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**Evaluation of the Global Programme
against Trafficking in Human Beings**

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SUMMARY MATRIX

Summary table of major findings, supporting evidence and recommendations
(in order of discussion/appearance in report – does not necessarily reflect order of priority)

<i>Findings: identified problems/issues</i>	<i>Supporting evidence/examples</i>	<i>Recommendations</i>
1. GPAT is the world leader from a criminal justice perspective and the most influential programme in providing incentives to ratify the Human Trafficking Protocol and for measuring progress towards an international consensus on, and agreed response to the problem of human trafficking.	Donors, beneficiary countries, international experts, NGOs and IOs identify GPAT as such. Results from this evaluation confirm the international assessment.	That GPAT continue (in a modified form).
2. GPAT was conceived of, implemented and developed without a strategic plan. It is not truly global, but it has a presence in various parts of the globe and its influence is global.	GPAT emanated from an executive decision of the then United Nations International Drug Control Programme (UNDCP). Subsequently, activities have been driven by donors unrelated to global need (e.g. the most prolific destination, transit and source countries). In place of a Strategic Plan, AHTU develops dot point annual work plans.	That GPAT develop a Strategic Plan which identifies a clear Mission Statement, Key Result Areas, Interventions, Evaluation Questions and Performance Targets/Indicators, etc. The Strategic Plan should be supplemented with an Operational Plan.
3. GPAT was intended to be strictly time-limited (36 months) incorporating five demonstration projects, following which a grand Global Strategy was to be developed in cooperation with Member States. UNODC now views GPAT as enduring.	There are 33 'demonstration' projects in various stages of implementation: completed (n=1), ongoing (n=12), pipeline (n=8) and pre-pipeline (n=12). Member States have had sufficient time to make themselves known to GPAT for pre-ratification assistance. The 'grand' Global Strategy was never formulated.	That GPAT move to post-ratification implementation assistance. The 'demonstration' phase for projects, after five years since GPAT was implemented, should be considered at an end.
4. GPAT has not devoted sufficient attention to trafficking for labour exploitation or trafficking for organ removal.	Stakeholders report disappointment at the apparent lack of attention; few GPAT activities specifically address these elements, and outcomes which have highlighted them have been serendipitous, rather than by design.	That GPAT devote more attention to trafficking for labour exploitation and organ removal.
5. Despite being identified at the launch in 1999, subsequently in reports to the CCPCJ, and in past and current AHTU Work Plans, the Global Programme has not addressed the issue of smuggling of migrants.	The Smuggling of Migrants Protocol is currently without a home in the UN generally, or UNODC specifically, beyond the work of the Conference of the Parties to the Transnational Organised Crime Convention, and legislative services provided by UNODC's Advisory Services and Crime Conventions Section.	That GPAT assume responsibility for the Protocol to Prevent the Smuggling of Migrants by Land, Sea and Air, to become the Global Programme against Trafficking and Smuggling of Human Beings (GPATS).
6. Despite twelve months having elapsed since the reorganisation of UNODC, which resulted in distributed responsibilities for GPAT rather than centralised within AHTU as previously prevailed, technical assistance projects which have been devolved have not received optimal attention.	Despite general compliance with the intentions of and in principle support for the restructure, AHTU is reluctant to pass control for projects to Regional Desks, and Regional Desks and Field Offices are ill equipped to receive projects. The Desks/Offices are generally populated with illicit drugs specialists without experience in human trafficking/smuggling.	That UNODC, the AHTU, and Regional Desks/Field Offices give full and immediate effect to the 2003 Office restructure. AHTU should assist in this process by providing the Desks/Field Offices with appropriate training.

<i>Findings: identified problems/issues</i>	<i>Supporting evidence/examples</i>	<i>Recommendations</i>
7. The focal point of GPAT is the AHTU. It comprises just two core-funded Professionals. This is inadequate to support the full range of GPAT activities. Supplementary staffing can only be provided through short-term donor funding.	There are currently 46 activities/projects on the AHTU Work Plan. Donors and other stakeholders are shocked at the low number of staff, and characterise GPAT, in the circumstances, as a less than serious attempt by the UN to address the crime of trafficking in human beings. The addition of anti-smuggling activities, itself required to promote the Unit's future in an environment of diminishing comparative advantage, only adds to the need for an expansion in core staff.	That the staffing level and structure of the Anti-Human Trafficking (and Smuggling) Unit be enhanced. Two teams (one anti-human trafficking; the other, anti-smuggling of migrants), comprising two Professionals and a general administrative assistant each, reporting to a Chief, and at least in the short-term, supported by a database consultant, should comprise the Unit. Associate Experts should be viewed as supernumeraries.
8. Data collection, and research more generally, are deficient. GPAT has not established, nor has it attempted to, that the problem of trafficking in human beings is of sufficient size and seriousness to warrant the status and response of a United Nations Global Programme. It is not possible, in the absence of reliable data, to determine if GPAT has resulted in a reduction in the number of persons trafficked, or in an increase in the number of traffickers prosecuted.	Data collection is centred on a trafficking flows database, comprising secondary sources, including official government statistics, reports of research institutes or of intergovernmental and non-governmental organisations; and from newspaper articles and news agency bulletins. This is supplemented by project-specific (i.e. country/Region-specific) research into the nature of human trafficking, but not the incidence and prevalence of the crime.	That GPAT develop a research agenda, which should include the incidence and the prevalence of trafficking and smuggling of persons. The agenda should provide for open access to GPAT-derived data for secondary analysis by external researchers, widening the breadth of research available to the international community.
9. GPAT does not use a systematised Project Management Cycle schema, leading to a lack of a capacity to control the number/type and duration of projects under development, diverting resources in attempting to (eventually) obtain funding.	Global Programme projects appear to remain as pipeline or even pre-pipeline for as long as takes to obtain funding. In the interim, further developmental work and ongoing fundraising activities are undertaken, to the detriment of more viable potential or current projects/activities.	That GPAT develop and implement a Project Management Cycle schema. The Cycle should be supplemented with a Document Management System.

Key

AHTU	Anti-Human Trafficking Unit	NGO	Non Governmental Organisation
CCPCJ	Commission on Crime Prevention and Criminal Justice	UNDCP	United Nations International Drug Control Programme
GPAT	Global Programme against Trafficking in Human Beings	UNODC	United Nations Office on Drugs and Crime
IO	International Organisation		

Executive Summary

The Global Programme Against Trafficking in Human Beings (GPAT) was launched in 1999. It assists Member States in their efforts to combat trafficking in persons. Since a restructure of the United Nations Office on Drugs and Crime (UNODC) in 2003, responsibilities have been redistributed between the Anti-Human Trafficking Unit (AHTU), and Regional Desks and Field Offices of the Partnerships in Development Branch. The United Nations Interregional Crime and Justice Research Institute (UNICRI) is a partner of UNODC in GPAT's implementation. The Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, supplementing the United Nations Convention against Transnational Organized Crime, serves as the framework and orientation for GPAT. The legal instrument was adopted by the General Assembly on 15 November 2000 and entered into force on 25 December 2003. The Protocol provides the first internationally agreed upon definition of trafficking in persons. It requires States to criminalise such activity and calls for measures to prevent trafficking in persons, for the protection of and assistance to victims, and the promotion of cooperation among States Parties to the Protocol.

The broad objective of the Global Programme is to improve criminal justice responses to trafficking in persons through strengthened national, regional and international policies and practices. It aims to highlight the involvement of organized criminal groups in human trafficking and to promote the development of effective counter measures against the crime. The three main components of the Global Programme are data collection, assessment and technical cooperation. Since its inception, the Programme has provided technical assistance to Member States in Asia, Central Europe, Latin America and West Africa. The Programme has also produced a number of studies, training manuals and toolkits on various aspects of Trafficking in Human Beings. It has developed and manages a database on human trafficking flows and hosts a web site dedicated to the problem.

Major finding(s)

The Global Programme was conceived of, implemented and developed without a strategic plan. It was originally intended as a time-limited (36 month) data collection and demonstration projects, culminating in a grand Global Strategy to be developed in close cooperation with Member States. However, the Global Programme is now viewed by UNODC as an enduring programme. In place of a strategic plan, various annual AHTU work plans identify *Activities* matched to *Roles and Responsibilities*. Notwithstanding the absence of a strategic plan, the Global Programme against Trafficking in Human Beings is the world leader, from a criminal justice perspective, in an increasingly active international response to the problem of human trafficking. From its inception in 1999, commencing with an under-funded, but ambitious and far-reaching project in the Philippines, the Programme develops and implements appropriate and relevant projects and activities that achieve substantial cost-effective results well in excess of what could reasonably have been expected from such a small team in Vienna. It achieves these results through alliances with donor countries, various arms of the UN, other agencies and NGOs; and through partnerships between the Global Programme and beneficiary countries, which require 'in-kind' contributions, generally matched to the quantum of donor funds. Essentially, the partnerships double the resources, which would otherwise be available. Outside of the core-funded Vienna-based positions, however, the Programme relies on donor contributions to implement projects and activities.

Accomplishments include awareness-raising of the problem of human trafficking; the number of States which have ratified the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, supplementing the United Nations Convention against Transnational Organized Crime; the number of States which have developed National Action Plans against

Human Trafficking; the number of States which have introduced/passed anti-human trafficking legislation; the number of States which have implemented victim and witness support and protection programmes; and improvements in law enforcement and criminal justice responses to human trafficking through the training of police, prosecutors and judges.

Thirty-three Global Programme technical cooperation projects are in various stages of implementation: completed (n=1), ongoing (n=12), pipeline (n=8) and pre-pipeline (n=12). During the current evaluation, funding for two further projects which will require scoping and development, was indicated. However, GPAT relies on modest donor funds, which have never matched the amounts envisioned at its inception. Activities are almost exclusively donor driven, without relation to global need (e.g. the most prolific countries of destination, transit, or origin). Stakeholders perceive the Global Programme as having neglected trafficking for forced labour and trafficking for organ removal.

The Global Programme has been less successful in the area of data collection. GPAT is process-centred, designed to prepare beneficiary countries/regions for the next stage where concrete impacts will be observable. However, the failure of the Global Programme to seriously attempt to measure the incidence and prevalence of trafficking in persons restricts the capacity of the Global Programme (and external observers) in determining whether GPAT is delivering the primary crime dividends (i.e. a decrease in persons trafficked, and an increase in traffickers prosecuted), which are the crime objectives of the instrument which it views as its mandate (the Human Trafficking Protocol). As a result, the international community is deprived of reliable estimates of the size and distribution of the crime, and of measuring achievements of the global response, which is not limited to Global Programme initiatives.

All of the elements of the GPAT menu of assistance are being addressed as discrete modules by other agencies/entities, including sister UN entities, and donors are funding these elements outside of the Global Programme. The comparative advantage of the Global Programme, particularly post-9/11, is diminishing. The Global Programme should assume responsibility for the United Nations Smuggling of Migrants Protocol to become the Global Programme against the Trafficking and Smuggling of human beings (GPATS). The Smuggling Protocol, which also supplements the United Nations Convention against Transnational Organised Crime, is currently without a home in the UN generally, or UNODC specifically, beyond the work of the Conference of the Parties to the Transnational Organised Crime Convention, and legislative services provided by UNODC's Advisory Services and Crime Conventions Section. UNODC is the logical and most appropriate location for a United Nations programme which addresses the Protocol. The Conference to the Parties to the Convention is located in Vienna and GPAT, along with the Treaty and Legal Affairs Branch, will service the Conference to the extent that it relates to the Trafficking and Smuggling Protocols and possibly, the collection of Protocol obligation related data on implementation, and an extension of legal advisory services. Indications are that a well-targeted programme against the smuggling of migrants, which will deliver counter-terrorism benefits as by-products, will be attractive to donors. Specifically addressing anti-human trafficking, stakeholders identify GPAT's niche as robust research, legislative support, and law enforcement and prosecution assistance; elements which can be carried over to an anti-smuggling programme.

(Major) Lessons learned and best practice

Apart from the already identified shortcomings of the lack of a strategic plan and an overly optimistic projection on the likelihood of donor funds (i.e. that even well deserved and serious crime programmes require robust market research before commitment of internal financial and human resources), the major lesson learned was that well designed and targeted project designs, collaboratively developed with beneficiary countries, are very successful. The final (a 'best practice') model of technical cooperation, which emerged from lessons learned by the Global Programme through earlier projects, has the following features:

- i) A well targeted project design conceptualised at a local level and collaboratively developed with the beneficiary country/region (with guidance from Vienna);
- ii) A receptive and enthusiastic government;
- iii) A comfortable timeframe within which to implement the project;
- iv) Outside of administrative and preliminary activities, timing of elements are independent of each other, eliminating a purely sequential process where succeeding elements are dependent on preceding elements being completed;
- v) Selection of the right partner-agency/Ministry/Department within the host government;
- vi) The identification and selection of the right National Coordinator;
- vii) The presence of an appropriately skilled (i.e. with a criminal justice background – through qualifications/experience/training) Field Office Programme Manager for local supervision of the project and advice to the National Coordinator;
- viii) Ongoing monitoring and evaluation; and
- ix) Appropriate backstopping for the Field Office by the Regional Desk, and appropriate backstopping for both by the AHTU.

Within the overall model, the presence of a criminal justice specialist (or criminal justice trained) is critical to avoiding smaller funded projects, in comparison to the higher-funded illicit drugs projects, from receiving less than optimal attention. This is particularly important following the reorganisation of UNODC, with Regional Desks and Field Offices currently ill equipped to receive and implement anti-human trafficking technical cooperation projects.

(Major) Recommendations

- i) That the Global Programme continue (in a modified form);
- ii) That the Global Programme develop a strategic plan;
- iii) That the Global Programme devote more attention to trafficking for labour exploitation and trafficking for organ removal;
- iv) That the Global Programme assume responsibility for the Smuggling of Migrants Protocol;
- v) That the Global Programme move to post-ratification assistance;
- vi) That UNODC, AHTU, Regional Desks and Field Offices give full and immediate effect to the UNODC restructure;
- vii) That the staffing level and structure of AHTU be enhanced;
- viii) That the Global Programme develop a research agenda, particularly as it relates to the incidence and prevalence of trafficking and smuggling of human beings; and

- ix) That the Global Programme develop and implement a project management cycle schema.

Conclusion and implications for UNODC

Despite its relatively small size, the Global Programme is the United Nations' premier anti-human trafficking entity. While other UN entities might implement more projects, GPAT is the custodian of the United Nations Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, supplementing the United Nations Convention against Transnational Organized Crime. The focal point for GPAT is the Anti-Human Trafficking Unit. The Unit is currently staffed by just two core-funded Professionals, supplemented by donor funded Associate Experts, consultants and international experts, as and when circumstances allow. Outside of UNODC (and also within sections of the Office) a Global Programme, however defined, with just two core positions, is viewed as a less than serious United Nations attempt to address a transnational organised crime such as trafficking in human beings. The Global Programme against Money Laundering and the Global Programme against Corruption are similarly staffed. That the Global Programme against Trafficking in Human Beings has achieved so much is testimony to the dedication and skill of individuals within the AHTU. In its present form, and with only modest donor flows, GPAT is unsustainable. It needs to broaden its scope (more effort on trafficking for labour exploitation and trafficking for organ removal) and assume responsibility for the Smuggling of Migrants Protocol. The current five-year phase for 'demonstration' projects should be considered at an end. At the same time as broadening its scope, the Global Programme should refine its anti-trafficking activities to post-ratification assistance and develop its identified niche of excellence: robust research, legislative reform, law enforcement, and prosecutions. To assist the re-focussing, AHTU core staffing needs to be expanded; organisational resistance to the 2003 Office restructure, at least as it applies to the Global Programme, needs to be overcome; current vacancies in the Regional Desks and Field Offices require filling; and occupants need to be trained in the reasons for and how to manage anti-trafficking and anti-smuggling activities.

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Abbreviations

AHTU	Anti-Human Trafficking Unit
CCPCJ	Commission on Crime Prevention and Criminal Justice
CICP	Centre for International Crime Prevention
DPKO	(United Nations) Department of Peace Keeping Operations
ECOWAS	Economic Community of West African States
GPAT	Global Programme against Trafficking in Human Beings
ICMPD	International Centre for Migration Policy Development
ILO	International Labour Organisation
IO	International Organisation
IOM	International Organisation for Migration
MOU	Memorandum of Understanding
NGO	Non Governmental Organisation
OIOS	(United Nations) Office of Internal Oversight Services
OSCE	Organisation for Security and Cooperation in Europe
PPC	Programme and Project Committee
TIP (Office)	United States' State Department Office to Monitor and Combat Trafficking in Persons
TIP (Report)	United States' State Department Trafficking in Persons Report
UNDCP	United Nations International Drug Control Programme
UNODCCP	United Nations Office for Drug Control and Crime Prevention
UNDP	United Nations Development Programme
UNHCR	United Nations High Commissioner for Refugees
UNIAP	United Nations Inter-Agency Project on Human Trafficking in the Greater Mekong
UNICEF	United Nations Children's Fund
UNICRI	United Nations Interregional Crime and Justice Research Institute
UNODC	United Nations Office on Drugs and Crime
UNOPS	United Nations Office for Project Services

Technical cooperation projects referred to in report

Country	Project Number	Project title
Benin	FS/RAF/01/R13	West Africa: Measures to Combat Trafficking in Human Beings in Benin, Nigeria, and Togo
Brazil	FS/BRA/01/R18	Brazil: Measures against Trafficking in Human Beings
Colombia	FS/COL/03/R52	Colombia: Combating Trafficking in Human Beings Phase I
Czech Republic	FS/RER/01/R17	Czech Republic and Poland: Criminal Justice Response to Trafficking in Human Beings
India	FS/GLO/02/R32	NGOs: Providing support to Victims of Trafficking
Nigeria	FS/RAF/01/R13	West Africa: Measures to Combat Trafficking in Human Beings in Benin, Nigeria, and Togo
Philippines	FS/PHI/00/R05	Philippines I: Coalitions against trafficking in human beings in the Philippines
Philippines	FS/PHI/02/R07	Philippines II – Support for Victims/Witnesses of Trafficking in Human Beings
Poland	FS/RER/01/R17	Czech Republic and Poland: Criminal Justice Response to Trafficking in Human Beings
Slovakia	FS/SLO/01/R19	Slovakia: Criminal Justice Response to Trafficking in Human Beings
Togo	FS/RAF/01/R13	West Africa: Measures to Combat Trafficking in Human Beings in Benin, Nigeria, and Togo
Viet Nam	FS/VIE/01/R21	Viet Nam: Strengthening of the Legal and Law Enforcement Institutions in Preventing and Combating Trafficking in Persons

1. INTRODUCTION

1.1 Background and Context

1. The Global Programme Against Trafficking in Human Beings (GPAT) was launched in 1999. It assists Member States in their efforts to combat trafficking in persons. Since a restructure of the United Nations Office on Drugs and Crime (UNODC) in 2003, responsibilities have been redistributed between the Anti-Human Trafficking Unit (AHTU), and Regional Desks and Field Offices of the Partnerships in Development Branch. The United Nations Interregional Crime and Justice Research Institute (UNICRI) is a partner of UNODC in GPAT's implementation. The Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, supplementing the United Nations Convention against Transnational Organized Crime, serves as the framework and orientation for GPAT. The legal instrument was adopted by the General Assembly on 15 November 2000 and entered into force on 25 December 2003. The Protocol provides the first internationally agreed upon definition of trafficking in persons. It requires States to criminalise such activity and calls for measures to prevent trafficking in persons, for the protection of and assistance to victims, and the promotion of cooperation among States Parties to the Protocol.

2. The broad objective of the Global Programme is to improve criminal justice responses to trafficking in persons through strengthened national, regional and international policies and practices. It aims to highlight the involvement of organized criminal groups in human trafficking and to promote the development of effective counter measures against the crime. The three main components of the Global Programme are data collection, assessment and technical cooperation. Since its inception, the Programme has provided technical assistance to Member States in Asia, Central Europe, Latin America and West Africa. The Programme has also produced a number of studies, training manuals and toolkits on various aspects of Trafficking in Human Beings. It has developed and manages a database on human trafficking flows and hosts a web site dedicated to the problem.

3. The inception and development of the Global Programme coincided with organizational upheaval: expansion of the United Nations Office for Drug Control and Crime Prevention (UNDCP); the establishment of the United Nations Office for Drugs Control and Crime Prevention which comprised UNDCP and the Centre for International Crime Prevention (CICP) and the merging of UNDCP and CICP into UNODC. The latter development required establishing joint drugs and crime Field Offices and populating them with crime experts. Finally, in 2003, the UNODC was restructured. Since its inception, the Global Programme has promoted a comprehensive and multi-disciplinary approach to preventing and combating human trafficking. Within this context, the Programme focuses on a criminal justice response to the problem, complementing the work of other entities of the UN system, other international organisations (IOs), Non-Governmental Organisations (NGOs), and bilateral initiatives between governments. The Programme currently addresses, almost exclusively, the issue of trafficking in human beings. In the future, it might also address the issue of smuggling of migrants, an issue so far addressed mainly in the context of pre-ratification and legislative assistance.

1.2. Purpose and Objective of the Evaluation

4. The purpose of the evaluation was to establish what the Global Programme against Trafficking in Human Beings had achieved against its objectives. The evaluation assessed the extent to which the Programme was meeting the needs of beneficiary countries and the expectations of donors. Furthermore, it assessed what the Global Programme achieved in terms of results and outcomes; whether resources were utilized efficiently; what impact was being created; and whether the benefits were sustainable.

5. The evaluation sought to draw lessons and identify best practices that could be used to improve programme and project design and management, and the setting of new priorities that fully met the needs of beneficiary States. The terms of reference for the evaluation are attached at Annex I. A list of evaluation respondents is attached at Annex II.

1.3. Executing Modality/Management Arrangements

6. The Global Programme is managed by the Anti-Human Trafficking Unit (AHTU) of the Anti-Trafficking Section, Human Security Branch in the Division for Operations of UNODC. The Unit comprises core-funded positions for a Chief, one Professional and one Programme Assistant. From time to time, this core team is complemented by donor-funded Associate Experts and Consultants and (unpaid) interns and volunteers, who are recruited for specific tasks as and when circumstances allow. Since the 2003 restructure of UNODC the AHTU is responsible for needs assessments; global activities; developing project ideas and project documents; appraising submissions; providing clearances for the (internal) Programme and Project Committee (PPC); providing substantive input to implementation of projects; and monitoring the integrity of project implementation. In addition to illicit drugs and other crime matters, Regional Desks (n=4) are responsible for the development and implementation of technical cooperation projects, and Field Offices (n=21) are responsible for the development and management of projects, at the local level. Where there is an absence of a UNODC Regional Field Office presence, AHTU retains control of projects. Global Activities retained by and managed solely by the AHTU since the restructure of the Office comprise a Toolkit on best practices, training manuals, information materials on human trafficking, a Global Report, and the database on flows of human trafficking. The engagement of consultants and technical cooperation projects are executed through the United Nations Office for Project Services (UNOPS) and/or the United Nations Development Programme (UNDP).

