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# Exploring the feasibility of an enhanced monitoring program on human trafficking and slavery

Samantha Bricknell and Lauren Renshaw

AIC Reports  
Technical and  
Background Paper **59**



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# Acronyms

ABS	Australian Bureau of Statistics
AFP	Australian Federal Police
AIC	Australian Institute of Criminology
AIHW	Australian Institute of Health and Welfare
BVF	Bridging F visa
CDPP	Commonwealth Director of Public Prosecutions
CJSV	Criminal Justice Stay visa
CTM	Counter-Trafficking Module
DIBP	Department of Immigration and Border Protection
DUMA	Drug Use Monitoring in Australia
HTRS	Human Trafficking Reporting System
ICMPD	International Centre for Migration Policy Development
IDC	Interdepartmental Committee on Human Trafficking and Slavery
ILO	International Labour Organization
IOM	International Organization for Migration
NDICP	National Deaths in Custody Program
NHMP	National Homicide Monitoring Program
STPP	Support for Trafficked People Program
UNODC	United Nations Office on Drugs and Crime

# Executive summary

The implementation of measures to improve and standardise the collection of statistical information on human trafficking and slavery is listed as an Action Item in the Australian Government's National Action Plan to Combat Human Trafficking and Slavery 2015–19 (AGD 2015). The key outcome attached to this Action Item is the development of an enhanced monitoring program on human trafficking, slavery and slavery-like practices.

As part of its Human Trafficking and Slavery Research Program, the Australian Institute of Criminology (AIC) has undertaken an examination of the feasibility and logistics of monitoring human trafficking and slavery as it affects Australia and the options available to perform this monitoring activity. The ultimate purpose of the exercise was to:

- develop a conceptual framework and dataset that provides a more comprehensive description of human trafficking and slavery than is currently available; and
- determine if such a monitoring program is practical or whether other monitoring options should be considered.

The AIC determined six critical steps to fulfil the examination; that is:

- the establishment and refinement of a conceptual framework, indicator themes and associated indicators;
- a stocktake and evaluation of data that is collated from relevant government and non-government agencies;
- an assessment of the data that is needed to support information requirements;
- configuration of a proposed monitoring program—selected indicators and data sources;
- the development of a data collection tool and data specifications; and

- an assessment of the program's readiness for implementation, including pilot testing.

In this report, the findings from the first four steps of the development phase (defined as Phase One) are described, as well as alternative options for monitoring human trafficking and slavery. Phase Two, which will proceed if stakeholders opt for the enhanced monitoring program, will involve the development and pilot testing of the data collection tool(s) and associated processes.

## The conceptual framework

The conceptual framework was based on an Australian Bureau of Statistics (ABS) framework designed to establish areas of data requirement and monitoring for family, domestic and sexual violence (ABS 2013a). This framework was selected as an appropriate template as it treats crime as a process, incorporating broader themes around the environment in which the crime may occur, the actions used to prevent and respond to criminal activity, and the outcomes of these responses.

The framework comprises six conceptual elements, which were identified by stakeholders as equally relevant to monitoring the nature, extent and responses to human trafficking slavery. These and the associated themes are:

- **Context**—The contextual factors that describe the environmental (including attitudinal) and psychosocial factors that enable or counteract human trafficking and slavery occurring.
- **Risk**—The 'likelihood' that a person or persons may become a victim or offender. Risk incorporates actual risk (ie incidence or prevalence based on known or detected cases of human trafficking and slavery) and perceived risk (or the perception among an identified population (eg service providers, law

enforcement, the broader community) of the prevalence of human trafficking and slavery).

- Incident—The nature of the trafficking event and the victims and offenders involved. The trafficking event is described in terms of the action and means used to recruit, move, coerce, deceive, force etc victims of human trafficking and slavery and the exploitation experienced (eg location, duration, type of abuse, industry working in).
- Response—The type and source of informal and formal responses that are available to and sought by victims of human trafficking and slavery, and the nature and use of pathways of referral. Informal responses include those from family, friends, neighbours, other employees, clients etc. Formal responses comprise agencies and organisations involved in detection and prosecution, treatment and support, and prevention.
- Impacts and outcomes—The short and long-term effects on victims and offenders.
- Research and evaluation—Findings from external research and evaluation activities, and how these inform a more comprehensive understanding of human trafficking and slavery in Australia, and shape responses to these crimes.

## Data capabilities

Consultations were undertaken with selected government and non-government organisations identified as already collecting (and in most cases contributing) useable data on human trafficking and slavery. These stakeholders were identified as the most likely primary contributors to the proposed monitoring program and included the Australian Federal Police, Commonwealth Director of Public Prosecutions, Department of Foreign Affairs and Trade (AusAID at time of interview), Department of Immigration and Border Protection, Department of Social Services (Department of Family, Community Services and Indigenous Affairs at time of interview), the Australian Red Cross and Salvation Army Samaritan Accommodation. The purpose of the consultations was to gain an understanding of the type, method of collection and purpose of data collected by these agencies on human trafficking and slavery, how these mapped to the conceptual framework and the utility of these data for a monitoring program.

A number of key issues were discussed with stakeholders to determine the feasibility of an enhanced monitoring program.

### Data availability

Data availability was defined as whether particular data items were currently being collected by identified provider agencies and the suitability of these data to populate the conceptual framework. Most of the data collected fell within the conceptual elements of *Incident* and *Response*. These data represent what is largely recorded in administrative datasets and the purposes for these data; that is, operational and statistical reporting. Data on *Contextual Factors* and *Impacts* and *Outcomes* were largely missing or were in a form less easily compiled as part of a conventional data collection process. Data to measure *Risk* appeared available but were affected by the scope and representativeness of the available data (and the potential to under-count), and difficulties in linking data from different sources (and the potential to double-count individual cases or victims).

### Data consistency, comparability and completeness

Most data are recorded in standardised format and case records were described by stakeholders as largely complete, although episodic data entry did affect point-in-time completeness for individual records. However, the purpose for collecting these data and the recording practices used by individual agencies meant that data will not necessarily be comparable across agencies (thus affecting simplicity and reliability of aggregating multiple- source data) or consistent with data collected in the past.

A further and more significant issue is the absence of any formal mechanism to link data collected across different data systems. Formal linkage keys or unique identifier variables were not used in data systems at time of interview and there was limited scope to introduce such identifiers to data collections. The use of data linkage arrangements is dependent on the quality and comparability of data, and in human trafficking and slavery cases, provisions around victim confidentiality. An inability to link data can affect capacity to crossreference data across and within agencies, and introduces the risk of double-counting.

## Consideration for data provision

Conditions and logistics for data provision centred on issues of consent and privacy, the resources required for data providers to collate and prepare data, and current information-sharing arrangements. The need to preserve a victim's anonymity was of paramount importance to stakeholders in both the provision and presentation of victim data. Among some agencies, the release of victim data was dependent on a victim's consent, whereas for other agencies, concerns around small victim population numbers and the risk of identification affected the type of information that was likely to be transmitted.

The practicalities of data provision related to the system employed to record and extract data, and the resources available to commit to additional data preparation outside normal reporting functions. For the most part, there was a view that data provision would not necessarily be overly onerous (at least among those who recorded data electronically and with a useable data collection system), as long as data transmission was outside already mandated reporting timeframes and guided by specially designed data collection templates. The process would also benefit from the establishment of a formal information sharing agreement between data providers and data custodians, specifying conditions around data transmission, data storage and data use, including presentation of findings.

## The proposed indicators

A total of 100 indicators were identified that could be used to populate the conceptual framework. The indicators were assessed against three measures:

- that data for each indicators is routinely collected in Australian administrative or similar data sources;
- that data may be available from other sources (if not routinely collected); and
- the indicator is used in at least one international human trafficking and slavery data collection.

Thirty-four of the 100 indicators were determined to be the most feasible measures at present (ie data was currently being collected and the indicator had been tested in an international collection) and hence could be confidently included in the first iteration of a

monitoring program. Of these, 21 referred to the *Incident* element (one to *Action and means*, four to *Exploitation*, ten to *Victim* and six to *Offender*), 12 to the *Response* element and one to *Impacts and Outcomes*. These indicators described victim and offender characteristics, the exploitation experienced, criminal justice responses, visa status and some information on victim support.

## Options for monitoring human trafficking and slavery

At the time of consultation, there was in-principle commitment from stakeholders for the implementation of an enhanced monitoring program on human trafficking and slavery, with the AIC as the identified administrator and data custodian for the program if it proceeds. However, it was recognised that the realities of establishing and contributing to an enhanced monitoring program need further consideration, with a particular focus on the following factors. To proceed it must be shown that:

- there is a long-term benefit to the monitoring activity;
- there is long-term commitment on the part of contributors;
- the purpose and function of monitoring is understood by stakeholders; and
- the resources and effort in developing, administering and contributing to the monitoring program are achievable.

Three monitoring options are proposed and will be considered by stakeholders in Phase Two of development. These are:

- Maintain the status quo—Continue reporting on human trafficking and slavery through annual reports prepared by the Interdepartmental Committee on Human Trafficking and Slavery (IDC; eg IDC 2014). This method of reporting is already adhered to by most of the data providers identified in the study and requires no further resources on behalf of these agencies. The limitation to this approach is that the goal of collecting and presenting more comprehensive

data on human trafficking and slavery will not be achieved.

- Renew the original AIC monitoring report series—  
Recommence the AIC’s monitoring report series on human trafficking and slavery (see Joudo Larsen et al. 2012; Joudo Larsen, Lindley & Putt 2009) but augment with additional data and thematic analysis identified in this study. The limited scope of the monitoring report series and changes to the content to the IDC report in recent years, however, risks replication of effort between the two outputs and the former would benefit from a standardised data collection process that can be achieved with the third option.
- Develop and pilot a small-scale data collection—  
Develop and pilot test data collection tool(s) to collect data on the 34 indicators identified for

inclusion in the first iteration of the monitoring program. This process will ensure data collation, transmission, treatment and presentation is streamlined, and lead to the creation of a monitoring report with more context laden descriptions of human trafficking and slavery matters as they affect Australia.

There are both benefits and challenges attached to developing an enhanced monitoring program on human trafficking and slavery. Further consultation will be held with the Human Trafficking and Slavery Operational Working Group and more broadly, the IDC to confirm whether to proceed to the next stage of program development. This stage will comprise the development of data collection tool(s), data specifications and pilot testing the collection tools and data transmission processes.

# Introduction



One of the primary challenges for improving knowledge about human trafficking, slavery and slavery-like practices (herein referred to as *human trafficking and slavery*; see Table 1) is obtaining relevant and accurate data that can describe the nature and scale of human trafficking and slavery, and assist in the development and delivery of effective policies and interventions (Tyldum & Brunovskis 2005). Over the last decade:

[a]ttention for the subject of human trafficking has grown enormously...creating a need for more knowledge (including quantitative data) about the phenomenon in order to increase the effectiveness of efforts to prevent and combat human trafficking and to provide better protections for victims (Dettmeijer-Vermeulen 2012: 283).

The hidden nature of human trafficking and slavery, the complexity of the crimes associated with trafficking and slavery-like practices, and limitations with existing data collections has complicated the development of a uniform data collection that can accurately measure and monitor the different facets

of these crimes, the people involved (as victims, offenders or facilitating agents) and the responses enacted. The challenges in measuring and describing the nature and context of human trafficking and slavery in Australia was addressed in Wise and Schloenhardt (2014) in their examination of the variable estimates generated around prevalence.

Further complicating the development of such a data collection is the absence of an international standard for the measurement and collection of data on human trafficking and slavery (UNESC 2013). Inter-jurisdictional data is affected by variation in conceptual and operational definitions of human trafficking and slavery, while national systems often rely on data compiled from disparate data sources. While these issues are not unique to data on human trafficking and slavery, they can affect the reliability, utility and comparability of current data. The compilation of accurate (or rather complete) statistics on many aspects of human trafficking and slavery, both in Australia and internationally, have thus remained largely elusive.

**Table 1 Definitions of human trafficking, slavery and slavery-like practices**

*Human trafficking* is the physical movement of people across and within borders through coercion, threat or deception for the purpose of exploiting them when they reach their destination

*Slavery* is where a person exercises the rights the rights of ownership over another person

*Slavery-like practices* are practices involving exploitation so serious that they are considered similar to slavery. These include servitude, forced labour, deceptive recruiting, debt bondage and forced marriage

Source: IDC 2014

At present and outside of discrete research projects undertaken by the Australian Institute of Criminology (AIC) and others, data on human trafficking and slavery in Australia is largely captured in annual reports prepared for the IDC (see IDC 2014) and six monthly reports under the Whole-of-Government Performance Management Framework (see, for example, AGD 2014). These data, collected at the aggregate level, provide snapshots of information on investigations and prosecutions, government victim support and trafficking-related visas but not necessarily the detailed picture on the trafficking process identified as needed by stakeholders. This report considers how the scope, nature and responses to human trafficking and slavery in Australia might be better monitored and the data needed to support such monitoring processes.

## Background and purpose

Although a low-rate crime in Australia, the seriousness of human trafficking and slavery has led to the issue receiving national attention and has seen the development of enhanced anti-trafficking legislation and increased responses to investigate and prosecute offenders, and to support victims. In 2015, the Australian Government delivered the *National Action Plan to Combat Human Trafficking and Slavery 2015–19* (AGD 2015). Listed among the action items to the plan is the implementation of measures to improve and standardise the collection of statistical information on human trafficking and slavery. A key outcome attached to this action item is the development of an enhanced monitoring program on human trafficking, slavery and slavery-like practices.

As part of its Human Trafficking and Slavery (previously Trafficking in Persons) Research Program, the AIC undertook preliminary monitoring work,

including an assessment of the extent of the Australian Government's response to human trafficking and slavery, an audit of data recorded by various Australian Government and non-government bodies, and consultations with key stakeholders in the broader Asia–Pacific region to identify emerging trends and issues. Two monitoring reports were released, covering the periods July 2007–December 2008 (Joudo Larsen, Lindley & Putt 2009) and January 2009–June 2010 (Joudo Larsen et al. 2012). Both reports described current trends and issues concerning human trafficking in the Asia–Pacific region, an overview of Australian Government responses and the presentation of administrative data that was available on human trafficking and associated exploitation cases in Australia. The second report also described the findings of a Community Awareness and Attitudes on Trafficking in Persons survey the AIC conducted in 2010.

It was subsequently determined, in the preparation of the 2015–19 Action Plan, that the AIC explore the feasibility, logistics and options for the potential establishment of a formal monitoring program on human trafficking and slavery, based on an expanded conceptual representation of these crimes. The purpose of the exercise, described in this report, was to develop a monitoring framework that provided a more complete description of human trafficking and slavery as a process and to assess the availability and reliability of data collected in Australia that could be incorporated into the foundation data collection. If such a monitoring program could be established, it would contribute to:

- an improved understanding of how human trafficking and slavery is manifest in Australia;
- identifying key risks and protective factors to these crimes, and
- an evaluation of system responses.

## *The AIC's involvement in developing monitoring programs*

The AIC has had extensive experience in developing and administering monitoring programs on crime and criminal justice matters. Among the monitoring programs currently administered by the AIC are the National Homicide Monitoring Program (NHMP), the National Deaths in Custody Program (NDICP), the Drug Use Monitoring in Australia program (DUMA) and the Fraud Against the Commonwealth survey; previous and now concluded monitoring programs include the National Armed Robbery Monitoring Program and the National Firearm Theft Monitoring Program. The origins of these monitoring programs vary, although most were established in response to recommendations that there be a centralised collection of data on the specified topic to promote the dissemination of consistent statistics and inform policy responses. For example, the NDICP was established (in 1992) following the recommendation in the final report of the Royal Commission into Aboriginal Deaths in Custody (RCIADIC 1991) for an ongoing program to monitor Indigenous and non-Indigenous deaths in prison, policy custody and juvenile detention. The NHMP, the AIC's longest running monitoring program, began data collection in 1989–90 to fulfil a recommendation from the National Committee on Violence (1990: 218) for a 'national homicide monitoring system'.

With the exception of the DUMA, the AIC's monitoring programs source(d) data from government agencies, primarily (depending on the program in question) state and territory police services and/or custodial agencies, supplemented by additional sources of data where needed (eg in the case of the NHMP with data from the National Coronial Information Service). To establish these monitoring programs, the AIC followed standard data development protocols that comprised negotiations with data providers on the form, content and specifications of data collection tools, development and testing of data dictionaries, and options for data transmission in the event that data providers could not provide data in the agreed format. These processes were supported by executing formal undertakings or other agreements with data providers that outline purpose, receipt and use of data by the AIC. The primary output from these monitoring programs are the publication of an annual

or biennial report on most recent year findings and presentation of trend data where appropriate.

