakeholders, such as civil society and the private sector. Activities at supranational level can target regional entities (e.g., regional organizations; inter-State consultation mechanisms on migration) or the multilateral system (e.g., international organizations). Activities under Model 7 may also target advocacy groups, opinion leaders, and the media.

Outcomes

The main outcome of Model 7 activities is the development, passage, and implementation of policies, legislation, regulations, and national, regional, and global agreements that adhere to international anti-trafficking standards. First-order outcomes will include the development and adoption of new or revised legislation and policies that are aligned with international standards and best practices, and increased resource allocation to support these processes. Higher-order outcomes that are on the pathway to impact will include the emerging influence of policy and legislative changes on responses to human trafficking, for example, a rise in the proportion of trafficked persons who benefit from law- and policy-related mechanisms.

Outputs

The outputs of Model 7 are the direct results of IOM’s technical guidance, mentorship, and coordination activities to support the development of laws and policies. They will include, for example, the availability of legal analyses of legislation; comparative legal research; model laws or technical inputs for draft instruments; improved knowledge among decision makers (e.g., on international standards and best practices); information-sharing; and the formation of coordination structures such as interministerial committees or regional processes.

Recommended coordination partners

For Model 7, IOM will collaborate with, for example, relevant UN agencies; ministries of justice, national law reform commissions and anti-trafficking coordination committees/task forces at national level; and regional organizations and cooperation structures or processes.

Inclusion of beneficiaries

To ensure that policies, laws, and agreements are developed and implemented in ways that meet the needs of trafficked persons in each context, representatives from the local population of individuals affected by various forms of human trafficking should help plan, implement, and evaluate IOM’s activities. They should include individuals who are representative of the likely local population of trafficked persons in terms of gender, ethnicity, age, education, and socioeconomic background.



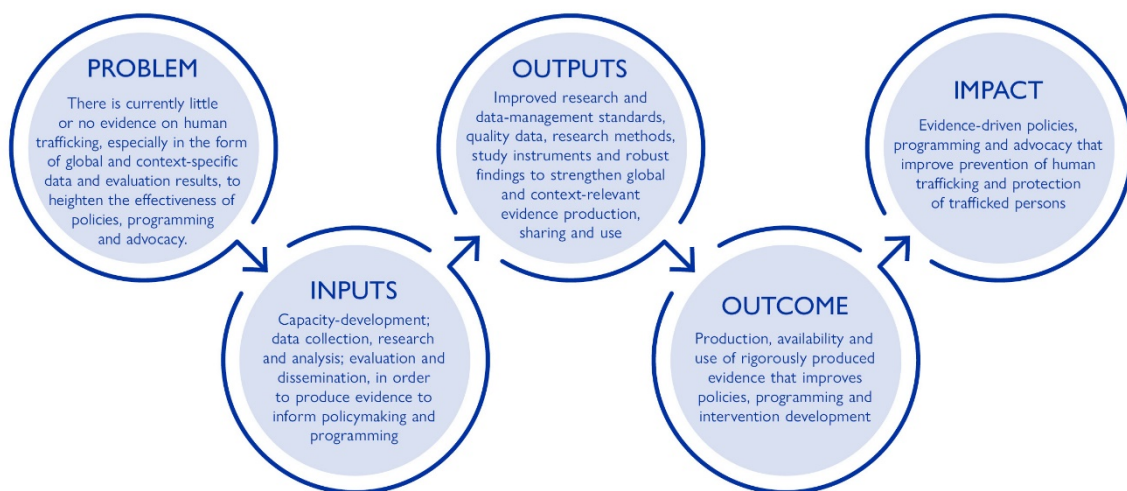
INTERVENTION MODEL 8: RESEARCH AND DATA COLLECTION/ MANAGEMENT

Model 8 aims to produce and promote the collection, analysis, and dissemination of high-quality data with a view to building a robust, accessible, and growing body of evidence to improve counter-trafficking responses.

Model 8 is a strong feature of current IOM programming. The Organization has a **substantial history of counter-trafficking research and data systems management**, and these remain a growing area of IOM programming at global and country level. Results from the 25-year review of IOM programming suggest that there is great potential to improve the Organization's research and data management and to support the generation of evidence by governmental and other organizations. In addition, rigorous evaluation research will enable IOM to improve its intervention models for replication and scale-up.

