COUNTER-TRAFFICKING IN EMERGENCIES:
INFORMATION MANAGEMENT GUIDE

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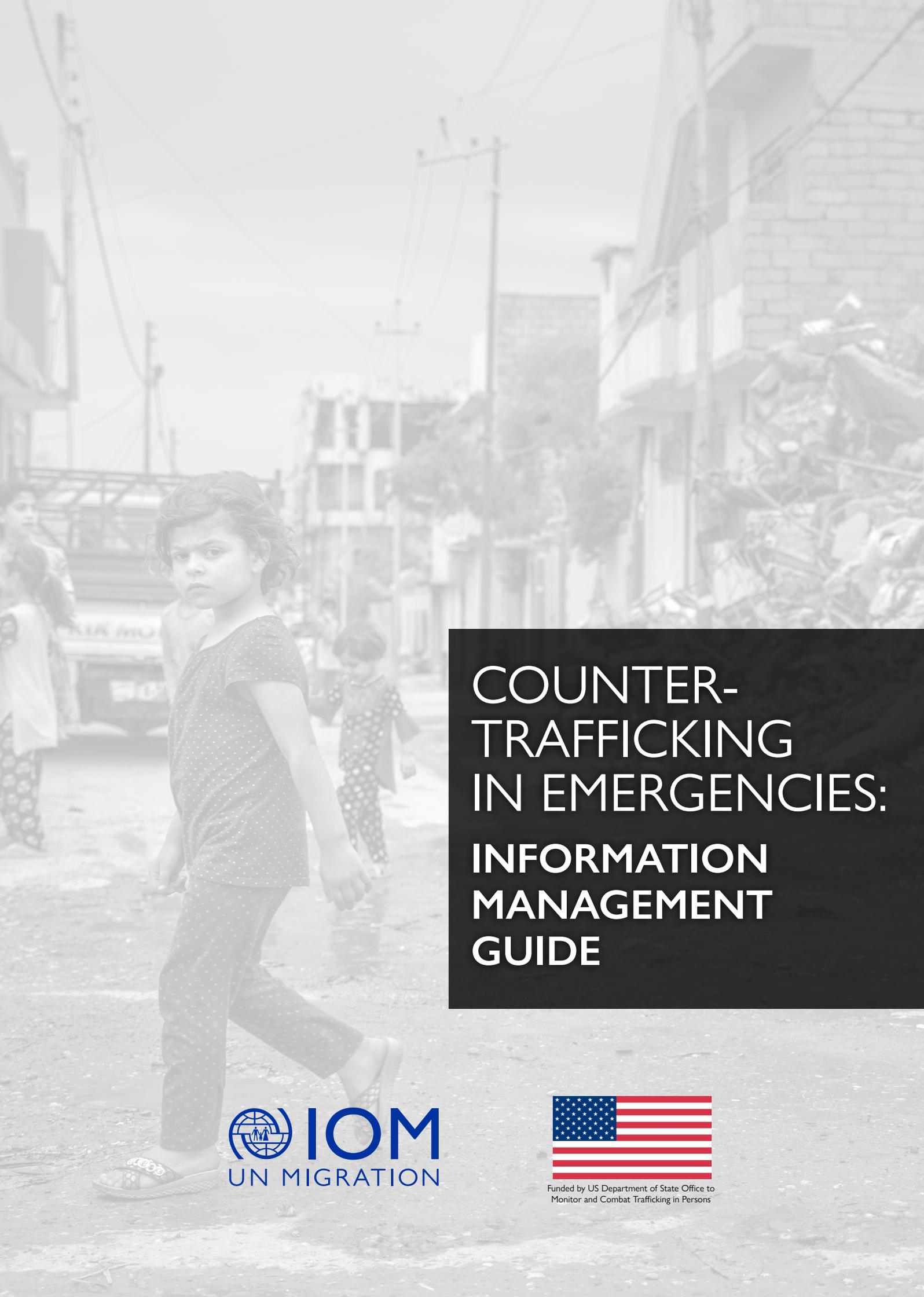
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INFORMATION MANAGEMENT GUIDE

FOREWORD

There is increasing awareness that trafficking in persons (TIP) and humanitarian crises are connected, as crises can exacerbate pre-existing trafficking trends and patterns, or create conditions for new forms of exploitation to proliferate. While evidence of this association exists, collecting data on trafficking in humanitarian settings faces the dual challenge of information management in complicated operating environments, and quantifying a hidden crime that is often under-reported and obscured among other human rights violations.

As global interest in TIP in humanitarian contexts has grown and trends are increasingly evident, there has been a rapid rise in demand for technical guidance on information management and TIP in humanitarian crises. There is a notable lack of tailored guidance on information management that integrates counter-trafficking-specific data collection and analysis into existing mechanisms in humanitarian settings. Likewise, existing literature and research tools on TIP in stable contexts tend not to fit humanitarian contexts, nor do they adequately accommodate all ethical considerations related to humanitarian interventions and principles.

To address this gap and meet the demands of practitioners and researchers alike, IOM developed *Counter-trafficking in Emergencies: Information Management Guide*. The goal is to promote an evidence-based decision-making approach that supports the development of new interventions where needed, or the adaptation of existing measures to more systematically integrate counter-trafficking prevention and response into humanitarian settings.

This guide is based on the decades-long history of IOM's engagement in counter-trafficking and migrant protection, together with the Organization's extensive experience in operational response across emergency contexts. But IOM could not have done this alone. We worked closely with members of the Inter-Agency Coordination Group against Trafficking in Persons (ICAT), the Global Protection Cluster Anti-Trafficking Task Team (GPC ATTT) and the Protection Information Management Initiative (PIM). We are also thankful for the financial support from the United States Department of State Office to Monitor and Combat Trafficking in Persons.

We believe that this guide is essential to all working in humanitarian responses, who wish to understand the various factors increasing or decreasing the risks of TIP, determining vulnerability to trafficking, and identify patterns and trends. Overall, this guide encourages joining forces and cooperating to promote an evidence-based approach to integrate counter-trafficking into humanitarian responses and further support existing counter-trafficking interventions.

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Abbreviations and acronyms

AoR	area of responsibility
ATTT	Anti-Trafficking Task Team
CTDC	Counter Trafficking Data Collaborative
CTiE	counter-trafficking in emergencies
DRC	Danish Refugee Council
DTM	Displacement Tracking Matrix (IOM)
GBV	gender-based violence
GPC	Global Protection Cluster
HNO	humanitarian needs overview
HPC	humanitarian programme cycle
HRP	humanitarian response plan
IDP	internally displaced person
ILO	International Labour Organization
IM	information management
INGO	international non-governmental organization
IOM	International Organization for Migration
MPA	Migrant Protection and Assistance
NFI	non-food items
NGO	non-governmental organization
OCHA	United Nations Office for the Coordination of Humanitarian Affairs
OHCHR	Office of the United Nations High Commissioner for Human Rights
PIM	Protection Information Management
RRP	refugee response plan
TIP	trafficking in persons
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNODC	United Nations Office on Drugs and Crime
VoT	victim of trafficking
WASH	water, sanitation and hygiene

Acknowledgements

1. Introduction

The purpose of IOM's *Counter-trafficking in Emergencies: Information Management Guide* is to provide guidance on integrating counter-trafficking-specific data collection and analysis into existing information management mechanisms in emergency contexts and humanitarian settings. The ultimate objective is to promote an evidence-based decision-making approach that allows for the development of new programming or adaptation of existing interventions to counter human trafficking, which is often overlooked in times of crisis.[1]

By emergency contexts and humanitarian settings, this guidance refers to those contexts where humanitarian actors are present and active, irrespective of the official activation of a cluster or comparable coordination systems at the country level. This approach will leave room for nuanced contexts where a humanitarian response is activated at the regional level, for instance, but to a different extent at the country level. By the same token, this will apply to country-level emergency-like contexts, where the challenges posed by the circumstances are comparable to those of other humanitarian responses, but where a state of emergency is not officially declared, nor is a humanitarian coordination system fully activated.[2]

A rich research literature on trafficking in persons (TIP) already exists. However, it tends not to be tailored for emergency contexts – the time pressure, operational challenges and established response mechanisms. Moreover, while other resources about TIP research of course consider ethical concerns, this guide aims to tackle the **ethical implications** that data collection and analysis on TIP have from a **humanitarian perspective**. The counter-trafficking emergency-tailored information management indications laid out in this guide aim, not only to comply with humanitarian principles, but also to be integrated, with no intention to reinvent, into **existing humanitarian and protection-specific information management mechanisms**, as well as align with frameworks such as **Protection Information Management (PIM)**.[3] This guide suggests ways to navigate and make full use of existing systems, being aware that these are well established and widely accepted.

This counter-trafficking in emergencies (CTiE) information management guide draws from the long-time experience of IOM in counter-trafficking as well as the Organization's history of extensive operational response across crisis contexts. It is addressed to a broad audience, but primarily **information management experts and protection practitioners**, from any organization. The purpose is to provide a shared **tool to foster cooperation** and allow an information management officer to better understand counter-trafficking information needs and gaps, familiarize with counter-trafficking-specific concepts, and better evaluate the requests coming from protection actors about counter-trafficking, or pre-empt them. Likewise, this guide aims to equip protection or specific counter-trafficking practitioners with the rudiments of research, analysis, and information management, with the objective to facilitate communication with information management partners, understand strengths and limitations of different data-collection or data-analysis approaches, evaluate the quality of sources and research studies, and eventually promote the inclusion of counter-trafficking into regular protection programming.

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[1] Human trafficking is also referred to in United Nations Sustainable Development Goals 5, 8 and 16. It is also related to SDG 10.

[2] As of June 2020, similar examples could be the regional response to Venezuelan refugees, which is not reflected in the activation of humanitarian coordination systems in all affected countries, or mixed-migration flows in West and Central Africa through the Sahel and towards Libya, which affect not only countries in emergency. An example of an emergency-like context could be the Northern Triangle of Central America (El Salvador, Guatemala and Honduras), where widespread violence is comparable to that in a country in conflict, contributing to internal displacement and cross-border population movements.

[3] The PIM Initiative is a collaborative project, facilitated by DRC and UNHCR, bringing together the United Nations, non-governmental organizations (NGOs), and other protection and information management partners working to respond to protection needs in situations of displacement. The PIM principles are discussed in detail in Chapter 3.

The guide also aims to highlight the importance of localization, suggesting the adoption of some standard parameters but stressing **the importance of adapting tools and approaches to the context**. Finally, it encourages the involvement of decision makers, at different levels and from multisectoral backgrounds, **from the very early stages**.

Figure 1. Evidence-based decision-making and response
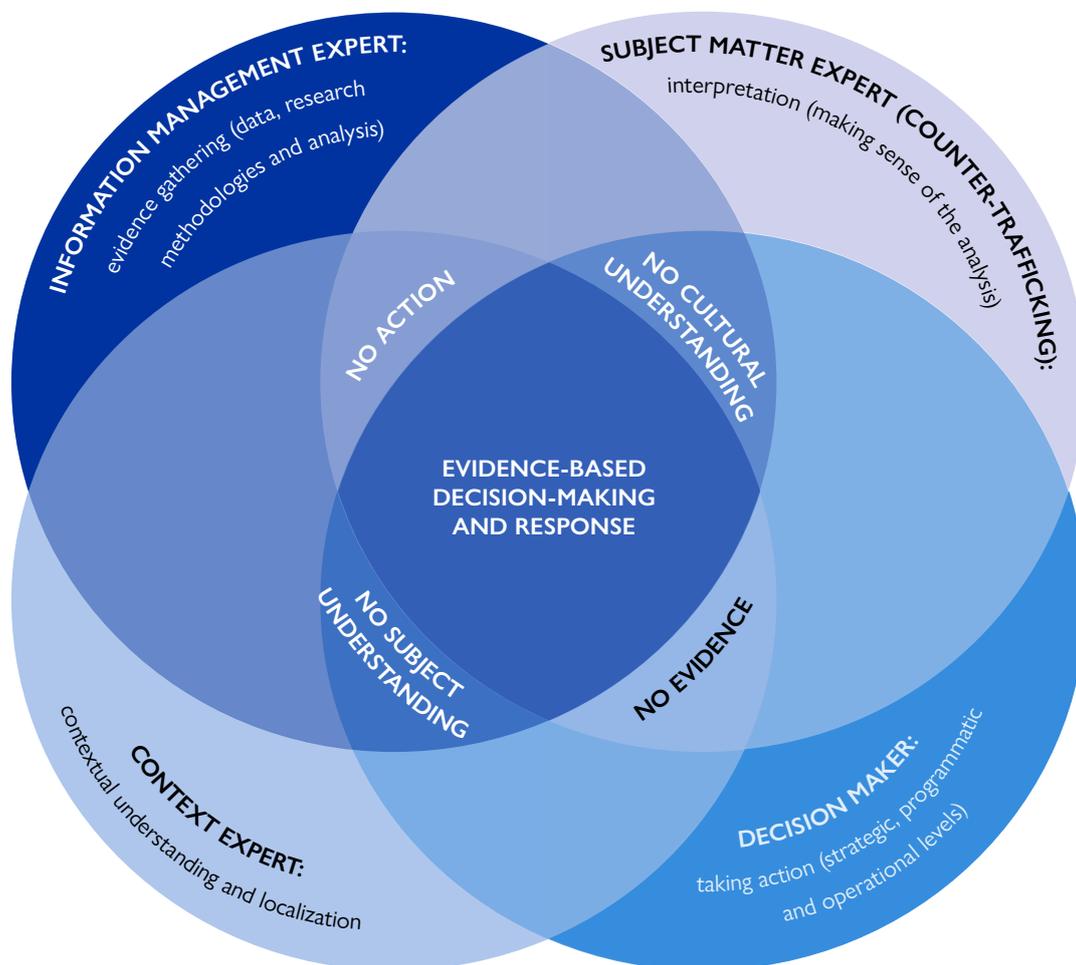
Note: Modified from the Grand Bargain Workstream on Needs Assessment's "Ensuring data and analysis is useful and usable for response" (EDAUUR). Available at https://displacement.iom.int/dtm-partners-toolkit/predictable-approach.

The illustration shows how evidence-based decision-making is achieved through the interaction of four groups of actors: counter-trafficking expert, information management expert, context expert and decision maker.

The exclusion of decision makers, from early stages, results in a poorly designed information management strategy because it is lacking purpose, and ultimately action. Similarly, the exclusion of information management experts would result in lack of evidence, the disregard of context experts would result in an unfit response, and the exclusion of subject matter experts would result in the overlooking of counter-trafficking within a response.

Figure 2. Experts and decision makers in a humanitarian response

INFORMATION MANAGEMENT EXPERT:
- Information management officers
- Research officers
- Needs-assessment experts
- Information analysts
- Data analysts and statisticians
- Data management experts
- Spatial analysis (GIS) experts

SUBJECT MATTER EXPERT (COUNTER-TRAFFICKING):
- Counter-trafficking thematic experts
- Protection thematic experts
- Local authorities (counter-trafficking sectoral experts)
- Local civil society (counter-trafficking sectoral experts)
- Local academia (counter-trafficking sectoral experts)
- Cluster coordinators (counter-trafficking, protection, GBV, child protection)
- Cluster members (national and international)

CONTEXT EXPERT:
- Local authorities
- National staff with contextual knowledge
- Local organizations and civil society (e.g. trade unions, employers' organizations, survivors-led organizations, national NGOs)
- Local academia and researchers
- Multidisciplinary researchers with specific context expertise

DECISION MAKER:
- Authorities (national and local)
- Humanitarian coordinators
- Cluster and inter-cluster coordinators
- Heads of organizations (national and international)
- Heads of civil society organizations
- Heads of delegations
- Programme coordinators
- Donors

Note: Modified from the Grand Bargain Workstream on Needs Assessment's "Ensuring data and analysis is useful and usable for response" (EDAUUR). Available at https://displacement.iom.int/dtm-partners-toolkit/predictable-approach.

2. Counter-trafficking in emergencies

2.1. Trafficking in persons

Trafficking in persons (TIP) is a crime and human rights violation. It is defined by Article 3 of the United Nations Protocol to Prevent, Suppress and Punish Trafficking in Persons Especially Women and Children, supplementing the United Nations Convention against Transnational Organized Crime (see Text box 1).[4]

Text box 1. Definition of "trafficking in persons"

(a) "Trafficking in persons" shall mean the recruitment, transportation, transfer, harbouring or receipt of persons, by means of the threat or use of force or other forms of coercion, of abduction, of fraud, of deception, of the abuse of power or of a position of vulnerability or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purpose of exploitation. Exploitation shall include, at a minimum, the exploitation of the prostitution of others or other forms of sexual exploitation, forced labour or services, slavery or practices similar to slavery, servitude or the removal of organs;

(b) The consent of a victim of trafficking in persons to the intended exploitation set forth in subparagraph (a) of this article shall be irrelevant where any of the means set forth in subparagraph (a) have been used;

(c) The recruitment, transportation, transfer, harbouring or receipt of a child for the purpose of exploitation shall be considered "trafficking in persons" even if this does not involve any of the means set forth in subparagraph (a) of this article.

From paragraph **(a)**, TIP is then defined by three elements, which must be present and connected, as illustrated below:

ACT: What is done.
MEANS: How it is done (what form of control is exerted over an individual).
PURPOSE: Why it is done (what forms of exploitation is an individual subject to).

Figure 3. The three elements of TIP (adults)

ACT: What is done	MEANS: How it is done	PURPOSE: Why it is done	
• Recruitment • Transportation • Transfer • Harbouring of persons • Receipt of persons	• Threat or use of force • Coercion • Abduction • Fraud • Deception • Abuse of power • Abuse of position of vulnerability • Giving or receiving payments or benefits To achieve the consent of a person having control over another person	For the purpose of exploitation which shall include, at a minimum: • Exploitation of prostitution of others • Sexual exploitation • Forced labour or services • Slavery or practices similar to slavery • Servitude • Organ removal	Trafficking in persons (TIP)

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[4] This is also referred to as the Palermo protocols, together with the Protocol against the Smuggling of Migrants by Land, Sea and Air (2000). (See also: UNODC, 2018a.)

The protocol does not provide an exhaustive list of possible forms of exploitation that a victim may be trafficked for. The protocol states: "Exploitation shall include, at a minimum, the exploitation of the prostitution of others or other forms of sexual exploitation, forced labour or services, slavery or practices similar to slavery, servitude or the removal of organs." This allows for a broader interpretation and the inclusion of other forms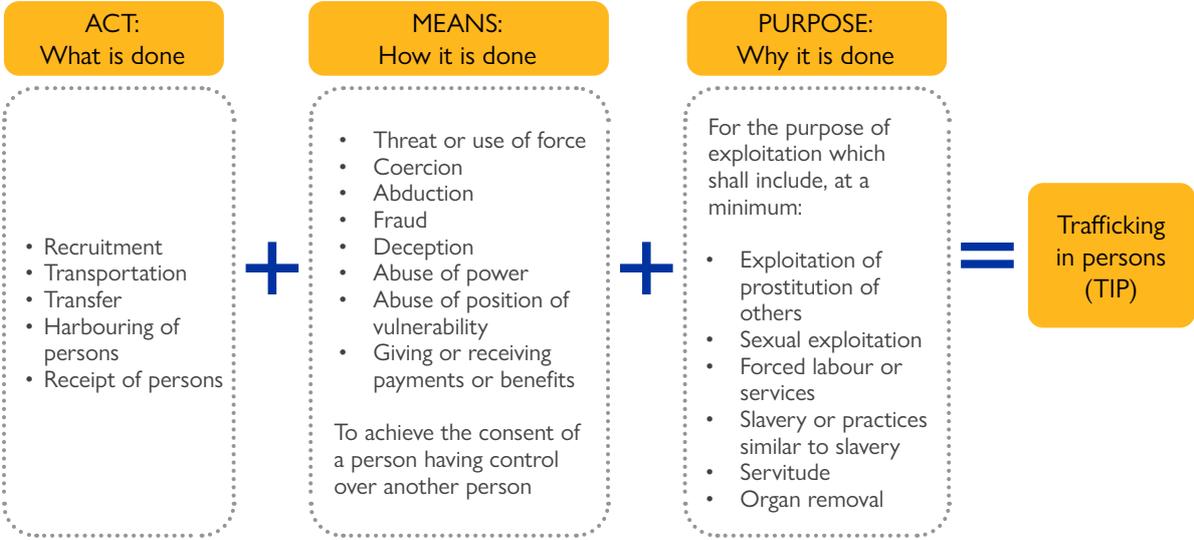 of exploitation, which could include, for example, child labour, forced illegal activities, coercive reproduction, debt bondage, forced marriage, forced military recruitment (in combat or support roles), sexual servitude, some cases of illegal adoption, and other forms of egregious exploitation (UNODC, 2015; ILO, 2014; OHCHR, 2014; ICAT, 2012a).[5]

> **Example 1**. A 19-year-old girl in a refugee camp accepts a job offer as a maid. She is transported to a city nearby but eventually forced into prostitution. She is repeatedly beaten and abused by her traffickers. She is threatened by her traffickers that if she tries to run away, they will reveal her story to her family and community, who will reject her. Also, they told her that the police would arrest her as an illegal migrant as she has no ID nor other documentation to prove she is a refugee.

Example 1 in the text box includes **act** (transport and recruitment), **means** (violence and abuse, threat, ID confiscation and deception), and **purpose** (sexual exploitation). Hence, it is a case of trafficking.

> **Example 2**. A 19-year-old girl living in a refugee informal settlement starts looking for jobs in the nearby city and eventually begins working in a beauty salon. Every morning she goes to the city and comes back home at night to her family. The owner of the salon does not give her any contract, as refugees in that country are not allowed to work by local authorities. The owner and the refugee girl just verbally discuss a daily salary and the working hours. Different from what had been previously discussed, the salon owner starts requiring excessive working hours. The pay is very low, much lower than the amount received by the refugee girl's colleague who is a national, extra hours are not paid, and the owner deducts money from her salary every time she is a few minutes late, even if this is due to unpredictable checkpoints on the route to the city. When the girl hurts herself with an unsafe tool at work, she is forced to work despite the injury. The owner threatens not only to deduct the absence from her salary but also not to pay her the entire month.

Example 2 most likely includes **purpose** (labour exploitation) and **means** (abuse of vulnerability, deception and withholding payments). However, based exclusively on the provided information, the case does not include the **act**, so the case cannot be defined as TIP but rather as a form of labour exploitation.

Based on paragraph **(b)**, from a legal perspective, **consent is irrelevant**, as it is rendered irrelevant by the means (threat or use of force, deception, etc.).

According to paragraph **(c), in the case of children**,[6] **means is legally irrelevant too**, and trafficking is defined as the combination of act and purpose.[7]

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[5] See also ILO Conventions 29 and 105. See also: ILO, n.d.

[6] This guide follows the 1989 United Nations Convention on the Rights of the Child, which states: "A child is any human being below the age of 18 years, unless under the law applicable to the child, majority is attained earlier."

[7] Legally, the identification of means is not necessary to determine whether a child is a VoT or not. However, in Chapter 4, it is explained in detail that from a research and information management perspective, the means must be studied also in relation to children.

Figure 4. The elements of TIP (children)

ACT: What is done	**+**	MEANS: How it is done	**+**	PURPOSE: Why it is done	**=**	Child trafficking
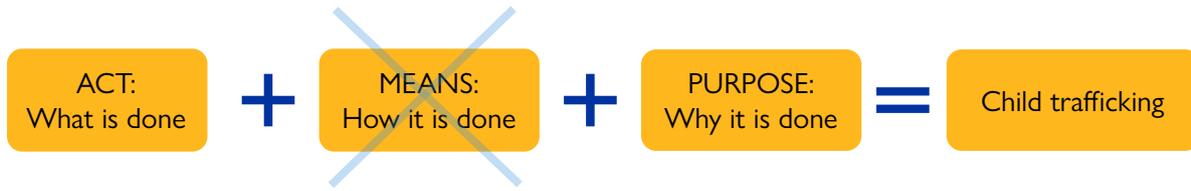
Article 5 of the United Nations Trafficking in Persons Protocol calls for the criminalization of trafficking in domestic legislations. On the one hand, the definition of TIP is then key to distinguish TIP from other forms of crime or human rights violations (with consequences in terms of national and international leverage and advocacy). On the other, it is crucial because the identification of a person as victim of trafficking (VoT)[8] has implications on not only the assistance to be provided but also the legal status and legal protection to which a VoT might be entitled in a given country. This includes the application of the non-punishment principle, according to which VoTs cannot be prosecuted for their involvement in unlawful activities committed as a consequence of being trafficked (ICAT, 2020).