## **Methodology**

The development of an enhanced Human Trafficking and Slavery Monitoring Program is framed around six critical tasks:

- the establishment and refinement of a conceptual framework, indicator themes and associated indicators;
- a stocktake and evaluation of data that is collated from relevant government and non-government agencies;
- an assessment of the data that is needed to support information requirements;
- configuration of a proposed monitoring program—selected indicators and data sources;
- the development of data collection tool(s) and data specifications; and
- an assessment of the program's readiness for implementation, including pilot testing.

The first four steps (Phase One) constituted a feasibility analysis for the proposed monitoring program and is the focus of this report. The report also describes alternative options for monitoring human trafficking and slavery. Phase Two (steps five and six) is to proceed depending on final assessment of the findings from Phase One in consultation with stakeholders (the Human Trafficking and Slavery Operational Working Group and more broadly, the Interdepartmental Committee on Human Trafficking and Slavery). This phase will involve the development and pilot testing of the data collection tool(s). The following outlines the methods taken to fulfil Phase One.

## *Literature review*

A literature review was conducted to identify current measures, measurement frameworks and standardised data collections undertaken on human trafficking and slavery. These included various guidelines and handbooks prepared by the European Union, International Organization for Migration (IOM), the International Centre for Migration Policy Development (ICMPD), the International Labour

Organization (ILO), the Organization for Security and Cooperation in Europe, the Institute for International Research on Criminal Policy, the US Department of Justice and the Bundeskriminalamt (Germany). A complementary review examined best practice principles for data collection and monitoring more generally. This focused on guidelines established by the ABS and the Australian Institute of Health and Welfare (AIHW), and referred to monitoring program development at the AIC.

### *Development of the conceptual framework*

The conceptual framework for the monitoring program was based on a framework developed by the ABS to establish areas of data requirement and monitoring for family, domestic and sexual violence (see ABS 2013a). This framework was selected as an appropriate template as it treats crime as a process, incorporating broader themes around the environment in which the crime can occur, the actions used to prevent and respond to criminal activity and the outcomes of these responses. As is described later in this report, the framework incorporates the conceptual elements of context, risk, incident, response and impact/outcomes, which align with the four pillars of prevention, detection and investigation, prosecution and victim support, and rehabilitation upon which the Australian Government's anti-trafficking strategy rests.

Indicators were largely modelled on measures used in human trafficking data collections currently administered or in development elsewhere. It was established during the literature review that the most practical approach was to incorporate useful measures that had already been identified or tested and the majority of indicators were ultimately selected in this way. Some indicators, however, were developed based on themes that emerged from the broader literature on human trafficking and slavery and were considered important measures to monitor.

The framework and indicators underwent two stages of refinement based on:

- stakeholder feedback; and
- assessment of the feasibility of the proposed conceptual elements and indicators and the ultimate contribution they might make to a data collection.

### *Data stocktake*

Consultations were undertaken with selected government and non-government organisations identified as already collecting and contributing useable data on human trafficking and slavery, and hence the likeliest primary contributors to the proposed monitoring program. These agencies were the Australian Federal Police (AFP), Commonwealth Director of Public Prosecutions (CDPP), Department of Foreign Affairs and Trade (DFAT; at the time of interview, AusAid), the Department of Immigration and Border Protection (DIBP), Department of Social Services (DSS; at the time of interview, the Department of Family, Community Services and Indigenous Affairs), the Australian Red Cross and Salvation Army Samaritan Accommodation.

The purpose of the consultations was to gain an updated understanding of the type, method of collection and purpose of data collected on human trafficking and slavery in Australia, and ultimately the utility of these data for a monitoring program. Agencies were asked to provide, where possible, hard copies or screenshots of data collection tools to show the types of data items collected and any documents or guidelines outlining the data specifications and collection practices. Any potential issues in the provision of annual or biennial data were discussed, as were the steps required to establish a data sharing arrangement to service the monitoring program. The consultations also provided the opportunity to receive further feedback on the conceptual framework and the perceived benefits of the monitoring program for individual agencies.

### *Preliminary assessment for establishing a data collection tool*

Using the information gathered from the data stocktake, a preliminary assessment was made of data collection and utility issues, the degree of data consistency and completeness, and options for data linkage. These assessments were informed by consultation with data development experts from AIHW on the requisite steps and issues for consideration in developing a data collection tool. Data identified from the stocktake was in turn mapped against the conceptual framework to ascertain those elements that could be populated (ie

where data that was available for each element) and to highlight where information gaps existed.

A total of 100 potential indicators were identified on the basis of practicality, non-ambiguity and legitimate contribution to understanding the dynamics of, and responses to, human trafficking and slavery as it affects Australia. The second component of the assessment involved ranking the selected indicators in terms of the potential for routine collection and/or if they were already collected as part of other monitoring programs. The latter measure was used to denote validity and resulted in the identification of 34 indicators that might be considered for incorporation into the first iteration of the data collection.

## *Assessing options*

The final stage of Phase One was to consider options for future presentation of information on human trafficking and slavery. These considered the pros and cons of:

- maintaining the status quo, with the collation of data in the annual report of the IDC (see IDC 2014);
- augmenting existing AIC monitoring reports on human trafficking and slavery; or
- implementing processes to refine and establish a formal monitoring program, with the AIC as data custodian and administrator of the program.



# Data collection and monitoring: Summarising the challenges

The challenges in collating data on human trafficking and slavery in a form that does more than ‘stat(e) that trafficking is a problem’ (Lazcko 2005: 14) are well recognised (see, for example, Ali 2010; Aronowitz 2009; GAO 2006; Goodey 2008; Lazcko 2007, 2005; Lazcko & Gramegna 2003; Tyldum 2008; Tyldum & Brunovskis 2005; UN.GIFT 2008). As noted earlier, these challenges largely relate to the collection of reliable and complete data that can adequately address the complexities of these crimes and hence provide a fuller understanding of how it manifests and the appropriateness and adequacy of responses. Of equal importance is the means to consolidate this data to allow for the examination of patterns and trends, to promote ease of interpretation and to improve the dissemination of findings. As a prelude to describing the factors for consideration if a monitoring program on human trafficking and slavery was to be established, key themes that have emerged from developmental work undertaken elsewhere to improve data collection and monitoring of human trafficking and slavery are presented here.

## Challenges

Regardless of content or use, data on human trafficking and slavery must be relevant, regular, reliable, protected and turned into meaningful information (David 2007). The two main challenges

to reliable and accurate collection of data on human trafficking and slavery involve the nature of the crime itself and the nature of available data. The two are intrinsically linked, in that the nature of the crime can have a direct influence on the type and completeness of data available.

### *Nature of the crime*

Various elements of human trafficking, slavery and slavery-like practices hinder the collation of data that captures the scope of these crimes. These crimes are underreported, under-detected and under-prosecuted, with the majority of human trafficking and slavery victims and offenders largely hidden (Lazcko 2005; Tyldum & Brunovskis 2005). Low levels of reporting can be attributed to:

- the reluctance of victims to report their exploitation due to fearfulness of reprisals against themselves or their families;
- a lack of awareness of how or where to report the abuse;
- distrust of law enforcement and criminal justice authorities; and/or
- uncertainty as to whether a response will ensue and if that response will be favourable to them (eg the risk of deportation has been identified as a key reason for victims failing to report; Goodey 2008).

People may also be reluctant to identify as victims of human trafficking, slavery or slavery-like practices. This could be related to the stigma associated with being a victim of these crimes, or a lack of understanding about which practices amount to exploitation.

Low detection rates are also related to difficulties, particularly experienced by some of those who come into contact with victims, of understanding or interpreting the circumstances being presented to them as constituting human trafficking or slavery-like practices (see, for example, David 2010; Joudo Larsen et al. 2012; Richards & Lyneham 2014). Education and awareness training among frontline personnel, service providers and the broader community have likely improved identification but will continue to affect what is officially reported and recorded.

The covert nature of human trafficking and slavery also produces information that is subject to ‘institutional bias’ in that the information available is largely based on what is able to be derived from a mix of court transcripts, investigative material, countertrafficking agencies or relevant non-government organisations (Andrees & van der Linden 2005). While these data are often the only material available to illustrate the nature and extent of human trafficking and slavery, it must be recognised that they may be unrepresentative or constitute a somewhat misleading representation of these crimes, both in volume and practice.

### *Nature of the available data*

The other major challenge in monitoring human trafficking and slavery is the availability of data, and where data exists, its consistency and completeness. Other attempts to develop or enhance human trafficking and slavery monitoring programs, including the AIC’s previous monitoring reports, have described the range of obstacles commonly uncovered in developing data collection and indicator frameworks, including:

- a lack of comparable and consistent data;
- incomplete data;
- an absence of ongoing or uninterrupted data collection (ie absence of time series data);
- fragmented data collection systems;
- a lack of common definitions within and between existing data sources;

- inconsistent identification of victims across different data sources (eg victim services compared with law enforcement data);
- a narrow spectrum of human trafficking and associated exploitation scenarios captured in the data;
- double counting within and between existing data collection systems; and
- deficiencies in information sharing.

It is important, however, to separate the challenges involved in international versus domestic data collection. Internationally, a key issue for data collections is the lack of specific human trafficking and slavery legislation in some jurisdictions (UN.GIFT 2008) and where legislation does exist, the lack of consistency in terminology used within legislation and policy (see, for example, Stefanizzi 2007 and the focus of human trafficking legislation in some countries on sexual exploitation). This can detrimentally affect the capacity for valid comparisons of official data at an international and regional level. The provision of a detailed definition of human trafficking within the UN Trafficking Protocol has been an important step in addressing this inconsistency (Kangaspunta 2007), with Member States obliged to introduce legal definitions consistent with the Protocol definition. However, the UN Protocol’s definition of trafficking has its limitations. It identifies human trafficking as a process that involves three stages (action, means and purpose), introducing a wide range of situations that may not always be picked up (Laczko & Gramegna 2003). In addition, the Protocol does not provide a definition of ‘exploitation’ per se but instead outlines the minimum conditions that constitute exploitation. Some of these conditions however, such as the ‘exploitation of the prostitution of others’, are open to interpretation by ratifying States. This is less the case for the definition of slavery, with a definitive delineation of slavery outlined in the Slavery Convention.

Domestically, data collection on human trafficking is often fragmentary in content and purpose, and in Australia this is no exception (Joudo Larsen et al. 2012; Joudo Larsen, Lindley & Putt 2009). Data collection generally occurs at points of contact with immigration, law enforcement, victim or migrant services. These data are collected with different objectives and variable processes in collating and recording information has resulted in a lack of

standardised and systematic compilation of data across collection points. This potentially affects the validity and comparability of both time series data and data sourced from different collections. Not only does the fragmentary nature of the available data create difficulties in constructing a harmonised database, it also increases the risk of double counting incidents, victims and offenders, as well as describing characteristics on a narrowly defined population group.

The domestic definition of human trafficking has also evolved with time. In trend analysis, long-term data collection of comparable variables and outcomes must be attained in order to create an accurate view of the dynamism of the crime, such as changes in offenders' modus operandi, victims' country of origin, trafficking routes and methods of entry. This provides a finite timeline in which monitoring human trafficking and slavery can begin with validity.

## Addressing data challenges: Best practice principles

The challenges to reliable and accurate data collection can be dealt with on two levels. The first is to identify the data items collected by different sources, determine which items are best suited to the purpose of monitoring and to foster the dissemination of existing data by implementing new or reviving lapsed data sharing arrangements as a first step to collation. The second is to improve future methods of collection by identifying where information gaps exist, standardise definitions for data items and develop data provider and custodian protocols to streamline collection practices and purposes. Before these steps can be taken, however, there needs to be an assessment of what constitutes good human trafficking and slavery data, rather than merely assembling whatever is available. David (2007) identified four 'best practice' principles to guide the improvement of data on human trafficking. These principles stipulate that data be relevant, regular and reliable, protected and turned into information and knowledge. While these principles were developed largely to inform the creation and maintenance of individual, agency-specific data collections, they are equally pertinent

to the establishment of a monitoring dataset. These data qualities are summarised below.

### *Relevant data*

Data must be relevant to the purpose of collection (David 2007). The objectives of data collection and monitoring, and in due course the intended analysis and knowledge expected to be gained from that analysis, need to be clearly outlined in order to identify which data are most relevant. There is also the need to identify what data are available, the original purpose and scope of these data, and how these data might be interpreted. Finally, it is important to determine the appropriate unit of observation and the appropriate unit of analysis (ABS 2013a, 2013b; Aronowitz 2009) for any variable included in the final dataset.

### *Regular and reliable data*

To be relevant, data should be timely. The data collected and reported must be current and therefore reflect existing situations, particularly if the purpose of collection is to inform policy and operational requirements. For this to be attained, data collection must be consistent and regular.

Any collection of data must be underpinned by precise definitions and clear collection standards that are well documented in their implementation. The best practice method for information to be turned into reliable and valid data is to construct a coding frame (ie structure of variables and subcategories) outlined in a codebook, data dictionary or similar (Ekblom 1988). A data dictionary defines collected variables, specifies response items and outlines the data input process. Additional measures that ensure the reliability of data includes systematic cross-checking of coding sequences and data frequencies to identify and address any errors made during the collection or input stage.

### *Protected nature of the data*

The confidential nature of data, particularly victim data, is an issue relevant to any data collection on human trafficking and slavery. As noted by David (2007), inadvertent release of personal information can have consequences for the persons or agencies

the information was collected from or about, as well as potentially having broader implications for anti-trafficking efforts. Issues of confidentiality and the protection of data will be addressed in a later section but preferably, collated data should be de-identified and consist only of personal information items that are genuinely essential to the monitoring effort.

### *Meaningful analysis and implementation of systematic collection*

The identification of trends, examination of long-term comparisons and the monitoring of change in the human trafficking and slavery process, and the actors within this process, is vital for the formation of a realistic picture of these crimes and the appropriate evaluation of responses. Ideally, data from various sources needs to be collated following best practice principles (such as those outlined above) and recorded in a centralised database for this analysis to be achieved. The aim is to have an efficient and consistently updated dataset—a ‘single national data pool’ (Aronowitz 2009: 38)—from which data can be easily extracted, analysed and ‘turned into information’ (David 2007: 8). Administration of the dataset by a ‘single institution...responsible for storing, processing and analysing the collected data’ (Aronowitz 2009: 38) represents the most practical option, albeit one dependent on the practicality of sourcing and compiling data from multiple sources. Such an arrangement, where supported by an information-sharing covenant, streamlines data transmission, protects data maintenance and moderates issues with data aggregation and statistical treatment.

## Current measures

Current measures to monitor human trafficking and slavery have focused on developing tools to

standardise and enhance existing operational data that is collected by various international, government and non-government agencies. The European Commission, United Nations Office on Drugs and Crime (UNODC) and other international organisations such as IOM and ILO have been at the forefront of collating global and regional data on human trafficking and slavery. On a state basis, the United States, the Netherlands and Germany, among others, have also initiated actions, in different guises and for different purposes, to collect data on identified cases of human trafficking. Some examples of current or proposed data collection tools on human trafficking and slavery are shown in Table 2 and described in more detail below.

Byproducts of these measures include the construction and use of tools such as data collection guidelines and minimum datasets (see, for example, ICMPD 2010, 2009; ILO 2012). In addition, templates (as part of a suite of IT resources) have been developed for operational use among European government and non-government agencies, and organisations. These templates enable a range of agencies to input information about human trafficking incidents according to variables that reflect identified indicators of human trafficking, slavery and slavery-like practices (see Vermuelen & Paterson 2010). The development of interview procedures, for example, the screening interview form used by IOM to collect data on trafficked victims for their Counter-Trafficking Module database (CTM), is another tool constructed specifically for the collection of data.

These procedures facilitate the consistent and regular input of data that is in accordance with standardised definitions. They also provide a mechanism to share comparable data between countries and regions, and provide a framework for organisations to understand human trafficking according to a consistent definition. Further, the use of templates aids the procedure of crosschecking and validating information by providing a comparable structure to store information (including the source of information).

**Table 2 Selected data collections on human trafficking and slavery**

Organisation/country	Name of data collection/indicator set	Type of collection	Level of collection	Status
IOM	Counter Trafficking Module (CTM) Database	Statistical	Regional	Ongoing
ICMPD	Data Collection and Harmonised Information Management Systems (DCIM & DCIM-EU)	Statistical	Regional	Trialled
ILO	Operational indicators of Trafficking in Human Beings	Information and statistical	Global	Ongoing
US Department of Justice (US DoJ)	Human Trafficking Reporting System (HTRS)	Statistical	National	Ongoing
Institute for International Research on Criminal Policy (IRCP)	SIAMSECT and MONTRASEC—Human Trafficking Reporting System	Statistical	Regional	Trialled
UNODC	Global Report on Trafficking in Persons	Information and Statistical	Global	Ongoing
National Rapporteur on Trafficking in Human Beings (the Netherlands)	National Rapporteur on Trafficking in Human Beings	Statistical	National	Ongoing
Germany	Bundeskriminalamt: National Situation Reports on Trafficking in Human Beings	Statistical	National	Ongoing
European Commission	EUROSTAT Trafficking in Human Beings	Statistical	Regional	Ongoing
UNODC	Case Law Database	Information and statistical	Global	Ongoing

The following briefly describes select international examples of data collections maintained or proposed to collect information on human trafficking and slavery. A comparison of indicator selection across these data collections is shown in *Appendix A*.