The Model 8 theory of change (see Figure 8.1) fits into the broader IOM theory of change because the activities contribute to improved protection, prevention, and (where relevant) prosecution responses.

Figure 8.1. Model 8 theory of change components



Model 8 intervention components

Intervention problem

- Data-collection methods and tools, data analysis and data-management systems for human trafficking are a nascent field. As a result, global and local evidence is weak and inconsistent, hindering the effectiveness of anti-trafficking responses.

- Research gaps have led to limited data-driven evidence on the determinants of exploitation that can be used to design targeted policies and programming. Poor monitoring and evaluation of interventions has hindered the design and adaptation of interventions to address human trafficking.
- Poor research ethics risk harm to researchers and participants and potentially poor data collection.
- States and NGOs frequently do not have the capacity or resources to develop strong data-collection methods or data-management systems.
- It is difficult to use traditional statistical methods to target hidden or hard-to-reach populations, such as trafficking survivors. Even if these people can be reached, trafficking is a relatively rare event, statistically speaking, which makes it difficult to determine detailed information with any statistical confidence.
- There is generally little standardization in data-collection methods and data interpretation.
- Current data are highly sensitive and often pertain to individuals and criminal activity, raising significant civil liberty and privacy concerns. The risk that a vulnerable person will be identified from these data can be substantial and the consequences severe.
- There is no consensus on priority evidence gaps or clarity about how they should be addressed.

Intervention context

The following contextual factors can have a positive or negative influence on the outcome of a Model 8 intervention and should be carefully considered during project development and implementation.

- *Political, social, economic, and environmental stability of the context.* How politically, socially, or economically stable is the context in which the data will be collected or managed? How might any instability affect data collection, analysis, or representativeness?
- *Patterns of migration and access to migrants and trafficked persons.* What are the past, current, and prospective migration patterns and how easy or difficult will it be to access a range of or particular migrants and trafficked persons and/or relevant data for different populations?
- *Availability of facilities and resources for data management.* What resources, office structures, secure locations and staff are available for data management? Are they sufficient and appropriate to conduct ethical and high-quality data management?
- *Continuity or disruptions to research or data-management staffing.* What is the likelihood of future disruptions to data collection, analysis, and management? What would be the likely effects of such disruptions?
- *Presence of data governance frameworks and relevant legal frameworks.* What types of governance or legal framework guide the collection, use, management, and dissemination of migration-related or trafficking-related data?

Impact

Model 8 aims to improve the conduct of and support for well-designed research and data-collection methods that produce evidence to inform effective national, regional, and global policymaking and programming.

Target groups

The target group will include governments (e.g., policymakers; national statistical offices; front-line agencies collecting primary data); UN and development partners; international and local organizations, including NGOs working to provide support to trafficked persons; the private sector; academics; students; and peer-reviewed publications.

Outcomes

The main outcome of Model 8 activities is the production, availability, and use of rigorously produced evidence that improves policies, programming, and intervention development. First-order outcomes will include greater use of high-quality research methods, tools and improved data standards and data-management systems, and rigorously produced and broadly disseminated evidence on human trafficking. Higher-order outcomes on the pathway to impact will include greater use of this evidence by policymakers and practitioners to inform their anti-trafficking policies and programmes.

Outputs

The outputs of Model 8 are the direct results of activities to improve research and data-management standards, which include the production of higher-quality data, research methods, study instruments and robust findings to strengthen global and context-relevant evidence production, sharing and use. Outputs might include strengthened knowledge and capacity of stakeholders to collect, manage or use human trafficking data, and the availability of new data, analyses and research reports produced and disseminated by IOM.

Recommended coordination partners

For Model 8, IOM will collaborate with, for example, local research and academic institutions, decision makers and national statistical offices; front-line agencies collecting primary data; and UN and civil society organizations, including NGOs working to provide support to trafficked persons.

Inclusion of beneficiaries

To ensure that research, data systems and evaluation of interventions are conducted in ways that address the diverse circumstances of human trafficking in each context and respond to local information priorities, representatives from the local population of individuals affected by various forms of human trafficking should help plan, implement, and evaluate IOM's activities. They should include individuals who are representative of the likely local population of trafficked persons in terms of gender, ethnicity, age, education, and socioeconomic background.



