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# National Institute of Justice

**S o l i c i t a t i o n**

*June 2001*

## Trafficking in Persons in the U.S.

**APPLICATION DEADLINE:**

July 13, 2001

**U.S. Department of Justice**  
**Office of Justice Programs**  
810 Seventh Street N.W.  
Washington, DC 20531

**John Ashcroft**  
*Attorney General*

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For grant and funding information, contact:  
**Department of Justice Response Center**  
800-421-6770

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**Office of Justice Programs**  
**World Wide Web Site:**  
<http://www.ojp.usdoj.gov>

**National Institute of Justice**  
**World Wide Web Site:**  
<http://www.ojp.usdoj.gov/nij>

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## Trafficking in Persons in the U.S.

### I. Introduction

The National Institute of Justice's International Center is soliciting proposals to conduct research on trafficking of persons into the United States that will further our understanding of its impact on crime and justice, especially at the state and local level. Trafficking for purposes of forced labor, including sexual exploitation, domestic service and sweatshops, is an area that has received relatively little research attention. Consequently U.S. law enforcement is lacking extensive information with respect to the scope and nature of the trafficking problem. **NIJ anticipates awarding one grant with a funding total of up to \$199,560.**

### II. Background

NIJ is the research and development agency of the U.S. Department of Justice and is the only Federal agency solely dedicated to researching crime control and justice issues. NIJ's principal authorities are derived from the Omnibus Crime Control and Safe Streets Act of 1968, as amended (42 USC § 3721-3722).

With the advent of globalization, criminal justice and law enforcement officials are increasingly faced with offenses, offenders, and victims from outside of the U.S. In response to the growing incidence of transnational crime, NIJ created the International Center in April 1997. One of the primary objectives of the International Center is to undertake a variety of research, program development and other activities in support of the international missions of the Department of Justice and other Federal law enforcement entities.

With respect to trafficking in persons, U.S. policymakers need the knowledge to make well-informed decisions about committing resources and

focusing programs where the problems are greatest, and where these resources are likely to do the most good. At present there is little information to document the size and scope of human trafficking to the U.S. or the response of U.S. criminal justice and community-based agencies. While there is anecdotal information and there are case examples, the true nature and scope of the problem is essentially unknown.

On April 24, 2001, NIJ's International Center convened a focus group composed of approximately 30 representatives from federal agencies concerned with this issue. The purpose of the focus group was to ascertain the information needs regarding trafficking in persons in order to more effectively target NIJ's research efforts. The attendees represented offices and agencies housed in the U.S. Department of Justice (DOJ) – Office of Justice Programs, Office of Policy Development, Immigration and Naturalization Service, Criminal Division, Civil Rights Division, Office for Victims of Crime, Federal Bureau of Investigation, Violence Against Women Office, Child Exploitation and Obscenity Section, Interpol, and other sections – as well as representatives from the U.S. Department of Labor, the U.S. Agency for International Development, the U.S. Department of State, and the U.S. Customs Service.

The areas of research specified here have been tailored to meet the needs identified at that meeting.<sup>1</sup>

### III. Areas of Research Required

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<sup>1</sup> For a summary of proceedings, please see: <http://www.ojp.usdoj.gov/nij/international/traffsum.html>

## Part A: Nature and Scope

### Background

The sale and distribution of trafficking victims in the U.S. is a global, regional, and national phenomenon. Women, men and children are trafficked short distances within the U.S., and are trafficked from as far away as China, Ukraine and Thailand. Contrary to popular belief, trafficking in persons is not limited to the sex industry, but has become a lucrative criminal market for many other industries in the U.S.. It can involve significant violations of labor, public health, and human rights standards.

Available research on trafficking in persons relates primarily to the trafficking of women and children in connection with the sex industry. We know much less about the broader category of forced labor (which encompasses sexual commercial exploitation) and the larger range of industries, locations, and mechanisms involved with this forced labor.

