



PERSONNEL AND  
READINESS

**OFFICE OF THE UNDER SECRETARY OF DEFENSE**  
4000 DEFENSE PENTAGON  
WASHINGTON, D.C. 20301-4000

AUG 17 2018

MEMORANDUM FOR: SEE DISTRIBUTION

SUBJECT: 2018 Combating Trafficking in Persons Annual Self-Assessment

Pursuant to Department of Defense (DoD) Instruction 2200.01, "Combating Trafficking in Persons (CTIP)," reissued April 21, 2015, all Office of the Secretary of Defense (OSD) and DoD Component Heads must conduct and provide results of an annual CTIP self-assessment to the DoD CTIP Program Management Office (PMO). This year's self-assessment (attached) consolidates annual reporting requirements, including CTIP training requirements, accomplishments for reporting to the U.S. Department of State, and inputs for the U.S. Attorney General's Report to Congress.

The DoD CTIP PMO no longer requires the reporting of training numbers; however, in keeping with the Under Secretary of Defense for Personnel and Readiness Information Memo, "Administrative and Personnel Policies to Enhance Readiness and Lethality Final Report-Summary Actions," dated March 1, 2018, CTIP training is required within one year of initial entry on duty. Accordingly, all OSD and DoD Component Heads should describe in the self-assessment, their method used to track such initial entry training. Please be advised that if DoD receives an audit request or congressional inquiry, you may be asked to provide the number of personnel trained upon their initial entry.

The self-assessment should be coordinated at the Senior Executive Service, General Officer, or Flag Officer level. Results are due to the DoD CTIP PMO by November 30, 2018, and may be submitted to my point of contact for CTIP, Ms. Linda Dixon, who can be reached at 571-372-1974, or by email at [linda.k.dixon7.civ@mail.mil](mailto:linda.k.dixon7.civ@mail.mil).

A handwritten signature in black ink, appearing to read "Stephanie Barna".

Stephanie Barna

Performing the Duties of the Under Secretary of  
Defense for Personnel and Readiness

Attachment:  
As stated

**DISTRIBUTION:**

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## 2018 Combating Trafficking in Persons Annual Self-Assessment Report

In accordance with Department of Defense Instruction (DoDI) 2200.01, “Combating Trafficking in Persons (CTIP),” all Office of the Secretary of Defense (OSD) and Department of Defense (DoD) Component Heads must conduct and provide the results of an annual self-assessment to the DoD CTIP Program Office.\*

This guide will assist each Component in completing its annual self-assessment report, which assesses the strengths, weaknesses, and effectiveness of each Component’s CTIP program implementation. The assessment includes reporting on suspected trafficking in persons (TIP) incidents, investigations, prosecutions, and training programs. The self-assessment can be found on the DoD CTIP website at <http://ctip.defense.gov/Resources.aspx>.

This assessment consolidates reporting requirements previously requested from each Component Head annually, including training requirements, accomplishments for annual reporting to the U.S. Department of State, and input for the U.S. Attorney General’s Report to Congress on CTIP. A breakdown of each section is as follows:

Section One: Method to track initial entry training requirement

Section Two: Accomplishments for Annual Reporting to the U.S. Department of State

Section Three: Input for U.S. Attorney General’s Report to Congress on CTIP

Section Four: Additional Programmatic Accomplishments

\*Component/Agency responses should be coordinated at the appropriate Senior Executive Service/General Officer/Flag Officer level.

\*\*The information collected in this assessment is subject to DoD Office of Inspector General (DoD OIG), U.S. Government Accountability Office (GAO), and other Agency audits or evaluations.

