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# MID-TERM EVALUATION OF “HUMAN TRAFFICKING IN THE PERUVIAN AMAZON”

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# ABSTRACT

The evaluation analyzes the relevance of the intervention's objectives and strategies, the results achieved, the conditions for sustainability, and the programmatic and technical strengths and weaknesses of each component. Based on this analysis, the evaluation identifies lessons learned and provides recommendations to improve the intervention. The evaluation team utilized qualitative methods to answer five evaluation questions. The evaluation finds that the Activity developed various strategies to reduce the incidence of human trafficking, including evidence production for decision-making, specialized technical assistance and training for justice operators and government professionals who serve victims, and technical assistance and training for the formulation of local policies against trafficking in persons. Furthermore, the Activity has a single integrated model of care for victims of trafficking, which includes an automated case registration and tracking system (SISCALP). However, the evaluation identified internal and external obstacles that are preventing greater achievement of results in the different Activity components. The recommendations are focused on three actors: CHS Alternativo, USAID, and the Peruvian Government.

# RESUMEN

La evaluación analiza la pertinencia de los objetivos y estrategias de la intervención, los resultados obtenidos, las condiciones de sostenibilidad, y las fortalezas y desafíos programáticos y técnicos de cada componente. A partir de este análisis, la evaluación identifica las lecciones aprendidas y proporciona recomendaciones para mejorar la intervención. El equipo de evaluación empleó métodos cualitativos para dar respuesta a las cinco preguntas de evaluación. La evaluación constata que la Actividad desarrolló diversas estrategias enfocadas en la disminución de la incidencia de la trata de personas, incluyendo la producción de la evidencia para la toma de decisiones, la asistencia técnica especializada y capacitación a operadores de justicia y profesionales gubernamentales que atienden a las víctimas, la asistencia técnica y capacitación para la formulación de políticas locales contra la trata de personas. Además, CHS cuenta con un modelo de atención a las víctimas de trata único integrado, que incluye un sistema automatizado de registro y seguimiento de casos (SISCALP). Sin embargo, la evaluación identifica obstáculos internos y externos que impiden un mayor logro en los resultados en los diferentes componentes. Las recomendaciones se enfocan en tres actores: CHS Alternativo, USAID y el Gobierno Peruano.

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# ACRONYMS AND ABBREVIATIONS

CALP	Legal and Psychosocial Care and Assistance Center
CAR	Residential Care Center
CHS Alternativo	Alternative Human and Social Capital
CHS/USAID project	Human Trafficking in the Peruvian Amazon (project)
CPC	Alliance Cooperation for the Protection of Children and Adolescents
ECV	Victim-centered approach
ESCNNA	Sexual and Commercial Exploitation of Boys, Girls, and Adolescents
DEMUNAS	Municipal Ombudsmen for Children and Adolescents
DOS	(U.S.) Department of State
GOP	Government of Peru
INABIF	National Institute of Family Welfare
INEI	National Institute of Statistics and Informatics
MIMP	Ministry of Women and Vulnerable Populations
MININTER	Ministry of Internal Affairs
MINSA	Ministry of Health
NGO	Nongovernmental organization
ILO	International Labour Organization
OECD–DAC	Organisation for Economic Co-operation and Development – Development Assistance Committee
PIP	Public Investment Project
PNAT	National Plan of Action against Human Trafficking
PNP	National Police of Peru
SISCALP	System for recording and monitoring cases
TIP	Trafficking in persons
UPE	Special Protection Unit
USAID	United States Agency for International Development

# EXECUTIVE SUMMARY

Since 2014, *Capital Humano y Social Alternativo* (CHS *Alternativo*) has been implementing the project *Human Trafficking in the Peruvian Amazon* under Agreement AID-527-A-14-00004. The agreement has been amended six times to extend life and budget. The last amendment, made in August 2018, established as its main objective: “To contribute to reducing the incidence of trafficking in persons in Peru through specific policies and advocacy work.” The project is organized around four objectives or components: (1) generate empirical evidence for policy advocacy and improve the implementation of anti-trafficking strategies; (2) increase the capacity of public institutions and communities to combat trafficking in persons in the selected regions; (3) promote and protect the rights of victims of trafficking; and (4) improve community intervention for populations at risk and the social reintegration of victims of trafficking.

## PURPOSE AND EVALUATION QUESTIONS

The midterm evaluation of the *Human Trafficking in the Peruvian Amazon* project is intended to assess its progress, and identify programmatic and technical strengths and challenges of its components during the 2016 to 2019 period. Evaluation questions are:

1. How appropriate are the changes in the project’s design to address the identified issues and opportunities?
2. What are the results the project achieved?
3. How does the project relate to other anti-trafficking interventions receiving the U.S. Government’s input?
4. What elements of sustainability are worked on at the national and local levels?
5. What lessons learned and best practices can be identified?

## METHODOLOGY

The evaluation was designed in agreement with the United States Agency for International Development (USAID) and CHS *Alternativo*, and is predominantly qualitative in nature. The evaluation used source triangulation: participatory workshops, individual and group interviews, direct observation with field visits, and a document review. Triangulation provided patterns of convergence to develop an overall interpretation of the project, following the established questions. Qualitative methods were selected because the evaluation needed to verify changes concerning attitudes, behavior, adoption of knowledge, and evaluation of processes by the project’s stakeholders.

## FINDINGS

### DESIGN

1. The changes to the project design were appropriate for expanding victim reintegration interventions.

2. Given the complexity of trafficking in persons, and the fact it is a multi-dimensional and largely unknown phenomenon, the project shows a diversity of intervention strategies to achieve the desired impact of reducing the incidence of trafficking in persons and the ability to coordinate interventions that are complementary to those of the National Plan of Action against Human Trafficking (PNAT), such as governance, prevention, prosecution of the crime, care, protection, and restoration of rights.
3. Generating evidence is a relevant strategy in project design, because it guides political advocacy and public and private actions, and bridges a knowledge gap in the issue of human trafficking.
4. Specialized technical assistance and active in-service training as strategies for strengthening public policy against trafficking in persons are a successful approach in project design.
5. The project design's strategy for direct assistance to victims and their families, which is implemented through an approach based on the needs of the victims at the Legal and Psychosocial Care and Assistance Center (CALP) and through the participatory methodology with the families (Iquitos case), is relevant.
6. Technical assistance aimed at the protection, reintegration, and restoration of victims' rights is making progress.
7. With regard to prevention, the inclusion of Citizen Oversight Committees and local stakeholder groups in the design of awareness-raising strategies is appropriate, and has led to the mobilization of various stakeholder groups in campaigns in Cusco, Iquitos, and Madre de Dios.

## RESULTS ACHIEVED

8. The project has made the greatest contributions in prevention, capacity building for the prosecution of crime, victim support and protection, and to a limited extent, reintegration.
9. The project has generated a variety of relevant evidence for decision making, which has led to increased knowledge about trafficking and types of trafficking in institutions and the community, as well as the adoption and use of concepts, tools, and protocols for institutional and inter-institutional action at national, regional, and local levels.
10. The outcome of government capacity-building activities for identification, prosecution, and trial of cases of trafficking in persons, and development of public policies is evident in the adoption of knowledge and protocols, improved inter-institutional coordination, and support for the decentralization of interventions under the PNAT 2017–2021.
11. The project has contributed technical assistance and training for the design and development of regional plans against human trafficking in Cusco, Loreto, and Madre de Dios, as well as at the national level. It not only assists with the decentralization of the PNAT, but also with expanding commitments with authorities in border countries.
12. The project has enhanced knowledge of trafficking and how to deal with victims in times of crisis for the staff of government shelters that provide care for victims of human trafficking—Residential Care Centers. It also provides support in equipment to improve interventions.
13. The project has used various actions to implement the strategy for the prevention of trafficking in persons in all four intervention areas.
14. Authorities' and service operators' knowledge and management of trafficking has been improved; the activities have generated diverse and relevant evidence in the increased adoption and use of concepts and processes to address cases of trafficking for sexual exploitation, and to a lesser extent, labor trafficking and other forms.

15. CHS Alternativo has a single integrated care model for victims of trafficking, which includes an automated system for recording and monitoring cases.
16. Internal and external obstacles to the project prevent greater achievement of results in the different components.

## RELEVANCE TO OTHER INTERVENTIONS

17. The *United against human trafficking. Partnerships in Action to End Child Trafficking in Peru* project, funded by the Department of State and the International Labour Organization, is complementary to the Human Trafficking in the Peruvian Amazon project, even though they share the same scope of interventions and partners.

## SUSTAINABILITY

18. CHS Alternativo has worked on different elements of sustainability, especially the development of capacities and protocols, and guides for the institutionalization of the subject of human trafficking in the knowledge and processes of relevant entities.

## LESSONS LEARNED

1. Strengthening public capacity in prevention, care, recovery, and reintegration is one of project's key actions, even though evidence shows that reiteration is necessary due to the change of authorities and officials.
2. Dealing with victims of trafficking requires not only protocols, but much training for front-line service providers in sensitivity and empathy toward victims, as well as self-care in dealing with painful issues.
3. Dissemination and information campaigns are essential but insufficient if they are not accompanied by practical training of the population, especially young and adult community leaders. The project should plan targeted interventions based on specific risk profiles in schools, families, and communities, with appropriate intercultural approach. It was also evident that interventions or products must take into account an external communication component—which spaces, media, or platforms work best according to the sociocultural context, and which other partners contribute to greater dissemination.
4. Knowledge of the ways in which traffickers work and how to approach them is an under-explored issue that is important for eliminating trafficking.
5. Guidelines developed jointly by institutions and civil society are key to conceptual and procedural ownership.
6. The proliferation of roundtables and inter-institutional spaces, while an achievement, creates additional work for officials.
7. Work with regional presidents and managers is key to the leadership of strategic actions.
8. The strategy of working on trafficking at the macro-regional level has proved to be essential, highly valued, and relevant.
9. The victim-centered approach is fundamental, and emphasis needs to be placed on building services that go beyond the administrative process and focus on full recovery and reintegration with a human face—humanized services.



## BEST PRACTICES

- a) The joint publications of civil society and the government
- b) The quality and humanity of the care provided by CALP
- c) Awareness raising and training for Justices of the Peace
- d) Temporary shelters at the Public Prosecutor's Office
- e) Public resources through Public Investment Projects (PIP)
- f) Technical meetings among judges

## CONCLUSIONS

1. Adjustments to the initial design were relevant, because they included the focus on care for victims and their families, as well as preventive actions with civil society to reach out to target groups in a broad and diversified manner.

Having a theory of change, a results chain or a logical framework that reflects the existing chain of causality vertically (by component), as well as horizontally (between components) so that the contribution or attribution of changes to the developed strategies can be estimated and analyzed is a challenge for the project.

2. The actions of the *Human Trafficking in the Peruvian Amazon* project are in line with the national policy against trafficking in persons and have proven to be effective in producing evidence for political and social advocacy; strengthening the capacity of service operators; mobilizing and engaging civil society in priority areas against trafficking in persons; directly helping to empower victims through CALP; and showing the feasibility of options for public funding of anti-trafficking actions at the local government level through PIPs.

Systematizing the actions and strategies of the *Human Trafficking in the Peruvian Amazon* project in prevention and care for victims to ascertain which strategies are culturally feasible and which are more impact-oriented is a challenge in terms of greater transfer and sustainability. Another challenge is identifying the institutional and personal competencies to be strengthened, as well as having systems to measure the development of institutional capacity.

3. Evidence generation activities have been effective and in general, capable of providing varied and relevant base for decision making, which is demonstrated by the increased knowledge about trafficking and the adoption and use of concepts, tools, and protocols for institutional and inter-institutional action at national, regional and local levels.

It is a challenge to explore little-addressed issues such as the profile, and even more so the different profiles of victims and their environment, the service operators, as well as traffickers.

4. Actions and strategies to enhance institutional capacity have resulted in improved knowledge of what each institution should do (roles) and how they should be coordinated in a specific way. However, inter-institutional coordination remains a challenge due to ongoing staff changes and the practice of not sharing information.

Delving into strategies to help improve coordination, as well as the transfer and sustainability of these actions, both in terms of training and follow up, is a challenge.



5. In strengthening the capacities of government shelters for the care of victims of human trafficking, the results are weaker, due to the high turnover of staff that affects the performance of guardianship and reintegration duties.  
Exploring other options for strengthening the capacity of shelters is a challenge that might be addressed by extending the scope of action to private shelters and/or rewarding best practices.
6. Efforts related to prevention strategies in the three regions have been diverse in terms of public and community spaces, as well as the most important counterparts.  
Having appropriate resources to generate evidence regarding what has been the most effective in terms of the desired impact is a challenge.
7. The *United against human trafficking. Partnerships in Action to End Child Trafficking in Peru* project funded by the United States Department of State and the International Labour Organization, are complementary to the *Human Trafficking in the Peruvian Amazon* project, even though they are in almost the same regions and have the same counterparts.
8. With respect to sustainability of actions, the in-person and virtual in-service training of officials is an aspect of sustainability in terms of actions of justice operators. Efforts at the regional and sub-regional level are another factor of sustainability, especially when PIP projects are developed to strengthen their capacity and that of the community. These positive factors also contribute to sustainability in terms of developing the operational capacity of various actors in multi-regional spaces.  
Finally, given the relevance of the CALP model, the legitimacy of its role as part of a public-private model for effective victim reintegration—a major shortcoming in public action—is a challenge to be explored.

## RECOMMENDATIONS

**Prepared at the Recommendation Co-creation Workshop (Lima, February 20, 2020) and others stemming from external evaluation.**

### FOR CHS ALTERNATIVO

1. To improve strategies for the prevention of trafficking in persons, and its transfer and sustainability, it is recommended to conduct: (1) research to understand the underlying causes of trafficking in families and gender-differentiated patterns of child rearing, as well as the profile of traffickers and their organizations; (2) studies regarding other types of trafficking, such as labor trafficking by gender; and (3) assessment on the most effective proven strategies for trafficking prevention, according to different cultural contexts, implemented by different public-private actors; as well as to consider the issue of new masculinities linked to gender issues, the culture of abuse and use one's body for profit, especially for girls.
2. Include the academia and universities in generating evidence on human trafficking in different areas, such as law, psychology, social work, and so on.
3. Explain the prevention strategy in the context of existing criteria in the organization, identifying indicators that allow to measure the effects.
4. Continue to promote capacity building of government operators for greater coordination and better care, and identify skills and systems to measure their achievement.

5. Continue to advocate for the existence of public programs for the reinstatement of the rights of adult victims of human trafficking, based on political advocacy and communication plans.
6. Provide greater technical assistance to improve CAR's care to empower the victim.
7. Explore strategies to promote victims' reintegration based on identifying success and failure factors of respective cases.
8. Continue to explore the sustainability of CALP and its location in the victim service chain.
9. Make the gender issue explicit in the strategies for generating evidence, care, and protection of victims, given that victims are not only women.
10. Develop the monitoring and evaluation system, which requires a budget for baseline development, indicator measurement, and so on.
11. Systematize the project's model of victim assistance to generate lessons to share with the government.

## FOR USAID

12. USAID should require a project planning methodology to establish the causality of proposed strategies and objectives (e.g., theory of change, results chain, or logic model) so that evaluations can demonstrate the contribution or attribution of changes achieved.

## FOR THE GOVERNMENT

13. Generate comprehensive programs for the reintegration of trafficking victims that include follow-up systems for the families of victims.
14. Propose a single system for the follow-up of victims once they have received services, integrating the National Police, the Public Prosecutor's Office, and the Ministry of Women and Vulnerable Populations to improve intervention strategies.
15. Establish care and reintegration services for victims of trafficking for persons over 18 years of age, which the country lacks.
16. Promote public investment in actions to prevent human trafficking, care, and restoration of victims' rights services with the development of PIPs in municipal execution units in areas where the victims are recruited and transferred.
17. At the regional governments' level, issues (e.g., trafficking, children, gender equality and gender violence) should be addressed in a cross-cutting manner in various inter-institutional thematic working groups to avoid overburdening members and dispersing actions and resources.

See Annex A for Executive Summary in Spanish.

# EVALUATION PURPOSE AND EVALUATION QUESTIONS

## EVALUATION PURPOSE

The midterm evaluation of the Human Trafficking in the Peruvian Amazon project aims to assess the project’s progress and identify the programmatic and technical strengths and challenges of its components.

Based on the findings, the evaluation presents the results achieved to date, lessons learned, best practices, and recommendations for improving the project by *Capital Humano y Social Alternativo* (CHS Alternativo). The results are also expected to serve to identify areas and places to further strengthen the fight against human trafficking in Peru, and be useful for the United States Agency for International Development (USAID) in the design of future interventions, as well as for international cooperation agencies, the Government of Peru, and justice operators, among others.