FROM MODELS TO PROJECTS



III. FROM MODELS TO PROJECTS

This section aims to guide project development in line with the eight intervention models. It emphasizes strong monitoring and evaluation activities to demonstrate whether a model is effective and replicable or worth scaling up.

How to align new projects with a specific intervention model

The descriptions of Models 1 to 8 above provide overviews of the activities that each model might comprise, and what each model seeks to achieve and how. New IOM projects should be carefully considered to determine **which model is most closely linked to the project's objectives, expected results, or activities.**

For example, if the main objective of the project is to facilitate access to justice for trafficking survivors, such as compensation, it will likely align most closely with Model 6 (Capacity-development of justice systems).

Although many IOM projects encompass multiple activities that cut across several models, to the extent possible, different activities should be attributed to the **most closely related model** so that the various elements and outcomes are clearly articulated and carefully monitored. Evaluations can and should also assess the interactions between different components implemented in the same setting.

How to prepare project proposals and results matrices that align activities with the models

Project proposals and results matrices should be **prepared in line with the theory of change**, the results, the indicators, and the measurement options described in Models 1 to 8, or adapted to align with them to the extent possible.

Project staff should follow the IOM **conceptualization and project development processes** set out in the *IOM Project Handbook*, including an assessment of the context in which the project will be implemented.

For example, for Model 7 (Law and policy development), the project description and results matrix should articulate each specific capacity-development activity that will take place, define its target groups, and identify the output indicators and data sources that will demonstrate that the activity was conducted and perhaps had its intended immediate effects. For Model 8 (Research and data collection/management), if the main activity is to provide technical assistance to strengthen a country's data-collection system, the output indicators may refer to specific aspects of the new data-management system or trained staff. Outcomes could include, for instance, the availability of stronger, more context-relevant evidence that is ethically collected, securely stored, and transferred in appropriately engaging formats to key decision-makers.

How to integrate evaluation components into project proposals

When donors consider which anti-trafficking interventions to fund, they ask themselves a central question: **what works** to prevent or respond to human trafficking? Now is a propitious moment for IOM to highlight the dedication to evidence demonstrating which interventions have proven to work and are cost-effective. Future IOM project proposals therefore should strive to include **sufficient funding for evaluations** to run from project start to finish. Post

hoc evaluations are often unable to demonstrate whether any effects are attributable to the project and, more importantly, cannot provide the crucial ongoing feedback from which interventions can learn, adapt, and improve.

Robust allocations for IOM **M&E staff** and/or **professional evaluation teams** in project the planning and budgeting are required to secure the expertise needed to apply the methods that can properly assess interventions and demonstrate effectiveness.

Owing to cost limitations, having professional evaluation teams follow the project from start to finish may have to be limited to a few priority interventions in particular locations (see more on this in Annex 1). Ultimately, however, IOM should aim to have completed such evaluations in **at least two different project sites for each intervention model** over the next ten years, and hopefully more, if funding is available. Using **comparative evaluation data on the impact of each model**, it will be possible to extrapolate to what extent each model might have affected the intended target groups in locations where the evaluations did not take place.

For example, if three separate evaluations of Model 1 (IOM case-management services) were conducted in different settings and each demonstrated that approximately 70 to 80 per cent of survivors experienced improved mental health (e.g., decreased symptoms of post-traumatic stress disorder and depression) over a certain period of time, the evidence can reasonably be construed to suggest that this is the approximate level of effect that this model would have among populations that were not evaluated, if it were similarly implemented and – most importantly – adapted for the context and target groups.

