



International Organization for Migration (IOM)

Addressing Irregular Migration in Southern Africa



AN INTERNAL REVIEW OF PROJECT ACHIEVEMENTS (2010-2016)

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Acronyms

AVR – Assisted Voluntary Return

CB – Capacity Building

CBMMF - Cross Border Migration Management Forum

CEDAW - Convention on the Elimination of all forms of Discrimination Against Women, 1979

CSO - Civil Society Organization

DAC – Development Assistance Committee

DE - Developmental Evaluation

DoCWPS - Department of Women and Probation Services (Zimbabwe)

DoL - Department of Labour (South Africa)

DSD- Department of Social Development (South Africa)

DHA - Department of Home Affairs (South Africa)

IOM - International Organization for Migration

KII - Key Informant Interview

LHR - Lawyers for Human Rights

MAD - Migrant Assistance Division

MIDSA - Migration Dialogue for Southern Africa

MoH - Ministry of Health (Zimbabwe)

MoL - Ministry of Labour

MoLHA - Ministry of Labour and Home Affairs (Botswana)

OECD - Organisation for Economic Co-operation and Development

PRM - Bureau of Population, Refugees, and Migration

REC - Regional Economic Community

RCP – Regional Consultative Process

SADC - Southern Africa Development Community

SAPS - South African Police Services (South Africa)

SMART - Specific, Measurable, Achievable, Realistic and Timely

SAQA - South African Qualification Authority

SoP - Standard Operating Procedures

ToC - Theory of Change

ToT - Training of Trainers

TWG - Technical Working Group

UMC - Unaccompanied Migrant Children

UNHCR - United Nations High Commissioner for Refugees

UNICEF – United Nations International Children’s Emergency Funds

VoT - Victims of Trafficking

EXECUTIVE SUMMARY

Irregular and mixed migration flows involving asylum seekers, unaccompanied and separated migrant children and victims of human trafficking is an increasingly persistent challenge that has defied migration management efforts by governments in the Southern African Development Community (SADC) region. People have been compelled to emigrate moving away from struggling economies in search of better livelihoods and employment, social marginalization and political conflicts in their home countries.

Although migration has always been part of human life since time immemorial, it is now, unavoidably, a survival and livelihood strategy for many, which is increasingly transforming the socio-demographic and political landscape of the region. Out-migration in the SADC region is increasingly prevalent. For example, the net contribution of out-migration in the SADC region is very high ranging from over 80% in Zimbabwe, 33% in Lesotho, 14% in Angola, 13% in Malawi and 8% in Zambia¹. In 2015, it was estimated that South Africa had the highest number of immigrants and was the favorite migrants' destination in the region hosting an estimated 3,142,511 which is around 58.4% of the total SADC migrants, followed by Zimbabwe and Mozambique which host an estimated 398,866 and 222,928, respectively². To echo the Director General of the International Organization for Migration (IOM), Ambassador William Swing, migration is not a problem we must attempt to resolve but a regional developmental reality we must manage to minimize its impact on human developmental outcomes³.

IOM has been implementing the project entitled: "Addressing Irregular Migration Flows in Southern Africa" in six countries in Southern Africa since 2010 in South Africa before it expanded its geographical scope to include Botswana, Malawi, Mozambique, South Africa, Zambia and Zimbabwe. The overall goal of this project funded by the United States of America's Bureau of Population, Refugees, and Migration (PRM) is:

"to support government in the 6 countries in the SADC region to manage migration effectively in order to uphold the rights of migrants"

¹ Developing the SADC Health Financing Mechanism for Mobile Population (2015). Unpublished report by IOM and Oxford Policy and Management (OPM).

² International Organization for Migration Regional Office for Southern Africa in cooperation with The Royal Norwegian Embassy; Briefing for Members of the Diplomatic Community in South Africa. Migration in Southern Africa. [2016, October 21].

³ IOM Global Director Mr William Swing speaking at the UN-IOM council meeting, September, 2016.

IOM conducted an internal review of this regional project to take stock of the achievements, lessons and challenges emanating from the past six years of implementation.

The evaluation used qualitative methods approaches to assess the achievements and determine the key project components that contributed to the observed successes and/or weakness. A combination of formative and summative approaches were used to elucidate the mechanisms through which the project works to achieve intended short, intermediate and long term target changes. A purposeful sampling technique was used to identify key interested and affected stakeholders to gather qualitative data to assess the project's achievements in relation to its intended goals.

The evaluation found solid evidence of intermediate outcomes that have the potential to lead to the ultimate goal of ensuring humane and orderly management of irregular migration in Southern Africa. The evaluation also found evidence of positive unintended outcomes beyond the project's set targets and good practices that can be integrated into future interventions.

Through iterative interpretation of the data from project document review, various Key Informant Interviews (KII), observation at the selected sites and project activities, chance conversation with stakeholders at the Musina border post, child welfare complex in Lusaka and Musina, the evaluation shed light on the Theory of Change (ToC) underlying the project intervention logic in relation to short and long term goals. KIIs also generated useful insight on how the TOC could be refined to reflect critical paths for the project towards realizing its ultimate goal of ensuring an orderly and humane migration management in the region. The summary of achievements by each project components is presented below.

Migration Dialogue for Southern Africa (MIDSA): the overall goal of MIDSA is to *enhance regional dialogue and cooperation to facilitate the protection of vulnerable migrants in the SADC region*. There are evidence suggesting good progress towards the achievement of this goal. Informants described MIDSA as a unique platform, which provides an ideal environment for SADC Member States to have meaningful dialogue on migration governance and related challenges affecting the region. This non-binding organic process has effectively set a path for honest dialogue, sharing lessons learnt and ignited bilateral and multilateral engagement on sensitive migration governance matters among and between SADC member states. One concrete example includes the various cross-border fora led by governments which facilitate bilateral collaboration on irregular migration management between Zambia and Zimbabwe; Zimbabwe and South Africa; South Africa and Mozambique and others. In addition, over the past six years, MIDSA has generated several recommendations that have been implemented at country level albeit at different levels. The fact that all governments in the six countries are more than ever before

committed to alternatives to migrants' detention demonstrates a political commitment to the protection of vulnerable migrants and humane migration management.

Capacity building (CB): The expected outcomes of capacity building as per the project result frameworks (from Phase I to VI) was primarily to increase knowledge and skills on migration management and migrant rights among target government officials. And, although it is not explicitly reflected in the project result matrix, CB also aimed at changing the officials' perceptions and attitudes on migrants by increasing their awareness of migrants' rights and needs. To some extent this was achieved, as demonstrable increase in knowledge and skills were evident in all the six countries. As it will be seen in the section of the report, project reports, KIIs and site observation data pointed to evidence of improved skills in knowledge in detecting victims of trafficking, in screening and referring vulnerable migrants such as Unaccompanied Migrant Children (UAMs).

There are also evidence of unintended positive outcomes attributed to the CB component. For example, informants who benefited from the training workshops believed that the training ignited inter-sectorial collaboration and coordination on Assisted Voluntary Return (AVR) and Unaccompanied Migrant Children (UAMCs) case management that would otherwise not have been possible. The informants attributed that opportunity for cross-sector collaboration and coordination to the fact that the training brought together workshop attendees from various government and NGO sectors under one roof. This created a safe space for them to learn from each other and to identify opportunities for collaborations. This finding is in line with the definition of capacity development by actors in the field of development as a process through which individuals, organizations and societies obtain, strengthen and maintain capabilities to set and achieve their desired positive change (see better evaluation, 2016)⁴.

Direct Assistance (DA): The aim of this component as per the project document is to ensure that vulnerable migrants have access to protection services such as access to shelter and AVR. During the course of six years, over 1,522 vulnerable migrants were successfully returned through the project DA. The findings from interview with AVR beneficiaries back in their home countries were interesting. While they were fully satisfied with the service they received from IOM throughout the process of returning home, they regretted having volunteered to return home because they realized the conditions that led them to their migration in the first place remained the same or got worse. Nevertheless, the AVR proved to be a crucial glue of IOM's partnership alliance with governments

⁴ <http://betterevaluation.org/en/themes/capacitydevelopment#CDOtherFramework>

and development organizations towards a more holistic and longer term response to irregular migration in Southern African region.

It strongly appears that through the process of providing AVR to vulnerable migrants, the project was able to achieve other intended and unintended positive changes, including strengthening bilateral and cross-border collaboration beyond planned results. Through the DA component, several sustainable migration management infrastructures (e.g. cross-border collaboration and coordination mechanisms, AVR screening tools and guidelines, etc.) were developed and are effectively used with government increasingly taking a lead across all the six countries and at regional level.

In a nutshell, findings from KIIs, project documents review and observations at the sites suggest that the quality of multi-sectorial collaboration at regional, national and local levels on irregular migration challenges contributed to multiple project intermediate outcomes at various levels. Collectively, these realized interdependent outcomes have the potential to lead to the development and strengthening of needed infrastructure for sustainable humane and orderly migration governance in the SADC region. However, more advocacy work at higher level is still needed before this can be fully realized.

PROJECT DESCRIPTION

The following section discusses the project background and rationale, describes the project short and long term target results as well as intervention components implemented to achieve the planned results. The sections ends with a brief discussion elucidating the theory underlying the project interventions.

PROJECT BACKGROUND AND RATIONALE

Irregular migration is a high-risk migratory venture undertaken by those motivated by instinct of survival (De Wenden, 2004) who often do not have adequate resources to prepare for their migratory journeys. Majority of borders in SADC region are natural and easy to cross landscapes. Hence, a significant number of individuals cross international borders in search for employment and other livelihood opportunities without the right documentation because they do not feel compelled as some see these as artificial colonial boundaries that split families and communities between two States. Others are forced to leave their homes unprepared and without the right documentation due to war and other life threatening events.

Migrants who undertake the arduous journey often find themselves precariously vulnerable to sexual abuse, violence, hunger and exhaustion, force labour⁵ and other vulnerabilities, which potentially have a negative long term impact on their social welfare and human development. Unaccompanied and separated migrant children are the most affected, especially when victims of human trafficking and or smuggling. The share of children among Africa's migrants is the largest for any region. Nearly one in three African migrants is a child, more than twice the global average (UNICEF, 2016). UNICEF (2016) also estimated that nearly three million African who have been forced out of their home countries are faced with the harshest realities. According to anti-trafficking laws in some Southern African countries, any person including a child, found in irregular situation and found to have consented to being smuggled or trafficked can face long jail sentence alongside other criminals.

It is against this background that, in partnership with the United Nations High Commissioner for Refugees (UNHCR) and other partners and, through funding from the United States Department of State Bureau of Population, Refugees and Migration (PRM) IOM implements the project supporting the SADC member states in addressing irregular migration in Southern Africa specifically in Botswana, Malawi, Mozambique, South Africa, Zambia and Zimbabwe. The project's main beneficiaries include smuggled persons, unaccompanied migrant children (UMC), asylum seekers, victims of trafficking (VoT) as well as circular low skilled farm, mine and factory and domestic workers or informal cross border traders.

PROJECT INTERVENTIONS

The project started in 2010 with funds from the United States' PRM. This funding is mandated by the United States Legislature as part of the annual funding allocation by Congress. The mission of the PRM is *"to provide protection, ease suffering, and resolve the plight of persecuted and uprooted people around the world on behalf of the American people by providing life-sustaining assistance, working through multilateral systems to build global partnerships, promoting best practices in humanitarian response, and ensuring that humanitarian principles are thoroughly integrated into U.S. foreign and national security policy"*⁶. In Southern Africa, the project comprises of four intervention components: Capacity Building, Direct Assistance, Regional Migration Dialogues and Cooperation. Below is an overview of the project components over the six years of implementation.

⁵ In Pursuit of the Southern Dream: Victims of Necessity, Assessment of the irregular move of men from East Africa and the Horn to South Africa, April 2009

⁶ <http://www.state.gov/j/prm/about/index.htm> [accessed on 14th October 2016]

Table 1: Overview of the Project

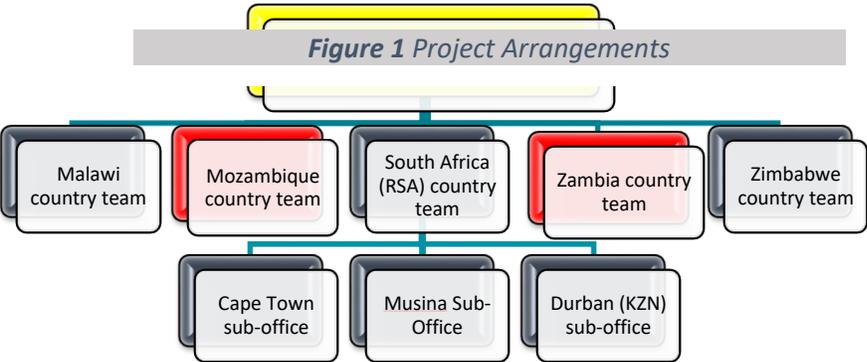
Project Phase	Coverage	Components Implemented	Overall Objective	Budget (USD)
PRM I 2010 – 2011	South Africa	<ul style="list-style-type: none"> • MIDSAs • Capacity Building • Direct Assistance (AVR) • Anti-Xenophobia & Safe Migration 	To Enhance policy/legislation to prevent anti-xenophobia and promote safe migration	800,000
PHASE II 2011 – 2012	South Africa	<ul style="list-style-type: none"> • MIDSAs • Capacity Building • Direct Assistance (AVR) • Anti-Xenophobia & Safe Migration 	To Enhance policy/legislation to reduce irregular migration and contribute to the development of an action-oriented agenda	800,000
PHASE III 2012 – 2013	South Africa	<ul style="list-style-type: none"> • MIDSAs • Capacity Building • Direct Assistance (AVR) 	To contribute to the protection of vulnerable migrants in SADC Region	1,080,000
PHASE IV 2013 – 2014	Botswana Malawi Mozambique South Africa	<ul style="list-style-type: none"> • MIDSAs, • Capacity Building • Direct Assistance (AVR) • UMC 	To Support Governments in the SADC region in managing migration in a humane and orderly manner with a focus on irregular migration	1,200,000
PHASE V 2014 – 2015	Botswana Malawi Mozambique South Africa Zambia and Zimbabwe	<ul style="list-style-type: none"> • MIDSAs • Capacity Building • Direct Assistance (AVR) • UMC 	To support governments in the SADC region to manage migration in a humane and orderly manner with a specific focus on upholding the rights of vulnerable migrants	1,170,000
PHASE VI 2015 – 2016	Botswana Malawi Mozambique South Africa Zambia Zimbabwe	<ul style="list-style-type: none"> • MIDSAs • Capacity Building • Direct Assistance (AVR) • UMC 	Migration in the SADC region is managed in a humane and orderly manner that upholds the human rights of migrants	1,243,704.00

As shown in the table above, in 2013 the project expanded geographically to cover five more countries including Botswana, Malawi, Mozambique, Zambia and Zimbabwe in addition to South Africa and became regional. The move to expand regionally was motivated by the need to address the migration challenges faced by the region, which by their nature, are regional. Alongside the geographical expansion, the project also broadened its scope, from initially solely aiming to achieve policy and legislations that prevent xenophobia and promote safe migration (See PHASE I result matrix), to ensuring migration is managed in a humane and orderly manner in the SADC region.

Funding Structure: The US’ PRM funds IOM for a one year stand-alone project. While the core interventions remained the same across all the phases evaluated, the evaluation noted some significant changes to some project result statements and indicators each year but there was limited documented records as to whether such changes were introduced based on lessons learnt from implementation. The one year standalone project cycles seem limiting in terms of project design and long term planning particular since the issue at hand is developmental and complex requiring multilateral long term response and approaches.