Table 1. Examples of TIP in emergency contexts

	EXAMPLE A	EXAMPLE B	EXAMPLE C	EXAMPLE D
ACT	A female-headed household living in a refugee camp has an 18-year-old daughter. They are approached by a marriage broker promising to arrange her marriage abroad to a wealthy member of the same ethnic minority. The husband is willing to drop the request for a dowry.	A migrant agrees to the conditions of a journey with a smuggler. After the departure, the smuggler threatens to leave him in the middle of the desert if he does not carry drugs for him.	A militia group recruits boys under the age of 18.	A young woman who is an internally displaced person (IDP) is given an offer to work as a maid in hotels in a nearby coastal town but is instead forced to work in a brothel.
MEANS	• Deception about false marriage • Abuse of position of vulnerability as the family is in a difficult condition and cannot afford a dowry, and the daughter cannot contribute to the family income	• Coercion to commit illegal acts • Deception about the journey • Abuse of vulnerability • Threat of death	• Not required since VoT is a child[*] [*] See footnote 7	• Deception about a job opportunity • Abuse of vulnerability • Coercion and threat to inform her family and community
PURPOSE	• Forced marriage • Sexual exploitation • Domestic servitude	• Forced illicit activities	• Exploitation in combat or support roles	• Sexual exploitation

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[8] Some sources prefer the use of the term "trafficking survivor" to that of "victim of trafficking". While the intention to stress the resilience of the individual is well acknowledged, in this guide the use of VoT is preferred and motivated by two reasons. First, the stress is on the individual experience of being a victim of crime. Second, this guide suggests a variety of research approaches to understand trafficking patterns, trends, and risks, hence including undetected cases.

2.2. Difference between TIP and migrant smuggling

The TIP definition also allows for a clear **distinction between trafficking and smuggling**. According to the United Nations Protocol against the Smuggling of Migrants by Land, Sea and Air (2000), smuggling of migrants is a crime involving "the procurement, in order to obtain, directly or indirectly, a financial or other material benefit, of the illegal entry of a person into a State Party of which the person is not a national or a permanent resident".

The definition of TIP does not necessarily imply a movement or change of location, neither within national borders nor across borders. Different from TIP, the definition of smuggling requires cross-border movement. Moreover, the financial and material benefits that the smuggler obtains come primarily from the economic transaction between the smuggler and the individual wishing to cross a border, and not from the direct exploitation of the smuggled individual (ICAT, 2016).

Having stated this distinction, it is true however that, especially in crisis contexts, smuggling can quickly transform into trafficking. The traffickers' and smugglers' routes might be the same, and the methods applied by smugglers could lead to severe violations of human rights. Moreover, smugglers take advantage of individuals' vulnerabilities and lack of alternatives such as regular migration pathways. The level of dependency that smuggled persons have on a smuggler makes them highly vulnerable, and even though they gave consent, the power balance is not even.[9]

2.3. Global trends and TIP in humanitarian emergencies

Although efforts have been made to estimate the prevalence of TIP in different jurisdictions, accurate estimates are extremely hard to obtain, as TIP is a crime and by nature a hidden phenomenon. There is no global prevalence estimate of TIP. However, *Global Estimates of Modern Slavery: Forced Labour and Forced Marriage* by ILO, IOM and Walk Free Foundation (2017) estimated the number of victims of related crimes (i.e. forced labour and forced marriage) to be around 40 million globally. This figure can be considered indicative of the magnitude of the phenomenon. It is important, however, to remember that while relying on various sources and sophisticated methodologies, these are estimates.[10]

Said estimates tend to be based on approximate definitions, national statistics, case management data, and information on detected cases shared by States and organizations. Elaborate methodologies attempt to overcome the limits of using detected cases, as well as the limits related to incomplete geographical coverage or to the inability of States to investigate, track, and share information on TIP. These limitations are usually more severe in the contexts that this guide is addressing, where conflict, the breakdown of the rule of law, and political and economic instability are factors that fuel trafficking while hindering evidence gathering.

Despite the difficulty in achieving global estimates on TIP prevalence, studies and research provide evidence regarding the connection between TIP and humanitarian crises. Humanitarian crises exacerbate pre-existing trafficking trends and create a fertile soil for new ones, and related human rights violations. The collapse of the rule of law and spreading impunity, the economic and political instability associated with conflict or natural hazards, State failure, erosion of protection systems, deterioration of living

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9   In crisis contexts, it is not unusual that movements within the national border might not be allowed – specific permissions or documents might be requested to move from one region to another, and movements could be hindered or controlled for specific groups (e.g. IDPs, ethnic minorities, or refugees allowed to settle only in specific areas). While perhaps not captured in international conventions on smuggling, in these contexts, it is important to also consider intranational smuggling in relation to trafficking. Hindered freedom of movement, even within the national border, can be a driver for smuggling and create favorable conditions for trafficking.

10   See also: ILO, n.d.

conditions, loss of livelihoods, the lack of access to safe and legal migratory routes, and negative coping strategies are all elements contributing to the proliferation of TIP.[11] Despite the identification of a relation between TIP and emergency contexts, trafficking prevention and response is frequently overlooked or not addressed in a comprehensive manner in humanitarian responses.[12]

It is, however, important to point out that some aspects of a prevention and protection response to human trafficking are naturally addressed within existing humanitarian mechanisms, especially at the country level. Within the cluster system – for instance, in the protection cluster – the gender-based violence (GBV) and child-protection areas of responsibility already cover issues such as sexual violence, sexual exploitation, forced or early marriage, child labour exploitation, and forced child recruitment, to name a few. However, TIP tends to be handled on a case-by-case basis, from a GBV or child-protection perspective, and not as part of a more consistent TIP pattern, or trend over time, that requires specific programming.

Other forms of exploitation, such as domestic servitude, slavery, or forced labour, are hard to detect in contexts where the overall livelihood conditions were already precarious or underwent further deterioration. Consequently, TIP tends to be overlooked or not prioritized, nor considered a cross-cutting issue for other clusters or sectors. Finally, factors undermining the integration of counter-trafficking interventions might be dependent on States' priorities, agencies' mandates, and the definition of the target population. Depending on the context, humanitarian actors might be mandated to target specific groups such as IDPs, refugees or the affected local population, but other groups such as transiting or stranded migrants might be handled in a more ad hoc manner.

International and regional human rights mechanisms are designed to tackle TIP. The Special Rapporteur on trafficking in persons, especially women and children is mandated to focus on the human rights aspects of trafficking. The Special Rapporteur on trafficking has dealt with trafficking in conflict and post-conflict situations, the vulnerabilities of children to sale and trafficking in situations of conflict and humanitarian crisis, and early identification of victims in mixed-migration movements (OHCHR, n.d.). However, while these recommendations are extremely valuable for humanitarian settings, numerous challenges hinder the use of human rights mechanisms to mainstream counter-trafficking into humanitarian responses.

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[11] Some key resources are mentioned at the end of Chapter 2: "Further readings and recommended sources – TIP in emergencies (conflict and natural disasters)". Further sources can be found in the Bibliography section.

[12] The establishment of the Anti-Trafficking Task Team (ATTT) under the Global Protection Cluster in 2017 – co-led by Heartland Alliance International, IOM and UNHCR – represents a great effort to define an inter-agency coherent strategy, with the purpose of integrating counter-trafficking into the humanitarian response architecture in displacement contexts.

Chapter 2: Further readings and recommended sources

TIP key references
- ICAT, 2012: International legal framework. In: Toolkit to Combat Trafficking in Persons.
- ICAT, 2012: The international legal frameworks concerning trafficking in persons.
- ICAT, 2016: What is the difference between trafficking in persons and smuggling of migrants?
- ICAT, 2020: Non-punishment of victims of trafficking.
- ILO, 2014: Brief on the Protocol to the Forced Labour Convention.
- ILO Forced Labour Convention 1930 (No. 29) and Abolition of Forced Labour Convention 1957 (No. 105).
- ILO, IOM and Walk Free Foundation, 2017: Global estimates of modern slavery: Forced labour and forced marriage.
- OHCHR, 2000: UN Protocol to Prevent, Suppress and Punish Trafficking in Persons Especially Women and Children, supplementing the United Nations Convention against Transnational Organized Crime.
- OHCHR, 2014: Human rights and human trafficking.
- UNODC, 2015: The concept of "exploitation" in the Trafficking in Persons Protocol.
- UNODC, 2018: The International Legal Definition of Trafficking in Persons: Consolidation of research findings and reflection on issues raised.

TIP in emergencies (conflict and natural disasters)
- GPC ATTT, 2018: Anti-trafficking in humanitarian responses.
- GPC ATTT, 2020 (forthcoming): Guidance on anti-trafficking action in internal displacement contexts.
- ICAT, 2017: Trafficking in persons and refugee status. Issue Brief No. 3.
- ILO and IOM, 2015: *Impact of Livelihood Recovery Initiatives on Reducing Vulnerability to Human Trafficking and Illegal Recruitment: Lessons from Typhoon Haiyan.*
- International Centre for Migration Policy Development, 2015: *Targeting Vulnerabilities – The Impact of the Syrian War and Refugee Situation on Trafficking in Persons: A Study of Syria, Turkey, Lebanon, Jordan and Iraq.*
- International Centre for Migration Policy Development, 2018: *Trafficking along Migration Routes to Europe: Bridging the Gap between Migration, Asylum and Anti-Trafficking.*
- IOM, 2015: Addressing human trafficking and exploitation in times of crisis: Evidence and recommendations for further action to protect vulnerable and mobile populations.
- IOM, 2017: *Migrant Vulnerability to Human Trafficking and Exploitation: Evidence from the Central and Eastern Mediterranean Migration Routes.*
- IOM and UNHCR, 2020: Developing standard operating procedures to facilitate the identification and protection of victims of trafficking. Framework document.
- IOM and UNICEF (eds.), 2017: *Harrowing Journeys: Children and youth on the move across the Mediterranean Sea, at risk of trafficking and exploitation.*
- The Freedom Fund, 2016: Modern slavery and trafficking in conflict: The UN's response.
- UNHCR, 2006: Guidelines on international protection: The application of Article 1A(2) of the 1951 Convention and/or 1967 Protocol relating to the Status of Refugees to victims of trafficking and persons at risk of being trafficked.
- UNODC, 2018: Countering trafficking in persons in conflict situations. Thematic paper.
- UNODC, 2018: *Global Report on Trafficking in Persons – in the context of armed conflict 2018.*

Trainings
- IOM eCampus: Counter Trafficking in Humanitarian Settings.
- UNODC eLearning: Human Trafficking.

3. CTiE information management: ethical concerns and safeguards

3.1. Ethical concerns on counter-trafficking information management

Research, data collection and analysis on TIP may raise serious ethical concerns due to the potential sensitivity of the subject and the risks involved in information management activities. The well-being and safety of a VoT, and of any data subject, must be considered a priority in the way researchers or counter-trafficking practitioners plan and implement their information management activities. The life or safety of a VoT may be put at risk by the mishandling of personal data, failure to obtain informed consent, lack of data security measures, and inadequate assessments of the risks involved in data collection, storage, analysis, and dissemination. Failure to implement responsible research approaches may lead to stigmatization and ostracism of a VoT, cause re-traumatization, endanger their life, or subject them to reprisal. It could endanger other victims exploited by the same perpetrators, create risks for the staff who conduct information management activities, and cause reputational risks for the organizations involved.

These ethical considerations encompass any form of research activity on TIP in emergency and non-emergency contexts alike, irrespective of being conducted by a counter-trafficking practitioner or an academic researcher. However, **research on TIP conducted in humanitarian settings must take account of additional ethical considerations** given the risks and vulnerabilities that are inherent in these contexts. Information management in emergencies is very action-oriented, conducted to inform an intervention and not for the sake of theoretical knowledge per se, and it must **strictly abide by humanitarian principles**.

3.2. Protection Information Management

As briefly mentioned in the previous chapter, in emergency contexts, counter-trafficking interventions as well as counter-trafficking-related information management activities tend to fall naturally within the protection sector, and some aspects of counter-trafficking are already tackled, although not always from a counter-trafficking perspective, by protection actors. The following chapters will illustrate how to adopt a multidisciplinary approach to CTiE information management and data analysis (not focusing strictly on protection-related information management tools only). However, in the existing humanitarian ecosystem, the key actors implementing counter-trafficking programming – and the main data users or providers – tend to be protection actors.

The Protection Information Management (PIM) Initiative provides guidance on how to conduct information management activities in a principled, systematized and collaborative way for protection interventions in situations of displacement. The guidance is applicable to all contexts, including emergencies (see Text box 2).

Text box 2. Protection Information Management

The PIM Initiative is a collaborative project, facilitated by DRC and UNHCR, bringing together United Nations entities, NGOs, and other actors with a focus on protection and information management, working to develop an evidence-based response to protection needs in situations of displacement. Actors involved in the PIM Initiative work together to develop a conceptual framework to support protection information management, which is defined as the "principled, systematized, and collaborative processes to collect, process, analyse, store, share, and use data and information to enable evidence-informed action for quality protection outcomes". All the resources that have been developed are available on the PIM website: www.pim.guide.

1. People-centred and inclusive
Data and information activities must be guided by the interests, well-being, and rights of the affected population and their hosts, which must participate and be included in all relevant phases. Activities must be sensitive to age, gender, and other forms of diversity.

2. Do no harm
Data and information activities must include a risk assessment and take steps, if necessary, to mitigate identified risks. The risk assessment must look at negative consequences that may result from data collection and subsequent actions or service delivery for as long as the data and information activity is carried out.

3. Defined purpose
Given the sensitive and often personal nature of protection information, data and information activities must serve specific information needs and purposes. The purpose must be clearly defined and communicated; proportional to both the identified risk and costs vis-à-vis the expected response; and aimed at action for protection outcomes, including the sharing and coordination of protection data and information.

4. Informed consent and confidentiality
Personal information may be collected only after informed consent has been provided by the individual in question, and that individual must be aware of the purpose of the collection. Further, confidentiality must be clearly explained to the individual before the information may be collected.

5. Data responsibility, protection, and security
Data responsibility goes beyond data privacy and data protection. It entails a set of principles, purposes, and processes that seek to guide humanitarian work and leverage data to improve affected populations and their hosts' lives in a responsible manner while adhering to international standards of data protection and data security. Data and information activities must adhere to international law and standards of data protection and data security. Persons of concern have a right to have their data protected according to international data protection standards.

6. Competency and capacity
Actors engaging in data and information activities are accountable for ensuring that data and information activities are carried out by information management and protection staff who have been equipped with data and information core competencies and have been trained appropriately.

7. Impartiality
All steps of the data and information cycle must be undertaken in an objective, impartial, and transparent manner while identifying and minimizing bias.

8. Coordination and collaboration
All actors implementing data and information activities must adhere to the principles noted above and promote the broadest collaboration and coordination of data and information internally between humanitarian actors and externally, with and among other stakeholders. To the extent possible, data and information activities must avoid the duplication of other data and information activities and instead build upon existing efforts and mechanisms.

Note: More information on the **PIM principles** is available at http://pim.guide/guidance-and-products/product/principles-protection-information-management-may-2015/.

3.3. Practical implications of the PIM principles and safeguards

The eight PIM principles should guide decisions about all the steps in an information management process, from research design to data collection, analysis, storage, and sharing and dissemination. **The ethical and safety concerns associated with information management activities prompt the establishment of safeguards**. More research-focused solutions and alternatives to circumnavigate the challenges listed below are discussed in the following chapters, while the examples in the succeeding paragraphs aim to provide some pragmatic instances of the ethical challenges that might arise at the field level. It is worth noting that **the principles are highly interconnected, not mutually exclusive**, hence the examples presented below might partially overlap.

3.3.1. People-centred and inclusive

Data and information activities must be guided by the interests, well-being, and rights of the affected population and their hosts, which must participate and be included in all relevant phases. Activities must be sensitive to age, gender, and other forms of diversity.

(a) **Data collection and analysis should consider all affected groups**. Although essential, this is often easier said than done. A proactive approach is needed to ensure that the challenges below can be effectively addressed via context-appropriate measures when designing and implementing information management activities.

    (i) In some contexts, for instance, needs assessments involving key informants or conducted at the household level may include a disproportionate number of men among the respondents, as local leaders might tend to be men and a household survey is often an interview with the head of the household (likely to be a man), about the household.

    (ii) Women, because of local customs, might be reluctant or might not be used to speaking out in public and representing the collective view of a community rather than just their own personal views, so female key informants might be challenging to identify.

    (iii) In some environments, the difficulty in recruiting female enumerators might hamper the ability to reach out to female respondents.

    (iv) Research methodologies might not be designed, or staff may not be trained adequately, to capture the needs of people with disabilities, physical or mental, who might be marginalized within their own community and remain invisible in data as well.[13]

    (v) Children's needs might be conveyed through the interpretations of adults, as they might not be involved in research nor allowed to speak for themselves.[14]

    (vi) Specific social groups, ethnic or religious minorities, individuals affected by stigmatized diseases, LGBT+ persons, and people on the move or in irregular situations might be under-represented in data-collection exercises because they have reasons to be elusive or keep a low profile, and are hard to reach – in fear of discrimination or persecution.

(b) **TIP research carries specific challenges regarding inclusion**, as in elusive, hard-to-reach or hidden populations. As with victims of other forms of violence, **VoTs may be difficult to identify and approach** because of the means of control exerted on them: they are afraid of

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[13] See also: WHO, 2016.

[14] See also: UNICEF, 2013, 2016.

reporting, possibly mistrustful of police or aid workers, and at risk of criminalization. Also, they might not regard themselves as victims, nor be aware of applicable rights, and consequently will not seek help. This means that **in most cases, information management activities on TIP will be conducted without the direct involvement of VoTs**. This might be a safer approach even when VoTs are identified but information management capacity and competency are not adequate to directly interact with VoTs or former VoTs.[15]

(c) **An inclusive approach might require creative or diverse techniques from a methodology and operational perspective** – meaning that to understand a specific phenomenon in a community, it might be necessary to adopt, when feasible, different strategies to reach out to different groups and **not expect that one single information management exercise will meet all information needs**.

(d) **A people-centred and inclusive approach also translates into a bottom-up approach**. This means that it is the research strategy that needs to adapt to the reality, and not the contrary. This can be done, when possible, by involving members of the affected population in the design of a research. Qualitative methods such as face-to-face interviews can be used to inform a methodology design, involving some groups in the pilot of a questionnaire (e.g. the translation). Then their feedback must be gathered, to involve them in the analysis and discussions on recommendations.

> **Example 3**. The risk of a top-down approach is always present, especially when trying to balance between adapting to the context and maintaining a modicum of consistency across standardized tools, not to reinvent the wheel. The path is even more slippery when a humanitarian worker is double-hatting, which could be the case of a protection practitioner conducting an assessment to better understand how to implement a programme, hence covering the role of information management expert and subject matter expert at once. Let's consider the case of a protection practitioner trying to explore patterns of trafficking associated with forced and early marriage, through focus group discussions with women in a cultural environment where they are considered adults from adolescence and arranged marriages are the norm. Starting the FGD with definitions – by explaining what TIP is, that everybody under the age of 18 is a child and that the arranged marriage of a minor is a form of forced early marriage – will not be conducive to neither an increased self-awareness among the participants nor decent results from a research perspective, as said participants will feel confused at best and criminalized at worst. In similar situations, it is important to remember that **data collection and programme implementation are two distinguished and separate steps even if performed by the same person**.

(e) A key step to achieve inclusion is to heavily rely on local staff as information management experts, cultural mediators, and advisors to better tailor a data-collection exercise. Furthermore, another key step is the adoption, or at least **identification** for the sake of information management, **of social constructs and definitions of the local populations rather than imposing some external ones from above** (e.g. "adult", "adolescent", "family", or religious or ethnic affiliation), which shows respect towards the affected population and allows for the collection of quality data. It is up to the information management expert, together with the context expert, to understand these differences, tailor information management tools, then make interpretations accordingly.

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[15]   This aspect is discussed below in Principle 7, and different research approaches will be presented in the following chapters.

> **Example 4**. In some contexts, "family" is intended as a nuclear family (parents and children), while "household" refers to a group of people (potentially more than one nuclear family) living in the same dwelling and sharing meals. In another country, this distinction might make no sense, and in the local language, a family could simply refer to four generations living under the same roof — as the nuclear family as a concept is not even contemplated.
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> **Example 5**. The definitions of "adult", "adolescent" and "child" as social concepts do not hold the same cultural weight universally. In some contexts, adolescents do not exist "culturally". They are perceived as simply young adults. This means that when trying to obtain information about female-headed households, for instance, a respondent might exclude from the group nuclear families where there is at least one boy above the age of 12 or 13, as the women would be considered having a chaperone.

(f) Finally, regarding the risk of a top-down approach, it is important to remember that TIP affects all population groups.[16] **Vulnerable groups and population groups at risk should be defined by first identifying the risks in one specific context**.

3.3.2. Do no harm

Data and information activities must include a risk assessment and take steps, if necessary, to mitigate identified risks. The risk assessment must look at negative consequences that may result from data collection and subsequent actions or service delivery for as long as the data and information activity is carried out.

(a) **The interest and well-being of all involved individuals come before the goal of the information management process.**

(b) **Secondary data review and analysis should always be the first step before even considering the launch of potentially repetitive and harmful primary-data-collection activities**. The use of already available data helps mitigate or avoid the risks associated with primary data collection, as listed below.

(c) Before undertaking any information management activity, humanitarian actors should identify the kind and level of risks that the different involved stakeholders (e.g. respondents, enumerators, information management experts, organization, community and third-party organizations) might face at the different stages of the information management process (i.e. data collection, storage, analysis and dissemination), and adopt mitigating measures.

(d) **Primary data collection** on sensitive topics, such as a survey aiming to identify indicators of trafficking and human rights abuse among migrants, **can take place only if referral mechanisms or procedures**, with quality essential services, **are in place**. That is to say that a respondent is not to be asked about negative personal experiences, directly or indirectly, if the interviewer cannot immediately refer to services such as psychological support or medical assistance, the same way nobody would ask someone if they are thirsty without having water to offer. If referral

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[16] According to the UNODC Global Report on Trafficking in Persons 2018, women and girls represent 72 per cent of detected victims of trafficking, while men and boys make up the remaining 28 per cent. ILO, IOM and Walk Free Foundation's 2017 report on modern slavery gives similar figures (71% and 29%, respectively). Both reports are based on information on detected victims shared by States. Women and girls tend to be involved in sexual exploitation, and States tend to have a stronger arm on this compared to labour exploitation, which is usually more related to men. Labour exploitation might not even be properly defined by national legislations, while prostitution and sexual exploitation are more frequently criminalized. Consequently, while the number of women and girls that are VoTs can be reasonably considered higher than that of men and boys, the latter's share is still very high (millions in actual numbers), and their number is likely to be underestimated.

mechanisms or procedures are not in place, the research strategy or data-collection tool must be adjusted to minimize the risk, including accepting to collect less or less detailed information.

(e) Even when appropriate services and referral procedures are in place, **no research method or approach should cause a respondent to relive their trauma**. Carrying out data-collection activities at an entry point or after a traumatic event, such as a shipwreck, could create distress in the informants and is not to be prioritized over assistance. Considering the typical information management tools used for research in emergencies, details are unnecessary most of the time. Sensitive questions should never be direct, sensitive information should be collected as much as possible through proxy indicators, and respondents should not be prompted to openly discuss their negative experiences just for the sake of research.[17] Explicitly asking a migrant at a transit point about physical abuse they might have experienced is likely to produce psychological distress, while asking more generically about past experiences or challenges during the journey will give the respondent the opportunity to opt out if they are unwilling to reply in detail.