The U.S. Government and two different United Nations protocols make a distinction between alien smuggling--in which foreign individuals willingly contract to be smuggled into a country by persons who gain financial or other material personal benefit from procuring the illegal entry--and trafficking in persons, in which individuals (particularly women and children) are recruited or transported, by means of fraud, deception, coercion, abduction, or the abuse of power, for purposes of exploitation, including sexual exploitation, forced labor or services, or slavery. Often illegal aliens who are voluntarily smuggled into the United States are thereafter forced into virtual slavery in unregulated industries by their smugglers. U.S. law prohibits forced labor regardless of the victim's initial consent to work; an undocumented person who is brought into the United States and maintained in service of another by force or coercion is treated by law and policy as a trafficked person, not merely an illegal alien.<sup>2</sup>

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<sup>2</sup> For more information on these protocols please see the International Crime Threat Assessment report, prepared by a U.S. Government interagency working group in support and pursuant to the President's

Like most other criminal markets, trafficking in persons is largely driven by demand -- from migrants seeking work in the U.S., from U.S. employers who rely on undocumented labor, and from the clientele of the sex industry. In addition, more and more people want to migrate to the U.S. but cannot do so legally; most often, migration barriers cannot be crossed without help from smugglers/traffickers. According to an International Organization for Migration (IOM) report, almost all persons attempting to gain entry into the U.S. employ the assistance of smugglers or traffickers.<sup>3</sup>

### Research issues

Proposed studies should focus on demand as a cause of trafficking in persons. In addition, consideration should be given to the following issues:

- C Definition of trafficking. Research should be conceptualized with respect to the provisions of the Trafficking Victims Protection Act of 2000. (See Trafficking Victims Protection Act of 2000, Pub. L. No.106-386).<sup>4</sup>

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International Crime Control Strategy. This report can be found at:

<http://www.terrorism.com/documents/pub45270/pub45270index.html>.

<sup>3</sup> Migrant Trafficking in Central and North America. *International Organization for Migration*. (2000, June). [online]. Available: [http://www.iom.int/migrationweb/reg\\_approaches/puebla/Seminars.html](http://www.iom.int/migrationweb/reg_approaches/puebla/Seminars.html)

<sup>4</sup> Consideration should be given to the definition of severe forms of trafficking in persons in the Trafficking Victims Protection Act of 2000, Sec. 103 (8), in which "severe forms of trafficking in persons" is defined as: (A) sex trafficking in which a commercial sex act is induced by force, fraud, or coercion, or in which the person induced to perform such act has not attained 18 years of age; or (B) the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.

- C Forced labor industries. What types of industries are involved? Are certain industries more apt to be involved in trafficking schemes? What are the characteristics of U.S. employers and/or the nature of these industries affecting their willingness to hire undocumented workers? What are the dynamics with respect to the ports of entry into the U.S. and forced labor industries?<sup>5</sup>
- C The role of demand, or “pull” factors, in trafficking in persons as a central unifying element of the research. Proposed studies should examine the role the industries are playing in fueling and directly influencing markets for trafficking in persons. What are the primary factors enabling the trafficking market to thrive?
- C The individuals in the trafficking networks. Who are the actors involved? What are the relationships among enforcers, transporters, recruiters, victims, document forgers, brokers, brothel owners, debt collectors, and employment agencies? To what extent are traffickers using “legitimate businesses” such as bus transportation companies and employment agencies as covers for their activities?

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For more information please refer to the legislation.

<sup>5</sup> Focus group participants noted the importance of using geographical areas that have already been identified as “hot spots” as the geographical ports of entry in the U.S. An Intelligence monograph entitled “International Trafficking in Women to the United States: A Contemporary Manifestation of Slavery and Organized Crime,” by Amy O’Neil Richard, provided a general overview of the scope of the trafficking problem and identified U.S. cities where a high volume of trafficking has been documented. These geographical “hot spots” include: Los Angeles, New York, Miami, San Francisco and Chicago. Newly emerging ports of entry included Atlanta, Cleveland, Houston, Orlando and the Washington D.C. area. For the full report, please see: <http://www.odci.gov/csi/monograph/women/trafficking.pdf>

## Part B: Possible research method: A case study

### Background

Focus group participants indicated great potential value in systematically capturing information from criminal justice officials and service providers who have been involved in trafficking cases, especially those that produced successful outcomes. The case study method could effectively link the majority of the influencing factors and players involved in a trafficking scheme, thus providing law enforcement, victim service providers, and others with a useful frame of reference for future cases.

