



PERSONNEL AND  
READINESS

## OFFICE OF THE UNDER SECRETARY OF DEFENSE

4000 DEFENSE PENTAGON  
WASHINGTON, D.C. 20301-4000

AUG - 1 2019

MEMORANDUM FOR: SEE DISTRIBUTION

SUBJECT: 2019 Combating Trafficking in Persons Annual Self-Assessment

Pursuant to Department of Defense Instruction (DoDI) 2200.01, "Combating Trafficking in Persons (CTIP)," June 21, 2019, 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) using the attached reporting template. This year's self-assessment consolidates annual reporting requirements, including 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, 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. OSD and DoD Component Heads are required to describe their method used to track initial entry training, in accordance with the requirement in DoDI 2200.01.

The self-assessment should be coordinated at the Senior Executive Service or General/Flag Officer level. Results are due to the DoD CTIP PMO by November 30, 2019, and may be submitted to my point of contact for CTIP, Ms. Linda Dixon, who can be reached at 571-372-1974, or at [linda.k.dixon7.civ@mail.mil](mailto:linda.k.dixon7.civ@mail.mil).

A handwritten signature in black ink that reads "James N. Stewart". The signature is fluid and cursive, with a long horizontal stroke extending to the right.

James N. Stewart

Assistant Secretary of Defense for Manpower  
and Reserve Affairs, Performing the Duties  
of the Under Secretary of Defense for  
Personnel and Readiness

Attachment:  
As stated

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## CTIP Self-Assessment Report Coordination Sheet

[Click here to enter a date.](#)

### **SUBJECT: 2019 Combating Trafficking in Persons Annual Self-Assessment Report**

Return to Combating Trafficking in Persons Program Manager (CTIP PM) Linda Dixon at [linda.k.dixon7.civ@mail.mil](mailto:linda.k.dixon7.civ@mail.mil) and Brenda Zurita at [brenda.j.zurita.civ@mail.mil](mailto:brenda.j.zurita.civ@mail.mil) by November 30, 2019.

Please note that the 2019 Combating Trafficking in Persons Annual Self-Assessment Report should be coordinated at the Senior Executive Service, General Officer, or Flag Officer level.

My point of contact for this action is [Click here to enter text.](#)

**X**

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Double-click the 'X' to insert a digital signat...  
or print and sign a hard copy.

**Coordinating Official's Name:** [Click here to enter text.](#)

**Coordinating Official's Position Title:** [Click here to enter text.](#)

**Coordinating Official's Component:** [Click here to enter text.](#)

## 2019 Combating Trafficking in Persons Annual Self-Assessment Report

In accordance with Department of Defense Instruction (DoDI) 2200.01, re-issued June 21, 2019, "[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. **The self-assessment can be found on the DoD CTIP website at <http://ctip.defense.gov/Resources.aspx>**

This guide will assist each Component to complete 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.

This assessment consolidates reporting requirements previously requested from each Component Head annually, including:

- Method used to track initial training;
- Component accomplishments for annual reporting to the U.S. Department of State;
- Component reports of cases for the U.S. Attorney General's Report to Congress on CTIP;
- Component reporting on carrying out of responsibilities as outlined in DoDI 2200.01.

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. This information is also used by the Secretary of Defense in preparation for the annual President's Inter-Agency Task Force on Trafficking.

The following is a list of recent CTIP audits/evaluations:

- DoD OIG, "Evaluation of the Entire DoD Combating Trafficking in Persons Program," (2014)
- Special Inspector General for Afghanistan (SIGAR), "Child Sexual Assault in Afghanistan: Implementation of Leahy Laws and Reports of Assault by Afghan Special Forces," January 18, 2018
- DoD OIG, "Evaluation of DoD Efforts to Combat Trafficking in Persons in Kuwait," June 11, 2019
- GAO-15-102, "HUMAN TRAFFICKING: Oversight of Contractors' Use of Foreign Workers in High Risk Environments Needs to be Strengthened," (2014);
- 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 Department of Defense Instruction (DoDI) 2200.01, "[Combating Trafficking in Persons \(CTIP\)](#)," published on June 21, 2019. Please note that 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.