1.4. Scope of the Evaluation

7. The evaluation addressed:

- i) Programme/project concepts (including the ways in which priorities were determined), Programme/project designs, implementation results, and outputs;
- ii) Performance outcomes, impact and sustainability of the benefits of the Programme/projects;
- iii) The full period of the Programme, starting from 1999 when it was established, and the geographic coverage was global;
- iv) How efficiently Programme/project planning and implementation were carried out (including how organizational structures, managerial support and co-ordination mechanisms supported the Programme/projects);
- v) Whether the results had been fully achieved, and if not why not.
- vi) Whether progress has been made towards their achievement, and if not, established what needed to be done;
- vii) Whether the Programme was appropriate, relevant and effective in addressing identified needs/problems, and if resources were efficiently utilized and produced the desired outcomes;
- viii) Whether and how the Programme contributes to a priority area of comparative advantage for UNODC (the role of GPAT within UNODC);
- ix) The role played by Field Offices, beneficiary countries and other partners (including various international organisations) in the development, implementation and management of the Programme;

- x) The Programme's contribution to human and institutional capacity development (e.g. use of tools and toolkits), especially in developing countries and countries in transition, and whether this capacity was creating conditions for sustainability;
- xi) Sustainability of results and benefits beyond UNODC funding/support;
- xii) The experiences of beneficiary countries with GPAT and their perspectives on the benefits received;
- xiii) The views of donors and member States that have/are giving assistance;¹ and
- xiv) The ways in which UNODC could contribute further to the area of anti-human trafficking.

The evaluation was conducted between October and December 2004.

1.5. Methodology

8. The methodology for the evaluation comprised eight elements:
- i) Document review and analysis, including Programme and project documents, project evaluations and Programme outputs;
 - ii) Key informant interviews with UN personnel, beneficiary and donor countries, IOs, NGOs and international experts;
 - iii) Field work and evaluations in nine countries;²
 - iv) Comparative project analysis of anti-human trafficking projects conducted outside of GPAT by other agencies/entities;
 - v) Participatory observation and rapid appraisal of anti-human trafficking sites and facilities (e.g. victim shelters, and law enforcement operations centres);
 - vi) Management structure scans which examined the interconnectedness of the various arms of UNODC, which address trafficking in human beings;
 - vii) Survey of Member States on their awareness of and views on the Global Programme;³ and
 - viii) Stakeholder feedback and input into this report.

2. ANALYSIS AND MAJOR FINDINGS

2.1. Mandate

9. This evaluation has been unable to determine a formal derivation of a Global Programme mandate *at its inception* in 1999. It appears to have emanated from an executive decision of the then United Nations Office for Drug Control and Crime Prevention (UNDCP), primarily to develop an operational capacity within the Office for anti-human trafficking activities. The designation 'Global' was an attempt to assign an appropriate level of recognition to the scale and distribution of the problem of trafficking in human beings within a transnational organized crime context; to signal an intention that the problem would be addressed globally; and less meritoriously, to provide a 'brand mark' for attracting donors. The Global Programme against Human Trafficking was one of three developed at this time, the other two being the Global Programme against Corruption and the Global Programme against Transnational Organized Crime. The aims of the Global Programme against Trafficking in Human Beings, at its launch (CICP, 1999), were 'to bring to the foreground the involvement of organized crime groups *in human smuggling and trafficking* and to promote the development of effective criminal justice-related responses;' the overarching aims still present in the Programme

today, to the extent that human trafficking, but not smuggling of migrants, are addressed (*italics added*).

10. The United Nations Commission on Crime Prevention and Criminal Justice (CCPCJ) was informed of the launch of the Global Programme at its 8th Session (CICP, 1999, *op cit*) and this was elaborated on at the 9th Session (CICP, 2000). At the same time, the three Global Programmes were incorporated within the United Nations Office of Internal Oversight Services (OIOS) reporting mechanism. Reporting on the Global Programme against Trafficking in Human Beings to the CCPCJ and by the OIOS continues.

11. The Vienna Declaration on Crime and Justice: Meeting the Challenges of the Twenty-first Century, endorsed by the General Assembly in its resolution 55/59 of 4 December 2000, declared, in part (14):

We shall also *consider* supporting the global programme against trafficking in persons developed by the United Nations Centre for International Crime Prevention and the United Nations Interregional Crime and Justice Research Institute, *which is subject to close consultation with States* and review by the Commission on Crime Prevention and Criminal Justice...(United Nations, 2001a, *italics added*).

12. Together, these events/processes provided the then CICP with a form of legitimacy for GPAT. The adoption of the Convention against Transnational Organized Crime and the Human Trafficking Protocol in 2000 (United Nations, 2001b) and the Protocol coming into effect in 2003 are now viewed by UNODC as providing an enduring mandate, despite both being silent on the establishment, location and duration of a UN Global Programme.

13. On 15 March 2004, the UN Secretary-General promulgated a bulletin establishing the organisation of the United Nations Office on Drugs and Crime (UNODC), giving formal effect to the Office's 2003 restructure, and wherein, the functions for the Office were defined, in part (sec. 2.3).

(a) [The Office] is responsible for carrying out activities in the field of international crime prevention and control; strengthening regional and international cooperation in preventing and combating transnational crime, in particular organised economic crime, money laundering, *illicit trafficking in women and children* (sic), financial crimes, and terrorism in all its forms; and promoting effective and fair administration of justice, with due respect for the rights of all those affected by crime or involved in the criminal justice system (United Nations, 2004a, *italics added*).

14. Finally, a further 'mention' of the Global Programme by name in a General Assembly Resolution (58/137) slightly before the Bulletin (in February 2004, almost 5 years subsequent to the launch of GPAT), encouraged Member States to 'further strengthen the [Centre for International Crime Prevention] and its Global Programme against Trafficking in Human Beings. in particular in the area of technical assistance projects...' (United Nations, 2004b). The Resolution is viewed by UNODC as providing General Assembly *endorsement* of the Global Programme. Further, UNODC argues that it is common practice within the UN system to obtain formal mandates 'after the fact.'

15. Notwithstanding the presence of a General Assembly Ad Hoc Committee to elaborate on the possibility of a Convention on Transnational Organized Crime at the time of the Programme's launch and the subsequent adoption by the General

Assembly of the Convention and the Human Trafficking Protocol, UNODC has not established a case (nor has it attempted to) that the scale/seriousness of the problem is sufficient to warrant the status and response of a United Nations Global Programme.⁴ UNODC correctly argues that there is no agreed definition within the UN system on what a 'Global Programme' is. There is a plethora of such UN programmes. Internally, UNODC has not attempted to define what *it* means by a 'Global Programme' beyond a brief description on its web site:

[Global Programmes] are designed as focussed entities striving to implement high quality technical assistance in their respective areas. Such programmes also have a strong normative element, drawing lessons from both their own and others' experiences, disseminating this information as "best practice" across the world (UNODC, 2003, preface).

AHTU, more specifically, views the appellation 'Global' only as a 'working tool or concept.'

2.2. Strategic Plan

16. A strategic plan had not been developed at the time of the Global Programme's launch, nor has it subsequently. In its report to the CCPCJ's 8th Session, the then CICP envisioned three phases:

- i) Data collection 'on different routes used for *human smuggling* and the structures and modalities used for transporting and subsequently exploiting them;'
- ii) A series of demonstration projects designed to assist governments in '(a) counteracting groups involved in *smuggling and trafficking*; (b) strengthening crime prevention strategies against *smuggling of migrants and trafficking*; and (c) improving victim-witness protection and victim assistance;'
- iii) A global strategy against *smuggling and trafficking in human beings* will be formulated in close cooperation with relevant national and international organisations and presented for adoption by the international community, possibly at a high-level forum (*italics added*).'

Phase ii) above was strictly time-limited (36 months), after which a grand Global Strategy, derived from the experiences and lessons learned, was to be the culmination.

17. Behind the rhetoric however, at management level, the Global Programme was initially used to assist in the process of encouraging and working towards the adoption of the Convention against Transnational Organized Crime and the Human Trafficking Protocol. The Strategy referred to in iii) above was never formulated, with or without the cooperation of national and international organisations. Within the overarching (human trafficking) objectives identified at its inception, the Global Programme evolved incrementally as its expertise grew; following the adoption of the Human Trafficking Protocol; and as and when new, donor driven opportunities arose. What substitutes for a strategic plan can be found in the various annual AHTU work plans which identify *Activities* matched to *Roles and Responsibilities*.

UNODC argues that the failure of projected donor funds forced the abandonment of the 'rather abstract plan' announced at the launch and subsequently provided to the CCPCJ. Further, UNODC argues that the formulation of a comprehensive strategic plan, in view of the then progress towards (but not adoption of) the Human Trafficking Protocol, would have been 'premature.' Pre-maturity has since extended into being overdue.

2.3. Overall Performance Assessment

18. Notwithstanding the absence of a strategic plan, the Global Programme against Trafficking in Human Beings is the world leader, from a criminal justice

perspective, in an increasingly active international response to the problem of human trafficking. From its inception in 1999, commencing with an under-funded, but ambitious and far-reaching project in the Philippines, the Global Programme develops and implements appropriate and relevant projects and activities that achieve substantial cost-effective results well in excess of what could reasonably have been expected from such a small team in Vienna. It achieves these results through alliances with donor countries, various arms of the UN, other agencies and NGOs; and through partnerships between the Global Programme and beneficiary countries, which require 'in-kind' contributions, generally matched to the quantum of donor funds. Essentially, the partnerships double the resources which would otherwise be available. Outside of the core-funded Vienna-based positions, however, the Programme relies on donor contributions to implement projects and activities.

19. Accomplishments include awareness-raising of the problem of human trafficking; the number of States which have ratified the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, supplementing the United Nations Convention against Transnational Organized Crime; the number of States which have developed National Action Plans against Human Trafficking; the number of States which have introduced/passed anti-human trafficking legislation; the number of States which have implemented victim and witness support and protection programmes; and improvements in law enforcement and criminal justice responses to human trafficking through the training of police, prosecutors and judges.

20. The Global Programme is not truly global, but rather, it has a presence in various parts of the globe and its influence is global. Outside of donor countries, international experts, and other agencies/governments involved in anti-human trafficking activities (e.g. the United States Office to Monitor and Combat Trafficking in Persons (TIP Office); and the International Organisation for Migration (IOM)), the existence of the Global Programme, its aims and achievements, are not well known in the international community. Beneficiary countries, almost without exception, view technical cooperation projects as national/regional initiatives, without an appreciation of a Global Programme context. Accomplishments of the Global Programme, however, are not limited to beneficiary States where technical cooperation projects are conducted. Along with the United States' State Department Trafficking in Persons TIP Report and associated activities, the Global Programme is recognised by international experts as the most influential programme in providing incentives to ratify the Human Trafficking Protocol and for measuring progress towards an international consensus on, and agreed response to the problem of human trafficking. The Global Programme is viewed as the 'carrot' while the TIP Report is viewed as the 'stick' in these endeavours. The Global Programme meets with the United States TIP Office approximately annually. The United States is the largest donor to the Global Programme and opportunities to meet more frequently, to the mutual benefit of both Programmes, should be explored. Sweden has recently emerged as a major donor to GPAT, and similar meetings to those proposed between the Global Programme and the U.S. should be established.

21. In addition to participating in and providing guidance on Human Trafficking Protocol matters at numerous international events as participants and organisers, GPAT arranges informal inter-agency consultations on the occasions of the annual sessions of the CCPCJ, and it participates regularly, subject to the availability of funding, in consultative meetings with New York and Geneva based UN entities involved in anti-human trafficking. The Global Programme cooperates closely with the International Labour Organisation (ILO), IOM and other organisations. For example, GPAT provided extensive comments on the ILO's guidelines on human trafficking. The Global Programme should formalise these arrangements with the

UN and non-UN anti-human trafficking agencies/entities (e.g. UNHCR, ILO, UNICEF and IOM).

22. Global Programme activities do not adequately address trafficking for forced labour or for organ removal. While National Action Plans and anti-human trafficking legislation introduced by beneficiary countries, partly or wholly as a result of GPAT activities, generally contain forced labour and organ removal provisions, outside of documenting secondary sources of citations of the elements in the flows database, a public service video clip and one project in W. Africa, there are no Global Programme activities designed specifically for labour exploitation or organ removal. Within UNODC, there is a dominant, but not exclusive view, that trafficking for labour exploitation or other slavery-type situations should *not* be addressed by the Global Programme, and instead should be left to bodies such as the ILO. All other stakeholders disagree, arguing that if the Global Programme is the custodian of the Human Trafficking Protocol and if UNODC views the Human Trafficking Protocol as providing an enduring mandate for the Global Programme, then GPAT should fulfil the full intent and purpose of the Protocol. In Mozambique, pre-project consultations on focussing on trafficking for the purpose of organ removal are currently being undertaken. Additionally, AHTU has signalled that it will shortly embark on a conceptualisation phase to develop responses to forced marriage, peacekeeping and the military generally, child soldiers, and HIV/AIDS.

23. Since its inception, the Global Programme has been funded to the amount of approximately US\$7.8 million, comprising approximately US\$1.3 million in direct UNODC core funding for Vienna-based officers; US\$0.6 million in UN-New York funded Vienna-based Associate Experts; US\$1.0 million in donor-sponsored Vienna-based Associate Experts; and US\$4.3 million for donor-sponsored projects and activities. It can be seen that the Global Programme is a relatively lean operation, with less than 25% of total funds available coming from Regular Budget resources and if total donor funds are considered in isolation, less than 13% are for Vienna-based activities.⁵ From a Development/Aid perspective, in 2004, approximately 11% of donor funds were expended on international experts, the balance being spent in and by beneficiary countries. The Global Programme has been successful in attracting relatively modest donor contributions, as it gained expertise and demonstrated results (refer also to paragraphs 63 and 69 below). Following the reorganisation of UNODC in 2003, and the eventual assumption of roles and responsibilities by Regional Desks and Field Offices, the concept of a 'Global Programme' resident within one UNODC entity (the Anti-Human Trafficking Unit) will cease. Under the new structure, even indicative costs of the Global Programme will be difficult, if not impossible, to calculate. As most of the anti-human trafficking functions to be carried out by the Regional Desks and Field Offices will only comprise fractions of overall activities (along with for example, Alternative Development), it can be argued that anytime UNODC officers are engaged in anti-human trafficking activities, they are involved in the Global Programme.

24. Within the scope of objectives identified in the various work plans developed at different times during the five years of its existence, the Global Programme is performing well. Its best results have been achieved in technical assistance projects. Results from data collection and research were less successful. Its Professionals are eagerly sought for conferences and by governments and agencies to advise on anti-human trafficking measures. As an example, in November 2004, a Global Programme Professional participated in a NATO workshop and she is assisting the organisation in developing training modules for NATO operations staff. Similarly, the Chief of the AHTU is being sought by a non-GPAT donor government to conduct an evaluation of a (non-GPAT) anti-human trafficking project in S.E. Asia. However, GPAT is restricted by an inadequate core budget and

it depends on donor-sponsored Associate Experts to fully service its Vienna-based and technical cooperation activities. Further, Programme activities are compromised by other responsibilities, principally servicing the CCPCJ and other bodies, ad hoc briefings and other tasks for senior management, and headquarters administrative requirements. For example, during the current evaluation, one Global Programme member had been unable to devote any time to project activities for over three months because of administrative tasks. These additional tasks are completed in the absence of appropriate corresponding resources. Finally, most country-specific projects are donor-driven and bear little or no relation to global need. Global Programme funding, as currently configured, results in the AHTU in particular, being unable to develop and direct projects to strategically identified countries/regions. On occasion, funds are accepted, in part, to strengthen the likelihood of retention/extension of skilled Associate Experts, in an attempt to fully service activities.

2.4. Attainment of the Objectives

25. The Global Programme's objectives are:

- i) to highlight the involvement of organized criminal groups in human trafficking; and
- ii) to promote the development of effective counter measures against human trafficking.

The *Role* of AHTU is describes as being:

- iii) responsible for providing advice, guidance, information and technical assistance in relation to trafficking in human beings *and the smuggling of migrants (italics added)*.

The overall objective of AHTU is a rewording of the Global Programme objectives:

- iv) to improve criminal justice responses to trafficking in human beings, particularly as it relates to the involvement of organized criminal groups, through strengthened national, regional and international policies and practices.

Within the overall objectives, three *sub-objectives* are identified:

- v) to improve the capacity of Member States to fight trafficking in human beings through technical cooperation;
- vi) to improve knowledge on the global scope of trafficking in persons through data collection; and
- vii) to strengthen policy formulation and international cooperation in trafficking in human beings.

26. Concerning the first of the Global Programme objectives of '*highlighting the involvement of organized criminal groups in human trafficking*,' the Global Programme has achieved low to moderate success. While this element flows through all GPAT activities, the Global Programme primarily aims to achieve the objective through public service announcements, sponsoring/attendances at conferences, through published reports from the database on flows in human trafficking, through rapid assessment and country-specific research reports, and through its website. The objective itself was 'downgraded' from that previously promulgated, of the widespread involvement of Transnational Organized Criminal Groups of the scale and reach of the Yakuza, Mafia and Triads and that trafficking in persons is likely to be conducted by groups also involved in the trafficking of illicit drugs and gun smuggling. The Global Programme has not provided evidence of even moderate level involvement of the groups identified. The latency of the crime and victims' understandable reluctance to provide evidence, restrict the achievement of this objective, if in fact there is high-level involvement. The

evidence that has been provided from the country-specific research reports and rapid assessments, and through official reports (e.g. arrests, prosecutions, and convictions) in project-beneficiary and other countries, confirms that the crime is transnational in nature and criminal groups are involved. However, it suggests that the groups are more loosely structured and organized, small in member numbers, often opportunistic, and often comprise family and localised groups or employment agencies, rather than the more structured, highly organised entities which were thought to be responsible for most human trafficking, at the time the Global Programme was launched. More recently, international experts engaged by the Global Programme to conduct country/region-specific research into the nature of human trafficking have taken a pragmatic approach in view of the failure of past GPAT and other research to support the Mafia/Triad links, by ignoring this element, or to make cursory attempts only at pursuing that part of their briefs.

27. Concerning the second of the overarching Global Programme's objectives '*promoting the development of effective counter measures against human trafficking,*' the Global Programme has been very successful, through its early involvement in activity which contributed to the adoption by the General Assembly of the Convention against Transnational Organized Crime and the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, supplementing the Convention, and through the technical cooperation projects. The adoption of the Convention and the Human Trafficking Protocol cannot be attributed solely, or even largely, to activities of the Global Programme. However, the role of the Global Programme in their ratification should not be under-estimated. Pre and post-ratification implementation assistance through technical cooperation under the Global Programme is significant, adding strongly to work carried out by UNODC's Advisory Services and Crime Conventions Section. Legal reviews of the gaps between existing legislation and Protocol obligations, and the development of National Action Plans are the most prominent Global Programme activities addressing this objective.

28. Concerning the first sub-objective of the Anti-Human Trafficking Unit, '*Improving capacity of Member States to fight trafficking in human beings through technical cooperation,*' there are currently 33 Global Programme Projects in various stages of implementation: completed (n=1), ongoing (n=12), pipeline (n=8) and pre-pipeline (n=12). During the current evaluation, funding for two further projects which will require scoping and development, was indicated. From the first technical assistance project (Philippines), project evaluations judged that the projects had improved institutional capacity and cooperation through awareness-raising and training of judges, prosecutors and law enforcement officers, and that projects had led directly to the development of the National Action Plans, to ratification of the Human Trafficking Protocol and to the introduction of victim/witness support and protection models. This evaluation confirms the earlier results.

29. Concerning the second sub-objective of the Anti-Human Trafficking Unit '*Improving knowledge on the global scope of trafficking in persons through data collection*', there is only one activity currently identified; the database on flows of human trafficking. The database

collects 'a wide range of open-source information on trafficking in human beings. The information may come in the form of official government statistics, reports of research institutes or of intergovernmental and non-governmental organisations, *but may also be drawn from newspaper articles and news agency bulletins* (Kangaspunta, 2003, p87, italics added).

30. The database is a major achievement. Its scope and coverage is both global and country-specific. As with the previously mentioned United States' State

Department TIP Report, however, the database has its critics. In particular, the inclusion of cases sourced from the popular media, and to a lesser extent NGOs, led to Member States ignoring results, or in a number of instances, making representations to UNODC for clarification/modification of published analyses. Neither the database nor the TIP Report enjoy high levels of confidence in the reliability of their contents, outside of their respective data custodians, but they are extremely influential. Additional Global Programme data collection is provided through project-specific (i.e. country/region-specific) moderate to high quality research reports on the *nature* of human trafficking (e.g. routes, methods, and socio-demographics of victims).

31. The proposed UNODC Global Report on Human Trafficking, due to be published in 2005, is also a major achievement and promises to be the first independent global report. While not designed to directly replicate the TIP Report's thrust or purpose, or to compete with it for reliability/credibility, it will nonetheless provoke great interest. As the data which populate the report come largely from the database on flows of Human Trafficking, it can be predicted with a high degree of confidence that results will generate similar reactions from Member States, as occurred in relation to the earlier database publications. In response to the current evaluation, the title of the Report was changed to 'Trends in Human Trafficking.'

32. In pursuing the objective of improving knowledge on the global scope of trafficking in persons through data collection, the Global Programme largely ignores the 'phase' identified in the report to the 8th session of the CCPCJ of looking at 'different routes used for human smuggling (sic) and the *structures* and *modalities* used for transporting and subsequently exploiting them (italics added).' Due to the failure of donor funds to materialise, it also consciously neglects to undertake serious research into the incidence/ prevalence of trafficking in persons, and it accepts the received wisdom that reliable data are unlikely to be available. This is unfortunate. As Bacha (2004) notes, inflated estimates divert resources from where more urgent intervention is required while deflated estimates lead to inactivity, which allows the problem to proliferate. The Global Programme does not engage sufficiently with UNODC's Research and Analysis Section of the Division for Policy Analysis and Public Affairs, and within the Programme, AHTU does not engage sufficiently with UNODC's partner in the Global Programme, UNICRI, on exploring opportunities to test the validity of the received wisdom. There are differences of opinion between UNODC and UNICRI on the degree of autonomy granted to the latter for research undertaken as part of the Global Programme. Regardless, the experience suggests inadequate levels of cooperation and collaboration between the AHTU and UNICRI, on research designs, the engagement of consultants and subsequent conduct of research activities. Research undertaken by UNICRI was completed at a financial loss to the Institute.

33. The role of UNICRI in the Global Programme did not develop to the full extent intended at GPAT's launch. In addition to financial losses incurred as a result of its involvement, UNICRI has been plagued by staff movements attached to Global Programme research activities, with up to three researchers during the life of specific technical assistance projects (e.g. Czech Republic), leading to loss of momentum, delays and frustrations within sub-contracted host country research institutes, and in one instance (Philippines) to a declaration by the subcontracted institute in that country that it would never work with UNICRI again. Concerning its 'partner in the Global Programme' status, while collaborating activities initiated by UNODC are considered by both UNODC and UNICRI, as part of GPAT, UNICRI relatively recently embarked on a programme of conducting its own anti-human trafficking technical assistance projects. These projects are considered by both UNODC and UNICRI as *outside* the Global Programme. The desirability of continued participation of UNICRI as an active partner in GPAT, and the scope of

its role, including the appropriateness of it conducting technical assistance projects outside of the Global Programme, should be examined.