**Evaluation Objectives**

- a) Analyze and evaluate the relevance of the objectives and project strategies in terms of national, regional, and local government policies and institutional capacity, as well as the target population
- b) Evaluate and assess the results project achieved
- c) Analyze the project coordination and complementarity with other interventions that receive funding from the U.S. Government
- d) Evaluate sustainability of the results achieved
- e) Identify the lessons learned and provide recommendations to improve the project

## EVALUATION QUESTIONS

The questions that guided the evaluation were:

QUESTION	SUB-QUESTION
1. How appropriate are the changes in the project design to address the identified problems and opportunities?	<ul style="list-style-type: none"> <li>1.1 To what extent do the approach and strategies used facilitate or hinder the achievement of its objectives?</li> <li>1.2 How relevant are the activities developed to address the needs or priorities of the trafficking in persons (TIP) in Peru, in terms of national, regional, and local government policies and institutional capacity?</li> <li>1.3 What strategies can be improved or supplemented to be more effective in preventing TIP?</li> <li>1.4 What strategies can be improved or supplemented to be more effective in protecting and restoring the rights of trafficked persons?</li> </ul>
2. Which results has the project achieved?	<ul style="list-style-type: none"> <li>2.1 How much of the evidence the project generated has been used in public policy decision making?</li> <li>2.2 What is the progress in strengthening government’s capacity for identifying, prosecuting, and trial of human trafficking cases, and policy development?</li> <li>2.3 What is the progress in building the capacity of government shelters to care for victims of human trafficking?</li> <li>2.4 What is the progress in implementing the human trafficking prevention strategy?</li> <li>2.5 What is the progress in protecting and restoring rights of human trafficking victims?</li> <li>2.6 What are the obstacles to further progress?</li> </ul>

QUESTION	SUB-QUESTION
3.	How does the project relate to other anti-trafficking interventions the U.S. Government supports?
4.	What elements of sustainability are being worked on at the national and local levels?
5.	What lessons learned and best practices can be identified?

## PROJECT BACKGROUND

Since 2014, CHS Alternativo has been implementing the *Human Trafficking in the Peruvian Amazon* project (hereinafter, CHS/USAID) under the Agreement AID-527-A-14-00004. The 2014 program description gives an account of the situation of human trafficking in the country and notes that the lack of an appropriate response to this issue is attributable to the following reasons: (1) lack of government presence in areas where crimes related to TIP occur and the challenges brought about by organized crime networks; (2) the failure of the Peruvian government to allocate funds to support the implementation of TIP policies, which translates into a lack of political will to address the issue; and (3) poor capacity of civil society to influence the public agenda or promote the issue of TIP as a government priority. The situation described above provides the basis for intervention from the outset.

The CHS agreement with USAID, signed in 2014, had six amendments to extend the implementation period and increase the budget. The latest amendment to the agreement, made in August 2018, states the following objective: “To contribute to reducing the incidence of TIP in Peru through targeted policies and advocacy work.” The agreement also includes the change in goals and a new strategy to prevent TIP. *Exhibit 1* shows the main changes to the agreement.

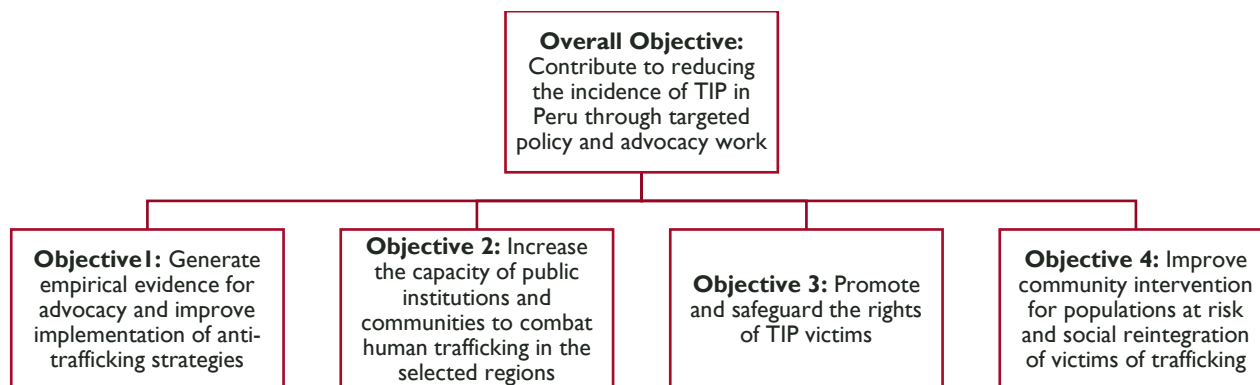
Exhibit 1. Project objectives based on the agreement and its amendments

<b>AGREEMENT</b>	<b>AMENDMENT 2</b>	<b>AMENDMENT 6</b>
<b>IMPLEMENTATION PERIOD:</b> 07/21/14 TO 03/21/16	<b>IMPLEMENTATION PERIOD:</b> 07/21/14 TO 06/21/18	<b>IMPLEMENTATION PERIOD:</b> 07/21/14 TO 06/30/2020
<b>SIGNED:</b> JULY 2014	<b>SIGNED:</b> JUNE 2016	<b>SIGNED:</b> AUGUST 2018
<b>BUDGET:</b> US\$ 315,000	<b>BUDGET:</b> US\$ 1,102,500	<b>BUDGET:</b> US\$ 1,821,850
<b>USAID:</b> \$300,000	<b>USAID:</b> \$1,050,000	<b>USAID:</b> \$1,700,000
<b>CHS:</b> \$15,000	<b>CHS:</b> \$52,500	<b>CHS:</b> \$121,850
<b>Purpose</b> To contribute to reducing the incidence of human trafficking through targeted policy and advocacy work and direct assistance to victims	<b>Purpose</b> To consolidate a more effective response against human trafficking in Peru, with emphasis on the regions with the highest incidence of this crime (Cusco, Lima, Loreto, and Madre de Dios)	<b>Purpose</b> To contribute to reducing incidence of TIP in Peru through targeted policies and advocacy work
<b>Objective 1</b> To increase understanding of trafficking routes and risks of TIP in the Amazon Basin	<b>Component 1</b> To increase understanding of trafficking routes and risks of TIP in the Amazon Basin	<b>Objective 1</b> To generate empirical evidence for advocacy and improve implementation of anti-trafficking strategies

<b>AGREEMENT</b> <b>IMPLEMENTATION PERIOD:</b> 07/21/14 TO 03/21/16 <b>SIGNED: JULY 2014</b> <b>BUDGET: US\$ 315,000</b> <b>USAID: \$300,000</b> <b>CHS: \$15,000</b>	<b>AMENDMENT 2</b> <b>IMPLEMENTATION PERIOD:</b> 07/21/14 TO 06/21/18 <b>SIGNED: JUNE 2016</b> <b>BUDGET: US\$ 1,102,500</b> <b>USAID: \$1,050,000</b> <b>CHS: \$52,500</b>	<b>AMENDMENT 6</b> <b>IMPLEMENTATION PERIOD:</b> 07/21/14 TO 06/30/2020 <b>SIGNED: AUGUST 2018</b> <b>BUDGET: US\$ 1,821,850</b> <b>USAID: \$1,700,000</b> <b>CHS: \$121,850</b>
<b>Objective 2</b> To establish TIP as a priority issue in the political agenda of the Government of Peru (GOP), as evidence of the improvement in the implementation of the GOP strategies against human trafficking	<b>Component 2</b> Increased capacity of public institutions and target communities to combat TIP in selected regions	<b>Objective 2</b> To increase the capacity of public institutions and communities to combat TIP in the selected regions
<b>Objective 3</b> To increase the capacity of two shelters to provide appropriate services for TIP victims	<b>Component 3</b> Promoted and protected rights of trafficked persons	<b>Objective 3</b> To promote and protect the rights of TIP victims
<b>Objective 4</b> To promote and safeguard the rights of TIP victims in Cusco, Lima, Loreto, and Madre de Dios	<b>Component 4</b> A community intervention model developed for populations at risk and victims of trafficking in Loreto	<b>Objective 4</b> To improve community intervention for populations at risk and the social reintegration of victims of trafficking

Project objectives, as set out in Amendment 6 to the Agreement for the 2018–2020 period, are shown in *Exhibit 2*. The scope of intervention is Arequipa, Cusco, Lima, Loreto, Madre de Dios, and Puno.

Exhibit 2. Project objectives



# EVALUATION METHODS AND LIMITATIONS

The evaluation covered the implementation period from June 2016 to June 2019, and the areas of Cusco, Lima, Loreto, and Madre de Dios.

## DATA COLLECTION TECHNIQUES AND INSTRUMENTS

The evaluation was predominantly qualitative in nature, and specific methods were used to meet the objectives and answer the evaluation questions. The analysis was carried through information source triangulation and the following data collection techniques: participatory workshops, individual and group interviews, direct observation with field visits, and document review. Triangulation resulted in convergence patterns that provided a global interpretation of the project, following the established questions. The qualitative techniques developed are (*Annex D*: has the applied data collection tools):

- **Direct Observation.** The evaluation team visited Residential Care Centers (CARs) in Cusco, Iquitos, and Madre de Dios (three public and one private) to observe the infrastructure and check the organizational dynamics, and homes of the victim's families (one in Callao and another in Loreto). They also conducted non-specialist observation in workshops and meetings of Citizen Oversight Committees and other stakeholders in Cusco and Madre de Dios.
- **Participatory Workshops.** There were two workshops in Lima with USAID's project technical team: (1) on January 6, 2020, which allowed for the review and understanding of the project's intervention logic, and (2) on February 20, 2020, to co-create recommendations.
- **Document Review.** The team discussed basic project documents, such as the technical proposal (description of the project and its amendments), the planning framework (objectives and indicators), and implementation reports. They also reviewed secondary information on the subject of TIP at both the national and regional levels, statistics, regulations, and studies carried out in recent years, including those published by CHS Alternativo. This analysis made it possible to:
  - Provide an account of the context the project is developed in
  - Analyze the project's relevance to and influence on national and local policies
  - Analyze the validity of models and intervention approaches
- **In-Depth Interviews.** The team carried out the in-depth interviews in all four project intervention zones and with all stakeholder groups based on an intentional sample. The idea was to collect qualitative information on perceptions and opinions about the relevance of the project, the needs of trafficked persons, the progress of the different components, the obstacles to project implementation, and aspects of sustainability.

The interviews were conducted individually or in groups. Victim interviews were conducted in strict confidentiality and safety with informed consent, based on EnCompass' monitoring and a protocol CHS Alternativo provided.
- **Group Interviews:** Interviews were conducted with the project's technical staff in Cusco, Iquitos, Lima, and Madre de Dios on two occasions: at the beginning and end of the field visits, during which quick feedback was given on the findings. A group interview was held with victims in Cusco, at the time of visiting a CAR. These interviews provided qualitative information about the

perception of the project’s development, its strengths and weaknesses, and the beneficiaries’ views on strategies for the prevention of human trafficking and the promotion and restoration of rights.

## SAMPLE

The sampling was qualitative—targeted and aimed at addressing emerging issues document review did not cover or supplement. Sample selection criteria included stakeholders’ accessibility, knowledge, and experience with the issues to be addressed. A total of 105 people were interviewed.

Exhibit 3. Number of persons interviewed by region and institution

STAKEHOLDERS	LORETO	MADRE DE DIOS	CUSCO	LIMA	TOTAL	NOTES
Ministries	5	6	4	11	26	2 of the interviewees from Loreto were from educational institutions
Judiciary	2	1	3	2	8	
Attorney General’s Office	-	3	1	1	5	
Ombudsman’s Office	1	1	1	1	4	
Regional Government – Local Government (Social Development Management, Citizen Security Management)	2	3	8	-	13	6 interviewees were representatives of regional governments and 7 were from local governments
Residential Reception Center	1	1	2	-	4	
Legal and Psychosocial Support Center **	3	1	2	1	7	
Citizen Oversight Committees/Civil Society	3	4	5	5	17	The interviews with the 2 representatives of the ILO project have been considered in the Lima figure
Victims of trafficking	2	-	7 *	2	11	
Families of victims *	2	-	-	-	2	
Members of CHS teams *	4	3	3	5	15	
<b>Total</b>	<b>25</b>	<b>23</b>	<b>29</b>	<b>28</b>	<b>105</b>	

Note: \*Group interviews \*\*They are not counted in the total, because they are already included in CHS teams.

## STRENGTHS AND LIMITATIONS

The main strength of the evaluation was the methodology applied. Many stakeholders involved in project implementation were interviewed (target groups of public institutions, media, community, parents, victims of trafficking, etc.). In other words, the evaluation took a sample of people with proven experience of having participated in the activities of the *Human Trafficking in the Peruvian Amazon* project in all intervention areas. This provided first-hand elements, because it was based on the views and assessments of the participating stakeholders. Another strength was the access to a wealth of research and studies the project carried out.



The main limitation of the evaluation was the restricted access to the families of trafficked persons to understand the changes in the lives of these people after reintegration and the obstacles to achieving them. Only two mothers in Iquitos and three victims with businesses were interviewed. For secondary sources, one limitation was not having information on changes or results related to the CHS/USAID project. Regular reports CHS provided to USAID, as stipulated in the agreement, are limited to completion of activities—they are at the product level and not at the outcome level (knowledge, use, adoption, etc.) per the USAID-approved Monitoring and Evaluation Plan. However, interviews partly bridged this gap in the project’s direct sources.

## CONTEXT

This section addresses some key elements of TIP in Peru to understand the definition and structural causes of human trafficking, as well as the progress and outstanding challenges in the area of public policy. These elements illustrate the context in which CHS/USAID project is implemented, so that the results of the assessment can be properly contextualized.

The following is a definition of TIP:

*“Trafficking in persons shall mean the recruitment, transportation, transfer, harboring or receipt of persons by means of threats or use of force or other forms of coercion, of abduction, of fraud, of deception, of the abuse of power or of a position of vulnerability or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purpose of exploitation. Exploitation shall include, at a minimum, the exploitation of the prostitution of others or other forms of sexual exploitation, forced labor or services, slavery or practices similar to slavery, servitude or the removal of organs...” – United Nations 2000, Article 3(a).*

However, to understand the features of human trafficking, it should be clear that it is rooted in structural aspects of the society, culture, and institutions, including various vulnerability factors that contribute to its existence (SASE 2018 and CHS 2019):

- (a) **Supply factors:** lack of information, structural poverty, human poverty (emotional ties and fragility), family dysfunction, nature of the labor market (informality and few opportunities), ethnic background, family and sexual violence, and tolerance of exploitation
- (b) **Demand factors:** productive structure outside the law, the existence of criminal networks, double standards, the use and abuse of people, the existence of cultural patterns that stigmatize the role of women in society, and domination and lack of equity, among others
- (c) **Institutional and contextual factors:** institutional corruption, the existence (or nonexistence) of institutions to combat trafficking in a coordinated and articulated manner; lack of public budget at national, regional, and local levels to combat trafficking; impunity and lack of sanctions; and few public experiences of coordinated work placing people at the center, among others

In the process of human trafficking, places of recruitment, transfer, and destination are identified, and victims are uprooted to be easily exploited in distant places. Regarding the sex of the victim, all the sectoral and regional statistics show that the majority of victims are women and minors.

Peru is regarded as a country of origin, transfer, and destination of men, women, and children who are victims of human trafficking. According to the Public Prosecutor's Office, from 2012 to 2018, a total of 6,589 cases of human trafficking were reported. In 2018, 1,355 cases were recorded (National Institute of Statistics and Informatics [INEI] 2019). In 2018, Lima, Loreto, Madre de Dios, and Puno were the prosecutorial districts with the highest number of complaints of human trafficking (INEI 2019). Most complaints of trafficking reported to the Peruvian National Police in 2019 were for sexual exploitation (72.1 percent), followed by labor exploitation (26.3 percent), forced labor, and the sale of children (both 1.6 percent) (INEI 2019).

Even though the crime and social phenomenon of human trafficking is longstanding in Peru, public policy addressed it only relatively recently. Since Peru ratified the Palermo Protocol (January 23, 2002) and its entry into force on December 25, 2003, there has been steady progress in the adoption of policy measures and legal adaptation throughout the decade and up to 2019,<sup>1</sup> including the period of this evaluation. However, due to the scale and invisibility of the phenomenon—which exists virtually throughout the country, although with greater emphasis on Lima with 30.1 percent of the cases reported, Loreto (10.3 percent), Callao (7.6 percent), Madre de Dios (6.3 percent), and Cusco (5.6 percent)—the efforts can still be considered insufficient (Ministry of the Interior [MININTER] 2017).

Below are some of the main achievements and challenges in the implementation of public policies to address human trafficking, which are related to the design and development of the CHS/USAID project.

Peru has a *National Plan of Action against Human Trafficking (PNAT) 2017–2021*<sup>2</sup> that is coordinated, monitored, and assessed for compliance by the MININTER, and run by the Technical Secretariat of the Multisectoral Commission against Human Trafficking and Smuggling of Migrants, which includes representatives of the key sectors and civil society. CHS is a member of this body.