The following are examples of CTIP audits/evaluations:

- DoD OIG, “Evaluation of the Entire DoD Combating Trafficking in Persons Program,” (2014)
- DoD OIG, “On-going: Evaluation of DoD Efforts to Combat Trafficking in Persons at DoD Facilities in Kuwait” (2017 - on-going)
- GAO-15-102, “HUMAN TRAFFICKING: Oversight of Contractors’ Use of Foreign Workers in High Risk Environments Needs to be Strengthened” (2014);
- GAO-16-528R, “HUMAN TRAFFICKING: Actions Taken to Implement Relevant Statutory Provisions,” (2015);
- GAO-16-555, “HUMAN TRAFFICKING: Agencies Have Taken Steps to Assess Prevalence, Address Victim Issues, and Avoid Grant Duplication,” (2016);
- GAO Engagement Code 100339, “State Department’s Trafficking in Persons (TIP) report,” (2016);
- GAO 17-468, “DOD TRAINING: DOD Has Taken Steps to Assess Common Military Training,” (2017)

**Reporting Organization Name:**

**TIP Point of Contact Name:**

**TIP POC Email:**

**SECTION ONE: CTIP Training Method Description**

Please describe method used to track initial entry training requirement in accordance with the March 1, 2018 Under Secretary of Defense for Personnel and Readiness (USDP&R) Information Memorandum.<sup>1</sup> The CTIP Program Management Office no longer requires the reporting of training numbers. However, please be advised that you may be asked to provide the number of initial entry personnel trained if DoD receives an audit or a Congressional inquiry.

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<sup>1</sup> Under Secretary of Defense for Personnel and Readiness Information Memorandum, "Administrative and Personnel Policies to Enhance Readiness and Lethality Final Report-Summary Actions," March 1, 2018.

## **SECTION TWO: Annual U.S. Department of State Reporting - 2018 Accomplishments**

Answer the following questions to fulfill the requirements for reporting Component CTIP accomplishments to the U.S. Department of State (DOS) for FY 2018. Please also include any anticipated accomplishments and actions to combat trafficking in persons during the next year.

For accomplishments that do not apply to these criteria, include them in Objective 11, "Other Accomplishments." Enter a response of "Not Applicable" for objectives that do not apply.

Example responses are in red text.

1. Investigate and prosecute traffickers and dismantle the criminal networks that perpetrate trafficking in persons.
  - Example: Subject (Civilian) was arrested after responding to an advertisement for sexual relations with a 13-year-old military dependent. The Subject requested nude photographs of the victim's "top" and "bottom." Subject admitted to communicating with a minor and traveling to perform sex with the minor. On March 3, 2016, the Subject was found guilty of attempt to violate 18 U.S.C. § 2242(b), Coercion and Enticement, at a Federal Jury Trial in Virginia. Subject was sentenced to 10 years in prison; 5 years supervised release, and was required to register as a sex offender.
2. Enhance victim identification and the provision of relief and services for all victims of trafficking.
  - Example: U.S. Pacific Command provided support to the Rohingya maritime migrant situation by conducting surveillance and reconnaissance operations to locate Rohingya migrant vessels and pass on information to regional governments and military counterparts. Although numbers are unknown, some are believed to have been victims of human trafficking.
3. Enhance training of stakeholders, including civil society, law enforcement, and government officials, to increase identification of victims.
  - Example: Defense Contract Management Agency (DCMA), with the help of Army Contracting Command, created a realistic training by adding situations of human trafficking with real actors during a Contingency Contracting course/exercise held in September 2015 at Fort Lee, Virginia. The main theme was based on dining facilities personnel who complained of their trafficking situations to the Quality Assurance Personnel and the Contracting Officers. DCMA trainees were unaware the CTIP exercise would take place within the training and reacted properly, as trained.
4. Encourage foreign governments to combat trafficking through international diplomacy and engagement.
  - Example: DoD worked with foreign partner militaries in over 50 countries to instruct them in counter-trafficking. Defense Institute of International Legal Studies



expeditionary courses, such as Human Rights, Law of Armed Conflict, Border Security, and Maritime Security, and the twice-annual resident course on Law of Armed Conflict and Human Rights include instruction on such topics as sexual and gender based violence, violence against women, trafficking in persons, sexual exploitation and assault, and the exploitation of children in armed conflict. The courses trained an estimated 450 foreign military members.