### *IOM Counter Trafficking Module database*

The IOM CTM database registers information gathered from the organisation’s interactions with human trafficking victims via their regional direct

assistance, voluntary return and reintegration programs. The data are obtained from standard interview forms used in the *Screening and Assistance* questionnaire to populate a core set of 18 indicators that represent the ‘...very minimum base to assist in the screening process that determines whether a person has been trafficked’ (Aronowitz 2009: 45). These indicators are used to describe victim and offender profiles (see Table 3), pathways and movement, means of coercion, control and exploitation, and responses from the criminal justice system and support services.

**Table 3 IOM CTM database indicators**

Theme	Indicator
Victim of trafficking profile	Gender
	Age
	Citizenship
	Ethnicity
	Marital status
	Children
	Education
	Socioeconomic status
Trafficking process	Entry into migration/trafficking process
	How individual entered the process
	Recruitment status
	Method of contact initiated between victim and recruiter
	Profile and functions of traffickers
	Means of control
	Movement process
Exploitation	Type of exploitation
	Length of exploitation
	Means of control
Response to the victim	Referral mechanism
	Types of assistance to victim and family
	Law enforcement action

Source: Aronowitz 2009

In partnership with the Federal Ministry of the Interior of Austria, IOM developed guidelines for the collection of data on victims of human trafficking, which proposed the use of the core indicator set to promote comparability and established data requirements to populate these indicators (Aronowitz 2009). Those data recommended for inclusion in a minimum dataset are listed in Table 4. The guidelines also describe additional variables to be included in a more comprehensive data collection.

**Table 4 IOM recommendations for a minimum dataset**

Theme	Data items
Victims	Individual victims
	Gender
	Age at time when exploitation began
	Nationality
	Country of birth
	Country of origin
	Country of recruitment
	(Legal) status in country of exploitation

Table 4 IOM recommendations for a minimum dataset cont.

Theme	Data items
	Type of exploitation
	Retrafficked victim
	Annual total number
	Number of victims identified
	Number of victims refused assistance
	Number of victims declining assistance
	Number of victims accepting assistance
	Number of victims receiving temporary or permanent residence permits
	Number of victims repatriated (from-to and to-from)
Traffickers	Individual traffickers
	Gender
	Nationality
	Country of birth
	Age at time of committing crime
	Prior status as a victim
	Legal status in country at time of committing crime
	Member of network or organised crime group
	Annual total number
Trafficking process	Type of recruitment
	National borders crossed (travel routes)
	Forms of border crossing
	Use of fraudulent documents
	Type of exploitation
	Means of control over victim
	Countr(ies) of exploitation
Criminal justice responses	Number of persons arrested
	Number of persons charged/charges
	Number of persons prosecuted/charges prosecuted under
	Number of persons conviction/charges convicted for
	Number of persons acquitted/of which charges
	Number of persons involved in claim for asset confiscation
	Sentences
	Number of investigations started
	Number of investigations successfully completed
	Number of victims cooperating with law enforcement
	Number of victims testifying in court
	Number of victims filing claim for compensation

Source: Aronowitz 2009

## *ICMPD Data Collection and Harmonised Information Management Systems (DCIM and DCIM-EU projects)*

The ICMPD, associated with the European Union Data Collection and Harmonised Information Management Systems, undertook a project investigating best practice data collection, management and analysis of human trafficking data in selected European countries. The DCIM and DCIM-EU projects arose from the recognition that there were critical issues with data on victims and ‘traffickers’, and a need to achieve a higher standard of data that was available, reliable, standardised and sustainable (ICMPD 2009).

The aim of the DCIM and DCIM-EU projects was to build the competence of specified countries in the collection of victim-based and offender-based data on human trafficking, with the overall intent to support, facilitate and measure the effectiveness of government and inter-government action plans on combating human trafficking (ICMPD 2010, 2009). The resultant handbooks—one for project implementation in 10 South Eastern European countries (ICMPD 2010) and the second for the Czech Republic, Poland, Portugal and the Slovak Republic (ICMPD 2009)—provide a

guide on methods of data collection, transmission, validation, protection and storage, and a recommended catalogue of data variables for inclusion in a victim-based or offender-based data collection. The handbooks were intended for use by institutions that undertook the actual collection, analysis and reporting of data on human trafficking victims and offenders, as well as institutions that may provide data for analysis as part of a larger data collection. While the context for the projects was to target government institutions, it was anticipated that the handbooks would also act as a helpful resource for other anti-trafficking actors working with data collection and management systems, from both criminal justice and victim protection, and assistance perspectives (ICMPD 2010, 2009).

Victim data should be collected on ‘identified’ victims of trafficking. Data on traffickers should focus on individuals who have a trafficking or related charge registered against them, either in the form of a complaint or an actual arrest (ICMPD 2010). A list of the suggested variables to be collected in a victim and offender-based database is shown in Tables 5 and 6 respectively. Victim variables annotated with an asterisk are those recommended by the ICMPD for inclusion in a minimum data set on victims.

**Table 5 Data items for inclusion in victim-based database (DCIM and DCIM-EU)**

Theme	Data items
Case registration	Registering entity*
	Date when case registered
	Source of information*
Victim's background	Gender*
	Date of birth and/or age
	Education level
	Citizenship*
	Country of residence
	Area/region of origin
	Demographic setting
	Marital status when trafficked
	Marital status when detected/flagged or identified
	Number of children when trafficked
Contributor to household income before trafficking	
Activity at recruitment*	

**Table 5 Data items for inclusion in victim-based database (DCIM and DCIM-EU) cont.**

Theme	Data items
Recruitment experience	Motivation for migrating/leaving home
	Age/date at recruitment
	Country of recruitment
	Means of recruitment/entry into trafficking*
	Victim's relationship to recruiter
	Gender of recruiter
	Recruiter's citizenship
	Recruiter's country of residence
Transportation and travel routes	Proposed destination country at residence
	Means of transportation
	Border crossings
	Use of documents
Exploitation experience	Attendance of traffickers during travel/transportation
	Forms of trafficking/exploitation*
	Forms of control when trafficked*
	Date when trafficking exploitation began
	Legal status (in national territory) at time identified as a victim
	Date exited trafficking/exploitation
	Means of exit from trafficking/exploitation
	Previous experience of trafficking
	Year of previous trafficking/exploitation*
	Form of previous trafficking/exploitation
	Country of previous trafficking/exploitation
Identification, assistance and cooperation	Identification/assistance during previous trafficking
	Country/district/place of residence at current country
	Country/district/place of activity at current country
	Location where victim was detected/identified*
	Assistance received*
	Date entered assistance*
	Date exited assistance*
	Type of assistance
	Transferred to other service providers
	Received services in the past*
	Legal status in the national territory at the end of assistance
Statement to police	
Testifying in legal proceedings against the trafficker	

**Table 5 Data items for inclusion in victim-based database (DCIM and DCIM-EU) cont.**

Theme	Data items
	Protection pre, during or post trial
	Victim compensation*
	Return to country of origin*

Source: Adapted from ICMPD 2010

**Table 6 Data items for inclusion in offender-based database (DCIM and DCIM-EU)**

Theme	Data items
Case registration	Registration number/code
	Trafficker's name
	Date when case registered
	Source of information
Alleged/convicted trafficker's background	Gender
	Date of birth and/or age
	Citizenship
	Country of residence
	Area/region of origin
	Role in the trafficking chain
Investigation phase	Date case initiated
	Location where case initiated
	Initiation method
	Date investigation commenced
	Date investigation completed
	Date of arrest
	Charges at arrest
	Type of trafficking exploitation
	Number of victims involved
	Number of victim statements
Trial phase	Location of court and crime process
	Date when crime process entered the trial process
	Date when crime process ended in the first court
	Charges at trial
	Trial outcome
	Type of sentence imposed at trial
	Duration of sentence (at trial)
Fine imposed (at trial)	
Appeal process	Conviction appealed
	Date appeal commenced

**Table 6 Data items for inclusion in offender-based database (DCIM and DCIM-EU) cont.**

Theme	Data items
	Date appeal concluded
	Grounds for an appeal
	Petitioner of appeal
	Result of an appeal process
	Sentence imposed (at appeal)
	Duration of appeal sentence
	Fine amount (at appeal)
Post-trial phase	Final sentence implementation
	Victim compensation orders

Source: Adapted from ICMPD 2010

### *International Labour Organization’s operational indicators of trafficking in human beings*

One of the most well recognised indicator sets relating to human trafficking was developed by ILO, in conjunction with the European Commission, to measure the extent of trafficking of adults and children for labour and sexual exploitation (see ILO 2009). The operational indicators were developed through the application of the Delphi methodology, which sought widespread expert opinion to form consensus on indicator content and definition. A total of 67 indicators were identified, applying to the labour exploitation or sexual exploitation of adults or children. Indicators are graded according to whether they represent a strong, medium or weak indicator of deceptive recruitment, coercive recruitment, recruitment by abuse of vulnerability, exploitative conditions of work, coercion at destination and abuse of vulnerability at destination. These represent six dimensions of the human trafficking definition. For a victim to be assessed as a potential victim of trafficking, the following must be recorded:

- two strong indicators;
- one strong indicator and one medium or weak indicator;
- three medium indicators; or
- two medium and one weak indicator.

An example of these indicators is shown in Table 7, which lists indicators of trafficking of adults for labour exploitation.

**Table 7 ILO indicators of trafficking of adults for labour exploitation**

Dimension	Indicator strength	Indicator
Deceptive recruitment	Strong indicator	Deceived about the nature of the job, location or employer
	Medium indicators	Deceived about conditions of work
		Deceived about content or legality of work contract
		Deceived about family reunification
		Deceived about housing and living conditions
		Deceived about legal documentation or obtaining legal migration status

Table 7 ILO indicators of trafficking of adults for labour exploitation cont.

Dimension	Indicator strength	Indicator	
Coercive recruitment	Weak indicator	Deceived about travel and recruitment conditions	
		Deceived about wages/earnings	
		Deceived through promises of marriage or adoption	
		Deceived about access to education opportunities	
		Violence on victims	
		Abduction, forced marriage, forced adoption or selling of victim	
		Confiscation of documents	
		Debt bondage	
		Isolation, confinement or surveillance	
		Threat of denunciation to authorities	
		Threats of violence against victim	
		Threats to inform family, community or public	
		Violence on family (threats or effective)	
		Withholding of money	
Recruitment by abuse of vulnerability	Medium indicators	Abuse of difficult family situation	
		Abuse of illegal status	
		Abuse of lack of education	
		Abuse of lack of information	
		Control of exploiters	
		Economic reasons	
		False information about law, attitude of authorities	
		False information about successful migration	
		Family situation	
		Personal situation	
		Psychological and emotional dependency	
		Relationship with authorities/legal status	
		Weak indicators	Abuse of cultural/religious beliefs
			General context
			Difficulties in the past
			Difficulty to organise travel
		Exploitation	Strong indicator
Medium indicators	Bad living conditions		
	Hazardous work		
	Low or no salary		
No respect of labour laws or contract signed			

Table 7 ILO indicators of trafficking of adults for labour exploitation cont.

Dimension	Indicator strength	Indicator	
Coercion at destination		No social protection	
		Very bad working conditions	
	Weak indicators	Wage manipulation	
		No access to education	
	Strong indicators	Confiscation of documents	
		Debt bondage	
		Isolation, confinement or surveillance	
		Violence on victims	
		Medium indicators	Forced into illicit/criminal activities
			Forced tasks or clients
			Forced to act against peers
			Forced to lie to authorities, family etc
			Threat of denunciation to authorities
			Threat to impose even worse working conditions
Abuse of vulnerability at destination		Weak indicator	Threats of violence against victim
			Under strong influence
	Medium indicators	Violence on family (threats or effective)	
		Withholding of wages	
		Threats to inform family, community or public	
		Dependency on exploiters	
		Difficulty to live in an unknown area	
		Economic reasons	
		Family situation	
		Relationship with authorities/legal status	
Weak indicators	Difficulties in the past		
	Personal characteristics		

Source: ILO 2009

More recently, ILO (2012) developed survey guidelines for estimating the incidence of forced labour among adults and children. The guidelines describe the four dimensions of forced labour as (ILO 2012: 14–15):

- unfree (forced or deceptive) recruitment;
- work and life under duress (ie the experience of ‘adverse work or living situations imposed upon a person by the use of force, penalty or menace of penalty’);
- impossibility of leaving the employer; and
- penalty or menace of penalty (or means of coercion applied to the victim and or their family, including

threat and violence, restriction of freedom of movement, debt bondage, withholding wages, retention of passport and abuse of vulnerability).

The indicators are categorised to represent the three phases (or first 3 dimensions outlined above) through which a trafficker may coerce a victim. As for the ILO trafficking indicators, indicators of forced labour are ranked according to their ‘strength’ of relationship—in this case to involuntariness and penalty. An example of indicators measuring ‘impossibility of leaving the employer’ for adult victims of forced labour is given in Table 8.

**Table 8 ILO indicators of forced labour for adults: Impossibility of leaving the employer**

Indicators of involuntariness	
Indicator strength	Indicator
Strong indicator	Reduced freedom to terminate labour contract after training or other benefit paid by employer
	No freedom to resign in accordance with legal requirements
	Forced to stay longer than agreed while waiting for wages due
	Forced to work for indeterminate period in order to repay outstanding debt or wage advance
Indicators of penalty	
Indicator strength	Indicator
Strong indicator	Denunciation to authorities
	Confiscation of identity papers or travel documents
	Imposition of worse working conditions
	Locked in work or living quarters
	Sexual violence
	Physical violence
	Other forms of punishment (eg deprivation of food, water, sleep)
	Removal of rights or benefits
	Religious retribution
	Under constant surveillance
	Violence imposed on other workers in front of all workers
	Withholding of assets (cash or other)
	Withholding of wages
	Threats against family members
Medium indicator	Dismissal
	Exclusion from future employment
	Exclusion from community and social life
	Extra work for breaching labour discipline
	Financial penalties
	Informing family, community or public about worker's current situation (blackmail)

Source: ILO 2012

## US Department of Justice's Human Trafficking Reporting System

The Human Trafficking Reporting System (HTRS) is an incident-based collection system, which collects data on human trafficking cases investigated by Bureau of Justice Assistance-funded human trafficking task forces (Kyckelhahn, Beck & Cohen 2009). The HTRS was developed to meet a stipulation under the *Trafficking Victims Protection Reauthorization Act of 2005* that there be 'biennial reporting on the scope and characteristics of human trafficking in the United States, using available data from state and local authorities' (Banks & Kyckelhahn 2011: 2). For the purposes of the HTRS, human trafficking is defined as:

the recruitment, harbouring, transportation, provision or obtaining of a person for one of three purposes: labor or services, through the use of force, fraud, or coercion for the purposes of subjection to involuntary servitude, peonage,

debt bondage, or slavery; a commercial sex act through the use of force, fraud, or coercion; any commercial sex act, if the person is under 18 years of age, regardless of whether any form of coercion is involved (Kyckelhahn, Beck & Cohen 2009: 14).

Data has been collected on human trafficking incidents, arrests, prosecutions and imprisonment since 2008, where an incident is defined as:

...any investigation into a claim of human trafficking, or any investigation of other crimes in which elements of potential human trafficking were identified (Banks & Kyckelhahn 2011: 2).

All incidents are retained in the HTRS, irrespective of whether they are ultimately substantiated as a case of human trafficking. Two reports have been published using HTRS data (see Banks & Kyckelhahn 2011; Kyckelhahn, Beck & Cohen 2009). Table 9 lists the data items from the HTRS described in these reports.