34. Concerning the third Programme sub-objective '*Strengthen policy formulation and international cooperation in trafficking in human beings,*' the Global Programme is involved in 12 activities, ranging from 'in-house' servicing of the CCPCJ, UN Crime Congress and other UN bodies, including the Conference of Parties to the Transnational Organized Crime Convention; conference organisation/ attendances and study tours; and the development of training materials/ toolkits, community awareness - raising materials; and the Global Report. These activities are complemented by project-specific cross border meetings (e.g. between Viet Nam and China, and between Czech Republic and Poland). Across the activities, variable levels of success were achieved. Many of the activities are behind schedule (e.g. Toolkit on Best Practice and the Global Report) and few of those which have been completed, have been evaluated. One which was evaluated *as a modality of programme delivery*, is the training manual '*Measures to Combat Trafficking in Human Beings in Benin, Nigeria and Togo.*' The evaluation determined that the manual was 'user friendly;' that it was based on a needs assessment; and that it was 'a direct response to an acute and recently high-profile and highly specific problem,' involving 'a high degree of cooperation between headquarters and the field.' However, the evaluation concluded that outcomes/ impacts were, as yet, 'unrealised' (Silva, 2004, p14).

2.5. Achievement of Programme Results

35. The Global Programme's technical cooperation projects are, with several exceptions, achieving their intended results. The case that only one technical cooperation project has been completed in the five years of GPAT (several projects are nearing completion) largely reflects the relatively slow donor flows in the early period of the Programme; the relative low core AHTU staffing level; the length of time between conceptualisation, project development/approval, implementation; and project durations. The Global Programme is achieving the results due to its adoption of a collaborative model which evolved gradually as and when lessons learned have come to hand, culminating in that which applied to the project which is next due for completion (Viet Nam), which also coincidentally, demonstrates that the UNODC restructure will work.

36. The features of the model evident in the Viet Nam Project are:

- i) A well targeted project design conceptualised at a local level and collaboratively developed with the beneficiary country/region (with guidance from Vienna);
- ii) A receptive and enthusiastic government;⁶
- iii) A comfortable timeframe within which to implement the project;
- iv) Outside of administrative and preliminary activities, timing of elements are independent of each other, eliminating a purely sequential process where succeeding elements are dependent on preceding elements being completed;
- v) Selection of the right partner-agency/Ministry/Department within the host government;
- vi) The identification and selection of the right National Coordinator;
- vii) The presence of an appropriately skilled (i.e. with a criminal justice background – through qualifications/experience/training) Field Office Programme Manager for local supervision of the project and advice to the National Coordinator;
- viii) Ongoing monitoring and evaluation; and

ix) Appropriate backstopping for the Field Office by the Regional Desk, and appropriate backstopping for both by the AHTU.

37. The identification and selection of the right partner agency/ Ministry/Department and the National Coordinator is critical. The technical cooperation projects which are not (yet) achieving intended results have invariably foundered due to identification and selection failures. In one instance (Poland), the creation of dual National Coordinators (one government, the other private – though the former was identified as a Project Consultant), with duties split between the two, led to confusion among stakeholders and delays in implementation. Excluding this and one other exception (paragraph 41 also refers), there was (and is) no substitute for ‘on the ground’ management of projects. Remote management and monitoring from Vienna is less than optimal.

38. Non-technical cooperation Global Programme activities, with the exception of the W. Africa training manual referred to in paragraph 34 above, have not been evaluated. Anecdotal evidence suggests that positive immediate results are being achieved. Long-term endurance/persistence of these results and their contribution to the Global Programme’s crime objectives will require further evaluation. In general, the human trafficking flows database is used primarily to assist in the construction of country profiles and related activities, for which it is a useful tool. It is not utilised extensively as a research tool to identify target countries/regions for possible technical cooperation projects, or to identify changing trends in the nature and extent of trafficking in persons. Recently however, possible projects in the Black Sea region and in E. Africa were identified using the database.

2.6. Implementation

39. The Programme evolved incrementally, initially in the absence of the Convention against Transnational Organized Crime, the Human Trafficking Protocol, and an agreed definition contained therein. The absence of a strategic plan has meant that an operational plan for implementation of the Global Programme was also never developed. In addition to the management use of GPAT for encouraging and working towards the adoption of the Convention against Transnational Organized Crime and the Human Trafficking Protocol, implementation roughly followed the phases of implementation envisioned at the Global Programme’s launch in 1999, with the first two phases conducted in parallel.

The grand Global Strategy however, was never formulated (largely due to deferral until the finalisation/entry into force of the Human Trafficking Protocol). Data collection, albeit deficient (discussed in paragraphs 29 and 32 above), was and is centred on the human trafficking flows database and on country/ region-specific research into the nature of human trafficking, conducted as part of technical cooperation projects. As indicated in the one terminal project evaluation report produced prior to the current thematic evaluation (Philippines I) this is not optimal.

In order to identify the needs and inform responses arising, research should be conducted prior to projects commencing. In almost all instances where research was intended to inform later stages in projects, it materialised too late to influence the development of response materials (e.g. awareness-raising, and training manuals). The Global Programme commissioned an interim report when the seriousness of the delay was realised in one project (W. Africa). The terminal evaluation of the one project completed to date acknowledged (and it applies still) that pre-project funding is rarely made available by donors for this type of research (Williams, 2001). Implementation of the Global Programme’s intended Phase Two (i.e. ‘demonstration projects’) was characterised by a ‘learn as you go’ approach, based on secondary sources and the experience of subsequent projects. The Global Programme successfully learned from those experiences, culminating in the model described in paragraphs 36 and 37 above.

40. Despite the references to *smuggling of migrants* at the Global Programme’s launch, in its reports to the CCPCJ, in AHTU’s defined role in its work plans, and

in advertised positions, the Global Programme has not undertaken any anti-smuggling-specific technical cooperation projects or undertaken other anti-smuggling activities. As a consequence, the Protocol against the Smuggling of Migrants by Land, Sea, and Air, supplementing the United Nations Convention against Transnational Organized Crime is without a home in the UN generally, or UNODC specifically, beyond the work of the Conference of the Parties to the Transnational Crime Organised Convention, and legislative services provided by UNODC's Advisory Services and Crime Conventions Section.

41. In its report to the 9th Session of the CCPCJ the then CICIP advised that 'Technical assistance projects carried out under the Global Programme would be evaluated independently by *an international advisory board consisting of high-level representatives from Member States and individual experts* (italics added).' The resources were never forthcoming to convene the envisioned advisory board, and instead, projects were evaluated by independent experts engaged by the Global Programme, and more recently, through UNODC's Independent Evaluation Unit. This was a practical and appropriate response to the funding difficulties. No technical cooperation projects had evaluation plans developed during project planning, and only some have evaluation budgets. While all Project Documents include provisions for beneficiary countries to be consulted on the timing and content of evaluations, almost invariably, this was not done, and countries did not know how their performance was to be measured. Nationally executed (that is, nationally funded and implemented) technical cooperation projects provide the Global Programme with particular difficulties in monitoring and evaluation, with the tendency for Progress Performance Reviews and Progress Reports being provided to the AHTU generally 'for information only.' There is a danger, as a consequence of the restructure of UNODC and the transfer of responsibility for reviews and reports to be completed by Field Offices (with the assistance of Regional Desks), that the expert scrutiny which AHTU can provide will be similarly bypassed. A view expressed at the internal Field Advisors Seminar in 2004 was that the realignment of functions as a result of the Office restructure might lead to a complete regionalisation or even nationalisation of the Global Programme, resulting in a distributed focus, rather than a consistent global approach, with the loss of a global perspective and access to global expertise. This would be unfortunate and efforts should be made to avoid its eventuality.

42. With one major exception (W. Africa), UNOPS provided an efficient streamlined process to the Global Programme for the engagement of consultants and international experts, for the provision of services and equipment under technical cooperation projects, and for the management of contracts. However, payments to project staff and international experts are characterised by excessive delays. National Coordinators' salaries are frequently delayed by six-eight weeks; consultants and international experts are invariably required to self-fund their work prior to departure for missions in expectation that the amounts will be reimbursed in a timely manner, and final payments take months to materialise. In one project, a National Coordinator was required to self-fund a significant project element in expectation of timely reimbursement, and in another, the National Coordinator was compromised by resorting to diverting host agency funds to pay for project initiatives, again in expectation that UNOPS reimbursements would arrive before the transactions were detected. Similarly, a National Coordinator and international expert were forced to self-fund security staff for a site visit in an area where abduction was common (without the possibility of reimbursement). UNOPS resisted requests for specific information on the intervals between requests for payments, though each stage of the approval process, to receipt and disbursement.

43. Such UNOPS executed payments difficulties are not limited to the Global Programme against Trafficking in Human Beings, with similar delays reported in other Global Programmes. While outside the direct control of UNOPS, an

international expert was forced to self-fund the provision of interpreters and additional air flights (only advised after commencement of a mission and after the contract for services was signed), also without the possibility of reimbursement, when available funds were insufficient to cover these expected professional courtesies which had been provided on previous missions.

44. The Global Programme does not maintain a Library of Best Practice, either from its own technical cooperation projects or from other agencies,⁷ despite GPAT's dedicated web site proclaiming its *current* existence:

A proven practices database includes examples from each country project module. The database brings together examples of organizations that have worked to stop trafficking, serve the victims of trafficking or build a greater understanding and public awareness of trafficking. It will assist policymakers in national governments, non-governmental organizations and inter-governmental organizations to understand and respond effectively to human trafficking (UNODC, 2004).

The database was not established and it no longer appears on the AHTU work plan. There has not been an attempt to establish reciprocal exchanges of information, evaluations/end-of-project reports with other agencies, and attempts to systematically source even publicly available electronic (web) reports of others' work and results are stymied by a lack of human and financial resources.

45. Internally, record keeping, by project, and across the Global Programme, in both electronic and hard copy, is deficient. Source documents, including original Project Documents through to final signed copies; Project Performance Reviews (PPRs); Progress, Final and Mission Reports, are sometimes difficult to locate, and generally only available from the individual officer who was responsible for the project. Modifications to projects as a result of reviews, etc., are often not documented, but are 'understood' by both the Global Programme and the beneficiary country.

2.7 Institutional and Management Arrangements

46. The Anti-Human Trafficking Unit is located in Vienna at UNODC headquarters and, under the 2003 reorganization of the Office, is part of the Anti-Trafficking Section of the Human Security Branch of the Division for Operations. Since the reorganisation, and previously with their equivalents, the Unit maintains relationships with a number of UNODC entities, including the Partnership in Development Branch of the same Division, the Treaty and Legal Affairs Branch of the Division for Treaty Affairs; the Research and Analysis Section of the Policy Analysis and Research Branch; and the Co-financing and Partnership Section of the Public Affairs and Inter-Agency Branch of the Division for Policy Analysis and Public Affairs. Extra-UNODC relationships are maintained with UNICRI, UNOPS and UNDP for project implementation.

47. Relationships with the Regional Desks in the Partnership in Development Branch of the Division for Operations, since the reorganisation of the Office, reflect the current state of transition following the restructure of the Office. In particular, AHTU lacks confidence in the capacity of the Desks to assume functions previously conducted by the Unit. While generally complying with the intentions of and in principle support for the restructure, AHTU is reluctant to pass technical cooperation projects over to the Regional Desks. The Regional Desks and Field Offices are currently ill equipped to receive projects and on occasion, those which have been handed over have received less than optimal attention, resulting in delays in implementation. The restructure of UNODC in 2003 was not accompanied by an increase of resources in the Desks or Field Offices and there are unfilled vacancies.

One project (Slovakia) has been ready to be implemented for almost 12 months, but due to the unavailability of staff in the Regional Desk, it has not proceeded, leading to an official complaint from the host country. Personnel are generally

illicit drugs specialists without crime backgrounds and they have not received crime training generally, or training in trafficking in persons more specifically. Several Regional Desks indicate that if untargeted funds were made available for their regions, anti-human trafficking activities would have to take their place in line with other priorities. At present, Alternative Development, Corruption, Illicit Drugs and Money Laundering are nominated as more highly ranked. Similarly, one Field Office indicated a reluctance to prejudice existing relationships, through vigorously pursuing Ministries to fulfil their relatively small anti-human trafficking project obligations and risk the much larger, higher funded non-trafficking in persons projects, which are placed with the same Ministries. In one project, the Field Office acknowledged that since the UNODC restructure it 'had heard' that a backstopping arrangement was available from its Regional Desk, but didn't know who the responsible person was, and that it 'had never heard from them.'

48. The relationship between AHTU and the Treaty and Legal Affairs Branch is strong and collaborative, which is effective in identifying Member States that would benefit from Global Programme initiatives to encourage moves towards ratification of the Human Trafficking Protocol. However, donor-driven imperatives of project funding limits the extent to which identified States can be accommodated. Future collaboration activities include servicing the Conference of the Parties as it relates to the Trafficking and Smuggling Protocols, possibly the collection of Protocol obligation related data on implementation, and extension of legal advisory services.

49. The relationship between AHTU and Co-financing and Partnership Section is limited. As a consequence the Unit has been and is still active in pursuing donor funds outside of and in addition to the Section, which requires effort and time outside of its primary functions following the UNODC restructure, to the detriment of GPAT activities. In comparison with illicit drugs activities, crime programmes generally, and anti-human trafficking in particular, are very much smaller and less urgent/less attractive programmes for donors. At the recent Donors Meeting in Vienna in October 2004, over the day and a half of discussions, crime was granted approximately twenty minutes, with anti-human trafficking, several sentences only.⁸

Following the 1999 launch of the Global Programme in front of the Member States, the Co-financing and Partnership Section canvassed potential donors and found that it was likely to be a low priority programme relative to illicit drugs. The experience since then confirms the original assessment. With a diminishing relative advantage of the Global Programme, combined with post-9/11 international concerns about border security, several donors indicate that should the Global Programme assume responsibility for the Smuggling of Migrants, which will deliver a counter-terrorism benefit as a by-product, this will increase the likelihood of additional funds. While there will always be justifications for discrete anti-human trafficking and smuggling of migrants projects, increased attractiveness to donors by twinning an anti-human trafficking project with an anti-smuggling of migrants component was indicated in the current evaluation, with an existing donor and a new (anti-human trafficking) donor, giving indicative support for funds for a Phase 2 project proposal which contained both elements. Additionally, several donors indicated to the Co-financing and Partnership Section that they will be rebalancing their commitments, with more funds available for crime, and less for illicit drugs, commencing in the next financial year. The Co-financing and Partnership Section has reviewed its work plan for 2005/06 with an emphasis of broadening and diversifying the donor resource base for UNODC activities at large. The Global Programme should engage more fully with the Section in this pursuit.

50. The Partnership in Development Branch's objectives are 'to undertake research and strategic analysis as a basis for developing policy options [for] drug control and crime prevention measures; to provide scientific advice and support for national, regional and international and UNODC activities...' (http://www.unodc.org/pdf/unodc_terms_reference.pdf). It is therefore well placed to provide the

Global Programme with assistance on the full range of its activities. Unfortunately, the Global Programme has not accessed this assistance, beyond early involvement for the development of databases for beneficiary countries and within AHTU, the trafficking flows database.

51. The Anti-Human Trafficking Unit is properly located in Vienna, even though the majority of the activities it supports are in the field. To date, Unit staff have been required to undertake extensive travel in support of the needs of countries. Under the 2003 restructuring of the Office, it is expected that the need for AHTU travel will diminish, with Regional Desks and Field Offices in particular, assuming functions previously conducted during Unit field missions. As an indication, eleven of the twelve pre-pipeline projects in the current AHTU work plan, were conceived by Field Offices. Vienna is an efficient central location for travel and for interaction with other UNODC programmes and with key anti-human trafficking entities in Europe. It is understood that UNODC will shortly (re)consider whether the AHTU should be relocated outside of Europe, as part of a decentralising process which will affect more than the Global Programme against Trafficking in Human Beings. The location of the Conference of the Parties in Vienna, combined with the centrality of Vienna as a hub for travel and contact with other UNODC and extra-UN entities, supports retention of the Unit in Vienna.

52. Although the AHTU is designated as the anti-human trafficking unit, this does not mean that it has exclusivity over anti-human trafficking activities conducted by the UN, nor should it. Sometimes, UNICEF for example, might be better placed. Donor countries are funding anti-human trafficking activities outside of the Global Programme with these agencies, in addition to direct donor to beneficiary country funding. At times, UN agencies seek and obtain funding for anti-human trafficking projects where the relative advantage of the agencies and AHTU is less clear (e.g. UNICRI undertaking anti-human trafficking projects). ‘Poaching’ of UNODC activities is not restricted to anti-human trafficking. In a number of instances, other UN agencies were unaware of UNODC’s mandate. Where agencies were aware that the Global Programme had a mandate but persevered regardless, it was argued that they too, were influenced by their own funding situations, which demanded that opportunities to retain skilled staff should not be rejected, assuming the agencies had the capacity and skills to deliver. On occasions, Global Programme staff were embarrassed in front of governments when entering countries to commence activities, to find that another UN agency/entity was already active in the country with a similar project. Beneficiary countries, in general, view all UN agencies as ‘the UN,’ and they argue that the various UN agencies should know what each is doing. Within UNODC not all those who need to know and participate in the activities of the Global Programme attach sufficient importance to GPAT work. The Global Programme is viewed as a ‘little brother’ and less important than the Office’s work in the area of illicit drugs.

3. OUTCOMES, IMPACTS AND SUSTAINABILITY

3.1. Outcomes

53. From a global perspective, there are a number of fundamental questions which can be directed at the Global Programme. Ten beneficiary countries have received technical assistance under the Global Programme, with a similar number due to receive assistance in the next one to two years. Were Benin, Brazil, Colombia, the Czech Republic, India, Nigeria, the Philippines, Poland, Togo and Viet Nam the most urgent countries for Global Programme technical assistance in the five years since its inception? Were these countries the most prolific source, transit or destination countries, for example? Were these countries the least able to implement anti-human trafficking legislation and to ratify the Human Trafficking

Protocol without the assistance of the UN? Or were these countries the most suitable (e.g. willingness, capacity, range of governments/legal, law enforcement, criminal justice systems) to launch and test demonstration technical cooperation projects? The answer to all four questions is probably 'no,' reflecting the donor-driven nature of the Global Programme. Looking at it retrospectively, if at the launch of the Global Programme in 1999, GPAT knew it had a budget of approximately US\$8 million over five years, what might it have identified as its 'best buys'? Within this over-riding limitation, however, there were extremely positive outcomes.

54. The Global Programme's technical cooperation projects are process-centred; designed to prepare recipient countries/regions for the next stage where concrete impacts will be observable. The Global Programme achieves its purpose by developing and directly linking activities to desired outcomes. Sensitising judges, prosecutors and law enforcement officers is achieved by awareness-raising of the problem of trafficking in human beings, where presentations are given by international experts on the impact that trafficking has on victims (e.g. Viet Nam project). Strengthening cooperation between all government agencies involved in anti-human trafficking activities is achieved by establishing inter-agency executive committees (e.g. Philippines, Czech Republic and Colombia); identifying gaps in existing legislation and obligations under the Human Trafficking Protocol is achieved by completing legal reviews (e.g. Czech Republic, Poland, Viet Nam and Colombia); improving the efforts of police and border guards in identifying victims and investigating perpetrators is achieved by conducting training sessions with international law enforcement experts as presenters/trainers (e.g. Nigeria, Togo, Benin, Philippines, and Viet Nam); cross-border cooperation is improved by holding joint border meetings (e.g. Viet Nam and China; Czech Republic and Poland). These elements are drawn together to develop anti-human trafficking National Action Plans (e.g. Philippines, Czech Republic, Poland, Viet Nam and Colombia). Beneficiary governments and NGOs advise that without the presence of the Global Programme in their countries, National Action Plans (e.g. Philippines, Viet Nam, and Poland) would not have been developed; anti-human trafficking legislation would not have been introduced/passed in their legislatures (e.g. Philippines, Poland, and Czech Republic); and/or the Human Trafficking Protocol would not have been ratified (e.g. Czech Republic, Philippines, Poland, and Benin). In several project recipient countries, training materials have been incorporated into professional curricula and train-the-trainer exercises have resulted in ongoing training post-projects. Non-technical cooperation elements of the Global Programme (e.g. the Toolkit on Best Practice, and the Global Report) are currently behind their production schedules and/or have not been evaluated.

55. One Global Programme element for which an expected outcome was not realised is a victim support and protection model which was introduced into the combined Czech Republic/Poland project as a pilot/demonstration element. Based on the three Ps principle, **P**rotection of victims delivers **P**rosecutions, which in turns delivers **P**revention, the model's criminal justice objective was 'to facilitate their testimony in court against traffickers.' The model is predicated on victims' willingness to cooperate with law enforcement and prosecutorial processes. Foreign victims are entitled to a 30-day reflection period in the care of NGO's, after which, if they agree to cooperate, they are granted extendable visas for the prosecution duration. Should their testimony place them at risk in the event of their repatriation to their countries of origin, consideration will be given to permanent residency. Less than 15% (n=17) of identified eligible victims agreed to enter the model and the crime dividend was similarly poor. Only one case has proceeded to prosecution (Poland). The Czech Republic has guaranteed ongoing funding, but the approval process to enter the model (at Deputy Ministerial level) is overly bureaucratic. Poland has not yet provided ongoing funding, and the Global Programme provided bridging finance to extend the pilot to obtain a minimum 20

victims in that country. Victims find immediate repatriation and reintegration with the assistance of IOM and/or applying for asylum equally or more attractive options. NGOs recommend that the requirement to cooperate with law enforcement should be removed and victims should be granted the same rights as asylum seekers. One Global Programme technical assistance project (India), which is directed at providing support structures for (female) victims of violent crime, which includes trafficking, is not tied to willingness to cooperate with law enforcement and prosecutorial processes. A further element piloted in two projects (establishment of human trafficking databases) did not produce desired results and the reasons are known (post-implementation beneficiary country neglect). Databases have not been pursued since.

56. Ratification of the Human Trafficking Protocol (and in some instances pre-ratification readiness) is viewed by some Global Programme members as an end in itself; a worthy outcome. This is insufficient and only a first important hurdle. The Global Programme should utilise ratification of the Protocol as a means, rather than as an end. With the exception of the victim/ witness support and protection model, all of the elements of the Global Programme's menu of activities have been shown to work (at least in the short-term). After five years of the Global Programme, if the broad 'Phases' identified at the Global Programme's launch have any weight, then the phase for 'demonstration technical cooperation activities' should be considered at an end. All of the elements are available, or can be made available (e.g. on the Global Programme's web site) as 'off the shelf' modules, including the UNODC Division for Treaty Affairs' *Legislative Guides for the Implementation of the United Nations Convention Against Transnational Organized Crime and the Protocols thereto*, which are step by step checklists of what is required and how to achieve it. In the circumstances, concerning pre-ratification technical assistance in particular, the Global Programme risks becoming merely a conduit for donor funds without adding value to the products. The Global Programme should move to post-ratification implementation assistance.