Implementation arrangement

Before the project became regional, the project management was under the South Africa Country Office. When the project expanded to become regional, its management site moved from the South Africa Country Office to the Regional Office (RO) in Pretoria and later to IOM Botswana, a strategic move because this is where the IOM SADC Liaison office is based. The diagram presents the project HR structure since its expansion to become regional in 2014.

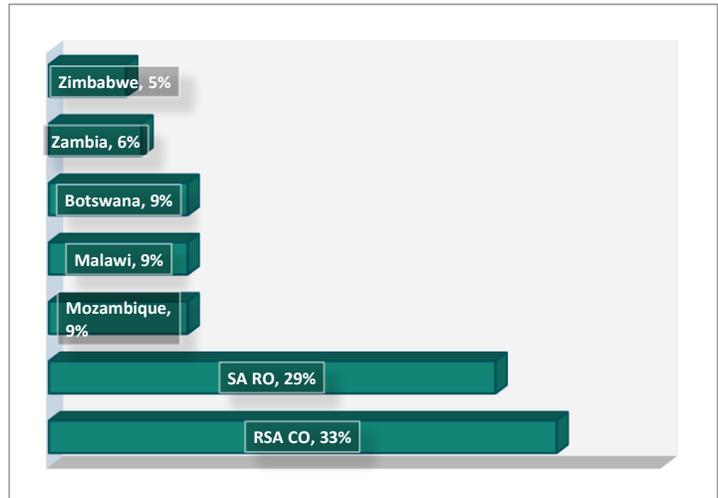


The decision to move the project management site from South Africa to the Regional Office was strategic in the sense that it aimed at forging and nurturing cross-country implementation coordination, and lesson sharing in response to the regionality of the challenges related to irregular migration.

Country budget distribution and utilization

While the evaluation noted significant improvement from one PHASE to the next in terms of project planning and implementation, country level internal respondents felt that budget allocation process has not been sufficiently participatory and they had limited clarity as to their role on the budget burn rate monitoring and projection.

The South African country office has the highest cumulative budget with a share of 33% since 2013, followed by the Regional office with a share of 29% of the total budget (see figure 2). Both internal and external respondents expressed the concerns that limited funds made the implementation of some project activities challenging given the complexities of migration issues the project is dealing with, more so in countries experiencing heightened economic distress such as Zimbabwe.



The expansion in project scope made perfect sense as it is better positioned to use a regional approach to address a regional problem. However, while seen as cost-effective, the expansion from one country to six without a commensurate additional funds posed implementation challenges.

PROJECT THEORY

In order to focus interventions and achieve their goals as planned, program staff ought to have an underlying mechanism explaining the causality between the order of implementation steps and the targeted outcomes or goals (Weiss, 1998). The Project design is such that it is divided into quasi-standalone one year projects without an explicit strong hook or intermediate and ultimate long term goals tying each phase year to the next. This can be potentially limiting for what should be a programme addressing a systemic developmental problem of irregular and mixed migration which, by its very complex nature, requires not just one year of interventions but long term multifaceted interventions. The evaluation team navigated through each year's project document and compared all of the six phases in order to identify the common long term goal. The overarching goal for the project which was slightly adjusted each PHASE to reflect the political and social climate of the moment is best reflected in Phase VI:

“Migration in the SADC region is managed in a humane and orderly manner that upholds the human rights of migrants”

Although at times implicit, this evaluation traced this goal in all the six year project documents and proposed it as the overall goal to guide the evaluation along the six year intervention continuum, as a kind of culmination of the sum of related activities. It also served as the evaluation reference in all the interpretation of the data on the projects performance. This goal is achieved through the achievement of the interdependent intermediate outcomes stated below:

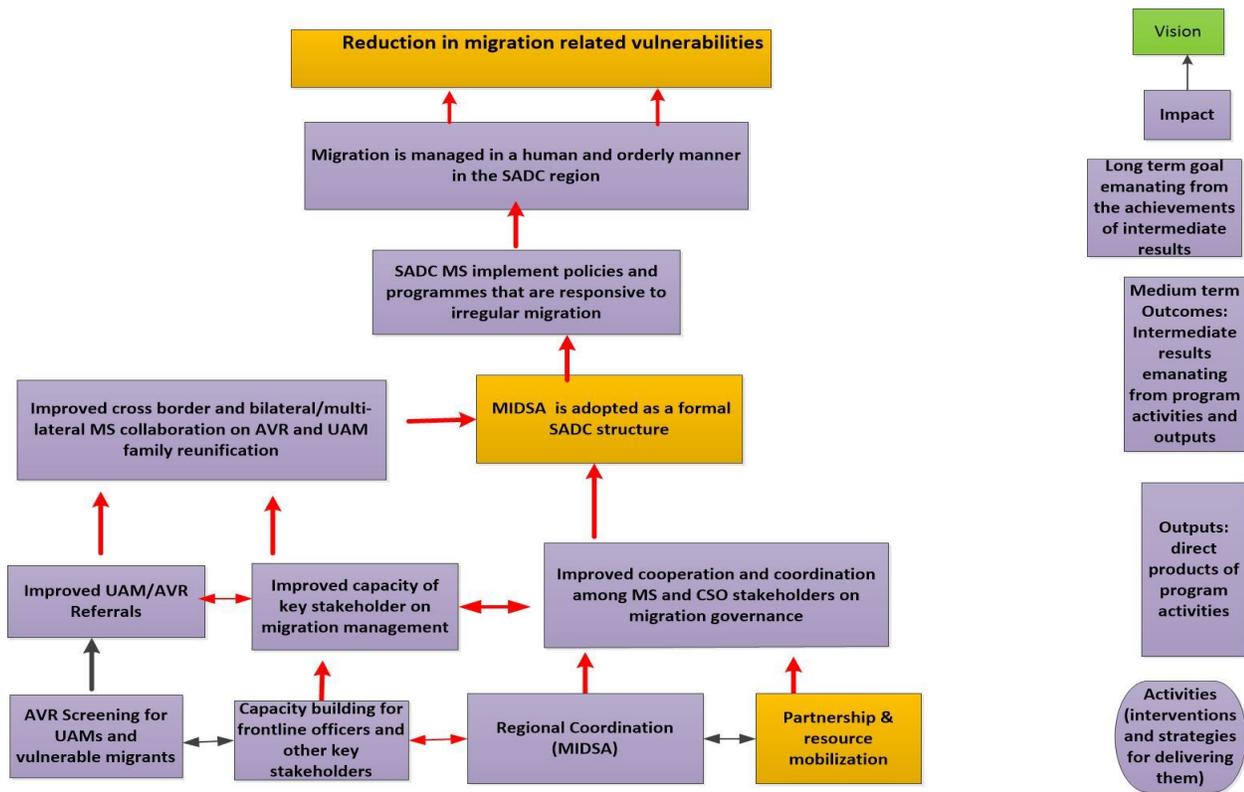
- *Enhanced regional dialogue and cooperation facilitate the protection of vulnerable migrants in the SADC region;*
- *Increased collaboration and coordination on migration management in the SADC region;*
- *Increased willingness of SADC Member States to develop migration management frameworks which facilitate the protection of vulnerable migrants;*
- *Enhanced capacity of stakeholders to manage migration;*
- *Improved willingness of government officials and key stakeholders to effectively address issues of irregular migration; and*
- *Vulnerable migrants including UAMs enjoy increased access to protection in their countries of origin*

The fact that the projects have annual stand-alone life cycles presented significant challenges to the evaluation team when trying to elucidate a project's logic/theory. In order to overcome the challenge, during the evaluation design process, the team spent time reviewing project documents, particularly each year's result matrix to tease out key assumptions that held each annual project performance targets to the next and, ultimately, to the whole.

As noted by Unrau (2001) the project's overall goal, explicit or not, carries the project's long term vision and provides a hint of the problems the project seeks to address, the population affected and the desired change. Although implicit, the project's goal above provided the evaluation team with sufficient latent information to work backwards tracing the project pathway to this goal and identified some important areas that were omitted in a project target result chain.

Through a back casting process, based on feedback from informants and projects document review and observation at the sites, the evaluation attempted to construct a project Theory of Change (ToC) as presented below. It can be further refined by the project team through a participatory process to identify gaps in terms of implementation strategies, short, intermediate and long terms project goals and key assumptions based on regional, national and local priorities and contexts. This process would provide the project team a useful reflective space for learning and for enhanced collective understanding of the mechanisms, through which the project components are expected to work to achieve target results.

Figure 3: The Proposed PRM Project ToC)



The voices from KIIs provided insightful information about how the change brought about by the projects interventions was multidirectional (see the diagram above) not just linear as the project documents suggest. Officials who benefited from the training for example reported that multi-sectorial capacity building approach used by IOM and its partners, apart from improving the trainee knowledge, ignited a unique opportunity for inter-departmental/sectoral communication and collaboration about migration and increased AVR and UAMs referrals between and among CB beneficiaries. There was also a noted improvement in the multiple stakeholder coordination and synergies which was attributed to this multi-sectorial approach to CB efforts and dialogue. Many respondents who participated in the project capacity building especially government officials stressed the need for further partnership alliance mobilization to guarantee endorsement and smooth implementation of what has already been achieved through the MIDSA and other processes put in motion by the project.

EVALUATION RATIONALE

This is the first evaluation of the project since its inception in 2010. It provides first opportunity to undertake a systematic analysis of the projects' contribution towards ensuring *migration is managed in a humane and orderly manner* in the SADC region. The evaluation took stock of the projects achievements in the past six years of implementation against set targets, provided detailed descriptions of components that were effective and which

were not and has drawn lessons that can inform projects consolidation and design of similar IOM and partner initiatives.

EVALUATION PURPOSE, SCOPE AND METHODS

EVALUATION PURPOSE

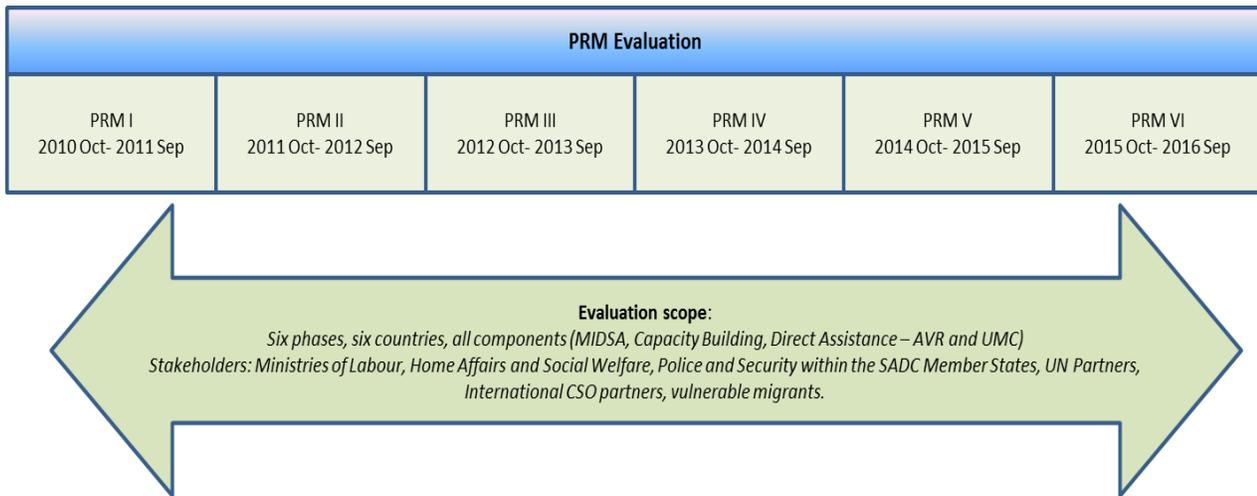
Scrivens (1967) describes the purpose of formative evaluation as to form, shape, standardize, and finalize an intervention before it is ready for summative evaluation. Patton (2016: 252) defines “summative” in these words: *“Summative evaluation began as a purpose designation, the purpose being to inform a major decision about the merit, worth, and a significance of a curriculum, program, product, or other interventions to determine its future: kill or cut it back, continue as is, enlarge it, and take it to scale”*. The purpose of this evaluation is a combination of *formative* and *summative* evaluation and was commissioned by the project management to take stock of what has been achieved so far and to identify lessons for improving the projects and future phases or similar initiatives. Specifically, the evaluation assessed:

- The overall projects performance against intended intermediate and long term results;
- The extent to which the projects has put in place functional and potentially sustainable mechanisms and implementation infrastructure (e.g including tools, guidelines, coordination mechanisms, etc.) to facilitate humane and orderly mixed migration management in the six countries covered by this evaluation;
- Identify projects components and implementation strategies that were effective in achieving the observed results and which strategies need strengthening.

EVALUATION SCOPE

The scope of evaluation was defined in consultation with the project management team. Below is a diagrammatic representation of the evaluation scope.

Figure 2: Projects Evaluation Scope



METHODOLOGICAL APPROACH

The evaluation was designed to respond to the OECD/DAC evaluation criteria for evaluating development-oriented intervention: **relevance, effectiveness, efficiency, sustainability and impact.**

Evaluation questions: a set of evaluation questions were developed based on the above OECD/DAC evaluation criteria to guide the systematic data gathering. Some of the evaluation questions developed during the protocol development were updated based on lessons learnt from projects document review and from early interactions with the projects stakeholders, particularly internal staff members. The guiding questions include:

- a) Was the project’s design plausible in light of articulated results?
- b) To what extent has the project been effective in realizing its set short and long term goals?
- c) What project’s components were more effective and which were not?
- d) To what extent has the project been efficient?
- e) What lessons can be learnt from the project?
- f) What are the sustainable systems for humane migration management has the projects helped put in motion and what are the projects delivery sustainability strategies? Are they sound?

Evaluation research method: A cross-sectional qualitative method was used to gather data necessary to respond to the above principal evaluation questions as shown in the table below.

Table 2: Summary of Evaluation Methods and Tools

Method	Activities	Tools required	Products
Document review	<ul style="list-style-type: none"> Review reports, project documents and other related documentation Review training manuals 	<ul style="list-style-type: none"> Evaluation rubric 	<ul style="list-style-type: none"> Implementation strategies identification; Identification of progress and challenges <p>Key project components implemented and results achieved</p>
Key Informant Interviews	<ul style="list-style-type: none"> Identification of potential informants by issue category Secure interview appointment with relevant informants 	<ul style="list-style-type: none"> Interview Guides and questionnaires for the evaluation 	<ul style="list-style-type: none"> Rich qualitative data on project processes and performance with regard to target results
Observation at selected sites	<ul style="list-style-type: none"> In consultation with the project coordinator, one site was selected to undertake a field visit for a comprehensive assessment in the form of a case study on irregular migration management 	<ul style="list-style-type: none"> Site observation Interview guides 	<ul style="list-style-type: none"> Case study describing in details the process of irregular migration screening, the adequacy of tools used, good practices, lessons and challenges.

Document review

The evaluation included a systematic review of key documents related to the projects from Phase I to Phase VI. Documents reviewed were each project phase document, quarterly and annual reports, quantitative database, guidance notes, project implementation tools, work plans, financial reports, meeting minutes and research studies. The purpose of the document review was to assist in identifying additional relevant questions to inform the evaluation and to get critical information on project contexts and challenges. The document reviews also provided good evidence on what the projects have achieved, the challenges encountered such as implementation slippage as well as potential risks/threats that may have hindered its implementation. Findings from document review informed the sampling of key stakeholders to include in the Key Informants Interviews (KIIs) and in the development of the interview guides.

Key Informants Interviews and Sampling

By program stakeholders, we refer to informants from various groups that have an interest in the project e.g. project staff, government officials, development partners as well as direct beneficiaries.