IOM's intervention models are each at **different stages of development** and will, therefore, require different phases of evaluation methodology, namely:¹⁷

- *Phase 1. Foundational research and model development* – intended for newer or early-stage interventions, to identify, for example, the modifiable determinants – or risk and protective factors – that the intervention has the greatest potential to change. Additionally, this stage of research examines the target groups and contexts;
- *Phase 2. Piloting, process-monitoring, and adaptation* – intended for interventions that have already identified evidence on risk and protective factors for particular populations or sectors, developed a draft theory of change, and articulated activity plans for a particular setting and target group. The key evaluation aspects for this phase are the monitoring, feedback, and adaptation loops, which are intended to refine and improve the model based on real-time evidence;
- *Phase 3. Rigorous evaluation of the model* – comprises the most rigorous evaluation techniques used to measure to impact on particular populations, sectors, or sites. The methods generally include experimental (e.g., randomized controlled trials) or quasi-experimental designs, accompanied by process evaluations. The aim is to

¹⁷ Based on the Medical Research Council's framework for developing and evaluating complex interventions (see P. Craig et al., Developing and evaluating complex interventions: the new medical Research Council guidance, *British Medical Journal*, 337:1655 (September 2008)).



gain an understanding of the “active ingredients”, or the most effective aspects, of the intervention and to monitor harm to any participants.

For example, IOM has been delivering case-management and other protection and assistance services for several decades; this intervention model may therefore be ready for more rigorous, Phase 3-type trial or case-control evaluations. Other intervention models, such as IOM’s technical advice to the private sector, will probably benefit from foundational research that identifies, for instance, local patterns of exploitation by, for example, companies in the formal economy versus informal workplaces, and modifiable determinants to determine in which sectors IOM can have the most effective results, to inform program design.

More guidance on the evaluation stages is included in Annex 1.

The methods best suited to each model should be **determined by IOM working with its evaluation team** (more guidance on this is provided in Annex 1). For the time being, however, based on the review of past IOM interventions and the stage of development of IOM global activities, the levels of evaluation set out in Figure 9 are suggested¹⁸ for the eight intervention models:

Figure 9. Recommended evaluation level by intervention model

Intervention models			Recommended evaluation level
	Model 1	IOM case-management services	Phase 3
	Model 2	Capacity-development for service provision and protection	Phase 2 or 3
	Model 3	Referral system strengthening	Phase 2 or 3
	Model 4	Strengthening of private sector responses	Phase 1
	Model 5	Promotion of ethical recruitment	Phase 1
	Model 6	Capacity-development of justice systems	Phase 2 or 3
	Model 7	Law and policy development	Phase 2 or 3
	Model 8	Research and data collection/management	Phase 2 or 3

By ensuring appropriate evaluation of its programming, IOM will increasingly improve how its intervention models are articulated and measured.

¹⁸ These recommendations are based on available assessments of past IOM activities in these areas and their experience carrying out these types of intervention.

articulated and measured.



INSTITUTIONAL PRACTICES TO SUPPORT SUCCESSFUL IMPLEMENTATION



IV. INSTITUTIONAL PRACTICES TO SUPPORT SUCCESSFUL IMPLEMENTATION

IOM counter-trafficking interventions should be underpinned by **strong internal processes** that ensure:

1. Targeted project planning;
2. Ethical review and conduct of projects and research; and
3. Appropriate levels of intervention evaluation and systematic knowledge transfer.

This chapter provides general guidance on these practices, with the understanding that they should build on or align with current IOM policies, procedures, and systems.

Targeted project planning

The aim of targeted project planning is to promote **systematic and collaborative approaches** to IOM project assessment and planning, thereby ensuring activities are suited to the context and target groups.

Pre-project assessments should:

- ✓ gauge the **needs, resources, context, project partners** and **potential sustainability** of an intervention;
- ✓ tentatively determine the level of evaluation rigour needed to identify promising practices or, if possible, what works. While many interventions will not require the most rigorous **level of evaluation**, others will – for example, those where the intention is to invest in replication or scale-up;
- ✓ identify the **modifiable determinants** of the problem, i.e., the causal drivers that can be influenced by the intervention to affect the probability of the outcome. For example, the availability, quality, and usability of mental health services are the most likely modifiable determinants for improving survivor mental-health symptoms;
- ✓ help define the **ceiling of accountability** – or what can realistically be achieved in the project time frame;
- ✓ be conducted in collaboration with IOM's **main local partners**, such as the government, civil society, and academic institutions.