5. Forge and strengthen partnerships and other forms of collaboration to counter trafficking in persons.
  - Example: Eglin Air Force Base (AFB) partnered with the local Child Advocacy Center to conduct training for 53 parents, 37 youth, and 210 professionals, including Department of Children and Families abuse investigators, law enforcement personnel, and Air Force of Special Investigation employees. In 2016, Eglin AFB held a parents and teens training through the Youth Center and used the National Runaway Safeline materials. Part of this training covered human trafficking as part of the cyber safety portion.
6. Fund domestic and international anti-trafficking programs focusing on victim identification, prevention, and outreach.
  - Example: From March 1-3, 2016, the U.S. Embassy Office of Defense Cooperation in Kathmandu, Nepal, hosted a Girls Mentorship and Awareness Workshop. The workshop was designed to promote awareness on gender-related issues to include TIP and is particularly significant given the Nepal earthquake in 2015 and the resulting need to educate young girls of their legal rights, the scope of the problem of trafficking in persons, the different variations, and how to identify, avoid, and report the threat. Approximately 48 Nepalese girls attended the event.
7. Integrate anti-trafficking components into relevant government programs.
  - Example: U.S. Northern Command (USNORTHCOM) extended the integration of CTIP into its Joint Training and Exercises to include this year's scenario for ARDENT SENTRY 16 of a major earthquake in the Pacific Northwest in the Cascadia Subduction Zone. ARDENT SENTRY 16 re-exposed USNORTHCOM staff to a CTIP vignette and encompassed a new linked training audience at the Regional (Federal Emergency Management Agency Region X) and State (Washington and Oregon) levels. Approximately 10,000 participants had access to the emulated social media site where the CTIP vignette played out.
8. Promote public awareness about modern slavery.
  - Example: The Defense Security Service (DSS) continues to increase awareness of human trafficking for agency personnel through annual awareness training regulations; Security Tidbits, such as flyers and short informational announcements; and new employee orientation briefings. Additionally, DSS Security has posted on its intranet web page a dedicated space directing all DSS personnel to the latest websites and

informational videos from the DoD CTIP Office.

9. Spur innovation and improve capacity to combat modern slavery through data collection and research.

- Example: U.S. Air Force CTIP Policy officials attended a conference hosted by the Aspin Institute, titled “Launch of Model Anti-Trafficking Compliance Plan for Federal Contractors.” During the conference, they received an overview of and access to ResponsibleSourcingTool.org, a comprehensive online resource for understanding the risks of human trafficking in supply chains. Tools on this site allow individuals to select a certain industry or commodity and identify locations known or suspected to be sourced with child or forced labor. Additionally, the tools alert users to look at the lowest level of the supply chain. The U.S. Air Force plans to adopt these tools in August 2016.

10. Gather and synthesize actionable intelligence to increase the number of domestic and international trafficking prosecutions.

- Example: Naval Criminal Investigative Service (NCIS) Special Agents collect actionable intelligence in support of CTIP. As of June 2016, NCIS has published 149 Intelligence Information Reports involving human trafficking.

11. Other Accomplishments

- Example: DoD established a multidisciplinary Strategic Planning Task Force to provide advice and recommendations for improving current implementation, execution, and oversight of CTIP in DoD contracts.

**SECTION THREE: Inputs for the U.S. Attorney General’s Report to Congress on CTIP**

Complete the questions to fulfill the reporting requirements for the Attorney General’s Report to Congress on CTIP for FY 2018. The Trafficking Victims Protection Act (22 U.S.C. §7103(d)(7)) mandates the annual collection of the following information. The information requested also covers Congressional mandates.

1. Educational efforts for, and disciplinary actions taken against, members of the United States Armed Forces.
2. The development of materials used to train the armed forces of foreign countries.
  - Include any additional FY 2018 material as necessary.
3. All known trafficking in persons cases reported to the USDP&R.

**Sample Summary Reporting Chart for MCIOs**

**Reporting Organization Name:**

**TIP Point of Contact, Name and Email:**

	Military	Civilian	Contractors	Sex Trafficking	Forced Labor
Investigations					
Arrests					
Indictments					
Prosecutions					
Convictions					
Non-Judicial Administrative Actions					
Pending Actions					
Referral To Non-DoD- Authorities					
Unsubstantiated/ No Action Taken					
Complainant Declined To Provide Further Information					
Trafficking Victim					

Please provide the below information for all FY 2018 cases reported to DoD. Include all previously opened cases that closed in FY 2018.