A mixture of purposeful and link tracing sampling were used to identify KIIs respondents from target interested stakeholders. To ensure a representative picture about the project's intentions, design and results; the sample included informants from key project leadership and developers with mastery of project background, context and intended overall goal. This enabled the evaluation team to garner in depth information about key assumptions underpinning the projects logic and to elucidate the projects implementation and change theories.

Four sets of interview guides were developed to obtain information related to:

Regional Stakeholders i.e. MIDSA officials:

- a) MIDSA's design, processes and sustainability with regards to facilitating protection of vulnerable migrants in the region;
- b) MIDSA Efficiency
- c) The extent to which member states have implemented MIDSA recommendations and resultant action plans; and
- d) The extent to which Member States are willing to fund and own MIDSA processes.

Government frontline officials and CSOs:

Interview schedule for government officials and members of Civil Society Organizations (CSO) focused on:

- a) Assessing the results brought about by the project CB component among relevant stakeholders and government institutions;
- b) Change in political environment for capacitated officials to utilise the skills obtained from IOM's capacity building interventions.
- c) Sustainability and efficiency of capacity building interventions.

Project staff:

The interview schedule for project staff aimed to get information on:

- a) The projects context and the link between what the projects do and their target results;
- b) The 'project lump sum' achievements realized over the past six years;
- c) The effectiveness of the projects strategies/components in bringing about results;
- d) The nature and quality of partnerships established and nurtured through the Projects and their effectiveness in facilitating achievements of the projects short and long term results;
- e) The unintended negative or positive results emanating from projects interventions; and
- f) Stakeholder views on the strategic direction the 'project' should take beyond Phase VI.

Data collected from the project staff was triangulated with data from other key informants, observations at selected sites and document review to ensure a well-supported conclusion drawn about the project’s performance.

Projects beneficiaries

Project beneficiaries who had been successfully returned home through AVR were sampled. The rationale for drawing a small sample from the beneficiaries who have been returned was based on the assumption that they have been repeatedly exposed to IOM interventions before, during and after AVR thus had a full story to tell about the experiences with the project services. Moreover, unlike many other migrants reached by the project, their full locator information was readily available and accessible from project database. The aim was not to assess whether beneficiaries were successfully reintegrated in their home communities as reintegration is beyond the scope of the project but to get a feel about their decision to voluntarily return home.

A total of 41 key informants were administered. Below is summary of KIIs sample.

Table 3: Sample Distribution

Participants’	n	Location
Government officials	15	in all the 6 countries
Project staff	14	in all the 6 countries
Project CSO partners	6	South Africa (regional and provincial)
Project AVR beneficiaries	5	4 countries
UN partners	3	South Africa (regional offices)
Total	43	

[On-site Observation \(Musina, and MIDSA\)](#)

On-site observation is one of the many methods to get first-hand information about the project in its natural setting. Because observations places the evaluator closest to the project operations, they are considered as highly credible source of information because the observers’ reports reflect what people have directly seen while observing the project in operation (King et al, 1987). The observation was included as part of the formative process of the evaluation to assess the extent to which the project is effectively implemented and to get useful cues and feedback about the project from its partners and stakeholders. Even though they were informal, the observations conducted focused on key predefined project aspects in line with the evaluation questions and were integral part of KIIs at the site.

Evaluation limitations

Limitations of the evaluation included the following:

Methodological limitations:

Remote KIIs: Ideally, the nature of data required to make substantiated conclusion about the project performance needed to be collected face-to-face to allow probing to obtain deeper insights from key informants. Due to budget constraints, most of the interviews were conducted remotely using conveniently available technology such as audio-recorded Skype and telephone. To minimize the effect of this limitation and to maximize the opportunity for face-to-face data collection, the evaluation team framed the site visit as a case study data collection *opportunity* (Paton, 2015) and pre-planned systematic interview with key project stakeholders at Musina site (South Africa), with embedded observation of selected project activities.

Absence of baseline data on key outcome indicators: Baseline data is critical for an evaluation of a project that has been running for six years. The fact that the project does not have baseline data on outcomes against which achievements could be measured was challenging. The interview guides included retroactive questions (recall) to help the interviewees reconstruct the baseline status in attempt to address this limitation.

Project design: The fact that there are six quasi-standalone year-long projects was an important limitation because each of these phases has its own full project document and a separate result matrices, which required more time to navigate and compare.

Operational limitation:

None of the six year phases included the evaluation budget. This meant that not only the evaluation had to be conducted by internal staff members with other responsibilities. This delayed the completion of the exercise but also limited the opportunities to visit study sites of interest.

Data Processing and Analysis

Two main processes of qualitative data coding were undertaken. Once document review was systematically undertaken, the information was classified according to thematic rubric aligned to the evaluation purpose and criteria. Using ATLAS.ti⁷, the two evaluators first coded data independently by assigning relevant text segments of sentences/phrases or key words to associated codes. Once the initial independent coding was completed, the two coders undertook second coding iteration collaboratively to agree and construct a coding scheme of the main themes emanating from the first level screening of emergent themes.

⁷ ATLAS.ti is a computer program used mostly in qualitative research or qualitative data analysis. The software makes it easy to code qualitative data: atlasti.com

ANALYSIS OF EVALUATION RESULTS

PROJECT OVERALL ACHIEVEMENT (2010-2016)

The section below presents the overall achievements made by the project followed by achievements per component.

To achieve intended results, the project used a mix of implementation strategies and mechanisms that include Inter-Ministerial Migration Dialogue platform, cross-border collaboration, technical and inter-agencies working groups and several other local network alliances involving CSOs and provincial government departments in project implementing countries. These infrastructures established and/or strengthened overtime by IOM and its partners are, according to various informants, among the key preconditions for achieving the above long term goal. It appears that these implementation infrastructures and coordination mechanisms are effective vehicles for sharing within and across national boundaries lessons and good practices on migration governance.

Before describing the evaluation findings, an observation on the measurement approach used in relation to challenges outline in previous sections is provided below.

Note on the measurement

The indicators to measure the progress made towards the above overall goal were found to be problematic for a number of reasons:

- While the objective statement remained more or less the same from PHASE III to PHASE VI (2013-2016), the indicators to measure the change in the result statements changed each year. This meant that each of the ambitious overall goal was to be achieved, at least in theory, within the one year project cycle. This made it challenging to use the stated indicators to measure long term changes over the six years covered by the evaluation. Below are examples of the different indicators for the overall goal each year:
 - Government officials in the SADC region perceive improvement in management of irregular migration (Phase IV)
 - Number of countries with legislations and policy that respond to the needs of vulnerable migrants (Phase V)
 - Number of countries that continue to demonstrate a commitment to improving systems for the identification, referrals and assistance that respond to the needs of vulnerable migrants (Phase VI)

After reviewing and comparing different project phases' result matrices and identifying gaps in result measurement indicators, the team traced, in each phase, the common intermediate and long term domain of changes to focus on along the six year continuum, in light with the evaluation purpose.

Overall, there is good evidence of progress towards ensuring that migration is managed in a humane and orderly manner. The stated indicator under Phase VI to measure this result is *“the number of countries that continue to*

demonstrate a commitment to improving systems for identification, referrals and assistance that respond to the needs of vulnerable migrants”. Evidence of good progress on this indicator is described below:

Alternative to detention/deportation

Previously, in all countries, irregular migrants including Unaccompanied Migrant Children were immediately deported or put in prison as in the case of Malawi and Zambia when apprehended by law enforcement agencies. Such practices have overtime changed in all the six countries as illustrated below by some evaluation findings:

South Africa: the Victims of human Trafficking (VoT) were previously detained and deported without investigation. Some change has been observed in recent times. For example, in 2014, South Africa changed its legislation to allow VoTs to stay in the country on a special permit to collaborate with the government in the investigation of the human trafficking networks operating within and across the country. While in the country, the VoTs receive assistance from the government to meet their basic needs including shelter and food. Furthermore, only the Department of Home Affairs (DHA), South African Policy Service (SAPS) and the South Africa National Defense Forces (SANDF) exclusively dealt with cases of irregular migration. Increasingly, there is a realization that the issue is developmental in nature hence several relevant departments who were never previously involved to ensure a fair treatment of migrants at any points in migration management referral systems have been mobilized. These include the Department of Social Development (DSD), Department of Health (DoH), and Department of Justice and Constitutional Development (DoJ), Department of Labor (DoL) and to a lesser extent, the Department of Education (DoE). This is an example of positive change to which the project contributed, towards ensuring orderly and human irregular migration case management in the country. Such implies the government have committed more human and financial resources to ensure human rights of migrants are upheld.

Zambia: according to the National Counter-Trafficking Act, the perpetrator and victims of human trafficking, even Unaccompanied Migrant Children (UMCs) are sentenced to a minimum of 15 years in jail. Recently, the government has shown commitment to alternatives to detention. The fact that the government has been working closely with IOM to refurbish a children’s shelter to accommodate UAMCs in irregular status awaiting for AVR is a good commitment to the improvement in its migration governance. The only limitation for implementing full alternative to detention in Zambia, according to informants, have primarily been the resource limitations. The government commitment has also been demonstrated in processes such as the development and implementation of a full irregular migrant case management referral mechanisms and guidelines.

Zimbabwe: the government has demonstrated commitment to humane and orderly migration management through the refurbishment of shelters to accommodate stranded irregular migrants. IOM supported the

refurbishment of the shelters with the understanding that the government would fully take over the management of the shelters, which is yet to happen due to the current resource challenges in the country. Noteworthy that the government has strengthened collaboration with various embassies to facilitate the return of their citizens kept in Zimbabwean prisons. For example, the Embassy of Ethiopia has recently come on board to return a significant number of stranded Ethiopian migrants in Zimbabwean prisons. This is a commendable good practice that could be explored by other countries with similar challenges.

Migration management infrastructure

Irregular and mixed migration occur on an ongoing basis and transnational networks that sustain this dynamic phenomenon are increasingly complex. Migration governance infrastructure is one of the key preconditions that must be in motion towards sustainable integrated migration governance. Our analysis was guided by the hypothesis that sustainable change in the way irregular migration is managed in the SADC region will depend on the amount of system infrastructure (see explanation below) the project and its network of partners have and will continue to put in place to handle mixed migration flows across the region. There are three main types of infrastructure needed to build a system that is able to effectively handle complex dynamic challenges (Hargreaves et al, 2013) such as irregular and mixed migration. These include: i) foundation infrastructure (planning); ii) implementation infrastructure (operations and workforce development) and iii) sustainability infrastructure (financial resources, community and political support, communication and evaluation).

a) *Foundation infrastructure:* foundation infrastructure includes, amongst other things, building partnership and collaboration alliances among key stakeholders for effective delivery of project interventions at regional, national and local levels. The partnership and collaboration networks were evident across all levels of implementation with AVR and protection of UAMs as a key partnership tether. At the same time, it appeared that joint planning with strategic partners such as governments and international development partners, which is important for the success of the project, was still weak according to some informants. Some key partners reported that the planning and implementation of activities with IOM has been on informal and ad-hoc basis not purposefully systematic. This potentially limits partners' goal alignment and cost-efficiency which carries the intervention sustainability (Hargreaves et. al 2013).

b) *Implementation infrastructure:*

Implementation infrastructure refers to systems put in place by the project and its partners to support migration management key operations. Document review, observation at the site (Musina border site) and observation of project-supported stakeholder dialogue and key informant interviews showed that, over the

past six years, the project has helped put in motion several implementation infrastructures for improved case management of vulnerable migrants in irregular situations. These include for examples cross-border coordination forums, inter-agency working groups, multi-sectoral working groups, cross-sectoral referral mechanisms that are operational albeit at different levels of maturity in the six countries.

It is noteworthy that while cross-border coordination fora were initially fully run by IOM and development partners, government departments have increasingly taken a lead and ownership within their limited resource capacity once they have seen their added value. For example, the cross border coordination group at one of the busiest border post that handles one of the most challenging irregular and mixed migration processes in the region (Musina) connecting South Africa and Zimbabwe is led by the South Africa's Department of Social Development (DSD); the Chirundu cross-border coordination forum connecting Zambia and Zimbabwe is now government-led. These are important project footprints and good practices that can be replicated in other contexts.

These implementation infrastructures have also provided ample opportunities for the development of implementation tools including Standard Operating Procedures (SoPs) for managing AVR and UAMs, referral guidelines, screening tools used to identify vulnerable migrants for AVR and several other implementation tools such as data collection and case report forms. However, informants on the ground voiced the concern that different stakeholders are still using unstandardized own tools (e.g screening tools and data management templates), which makes systematic sharing of accurate information difficult.

c) Sustainability infrastructure:

Sustainability infrastructure refers to joint deliberate efforts by project stakeholders to leverage resources to support the project initiatives at all levels towards ensuring sustainability of infrastructure put in motion by the project. There are examples of efforts made by the project and its partners to mobilize partnerships on mixed migration management. For example, initially, only the government departments related to immigration, labor and security were involved. Overtime, the project has helped the mobilization and involvement of several other sectors including health, social welfare, education and department of justice, embassies as well as UN agencies and CSO actors.

The project's efforts in advocating and mobilizing governments have evidently led to an increase in government contribution to the project's processes, although not always in monetary terms. The fact that all the six governments are now implementing certain degree of alternatives to detention to improve the protection of vulnerable migrant women, men and unaccompanied minors is a good evidence of political will to institutionalize migration management within government systems. However, there is still much need to mobilize relevant line

Ministries to ensure appropriate and coherent response across all interested and affected government departments.

Many respondents reported funding constraints as one of the biggest limitations for sustainability in advances made by the region to effectively deal with irregular migration. Yet, the evaluation found no clear project-level strategy for resource mobilization and diversification to supplement the US' PRM funding. The mixed migration as experienced in the SADC region, as elsewhere, is an ever changing developmental phenomenon requiring a holistic long term developmental response in line with the global agenda and the spirit of SDGs of 'leaving no one behind'. This IOM's project, which is one of the very few of its kind, to responses to irregular migration in the region could potentially benefit from prioritizing resource mobilization and donor diversification strategies. However, getting funding will depend on how the project makes its case for its relevance within the broader context of sustainable development goals, regional and country priorities. It will also depend on how it is capable to show and capitalize on the lessons learned through its evolution over a period of six years, from a single targeted project approach to a regional integrated and comprehensive approach of the management of a humane and orderly migration.

The project helped the SADC Member States in the development of a MIDSA sustainability plan for mixed migration management whose feasibility is yet to be tested. Evidence has shown the importance of spending significant efforts on processes to ensure high-quality collaboration and goal alignment (Hargreaves et al, 2013). Because of the complexity and dynamic nature of the migration challenges, the effective operationalization of the plan will significantly depend on the quality of stakeholder collaboration network and alliances. While most of partners interviewed spoke highly of their collaboration with IOM and IOM added value to advance their mandate, it was clear that often the collaboration is ad-hoc, not strong enough to lead to mutual goal alignment and synchronization towards improved migration governance. Some core partners reported limited opportunities for joint planning and were generally not conversant with the IOM's project and its intended results.

To maximize partner potential contribution to project results, there is a need to review the quality of the collaboration with key government departments, CSOs and UN partners. This can ensure mutual goal alignment and joint operations through an integrated project approach, which are key aspects of quality partnerships that lead to sustainability of initiatives addressing irregular migration.

ACHIEVEMENTS PER PROJECT COMPONENT

Migration Dialogue for Southern Africa (MIDSA)

Background and context

In past two decades, the number of vulnerable men, women and children involved in mixed migration originating from East and Horn of African and the Great Region and countries in the SADC region has been on the increase. Pushed by wars, civil unrest, economic disintegration and aspirations for better livelihoods (UNICEF, 2016), the phenomenon has grown increasingly complex. The phenomenon is made more complicated by the fact that it is often sustained by “invisible“ self-sustaining transnational human trafficking and smuggling networks operating aloof from government dealings across the major migration routes and transport corridors. Men, women and children who undertake these journeys often have no legal documentations which exposes them to various risks, including sexual exploitation even imprisonment with potential negative long term impact on their health, wellbeing and human development.