(f) Asking questions about trafficking to individuals, approached at a checkpoint or transportation hub, as an example, should take into account whether privacy can be granted, whether the respondent is going to be overheard by people belonging to the same group, including (potentially) their traffickers, or whether **the very fact of being seen talking to someone wearing a United Nations or NGO vest might put the respondent at risk**.

(g) **Repeated assessments of the same population create fatigue and frustration** among respondents, especially if expectations are not managed or needs and concerns that have been raised are not truly addressed promptly. Over time, **the relationship between respondents and humanitarian actors can deteriorate**. Not all information gaps require rounds and rounds of primary data collection to be filled.

(h) In some contexts, the police, army, or local or de facto authorities might be very sensitive about the subject of data and information. They might even be involved directly or indirectly in smuggling and trafficking. If **enumerators** are spotted collecting information, this could put their **safety at risk** and cause a domino effect, such as the suspension of other humanitarian activities or access to particular populations or geographical areas, including impediments to lifesaving interventions provided by other organizations.

(i) Similarly, publishing a public report with recent findings based on interviews with refugees and migrants in a detention centre might be done with the best of intentions to enhance the evidence base for all the actors involved in the response, but may result in the authorities blocking humanitarian actors' access to detention centres and/or harsh consequences for the presumed respondents.

(j) **"Do no harm" should be considered not only at the data-collection stage but also at the analysis and dissemination levels**. For instance, **sensitive data (not all of which is personal data)** – such as the number of unaccompanied children or female-headed households disaggregated by location – **should not be publicly available**, in granular form. The risk is literally informing traffickers where their potential target population is. Involved actors must work together to determine what constitutes "sensitive" information in their contexts and what can be shared publicly – and at which level of aggregation, to reduce the chance of harm to individuals and their communities.

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[17] For explanations on indicators and proxy indicators, please see Section 6.1.

(k) Finally, publishing a report on a very small sample of cases, or about the only tiny accessible areas, despite any disclaimer about **non-generalizable findings, might mislead the readers and give a false representation of a scenario. When writing a report, authors should feel responsible not only for what they write but also for what the audience might understand, and how that information could be manipulated while still being attached to the authoritative logo of a United Nations agency or NGO**. That is not to suggest self-censorship, but rather to underline the need to carefully examine how information could be misused and misrepresented by others, and to adjust accordingly – for instance, by adopting a different dissemination strategy.

3.3.3. Defined purpose

Given the sensitive and often personal nature of protection information, data and information activities must serve specific information needs and purposes. The purpose must be clearly defined and communicated; proportional to both the identified risk and costs vis-à-vis the expected response; and aimed at action for protection outcomes, including the sharing and coordination of protection data and information.

(a) Before starting any data collection or analysis exercise, a discussion should take place between a protection actor and an information management officer, answering three fundamental questions:

> **What is this information going to be used for?**
> **What information is needed to support that purpose?**
> **When is this information needed so that it can be effectively used for the purpose?**

(b) The purpose of the data and information directly informs decisions about what information needs to be gathered and prioritized, the level of detail, the geographical scope, the population unit of reference, and the choice of the research method. **If information must be actionable, then the purpose must be clear at the research design phase**. This means that information cannot be collected for the sake of interest and curiosity, to then verify whether something can be done with it only at a later stage.

> **Example 6**. A protection actor asks for support to conduct a detailed assessment, with clear information disaggregated by location, on women's access to health-care services. A previous needs assessment showed that health clinics are well distributed in the area, easily accessible on foot day and night. Still, health actors report a much lower attendance of women than men. Health-care centres are a major screening point for cases of abuse, domestic violence and potential trafficking. The new assessment helps to understand the main problem. The issue turns out to be highly localized, only in certain neighbourhoods, where military outposts are present and women are frequently harassed when crossing checkpoints or are just afraid of walking in front of soldiers. The immediate solution to this is the deployment of mobile clinics targeting those specific neighbourhoods.
>
> • **Information need**. Why women do not go to health clinics even when access seems fine.
> • **Purpose**. Increase women's access to health facilities and services.

(c) **A research tool cannot fit too many purposes at once, and methodologies depend on the research question.** A common challenge is the temptation to push to collect too much information at once (without properly using all that information eventually). This creates Frankenstein questionnaires, in which multiple actors chip in without being fully aware of the methodology and its limitations – or try to collect information through an unfit methodology, with negative impact on the quality of the data, time frame and analysis. Often it is necessary to make a selection.

(d) A research methodology might perfectly fit a research question and meet information needs. However, **in emergencies, the situation is often volatile and evolves quickly**. Data-collection exercises that are too time-consuming might not provide results quickly enough to inform and implement a programme. They might provide outdated results because even though it was detailed and accurate at the time of collection, by the time the data is available, the situation has completely changed. Accepting trade-offs might be necessary, such as accepting a lower level of detail as long as accurate information is delivered within an adequate time frame. Data-collection methodologies must be suited to the contexts in which they are deployed and to the timelines for the purposes they are meant to serve.

3.3.4. Informed consent and confidentiality[18]

Personal information may be collected only after informed consent has been provided by the individual in question, and that individual must be aware of the purpose of the collection. Further, confidentiality must be clearly explained to the individual before the information may be collected.

(a) **Any sort of information collected from a respondent requires free and informed consent and respect of confidentiality**, even if they remain anonymous and no explicitly personal information that could identify them is gathered.

(b) **Informed consent is not a mere formality**. It involves a precise explanation to respondents of how information and/or personal data will be used and shared, and for what purpose. The way consent is asked must be tailored so that the respondent can truly understand the risk associated with any information disclosure and usage. The **level of language, concepts, phrasing and means of communication must be appropriate for the respondent** depending on the age, level of education or disability.[19]

(c) In many contexts, the very act of wearing a United Nations or NGO vest, or being visibly foreign, does create an **involuntary hierarchy** in the conversation with a respondent. It is not unlikely that **a respondent will feel obliged or pressured to respond just out of this impalpable**

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18 See Principle 4 on page 39 of *IOM Data Protection Manual* (2010a).

19 See also: IRC, 2018.

power dynamic. It is up to the researcher to create an environment of freedom, comfort and trust – to truly allow the respondent to step back and change their mind, to participate or withdraw at any time.

(d) **The nature of the information** and personal data and the circumstances of a particular research project or information management activity **determine the form of consent** that should be obtained at the time of data collection. In some cases, especially if personal information is involved, explicit consent – in writing or recorded – is needed.

(e) **The condition and legal capacity of vulnerable groups and individuals should always be considered**. Children and respondents with intellectual disabilities should be interviewed in the presence of caregivers. If the child is unaccompanied or separated, it may be possible to obtain informed assent.[20]

(f) In addition to these general indications, different organizations abide strictly by internal codes of conduct when it comes to informed consent, confidentiality and data protection.

3.3.5. Data responsibility, protection and security

Data responsibility goes beyond data privacy and data protection. It entails a set of principles, purposes, and processes that seek to guide humanitarian work and leverage data to improve affected populations and their hosts' lives in a responsible manner while adhering to international standards of data protection and data security. Data and information activities must adhere to international law and standards of data protection and data security. Persons of concern have a right to have their data protected according to international data protection standards.

> "Data protection is the systematic application of a set of institutional, technical and physical safeguards that preserve the right to privacy with respect to the collection, storage, use and disclosure of personal data" (IOM, 2010a).

(a) **Personal data includes all information that could be used to identify an individual**. It is important to remember that **very little information is sufficient to identify someone**. Basic combinations help to identify a person, such as gender and a physical characteristic (a scar, eye or hair colour), date of birth and country of origin, or employment and first name.

Example 9. The risk associated with identification is highly dependent on the context and how information makes an individual stand out, determined by the surrounding environment. Providing information about just the district of residence of a refugee family living in a very isolated area might be enough to identify them. Providing more detailed information, such as the GPS coordinates, with three places after the decimal point, of the shelter of a refugee family in an overly crowded refugee camp, might mean identifying a 100 m x 100 m square where tens of families live. So even if the geographical information is more detailed than the previous case, if no other parameters are added, identification might still be impossible.

(b) **Personal information must be handled responsibly and kept protected and secure**. The disclosure of personal information not only represents a violation of privacy but can put an individual's life at risk as well. A VoT whose personal history is disclosed can be threatened by previous traffickers, rejected by their family and community, subjected to stigmatization or physical harm, or ostracized in the community where they currently live.

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[20] See also: Alliance, 2017a, 2017b, 2019a; UNICEF, 2013, 2016.

Biographical data such as name, date of birth, marital status, address or last place of residence, employment, contact details, age, language, sex, gender, sexual orientation, race, ethnic or social origin, nationality, religion, culture, political opinions or other beliefs, membership in a particular group, physical or mental disability, and health status;

Biometric and genetic data such as fingerprints, iris scans, hand patterns, facial image, voice recognition, and DNA samples;

Background data such as household and family history, relationships with relatives, community members, and close associates;

Material circumstances such as experience of human rights violations and transit details – including route taken, education, employment history, work address, as well as names and contact details of IOM staff or individuals representing authorized third parties that conduct interviews and collect personal data;

Images and recordings such as pictures or photographs, television images, videos, voice and digital recordings, medical X-rays, ultrasound, and other medical images;

Corroborating materials such as medical reports, psychological reports, hotline reports, and police or other official and unofficial reports;

Personal documents such as health records, financial records, bank details, and criminal records or activities;

Verification documents such as originals or copies of passports, identity cards, social security cards, birth certificates, temporary permits, driver's licence, visas, marriage certificates, school diplomas, university records, medical certificates, property titles, and employment contracts or recruitment offers.

Note: This is extracted from *IOM Data Protection Manual* (2010a, p. 14).

3.3.6. Competency and capacity

Actors engaging in data and information activities are accountable for ensuring that data and information activities are carried out by information management and protection staff who have been equipped with data and information core competencies and have been trained appropriately.

(a) In order to comply with the principles set above, it is important to **evaluate competency and capacity before engaging in any data collection or analysis exercise** – and be ready to discard a research project and step back if competency and capacity are not sufficient.

(b) From a mere research perspective, **half knowledge can be worse than ignorance**, meaning that it is better not to research a topic at all if it is done badly and can lead to misleading results and the delusion of knowing. From a protection perspective, **not acknowledging limitations in terms of competency and capacity can lead to the protection risks** highlighted above.

(c) **Both information management and protection teams should evaluate together the feasibility of an information management activity**. There is no point in collecting data if there is nobody with the time or skills to process, analyse, share and use it. This must be examined at the earliest planning stages, during discussions on the purpose, output and timeline of the information management activity. The required resources must be made available – in type and quantity – to ensure the successful implementation of all steps.

(d) Before collecting personal or sensitive data, a risk assessment should be conducted. Personal or sensitive data should not be collected in the first place if a data management system is not in place to ensure its safe collection, transfer, storage and processing.

(e) If primary data collection is needed, **the enumerators' level of training and the composition of the teams (e.g. gender, or ethnic or religious affiliation) will influence the feasibility of an exercise**. Enumerators might have received only technical training on the questionnaire they are going to administer and are not experienced researchers, capable of considering all risks associated with the vulnerability of the respondents with whom they interact. Or they might have received only basic "do no harm" training, and not a thorough counter-trafficking training or a psychological first-aid training. The capacity and training of enumerators affect the activities they can perform. Hence, tools and research strategies have to be designed accordingly.

(f) Language skills are also paramount. Desk research, literature review and media monitoring should be conducted in the local language as well. When conducting articulated data-collection activities around sensitive topics, having to translate, for instance, from English to the national language to the local dialect through three different people (most likely not professional interpreters), and vice versa, will inevitably hinder communication, and a lot will be lost in translation in terms of not only content but also nuances. When limited options are available, tools and methodologies have to be simplified and adjusted accordingly.

(g) In the immediate aftermath of a rapid-onset crisis (e.g. mass refugee or IDP inflow over a short period, a natural disaster), referral mechanisms might not be in place yet, but information management activities must start immediately. Inevitably, these information management activities will be limited if they cannot include any primary data collection that requires referral mechanisms or similar procedures in place, and this must be accepted.

(h) **Qualitative research methods**, such as interviews (in depth or semi-structured) as well as focus group discussions or ethnographic observation, **should be handled responsibly by staff who have received proper qualitative research training**. Qualitative research methods are a legitimate approach to scientific research, as legitimate as quantitative methods, though fit for different purposes. Qualitative methods tend to have a lower entry barrier and may seem less technical than quantitative ones, but they require the same amount of rigour and expertise to ensure that they are properly designed and conducted to generate reliable information. Often, both methods must be used to ensure that the analysis generates more complete and comprehensive findings, explaining both the what and the why of the question being studied.

3.3.7. Impartiality

All steps of the data and information cycle must be undertaken in an objective, impartial, and transparent manner while identifying and minimizing bias.

(a) Impartiality must inform the definition of a research question and the data analysis. The researcher must be open to the possibility that data will say something they do not like and go against a point they hoped to make, even if justified by the best intentions.

(b) As mentioned in Principle 4, **transparency implies being transparent with the respondent** and other participants in the research activities. This means sharing such details as the purpose of the activity, who is collecting the information, whom it will be shared with, and where they can submit complaints and feedback.

(c) **Impartiality also means embracing transparent practices**. No data collection or information management exercise should be published or adopted for programming without a **clear, detailed methodology** being validated by experts and shared, along with information about limitations and gaps in the data and findings. This is particularly important when data is shared, publicly or through data-sharing protocols, and not only for internal use within one individual mission or organization.[21] In a joint-analysis process, for instance, **impartiality means choosing a source because of its verifiable quality**.

(d) Minimizing bias is a process applicable not only to the object of research (by identifying the best-fitting methodology, target group or respondents). **Minimizing bias starts from acknowledging the inherent bias in the observer**, which will always be a product of their own culture, background, character and personal history – and inevitably they will read reality through their own lens, despite any effort to be objective.

> **Example 10**. Risk is often regarded as an objective concept: crossing the Andaman Sea on a makeshift boat is dangerous. However, risk threshold/tolerance is highly subjective. When investigating migration routes, smuggling and trafficking patterns, a researcher might be induced to apply their own perception of risk. From a researcher's perspective, a certain migration route might be so risky that the only reason why a migrant would embark on that journey is because they are not fully aware of the risks. Hence, the research question might revolve around information gathering, rather than around the reasons why a migrant decided to start such a journey despite all odds. If the perspective is changed, it might become evident that the respondent is absolutely aware of the risks, the risks might be less serious than they used to be in the past, the risks might be acceptable compared to regular living conditions, the risks are justified by the perceived migration outcome, and the respondent has carefully evaluated the risks and benefits.
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> A change of perspective allows for better research influencing more effective interventions. In this hypothetical case, it might mean moving, for instance, from preventive awareness-raising campaigns about risks during the journey to programmes that provide, or at least tackle the issue of, alternatives to the journey.

3.3.8. Coordination and collaboration

All actors implementing data and information activities must adhere to the principles noted above and promote the broadest collaboration and coordination of data and information internally between humanitarian actors and externally, with and among other stakeholders. To the extent possible, data and information activities must avoid the duplication of other data and information activities and instead build upon existing efforts and mechanisms.

(a) One important example of this principle is embodied in **the Grand Bargain, which lists "Improve joint and impartial needs assessments" as Workstream 5**.[22]

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[21] This point is discussed in PIM Principle 8 and in the following chapters. In a joint-analysis working group, for instance, data shared by multiple partners participating in the exercise should be made available at the level of aggregation that allows them to describe and explore the data and ultimately agree on its meaning and conclusions. Relying only on reports or finished information products (dashboards, maps, etc.) can be useful for desk research, but in joint analysis, this limits enormously the amount of extra analysis, cross-check and cross-analysis that can be conducted. Joint analysis buys time as well since data is normally clean and ready before any report is drafted.

[22] The Grand Bargain, launched during the World Humanitarian Summit in Istanbul in May 2016, is an agreement between donors and humanitarian organizations who have committed to improve the effectiveness and efficiency of humanitarian action.

The proliferation of uncoordinated needs assessments leads to duplication, wasted resources and putting a burden on affected populations. Grand Bargain Signatories require needs assessments that are impartial, unbiased, comprehensive, context-sensitive, timely and up-to-date. Needs assessments must provide a sound evidence base for humanitarian response plans and prioritized appeals with due regard for specific accountabilities of mandated agencies. To increase the confidence and the relevance of needs assessments for all humanitarian stakeholders, the needs assessment process must be coordinated, impartial, collaborative and fully transparent with a clear distinction between the analysis of data and the subsequent prioritization and decision-making.

(b) The best way to avoid duplications is to capitalize on existing know-how and capacity (some actors at the field level might be better equipped than others to conduct research and data-collection activities). Start from **secondary data review, data sharing, and collaboration among different actors or units, sharing findings, best practices, and lessons learned in different forums. Most importantly, information management activities should be agreed upon before they start** – instead of sharing the findings only after the activities are completed. Planning and implementing them should be decided jointly or according to some set criteria.

(c) In crisis settings, thematic and technical forums exist for actors to share information and coordinate – such as information management working groups (IMWG) or joint-analysis working groups on the one hand, and protection clusters, child-protection and GBV areas of responsibility, and counter-trafficking task force meetings on the other. Participation to both sides is crucial to keep constant communication between the two. If a protection officer cannot attend an IMWG, it would be good if they communicate regularly with the cluster/sector information management officer to share information.

(d) Decisions about data sharing must consider the type of data being shared. In all cases, data should be shared in a responsible, purposeful and safe way (PIM, 2018).

   (i) **Non-sensitive data,** meaning data that does not raise any ethical or safety concerns, **can be shared publicly**, available online and accessible without restrictions.

   (ii) **Sensitive data**, but not including personal data (as the example earlier about the location of unaccompanied minors), **should be shared bilaterally, not publicly**, and only if there is a defined and legitimate purpose associated with the request for it. This will usually involve signing a **data access request form**, or a similar document explaining the purpose of the request, measures for safe transfer and storage, and a non-disclosure agreement. This way, the data provider can keep dissemination under control and track users. A **data set originally containing personal data or very sensitive data can be shared this way only after anonymization** – that is, removing any information (not only strictly personal details) that would allow the identification of a person (see Principle 5).[23]

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[23] The safeguards taken by the Counter Trafficking Data Collaborative are an example of how a public data set on TIP is shared while taking all precautions. Data is anonymized. All explicit personal identifiers (such as names) are removed, and other pieces of information (such as age) are transformed into ranges. A further step is adopted to prevent individual cases from standing out. This technique, called k-anonymization, redacts cases falling into sets with fewer than k-1 members, where each set is defined by a unique combination of values of the different variables in a data set. This means that it is not possible to query a data set and return fewer than a predetermined (k-1) number of results, regardless of the query. (See also: Edge et al., 2020.)

(iii) When **data sets including personal data are shared** (for instance, beneficiary registration data for the purpose of assistance), usually **data-sharing protocols should be put in place**.[24]

(d) Oftentimes data-sharing protocols are drafted by legal offices and management-level staff. It is very important to include information management and thematic experts from the very first steps to verify whether it is actually necessary to share data (and at which level of aggregation or granularity), or to determine which organization and technical measures are necessary to ensure data transfers and sharing can be done safely and securely.[25]

(e) **Data-sharing protocols are very time-consuming procedures that might take months to materialize**. If an actor is going to collect data that would require data-sharing protocols to be disseminated – or which other actors rely on – the process of drafting should start in the early planning stages. It must not wait for the data-collection exercise to start or be completed. Data-sharing needs and modalities are a key part of the design of the data exercise, which should not proceed until such data-sharing methods have been agreed upon.

Text box 6. Further resources on coordination and collaboration (Principle 8)

Official website of the Grand Bargain: https://interagencystandingcommittee.org/grand-bargain

Workstream 5 – Improve joint and impartial needs assessments:
https://interagencystandingcommittee.org/improve-joint-and-impartial-needs-assessments

Tools and guidance for advancing a coordinated needs assessment and analysis through the Grand Bargain:
- Grand Bargain principles for coordinated needs assessment ethos
- Methodology to assess coordinated multi-sector needs assessments
- Joint intersectoral needs analysis for efficient and effective joint response planning
- Ensuring data and analysis is useful and usable for response – Tools
- Advancing coordinated needs assessment and analysis through the Grand Bargain

PIM: Framework for data sharing in practice

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[24] A data-sharing protocol is usually a legal document, a contractual obligation between two or more organizations, regarding data sharing. These protocols can vary from context to context, and internal procedures to have them approved change from organization to organization. *IOM Data Protection Manual* (2010a) provides indications under Principle 5 (page 51).

[25] There is a difference between the use that can be done for the purpose of joint analysis or broadly research, and beneficiary registration and assistance. The amount of detail needed for analysis, especially personal data, is less. Different dissemination protocols can be adopted depending on the final use of the data, as different purposes require different levels of security.

Chapter 3: Further readings and recommended sources

Ethics and principles in humanitarian information management
- Campo et al., 2018: The signal code: Ethical obligations for humanitarian information activities.
- Centre for Humanitarian Data, 2020: Humanitarian data ethics. Guidance Note No. 4.
- Centre for Humanitarian Data, 2020: Data impact assessments. Guidance Note No. 5.
- Data Science and Ethics Group (IOM DTM and Data Science Initiative), 2020: A framework for the ethical use of advanced data science methods in the humanitarian sector.
- PIM, 2018: Principles of protection information management.
- United Nations Office for the Coordination of Humanitarian Affairs (OCHA), 2019: Data responsibility guidelines. Working draft.

Data protection
- ICRC, 2017: *Handbook on Data Protection in Humanitarian Action.*
- IOM, 2010: *IOM Data Protection Manual.*
- UNHCR, 2015: *Policy on the Protection of Personal Data of Persons of Concern to UNHCR.*
- UNHCR, 2018: *Guidance on the Protection of Personal Data of Persons of Concern to UNHCR.*

Ethical concerns in TIP and thematic research
- Edge, 2020: Design of a privacy-preserving data platform for collaboration against human trafficking. arXiv preprint:2005.05688.
- ICAT, 2012: Tool 6.12 – Ethical and safe interviewing conduct. In: Toolkit to combat trafficking in persons.
- IOM and Nexus Institute, 2010: Beneath the surface: Methodological issues in research and data collection with assisted trafficking victims.
- Nexus Institute, 2019: Legal and ethical issues in data collection on trafficking in persons.
- Siegel and Wildt (eds.), 2016: *Ethical Concerns in Research on Human Trafficking.*
- UN-Women 2020: A synthesis of evidence on the collection and use of administrative data on violence against women.
- UNICEF, 2013: *Ethical Research Involving Children.*
- UNICEF, 2016: What we know about ethical research involving children in humanitarian settings: An overview of principles, the literature and case studies.
- United Nations Inter-Agency Project on Human Trafficking, 2008: *Guide to Ethics and Human Rights in Counter-Trafficking: Ethical Standards for Counter-Trafficking Research and Programming.*
- WHO, 2003: *WHO Ethical and Safety Recommendations for Interviewing Trafficked Women.*
- WHO, 2005: Ethical considerations for researching violence against women. In: *Researching Violence Against Women: A Practical Guide for Researchers and Activists.*

4. CTiE information management: purpose and function

Based on the principles discussed in Chapter 3, the following chapters aim to lay out more concretely and tangibly the scope of CTiE information management, research and analysis, in contexts of emergencies.

Chapter 4 focuses on the purpose and function of CTiE information management. It provides an overview of the different kinds of data available for CTiE information management and existing information management mechanisms in which counter-trafficking can be integrated, then explains the reasons behind the need for a systematic approach to CTiE information management.

The following chapters focus on tools provided to achieve these goals – in particular, the use of an agreed-upon analysis framework (Chapter 5), suggested indicators for primary and secondary data analysis (Chapter 6), and examples of research and information management tools often adopted in humanitarian settings and fit for counter-trafficking data collection (Chapter 7).

4.1. CTiE information management purpose

The purpose of CTiE information management is to inform the development and implementation of counter-trafficking programming and interventions (e.g. prevention, assistance, response, advocacy measures) in crisis contexts. In some cases, existing programmes might require extra information to better tailor their intervention, improving coverage and efficacy. In other instances, information might be needed to make a case to set up counter-trafficking interventions in the first place.