Pre-project assessments should include:

- *A needs assessment*: what are the needs specific to the context and target group(s)?
- *A context assessment*: what are the opportunities, barriers, and risks in the context or in working with this population?
- *Modifiable determinants*: What factors have the biggest impact on the causes of the problem or are most likely to improve the situation, and which are the most susceptible to change?
- *Ethics and safety*: What are the ethical and safety challenges to the project?
- *Potential partnerships*: Who should the project coordinate with and what roles should each partner have?
- *Duplication, complementarity mapping*: Who else is doing similar work?
- *Resources* (human, financial, material): What are the local or other resources that could contribute to and potentially sustain the intervention?
- *Capacity*: What is the current and future capacity of local groups and individuals?

- *Sustainability*: What are the pathways and opportunities for the work to be sustained or handed over and localized?
- *Cost-effectiveness*: What are the estimated costs for the potential gain? What is the likelihood of cost savings if the intervention is scaled up?
- *Evaluation*: What is the appropriate level of rigour and form of evaluation needed to assess the intervention?

Ethical review and conduct of projects and research

Regardless of the project location, programming and research are associated with **ethical and safety risks** to the staff delivering the interventions and the beneficiaries participating in them. The obligation to protect the safety and well-being of beneficiaries nevertheless falls squarely on those implementing the activities. Especially in the case of hidden abuses, such as human trafficking, a careful and context-centred ethics review can promote the safe and ethical conduct of projects, research, and evaluations, and this will, in turn, foster better prevention of and responses to human trafficking.

All projects, including direct assistance (e.g., case-management services), research, and evaluations, should undergo either an internal IOM or an external formal **ethics review** (e.g., by a research institution or government body). Ethical reviews of research and evaluation in particular are essential and should always include review by a national or local ethics review board where the research will take place. Reviews should aim to ensure that IOM's work adheres to international standards and will not jeopardize the safety and well-being of IOM staff, other stakeholders, or beneficiaries. Further, ethics reviews should consider how the work will benefit the community and whether it includes strategies to make sure that it does. For a genuinely effective ethical review process, it is essential to consult with local stakeholders about context-specific risks, support and referral options, and legal reporting and other obligations.

Intervention monitoring and evaluation, and knowledge-transfer

Future IOM programming is predicated on the development of **robust evidence** and its overall impact will be assessed based on **independent evaluations** of the eight intervention models, to define their combined contribution to achieving the desired impact, i.e.:

- ✓ improved safety, health, and well-being of trafficked persons, and
- ✓ reduced risks and vulnerability of people at risk of human trafficking and exploitation.

In other words, to understand the effect of the overall IOM counter-trafficking programming, the Organization will evaluate the separate and then cumulative impact of the models on the two **primary beneficiary groups**: individuals affected by trafficking and individuals at risk of trafficking.

It will also be important to identify how the models influence the **secondary beneficiaries** (governments, civil society, and the private sector). These stakeholders are crucial on the pathway to the desired impact, because IOM's results depend heavily on strengthening well-positioned multisector players and mechanisms that help reduce human trafficking and limit its harm.

Robust intervention evaluations, particularly evaluations using mixed methods (experimental combined with process evaluation methods), can identify the level of impact and how the impact occurred – or the “active ingredients” each model needs to have to produce its intended effect. A core goal of each evaluation should be to **formulate specific guidance** on **how the models should be designed, delivered, and adapted** across IOM sites. The guide for each model should be regularly reviewed and updated as new lessons are learned.

To ensure that intervention evaluations produce reliable results, **professional evaluation teams** should be engaged to work closely with local IOM project teams and relevant stakeholders.

Clear plans should be in place to ensure that the results of each evaluation are transposed across relevant IOM programmes, for example, by involving staff from other sites in the evaluation from the start or by ensuring that staff share their learning in practice rather solely in written reports.



CONCLUSION

It has been several decades since the problem of human trafficking was formally acknowledged by the international community. It has been much longer since IOM first started addressing it. That makes for a strong foundation to put in place a reliable roadmap of what works to protect individuals from human trafficking or support survivors on the way to recovery.

IOM's projects following this guidance should attain tangible change in reducing the prevalence of and harm from human trafficking and establish a cutting-edge evidence base on what works in counter-trafficking and why. This will become one of IOM's trademark contributions to the achievement of the 2030 Agenda for Sustainable Development and objectives of the Global Compact for Safe, Orderly and Regular Migration.