In the absence of a region-wide policy and legal framework for managing such complex migration flows, IOM in collaboration with UNHCR and other development partners have been supporting the SADC inter-ministerial dialogue on irregular migration within the region through MIDSA, one of the key components of the project.

MIDSA was established in 1999 by IOM and the then Southern African Migration Project (SAMP). It became part of the project in 2010. By design, MIDSA is the only Regional Consultative Process (RCP) that provides SADC Member States a unique opportunity to share experiences, lessons and to capitalize on good practices as well as exploring opportunities for multi-lateral and bilateral collaboration on relevant issues of migration governance. Put simply, the aim of MIDSA is to promote intra and inter-governmental cooperation on migration challenges faced by the region.

This evaluation assessed results brought about by MIDSA in relation to its set targets in the past six years. Specifically the evaluation looked at the following:

- a) MIDSA’s design, processes and achievements;
- b) The extent to which member states have implemented MIDSA recommendations and resultant action plans;
- c) MIDSA efficiency and sustainability.

Note on the measurement

The outcome statement in the result framework clearly articulates that, through MIDSA, the project intended to improve coordination and cooperation among SADC member states on irregular and mixed migration management. However, there are challenges related to measurement of MIDSA achievements using indicators proposed in the project result framework. These include: i) the logical link between outcome indicators and the domain of change they are expected to measure in the project outcome statements is extremely thin; ii) the outcome indicators do not reflect the medium and intermediate or long term project outcomes, hence could not be used as yard sticks to measure the expected changes. The target outcome for the MIDSA component in phase VI of the project was: *“enhanced regional dialogue and cooperation to facilitate the protection of vulnerable migrants in the SADC region”* the two proposed indicators to measure this outcomes are:

- Number of regional consultative processes successfully implemented and
- Number of declarations prepared for SADC approval.

The indicators are completed activities expected to be implemented by the project, not outcome indicators. The evaluation team constructed the expected broad qualitative outcome indicators aligned to MIDSA outcome statements based on MIDSA stakeholder expectations expressed during interviews and MIDSA process documents reviewed during the evaluation inception phase.

MIDSA design and process: MIDSA is a non-binding informal structure. Most informants (internal and external) were convinced that keeping MIDSA informal and non-binding was an effective strategy for ensuring frank engagement among SADC member states on irregular migration challenges in the region. This non-committal organic process is believed to effectively set path for honest dialogue, lessons sharing and bilateral and multilateral engagement on sensitive migration governance matters. This assumption that collaboration does not need to be binding to be effective is asserted by Mattessich and Monsey (2001). What is important is for the collaboration to have strong leadership because leadership permeates all aspects of collaboration (Lydia I et al. 2014), creating an enabling environment for effective engagement towards specific shared goals. MIDSA takes place once a year and each member state has a chance to host and lead the event. This is a good practice that has created a sense of collective ownership and shared leadership of the initiative and provides a reflective space for learning and strengthened relations among member states on migration matters.

What is the relevance of MIDSA?

The evaluation notes from various data sources that MIDSA is unique and the only platform that provides a relaxed environment for SADC member states' senior technical officials and Ministers to deliberate on ways of effectively managing the irregular migration phenomenon faced by the region. In the absence of a SADC-wide policy and legal framework for migration governance, the need for such a platform was evident across all evaluation data. All respondents provided good descriptions of why MIDSA was such an important platform. As it will be seen

I think MIDSA is a very important structure for us because migration issues are not going to go away in this region, on the continent and globally. We need a forum where members of SADC can deliberate at multiple levels: technical level, ministerial level even at the head of states and SADC level. So for me the importance of such structure I will not question (a senior government senior official).

under the sub-section below on sustainability of MIDSA, a significant number of informants who have been involved in the MIDSA processes value it so much that they want it to be elevated from just an RCP to align it to formal SADC structures. Some informants believe that such a move would not only enhance its ownership by SADC but also mobilize the needed political support from member states and create a better enabling environment for leveraging resources and effective implementation of MIDSA recommendations.

What has MIDSA achieved towards the overall goal?

MIDSA Overall Goal: Enhanced regional dialogue and cooperation facilitate the protection of vulnerable migrants in the SADC region

Through the MIDSA process, IOM working with its development partners and relevant government departments, has visibly elevated irregular and mixed migration management issues on the agenda of on-going government development projects and initiatives. Initially, MIDSA only involved departments dealing with migration such as immigration and labour. However, increasingly, several other departments and development partners were brought on board. For example, the contribution of Save the Children since joining MIDSA in 2014 has been noted both at MIDSA conferences and on the ground, particularly, with regards to unaccompanied and separated migrant children. Informants also report increasing involvement of UNICEF especially in South Africa, Zimbabwe and Mozambique. The mobilization of stakeholders will be critical going forward to leverage resources in order to maintain, or advance further, the progress already made with regard to irregular migration matters. The achievements of the MIDSA process need to be documented and disseminated among key actors, as one of the strategies to mobilize more partnerships to address irregular migration in the region.

Endorsement of the Regional Action Plan to Address Mixed and Irregular Migration

Evidently, there are significant disparities in the approach to the management of irregular migration management within the SADC region. Each member state has been approaching the issue differently within the confines of the existing national legal and policy frameworks and resource capacity. There are several critical changes that must happen along the pathway to achieving orderly and humane migration management, and improved coordination and cooperation is one of the key steps.

One of the obvious MIDSA achievements documented in project reports and MIDSA documents is the fact that finally, in 2015, **Ministers and Deputy Ministers signed a statement expressing their endorsement of the Regional Action Plan to Address Irregular and Mixed Migration**. The plan was developed by senior technical representatives from the SADC member states with the support from development partners including IOM and UNHCR. The Ministers and Deputy Ministers called for MIDSA alignment to formal SADC structures and processes to ensure its sustainability (MIDSA report, 2015). The endorsement of such a progressive action plan on mixed and irregular migration emanating from an organic non-binding dialogue involving all SADC member states is a significant expression of political intent to address the issue, hence, a commendable accomplishment.

According to informants, MIDSA helped mobilize other key government stakeholders who were previously not involved such as the Ministries dealing with social welfare, children, health and education. This is expected to enhance **inter-departmental policy coherence** which will drive desired systemic change. This achievement that was noted by many respondents can be summarized in the following words from one of the senior government official informants:

IOM in collaboration with its UN and CSO development partners, have been supporting MIDSA processes to ensure it creates an enabling environment for bilateral and multilateral engagement and coordination among the SADC member states in managing irregular migration.

“In the beginning, it was just the Ministry of Home Affairs, police and security. But recently we have seen those Ministers approaching other Ministries such as the children ministries and bringing them on board. We have seen these ministers pushing the case management of unaccompanied and separated migrant children, something that was produced by MIDSA”.

The evaluation examined MIDSA contribution to the establishment of the necessary precondition for achieving the above overarching goal. MIDSA is an RCP not an organ of implementation which releases, each year, a set of recommendations expected to be implemented at regional, national and local levels. The Regional Action Plan is going to be critical tool for translating these recommendations into actual migration management projects/initiatives.

To what extent have MIDSA recommendations been implemented or translated into action at member state levels?

Note on the measurement

It was a challenge to measure advances made in implementing MIDSA recommendations using the project set of indicators as measurement yardsticks, because the indicators are at times vague, implausible and difficult to track. Phases III, IV and V propose, for example “% MIDSA recommendations that integrated into new project proposals”; “% MIDSA recommendations translated into harmonized regional action plan”; “% of MIDSA recommendations that are finalized and formally adopted by SADC”, respectively. Phase VI proposes to use “number of consultative processes successfully implemented” and “the number of declarations prepared for SADC approval”. These indicators are set too low at outputs level and cannot be used to measure outcomes. The evaluation team used the available documents and stakeholder expectations collected through interviews to identify domain of change in the outcome statement and used qualitative interview data and document review to qualitatively describe the extent to which MIDSA recommendations were operationalized on the ground.

The project design as described in the project documents seem to be built on the assumption that all the six countries will follow a linear approach to implementation of these recommendations. This assumption was found to be unrealistic given the significant differences in the political and socioeconomic contexts among member states. Moreover, such assumption did not hold in some cases because of the significant difference in the way these countries experience irregular migration⁸. It was obvious from the 2016 MIDSA deliberations observations, for example, that migrants sending countries and popular transit and destination countries would not approach the implementation of the action plans the same way. The interviews with project staff and external stakeholders also confirmed that implementation of MIDSA recommendation varied from country to country and significantly depended on how countries experienced migration and on the political and economic contexts as well as resource capacity in each of the six countries. In five of the six countries where the project is implemented, member states have taken on board a number of MIDSA recommendations that are relevant to their contexts. They also put in place systems to better coordinate implementation of specific recommendations, for instance:

Botswana: there is a government focal person within the Ministry of Labour & Home Affairs (MoLHA) who is responsible for facilitating the implementation of MIDSA recommendations in the country. The MoLHA is the custodian of the Botswana National Action Plan.

Mozambique: The government has appointed a Technical Working Group to operationalize the Regional Action Plan in Mozambique.

⁸ This was noted during observation of MIDSA deliberations in Gaborone, Botswana in July, 2016.

Zambia established a technical working group after the Dar-es-salaam 2010 MIDSA, which developed a mixed migration tool to aid screening and referral of vulnerable migrants, UMCs included.

In South Africa there is no National Action Plan emanating from MIDSA processes per se. However, according to informants from South Africa, the country already has strategies that are in line with the regional action plan, hence they see no need for having a separate “National Action Plan”. South Africa presents a case where the country has strategies and plans which have similarities with those in the Regional Action Plan. Therefore implementing the existing national plans is a fulfilment of the Regional Action Plan.

Obstacles to implementation of MIDSA recommendations

Whereas all the data triangulated strongly points to the relevance and high degree of ownership of MIDSA recommendations, many interviews with MIDSA official delegates revealed some level of skepticism about the implementation of its recommendations, especially because they [recommendations] come from a process which is politically non-binding.

On the one hand some officials were concerned that MIDSA did not have a clear Terms of Reference that defines its working modalities, roles and responsibilities especially between cooperating partners and Member States Delegates. One informant illustrated this concern with the example that, often, cooperating partners appear to be on equal footing with Member States when it comes to making recommendations, especially during group deliberations. This respondent felt that cooperating partners should have an observer role especially when it comes to making recommendations. On the other hand, many others were more concerned about the fact that it is extremely challenging to talk about enforcing implementation of MIDSA in their respective countries unless there are accountability mechanisms that would make MIDSA resolutions politically binding and compel member states to implement its recommendations.

One of the challenges facing member states consistently mentioned in interviews with government officials and the projects’ internal stakeholders is limited resources to effectively implement the regional action plan. Given the resource constraints, some officials suggested linking the regional action plan to existing national plans and advocating for the implementation of those as one way to ensure that the regional action plan is implemented.

The other common difficult expressed during MIDSA KIIs regarding the implementation of MIDSA recommendations was twofold: **a)** there is a significant difference in the understanding of the issue of irregular migration among relevant government departments which limits the coherence in migration management as a systemic issue; **b)** Lack of human and financial resources for effective irregular migration management.

c) the project stakeholders on the ground did not appear conversant with recommendations emanating from MIDSA, which suggest relatively weak mechanisms for translating these into actual projects on the ground. Informants working at local level indicated that they had heard MIDSA recommendations but rarely have a space for reflecting on how to integrate its recommendations into their daily work. Deliberate efforts to strengthen mechanisms for translating MIDSA recommendations into national and cross border planning and implementation initiatives.

MIDSA sustainability

Whereas MIDSA is no doubt a much needed effective platform for SADC member states to engage and explore potential collaboration on migration governance, there is no strong evidence of its sustainability beyond PRM funding. The SADC member states recently developed a MIDSA sustainability plan with the support from development partners. However, the operationalization of such plan is still difficult to ascertain, at least from available evidence. The evaluation noted several challenges including the fact that the implementation of the regional and national action plans intended to enhance MIDSA sustainability has been a challenge in some countries due to resources and political constraints. However, there is evidence suggesting increase in member states' commitment to MIDSA through different contributions both in terms of money and otherwise. In addition, according to MIDSA records, since 2013, the number of donors contributing to MIDSA has been on a steady increase although such contributions are still relatively too low and ad-hoc to sustain this important platform.

The majority of interviewed officials who have been actively involved in MIDSA processes were very clear about the importance of MIDSA, and felt it was high time that it is elevated and aligned to the SADC structures. This is an important message highlighting a milestone achieved by MIDSA in the past six years, during which several tangible outputs such as regional and national action plans were produced. The essence of this need is captured in the below quotes from senior government informants from different countries:

“For me MIDSA, whatever form it is fine....what is important is that we need a structure within SADC where member states could discuss matters of immigration, migration and border management. So it is important that MIDSA is formalized within the SADC structures. And if it is formalized, then all the matters related to sustainability, matters of resources, funding and all these other things become important, we cannot talk about funding if I don't know what the status of MIDSA is within the SADC structures”

“MIDSA needs to be sustainable because migration has become global challenge. Experiences from many global regions remind us of how critical proper migration management is. The MIDSA process is the best platform for our region to prepare and avoid migration dilemmas which are likely to occur in the future.

From that premise, I would like Member States to get more ownership of the MIDSA process so that sustainability is assured.”

“If you keep MIDSA as a gentleman club, I hear that donors have started pulling out. It is important for member states to see MIDSA being a binding forum within SADC. You can call it a one stop structure for every SADC sector that has bearing on migration. We are talking here about migration and health; communicable diseases, labor migration, border management, security and others things. This could be cost-effective because it will get all the sectors to start talking now and to contribute to the sustainability of the structure because they see the benefits,...you know the whole political power behind SADC.”

“...remember, these recommendations are by consensus; they are submitted to the SADC for adoption as mandatory. I know IOM is sponsoring MIDSA, why not strengthen the forum to make it a legal and binding forum? You see, we have this informal forum which draws recommendations that are taken on board or not, they don't even refer to SADC. But if it was made a legal forum, there will be a political commitment from Ministers.”

These views from government informants are in line with the 2015 statement by the SADC Ministers and Deputy Ministers, calling countries to take the necessary action to ensure MIDSA processes are closely aligned to the SADC formal structures as much as possible. One of the suggestions made during the 2016 MIDSA in Gaborone was that the Regional Action Plan should look beyond border control and explore more to address migration with the context of development to find a sustainable solution. This is a developmental thinking that should potentially inform the **Project Theory** to make it a long term project, with clearly defined short term and intermediate terms outcomes towards a sustainable migration governance system, in the SADC region in line with the SDGs.

Interviewed project staff and respondents from IOM partner organizations celebrated the fact that such a non-binding forum has successfully drawn recommendations that were endorsed and taken on board by member states. However, they pointed to the weakness in accountability mechanisms for the implementation of the recommendations. Respondents from IOM partner organization suggested the need for continued joint advocacy at higher levels to ensure accountability mechanisms for monitoring the implementation of MIDSA recommendations while raising more awareness on migration matters to the civil society.