To better define the actual scope of information management activities concretely, it is crucial to first keep in mind the purpose that data and information management serve, which is very practical and often time-bound. Second, it should be noted that some inherent limitations in research on TIP are exacerbated in crisis contexts:

(a) As discussed in Chapter 3, TIP-specific data collection presents significant ethical and safety concerns. It is essential that the PIM principles elaborated in Chapter 3 are upheld and that necessary safeguards are in place before any data collection takes place. This means that many methodologies are neither feasible nor advisable depending on the contexts, resources and capacities on the ground, because of high protection risks.

(b) Trafficking is usually a hidden phenomenon. VoTs are typically a hard-to-reach population, for both research and assistance, because of the forms of control exerted on them and the hidden nature of the crime, which poses significant challenges for sampling and data collection in general.

(c) TIP has a complicated legal definition with many different possible manifestations, which makes it challenging to assess through closed-ended survey question instruments and quantitative approaches, in particular.

(d) VoTs might not seek help even when assistance is available, as they might not see themselves as victims, might be wary of law enforcement or aid actors, might not be aware of their applicable rights, and might have been deceived or misinformed about risks of criminalization, their legal status, and the protection to which they are entitled.

(e) Detailed data collection of sensitive information on the individual level is often a by-product of the provision of assistance rather than a research exercise (further discussed in Section 4.2).

(f)   Cases of TIP are often unreported or undetected, and the ratio of detected to undetected cases is, by definition, unknown and difficult to estimate.

Given these challenges and limitations, **it is often not advisable for CTiE information management to attempt to produce prevalence estimates** – particularly at the onset of an emergency. Estimating prevalence (the total number of TIP cases in a population at a given time) is resource-intensive, challenging and complex, even in stable contexts, as discussed in Section 2.3. At the onset of an emergency, it is often not possible to prioritize the necessary resources or put in place adequate safeguards and risk mitigation associated with conducting a prevalence estimate.[26]

In line with the PIM principles and the recommendations of GPC ATTT's "Guidance on anti-trafficking action in internal displacement contexts" (2020),[27] CTiE information management should point towards producing two main types of evidence:

(a)   Investigate and provide information on the **general context, pre-existing and new trafficking patterns and trends, trafficking drivers**, and modalities through which the present crisis has had an effect on them;

(b)   Identify risks related to trafficking and factors that might increase or mitigate these risks and the exposure of people to them, also taking note of vulnerable groups and factors increasing or mitigating such vulnerability (to trafficking).

This kind of evidence is sufficient to set up structures and implement measures to assist victims and prevent new cases.

In sum, when conducting counter-trafficking information management in contexts of emergencies, information management experts and protection practitioners face two **key challenges**, in relation to the object of study:

(a)   Studying a **phenomenon that is hidden or not immediately obvious**;

(b)   Having **limited or no access to the people who are involved directly** – namely, the VoTs – because of the operational and ethical concerns discussed in Chapter 3.[28]

From these challenges stems the need to develop different strategies and alternative approaches that allow for the extrapolation of information and data, often indirectly, from different sources.

....

[26]   While prevalence estimates should not be considered a priority for information management in emergencies, attempts are being made, although not at the field level. An example is ILO, IOM and Walk Free Foundation's forthcoming study: "Exploitation of internally displaced people: Prevalence rates of forced labour, forced recruitment into armed groups and armed forces, and abductions experienced by IDPs in South Sudan, Eastern DRC (North Kivu) and north-east Nigeria" (2020).

[27]   As previously mentioned, while the GPC ATTT guidance focuses on internal displacement contexts, this IOM guidance applies the same information management approach to different kinds of crises, not only internal displacement, as discussed in the introduction (Chapter 1).

[28]   Literature exists regarding the involvement of perpetrators (see for instance: Nexus and IOM, 2014). This is beyond the scope of information management activities in emergencies.

4.2. CTiE data types

Data and information regarding TIP, useful for CTiE programming and information management, tend to be collected for two purposes:

Data collected for administration purposes. This is data collected for, or produced by, administrative procedures by State authorities, international organizations and NGOs, within programme-implementation or assistance activities. This includes all information collected at the time of registration, intake forms, screening procedures, case management files, medical records and legal processes. This information is collected to implement, follow up and monitor assistance provision. Data can be counter-trafficking focused (when the information is derived from the case management of VoTs) or non-counter-trafficking focused (when produced by other programmes – food security, education, child protection, GBV, etc.) but still containing information that might be relevant for CTiE information management.

Data collected for research purposes. This is primary or secondary data collected by researchers, State authorities, academic institutions, the private sector, international organizations and NGOs through a variety of methodologies, to answer a research question or fill specific information gaps. This data can be counter-trafficking focused when about TIP and non-counter-trafficking focused when collected for other purposes (but still relevant for TIP research).

Figure 5. CTiE data types
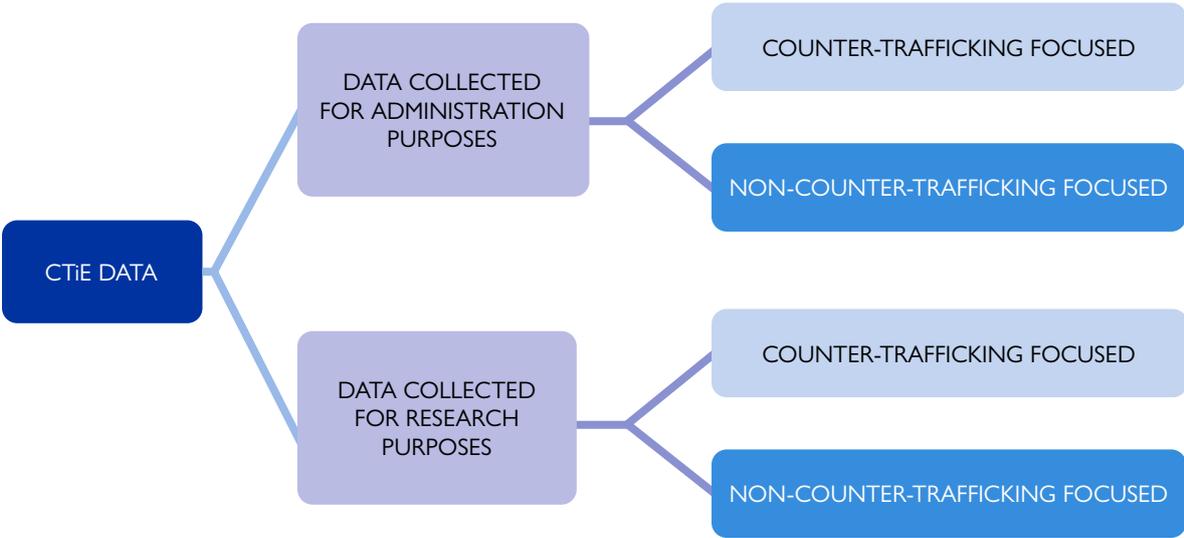
Regarding CTiE data types:

(a) Secondary data collected for both administration and research purposes is very useful for counter-trafficking information management and helps fulfil the two purposes set in the previous paragraph. Secondary data provides a great deal of information even if the focus is neither counter-trafficking nor protection.[29]

....

[29] In the humanitarian sector, the term *information management* often refers to data-collection processes for both research and administration. Sometimes the term *information management system* (IMS) is used to describe case management systems. As the term *information management* is used interchangeably to refer to both, in this guide the difference between research and administration is explicitly stressed (even if in common practice, it would not make a difference to clarify the distinction).

(b) In full respect of data protection principles, accessing administration data (such as anonymized counter-trafficking case management data) can provide highly detailed information. In the context of an emergency though, especially if counter-trafficking programmes are not up and running, accessing this kind of data might be very difficult – sometimes because it does not exist yet.

(c) **Primary data collection should be limited to those situations in which available secondary data does not provide enough information**. Using a secondary data source can save time, energy and resources and mitigates some of the protection risks highlighted in Chapter 3. **Hence, no research or information management activity should start before having conducted a thorough secondary data review**.[30]

(d) In the case of primary data collection, this guidance is limited to providing inputs and suggestions regarding primary data collection for research purposes only, not for direct assistance to cases. Indicators for screening or victim identification, as well as the set-up or integration of counter-trafficking into existing case management systems, go beyond the scope of this guide.[31]

(e) So while this guidance strongly encourages the use of secondary data derived from administration purposes, it does not aim to suggest how to collect data for said purposes.[32]

Primary data refers to data collected by the researcher through a methodology designed to answer their specific research question. The researcher/data collector is also the first user of the data.

Secondary data is data collected for another research project or to answer a different research question.

Note: Primary data is not synonymous to **raw data** – that is, clean data before analysis or processing (a data set in CSV format, for instance) – as secondary data can be provided and shared in raw form as well.

In a collaborative environment, such as that promoted by PIM and the Grand Bargain's Workstream 5, it would be ideal for data to be shared and used as much as possible in its raw form (with all data protection safeguards in place). Conducting a joint analysis or a secondary data review based on reports or information products such as infographics or dashboards is very limiting.

Primary data is not inherently better than secondary data. While primary data might better fit the research question, a researcher might have at their disposal a sufficient secondary data source. In other words, a secondary data source might be of better quality than what the researcher's resources and capacity allow to reach – and even save time and resources.

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[30] In emergency contexts, not all data-collection activities happening at the field level are advertised or always publicly available online. When conducting desk research, some key activities might be missed, especially if they are ongoing and not finalized yet. In order not to duplicate efforts, actors should inform each other and coordinate. Information management working groups or other coordinating forums represent the best environment to exchange information.

[31] With regard to VoTs identification, there is a crucial difference between coming across, by chance, a potential VoT while conducting research (and referring that person to the appropriate service or assistance) and actively looking for VoTs. Active identification for research purposes raises major safety and ethical concerns (Chapter 3), and staff should refrain from doing it.

[32] IOM and UNODC are currently drafting a document entitled "International classification standard of human trafficking data collection and statistical reporting" (forthcoming). This is based on collaboration with research, government, national statistical office and NGO partners, and it represents the first international standards and guidance on the definition, collection, management and safe use of administrative data on human trafficking. This way, governments around the world can collect data that is comparable and of high quality and can be safely shared and used to develop the evidence base.

Anonymized administrative data (e.g. data from case management) is an excellent secondary source for research on TIP. However, when using case management data, it is important to consider two main aspects:

- Ethical and safety concerns related to data protection (Chapter 3).
- **Survival bias**. This is a sampling error, coming from a selection process which includes individuals who survived or, in the case of case management data, were identified and assisted. An organization's case management data set inevitably excludes those who did not survive or those who survived but were not identified and assisted. If a researcher relies on the anonymized case management data from an organization active in advocacy of women's rights, they should not be surprised not to see cases of male VoTs. That, of course, does not mean that there are no cases of male VoTs – just that those are not identified by this specific organization. The analysis of a similar data set has high internal validity but cannot be generalized. Whatever information and insight a researcher can obtain from that data set should then be contextualized. Data might tell more about the profile of people who can be identified (or at least identified by said organization) than the profile of people who are trafficked. Still, as long as this consideration is made, data can be used fruitfully.

Case management data is hardly ever readily available unless data-sharing protocols are established among organizations. Even internally in one single large organization, having access to that kind of data requires time and multiple steps. Hence, establishing a means of data sharing ahead of time is necessary. There are alternatives though, such as the Counter Trafficking Data Collaborative (CTDC), the largest open data set on secondary data coming from case management (available at www.ctdatacollaborative.org/).

Multidisciplinary (or multisectoral) secondary data can help in conducting CTiE information management, not only secondary data specific to TIP. In emergency contexts, a large number of organizations are active in primary data collection, and that information can be of great use for counter-trafficking analysis.

- The PIM Matrix (see Annex) provides an extensive review of the main types of protection information management systems that may exist in a given context and generate information that can be used.
- Several humanitarian organizations publish their data and reports not only on their individual platforms but also on common ones. Among the most used are:

    - **The Humanitarian Data Exchange (HDX)** (https://data.humdata.org/)
    - **Humanitarian Response** (www.humanitarianresponse.info/)

It is also important to remember that in emergency contexts, humanitarian actors are not the only available data providers. Government authorities and civil society collect data that can be used for secondary data analysis. When researching TIP as a broad social phenomenon, it is important to consider different angles, including the economic, legal and political. Very often, humanitarian data providers cannot access such breadth. The private sector, academia, media consortia, peacekeeping and development actors, research institutions, and think tanks can provide more information, insights, and analysis.

4.3. Data usage and systematic approach to information management

The systematic collection of data and information regarding TIP is crucial to promote counter-trafficking evidence-based programming. The application of sound research methods, the standardization of definitions, and the use of harmonized procedures and tools allow different actors to not only collect and elaborate information but also speak the same language, collaborate, share information, and feed into existing information management mechanisms.

This systematic approach is promoted through both two main channels described earlier, meaning information management for administration purposes and information management for research purposes.

Information management (research)
- Global Protection Cluster (GPC): Information and data management
- Gender-Based Violence (GBV) AoR: IM tools and resources
- Child Protection (CP) AoR: Coordination and Information Management Starter Pack
- CP AoR: Needs Identification and Analysis Framework (NIAF)

Information management systems (administration)
- Gender-Based Violence Information Management System (GVBIMS)
- Child Protection Information Management System (CPIMS)

When it comes to non-counter-trafficking-focused data, whether produced for administration or research purposes, **standardized approaches already exist in emergency contexts**, established by key actors or coordination forums, such as clusters (OCHA, n.d.). These can be indications and guidelines about information management for research purposes, or more specific inter-agency information management systems for administration and reporting, including definitions, analytical frameworks, indicators lists and case management forms. This and the following chapters aim to provide **indications on how to integrate CTiE information management into those existing systems**.

A systematic, harmonized approach to CTiE information management should be adopted across all levels of intervention, from the local implementing partner to coordination bodies, as all these data-collection and information management activities feed one another and are necessary for day-to-day implementation and monitoring, as much as for more elaborate needs analysis and strategy planning.

Example 11. One organization is active in child protection and has set up activities in a small town. Occasionally the NGO comes across cases of child labour exploitation and smuggled unaccompanied children, and in a few instances, specific cases of trafficking have been referred to them. However, the organization does not have specific counter-trafficking intake forms nor specific definitions that allow them to capture the trafficking experience: How was the child recruited? What forms of control were used? What form of exploitation occurred?

Within the organization's internal case management system, counter-trafficking cases fall under the category "Other". Files cannot be easily searched and retrieved in their archive because uniform labelling is lacking. Hence, cases cannot be easily tracked and monitored. TIP continues to be handled as isolated cases. The number of cases of TIP then becomes difficult to quantify, definitions are blurred, and patterns are foggy. Cases are reported anecdotally at the district child-protection working group and mentioned to the donors, but information is not enough for a proper proposal. Other organizations are in a similar situation, but when discussing with the same working group or reporting to their donors, they use different terminology (they refer to their cases using "exploitation", "smuggling" or "trafficking" interchangeably), which makes it impossible to compare experiences and estimate the scale of the problem. Another actor, specializing in primary data collection and conducting an assessment commissioned by the child-protection working group, does not receive clear indications of TIP, so no indicators are included in their regular monitoring exercise. Meanwhile, within the GBV working group, other actors mention cases of sexual exploitation among migrant communities in the same town but are unclear whether these are cases of TIP. The GBV actors face the same challenges as the child-protection actor. Internally, these cases are not classified as TIP, plus the use of different terminology prevents spotting a connection between the smuggling and trafficking cases identified by the child-protection actor and the sexual exploitation among migrants identified by the GBV actors.

Donors and coordinating bodies sporadically receive information on TIP. Hence, they do not ask for a more detailed reporting. The topic is not thoroughly investigated in research and assessments, and eventually it is not mentioned in the humanitarian needs overview (HNO) nor in the humanitarian response plan (HRP). The following year, agencies and implementing partners have a hard time receiving funds for counter-trafficking programming because of lack of evidence to support the request.

In emergency contexts, a typical example of needs analysis and strategy planning is represented by the **humanitarian programme cycle (HPC)**, which is "a coordinated series of actions undertaken to help prepare for, manage and deliver humanitarian response".

This is a collaborative process in which all clusters and actors participate. The typical documents produced by such a process are the yearly HNO and yearly HRP.[33] Depending on the context and the humanitarian coordination structure in place, this can be OCHA-led, which produces the HNO and HRP; UNHCR-led in case of refugee responses, which would produce a refugee response plan (RRP); or co-led by more than one actor or by an inter-cluster coordination group (ICCG). Irrespective of the various delineations that the humanitarian response coordination architecture may have, **a needs analysis and strategic planning process based on the HRP/RRP blueprint normally takes place at least once a year**, at the local, country or regional level.

Needs analysis on the country or regional response level is a process of **joint analysis**, meaning that different actors, depending on their capacities and expertise, contribute and provide information. The kinds of data contributing to the process can be very different and range from multisectoral needs assessments (at the household or key-informant level) to specific sectoral assessments (e.g. protection, WASH, education, food security), along with protection monitoring and case management data.

Joint analysis does not need to be limited to the HNO as a one-off exercise. While the HNO is a good example of this joint analytical process, decisions in an emergency are not made once a year. Joint analysis is ideally an ongoing process that continuously underpins information management activities and feeds into implementation and decision-making (PIM Principle 8).

Information management is at the core of the process, together with coordination:

(a) **Information management for research** plays a key role in all phases.

(b) **Information management for administration** tends to provide information at the implementing and monitoring as well as the operational peer review and evaluation stages.

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[33]   The HNO and HRP are typically produced once a year, but the schedule might vary. Additionally, depending on the context, similar collective exercises might take place to support flash appeals following sudden-onset crises.

Figure 6. OCHA humanitarian programme cycle
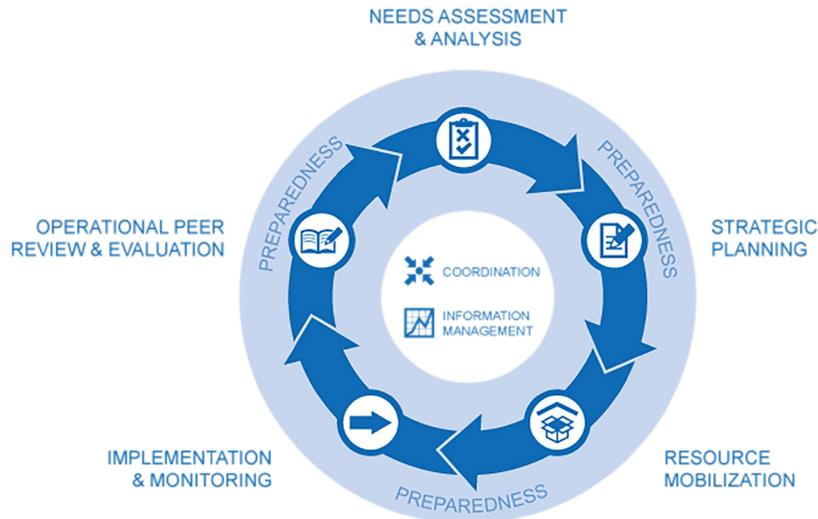
As mentioned in the introduction, by emergency contexts and humanitarian settings, this guidance refers to those contexts where humanitarian actors are present and active, irrespective of the official activation of a cluster or similar coordination systems at the country level. This approach was adopted to include those contexts where a humanitarian response is activated at the regional level, but to a different extent at the country level. A systematic and standardized approach to information management allows actors who are based in a country where an emergency coordination system is not activated, to collect data in a manner and format that can serve a local purpose as well as feed into their regional response. From an HPC perspective, this means that data collected in a country may contribute to the HRP-like document produced regionally, even if locally, no HPC is ongoing.[34]

In general, a systematic approach allows data and data formats to be compatible, interoperable, comparable and consistent across different contexts, even beyond humanitarian settings per se. In the case of international trafficking, for instance, an organization might be present and active in countries of departure, transit and arrival. Each mission can contribute differently to the research and information management process and share its findings with the others. A similar approach can also be adopted at the country level with regard to internal trafficking when an organization is active in different areas of the same country.

Actors based in a destination country might be able to provide comprehensive assistance to VoTs as services and referral systems are in place. Hence, they are able to collect detailed research or administration information useful for programming or information management activities in the country of origin or transit. Likewise, countries of transit can provide information about the cases that are intercepted locally and how contextual factors can affect trafficking – and share this data with actors based in the affected countries, including the origin and destination. Finally, the ongoing information management activities in a country of origin inform not only the local response but potentially initiatives in other countries as well. The very same approach can be applied at the national level.

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[34]   As of 2020, the R4V coordination platform for refugees and migrants from the Bolivarian Republic of Venezuela represents a good example. The platform is co-led by IOM and UNHCR. It coordinates the response in Latin America and the Caribbean and has issued the 2020 Regional Refugee and Migrant Response Plan (RMRP) for Refugees and Migrants from Venezuela. Countries in the same region might or might not have a cluster-like system activated nationally or produce their own HRP at the national level. Another example could be the Regional Refugee and Resilience Plan (3RP) in Response to the Syria Crisis, which is in addition to the HRP or RRP of each involved country.

Figure 7. Simplified example from the West and Central Africa/Central Mediterranean Route for illustrative purposes

COUNTRY OF ORIGIN
- Limited access
- Limited resources and capacities
- Limited referral mechanisms

CAN PROVIDE:
- Risk analysis
- Contextual analysis
- Humanitarian response–related data and information
- Information on outflows and drivers of population
- Limited information on VoT profiles or cases

NEEDS:
- Information on VoT profiles for prevention and targeting
- Information on journeys

COUNTRY OF TRANSIT
- Limited access
- Limited resources and capacities
- Limited referral mechanisms

CAN PROVIDE:
- Risk analysis
- Contextual analysis
- Humanitarian response–related data and information
- Information on transit trends and patterns
- Information about journeys from the country of origin
- Generic information on profiles
- Limited info on VoT profiles or cases

NEEDS:
- Information on VoT profiles for prevention and targeting
- Information on journeys to destination
- Information on journeys on non-accessible routes

COUNTRY OF TRANSIT
- Limited access
- Limited resources and capacities
- Limited referral mechanisms

COUNTRY OF DESTINATION
- Full access
- Technical resources and capacities
- Full assistance and referral mechanisms

CAN PROVIDE:
- Detailed information on VoT profiles (anonymized)
- Information about journeys

NEEDS:
- Information on countries of origin and transit for easier screening and assistance
- Information on country of origin for programming

4.4. Systematic approach: from standardization to localization

Chapter 3 ("CTiE information management: ethical concerns and safeguards") has put great emphasis on how implementing the PIM principles leads to giving more focus on localization, inclusion, bottom-up approaches and contextualization. The same will be explored in the next chapter, where the discussion moves to primary and secondary data collection and analysis. The insistence on contextualization might seem to be in contradiction with the insistence on systematic information management and adoption of standardized tools (explained in this chapter), but it is not. These two approaches simply belong to different and subsequent steps:

(a) **Standardization** is the process that makes different sources compatible to one another, allowing for data sharing among all stakeholders and joint analysis.

(b) **Localization** is an essential step to adapt research methodologies and tools to a new environment and interpret the findings correctly.

In general terms, to conduct joint analysis or for one actor to simply make full use of another provider's data rather than reinvent the wheel and collect their own, data must be shared and metaphorically translated into one "common language" that all participants can understand. In a collaborative environment (PIM Principle 8), that common language – made of standardized indicators, tools and analysis framework – is ideally agreed upon before considering the launch of data-collection exercises or the establishment of information management activities. Localization cannot happen without having a clear idea of what the final standardized outcome will be, so that must be defined first.[35]

This logic goes back to PIM Principle 3 ("Defined purpose") and the need to respond to these three questions:

> **What is this information going to be used for?**
> **What information is needed to support that purpose?**
> **When is this information needed so that it can be effectively used for said purpose?**

It is at this point that an agreed-upon analysis framework and standardized indicators are needed as tools to facilitate the clarification of information needs, the identification of information gaps, the elaboration of a fitting methodology and research strategy, and the collection and analysis of data in a consistent and compatible manner to serve the purpose set at the beginning of the process. The passage from standardization to localization can be truly compared to a translation process, where indicators are words, the analysis framework is a grammar book, and methodology is the dictionary.

