



PERSONNEL AND
READINESS

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

AUG 31 2023

MEMORANDUM FOR SENIOR PENTAGON LEADERSHIP
COMMANDERS OF THE COMBATANT COMMANDS
DEFENSE AGENCY AND DOD FIELD ACTIVITY DIRECTORS

SUBJECT: 2023 Combating Trafficking in Persons Annual Self-Assessment

Pursuant to Department of Defense Instruction 2200.01, "Combating Trafficking in Persons (CTIP)," June 21, 2019, OSD and DoD Component heads must conduct and provide results of an annual Combating Trafficking in Persons self-assessment to the DoD Combating Trafficking in Persons Program Management Office. This year's self-assessment (attached) consolidates annual reporting requirements, including accomplishments for reporting to the Department of State and inputs for the Attorney General's Report to Congress on U.S. Government Efforts to Combat Trafficking in Persons. This year, the DoD Combating Trafficking in Persons Program Management Office collaborated with the Defense Personnel Analytics Center to develop the CTIP self-assessment in PDF format and update the spreadsheets to modernize the Combating Trafficking in Persons Office data collection and enable the office to better analyze the data and respond to data calls quickly.

The self-assessment should be coordinated at the Senior Executive Service or general/flag officer level. Results are due to the DoD Combating Trafficking in Persons Program Management Office by November 30, 2023, and may be submitted to my point of contact, Ms. Linda Dixon, at linda.k.dixon7.civ@mail.mil.

A handwritten signature in black ink, appearing to read "Gilbert R. Cisneros, Jr.", written in a cursive style.

Gilbert R. Cisneros, Jr.

Attachment:
As stated

Coordination Sheet

SUBJECT: Combating Trafficking in Persons Annual Self-Assessment Report

Return to the Combating Trafficking in Persons (CTIP) Program Manager, Linda Dixon, at linda.k.dixon7.civ@mail.mil and Brenda Zurita at brenda.j.zurita.civ@mail.mil by

Please note the CTIP Self-Assessment Report should be coordinated at the Senior Executive Service, General Officer, or Flag Officer level.

Coordinating Official's Information	
Information	Response
Coordinating Official's Name:	
Coordinating Official's Position Title:	
Coordinating Official's Component:	
Coordinating Official's point of contact (POC) for this action:	
POC email:	
POC phone:	

If the POC for this action is not the CTIP POC for the Component,* please provide this additional information:

CTIP POC for the Component	
Information	Response
CTIP POC for Component:	
CTIP POC email:	
CTIP POC phone:	

* Section 2.9 (a), of Department of Defense Instruction 2200.01, requires all OSD and DoD Component Heads 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.

Controlled by: OUSD(P&R)
Controlled by: CTIP PMO
CUI Category(ies): PRVCY
LDC: FEDCON
POC: Linda Dixon, linda.k.dixon7.civ@mail.mil

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.

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.

The information collected in this assessment is subject to DoD Office of Inspector General, U.S. Government Accountability Office, and other Agency audits or evaluations. We will use information from this report to prepare the Secretary of Defense for the annual President’s Inter-Agency Task Force meeting on TIP and supply requested information to the U.S. Departments of Justice and State for annual reports.

The most recent audits:

GAO-21-546, “HUMAN TRAFFICKING: DOD Should Address Weaknesses in Oversight of Contractors and Reporting of Investigations Related to Contracts” dated August 4, 2021

GAO-22-105056, “FORCED LABOR: Actions Needed to Better Prevent the Availability of At-Risk Goods in DOD’s Commissaries and Exchanges” dated 3 February 2022

Please ensure you do the following to complete the assessment:	
Checklist item	Completed (Yes)
Coordinate at the Senior Executive Service, General Officer, or Flag Officer level	
Answer the OSD and Component Heads checklist in Section One. Specific components listed must complete their respective sections too	
All components must provide applicable training information in Section Two	
For Sections 3 and 4, if the questions are not applicable, please mark NA	
Return to the CTIP PMO by	

SECTION ONE: Programmatic Accomplishments

ALL stakeholders complete the first section: OSD and DoD Component Heads. Specific stakeholders listed also 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.

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.		
Develop policies and procedures, as necessary, to implement the DoD CTIP Program. Distribute these policies and procedures and require implementation throughout the organization.		
Recommend nominations for the Presidential Award for Extraordinary Efforts to Combat Trafficking in Persons in accordance with Section 109 of Public Law 110-457.		
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 http://www.dodig.mil/hotline/ . Include details on the cause(s) and outcome(s) of the incident, including any disciplinary action(s).		

Responsibilities of the Under Secretary of Defense for Acquisition and Sustainment		
Checklist Item	Yes	Comments
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.		
Includes statutory requirements relating to CTIP in the FAR and DFARS.		
Implements all DoD CTIP policy requirements involving defense contractors in appropriate defense acquisition regulation and policy.		

Responsibilities of the Under Secretary of Defense for Research and Engineering		
Checklist Item	Yes	Comments
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.		
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.		

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.		
Establishes policy and provides guidance to rehabilitate and reintegrate recovered child soldiers in accordance with sections 401-407 of P.L.110-457.		
Represents the DoD in the annual U.S. Government TIP sanction review process in accordance with Section 110 of P.L. 106-386.		
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).		
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.		
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.		