MIDSA efficiency

Migration is a politically sensitive issue which should be tackled carefully, especially in contexts like SADC region where member states struggle to meet the basic needs of their citizens. According to informants, MIDSA is a

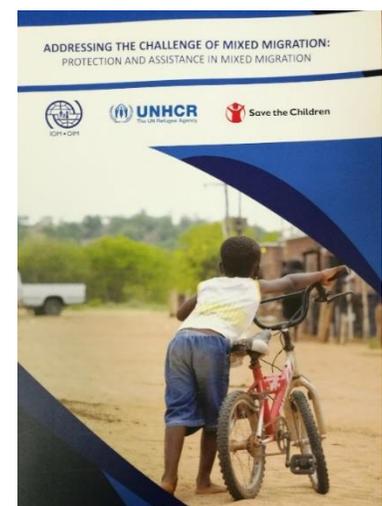
unique and the only relaxed dialogue platform that effectively tackles sensitive irregular migration matters with the representation of all relevant stakeholders and believed it is the best strategy there is to nurture a meaningful cooperation and collaboration among key SADC government stakeholders. Although the evaluation did not include a cost-benefit analysis to ascertain whether the MIDSA was the best strategy for achieving regional coordination and cooperation among member states, it pointed to evidence that MIDSA has been efficient in the sense that it brings together experts on the issue of migration, often at no extra cost. **MIDSA has catalyzed multiple processes at regional, national, local and cross-border levels** and had led to additional monetary and in kind resource mobilization, cross-border coordination, political buy-in as well as greater awareness on migration matters within and among member states.

Capacity building (CB)

CB is seen as the cornerstone of the project's design as it serves as a link to other project components towards ensuring efficiency and sustainability in expected and realized changes. CB mainly targets frontline government officials dealing with immigration, to strengthen their skills and knowledge in effectively identifying and referring vulnerable migrants to IOM and service providers for general protection and AVR services in particular.

IOM conducts capacity building in partnership with UNHCR, Save the Children, governments as well as other CSO organizations such as International Detention Coalition (IDC). Capacity building has mainly been delivered through training workshops using various curricula in addition to those developed and used by project partners. These include: (1) Migrants Rights and Responsibilities (South Africa Qualifications Authority Accredited curriculum developed in collaboration with five government departments in South Africa); (2) Addressing the Challenges of Mixed Migration: Protection and Assistance in Mixed Migration (developed in collaboration with UNHCR); (3) Training on Protection Assistance for Vulnerable Migrants in Zambia (developed in collaboration with government departments).

In 2016, the partnership between IOM, UNHCR and Save the Children completed a comprehensive training facilitator's guide (see its cover on the right). This guide covers a range of migration management modules including topics such as migration typologies, assisting victims of trafficking, irregular and mixed migration as well as migrants' referral for assistance services. This integrated standard training facilitator guide addresses gaps that previously existed in the training material. This is an important project output that will potentially be used beyond the project's lifetime. It includes ready-to-use tools for assessing change brought



about by the capacity building component. However, the project must make a plan to ensure the tool is widely adopted and adapted by relevant stakeholders dealing with irregular and mixed migration, especially governments in order to institutionalize its use and enhance its sustainable utility. The cover of the Manual only carries the name of the project but for ease of accessibility and utility, there is a need to add its purpose on the cover page (e.g facilitator guide).

What has the Project Capacity Building (CB) component achieved?

This evaluation assessed the performance of the project CB component in relation to its set targets in the past six years. Specifically, the evaluation sought to answer the following questions:

- a) Have the skills and knowledge of the CB beneficiaries changed and to what extent have they applied their skills in the respective contexts to manage migration in a humane and orderly manner?
- b) To what extent has the political enabling environment created to allow capacitated officials to apply their learned skills to effectively respond to the vulnerable irregular migrants' needs?
- c) To what extent has the migration management training been institutionalized in the targeted government departments?
- d) To what extent are the results brought about by CB sustainable?
- e) Are there any unintended changes brought about by CB beyond the set targets?
- f) How efficient has the project CB component been?
- g) What worked best for whom?

Note on the measurement: Unlike traditional projects' components, capacity building (CB) interventions support diverse goals in different sectors and at many levels, hence the need to carefully choose the indicators to measure CB efforts. The first challenge encountered was the absence of baseline on outcome indicators and the gap between what the project does and what it aims to achieve in its result chain. And, in the absence of a carefully crafted Theory of Change explaining mechanisms through which CB is expected to produce target results and to guide the analysis of the critical paths to change, measurement of the project's performance and attribution of the observed results was difficult. Since each Project phase was designed as a one year-stand-alone project, there was no explicit logical hook that helps to explain how target chain of immediate, medium and long term changes were expected to happen.

Have the skills and knowledge of the CB beneficiaries improved and to what extent have they applied their skills in the respective work?

In the absence of baseline, evidence demonstrating change on this question was gathered through retroactive interviewing (referred to as recall in evaluation methods) with CB beneficiaries to encourage them to reconstruct

the situation before they came into contact with project interventions. The interview data showed that CB component has led to multiple outcomes beyond increasing knowledge and awareness.

Change in knowledge and attitude: Most CB beneficiaries reported some form of significant increase in knowledge and awareness which led to positive attitudinal and behavioural changes among themselves and their peers. For example, all respondents in all the six countries reported significant change in the way they approached and handled irregular migrant case management. The quotes below from South African and Botswana governments' officials encapsulate the essence of this change:

"I can say we benefited a lot, the training workshops were very helpful, we didn't know much about migration issues. There were so many topics that were covered on migration: migration and development; migration and health. I now view migration differently, with a different eye and sensitivity. Before I attended the training migration was a threat,...with the training I learned to appreciate the importance of managing irregular migration, I view migrants as human beings. I also have learned to appreciate migration as part of development because when you look at issues of remittances for example, these are the things I never thought of before I went for the training. Even the issue of human trafficking I didn't know much about this."

"Prior the training many of us did not know much the elements of the crime (migrant trafficking) and did not know how to handle the issues. We didn't know how to deal with the victims, understand that these are sensitive cases and approach it carefully, knowing what they have been through to be able to accommodate their needs but also get IOM and DSD (Department of Social Development) involved to help us with the rehabilitation of these people."

It also appeared during KIIs on CB that some government officials did not know that human trafficking and smuggling networks existed until they participated in the mixed migration training. One informant from government welfare department reported that the training opened his eyes to various other perspectives with regard to mixed and irregular migration management. Once he became aware that human trafficking and smuggling was happening, he became a champion, made extra efforts to ensure the family reunification of UAMCs.

All the above are evidence of positive changes brought about by the project's CB in government officials' daily work. They represent relevant examples of how CB can be a crucial component of intervention which, if carefully designed, can support multiple outcomes towards overall project success. The project can significantly benefit from a revision and consolidation of its CB design and intervention package based on lessons learnt so far to allow longer term planning and effective resource mobilization and diversification towards more impactful government capacity development on migration and development.

Application of the skills learned through training: evidence from interviews showed that CB interventions awakened capabilities of the beneficiaries and pushes them to do things effectively and differently in their work contexts. This is illustrated in the following selected extracts from informants' responses in Malawi and Botswana when asked how they have applied the skills gained through IOM's and partners' CB:

"Now after the training my knowledge has improved, I know how to identify victims of trafficking, I know what questions to ask and how to sense the victim of trafficking even if they are keeping quiet."

"Training has been quite helpful. Before our approach was control rather than management, perceptions towards migrants has shifted. Now, we look at the rights of migrants rather than focusing on removal. We are now looking at it from protection point of view."

Before the training some respondents did not have requisite skills to handle migration complexities as an immigration officer. With the training provided by IOM, UNHCR, Save the Children and IDC, their skills were strengthened and they are able to screen different types of migrants through effective interviewing. The finding was also echoed by some senior government officials. During the interviews, they indicated that many of their frontline staff **are now making better and informed decisions**, unlike in the past when they used to make mistakes due to lack of knowledge on migration case management. Some informants went on to recommend that IOM and partners extend the training to the members of the judiciary as some of them still make poor judgments on migration cases.

What have been the unintended changes brought about by IOM CB beyond planned results?

The evaluation found many cases of unintended positive changes. This is partly because the project's result mapping has gaps as illustrated in the ToC diagram above. Respondents on capacity building component provided a variety of examples of good unanticipated outcomes from attending the training which also impacted on their efficiency and effectiveness:

✚ Improvement in government inter-departmental and multi-sectoral collaboration on mixed migration management: Respondents described the utility of organizing a training of mixed participants from different government sectors as one of the effective strategies, to get different government sectors and CSOs to collaborate and coordinate. According to informants the multi-sectoral approach to CB ignited interdepartmental collaboration and coordination on irregular migration case management which would otherwise not have happened as illustrated in the following quote from one of the government officials:

"IOM training was so useful and help us a lot. By bringing different stakeholders together for the training, we were able to learn together and it gave us the opportunities to access each other's contact details and

to be aware of different cases and how to help one another, especially when I was still with the law enforcement agency.”

This collaboration brought about by undertaking mixed sector training workshops also contributed to effectiveness in strengthening infrastructures for mixed migration management. One example is that there was an evident stakeholder collaboration not just in terms of case screening and referral, but also in terms of the development, ownership and utilization of different tools, guidelines including SoPs meant for improving mixed migrant case management. Such important changes reported by informants are neither reflected in the expected CB component result chain, nor in tools used to measure its performance. Such feedback can form important basis for improving project theory and Monitoring and Evaluation (M&E) systems. The unintended positive changes constitute lessons that inform the project team on what project ingredients makes a difference and what desired change to focus future interventions on.

✚ **Change in policy:** change in policy does not happen easily and, at times, it takes stretched period of policy advocacy and dialogue involving government policy makers/influencers before any law, policy or guideline is changed. While policy change was briefly mentioned in the early phases of the project as one of the overall goals, it was not expected directly from the CB component as there is no result statement or indicator pointing to policy change in all the project phases’ result matrices. Participation in CB interventions improved skills and knowledge among South African frontline officials which, ultimately, led them to successfully lobby their government to revise the country counter-trafficking law in 2014 based on practical knowledge that was coming out of CB project component. The essence of this significant but unintended positive change is illustrated in the following description from an official respondent from South Africa:

Oh we learned a lot because one needs to know the elements of the crime and be aware of what the victim have gone through to be able to accommodate these people. We even amended our legislation to accommodate the victims. What was changed in the legislation is that we are now giving permits to these people. Previously, we did not issue the permits, we immediately deported the cases. So we amended the legislation and now we say: we are giving you the permits for you to stay in the country so that you can help us by testifying against the perpetrators and to identify the culprit and the masterminds behind the cases, then we rehabilitate them in the country before we can send them to their countries of origin.”

According to the new legislation, the victims are given a special permit to stay in the country so that they can help the government to identify the perpetrators. The provisions in the South African counter-traffic law allow the South African Police Services (SAPS) to identify cases then hand over to social development to screen and confirm the cases. Before the revision of this legislation, government departments worked in silos and people that were identified as victims of trafficking were simply taken as illegal in the country and departments had their own

legislations, which also opened opportunities for system abuse according to respondents.

- ✚ **Improvement in vulnerable migrants referrals for services:** while it is not reflected in the project's result chain, both the project internal and external respondents believed that CB of frontline government officials and CSO actors improved migrants referrals between and across the network of stakeholders working with migrants in all sites. Unfortunately, there is limited project evidence to support this assertion partly due to the fact that project data on beneficiary referrals has not been collected in a systematic manner. Put differently, it is difficult to use available data to make a firm conclusion about whether referrals have or have not improved because there is no referral point in making such a conclusion as referral success criteria are not defined in project records. There is an opportunity for strengthening project data collection on referrals as it could be useful in the effort to enhance data driven decision making.

Training of trainers (ToT): To what extent has the project CB been efficient with regard to ToT?

Staff turnover and rotation is a challenge faced by all government departments dealing with immigration, as they are requested to move from one border post to the next. As a strategy to address staff rotation and turnover and, ultimately, ensure sustainability in government departments, a ToT approach was introduced in the project. The idea was to create a pool of trained government officials who can rollout training and induction activities to their new comer peers. In Zambia and South Africa, the training manuals used were developed in collaboration with government which made it possible and easy from the beginning to ensure that migration management is institutionalized in government training programmes. Respondents in South Africa and Zambia found the process useful as they continuously use the new evidence on migration dynamics in their accredited in-house training for officials.

The ToT is considered as an important approach in the project CB component aimed at equipping the selected individual potential trainers from the government, with knowledge and skills to cascade the training to their peers and beyond. According to project staff this approach has been important in attempting to address the high staff turnover especially in departments dealing with immigration in all the six countries. In the long run, the ToT is expected to address the reliance on trainers from IOM and partners to provide the training, but have in-house capacities to sustain migration management training.

Overall, the application and institutionalization of the ToT was found to be inefficient primarily because, except Zambia that scored 100% on ToT, no other trained trainer cascaded the training to other staff members as planned in all the six countries. The noted failure is partly due to the fact that there are no mechanisms for mentoring the trained trainers and for monitoring their application of learned skills. There ought to be a follow up embedded in the capacity building framework beyond pre-and post-training survey to assess whether the trained trainer had an opportunity and enabling environment to apply the skills

learned during the ToT. As shown in the diagram, the evaluation found that only two critical steps [in white colour] for the standard recommended ToT framework is reflected in the project CB ToT processes except in Zambia. Those in yellow have not been included. The lesson here is that, to maximize efficiency, it is important that the project's ToT design includes those other steps such as mentorship, evaluation of capacity building beyond post-training survey as well as creating enabling environment and opportunities for facilitating the integration of lessons learnt from the CB on ToT.

Figure 5: Project CB framework



Engaging the trained trainers within the three months from the training is a good practice (Ray et al, 2012). Generally upon receipt of the ToT, trainers should have an opportunity to roll out training within six months to apply knowledge and skill acquired while they are still fresh. Given the varying political contexts in the six countries, the project management team and its partners should make deliberate efforts to proactively plan with government departments on all the above ToT steps beforehand and start negotiating an enabling environment for trained trainers to apply their newly acquired skills during the joint CB planning stages with the government and other partners.

To what extent are the Project CB achievements sustainable? Sustainability is an OECD-DAC evaluation criteria that looks for evidence that changes brought about by an initiative, including change in attitude, practices, perceptions and improved or established infrastructures are likely to live on, beyond their implementation cycle.

Overtime, the project has made an effort to ensure that CB results achieved are likely to be sustainable as evidenced in the case of Zambia on ToT below.

The case of Zambia: So what did Zambia do differently to succeed with ToT rollout?

A deliberate move was made to target government officials who have a training responsibility in their job description. All the trained trainers have had an opportunity to roll out at least one training and are usually called upon by IOM to provide training when IOM is not able to do so. After a training, Zambia ensures that within three months the trained trainers get an opportunity to conduct a training workshop in order to hone their training skills. In addition to achieve this, Zambia has been working with the National Training Institutes who requested IOM's support to review their training curriculum. With the review, mixed migration training will be incorporated in all the curriculums for the training institutes in Zambia. These are good practices of effective ToT that can be replicated elsewhere as the contexts are more or less similar.

What worked and what did not work?

There are a number of critical ingredients that were key to getting to the positive changes brought about by CB activities:

- ✚ **Multi-sectorial training:** Bringing different government and NGO sectors under one roof for capacity building led to inter/multi-sectorial collaboration on irregular migration management which, overall, improved case management on one hand but also led to efficiency as different sectors availed needed resources at their levels throughout the process.
- ✚ **Synergies between IOM and Partners on CB:** it was reported by partners that where the training was jointly organized and executed, participants were exposed to an array of skills, knowledge and information at a level that would otherwise not have been achieved if it was done by IOM or partner alone: the benefits of intervention synergies.
- ✚ **Imbedding new evidence on migration dynamics and good practices:** The fact that CB includes practical cases highlighting new migration trends and complexities provided an incentive for government institutionalizing mixed migration in their in-house training and requested IOM to continue providing them with new trends and evidence.
- ✚ **Training of Trainers did not work** partially due to high staff turnover within government and rotation among frontline officers, as well as lack of follow up mentorship and support of participants after the training.