Regional Multisectoral Commissions exist and involve representatives of regional public institutions and the civil society. They are located specifically in the areas of USAID/CHS project's intervention (Cusco, Loreto, and Madre de Dios). The working groups have drafted regional and local plans against TIP.

It should be noted that national and regional inter-institutional working groups operate simultaneously. The working groups focus on gender equality, combating domestic violence, and promoting children's and women's rights. The integration of these working groups on a thematic, partial, or temporary basis according to complementary or cross-cutting issues is a challenge, because there is evidence of a decline in the functioning of these arrangements, as expressed by the authorities in the context of this evaluation.

The Standing Committee promoted the drafting of the *Intersectoral Protocol for the Prevention and Prosecution of Crime and the Protection, Care, and Reintegration of Victims of Trafficking in Persons*, approved by Executive Order 005-2016-IN. This protocol regulates the coordinated and joint work of national and regional institutions operating in this field. Training on the protocol for public officials and effective institutional coordination remain a challenge.

It is important to note that Peru, as a signatory of the Palermo Protocol, has adapted legislation and protocols for action in relevant institutions, as shown in *Exhibit 4*. Thus, in 2007, it approved Act 28950,

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<sup>1</sup> See Exhibit 4.

<sup>2</sup> The first plan included a temporary validity between 2011 and 2016.

the *Act against Trafficking in Persons and Smuggling of Migrants*, which was subsequently amended by Act 30251 in 2014. These pose a major challenge both for the production of specific materials on the subject and the ongoing training of judges, prosecutors, and operators of legal and psychological services.

The CHS/USAID project takes into consideration the lines of action of the 2017–2021 PNAT and the aforementioned challenges related to deepening the prevention of trafficking through support to civil society, training, and continuous updating of service operators in relation to inter- and intra-institutional action protocols. The evolution of the trafficking phenomenon presented in *Exhibit 4* shows how the project responds to the needs of the relevant institutions to implement the mechanisms and policy guidelines developed in the 2016–2019 period.

The following findings regarding the TIP context in Peru were identified during the fieldwork for this evaluation:

- (1) Practically all of Peru is subject to the phenomenon of trafficking, which has recently become more pronounced in the northern region, especially in Cajamarca, La Libertad, Piura, and Tumbes, due to the presence of organized crime, illegal labor activities, migration, and so on.
- (2) The fact that police operations are concentrated in hotels, bars, and so on, where there is sexual exploitation, results in the greater number of female victims. This does not necessarily mean that the majority of victims are women, because the number of identified male victims could increase if operations were to intensify in labor exploitation spaces and areas (lumber, illegal mining, fishing, mechanical establishments, etc.).
- (3) With regards to the status of the institutionalization of trafficking in public policies, the high turnover of personnel per year is a factor that affects the speed of adoption of action protocols, among others. For example, staff at CARs were found to shift three to four times a year due to the type of contract they have.
- (4) Regarding victim's reintegration, few public programs were found to follow up and accompany the families of victims of trafficking during reintegration.
- (5) In terms of the prosecution and punishment of the crime and its modalities, no follow-up systems were found in public bodies with jurisdiction over the issue of trafficking.

These and other contextual factors will be shown in the following sections with findings regarding the design, results, and sustainability of the CHS/USAID project.

Exhibit 4. Timeline of the approach to trafficking in Peru and the actions of the CHS/USAID project

	2002–2010	2011–2014	2015–2016	2017	2018	2019
<b>GOVERNMENT</b>	<ul style="list-style-type: none"> <li>- 2008 approval of the regulation of Law 28950 against TIP DS 7-2008-IN</li> <li>- 2008 creation of the Division against TIP – National Police of Peru (PNP)</li> <li>- 2008 The first TIP commission in Congress</li> <li>- 2007 approval of Act 28950, Act against TIP</li> <li>- 2002 Peru ratifies the Palermo Protocol</li> </ul>	<ul style="list-style-type: none"> <li>- 2014 creation of the First Specialized Prosecutor’s Office against TIP (Lima)</li> <li>- 2011 approval of the First National Plan against TIP (2011–2016)</li> </ul>	<ul style="list-style-type: none"> <li>- 2016 approval of new intersectoral protocol</li> <li>- 2016 approval of new regulations for the Anti-Trafficking Act</li> <li>- 2015 creation of the Multi-Sectoral Commission against TIP</li> <li>- 2015 implementation of specialized trafficking prosecutors’ offices in Callao, Cusco, Lima, Loreto, Madre de Dios, Tacna, Tumbes, and Puno</li> </ul>	<ul style="list-style-type: none"> <li>- Approval of the Second National Action Plan against TIP (2017–2021)</li> </ul>	<ul style="list-style-type: none"> <li>- Approval of the Protocol of the Public Prosecutor’s Office for certifying vulnerability and addressing cases</li> <li>- Approval of the Regulations of Act 1297 and Risk Assessment Table</li> </ul>	<ul style="list-style-type: none"> <li>- Supreme Decree (SD) approving the Individual Reintegration Plan – Ministry of Women and Vulnerable Populations (MIMP) Development Guide</li> <li>- Act amending the Criminal Code, on penalties for the sexual and commercial exploitation of boy, girls, and adolescents (ESCNNA) crime and related offences</li> <li>- Act for the strengthening of temporary shelter spaces for victims of TIP and ESCNNA</li> </ul>
<b>CHS</b>	<ul style="list-style-type: none"> <li>- CHS 2004–2005 Creation and formalization of the Reta System in the PNP</li> <li>- 2008 creation of the Mirada Ciudadana oversight committee</li> <li>- 2009 creation of CALP</li> <li>- 2009 First Stocktaking on TIP, regional discussions</li> <li>- 2010 Second Stocktaking, with Ombudsman’s Office</li> <li>- 2010 implementation of four regional oversight committees</li> </ul>	<ul style="list-style-type: none"> <li>- CHS 2013 First Alternative Report</li> <li>- 2014 Second Alternative Report</li> <li>- 2014 Start of the <i>Trafficking in persons in the Peruvian Amazon</i> project, Agreement AID-527-A-14-00004</li> </ul>	<ul style="list-style-type: none"> <li>- 2015 III Alternative Report; 2016 IV Alternative Report</li> <li>- 2016 Technical Assistance to the Multisectoral Commission against TIP</li> <li>- 2016 capacity building for justice and CAR operators CALP in Loreto</li> <li>- Advocacy at GORE, Congress of the Republic; 2016 approval of guidelines and protocols for services and reintegration: CAR, MINSA, MIMP</li> <li>- 2016 signing of project extension to June 2018</li> </ul>	<ul style="list-style-type: none"> <li>- V Alternative Report</li> <li>- In Cusco, a PIP is being implemented, and profiles have been prepared and delivered in Loreto and Madre de Dios</li> <li>- AT a Multisectoral Commission, GORE</li> <li>- Capacity building for justice workers</li> <li>- IV Southern macro-regional meeting</li> </ul>	<ul style="list-style-type: none"> <li>- CHS-CALP team and office in Cusco are established</li> <li>- Project term expanded to June 2020</li> <li>- Adjustments are made to the objectives</li> </ul>	<ul style="list-style-type: none"> <li>- CHS team and office established in Madre de Dios. No CALP team</li> </ul>

# FINDINGS

## DESIGN

**Evaluation question:**

1. *How appropriate are the changes in the project design to address the identified issues and opportunities?*

**Summary of findings:**

- *The changes to the project design were appropriate for expanding victim reintegration interventions. The changes involved including a component on evidence generation and another on “improving community intervention for at-risk populations and the social reintegration of victims of trafficking.”*
- *Given the complexity of trafficking in persons, and the fact it is a multi-dimensional and largely unknown phenomenon, the project shows a diversity of intervention strategies to achieve the desired impact of reducing the incidence of trafficking in persons and the ability to coordinate interventions that are complementary to those of the PNAT, such as governance, prevention, prosecution of the crime, care, protection, and restoration of rights.*
- *The direct assistance strategy for victims and their families included in the project design, through an approach based on the needs of the victims at CALP, and the active methodology with the families (Iquitos case) are relevant.*

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**FINDING I:**            **The changes to the project design were appropriate for expanding victim reintegration interventions.**

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From 2014 to 2018, adjustments to the project design were evident in the amendments to the agreement (six in total; three made substantive changes to the objectives). The main changes made to the design involved including a component on generating evidence and another on “improving community intervention for populations at risk and the social reintegration of victims of human trafficking.” These amendments were intended to underpin components targeting the purpose of the project, such as helping to reduce occurrence of TIP and addressing reintegration as a critical aspect.

The changes made to the agreement include the following:

- (i) The forms agreed upon with USAID do not include an explicit theory of change, nor a result chain or a logic model.
- (ii) Amendments to the agreement modified the indicators. Thus, in 2014, as requested by USAID, the design only included activity indicators. The latest modification (2018) included indicators for results, but not specific objectives (which would allow the effects to be observed over time). Impact indicators were not included either (they would allow for the reduction in the incidence of TIP as a result of the intervention to be observed).

It should be noted that after the approval of the Agreement, the CHS/USAID project developed a Monitoring and Evaluation Plan, which consists of 13 indicators aimed at measuring results, but no indicators for observing effects and impacts.

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**FINDING 2:** Given the complexity of trafficking in persons, and the fact it is a multi-dimensional and largely unknown phenomenon, the project shows a diversity of intervention strategies to achieve the desired impact of reducing the incidence of trafficking in persons and the ability to coordinate interventions that are complementary to those of PNAT, such as governance, prevention, prosecution of the crime, care, protection, and restoration of rights.

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The project develops strategies that are planned in its design: the generation of evidence for political and social advocacy, the strengthening of public policy against human trafficking, and direct assistance to victims and their families. These strategies are in line with the pillars of PNAT 2017–2021, which shows the feasibility of some processes, pending challenges and best practices. It should be noted that the CHS/USAID project is one of the few projects that addresses all areas of PNAT. For example, most projects nongovernmental organizations (NGOs) implement are mainly in the area of prevention—Yanapanakusun and Amauta in Cusco, Movimiento El Pozo in Lima, and PROMSEX in Lima and Madre de Dios.

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**FINDING 3:** Generating evidence is a relevant strategy in project design, because it guides political advocacy and public and private actions, and bridges a knowledge gap in the issue of human trafficking.

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The following quote illustrates this:

*“Thanks to CHS, we received important material to train the staff, an infographic that is very easy to understand.” (Cusco Municipality Official).*

Production of evidence has been important for regional, macro-regional, and border meetings, where information was reviewed to establish institutional commitments. The *Bureau Reports*, *Alternative Reports*, the *Routes of Human Trafficking*, *Good and Bad Practices*, *Victim Testimonials*, *Profile of Traffickers*, and others helped the public sector to consolidate dispersed information and analyze it in training events or with their peers in other regions.

Evidence is also used to produce materials for training (e.g., for justices of the peace), infographics for specific events, radio spots, and videos in Spanish, Quechua, and English. Other examples of the use of the material produced are the handbook *Vademecum*, the *Alternative Report*, *Good and Bad Practices*, testimonials, routes, and profiles of traffickers, which have made it possible to propose measures to improve government policies or inform decision makers about the scope of these policies.

Despite the fact that the “generating evidence for political advocacy” component was not designed with an explicit strategy for political advocacy, these actions are carried out on an ongoing basis, providing feedback to project and institutional strategies,<sup>3</sup> because this social phenomenon—although very old—is relatively recent in the approach to national public policies.

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<sup>3</sup> A *policy advocacy plan* represents a set of elements that define what is meant by advocacy, as well as the steps, objectives, activities, resources, stakeholders, and outcome indicators. All of these are used to organize actions,

For example, the publication of the *Handbook*, a study from the perspective of the victim and the networks of traffickers, was a success. Development of the *Alternative Report* and the reports of the national, regional (Loreto and Madre de Dios cases), and macro-regional meetings in the South, as well as border meetings, has had positive effects, because the conclusions show a set of actions and challenges to refine the intervention strategies, both for the project and public and private entities.

Gaps in the generation of evidence focus on cases of protection, reintegration, and restoration of rights of victims compared to other studies on the cultural factors of family and community, where there is more evidence.

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**FINDING 4:** Specialized technical assistance and active in-service training as strategies for strengthening public policy against trafficking in persons are a successful approach in project design.

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Both specialized technical assistance and training have been contextualized to each region. Technical assistance has been carried out within the framework of regional anti-trafficking plans. Training events were developed on a sector-by-sector basis (e.g., for trafficking prosecutors and for judges).

Another strategy developed is in-service training for service operators aimed at: (1) mentors from the CAR of the National Institute of Family Welfare (INABIF) to improve the way victims are assisted; (2) ombudsmen to clarify elements of the law and encourage defense; (3) prosecutors to learn about the law and the arguments for bringing trafficking cases, and so on. While the strategy is common to each justice operator, it is applied within the regional context. These variations are evident in the examples they use and the facilitators or teachers involved, who are either members of CHS or external contractors.

The capacity-building strategy does not include either identifying the institutional and personal competencies to be strengthened (empathy, knowing how to ask vs. question, how to deal with trauma, gender sensitivity, etc.) or systems for measuring the development of institutional capacity (level of coordination, referral of cases, etc.).

Technical assistance efforts leading to the development of PIP by the municipalities in Cusco have been innovative in terms of sustainability and the use of public resources for building of local capacity to deal with trafficking in the communities where victims are recruited. Within this framework, two PIP have been carried out in the district of Ccaccta Quispicanchi, one of which has been completed: *Creation of Protection Services against Recruitment and Trafficking in Persons in the District of Ccatcca, Province of Quispicanchi – Cusco*, and the other is in progress: *Creation of the School of Leadership and Entrepreneurship for Children and Adolescents in the District of Ccatcca, Province of Quispicanchi – Cusco.*

*“The state has money, but lacks the technical assistance to ensure that the infrastructure is directed towards human development objectives ... CHS is gaining importance because it is mainstreaming the issues of trafficking through the PIP into public investment. This should be in the investment agenda, with*

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visualize opportunities, learn about strategies, and identify the factors contributing to and hindering the achievement of the proposed objectives. For more information on policy advocacy plans, see: <https://www.cippecc.org/wp-content/uploads/2017/03/1730.pdf>



*more emphasis with big local governments, because there are resources”. (Official Regional Government of Cusco)*

*“We work closely with CHS. We have been involved in joint events that have generated a good impact. We have received a lot of training, not only in this department but [also] in others ... [training sessions] have been very useful, speakers were clear in their explanations. The specialist is the lawyer, I would like them to work a little more with her.” (Ombudsman of Madre de Dios)*

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**FINDING 5:** The project design’s strategy for direct assistance to victims and their families, which is implemented through an approach based on the needs of the victims at CALP and through the participatory methodology with the families (Iquitos case), is relevant.

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In is necessary to clarify CALP’s participation in the four areas of intervention: the CALP in Iquitos is the oldest, with a long and continuous operation characterized ongoing monitoring victims. The CALP in Lima is national in scope and places a strong emphasis on monitoring victims in demanding their rights from the authorities. In Cusco, the CALP is recent, barely 6 months old, and is implementing a model similar to that of Iquitos. In Madre de Dios, CALP follows the same strategy as in Cusco.

The CALP approach (Lima and Iquitos and soon Cusco<sup>4</sup>) is aimed at empowering the victims, because it triggers the emotional resources of the person, and directs them to plan their life and develop soft skills as basis for employability and entrepreneurship, as well as to rehabilitate the victim from the experiences they had. The personal nature of the approach makes the victim feel supported and encouraged, generating confidence in the system of protection and restoration of rights. A prior socioeconomic diagnosis of both the victim and their families is a successful approach.

The design does not include the self-care of the caregiver. Experience shows that the caregiver or service operator, when working with people in extreme situations or with trauma, can burn out and undergo stress with physical, psychological, and emotional consequences for the person being cared for and the caregiver.<sup>5</sup> The victim assistance strategy does not include a monitoring system focused on the personal empowerment of the victim, which could be useful to observe changes over time, given that the empowerment of the victim, on average, takes more than 2 to 3 years.

CALP does not replace (or attempt to replace) any public service and is not replicated in any institution. What CALP does is accompany the victim through the entire process of the Protection System with careful treatment, communication, needs assessment, and options for reintegration, as well as strategies for empowerment and so on.

*“I learned to love myself, not to listen to bad friends and to build my business and life plan.” (Victim of trafficking in Iquitos, Loreto)*

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<sup>4</sup> The CHS office in Madre de Dios is looking for professional psychologists. One limitation is that Universidad Nacional de Madre de Dios does not offer a psychology program. As a result, very few professionals in the region specialize in this field.

<sup>5</sup> The caregiver or service operator may be a CAR tutor, ombudsman, psychologist, or any person assisting people who are highly vulnerable and traumatized.