3.2. Impacts

57. Underlying the objectives of the Global Programme are assumptions that the crime of trafficking in persons and the number of victims is large and growing, and that the initiatives of the Global Programme will make a positive difference. Within the process domain of its activities, this evaluation finds that GPAT makes a positive difference. A measurable crime dividend, however, is more difficult to determine. An example is the victim and witness support and protection model (referred to in paragraph 55 above). If all that it does is provide temporary sanctuary, restore the physical, psychological and social health of victims, and prepares them for reintegration (all worthy outcomes), but fails to deliver a measurable crime dividend beyond (possibly) immediate re-victimisation, then in its current form, does it belong in a United Nations Office on Drugs and Crime Global Programme? A useful adjunct to UNHCR activities perhaps, but without increased prosecutions resulting, it is not the optimal criminal justice response.

58. If UNODC views the Human Trafficking Protocol as the Global Programme's enduring mandate, then from a criminal justice perspective, ultimately, it has to answer four impact questions:

- i) has the Global Programme contributed to the *prevention* of trafficking in persons;
- ii) has the Global Programme contributed to the *suppression* of trafficking in persons;
- iii) has the Global Programme contributed to the *punishment of traffickers*; and
- iv) has the Global Programme contributed to the *support and protection of victims and witnesses*.

These questions boil down to two.

- v) has the Global Programme contributed to a reduction in the number of persons trafficked; and
- vi) has the Global Programme contributed to an increase in the number of traffickers prosecuted.

59. The Vienna Declaration on Crime and Justice: Meeting the Challenges of the Twenty-first Century adopted by the General Assembly (Res. 55/59) on 4 December 2000, previously referred to in paragraph 11 above, went on to declare in part (14), after consideration of support for the Global Programme

and we establish 2005 as the target year for achieving a significant decrease in the incidence of those crimes worldwide, and *where that is not attained, for assessing the actual implementation of the measures advocated* (United Nations, 2001a, op cit, italics added).

Without baseline and ongoing incidence and prevalence data on these elements, the questions in paragraph 58 above and identified in the Vienna Declaration cannot be answered. The Global Programme has not collected these data and the AHTU is resistant to the Global Programme's performance being tied to these measures.⁹ In the circumstances, assessment of implementation will occur in a vacuum.

60. One beneficiary country recently announced that 'The new Anti- Human Trafficking Prohibition and Law Enforcement Act of 2003 has claimed its first culprit in Benin City. A trafficker, a 51 year old woman, was sentenced to jail by Benin High Court to thirty six months imprisonment without option of fine.' Such measurable impacts are rare, and the Global Programme depends on the United States TIP Report for similar data (Office to Monitor and Combat Trafficking in Persons, 2004). In countries where Global Programme technical cooperation projects have been or are being implemented, the 2004 Report records 50-100 labour trafficking and 68 sexual exploitation prosecutions in Brazil; 16 in Colombia; five in the Czech Republic; zero in Nigeria; three in the Philippines; 30 in Poland; 39 in Togo; and 224 in Viet Nam. From the same Department, beneficiary countries 'improved' their Tier ranking from Tier 2 to Tier 1 (Czech Republic and Poland, in 2002).¹⁰ Conversely, four beneficiary countries (India, Nigeria, Philippines and Viet Nam) declined in ranking (from Tier 2 to Tier 2 Watch List).

61. In the absence of data on measurable impacts, and because the Global Programme is process centred, most of what might be offered as impacts are really *outputs* – X number of police trained; Y number of National Action Plans developed; Z number of anti-human trafficking laws passed, etc. Despite the process elements being achieved (e.g. Judges/prosecutors sensitised; National Action Plans developed/implemented; Legislation passed; States ratifying the Human Trafficking Protocol, victims/witnesses supported and protected, etc.), it is possible that no decrease in the incidence and prevalence of trafficking in persons was realised, either locally or globally. Worse yet, though unlikely, Global Programme activities might have contributed to an increase (e.g. through displacement effects). The required data have not been collected by the Global Programme.

3.3 Sustainability

62. The Global Programme's successes are lauded by the international anti-human trafficking community, particularly in the number of Member States which have ratified the Protocol, which itself *obliges* those States to implement many of the Global Programme's areas of assistance. However, in light of the number of States which have enacted anti-human trafficking legislation, the relative advantage offered by the Global Programme has diminished. The Global Programme's menu

of assistance (and general approach to technical cooperation projects) comprises research; awareness raising; legal assessment of the gaps between existing legislation and the obligations under the Human Trafficking Protocol; the development of National Action Plans which include filling the legislative gaps and ratification of the Protocol; training of law enforcement, judges and prosecutors; and the victim support and protection models. As with the Global Programme itself, which is viewed by other stakeholders as having ‘cherry picked’ trafficking for sexual exploitation and neglecting trafficking for labour exploitation and organ removal, donors are funding discrete elements of the Programme’s menu, outside of UNODC, the AHTU and the Global Programme through direct donor to NGOs and direct donor to beneficiary country arrangements, in addition to funding alternative UN agencies/entities.

63. In 2003, for example, the United States Office to Monitor and Combat Trafficking in Persons (the TIP Office) funded 223 anti-human trafficking projects totalling US\$65,425,464 (mean US\$293,388, median US\$100,000). Six projects only, were funded through the Global Programme (total of US\$507,935, mean of US\$84,655).¹¹ From the same donor, there were 28 non-Global Programme anti-human trafficking projects funded in countries where the Global Programme is also active. Other UN agencies/entities to receive US funding for anti-human trafficking projects in 2003 were UNICEF (8), UNDP (1), UNIAP (1) and the ILO (18). There were 48 projects funded by the Office for IOM in the same year. In total, IOM has 73 current anti-human trafficking projects, which compares with the 12 current Global Programme technical assistance projects (with 20 additional projects at pipeline or pre-pipeline stage). Donors more specifically, but stakeholders generally, indicate that the Global Programme’s comparative advantage, its niche, can be found in robust research, legislative support, and law enforcement and prosecution assistance. As several donors crudely summarised the prevailing view during the current evaluation, ‘the Global Programme addresses “the pointy end” while [other agencies] only deal with the “touchy feely” side of the crime.’

64. Examples of US-funded technical assistance projects which target items from the same menu of activities as the Global Programme include training in investigative techniques and identifying traffickers for the Kenya Police Human Trafficking Unit (Kenyan government, US\$68,000); research into the extent and nature of human trafficking in Niger (Niger government, US\$224,000); improvement in legislation, public awareness and law enforcement in Indonesia (The Asia Foundation, US\$265,000); and training of 200 transit, civil, federal and military police in Brazil (ILO, US\$251,086). In the last 12 months, one (non-US) donor failed to renew a long-standing arrangement for a Vienna-based Associate Expert position; another (non-US) donor indicated that for the foreseeable future, it would not be contributing to the Global Programme; and one technical cooperation project (Philippines II) has been delayed for more than 12 months over difficulties identified by the donor on the percentage of funds charged as overheads within the UN.

65. It is unusual to identify the contributions of individuals in thematic evaluations. However, in the life of the Global Programme, there have been three constants (until relatively recently), which is not to underestimate the significant contributions of the numerous Associate Experts, volunteers and interns over the same period. With such a small core staff, any movements from AHTU threaten the sustainability of the whole Global Programme. The former Chief, Human Security Branch, was sufficiently placed in the managerial hierarchy of UNODC, to take the role of ‘champion’ for the Global Programme. With replacement/new appointments within UNODC following the Office’s restructure, and despite support for the Global Programme within UNODC at management levels, there is currently a temporary hiatus, where senior management agreement on the direction, parameters and resourcing of the Global Programme is unclear. UNODC also recently

embarked upon a policy of rotating staff from HQ back to the field. Under the policy, it is understood that the rotation of the Chief of the AHTU is imminent, and corporate knowledge of the Global Programme will rest (subject to further rotations) with the sole remaining constant. UNODC should ensure that the rotation policy does not jeopardise core functions and flexibility in its application with a view to maximising overall and specific service to clients, should be preferred over a strict interpretation of the formal rules of eligibility for rotation.

66. The number of current projects, even under the post-2003 Office restructure with distributed responsibilities rather than concentrated within AHTU, is unsustainable with a core staff of just two professionals within the Unit. Forty-six projects/activities currently on the work plan, plus another two identified during this evaluation, plus more effort on trafficking for labour exploitation and trafficking for organ removal, plus the addition of the Smuggling of Migrants functions, makes even keeping track of the paperwork difficult, if not impossible. In this respect, currently, the Global Programme does not use a systematised Project Management Cycle schema. Co-financing and Partnership Section guidelines specify six to twelve months' shelf life. However, Global Programme projects appear to remain as pipeline or even pre-pipeline as long as takes to obtain funding. In the interim, further developmental work and ongoing fundraising activities are undertaken, to the detriment of more viable potential or current projects/activities.

67. Concerning the sustainability of results from the Global Programme to date, as opposed to the sustainability of the GPAT *per se*, if the ratification of the Human Trafficking Protocol and/or the implementation of anti-human trafficking legislation are viewed as ends in themselves, then these results are enduring (assuming that such legislation is not subsequently repealed). The 'train-the-trainer' and incorporation of training materials into professional curricula initiatives will ensure that awareness-raising and professional training benefits are sustained post-departure of the Global Programme from beneficiary countries. The menu of modules, if mounted on the Global Programme's web site, will provide a ready-reference library accessible to anyone who has access to the Internet. There will be emerging responses by traffickers, however, which will in turn, require new approaches.

68. The Global Programme is not alone in the fight against Trafficking in Persons. As part of the Vienna Declaration on Crime and Justice: Meeting the Challenges of the Twenty-first Century adopted by the General Assembly (Res. 55/59) on 4 December 2000, previously referred to in paragraphs 11 and 59 above, Member States declared (9):

We reaffirm our continued support for and commitment to the United Nations and to the United Nations Crime Prevention and Criminal Justice Programme, especially the Commission on Crime Prevention and Justice and the United Nations Centre for International Crime Prevention, the United Nations Interregional Crime and Justice Research Institute and the institutes of the Programme network, and *resolve to strengthen the Programme further through sustained funding*, as appropriate (United Nations, 2001a, op cit, italics added).

69. If the international community generally, and Member States in particular, believe that trafficking in persons is a serious problem, and that GPAT is making a difference, then it has to support the Programme with appropriate levels of funding. To date, three countries only (France, Germany and Japan) have funded Associate Expert positions in the AHTU (median US\$204,750 per year, in total), only six Member States (Austria, Germany, Italy, the Netherlands, Sweden, and the United States), have provided untargeted funding, ranging from US\$16,683 to US\$260,698

(medians US\$34,000 per occasion, US\$116,000 per annum in total). Sixteen Member States¹² have provided project-specific funding, ranging from US\$3,058 to US\$384,076 (medians US\$90,000 per occasion, US\$851,000 per annum in total). A small number of States have made one-off *ad hoc* supplementary contributions to projects. While the individual amounts (and totals) are gratefully received by the Global Programme, the relatively small total quantum and uncertainty of recurrence do not create an environment where long-term planning can be undertaken.

4. LESSONS LEARNED AND BEST PRACTICES

4.1 Lessons Learned

70. The following lessons can be drawn from the evaluation:

- i) An illegitimate conception, followed by birth into a family with higher priorities and without a plan for growth, will result in arrested development (Section 2.1, paragraphs 9-15 refer). Survival can depend on donations, which are very much appreciated, but with contributors having too much influence on the upbringing (Section 1.3 paragraph 7; Section 2.3, paragraphs 18 and 23; Section 3.3 refer). When the Global Programme was launched, there were unrealistic expectations of donor funds for GPAT.¹² The operational capacity envisioned by the then CICP depended on these funds. The ‘business plan’ was deficient, and the expected funds did not eventuate. The lesson learned is that new Programmes which might be considered necessary, worthy, etc., to respond to criminal activity, still require robust market research, in addition to the usual strategic considerations (e.g. human resources, and operational planning). A consequence of the failure of significant donor flows is that Programmes can become reliant on donors and donors might direct where and when activities can be undertaken. There is an ever-present danger of the Office losing control of such a Programme and becoming merely a sub-contractor, captive to the agenda of a donor or donors – he who pays the piper plays the tune.
- ii) That well designed and targeted project designs collaboratively developed with beneficiary countries are very successful (Section 2.5, paragraphs 36, 37 refer). The final model of technical cooperation (Viet Nam), which emerged from lessons learned by the Global Programme through earlier projects, possesses all of the features to increase the likelihood that projects will succeed. In particular, remote management is difficult to sustain, without excessive numbers of field missions. In turn, HQ should provide appropriate levels of backstopping, and it should retain a monitoring and oversight role, with the authority to direct Field Offices to conduct specific actions arising. In this respect, the loss of discretionary power within AHTU to filter the flow of potential projects and/or reject project proposals, following the restructure of the Office in 2003, is a serious threat to efficiency and effectiveness.
- iii) Within the overall model referred to in b) above, the avoidance of a purely sequential process of interventions allows projects to continue during delays/cancellation of one or more elements (Section 2.5, paragraph 36 refers).
- iv) Also within the overall model, the presence of a criminal justice specialist (or criminal justice trained) in the Field Office (e.g. Viet Nam; Nigeria) is critical to avoiding smaller funded projects, in comparison with the higher-funded illicit drugs projects, from receiving less than optimal attention. This is particularly important with the Global Programme’s current work plan envisioning implementing demonstration projects in non-Field Office presence locations. GPAT should (re) consider the wisdom of these projects unless and until a Field Office presence is established.

- v) That previous lessons learned and recommendations from evaluations, if implemented, can make a difference (Section 2.5, paragraph 36 refers). Too often, evaluations are viewed as specific to that which was evaluated. Lessons learned and recommendations arising from the earlier evaluation of the Philippines I project completed under the Global Programme were incorporated into subsequent projects.
- vi) That ongoing sustainability post-Programme departure is enhanced through enduring interventions (e.g. train-the-trainer exercises, inclusion of materials in professional curricula (Section 3.3, paragraph 67 refers)). Sometimes referred to as ‘providing a fishing-rod in place of providing a fish’ approach, it is a simple process and should be considered for all training interventions across UNODC.
- vii) That division of responsibilities does not always double the resources, and can halve effectiveness (Section 2.6, paragraph 43 refers). The appointment of two National Coordinators in one project (albeit with one titled National Consultant), with divisions of responsibility unclear to stakeholders, was unsuccessful. This also applies to the restructure of UNODC, with uncertainty over which elements of the Global Programme are to be retained by AHTU alone, which elements are the exclusive domain of Regional Desks and Field Offices, and which elements are shared.
- viii) That nationally executed projects can provide difficulties for HQ monitoring and evaluation (Section 2.6, paragraph 41 refers). If such projects are to be considered part of a wider Programme, and not simply national responses using the resources of the Programme as and when required, then monitoring should involve greater collaboration between the national entity and the Programme, and evaluations should be exercised independently of the national entity. In the current thematic evaluation a Field Office in charge of a nationally executed project insisted that it select the evaluator, outside of the Independent Evaluation process established by UNODC. The subsequent selection, regardless of the adequacy and outcome of the specific evaluation, gave rise to a perception of lack of independence.

4.2 Best Practices

71. Examples identified in this evaluation comprise:

- i) Preparedness of the Global Programme (and beneficiary countries) to launch and test/ pilot demonstration project elements. That some of these elements do not yet appear to have borne fruit or have possibly failed, nonetheless contributes to the body of knowledge being gathered across the world.
- ii) Preparedness of the Global Programme to heed lessons learned and adopt recommendations arising. An example was the post-Philippines evaluation period, where technical cooperation projects not already implemented included train-the-trainer exercises; evaluation frameworks developed concurrently with project development (to the extent that verifiable indicators were developed); and the appointment of fulltime National Coordinators in lieu of a part-time coordinators – all previously recommended in the evaluation.

72. Specifically concerning technical cooperation projects (as opposed to the Global Programme *per se*):

- i) Awareness-raising. It was not uncommon to find prior to the Global Programme, a general view that victims were at best, subject to the consequences of their own foolishness, and at worst, collaborators/conspirators in illegal ventures for economic gain, and therefore, that they were not truly victims. In isolated instances, these views are still prevalent among certain section of law enforcement agencies in countries

where Global Programme technical cooperation projects are present, and the recent introduction of psychologists and social workers into the Global Programme as presenters on the effects of trafficking on victims does much to counter these attitudes. Similarly, the use of public service announcements, available to broadcasters at no cost for educational purposes, raises awareness among potential victims and within communities/countries more generally.

- ii) The use of international experts for training/advice to governments is a cost effective method of providing credible and up to date information. Their use accounted for approximately 11% only, of total project funds in 2004. During the current evaluation, the evaluation team considered the incorporation of regional mentors, as applies in the Global Programme against Money Laundering, in lieu of technical cooperation projects. At the median annual amount of donor funds for the Global Programme, GPAT would be able to fund approximately five mentors (assuming no other Global Programme activities – e.g. Global Report, Human Trafficking flows database – were undertaken); however, the median *project* contribution by donor/project was less than that which would be required to support one mentor. Whether the level of success through the use of mentors would have been greater than that achieved through demonstration projects, and whether early successes of mentors would have increased the attractiveness of the Global Programme to donors, are moot points. The challenges of Money Laundering and Trafficking in Persons are, however, very different, requiring different approaches. The current evaluation finds that regional mentors would be useful adjuncts to technical cooperation projects, but not efficient or effective substitutes for the projects.
- iii) The collaborative model described in Section 2.3, paragraphs 36 and 37 above. Again, this was a model that evolved and was refined as a result of taking heed of previous experiences. The final model which emerged is one which takes as its starting point, an action-research-type approach. The model incorporates ‘listening’ first to the wishes of the beneficiary country, and moulding interventions to best accommodate the identified needs.
- iv) The inclusion of NGOs and other IOs as active partners in technical cooperation projects. Much of the expertise and capacity resides outside of government (and the UN). NGOs and IOs, in general, possess established internal/ domestic and international networks which allow for immediate and longer-term national and transnational responses.
- v) The construction of lists of focal points for anti-human trafficking. In the Viet Nam project, the list resides in four localities: the Ministry of Public Security (MPS); the individual point nominees; the National Coordinator; and UNODC Field Office. MPS uses the list regularly, if not frequently. Independently of the MPS, the focal point nominees use the list to bypass MPS and speak directly to their counterparts. The National Coordinator is contacted by MPS, focal point nominees and other interested government and non-government agencies and individuals on a regular basis. Finally, the UNODC Field Office programme officer is contacted frequently by other UN entities and by embassies. This concept should be applied GPAT-wide. During the current evaluation, the Global Programme was unable to construct a list of anti-human trafficking contacts in the 191 Member States, or of contacts within donor countries which have contributed to GPAT activities.
- vi) The Toolkit on best practices, soon to be published, promises to be a boon to interested parties. The authors of the Toolkit were independent of the Global Programme core staff, and the Global Programme will take heed of tools not previously considered by the Programme.

- vii) Public Service announcement/video spots have been produced and arrangements with 45 countries have been entered into. The videos can be downloaded and aired free of charge for educational purposes. Examples of extra-country partnerships entered into include Thai Airlines airing the videos in its in-flight services; Vienna subway Infoscreen; and the Irish Sea Ferry Operators.
- viii) Completed outside of the Global Programme, but with its assistance, the UNODC Division for Treaty Affairs' *Legislative Guides for the Implementation of the United Nations Convention Against Transnational Organized Crime and the Protocols thereto* is a check list for any competent legislative draftsman to follow in developing amendments. The guides are used by AHTU within specific project activities and in advisory missions.

73. The United States State Department's TIP Report records the following examples of Best Practices in countries with Global Programme technical cooperation projects:

- Philippines: regulation and performing of surprise, as well as routine inspections of the 1,317 licensed labor export agencies; training and skills tests for workers about to leave the country; and the training of Foreign Service Officers. The government also conducts training for other governments in the region.
- The Colombian government identifies and approaches outbound travellers who appear to be potential trafficking victims, and informs outbound travellers of the risks of trafficking and fraudulent job offers, resulting in nine travellers deciding not to board their flights.
- In Edo State, Nigeria, a law enforcement Task Force was established.
- Brazil succeeded in encouraging hotels to be active in discouraging child prostitution.

The extent to which the Global Programme was responsible for these measures cannot be accurately gauged. However, awareness raising under the Programme and specific interventions (e.g. training conducted within the Philippines) can be reasonably judged to have contributed to the willingness of the governments to respond as they have.

4.3 Constraints

74. The Global Programme's mandate was derived unconventionally and without a strategic plan, beyond the brief three-phase vision announced at GPAT's launch – data collection, a series of demonstration projects, and then, the development of the grand Global Strategy. Two of the phases have been conducted. UNODC now views that launch document, along with an expanded version subsequently reported to the CCPCJ is 'outdated,' but it has not developed a replacement plan subsequently. Various strategies might be aimed for. For example, a strategy might have been designed in strict accordance with the Programme's mandate (if GPAT was sure what its mandate was). Concerning technical cooperation projects more particularly, a strategy might have been based on maximizing funds from donors. That is, identifying where donors wanted to go, and then developing interventions that appealed. Another approach might have been to maximize the global impact (i.e. a utilitarian model) by identifying the most prolific source, transit and destination countries/regions, and developing interventions specific to each. None of these approaches was undertaken. The first questions to be asked by the Global Programme about possible/proposed technical cooperation projects (and indeed all activities) should be 'is this within GPAT's mandate; does it accord with the current GPAT strategy; and does GPAT have the capacity to service the activity/project.' The Global Programme depends on donor funds tied to specific projects/activities of limited duration, which has resulted in work plans which lean towards the second

approach (i.e. where donors want to go), without regard to need/global impact. The uncertainty of recurrence of these funds limits GPAT's capacity to undertake long-term planning.

75. The focal point of the Global Programme, the Anti-Human Trafficking Unit, comprises just two core funded professional positions, complemented with donor and UN-HQ funded short-term staff and Associate Experts, which again, are generally tied to specific activities, and unpaid volunteers and interns. This situation is not unique to the Global Programme against Trafficking in Human Beings. Within UNODC, the Global Programme against Money Laundering and the Global Programme against Corruption have one and two core-funded positions, respectively. The uncertainty of recurrent funding for Professional staff and Associate Experts in particular, restricts the capacity of the Global Programme to develop, for example, tools and other materials, which might fit with a strategic plan. Once new initiatives are identified, these have to be packaged and 'hawked around' potential donors for funding, which takes time and energy away from existing commitments.

76. With such a small core team within the AHTU, *ad hoc* demands of UNODC management can interrupt any and all timeframes which are developed for managing Global Programme activities. Critical path/milestone activities are routinely breached by these demands, leading to delays and frustrations within the Global Programme and beneficiary countries/regions. Technical cooperation projects and other activities invariably take longer than planned to complete, sometimes by intervals greater than twelve months, contributing to a perception in the donor community, that while (eventual) results are positive, the Global Programme cannot deliver on time. This has implications for securing future funding.