**Table 9 Key data items in the Human Trafficking Reporting System**

Theme	Data items
Incident	Status (open/closed)
	Type of human trafficking (sex trafficking, labour trafficking, other, unknown)
	Lead investigating agency (law enforcement, victim advocacy, human services, regulatory agency, unknown)
	Number of known victims
	Type of location
	Confirmed case (yes/no/pending)
	Number of known suspects
Victims	Gender
	Age
	Citizenship (US citizen, US national, permanent resident, undocumented alien, qualified alien)
	Race/Hispanic origin
Suspects	Gender
	Age
	Citizenship
	Race/Hispanic origin
	Type of arrest (federal/state)
	Charges filed
	Current status of case

Source: Banks & Kyckelhahn 2011; Kyckelhahn, Beck & Cohen 2009

## IRCP SIAMSECT and MONTRASEC Projects

The SIAMSECT and MONTRASEC projects represent two stages of development work to improve the collection of ‘reliable and comparable... indicators and other relevant data’ by European Union countries on missing and sexually exploited children, and trafficking in human beings (Vermeulen & Paterson 2010: 14). The SIAMSECT project, undertaken by the IRCP in collaboration with the Joint Research Centre on Transnational Crime (Transcrime), explored the definitions and range of data items for inclusion in standardised, interlinked templates to collect data on trafficking, sexually exploited children and missing children. Two of the objectives for designing the

templates were to produce comparable data and promote ‘communication and cooperation’ between reporting entities and Member States (Vermeulen & Paterson 2010: 15). The MONTRASEC project involved the development of an IT tool that could be used by law enforcement, criminal justice, non-government, and social and labour inspection agencies to record information on cases of missing or sexually exploited children, or human trafficking. It also involved the development of a report sheet that could be used by National Rapporteurs’ for Trafficking in Human Beings, and formed the basis of intercountry comparison of the nature and extent of human trafficking across the European Union. Data items included in entry forms for recording cases of human trafficking are shown in Table 10.

**Table 10 Key data items in the Human Trafficking Reporting System**

Events	Data items
<b>Activities</b>	
	Recruitment
	Transportation
	Transfer
	Harbouring
	Receipt of persons
<b>Recruitment</b>	
Date	Period of the event
Manner of initiation of contact	Personal contact
	Newspaper advertisement
	Radio advertisement
	Internet advertisement
	Television advertisement
	Sold by family member
	Kidnapped
	Other
<b>Transportation and transfer</b>	
Duration of transportation	Duration
Means of transport used	Includes car, bus, train, boat, airplane
Nations crossed	Country of origin
	Country(s) transited
	Country of transition
Borders crossed	Green border/Blue border/unknown

**Table 10 Key data items in the Human Trafficking Reporting System cont.**

Exploitation in the transportation	Exploitation during transportation
Type of exploitation	Type of exploitation (includes sexual/labour/other)
<b>Harbouring and receipt</b>	
Place(s) of harbouring	Includes apartment/private dwelling, hotel/motel, camping area, place of exploitation
<b>Exploitation</b>	
Duration of exploitation	Duration
Sexual exploitation	Experienced sexual exploitation
Type of sexual exploitation	Includes prostitution, child prostitution, pornography, sex tourism, other
Place of sexual exploitation	Includes outdoor, indoor (apartment, brothel, sauna, club, hotel/motel, pub/bar), call girls/escort service, other
Labour exploitation	Experienced labour exploitation
Type of labour exploitation	Includes slavery, compulsory work, bonded labour
Sector of labour exploitation	Includes agriculture, industry, commerce, services, private, leisure
Other forms of exploitation	Other forms of exploitation
Type of other exploitation	Includes begging, low-level criminality, street selling, removal of organs, military service, illegal adoption, other
<b>General characteristics of the event</b>	
Modus operandi	Misuse of position or of position of vulnerability
	Administration of drug/medication
	Abduction
	Restrictions on freedom of movement allowed
	Takes documents away from victim
	By means of deception
	Promise of marriage/engagement
	By means of force/threat or other forms of coercion
	Through debt bondage
	Giving or receiving payments or benefits to achieve the consent of a person having control over another person
	Continuous control over the victim
	Agreement with the author
	Sale of person into ownership of another
	Other
<b>Victim</b>	<b>Data item</b>
Personal data	Name/alias/nickname
	Sex
	Date of birth
	Country of birth
	Place of birth
	Nationality

**Table 10 Key data items in the Human Trafficking Reporting System cont.**

	Fingerprints
	Criminal record
	Marital status
	Structure of the family or origin
	Number of children
	Education
	Status towards immigration legislation (includes residence permit, asylum seeker, refugee, irregular migrant, tourist)
<b>Information on the pre-departure situation</b>	
Living situation	Person victim was living with
Country or residence	Country of residence
Place of residence	Place of residence
Income	Occupation
Economic status	Victim's perception of economic status
Motives to migrate	Improve economic status
	Searching a better future
	Political instability in country of origin
	Personal relationship with recruiter
	Other
<b>Information on transport/exploitation</b>	
Liaison between victim(s) and author(s)	Identity of liaison
Role or profession of victim	Sexual exploitation (eg escort/call girl)
	Labour exploitation (eg au pair/construction sector/employee in textile sector)
	Other forms
<b>Transportation/exploitation</b>	
Money requested/paid	Victim is 'sold'
	Price paid for victim
	Victim's debt towards authors
Personal documents	Seizure of documents at arrival (yes/no)
	Includes work permit, identity card, passport, driving licence, visa, birth certificate, marriage certificate, residence permit, other, no documents used
	Use of forged documents
Revictimisation	Includes work permit, identity card, passport, driving licence, visa, birth certificate, marriage certificate, residence permit, other, no documents used
	Revictimised (yes/no)
	Revictimised—same crime (yes/no)
	Revictimised—same area of exploitation
	Area of exploitation
Average income from exploitation	Average daily income from sexual exploitation

**Table 10 Key data items in the Human Trafficking Reporting System cont.**

	Average income from other forms of exploitation
	Average monthly income from labour exploitation
	Income received for removal of organs/illegal adoption
Background of victim's clients	Includes local, internationals, military, police, civilians
<b>Assistance to victims</b>	
First assistance referral	Includes police, judicial office, NGO, government organisation, hospital or medical facilities, individual, hotline, outreach services, other
Institution providing assistance	Institution type
Kind of assistance provided	Includes self-employment, vocational training, grant scheme, micro-credit, job referral subsidised employment, education, legal counselling, medical referral or assistance, temporary residence permit, covering documents, family support, housing, shelter
Assistance provided for return to origin country	Includes temporary safe accommodation, facilitation of visa/travel documents, travel arrangements, disbursement of travel/reinstallation grant, risk assessment on country of origin, securing of temporary documents
	Place the victim can go (includes family, friends, partner, NGO, government organisation, alone, no place)
	Means of supporting (includes family, job, NGO, government organisation, no support)
Intention of the victim upon return	Intention (includes return to school, return to previous job, find another job, find a legal job, abroad, travel abroad, unknown)
<b>Author</b>	<b>Data item</b>
Personal data	Name/alias/nickname
	Sex
	Date of birth
	Country of birth
	Place of birth
	Nationality
	Country of residence
	Place of residence
	Fingerprints
	Criminal record
	Record for trafficking
	Marital status
	Education
	Income
Status towards immigration legislation	
<b>Information on transport/exploitation process</b>	
Organised criminal group	Part of organised criminal group
	Number of members in group
	Role in group (includes head, active member, external cooperator)

**Table 10 Key data items in the Human Trafficking Reporting System cont.**

Role in commission of event	Includes recruiter, passeur, driver, premises owner, photographer, impresario, pimp, door waiter, movie director, entrepreneur, contractor, middleman, other
Relationship author-victim	Transporter is also final exploiter
	Number of victims had contact with
	Fellow citizen with majority of victims

Source: Adapted from Vermeulen & Paterson 2010

## *UNODC Global report on trafficking in persons*

UNODC has prepared three global reports on human trafficking. The first report, which includes data from 155 countries covering the period 2003–07, was developed from a global data collection exercise, commenced under the framework of the United Nations Global Initiative to Fight Human Trafficking (UNODC 2009). The purpose of this data collection was to provide a ‘systematic global mapping of the existing official data’, allowing the international community access to a repository of current data and an overview of the state of the world’s response to human trafficking (Lemay 2008: 3). Data were collected on the status of legislative and administrative frameworks, criminal justice responses (including number of investigations, arrests, prosecutions and convictions) and victim services (number of victims identified by authorities and number of victims given shelter by relevant service providers).

The second report, presenting data from 132 countries mostly for the period 2007–10, is the first in a biennial series on the global, regional and national ‘manifestation’ of human trafficking, and responses to trafficking (UNODC 2012). This series followed the UN General Assembly’s adoption in 2010 of the UN Global Plan of Action to Combat Trafficking in Persons and a request from the General Assembly that the UNODC undertake regular data collection and reporting on human trafficking.

Information was sourced from government and non-government organisations. The 2012 report differed from the 2009 report by collating data from a questionnaire distributed to government agencies and using results from the UN Survey of Crime Trends and Operations of Criminal Justice Systems

(see UNODC 2013), as well as obtaining publicly available information recorded by government and non-government entities. Topics described in one or both of these reports include:

- gender, age and nationality of victims;
- type of exploitation;
- gender and nationality of offender;
- incidence of domestic, regional and transnational trafficking;
- number and rate of convictions; and
- proportion of states with full, partial or no legislation criminalising human trafficking.

The third report followed the methodology of the second, collecting information on the above variables through the completion of a questionnaire by government agencies and the collation of official, publicly available information from government, non-government and international organisations (UNODC 2014). A total of 128 countries contributed to the report and it included reference to human trafficking and slavery cases prosecuted in 2011 and 2012, as well as qualitative description of five cases for each country represented.

## *National Rapporteur on Trafficking in Human Beings (the Netherlands)*

The Bureau of the National Rapporteur on Trafficking in Human Beings, which comprises the National Rapporteur on Trafficking in Human Beings and Sexual Violence Against Children, is the national coordinator of data collected on human trafficking and sexual violence against children in the Netherlands. Information specifically on human trafficking is compiled in annual reports, which are presented to the Minister of Justice. Nine reports have been published since 2002. The annual reports describe:

the nature and scale of human trafficking, the mechanisms that play a role in human trafficking, the developments taking place in this field, and the effects of relevant policy (National Rapporteur on Trafficking in Human Beings 2010: 11).

Data are collected on victims from three primary sources—CoMensha (the national reporting and registration point for victims of human trafficking),

the Immigration and Naturalisation Service (for data on victims applying and granted residence permits) and the Central Fines Collection Agency (for data on orders to pay compensation to victims). The Public Prosecution Service provides data on suspects and offenders. The data items presented in the ninth annual report are shown in Table 11.

Table 11 Data included in reports prepared by the National Rapporteur on Trafficking in Human Beings and Sexual Violence Against Children (the Netherlands)	
Theme	Indicator
Victim	Gender
	Age
	Nationality
	Sector of exploitation
	Source of referral ('notifier')
	Purpose of notification
B9 visas	Visa applications
	Visas granted
	Grantee—age, gender, nationality, region of origin
Compensation	Compensation orders
	Amount awarded
	Disposition method
Suspect/offenders	Gender
	Age
	Country of birth
	Number of cases registered
	Nature of offences recorded
	Most serious offence
	Detained in preventive custody
	Cases dealt with—first instance/on appeal
	Disposition
	Nature of conviction
	Sentence imposed
	Length of sentence
	Appeal filed

Source: National Rapporteur on Trafficking in Human Beings 2013, 2010

*Bundeskriminalamt: Trafficking in human beings national situation reports*

Bundeskriminalamt, the German Federal Criminal Police Office, collates data on all police investigations into suspected cases of human trafficking with reference to offences under ss 180b and 181 of the German Penal Code (trafficking in human beings and aggravated trafficking in human beings respectively). The results are published in the national situation reports on Trafficking in Human Beings, with the objective of assisting police and government to

assess ‘the threat and damage potential(ly) inherent in human trafficking as well as its significance’ and the responses required (BKA 2007: 1). Seven reports summarising this data have been released, covering the periods 2002, 2004 and 2006–10. The comparability of the data between the first two and five latter years of reporting is limited due to an expansion of the offence of trafficking in human beings from sexual exploitation to include the exploitation of workers and a change in counting rules where only investigations concluded during the reporting period are considered. The most recent report (BKA 2010) contained data on the following variables (see Table 12).

**Table 12 Data variables reported in the Bundeskriminalamt’s Trafficking in Human Beings national situation reports**

Theme	Indicator
Investigation	Location of investigation (federal states)
	Other offences identified during investigation
	Trigger for investigation
	Manner of first contact between police and victim
	Police activities prior to initiation of investigation
Suspect	Gender
	Nationality (current/at birth)
	Number per investigation
Victim	Type of exploitation (sexual/worker)
	Gender
	Age
	Nationality
	Immigration status
	Recruitment method(s)
	Location of exploitation
	Receipt of counselling support
	Circumstances of prostitution (if trafficked for sexual exploitation)

Source: BKA 2010

## European Commission: EUROSTAT trafficking in human beings

The Trafficking in Human Beings report, prepared by EUROSTAT, is the first published EU-wide examination of human trafficking (Eurostat 2013). The report includes data from the 27 EU Member States, plus Iceland, Norway, Switzerland, Croatia, Montenegro, Serbia and Turkey. These data were collected using a specially developed data collection tool that listed indicators and variables, definitions of

key terms (eg identified versus presumed victim, child victim, recruitment) and guidelines for populating the indicator tables. Information was sourced from law enforcement, criminal justice agencies, immigration services, labour inspectorates and non-government organisations. Indicators are grouped into four categories—information on victims, police data on suspected traffickers, data on prosecuted traffickers and court data on convicted traffickers (see Table 13).

**Table 13 EUROSTAT trafficking in human beings indicators**

Theme	Indicator
Victim (identified and presumed)	Number by registering organisation
	Gender
	Age
	Form of exploitation
	Citizenship
	Internal (within EU) trafficking
	Domestic trafficking
	Received assistance and protection
	Provided with reflection period
	Given residence permit
Suspected traffickers	Gender
	Citizenship
	Internal trafficking
	Same citizenship as registering country
	Form of exploitation
Prosecuted traffickers	Gender
	Citizenship
	Form of exploitation
	Final decisions by prosecution service
Convicted traffickers	Gender
	Form of exploitation

Source: Eurostat 2013

## UNODC Case law database

The UNODC's online Case Law Database includes information on prosecuted cases of human trafficking and slavery (among other crimes) from around the world. The cases are provided voluntarily by government and international agencies, and are not necessarily representative of the cases identified or prosecuted in these countries. At the time of writing, it included more than 1,000 cases from 90 countries (UNODC 2015). Categories of information included in case summaries are shown in Table 14.

**Table 14 Categories of information for human trafficking and slavery cases recorded in the UNODC Case Law Database**

Categories	Data items (fields)
Case descriptors	Acts (recruitment, transportation, receipt, transfer, harbouring)
	Means (threat or use of force or other means of coercion, abduction, fraud, deception, abuse of power or a position of vulnerability, giving or receiving payments or benefits to achieve the consent of a person having control over another person)
	Form of trafficking (internal, transnational, organised criminal group)
	Sector in which exploitation takes place (agriculture, begging, construction, commercial sexual exploitation, domestic servitude, factory/manufacturing, hair/beauty salon, hotel/restaurant/bar, mining, organ/tissue removal, other sectors)
	International cooperation (mutual legal assistance, extradition, transfer of sentenced person)
Procedural information	Country (in which case was prosecuted)
	Sentence date
	Legal system (Civil law, Common law, mixed system)
	Latest court ruling (Appellate court, Court of 1st instance, High court, International court/Treaty body, Supreme court)
	Type of court/tribunal (Administrative, Civil, Criminal, Labour)
Defendant information	Nationality
	Age
	Gender (male, female)
	Verdict (Guilty, not guilty, withdrawn, other)
	Charge/claim
	Legislation/statute/code
	Legal reasoning
	Appellate decision (remanded, upheld, reversed)
	Term of imprisonment
Victim information	Nationality
	Gender/minor status
	Age

Source: <http://www.unodc.org/cld/index-sherloc-cld.jsp?>



# The conceptual framework

The function of a conceptual framework is ‘to ‘map’ the terrain surrounding an area of interest’ (ABS 2009: 11) and hence guide the identification, assignment and assessment of embedded measures. In selecting an appropriate template on which to base the conceptual framework, two conditions were deemed crucial:

- the framework examines human trafficking, slavery and slavery-like practices as a process rather than an event; and
- it is able to assimilate the complex array of factors considered necessary to better understand these crimes.