“What have I learned? To be more responsible to myself and to ignore my friends who lead me astray.”  
(Victim of trafficking in Cusco)

The relevance of direct aid to victims should be emphasized. For CHS Alternativo, this is one of the two distinctive project strategies, which has a direct impact on people affected by human trafficking. The level of impact can be addressed later, but the protection of rights and the immediate response to needs, listening to the voice of the victim, brings about changes in their status as victims.

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**FINDING 6:**            **Technical assistance aimed at the protection, reintegration, and restoration of victims’ rights is making progress.**

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The strategies the project developed for protecting and restoring victims’ rights are aimed at strengthening the capacities of justice operators and providing technical assistance to regional institutions. Two strategies have been identified—one has progressed and the other is just beginning: (1) preparation of case studies on reintegration, from the perspective of the victims and their families, in different cultural contexts, which need to be studied in greater depth; (2) preparation of mapping of existing resources in the regions, a significant tool for supporting the regional working groups and committees, which is not yet explicit. CHS Alternativo has been preparing a study on the views of victims and their families concerning government-supplied services.

The strategy of case studies was developed because it had been difficult for the project to find cases prosecuted by the judiciary due to the existing impunity when suspects are acquitted, or cases are dismissed. Case studies are used in the training of justice operators.

Justice operators interviewed stated that there were institutional arrangements that could be used with technical assistance, both external and internal, to improve court performance. For example, they mentioned the so-called *Jurisdictional Meetings of the Judicial Branch*, because they are binding. One such meeting was reportedly held in Lima, which produced these results, and the Judicial Branch in Cusco and Madre de Dios perceives them as important. Other interviewees mentioned a strategy for enhancing prosecution in the Public Prosecutor’s Office by training prosecutors in criminal investigation techniques to improve criminal proceedings. Likewise, those interviewed asked for greater emphasis on the treatment of the victim in the criminal proceedings to generate confidence instead of revictimization; the service operators stated that the victims deserted and did not wish to continue the process.

There were few institutional arrangements to assist victims over the age of 18 and few public programs aimed at reintegration of adult victims. This is a shortcoming of the government. CHS Alternativo has submitted to the MIMP a proposal for the care of adult victims of trafficking.

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**FINDING 7:**            **Regarding prevention, the inclusion of Citizen Oversight Committees and local stakeholder groups in the design of awareness-raising strategies is appropriate and has led to the mobilization various stakeholder groups in campaigns in Cusco, Iquitos, and Madre de Dios.**

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The project develops different prevention strategies relevant to the areas and groups they target:

- Involving Justices of the Peace and patrol members in preventive work in remote areas, where traffickers develop their recruitment strategies has been important. Justices of the Peace and patrol

members are close to the families and have an important role in limiting or modifying practices that jeopardize the safety of the most vulnerable members of communities, which makes them respected authorities.

- Mobilizing organized youth is a success because it has a future potential for peer work; the project uses appropriate communication language for this social group.
- Preventive work in educational institutions has been relevant and very active—for example, in Iquitos (fairs, workshops, posters for students) and Cusco (the project supports the provincial municipality and the judicial branches' *Access to Justice Program* to carry out these campaigns).

It is evident that prevention efforts aimed at Justices of the Peace, patrol members, young people, and the judiciary are carried out in both rural and urban recruitment areas, some of which are destination areas (e.g., the city of Cusco) or transit/destination areas (e.g., Iquitos). Prevention efforts tailored to the type of actor they target, which makes them relevant. However, there is no system in place to measure the level of knowledge or awareness achieved among the target population.

*“With CHS, we took part in awareness-raising campaigns against trafficking in the streets and squares. In 2016, we raised awareness among teachers and parents using a playful methodology ... In 2017, we worked on the training of teachers, we made a guide for teachers to hold the sessions during teaching hours and those sessions were monitored by CHS ... We also worked with young leaders to increase the impact on their peers. Information was given about trafficking and where to go. Two talent festivals on prevention of trafficking and sexual exploitation were also held ... The prospect [sic] for this 2020 [campaign] is for parents to become more active because they have an impact ... as well as with young leaders [sic]. (School principal at Iquitos, Loreto)*

## RESULTS ACHIEVED

### Evaluation question:

2. Which results has the project achieved?

### Summary of findings:

- *The project has made the greatest contributions in prevention, capacity building for the prosecution of crime, victim support and protection, and to a limited extent, reintegration. On the other hand, there is limited discussion on the profile of trafficking organizations to be used in crime prevention and prosecution. These pillars are in line with PNAT 2017–2021, and CHS is perhaps the only NGO that addresses all the pillars of CHS/USAID project's intervention.*

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**FINDING 8:** The project has made the greatest contributions in prevention, capacity building for the prosecution of crime, victim support and protection, and to a limited extent, reintegration.

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As mentioned earlier, the CHS/USAID project addresses these pillars, which are in line with PNAT 2017–2021. Consequently, CHS Alternativo is likely to be the only NGO that addresses all the components in its intervention. It should be noted that the budget for reintegration is lower than for other efforts, such as prevention or institutional strengthening.

The main achievements of the project can be summarized as follows:

- Significant contribution to the development and implementation of regional and national plans of action against trafficking.
- Progress in strengthening public institutional capacity, especially in the greater coordination, knowledge, use, and application of agreed standards and procedures.
- Awareness raising to change the attitude of wide sectors of society, such as communities, educational institutions, communicators, institutions, etc.
- Greater attention to and recovery of victims, through the CALP, to demonstrate that this service does not exist and is very much needed.
- Inclusion of gender considerations in all methodological designs and publications.
- Gradual approach to victim reintegration—an aspect poorly explored by the various public institutions and their services.

## EVIDENCE GENERATION

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**FINDING 9:** The project has generated a variety of relevant evidence for decision making, which has led to increased knowledge about trafficking and types of trafficking in institutions and the community, as well as the adoption and use of concepts, tools, and protocols for institutional and inter-institutional action at national, regional, and local levels.

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CHS Alternativo produced a lot of evidence, such as the *Handbook*, the testimonies of the victims and their families, and the *Alternative Reports*. All of these have been relevant and effective in improving advocacy strategies by identifying developments and challenges in addressing the issue. They have also been useful for service operators, because they can measure their achievements, setbacks, and challenges.

In terms of institutional action, interviewees have pointed out the protocols, guidelines, and reports that are used in training sessions. For example, the *Bureau Report of the Investigation on the Court Response to Cases of Trafficking in Persons at the National Level* generates recommendations to be incorporated into policies; the *Guide for the Action of the Ombudsmen* sets out a course and approach for ombudsmen's actions in cases of trafficking; the *Guide for the Care of Victims of Trafficking in Persons in Residential Care Centers for Children and Adolescents* prepared with the MIMP. All this has improved the institutions' efforts in combatting TIP and was appreciated by evaluation respondents.

*“CHS has been supporting training on trafficking prevention in border areas with judges from Ramón Castilla and Caballococha. Also, here on the road, I have received support for the training, with brochures and posters, which we use in the training.” (Judicial Branch Official, Loreto)*

Conversely, respondents mentioned little about the profile of trafficking organizations—information that can be used in crime prevention and prosecution strategies.

## CAPACITY BUILDING

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**FINDING 10:** The outcome of government capacity-building activities for identification, prosecution, and trial of cases of trafficking in persons, and development of public policies is evident in the adoption of knowledge and protocols, improved inter-institutional coordination, and support for the decentralization of interventions under the PNAT 2017–2021.

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While knowledge about the roles and responsibilities of each institution in addressing trafficking has improved, interview participants expressed that inter-institutional coordination remains a challenge. They stated that the public sector is more interested in what it should do, than in the person/victim process itself. Therefore, the victim-centered approach (ECV) that CHS/USAID has been developing, primarily in Iquitos and Lima, is valid. Nevertheless, given the ongoing personnel changes in public institutions and the current legal adjustments, capacity-building activities have needed to be repeated multiple times.

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**FINDING 11:** The project has contributed technical assistance and training for the design and development of regional plans against human trafficking in Cusco, Loreto, and Madre de Dios, as well as at the national level. It not only assists with the decentralization of the PNAT, but also with expanding commitments with authorities in border countries.

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In terms of decentralization of PNAT, CHS Alternativo’s technical assistance bolsters the commitment of regional institutions of Cusco, Loreto, and Madre de Dios, which have their respective regional plans. The project also provided technical assistance at the local level. In the case of Loreto, the project helped organize local roundtables against trafficking in the provinces of Alto Amazonas, Nauta, and Requena. In Cusco, local governments received support to address TIP through PIPs.

As a civil society organization, CHS Alternativo participates in roundtables and working groups, supplies materials, provides technical assistance for evaluating progress of plans (in Cusco, Loreto, and Madre de Dios), helps strengthen capacities by training officials or facilitating their participation in events specifically designed for this purpose.

With regards to the cooperation with authorities of border countries, the project promoted actions against international TIP. The authorities of Bolivia, Brazil, Colombia, Ecuador, and Peru have agreed on joint actions. Interaction between operators has been strengthened for improved global knowledge and coping. Following up on commitments made in these meetings has been a challenge.

*“I know CHS since 2018, in the times of the tri-border events. I understand that Iquitos is a place of transit in trafficking as well as a recruitment area; there are not many judicial cases. We worked with CHS to train judges and in macro-regional meetings with judges, once a year, where deficiencies are seen. I really appreciate these spaces. We see deficiencies in the application of the law. It is necessary to work on the definition of the crime; the constant updating of laws requires permanent training.” (Judiciary Official, Loreto)*

*“Training at CHS is very good because it involves the listener who becomes aware ... I would recommend that labor trafficking, forced labor, the sale and purchase of children, and irregular adoption also be addressed; it happens in the communities ... I deal with several cases of forced labor; people accept to work under any condition out of necessity.” (Ombudsman Office, Cusco)*

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**FINDING 12:** The project has enhanced knowledge of trafficking and how to deal with victims in times of crisis for the staff of government shelters that provide care for victims of human trafficking—Residential Care Centers. It also provides support in equipment to improve interventions.

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There is evidence of capacity building for CAR personnel in Iquitos, one of the four the project serves. The interviewees at this institution valued the training of the mentors on how to approach victims of trafficking, especially to provide support in times of crisis. The development of the *Guide for the Care of Victims of Trafficking in the CAR* is relevant because it outlines a route for care, but complying with it is a challenge. High staff turnover (three to four times a year) requires continuous training.

*“CHS has provided a 4-day training in December 2019. The result of such [a] training is the work that is currently being done. For example, one of the residents suffered a crisis due to post traumatic stress. A 13-year-old teenager had generalized pain and had to be taken to the Emergency Center. The personnel was able to adequately address the case, understanding its origin and providing the corresponding care and support.” (Responsible for CAR, Iquitos).*

*“In Loreto, awareness of trafficking by citizens and authorities has increased. The Ombudsman Office does a lot of work in the provinces and in those places people are already identifying what trafficking is. There have been cases that allow taking [them] as an example to inform communities about human trafficking. There was a case of a young woman who left the community and returned very well dressed, which encouraged other young women. People were advised so as to understand that this was trafficking, and when it happened again, they gave notice to the Ombudsman Office and the police were called to intervene, ensuring that trafficking did not take place.” (Ombudsman Office, Loreto)*

## PREVENTION

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**FINDING 13:** The project has used various actions to implement the strategy for the prevention of trafficking in persons in all four intervention areas.

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The project has developed public communication campaigns (parades, marches, caravans, fairs, workshops, radio campaigns), promoted establishing of the Citizen Oversight Committees, sensitized youth organizations, and held mentoring events in educational institutions (especially Cusco and Iquitos).

In addition, the project has promoted the action of Lay Justices, especially in Cusco and Madre de Dios, which has been very important. In Loreto, working with this group is a challenge, because of the high cost of training due to great distances, although the focus of attention is in the regional capital, Iquitos.

Citizen Oversight Committees are local initiatives formed differently in each locality, but always with preexisting groups. Some national initiatives are also present, such as the Round Table for the Fight



against Poverty or *Interquorum* for young people. There has been increased participation of neighbors and social organizations in Madre de Dios; NGOs and social movements in Cusco (most of them local in scope); and social movements that participate are at the regional level in Loreto. The project developed citizen-oriented prevention at the local level, reaching families and social groups such as young people and university students.

As part of the prevention strategy, the project has promoted the approval of ordinances to regulate river transport of minors, identified as a risk for the transport of victims. It has been observed that river companies require reiteration of the commitment to make the measures sustained and permanent. Authorities still poorly supervise compliance with measures to prevent the transfer of minors without approval or investigation of why and where they are going. Likewise, the local governments in recruitment districts, especially Cusco, have allocated specific funds for prevention activities through the approval of PIP to respond to TIP at the community level.

*“Prevention is done through the national commission of access to justice of the Superior Court of the Judiciary; they travel to the province to reinforce awareness, especially in innocent people who fall for false promises of employment. We organize fairs in schools and in the community, CHS provides support, especially in Caballococha, a district that now has a budget for trafficking.” (Judicial Branch Official, Loreto)*

In the various areas of project implementation, both urban and rural, people who participated in activities are aware of what human trafficking is and its deceptive recruitment mechanisms.

In the 2019 campaign called *Don't turn your back on me*, the CHS/USAID project presented radio soap operas and a web video game. The project has a concept for context-oriented communication products, but they are not specified under a larger strategy that takes into account the type of expected impact (generation of new knowledge, practices, or behavior changes) and its relationship with strategic allies (which types of media) to maximize impact. However, the scope of the project does not distinguish between prevention strategy for urban and rural areas, nor has it identified which prevention efforts have greater effect than others (whether through media in educational institutions or others) or are more sustainable. Specifically, given that the project has limited personnel and resources in each of the intervention regions, priorities have been set based on demand, opportunity, budget, component, and availability of personnel.

*“Actions are carried out for prevention and promotion. We work with teachers; they talk about trafficking to students. The peasant rounds, the advocates supporters ... We have more than 100 young people (11-19 years old) who come to work on self-esteem, leadership, formation of youth groups.” (Municipality Official, Cusco)*



## PROTECTION AND RESTITUTION OF RIGHTS

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**FINDING 14:** Authorities' and service operators' knowledge and management of trafficking has been improved; the activities have generated diverse and relevant evidence in the increased adoption and use of concepts and processes to address cases of trafficking for sexual exploitation, and to a lesser extent, labor trafficking and other forms.

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Technical support to the regional and local roundtables has resulted in making the issue visible, the authorities' commitment to fight the crime and provide protection services to victims (to a lesser extent in the regional government of Madre de Dios), and the exchange of knowledge.

A commitment to combatting TIP is evident in the judiciary and the Public Ministry in Lima, as well as the regions of Cusco, Loreto, and Madre de Dios. The commitment has increased and there is interest in continuing to deepen it and develop appropriate capacities. The Special Protection Units (UPE) and CARs have improved their capabilities to tackle human trafficking, but the continuous change of personnel and authorities affects sustainability of achievements.

*“Provincial Roundtables have been created for the Trafficking issue. This formation of roundtables has resulted in more timely care for the rescued victims because all the actors are in communication. The Tripartite Roundtable, in the Tri-Border (Peru, Colombia and Brazil) has considered coordinated actions of the Police and Prosecutors of the 3 countries.” (representative of the Round Table for the Fight against Poverty, MCLCP, Loreto)*

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**FINDING 15:** CHS Alternativo has a single integrated care model for victims of trafficking, which includes an automated system for recording and monitoring cases.

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As mentioned earlier in this report, CALP focus on the empowerment of victims, representing a unique care model in the country, given that the government services for victims of trafficking (i.e., CAR) are in early stages of development.

CALP has SISCALP—a system for registering cases CALP works on, which allows for monitoring victims' care and reintegration trajectory. Likewise, the information collected enables greater generation of knowledge regarding advocacy for combatting TIP with national and regional authorities.

## OBSTACLES

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**FINDING 16:** Internal and external obstacles to the project prevent greater achievement of results in the different components.

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### INTERNAL OBSTACLES

- The absence of a theory of change prevents verifying the chain of contribution or attribution of project activities to results.