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.		
Ensures appropriate training of DoD Hotline staff to respond to TIP-related referrals or information.		
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.		
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.		
Reports TIP-related statistics quarterly to CTIP Program Office.		

Responsibilities of Secretaries of the Military Departments		
Checklist Item	Yes	Comments
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.		
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.		
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.		
Include DoD CTIP requirements within existing command inspection programs.		
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.		

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.		
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. Monitors the CCDRs' post-conflict plans and programs for inclusion of CTIP.		
Monitors implementation of the policies in this issuance and in related implementing instructions during military operations.		
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.		
Monitors joint and combined exercises and planning processes for integration of CTIP training.		

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.		
Address CTIP within applicable concept of operations for use by deployed joint task forces.		
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.		
Include CTIP language in joint plans, deployment orders, exercises, joint publications, post-conflict plans and programs, and other relevant documents.		
Provide subordinate component commanders with TIP information pertinent to ongoing theater and country TIP issues.		
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.		

SECTION TWO: CTIP Training Method Description

Please note the CTIP Program Management Office (PMO) no longer requires the reporting of CTIP General Awareness training numbers. However, 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. If your component still requires annual CTIP General Awareness training, please note that here.

Please describe the 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.

The CTIP DoDI (2200.01), Section 3.3, requires investigative professionals take the CTIP Investigative Professionals training once every three years.	
Describe method to track this training requirement.	
How many investigative professionals are in your Component?	
How many were required to take the specialized training in the current Fiscal Year (FY)?	
How many completed the training in the current FY?	

The CTIP DoDI, Section 3.4, lists which DoD personnel should take the CTIP Acquisition Personnel training (e.g. DAU Course DOD 0020 or JKO Course US1328c) once every three years.

Describe method to track this training requirement.	
How many acquisition personnel are in your Component?	
How many were required to take the specialized training in the current FY?	
How many completed the training in the current FY?	
While training for DoD contractors and subcontractors is not mandatory, some Components require these personnel to take CTIP training. Does your Component require CTIP training for contractors and subcontractors?	

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 current FY. 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.	
Educational efforts for, and disciplinary actions taken against, members of the United States Armed Forces.	
The development of materials used to train the armed forces of foreign countries. Please include information on joint exercises or engagements with foreign civilian and military personnel. List how many foreign military members and foreign civilians participated and list what countries they represented?	
All known trafficking in persons cases reported to the Under Secretary of Defense for Personnel & Readiness (USD P&R). <ul style="list-style-type: none"> • The CTIP PMO is collecting information on TIP criminal cases and compliance issues on a spreadsheet to help track DoD data. If your Component has any Trafficking in Persons cases for the current FY, please use the TIP case reporting spreadsheets. Include previously opened cases that closed in the current FY. Please include cases from the Staff Judge Advocates and Suspension and Debarment offices. 	
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. (E.g. – reduce demand for sex trafficking and no purchase of commercial sex, no use of recruitment fees, no payments or identity documents withheld).	

Complete the questions to fulfill the reporting requirements for the Attorney General’s Report to Congress on CTIP for the current FY. 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.

All trafficking in persons incidents/violations of contractors reported to the Under Secretary of Defense for Acquisition and Sustainment (USD A&S).

- The CTIP PMO is collecting information on TIP criminal cases and compliance issues on a spreadsheet to help track DoD data. If your Component has any Trafficking in Persons compliance incidents or violations involving contractors in the current FY, please use the TIP case reporting spreadsheet for labor.
- Include cases opened in previous FYs and closed in the current FY. CTIP PMO provided spreadsheets to the Military Criminal Investigative Organizations and the Defense Criminal Investigative Service.

Activities or actions by DoD components, including military resale organizations, to enforce—

- Section 1307 of title 19 (relating to prohibition on importation of convict-made goods), including any determinations by the Secretary of Homeland Security to waive the restrictions of such section and
- Prohibitions on the procurement by the United States Government of items or services produced by slave labor, consistent with Executive Order 13107 (December 10, 1998)

SECTION FOUR: CTIP Actions and Accomplishments for current FY

Please list actions taken in current FY to fulfill the responsibilities listed in the CTIP DoDI (2200.01) as well as accomplishments. For accomplishments that do not apply to these criteria, include them in "Other Actions/ Accomplishments." Enter a response of "Not Applicable" for objectives that do not apply.	
Provide information on any programs for identification and services or support for victims of trafficking.	
Provide information on any specialized or customized CTIP training developed to deliver specific content for your Component or area of responsibility.	
Provide information on collaboration with other organizations including participating in task forces, inter-governmental organizations, and non-governmental organizations to combat trafficking in persons.	
Provide information about promoting TIP public awareness through events or materials. If you have information about CTIP on your Agency website, please provide link.	
Does your Component have a system currently in place to centrally track contracting officers' and contracting officer representatives' compliance with their various oversight requirements related to TIP, including their evaluation of compliance plans? If yes, please describe briefly.	
Other Actions/Accomplishments (Examples: Media Inquiries; Research/Innovation projects; Dedicated CTIP Funding; Accomplishments not included above)	