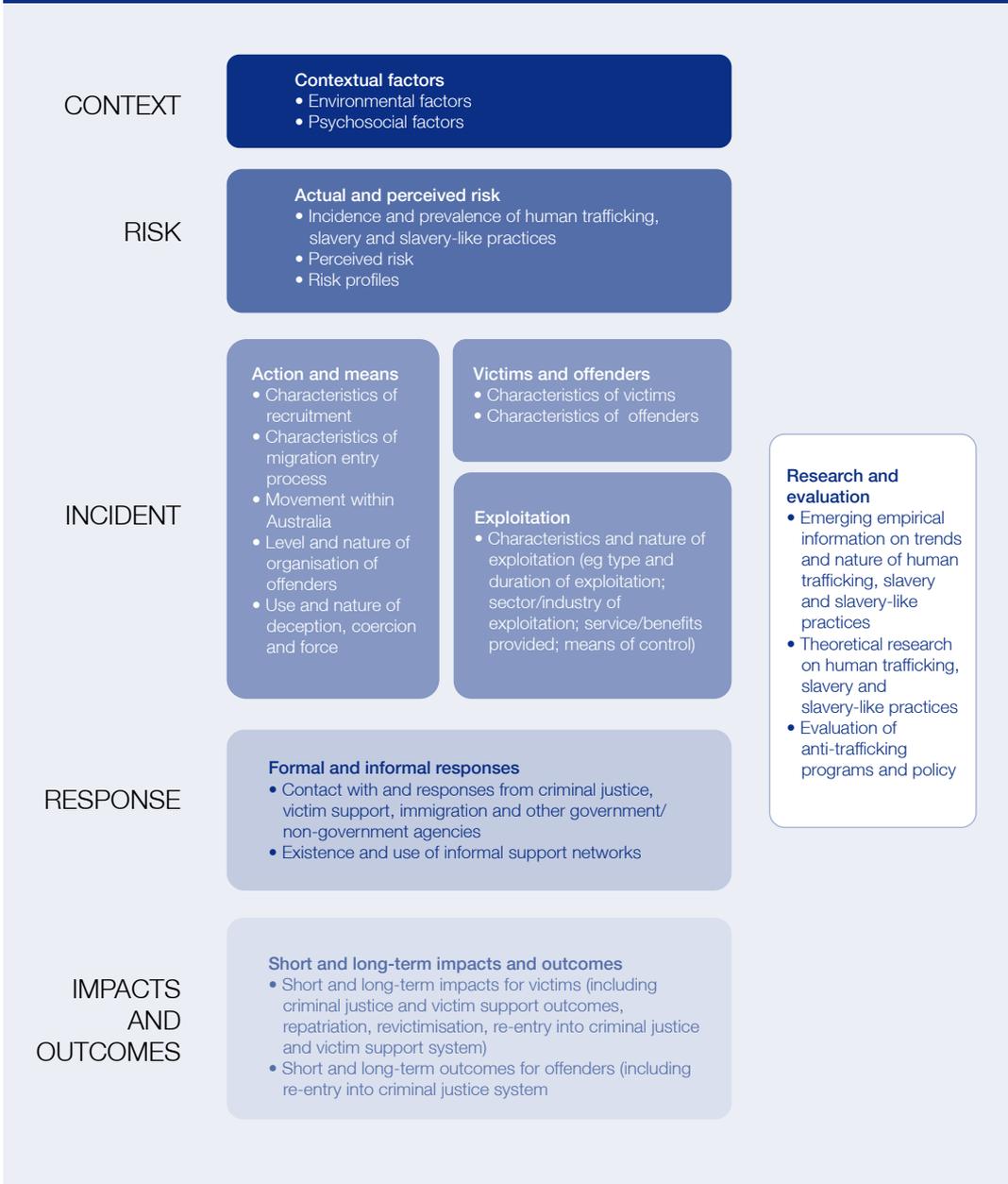
The framework developed by the ABS to measure family, domestic and sexual violence (see ABS 2013a) was determined to best complement these requirements and was selected as an appropriate structural foundation. This framework comprises six conceptual elements that are equally relevant to monitoring the nature, extent and responses to human trafficking and slavery—context, risk, incident, response, impact and outcomes, and research and evaluation.

The conceptual framework was constructed with the intention that it illustrate all areas that would be ideal

(but with the caveat that this is not always feasible) to monitor. It also provides a diagrammatic representation onto which existing data can be mapped and potential data providers identified, and to highlight where data collection on human trafficking and slavery in Australia is typically focused.

The framework has been developed, however, recognising that not all themes reflected in the conceptual framework will be populated with data collected to a standard that best practice advises and in some cases, no form of useable information will be available for the immediate future. The latter includes themes, such as contextual factors, that are not necessarily included in crime and criminal justice monitoring frameworks, or are not in the format identified by stakeholders as necessary to this purpose. Further, the framework is not designed to specifically outline the data variables that may be collected in the resultant data collection tool but rather the indicator themes on which data variables will be based. In this section, the context for each of the framework’s conceptual elements and indicator themes are described; the framework is illustrated in Figure 1.

Figure 1 Human trafficking and slavery monitoring program: Conceptual framework



## Context

Understanding contextual factors is regarded as important in any comprehensive examination of human trafficking and slavery. As noted by Aronowitz (2009: 50):

analysis of the context, including the socio-economic situation in a country of origin, the respect for human rights, the prospect for education and access to the labour market, gender disparities, as well as the extent of restriction of labour migration laws in the country of destination can provide valuable information and point to trends in human trafficking.

Contextual elements describe the environmental (including attitudinal) and psychosocial factors that enable (or counteract) human trafficking and slavery occurring. There are a range of factors that create vulnerabilities, promote resilience and foster pathways into offending, particularly in source countries but sometimes in destination countries as well. It is not the purpose of this report to describe these factors in any detail as this has been done comprehensively elsewhere but they include:

- gender;
- poverty;
- religious and ethnic equality/discrimination;
- status of women and children;
- family arrangements and obligations;
- localised unemployment and underemployment;
- labour protections and regulations;
- migration barriers;
- corruption;
- war, conflict and environmental disasters; and
- existing anti-trafficking initiatives and programs and legislative responses.

Such factors may be examined for the purposes of the proposed monitoring program in two ways:

- contextual factors can be monitored as they relate to countries, sectors or communities identified as (or presumed to be) source environments for victims of human trafficking and slavery into (or out of) Australia. This would provide a broad assessment of vulnerability to human trafficking and slavery for specific regions or population groups; or

- these factors can be investigated as antecedents to human trafficking and slavery via an analysis of known cases in Australia.

Since the majority of known incidents of human trafficking and slavery in Australia have to date involved victims who were originally, or were trafficked, from the Asia–Pacific region, the collation of data from source countries could concentrate on regionally relevant factors as identified from environmental scans. However, not all victims originated from this region. Further, a limitation of aggregating factors to large regions from which the majority of victims originate includes minimising the differences that may exist within these areas and excluding countries and regions from which a minority of victims originate. Factors that are relevant to trafficking events originating in, for example, the Mekong region of South East Asia are not necessarily identical to factors typical to Melanesia (in the Pacific), the Indian subcontinent or Eastern Europe—regions from which it is known persons trafficked into Australia originated. To expand the environmental scan to all recognised source countries, however, creates a contextual scope that may prove impractical to address.

An alternative approach is to use what contextual information is documented in records, such as client case files or court transcripts of known victims. The limitation to this method is that the information contained in these sources may be inconsistent and/or scant in detail, and potentially unrepresentative. Nonetheless, these data are anticipated to be the most practical and ultimately useful if contextual factors are formally incorporated into a monitoring data collection.

A comprehensive assessment of contextual factors should also take into account those factors that act to counteract, not just facilitate, human trafficking and slavery. Indeed, monitoring environmental factors that are directly influenced by Australian action, such as legislative and regulatory responses and initiatives in education and awareness raising, is arguably the more significant contextual contribution, as it can highlight where and how Australia has acted to lessen incidences, particularly in-country exploitation. Prevention factors are described in the *Response* element of the framework. It is suggested these also be included in the broader discussion of the environment that counteracts (or inadvertently facilitates) human trafficking and slavery occurring in Australia.

## Risk

Risk encapsulates the ‘likelihood of an individual becoming a victim or a perpetrator’ (ABS 2013a: 30). Risk may be described in terms of actual risk, measured as the known incidence or prevalence of a crime, and perceived risk (eg what the general public understands the occurrence of human trafficking and slavery is in Australia).

### *Actual risk*

Incidence and prevalence are the most commonly used measures of risk. *Incidence* refers to the number of incidents of a specified crime for a defined population within a specified reference period (see next section discussing the measurement of incidents). *Prevalence* refers to the number (or rate) of victims or offenders for a particular category of crime for a defined population within a specified reference period. In measuring incidence and prevalence, there must be careful consideration as to how the crime will be measured—as the broader construct of human trafficking and slavery or as separate offences defined in the Criminal Code.

Measures of incidence or prevalence of human trafficking and slavery will likely be an underestimate due to the underreporting of these crimes. Hence, actual risk might be estimated by using and comparing two measures—the number of reported cases and the number of assumed cases. Reported cases are derived from official administrative data (eg law enforcement) and assumed cases may be sourced from individual records documented by service providers and the like, including cases not formally reported to or substantiated by identified authorities. Comparing the two estimates will introduce the issue of double counting (see next section) but may also illustrate the perceived discrepancy between officially reported and identified but unreported cases. This discrepancy might be exacerbated by the use of different parameters to identify cases of human trafficking or slavery. While government agencies use the Australian legal system to define what constitutes human trafficking, slavery and slavery-like practices, non-government organisations and service providers may use a definition suited to

their focus of service or a modified version of the legislated definition.

### *Perceived risk*

The perception of risk by stakeholders and the general community is an additional area to monitor as it can influence response. Perceived risk is closely aligned with knowledge of and/or experience with human trafficking cases.

Gauging knowledge and understanding of human trafficking and slavery by formal response and support provision personnel, and the Australian community more broadly, is valuable for informing policy and practice in the area to shape future awareness-raising activities and to ensure human trafficking scenarios are responded to appropriately. This knowledge is also important as community members are more likely than authorities to come into contact with trafficked persons.

However, a 2009 AIC survey of community attitudes and awareness survey on human trafficking found confused understanding of what constituted human trafficking. Three-quarters of respondents (n=1,204) indicated they would not be able to ‘identify’ a trafficked person (Joudo Larsen et al. 2012). Thus, without education campaigns to raise awareness of what constitutes trafficking and slavery matters for professionals and the wider community, it is likely that perceived risk will be significantly underrated by the Australian community for some time to come.

### *Risk profiles*

Individual risk may also be estimated using risk profiles. Risk profiles or typologies for both victims and offenders can be constructed using data from known cases. This could be informed by the demographic indicators collected under *Incident* (ie the trafficking incident; see below), combined with information on contextual factors. Risk profiling can help to estimate the risk of victimisation and offending within the community and to establish at-risk groups of people. This last point is important as it establishes a target group for community awareness and other prevention initiatives. Risk profiles can also inform risk assessments, which can be used by those working in community services and the criminal justice system.

## Incident

The majority of guidelines and handbooks describing the collection of human trafficking and slavery data specifically recommend compiling accurate data on the trafficking event (incident) (recruitment, transportation and transfer, and exploitation), victims and offenders. It is anticipated that as with other human trafficking data collections currently in operation, these data will comprise the monitoring program's core indicators, along with indicators on *Response*.

### *The trafficking event: Action, means and exploitation*

Within this framework, the trafficking event is examined with reference to *Action and Means* and *Exploitation* to reflect the international definition of human trafficking. The action and means element of human trafficking comprises the majority of indicators for this conceptual area and includes recruitment practices, migration pathways of victims, movement within Australia, level of organisation among offenders and the use and nature of coercion, deception or force. These themes can assist in establishing the modus operandi of offenders and the use and extent of trafficking networks.

The element *Exploitation* covers the nature and characteristics (eg duration, location) of the exploitation experienced. Current attempts to collect data on human trafficking and slavery have broadly categorised types of exploitation into sexual and (physical) labour exploitation, but these classes do not always adequately reflect the nature of the exploitation experienced. In this framework, the type and location of exploitation will be examined more laterally by collecting information, where possible, on the specific industry sector the victim was located in, the services provided by the victim and the employer and location of these services.

For human trafficking and slavery-like scenarios such as forced marriage and trafficking through partner migration, modified variants of these indicators will be required. Such events may be better classified through the use of additional themes, including length of exploitation, means of control and experience of violence, and other forms of abuse.

## *Victims and offenders*

Victim and offender profiles are generally constructed from demographic indicators typically collected by criminal justice and service provider agencies. For both victims and offenders, these include gender, age, nationality/country of birth, education level and legal visa status in country of exploitation. While there are no cases of revictimisation in Australia documented to date, it is recommended that information on revictimisation be collected where and if it occurs. This will help understand the extent to which (and where and how) persons re-enter a trafficking scenario and for offenders, their prior status as a victim and role in the commission of the trafficking event/exploitation.

## Response

*Response* refers to actions that take place following an incident (ABS 2013a). These largely include the range of formal and informal contacts and assistance available to victims of human trafficking and slavery and the investigation and prosecution of offenders. For this framework, it also includes government and non-government led action to prevent human trafficking and slavery.

### *Informal responses*

Informal responses constitute the support sought and/or received from family, friends, neighbours, other employees, customers/clients etc. There has been limited research on the use of informal support by victims of human trafficking and slavery (see Richards & Lyneham 2014) but victimology research has demonstrated that informal support is more commonly sought than formal support by victims of crime (for a review of the literature see McCart, Smith & Sawyer 2010). The nature of that contact may play an important role in both the long-term outcomes for victims, as well as subsequent reporting of human trafficking and slavery cases to recognised authorities. Obtaining standardised data on the occurrence of informal contact and responses is, however, unlikely outside of information that may be collected through individual studies focusing on victim experiences or that possibly recorded by support services.

## Formal responses

Formal responses include those actions undertaken by government and non-government agencies to prevent, identify, respond to and counter human trafficking and slavery. The ABS (2013a) categorises formal responses as:

- detection and prosecution;
- treatment and support; and
- prevention.

The first two categories are reclassified here as criminal justice responses and service provision; the third additionally captures legislative and policy responses. For the purposes of monitoring, a fourth category should be developed to capture the visa framework that has been established to allow foreign nationals who are suspected victims of human trafficking and slavery to remain in Australia.

## Criminal justice and related responses

The primary government agencies involved in the detection, investigation and prosecution of human trafficking and slavery offences in Australia are the AFP, CDPP and DIBP. Other agencies that may be involved in detection (or investigation of related matters) include state and territory law enforcement, the Fair Work Ombudsman, Fair Work Building and Construction, state/territory labour regulators, industry groups and unions.

Indicators measuring criminal justice responses would include the collation of data on:

- number of referrals (eg to state/territory police, AFP, DIBP and the CDPP);
- number of investigations and assessments;
- number of persons charged with human trafficking and slavery offences;
- charges at arrest;
- number of convictions/number of convictions for specified human trafficking and slavery offences;
- type of sentence imposed;
- number of persons acquitted; and
- number of appeals/result of appeal process.

Where data are available, further information should be sought to aggregate the source of referrals (reports) and to describe charges and

convictions for other offences (such as offences for allowing an unlawful non-citizen to work (s 245AB) or a lawful non-citizen to work in breach of visa requirements (s 245AC) under the *Migration Act 1958 (Cth)*).

In using these indicators to describe the criminal justice response in Australia (and as a de facto measure, in combination with Incident indicators, of the nature and extent of human trafficking and slavery), there is the recognition that not all cases of human trafficking and slavery will be recognised, identified, reported or recorded as such or at all. Victims do not necessarily identify (or wish to identify) themselves as having been trafficked or exploited. Persons or organisations who have first contact with victims may also not comprehend the nature of the situation being presented to them and not respond to it as a trafficking matter (David 2010; Joudo Larsen et al. 2012; Richards & Lyneham 2014). The latter is an equally relevant point when considering informal responses.

Further, until recently, alleged cases of human trafficking and slavery occurring outside the sex industry in other workplace sectors were mainly dealt with under migration and labour regulation laws. The few cases that were prosecuted under federal laws were unsuccessful in most instances due to the inability to prove the presence of force or threat or an element of movement. With amendments to the Criminal Code under the *Crimes Legislation Amendment (Slavery, Slavery-like Conditions and People Trafficking) Act 2013 (Cth)*, provisions are now in place to deal with the broader scope of human trafficking and slavery offences and the circumstances in which they occur.

Finally, sexual servitude and deceptive recruitment for commercial sexual services are offences under state and territory law (except Queensland and the Northern Territory). These cases, if not directly sought for incorporation in a monitoring program, will be missing from the final count.

## Service provision

There is a small group of government and non-government services that specifically provide support and assistance to victims of human trafficking and slavery. For example, the Australian Government-funded Support for Trafficked People

Program (STPP) provides support to those persons determined by the AFP to be (or who may have been) a victim of human trafficking and slavery. The Australian Red Cross provides the delivery of services including case management support, counselling, accommodation and access to medical care and legal and migration advice. Support and related services are also provided by the Salvation Army, Anti-Slavery Australia, Project Respect and ACRATH among others.

Support may similarly be sought and available from health and medical services, domestic and family violence services, labour regulators, unions, migrant services, child protection agencies and other faith-based community support services. Despite recent recommendations and action to improve broader service awareness of human trafficking and slavery (IDC 2014), many services may still not recognise clients as victims of trafficking or slavery-like practices. Even when a case is identified as such, the matter may be dealt with by addressing the more immediate issue (such as physical abuse or sexual violence). In either situation, formal service responses to victims of human trafficking and slavery will be underestimated.

Indicators of service provision include number of victims accepting (and declining) support, types of support received, type of institution providing support and length of support period. However, as described above, measuring the full extent of service provision is an uncertain prospect and any realistic measure should (at least initially) focus on known service providers who are likely to deliver the bulk of support services.