- As stated in Finding I *above*, although the CHS/USAD project has a monitoring plan, which does not include indicators that allow observing the effects, nor contains information that allows identifying the most effective actions, for example:
  - Changes in the competences of people who participate in training or technical assistance developed by the project
  - Perspectives and needs of victims of trafficking and their families, as well as the process of victim empowerment
  - Changes in people as a result of preventive actions
  - Identification of the most effective prevention actions according to rural or urban area, and recruitment areas or destination, among others

## EXTERNAL OBSTACLES

- Absence or poor data from the information systems on trafficking and victims in responsible public institutions results in lack of information on how much the population knows about TIP. The sector systems do not provide information on the real situation of victims after the rescue or complaints. There is no single system on trafficking that allows all responsible institutions to share updated information to determine where in the process problems arise, how to avoid desertion in continuing to file complaints, how to strengthen victims, and so on.
- In prevention actions in media and community, absence of consolidated reports on the results of public and private entities' actions to the Multisectoral Commission eliminates information on how many people were reached with messages to quantify the scope, coverage, and knowledge achieved. In addition, the *National survey to measure the population's knowledge of government services and the perception of the crime of trafficking*, provided for in PNAT, has not yet been carried out.
- Excessive public sector personnel turnover, especially in the ministries and their front-line service operator vis-à-vis the victims, hinders stability in relationships. For example, temporary contracts for CAR personnel generate a high turnover that affects the stability of the bond with the adolescents for whom they are responsible. Further, the (closed) CAR system makes the victim feel, in a sense, punished rather than protected. These factors could hinder the project's support for victims.
- There is a lack of true *humanization* in the service operators' treatment of victims of trafficking, especially in interviews that could frighten them and make them abandon the proceedings before the end. Consequently, the project's efforts to increase complaints and sustain processes leading to the restitution of rights may be affected.
- A culture of fulfilling *my role* rather than effective coordination in public institutions hinders operations. This is demonstrated, among others, in the lack of a single system on victims of trafficking and mapping of resources at the national and regional levels, because information is not shared. Therefore, options for a real coordination are reduced, which diminishing the effects of training provided by the project.
- Poor effectiveness of the institutional network for the protection and restitution of rights does not guarantee the reintegration process. CALP is the only pertinent service that accompanies victims in their empowerment process to produce a healthy family reunion and reintegration. However, it is a subsidized service and its sustainability warrants research, given the relevance of its existence.
- Poor coordination of cooperation and other public projects (employment, agriculture, and environment) with the trafficking response impedes young people's access to opportunities for

development in their native areas, entrepreneurship, and improved productive capacity. For example, the requirements of job banks do not consider the profile of the victim of trafficking and cooperation, and public projects do not envisage the problem in their areas of intervention. This prevents the victims the project supports from accessing the job banks.

## RELATIONSHIP WITH OTHER INTERVENTIONS

### Evaluation question:

3. *What is the relationship of the activity with other anti-trafficking interventions that receive U.S. Government's support?*

### Summary of findings:

- *The United against human trafficking. Partnerships in Action to End Child Trafficking in Peru project, funded by the Department of State and the International Labour Organization, is complementary to the Human Trafficking in the Peruvian Amazon project, even though they share the same scope of interventions and partners.*

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**FINDING 17:** *The United against human trafficking. Partnerships in Action to End Child Trafficking in Peru project, funded by the Department of State and the International Labour Organization, is complementary to the Human Trafficking in the Peruvian Amazon project, even though they share the same scope of interventions and partners.*

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CHS Alternativo is careful in planning activities, given the differences in the source of financing, so as not to duplicate but to complement them. For example, the CHS/USAID project supports CAR on employability and soft skills. The project financed by U.S. Department of State (DOS) and International Labour Organization (ILO) (hereinafter, DOS/ILO) trains CAR personnel in the application of the ECV and supports them with equipment. The DOS/ILO project works with institutions that provide complementary services (health, education, work, transportation, inspection, etc.).

In Cusco, CHS Alternativo and Yanapanakusun (DOS/ILO) coordinate the referral of cases for temporary refuge and at the Inter-institutional Roundtable. However, they do not exchange information about the strategies they implement. In Iquitos and Madre de Dios, the DOS/ILO project provides equipment to CAR, and does not provide technical assistance to guardians or personnel who work directly with victims.

DOS/ILO supports the Ministry of Health (MINSa) in implementing and supervising a mental health protocol for victims of trafficking through the Community Mental Health Centers, an aspect not considered in the CHS/USAID project; however, it has been coordinated with the project.

CHS Alternativo manages the two contributions and differentiates the origin of the funds in the planning by activity, but this evaluation has not analyzed the return or the personnel's level of effort and their financing. For more detail and evidence see *Exhibit 5* and *Exhibit 6*.

Exhibit 5. Relationship between the CHS/USAID and DOS/ILO projects

	<b>CHS/USAID PROJECT</b>	<b>USDOS/ILO PROJECT</b>
<b>Intervention Area</b>	Cusco, Lima, Loreto, Madre de Dios. Specific Activities in Arequipa and Puno.	Cusco, Lima, and Loreto
<b>Direct Population</b>	Justice and care service operators. National and sub-national government authorities. Civil society organizations. Minor and adult survivors, their families and citizen oversight committees.	Justice and care service operators. National and sub-national government authorities, institutions that provide complementary services (health, education, work, transportation, inspection, etc.)
<b>Indirect Population</b>	Population at risk: Children, adolescents, and adults from Cusco, Lima, Loreto, and Madre de Dios, including Arequipa and Puno.	Children, adolescents, and their families as victims of trafficking in Cusco, Lima, and Loreto; populations at risk; citizen oversight committees.

Source: Report author(s) based on information provided by CHS

Exhibit 6. Relationship between the CHS/USAID and DOS/ILO projects

ACTIONS	SECTORS	USAID	USDOS/ILO PROJECT
<b>Multisectoral Commission</b>	All member sectors, in Lima and regions	Technical assistance in the Annual Operation Plan and Evaluation of the Regional Commissions (in the four components of PNAT)	Technical assistance in the Annual Operation Plan and Evaluation of the Regional Commissions (in the PNAT focus of attention, protection and reintegration)
<b>Intersectoral Protocol</b>	All the sectors that make up the Multisectoral Commission in each region	Collection of information by institution in the three regions: Cusco, Lima, Loreto and Madre de Dios. Permanent technical assistance to implement and adapt to the regional reality in four regions.	Cabinet review of the Intersectoral Protocol (ECV, legislation, principles, processes). Protocol update process from the multisectoral Commission in three regions
<b>Training for justice operators and service providers</b>	Justice operators	Subjects: <ul style="list-style-type: none"> <li>• Case studies from jurisprudence</li> <li>• Case studies of good and bad practices</li> <li>• New legislation and its application in human trafficking processes</li> </ul>	Subjects: <ul style="list-style-type: none"> <li>• Workshop 1: ECV, DL 1297, Soft skills</li> <li>• Workshop 2: ECV application</li> </ul>
	Service operators	<ul style="list-style-type: none"> <li>• Private and State CAR of Cusco, Lima, Loreto, Madre de Dios, and Puno</li> <li>• Complementary service operators</li> <li>• Workshop 4: Case studies for the application of care strategies for victims of human trafficking</li> </ul>	<ul style="list-style-type: none"> <li>• State’s CAR: Cusco, Lima, and Loreto</li> <li>• Workshop 1: ECV, DL 1297, soft skills</li> <li>• Workshop 2: Experiential art workshops for CAR operators</li> <li>• Workshop 3: Trauma and crisis management</li> </ul>
	Municipal Ombudsmen for Children and Adolescents (DEMUNAS)	Its intervention is not a priority.	Trains the DEMUNAS as part of the DEMUNAS National Training Plan implemented by the MIMP
<b>PNAT implementation</b>		Prioritizes: <ul style="list-style-type: none"> <li>• Areas of governance, prevention, and persecution</li> <li>• Reports progress of the PNAT and findings for the Alternative Report</li> </ul>	Prioritizes: <ul style="list-style-type: none"> <li>• Focus of attention, protection, and reintegration</li> <li>• Budget expansion: influence from regional coordination spaces and government sectors</li> </ul>
<b>Strengthening of the UPE</b>	Operators	Individualized training is not a priority	<ul style="list-style-type: none"> <li>• Training actions in ECV, DL 1297, reintegration process, and soft skills</li> <li>• Technical assistance and bimonthly support</li> </ul>

<b>ACTIONS</b>	<b>SECTORS</b>	<b>USAID</b>	<b>USDOS/ILO PROJECT</b>
<b>PIP</b>	Regional governments, CAR, sectors	Cusco, Iquitos, Madre de Dios, and Puno for the prevention of TIP	<ul style="list-style-type: none"> <li>• Cusco: PIP for regional government, improvement of CAR Virgen de la Natividad to advance care and protection</li> </ul>
<b>CAR equipment</b>		<p>Spaces for the victims to be active (computer center and recreation spaces)</p> <ul style="list-style-type: none"> <li>• Cusco: Virgen de la Natividad</li> <li>• Puno: Virgen de Fátima</li> <li>• Lima: Gracias II</li> </ul>	Infrastructure improvement
<b>National and regional meetings</b>	Regional meetings	Macro Sur Interregional Meeting (Arequipa, Cusco, Madre de Dios, Puno): the fifth regional agenda articulation meeting against trafficking. It is organized by USAID and includes topics that are dealt with from the CPC (ECV, budget, vulnerability and reintegration). DOS supports facilitating the participation of the justice and services operators of Cusco and speakers of the focus of attention.	<ul style="list-style-type: none"> <li>• The Regional Meeting of Loreto was organized by CPC. USAID provided timely support</li> <li>• In 2020, DOS/ILO organized the sixth South Interregional Meeting in Cusco. USAID facilitates the participation of Arequipa, Madre de Dios, and Puno</li> </ul>
	National Meeting	It addresses all lines of action against human trafficking.	
	National Operators Meeting in Lima	Specialized meeting of national justice operators	National service operators Meeting (UPE, CAR, CEM, UDAVIT, DEMUNAS) to address issues of care and reintegration in coordination with the DGNNNA of MIMP.

ACTIONS	SECTORS	USAID	USDOS/ILO PROJECT
<p><b>Identification of trafficking for the purpose of forced labor</b></p>			<p>It is no longer included in the DOS project. DOS project focused on strengthening the government’s capacities (Ministry of Labor, Multisectoral Commission on forced labor, SUNAFIL, regional labor directorates, prosecutor offices, the judiciary, etc.) in the prevalence of forced labor. It had three objectives: (1) Integrating indicators for government institutions to operationalize—aligning them to the criteria for identifying, registering, and systematizing forced labor; (2) Developing a system to register forced labor cases (instruments to measure, train public officials, barriers, etc.); and (3) Generating an alert system for cases of forced labor from civil society and workers' organizations to promote complaints.</p>

Source: Own preparation based on information provided by CHS



# SUSTAINABILITY

## Evaluation question:

4. *What sustainability elements are being applied at the national and local levels?*

## Summary of findings:

- *CHS Alternativo has worked on different elements of sustainability, especially in the development of capacities, the preparation of protocols, and guides for the institutionalization of the subject of human trafficking in the knowledge and processes of relevant entities.*

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**FINDING 18:** CHS Alternativo has worked on different elements of sustainability, especially the development of capacities and protocols, and guides for the institutionalization of the subject of human trafficking in the knowledge and processes of relevant entities.

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The strategy the project developed to strengthen the capacity of competent institutions, building and providing internal action protocols and guides, lays the foundation for sustainability because it influences people and processes to adopt appropriate practices against human trafficking. An example of this is the development of protocols for the CARs with the MIMP and those for the Ombudsman Office prepared with the Ministry of Justice.

The training of officials under the “in-service training” (face-to-face or virtual) component is a sustainability aspect in the actions of justice operators, because it points directly to issues of rapid updating due to continuous changes in the legislation.

A factor supporting sustainability is the placement of human trafficking in regional and local policies, as seen in the adoption of commitments, protocols, and budgets in the regional and local governments, instead of the continuity of the plans that are effective until 2021. For example, at the municipal and regional level, the PIP is an instrument facilitating access of TIP into the recruitment communities and for prevention activities to be carried out through DEMUNAS.

In governance, the agreements signed during the macro regional and intraregional events, as well as the in tri-border region of Peru–Colombia–Brazil are a sustainability factor because they create awareness, agreements, and commitments.

Although CALP is relevant and an example of how cases have to be addressed, it does not yet have the element of sustainability, because it depends on external financing through projects; therefore, other ways of obtaining public and private resources should be explored.

# LESSONS LEARNED AND BEST PRACTICES

## LESSONS LEARNED

In drafting the lessons learned, the evaluation team took into account the definition of the Organisation for Economic Co-operation and Development – Development Assistance Committee (OECD–DAC), which states that they are “Generalizations based on the experiences of evaluating projects, programs or policies in specific circumstances, which apply to broader situations. Often, the teachings highlight strengths or weaknesses in the preparation, design, and implementation that affect the performance, results, and impact of projects, programs, or policies.” (OECD 2002):

The positive and negative lessons learned from this evaluation study are presented below.

1. Strengthening public capacity in prevention, care, recovery, and reintegration is one of project’s key actions, even though evidence shows that reiteration is necessary due to the change of authorities and officials.
2. Dealing with victims of trafficking requires not only protocols, but much training for front-line service providers in sensitivity and empathy toward victims, as well as self-care in dealing with painful issues.
3. Dissemination and information campaigns are essential but insufficient if they are not accompanied by practical training of the population, especially young and adult community leaders. The project should plan targeted interventions based on specific risk profiles in schools, families, and communities, with appropriate intercultural approach. It was also evident that interventions or products must consider an external communication component—which spaces, media, or platforms work best according to the sociocultural context, and which other partners contribute to greater dissemination.
4. Knowledge of the ways in which traffickers work and how to approach them is an under-explored issue that is important for eliminating trafficking.
5. Guidelines developed jointly by institutions and civil society are key to conceptual and procedural ownership.
6. The proliferation of roundtables and inter-institutional spaces, while an achievement, creates additional work for officials.
7. Work with regional presidents and managers is key to the leadership of strategic actions.
8. The strategy of working on trafficking at the macro-regional level has proved to be essential, highly valued, and relevant.
9. The victim-centered approach is fundamental, and emphasis needs to be placed on building services that go beyond the administrative process and focus on full recovery and reintegration with a human face—humanized services.

## BEST PRACTICES

A best practice is defined as any experience that, in whole or in part, works to prevent and eradicate human trafficking, such as a publication, a group of people, events, a method, and so on.

### **a) Joint publications of civil society and the government**

The joint preparation and publication of guidelines and manuals, and their official publication through Ministerial Resolutions is an excellent way for quick integration and use in the public sector. The following stand out: *Bureau Reports* with the Ombudsman's Office; the *Action Guide of Public Defense against Human Trafficking* with the Ministry of Justice; and the *Action Guide for the Attention to Victims of Trafficking in Persons in Residential Reception Centers for Children and Adolescents* with MIMP.

### **b) The quality and humanity of care of CALP**

The CALP model (Iquitos, Lima and more recently, Cusco and Madre de Dios) is relevant and, above all, and encourages coordination within public entities. Its database and information could be further exploited. It should be noted that, in the coordination processes, CALP professionals embody and show the service operators, in a practical and concrete way, the meaning of ECV and the care and support that must be given to the victims. Victims' empowerment approach particularly pertinent because it incorporates: (1) psycho-physical activities, workshops for personal growth and soft skills; (2) socioeconomic diagnosis of families; (3) orientation through life plans; (4) orientation for entrepreneurship or the employability of victims; and (5) agreements with private centers to address psychological or legal issues, and so on.

### **c) Awareness-raising and training for Justices of the Peace**

The training and sensitization work for Justices of the Peace of Cusco, Loreto, and Madre de Dios, places with a high prevalence of trafficking, is relevant. Justices of the Peace are responsible for granting travel permits for minors and can enlighten families in recruitment areas about the risks. They arrive in remote areas and are members of the community. It is a challenge to reach them with materials in their native language and through means such as radio, for example.

### **d) Temporary shelters in the Public Ministry**

The implementation with equipment for the temporary shelters of UDAVIT is of great support for the work of the Public Ministry, especially for the victims. Having temporary spaces while research is in progress is necessary. Equipment and kits for the victims (clothing, toiletries) are delivered and supported with financial contributions to transfer the victims to their places of origin.

### **e) Public resources through PIP**

PIP in Cusco are excellent mechanisms for public financing, especially in areas where victims are recruited. The experience of the Social Development Management of the municipality of the district of Ccaccta Quispincanchis is particularly noteworthy; they implemented PIP entitled: *Creation of protection services against the recruitment and trafficking of people of the District of Ccatcca* with a budget of 100,000 soles (approximately 28,000 US Dollars). They are currently preparing the PIP *Creation of the Leadership and Entrepreneurship School for Boys, Girls and Adolescents in the District of Ccatcca* expected to allocate 250,000 soles. On August 21, 2019, a workshop was held with youth from the District of Ccatcca to assess the main needs of youth organizations in relation to human trafficking in the district; the results of the workshop will be used for the design of the PIP. This activity is important as it takes into account the point of view of young people. Ccaccta, which is an area of high risk for recruitment of victims, is a town located a few kilometers from the interoceanic highway that connects Cusco with Madre de Dios. The prospect of strengthening DEMUNAS for

the future through the PIPs is encouraging, because they could provide a budget for these entities to improve care for victims and their reintegration.

**f) Technical meetings among judges**

Regional, macro-regional, and international meetings promote exchange to improve efficiency in the prevention and care of human trafficking cases. For example, the Tri-national Meeting of Peru, Bolivia, and Brazil (July 2019) was called *The 100 Brasilia Rules against Trafficking in Persons*. It was carried out with the Superior Court of Justice of Madre de Dios and attended by presidents and judges of the judicial districts of Cusco, Loreto, Madre de Dios, Puno, Tumbes, and Ucayali and judicial bodies of Bolivia and Brazil. These events are motivating and important for judges who have positively evaluated these actions because, as they claim, learning is meaningful with their peers.