77. Duration and activity-limited attachment of Associate Experts and international consultants require new recruitments on an annual/biannual, and at times more frequent basis. The average time for recruitment processes is three months. Again, with such a small core team within AHTU, this further diverts AHTU Professionals from Global Programme activities. UNOPS provides a streamlined recruitment process for GPAT field project staff, but payments arising are characterised by excessive delays, leading to dissatisfaction among the experts/consultants; reluctance to provide further services; and therefore loss of expertise to the Global Programme.

5. RECOMMENDATIONS

5.1 Issues Resolved during the Evaluation

1. That the Global Programme develop a Strategic Plan.

78. *Justifications:* The Global Programme does not presently possess a Strategic Plan which identifies a mission statement, key result areas, countries/regions of most need, how best to service them, what resources are required, performance targets/indicators etc., and instead it pursues work plans largely derived from and directed by donors.

79. *Comments:* The Executive Director of UNODC has asked for a Strategic Plan, and is satisfied that this should await the results of the current evaluation. To this end, Regional Desks and Field Offices have been requested to prepare Strategic Planning Framework documents across their full areas of responsibility. It is understood that some have undertaken to include trafficking in human beings and the smuggling of migrants elements in these plans. At the time of the Global Programme's inception, the Human Trafficking Protocol, which includes an agreed

definition of Trafficking in Persons, had not been adopted, limiting the degree to which a strategic plan developed at that time would match the subsequent definition/obligations. The inception and development of the Global Programme coincided with organizational upheaval: expansion of the United Nations Office for Drug Control and Crime Prevention (UNDCP); the establishment of the United Nations Office for Drugs Control and Crime Prevention which comprised UNDCP and the Centre for International Crime Prevention (CICP) and the merging of UNDCP and CICP into UNODC. The latter development required establishing joint drugs and crime Field Offices and populating them with crime experts. Finally, in 2003, the UNODC was restructured. These all limited the capacity of the Global Programme to ‘bed down.’ The ‘new’ Strategy should recognise the views of Member States that the Global Programme’s comparative advantage, its niche, can be found in robust research, legislative support, and law enforcement and prosecution assistance. Similarly, the Strategy should be cognisant of the wishes of the Conference of the Parties to the Transnational Organised Crime Convention. In addition to the Convention more generally, the Conference of the Parties has a General Assembly mandate to consider matters relating to the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, and the Protocol against the Smuggling of Migrants by Land, Sea and Air, both of which supplement the Convention. Matters for consideration include how to ensure effective implementation of the Protocols, how to ensure monitoring of implementation, the delivery of technical assistance, and its financing.¹⁴ The Conference is in its infancy, and will not be in a position to address these issues for at least 12 months. However, it potentially provides the Global Programme with a powerful equation – ‘this is what you have asked the Programme to do; this is what is required to finance it *in total*,’ and in the event that sufficient funds are not forthcoming, ‘please prioritise (which countries/activities).’ The Strategy should include a sub-strategy for funding/donors, developed jointly with the Co-financing and Partnership Branch.

2. That the Global Programme increase its visibility and engage more fully with donors, and in particular, the United States’ State Department’s Office to Monitor and Combat Trafficking in Persons, to develop and implement technical cooperation projects, and to identify countries/areas of need.

80. *Justifications:* Currently, the United States is the largest donor to the Global Programme. However, in terms of overall US funding of anti-human trafficking projects, the quantum received by GPAT is relatively small. Many of the non-Global Programme anti-human trafficking projects funded by the US overlap with and in some instances duplicate activities undertaken by GPAT, sometimes in the same countries/regions. Engagement offers opportunities to identify best practices; to determine the priorities of the donor; to promote further collaborative projects; and to avoid duplication. During the current evaluation AHTU undertook to meet more frequently with the TIP Office and to explore opportunities with UNODC’s New York liaison office to attempt to establish monthly meetings with the TIP Office, as occurs between the TIP Office and IOM.

81. *Comments.* In engaging more frequently with the United States State Department’s Office to Monitor and Combat Trafficking in Persons, the Global Programme should take the necessary steps to avoid becoming (or being perceived to have become) captive to a US agenda. In recent times, Sweden has emerged as a significant donor to the Global Programme and the AHTU has indicated a willingness to establish a similar formal schedule of mutually beneficial meetings.

3. That the Global Programme increase its visibility and engage more fully with relevant international agencies involved in anti-trafficking activities to develop and implement technical cooperation projects, and to identify countries/areas of need.

82. *Justifications:* International organisations are active in the anti-human trafficking environment and are currently outperforming the Global Programme in attracting donors. While much of their activities are centred on assistance identified by donors and beneficiary countries alike as the ‘touchy feely’ aspects of the crime (e.g. awareness-raising, victim support), a substantial proportion of their activities overlap and sometimes duplicate the criminal justice niche of GPAT. Similarly, a number of NGOs and IOs identify increased attractiveness to donors for inclusion of criminal justice elements which they currently do not have the capacity or expertise to provide, reducing the likelihood that proposals will be successful in obtaining funding. Opportunities exist for joint proposals, joint projects to be undertaken, and possibly accessing funds from private foundations, which are currently not sources for Global Programme purposes.

83. *Comments:* GPAT currently involves NGOs and IOs in its projects and with the exception of one country project (Colombia re IOM) it has overcome what might be seen as ‘turf preciousness’ and it has established a reputation as a skilled and reliable partner. At the regional level, the Global Programme maintains relationships with the Economic Community of West African States (ECOWAS) and the Organisation for Security and Cooperation in Europe (OSCE). The Global Programme, with the Crime Conventions Section, has also planned a conference with relevant IOs for the second half of 2005 to familiarise them with the content and use of the legislative guides, and to discuss best practice.

4. That the Global Programme retitle the proposed Global Report on Human Trafficking to ‘Trends in Human Trafficking.’

84. *Justifications:* The original title approaches that which applies to the World Drug Report, an annual report which has an established reputation of high quality and reliability. The recommended new title ‘Trends in Human Trafficking’, which was agreed to during the current evaluation, recognises the limitations of the principle data source (the Human Trafficking Flows database). That is, it will signal that the information is not definitive, and reduces expectations that the Report will be annual.

85. *Comments:* Notwithstanding the recommended change in title to the Report, the monograph will provoke great interest and can be expected to generate complaints from countries which disagree with the assessments. The Global Programme should prepare a media and official response strategy for dealing with the expected publicity and responses from, and to Member States.

5. That the Global Programme establish and maintain a database/library of best practices.

86. *Justifications:* The Global Programme website reports the *current* existence of such a database, but it has not eventuated. It was envisioned for good reason. The United Nations body/programme which is meant to provide a premium service to Member States, from a criminal justice perspective, on the problem of and means of addressing trafficking in human beings, should be able to identify what works, what doesn’t and what looks promising. Without adequate (e.g. regular) reflection on what the Global Programme is currently doing in projects, compared with results which are being achieved through other organisations, the assumption within GPAT that it is offering ‘best practice’ interventions, is likely to be false.

87. *Comments:* The Global Programme currently has a database consultant position under recruitment, duties of which include inclusion on GPAT’s web site of hyperlinks to examples of other organisations’ anti-trafficking activities. The use of links, without close examination of results, is a poor substitute for the intended database, however.

6. That the Global Programme remove unsourced and outdated material from its web site.

88. *Justifications:* Inaccurate and outdated material presents the Global Programme in poor light. For example, the web site quotes from an unsourced report ‘In Asia, girls from villages in Nepal and Bangladesh – the majority of whom are under 18 – are sold to brothels in India for \$1000’ (http://www.unodc.org/unodc/en/trafficking_victim_consent.html#facts). On the same web page – ‘A recent CIA report [Harvard reference/citation missing] estimated that between 45,000 to 50,000 women and children are brought to the United States every year under false pretences and are forced to work as prostitutes, abused labourers or servants. UNICEF [Harvard reference/citation missing] estimates that more than 200,000 children are enslaved by cross-border smuggling in West and Central Africa.’ Similarly, the site includes outdated information. For example, ‘On the basis of the assessments, seven countries are now involved in technical cooperation projects’ <http://www.unodc.org/unodc/en/traffickinghumanbeings.html>. Ten countries are listed on the subsequent web page <http://www.unodc.org/unodc/en/traffickingprojects.html>. On the Human Trafficking Protocol ‘Within the first year, both the Convention and Protocol had obtained more than half of the 40 ratifications needed to bring them into force, and they are expected to take effect in the near future’ (<http://www.unodc.org/unodc/en/traffickingvictimconsent.html>). The Protocol came into effect in December 2003. Finally, the Database on Proven Practices referred to in paragraph 44 above and described at <http://www.unodc.org/unodc/en/traffickingmodules.html> appears to have been abandoned.

89. *Comments:* The database consultant position currently under recruitment includes duties to update the Global Programme’s website.

7. That the Global Programme determine why the victim/witness support and protection model implemented in the Czech Republic and Poland was not sufficiently attractive to identified victims, and why it did not deliver the expected crime dividend.

90. *Justifications:* Less than 15% of identified victims entered the model. NGOs report that the requirement to cooperate with police and prosecutors; ‘better’ conditions applying to asylum seekers; and immediate repatriation and reintegration are equally or more attractive. NGOs will continue to provide victims with the necessary psychosocial, legal and medical assistance regardless of victims’ willingness to cooperate.

91. *Comments:* The Global Programme provided finance for a study tour by the Polish National Coordinator to Italy, Belgium and Spain to investigate differences in the various support and protection models. Further research, following up supported and non-supported victims to determine differences in outcomes, will be required.

5.2. Actions/Decisions Recommended

8. That the Global Programme publish and publicise its activities more widely.

92. *Justifications:* The purpose and achievements of the Global Programme are not well known outside of the (existing) donor community and anti-human trafficking agencies. GPAT’s dedicated web site is the principle medium for the international community, but its information is largely out of date, describing earlier outputs. The Global Programme does not regularly contribute to academic journals, reflecting time constraints on the core AHTU team, and on an overly restrictive policy on intellectual property rights. For example, international experts are restricted from writing academic journal articles or conducting secondary studies which use data/information gained while engaged on Global Programme activities. This limits the extent to which results from Global Programme activities can inform the body of anti-human trafficking literature and responses, which might

be developed internationally. Similarly, the absence of publicly available project/activity outputs and outcomes information limits the extent to which the Global Programme can 'market' its products to the donor community.

93. *Comments:* The Global Programme appears to be concerned with the potential that international experts, in particular, might publicly criticise deficiencies in UNODC, AHTU and the conduct of technical cooperation projects and other activities. As a publicly funded programme, external access to GPAT primary data should be encouraged. Open access widens the Global Programme research capacity beyond its relatively small core staff and fits with the GPAT policy to disseminate best practice, which can only benefit future development of the Global Programme and the international response to trafficking in persons. GPAT should not be immune from scrutiny. At a minimum, the current concerns could be managed by providing for joint publications, with a Global Programme Professional co-authoring articles to provide a Global Programme perspective on any critical (and positive) findings. Poor results are not bad results. However, current staffing levels prevent co-authoring.

9. That the Global Programme devote more attention to trafficking for forced labour and trafficking for organ removal.

94. *Justifications:* UNODC views itself as the custodian of the Human Trafficking Protocol and that the Protocol provides the Global Programme with an enduring mandate. GPAT is perceived as concentrating on trafficking for sexual exploitation. Stakeholders are demanding full coverage of the Human Trafficking Protocol by the United Nations body which has self-nominated to assist Member States in implementing it.

95. *Comments:* AHTU rejects the common perception that the Global Programme concentrates too much on trafficking for sexual exploitation, at the expense of trafficking for labour exploitation and /or trafficking for organ removal. It points to the development of training materials on trafficking for labour exploitation in Benin, Togo and Nigeria and the detection of a victim trafficked to undertake begging activities during the twinned Czech Republic and Poland project, and the Global Programme's recent presentations reaffirming the need to address all forms covered by the Human Trafficking Protocol, as evidence. In addition, the AHTU refers to plans to expand the Global Programme to include further development of the NATO collaboration to include the United Nations Department of Peace Keeping Operations (DPKO), peace-keeping and the military generally; and to conceptualise responses to forced marriages, child soldiers, illegal adoption, and HIV/AIDs. It remains the case, however, that the vast majority of Global Programme projects are sexual exploitation-centred and that with the exception of the W. Africa project and one video clip as part of the public service announcements, outcomes which benefited victims trafficked for labour exploitation (e.g. the previously mentioned detection of a begging victim), were serendipitous and not specifically aimed for. No activities have been undertaken for trafficking for organ removal. However, the pre-project consultations in Mozambique on possible technical assistance, specific to this element of trafficking, is a promising start. The dominant but not exclusive view within UNODC that trafficking for labour exploitation and slavery-type purposes should be left to bodies such as the ILO is rejected by stakeholders.

10. That the AHTU core resources be expanded.

96. *Justifications:* As currently configured and funded, the AHTU (and the Global Programme) is unsustainable. A Global Programme managed by just two core funded professionals makes a mockery of the concept of a serious UN response to the problem of trafficking in human beings. While some elements of the response might be better addressed by other agencies, including other UN agencies/entities, as custodian of the Human Trafficking Protocol, which itself was borne under the

UN Convention against Organized Crime, the United Nations Office on Drugs and Crime should aim to be the primary source for expert criminal justice knowledge and best practice for Member States on addressing the problem. This cannot be accomplished with current staffing levels, nor can current activities be serviced to their full extent. The addition of responses to trafficking for labour exploitation and organ removal, plus the mooted smuggling of migrants, only adds to the need for an expansion in resources. While not specifically recommended in the current evaluation, AHTU plans for the expansion of the Global Programme to include special needs (e.g. peace-keeping; the military more generally, and forced marriages), if undertaken, will further over-extend current resources. Regardless, core functions should be occupied by core funded (that is regular budget) Professionals (P designations) to guarantee recurrent funding for staff. Associate Experts which might be attached to the AHTU from time to time should be viewed as supernumeraries, and supplementary to core functions (Annex III refers).

97. *Comments:* As with all UN agencies, UNODC is under pressure to reduce core-funded resources.

11. That the Global Programme evaluate the Human Trafficking flows database.

98. *Justifications:* The database does not (currently) enjoy a high level of confidence in its contents. In particular, the use of sources from the popular media and inclusion of all cases in published reports, regardless of their reliability [note: a five-scale index is used to assign relative reliability] led to complaints from Member States. The developer of the database, the Research and Analysis Section, estimates that up to 75% of the database's functionality is not presently being used. In the future, the database might become a repository of Protocol reporting obligations' data (e.g. official statistics on numbers of victims, arrests, prosecutions, and convictions).

99. *Comments:* The TOR for the evaluation, which should be managed by UNODC's Independent Evaluation Unit should include:

- i) purpose/rationale;
- ii) structure;
- iii) capacity;
- iv) data sources;
- v) inclusion/exclusion rules;
- vi) reliability index;
- vii) scalability;
- viii) future applications; and
- ix) location within UNODC (e.g. AHTU or Research and Analysis Section), or within UNICRI.

Regardless of its eventual location, AHTU should retain 'read access' privileges at all times, without the need to request the assistance and approval of the data custodian.

12. That the Global Programme convene a roundtable with UNODC's Research and Analysis Section and UNICRI, to develop a research agenda, particularly concerning the incidence and prevalence of trafficking in persons.

100. *Justifications:* The Global Programme has not developed a research agenda beyond the secondary sourced trafficking flows database and project-specific research. In particular, it has not established that the problem of trafficking in human beings is of sufficient scale and seriousness to warrant the status and response of a United Nations Global Programme. It does not sufficiently engage

with the UNODC Research and Analysis Section of the Division for Policy Analysis and Public Affairs, and within the Programme, AHTU does not engage sufficiently with UNODC's partner in the Global Programme, UNICRI, on exploring opportunities to test the validity of the received wisdom that such data will never be available. The Vienna Declaration established 2005 as the target year for achieving a significant decrease in the incidence of human trafficking. The data required to measure whether the objective will be achieved have not been collected by the Global Programme. Research which was conducted by UNICRI was completed at a financial loss to the Institute and there has not been sufficient collaboration between UNODC and UNICRI on research designs or the selection of consultants.

101. *Comments:* A significant research agenda will require funding. The Roundtable should include the development of a strategy which identifies which of the entities is responsible for which elements, and it should identify resource implications.

13. That the role of UNICRI in the Global Programme be redefined/reaffirmed.

102. *Justifications:* UNICRI's commitment to and impact on the Global Programme has been limited and its role is not clearly defined. It developed a number of survey instruments which were used for research in less than a handful of technical cooperation projects implemented by AHTU. The research was intended to inform later stages of the projects, but invariably materialised too late. Phases which were meant to be subsequent to completion of the research were obliged to be implemented in the absence of results, to the detriment of projects. Relatively recently, the Institute embarked on a programme of its own technical cooperation projects, which despite its intended 'partner' designation in the Global Programme, are not considered by the Institute or UNODC, as part of GPAT.

103. *Comments:* In 2002, the then Executive Directors of UNICRI and UNODC attempted to resolve differences between the two bodies with respect to the Global Programme, and particularly on the degree of autonomy which UNICRI might enjoy in carriage of its GPAT activities, and their funding. Within some areas of UNICRI, the result is characterised as '[the former ED] sold the Institute out' and subsequently, UNICRI withdrew from a Global Programme project (W. Africa), and declined an invitation to conduct research in another (Brazil), primarily due to the inadequate financial return. The recent appointment of a former UNODC senior manager to the Deputy Director's position within UNICRI, and the presence of a senior UNODC official on the Institute's Board, offer opportunities for a different outcome. Senior level consultations/agreements and working level meetings should be regular, and ideally joint coordination/planning meetings should be not less than on an annual/biennial basis. An MOU or Heads of Agencies agreement should be developed on general principles of the relationship, including cost recovery on technical cooperation project-related activities. Subsequently, project budgets should reflect the true costs of such activities, and joint project-specific coordination meetings (via teleconference if necessary) should be standard where UNICRI is involved. It is recognised, however, that UNICRI might wish to retain its relatively recently developed operational capacity (it has completed two anti-human trafficking projects and six pipeline projects are proposed). The Institute is substantially funded by Italy; the Institute is located in Turin, Italy; and a number of these projects might not be funded and/or might not proceed without the Italy-UNICRI relationship. Notwithstanding the relationship, if UNICRI still considers itself a partner in the Global Programme, future UNICRI anti-human trafficking projects should be absorbed into the Global Programme, albeit approved and implemented by UNICRI.

14. That the Global Programme evaluate the materials produced by the Programme (e.g. Toolkit of best practices).

104. *Justifications:* While anecdotal evidence exists that positive results are achieved in the short-term, no follow-up evaluations have been conducted into the endurance of results, or whether and how the tools are being used. The relative brevity of the current evaluation and the relative infancy of Global Programme materials prevented this aspect from being addressed as part of the current evaluation.

105. *Comments:* Many of the materials/activities were developed from secondary sources of ‘best practices’ at the time the Global Programme was established. There is an assumption that they will make a (criminal justice) difference to the overall crime objectives, but this assumption has never been tested.

15. That the AHTU and UNODC give full and immediate effect to the Office restructure.

106. *Justifications:* The restructure was implemented over 12 months ago. As it applies to transferring responsibility for anti-human trafficking technical cooperation projects to Regional Desks and Field Offices, there is organisational resistance to the restructure, particularly, in light of the lack of additional resources and training being provided to Regional Desks and Field Offices, and a lack of clarity on the demarcation between which elements are to be retained by AHTU alone, which elements are to be assumed by the Desks and Field Offices alone, and which elements are to be shared, except for a general understanding that Regional Desks will backstop Field Offices and AHTU will backstop both the Desks and Field Offices. These arguments have persisted since the restructure and will continue to do so as long as the resistance is allowed to fester. In many respects, the hybrid pre-post restructure model under which the Global Programme is operating is being serviced largely by AHTU, to the detriment of the functions which it is meant to be fulfilling under a ‘pure’ restructure arrangement. It is time to ‘bite the bullet’ and get on with it.

107. *Comments:* In the short-term, the Global Programme might suffer, but giving full and immediate effect will highlight gaps and unanticipated consequences arising, which in turn, will provide management with the evidence required to effect required change. There are some Global Programme activities which do not easily fit within the restructure – global activities (e.g. the Global Report, anti-human trafficking Toolkit, and the flows database), and technical cooperation projects where there is not a Field Office presence. Global activities should remain with the AHTU, with the flows database located there pending the outcome of Recommendation 11 above. Non-Field Office presence projects should be managed from the closest Field Office. There is no advantage to be gained from attempting to manage non-Field Office presence projects remotely from AHTU in Vienna. Terms of Reference for national/regional Field Offices might need to be expanded/adapted to include such projects and provisions made to ensure the necessary Field Office technical expertise. Based on experiences in early projects of this type, consideration might be given to rejecting such projects until a Field Office presence is established (and until such expertise is located within the Office).

16. That the default condition where National Coordinators are appointed from within a government Agency/Ministry/Department, be that the National Coordinator’s salary is met from the government’s ‘in-kind’ contribution to the project.

108. *Justifications:* Technical cooperation projects depend, to a large extent, on the willingness of beneficiary governments to devote sufficient attention to supply prerequisites and to honour prior obligations. One way to encourage commitment to projects is for the beneficiary country to meet some of the direct financial costs. During the current evaluation, one donor stated that funding of a government official as the National Coordinator through the project, even with a statement of leave from the agency for the official, ‘probably’ breached his government’s

regulations. In comparison to total project funds, and because most projects have been implemented in developing or transition countries, the salary for a National Coordinator is generally of the order of 10%. These funds are more appropriately applied to other project elements.

109. *Comments:* The default condition should only be departed from in exceptional circumstances, and justification for exceptional circumstances should be specified by project planners prior to approval. When National Coordinators are appointed from within government agencies, the Coordinator's office should be liveried in UNODC/Global Programme 'bunting,' clearly identifying it as UNODC, and the Coordinator is to be the only person who has keys to the office and filing cabinets (all of which occurred in the Viet Nam project with great success).

17. That the Global Programme assume responsibility for addressing the Smuggling of Migrants.

110. *Justifications:* At its launch, the Global Programme anticipated that it would be responsible for the smuggling of migrants in its three phases:

- i) Data collection 'on different routes used for *human smuggling* and the structures and modalities used for transporting and subsequently exploiting them;'
- ii) A series of demonstration projects designed to assist governments in '(a) counteracting groups involved in *smuggling and trafficking*; (b) strengthening crime prevention strategies against *smuggling of migrants and trafficking*; and (c) improving victim-witness protection and victim assistance;'
- iii) A global strategy against *smuggling and trafficking in human beings* will be formulated in close cooperation with relevant national and international organisations and presented for adoption by the international community, possibly at a high-level forum (italics added).'