## Visa framework

The European Commission (Eurostat 2013) collects data on the granting of residency permits to victims of human trafficking and this measure is also recommended for use by Aronowitz (2009). The primary arrangement in Australia for enabling trafficked foreign nationals without a valid visa to remain temporarily or permanently in the country is the Human Trafficking Visa Framework. Three visas are available under this Framework:

- Bridging F visa (BVF)—Persons assessed by the AFP as a suspected victim of human trafficking or slavery are eligible for the BVF, which allows visa

holders to remain in Australia for 45 days and to continue to receive support under the STPP. The victim's family members may also be eligible for this visa. A second BVF may be granted where victims are willing but unable to assist the AFP in their case.

- Criminal Justice Stay visa (CJSV)—The CJSV is granted to trafficked persons to allow them to stay in Australia for the length of time 'their presence is required for the administration of criminal justice'. As well as receiving STPP support, CJSV holders may also seek employment.
- Witness Protection (Trafficking) (Permanent) visa—This visa is available to trafficked persons who contributed to an investigation or prosecution. The visa grants permanent residency to victims and their immediate family.

Measures of the receipt of temporary and permanent residency permits or similar used in other monitoring efforts simply calculate the number of victims who received such a permit (or visa) in a defined time period. Such a measure could be used under this framework, but it would also be useful to understand the proportion of successful applicants for each of these visa categories.

## Legislative and policy responses, including prevention initiatives

A final area for monitoring is the scope (and evaluation) of anti-trafficking efforts. At a higher level, this is reflected in the implementation of the *National Action Plan to Combat Human Trafficking and Slavery 2015–19*, supported by agency-specific (eg AFP) anti-trafficking strategies.

One particular focus should be the prevention initiatives that have been put in place. Prevention in Australia largely takes the form of programs and campaigns implemented by both government and non-government agencies that aim to educate and raise awareness about human trafficking and slavery. These programs focus on improving knowledge about risks and indicators of trafficking activity (eg forced labour and forced marriage) and how and where to respond if a potential victim of trafficking is identified. They include media campaigns, e-learning initiatives and community forums, as well as formal education and specialist training of frontline officers employed in government agencies, service

providers, education providers, civil celebrants and other personnel who may come into contact with a victim of trafficking (see, for example, summary in IDC 2014). Little is known, however, of the reach and impact of these campaigns and programs, the extent they complement one another and additional preventative actions that could be taken. Some of this deliberation falls within the *Research and Evaluation* conceptual element and crossreference between these two elements of enquiry might be used to monitor the characteristics and successes of different prevention approaches.

### *Connections between, and barriers to, informal and formal support*

Monitoring formal and informal responses to cases of human trafficking and slavery enables a description of the extent to which government, non-government and the broader community are responding to cases of human trafficking and slavery and potentially, how these responses strengthen and evolve as new cases are identified. It may also provide some perspective on the intersection between informal and formal responses, and the relative importance of informal support as a first point of contact and as an ongoing source of support. This perspective, however, is most likely derived from qualitative data, obtained through research interviews or perhaps through an assessment of case notes compiled by service providers.

An additional and valuable outcome of this assessment is to identify and confirm where barriers to formal (and informal) support exist. Aronowitz (2009) recommends collecting data on the number of victims who were refused assistance and the number who declined assistance but these measures are only potentially indicative of barriers to accessing formal mechanisms of support and cannot capture the nature of those barriers. Such information is unlikely to be recorded in administrative data, or at least not recorded in any standardised way. It may therefore be better to assess such information through interviews with a sample of service providers or victims/survivors.

## Impacts and outcomes

The *Impacts and Outcomes* element describes the short and long-term effects on victims and

offenders. For victims, it refers to the impacts from being trafficked and exploited, the longer term outcomes following the receipt of support and other measures to reintegrate the person back into everyday life, and the risk of revictimisation. The type of support services accepted by victims might suggest, for example, physical or mental health concerns requiring treatment, which may be used as an indirect measure of impact. Broader personal, social and economic consequences and outcomes, for those granted residency and those choosing to repatriate, are more likely sourced from ongoing case management or similar follow-up. Outside of logistical considerations, particularly for repatriated persons, there are issues with the longer term 'monitoring' of victims, as the process can be perceived as intrusive, potentially induce stress and may be 'counter-productive' to the ultimate goal of allowing the person to return to a 'normal' existence (IOM 2007: 104).

Measuring outcomes for human trafficking and slavery offenders is still a relatively novel monitoring concept. Much of the information currently collected about offenders concerns conviction rates, sentences received, parole and occasionally incidences of recidivism.

## Research and evaluation

Research and evaluation regarding human trafficking and slavery can be informed by, and also act to inform, the other conceptual areas. For example, evaluating the aims, objectives and outcomes of education and prevention activities (both government and non-government initiated) would contribute to, and reflect changes in, contextual factors, risk and incident specifics. The monitoring framework would benefit from the inclusion of:

- new empirical and theoretical findings on offending and/or victimisation;
- the aims, objectives and evaluated outcomes of education and prevention activities; and
- the evaluated outcomes of detection and intervention activities.



# Current data capabilities, measurement and provision considerations

Compiling information on human trafficking and slavery is not a straightforward exercise—a major challenge being the availability, consistency and completeness of data. Data are not always collected and where it is recorded, must be sourced from different data collection systems administered by different agencies with different agendas. Further, data are not always recorded in a systematic fashion, either within or between collection agencies, and may be limited in detail or scope (Aronowitz 2009). The latter is particularly relevant to victim-based data, due to the need to preserve anonymity and the frequent reluctance of victims to communicate their experiences. It can also be affected by the administrative purpose of the data recorded and the logistics of broader data collection.

This section examines the nature and type of administrative and other data on human trafficking and slavery collected by Australian Government and non-government agencies identified as the likeliest sources of data for the monitoring program ie the AFP, CDPP, DFAT, DIBP, DSS, the Australian Red Cross and other prominent service providers such as Salvation Army Samaritan Accommodation. While international data sources are likely to be valuable in populating aspects of the framework (specifically contextual factors), for reasons of practicality and to

fulfil the purpose of the monitoring activity (ie the Australian situation), primary data providers will be confined to Australian-based agencies.

The section discusses the primary issues affecting the collection and utility of human trafficking and slavery data in Australia, as it relates to the conceptual intention of the proposed framework and what constitutes the manageable development and use of a centralised data collection. The following discussion is written from the perspective that the AIC will be the administrator and data custodian for the monitoring program if it is established.

## Data collection and utility issues

### *Data availability*

There are two elements determining data availability—whether specified data are currently collected (or proposed for future collection) and the suitability of existing data to populate the conceptual framework. Information provided by consulted agencies was mapped against the framework's conceptual elements to denote data availability and identify information gaps (see Table 15).

Much of the human trafficking and slavery data that is collected by these agencies falls within the conceptual elements of *Incident and Response*. Such a confined scope was not unexpected. Comparable monitoring developments and datasets described earlier also found that the majority of available data related to these themes (Aronowitz 2009; Banks & Kyckelhahn 2011; BKA 2010; Eurostat 2013; National Rapporteur on Human Trafficking in Human Beings 2010). These data represent what is largely recorded in administrative datasets and ultimately reflects the purposes of capturing that data; that is, for operational and statistical reporting, performance monitoring and similar purposes. Hence, the majority of data collected in Australia (and elsewhere) focuses on the nature of the crime (ie the type of trafficking or exploitation), the persons involved in the trafficking event (victim and offender characteristics), criminal justice responses (investigations, arrests/charges, convictions) and service provision specifics.

Qualitative material (such as client case files and court transcripts) may fill the gaps left by operational and other administrative data, particularly about the trafficking event and additional detail on recruitment method, migration pathways and means of exploitation. Mining such resources can produce a more developed picture of indicator themes that cannot be easily addressed by administrative data (see, for example, analyses undertaken in Simmons et al. 2013) but the cases available for analysis may not be representative of all trafficking and slavery events. Further, this method of data extraction is a time-intensive undertaking and at variance with the ultimate intent of establishing a data collection-based monitoring program.

Data describing *Context* and *Impacts and Outcomes* are largely missing, similar to human trafficking data collections administered elsewhere. While some contextual information may be drawn, for example, from case file notes prepared by service providers, or obtained from summary reports describing regional issues and anti-trafficking programs, baseline data is generally not available, cannot be shared and/or mostly presented in narrative format that precludes easy or reliable conversion into data items. Little to no information is consistently collected on *Impacts and Outcomes*, other than the potential to gauge reoffending and outcomes for persons who received

support through the STPP. Stakeholders noted the importance of including these elements in the conceptual framework but conceded that it was unlikely such information would be routinely collated, outside of what service providers might record as part of their ongoing support relationship with clients.

Populating the conceptual element *Risk* is dependent on the availability and scope of data used to monitor other conceptual elements. At present, basic risk profiles might be developed using victim characteristics compiled by service providers (which appear to be the most detailed), although customary demographic characteristics would need to be matched between sources and corroborated with those recorded by law enforcement and the CDPP. Measuring actual risk—incidence and prevalence—is less straightforward, particularly when using victim numbers as the numerator. Relying on victim data from one source is an unreliable measure as it only captures the population who have come into contact with that particular agency. Equally problematic is aggregating victim numbers from different sources. The current absence of formal data linkages or similar arrangements between relevant agencies prevents the identification of unique individuals, leading to the well-recognised potential for double counting.

### *Data consistency, completeness and comparability*

*Consistency* refers to the uniformity of data recorded over time and by different data custodians. Resource constraints and periodical modifications to improve or streamline data collections affect the consistency (and comparability) of time-series data. A number of agencies specified that consistency issues with data collected in the past would prevent them from providing historical data.

Inconsistencies in data also arise where standardised data recording practices—in the form of data entry rules and defined data fields—are not followed or cannot be applied to existing data recording tools, potentially compromising aggregation of data from different cases and different time periods. A number of agencies consulted for this project explained that they use, or are introducing, standardised data entry inventories to specifically collect or improve their current data collection on human trafficking and slavery.

**Table 15 Populating human trafficking and slavery data**

Conceptual element <sup>a</sup>					
	Context	Risk	Incident	Response	Impacts and Outcomes
AFP	n/a	+	+	+	n/a
		Incidence/ prevalence—Offender population group charged/arrested	Exploitation—Type (as per Criminal Code offences recorded) and Industry  Offender—Arrested/ convicted	Referrals (into AFP and to other agencies)  Investigations/assessments  Arrests/charges	
CDPP	n/a	n/a	+	+	+
			Action and means— Number of offenders per event, number of victims per event, role of offenders, method of coercion and force  Exploitation—Type (as per Criminal Code offence(s))  Victim—Gender, age  Offender—Gender, age, birth country	Criminal justice response— Referrals/ referring agency  Brief and committal outcomes, plea  Convictions and other outcomes, length of time between filing and disposition  Appeals filed/appeal outcome  Sentence	Re-entry into criminal justice system: offenders
DIBP	n/a	n/a	+	+	n/a
			Victim—Age, country of origin and visa status <sup>b</sup>	Referrals  Visas granted	
DFAT	0	n/a	n/a	n/a	n/a
Australian Red Cross	n/a	+	+	+	0

Table 15 Populating human trafficking and slavery data cont.

Conceptual element <sup>a</sup>					
	Context	Risk	Incident	Response	Impacts and Outcomes
		Incidence/prevalence— Population group comprises persons referred by the AFP to the STPP. Number of clients, number of new clients, number of exited clients  Population group does not capture: <ul style="list-style-type: none"> <li>trafficked persons not identified by the AFP;</li> <li>persons who chose not to enter the STPP but are engaged with the criminal justice process; and</li> <li>persons who have chosen to leave the STPP but are still engaged with the criminal justice process</li> </ul>	Victim—Gender, age, country of birth, nationality, marital status, number of dependents employment status, visa at referral, current visa status  Exploitation—Type of trafficking/exploitation, location, industry <sup>c</sup>	Type of support provided and length of support provision  Personal and systemic barriers to support—recorded where identified	‘Positive’ outcome of support and other assistance—caseworkers to add ‘from their perspective’
Salvation Army	0	+	+ 0	+	0
	Client information on life history and circumstances that preceded the trafficking event	Prevalence count— Population group comprises number of clients receiving support. Includes (a) clients who have reported to the AFP and/or state/territory police and (b) clients who have not reported to police	Victim demographics  Action and Means and Exploitation data potentially from assessment tools and case notes. Generally not recorded in database	Type of support provided to clients	

a: Excludes the element Research and Evaluation

b: Demographic data on persons referred to the AFP or those transferred to visas under the Human Trafficking Visa Framework varies in detail and the extent to which it is recorded in administrative databases

c: As determined by the AFP

Note: n/a Data not available + Data available and electronically recorded 0 Data might be available and/or is mostly not in electronic format

Further, some were aiming to develop a separate dataset that would integrate relevant information presently housed in separate databases. Overall, careful data auditing and follow-up analysis is recommended for the proposed data development phase to assess the consistency and reliability of requested data items.

Tied to consistency is data completeness. Where data entry is undertaken by multiple persons or in multiple settings, and particularly where data entry guidelines are absent, there is the additional risk that data are being recorded in variable levels of detail or completeness. It appeared that variability in completeness tended to affect the inclusion of useful contextual or additional explanatory material, although on occasion, the population of specific fixed data fields too.

Resources and time pressures are a consistent factor that affect the completeness of data but that also has impact when data, by necessity or procedure, are recorded at different junctures (usually as it became available). For example, some of the data recorded by support programs are subject to a client's willingness to provide information about themselves and their circumstances. That information may never be provided, or is only provided at different stages of engagement. Similarly, operational data is recorded at different stages as the assessment, investigation or prosecution progresses. Episodic data compilation is not unique to the collection of information on human trafficking and slavery, nor does it necessarily affect the quality of the chronicle of data eventually contained in the finalised record. It does, however, require the application of consistent rules as to how complete a record needs to be before the data contained in that record can be extracted or subsequently used.

Finally, a critical step in collating similar data from multiple sources is to appreciate the 'source and origin of data...and method of collection' (Aronowitz 2009: 32) and to recognise the potential impact on data comparability. Data and information collected by the agencies consulted is used for a variety of purposes. These uses include program, agency and interagency committee reporting requirements, submissions and media releases, and contributions to other reporting mechanisms such as criminal history and sentencing databases. Depending on

the agency, this information is also vital in providing evidence for case management, either for victim support or investigative purposes.

### *Linking data*

A significant issue in aggregating human trafficking and slavery data is the absence of any formal mechanism to link data collected in different systems. Data collections administered by the consulted agencies did not include a formal linkage key or unique identifier variable and there was limited scope to incorporate such an identifier. This not only affects the capacity to crossreference data across collections administered by different agencies but even to reconcile data within individual agencies.

The biggest gap is the ability to link data on offenders and incidents to data collected on victims. Victim support services, for example, collect information on victim characteristics but little on the trafficking and exploitation situations experienced by their clients. By contrast, law enforcement authorities collate information on offenders and some detail on the specifics of the offences being investigated or prosecuted but minimal information on victims, although this was an area targeted for enhancement for at least one agency interviewed for this project.

Formal data linkage arrangements have become relatively commonplace in Australia, primarily involving linkage between health, welfare and some criminal justice administrative data. The establishment of linkage arrangements are, however, dependent on the quality and comparability of the data. It is also dependent on the establishment of strict protocols around the protection of privacy. One option recommended to manage privacy considerations is to create a master dataset that uses a project specific identifier, rather than to establish direct data linkage between source data collections (see, for example, AIHW 2005).

This option, if acceptable to data providers, still requires a process to identify individual cases across data sources. In the absence of a routine method of reconciling data collected across administrative data holdings (eg between data recorded by the AFP and CDPP), some collaborative arrangement involving affected data providers and the data custodian is needed to confidently link cases. The simplest

approach is to use a variable (such as the victim's name) that is likely to be recorded across data holdings but may still require some substantial back and forth between contributing data providers before reconciled data can be delivered to the data custodian. Linking these cases to any data that can be provided by non-government agencies is less straightforward, due to variation in what is recorded and in what format, and consent issues (see below).

Data linkage limitations also create issues of double counting. This predominantly affects victim data; for example, where victims are accessing multiple services at once and there is no formal information sharing between services or agencies. Occasional crossreferencing between support services does occur, but it is not standard process and as noted above, is only ever undertaken when the victim consents. The risk of double counting victims of human trafficking and slavery is recognised and even the most carefully prepared estimates acknowledge potential overestimation where crossreferencing is not comprehensively enacted (see, for example, Lebov 2009).

## Data provision

The second set of considerations included the conditions and logistics of data provision, specifically:

- consent and privacy provisions;
- the resources required for data extraction and preparation; and
- current information-sharing arrangements and recognition of formal agreements between data providers and data custodian.