# CONCLUSIONS

<p><b>Conclusion 1</b></p> <p>Adjustments to the initial design were relevant, because they included the focus on care for victims and their families, as well as preventive actions with civil society to reach out to target groups in a broad and diversified manner.</p> <p>Having a theory of change, a results chain or a logical framework that reflects the existing chain of causality vertically (by component), as well as horizontally (between components) so that the contribution or attribution of changes to the developed strategies can be estimated and analyzed is a challenge for the project.</p>	<p><b>Related Findings</b></p> <ul style="list-style-type: none"> <li>• Finding 1</li> <li>• Finding 16</li> </ul>
<p><b>Conclusion 2</b></p> <p>The actions of the <i>Human Trafficking in the Peruvian Amazon</i> project are in line with the national policy against trafficking in persons and have proven to be effective in producing evidence for political and social advocacy; strengthening the capacity of service operators; mobilizing and engaging civil society in priority areas against trafficking in persons; directly helping to empower victims through CALP; and showing the feasibility of options for public funding of anti-trafficking actions at the local government level through PIPs.</p> <p>Systematizing the actions and strategies of the <i>Human Trafficking in the Peruvian Amazon</i> project in prevention and care for victims to ascertain which strategies are culturally feasible and which are more impact-oriented is a challenge in terms of greater transfer and sustainability. Another challenge is identifying the institutional and personal competencies to be strengthened, as well as having systems to measure the development of institutional capacity.</p>	<p><b>Related Findings</b></p> <ul style="list-style-type: none"> <li>• Findings 2 to 8</li> <li>• Finding 15</li> <li>• Finding 16</li> </ul>
<p><b>Conclusion 3</b></p> <p>Evidence generation activities have been effective and in general, capable of providing varied and relevant base for decision making, which is demonstrated by the increased knowledge about trafficking and the adoption and use of concepts, tools, and protocols for institutional and inter-institutional action at national, regional and local levels.</p> <p>It is a challenge to explore little-addressed issues such as the profile, and even more so the different profiles of victims and their environment, the service operators, as well as traffickers.</p>	<p><b>Related Findings</b></p> <ul style="list-style-type: none"> <li>• Finding 9</li> <li>• Finding 14</li> <li>• Finding 16</li> </ul>

<p><b>Conclusion 4</b></p> <p>Actions and strategies to enhance institutional capacity have resulted in improved knowledge of what each institution should do (roles) and how they should be coordinated in a specific way. However, inter-institutional coordination remains a challenge due to ongoing staff changes and the practice of not sharing information.</p> <p>Delving into strategies to help improve coordination, as well as the transfer and sustainability of these actions, both in terms of training and follow up, is a challenge.</p>	<p><b>Related Findings</b></p> <ul style="list-style-type: none"> <li>• Finding 10</li> <li>• Finding 11</li> <li>• Finding 16</li> </ul>
<p><b>Conclusion 5</b></p> <p>In strengthening the capacities of government shelters for the care of victims of human trafficking, the results are weaker, due to the high turnover of staff that affects the performance of guardianship and reintegration duties.</p> <p>Exploring other options for strengthening the capacity of shelters is a challenge that might be addressed by extending the scope of action to private shelters and/or rewarding best practices.</p>	<p><b>Related Findings</b></p> <ul style="list-style-type: none"> <li>• Finding 12</li> <li>• Finding 16</li> </ul>
<p><b>Conclusion 6</b></p> <p>Efforts related to prevention strategies in the three regions have been diverse in terms of public and community spaces, as well as the most important counterparts.</p> <p>Having appropriate resources to generate evidence regarding what has been the most effective in terms of the desired impact is a challenge.</p>	<p><b>Related Findings</b></p> <ul style="list-style-type: none"> <li>• Finding 13</li> </ul>
<p><b>Conclusion 7</b></p> <p>The <i>United against human trafficking. Partnerships in Action to End Child Trafficking in Peru</i> project funded by the United States Department of State and the International Labour Organization, are complementary to the <i>Human Trafficking in the Peruvian Amazon</i> project, even though they are in almost the same regions and have the same counterparts.</p>	<p><b>Related Findings</b></p> <ul style="list-style-type: none"> <li>• Finding 17</li> </ul>
<p><b>Conclusion 8</b></p> <p>With respect to sustainability of actions, the in-person and virtual in-service training of officials is an aspect of sustainability in terms of actions of justice operators. Efforts at the regional and sub-regional level are another factor of sustainability, especially when PIP projects are developed to strengthen theirs and community's capacity. These positive factors also contribute to sustainability</p>	<p><b>Related Findings</b></p> <ul style="list-style-type: none"> <li>• Finding 18</li> </ul>

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in terms of developing the operational capacity of various actors in multi-regional spaces.

Finally, given the relevance of the CALP model, the legitimacy of its role as part of a public-private model for effective victim reintegration—a major shortcoming in public action—is a challenge to be explored.

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# RECOMMENDATIONS

Prepared in the Co-creation of Recommendations Workshop (Lima, February 20, 2020) and others stemming from external evaluation.

## FOR CHS ALTERNATIVO

1. To improve strategies for the prevention of trafficking in persons, and its transfer and sustainability, it is recommended to conduct: (1) research to understand the underlying causes of trafficking in families and gender-differentiated patterns of child rearing, as well as the profile of traffickers and their organizations; (2) studies regarding other types of trafficking, such as labor trafficking by gender; and (3) assessment on the most effective proven strategies for trafficking prevention, according to different cultural contexts, implemented by different public-private actors; as well as to consider the issue of new masculinities linked to gender issues, the culture of abuse and use one's body for profit, especially for girls.
2. Include the academia and universities in generating evidence on human trafficking in different areas, such as law, psychology, social work, and so on.
3. Explain the prevention strategy in the context of existing criteria in the organization, identifying indicators that allow to measure the effects.
4. Continue to promote capacity building of government operators for greater coordination and better care, and identify skills and systems to measure their achievement.
5. Continue to advocate for the existence of public programs for the reinstatement of the rights of adult victims of human trafficking, based on political advocacy and communication plans.
6. Provide greater technical assistance to improve CAR's care to empower the victim.
7. Explore strategies to promote victims' reintegration based on identifying success and failure factors of respective cases.
8. Continue to explore the sustainability of CALP and its location in the victim service chain.
9. Make gender issue explicit in the strategies for generating evidence, care, and protection of victims, given that victims are not only women.
10. Develop the monitoring and evaluation system, which requires a budget for baseline development, indicator measurement, and so on.
11. Systematize the project's model of victim assistance to generate lessons to share with the government.

## FOR USAID

12. USAID should require a project planning methodology to establish the causality of proposed strategies and objectives (e.g., theory of change, results chain, or logic model) so that evaluations can demonstrate the contribution or attribution of changes achieved.

## FOR THE GOVERNMENT

13. Generate comprehensive programs for the reintegration of trafficking victims that include follow-up systems for the families of victims.

14. Propose a single system for the follow-up of victims once they have received services, integrating the National Police, the Public Prosecutor's Office, and the Ministry of Women and Vulnerable Populations to improve intervention strategies.
15. Establish care and reintegration services for victims of trafficking for persons over 18 years of age, which the country lacks.
16. Promote public investment in actions to prevent human trafficking, care, and restoration of victims' rights services with the development of PIPs in municipal execution units in areas where the victims are recruited and transferred.
17. At the regional governments' level, issues (e.g., trafficking, children, gender equality and gender violence) should be addressed in a cross-cutting manner in various inter-institutional thematic working groups to avoid overburdening members and dispersing actions and resources.

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# ANNEXES

## ANNEX A: RESUMEN EJECUTIVO

Desde el año 2014, la organización Capital Humano y Social Alternativo (CHS Alternativo) viene implementando la intervención “Trata de Personas en la Amazonía Peruana” bajo el Convenio AID-527-A-14-00004. EL convenio tuvo seis modificaciones para la ampliación de plazos y el presupuesto. En el mes de agosto de 2018 se realizó la última modificación estableciendo como objetivo principal: “Contribuir a reducir la incidencia de la trata de personas en Perú a través de políticas específicas y trabajo de incidencia”. El proyecto se organiza a partir de cuatro objetivos o componentes: (1) Generar evidencia empírica para la incidencia política y mejorar la aplicación de las estrategias contra la Trata de Personas; (2) Aumentar la capacidad de las instituciones públicas y de las comunidades para combatir la trata de personas en las regiones seleccionadas; (3) Promover y proteger los derechos de las víctimas de trata de personas; y, (4) Mejorar la intervención comunitaria para las poblaciones en riesgo y la reintegración social de las víctimas de trata de personas.

## PROPÓSITO Y PREGUNTAS DE EVALUACIÓN

El propósito de la evaluación intermedia del proyecto “Trata de Personas en la Amazonía Peruana” es evaluar los avances de la intervención, identificando las fortalezas y desafíos programáticos y técnicos de los componentes de la actividad, durante el período 2016 a 2019.

1. ¿Cuán adecuados son los cambios en el diseño de la intervención para responder a la problemática y oportunidades identificadas?
2. ¿Cuáles son los resultados alcanzados por la actividad?
3. ¿Cuál es la relación de la actividad con otras intervenciones contra la trata de personas que reciben aportes del Gobierno de los Estados Unidos?
4. ¿Qué elementos de sostenibilidad se están trabajando a nivel nacional y local?
5. ¿Qué lecciones aprendidas y buenas prácticas se pueden identificar?

## METODOLOGÍA

El diseño de la evaluación fue construido en acuerdo con USAID y CHS. La evaluación tiene un carácter predominantemente cualitativo, por lo que se utilizaron métodos ad-hoc para dar respuesta a las preguntas de evaluación. Se usó la triangulación de fuentes: taller participativo, entrevistas individuales y grupales, la observación directa con visitas a terreno; y, revisión documental. Con la triangulación se obtuvieron patrones de convergencia para poder desarrollar una interpretación global del proyecto, siguiendo las preguntas establecidas. Se optó por métodos cualitativos dado que se necesitaba verificar en la evaluación los cambios a nivel de actitudes, comportamientos, adopción de conocimientos, valoración de los procesos por parte de los actores involucrados en el proyecto.

# HALLAZGOS

## DISEÑO

1. Los cambios realizados en el diseño del proyecto fueron adecuados para ampliar la intervención en la reintegración de las víctimas.
2. El proyecto CHS/USAID muestra diversidad de estrategias de intervención para lograr el impacto deseado de disminuir la incidencia de trata de personas, dado que el fenómeno es complejo, multidimensional y poco conocido y, también, para poder articular intervenciones coherentes con los ejes de intervención del Plan Nacional de Acción contra la Trata de Personas (PNAT) complementarios entre sí, como son gobernanza, prevención, persecución del delito; atención, protección y restitución de derechos.
3. La producción de evidencia es una estrategia pertinente en el diseño del proyecto porque orienta las acciones de incidencia política, la actuación pública y privada y, cubre un vacío de producción de conocimiento sobre el tema trata de personas.
4. La asistencia técnica especializada y la capacitación activa bajo la modalidad de capacitación en servicio como estrategias de fortalecimiento de la política pública contra la trata de personas, es un acierto en el diseño del proyecto.
5. La estrategia de ayuda directa a las víctimas y a sus familias insertada en el diseño del proyecto, mediante el abordaje desde las necesidades de la víctima de los Centros de Atención Legal y Psicosocial (CALP) y la metodología activa con las familias (caso Iquitos), es pertinente.
6. La asistencia técnica orientada a la protección, reintegración y restitución de derechos de las víctimas se encuentra en avance.
7. En la prevención, el incluir en el diseño las estrategias de sensibilización a Veedurías Ciudadanas y grupos de actores locales, es adecuada y ha motivado la movilización de diversos grupos de actores en campañas en Iquitos, Madre de Dios y Cusco.

## RESULTADOS OBTENIDOS

8. La mayor contribución del proyecto se encuentra en la prevención, fortalecimiento de capacidades para la persecución del delito, atención y protección a la víctima, y de manera limitada, en reintegración.
9. El proyecto ha generado una variada y relevante evidencia para la toma de decisiones, lo cual ha implicado un mayor conocimiento sobre la trata y los tipos de trata en instituciones y en la comunidad; al uso y apropiación de conceptos, herramientas y protocolos para la actuación institucional e interinstitucional a nivel nacional, regional y local.
10. Los resultados en las actividades de fortalecimiento de capacidades gubernamentales para la identificación, persecución y judicialización de los casos de trata de personas y formulación de políticas públicas se pueden observar en la adopción de conocimientos y protocolos, la mejora de la articulación interinstitucional, así como el apoyo a la descentralización de las acciones del Plan Nacional contra la Trata de Personas 2017-2021.
11. El proyecto ha contribuido con asistencia técnica y capacitación para el diseño y desarrollo de planes regionales contra la trata de personas en Loreto, Madre de Dios y Cusco, así como a nivel

nacional. No sólo contribuye a la descentralización del PNAT, sino también a ampliar los compromisos con autoridades de países fronterizos.

12. El personal de los alberges gubernamentales para la atención de víctimas de trata de personas (CAR) ha sido fortalecido por el proyecto en el conocimiento de la trata y en formas de abordaje a las víctimas en episodios de crisis. Asimismo, el proyecto apoya en el equipamiento para mejorar las intervenciones.
13. El proyecto ha recurrido a varias acciones para la implementación de la estrategia de prevención de la trata de personas en las cuatro zonas de intervención.
14. Existe un mejor conocimiento y manejo del tema de la trata por parte de autoridades y operadores de servicio, las actividades han generado variada y relevante evidencia en el uso y mayor apropiación de conceptos y procesos para abordar casos de trata con fines de explotación sexual y en menor medida en trata laboral y otras modalidades.
15. CHS cuenta con un modelo de atención a las víctimas de trata único integrado, que incluye un sistema automatizado de registro y seguimiento de casos (SISCALP).
16. Existen obstáculos internos y externos al proyecto que impiden un mayor logro en los resultados en los diferentes componentes.

## RELACIÓN CON OTRAS INTERVENCIONES

17. El proyecto “Unidos contra la trata de personas. Proyecto Alianzas para terminar con la Trata de Niñas, Niños y Adolescentes en Perú” financiado por el Departamento de Estado de los Estados Unidos de Norteamérica (USDOS) y la Organización Internacional del Trabajo (OIT) es complementario con el proyecto CHS/USAID aun cuando coinciden en el ámbito de intervención y las contrapartes.

## SOSTENIBILIDAD

18. CHS ha trabajado diferentes elementos de sostenibilidad, especialmente en el desarrollo de capacidades, la elaboración de protocolos y guías para la institucionalización del tema trata de personas en los conocimientos y procesos de las entidades competentes.

## LECCIONES APRENDIDAS

1. El fortalecimiento de la capacidad pública en prevención, atención, recuperación y reintegración es una acción clave del proyecto, aun cuando la evidencia muestra que la reiteración es necesaria por el cambio de autoridades y funcionarios.
2. El abordaje con víctimas de trata requiere no solo de protocolos, sino de mucha capacitación a los operadores de servicio en la primera línea de atención, en materia de sensibilidad y empatía hacia las víctimas, así como de autocuidado de ellos mismos al trabajar temas dolorosos.
3. La difusión y campañas informativas son imprescindibles pero insuficientes si no van acompañadas de formación vivencial de la población, sobre todo de dirigentes, líderes y lideresas comunitarias jóvenes y adultas. Es importante considerar intervenciones focalizadas teniendo en cuenta los perfiles de riesgo específicos en las escuelas, familias y comunidades, siendo relevante el abordaje intercultural. También, se ha aprendido que las intervenciones o productos tienen que mirarse



bajo un componente de comunicación externa (qué espacios, medios o plataformas funcionan más de acuerdo con el contexto sociocultural y que otros aliados contribuyen a una mayor difusión).

4. El conocimiento sobre las formas de trabajo y abordaje de los y las tratantes es un tema poco explorado y resulta ser importante para la erradicación de la trata.
5. La elaboración conjunta de las guías entre las instituciones y la sociedad civil, resultan ser clave para la apropiación conceptual y procedimental.
6. La proliferación de mesas y espacios interinstitucionales, si bien han sido un logro, ahora resultan ser una carga laboral para los y las funcionarias.
7. El trabajo con presidentes y gerentes regionales resulta ser clave para el liderazgo de las acciones estratégicas.
8. La estrategia de trabajo de la trata a nivel macrorregional ha resultado ser fundamental, muy valorado y pertinente.
9. El enfoque centrado en la víctima es fundamental, en torno a lo cual se requiere insistir para que la articulación de los servicios trascienda el trámite administrativo y se centre en la recuperación y reintegración plena con rostro humano. Humanizar los servicios.