111. Similarly, the *Role* of AHTU is described in its work plan as 'being responsible for providing advice, guidance, information and technical assistance in relation to trafficking in human beings and the *smuggling of migrants* (italics added).' The Protocol against the Smuggling of Migrants by Land, Sea and Air is currently without a home in the UN generally, or UNODC specifically, beyond the work of the Conference of the Parties to the Transnational Organised Crime Convention, and legislative services provided by UNODC's Advisory Services and Crime Conventions Section. The Conference of the Parties itself has a General Assembly mandate to consider matters relating to the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, and the Protocol against the Smuggling of Migrants by Land Sea and Air. Finally, donors indicate that considering post 9/11 concerns with border security and State sovereignty, anti-smuggling projects and activities, which will deliver a counter-terrorism benefit as a by product, will be attractive.

112. *Comments:* AHTU argues that the 'launch document' and the reports to the 8th and 9th Sessions of the CCPCJ are 'outdated,' and were developed before there was a clear distinction between 'trafficking' and 'smuggling.' It is unable, however, to provide evidence of and reasons for a strategic change to the original 'plan,' authorised within UNODC (and its forerunners), which removed the reference to smuggling, or altered any other aspects. For example, the question 'when did the Global Programme change from a strictly time-limited 36 months duration of demonstration projects to an enduring programme?' remains unanswered (and is perhaps unanswerable from UNODC documentary sources). Indeed, apart from the ongoing technical cooperation capacity (contrary to the sunset clause), the Global Programme has largely followed the original (only?) 'plan.' The retention of 'smuggling of migrants' in the 2004–2005 AHTU work plan, well after a clear distinction between the two practices being agreed upon consequent to the General Assembly adopting the Transnational Organised Crime Convention and the Human

Trafficking and Smuggling of Migrants Protocols in 2000, is at odds with the argument. The recommended expansion of core-funded positions with AHTU is illustrated in Annex III.

18. That Evaluation Plans be developed during project development, referred to in, and attached to Project Documents.

113. *Justifications:* Fundamental project development experience/professional training argues for the development of such plans/frameworks to be integral to an integrated approach. Plans inform the identification of gaps/deficiencies in projects (e.g. through the generation of evaluation questions required to determine if objectives are measurable; and identification of data vehicles necessary to populate performance indicators, including the establishment of new data collection processes). A basic rule of project/programme implementation is ‘if you cannot measure it, don’t do it’ – because there is no way of knowing if outcomes are beneficial or detrimental. In general, Global Programme beneficiary countries have not known how their performance will be measured either at the commencement of projects, or on completion, with evaluators arriving on missions without the government being advised of the evaluation questions. The Global Programme’s own anti-human trafficking Toolkit of best practices recommends the development of evaluation plans during project development, a recommendation which it fails to observe.

114. *Comments:* This recommendation should be UNODC-wide, not just GPAT-specific. The Office’s Independent Evaluation Unit should provide guidance on the development of standard clauses/procedures for project planning and make recommendations and provide training on the level of detail required for such evaluation frameworks. Global Programme technical cooperation projects and other activities should budget a minimum amount of 5% of total funds for evaluation (10% if an element is a pilot for possible future inclusion in other projects). The sums should be quarantined from the executing agency, and deposited in a trust account managed by the Independent Evaluation Unit of UNODC to prevent its erosion/diversion during project implementation.

19. That the Anti-Human Trafficking Unit remain the focal point for the Global Programme.

115. *Justifications:* The restructure of UNODC, which resulted in the redistribution of anti-human trafficking functions between the Unit, Regional Desks and Field Offices, while not primarily undertaken only as a response to perceived difficulties within the Global Programme, is to be applauded. As it relates to the Global Programme, AHTU has been relieved of a number of operational functions, and can concentrate on strategic and policy/intervention and development issues, and to become the repository of best practice knowledge. However, perhaps unintended, the restructure exposes the Global Programme to serious threats, principle among them that AHTU will become merely a ‘bit-player,’ ‘tolerated’ by the Regional Desks and Field Offices, as a necessary evil to get the projects they want to develop and implement, or alternatively, a minor irritation in the event that the preferred Desk position is that *no* anti-human trafficking projects are developed and/or promoted. In this respect, the Field Advisors Seminar in 2004 postulated that the realignment of functions as a result of the Office restructure might lead to a complete regionalisation or even nationalisation of the Global Programme, resulting in a distributed focus, rather than a consistent global approach, with the loss of a global perspective and access to global expertise. AHTU has similarly highlighted that, under the restructure, the Unit has lost the discretionary power to filter the flow of potential projects and/or reject project proposals.

116. *Comments:* The AHTU, in the eyes of the international community *is* the Global Programme. While the restructure might (should/will) result in a more timely identification of areas of need, more cooperative projects developed at a

local level, and more efficient delivery of projects, it does not necessarily follow that such an arrangement will also result in a more effective global impact. Indeed, there is a greater danger that a distributed responsibility will result in a loss of a global context, and the loss of global expertise, which AHTU provides. Concerning Recommendation 1 above (that GPAT develop a strategic plan), the observation was made that *some* Regional Desks had included anti-human trafficking elements in the Strategic Policy Frameworks currently under preparation. Why not all? There are only four Regional Desks. Potentially, if ‘some’ equals half [reasoning that ‘some’ is greater than one, but less than ‘most’ (3/4), then the actual fraction equals 2/4], it appears that what is being proposed is that 50% of the globe will not receive Global Programme attention. Within the two (?) Regional Desks which have included anti-human trafficking elements (and this also applies to the 11 out of 12 current pre-pipeline projects which were conceived of in Field Offices), it is unknown what the strategic *regional* approach, let alone global strategy, to their selection is. Similarly, in paragraph 47 above, it was noted that several Regional Desks indicated that if untargeted funds were made available for their regions, anti-human trafficking activities would have to take their place in line with other priorities. Alternative Development, Corruption, Illicit Drugs and Money Laundering are nominated as more highly ranked. The Global Programme needs the AHTU to retain a central oversight role.

20. That UNODC examine its contractual agreements with UNOPS and review using UNOPS as an Implementing Agency.

117. *Justifications:* Payments to project staff and international experts are characterised by excessive delays, ranging from weeks to months, requiring international experts to self-fund missions in expectation of timely reimbursement, and National Coordinators have been compromised by having to self-fund project elements. Similarly, National Coordinators and international experts have been required to self-fund elements of their duties, without the possibility of reimbursement.

118. *Comments:* UNODC should request UNOPS to conduct reverse audits to determine the location of and reasons for bottlenecks. UNOPS has been resistant to requests for such audits/ construction of temporal flow charts of the request/approval/payment/disbursement process. Recommended technical cooperation projects comprise, in reverse chronological order, Poland (FS/RER/01/R17); West Africa (FS/RAF/01/R13); and Philippines I (FS/PHI/00/R05).

21. That the Global Programme implement a Project Management Cycle (PMC) schema.

119. *Justification:* Technical cooperation projects/other activities can remain as pipeline/pre-pipeline projects almost indefinitely and divert resources by requiring further development and donor sourcing. Responsibility for hosting/managing the PMC will assist in AHTU remaining the central focus of Global Programme activities, as recommended in Recommendation 19 above.

120. *Comments:* UNODC has recently embarked upon a PMC initiative. A default condition of the PMC, as it applies to the Global Programme, might be that from the time a project document is deposited with the AHTU, a maximum of 12 months should be provided for obtaining funding, after which the project should be considered unviable. Milestone intervals should be established following lodgement with the Unit – AHTU turnaround, Field Office/Regional Desk modifications, PPC approval, and delivery to the Co-financing and Partnership Section. Appropriate monitoring of the Cycle should be employed to prevent ‘gaming’ of dates to pervert the intent of the PMC. The evaluation team considered locating the PMC within the Co-financing and Partnership Section, but this was ultimately rejected due to a combination of potential loss of control of the cycle by

the Global Programme, and the possibility that projects would be delivered to the Section by Regional Desks with insufficient time remaining within which to source funding before the cycle expired. To aid in this endeavour, and to assist Global Programme professionals, the AHTU should establish a Document Management Registry for projects (paragraph 45 refers) where all hard copy project/activity documents, including PPRs, Mission, Progress and Terminal Project Reports should be retained and appropriately supported by an electronic equivalent, by project/activity. The register should record where documents are at all times. Further, the Registry could double as a library of best practice documents, similarly indexed (paragraph 44 above also refers). Project planners should receive training in a development and monitoring tool such as Microsoft Project.

22. That the AHTU undertake awareness-raising and training of Regional Desks and Field Offices on the problem of and need for addressing human trafficking, and managing anti-human trafficking technical cooperation projects.

121. *Justifications:* Regional Desks and Field Offices are generally populated with illicit drugs specialists who lack training/experience with anti-human trafficking matters. Funding for illicit drugs activities far outweigh anti-human trafficking projects and combined, the Desks and Field Offices are not allocating sufficient attention to anti-human trafficking projects which have been handed over to them since the UNODC restructure in 2003. As a consequence, AHTU is reluctant to pass responsibility for technical cooperation projects to the Desks. The training/awareness-raising will support the aims and objectives of Recommendation 15 above, and might assist in overcoming the problem identified in paragraph 47, where a Field Office ‘knew of, but hadn’t heard from its Regional Desk backstopping counterpart.’

122. *Comments:* In the first instance, Regional Desks can be accommodated through a series of seminars; subsequently due to the usual staff movements, as part of new appointment induction programmes. A train-the-trainer approach should be adopted, and during missions, Regional Desks and AHTU should repeat the training to Field Office personnel. To assist with the latter process, AHTU should prepare an induction pack of materials, which should be used both in HQ and in the field.

23. That the Global Programme remain located in Vienna.

123. *Justifications:* The location of the Conference of the Parties in Vienna, combined with the centrality of Vienna as a hub for travel and contact with other UN and extra-UN anti-human trafficking entities, supports retention of the Unit in Vienna.

124. *Comments:* The suggestion that the Global Programme be decentralised has been considered and reconsidered on a number of occasions. At present, its currency is in the decline, but it has apparently not been categorically ruled out.

24. That UNODC increase its visibility and undertake an awareness-raising programme of informing all relevant UN agencies/entities and international organisations, but particularly with UNICEF, UNDP, IOM and ILO, of UNODC’s mandate generally, and the Global Programme against Human Trafficking (and Smuggling), more specifically.

125. *Justifications:* Deliberate and inadvertent poaching of Global Programme (and other UNODC areas) of responsibility is widespread within the various arms of the UN. The comparative advantage of these arms in many instances, over UNODC activities, is unclear. The prospect of less than optimal outcomes resulting from agencies not specifically skilled in anti-human trafficking technical cooperation projects cannot be discounted, reflecting badly on both the UN generally, and on the Global Programme more specifically (comment on beneficiary

countries viewing all UN entities as ‘the UN’ referred to in paragraph 52 also applies).

126. *Comments:* Concerning the ILO, and Recommendation 9 above (that the Global Programme devote more effort to trafficking for labour exploitation), agreement on the Global Programme retaining criminal justice response activities should be arrived at. Across all UN agencies, the first question which should be asked of the equivalent of the UNODC PPC when ‘Human Trafficking’ or ‘Smuggling of Migrants’ appears in a project proposal is ‘Does this project cut across the UNODC mandate?’ Opportunities for joint projects/strengthening related capacities and competencies should be explored. Memoranda of Understanding with sister UN organisations should be aimed for, and Field Offices in particular, should be reminded to utilise these instruments during project development and implementation.

25. That all Global Programme materials be published on its dedicated web site.

127. *Justifications:* The Global Programme aims to provide assistance to agencies, institutions and governments as part of an interdisciplinary effort to design effective measures against trafficking in human beings. From a criminal justice perspective, it is the United Nations’ premier anti-human trafficking body and custodian of the Human Trafficking Protocol. It is incumbent on the Global Programme to publish such material.

128. *Comments:* There is a view in the Global Programme that a comparative advantage over competing agencies/entities, including other UN agencies, will be lost if all material, including project evaluations, are published; through poaching of the best practice elements for incorporation into competing project proposals; and/or through adverse evaluation findings which might expose the Global Programme to criticisms of non-performance. These fears are not unreasonable. That is, the sustainability of the Programme relies, in part, on a reputation for excellence and the ability to capture donor funds. However, the Global Programme should not be perceived (nor conceived of) as a commercial enterprise, and Member States have a right to access the product of their contributions to and support for GPAT. The Global Programme’s early technical cooperation projects were constructed by reference to prevailing best practices sourced in this way and it has incorporated other agency materials into its own activities since then (e.g. the proposed production of a training manual resulting from an International Centre for Migration Policy Development (ICMPD) and UNDP project in Romania). Further, all material on UNICRI-managed projects, including mission reports, is available on the Institute’s web site. To facilitate the posting of materials, Project Documents should include a clause which obliges beneficiary countries to permit the Global Programme to publish materials arising.

26. That the Global Programme move towards post-ratification assistance.

129. *Justifications:* The Global Programme has been in operation for five years. The Human Trafficking and Smuggling of Migrants Protocols have been available since 2000 for signing and ratification and they already have a higher rate of signatories and ratifications than most other UN Protocols. Member States have had sufficient time to make themselves known to the Global Programme for pre-ratification assistance. The pre-ratification assistance elements are now available, or soon will be, as ‘off the shelf’ modules, which if Recommendation 24 above is implemented, will be accessible from the Internet. At its inception, the Global Programme was originally envisioned to comprise three phases; the second of which was a series of demonstration projects. Only five such demonstration projects, each funded to US\$500,000, were intended to be conducted over 36 months, after which the grand Global Strategy was to be developed in cooperation with Member States. Donor funds did not materialise. In the five years of the Global Programme, there have been 13 demonstration projects implemented, with

another 20 pipeline (n=8) and pre-pipeline (n=12) projects to come. The 'demonstrations' show that the modules work (at least in the short-term). The phase for demonstration projects should be considered at an end. Failure to ratify the Human Trafficking Protocol on the professed grounds that while it supports the Protocol, it does not have the capacity to implement its obligations, is not a persuasive argument from a Member State. Ratification grants entry of Member States to the Conference of the Parties to the Transnational Organized Crime Convention, which in part, has a General Assembly mandate for determining how to ensure effective implementation of the Human Trafficking and Smuggling of Migrants Protocols, how to ensure monitoring of implementation, the delivery of technical assistance, and their financing. The 'law of diminishing returns' might well apply (that the most recalcitrant Member States will take longer and require more assistance [from the Global Programme] to reach ratification, and the impact on human trafficking globally, might be minor. There is no guarantee that any Member State which receives pre-ratification technical assistance from the Global Programme will subsequently ratify the Protocol(s), although the current experience suggests otherwise. With the limited funds available, the Global Programme should move to post-ratification implementation assistance.

130. *Comments:* To assist in the transition to post-ratification implementation assistance (Recommendation 26 above); to assist in giving the full and immediate effect to UNODC restructure (Recommendation 15 above); to assist in GPAT assuming responsibility for Smuggling (Recommendation 17 above); and to assist in implementing a Project Management Cycle Schema (Recommendation 21 above), the current work plan of AHTU should be examined and all unfunded and all pre-pipeline projects which apply to States which have not yet ratified the Protocols should be written off. This will reduce commitments for technical cooperation projects and allow for conceptualising the changes, before embarking on the 'new' strategy. That is, there should be a pause in the development of further technical cooperation projects, while the Global Programme reorients itself in line with the current evaluation recommendations. The recommendations do not preclude the UNODC's Treaty and Legal Affairs Branch of the Division for Treaty Affairs providing assistance to Member States through its *Legislative Guides for the Implementation of the United Nations Convention Against Transnational Organized Crime and the Protocols thereto*.

27. That in implementing its rotation policy UNODC gives appropriate weight to the impact on the delivery of services to Member States.

131. *Justifications:* As currently structured, AHTU has a core staff of just two Professionals. All core staff movements threaten the sustainability of the Unit and the Global Programme itself. Corporate (and the global anti-human trafficking environment) knowledge largely resides with these two core *individuals*. The balance of the Unit, while highly skilled and committed, is only available to the Global Programme on short-term activity-specific projects. Abrupt rotations will create a hiatus, while replacement operatives 'get up to speed' and develop the network of contacts and knowledge required.

132. *Comments:* The recommendation should apply across all programmes, not just GPAT. It is understood that the rotation policy is an attempt to provide both HQ and Field Offices with career advancement/development opportunities, resulting in a more efficient/effective delivery of service. For example, long-standing HQ staff might become 'desk bound' or overly bureaucratic, and lose their 'on-the ground/coal face' perspective due to a lack of recent field experience. Similarly, with few vacancies occurring within HQ, and with competition high, Field Office staff have few opportunities to be promoted. Nonetheless, as it applies to the Global Programme (and the Corruption and Money Laundering Global Programmes), the balance between long-term Office objectives and immediate negative impacts on whole-of-programme delivery requires a flexible approach. At

the minimum, there should be sufficient overlap between the appointment of replacements within HQ and rotation back to the field, to ensure a smooth transition.

28. That the Global Programme develop and maintain an inventory of government anti-human trafficking and anti-smuggling of migrants focal point contacts for all 191 Member States; of sister UN entities, and the most prominent NGOs.

133. *Justifications:* Member States should have immediate access to a list of their anti-human trafficking counterparts. At present, they do not. During the current evaluation, in an effort to construct a mailing list for a survey on Member States' understanding and performance assessment of the Global Programme, and future directions' recommendations, GPAT was unable to provide such a list. It was unable to provide a list of donor contacts which had contributed to the Global Programme, beyond the most prominent (U.S. and Sweden) and the most recently funded projects. The question 'If you wanted to contact the focal point in [country], who would you telephone' drew the response that the first point of call would be the permanent head of mission in Vienna. The evaluation survey was subsequently (electronically) mailed to the permanent heads in Vienna, Geneva, and New York, with a request that the form be forwarded to the country's focal point. Despite a follow-up mail out, as is standard in such surveys, it resulted in a low (<10%) response rate, and was unusable for the evaluation.

134. *Comments:* In the first instance, the construction of the list will be time-consuming. The list should be published on the Global Programme's web site with a request/facility for immediate notification to GPAT of changes. A process of routine formal Member State - Global Programme changes and annual updates by GPAT, supplemented by user (i.e. public) notifications to the Global Programme on finding that the nominated focal point is out of date, should ensure relative accuracy and completeness. As a by-product, the list could be utilised for routine, say monthly/quarterly (electronic) updates of the Global Programme's activities, in line with the increased visibility Recommendations.

6. OVERALL CONCLUSIONS

135. In view of the impediments which confronted the Global Programme (e.g. mandate derived *post hoc*; the absence of a strategic plan; a small core team; modest donor funds resulting in a donor-driven *de facto* strategy), becoming the world leader from a criminal justice perspective and the most influential programme in providing incentives to ratify the Human Trafficking Protocol and for measuring progress towards an international consensus on, and agreed response to the problem of human trafficking, are extraordinary achievements. Originally intended as a time-limited (36 month) data collection and demonstration project programme, culminating in the grand Global Strategy to be developed in close cooperation with Member States, the Global Programme is now viewed by UNODC as an enduring programme, with the United Nations Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, supplementing the United Nations Convention against Transnational Organised Crime, approved by the General Assembly in 2000 and coming into force in 2003, serving as its formal mandate.

136. The Global Programme's best results have been achieved in technical cooperation projects (the 'demonstration' projects' referred to immediately above), which results in judges, prosecutors, law enforcement officers, and other public officials being sensitised and trained; national anti-trafficking Action Plans being developed and implemented; anti-trafficking legislation developed and passed; in States ratifying the Human Trafficking Protocol, and in victim/witness support and

protection programmes being initiated. It has been less successful in the area of data collection and research. The Global Programme is process-centred, designed to prepare recipient countries/regions for the next stage where concrete impacts will be observable. The failure of GPAT to seriously attempt to measure the incidence and prevalence of trafficking in persons, however, restricts the capacity of the Global Programme (and external observers, including evaluators) to determine whether GPAT has achieved the primary crime dividends (i.e. a decrease in persons trafficked, and an increase in traffickers prosecuted), which are the crime objectives of the instrument which it views as its mandate (the Human Trafficking Protocol).

137. Donors, beneficiary governments, IOs and NGO are unanimous in their opinion that the Global Programme should continue, however, in an increasingly active international response to the crime, GPAT's comparative advantage has diminished. Discrete elements of the Global Programme's menu of assistance are being addressed by competing agencies/entities and these elements are being funded outside of GPAT. All of the current menu elements have been shown to work (at least in the short-term) and the AHTU in particular, has demonstrated its expertise. Global Programme stakeholders (and competitors) identify its niche as robust research, legislative support, law enforcement and prosecution assistance. Similarly, stakeholders are unanimous in their opinion that GPAT should assume responsibility for the Protocol against the Smuggling of Migrants by Land, Sea and Air.

138. Taking all evaluation results into consideration, even without assuming responsibility for the smuggling of migrants, the Global Programme, in its present form, is unsustainable. In particular, such a small core AHTU team and the modest donor funds attached to a diminishing comparative advantage will condemn the Global Programme to a future of 'limping along' in uncertainty, rather than moving forward with confidence. The current five-year 'Phase' of demonstration projects should be considered completed. A 'new' Phase is required. Firstly, concerning Trafficking in Human Beings, the Global Programme should move to post-ratification assistance. Secondly, the Global Programme should assume responsibility for the Smuggling Protocol and become the Global Programme against the Trafficking and Smuggling of Human Beings (GPATS). To avoid the pitfalls which accompanied the inception and development of the Global Programme against Trafficking of Human Beings, GPATS should develop a strategic plan in close cooperation with Member States; it should increase its visibility with donors (and sister agencies/NGOs and IOs) on its mandate, and it should develop a robust research agenda, particularly concerning the incidence and prevalence of the crimes, to remind the international community of the size and distribution of the problem(s), and to measure achievements. Core funded positions need to be expanded and, following the restructure of UNODC, Regional Desks and Field Offices require training on the need for and approach to anti-trafficking and anti-smuggling projects. A number of administrative measures are recommended in the current evaluation, to assist UNODC in arriving at and managing the new Global Programme against the Trafficking and Smuggling of Human Beings.