## **SECTION TWO: Annual U.S. Department of State Reporting - 2019 Accomplishments**

Please list actions taken in FY 2019 to fulfill the responsibilities listed in the CTIP DoDI (2200.01) as well as accomplishments. Component CTIP actions and accomplishments will be used to fulfill U.S. Department of State (DOS) reporting requirements for FY 2019. 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 Actions and/or Accomplishments." Enter a response of "Not Applicable" for objectives that do not apply. **Example responses are in red text.**

1. Investigate, indict, prosecute, convict, and sentence 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 hazardous working conditions, unsanitary living conditions, and recruiting fees they were required to pay to obtain their jobs. These elements of human trafficking were reported 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. This training covered human trafficking as part of the cyber safety program.
  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 simulated 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 2019. 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. Please do not include any personally identifiable information in the case information you submit.

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 2019 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 2019 cases reported to DoD. Include all previously opened cases that closed in FY 2019.

- Case number
- Date of incident (month & year)
- Location
- Grade of subject(s) or name of contractor and servicing agency
- TIP violation(s) and charges

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 TIP 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 incidents/violations of contractors reported to the Under Secretary of Defense for Acquisition and Sustainment (USDA&S). Please provide information for any FY 2019 TIP compliance violations involving contractors that were reported to the USDA&S. Include all previously opened cases that closed in FY 2019. Please use the chart provided below to summarize the case outcomes.
  - Case number
  - Date of the incident (month and year)
  - Location
  - Name of contractor and servicing agency
  - TIP violation(s) and brief description of the incident
  - Date the case was closed [if still open, please indicate]
  - Outcome

**Sample Summary Reporting Chart**  
**Reporting Organization Name:**  
**TIP Point of Contact, Name and Email:**

Outcome	Number of Cases	Additional Information
Non-compliance request		
Administrative compliance agreement		
Cure notice issued		
Contractor personnel termination		
Contractor personnel debarment		
Subcontractor debarment		
Contract suspension		
Contract termination		
Other (explain in last column)		

**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(June 21, 2019). Please use the comments section to highlight actions undertaken to carry out the responsibilities.

<b>Responsibilities of the Under Secretary of Defense for Acquisition and Sustainment</b>		
<b>Checklist Item</b>	<b>Yes</b>	<b>Comments</b>
Advises and assists the USD(P&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"/>	
Includes statutory requirements relating to CTIP in the FAR and DFARS.	<input type="checkbox"/>	
Implements all DoD CTIP policy requirements involving defense contractors in appropriate defense acquisition regulation and policy.	<input type="checkbox"/>	

<b>Responsibilities of Defense for Research and Engineering</b>		
<b>Checklist Item</b>	<b>Yes</b>	<b>Comments</b>
Advises and assists the USD(P&R) on Defense Grant and Agreement Regulatory System (DGARS) awards terms and conditions related to U.S. Government and DoD CTIP programs.	<input type="checkbox"/>	
Includes statutory requirements, as required by Part 175 of Title 2, CFR, relating to CTIP in DGARS terms and conditions for grant and agreement awards.	<input type="checkbox"/>	

### Responsibilities of the Under Secretary of Defense for Policy

Checklist Item	Yes	Comments
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.	<input type="checkbox"/>	
Prepares and coordinates, as required, the review and approval of DoD national interest waivers of proposed DOS sanctions (e.g., on foreign military sales or other Defense Security Cooperation Agency programs).	<input type="checkbox"/>	
Collaborates with coalitions, international organizations and intergovernmental organizations that address TIP and serves as the DoD liaison to their committees and advisory groups, 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 to counter trafficking in persons through the Defense Security Cooperation Agency and the Defense Institute of International Legal Studies.	<input type="checkbox"/>	

### Responsibilities of DoD Inspector General

Checklist Item	Yes	Comments
Pursuant to section 4(a)(1) of Public Law 95-452 (also known as the Inspector General Act of 1978, as amended) may conduct periodic evaluations of the DoD CTIP program.	<input type="checkbox"/>	
Ensures appropriate training of DoD Hotline staff to respond to TIP-related referrals or information.	<input type="checkbox"/>	
For TIP-related information received through the DoD Hotline, ensures the Hotline refers cases as either “information” or “for action” to the responsible DoD Component for appropriate action.	<input type="checkbox"/>	
In accordance with Section 7104b of Title 22, U.S.C. promptly reviews any referral or information relating to TIP to determine whether to initiate an investigation of the matter.	<input type="checkbox"/>	
Reports TIP-related statistics quarterly to CTIP Program Office.	<input type="checkbox"/>	