## BUENAS PRÁCTICAS

- a) Las publicaciones conjuntas sociedad civil y Estado.
- b) La calidad y humanidad de atención del Centro de Atención y Orientación Legal y Psico Social (CALP)
- c) La sensibilización y capacitación a Jueces de Paz
- d) Los refugios temporales en el Ministerio Público
- e) Recursos públicos a través de los Proyectos de Inversión Pública (PIP)
- f) Encuentros técnicos entre magistrados(as)

## CONCLUSIONES

1. Los ajustes al diseño inicial fueron pertinentes porque incorporaron el eje de atención a las víctimas y sus familias, así como acciones preventivas con la sociedad civil para llegar a los grupos meta de manera amplia y diversificada.  
Es un desafío para el proyecto el contar con una teoría de cambio, una cadena de resultados o un marco lógico que refleje la cadena de causalidad existente a nivel vertical (por componente), como horizontal (entre componentes) de manera que se pueda estimar y analizar la contribución o atribución de los cambios a las estrategias desarrolladas.
2. Las acciones del proyecto CHS/USAID, se encuentran en línea con la política nacional contra la trata de personas y han demostrado ser eficaces para la producción de evidencia para la incidencia política y social; el fortalecimiento de la capacidad de operadores de servicios; la movilización y compromiso de la sociedad civil, en las zonas priorizadas, contra la trata de personas; la ayuda directa para empoderar a las víctimas mediante el CALP; y, mostrar la viabilidad de las posibilidades para el financiamiento público de acciones contra la trata a nivel de gobiernos locales, a través de los PIP.

Es un desafío de cara a la mayor transferencia y sostenibilidad, el sistematizar las acciones y estrategias del proyecto CHS/USAID en prevención, y atención a las víctimas para constatar qué estrategias son viables culturalmente y cuáles tienen mayor orientación hacia el impacto; y también, es un desafío el explicitar una estrategia de incidencia en políticas con el uso de la producción de evidencias. Junto con ello, es un desafío la identificación de competencias institucionales y personales a fortalecer; y, de contar sistemas de medición del desarrollo de la capacidad institucional.

3. Las acciones de generación de evidencia han sido eficaces y capaces de proporcionar, en general, variada y relevante evidencia para la toma de decisiones, lo cual se demuestra en el mayor conocimiento sobre la trata, el uso y apropiación de conceptos, herramientas y protocolos para la actuación institucional e interinstitucional a nivel nacional, regional y local.

Es un desafío explorar temas poco abordados como el perfil -más bien los diferentes perfiles de la víctima y su entorno, los operadores de servicios; así como de tratantes.

4. Las acciones y estrategias para mejorar la capacidad institucional han tenido como efecto la mejora del conocimiento sobre lo que cada institución debe realizar (roles) y sobre cómo deben articularse de manera concreta. No obstante, la articulación interinstitucional continúa siendo un desafío dado el continuo cambio de personal, y la práctica de no compartir información.

Es un desafío el ahondar sobre estrategias para contribuir a mejorar la articulación, así como la transferencia y sostenibilidad de estas acciones sean de capacitación, como de acompañamiento.

5. En el fortalecimiento de capacidades de los alberges gubernamentales para la atención de víctimas de trata de personas, los resultados son menores, debido a la excesiva rotación de personal que afecta el desempeño de las funciones de tutela y reintegración.

Es un desafío explorar otras opciones para el fortalecimiento de capacidades de albergues, quizá ampliando el radio de acción a albergues privados y/o premiando buenas prácticas.

6. En las estrategias de prevención, las acciones han sido variadas en las tres regiones, considerando los espacios públicos y de la comunidad, así como interlocutores más importantes.

Es un desafío poder contar con evidencias sobre cuáles y cómo han sido más efectivas, de cara al impacto deseado, siempre con los recursos apropiados para tal fin.

7. Las intervenciones del proyecto "Unidos contra la trata de personas. Proyecto Alianzas para terminar con la Trata de Niñas, Niños y Adolescentes en Perú", financiado por el Departamento de Estado de los Estados Unidos de Norteamérica (USDOS) y la Organización Internacional del Trabajo (OIT), en adelante USDOS/OIT, son complementarias con el proyecto CHS/USAID aun cuando estén en casi las mismas regiones y contrapartes.

8. Respecto a la sostenibilidad de las acciones, la capacitación de funcionarios presencial y virtual bajo la modalidad de "capacitación-en-servicio" es un aspecto de sostenibilidad en la acción de operadores de justicia. La actuación a nivel regional y subregional es otro factor de sostenibilidad, especialmente cuando se elaboran proyectos PIP para el fortalecimiento de sus capacidades y las de la comunidad. Asimismo, son factores positivos de sostenibilidad cuando se incide en el desarrollo de la capacidad operativas de diversos actores en espacios multirregionales.

Finalmente, dada la pertinencia del modelo CALP, es un desafío para explorar es la legitimación de su rol para ser parte de algún engranaje público-privado para la efectiva reintegración de las víctimas, aspecto muy débil en la actuación pública

# RECOMENDACIONES

Elaboradas en el Taller de Co-creación de Recomendaciones (Lima, 20 de febrero de 2020) y otras derivadas de la evaluación externa.

## PARA CHS ALTERNATIVO

1. Para mejorar las estrategias de prevención de la trata de personas y de cara a la transferencia y sostenibilidad, se recomienda realizar investigaciones orientadas a comprender las causas subyacentes de la trata en las familias y en las pautas de crianza diferenciadas por género, así como en el perfil de tratantes y sus organizaciones; realizar estudios sobre otros tipos de trata como la laboral según género; valoración de cuáles son las estrategias probadas más efectivas de prevención de la trata, de acuerdo a diferentes contextos culturales, ejecutadas por diferentes actores público-privados; y, también considerar el tema de nuevas masculinidades vinculado a los temas de género, la cultura del abuso y el cuerpo como objeto de lucro, especialmente niñas.
2. Incluir a la academia y universidades en la generación de evidencias sobre trata de personas en las diferentes áreas sean de derecho, psicología, trabajo social, etc.
3. Explicitar la estrategia de prevención de acuerdo con los criterios existentes en la organización identificando indicadores que permitan medir los efectos.
4. Seguir impulsando el fortalecimiento de capacidades de los operadores gubernamentales para una mayor articulación y una mejor atención, identificando competencias y sistemas de medición del logro de estas.
5. Continuar haciendo incidencia para que existan programas públicos para la reintegración de derechos de personas adultas víctimas de trata de personas, en base a planes de incidencia política y de comunicación.
6. Realizar mayor asistencia técnica para la mejor atención de CAR de cara al empoderamiento de la víctima.
7. Explorar estrategias para favorecer la reintegración de las víctimas en base a la identificación de los factores de éxito y fracaso de los casos intervenidos.
8. Seguir explorando la sostenibilidad del CALP, así como la necesidad de su ubicación en la cadena de servicios para víctimas.
9. Explicitar el tema de género en las estrategias de generación de evidencias, atención y protección de las víctimas, considerando que éstas no solo son mujeres.
10. Contar con una estrategia de desarrollo del sistema de monitoreo y evaluación para lo cual es necesario contar con un presupuesto para la elaboración de línea de base, medición de indicadores, etc.).
11. Realizar una sistematización del modelo de atención a las víctimas del proyecto para generar aprendizajes para compartirse con el gobierno.

## PARA USAID

12. USAID debe exigir una metodología de planificación de proyectos que permita establecer la causalidad de las estrategias y los objetivos propuestos (por ejemplo, teoría de cambio, cadena de resultados o marco lógico) a fin de que las evaluaciones puedan demostrar la contribución o atribución de los cambios logrados.

## PARA GOBIERNO

13. Generar programas para la reintegración de las víctimas de trata integrales que incluyan sistemas de seguimiento a las familias de víctimas.
14. Proponer un sistema único para el seguimiento a las víctimas una vez que fueron intervenidas que integre los sistemas de la Policía Nacional, el Ministerio Público y Ministerio de la Mujer y Poblaciones Vulnerables para mejorar las estrategias de intervención.
15. Establecer servicios de atención y reintegración para las víctimas de trata de personas mayores de 18 años, carencia del Estado.
16. Promover la inversión pública en acciones de prevención de la trata de personas, servicios de atención y restitución de derechos de víctimas con la elaboración de PIP en unidades ejecutoras municipales de zonas de captación y de destino de las víctimas.
17. A nivel de los gobiernos regionales se debe impulsar el tratamiento de temas de manera transversal (por ejemplo, trata, niñez, igualdad de género y violencia de género) en las diversas mesas temáticas interinstitucionales para evitar la sobrecarga laboral de los integrantes y la dispersión de acciones y recursos.

# ANNEX B: EVALUATION TEAM

## EVALUATION TEAM

**Emma Lucía Rotondo**, team leader

**Liliana Vega Segoin**, technical support

**Susana Guevara**, Evaluation and Inclusion Specialist, USAID MELS Project, Technical supervision and evaluation design

## TEAM QUALIFICATIONS AND EXPERIENCE

### **Emma Lucía Rotondo, team leader, evaluator**

Social anthropologist specializing in logotherapy and existential analysis (therapy focused on resilience), and coaching and consulting. Evaluator of social programs with more than 25 years of experience in 15 countries in Latin American. She provides technical assistance, facilitates and trains technical teams in design, monitoring, evaluation, systematization and knowledge management, with experience in more than 120 processes in those issues. She applies evaluation approaches based on equity, human rights, interculturality, resilience, and gender. She is currently an international monitoring and evaluation consultant, with an emphasis on critical issues on the social agenda, such as gender-based violence, human trafficking and sexual exploitation, migration, child labor, and social conflicts. She has more than 30 publications, including guides, articles, manuals, handouts, and books in her area of competence.

### **Liliana Vega Segoin, technical support**

Social psychologist with specialized studies in psychosocial risk and vulnerable populations. She has significant experience—30 years in technical and administrative management of the public and private sectors; and leading technical teams for the design, execution, monitoring, evaluation, and systematization of programs and services for the prevention and care of vulnerable populations: street children and adolescents, dangerous jobs, victims of labor and sexual exploitation, with offending behaviors, as well as with families and older adults. She applies the rights, gender, and intercultural approaches, and has studies and publications on the subject matter.

### **Susana Guevara, Evaluation and Inclusion Specialist, USAID MELS Project, Technical supervision and evaluation design**

Sociologist with a master's degree in public policy evaluation and a master's degree in social management. She has more than 25 years of experience in project design and development of monitoring and evaluation systems in social programs, sexual and reproductive health, HIV/AIDS, gender equality, and human rights. She has designed and directed performance, impact, and process evaluations, as well as gender evaluations and analyses, emphasizing participatory and utilization-focused approaches. She has worked with government and international institutions, NGOs, and USAID partners.

# ANNEX C: CONCEPT NOTE

## Mid-Term Evaluation of the Activity “Trafficking in Persons in the Peruvian Amazon” (AID-527-A-14-00004)

### Concept Note

October 4, 2019

#### BACKGROUND

Since 2014, the organization *Capital Humano y Social Alternativo* (CHS Alternativo) has been implementing the intervention “Trafficking in Persons in the Peruvian Amazon” under contract AID-527-A-14-00004. This contract had six modifications due to the extension of terms and budget. In August 2018, the last modification was made establishing the main objective: “To contribute to reducing the incidence of TIP in Peru through specific policies and advocacy work.” It also included changing the objectives and adding a new strategy aimed at preventing trafficking. The objectives of the activity are: 1) Generate empirical evidence for political advocacy and improve the application of anti-trafficking strategies; 2) Increase the capacity of public institutions and communities to combat human trafficking in the selected regions; 3) Promote and protect the rights of TIP victims; 4) Improve community intervention for populations at risk and the social reintegration of victims of human trafficking.

#### PURPOSE

The purpose of the mid-term evaluation of this activity is to support the organization's decision-making to improve its results. Based on the findings, the evaluation will present the results achieved to date, lessons learned, best practices, and recommendations for improving the CHS Alternativo intervention. Likewise, it is expected that the results may serve to improve the fight against human trafficking in the country and be useful to USAID, the Government of Peru, justice operators, and international cooperation agencies, among others.

#### EVALUATION QUESTIONS

The questions asked are based on the expectations of the stakeholders and the technical analysis carried out by USAID MELS.

- I. How appropriate are the changes in the design of the intervention to respond to the identified problems and opportunities?
  - a. To what extent does the approach and strategies used facilitate or hinder the achievement of your objectives?

- b. How relevant are the activities developed to meet the needs or priorities of the trafficking problem in the country, in terms of national, regional and local government institutional policies and capacity?
  - c. What strategies can be improved or complemented to be more effective in preventing human trafficking?
  - d. What strategies can be improved or complemented to be more effective in protecting and restoring the rights of victims of human trafficking?
  - e. How adequate and current are the intervention models and approaches for the target population?
2. What are the results achieved by the activity?
- a. How much has the evidence generated by the activity been used in decision-making on public policies?
  - b. What progress has been made in strengthening government capacities for the identification, prosecution and trial of human trafficking cases and policy formulation?
  - c. What progress has been made in strengthening the capacities of government shelters to care for victims of human trafficking?
  - d. What is the progress made in the implementation of the prevention model of trafficking in persons?
  - e. What is the progress made in the implementation of the protection and restitution of rights model to victims of trafficking in persons?
  - f. What are the obstacles that prevent further progress?
3. What is the relationship of the activity to other anti-trafficking interventions that receive contributions from the United States Government?
4. What sustainability elements are being applied at the national and local levels?
5. What lessons learned and best practices can be identified?

## SCOPE

The evaluation will cover the period from June 2016 to June 2019 and will be held in Lima, Loreto, Cusco, and Madre de Dios (to be defined). The actors involved are public officials of the Ministries of Women and Vulnerable Populations, Ministry of the Interior, Ministry of Justice, justice operators of the Specialized Prosecutor's Office against trafficking in persons, Judicial Branch, Multisectoral Commission against Trafficking in Persons, officials of the Regional Governments of Madre de Dios and Loreto. Likewise, professionals from the shelters for victims of trafficking, families and adolescents benefiting from the intervention.

Assessment will be qualitative in nature and will address the four components of the activity.



The evaluation audiences will be the USAID teams responsible for coordinating the activity and for monitoring and evaluation, as well as the management and professional teams of the implementing institution.

## **DEADLINES**

The dates for the evaluation are between October 2019 and March 2020, considering the delivery of preliminary results in January.

# ANNEX D: DATA COLLECTION INSTRUMENTS



## MID-TERM EVALUATION OF THE ACTIVITY “TRAFFICKING IN PERSONS IN THE PERUVIAN AMAZON” (AID-527-A-14-00004)

### DATA COLLECTION INSTRUMENTS

**Emma Lucía Rotondo, M&E Consultant**

**Liliana Vega, Consultant**

## INTRODUCTION

This document presents data collection instruments for semi-structured interviews that will be used in individual interviews for the midterm evaluation of the project *Trafficking in Persons in the Peruvian Amazon*, following the terms of reference and the design of the assessment USAID/MELS team provided.

According to the design document of the midterm evaluation of the project, the objective is to evaluate the progress of the intervention, and identify the programmatic and technical strengths and challenges of the project's components. Based on the findings, the evaluation will present the results achieved to date, lessons learned, best practices, and recommendations to improve the intervention of CHS Alternativo. It is also expected that the results may serve to identify areas and places to deepen the strengthening of the fight against human trafficking in the country, and be useful to USAID in the design of future interventions, as well as to international cooperation agencies, Government of Peru, and justice operators, among others.

The document is organized in the following way: the first part describes how the interviews will be developed; the second contains the list of identified data collection instruments; the third part presents informed consent; and the fourth develops each interview guide. A participatory workshop will be held only with the technical team to reconstruct the theory of change and a group interview.

# I. INTERVIEWS

To answer the questions established in the design, in addition to the document review and the reconstruction of the project's theory of change, individual interviews will be conducted with a group of participating actors in Cusco, Lima, Loreto and Madre de Dios, where the project has developed direct interventions.

The evaluation team will select the interviewees based on a list of beneficiaries provided by CHS Alternativo. In the event that CHS Alternativo is unable to provide a list, the evaluation team will resort to the NGO workplaces and select the people who are present at the site. In addition to the selection of families and victims of trafficking, the evaluation team will consider access, consent for the interview, and exposure time to the project.