- Case number
- Date of incident (month & year)
- Location
- Grade of subject(s) or name of contractor and servicing agency
- TIP violation(s) and charges brought against the subject(s)
- Brief description of the incident
- Outcome
- Date the case was closed

4. Efforts to ensure U.S. Government contractors and their employees or U.S. Government subcontractors and their employees do not engage in trafficking in persons.



- Example: In March 2017, a prime contractor providing dining facility services in the Southwest Asia region signed an Administrative Compliance Agreement (ACA) to avoid a debarment. A joint Army Criminal Investigative Command and Defense Criminal Investigative Service investigation identified suspected trafficking in persons violations, including: substandard, unsanitary and inadequate living conditions, use of a recruiting agency that resulted in debt bondage, failure to pay employees in accordance with host nation law, physical assault of employees, and forcing employees to work overtime. As a part of the ACA, the contractor agreed to hire an independent monitor for contract compliance, enhance its contractor responsibility program, have additional contractor reporting requirements, fully cooperate with investigations, and provide access to books and records. The contractor also agreed to a written policy against doing business with suspended or debarred individuals or entities.
5. All trafficking in persons activities of contractors reported to the Under Secretary of Defense for Acquisition and Sustainment (USDA&S).
- Please provide the below information for any FY 2018 TIP activities involving contractors that were reported to the USDA&S. Include all previously opened cases that closed in FY 2018.
    - Case number
    - Date of the incident (month and year)
    - Location
    - Name of contractor and servicing agency
    - TIP violation(s)
    - Brief description of the incident
    - Outcome
    - Date the case was closed

**SECTION FOUR: Additional Programmatic Accomplishments**

Respective stakeholders should complete their section. These accomplishments coincide with those Component/Agency responsibilities as outlined in DoDI 2200.01.

Mandatory Requirements for Secretaries of the Military Departments		
Checklist Item	Yes	Comments
Develops specialized training for legal counsel and staff judge advocates, including incorporating CTIP scenarios in the area of responsibility, updating applicable operational handbooks.	<input type="checkbox"/>	
Determines follow-on training as needed. E.g. - pre-deployment training.	<input type="checkbox"/>	
Establishes a memorandum of understanding with domestic and host nation law enforcement agencies and nongovernmental organizations that outlines methods to provide aid to victims of TIP in line with U.S. Government policy.	<input type="checkbox"/>	
Identifies commercial establishments patronized by DoD personnel that have indicators of TIP, places offending establishments off-limits, and provides support to host-country authorities.	<input type="checkbox"/>	
Engages host-nation government agencies to facilitate mutual understanding of processes and procedures to enable collaboration in CTIP efforts, as appropriate.	<input type="checkbox"/>	
Conducts periodic review to assess the effectiveness of CTIP program implementation.	<input type="checkbox"/>	

**Mandatory Requirements for Chairman of the Joint Chiefs of Staff**

<b>Checklist Item</b>	<b>Yes</b>	<b>Comments</b>
Integrates CTIP as part of the overall force planning function within any force deployment decision.	<input type="checkbox"/>	
Assesses the Combatant Commanders' joint plans, deployment orders, exercises, joint publications, post conflict plans, and other relevant documents for relevant CTIP information.	<input type="checkbox"/>	
Ensures the inclusion and implementation of CTIP during military operations.	<input type="checkbox"/>	
Monitors implementation of CTIP in all new and revised Global Force Management directives.	<input type="checkbox"/>	
Monitors joint and combined exercises and planning processes for integration of CTIP.	<input type="checkbox"/>	
Conducts periodic review to assess the effectiveness of CTIP program implementation.	<input type="checkbox"/>	