The infographic on the next page shows in a simplified manner how different actors (e.g. protection actors, data providers, other sectors actors) working in the same environment and addressing the same population can collaborate and coordinate, engaging in information management activities that can fit their specific purposes while also being compatible and suitable for joint analysis.

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[35] The child-protection, GPC, and GBV AoRs information management and IMS tools linked in Text box 7 are precisely meant for this purpose.

Figure 8. Information management process

DEFINED PURPOSE

Depending on a defined purpose, information needs are identified. Through the help of the **analysis framework** and secondary data review, some information needs are met while the remaining **information gaps** are identified.

EXAMPLE
(a) Actor A rapidly needs rough information on number of children for child-protection activities.
(b) Actor B needs information about community behaviour around sexual and gender-based violence to inform psychosocial support activities in women safe spaces.
(c) Actor C needs detailed baseline information on families' demographics and vulnerabilities for overall protection sectoral programming.
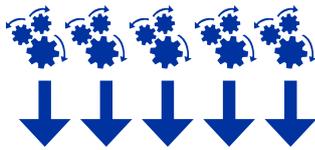
METHODOLOGY

Information gaps are translated into **research questions** and indicators that are adapted to the best-fitting research **methodology**.

EXAMPLE
(a) Actor A opts for a key-informant survey (agrees on age indicators with Actor C).
(b) Actor B opts for focus group discussions with visibly adult women in the community.
(c) Actor C opts for a household survey (agrees on age indicators with Actor A).

**DATA COLLECTION**

Data is collected through **different methodologies**, adapting to the context, capacities and the research question. Different methods produce results in **different formats**, but fitting the information needs

EXAMPLE
(a) Collects number of people born after the big earthquake destroyed the bridge.
(b) Discusses community attitudes towards women who, in the respondents' own words, have been "shamed".
(c) Collects number of families with females born before the earthquake but no males born before the earthquake.
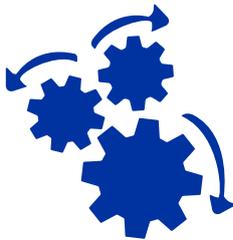
DATA PROCESSING AND ANALYSIS

Data is processed, analysed and "translated". At the dissemination and sharing stage, data is presented in a **standardized format with appropriate metadata and methodology** to explain the "translation".

EXAMPLE
(a) Number of children: ±1,200 (Key informant – Undocumented population. The big earthquake took place in January 2003, used as time reference.)
(b) Community tends to stigmatize sexual and gender-based violence survivors. (FGDs – Respondents preferred the use of euphemisms, rather than the words "rape" or "assault", with no distinction.)
(c) Number of female-headed households: 87 (Household survey – Earthquake year as threshold. *Note*: Locally, boys and girls are considered adult after puberty.)
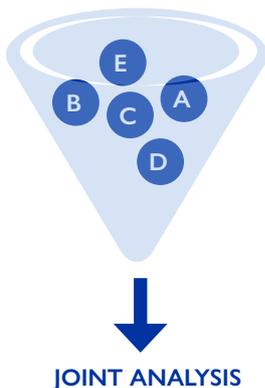
JOINT ANALYSIS

Data from multiple sources, primary and secondary, used in a standardized format (methodology and metadata used as dictionary to understand the translation), is now comparable. Through the analysis framework, data is integrated and cross-checked for **joint analysis**.

JOINT ANALYSIS

EXAMPLE
(A+B+C) + SECONDARY DATA = In the assessed village, the number of female-headed households and children is quite high compared to the average in the region. Women, boys and girls are reportedly more targeted by the armed groups that frequently attack and pillage the village. Boys tend to be forcibly recruited, while women and girls often suffer sexual assaults or are kidnapped and kept as sex slaves. The few who survive or manage to run away are normally stigmatized within their community, do not manage to remarry, and lose social protection.

5. CTiE information management: analysis framework

5.1. Usage of a common analysis framework and interaction among actors

Analysis consists in breaking down something complex into its simpler components, each easier to handle individually, with the purpose of understanding their interactions – and eventually interpreting the findings and drawing conclusions.

An analysis framework is a tool meant to help the user identify those smaller components. An agreed-upon analysis framework is hence a model to support logical thinking and structure analysis around a common theme – in this case, TIP and counter-trafficking. This helps identify information needs and gaps, refining the research questions and adopting the most suitable methodologies to fill those information gaps, and analyse and interpret the findings. It also allows for anticipating how to structure the analysis and agree on data collection accordingly.

As a shared tool, it is meant to be used together by the four groups of actors mentioned in the introduction chapter, who play different roles at different stages.[36]

Subject matter expert. Identify a purpose and information needs:

- Subject matter experts could be counter-trafficking thematic experts or protection experts, belonging to international non-governmental organizations (INGOs), authorities, United Nations agencies, civil society or academia. An example could be a protection project manager who is designing a new programme or project, or a counter-trafficking thematic expert recruited to support the implementation of counter-trafficking-related activities.

Information management expert. Support the identification of information needs and gaps, then provide advice about the methodology, implementation, and feasibility of any data-collection exercise and analysis:

- Information management experts could be information management officers, researchers, needs-assessment experts, information analysts, data analysts and statisticians, or spatial/geographical data-analysis experts. In the humanitarian sector, often organizations have information management experts or even entire information management units. There are agencies and organizations that specialize in data collection and analysis.

Context expert. Cooperate with the subject matter expert in the definition of the purpose, support the localization of methodologies and tools, and endorse the interpretation of findings:

- Context experts could be local authorities, national staff, local organizations and civil society, local academia and researchers, or multidisciplinary researchers (not necessarily with a focus on counter-trafficking) with specific context expertise. While the figures of subject and information management experts have more rigid boundaries, that of the context expert is more cross-cutting. A subject or information management expert could be a context expert or when this is not the case, a context expert could be consulted even if their expertise is not specifically protection, counter-trafficking or information management.
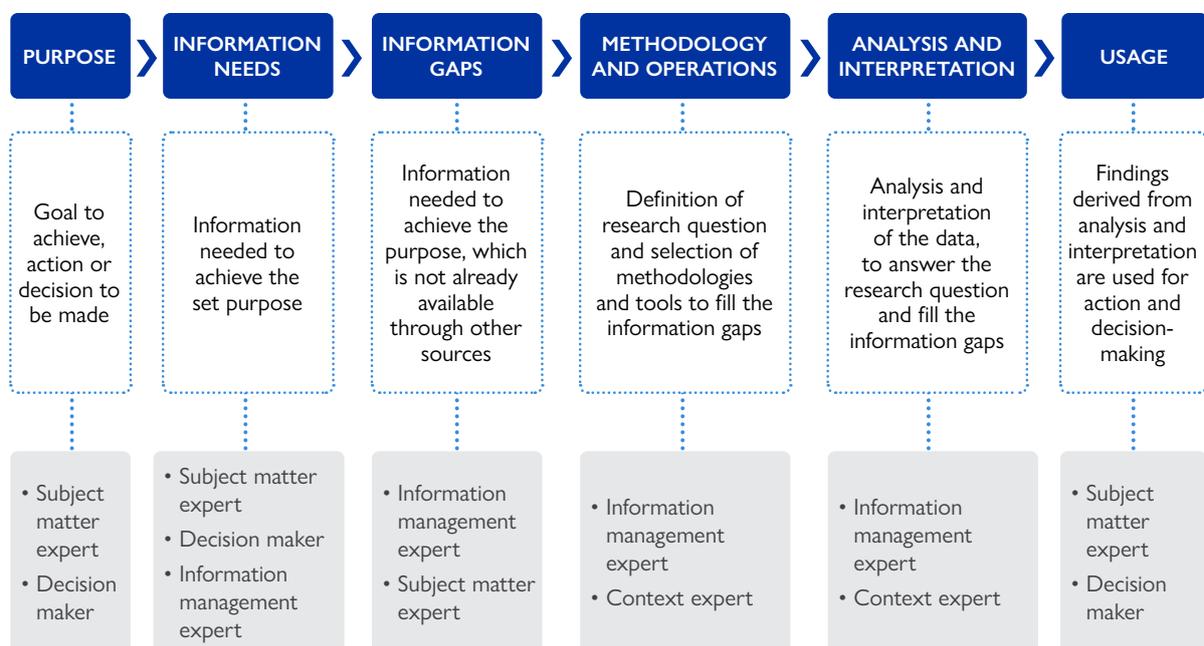
....

Decision maker. Involved in the definition of the analysis framework and indicators to make sure they are actionable and fit for decision-making processes. Relies on the result of the analysis for decision-making:

- Decision makers change depending on the level of decision they have to make. If information management is done internally in one organization to inform programmes, the final decision maker might be a head of programme. If an information management activity is conducted at the cluster level, for instance, the decision maker might be the cluster coordinator. If an activity is conducted in cooperation with local authorities, they will be among the decision makers.

Of course, depending on circumstances, resources and capacities, staff in emergencies might be double-hatting and multitasking. The process below aims to show which "hat" to wear at different stages and, as explained in Chapter 3 (PIM Principle 6), when to step back if capacities do not fit the role.

Figure 9. Information management process: actors' interaction

PURPOSE	INFORMATION NEEDS	INFORMATION GAPS	METHODOLOGY AND OPERATIONS	ANALYSIS AND INTERPRETATION	USAGE
Goal to achieve, action or decision to be made	Information needed to achieve the set purpose	Information needed to achieve the purpose, which is not already available through other sources	Definition of research question and selection of methodologies and tools to fill the information gaps	Analysis and interpretation of the data, to answer the research question and fill the information gaps	Findings derived from analysis and interpretation are used for action and decision-making
• Subject matter expert • Decision maker	• Subject matter expert • Decision maker • Information management expert	• Information management expert • Subject matter expert	• Information management expert • Context expert	• Information management expert • Context expert	• Subject matter expert • Decision maker

Good practices and lessons learned
- In this collaborative process, roles should be respected as each actor has a specific expertise and brings in added value. Subject matter experts should convey their information needs to information management experts and trust the latter's knowledge when it comes to research. Information management experts should help in identifying information needs and make sure the findings are presented clearly, but they should not be involved in the decisions made based on said findings.
- Information needs should be conveyed through an articulated discussion among involved actors (as per PIM Principle 8). This is a crucial step. Information needs are not supposed to be conveyed, as an example, in the form of a question for a questionnaire (still assuming a survey is the best methodology, should secondary data not be sufficient to meet the needs), as that is a micro-component of an overall methodology, without which the question is meaningless. Writing questions for a questionnaire is among the very last steps of the methodology design process and should be handled solely by information management and context experts.
- The practice of circulating a joint research tool so that different subject matter experts can chip in with their questions can be based on the best intentions but might create unproductive Frankenstein tools, which cause duplications and do not allow for cross-sectoral analysis. **The sought-after consensus and agreement** among collaborating subject matter experts and decision makers **should take place at the purpose and information needs stages**, not at the following ones.

5.2. CTiE analysis framework structure and reading

As mentioned above, analysis starts with breaking down something complex into its simpler components, each easier to handle on its own. An analysis framework is a tool meant to help the user identify those smaller components, understand how they interact, and interpret the findings.

TIP is a complex hidden phenomenon, which is not easily visible or apparent to the eyes of an observer. All three elements of trafficking must be present and connected at the same time to meet the definition; however, their coexistence might not be obvious. Information management for TIP in emergencies might rely only minimally, sometimes not at all, on information provided by VoTs. Especially when information management is conducted to make a case to set up counter-trafficking interventions in the first place, neither protection practitioners nor information management experts might even have access to any VoT. Nonetheless, while all elements of a trafficking situation may not be visible simultaneously, the individual pieces might be. This approach – meaning, to identify, observe and measure separately the components of TIP – is not fit for screening activities to determine whether an individual has or has not been trafficked, but this is not the purpose of CTiE information management, as discussed in Chapter 4. Rather, this approach can be useful when trying to describe trends and patterns of trafficking based on contextual analysis – to identify risks and, once risks are identified, evaluate the determinants of vulnerability to those risks.

For instance, an information management expert might have no concrete data or evidence on the deceptive agreement between a smuggler and an individual, nor on the form of exploitation to which that specific individual was or is intended to be subjected. Hence the information management expert is not able to prove that a specific individual was in fact trafficked. This purpose would be served through a screening conducted by a counter-trafficking practitioner, not an information management activity for research purposes. Still, the observer might be able to identify and potentially measure distinct factors: the presence of irregular migration inflows through porous borders, a legal framework that does not allow for regular migration and granting of a work permit, the concentration of the new inflow in an area that is historically known to be a trafficking hotspot, or the presence of a thriving economic sector that attracts the unskilled labour force of a specific economically depressed region. The observer might also be able to collect information directly from the migrants, even though not about TIP (because of protection risks), such as their demographic profile, origin and family background. None of these separate steps help determine individual cases of trafficking, but they do help identify risks of trafficking, drivers of trafficking and target populations of traffickers.

As explained in the following paragraphs and in Chapter 6, some of these smaller components, which once together provide a bigger picture, are often already measured by other actors, not necessarily with a focus on counter-trafficking. What is missing is a counter-trafficking-analysis angle that allows for speculation whether a smaller component can be connected to another and represent a risk of trafficking once all the dots are put together – for instance, whether the vulnerable profiles identified by a GBV actor, with regard to forced marriage, can also be seen as vulnerable profiles to forced marriage from a counter-trafficking perspective. Livelihood indicators analysed by an actor in relation to food security might provide information on negative coping strategies and vulnerability to trafficking at the family or individual levels.

The CTiE analysis framework aims to provide the counter-trafficking angle of analysis mentioned above. Based on this premise, it is built around two main pillars:

(a) The three elements of trafficking;

(b) The ecological model to identify determinants of vulnerabilities.

The three elements of trafficking, as already explained in Chapter 2, are the act, means and purpose (see Figure 3).

As stated in the United Nations Trafficking in Persons Protocol, when children are involved, the act and purpose are enough to determine whether a child is a VoT. Hence, from a legal perspective or when a social worker/protection officer is involved in a screening interview, for instance, the means need not be proven. However, from a research and information management point of view, the means **must also be studied when it comes to children**, since the purpose is to understand what is happening, how and why, to inform a response. This is particularly important considering that often, research and information management activities will focus on risks and not directly involve a VoT. Identifying the means, even in relation to children, might be the first cue to identify TIP patterns.

> **Example 12**. Flyers advertising scholarships and job opportunities abroad start appearing in the areas around secondary schools in a neighbourhood hosting a high number of IDPs. Protection actors closely monitor this phenomenon as it is a sign of a risk of trafficking (means = deception/fraud addressed to children). In addition to their regular programming, they ask their partners and information management experts to add this indicator to their regular information management monitoring tools to be able to raise a red flag and verify whether it is an isolated case or a widespread phenomenon. Before any actual case of trafficking occurs, the protection actors verify the source of the advertisement and decide to alert local authorities, while also running an awareness campaign addressed to all students in the neighbourhood.

The ecological model to identify determinants of vulnerabilities is widely used in social sciences research and consistently adopted by protection actors in humanitarian and development contexts alike (IOM, 2019).[37] Humanitarian actors – in particular, protection actors – are very familiar with this approach, which is already widely adopted to identify vulnerability to gender-based violence, child-protection risks and general-protection risks.

Vulnerability is to be interpreted as a person's susceptibility to harm, relative to others, because of exposure to some form of risk. Vulnerability is a relative concept, not absolute, frozen, nor immobile in time and space. The level of vulnerability of an individual – or of categories of individuals – depends on the harm and the risk to which they are exposed. This can change from context to context, or within the same context over time.

The ecological model is based on the appreciation that the level of not only risk and vulnerability but also resilience is derived from the interaction of multiple factors across different levels.

The model identifies four levels:

(a) Structural factors
(b) Community factors
(c) Household and family factors
(d) Individual factors

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[37]   On TIP and the concept of vulnerability, see also: UNODC, 2013a.

Figure 10. Ecological model to identify determinants of vulnerabilities

Individual factors · Household/Family factors · Community factors · Structural factors
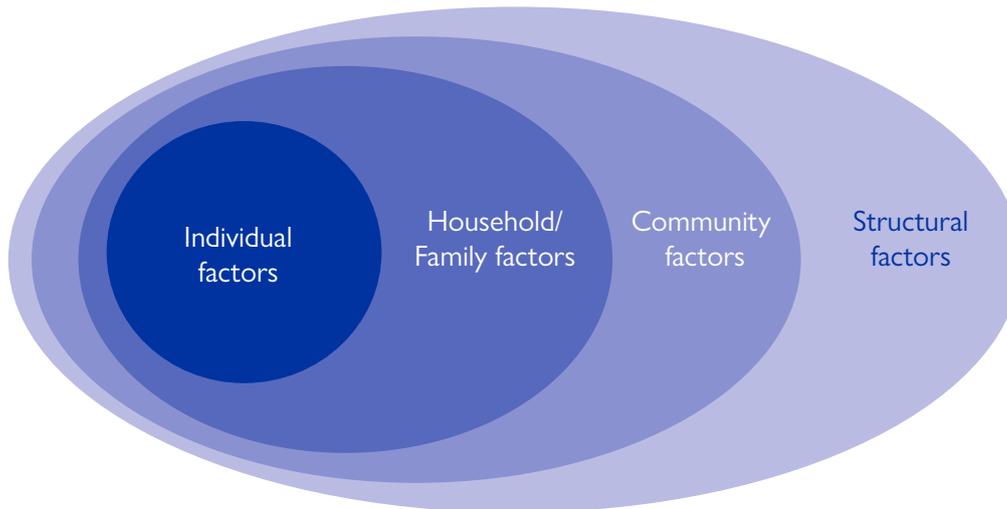
Source: IOM, 2019.

The table below provides examples for each category. The list is non-exhaustive and only meant to provide guidance.

Table 2. Socioecological model: examples of indicators by level

A. Structural factors	B. Community factors	C. Household/Family factors	D. Individual factors
Political system	Community social structure	Household/Family size	Age
Government	Intra- and inter-ethnic group dynamics	Household/Family structure	Sex
Institutions and authorities	Intra- and inter-social group dynamics	Dependants	Gender identity
Power structure	Intra- and inter-religious group dynamics	Number of children	Sexual orientation
Rule of law	Culture	Number of women	Ethnic/Racial identity
Legal system	Languages	Number of elderly	Religious affiliation
Presence of armed groups	Social norms and behaviours	Members with disabilities	Personal beliefs
Armed conflict	Gender roles, norms and accepted behaviours	Female-headed	Education level/ Literacy
Criminality	Social networks	Children-headed	Income level
Displacement patterns, trends and routes	Local economy structure	Separation	Social status
Internal migration patterns, trends and routes	Power and authority structure	Gender roles	Mental and/or physical health
Cross-border population movement patterns, trends and routes	Livelihoods and income opportunities	Household/Family members roles	Personal history
Demographics	Access to resources	Ethnic/Racial identity	Psychological state
Culture	Gatekeepers to resources	Religion	Physical characteristics
Religion	Social capital/resources	Culture	Disability
Social dynamics, groups and classes	Population movements	Language	Nationality
Social norms and behaviours	Migration history	Income level	Legal status/ID
Human rights	Linkages to diaspora	Social status	Statelessness
Inter-ethnic group dynamics	Presence of IDPs	Access to community social capital	Refugee/Asylum seeker status
Inter-religious group dynamics	Presence of refugees	Access to community power structure	Displacement
Social group dynamics	Geography	Education level	Stranded
Economy	Natural environment	Employment status	On the move/In transit
Wealth distribution		Nationality	Unaccompanied
Supply and demand		Legal status/ID	Separated
Gatekeepers to resources		Statelessness	
Geography		Refugee/Asylum seeker status	
Natural environment		Displacement	
National and international geopolitics		Stranded	
		On the move/In transit	
		Migration history	

It is crucial to remember that the levels of vulnerability and resilience are determined by the interaction of factors across these four levels, not by a stand-alone level, in relation to a specific risk.

Finally, the identification of vulnerability to risks by level using the ecological model (and the interaction among the levels) also helps to better direct the level of intervention, which can be upstream, addressed to government and authorities for instance, or community based – or in the form of family or individual assistance.

Example 13. A 12-year-old boy lives with a family with a stable income and a good social position. Another 12-year-old boy lives in the same neighbourhood, but he is an IDP and belongs to an ethic minority. He holds no ID as authorities do not issue them easily to members of his ethnic group and IDP registration is not completed yet. He comes from a loving family, but his parents struggle in finding regular employment because of their legal status. They are thinking of pulling him out of school to contribute to the family income. Flyers advertising scholarships and job opportunities abroad start appearing in the areas around schools in their neighbourhood.

The first boy might be less prone than the second boy to read and believe those offers or reach out to the advertiser. Hence, while the first boy is exposed to the same risk as the second boy, he is less vulnerable to it. Individual factors such as age, sex, level of education and location of residence do play a role, equally exposing the two boys to the same risk of fraud and deception (the advertisement being close to school and targeting children of their age). However, other factors such as institutionalized discrimination and displacement (structural level), employment opportunities (structural and community levels), and household income and legal status (household and family level) contribute to increase the vulnerability of the second boy in a way that individual factors alone cannot explain.

The conceptual pathway that is followed to structure the analysis framework is showed in the image below. It consisted in cross-checking each of the layers of the ecological model to identify determinants of vulnerabilities against the three distinct elements of trafficking, taken one by one.

