



Defense Contract Management Agency, Afghanistan

Universal Examination Record Combating Trafficking In Persons (CTIPs)

INSTRUCTIONS:

1. This form shall be used to document contractor CTIP Compliance reviews, CTIP Observations and/or document a reported suspicion. Compliance reviews will be based upon contractual noncompliance to specific regulatory requirements; however, Observations may be based upon indicators that are not contractual requirements. Any DCMA employee may receive initial CTIP suspicions from another DCMA employee or a contractor employee. The result of a noncompliance is typically a Corrective Action Request whereas Observations typically result in a CTIP Notification which may increase surveillance by DCMA or require engagement with Contract Integrity Center, or support external to DCMA for support. Assistance may always be requested within DCMA through the DCMA CTIP PM via email to [CTIP Assistance Inbox](#), [Combatting Trafficking in Persons](#), or [Trafficking in Persons](#) Outlook email addresses.
2. Verify that the contract contains an appropriate Federal Acquisition Regulation (FAR) 52.222-50 CTIP requirement clause which provides the government access to inspect contractor/subcontractor facilities (see prime control of subcontractor section).
3. Determine local area of operation (AOR) requirements and apply to applicable questions, as necessary. The Joint Theater Support Contracting Command (C-JTSCC) clause 952.222-0001, Prohibition Against Human Trafficking, Inhumane Living Conditions, and Withholding of Employee Passports, December 2011, is an example of local AOR requirements for Contingency Operations.
4. Indicate Contractor or Subcontractor being reviewed or reported in block 1 and the Audit Summary block. This information is necessary
5. When recording a CTIP suspicion, complete as much of the information as possible and contact the appropriate CMO.
6. The prime contractor's controls should be evaluated, including their subcontractor(s) controls. Subcontractors may be reviewed to validate the prime contractor's controls. If subcontractor(s) are reviewed then a prime contractor representative should be present.
7. If noncompliances are identified at the subcontractor level, the noncompliances shall be presented to the prime contractor along with citing the prime contractor for failing to control its subcontractor.
8. Depending upon the situation, the reviewing organization may wish to partner in advance with the local enforcement/criminal investigative support community to establish a rapport for support either before, during, or after a CTIP review. Collaboration and follow-up should continue between the CMO and the local enforcement/criminal entity until DCMA's activity is completed. If the CMO is unable to obtain support they should contact the DCMA CTIP PM for assistance.
9. An interpreter, preferably not in the employ of the contractor, should accompany the evaluator, as required. If the interpreter seems biased or the correct language interpreter is not available, contact enforcement/criminal investigative support community; such as DCIS or the CTIP PM for assistance.
10. If CTIP violations are suspected or known prior, during, or after the review that have health or safety concerns either for contractor/subcontractor employees, or government personnel, immediately contact enforcement/criminal investigative support community. If the CMO is unable to obtain support they should contact the DCMA CTIP PM for assistance.
11. DCMA Quality Assurance Personnel refer to paragraph 3.3.4 of DCMA-HBK 1004-1. If any of the indications or occurrences of the reference are observed during the performance of this review, notify the ACO immediately.
12. DCMA and contractor personnel shall refer to the "Fraud, Waste and Abuse" Instruction located within the Policies tab on www.dcma.mil and shall submit a report via Fraud Net at <https://pubmini.dcma.mil/fraudnet/main.cfm>. DCMA personnel shall also contact their respective Contract Integrity Center counsel.



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SELECT APPROPRIATE RESPONSE FOR EACH REQUIREMENT/INDICATOR REVIEWED/OBSERVED

- Use Zero-based Sampling Plan for all examinations
 - Use a 1.0 AQL

YES = Requirement performed satisfactorily.

NO = Requirement performed unsatisfactorily.

N/O = Requirement not observed. Detail the reason(s) for not observing the requirement in the Method of Evaluation block.

N/A = Requirement not applicable. Detail the reason(s) for non-applicability in the Method of Evaluation block.

O/I = **Observed indicator.** May not be a contractual compliance; are more observable indicators and are not contractual compliance elements. During a review/interview you may not be able to obtain answers to all the information; however, these indicators are helpful to the DoD CTIP Program.

Note: Document the review and take appropriate actions to escalate and complete Notifications.