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Endnotes

- ¹ Since the Programme is currently directed by requests from the Member States and also based on donor directions, it was critical to establish if the needs of beneficiary countries were met, given the donor conditions. The evaluation also examined how donors set their priorities, and how they view UNODC in terms of its comparative advantages
- ² Supplemented by contextual visits to other countries and by previous Programme project evaluations.
- ³ Due to a poor response rate (10%), results were not included in this evaluation.
- ⁴ Surprisingly, the AHTU is anxious to avoid the use of the term *the* 'United Nations' Global Programme against Trafficking in Human Beings, or as a 'United Nations' Global Programme at all, and prefers it be identified only as a 'UNODC' Global Programme. This is despite its own web site describing it as such (e.g. http://www.unodc.org/pdf/crime/trafficking/RA_UNICRI.pdf, <http://www.unodc.org/nigeria/en/humantrafficking.html>) and http://www.unodc.org/pdf/crime/human_trafficking/Exec_Summary_UNICRI.pdf); the International Scientific and Professional Advisory Council of the United Nations Crime Prevention and Criminal Justice Program similarly so <http://www.pfijr.org/programs/un/tenthcongress/ISPAC>, the United Nations Crime and Justice Information Network <http://www.uncjin.org/Documents/10thcongress/Ancillary/outcome.htm>; (then) UNICRI Principal GPAT Researcher and subsequently GPAT consultant researcher <http://usconsulate-istanbul.org.tr/reppub/bilgiconf/speakers/Alexis%20Aronowitz.doc>; and the largest donor to the Global Programme, the United States <http://www.ojp.usdoj.gov/ovc/help/tip.htm> and http://www.ojp.usdoj.gov/nij/international/global_selectlinks/text.html. These descriptions are in addition to numerous other governments (including donor and beneficiary countries); academics, researchers, NGOs and IOs. The AHTU sentiment is more than an expression of proprietorial pride in UNODC, or an attempt to distance the Global Programme from the UN *per se*. Rather, it appears to seek to reinforce the absence of an agreed UN system definition of the term 'Global Programme' and difficulties which might arise should the current evaluation seek to compare it with other UN entity Global Programmes.
- ⁵ Costs do not account for direct and indirect contributions to the Programme from other UNODC Branches (e.g. Treaty and Legal Affairs) which were fractional in terms of overall activities within Branches and which were unable to be quantified.
- ⁶ There is an argument that the Programme might consider selection of a non-receptive government/country for a demonstration project which has its primary/only objective as 'preparation of the government for hosting a technical cooperation project,' following which, if the objective is achieved, consideration of implementing a model project might be made, particularly if the country is a significant source, transit or destination country.
- ⁷ Occasionally, the Global Programme is sent courtesy copies of reports/ publications, but this is by no means formalised.
- ⁸ Donors set the agenda for such meetings and by consensus; this specific meeting was always intended to focus on illicit drugs. No such meeting however, has been proposed for crime/trafficking.
- ⁹ Legitimate arguments raised included the possibility that trafficking can continue to rise, but at a rate lower than would have occurred in the absence of the Global Programme, and that underlying factors which increase vulnerability to trafficking (e.g. poverty, political/armed conflict) are outside the control of the Programme. Less convincing arguments raised included the proposition that while technical cooperation projects can be implemented perfectly, once the Global Programme has ceased involvement in a country, it is up to the government to maintain the momentum (i.e. that sustainability is always contingent on political support).
- ¹⁰ Tier 1 = Fully complies with US Trafficking ACT; Tier 2 = Does not fully comply, but making significant efforts to comply; Tier 2 Watch List = Tier 2 + increase in volume, failure to provide evidence of increasing efforts; Tier 3 = Does not comply and not making significant efforts to comply.
- ¹¹ The Global Programme counts four of these projects as one.
- ¹² Austria, Belgium, Brazil, Canada, the Czech Republic, France, Germany, Italy, Liechtenstein, the Netherlands, Norway, Portugal, Sweden, Turkey, the United Kingdom, and the USA.
- ¹³ For example, projected funds for yr 1 were US\$835,000; yr 2 US\$2,227,000; a total of five demonstration projects each at US\$500,000, for GPAT over a limited-life.
- ¹⁴ The Conference does not, nor should it, have clearance authority over bilateral direct donor to Global Programme funding. It is unlikely, but possible that the Conference recommends a financing structure which bypasses the Global Programme.

Annex I. Evaluation Terms of Reference

UNITED NATIONS OFFICE ON DRUGS AND CRIME

THE EVALUATION OF THE GLOBAL PROGRAMME AGAINST TRAFFICKING IN HUMAN BEINGS

TERMS OF REFERENCE

Programme Title: Global Programme Against Trafficking in Human Beings

1. Background

The Global Programme Against Trafficking in Human Beings (GPAT), launched in 1999, assists Member States in their efforts to combat trafficking in human beings. UNODC Anti-Human Trafficking Unit (AHTU) is responsible for the implementation of the GPAT.

The GPAT overarching objective is to bring to the foreground the involvement of organized criminal groups in human trafficking and to promote the development of effective criminal justice-related responses. The “Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children”, supplementing the United Nations Convention against Transnational Organized Crime, serves as the framework and orientation for the GPAT. The legal instrument, adopted by the General Assembly on 15 November 2000, provides the first internationally agreed upon definition of trafficking and requires States to criminalize such activity. It also calls for measures to prevent trafficking and for the protection of and assistance to victims.

The Programme promotes a comprehensive and multi-disciplinary approach in preventing and combating human trafficking. Within this context, the Programme focuses on the criminal justice component of trafficking complementing the work of other entities of the UN system. The Programme currently addresses only the issue of trafficking in human beings. In the future, it is also expected to address the issue of smuggling of migrants.

2. AHTU workplan

According to the 2004-2005 workplan, AHTU is responsible for, among others,

1) Development and provision of technical expertise

- To provide a repository of best practices in respect of human trafficking and promote their dissemination through training manuals and a toolkit.
- To develop and maintain a database on human trafficking trends.
- To provide expert advisory services and training to assist Member States to implement the UN Protocol to the UN Convention against Transnational Organized Crime addressing trafficking in persons, in close cooperation with the Treaty and Legal Affairs Branch.
- To maintain effective cooperation, coordination and liaison with organizations working in the area of human trafficking, including on the issues of prevention and victim support.
- To represent UNODC at appropriate conferences and technical meetings.
- Preparing and delivering presentations in respect of human trafficking, as required.

2) Substantive backstopping of technical assistance projects

- To contribute to strategic planning for operational activities in close cooperation with the Partnership in Development Branch.
- To undertake needs assessment, evaluation and other technical missions, as required, in close cooperation with the Partnership in Development Branch.
- To review country profiles, fact sheets and strategic frameworks to ensure completeness and accuracy in respect of human trafficking.
- To advise and assist in the development of project ideas and project documents, appraise submissions and provide clearance for the Programme and Project Committee on substantive aspects.
- To provide substantive input to implementation of projects.
- To monitor substantive integrity of project implementation.

3) Substantive services to the Commission on Crime Prevention and Criminal Justice and other bodies

- To provide input and prepare reports to the Commission on Crime Prevention and Criminal Justice, Conference of the State Parties of the TOC Convention, ECOSOC, General Assembly and other bodies, and contribute to their substantive and administrative servicing, as appropriate.
- To produce and disseminate specialist reports on human trafficking.

Main components of the Programme include:

1. Providing pre-ratification assistance;
2. Promoting criminal justice system responses;
3. Enhancing victim protection and support;
4. Strengthening international cooperation;
5. Implementing measures on prevention of human trafficking;
6. Advocacy and awareness raising;
7. Network and partnership building with funding and development agencies, Governments, research institutes, international/intergovernmental organizations, NGO's and other appropriate bodies;

The above will be done in close cooperation with other UNODC units, as required.

Technical cooperation

The Anti-Human Trafficking Unit (AHTU) is to assist Member States in their efforts to combat trafficking in human beings through the Global Programme Against Trafficking in Human Beings. After the restructuring of UNODC in 2003 and the redistribution of tasks between the Human Security Branch (HSB) and the Partnership in Development Branch (PDB), it is the responsibility of the Field Offices, in cooperation with the PDB, to take care of the technical administration of the projects, while it is of AHTU responsibility to administrate the global projects¹.

Technical cooperation projects have been initiated in Asia, Central and Eastern Europe, Latin America and West Africa. Specific intervention measures are being introduced that are designed to strengthen the capacity to combat different forms of trafficking at the national, regional and international levels.

2. Evaluation Purpose

Firstly, the purpose of the evaluation is to establish what the Global Programme Against Trafficking in Human Beings has achieved against its objectives. The purpose of the evaluation is to assess the extent to which the programme is meeting the needs of the beneficiary countries and the expectations of donors. Furthermore, the purpose of the evaluation is to determine whether resources are utilized efficiently to produce or contribute to sustainable outcomes. What has the Global Programme Against Trafficking in Human Beings achieved in terms of results, outcomes and what impact is being created and are the benefits sustainable?

The evaluation seeks to draw lessons and best practices that can be used to improve programme/project design, management and setting up of new priorities that fully meet the needs of beneficiary countries.

The stakeholders of this evaluation are UNODC, beneficiary countries, donors and the international community. The evaluation will focus on assessing the beneficiary countries experiences with GPAT and their perspectives on the benefits received. The evaluation will also seek the view of donors, and where possible, the views of beneficiary individuals.

This evaluation was foreseen as a thematic evaluation in 2003 and was postponed to 2004. This in-depth thematic evaluation is part of the new strategic approach to evaluation being implemented by UNODC.

3. Evaluation Scope

¹ In practice, the AHTU is still managing some geographical projects, depending on the capacities of some of the Field Offices as well as the Regional Sections.

The evaluation will address, among others the following:

- (i) The programme/project concept (including the ways in which priorities are determined), programme/project design, implementation results, and outputs.
- (ii) Measures performance outcomes, impact and sustainability of the benefits of the programme/projects.
- (iii) The evaluation will cover the Global Programme Against Trafficking in Human Beings starting from 1999 when it was established, to the present. The geographic coverage will be global.
- (iv) Evaluation will analyze and determine how efficiently programme/project planning and implementation were carried out (this will include how organizational structures, managerial support and co-ordination mechanisms supported the programme/projects).
- (v) Whether the results have been fully achieved, if not why. Determine if progress has been made towards their achievement. If not, establish what needs to be done.
- (vi) Whether the programme is appropriate, relevant and effective in addressing identified needs/problems, and if resources are efficiently utilized and producing the desired outcomes.
- (vii) Whether and how the Programme contributes to a priority area or comparative advantage for UNODC (the role of GPAT in UNODC).
- (viii) Determines the role played by Field Offices, beneficiary countries and other partners (including various international organisations) in the development, implementation and management of the programme. In particular, the role of local NGOs in India in anti-human trafficking activities will be assessed.
- (ix) The Programme's contribution to human and institutional capacity development (E.G. use of tools and toolkits), especially in developing and countries in transition and whether this capacity is creating conditions for sustainability.
- (x) Determine the sustainability of results and benefits beyond UNODC funding/support.
- (xi) The evaluation will focus on the experiences of beneficiary countries with the GPAT and their perspectives on the benefits received.
- (xii) The evaluation will also seek the views and feedback from the donors and the states that have/are giving assistance. Since the programme is directed by requests from the Member States and based on the donor direction, it will be critical to establish if the needs of beneficiary countries are met given the donor conditions. The evaluation will also examine how the donors set their priorities, and how they view UNODC in terms of its comparative advantages.
- (xiii) Assess the ways in which UNODC can contribute to the area of anti-human trafficking. Assess, E.G., a question such as "Is UNODC a leader in providing solutions to human trafficking?"

4. Evaluation Methods

The evaluation methods will include the following:

- Documents review and analysis (secondary resources);
- Interview with key informants and key players, including government officials, donors, NGOs, and individual beneficiaries, where possible (through person-to-person interviews or by telephone);
- Field visits;
- Participatory observation and rapid appraisal;
- Comparative analysis with similar projects implemented by other international organizations;
- Sharing draft report and inviting inputs as a form of factual and social verification.

5. Evaluation Team Composition

An independent evaluation team that has had no prior involvement with the GPAT during its design and implementation phases will carry out the evaluation.

The evaluation team will be composed of four external evaluators and evaluation officers from the Independent Evaluation Unit. The external evaluators will be professionals who have expert knowledge and experience in human trafficking issues, as well as evaluation methods and instruments. Specifically, the evaluators will collectively have:

- Knowledge and familiarity with various aspects of human trafficking, including law enforcement, and support for victims and witnesses;
- Technical expertise in various evaluation methodologies and techniques;
- Ability to conduct a field work, especially in West Africa, Latin America, East Asia and Europe; and
- Experience and knowledge of the UN system.

One of the external evaluators will serve as the team leader, who will coordinate all relevant tasks to be carried out by the external evaluators and put together a final report (See Section 7 below for the detailed work description for evaluators).

6. Planning and Implementation Arrangements

The GPAT evaluation should be completed by 13 December, 2004. The following time frame is suggested for the evaluation process:

Date	Activities	Staff involved	Location
2-13 September 2004	- Discussion and finalization of TOR - Confirmation of budget	AHTU, IEU	UNODC Vienna
6-30 September 2004	- Identification of consultants - Recruitment (HR) process of consultants - Development of TORs for selected project evaluations by project staff	AHTU, IEU, Field Offices	UNODC Vienna
1-8 October 2004	- Review and analysis of documents - Development of overall evaluation framework and instruments	Team leader (consultant), Consultants, IEU	Home based (consultants)
11-31 October 2004	- Field work	Consultants, IEU	Vietnam, Philippines, India (S/E. Asia); Benin, Nigeria, Togo (ECOWAS); Brazil, Colombia (Latin America), Czech Rep., Poland, Slovakia (E. Europe) ²
1-2 November 2004	- Post-field-work briefing	Team leader (consultant), IEU, AHTU	UNODC Vienna
3-10 November 2004	- Preparation of individual reports by consultants and submission to the team leader	Consultants	Home based (consultants)
11-18 November 2004	- Compilation of individual reports into a draft evaluation report	Team leader	Home based (consultants)
19-30 November 2004	- Review of the draft report	All stakeholder groups	
1-8 December 2004	- Revision of a draft report by incorporating comments - Submission of final report to IEU	Consultants, IEU	Home based (consultants)
9-10 December 2004	- Final editing / review of the report	IEU	UNODC Vienna
13 December	- Circulation of the	IEU	UNODC Vienna

	final report to UNODC		
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2. Refer to Notes at bottom of TOR

Deliverables of the Evaluation

The evaluation will produce the following:

- (a) A detailed evaluation plan to be prepared by the team leader;
- (b) A detailed evaluation methodology and evaluation instruments to be developed by the team;
- (c) Project evaluations for selected projects²;
- (d) Presentations of findings as appropriate;
- (e) A draft GPAT evaluation report with findings, lessons learned, and recommendations; and
- (f) A final GPAT evaluation report

See below for a summary table of reports and inputs to be prepared by consultants.

Reports and Inputs to be prepared by Consultants

External Consultant	Key Report/Input	Region/Country to Visit (tentative)
Lead	- A global GPAT evaluation - Project Evaluation report (1) PER/R17 - Regional summary	E. Europe: Czech & Poland Slovakia
Local consultant 1	- Project Evaluation report (1) RAF/R13 - Regional summary	Africa: Benin, Nigeria, Togo Other ECOWAS as needed
Local consultant 2	- Project Evaluation report (1) VIE/R21 - India NGO summary (1) - Regional summary	South/East Asia: Vietnam, Philippines India
Local consultant 3	- Project Evaluation report (2) BRA/R18, COL/R52 - Regional summary	Latin America: Brazil, Colombia ³

3. Refer to notes at bottom of TOR

7. Consultants Tasks, Expected Outputs and Contractual Arrangements

The consultants are hired to work as a team on the GPAT evaluation. In performing the task, they will work closely with the Chief of UNODC Independent Evaluation Unit (IEU), who will provide the overall guidance. Staff from the IEU will work as members of the evaluation team.

Consultant Tasks

Each consultant is assigned to work on a specific region, visiting relevant countries selected for the evaluation. The team leader (Lead Consultant) will be responsible for the preparation of a draft global report, as well as a final report, incorporating all major findings, lessons learned, and recommendations provided by the team members in their individual reports. Specifically, the consultants will perform the following tasks:

Team leader (Lead Consultant)

- (a) Review all background materials to familiarize him/herself with the activities of UNODC GPAT (request additional documents, as needed);
- (b) Attend briefing meetings in Vienna to receive further instructions (TBD);
- (c) Develop an evaluation methodology for the overall evaluation, and necessary instruments;
- (d) Coordinate activities with the team members, and set up meeting appointments and interview schedules;

² Midterm reviews for COL/R52 (Colombia) and BRA/R18(Brazil); and terminal evaluations for VIE/R21 (Vietnam), PER/R17(Czech & Poland), and RAF/R13 (W. Africa). ⁴ Refer to notes at bottom of TOR

- (e) Visit the listed countries, meet, and interview all relevant personnel;
- (f) Prepare a project evaluation (E. Europe – PER/R17);
- (g) Attend meetings in Vienna to present and discuss initial findings from the field work;
- (h) Prepare a draft GPAT evaluation report, consolidating major results and findings submitted by the team members (Use the standard format and guidelines for UNODC evaluation reports); and
- (i) Prepare a final report, incorporating all relevant comments and feedback to be provided by the stakeholders on the draft report.

Evaluation consultants (three local consultants)

- (a) Review all background materials to familiarize themselves with the activities of UNODC GPAT (request additional documents, as needed);
- (b) Develop TORs and detailed work plans for the assigned regions, and submit them to the team leader who will put together an overall work plan;
- (c) Set up meeting appointments and interview schedules for the field work;
- (d) Visit the listed countries, meet, and interview all relevant personnel;
- (e) Prepare project evaluation reports for ongoing projects visited, as well as country/regional summary reports for each country/region assigned, within seven days of the completion of the field work (Use the standard format and guidelines for UNODC evaluation reports);
- (f) Submit the prepared reports to the team leader, and provide any additional input and assistance as needed, for his/her preparation of a draft global evaluation report; and
- (g) Review comments and feedback on the draft report from the stakeholders, make the necessary corrections and revisions, and submit them to the team leader.

Consultants Travel

The consultants will travel to the assigned countries in order to conduct interviews and collect information. The countries to be visited by each of the consultants are shown in the table above.

Staff Travel

Staff from IEU will travel to some of the countries noted above, in order to facilitate the country/regional assessments.

Specific Outputs from Consultants

- (a) A detailed evaluation methodology, along with specific evaluation instruments (by the team, lead by the Lead Consultant)
- (b) Individual project evaluation reports for selected projects, and country/regional summary reports (prepared by all consultants for the country/region of responsibility)
- (c) A draft GPAT report (the Lead Consultant, input provided by all team members)
- (d) A final GPAT report, incorporating all comments and feedback on the draft report (the Lead Consultant, input provided by all team members)

Performance Indicators

The performance of each consultant will be assessed based on the following:

- (a) Each team member will have produced individual work plans and schedules for the evaluation before going to the field that is acceptable by the Chief, IEU
- (b) Team will have produced a work plan before going to the field that is acceptable to the Chief, IEU
- (c) Team will have produced an evaluation methodology, questions and instruments before going to the field that is acceptable to the Chief, IEU
- (d) Each consultant will have made arrangements for field travels for selected countries according to the plan
- (e) Each consultant will have produced a report of a quality acceptable to the Lead Consultant, in English, within the stipulated timeframe
- (f) The team leader will have produced a draft report and a final report that is acceptable to the Chief, IEU, within the stipulated timeframe, and in accordance with the provided report outline.

Qualifications and Experience of Evaluators

The evaluators will have a minimum first degree or equivalent qualifications and experience in at least one of the following fields:

- Crime, Crime Prevention, Criminal Justice
- Training in Law and Legal Affairs
- Social Science
- Social Work
- Public Health

Candidates will have a minimum of 15 years of relevant work experience, of which at least 5 years should be in one of the following:

- Human Trafficking
- Investigating Crime in Human Trafficking
- Law Enforcement
- Social and Welfare Research
- Victims Support and Witnesses Protection
- Human Rights

8. Attachments

Guiding Principles for Evaluations at UNODC
Standard Format and Guidelines for Project Evaluation Report

Note: These TOR were departed from in the following respects due to delays in the appointment of the lead evaluator, the unavailability of consultant evaluators, and difficulties in arranging field visits to the Philippines and India.

1. **The evaluation did not commence until 3 October, therefore all intended dates slipped.**
2. **The lead evaluator assumed responsibility for Viet Nam, India and the Philippines.**
3. **India and the Philippines were assessed by desk reviews only**
4. **Nigeria, in part, and Colombia were assessed through the Independent Evaluation Unit, instead of independent consultants. Colombia reverted to a Project Performance Review (PPR).**
5. **Colombia reverted to a Progress Performance Review, instead of a mid-term evaluation.**

Annex II. Evaluation Informants by Country

Australia

Dixon,	Ms. Judith	International Expert on Victim Support
Makkai,	Dr. Toni	Director, the Australian Institute of Criminology
Macleod,	Ms. Caroline	Programme Manager, Asia regional Section, AusAID
McCusker,	Dr. Robert	Research Analyst, Australian Institute of Criminology

Austria – UNODC

Albert,	Ms. Silke	Consultant, Anti-Human Trafficking Unit
Albertin,	Ms. Cristina	Chief, Latin America and the Caribbean Section
Al-Mulla,	Mr. Mohamed	Programme Management Officer, South/East Asia and the Pacific Section
Blandini,	Ms. Margherita	Volunteer, Anti-Human Trafficking Unit
Blanusa,	Ms. Nada	Budget Assistant, Budget Section, FRMS
Boone,	Mr. Rob	Chief, Human Security Branch, Divisions for Operation
Chawla,	Mr. Sandeep	Chief, Policy Analysis and Research Branch
Dammann,	Mr. Burkhard	Chief, Anti-Human Trafficking Unit
Del Frate,	Ms. Anna Alvazzi	Crime Prevention and Criminal Justice Officer, Research and Analysis Section
Eruwa,	Ms. Lorretta	Accounting Assistant, Budget Section, FRMS
Gudmundsson	Ms. Karolina	Programme Officer, Africa and the Middle East Section, Partnerships in Development Branch
Jeon,	Ms. Mija	Chief, Regular Budget Unit, Budget Section, FRMS
Jerneloef,	Ms. Muki Daniel	Programme Manager, Africa and the Middle East Section, Partnerships in Development Branch
Kangaspunta,	Ms. Kristiina	Programme Officer, Anti-Human Trafficking Unit
Le Pichon,	Mr. Thibault	Chief, Research and Analysis Section, Policy Analysis and Research Branch
Maertens,	Mr. Francis	Director, Division for Policy Analysis and Public Affairs
Murray,	Ms. Gillian	Crime Prevention and Criminal Justice Officer, Co-Financing and Partnership Section
Nicotera,	Mr. Giovanni	Crime Prevention and Criminal Justice Officer, Co-Financing and Partnership Section
Noyan,	Ms. Sumru	Director, Division of Operations
Puttonen,	Ms. Riika	Expert, Anti-Human Trafficking Unit
Rhomberg,	Mr. Wolfgang	Database Analyst, Research and Analysis Section
Satek,	Ms. Johanna	Programme Assistant, Anti-Human Trafficking Unit
Taylor,	Mr. Brian	Chief, Anti-Trafficking Section, Human Security Branch
Valle,	Ms. Sandra	Senior Inter-regional Advisor, Legal Advisory Section, Treaty and Legal Affairs Branch, Div. for Treaty Affairs
Vlassis,	Mr. Dimitri	Chief, Crime Conventions Section, Treaty and Legal Affairs Branch, Div. For Treaty Affairs

Austria - UNOPS

Hugo,	Mr. Hans-Ulrich	Manager
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Benin