Figure 11. Analysis framework conceptual pathway

DETERMINANTS OF VULNERABILITY

Individual factors — Household/Family factors — Community factors — Structural factors

TRAFFICKING IN PERSONS

ACT: What is done
+
MEANS: How it is done
+
PURPOSE: Why it is done
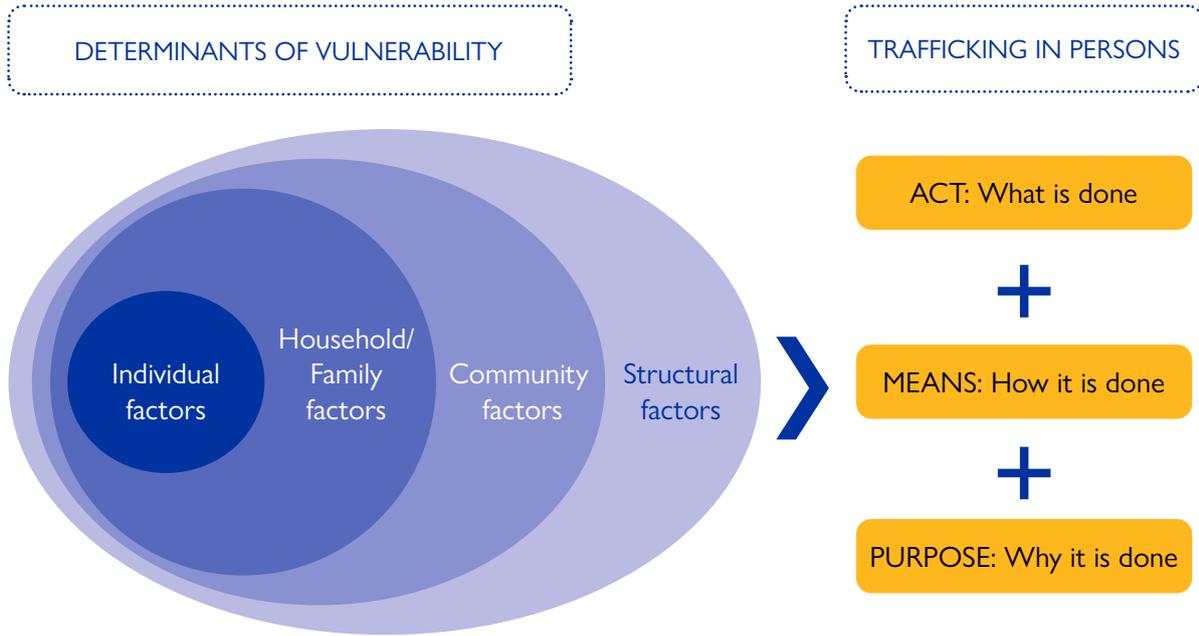
Figure 12. Analysis framework

| STRUCTURAL LEVEL | COMMUNITY LEVEL | HOUSEHOLD/ FAMILY LEVEL | INDIVIDUAL LEVEL |
| ACT | MEANS | | PURPOSE |

STRUCTURAL LEVEL	COMMUNITY LEVEL	HOUSEHOLD/ FAMILY LEVEL	INDIVIDUAL LEVEL
ACT	ACT	ACT	ACT
MEANS	MEANS	MEANS	MEANS
PURPOSE	PURPOSE	PURPOSE	PURPOSE
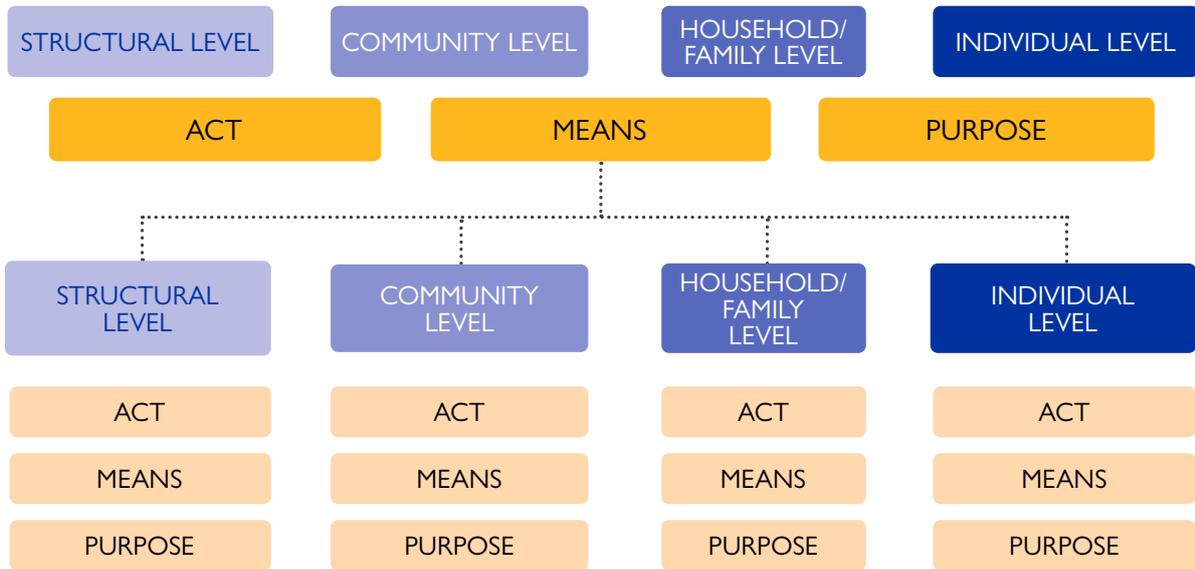
Table 3. Analysis framework: example

		Determinants of vulnerability			
		Structural factors	**Community factors**	**Household and family factors**	**Individual factors**
TIP	**ACT**	**Is there any relation between structural factors and act?** For instance: • Do structural factors increase or mitigate the risk associated with the act occurring? • Do structural factors increase or decrease vulnerability to the act? • Do structural factors related to the act enable or hinder the identification and provision of assistance to the victims?	**Is there any relation between community factors and act?** For instance: • Do community factors increase or mitigate the risk associated with the act occurring? • Do community factors increase or decrease vulnerability to the act? • Do community factors related to the act enable or hinder the identification and provision of assistance to the victims?	**Is there any relation between household and family factors and act?** For instance: • Do household and family factors increase or mitigate the risk associated with the act occurring? • Do household and family factors increase or decrease vulnerability to the act? • Do household and family factors related to the act enable or hinder the identification and provision of assistance to the victims?	**Is there any relation between individual factors and act?** For instance: • Do individual factors increase or mitigate the risk associated with the act occurring? • Do individual factors increase or decrease vulnerability to the act? • Do individual factors related to the act enable or hinder the identification and provision of assistance to the victims?
	MEANS	**Is there any relation between structural factors and means?** For instance: • Do structural factors increase or mitigate the risk associated with the means occurring? • Do structural factors increase or decrease vulnerability to the means? • Do structural factors related to the means enable or hinder the identification and provision of assistance to the victims?	**Is there any relation between community factors and means?** For instance: • Do community factors increase or mitigate the risk associated with the means occurring? • Do community factors increase or decrease vulnerability to the means? • Do community factors related to the means enable or hinder the identification and provision of assistance to the victims?	**Is there any relation between household and family factors and means?** For instance: • Do household and family factors increase or mitigate the risk associated with the means occurring? • Do household and family factors increase or decrease vulnerability to the means? • Do household and family factors related to the means enable or hinder the identification and provision of assistance to the victims?	**Is there any relation between individual factors and means?** For instance: • Do individual factors increase or mitigate the risk associated with the means occurring? • Do individual factors increase or decrease vulnerability to the means? • Do individual factors related to the means enable or hinder the identification and provision of assistance to the victims?
	PURPOSE	**Is there any relation between structural factors and purpose?** For instance: • Do structural factors increase or mitigate the risk associated with the purpose occurring? • Do structural factors increase or decrease vulnerability to the purpose? • Do structural factors related to the purpose enable or hinder the identification and provision of assistance to the victims?	**Is there any relation between community factors and purpose?** For instance: • Do community factors increase or mitigate the risk associated with the purpose occurring? • Do community factors increase or decrease vulnerability to the purpose? • Do community factors related to the purpose enable or hinder the identification and provision of assistance to the victims?	**Is there any relation between household and family factors and purpose?** For instance: • Do household and family factors increase or mitigate the risk associated with the purpose occurring? • Do household and family factors increase or decrease vulnerability to the purpose? • Do household and family factors related to the purpose enable or hinder the identification and provision of assistance to the victims?	**Is there any relation between individual factors and purpose?** For instance: • Do individual factors increase or mitigate the risk associated with the purpose occurring? • Do individual factors increase or decrease vulnerability to the purpose? • Do individual factors related to the purpose enable or hinder the identification and provision of assistance to the victims?

Example 14. Breaking down a scenario. An inter-ethnic conflict is ongoing in a country rich in natural resources and with a thriving extractive industry located in contested areas. Armed groups affiliated to ethnic group A rebelled against the central government controlled for decades by ethnic group B. Armed groups frequently attack the mixed small towns and villages located in the buffer zone between the two areas, controlled by A and B. During the attacks, inhabitants belonging to group B are targeted. Young women and girls are often kidnapped and end up in servitude, sold as sex slaves or given as a prize to soldiers of the armed groups. Old men are killed, while strong young men and boys are forced to work in the mines that finance the armed groups' activities. These attacks cause displacement and cross-border movements in both A and B communities, moving east into the neighbouring country or south into government-controlled areas. When trying to cross the border to neighbouring countries, some fall into the hands of traffickers. Isolated women and girls, separated from their families, are targeted and offered jobs in the capital, but often they end up exploited as prostitutes. Boys, especially if separated from their caregivers, end up in sweatshops in the suburbs or are forced into begging.

	Structural factors • Extractive industries • Ethnic tensions • Armed conflict • Internal displacement • Irregular cross-border movements • Access to asylum system	Community factors • Mixed villages • Conflict with active clashes in buffer zones • Displacement	Household and family factors • Ethnicity • Separation • Legal status • Displacement	Individual factors • Ethnicity • Sex • Age • Legal status • Displacement
Act: What is done In-country transportation Cross-border transportation Receipt and harbouring	• Internal displacement and irregular cross-border movements create the conditions for smuggling and possible trafficking • Ethnic tensions and active clashes in mixed areas create opportunities for abduction and use of force • Neighbouring country has no clear policy about refugees' integration	• Displacement affects A and B communities alike, but if moving towards B-controlled areas, A people might not be allowed there • Any community (A+B) in displacement might be targeted by traffickers • Members of group A are less protected by the police and army if displaced to B-controlled territories	• Displacement and violence are likely to separate families or result in female- or child-headed households • Families of B group are more targeted by the armed groups' incursions • Families of A group are less likely to be protected if displaced to B-controlled areas	• The unclear legal status of A and B in the neighbouring country leaves them unprotected • Lack of protection in B-controlled areas for B men who were detained by the armed groups (regarded as traitors
Means: How it is done Use of violence Threat Sexual violence as means of control Abduction/ Kidnapping Deception	• No law enforcement nor control from the central government along the borders • Widespread sense of impunity • Refugees and undocumented migrants are not protected by authorities of the neighbouring country	• Although mixed, the villages have clearly defined neighbourhoods in which A and B live separately and can be easily identified and targeted • The A community is more exposed than B to internal smuggling and trafficking • The A community is granted less protection by armed forces loyal to the central government led by B • Mixed communities in buffer zones are more exposed than communities with only A inhabitants	• Family separation makes young women, girls and boys easy targets of traffickers, who deceive or abduct them • Families' economic instability makes them more vulnerable to traffickers because of lack of alternatives	• Young B women and girls are abducted by armed groups • Young A women and girls are deceived with job offers • Young A boys have their IDs confiscated and kept

	Structural factors • Extractive industries • Ethnic tensions • Armed conflict • Internal displacement • Irregular cross-border movements • Access to asylum system	Community factors • Mixed villages • Conflict with active clashes in buffer zones • Displacement	Household and family factors • Ethnicity • Separation • Legal status • Displacement	Individual factors • Ethnicity • Sex • Age • Legal status • Displacement
Purpose: Why it is done For: Forced labour Sexual exploitation Slavery Servitude Child labour exploitation	• Extractive industries demand workforce, and armed groups use mines to finance their activities, so they are likely to seek cheap labour • The neighbouring country's economic centres and capital city are a pole of attraction for criminality • The neighbouring country has a strong textile industry, where child labour exploitation notoriously happens	• Mixed communities are targeted by armed groups to kidnap B men and women for forced labour and sex slavery	• Separated families, unaccompanied children, and female- and child-headed households are more exposed to the risk of exploitation	• Young B women and girls in servitude or are sex slaves for armed groups • Young B men and boys in mines for armed groups • Young A women and girls work as prostitutes in the capital of the neighbouring country • Young A boys are exploited in sweatshops

6. CTiE information management: indicators

The previous chapter explained the importance of a systematic approach to CTiE information management and how – through the use of an agreed-upon analysis framework, as the one suggested in this guide – a complex phenomenon can be broken down into smaller pieces, to be examined or measured singularly.

This process allows for the identification of information needs (meaning the information needed to fulfil a defined purpose) and information gaps (meaning the information needs for which there is not yet an answer). This chapter provides some suggested indicators based on the analysis framework.

The indicators presented in this chapter are meant for:

(a) Secondary data analysis of data collected for both research and administration purposes;
(b) Primary data collection for research purposes only, not for screening or victim identification.

6.1. What an indicator is and benefits of standardized indicators

An indicator is an instrument to synthetically and concisely describe a concept, or **the operationalization of an abstract concept**, which helps associate an observable or measurable value with a variable (Bryman, 2012, p. 164).

If the abstract concept is the economic well-being of a household, one of many indicators to measure it could be disposable income per capita, monthly salary or expenditure per month. Likewise, the education level in a country is an abstract and complex concept, which could be measured by several indicators, including the percentage of citizens holding a secondary-school diploma.

An indicator can be a direct indicator or a proxy indicator. When a variable cannot be directly measured, a proxy indicator allows for an indirect measurement. By measuring A, a proxy indicator provides an indication of measurement of B if we could measure it, based on theoretical or empirical relationships established between A and B.

A food-security indicator, for instance, could be used as a proxy for child-protection risks, as issues regarding food security are associated with negative coping strategies, possibly leading to child labour, child exploitation and/or taking children out of school. The number of latrines in an IDP camp – with no light, lock or gender separation – is an indicator for GBV risk, not only for the WASH sector. Proxy indicators could also be the geographical information collected about the origin and different legs of the journey of a respondent, as they provide insight into the respondent's exposure to violence and armed conflict without having to ask directly.

> **An indicator is not a survey question**. The two should not be confused. An indicator sits a step above a possible survey question: in the process from standardization to localization described in the previous chapter, an indicator is on the standardized level, while a question is on the localized level. A survey question depends on a multitude of factors – first and foremost, the methodology. The same question asked with two different methodologies is not the same question anymore, but it can provide information for the same indicator.

To fill an indicator, there might be no need at all for a survey question, meaning that primary data collection might not be needed as secondary data is sufficient – or it might be needed, but data could be collected through **other forms of measurement**. Population density is an effective indicator of the overcrowding of an IDP camp and is calculated as number of people divided by square kilometres (N/km^2). No questions nor respondents are involved at any stage.

The standardization of indicators is more feasible and practical than the standardization of survey questions or research tools (which are highly dependent on the methodology, context, operational constraints and capacities) and, as explained at length, helps compare and integrate data coming from different sources and collected in different ways.

Indicator > methodology > question > analysis

A researcher organizes a cycle of meetings with university students and wants to know the average age of the students attending these meetings.

The indicator is then **age**.

Questions to fill an indicator can vary. In this case, one could ask:
- How old are you?
- What is your date of birth?
- What academic year are you attending?

These questions give different answers:
- 22
- 23 January 1998
- Third year of BSc in Chemistry

The questions are different; hence, the answers are different. Nevertheless, all three provide information for the indicator **age**.

The choice of question might have been influenced by the methodology:
- Face-to-face question
- Self-registration at the reception before the meeting
- Secondary data provided by the administration office of the faculty organizing the meeting

The question influences the analysis of the answer and the degree of precision a researcher might reach.

- The answer is straightforward – 22. It is very easy to collect, on a piece of paper and with a pencil, with little room for mistake and no manipulation needed – just some quick math with a calculator, which is feasible if the number of participants is low. However, the answer is dependent on when the question is asked. If a researcher asks this question at the end of April 2020, and the person was born in January, the year of birth is 1998. If the person's birthday is sometime from May onward, it means that the respondent has not turned 23 yet and was born in 1997. Maybe this is relevant for the researcher, or maybe it is not. It's worth keeping in mind that the question affects the level of precision of the answer, and it might be complicated to make updates in the future.
- Collecting the information might be slightly more time-consuming and more prone to data-entry error (the researcher must type more, understanding the handwriting of all attendees). In terms of manipulation, the researcher will have to do some extra math to calculate the actual age (27 April 2020 – 23 January 1998 = 22 years, 3 months and 4 days). But at least, the researcher will be 100 per cent sure the age is correct, and it will be easy to use the same information in the future in case of updates, without having to again collect information about age.

6.2. TIP indicators: sources, caveats and limitations

The list of CTiE indicators was based on four main sources:

GPC Anti-Trafficking Task Team's "Guidance on anti-trafficking action in internal displacement contexts" (2020). This provides a list of over 60 indicators or warning signs which, taken in context and in combination, can facilitate the detection of potential VoTs in emergency contexts. Indicators are divided between contextual analysis and individual analysis, with stronger emphasis on the latter (broken down by social identity and self-identity, working conditions, physical conditions, and means/lack of control). This source also includes a specific section for children. The list is addressed particularly to practitioners, with the purpose of detecting potential situations of trafficking and initiating either a screening or a referral.

ILO's "Operational indicators of trafficking in human beings" (2009). This provides a list of approximately 70 distinct indicators. The list is the result of a joint European Commission–ILO project, which aimed to reach a large consensus on the indicators of human trafficking. To do so, it relied on the Delphi method, involving major experts and stakeholders. The indicators are meant for the identification of VoTs and research. The list is articulated around forms of exploitation (labour and sexual exploitation) at different stages – meaning, recruitment (deception, coercion or abuse of vulnerability) and destination (exploitation, coercion or abuse of vulnerability at the destination). Indicators are categorized as strong, medium, and weak and are attributed different weights depending on their association to adult exploitation or children exploitation.

UNODC-ICAT's "Toolkit to Combat Trafficking in Persons" (2012). Tool 6.3 and 6.4 provide guidelines on victim identification and indicators for identification. Over 120 indicators are divided into categories based on the type of exploitation (sexual exploitation, labour exploitation, domestic servitude, and begging and petty crime). The toolkit also has a section on general indicators and another on children specifically.

CTDC's Global data hub on human trafficking (2020). The CTDC was launched in 2017 and is the first global data hub on human trafficking. It does not provide indications on how to identify VoTs. Rather, it collects information derived from the identification of VoTs. It publishes anonymized and harmonized data provided by organizations that are active in counter-trafficking and directly assist victims. Among its main contributors are IOM, Liberty Shared and Polaris. In addition to concise demographic data, approximately 50 counter-trafficking indicators are articulated around a few key themes – namely, means of control, type of exploitation and relation to the recruiter (each further broken down in detail).

The sources listed above were established through rigorous consultative processes and are frequently recommended for use among organizations as well as governments undertaking counter-trafficking initiatives. A concrete effort has been made to translate them into actionable indicators for the purpose of counter-trafficking information management in crisis contexts. Nevertheless, the process of creating an exhaustive CTiE list of indicators faces a few challenges:

(a) While no contradiction emerges across the four sources, still they are structured in very different ways, reflecting the different purposes behind the selection of the indicators. Their solid, consistent internal logic would cause duplications if indicators were cross-checked or added to one another. In other words, it is not possible to simply merge the lists while removing duplicates. In terms of structure, for the purpose of this guidance, the analytical framework presented earlier was adopted as key reference, keeping as key pillars the three elements of trafficking and the socioecological model.

(b) All four sources are victim-centred and aim for (or are derived from) direct assistance to VoTs. The main purpose is victim identification and/or case management. Consequently, there is great emphasis on individual-level factors, rather than the other three layers of the socioecological model adopted in the analysis framework. In multiple instances, the suggested indicators are meant for the very screening of a potential victim, who is physically present in front of the practitioner supposed to evaluate their case.[38] This goes beyond the scope of this guidance which, while encouraging the integration of anonymized data collected for administration purposes as secondary data, does not address stand-alone protection activities nor data collection for administrative purposes. This guidance focuses on primary data collection exclusively for research purposes.[39]

(c) Linked to the point above, as the four sources rotate around victim identification, they take for granted that an assistance or protection system is in place – or like the GPC ATTT, they are meant to promote the establishment of such a system. Counter-trafficking information management in emergency contexts frequently takes place in locations or at stages where referral mechanisms do not exist or do not exist yet. As explained in Chapter 3, data-collection and research activities are limited if no protection mechanisms are in place.

(d) With the obvious exception of the GPC ATTT guidance, the other sources are not emergency tailored. Some indicators suggested by the ICAT and ILO lists, which would make someone stand out in a stable context, are inapplicable in emergency contexts where much of the population presents similar features and characteristics. The same can be said for some practices which in the context of an emergency tend to be normalized.

(e) Finally, not all indicators are suitable for the main data-collection tools usually adopted by humanitarian actors. Any actor who can dedicate extra capacity to very tailored research on TIP can refer to the existing detailed tools listed above. However, this guidance aims to present indicators that are actionable in contexts where environmental challenges and limited capacities and resources might hinder the most detailed investigation.

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[38] Examples could be indicators about the psychological state of the potential VoT.

[39] If a trafficking survivor is at any point involved in primary data collection for research purpose (with all strict ethical safeguards listed in Chapter 3), this would happen at a much later stage – when anyway many of the indicators would not apply. The ethical risks associated with dealing directly with a trafficking survivor would be so high, that if secondary data is available, its usage could probably be preferred to new data collection.

- CTDC, 2020: Global data hub on human trafficking.
- GPC ATTT, 2020 (forthcoming): Guidance on anti-trafficking action in internal displacement contexts.
- ICAT, 2012: Toolkit to Combat Trafficking in Persons (Chapter 6, p. 243).
- ILO, 2009:
  - Explanations for indicators of trafficking for labour exploitation.
  - Explanations for indicators of trafficking for sexual exploitation.
  - Lists of indicators of trafficking in human beings.
  - Operational indicators of trafficking in human beings.

6.3. CTiE indicators: individual level

The definition of TIP, as prescribed by the United Nations Trafficking in Persons Protocol, outlines a penal offense tailored around an individual experience, and structured around the three components of act, means and purpose. This strong emphasis on the personal dimension emerges also from the four sources of indicators referenced above. Consequently, it seemed feasible and recommendable to keep this structure in data collection as well, at the individual level.

The suggested indicators are meant for data collection at different stages. As showed in Chapter 4, some can be filled through secondary data (including administration data), while others may require primary data collection.

The breakdown by element of trafficking is suggested as many of the **indicators** that are listed **might be observable**, verifiable and measurable, if taken **one by one**. It is their combination that might cast light on trafficking patterns.

Most importantly, this list is not meant to be exhaustive and include all indicators that can be useful for research and information management in counter-trafficking. Also, their application will be highly dependent on the context.

This list is counter-trafficking focused and aims to integrate general-protection, child-protection and GBV indicators that are already existing – and for that reason are not repeated, suggesting an additional analytical angle from a counter-trafficking perspective.

(a) For instance, where GBV indicators and analysis might look at cases of forced or early marriage, the suggestion is to look at the very same piece of information from a counter-trafficking angle – taking into account other factors as suggested by the indicators list – and wonder whether that is an indicator of forced marriage per se, or potentially of TIP as well.

(b) Likewise, if from a child-protection perspective, the focus could be on child-labour exploitation. The suggestion is to integrate other indicators and the analysis framework to evaluate the risk of trafficking.

IMPORTANT

(a) As explained, the indicators below are not meant for identification or screening.

(b) Research and analysis at the individual level means having the individual as an object of analysis. It does not necessarily mean having an individual as an object of observation or as a respondent – that is, having to directly ask said individual about their experience.

(c) Some of the indicators are not an act, means or purpose per se. Rather, they are more easily observable signs – or proxies – that relate to the act, means or purpose. For guidance, the potential corresponding TIP elements have been reported next to each indicator.