The interview process to be followed in each case will be as follows:

- a) It will begin with a brief presentation by the interviewer and a clear explanation of the purpose of the interview to obtain their perspective and the usefulness of the evaluation for the prevention and protection of the issue of trafficking in persons.
- b) A note will be made on the fact that there will be no financial or other incentives for participating in the interview.
- c) Confidentiality and anonymity in the use of the information collected in the interview will be clarified, especially for families and victims; adding that the results will be analyzed and presented in an aggregate form of all the interviewees, including confidentiality and informed consent. It will be emphasized that the information will not be shared with any person or institution.
- d) Work with families and victims of trafficking will be carried out with motivating questions, drawings and phrases, so that resilience can be verified; that is, their ability to overcome the experiences lived through the chosen options, within the framework of the draft. No questions will be asked about the past and the choices they made at the time. Special care will be taken in dealing with and conducting interviews with victims and their families in order not to re-victimize them. In this framework, in addition to what is indicated in the previous paragraph, other measures will be taken: having an express declaration of voluntary acceptance to participate in the evaluation, conducting the interviews in a private environment and where people feel safe. If participants are minors, their consent or the informed consent of the parents will be requested.
- e) Only individual and group interviews will be carried out for the technical team of the project.
- f) It will be clarified that there are no correct or incorrect, good or bad answers. It is the experience lived within the framework of the project and their values that is shared, without any judgment.
- g) Confirm that the person interviewed has given their informed consent to do the interview and confirm the authorization to record, explaining that it is to faithfully capture the information.
- h) Each of the interviewers will take notes of the points that they consider important, ensuring that all issues of interest are addressed following the rhythm of the interviewee's story. Finally, attitudes, situations and personal or context details that complement and help to better understand the information obtained in the interview are recorded.
- i) During the interviews, CHS personnel will not be present.

## 2. INFORMED CONSENT

### Informed Consent Form for Interviews with Key Informants

#### **Introduction**

Hello, we are / I am..... (names) and I have been hired by the USAID, Peru MELS project to carry out a midterm evaluation of the “Trafficking in Persons in the Peruvian Amazon” whose objective is to analyze the results achieved, strengths, programmatic and technical challenges, lessons learned, best practices, and recommendations to improve the intervention of *Capital Humano y Social Alternativo* (CHS Alternativo).

We would like to ask you to participate in an interview so that we can ask some questions about it.

Your participation is completely voluntary and your information will be confidential. You can request to stop the interview at any time or you can decide not to answer a particular question. Withdrawing from the interview will have no consequence.

There are no (financial) incentives to participate in this interview, but your participation is valuable, because along with other opinions, you will help analyze the intervention and provide recommendations for CHS Alternativo to improve its intervention strategy.

If you agree, we would like to record the interview. The recording will be used to complement the notes taken during the interview. We will ensure that your contribution remains anonymous. Only the evaluation team will have access to the recordings and the audios will be destroyed as soon as the evaluation has been completed.

The interview will last approximately 1 hour. What you state will be noted and will not be linked to your name or professional role during the analysis and in the final products.

#### **Consent**

Do you have a question you would like to ask?

Do you agree to participate in the interview?

### 3. LIST OF INSTRUMENTS TO BE APPLIED

List of Individual Interview Guides		
N°	Title	Aimed at
1	Officials for the strengthening of public institutional capacities	Multisectoral Commission: government sector; civil society organizations; international cooperation institutions
		Executive branch experts: MIMP National Directorate of Boys, Girls, and Adolescents; INABIF MIMP; National Directorate of Rights MININTER Directorate of Rights of the Ministry of Justice
		Representatives of the Ombudsman's Office: Cusco, Lima, Loreto, and Madre de Dios
		Judicial Branch Specialists: specialized judges from Lima, Loreto, Madre de Dios and Cusco
		Public prosecutor's specialists
2	Regional and local government authorities, community leaders	Managers of social development of regional governments and directors of social development of local governments Leaders of Citizen Oversight Committees and community leaders
3	Officials from institutions providing assistance to trafficking victims and their families	INABIF residential care center directors and support professionals
4	Officials from other projects funded by USAID to the same institution	U.S. Department of Labor projects with ILO, CPC
5	Guardians/family members and victims of trafficking	Fathers, mothers, and caregivers, victims of trafficking in three regions
6	CHS/USAID project personnel	Technical team and management team, individual and group interviews. Director of the Legal and Psychological Care Center

## 4. INTERVIEW GUIDE

<b>INTERVIEW GUIDE No. 1</b>	
<b>Officials for the Strengthening of Public Institutional Capacities</b>	
<b>Institution and position:</b>	
<b>Region:</b>	<b>Tasks carried out for the prevention and protection of trafficking:</b>
<b>Date:</b>	<b>Place of the interview:</b>
1. How appropriate are the intervention activities to respond to institutional problems and opportunities?	1.1 Specify the activities you have been involved in with CHS, training and/or technical assistance, detailing if they are appropriate to your needs. Specify on a scale of 1 to 3, three being the highest, if they were appropriate and specify why.
2. Results	1.2 Has your idea about the causes and ways of approaching human trafficking changed? Has the problem of trafficking increased or decreased? Explain why and what are the causes.
3. Best practices	1.3 Is the profile of the victim, predator, or trafficker similar to what you imagined? What did you discover about the type of trafficking, which is the largest and why? Whom does it affect the most, men or women, age groups?
4. Challenges	1.4 After participating in the project with CHS, has your professional practice in relation to trafficking changed? Indicate how and why; provide examples.
	1.5 Has institutional practice also changed? What strategies are they applying? Indicate how and why, provide examples.
	1.6 What elements of technical assistance or training were not helpful? Indicate why, specifying what needs were not covered, detailed content, form, frequency, and necessary issues.
	1.7 What challenges do you have to improve your professional and institutional practice to tackle human trafficking? Detail a separate list of professional and institutional challenges.
	1.8 What remains to be done for prevention, on the one hand and protection on the other, from your institution?
	1.9 What approach does your sector have to the profile of trafficking victims and their families, and what would be the relevant sector mandates and programs for preventive action—to prevent more children and young people from being recruited by traffickers?
	1.9 What are some best practices carried out for the prevention and protection of trafficking? Give examples and tell a story.
	1.10 What do you think of the strategies concerning prevention, prosecution, care, and restitution of the rights of victims of trafficking that are implemented in the country? What needs improvement? Does your sector have any PP with activities in prevention, care and/or restitution of human trafficking rights? Which of these activities are carried out at the regional or local level?
	1.11 What progress and what aspects to improve do you see in multi-sectoral and multi-level intervention in strategies for prevention, care and restoration of rights of victims of trafficking?
	1.12 What strategies need to be developed to end this crime?

**INTERVIEW GUIDE No. 2**  
**Regional and Local Government Officials, Community Leaders**

<b>Institution and position:</b>	
<b>Region:</b>	<b>Tasks carried out for the prevention and protection of trafficking:</b>
<b>Date:</b>	<b>Place of the interview:</b>
1. How suitable are intervention activities to address problems and institutional opportunities?	2.2 Specify the activities you have been involved in with CHS, training and/or technical assistance, detailing if they are appropriate to your needs. Specify on a scale of 1 to 3, three being the highest, if they were appropriate and specify why.
2. Results	2.3 Have you managed to coordinate national priorities with regional and local ones?
3. Best Practices	2.4 What are the mechanisms, instruments, procedures, and channels that promote this coordination and what are its results?
4. Challenges	2.5 Does your municipality carry out any activity of a PP of any sector involved in the problem of trafficking, such as MIMP, MIDIS, MINEDU, SALUD, MININTER, and MINJUS? Provide details.
	2.6 Is the crime of trafficking included in the Concerted Development Plan? Why?
	2.7 Is there a regional/local strategy to address prevention, protection, and restitution of rights? How do you think the issue should be addressed? What are the priority places where you should intervene?
	2.8 What progress and what aspects to improve could you mention in relation to the work of multisectoral coordination at the local level for the prevention, care, and restitution of rights?
	2.9 What are the contributions of technical assistance and training for the prevention, protection, and restitution of rights that are the most relevant to your work? Indicate why and provide examples.
	2.10 How do you think the issue should be addressed? What are the priority places to intervene? What approach does your sector have to the profile of victims of trafficking and their families, and what would be the relevant sectorial mandates and programs your region/locality has for preventive action—to prevent more children and young people from being recruited by traffickers?
	2.10 Municipalities with PIP: how was the preparation/appropriation process and its execution plan?
	2.11 What are the best practices for applying the gender and rights approach in the areas of prevention and care of human trafficking?
	2.12 What has been the contribution of citizen oversight committees on this issue? What is the role of citizen oversight committees? Who integrate them, how do they work and what results have they achieved? Tell about relevant cases that you have known.
	2.13 Is the community aware of the issue of trafficking, its causes and consequences?
	2.14 What needs do you have institutionally and professionally?
	2.15 What challenges and recommendations do you consider for the prevention, protection, and restitution of rights in cases of human trafficking for your institution or citizen oversight committee?



**INTERVIEW GUIDE No. 3**

**Officials from institutions providing assistance to trafficking victims and their families**

<b>Institution and position:</b>	
<b>Region:</b>	<b>Tasks carried out for the prevention and protection of trafficking:</b>
<b>Date:</b>	<b>Place of the interview:</b>
1. How suitable are intervention activities to address problems and institutional opportunities?	3.1 Specify the activities you have been involved in with CHS, training and/or technical assistance, detailing if they are appropriate to your needs. Specify on a scale of 1 to 3, three being the highest, if they were appropriate and specify why.
2. Results	3.2 What trafficking cases have you dealt with in your institution? How often did you receive cases? How many cases did you receive in 2019? Tell more relevant stories.
3. Best Practices	3.3 What institutional and personal capacities have changed for approaching trafficking, since the contribution of the project with CHS? Indicate how and why. Does your center have policy guidelines or a protocol to handle trafficking cases?
4. Challenges	3.4 What are the most relevant contributions of technical assistance and training for prevention and protection for your work? State why and provide examples. From your experience and knowledge, what are the most important damages suffered by victims of trafficking and their family? (This question is related to the next one.)
	3.5 How can you improve the strategies of your institution to approach victims and their families? Specify how and what are your professional and institutional needs.

**INTERVIEW GUIDE No. 4**

**Officials from other Projects funded by USAID to the same Institution.  
USDOL Projects with ILO, CPC**

<b>Institution and position:</b>	
<b>Region:</b>	<b>Tasks carried out for the prevention and protection of trafficking:</b>
<b>Date:</b>	<b>Place of the interview:</b>
	4.1 What are the main lines of intervention of the project and what is the role of CHS in it?
	4.2 How do they complement or not with the trafficking project in the Peruvian Amazon?
	4.3 Are there recurring activities? Indicate which.
	4.4 How does MTPE deal with the issue of Trafficking at a multisectoral and stewardship level and how do they complement with MININTER?

**INTERVIEW GUIDE No. 5**

**Guardians/family members and victims of trafficking**

**Fathers, mothers and caregivers, victims of trafficking in 3 regions.**

5.1	Indicate the first letter of your name, what words can you think of with that letter? If you had to compare yourself, what animal, object, character, and nature's image would you be?
5.2	In which project activities have you participated? Which ones did you like the most and why? Which have been useful to you? What activities are not present in the project and you would like to see?
5.3	Open and closed doors. On a sheet of paper, draw yourself in the center with doors open and closed, in your life: What have you closed the doors to and which ones are open to explore?
5.4	What dreams do you have for your family and yourself what would you like to achieve, what plans and objectives do you have? Imagine 3 years from now. How would you like to live and with whom? What would you do? What are your strengths and weaknesses to realize your dreams?
5.5	For families: How have you used the money and knowledge gained? Has your family situation improved? Specify how and why.
5.6	Specify how each member of your family is? What does each one do?

**INTERVIEW GUIDE No. 6**

**Project Personnel**

<b>Position in CHS and working time in the project:</b>	
<b>Region:</b>	<b>Tasks carried out for the prevention and protection of trafficking:</b>
<b>Date:</b>	<b>Place of the interview:</b>
1. Pertinence	6.1 To what extent do the approach and strategies used facilitate or hinder the achievement of your objectives? Indicate why and how.
2. Results	6.2 Of the activities carried out to develop policies and institutional capacity, which have responded best to each counterpart? Detail by type of institution.
3. Best practices	6.3 What strategies can be improved or complemented to be more effective in preventing human trafficking? Specify if there are differences in the regions and type of institution and why? Specify necessary strategies aimed at families, schools, community actors, grassroots organization and neighborhood councils, and others that are not included. What types of interventions are considered relevant for the prevention of trafficking in the family context?
4. Challenges	6.4 How adequate and current are the intervention strategies and approaches for the target population?
	6.5 What strategies can be improved or complemented to be more effective in protecting and restoring the rights of victims of trafficking in persons?
	6.6 What have been the most notable changes and most effective approaches and strategies and with which group of actors? Specify the changes according to regions.
	6.7 For each component of the project, indicate one to three best practices for addressing the issue of trafficking.
	6.8 What are the main challenges for each project objective? Is there a need to improve these goals? Specify how and why.

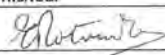
## ANNEX E: INFORMATION SOURCES

STAKEHOLDER GROUP	AREA	LOCATION
Multisectoral Commission	Governmental Sector	Lima
	Civil Society	Lima
Specialists	Civil Society Organizations	Lima
Executive Branch Experts	INABIF MIMP	Lima
	Fundamental Rights MINJUS	Lima
Ombudsman's Office		Lima
		Loreto
		Madre de Dios
		Cusco
Ombudsmen		Cusco
		Iquitos
		Madre de Dios
Judicial Branch	Specialized Court	Lima
	Gender Justice Commission	
	Superior Court	Loreto, Madre de Dios, Cusco
	Commission of access to Justice	Cusco
	ODAJUP	Cusco, Loreto
Public Ministry	UDAVIT	Lima, Madre de Dios, Cusco
	Prosecutors	Madre de Dios
Regional Government		Loreto
		Madre de Dios
		Cusco
Local Governments		Madre de Dios
		Cusco
Residential Care Center		Loreto
		Madre de Dios
		Cusco
UPE - MIMP	UPE	Madre de Dios
USDOS Support Projects		Lima
		Cusco
IIEE Tutors		Loreto
Victims of Trafficking		Lima and Callao
		Cusco
		Iquitos
Leaders of the Community		Loreto
		Madre de Dios
		Cusco


STAKEHOLDER GROUP	AREA	LOCATION
Civil Society		Madre de Dios Iquitos Cusco
Families of the Victims		Loreto
CHS Technical team		Lima Loreto Madre de Dios Cusco

# ANNEX F: CONFLICT OF INTEREST DISCLOSURES

## Disclosure of Conflicts of Interest for USAID Evaluations Team Members

<b>Name</b>	Emma-Lucía Rotondo-Dall'Orso
<b>Title</b>	
<b>Organization</b>	
<b>Evaluation Position?</b>	<input checked="" type="checkbox"/> Team Leader <input type="checkbox"/> Team member
<b>Evaluation Award Number (contract or other instrument)</b>	72052719D00001
<b>USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)</b>	Human Trafficking in the Peruvian Amazon. Alternative Human and Social Capital (Alternative CHS)
<b>I have real or potential conflicts of interest to disclose.</b>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<p><b>If yes answered above, I disclose the following facts:</b></p> <p><i>Real or potential conflicts of interest may include, but are not limited to:</i></p> <ol style="list-style-type: none"> <li>1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</li> <li>2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</li> <li>3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</li> <li>4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</li> <li>5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</li> <li>6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</li> </ol>	
<p>I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.</p>	
<b>Signature</b>	
<b>Date</b>	November 22, 2019

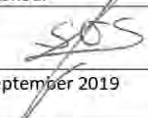
Disclosure of Conflicts of Interest for USAID Evaluations Team Members

<b>Name</b>	Carmen-Liliana Vega-Segoin
<b>Title</b>	
<b>Organization</b>	
<b>Evaluation Position?</b>	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member
<b>Evaluation Award Number (contract or other instrument)</b>	72052719D00001
<b>USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)</b>	Human Trafficking in the Peruvian Amazon. Alternative Human and Social Capital (Alternative CHS)
<b>I have real or potential conflicts of interest to disclose.</b>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<p><b>If yes answered above, I disclose the following facts:</b></p> <p><i>Real or potential conflicts of interest may include, but are not limited to:</i></p> <ol style="list-style-type: none"> <li><i>1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</i></li> <li><i>2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</i></li> <li><i>3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</i></li> <li><i>4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</i></li> <li><i>5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</i></li> <li><i>6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</i></li> </ol>	
<p>I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.</p>	
<b>Signature</b>	
<b>Date</b>	December 09, 2019

**Disclosure of Conflicts of Interest for USAID Evaluations Team Members**

<b>Name</b>	Susana Guevara
<b>Title</b>	Evaluation and Inclusion Specialist
<b>Organization</b>	EnCompass (USAID MELs)
<b>Evaluation Position?</b>	<input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> X Team member
<b>Evaluation Award Number (contract or other instrument)</b>	72052719D00001
<b>USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)</b>	Human Trafficking in the Peruvian Amazon. Alternative Human and Social Capital (Alternative CHS)
<b>I have real or potential conflicts of interest to disclose.</b>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No X
<b>If yes answered above, I disclose the following facts:</b> <i>Real or potential conflicts of interest may include, but are not limited to:</i>	
<ol style="list-style-type: none"> <li>1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</li> <li>2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</li> <li>3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</li> <li>4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</li> <li>5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</li> <li>6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</li> </ol>	

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

<b>Signature</b>	
<b>Date</b>	September 2019