Direct assistance (DA) to vulnerable migrants

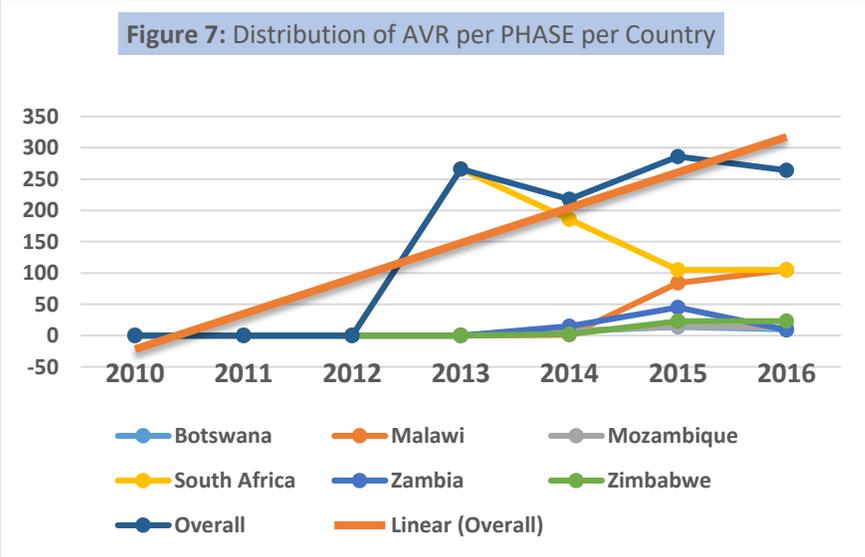
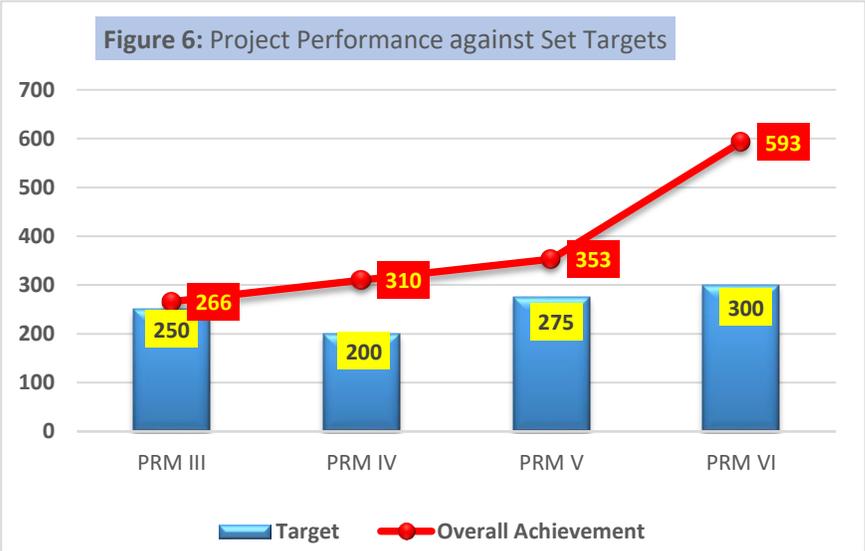
DA intervention package delivered by the project include protection services, including shelter for vulnerable migrants particularly women and children and victims of trafficking; referral for health, psychosocial and other services based on identified priority needs during beneficiary initial screening in collaboration with various local stakeholders. In all the six implementing countries, DA has targeted a range of vulnerable groups including stranded migrants, rejected asylum seekers, migrants in administrative detention centers, the elderly, medically boarded cases, UAMCs, abandoned women and VoT. The project has also targeted victims of xenophobia through social cohesion outreach activities in Xenophobia hot spots in South Africa especially during PHASE I and II. One

of the core component of DA has been facilitating AVR for those voluntarily willing to return home targeting the most vulnerable as a way to alleviate their suffering in their host countries. This component has been implemented in close coordination and collaboration with key partners including government departments, law enforcement, the UNHCR, Save the Children and other partners. This ensures that identified beneficiaries for AVR, have access to a full range of protection services in host countries and to a humane and dignified assisted return to their home countries.

Project achievements on its AVR component’s short term and long term target results

Overall, the project aim was to return 1,025 AVR eligible migrants. As per figure 6, the project exceeded the target by 48.5% having successfully returned a total of 1,522 during the six year period covered by this evaluation though it was not clear what informed the target setting.

Both interviews and project data indicate that, overall, AVR has increased as confirmed on the trend lines in the graphs in both figure 6 and 7. However the same cannot be said on the annual performance per country. For example, as shown on Figure 7, South Africa showed a decline in number of successful AVR cases during Phase IV to Phase VI. Available information was not sufficient to explain the reason behind this significant decline.



To what extent has the AVR project component been efficient?

From the project design, implementation and reporting, it was clear that all the project component are interdependent in the way they are expected to work together towards achieving the overall goal. However, **AVR component is indispensable component** even though it is not emphasized as such in project strategies. It is an important entry point in engaging government stakeholders and civil society partners, provides a good basis and incentive for multilateral collaboration at local, national and regional levels towards the broader and longer term goal of migration governance agenda in line with the SDGs. Furthermore, AVR component remains the main reason for strengthened and sustained cross-border migration fora operating between different countries.

AVR as a partnership tether

The evaluation team describes the AVR component as “irregular migration management partnership tether” because without it, it would be difficult to sustain meaningful multilateral engagement within the networks of partnerships the project helped established overtime around irregular migration matters. This engagement represents the project critical path towards the sustainable achievement of its multiple intermediate and long term goals. AVR has helped initiate intergovernmental and cross-border collaboration and dialogue in contexts where such collaboration would not be possible without this project component. This explain why some of the real achievement of AVR components can be traced in other project components.

Whereas the importance of AVR component was visible across all the data source particularly during observation at the site, there was limited evidence to suggest it is the best durable solution for vulnerable migrants as attested by a small sample of successfully returned AVR beneficiaries interviewed. Four out of five reported regretting their decisions to voluntarily return home after realizing that the conditions back home have worsened since they left and intended to migrate again if they get resources. Potential repeat irregular migration among returnees was confirmed by several respondents from government and local stakeholders’ interviews especially at Musina border post linking South African and Zimbabwe. These findings are consistent with other recent research findings

“What happens is that in a day or two, those people returned from South Africa, Botswana etc. they will be back. It is a vicious cycle, in the end we are not addressing anything but destroying the resources” Government Official

“You know it’s about addressing the problem from its roots, addressing the factors that are driving them out”- Government official

asserting that unless the push factors are addressed, AVR tends to be unsustainable (Koser and Kuschminder, 2015; Cassarino, 2008). What happens to AVR beneficiaries after their successful return is beyond the scope of this project. However, the findings are a clear message to the project management team and interested

development partners to think about innovative ways of approaching the matter differently to improve the AVR beneficiaries' outcomes and to break the cycle of unsafe repeat migration.

The project could greatly benefit from undertaking a comprehensive survey targeting the cohort of returnees at least six months after their return to have a better understanding of their situation back home compared to what they left in their former host countries and deduce key lessons that can inform IOM's AVR component consolidation.

Improving protection of vulnerable and stranded migrations

One of the key aims of the project is to ensure that vulnerable and stranded migrants including women, men and children in irregular situations and the victims of trafficking have access to protection. There is evidence to suggest that the project has made good progress in this regard. For example, before the project was introduced, immigrants found in an irregular status were apprehended by law enforcement agencies and deported or put in prison to serve long sentences sometimes up to 15 years, like in Zambia and South Africa, irrespective of their vulnerabilities.

With the work of the project and its government, UN and CSO partners, there is a notable improvement in irregular migrant situations in all the six countries. The evaluation found a significant level of commitment to alternatives to detention from governments. Even though it is at different levels, all the governments in the six countries have put some form of system for ensuring migrants in irregular status particularly children are protected and provided with necessary assistance while they wait for their return to be processed. The governments in majority of countries e.g. South Africa and Zambia have welcomed the most vulnerable migrants such as unaccompanied migrant children in government run shelters. In fact, interviews with government officials showed that even the language used to refer to irregular migrants is slowly changing among government stakeholders from "deportation" to "return"; from 'focusing on removal of irregular migrants' to 'focusing on their rights and needs as human beings'. Furthermore, the fact that some governments have appointed specific social workers to deal with migrants' psychosocial issues is a good commitment to the protection and wellbeing of migrants. For example, the South African Department of Social Development (DSD) appointed three social workers dedicated to work with UAMCs in Limpopo province, one of the provinces in the northern part of the country with highly prevalent irregular migration, while Malawi has also deployed social workers to deal with migrant psychosocial issues at its busiest border posts.

MONITORING, EVALUATION, REPORTING AND LEARNING

The evaluation looked at the project monitoring, evaluation and reporting systems to assess the extent to which they support project improvement decisions and learning both at regional and country level. Looking at the project document over the six year implementation period, the project improved every year in terms of M&E, despite not having a dedicated M&E budget. The result matrix in Phase VI for example is much improved compared to Phase I and II. There has been improvement in project reporting systems, producing gender and age disaggregated data particularly in Phase V and VI. There is a system for review, validation and endorsement of quarterly progress reports before they are shared with the donor. Each year, the project brings together the project management and coordination teams and the resource management to an annual review and planning meeting where annual performance is reviewed and lessons used for planning the following project phase. Moreover, the project management has recently made its intent to strengthen its monitoring, evaluation and to capitalize on lessons from these efforts. The decision to undertake **an internal evaluation for the first time ever in 2016 since its inception in 2010 despite not having a specific evaluation budget demonstrates such an intent** to improve. Of course there is much work to be done with regard to strengthening the project M&E systems. Key areas in need of improvement include:

Monitoring and Evaluation Capacity: There is no dedicated M&E staff. The functions of M&E are assigned to individuals with many other key functions who often do not have adequate M&E experience within the project partly because none of the six phases evaluated had a dedicated M&E budget. This has made effective project tracking, data quality and reporting challenging and, to an extent, limited project learning and improvement.

Learning opportunity: it was found that there has been limited space for reflection and sharing of lessons learnt between and across the project teams. Interview with project staff pointed to limited space for participatory project planning, review and learning. Country level staff expressed the need for sufficient time for the team to review the project performance together, learn from each other and plan project priorities together.

Vulnerability screening: the review of the AVR service delivery chain and tools used at each step of the way and interview with staff responsible for AVR led to the following observations:

1. *The DA screening form:* the title of the form doesn't reflect the purpose of the screening and doesn't provide precise criteria for the decision reached. If only the vulnerable migrants qualify for AVR, the form should include a check-list of pre-defined vulnerability criteria to maximize accuracy in the decision reached.
2. *Victim of Trafficking Screening Interview Form:* this is an important tool given anecdotal evidence of high prevalence of human trafficking and smuggling in the region. However, since addressing human trafficking is

not a mandatory component of the project, often administering the counter-trafficking form for suspected cases was not compulsory within the project delivery strategy and steps. This is partly because the project vulnerability assessment form does not explicitly oblige the social worker handling the case to administer the human trafficking questionnaire whenever they suspect the cases during the vulnerability screening procedure, nor does the IOM guidance note⁹ on assessing risks when assisting victims of trafficking.

GENDER MAINSTREAMING

The project attempted to include gender considerations in its implementation by ensuring that its interventions target, and are equally accessible to, men, women, boys and girls. Under CB and DA components, the project makes deliberate efforts to ensure gender dimensions are reflected in its progress reporting tools. For instance, in the final report for PHASE V, of the 353 AVR beneficiaries, 282 (80%) were men while in the same report, out of total of 77 received a training on AVR 55% (42) were men and 55% were women. However, the gender disaggregated data is not sufficient. Because of the way the process of irregular migration significantly affects men, women and children differently, the different needs of women, men and children in irregular and mixed migration should be fully articulated and embedded in project design, implementation, reporting, evaluation and learning to ensure specific gender-based vulnerabilities such as gender-based violence, sexual exploitation and rape are effectively identified and addressed. The project have a room for improvement to reach its full potential in terms of gender mainstreaming.

Under the DA component, the project has sensitized partners on the gender differences in migrants 'needs and vulnerabilities. It is through this intentional gender consideration that men and women are no longer kept in the same shelters or detention centers and children are kept in separate places of safety.

⁹ IOM Internal Guidance Note control number IN/219, Department of Migration Management, December 2014: <http://intranetportal/Pages/ControlNo.aspx?controlNo=IN/00219>.

EVALUATION RECOMMENDATIONS

Component	Finding	Recommendation
MIDSA	<p>MIDSA recommendations implementation: The implementation of MIDSA recommendations have been challenging mainly because MIDSA is a non-binding RCP but also because their implementation infrastructure and support mechanisms are still lacking.</p>	<p>1) IOM and its partner organizations should also strengthen their joint advocacy at higher level to support and strengthen the MIDSA recommendations' implementation and accountability mechanisms while creating more awareness within the civil society around vulnerability associated with irregular migration to garner more support.</p>
	<p>Roles and responsibilities during MIDSA deliberations: There is a difference in the understanding of the role of development partners and MIDSA member states delegates when it comes to making recommendations during the MIDSA deliberations.</p>	<p>2) A MIDSA Terms of Reference would assist in clearly defining roles, responsibilities, operating modalities and strategic direction for this important RCP in a way that meets the SADC and government stakeholder expectations.</p>
	<p>Stakeholder mobilization: The evidence from the evaluation points to the importance of interdepartmental collaboration to provide a coherent response to irregular migration and associated vulnerabilities in the region within the spirit of SDGs. While much progress was reported in terms of increase in stakeholders involved, there is much more work that needs to be done to mobilize other relevant Ministries such as Justice, Education,</p>	<p>3) IOM should prioritize the mobilization of more strategic partnerships with relevant government departments and international development partners, engaging them on the broader irregular migration and development challenges to advocate for them to join partnership alliance on migration governance.</p>

	Academia, Media as well as other development partners, including donors.	
Capacity Building (CB)	<p>Joint planning with key partners: by design and implementation arrangement, CB is expected to be implemented in close partnership with other key development partners. Some partner organizations' informants reported that, sometimes, IOM does not articulate clearly and communicate in timely manner the need for joint CB planning and implementation which may affect the quality of the CB and its outcomes.</p>	<p>4) IOM should discuss, in time, its annual CB priorities with partners to capitalize on the synergies and on the benefits of joint and integrated approach to CB activities.</p>
	<p>Training of Trainers: The ToT efforts have not produced expected results partly due to the fact that there is no follow up mentorship and support for the ToT beneficiaries after the training have been conducted.</p> <p>CB underlying Theory: the evaluation found a number of positive unintended outcomes emanating from CB which are not reflected in the project result matrices and overall logic (including, improved government inter-departmental and multi-sectoral collaboration on mixed migration</p>	<p>5) IOM should identify ways to embed post TOT mentorship and follow up support as well as evaluation of its effects among the trained government officials in close collaboration with relevant government departments. The Kirkpatrick model¹⁰ is suitable model for the project CB performance assessment. It can effectively inform ToT design, planning, implementation, learning and as sustainability plans.</p> <p>6) IOM should reflect on its project CB package and its underlying logic and assumptions to effectively identify areas of improvement in lined with CB ToC. This would ensure CB interventions and their delivery strategies that take into consideration the critical pathway to achieving sustainable CB results in line with an evidence-based CB ToC.</p>