PRIME CONTRACTOR CONTROL OF SUBCONTRACTORS

Subcontractors include all organizations that are contractually obligated to perform work in support of the prime contractor. Subcontractors can extend several levels down. Use a separate record for each subcontractor Compliance/Observation/Record. FAR clauses 52.246-2 through 52.246-8 serve as a basis for evaluating a prime contractor's control of subcontractor performance. The last digit of the clause indicates the type of service or supply as well as the type of contract involved. The clauses are fairly consistent in requiring:

- The contractor shall provide an inspection system acceptable to the Government.
- The government should ensure the contractor's system addresses control of subcontractors, if applicable.
- The contractor shall maintain records of inspections and tests performed.
- The government has the right to inspect and test contractually required supplies and/or services at both the contractor and subcontractor level.
- The contractor shall furnish and require subcontractors to furnish reasonable facilities and assistance for the safe and convenient performance of government inspection(s).
- FAR clause 52.246-11 may be called out in addition to one of the above clauses. This clause calls for higher level quality requirements such as ISO 9001 which contains specific requirements for prime control of subcontractors.



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REVIEW OF CONTRACTOR/SUBCONTRACTOR COMPLIANCE/OBSERVATIONS						
REQUIREMENTS per CTIP FAR 52.222-50, Applicable AOR, and Observable Indicators	YES	NO	N/O	N/A	O/I	METHOD(s) OF EVALUATION
1. Do the contractor's subcontractor purchase orders include CTIP FAR Clause 52.222-50?	<input type="checkbox"/>					
2. Does the contractor/ subcontractor employ individuals who speak each of the employee's languages? If not, how does the contractor/ subcontractor communicate with the employees?	<input type="checkbox"/>					
3. Does the contractor/ subcontractor have established policies and procedures to ensure compliance with applicable CTIP Requirements? • Ensure procedures protect employees from reprisal and reporting noncompliance. • Require contractor to notify the CO when contractor or subcontractor suspects a CTIP violation; such as actions taken against employees for notification of CTIP suspicions.	<input type="checkbox"/>					
4. Does the contractor/ subcontractor have published CTIP statements that: 1) alert employees of USG's CTIP Policy with zero tolerance for CTIP violations and commitment to respond to CTIP violations, and 2) ensure employees' have the ability to request/report information or suspected violations in the employees' languages?	<input type="checkbox"/>					
5. Does the contractor/ subcontractor's published statement specify action(s) that can be taken against employees for contributing to CTIP violations, such as (but not limited to): • Removal from contract? • Reduction in benefits? • Termination of employment?	<input type="checkbox"/>					



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REQUIREMENTS per CTIP FAR 52.222-50, Applicable AOR, and Observable Indicators	YES	NO	N/O	N/A	O/I	METHOD(s) OF EVALUATION
6. Has the contractor reviewed the subcontractor life support areas to ensure compliance with local AOR provisions, including Army Corps of Engineer land use agreements, if specified?	<input type="checkbox"/>					
7. Were follow-up actions taken to ensure contractor/subcontractor identified noncompliance was corrected, including follow-up with other organizations that DCMA notified of CTIP suspected violations? Document and take actions.	<input type="checkbox"/>					
8. Are local AOR requirements satisfied? You may need to add questions specific to AOR requirements.	<input type="checkbox"/>					
9. Is a copy of the employment contract(s) provided to the employee in English and the employee's native language?	<input type="checkbox"/>					
10. Did the employee's recruiting firm charge excessive fees? If yes, notify the suspected violation to the appropriate law enforcement agency (i.e. CID, DCIS, etc.) and DCMA CIC.	<input type="checkbox"/>					
11. Did the employee come through a reception center? If so, DoD or contractor?	<input type="checkbox"/>					
12. Do agreements between recruiting firms and contractor/subcontractor flow down the FAR Clause 52.222.50?	<input type="checkbox"/>					
13. Does the contractor/subcontractor provide employee's access to their identity documents?	<input type="checkbox"/>					
14. Are return transportation costs paid upon the end of employment?	<input type="checkbox"/>					



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15. Are living conditions adequate? <ul style="list-style-type: none">• Sanitation: is trash regularly collected? Are piles of trash in living/working areas? Is trash in proper containers? Are porta johns pumped and cleaned regularly?• Health: are there indications of rodent or insect infestations? Is there adequate living space (50 sq. ft. per person waivable to 40 sq. ft.)? Is safe drinking water available in living and working areas? Are showers and running water available? Is adequate and safe food available?• Safety: Are there electrical/fire hazards in the camp or work areas? Are there unsafe working/living conditions (past injuries/deaths)? <p>Reference: C-JTSCC Clause 952.222-0001</p>	<input type="checkbox"/>					
16. Is there suspected criminal activity? <ul style="list-style-type: none">• Prostitution, rape, sexual exploitation• Scars/bruises/injuries from beatings• Child labor• Slavery• Illicit drug distribution	<input type="checkbox"/>					