### Responsibilities of OSD and DoD Component Heads

Checklist Item	Yes	Comments
Designate a component CTIP office of primary responsibility and a CTIP program officer to engage with stakeholders within the component, and participate in CTIP Task Force meetings and efforts.	<input type="checkbox"/>	
Develop policies and procedures, as necessary, to implement the DoD CTIP Program. Distribute these policies and procedures and require implementation throughout the organization.	<input type="checkbox"/>	
Recommend nominations for the Presidential Award for Extraordinary Efforts to Combat Trafficking in Persons in accordance with Section 109 of Public Law 110-457.	<input type="checkbox"/>	
Report all suspected or confirmed TIP incidents to the administrative and/or operational chain of command. Reports may also be filed with the IG DoD at <a href="http://www.dodig.mil/hotline/">http://www.dodig.mil/hotline/</a> . Include details on the cause(s) and outcome(s) of the incident, including any disciplinary action(s).	<input type="checkbox"/>	
Require commanders and directors report TIP-related referrals, suspensions, debarments, and other remedies DoD placed on any contractor, subcontractor, grant/cooperative agreement recipients, or related person or organization to the Federal Awardee Performance and Integrity Information System. These reports ensure a formal record of criminal or serious compliance violations; such incidents must also be reported through the component's respective CTIP program office to the CTIP PMO on a quarterly basis.	<input type="checkbox"/>	

**Responsibilities of Secretaries of the Military Departments**

<b>Checklist Item</b>	<b>Yes</b>	<b>Comments</b>
Input information on all confirmed criminal TIP cases into the Defense Incident Based Reporting System in accordance with Volume 2 of DoD 7730.47-M and report to the CTIP PMO on an annual basis in the CTIP Annual Self-Assessment Report.	<input type="checkbox"/>	
Require that commanders establish 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"/>	
Where appropriate and subject to applicable legal restrictions, share information on the results of criminal investigations on TIP or TIP-related offenses upon request with the appropriate organizations under their command. Such legal restrictions include those prohibiting the disclosure of information relating to open law enforcement investigations where such disclosures may negatively impact those investigations or subsequent proceedings.	<input type="checkbox"/>	
Include DoD CTIP requirements within existing command inspection programs.	<input type="checkbox"/>	
Identify commercial establishments patronized by DoD personnel that have indicators of TIP, place offending establishments off-limits, and provide support to host-country authorities involved in the battle against TIP, as permitted.	<input type="checkbox"/>	

### Responsibilities of Chairman of the Joint Chiefs of Staff

Checklist Item	Yes	Comments
Integrates CTIP as part of the overall force planning function within any force deployment decision, including when establishing any new DoD bases overseas.	<input type="checkbox"/>	
Assesses the Combatant Commanders' (CCDRs) joint plans, deployment orders, exercises, joint publications, and other relevant documents and ensures inclusion of relevant CTIP information where it is not already present. Monitor the CCDRs' post-conflict plans and programs for inclusion of CTIP.	<input type="checkbox"/>	
Monitors implementation of the policies in this issuance and in related implementing instructions during military operations.	<input type="checkbox"/>	
Hosts CTIP training modules in the joint knowledge development and distribution capability (i.e., joint knowledge online) environment; includes CTIP training in the joint institutional training curriculum.	<input type="checkbox"/>	
Monitors joint and combined exercises and planning processes for integration of CTIP training.	<input type="checkbox"/>	



Responsibilities of Combatant Commanders		
Checklist Item	Yes	Comments
Develop a program that establishes a clear set of guidelines and procedures for units outside the United States to address TIP in their operating environments in coordination with the Joint Staff. This includes CTIP policies and reporting procedures applicable to the mission or operation for which forces are deploying.	<input type="checkbox"/>	
Address CTIP within applicable concept of operations for use by deployed joint task forces.	<input type="checkbox"/>	
Develop and implement CTIP policy and program guidance unique to each Combatant Command, including unique cultural and legal considerations for their respective areas of responsibility.	<input type="checkbox"/>	
Include CTIP language in joint plans, deployment orders, exercises, joint publications, post-conflict plans and programs, and other relevant documents.	<input type="checkbox"/>	
Provide subordinate component commanders with TIP information pertinent to ongoing theater and country TIP issues.	<input type="checkbox"/>	
Require commanders and directors outside the United States to engage with local host nation government agencies to facilitate mutual understanding of processes and procedures to enable collaboration in CTIP efforts, as appropriate.	<input type="checkbox"/>	