### *Consent and privacy*

The primary concern raised by stakeholders on the issue of consent and privacy related to the provision of victim data. This concern was largely expressed by non-government agencies who indicated that that the release of victim data to third parties would be limited to general demographics and the type of exploitation experienced. Any release of additional information required the consent of their clients. Some government entities were similarly reticent about the provision of more detailed victim data because of the small number of victims.

At the core of these reservations is the requisite to preserve anonymity. One method commonly employed to reduce the chance of identification is to collect aggregate rather than unit record data. However, even where victims have consented to their information being included in a monitoring program, there is the real chance that only a small population of cases exists, which then potentially exposes individuals to being identified. This can be dealt with to some extent through strict adherence to rules around the treatment of small cell sizes by suppressing any data where the population is five or less or, for population of more than five, including caveats around the representativeness of the population considered and constraints on how case material is used or publicised. Other monitoring programs administered by the AIC adhere to the principles outlined above regarding the publishing of aggregate data and statistics. Additional protocols include:

- restricting access to the dataset to designated staff only;
- seeking approval for access to data from the AIC's Human Research Ethics Committee; and
- entering into data sharing arrangements with external data providers.

### *Resources*

The term *resources* is used in this section to refer to the systems in place to record and report on data and the capacity to provide data on an ongoing basis to a monitoring program. There was, not unexpectedly, variation in the type of databases used by the different agencies consulted but significantly, data extraction was considered by most (but not all) as a relatively straightforward procedure. In a few cases, however, information was not routinely entered into a database, with material retained in paper format. This was largely a resource issue based on time and staffing constraints. It was noted that where this occurred, the flexibility of the system operated could allow for future inclusion of data items not currently recorded or an alternate arrangement might be made, resources permitting, to construct a dataset that collated information of specific use to both the monitoring program and the collection agency. A number of agencies were also reviewing their current data recording tools, either to improve consistency in definitions and related data entry rules or to introduce new formats to assemble

data pertinent to human trafficking and slavery. These developments would also improve the process of compiling monitoring data.

Contributing data to the proposed monitoring program was not considered an overly onerous undertaking if certain provisions were in place. Annual or biennial data transmission dates were preferred, provided data preparation did not coincide with end of financial year (and similarly intensive) reporting timeframes. The use of specially prepared data templates, with agreed data definitions for specified variables, would provide the necessary guidance in preparing data for transmission to the data custodian.

Similar kinds of arrangements have been adopted by the AIC in the administration of its other monitoring programs. These have included:

- formal undertakings with data providers that outline the purposes and specifics of the data provision/custodial arrangement;
- the development and piloting of data collection templates and data specifications in consultation with data providers (and an option to provide data in a different format if the template cannot be readily populated);
- clear data transmission guidelines (describing the what, when, how and who to of data transmission) and;
- changes to reporting practices to reduce burden, such as the move to biennial data collection and reporting.

Additional practices undertaken or recommended for the immediate future include examining the 'lessons learned' from these monitoring programs, specifically around the value of the variables collected and the efficiency of the procedures used to collect and collate the data.

The stakeholders consulted with differed in terms of the form in which they could provide the data. Some agencies indicated a preference for providing aggregate data, particularly where it is victim data being supplied, while others stated it would be less resource intensive to provide raw or unit record data.

An important point to make here is that data provision arrangements for a monitoring program on human trafficking and slavery is predicted to be a

less fluid process than those for other AIC monitoring programs. For monitoring programs such as NHMP and NDICP, an identical set of standardised data items are transmitted by each of the primary data providers. For a monitoring program on human trafficking and slavery, variable combinations of data items will need to be sourced, from a mixed group of data providers, who operate distinct systems of data recording and retrieval. To cater for this, individual data templates will probably need to be created for each data provider (to populate different indicators) and careful reconciliation of data (particularly victim data) with and between provider agencies.

### *Information-sharing arrangements*

The agencies consulted with identified a range of formal and informal (ie by request) information-sharing arrangements. Most of these extended to interagency record reconciliation, co-case management of clients and for investigative purposes. One agency consulted was currently examining protocols for existing data sharing arrangements.

There was collective support for some form of formal agreement, such as a Memorandum of Understanding, between the data custodian (the AIC) and data providers. This type of arrangement would specify conditions around data provision (eg transmission timeframes, data format), ongoing requests, data storage and data use. It was also seen as a suitable mechanism for mitigating issues around privacy and confidentiality.

# Selecting the indicators

Indicators have two not necessarily mutually exclusive functions—as ‘signals’ or signs of where a specified behaviour or event is or might be happening and as guides to the kind of information that could be included in a specific data collection (Aronowitz 2009). There are no definitive rules as to which point during data development indicators should be drafted, although it is preferable that data availability is not the sole, defining factor in the final establishment of the indicator set. It is equally important though that the selection of indicators does not resemble an expansive ‘shopping list’ of information items that cater to measuring every conceivable facet of the area of focus without an assessment of the ultimate usefulness of the indicator in question.

## The proposed indicators

In selecting indicators, the following tenets should ideally be considered; that the data are:

- practical (in that individual indicators can be easily measured and where data is not available, it is conceivable that data might be available in the future);
- unambiguous (it is clear what the indicator is measuring and what it is telling us); and

- informative (ie the measure makes a genuine contribution to understanding the phenomenon in question).

These criteria have been applied in the proposed indicator set shown below (see Table 16). The indicator set is deliberately not exhaustive, for the reasons outlined above, and is modelled on indicator compilations proposed for or used in other monitoring programs. It was determined that this monitoring effort should not ‘reinvent the wheel’, particularly given the relatively few human trafficking and slavery cases in Australia compared with other countries undertaking monitoring programs. Rather, the program should be based on measures that had already been tested elsewhere. This is not to imply that these indicators simply replicate what has been collected in other countries and regions. The AIC has selected and refined measures from the available indicator ‘smorgasbord’ to compile a composite set of indicators that would work well in the Australian context.

It is important to note, however, that the monitoring program is not intended to be an evaluation or performance measurement mechanism for any particular department, agency, non-government organisation or collaborative body.

The proposed indicators are listed in Table 16. Most of these indicators fall within the *Incident and Response* conceptual elements, in part to follow the recommendation that data collection should focus on compiling information about the victim, the offender, the trafficking process, responses and the outcome of the intervention (Aronowitz 2009). A sample group of indicators have been included under *Context* to illustrate data on personal factors that might be obtainable from Australian data sources (and were recommended for inclusion in the EU Human Trafficking Reporting System). Given the potential breadth of contextual factors, data for this component of the conceptual framework will be collected and treated using environmental scans or similar qualitative approaches rather than developing discrete indicators.

- a. Potential, generic data sources for listed indicators is also provided in Table 15, as is a measure of the likelihood of the proposed indicator could be populated with either quantitative or qualitative data. This scale is based on whether:
  - data for the proposed indicators is routinely collected in administrative byproduct or similar data sources by consulted agencies;
- b. score of 2 if data is routinely collected and 0 if it is not;
  - data for the proposed indicators is not routinely collected (see a) but may be available from other sources and/or additional effort would be required by the data provider or custodian to locate or extract the data (eg from hard copy files or court transcripts);
  - score of 1 if data may be available from a non-administrative data (not applied if indicator was given a score of 2 in earlier step);
- c. score of 0 if data is not available from another source;
  - the proposed indicator is included in at least one of the international data collections described earlier;
  - score of 1 if the indicator is included in an existing data collection;
  - score of 0 for if it is not currently included.

For (a) and (b), these include indicators specifically drawn from Australian cases. For (c), these include indicators from international datasets; that is, indicators on which data is routinely collected and can be used to compare Australian data with that collated overseas.

Of the 100 proposed indicators, a third (n=33) had a score of three (3)—the highest obtainable. An additional indicator, unique to Australia—*number of victims referred to the Support for Trafficked People Program*—was added to this collection. Of the 34 indicators that might be confidently included in the first iteration of a monitoring program, 21 referred to the Incident element (one to Action and means, four to Exploitation, ten to *Victim* and six to *Offender*), 12 to the *Response* element and one to *Impacts and Outcomes*. These indicators described victim and offender characteristics, the exploitation experienced, criminal justice responses, visa status and some information on victim support.

Many of the indicators that were given a score of two for data availability were also, not surprisingly, collected in other human trafficking data collections. However, most of the indicators achieved a score of one as measures that might be supported if data was available but were not routinely collected in other human trafficking data collections. These indicators largely described actions and means for trafficking events, contextual factors, informal support provision and outcomes—all areas identified as requiring further information.

The scoring system can be applied to guide the selection of indicators for inclusion in the first iteration of the data collection tool and identify which indicators may be introduced in the future. The latter process will be informed by further consultation and update from data providers as their own systems evolve and additional assessment about the strength of each measure and the validity of the data is evaluated. However, the potential limitations of even the higher scoring indicators, particularly the problem of aggregating data from different sources and the representational accuracy of the captured population(s), cannot be overlooked. An intensive period of data development is thus recommended if the monitoring program goes ahead, to further refine the collection and identify remaining issues.

**Table 16 Proposed indicators and data population score**

Indicator	Potential data sources	Score			Total
		Data routinely collected	Data might be collected	Data collected in international programs	
Context					
Victim pre-departure situation	Case management files, court transcripts, research data (victim interviews)				
Living situation		0	1	0	1
Employment status		0	1	0	1
Income		0	0	0	0
Perception of economic status		0	0	0	0
Motives to migrate		0	1	0	1
Risk					
Incidence of human trafficking and slavery <sup>a</sup>	Law enforcement (incident reports), CDPP (conviction rates)	2	–	0	2
Prevalence of human trafficking and slavery <sup>b</sup>	Victims—Service providers (population group receiving support services)  Offenders—Law enforcement (population group charged/arrested); DPP (population group convicted)	2	–	0	2
Community understanding of human trafficking	Attitude and awareness surveys	0	1	0	1
Stakeholder understanding of human trafficking	Sector-specific awareness surveys	0	1	0	1
Community confidence in identifying a victim of human trafficking	Attitude and awareness surveys	0	1	0	1
Incident					

Table 16 Proposed indicators and data population score cont.

Indicator	Potential data sources	Score			Total
		Data routinely collected	Data might be collected	Data collected in international programs	
Action and means	Law enforcement, immigration and DPP administrative				
Country of recruitment		0	1	0	1
Method of contact	byproduct data, court transcripts, case management files,	0	1	0	1
Method of recruitment	research data	0	1	0	1
Relationship with recruiter	(interviews, consultations, surveys)	0	1	0	1
Money requested/paid		0	1	0	1
Means of transportation		0	0	0	0
Duration of transportation		0	0	0	0
Number of transit countries		0	0	0	0
Use and type of legal/fraudulent documents		0	1	0	1
Visa status/application on entry into Australia		2	–	1	3
Visa sponsors		2	–	0	2
Movement within destination country		0	0	0	0
Exploitation	Law enforcement administrative				
Type of exploitation	byproduct data, court transcripts, case management files,	2	–	1	3
Duration of exploitation	discrete research data	0	1	1	2
Sector/industry of exploitation	(interviews, consultations, surveys)	2	–	1	3
Location(s) of exploitation		2	–	1	3
Services/benefits provided		0	1	0	1
Means of control		2	–	1	3
Seizure of documents		0	1	0	1
Use of violence and abuse		0	1	0	1
Debt incurred		0	1	0	1

Table 16 Proposed indicators and data population score cont.

Indicator	Potential data sources	Score			Total
		Data routinely collected	Data might be collected	Data collected in international programs	
Victim	Law enforcement, immigration and DPP administrative				
Gender		2	–	1	3
Age	byproduct data, court transcripts, case management files	2	–	1	3
Country of birth	(government and non-government assistance), research data (victim interviews)	2	–	1	3
Country of residence		2	–	1	3
Citizenship		2	–	1	3
Education		0	1	0	1
Marital status		2	–	1	3
Children		2	–	1	3
Socioeconomic status (at time of recruitment)		0	1	0	1
Employment status		2	–	1	3
Income (at time of exploitation)		0	1	0	1
Visa status		2	–	1	3
Revictimisation status		2	–	1	3
Offender	Law enforcement and DPP administrative byproduct data, court transcripts, discrete research data				
Gender		2	–	1	3
Age		2	–	1	3
Country of birth		2	–	1	3
Citizenship		2	–	1	3
Prior status as a victim		0	1	0	1
Previous convictions		2	–	1	3
Legal status at time of detection		2	–	1	3
Member of network or organised crime group		0	1	0	1
Number of perpetrators in group		0	1	0	1
Role in trafficking/exploitation process		0	1	0	1
Relationship with victim(s)		0	1	0	1
Response	Case management files (government and non-government assistance); research data (victim interviews)				
Disclosure and referral mechanisms		0	1	0	1
Method(s) of detection		0	1	0	1
Source of disclosure		0	1	0	1
First assistance referral		0	1	0	1

Table 16 Proposed indicators and data population score cont.

Indicator	Potential data sources	Score			Total
		Data routinely collected	Data might be collected	Data collected in international programs	
Informal responses	Case management files (government and non-government assistance); research data (victim interviews)				
Support received		0	1	0	1
Disclosure to authorities		0	0	0	0
Criminal justice response	Law enforcement and DPP administrative byproduct data, court transcripts				
Number of referrals		2	–	1	3
Number of assessments		2	–	1	3
Number of investigations		2	–	1	3
Proportion of assessments that proceed to investigation		0	1	0	1
Investigation outcome		0	1	1	2
Charges at arrest		2	–	1	3
Brief and committal outcomes		0	1	0	1
Charges proceeded against		2	–	1	3
Offence outcome		2	–	1	3
Sentence imposed		2	–	1	3
Conviction appealed		2	–	1	3
Grounds for appeal		0	1	0	1
Offence outcome at appeal		2	–	1	3
Length of time between filing and disposition (first instance and appeal)		2	–	0	2
Victim support		Case management files (government and non-government assistance); research data (victim interviews)			
Type of agency	2		–	0	2
Number of victims referred to STPP	2		–	–	2
Support/assistance provided	2		–	1	3
Number of persons who were refused assistance	0		0	0	0
Number of persons who declined/accepted assistance	2		–	0	2
Length of time receiving assistance	2		–	0	2
Received services in the past	2		–	0	2
Visa support	Immigration administrative byproduct data				
Number of victims/proportion of applicants granted visas		2	–	1	3
Victim compensation	—				

**Table 16 Proposed indicators and data population score cont.**

Indicator	Potential data sources	Score			Total	
		Data routinely collected	Data might be collected	Data collected in international programs		
Victim compensation received		0	1	1	2	
Legislative and policy response	Anti-Trafficking Inter-departmental Committee					
New legislative and whole-of-government response initiatives		2	–	0	2	
Information-sharing agreements		0	0	0	0	
Implementation of crime prevention initiatives		0	1	0	1	
Impacts and outcomes						
Criminal justice outcomes	Research data (victim interviews)					
Victim satisfaction with criminal justice outcome		0	1	0	1	
Victim support outcomes	Case management files (government and non-government assistance); research data (victim interviews)					
Health outcomes		0	1	0	1	
Employment outcome		0	1	0	1	
Education outcome		0	1	0	1	
Residency outcome		0	1	0	1	
Victim satisfaction with support received		0	1	0	1	
Victim residency/repatriation outcomes	Immigration administrative byproduct data, case management files (government and non-government assistance), research data (victim interviews)					
Permanent residency/repatriation status		2	–	1	3	
Country returned to		?	1	0	1	
Repatriation assistance provided		0	1	0	1	
Intention		0	0	0	0	
Re-entry		Law enforcement and DPP administrative byproduct data, case management files (government and non-government assistance)				
Victims that re-enter criminal justice system			2	–	0	2
Victims that re-enter formal victim support systems			2	–	0	2
Offenders that re-enter criminal justice system	2		–	0	2	

a: Incidence is the number of incidents of a specified crime for a defined population within a specified reference period

b: The number (or rate) of victims or offenders of a specified crime for a defined population within a specified reference period

Note: The UNODC Case Law Database was not included in the calculation of the scores because it is an archival record rather than a reporting system. The database's lack of collection procedures and collection timeframe would make it difficult to extract comparable data.



# Options for monitoring human trafficking and slavery

There is in-principle commitment from stakeholders to the implementation of an ongoing monitoring program on human trafficking and slavery, with the AIC as the identified administrator and data custodian to the program if it proceeds. However, this commitment must also be accompanied by recognition that a formal monitoring program will need to be fully developed over time, given the current state of data collected for human trafficking and slavery matters, and as existing datasets are developed and refined to provide better coverage of the core data required for such a monitoring program to be effective. This final section outlines the articulated benefits of implementing a monitoring program on human trafficking and slavery, and the options available to fulfil that objective or more modest monitoring efforts.

## Benefit of a monitoring program

An important consideration in examining options for monitoring human trafficking and slavery is the benefit of developing a formal, ongoing monitoring program. While the prevalence of human trafficking and slavery as it affects Australia is unknown, it is not an overly common form of criminal activity and whether an enhanced monitoring effort should be

developed needs to be examined in the context of practicality and ultimate need and usefulness. Some of the practicalities involved in the establishment of such a monitoring program have been addressed in part in the previous discussion.