ANNEX



ANNEX 1

Evaluation phases

Phase 1. Foundational research to inform model development: Foundational research is intended for newer or early-stage interventions, to identify, for example, the modifiable determinants – or risk and protective factors – that the intervention has the greatest potential to change. Additionally, this stage of research examines the target groups and contexts.

Typical **evaluation questions for phase 1** might include the following:

- *Prevention:* What circumstances put people in this sector/location at the greatest risk of being trafficked? How do determinants of exploitation versus safe, decent work differ by sector? Which drivers of exploitation are most important? Which are most modifiable in what time frame?
- *Post-trafficking care:* What types of care are needed by trafficking survivors? How do care needs differ by survivor group? What aspects of recovery are most important? Which aspects of care would be most modifiable by IOM's intervention capacity (e.g., within the project's sphere of control)?

By asking questions that help target modifiable determinants, IOM can allocate resources more carefully to address the most influential determinants among the selected target groups. Intervention research for this phase might include, for example, in-depth case studies, secondary data analysis to examine risk and protective patterns, or context or sector mapping to examine important influencing factors affecting exploitation, such as normative frameworks or recruitment practices.

Phase 2. Piloting, process-monitoring, and adaptation: Piloting and process-monitoring are intended for interventions that have already identified evidence on risk and protective factors for particular populations (or labour sectors), developed a draft theory of change, and articulated activity plans for a particular setting and target group. The key evaluation aspects for this phase are the monitoring, feedback, and adaptation loops, which are intended to refine and improve the model based on real-time evidence so that IOM can learn what is going right, what is not going so well, for which individuals the activities are working and not working, and whether the intervention is causing any unintended harm.

Typical **evaluation questions** for various intervention target groups (e.g., trafficking survivors; aspiring migrants; employers in a particular sector; law and policymakers) might include the following:

- How and how well is the intervention reaching the intended individuals/group(s)? Who is being left out?
- How and how well are the individuals/groups engaging with the intervention? Who is less engaged?
- How and how well is the intervention being delivered or implemented by project staff? What are the delivery strengths? What are the challenges?
- How and how well is the intervention influencing the determinants it seeks to address (i.e., behaviours, structures, practices)?
- How are any external, contextual, or structural factors influencing (positively, negatively) the delivery and impact of the intervention?

Emerging data from these monitoring questions will be fed back into the project plans and activities adjusted accordingly. Changes may also be made to the theory of change.

In short, Phase 2 evaluations should be designed to test the validity of the proposed theory of change in the setting concerned and to identify plausible causes for the changes,¹⁹ the aim being to obtain findings that improve the intervention's effectiveness. During this phase, the project staff, implementing partners, beneficiaries and evaluation team work closely together from the start so that the project can be changed as findings emerge.

Phase 3. Rigorous model testing: Phase 3 comprises the most rigorous evaluation techniques, those used to measure to what extent the intervention works – or does not work – and how. This is the phase where IOM will be able to attest to the impact its work is having on particular populations, sectors, or sites. The methods generally include experimental (e.g., randomized controlled trials) or quasi-experimental designs, accompanied by process evaluations. The aim is to gain an understanding of the “active ingredients”, or the most effective aspects, of the intervention and to monitor harm to any participants. Phase 3 evaluations should always be accompanied by economic assessments of the costs of different intervention components, to estimate the potential savings from scaling up the intervention.

Typical **evaluation questions for a Phase 3** experimental design might include the following:

- How effective was the intervention at reducing the number of individuals entering into/engaging in exploitative labour at site X or in sector Y? For whom was it most effective? What aspects were most effective? What aspects were least effective?
- How effective was the intervention at influencing the implementation of new practices (e.g., by law enforcement, labour inspectors, service providers)? In what ways and how well were the practices implemented? Which individuals and organizations implemented/did not implement the new practices? With how many and which beneficiaries were new practices implemented?
- How effective was the intervention at reducing symptoms of poor health? How effective was the intervention at increasing survivor financial stability, safety, and well-being? For whom was it most effective? What aspects were most effective? What aspects were least effective?
- How effective was the intervention at influencing the implementation of new survivor identification and care practices (e.g., by IOM case workers, social services, health-care professionals)? In what ways and how well were the new identification and care practices implemented? Which individuals and organizations implemented/did not implement the new practices? With how many and which beneficiaries were new care practices implemented?
- How and at what costs can this model be adapted and replicated in other settings?