Ako,	Mr. Nobert Fanou	Team Leader, Enfants Solidaires D’Afrique et du Monde
Assogba,	Mr. Nicholas	Magistrate, Director, Ministry of Justice
Chabi,	Ms. Mary	Asst. Senior Programme Officer, UNICEF
Dupont,	Mr. Claude	French Embassy
Guezo,	Mr. Luc Olivier	National Focal Point
Houssou,	Mr. Selange	Member, Research Team, SPB
Metonwaho,	Ms. Noel Helen	Member, Research Team, ASPED

Brazil		
Backes,	Ms. Silvia	Delegation Coordinator, International Committee of the red Cross
Burke,	Ms. Isabel	Civilian Attache - Liaison Officer, Embassy of Portugal
de Almeida,	Mr. Paulo Roberto	Diplomat, Special Advisor, Department of Strategic Issues, Presidency of Brazil
de Almeida	Mr. Reinaldo	Chief Police Officer, Representing Officer of Interpol,
Cesar,		Department of Federal Police
de Linhares,	Mr. Paulo Roberto	Chief Police Officer – General Coordinator of
	Ornelas	Immigration, Department of Federal Police
Dias,	Ms. Claudia	Project Officer, World Labour Organisation
Junor,	Mr. Helio Povoas	Diplomat – Chief of Consular Assistance Division, Ministry of Foreign Affairs
Peres,	Mr. Renato	Civilian Attache – Chief Police Officer, Embassy of Italy
Pungs,	Mr. Reiner	Project Coordinator, UNODC Regional Office, Brazil
Oliviera,	Ms. Marina Periera Pires	Project Officer, National Secretariat of Justice, Ministry of Justice
Rocha,	Mr. Thiago Cruzeiro	Project Assistant, National Secretariat of Justice, Ministry of Justice
Cambodia		
Melis,	Ms. Martina	(formerly) Programme Officer, UNODC Regional Office, Thailand**
Colombia		
Acosta,	Ms. Patricia	UN Volunteer to the Project, Legal Research
Cantor,	Ms. Claudia Marcela	Advisor to the Public Prosecutor’s Office
Cordoba,	Mr. Juan Camilo	Coordinator, Pontificia Universidad Javeriana, Bogota, Faculty of Jurisprudence (Project’s sub-contracted academic institution)
Duarte,	Ms. Ana Maria	Advisor to the Presidential Commission for the Equality of Women
Escobar	Mr. Martin	UN Volunteer to the Project, Legal Research
Giraldo Villa,	Ms. Victoria Eugenia	Director, Fundacion Esperanza (NGO)
Gomez,	Mr. Mario Daniel	Administrative Assistant to the Project
Grassi,	Ms. Simonetta	Adjunct Representative, UNODC Field Office
Guardiola-Rivera	Mr. Oscar Eduardo	Associate Professor, Pontificia Universidad Javeriana, Bogota, Faculty of Jurisprudence (Project’s sub-contracted academic institution)
Gutierrez	Ms. Carolina	Advisor, Ministry of Internal Affairs and Justice
Hernandez,		
Marquez	Mr. Carlos Pablo	Investigating Professor, Pontificia Universidad Javeriana, Bogota, Faculty of Jurisprudence (Project’s sub-contracted academic institution)
Escobar,		
Martinez	Mr. Diego	UN Volunteer to the Project, Legal Research
Orozco,	Mr. Julio Jose	Director for Access to Justice, Ministry for Internal Affairs and Justice
Rengifo,	Mr. Juan Felipe	Advisor to Senator Claudia Blum de Barberi, Colombian Senate
Ruiz-Restrepo,	Ms. Adriana	Project Coordinator
Suarez,	Mr. Carlos, A	Advisor to Senator Claudia Blum de Barberi, Colombian Senate
Sarmiento,	Ms. Yolanda	Director of International Affairs, Public Prosecutor’s Office
Vidal Lopez,	Mr. Roberto Carlos	Project’s National Consultant, Director, Pontificia Universidad Javeriana, Bogota, Faculty of Jurisprudence (Project’s sub-contracted academic

institution)

Czech Republic

Anderson,	Ms. Lisalott	Swedish Embassy
Burcikova,	Ms. Petra	Director/ National Coordinator, La Strada
Bures,	Dr. Radim	Deputy Director, Crime Prevention Department, Ministry of the Interior
Cavaniss,	Mr. William	U.S. Ambassador to Czech Republic
Cesnakova,	Ms. Bronislava,	Social Assistance Manager, La Strada
Cypher,	Ms. Tricia	Second Secretary, United States Embassy
Dohnalova,	Ms. Miluse	Director, Refugee Facilities Administration, Ministry of the Interior
Entlichove,	Ms. Marcela	Global Affairs Specialist, United States Embassy
Gjuricova,	Ms. Jitka	Director, Crime Prevention Branch, Ministry of the Interior
Helling,	Ms. Lisa L.	Press Attache, United States Embassy
Koural,	Mr. Libor	Head, Trafficking In Human Beings, Organized Crime, Czech Police
Kovarova,	Ms. Radka	Public Relations, Ministry of the Interior
Krpalkova,	Ms. Jindriska	Manager, Caritas
Kutalkova,	Ms. Petra	Project Coordinator, La Strada
Litera,	Mr. Josef	Head, Sexual exploitation, Organized Crime, Czech Police
Pavlik,	Dr. Jiri	Manager Czech Republic Police
Preslickove,	Ms. Hana	Researcher, Institute for Criminology and Social Prevention
Scheinost,	Dr. Miroslav	Director, Institute of Criminology and Social Prevention
Sladkova,	Ms. Lucie	Head of Office, IOM
Smith,	Mr. Mark	Resident Twinning Advisor, PHARE 2003 Human Trafficking, Ministry of the Interior
Smola,	Mr. Zdenek	Police Presidium
Snajdrova,	Ms. Hana	National Project Coordinator, Ministry of the Interior
Travnickova,	Dr. Ivana,	Institute for Criminology and Social Prevention
Wohlgemuth,	Mr. Marcel	Security Policy Department, Ministry of the Interior
Zelasko,	Col. Petr	Director, Czech Police Presidium, Bureau of Criminal Police and Investigation Service

Italy – UNICRI

Bacha,	Mr. Mehdi	Associate Expert
Patrignani,	Ms. Angela	Researcher**
Van Dijk,	Dr. Jan	Deputy Director

The Netherlands

Aronowitz,	Dr. Alexis	International Trafficking Research Expert, formerly UNICRI
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Nigeria

Abdulrahman,	Mrs. A. T.	Head of Monitoring, National Agency for the Prohibition of Trafficking In Persons and Other Related Matters (NAPTIP)
Abiola,	Mrs. Ayes	Office of the Special Assistant to the President on Human Trafficking
Alo,	Mr. Paulin	National Project Officer*
Babandede,	Mr. M.	Head of Investigation, NAPTIP
Balaud,	Mr. Joel	Police Liaison Officer, French Embassy
Dashe,	Mr. N. J.	Investigation Officer, NAPTIP
Esezobor,	Mr. Israel	Nigerian Immigration Services
George,	Mr. Yemi Akinseye	National focal point, Ministry of Justice
Gimba,	Mrs. Dorothee	Nigerian Police Force

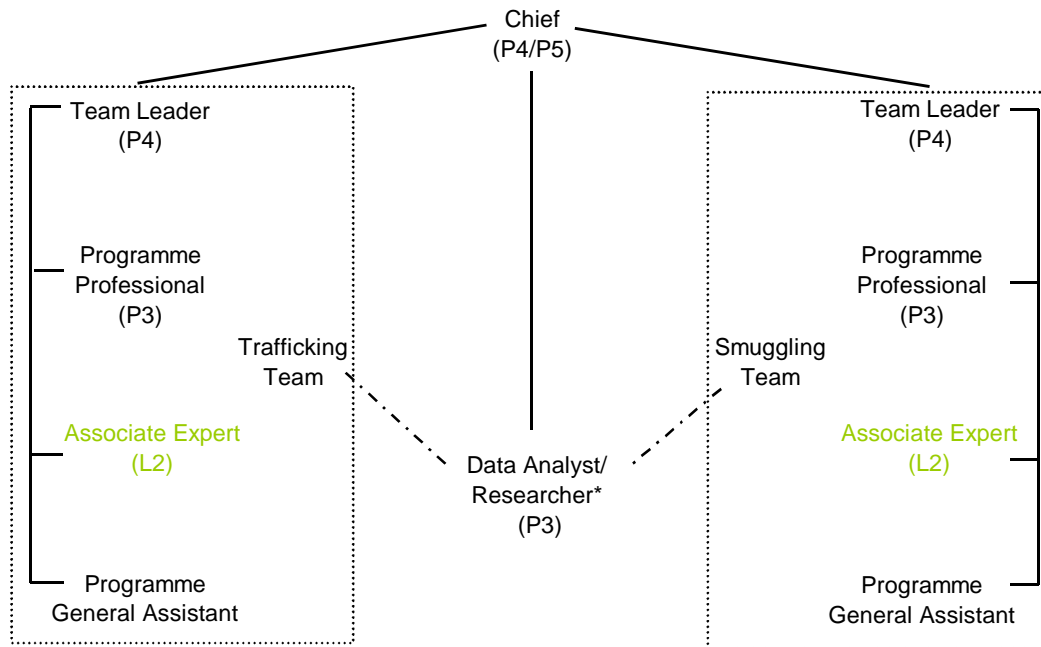
Haruna,	Mr. U. S.	Head, Legal/Prosecution, NAPTIP
Mancini	Mr. Andrea	Associate Expert, Nigeria Country Office
Ndaguba,	Ms. Carol	Executive Secretary, NAPTIP
Mancini	Mr. Andrea	Associate Expert, Nigeria Country Office
Nwagboso,	Mrs. Uche	Police Liaison Officer, French Embassy
Okaro,	Ms. Queen Chinwe	Programme Assistant, International Organization for Migration (IOM)
Oyewale,	Dr. Taju	UNICEF
Philips,	Mrs. K. N	Officer, Anti Human Trafficking and Child Labour Unit, Nigeria Immigration Service
Salay	Mr. Paul	Representative, Nigeria Country Office
Tunde,	Mr. Olayemi	Deputy Coordinator, Women Trafficking and Child Labour Eradication Foundation (WOTCLEF)
Umar,	Mr. Shehu	Investigative Officer, NAPTIP
Poland		
Brasoveanu,	Ms. Alina	Manager, OSCE/ ODIHR
Buchowska,	Ms. Stana	Polish Program Coordinator, La Strada
Filusz-	Ms. Regina	Assistant to Immigration Liaison Officer, British Embassy
Pachucka		
Izdebski,	Professor Zbigniew	Faculty of Law, University of Zielona Gora**
Jasinski,	Dr. Filip	Chief Specialist, Office of the Committee for European Integration, Integration Policy Department
Karsznicki,	Mr. Krzysztof	Prosecutor, National Prosecutor's Office, Ministry of Justice
Kloss-Tulis,	Ms. Sabine	Task Manager, European Commission Representation in Poland, PHARE Transition Team
Kobylińska,	Ms. Jola	National Project Coordinator
Korbal,	Mr. Pawel,	Prosecutor, Deputy Director, National Prosecutor's Office – Organized Crime Bureau, Ministry of Justice
Kosakowska –	Ms. Katarzyna	Project Consultant, Solicitor
Zielinska,		
Kotowski,	Ms. Eve	Prosecutor, Lubuskie
Kovieke,	Ms. Marleue	ODIHR Anti-Trafficking Unit
Lipsett,	Mr. James	Immigration Liaison Officer – National Criminal Intelligence Service, British Embassy
Mierecki,	Mr. Piotr	National Project Consultant, Ministry of the Interior
Morawska,	Ms. Agnieszka	Director, Nobody's Children
Rostocka,	Ms. Anna	Head of Office, IOM
Soucek,	Mr. Jan	Deputy Head of Department, Security Policy Department, Ministry of the Interior
Tomtala,	Inspector Boguslaw	Chief, Anti-Human Trafficking Unit, Polish Police
Zabczynski,	Mr. Andrzej	Central Bureau of Investigation
Slovakia		
Gasparikova,	Ms. Daniela	UNDP Field Office
Kran,	Ms. Marcia	UNDP Field Office
Lukakova,	Ms. Slavka	UNDP Field Office
Stabova,	Ms. Daniela	Project Coordinator, Ministry of the Interior
Vatralova,	Ms. Zuzana	Head of Office, IOM
Sweden		
Stafstrom,	Mr. Martin	Department of Community Medicine, Lund University***
Togo		
Amenyedizi,	Professor Amani Kokou	Professor of law, Lome
Aquitelle,	Mr. Azambo	DUPE/ NASPEPE
D'Almeida	Mr. Dosse Lambert	Director, Cabinet Ministry of Justice

Dimana, Ekpao,	Mr. Walla B. Mr. Adjabo	DCPJ President, Programme d'Aide pour le Development Economique et Social (PADES)
Enyo,	Mr. Gbedemah	Coordinator, Bureau International Catholique de l'Enfance
Komla, Labourare, Mabuka, Mancini, Salay, Yaouvi, Uduak,	Mr. H. T. Mr. Lare Mr. N. Mr. Andrea Mr. Paul Mr. Fiawonou Mrs. C.	WIDAF Embassy of Nigeria DCPJ Programme Officer, UNODC Field Office Head, UNODC Field Office Cour d'Appel de Lome Embassy of Nigeria
The United States of America		
Bales,	Mr. Kevin	International Expert, President, Free the Slaves
Viet Nam		
Al Alami, Balladur, Bergerom, Bui,	Ms. Soumaya Mr. Patrick Ms. Julia Mr. Dang Binh	Programme Management Officer*** Counselor, French Embassy UNICEF Deputy Director, Department for Procuracy Implementation and Criminal Cases Inspection – Supreme People's Procuracy
Can,	Mr. Van Chuc	Dean of Criminal Police Department of Police Academy
Cao,	Maj. Ngoc Oanh	Deputy Director of General Department of Viet Nam Police
Do,	Senior Lt. Col. Viet Hung	Deputy Chief of General Coordination Section, Investigation Police Department in Ho Chi Minh City
Goodsell,	Mr. James	First Secretary (Immigration), Principal Migration Officer – Compliance, Australian Embassy
Hoang,	Col. Tan Viet	Deputy Director of Criminal Investment Police Department in Ho Chi Minh City
Huynh,	Lt. Col. Huynh Ngoc	Deputy Chief of CID of Border Army Surveillance Department in Ho Chi Minh City
Lai, Le,	Mr. Hoang Van Lt. Col. Ngoc Phuong	National Project Coordinator Deputy Chief of Criminal Investigation Section, Ho Chi Minh City Police
Luong,	Col. Thanh Binh	Deputy Chief of Border Army Surveillance Department in Ho Chi Minh City
Moeling, Nguyen,	Mr. Benjamin W. Mr. Cong Hong	First Secretary, Political Section United States Embassy Deputy Director, Department for Criminal and Administrative Legislation, Ministry of Justice
Nguyen,	Col. Sinh Xo	Deputy Director of Surveillance Department of Border Army
Nguyen,	Mr. Thang Cuong	Chief of General Coordination Office, Supreme People's Court
Nguyen,	Mr. Thanh Truc	Legal Specialist, Criminal and Administrative Legislation Department, Ministry of Justice
Nguyen,	Mr. Van Thanh	Deputy Chief of General Coordination Team, HOI Chi Minh Investigation Police Section
Pham,	Lt. Col. Van Hung	Deputy Chief of Anti-Human Trafficking Section of the Criminal Investment Police Department
Phan,	Mr. Ba	Deputy Chief of Criminal Court of Ho Chi Minh City Court
Phan, Reece-Evans, Rehn,	Mr. Tanh Mr. Neil Ms. Nina	Deputy President of Ho Chi Minh City Court Deputy Resident Representative, UNDP Programme Officer, Demand Reduction/ HIV-AIDS, UNODC

Ridout, Sharpe,	Mr. Richard Mr. David	Political Section, British Embassy Counselor, Senior Police Liaison Officer, Office of Law Enforcement Liaison, Australian Federal Police
Tran,	Dr. Thi Quang Vinh	Dean of Criminal Law Department, Ho Chi Minh City Law University
Tran, Tran,	Ms. Thi Hong Viet Cpt. Van Quang,	Judge, Ho Chi Minh City Court Deputy Chief of Anti-Human Trafficking Team, HO Chi Minh Investigation Police Section
Trinh, Verhart, Vester, Vo,	Mr. Minh Tan, Ms. Nortje Mr. Troels Senior Lt. Col. Viet Ha	Chief of Section for coordination Procuracy IOM Programme Officer, UNODC Field Office National Project Manager, Criminal Investment Police Department.
Yamada,	Ms. Narumi	Representative, UNODC Field Office

* By telephone; ** by email; *** while at UNODC, Vienna

Annex III. Recommended staffing structure of the Anti-Human Trafficking and Smuggling Unit (AHTSU) of the Global Programme Against Human Trafficking and Smuggling (GPATS)



Notes: * Pending Recommendation 11; light text indicates supernumery positions

Annex IV. Member States which have signed and/or ratified the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children

Country	Signature	Ratification, Acceptance (A), Approval (AA), Accession (a)
Afghanistan		
Albania	12 December 2000	21 August 2002
Algeria	6 June 2001	09 March 2004
Angola		
Argentina	12 December 2000	19 November 2002
Armenia	15 November 2001	01 July 2003
Australia	11 December 2002	
Austria	12 December 2000	
Azerbaijan	12 December 2000	30 October 2003
Bahamas	09 April 2001	
Bahrain		7 Jun 2004 a
Barbados	26 September 2001	
Belarus	14 December 2000	25 June 2003
Belgium	12 December 2000	11 Aug 2004
Belize		26 September 2003a
Benin	13 December 2000	30 Aug 2004
Bolivia	12 December 2000	
Bosnia and Herzegovina	12 December 2000	24 April 2002
Botswana	10 April 2002	29 August 2002
Brazil	12 December 2000	29 January 2004
Bulgaria	13 December 2000	5 December 2001
Burkina Faso	15 December 2000	15 May 2002
Burundi	14 December 2000	
Cambodia	11 November 2001	
Cameroon	13 December 2000	
Canada	14 December 2000	13 May 2002
Cape Verde	13 December 2000	15 Jul 2004
Chile	08 August 2002	
China		
Colombia	12 December 2000	4 Aug 2004
Congo	14 December 2000	
Costa Rica	16 march 2001	09 September 2003
Côte D' Ivoire		
Croatia	12 December 2000	24 January 2003
Cuba		
Cyprus	12 December 2000	06 August 2003
Czech Republic	10 December 2002	
Denmark	12 December 2000	30 September 2003
Dominican Republic	15 December 2000	
Ecuador	13 December 2000	17 September 2002
Egypt	01 May 2002	05 March 2004
El Salvador	15 August 2002	18 March 2004
Equatorial Guinea	14 December 2000	07 February 2003
Estonia	20 September 2002	12 May 2004
Ethiopia		
European Community	12 December 2000	
Finland	12 December 2000	
France	12 December 2000	29 October 2002

Country	Signature	Ratification, Acceptance (A), Approval (AA), Accession (a)
Gambia	14 December 2000	05 May 2003
Georgia	13 December 2000	
Germany	12 December 2000	
Greece	13 December 2000	
Grenada		21 May 2004 a
Guatemala		01 April 2004 a
Guinea		9 Nov 2004 a
Guinea-Bissau	14 December 2000	
Guyana		14 Sep 2004 a
Haiti	13 December 2000	
Honduras		
Hungary	14 December 2000	
Iceland	13 December 2000	
India	12 December 2002	
Indonesia	12 December 2000	
Iran (Islamic Republic of)		
Ireland	13 December 2000	
Israel	14 November 2001	
Italy	12 December 2000	
Jamaica	13 February 2002	
Japan	09 December 2002	
Kazakhstan		
Kuwait		
Kyrgyzstan	13 December 2000	
Lao People's Democratic Republic		26 September 2003 a
Latvia	10 December 2002	25 May 2004
Lebanon	09 December 2002	
Lesotho	14 December 2000	24 September 2003
Liberia		22 Sep 2004 a
Libyan Arab Jamahiriya	13 November 2001	24 Sep 2004
Liechtenstein	14 March 2001	
Lithuania	25 April 2002	23 June 2003
Luxemburg	13 December 2000	
Madagascar	14 December 2000	
Malawi		
Mali	15 December 2000	12 April 2002
Malta	14 December 2000	24 September 2003
Mauritius		24 September 2003 a
Mexico	13 December 2000	04 May 2003
Monaco	13 December 2000	5 June 2001
Morocco		
Mozambique	15 December 2000	
Myanmar		30 March 2004 a
Namibia	13 December 2000	16 August 2002
Nauru	12 November 2001	
Netherlands	12 December 2000	
New Zealand	14 December 2000	19 July 2002
Nicaragua		12 Oct 2004 a
Nigeria	13 December 2000	28 June 2001
Niger	21 August 2001	30 Sep 2004
Norway	13 December 2000	23 September 2003
Pakistan		

Country	Signature	Ratification, Acceptance (A), Approval (AA), Accession (a)
Panama	13 December 2000	18 Aug 2004
Paraguay	12 December 2000	22 Sep 2004
Peru	14 December 2000	23 January 2002
Philippines	14 December 2000	28 may 2002
Poland	04 October 2001	26 September 2003
Portugal	12 December 2000	10 May 2004
Republic of Korea	13 December 2000	
Republic of Moldova	14 December 2000	
Romania	14 December 2000	04 December 2002
Russian Federation	12 December 2000	26 May 2004
Rwanda	14 December 2000	26 September 2003
Saint Kitts and Nevis		21 May 2004 a
Saint Vincent and the Grenadines	20 November 2002	
San Marino	14 December 2000	
Saudi Arabia	10 December 2002	
Senegal	13 December 2000	27 October 2003
Serbia and Montenegro	12 December 2000	6 Sep 2001
Seychelles	22 July 2002	22 Jun 2004
Sierra Leone	27 November 2001	
Singapore		
Slovakia	15 November 2001	21 Sep 2004
Slovenia	15 November 2001	21 May 2004
South Africa	14 December 2000	20 February 2004
Spain	13 December 2000	01 march 2002
Sri Lanka	13 December 2000	
Sudan		
Swaziland	08 January 2001	
Sweden	12 December 2000	1 July 2004
Switzerland	02 April 2002	
Syrian Arab Republic	13 December 2000	
Tajikistan		08 July 2002 a
Thailand	18 December 2001	
The former Yugoslav Republic of Macedonia	12 December 2000	
Togo	12 December 2000	
Trinidad and Tobago	26 September 2001	
Tunisia	13 December 2000	14 July 2003
Turkey	13 December 2000	25 March 2003
Uganda	12 December 2000	
Ukraine	15 November 2001	21 May 2004
United Kingdom of Great Britain and Northern Ireland	14 December 2000	
United Republic of Tanzania	13 December 2000	
United States of America	13 December 2000	
Uruguay	13 December 2000	
Uzbekistan	28 June 2001	
Venezuela	14 December 2000	13 May 2002
Vietnam		
Yemen		
Zimbabwe		