**Mandatory Requirements for Combatant Commanders**

<b>Checklist Item</b>	<b>Yes</b>	<b>Comments</b>
Develops an Outside the Continental United States (OCONUS) program to establish guidelines and procedures for OCONUS units to address TIP in their operating environments, coordinating with the Joint Chiefs of Staff.	<input type="checkbox"/>	
Addresses CTIP within applicable concept of operations for use by deployed joint task force headquarters.	<input type="checkbox"/>	
Develops and implements CTIP policy and program guidance unique to each Combatant Command, supplementing DoD CTIP training, including cultural and legal considerations for their respective areas of responsibility.	<input type="checkbox"/>	
Provides subordinate component commanders with TIP intelligence and information pertinent to ongoing theater and country TIP issues.	<input type="checkbox"/>	
Identifies commercial establishments patronized by DoD personnel that have indicators of TIP, places offending establishments off-limits, and provides support to host-country authorities.	<input type="checkbox"/>	
Ensures commanders and directors OCONUS engage local host nation government agencies to facilitate mutual understanding of processes and procedures to enable collaboration in CTIP efforts.	<input type="checkbox"/>	
Conducts periodic review to assess the effectiveness of CTIP program implementation.	<input type="checkbox"/>	

**Mandatory Requirements for Under Secretary of Defense for Policy**

<b>Checklist Item</b>	<b>Yes</b>	<b>Comments</b>
Incorporates anti-TIP and TIP-protection measures for vulnerable populations, as allowed by law, in particular for women and children, into post-conflict and humanitarian emergency assistance programs in accordance with 22 U.S.C. § 7104(h) and Public Law (P.L.) 113-4.	<input type="checkbox"/>	
Establishes policy and provides guidance to rehabilitate and reintegrate recovered child soldiers in accordance with sections 401-407 of P.L.110-457.	<input type="checkbox"/>	
Represents the DoD in the annual U.S. Government TIP sanction review process in accordance with section 110 of P.L. 106-386 and prepares and coordinates, as required, the review and approval of DoD national interest waivers of proposed DOS sanctions.	<input type="checkbox"/>	
Collaborates with coalitions, international and intergovernmental organizations that address TIP and serves as the DoD liaison to their committees and advisory groups, as appropriate.	<input type="checkbox"/>	
Works with state and local agencies to develop a mutual understanding of their respective CTIP efforts and coordinates how state, local, and DoD efforts may best work in unison, as appropriate.	<input type="checkbox"/>	
Supports training of international and partner stakeholders; collaborates with foreign government counterparts to forge and strengthen partnerships and other forms of engagement for CTIP.	<input type="checkbox"/>	
Conducts periodic review to assess the effectiveness of CTIP program implementation.	<input type="checkbox"/>	



**Mandatory Requirements for Under Secretary of Defense  
for Acquisition and Sustainment**

<b>Checklist Item</b>	<b>Yes</b>	<b>Comments</b>
Advises and assists the USDP&R on Federal Acquisition Regulation (FAR) and Defense Federal Acquisition Regulation Supplement (DFARS) issues related to U.S. Government and DoD CTIP programs.	<input type="checkbox"/>	
Ensures that the FAR and DFARS implement all statutory requirements relating to CTIP.	<input type="checkbox"/>	
Implements all DoD CTIP policy requirements involving defense contractors in appropriate defense acquisition regulation and policy.	<input type="checkbox"/>	
Conducts periodic review to assess the effectiveness of CTIP program implementation.	<input type="checkbox"/>	

Mandatory Requirements for DoD Inspector General		
Checklist Item	Yes	Comments
Pursuant to section 4(a)(1) of the Inspector General Act of 1978, as amended, may conduct periodic evaluations of the DoD CTIP program.	<input type="checkbox"/>	
Determines whether defense criminal investigative organizations, other military investigators, and inspectors general receive specialized CTIP law enforcement training developed in coordination with the CTIP Program Office.	<input type="checkbox"/>	
Maintains the DoD Hotline and ensures staff is appropriately trained to respond to CTIP-related inquiries.	<input type="checkbox"/>	
For CTIP-related information received by the DoD Hotline, the Hotline refers cases as either information or action to the responsible DoD Component for appropriate investigation.	<input type="checkbox"/>	
In accordance with 22 U.S.C. § 7104b, shall promptly review any referral or information relating to TIP to determine whether to initiate an investigation of the matter.	<input type="checkbox"/>	
Reports confirmed TIP incidents quarterly to CTIP Program Office.	<input type="checkbox"/>	