Projects subject to more rigorous evaluation (Phases 2 or 3) may be selected on the basis of various **criteria**:

- a) *They include established activities that are most advanced or ready for evaluation at the site.* To determine what works, it is often best to test the activities that are most likely to be implemented well, e.g., those with strong

¹⁹ See *Theory-based evaluation*, INTRAC for Civil Society, 2017; see also G. Moore et al., [Process evaluation in complex public health intervention studies: the need for guidance](#), *Journal of Epidemiology and Community Health*, 68(2):101–102 (February 2014).

staffing, a site and population amenable to the intervention, and the fewest barriers to success. For example, for IOM post-trafficking case-management services (Model 1), it is best to test the services at sites that have the strongest case managers and service providers, or the longest history of this type of work, or where IOM believes the services have been most effective.

- b) *They include established activities that address common aspects of the problem or frequent target groups.* To promote models that will be replicable at other sites, it is useful to select activities that address aspects of the problem that are likely to be present in many other locations or populations. For example, for IOM's law and policy-development activities (Model 7), if IOM has been most successful or has the most experience helping countries develop their anti-trafficking laws, this is likely to be the aspect from which it has learned the most, and could be the focus of a similar Model 7 intervention at another site.

For projects that have a shorter history of implementation by IOM and are initially best suited to Phase 1-type evaluation methods, consideration could be given to:

- c) *New project activities or those that are under development and will benefit from methods that support adaptive programming.* To improve models that are in the early stages of development and which have many new and untested activities, it will be important to align the relevant projects with regular monitoring and feedback mechanisms, such as those that are used in theory-based or process evaluations (see above). For example, IOM technical assistance to the private sector (Model 4) and ethical recruitment (Model 5) are relatively new or emerging areas of intervention for IOM (and others). There are currently few activities of proven effectiveness. The future impact of these activities will depend on regular feedback on the process of implementation and emerging outcomes that can improve the model's effectiveness and provide evidence for replication or scale-up of the intervention activities.

Projects should be selected for testing on the basis of whether they have aspects that are likely to become **standard practice** once they are deemed to be effective. They should also be evaluated for cost-effectiveness.

The methods best suited to each model should be **determined by IOM working with its evaluation team**.

Regardless of the evaluation phase, it is important to write-up the following in a sharable format:

1. The **foundational evidence** (e.g., from Phase 1) on which the intervention is based, including:
 - What are the modifiable determinants that this intervention can address and aims to change?
 - Who are the groups or individuals that the intervention should target? Who will be left out?
 - What are the most important contextual factors influencing the intervention process and effectiveness (positively or negatively)?
 - What are the ethical considerations and potential adverse consequences of the intervention?
 - Which stakeholders, especially among the ultimate beneficiaries, should be involved in planning, implementation, and evaluation?

2. The **processes** by which the intervention will be delivered, including:
 - Who will be delivering the intervention and based on what essential criteria will the individuals or groups implementing the activities be chosen?
 - How will the target groups be accessed in practice and safely?
 - What are the steps to follow; which components are essential and secondary to delivering the model?
 - How should stakeholders and beneficiaries be involved throughout the project?
 - What are the ethical guidelines for delivering the model while avoiding adverse consequences for staff and participants?
 - What adaptations should be considered for each site where the intervention model is delivered?

3. Specific **monitoring indicators** and evaluation criteria: While this document provides a guide to the *types* of indicators that might apply to each model, specific measurements should be developed for each project in its context in collaboration with a professional evaluation team. Questions to be asked to facilitate evaluation might include:
 - What specific indicators (for each of the above models) need to be monitored and evaluated?
 - What are the recommended methods for monitoring?
 - What are feasible and timely methods for providing feedback to programmes and adapting the model?
 - What measurement adaptations are usually needed at different sites and for different populations?
 - What are the recommendations for future evaluation methods for each model?