Table 4. Individual factors

D. Individual factors		
#	ACT	(Potential) indicators of the ACT
D.A.1	Recruitment	Belonging to gangs composed of members of the same nationality or ethnicity
D.A.2	Recruitment	Often in the company of armed groups, armed forces, and/or peacekeeping personnel, or waits by their vehicles, outposts, compound gates, or communal areas
D.A.3	Transport/Transfer	Children living or travelling unaccompanied, without the presence of parents, guardians or caregivers
D.A.4	Transport/Transfer	Travelling along routes connected to trafficking and smuggling
D.A.5	Transport/Transfer/Harbouring/ Receipt of a person	Living or travelling in groups with persons who are not relatives
D.A.6	Harbouring/Receipt of a person	Living and working on the worksite or transported to and from the worksite each day
D.A.7	Harbouring/Receipt of a person	Living in degraded, unsuitable places, such as in agricultural or industrial buildings
D.A.8	Harbouring/Receipt of a person	Having limited contact with friends/family
D.A.9	Harbouring/Receipt of a person	Children having limited or no contact with parents/guardians
D.A.10	Harbouring/Receipt of a person	Living in isolation or confinement
D.A.11	Harbouring/Receipt of a person	Being found in or connected to a type of location, work activity or sector likely to be related to exploitation
D.A.12	Harbouring/Receipt of a person	Not appearing to be related to anyone in their household (may look physically different, does not speak the same language or dialect)
D.A.13	Harbouring/Receipt of a person	Living with the family they work for
D.A.14	Harbouring/Receipt of a person	Not eating with the rest of the family they live with
D.A.15	Harbouring/Receipt of a person	Having no private space within the house where they live and work
#	MEANS	(Potential) indicators of the MEANS
D.M.1	Threat or use of force	Subject to verbal abuse by their supervisor
D.M.2	Threat or use of force	Subject to or threatened with physical abuse and violence
D.M.3	Threat or use of force	Subject to or threatened with sexual abuse
D.M.4	Threat or use of force	Disciplined through physical punishment
D.M.5	Threat or use of force	Threats to inform family, community or public
D.M.6	Threat or use of force	Threats or effective violence on family
D.M.7	Threat or use of force/Deception	Threat of denunciation to authorities or deportation (illegal migration status/ involvement in illicit activities)
D.M.8	Coercion	No freedom of movement, can't leave work premises or accommodation without permission or only if escorted by employer
D.M.9	Coercion/Abuse of power and vulnerability	Passport/ID confiscation

#		(Potential) indicators
D.M.10	Coercion/Abuse of power and vulnerability	Phone or personal belongings confiscation
D.M.11	Abuse of power and vulnerability	Abuse of lack of local language knowledge/education (e.g. signed a contract they cannot read)
D.M.12	Abuse of power and vulnerability	Abuse of cultural/religious/spiritual beliefs
D.M.13	Abuse of power and vulnerability	Dependence on the employer for services, including transportation, accommodation and access to health care
D.M.14	Abuse of power and vulnerability	Psychological and emotional dependency on the trafficker
D.M.15	Abuse of power and vulnerability	Reluctance to seek help or self-identify as a victim
D.M.16	Abuse of power and vulnerability/ Threat or use of force	Misuse of psychoactive substances
D.M.17	Deception	Received false information about the law and the attitude of authorities
D.M.18	Deception/Abuse of power and vulnerability	Distrust of authorities, police, law enforcement or humanitarian workers
D.M.19	Deception/Fraud	Deception about nature, location, and conditions of work and housing
D.M.20	Deception/Fraud	Deception about access to education opportunities
D.M.21	Deception/Fraud	Deception about legal documentation or obtaining legal migration status
D.M.22	Deception/Fraud	Deception about travel and recruitment conditions
D.M.23	Deception/Fraud	Deception about family reunification
D.M.24	Deception/Fraud	Deception through promises of marriage or adoption
D.M.25	Withholding of payments or benefits/ Wage manipulation	Wage manipulation or withholding earnings (unpaid, paid little or less than agreed)
D.M.26	Withholding of payments or benefits/ Wage manipulation	Charge of costs or fees for use of tools and equipment, accommodation or uniform rental, resulting in a debt to the employer/facilitator
D.M.27	Withholding of payments or benefits/ Wage manipulation	Charge of fines for time off and sick days or failure to reach a daily quota, resulting in debt to the employer/facilitator
D.M.28	Withholding of payments or benefits/ Wage manipulation	Journey and transportation expenses to destination totally or partially paid by the facilitator or employer, resulting in debt
D.M.29	Withholding of payments or benefits/ Wage manipulation	Charge of expenses related to the issuance of passport/false passport, visa or other bureaucratic processes, resulting in debt to the employer/facilitator
D.M.30	Abduction	Abduction or sale of victim
#	**PURPOSE**	**(Potential) indicators of the PURPOSE**
D.P.1	Prostitution or sexual exploitation	Forced into exploitative prostitution or pornography, forced clients, forced tasks, not allowed to use contraception or protective measures
D.P.2	Prostitution or sexual exploitation	Conditions of sex slavery
D.P.3	Forced marriage	Early marriage
D.P.4	Forced marriage	Forced marriage
D.P.5	Forced marriage	Temporary marriage
D.P.6	Forced marriage	Bride kidnapping
D.P.7	Coercive reproduction	Reproductive coercion/Coercive surrogacy
D.P.8	Forced labour or labour exploitation	Working against one's will
D.P.9	Forced labour or labour exploitation	Working under conditions different from those agreed upon
D.P.10	Forced labour or labour exploitation	Working for low or no salary
D.P.11	Forced labour or labour exploitation	Excessive working days or hours
D.P.12	Forced labour or labour exploitation	Inhumane, unsafe, unhealthy or hazardous work conditions
D.P.13	Forced labour or labour exploitation	No respect for labour laws, lack of contract and social protection
D.P.14	Forced into begging/Forced into illegal activities	Begging
D.P.15	Forced into illegal activities	Engagement in unlawful, illegal, illicit or criminal activities

D.P.16	Forced military recruitment	Coercive recruitment into armed groups for combat or support roles
D.P.17	Child labour exploitation	Working activities unsuitable for children
D.P.18	Child labour exploitation	No time to play
D.P.19	Child labour exploitation	No access to education
D.P.20	Child labour exploitation	Working long hours, exceeding limits permitted by law and school (minors)
D.P.21	Domestic servitude	Domestic servitude
D.P.22	Slavery	Conditions of slavery
D.P.23	Illegal adoption	Illegal adoption
D.P.24	Illegal adoption	Baby selling
D.P.25	Organ removal	Organ removal/Removal of body parts (blood, tissue)

6.4. CTiE indicators: household and family, community, and structural levels

This section focuses on the remaining three levels of the socioecological model. As mentioned, TIP is defined around an individual dimension; hence, providing detailed indicators for data collection on the household and family, community, and structural levels can be difficult as they are very much bound to their respective contexts. Nonetheless, it is possible to highlight some information needs, meaning topics that research and information management activities might aim to investigate. In other words, these are not exhaustive lists – rather, examples of information needs based on the analysis framework.

IMPORTANT. While it is difficult to further break down these information needs and collect data by act, means and purpose (if not contextualized), the gathered information – more generic at the time of collection – can be analysed and interpreted according to act, means and purpose.

Table 5. Structural factors

	A. Structural factors
A.1	National and international criminal activities or organized crime and patterns
A.2	Cross-border, national or regional conflict
A.3	Intervention of peacekeeping or international armed forces
A.4	Presence of labour-intensive sectors (e.g. extractive industries, construction, agriculture, fisheries, services)
A.5	Presence of industrial sectors typically associated with child labour
A.6	Existing national or transnational migration routes, internal and cross-border voluntary and forced population movement trends and patterns
A.7	Existing or known trafficking trends and patterns at the time of research or pre-existing trafficking trends and patterns before an emergency started at the national level
A.8	Status of the rule of law, law enforcement and access to justice
A.9	Status of regulations or law enforcement regarding labour law and labour exploitation
A.10	Status of regulations or law enforcement regarding sex-related work and sexual exploitation
A.11	Status of regulations or law enforcement regarding child labour
A.12	Status of regulations or law enforcement regarding abusive practices such as domestic violence, forced marriage and child marriage
A.13	Status of regulations or law enforcement regarding migration, asylum seekers and refugees
A.14	Status of regulations or law enforcement regarding trafficking and smuggling
A.15	Discriminatory practices or laws against ethnic or religious minorities or social groups

Table 6. Community factors

	B. Community factors
B.1	Local economy and livelihood sources (conducive to conditions of vulnerability or creating demand for cheap labour)
B.2	Societal/cultural tolerance of abusive practices such as domestic violence, forced marriage, child marriage or child labour
B.3	Existing or known trafficking trends and patterns at the time of research or pre-existing trafficking trends and patterns before an emergency started at the community level
B.4	Local power structure, community structure and presence of marginalized groups
B.5	Community migration or displacement history, linkages to the diaspora or members of the community elsewhere (in the same country or abroad), and displacement patterns and their impact on social cohesion of the community
B.6	Freedom of movement and mobility patterns
B.7	Presence of IDPs/refugees/returnees and relationship with host community (intra-community and intercommunity dynamics, social cohesion)
B.8	Sense of impunity/Weak or absent rule of law or law enforcement at the community level
B.9	Community-based control, resilience and response mechanisms
B.10	Availability of services (e.g. social services, health care, education)
B.11	Presence of labour-intensive sectors (e.g. extractive industries, construction, agriculture, fisheries, services) or presence of industrial sectors typically associated with child labour at the local level
B.12	Presence of sex industry (e.g. red-light districts, brothels, massage shops)
B.13	Presence of criminality, gangs, or organized crime at the local or community level
B.14	Presence of State or non-State armed groups or other non-State security forces active at the local or community level
B.15	Demographic composition of the community (ethnic and religious affiliation, age, and gender)

Table 7. Household and family factors

	C. Household and family factors
C.1	Household and family composition (roles and needs by age and gender, members with disabilities)
C.2	Housing conditions (i.e. shelter type, location, if shared with strangers)
C.3	Income sources (socioeconomic or livelihood conditions)/Reliance on children contributing to the household income
C.4	Food security and nutrition
C.5	Cases of abusive practices such as domestic violence, forced marriage and child marriage
C.6	Family migration and/or displacement history (internal or international), including the origin, date of arrival, and linkages to the diaspora or networks in the country or outside
C.7	Legal status (e.g. IDP, asylum seeker, refugee, stateless person), ID and legal documents, work or residency permit
C.8	Personal and social characteristics leading to marginalization or discrimination (e.g. ethnicity, religion, social class, family structure)
C.9	Access to power structure or position in local social structure
C.10	Fear or mistrust of authorities or law enforcement
C.11	Fear or mistrust of service providers/humanitarian aid workers
C.12	Access to services (e.g. social services, health care, education)
C.13	Family members or breadwinner active in sectors typically related to exploitation
C.14	Education level and literacy
C.15	Cases of trafficking and exploitation

Example 17

Defined purpose
A women safe space (WSS), set up at a busy crossing point, provides continuous assistance to women on the move (e.g. dignity kit distribution, referral to psychosocial support and health-care support). However, since its set-up six months before, it could not identify any VoT or potential VoT despite the staff being highly trained and experienced on the topic. The organization wants to understand the reason behind this. The hypothesis that trafficking is not happening is of course discarded. It is a hidden phenomenon. The assumption is that it does happen, and along such a busy route, it is even more likely.

Analysis framework > information needs
The four layers of the socioecological model are analysed against TIP elements to understand what increases a risk or facilitates TIP, what might hinder assistance while TIP is already happening, and what might hamper prosecution.

The analysis framework is used to build up scenarios, discuss known information, formulate hypothesis and identify the information gaps.

Structural. The WSS is at the crossing point between two provinces. Province X is quite poor and rural, inhabited in particular by an ethnic minority. On the other hand, province Y, the province of the capital, is much richer, characterized by growing urbanization and industrialization, especially around the port, inhabited by the dominant ethnic group. A general movement from rural to urban areas is taking place across the entire country. No strict regulations are in place with regard to labour exploitation and child labour, and the demand for cheap labour is constantly growing, attracting an increasing number of men and young boys to work in refineries close to the port. Very strict regulations are in place with regard to sex work though, which is criminalized.

A.4   Presence of labour-intensive sectors (e.g. extractive industries, construction, agriculture, fisheries, services)
A.5   Presence of industrial sectors typically associated with child labour
A.6   Existing national or transnational migration routes, internal and cross-border voluntary and forced population movement trends and patterns
A.9   Status of regulations or law enforcement regarding labour law and labour exploitation
A.10 Status of regulations or law enforcement regarding sex-related work and sexual exploitation
A.11 Status of regulations or law enforcement regarding child labour
A.15 Discriminatory practices or laws against ethnic or religious minorities or social groups

Community. As mentioned, province X is quite rural and generally poorer than Y. Its average level of education is lower than that of province Y, its children hardly ever finish secondary school, and child labour is widely tolerated there. While migration towards the capital increases because of a lack of job opportunities locally, this also creates an imbalance in the local demographics as men and boys leave their families behind to work in the capital and send money back. Local customs do not allow women to be alone in public areas. They tend to be accompanied by a male member of the family, and this also has an impact on their employment opportunities. In the capital, the port area is notoriously full of illegal brothels that the police cyclically raid and shut down. However, service businesses are growing along with the industrial development of the city, including hotels, restaurants, etc. The crossing point between the two provinces is controlled by the police, affiliated to the central government and usually composed of members of the dominant ethnic group of province Y. While no institutional forms of discrimination exist, still there is mutual mistrust between different groups.

B.1 Local economy and livelihood sources (conducive to conditions of vulnerability or creating demand for cheap labour)

B.2 Societal/cultural tolerance of abusive practices such as domestic violence, forced marriage, child marriage or child labour

B.5 Community migration or displacement history, linkages to the diaspora or members of the community elsewhere (in the same country or abroad), and displacement patterns and their impact on social cohesion of the community

B.6 Freedom of movement and mobility patterns

B.12 Presence of sex industry (e.g. red-light districts, brothels, massage shops)

B.15 Demographic composition of the community (ethnic and religious affiliation, age, and gender)

Household and family. Because of social customs and the local economy, families whose breadwinner (typically a man or a male adolescent) is either present or works in the capital tend to be relatively more stable economically than families with no adult men or boys in the workforce. The latter group tends to seek alternative income sources, compatible with local customs and roles associated with women. Another INGO does provide some assistance, but most people think it works for the Y government, so they do not really trust the organization. The overall population tends to be little educated – and women less than men. If approached by someone coming from the capital and presenting themselves as an agent, showing flyers and contracts (written in the language of the capital, which is not spoken locally), an uneducated family might be attracted by the possibility of one of the daughters working in a very safe and closed environment, such as a hotel, where she is assured the staff is composed of women only. The family is worried about sending a lone daughter to Y, and the big city. However, the agent reassures them that he/she will take care of all the paperwork and deal with the authorities. The hotel also offers accommodations for the staff, so the daughter would not have to worry about her living arrangements.

C.1 Household and family composition (roles and needs by age and gender, members with disabilities)

C.3 Income sources (socioeconomic or livelihood conditions)/Reliance on children contributing to the household income

C.8 Personal and social characteristics leading to marginalization or discrimination (e.g. ethnicity, religion, social class, family structure)

C.10 Fear or mistrust of authorities or law enforcement

C.11 Fear or mistrust of service providers/humanitarian aid workers

Individual. Women and girls are not used to travelling alone, so they are shy and apprehensive. Also, the agent organizes group travel with all the women and girls recruited to work in the hotel. He promised to have all the paperwork sorted to be shown at the crossing point. He even gives them a badge each with the logo of the agency. The agent warns all women not to talk directly to the police. He says it is well known that people from Y like causing trouble to people from X, so he will take care of everything. He takes their IDs to speed up the process at the checkpoint. At the crossing point, none of the women even think of asking for information at the WSS. They have no need to – they have their signed contract and paperwork. Also, they think that the INGO is there because the police allowed it. Further, the INGO staff speak only the official national language of Y, not the local language of X, so they are clearly associated with the police.

D.A.4 Travelling along routes connected to trafficking and smuggling

D.A.5 Living or travelling in groups with persons who are not relatives

D.M.9 Passport/ID confiscation

D.M.11 Abuse of lack of local language knowledge/education (e.g. signed a contract they cannot read)

D.M.17 Received false information about the law and the attitude of authorities

D.M.18 Distrust of authorities, police, law enforcement or humanitarian workers

D.M.19 Deception about nature, location, and conditions of work and housing

7. CTiE information management: research methods

After the identification of information needs and gaps, and a thorough secondary data review and analysis, primary data collection might still be required.

As mentioned, primary data collection should be limited to those situations in which available secondary data does not provide enough information. Hence, no research or information management activity should start before having conducted a thorough secondary data review.

This chapter provides a brief overview of the main primary research methods often adopted at the field level, along with the key steps to design a research strategy and methodology.[40]

7.1. Research strategy and methodology

The choice of a research method is only a component of the overall methodology, which itself is a step in the definition of a research strategy.

Research question. The information needs must be translated into a research question, or research questions – the more specific/narrower, the better (as it allows for focus), and in the most neutral terms possible to avoid prompting bias or pre-directing the answer.

> **Example 18** (see example 17 in Chapter 6)
>
> *Information needs > information gaps*
> A.9   Status of regulations or law enforcement regarding labour law and labour exploitation
> A.10   Status of regulations or law enforcement regarding sex-related work and sexual exploitation
> A.11   Status of regulations or law enforcement regarding child labour
> A.15   Discriminatory practices or laws against ethnic or religious minorities or social groups
> B.6   Freedom of movement and mobility patterns
> C.10   Fear or mistrust of authorities or law enforcement
> D.M.18 Distrust of authorities, police, law enforcement or humanitarian workers
>
> *Poor research question*: Why do people mistrust law-enforcement bodies?
> (Bias: The researcher assumes there is mistrust. | "People" is too broad: Is the researcher interested in the entire country or only a province?)
>
> *Better research questions: What is the perception of law-enforcement bodies among populations in province X? What factors affect this perception? Is there a connection between perception and attitudes towards law-enforcement bodies and reporting cases of TIP?*

Desk research and literature review. This step is necessary not only to fill the information needs as explained earlier (the assumption at this point is that contextual knowledge is rich and secondary data has already been used in the analysis framework). This step is also crucial not to reinvent the wheel. There might be a rich literature on cases like the one the researcher is tackling, with suggested methodologies, lessons learned and best practices.

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[40]   This chapter is not exhaustive. Key suggested resources are: Bryman, 2012 and Tourangeau et al., 2014.

Example 19. When conducting desk research on the topic, the INGO staff might find two similar studies conducted in another country (with findings and methodologies). One focuses on the perceptions of police by gender, while another focuses on community policing in contexts with ethnic tensions.

From the secondary data analysis conducted at an earlier stage, the INGO might also gather demographic data about the population in province X, including family structure, sex and age breakdown, and socioeconomic background.

Risk and capacity assessment. As explained in Chapter 3, a researcher, protection actor or information management unit needs to be humble and honest about their own capacity and competencies, and assess risks and consequences associated with the information management or research activity they want to begin. First, this reflection affects the choice of continuing the research or, for instance, delegating it, involving partners or better-equipped actors. Second, it influences the methodology.

Example 20

Capacity. The INGO running the WSS might have no capacity to handle an articulated quantitative research. They could then consider a qualitative approach, but as a matter of fact, only some very junior local staff speak the local language of province X. More senior and experienced staff do speak the language of the capital.

Risks. The INGO might face some "unknown unknowns" – for instance, they might not know that population X sees them as affiliated to the police and with population Y. The INGO staff do acknowledge, in any case, that whatever activity they do cannot happen around the checkpoint area because it is too dangerous.

Methodology. The methodology is the best way to answer a research question while considering risks and capacity, along with a time frame (related to the defined purpose). There might be an optimal methodology to answer a research question, but it might be unfeasible in certain contexts, and there could be good-enough methodologies that can be implemented. **On the field level, often the best solution revolves around a smart operational choice rather than the most sophisticated research methodology**.

IMPORTANT. **A methodology is not just a research method**. A research method can be a survey, a face-to-face interview, a focus group discussion or observation. A methodology is wider in scope, as it is a research method plus:

(a) Who the respondents are or how the sample is composed;
(b) How the respondents are selected or the sampling strategy;
(c) Who collects the data;
(d) How the data is collected and stored;
(e) Where and when the data is collected.

> **Example 21.** The INGO is in doubt between two different research methodologies that rely on the same research method (FGD):
>
> - FGDs with the elderly of the villages in the area (because they are authoritative figures in the local society), conducted in the villages, not in the INGO office, and led by the senior staff with junior staff translating.
> - FGDs, relying on local partners to interview different categories of people (thus also including adult women and teenagers, not only the elderly), conducted by local partners' staff, who are bilingual in X and Y and have a very good trusting relationship with the local population.

Methodology document

A methodology document should be the introduction to any published or shared research report or data set. Its purpose is to explain why and how the research was conducted, allowing a reader or user to evaluate the validity of the findings, their limitations, and their compatibility with other studies. The detailed description of a methodology also allows for the replication of the study, while a thorough explanation of the challenges and strategies adopted lets a reader not only appreciate the findings of the research but also know whether other sources – claiming to be able to provide information that the study cannot – are credible.

It should include:

- A recap of the purpose of the research and research questions;
- A literature review or secondary data review, explaining how secondary data was integrated or where it was lacking, hence requiring primary data collection;
- A clear description and justification of the research design and methodology, with an explanation of why a method was chosen over another;
- How the data was analysed;
- An honest evaluation of the limitations;
- When applicable, documents such as the administered questionnaire should be attached (seeing how a question was phrased allows a reader or an analyst to understand the answer).

7.2. Research methods

When choosing a research method, it is important to keep a few pivotal points in sight:

(a) Who/what is the best source of information;
(b) How in depth and nuanced the collected information needs to be;
(c) How generalizable the information needs to be.

This chapter presents a very brief summary of some of the most frequently used methodologies at the field level, but further readings and references are provided at the end of the chapter.

Research methods are divided broadly into two groups:

Table 8. Research methods

	Qualitative	Quantitative
Pros	• Allow to go in depth and capture nuances and meanings • Allow to follow up immediately during data collection if something is unclear • Open-ended question (more options than anticipated by the researcher)	• Allow to quantify and measure • Allow to see correlations • Allow to generalize (depending on method) • Larger geographical coverage • Larger sample
Cons	• Small number of respondents • Time-consuming • Findings cannot be generalized	• Cannot follow up immediately during data collection • Number of options is usually limited

Examples	• Observation
	• Social media monitoring
	• Personal narrative
	• Individual interviews (e.g. face-to-face, on the phone)
	  – In depth
	  – Semi-structured
	• Group interviews
	• Focus group discussions
		• Observation
		• Surveys
		  – Administered by a researcher/enumerator
		  – Self-administered
		  – Online
		  – In person

These methods can be adopted within the same research study, which would then be adopting a mixed-method or a multi-method approach.

**Typical respondents**, who can be involved through both qualitative and quantitative methods, can be:

Table 9. Respondents

Individuals	Speak for themselves or speak of others from a personal perspective.
Key informants	Individuals who speak on behalf of their respective groups and whose role vis-à-vis the collective has a relation to the kind of information to be collected.
Experts	Experts about particular topics, speaking about them not in personal terms.
Households/Families	These terms act more as units of reference than descriptions of the respondents. Some information can be collected individually (among the unit members), while others are conveyed by only one respondent (often the head of the household). When all members participate, it can be a group interview.
Groups	More than one individual speaking of their own experiences.
Focus groups	More than one individual with similar characteristics functional to the subject of discussion, talking about a specific topic and going beyond their own experiences.

7.2.1. Observation

Observation is a research method in which a researcher observes the behaviour of participants in a situation. Observation does not necessarily require an interaction with a respondent and can be qualitative or quantitative. The definitions below clarify the researcher's position in relation to the observed behaviour or participants, rather than the nature of the information collected, which can be qualitative or quantitative. Observation can happen in different ways depending on the level of participation of the researcher and whether the observed population is aware of the presence of said researcher (Bryman, 2012, p. 430–467).

Figure 13. Researcher's role in observation
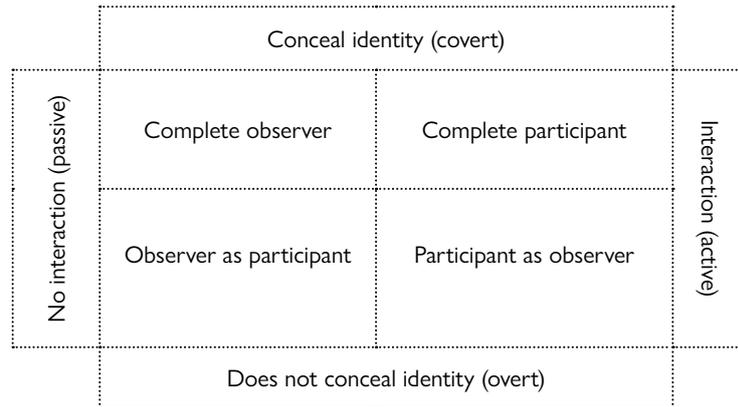
Complete observer. The researcher does not interact with the participants and conceals his/her own identity; hence, the observed population is not aware of the presence of the researcher.

Complete participant. The observer fully interacts with the participants and conceals his/her own identity; hence, the observed population is not aware of the presence of the researcher with whom they interact.

Participant as observer. The researcher interacts with the participants but does not conceal his/her own identity; hence, the observed population is aware of the presence of the researcher.

Observer as participant. The researcher does not interact with the participants but does not conceal his/her own identity; hence, the observed population is aware of the presence of the researcher.

> **Example 22**. An enumerator at a checkpoint can report what he witnesses every day (e.g. events, behaviour of people on the move, number of transits). He does not participate nor interact with the people crossing the checkpoint. Depending on the enumerator being identifiable (for instance, he wears a visible United Nations/INGO vest) or not, he can be considered an **observer as participant** in the former case and a **complete observer** in the latter.
>
> **Example 23.** Protection staff as well can keep track of what they witness every day in their practice without mentioning personal details (this creates a kind of journal that is useful for contextualization or later analysis). In this case, the staff is most likely a **participant as observer**.

7.2.2. Qualitative research methods

Interviews. Depending on the level of depth, the available time and the need of comparison among answers, interviews can be:

(a) In depth (no agreed script or list of questions)
(b) Semi-structured (a key number of identical questions is asked to all respondents, but follow-up can vary)

Tip. At the end of an interview, it is always better to ask if the interviewee wants to add anything or bring up something to the attention of the interviewer.