¹⁰ <http://www.kirkpatrickpartners.com/OurPhilosophy/TheKirkpatrickModel>

	<p>management; change in counter-trafficking law and improvement in vulnerable migrants' referral for services among stakeholders; change in perceptions and attitudes). While this is not necessarily a bad thing, it may potentially imply that the project design is not based on a well-informed logic underlying IOM CB programming which may also affect the quality of the CB package and delivery strategies.</p>	
<p>Direct Assistance for vulnerable migrants</p>	<p>The AVR added value: interview with a small cohort of former migrants successfully returned through the project's AVR support regretted their decision to voluntarily return home and many of them were already contemplating repeat migration as they realized the situation they initially fled have worsened. Although returnees' post-arrival situation is beyond the project scope, this is an important finding.</p>	<p>7) The project management should embed in its M&E system, data collection among those assisted with AVR after a reasonable period following their return. This can be done in collaboration with IOM missions in countries of return. This information would be useful in project AVR consolidation;</p> <p>8) Furthermore, IOM could also consider undertaking a survey among a cohort of AVR beneficiaries who have been assisted to return home at least six month after they have returned to have a better understanding of their circumstances. The findings from this endeavor could potentially lead to a strong case for resource mobilization to support the repackaging of AVR interventions to include reintegration support as a way to prevent repeat migration cycle.</p>
<p>Project budget planning and monitoring</p>	<p>Result-based budgeting and budget monitoring was found to be weak because accountability related to budget monitoring isn't sufficiently clear which has at times affected the budget burn rate monitoring and projection.</p>	<p>9) There is a need for the project to review its mechanisms for budget burn rate monitoring. The decentralization of budget spending and monitoring accountability could be one of the options, provided the project country level staff are trained on the IOM internal financial monitoring system and understand how to use it to extract budget spending reports for their own use. The country teams should constantly monitor how they are doing with regard to spending and be accountable for monitoring their budget to ensure it is in keeping with activity implementation as planned. It is also important to include budget monitoring reports in routine management meetings to</p>

		ensure everyone is aware of how the project is doing overall in terms of spending-vis-à-vis the implementation.
Monitoring, Evaluation and Learning	The M&E Capacity: There is a weakness in project M&E system mainly due to lack of M&E dedicated financial and human resources within the project.	10) Going forward, IOM should reserve a reasonable budget for M&E to ensure adequate and functional M&E systems. There is also a need to have a dedicated M&E officer responsible for the implementation of the project M&E and coordinating project data processing and management, especially for multi-country and multi-component projects. A specific operational budget line for M&E would be handy whenever there is a need for evaluation or for organizing M&E capacity building or feedback/learning workshops.
Sustainability	Sustainability: Lack of a long-term and solid sustainability analysis in the project design is a concern across all the project components that needs to be addressed in the coming phases, particularly the single source funding.	11) IOM needs to consider making a strong case to attract complementary funds to address the evolving irregular and mixed migration dynamics in the region as it relates to the global commitment of “leaving no one behind” in the context of Sustainable Development Goals. This would involve a participatory development of a holistic Theory of Change, outlining how the project will work to achieve different results in line with SDGs, the Global compact and the IOM Migration Governance Framework (MiGOF) as well as priorities within the region. IOM should also continue strengthening its alliance with like-minded strategic development players that address migration and development in the effort to mobilize more resources and diversify funding sources within SADC region.
Project design	The project addresses the complex mixed migration phenomenon, a developmental issue that requires holistic long term planning. The fact that it is designed as one year stand-alone projects with different scopes/objectives is limiting in terms of effectiveness and efficiency. It also provides limited space for integration of lessons.	12) The project management team should explore alternative for long term planning. This should include a resource mobilization strategy to secure complimentary funding, making a strong case for a longer project life cycle by demonstrating its added benefits in terms of efficiency, sustainability and impact. The two to three year life cycle could potentially enhance project effectiveness and efficiency by saving significant time loss kick starting the project anew each year.

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ANNEXES

ANNEX 1: THE EVALUATION PROTOCOL

EVALUATION PROTOCOL

For the

ADDRESSING IRREGULAR MIGRATION FLOWS IN SOUTHERN AFRICA

Phases I to VI

2010-2015

1. Project Background and context

The International Organization for Migration (IOM) has been implementing the PRM Project since 2010. The project primary objective is to support governments in the Southern African Development Community (SADC) region to manage migration in a humane and orderly manner, especially to uphold the rights of the most vulnerable migrants such as unaccompanied minors. The region hosts and is origin to one of the highest number of irregular migrants, asylum seekers, undocumented cross-border employment seekers and unaccompanied migrant children (UMC) in the world. These populations are exposed to various vulnerabilities including trafficking, sexual exploitations and other forms of abuse during all phases of migration and when they finally settle in their host communities.

According to recent research, mixed migration flows in the SADC region have become increasingly complex. There are a multiple factors which drive migrants from their homes e.g. the search for economic opportunities, conflict as a result of civil war as well as human trafficking and smuggling. Migrants who undertake the arduous journey often find themselves precariously vulnerable to sexual abuse, violence, hunger and exhaustion¹¹. Throughout their journey, they are often in an irregular state and vulnerable to further abuse and extortion. According to the Phase I's project document, "irregular migrants, in general, only enjoy at most minimal forms of protection, with their vulnerabilities exasperated by alleged corruption and complicity of national officials in transiting countries".

The various vulnerabilities have a direct impact on the social welfare of migrants, their human development but also has implication for host communities and governments. For the past five years the project has been supporting the government in six member states in finding immediate and durable solutions to ensure these vulnerable migrants have access to protection services and assistance for voluntary return and, where possible, reintegration in the host communities.

¹¹ In Pursuit of the Southern Dream: Victims of Necessity, Assessment of the irregular move of men from East Africa and the Horn to South Africa, April 2009

To achieve this, IOM has used various comprehensive intervention packages including stakeholder and community sensitization on migration, facilitation of inter-ministerial dialogue on migration in the region and through capacity building and on-going technical support to government officials to strengthen system for migration management as well as providing direct assistance. The Project is in its sixth phase; each phase of the project has built on achievements of the preceding phase to improve the responses to the needs of vulnerable migrants and governments in the region. In 2010 when the PRM project started, it was only implemented in South Africa but has expanded in scope and depth and became a regional project addressing irregular migration within the Southern African Development Community (SADC) region. Interventions on the ground targeted Botswana, Malawi, Mozambique, South Africa, Zambia and Zimbabwe.

While the overall objectives have changed over time, the project components have largely remained the same with a few variations.

2. Objective of the evaluation

While several good developments from the project efforts can be observed from MIDSA and other relevant project reports, the project has not been evaluated since its inception in 2010. Therefore, this evaluation will be a systematic analysis of the project contribution towards upholding vulnerable migrants' needs and minimizing the impact of migration of those on the move, their origin and host communities. The evaluation will take stock of what the project has achieved in the past five years of implementation against set targets and to draw lessons that will be used to inform project improvement and similar IOM and partner initiatives.

The performance of the project will be evaluated in relation to the OECD/DAC criteria including relevance, effectiveness, efficiency, impact and sustainability. However, more emphasis will be put on efficiency and sustainability of the changes brought about by the project in the past five years. Specifically the evaluation will:

- Assess the overall progress performance against set targets;
- Assess the extent to which the project has put in place functional and potentially sustainable mechanisms and implementation infrastructure (including tools, guidelines, dialogue platform and other coordination structures) the project has put in place to facilitate human migration management.
- The short and long term effects of the project on the target groups of the project on its intended target groups (what has been achieved so far as a result of implementing the PRM project).
- Since the PRM Project has been implemented since 2010, assessment of the project in the earlier years will focus on determining intended and unintended outcomes of the project.
- The Project's added value to the different target groups;

- The evaluation will also include an operational analysis of the project to identify project components and implementation strategies that were effective in achieving the observed results and which strategies need strengthening. This will include the analysis of the project underlying ToC and the extent to which sustainability has been taken into account in the project design and implementation as well as assess whether the outputs proposed as precondition for achieving outcomes are still relevant, efficient, effective and sustainable; and
- The evaluation will also look at how cross cutting issues such as gender and environmental sustainability have been considered in the project as per IOM evaluation guidelines.
- Make recommendations for improvement in project performance and future-related initiatives.

3. Project Description

The project is funded by the United States of America's Bureau of Population, Refugees, and Migration (PRM). The budget to implement the project has varied over the six phases between USD 800,000 and 1,243,704 per annum.

The target group for the project throughout the six phases has remained governments in the SADC region, frontline government officials in targeted government departments, Civil Society Organizations (CSO) and vulnerable migrants such as stranded migrants, VoT, victims of xenophobia and unaccompanied minors.

While the actual wordings of the objectives have varied over the six years, the project objective of supporting targeted governments in the SADC region to manage migration effectively in order to uphold the rights of migrants has remained unchanged throughout all the phases. The realisation of the objectives and outcomes has been through key components below

- MIDSA:** Strengthening cooperation among member states in the SADC region in addressing migration-related challenges;
- Government Capacity Building:** This component aims at training government officials on migration issues such as rights of migrants and VoT case management. Through the training, PRM equips trained officials with skills and capacity to promote protection of vulnerable migrants and, ultimately, to institutionalize migration management training in the different targeted government departments;
- Assisted Voluntary Return (AVR):** This component seeks to provide vulnerable migrants with an alternative to deportation or protracted irregular status in host or transit countries by providing means to return to their countries of origin where possible.
- Establishment of anti-xenophobia networks:** this component was implemented in Phases I and II but was dropped from Phase III onwards to focus more on strengthening national and regional level response to

the vulnerabilities of unaccompanied migrant children. The rationale for dropping intervention focused on Xenophobia is not clear from the literature review.

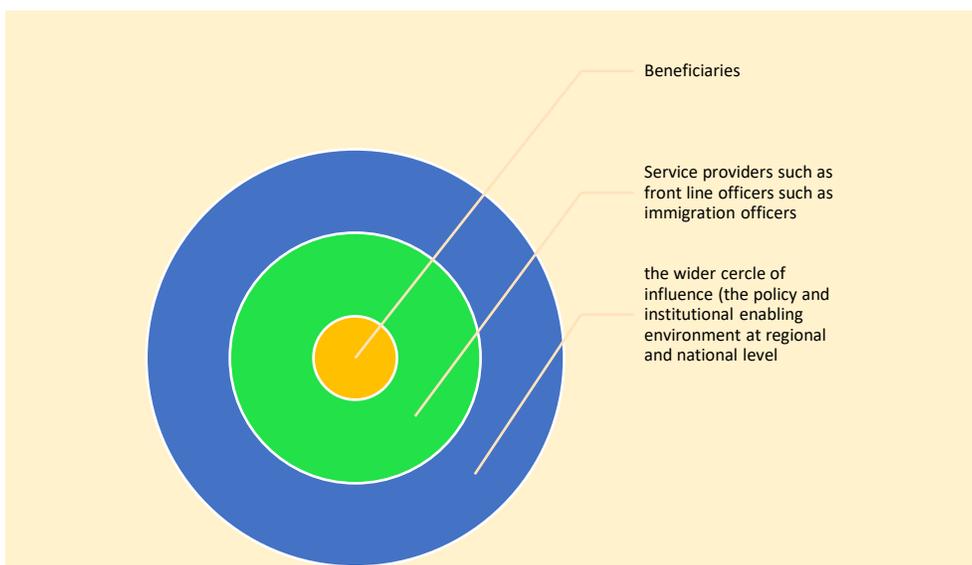
4. The Evaluation Design

This internal evaluation was commissioned by the project management to take stock of what was achieved so far and to identify lessons for improving the project and future initiatives. Michel Scrivens (1967) describes the purpose of formative evaluation as to form, shape, standardize, and finalize an intervention before it is ready for summative evaluation. The purpose of this evaluation is not only to assess the extent to which the project intervention package and delivery strategies have been efficient to bring about the expected short term and long term results but also and more important to collect needed information to inform the project consolidation, improvement in design. It is formative and summative in nature as it is expected to generate information needed to improve the current design and implementation theories and logic as well as future programming on irregular migration in Southern Africa.

Elucidating the Project Theory & Program Logic

The first part of the evaluation will include elucidating the program theory, through document review and information from project experts that will be identified through purposeful sampling technical outline below in the method section. A preliminary review of the project's documents revealed that the project does not have an explicit program theory explaining why the project does what it does and assumptions on which the project success is hinged according to project designers.

Below presented are the different levels on which the project effects will be assessed:



The evaluation will attempt to assess the longer term impact of the project on its direct beneficiaries, particularly the stranded migrants assisted with voluntary return. However, it is anticipated that interaction with those individuals will be extremely difficult. As much as possible, data from various sources will be triangulated to draw informed conclusions as to what the difference the project made among vulnerable migrants who were returned to their home countries.

5. Evaluation Scope

This evaluation is expected to cover all PRM phases from Phase I to Phase VI implemented from 2010 to 2016 in all the six countries, namely, Botswana, Malawi, Mozambique, South Africa, Zambia and Zimbabwe. The evaluation will also cover all the project's components. However, field work will only be conducted in few selected countries and sites, based on available resources which will be agreed upon with project managers.

6. Evaluation questions:

This evaluation will address questions related to the overall project results in relation to the strategic interventions packages and their chosen methods of delivery to achieve results under each project component as highlighted in the project ToR.

- a) What achievements have been made at the regional and country level through the MDSA process?
- b) To what extent have governments involved with MDSA implemented action plans at the national level?
- c) To what extent has the PRM's capacity building component contributed to the project outcomes?
- d) To what extent have the project's components been effective? Have the project outputs contributed or are likely to result in intermediate or long term results?
- e) What changes have been brought about by the Project and are the changes brought about by the project similar in all countries?
- f) What were the risks affecting the project during the implementation? Where they adequately monitored?
- g) What lessons can be learnt from the Project?
- h) What are the sustainable systems for humane migration management has the project helped put in place and what are the project delivery sustainability strategies? Are they sound?
- i) To what extent is the project management structure conducive to project success?

7. Evaluation Methods

A cross-sectional qualitative method will be used to gather data and information necessary to respond to the above principle evaluation research questions. A simple random sampling technique will be used to identify Key

Informant Interview respondents from targeted affected/ interested stakeholders. In order to ensure an evaluation report that provides a representative picture about the Project intentions, design and achievements, an additional purposively sample of informants will be drawn from key PRM Project leadership and IOM relevant thematic specialists in addition to getting data from the simple random sample. This will enable the evaluation team to garner in depth information about fundamental assumptions, on which the Project is hinged and to elucidate the project theory of change. Several qualitative methods will be used to generate information needed from various sources that will be triangulated to adequately respond to the key evaluative questions highlighted above.

a. Document review

The evaluation team will perform systematic desk review of key documentations related to the Project since its inception, including all the Project documents from Phase I to Phase VI, the Project quarterly and annual reports as well as any other relevant documents pertaining to the Project e.g. MIDSA reports and any other studies that were conducted during the project implementation. The purpose of desk review is not only to assist in identifying additional relevant questions to inform the evaluation but to also get critical information on project aims, contexts and challenges. Document review will also provide any possible evidence of project achievements, difficulties, implementation slippages as well as potential risks/threat that may have hindered the project implementation.

b. Interviews

In order to gather all the relevant data needed, the evaluation team will use a set of semi-structured interview guides that will comprise both close-ended and open questions. Even though the close-ended questions are usually perceived to be unsuitable for qualitative evaluation research, they will be important for this case because they will help determine the proportion of informants who have been exposed to minimum project interventions of any form; and to link that with any change observed attributable to project effort (see draft guides under Annex 1).

Three sets of semi-structured interview guides will be developed for three categories of key informants- SADC/MIDSA officials; Government front line officers and CSOs; and PRM project staff.

Interview guides for regional government officials will focus on obtaining information related to:

MIDSA:

- a) MIDSA's design, processes and sustainability with regard facilitating protection of vulnerable migrants in the region;

- b) The extent to which member states have implemented MIDSA recommendations and resultant action plans;
- c) Whether there are any policy or legislation that have been reviewed, developed as a result of MIDSA; and
- d) The extent to which Member States are willing to fund and own MIDSA processes.