Agencies were specifically asked about the broader benefits of a monitoring program on human trafficking and slavery, as well as those specific to their agency. All agencies expressed support for an ongoing monitoring program and a willingness to contribute data. The overall benefit of the monitoring program (and the conceptual framework on which it rests) was the consolidation of existing information to produce a central, more comprehensive panorama of human trafficking and slavery as it occurs and is responded to in Australia. However, the main benefits identified by individual agencies centred on broadening agency knowledge (eg on common methods of trafficking), informing program policies and procedures (such as assessment processes and identifying appropriate services and support for victims) and in particular, the anticipated positive outcome of creating a formalised process for data collation. Specifically, it was presumed that the implementation of a monitoring program would encourage wider, more official data sharing arrangements; this in turn would influence agency commitment to improving the accuracy and reliability of data and the usefulness of the data for

intelligence, reporting and case management purposes. The monitoring program also offered the opportunity for the analysis of data that is generally not used outside mandatory reporting requirements.

## Options for monitoring human trafficking and slavery

There are four fundamental factors that should be considered before there is any authorised commencement towards the development of a new monitoring program. Two of these factors have already been raised—the long-term benefit attributed to monitoring and the commitment of data providers to routinely collate data in a format that is useable for the monitoring effort. As noted before, stakeholders were united in their views on the benefit of a monitoring program and for the most part confident that commitment to the program would be sustained. ‘Good will’, as noted by one consulted agency, is often easy to achieve at the early stages of such an endeavour but longer term commitment may not always be forthcoming if stakeholders (particularly data providers) are not made aware of the investment required to move forward.

A third factor, which is related to benefit, is the ultimate purpose of the monitoring program. That purpose is predicated to some extent on the interests of immediate stakeholders but should also attend to those interests from a broader group of consumers, including the data custodian, the states and territories, and the community. In that sense, the monitoring of human trafficking and slavery has to become more than an instrument for operational and reporting functions and avoid being consigned to a performance measurement tool. The function of the proposed monitoring program, like that of other AIC monitoring programs such as the NHMP, NDICP and DUMA, is to provide as complete as possible a statistical depiction of the phenomenon under examination that is understandable, useful and informative to the wider audience and its needs.

The final factor concerns the availability of resources (for data providers and custodian alike) and the ultimate effort required to develop and administer a formal monitoring program in place of less resource-intensive efforts. These resources include those

required to ensure the data collection is properly formulated, administered, tested and maintained over a sustained period. The variable nature and status of human trafficking and slavery data, compared with that collated for other AIC monitoring programs, suggests that data development and the first years of data collection will be less straightforward, with greater involvement needed to further refine the data and how it is provided. With these factors in mind, the following proposes three options for monitoring human trafficking and slavery in Australia.

### *Option 1: Maintain the status quo*

The first option is to continue reporting on human trafficking and slavery as undertaken in the annual reports to the IDC. At present, outside of the human trafficking and slavery monitoring reports previously published by the AIC (see below), the IDC reports remain the only published compendium on human trafficking and slavery matters in Australia, and its content has grown as more agencies are invited to contribute to the annual findings.

The benefit of maintaining the status quo is that it reinforces a data collection process that is already in place and to which data providers are obliged as well as willing to contribute to. It therefore requires no further resources from participating agencies. The reports are also publicly available (on the Attorney-General’s Department website), thus providing information to the wider audience. However, the proposal for a monitoring program, supported by those who contribute to the IDC report, suggests that while the IDC reports are an important resource, the preferred goal is to expand on what is currently published. In other words, staying with the status quo restricts the compilation of human trafficking and slavery data to that customary for an administrative report.

### *Option 2: Renew the original AIC monitoring report series*

The second option proposes renewing the AIC’s human trafficking and slavery monitoring report series in the format previously used. These reports, like the IDC reports, provide clear statistics drawn from administrative data. In the previous reports, these data mostly focused on victim characteristics

and criminal justice responses (as these were the only data available at the time) but were supplemented with summaries of recent developments in preventing and counteracting human trafficking and slavery, and findings from the AIC research program.

The data stocktake for this study indicated that some additional data to that presented in earlier reports could be sourced for the report series, without the need to investigate a data collection process essential for a formal monitoring program. Like the IDC report process, data gathering is also generally straightforward. An added benefit is that the AIC is often the first port of call for information on crime and criminal justice matters and hence the monitoring reports are better placed to be that comprehensible source of information for the wider audience. Nonetheless, changes to the content of the IDC report in recent years risks replication of effort between the two reporting series if they are both based only on what data is at hand and able to be easily obtained. There is also the risk that data providers may not see the relevance of providing the same data (albeit captured in different annual presentations) for products that might be perceived as ostensibly identical (ie there is no value add to the exercise). If this option is pursued, the preference is to gradually introduce a process where new data is sourced that more fully develops the representation of human trafficking and slavery over time.

### *Option 3: Develop and pilot a small-scale data collection*

The third option is an extension on the renewal and refreshment of the monitoring report series by augmenting the process of sourcing new data. To this end, it proposes the development and piloting of a small-scale data collection process incorporating the 34 indicators identified as potentially ready for inclusion in a monitoring program. These 34 indicators are those which are routinely collected in administrative datasets (and hence theoretically able to be provided with minimal effort) and replicated in at least one of the international data collections. In the first instance, those data that can be reliably transmitted by identified providers will form the dataset, with the option to scope outwards in future years where and if data can be sourced and provided in a reliable format.

Some of the data that would be incorporated into the dataset are, however, already compiled in the IDC reports (see Table 17). Of the 34 indicators proposed for inclusion in the first iteration of the monitoring program, 16 (47%) are also available (as statistics or in descriptive format) in the 2013–14 IDC report. Some of these data, however, rely on single sources of information (ie potentially reporting underestimated or unrepresentative findings) or are less detailed in presentation. The value of the monitoring program in collating and describing these indicators is that the data will have undergone further steps in refinement and combination to produce a more context-laden description of human trafficking and slavery matters.

**Table 17 Duplication of indicator data in IDC annual report**

Proposed indicators		Reported in IDC annual report
<b>Incident</b>		
Action and means		
Visa status/application on entry into Australia	Yes	Suspected victims on a valid visa Type of visa (descriptive)
<b>Exploitation</b>		
Type of exploitation	Yes	Matters referred to AFP—sexual or labour exploitation (% in reference period)  Clients on STPP—sexual or labour exploitation (number and % in reference period, by gender)  Finalised and ongoing prosecutions (descriptive)
Sector/industry of exploitation	Yes	Finalised and ongoing prosecutions (descriptive per individual matter)
Location(s) of exploitation	No	
Means of control	No	
<b>Victim</b>		
Gender	Yes	New clients to STPP (number in reference period)
Age	No	
Country of birth	No	
Country of residence	No	Finalised and ongoing prosecutions (where described per individual matter)
Citizenship	Yes	New clients to STPP (citizenship—number in reference period)
Marital status	No	
Children	No	
Employment status	Yes	Finalised and ongoing prosecutions (where described per individual matter)
Visa status	Yes	Suspected victims on a valid visa Type of visa (descriptive)
Revictimisation status	No	
<b>Offender</b>		
Gender	Yes	Finalised and ongoing prosecutions (where described)
Age	No	
Country of birth	No	
Citizenship	No	

**Table 17 Duplication of indicator data in IDC annual report cont.**

Proposed indicators	Reported in IDC annual report	
Previous convictions	No	
Legal status at time of detection	No	
<b>Response</b>		
<b>Criminal justice response</b>		
Number of referrals	Yes	Reports (and victims) referred by DIBP to AFP (number in reference period)
Number of assessments	Yes	Total assessments and investigations for two time periods—January 2004 to most recent date and last financial year (number)
Number of investigations	Yes	
Charges at arrest	No	
Charges proceeded against	No	
Offence outcome	Yes	Matters finalised (where described)
Sentence imposed	Yes	Finalised prosecutions (where described)
Conviction appealed	Yes	Matters at appeal (number in reference period)
Offence outcome on appeal	—	
<b>Victim support</b>		
Number of victims referred to STPP	Yes	New clients (number in reference period) Total clients (number in reference period)
Support/assistance provided		
<b>Visa support</b>		
Number of victims/proportion of applicants granted visas	Yes	Visas granted by visa type (number in reference period)
<b>Impacts and outcomes</b>		
<b>Victim residency/repatriation outcomes</b>		
Permanent residency/repatriation status	No	

In proposing option 3, the realities of the investment required to produce a monitoring program need to be acknowledged by interested parties, particularly those involved in the provision and administration of the monitoring data. Three critical steps are proposed to ensure that data collation and transmission is streamlined if the monitoring program eventuates. These refer to data development standards such as those prescribed by the ABS and AIHW (see, for example, AIHW 2007) and include:

- adherence to existing standards where available or, in the absence of these, indicators used in international human trafficking data collections as a measure of standardisation;
- creation of data specifications to define each indicator and associated value domains and collection rules, and the compilation of these in a data dictionary or similar; and
- field testing the data collection.

The objectives of field testing are to assess the interpretability of data items, the ease and simplicity of data extraction and transmission, and the quality of the data provided. Test findings will also allow further reexamination of the utility of proposed data items, the identification of potential issues with analysis and any further refinement of data items.

## Conclusion

Usefulness and ultimate need are arguably the main authorities on which monitoring activities rest. However, an assessment of the genuine contribution of a monitoring program on human trafficking and slavery for Australia also needs to confirm—before any development work commences—that the costs and effort in undertaking the process are balanced by an end result that significantly and genuinely enhances the monitoring of human trafficking and slavery in Australia. An end product that is a replication or provides minor improvement on information already available would not justify the

increased resources required to undertake the monitoring process.

That said, each of the options proposed in this report have their benefits. Simplicity and practicality, as characterised by the IDC and original AIC monitoring reports, are dependable features, particularly where the compilation of consistent and comparable data is less reliable. Enhancement to develop the picture further is equally attractive, if it can be confidently achieved with long-term support in place.

This paper has highlighted the utility and challenges of an Australian monitoring program on human trafficking and slavery, and the technical requirements for establishing a standardised data collection process. The challenges are substantial, but not insurmountable; however, approaches to address these challenges are restricted by data and resource availability. Such constraints are not unique to Australia and are reflected in the approaches international monitoring programs and datasets have taken to collect and present data. As a result, most of the ongoing international programs are modest in scope.

First-stage consultations indicated momentum for the establishment of a monitoring program on human trafficking and slavery. Further consultations with relevant agencies will be required to discuss and confirm preference for the options proposed. This momentum must be accompanied by a refreshed awareness of the challenges attached to such an undertaking and a pragmatic approach to the development process. To proceed to a fully fledged monitoring program, the next phase in development will involve three primary steps—formal follow-up with identified data providers to confirm data quality and data provision logistics, development of data collection tools and data specifications, and pilot testing the collection tools and data transmission processes. The outcome of the pilot test will be presented in a companion report to this publication.

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All URLs correct at January 2015

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# Appendix A

Shown in Table A1 is a list of indicators or data items collected or proposed for collection in the nine data collections described in the section on international data collection and monitoring. The purpose of the Table is to demonstrate both the variability in the

types of indicators selected for inclusion, as well as to highlight those indicators that are uniformly included across the data collections. A tick indicates the variable is included in specific data collections.

**Table A1 Comparison of indicator themes collected or proposed for collection in selected human trafficking and slavery data collections**

	IOM CTM Database	DCIM & DCIM-EU	ILO Operational Indicators	US DoJ HTRS	EU HTRS	UNODC Global Report on TIP	Dutch National Rapporteur on THB	BKS National Situation Reports on THB	EUROSTAT THB	UNODC Case Law Database
Victim pre-departure information										
Economic status					✓					
Motive to migrate					✓					
Incident										
Method of recruitment	✓		✓		✓			✓		✓
Country of recruitment		✓								✓
Travel route	✓	✓			✓	✓ <sup>a</sup>			✓ <sup>a</sup>	
Duration of transportation										
Means of transportation		✓			✓					
Use of (fraudulent) documents										
Use of (fraudulent) documents	✓	✓			✓					
Harbouring										
Harbouring					✓					
Place of harbouring										
Place of harbouring					✓					
Type of exploitation										
Type of exploitation	✓	✓	✓	✓	✓	✓		✓	✓	✓
Location of exploitation										
Location of exploitation				✓	✓					✓
Duration of exploitation										
Duration of exploitation					✓					
Sector of exploitation										
Sector of exploitation					✓					✓
Means of control										
Means of control	✓	✓	✓		✓		✓			✓
Seizure of documents										
Seizure of documents			✓		✓					
Use of violence or threat										
Use of violence or threat			✓		✓					
Debt bondage										
Debt bondage			✓		✓					

Table A1 Comparison of indicator themes collected or proposed for collection in selected human trafficking and slavery data collections cont.										
	IOM CTM Database	DCIM & DCIM-EU	ILO Operational Indicators	US DoJ HTRS	EU HTRS	UNODC Global Report on TIP	Dutch National Rapporteur on THB	BKS National Situation Reports on THB	EUROSTAT THB	UNODC Case Law Database
Restrictions on movement					✓					
Means of exit	✓									
Relationship victim and offender	✓				✓					
Number known victims				✓						✓
Number known suspects				✓						✓
Victim										
Gender	✓	✓		✓	✓	✓	✓	✓	✓	✓
Age	✓	✓		✓	✓	✓	✓	✓	✓	✓
Country of birth	✓				✓					✓
Country of origin	✓	✓								✓
Citizenship	✓	✓		✓	✓	✓	✓	✓	✓	✓
Ethnicity				✓						✓
Location/place of residence		✓								✓
Marital status	✓	✓			✓					
Children	✓	✓			✓					
Education	✓	✓			✓					
Socioeconomic status	✓	✓								
Employment status at time of recruitment		✓								
Legal status	✓	✓			✓			✓		

Table A1 Comparison of indicator themes collected or proposed for collection in selected human trafficking and slavery data collections cont.

	IOM CTM Database	DCIM & DCIM-EU	ILO Operational Indicators	US DoJ HTRS	EU HTRS	UNODC Global Report on TIP	Dutch National Rapporteur on THB	BKS National Situation Reports on THB	EUROSTAT THB	UNODC Case Law Database
Criminal record					✓					
Revictimisation status	✓	✓			✓					
Offender										
Gender	✓	✓		✓	✓	✓	✓	✓	✓	✓
Age	✓	✓		✓	✓		✓			✓
Country of birth					✓		✓	✓		✓
Citizenship	✓	✓		✓	✓	✓		✓	✓	✓
Ethnicity				✓						✓
Country of residence		✓			✓					✓
Education					✓					
Occupation					✓					
Criminal record					✓					✓
Prior status as victim	✓									
Legal status	✓				✓					
Member of organised crime group	✓				✓					
Role in trafficking event		✓			✓					✓
Number of victims involved		✓								✓
Response										
Number of investigations	✓									
Lead investigating agency				✓						

Table A1 Comparison of indicator themes collected or proposed for collection in selected human trafficking and slavery data collections cont.

	IOM CTM Database	DCIM & DCIM-EU	ILO Operational Indicators	US DoJ HTRS	EU HTRS	UNODC Global Report on TIP	Dutch National Rapporteur on THB	BKS National Situation Reports on THB	EUROSTAT THB	UNODC Case Law Database
Manner of contact								✓		
Other offences identified								✓		✓
Arrests	✓									
Number charged	✓				✓ <sup>b</sup>					
Charges at arrest		✓		✓						
Prosecutions	✓									✓
Outcome		✓					✓		✓	✓
Conviction	✓					✓	✓			✓
Sentence	✓						✓			✓
Conviction appealed		✓					✓			✓
Outcome of appeal		✓								✓
Sentence (at appeal)		✓								✓
Victim participation with law enforcement	✓									
Victim participation in prosecution	✓									
Received protection		✓							✓	
First assistance referral					✓					
Assistance received		✓		✓	✓				✓	
Type of assistance		✓		✓	✓			✓		
Assistance received for repatriation					✓					

Table A1 Comparison of indicator themes collected or proposed for collection in selected human trafficking and slavery data collections cont.

	IOM CTM Database	DCIM & DCIM-EU	ILO Operational Indicators	US DoJ HTRS	EU HTRS	UNODC Global Report on TIP	Dutch National Rapporteur on THB	BKS National Situation Reports on THB	EUROSTAT THB	UNODC Case Law Database
Previously received assistance		✓								
Victims refused assistance	✓									
Victims declined assistance	✓									
Victims accepted assistance	✓									
Residency status/visa arrangements	✓	✓					✓		✓	
Victim compensation	✓	✓					✓			
Repatriation status	✓	✓								

a: Domestic, regional or transnational trafficking

b: Number of offences recorded/Most serious offence

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