When conducting interviews on counter-trafficking-related or other sensitive topic, it is always better to use less direct phrasing and allow the respondent to shape the answer in their own terms. Another way to mitigate risks and allow the interview to proceed is not asking about personal experience but projecting them externally.

For instance, it is better to ask:
- *Did women face problems during the journey?*
- *Do you know of any bad thing happening to children in the camp? What worries you the most about your children?*

Rather than:
- *Are women sexually abused?*
- *Are children targeted by traffickers?*

Group interviews and focus group discussions. These are two distinct, although often mixed up, methods.

A group interview consists in interviewing a group of individuals, potentially heterogeneous, each sharing their own experience or reporting on what they know from a personal perspective. An interview with a family where everybody can chime in and speak their mind can be considered as a group interview.

An FGD is an interview with carefully selected candidates to discuss a specific topic:

(a) A group is supposed to be homogeneous and present specific characteristics functional to the research question and topic of discussion (e.g. age, sex, profession).

(b) The idea behind it is reaching a consensus, or a view about the specific topic. A focus group discussion with teenaged girls from an IDP camp on topic XYZ, as an example, should also tell about what teenaged girls in that camp think of XYZ, not only about the personal experiences of the interviewees.

(c) Within the same group, there should be no pre-existing power dynamic that might affect responses (e.g. husband and wife, two siblings, employer and employee, and other societal hierarchies).

(d) Recommendations in literature about the number of participants vary depending on the topic (for instance, numbers tend to be higher when FGDs are used for commercial topics) and the language skills of the facilitator (translation might affect the decision to keep the number low, to manage the discussion easier). It is safe to suggest between 6 and 10. Larger groups are difficult to control – some participants might be silent most of the time, while stronger personalities might dominate the discussion.

(e) Usually, an FGD has a very short number of key topics to facilitate the discussion, not necessarily questions, to guide the conversation. Several techniques can be used by a facilitator (e.g. brainstorming, drawings, timelines) to fuel the conversation among the participants.

(f) The process of discussing a topic is as important for the researcher as the final answer itself. Normally a researcher would continue running FGDs until saturation is reached – meaning when they keep on hearing the same reply.

7.2.3 Quantitative research methods

Observation can be of course quantified. Counting the number of transits at a checkpoint is a form of observation. Counting arrivals to a camp by sex and age is likewise a form of observation. Indicators that allow to collect information from observation can be quite useful to surveys and questionnaires of regular monitoring exercises.

Surveys can be administered by an interviewer or self-administered. They are normally based on a closed-ended questionnaire where the respondent is given a limited number of response options.

The sample to which a questionnaire can be administered can be:

(a) **Probabilistic**. Findings can be generalized. The sample is randomly selected, allowing statistical inferences about the whole group.

(b) **Non-probabilistic**. Findings cannot be generalized. The sample is not randomly selected. Rather, selection is based on other criteria.

7.3. Sampling strategies

Irrespective of the research method being qualitative or quantitative, the sensible identification of respondents and an appropriate sampling strategy is a crucial step. The table below presents just a quick overview of the sampling strategies adopted at the field level for a variety of assessments and information management activities, not necessarily focused on TIP.

Table 10. Probabilistic sampling

Simple random sampling	The sampling frame includes all the population, and each member of the population has the same chance of being selected.
Systematic sampling	Like simple random sampling, respondents are selected but at regular intervals. For instance, families in a household survey, instead of being selected by randomly extracting the number of their house, might be selected at an interval of 10 houses after randomly selecting the first.
Stratified sampling	If a population presents mixed characteristics, it might be better to first divide it by these characteristics and then apply a simple random sampling to each group. For instance, instead of doing a simple random sampling on an entire IDP population in a district, a researcher might want to differentiate IDP communities in formal camps, IDP communities in informal settlements, etc.
Cluster sampling	Cluster sampling consists in the creation of subgroups, with each subgroup having features similar to those of the population. Instead of sampling individuals from each subgroup, the researcher randomly uses entire subgroups. For instance, instead of sampling an entire province's population, a researcher will first identify villages, then randomly select villages.

Table 11. Non-probabilistic sampling[41]

Convenience sampling	A sample includes individuals that the researcher can access easily – for instance, migrants and refugees crossing at an accessible flow-monitoring point.
Voluntary response sampling	It is still based on ease of access. The researcher does not identify the respondents. Rather, the respondents can volunteer. For instance, a researcher advertises in community centres that he/she is looking for candidates for a research. Or he/she publishes an online survey on social media to which anybody can reply.
Snowball sampling and response-driven sampling	It is based on chain referral and particularly useful with hard-to-reach populations. One respondent identifies another respondent, that respondent identifies another one, and so on.
Purposive sampling	The sampling is based on the judgement of the researcher, who wants to select a specific group functional to the research. For instance, a researcher might actively seek and include people with disabilities to focus on their specific experience.

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41   The previous chapters stressed that for information management activities for research purposes, the involvement of VoTs or former VoTs is not a prerequisite and often not the most advisable solution, to mitigate protection risks. It is important to emphasize again that VoTs are a typical example of a hard-to-reach population (see Section 4.1), for which probabilistic sampling strategies are usually not applicable.

Key simplified concepts to understand probabilistic sampling

What does *randomized* mean?
Randomized does not mean by chance, and randomization always requires knowing the total number of the reference population. In a simple randomized sample, all participants (out of the reference population) have the same probability of being selected, and that probability is known.

If there is a population of 100, each person has 1 out of 100 probabilities to be selected. If there is a population of unknown dimensions, the researcher cannot know the probability each person has of being selected.

The sample is supposed to be, in a way, a micro-version of the population of interest. Randomization is the systematic way of eliminating selection bias. A selection bias occurs when the sampled individuals differ from the population of interest in a systematic way. Probabilistic sampling strategies give the population parameter of interest (the population parameter is the true "answer" – the estimate that would be found if the researcher had access to the whole population, instead of a sample) a better chance of being accurately represented by the sample.

What is *confidence level?*
Confidence level tells how sure the researcher is. A 95 per cent confidence level means that if the very same exercise were repeated 100 times (each time randomly extracting another sample from the same reference population), in 95 out of those 100 times, the researcher would receive the same answer.

The more confident the researcher wants to be (99%), the larger the sample size must be (see below). To be 100 per cent sure, the researcher should ask everybody in the population, and not just a sample.

What is *confidence interval* and *margin of error?*
Confidence interval is a range of plausible values, based on the confidence level. For instance, the researcher is 95 per cent sure (confidence level) that the answer is likely to fall somewhere between value A (lower value) and value B (upper value). **The margin of error tells how precise the answer is. It is a way to express sampling error**. The difference between the average answer from A (average – margin of error = A) and B (average + margin of error = B) is the margin of error.

Sample mean ± margin of error = interval between A and B = confidence interval.

Keeping the same confidence level, the more accurate a researcher wants to be, the smaller the margin of error has to be and the larger the sample size (see below).

How big should a sample be?
In sum, the sample size depends on how sure and how precise a researcher needs the answer to be. **A sample is not proportional to the total reference population**.

Here are sample sizes for a population of 100, 1,000, 10,000 and 100,000 people.

Population size	95% confidence level, 10% confidence interval (95/10)	95% confidence level, 5% confidence interval (more precise) (95/5)	99% confidence level, 10% confidence interval (more confident) (99/10)	99% confidence level, 5% confidence interval (more confident and more precise) (99/5)
100	50	80	63	88
1,000	88	278	143	400
10,000	96	370	164	625
100,000	96	383	167	662

What does this mean?
If the researcher randomly extracted 100 times a sample of 383 people from a population of 100,000, in 95 times out of 100, the researcher would receive an answer that falls 5 percentage points below or above the average that the researcher would have obtained if he had interviewed the whole population. If in the sample, 48 per cent of respondents picked a choice, the researcher is 95 percent sure that 48% ± 5 (from 43% to 52%) of the total population would have picked the same choice.

Chapter 7: Further readings and recommended resources

- Atkinson and Flint, 2001: Accessing hidden and hard-to-reach populations: Snowball research strategies.
- Bryman, 2012: Social research methods.
- GPC InterAction's Protection Working Group, 2003: Data collection in humanitarian response: A guide for incorporating protection.
- Heckathorn and Cameron, 2017: Network sampling: From snowball and multiplicity to respondent-driven sampling.
- Hudlow, 2015: Fighting human trafficking through transit monitoring: A data-driven model developed in Nepal.
- IOM, 2018: DTM and Partners Toolkit.
- JIPS, 2020: Sampling guide for displacement situations and practical examples.
- Khoury, 2020: Hard-to-survey populations and respondent-driven sampling: Expanding the political science toolbox.
- Nexus Institute, 2019: *Good Practice in TIP Data Collection: Recommendations for Donors and Funders*.
- Nexus Institute, 2019: *The Science (and Art) of Understanding Trafficking in Persons: Good Practice in TIP Data Collection*.
- Nexus Institute and IOM, 2010: Beneath the surface: Methodological issues in research and data collection with assisted trafficking victims.
- Nexus Institute and IOM, 2014: Traffickers and trafficking: Challenges in researching human traffickers and trafficking operations.
- UNHCR, 2017: *Needs Assessment Handbook*.
- Willis et al., 2014: Overview of the special issue on surveying the hard-to-reach.

Annex: PIM Matrix

PROTECTION INFORMATION MANAGEMENT MATRIX

	POPULATION DATA	PROTECTION NEEDS ASSESSMENTS	PROTECTION MONITORING	CASE MANAGEMENT	PROTECTION RESPONSE MONITORING AND EVALUATION	SECURITY AND SITUATIONAL AWARENESS	SECTORAL SYSTEMS/OTHER	COMMUNICATING WITH (in) AFFECTED COMMUNITIES
DEFINITION	Population data systems record the number and characteristics, disaggregated by sex, age, demographics and diversity, of a population in a specific place and time period, for the purpose of programming effective prevention and response.	A data-collection exercise usually conducted at a single point in time to gain an understanding of the protection issues, availability of resources, sources of problems and their impact on the affected population ("snapshot"). This is done in order to identify protection needs, risks, and solutions, and to inform programme interventions and response activities that are complementary with positive community coping mechanisms. Protection needs assessment should be carried out periodically and after substantial changes in the context.	Protection monitoring is defined as "systematically and regularly collecting, verifying and analysing information over an extended period of time in order to identify violations of rights and protection risks for populations of concern for the purpose of informing effective responses".	Protection case management information systems support the provision of protection and/ or targeted interventions to identified individuals or groups through the management of data – from case identification to case closure – related to a specific case.	Continuous and coordinated review of implementation of response to measure whether planned activities deliver the expected outputs and protection outcomes and impact, both positive and negative. Evaluation is distinct, but complements monitoring by asking questions around causal linkages, looking at intended and unintended results. Evaluation is not continuous, but rather periodic and targeted.	Security and incident systems that monitor both the affected population and the ability of humanitarian actors to physically and securely reach people affected by crisis. Such systems would make available information on the overall security situation, issues of humanitarian space and access (including the safety of staff), and other concerns. A key difference between these systems and protection monitoring is in this aspect of humanitarian access.	Sectoral IM Systems/Other are information management systems that support assessment, monitoring and reporting on services, infrastructure, material, and physical support that enable legal and physical protection outcomes, but are not managed directly or solely by protection actors.	Communicating with(in) communities refers to communication between, among, and with communities and/or community members with the aim of supporting participation, decision-making, access to services, feedback/complaints, transparency, monitoring and evaluation, and leadership/ community capacities.
SUBCATEGORY EXAMPLES	There are no subcategories for this, there is only one system in this category – "population data management".	• Rapid protection assessments • In-depth protection assessments • Specialized protection assessments • Coordinated needs assessments (joint, harmonized) • Uncoordinated assessments	• Legal, Material and Physical Protection Needs Monitoring • Detention Monitoring • Durable Solutions Monitoring • Housing, Land and Property Rights Monitoring • Return Monitoring • Border Monitoring • Child Protection Monitoring • Gender-Based Violence Monitoring • Situation Monitoring	• Incident management • Assistance and service management • Registration and status determination case management • Provision of solutions (return, integration, resettlement) • Tracing and family reunification • Support for vulnerable individuals (children, women, persons with physical or mental disabilities, survivors of torture and gender-based violence) • Fraud management systems • Human rights case management (includes urgent action requests) • Legal case management (includes HLP)	• Programme/ Response/Results monitoring • Process monitoring • Evaluation (summative, formative)	• Conflict analysis and assessments (e.g. Sit Reps) • Situational monitoring and contextual analysis (social, political, economic analysis, incl. scenario building and contingency planning) • Security risk assessment and security incident reporting/updates, incl. hotspot mapping and mine and UXO surveys/assessments • Small arms and light weapons (SALW) assessment • Actor mapping (incl. parties to the conflict, areas of control of armed elements, locations, movements, numbers, configurations, clashes and other security incidents • Staff safety (attacks on or threats against staff) • Analysis/update on status of humanitarian or community infrastructure and physical access of humanitarian actors and/or peacekeeping forces • Community safety assessment	• Health • WASH • Core Relief Items/Material Assistance • Food Security • Shelter • Education • Livelihoods • Camp Coordination and Camp Management	a. Humanitarian systems (owned and operated by humanitarians) • Accountability humanitarian activities: complaints and feedback, services, activities • Fraud reporting and tracking systems (humanitarians' or community members) • General information systems (on humanitarian objectives or activities) • Security and safety systems (operated by humanitarians or governments) b. Community systems (owned and operated by the community) • Facebook, Twitter, etc. • Misc. apps developed by the community, for community or individual decision-making

PROTECTION INFORMATION MANAGEMENT MATRIX

	POPULATION DATA	PROTECTION NEEDS ASSESSMENTS	PROTECTION MONITORING	CASE MANAGEMENT	PROTECTION RESPONSE MONITORING AND EVALUATION	SECURITY AND SITUATIONAL AWARENESS	SECTORAL SYSTEMS/OTHER	COMMUNICATING WITH (in) AFFECTED COMMUNITIES
METHODS	• Estimation – remote (satellite, aerial, key informant, social media, communications data, statistical projections, Delphi method) • Estimation – on-site (flow-monitoring and movement tracking, headcount, shelter count, key informant, community lists • Registration (prima facie, household or individual) or census/ population registers • Profiling or Survey • Triangulation of sectoral and other data sources	• Primary data collection at individual, household, community and institution level • Observation • Key informant interviews • Focus group discussions • Profiling • Survey • Participatory assessment methods	• Observation • Key informant interview • Focus group discussion • Individual/household interview • Profiling • Survey • Referrals	• Observation • Individual/household interview • Incident/case report • Focus group discussion • Referral	• Observation • Survey • Key informants interview • Focus groups discussions • Pre and post action/activity/ assistance monitoring • Iterative review • Logic models and frameworks	• Observation • Key informant interview • Focus group discussion • Individual/household interview • Social media monitoring • News media monitoring • Open and closed sources • Remote sensing	• Referral system • Profiling or survey • Observation • Key informant interview • Focus group discussion • Individual/ household interview	a. Humanitarian methods • Observation • Profiling or Survey • Reports • Referrals • Focus group discussions • Interview: Key informant, individual or household • Monitoring: internet, media, or social platforms used by the affected population or communities b. Community methods • Observation or face to face communication • Monitoring: internet, media, or social platforms used by humanitarians or affected population or communities
SPECIFIC EXAMPLES	• Displacement Tracking Matrix (IOM) • SCOPE (WFP) • Operational and population data portals (UNHCR) • ProGres (UNHCR)	• Child Protection Rapid Assessment • Protection Cluster RPAT (Rapid Protection Assessment Tool) • MIRA (OCHA) • NARE (UNHCR)	• GBVIMS (UNICEF/ IRC/UNHCR) • CPIMS (UNICEF) • Primero (UNICEF) • Human Rights Case Database, HRDB (confidential – OHCHR) • Human rights monitoring systems	• Human Rights Case Database, HRDB (confidential – OHCHR) • Comc (IRC) • Inter-Agency Child Protection Database (UNICEF) • Primero (UNICEF) • CPIMS+ (UNICEF) • GBVIMS (UNICEF/IRC/ UNHCR) • Tracing Database (ICRC) • ProGres and RAIS (UNHCR) • Prot6 (ICRC)	• ActivityInfo (inter-agency) • 3, 4, 5 and 6 Ws (why, what, where, when, with whom, how) • In general, agency and inter-agency monitoring systems would be an example	• Security Database (UNMAS) • Information Management System for Mine Action (IMSMA) Database (UNMAS) • Security incidents & humanitarian access database (OCHA) • Early warning systems (Govt, UN, NGOs, community level) • Systems tracking security, access and safety (UNDSS) • Early warning matrices (UN DPKO) • Geographic Information Systems (GIS)	• NFI and Core Relief Supply and Distribution Systems • TWINE (UNHCR and partners) • Global Health Observatory Data (WHO) • Mortality Database (WHO) • PAHO Regional Core Health Data Initiative • SCOPE (WFP) • LENS (various partners)	• Internet: YouTube, Facebook, Twitter, etc. • Telephone (hotlines, direct calls, SMS) • Broadcasts: radio or TV • Print media: leaflets, posters

OUTPUT (DATA AND INFORMATION)

	POPULATION DATA	PROTECTION NEEDS ASSESSMENTS	PROTECTION MONITORING	CASE MANAGEMENT	PROTECTION RESPONSE MONITORING AND EVALUATION	SECURITY AND SITUATIONAL AWARENESS	SECTORAL SYSTEMS/OTHER	COMMUNICATING WITH (in) AFFECTED COMMUNITIES
	The output of population data systems are: Snapshot or recurring information on population figures, preferably disaggregated by age, sex and location (where people are or were located). It can also include: data on the humanitarian profile typology, specific needs, vulnerabilities, or other demographic characteristics including education, skills, occupation, and living conditions. **Data needed for decision-making:** • Population figures (demographics of those affected) • Age and sex disaggregation (including "as of" date) • Location • Sources of and methodologies used for gathering population figures • Life-saving assistance or support needed **Common units of analysis:** Population groups, locations, time.	**The output of protection needs assessment systems are:** Quantitative and qualitative data and information on the protection situation (threats, capacities, vulnerabilities) at a specific time and place (as defined by the scope and scale of the assessment), providing info on: • Protection risks • Protection needs • Capacities and coping strategies • Life-saving assistance or immediate support needed **Data needed for decision-making:** See above bullet points. **Common units of analysis:** Specific population group; locations; sectors/sub-sectors, time, and the focus/purpose of the assessment.	**The output of protection monitoring systems are:** Quantitative and qualitative data and information on the protection environment, protection trends over time, rights violations, and/or risks (threats, vulnerabilities, and capacities) of the affected population. **Data needed for decision-making:** • Protection risks • Protection needs • Capacities and coping strategies • Life-saving assistance or immediate support needed • Trends for what the monitoring systems is designed for **Common units of analysis:** Location; protection risk, population group, community, time.	**The output of case management systems are:** Information on protection needs, risks and incidents at the individual level protection response, and the corresponding actions needed and taken by whom, and when, subject to the principles of confidentiality and consent. **Data needed to inform decision-making:** • Information on case management activities, disaggregated by age and sex, as related to purpose and per informed consent (anonymous versus personally identifiable data) • Trends for those within the case mgmt. system • Statistics about populations (vulnerabilities, age, gender; locations, risks) • Life-saving assistance or immediate support **Common units of analysis:** Individual, case, risk/need, response/action, partner/actor, time.	**The output of response monitoring and evaluation systems are:** Qualitative and quantitative data and information related to the actual outcomes and outputs of the protection response against the planned activities/expectations. **Data needed to inform decision-making:** • Data on specific output (performance) and outcome (impact) indicators **Common units of analysis:** Location, operation, time, response objective, analytical framework.	**The output of security and situational awareness systems are:** Qualitative and quantitative data and information on the overall security situation and operational environment. Includes information on humanitarian access, security for all stakeholders, context and conflict analysis, risk indicators, and information on the country's political, military, social and economic situation. **Data needed to inform decision-making:** • Context analysis • Conflict analysis • Statistics about security incidents • Physical access to areas • Mines locations and demined areas • Status of humanitarian or community infrastructures • Locations or presence of armed elements • Staff security, safety, and access reporting (incl. stats on staff threats/attacks) **Common units of analysis:** Location, time, incident type, sector/sub-sector, partner/actor.	**The output of sectoral systems/Other are:** Data which pertains directly to the sector's operational data requirements and can provide protection specific/relevant data on needs, protection risks, vulnerability, required response in requisite sectors (for example, indicators used in sector information systems which provide critical protection information). **Data needed to inform decision-making:** • Data for prioritizing and coordinating life-saving protection support amongst partners, by location, type and need • Fundamental Operational Data Sets (FODS) **Common units of analysis:** Location, sector, actor, populations groups, priority, time.	**The output of communicating with(in) affected communities' systems are:** Data and information on: • Common and appropriate sources of information and communication channels within communities; • Community capacities, needs, resources, skills; • Local contextual information (e.g. cultural sensitivities, languages used); • Priority information needs and concerns of the affected populations; • Updates on factors which affect the protection nature of the response (such as context, logistics, political, social and economic information) **Data needed to inform decision-making:** • Situational awareness • Understanding, tracking and possibly responding to community-driven data and info needs **Common units of analysis:** Location, population group, information needs partners/actors.

PROTECTION INFORMATION MANAGEMENT MATRIX

		POPULATION DATA	PROTECTION NEEDS ASSESSMENTS	PROTECTION MONITORING	CASE MANAGEMENT	PROTECTION RESPONSE MONITORING AND EVALUATION	SECURITY AND SITUATIONAL AWARENESS	SECTORAL SYSTEMS/OTHER	COMMUNICATING WITH (in) AFFECTED COMMUNITIES
SHARED DATA		• Population figures (demographics of those affected) • Age and sex disaggregation and "as of" date • Location • Sources of and methodologies for gathering population figures	• As much as possible, and based on an analysis and assessment of protection needs, data outputs should be shared with the humanitarian community, in a structured format, and with personally identifiable information removed	• Information on need of life-saving assistance or immediate support • Protection trends • Population's coping mechanisms and capacities	• Population figures disaggregated by age and gender, related to case management and its purpose, as well as substantive information on collected data to identify protection trends and human rights violations • Statistics on vulnerabilities • Bio data, in specific cases where case management sharing protocols have been established (depending on the use of the data and existing SOPs) (anonymous versus personalized data)	• Data on specific output (performance) and outcome (impact) indicators	• Context analysis • Conflict analysis • Statistics about security incidents • Physical access to areas • Mine locations and demined areas • Status of humanitarian or community infrastructures • Locations or presence of armed elements • Staff security, safety, and access reporting (incl. statistics on staff threats/attacks)	• Prioritizing and coordinating life-saving protection support among partners, by location, type and need	• Situational awareness (feeding into Protection Monitoring, for example, about which information could cause anxiety/panic/psychological harm to individuals or compromise humanitarian corridors and needs of affected access) • Priority data and information needs of affected populations, and their preferred communication channels and modalities • Community-identified protection priorities and concerns, incl. their data and information needs
SOURCES		• Population census/national registries • National and local government • Affected and host populations	• Community leaders • Affected and host populations • National and local government • National protection actors and civil society • International protection organizations • International protection agencies • UN agencies and organizations • Social media/news media	• Community • IDP leaders • Refugee leaders • National and local governments • National and international protection organizations • Social media/news media	• Case management partners (including implementing partners) • Affected populations and host communities • Sectoral partners	• Any person targeted by the protection response • People not targeted by the response but affected by it, directly or indirectly (e.g. local communities) • Staff of respective organizations and agencies • Implementing partners • National and local governments	• Affected populations and host communities • National and local civilian authorities, police, military • Humanitarian actors • Peacekeeping forces, incl. international police forces • Research institutions, academia • Development actors • Staff of respective organizations and agencies	• Affected populations and host communities • Sectoral partners • National and local governments • Development actors	• Communities (individuals, households, specific groups) • Established committees , incl. groups of community leaders • Community-Based Organizations, civil society and local NGOs • National social networks (e.g. youth groups; scouting groups) • Private sector (e.g. media and telecommunication companies) • Social media/news media

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