Government officials and CSOs

Interview schedule for government officials and members of CSO will focus on:

- a) Assessing skills and knowledge and their utilization by trained government and CSO members in their respective context;
- b) Assess whether migration management training has been institutionalized in the targeted government departments; and
- c) Change in political environment for capacitated officials to facilitate their utilisation of skills obtained from IOM's capacity building interventions. In other words, the extent to which the project capacity building, awareness and sensitization components have created political enabling environment in relevant CSO and government departments/institutions to allow them to respond to the vulnerable irregular migrants' need in an orderly and humane manner and in ensuring institutionalization of migration management in government departments.

Project staff

The interview schedule will be emailed to staff in advance followed by an actual interview. Project staff interview will focus on the following:

- a) Staff's understanding of what the project does and its linkage to results and assumptions of success as well as risks;
- b) What are the project lump sum achievements realized over the past six years;
- c) The effectiveness of the PRM strategies/components in bringing about results;
- d) Implementation difficulties experienced and what they see as effective strategies to overcome them;
- e) What partnerships established and nurtured through PRM have been most effective in facilitating achievements of the project short and long term results;
- f) Identify any unintended negative effect/result emanating from project interventions; and
- g) What strategic direction or sustainability staff see the project taking beyond PRM VI?

Data collected from the project team will be triangulated with data from other key informants and document review to make sure there is sufficient evidence supporting any conclusion drawn about the project performance.

Due to resource constraints, most of the interviews will be conducted remotely using Skype or telephone. However, where possible and budget allowing, interviews will be conducted face-to-face especially with those informants located around Pretoria where the evaluation team is based, and in any other country selected in consultation with the project team.

Returned beneficiaries: interviews will also be conducted with a purposefully selected small sample of beneficiaries who have been successfully returned through the IOM AVR component to assess their conditions after their return. It is anticipated that accessing them will be difficult within the limited time, hence a small sample.

Table 4: Summary of review methods

Method	Activities	Tools required	Products
Desk study	<ul style="list-style-type: none"> Review reports, project documents and other related documentation Review training manuals Review other products of the projects including research reports 	<ul style="list-style-type: none"> Evaluation rubric 	<ul style="list-style-type: none"> Implementation strategies identification; Identification of progress and challenges Key project components implemented and results achieved
Key Informant Interviews	<ul style="list-style-type: none"> Identification by issue category Secure interview appointment with relevant informants 	<ul style="list-style-type: none"> Interview Guides developed for this evaluation purpose 	<ul style="list-style-type: none"> Rich qualitative data on project processes and performance with regard to target results
Field Visits (case study)	<ul style="list-style-type: none"> In consultation with PRM project coordinator, selected 1 site to be visited for a comprehensive assessment in a form of a case study on irregular migration management 	<ul style="list-style-type: none"> Site observation checklist; Interview guides 	<ul style="list-style-type: none"> Case study describing in details the process of irregular migration screening, the adequacy of tools used, good practices, lessons and challenges. This can be extrapolated to other sites.

Sampling

A total of 42 key informants will be interviewed at country and regional levels. Two types of sampling will be used to identify a representative sample of key informants, from all key Project stakeholders that are affected, interested or have benefited from the Project:

- i) *Simple random sample*

The evaluation team will randomly select informants from all the exhaustive list of potential informants received from the Project management team. Individuals sampled for interviews will include government officials, SADC officials, Project implementing partners as well as IOM PRM staff members who were/ are directly or indirectly involved in the implementation of the Project. A total of six informants will be interviewed in each of the six countries and a total of two informants at regional level.

ii) Purposeful sample

In addition, a purposeful sampling and link tracing technic will be used to identify the project designers and irregular migration thematic experts to get critical information needed to answer fundamental questions about the project design, assumption of success as well as vision. Individuals included in the sample selected using link tracing and purposeful sampling technique will be excluded from the general random sampling frame. A maximum of four informants will be purposefully sampled. The sample includes about a 10% oversample to cover for an anticipated non-response cases including last minutes cancellation, individual samples but unavailable, and cases of non-response to specific key evaluative questions

Data processing and analysis

There are two main processes for coding qualitative data obtained from document review (secondary data) and KIIs. The document review will be done systematically and information will be classified according to thematic rubric in relation to the project standards and expectations while two coders will independently code qualitative responses from KIIs according to pre-defined coding categories by assigning relevant text segments of sentences, phrases or key words to associated codes. Once the initial independent coding is completed, the two coders will undertake the second coding iteration collaboratively to construct a coding scheme based on first level screening of emergent themes and will reach a consensus on the final themes coding.

Limitations

This study presents both methodological and operational limitations which subject the evaluation findings to a number of caveats.

a) Methodological limitations:

- ✚ Ideally, the nature of data needed to make good conclusions about the project's performance needed to be collected face-to-face, to allow probing to get deeper insights from key informants. Unfortunately, due to the budget constraints, most of the interviews will be conducted remotely, which is likely to affect the quality of the data acquired. Alongside this, high staff turnover within the government systems makes it

difficult to assess the extent to which the project performed on components that were implemented during early years of the project and dropped e.g. anti-xenophobia network. In order to minimize the effect of this limitation, the open-ended interviews with key informants will be designed in such a way that makes link to past project components. With this anticipated, the evaluators have included link tracing sampling technique to reach out to some of the former officials who worked with the project but who moved posts or those who have been linked with the project since its inception and have institutional memory. In addition to these, the evaluators will use triangulation of data from various sources as a way to further minimize this limitation.

- ✚ Baseline data is critical for an evaluation of a project that has been running for six years. The fact that PRM does not have baseline data on outcomes against which achievement can be measured presents a methodological challenge. Retroactive data collection method will be used in attempt to reconstruct the situation at baseline.

b) Operational limitation:

The key limitations to this evaluation pertains to the fact that it is an internal evaluation which was not factored in the project budgets and work plans. The evaluation is conducted by internal staff members from other IOM projects with insufficient resources to ensure a rigorous analytical evaluation. To minimize the effect of this limitation on the quality of the final product, the evaluators will use the following strategies:

- Include a visit to one of the closest and busiest cross border sites with one of the highest volume of irregular migration i.e. Musina. At Musina, various data collection techniques will be employed: observations, interview with front line officials as well as a systematic review of instruments used for screening vulnerable irregular migrants and referral mechanism to draw a general conclusion around the effect of the project on irregular migration managements within SADC that can potentially be generalized to other relevant cross border sites – with the caveat that border sites vary from context to context.
- In order to use limited time to get relevant data, the evaluation team will ensure that data collection are intentionally brief and only limited to gather information that is absolutely pertinent to the key evaluation questions.

ANNEX 2: INTERVIEW GUIDES (SAMPLE QUESTIONS):

SADC and Government officials

1. Questions on how they have been involved;
2. The contribution the PRM project, particularly the MIDSA process has made on effective management of migration in their Countries and in the Region;

3. What has been the most significant effect the project has had on you and your department?
4. Since when and how have you been involved in MDSA?
5. What is the one important lesson have you learned from MDSA and how have you applied the lessons?
6. What aspects of the IOM project you find useful and which do you find not so useful? Which aspect do you think should be changed or improved?
7. Where do you see MDSA from now? (probe to get info on scenario where IOM PRM doesn't exist anymore to get insight into MDSA processes)

Frontline Immigration officers, CSOs:

1. Have you attended any IOM training on migration management? How many training did you attend? (probe as a trainer?)
2. What are the two most important lessons (take home) did you get from these training sessions)?
3. How did you apply the knowledge from the capacity building? (esp. those trained as trainers)
4. To what extent has the IOM project helped creating an enabling environment for you to apply your knowledge at your work place?
5. Are you aware of any policies or migration management guidelines, legislations that have been amended to increase the protection of vulnerable migrants? Which ones?
6. Please describe to me your process of managing migration cases at your work place? (probe on SoPs and their effectiveness)
7. Are there any migration related coordination mechanisms (e.g. (CBMMSF) for migration management you are aware off? If any how have they facilitated your work?
8. To what extent has IOM assisted in the establishment of facilities and mechanisms to assist vulnerable migrants (probe how effective is are these facilities).
9. What areas of the IOM project do you think needs strengthening?

IOM staff (random sample)

1. For how long have you been involved with PRM?
2. In your view what is the long term vision of PRM?
3. What are your views about of the effectiveness of the project interventions and strategies in achieving this goal?
4. Looking back from where it all started (beginning of the project) to today, what would you say has been the biggest change brought about by the project? What project aspects can be attributed to that change?

5. Are you aware of any unintended negative or positive outcomes brought about the projects? What are they if any?
6. Where do you see PRM from now?
7. How did the transition to a regional project affect implementation?
8. Do you think the current implementation structure conducive to project success? Why?

PRM staff (purposeful sample)

1. How long have you been involved with PRM?
2. In few words please describe PRM long term goal and how you visualize the process to getting there? What are the key precondition for the project to succeed?
3. Looking back in the past 5 years, do you think the project has followed this path? How?
4. In your view, what informed the design of the project?
5. What have you observed to be the biggest change brought about by the project since its inception? What project aspects do you believe have been the most effective in bringing about this change??
6. What are the key project weaknesses and strength?
7. What are the sustainable implementation infrastructure or mechanisms that the project have put in motion for effective migration management beyond the project life cycle in SADC region?
8. Where do you see PRM from now? What do you think should be the future priority of the project based on your experiences?
Given that irregular migration is a long term challenging phenomenon that is likely to continue to increase, what are the resource mobilization strategies exist to continue the work PRM is doing?

ANNEX 3: MUSINA CASE STUDY

In coordination with the IOM Musina sub-office, the evaluation team made a short visit to the site to observe although the observation at the Musina holding cell was prepared as part of the overall data collection methods, it was short and unstructured. The short observation at the Musina site was an opportunity for the evaluation to gain first-hand “insider” experience on how the center operates and, particularly, to get a feel of the extent to which irregular migrants kept at the Centre were treated in a human and orderly manner. The evaluation team together with the representative from IOM Musina sub-office were given full access to the holding cells. The observation was facilitated by a police officer who also explained how the process works.

The Musina irregular migrants holding cells is located close to the border with Zimbabwe. It is the centre where migrants found in irregular situations, are detained while they wait for the process for their return to be

completed. The centre is managed by the South African Police Services (SAPS) and has about 80 holding cells with each having a capacity to accommodate about seven detainees each cell under normal circumstances. Majority of the detainees found at the centre at the time of observation were men compared to women and they were from Zimbabwe while there were a few from Lesotho, Mozambique, and Somalia, DRC, Malawi and other countries.

Findings from observation:

Observed change in the way migrants' irregular migrants are treated: previously, migrant who are found in irregular situation were immediately arrested and deported. Although the conditions at the centre were not perfect, migration management has evidently improved at Musina. Unlike in the past, the government now allows stakeholders such as IOM, Lawyers for Human Rights to conduct weekly visits to the irregular migrants holding cells and interact with those detained. The evaluation team accompanied the IOM official to observe how the weekly visits unfold and to observe the condition of the detainees.

There was a nurse/health promoter with a stock of drugs including HIV and TB drug and other medication and health commodities such as condoms and HIV testing kits towards ensuring good health among the detainees. Informant from the Ministry of Health, detainees receive various health services including pill refill, health screening as well as being educated about health. All interviewed stakeholders in Musina reported significant improvement in the way migrants are treated in Musina. The police who work at the centre were friendly, had a good understanding of the migration phenomenon as it unfolds in Musina and were informed about processes and infrastructure available for managing mixed migration cases. According to various sources, this general improvement observed at Musina site is a result of integrated response with all stakeholders working together.

Irregular migration case management: it was found that the period spent in holding cells ranged from one month to maximum of two months. It was explained that this is because the irregular migrant return caseload preparation process [including all referral chain] takes about two months to complete. Interestingly, during chance conversation with some of the detainees during the observation, we found that some have been detained at the centre more than four times, which confirms multiple repeat migration attempts by some of those who have already been returned. The process involved before the individual is returned include identity and locator information which may take long time to complete as some migrants intentionally provide wrong personal identity.

According to a number of respondents in Musina, the way migration is managed in Musina has significantly changed for the better since the inception of the project. For example, officials are no longer arresting migrants

before they investigate their case. Prior to, officials would arrest even unaccompanied minors and imprison them together with criminals. Now this practice has completely stopped.

Unintended negative consequences: at the time of observation, the holding cells were overcrowded. Under normal circumstances according to a police officer who accompanied the evaluation team to visit the detainee holding cells, each cell isn't expected to accommodate more than seven individuals. However, at the time of the observation, some cells were accommodating over 70 individuals. This was caused by the fact that, unlike in the past, the government of South Africa is now committed to humane and orderly migration management. This means going through a lengthy process of return preparation which is undertaken by the South Africa Department of Home Affairs in collaboration with the department of health and other key stakeholders such as UNHCR, IOM, Save the Children and Ministry of justice. This explains why the return only takes place once in two months. With overcrowding, the health condition can easily deteriorate but the South Africa Home Affairs works in collaboration with the Department of Health (DHA), the Department of Social Development and Justice to make sure to mitigate the effect of holding cells overcrowding.

Gender consideration: The observation found that males and females are kept in separate holding cells. There were no children held in the cells as they are normally taken to a place of safety. As we moved from cell to cell, we were asking basic questions to have a better understanding of the situation these men, women and children detained at the centre. It was clear that the centre made efforts to attend to differing needs for men, women and children. However, according to information from observation and stakeholder interviews, such improvement resulted from the collaboration with government and other stakeholders in Musina as well as capacity building efforts.

Improved coordination and collaboration among stakeholders: Stakeholder coordination and collaboration is key in effective management of mixed migration in Musina due to the complex nature of migration at site. According to informants, previously, operations were not coordinated in Musina and stakeholders did not effectively collaborate to ensure effective interventions. However, with PRM and other initiatives by IOM, other partners and in collaboration with South Africa government, communication has greatly improved. For example, before the project, there was no formal structure for stakeholders' engagement between the government of South Africa and Zimbabwe to discuss operational issues on migration management.

The Cross Border Migration Management Stakeholders Forum (CBMMSF) was established in 2012. It is co-chaired by the Department of Home Affairs (SA) and the Department of Immigration (Zimbabwe), with Department of Social Welfare as Secretariat supported by IOM. This cross-border coordination forum has served multiple

purposes beyond its initial intended goals. Not only the platform carries the sustainability beyond PRM project, but also it has been a conduit for bilateral engagement between South Africa and Zimbabwe, a coordinating structure for AVR management and has served as a platform for lessons sharing and for partnership mobilization.

There is an inter-agency working group which plays a significant role in ensuring coordinated response and, a Migration Health Forum which was established by IOM in collaboration with the office of the premier in Limpopo province. The Migration Health Forum was cited by most stakeholder as an important learning and coordination of response to migration challenges in the province.

M&E systems at Musina sub-office: due to the high volume of complex mixed migration, Musina is a potential learning site for IOM. It can provide critical information on migration dynamics and other migration issues to inform national migration policies and projects. Evidence on migration dynamics and PRM data on irregular migration and human trafficking, if systematically collected, can inform resource mobilization towards addressing the challenges of migration and development faced by the region. During the visit to Musina, the evaluation found that the Musina sub-office did not have data strategy and a systematic comprehensive database on migrants receiving services from PRM project and its partners in Musina. Such a data strategy would be critical in generating the necessary statistical and qualitative information needed on migration challenge the border post is faced with as well as successes or lack thereof. The observation also revealed that, while IOM has full access to holding cells to interact with migrants detained there, there is no systematic visit form to be used each time IOM undertake a visit to the holding cells. The information kept at the sub-office is scanty and doesn't include detailed information about beneficiaries that received assistance including referrals to and from IOM. Such information would be very useful in estimating the volumes and nature of migration happening and the various migrants' needs at the site at any given time.