This strategy would offer an in-depth examination of the problem from the perspectives of law enforcement, victims, victim services, local immigration officers, community-based non-governmental organizations, and outreach services that may have been involved in a particular case.

Focus group participants noted the importance of not duplicating existing research on trafficking - which is primarily based on interviews with victims. A case study in a targeted city might examine how state and local law enforcement, victim advocates, Federal law enforcement, and the INS have worked together to assist victims and prosecute cases. Applicants should demonstrate the originality of the proposed research by going beyond existing research patterns on sex trafficking. In addition, proposals should demonstrate an authoritative knowledge of secondary source data, and should also demonstrate how the research will build upon and extend our current knowledge.

Consideration will be given to a wide range of methodological approaches. The focus group suggested the case study method as an effective way to fill in the information gaps and to help law enforcement address their priorities in relation to trafficking. Applicants who choose an alternative research method will not, however, be precluded from consideration. It is expected that the applicant demonstrate the relative superiority of the alternative research method proposed.

### Research Issues

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Regardless of the chosen research method, the research proposed should focus on some combination of the following issues:

- C Law enforcement. In what ways has law enforcement been effective in investigating, disrupting and prosecuting illegal networks? What kind of outreach programs successfully find cases and increase prosecution? What best practices exist for law enforcement working with victims?
- C Immigration. What is being done in the area of repatriation? How have immigration officials addressed the migrant's dual status as both an illegal immigrant and trafficking victim? How could this be done more effectively?
- C Criminal justice. What harm reduction responses have been undertaken at the local level? Have these been effective? What best practices exist for law enforcement and the adjudication of traffickers? What has been the victim's role in this process?
- C Source countries. What are the source country factors that are making people vulnerable? Who are the recruiters? What strategies and processes are used in recruitment?
- C Collaborations. Are there unique relationships, i.e. between victim service providers and law enforcement, that have made investigations/prosecutions particularly successful?
- C Victims. How did the victims become involved? What could have prevented them from becoming involved? What are their needs (housing, medical, counseling, training and employment)? What kind of outreach would best reach them? What are the different ways victims are escaping from traffickers? What are the different ways victims are escaping from traffickers/perpetrators? Who has helped them do this?

## IV. How to Apply

Those interested in submitting proposals in response to this solicitation must complete the required application forms and submit related required documents. (See below for how to obtain application forms and guides for completing proposals.)

Applicants must include the following information/forms to qualify for consideration:

- Standard Form (SF) 424—application for Federal assistance
- Geographic Areas Affected Worksheet
- Assurances
- Certifications Regarding Lobbying, Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements (one form)
- Disclosure of Lobbying Activities
- Budget Detail Worksheet
- Budget Narrative
- Negotiated indirect rate agreement (if appropriate)
- Names and affiliations of all key persons from applicant and subcontractor(s), advisors, consultants, and advisory board members. Include name of principal investigator, title, organizational affiliation (if any), department (if institution of higher education), address, phone, and fax
- Proposal abstract
- Table of contents
- Program narrative or technical proposal
- Privacy certificate
- Form 310 (Protection of Human Subjects Assurance Identification/ Certification/ Declaration)
- Environmental Assessment (if required)
- References
- Letters of cooperation from organizations collaborating in the research project
- Résumés
- Appendixes, if any (e.g., list of previous NIJ awards, their status, and products [in NIJ or other publications])

**Confidentiality of information and human subjects protection.** NIJ has adopted new policies and procedures regarding the confidentiality of information and human subjects protection. Please see the *Guidelines for Submitting Proposals for*

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*National Institute of Justice-Sponsored Research* for details on the new requirements.

**Proposal abstract.** The proposal abstract, when read separately from the rest of the application, is meant to serve as a succinct and accurate description of the proposed work. Applicants must concisely describe the research goals and objectives, research design, and methods for achieving the goals and objectives. Summaries of past accomplishments are to be avoided, and proprietary/confidential information is not to be included. Length is not to exceed 400 words. Use the following two headers:

**Project Goals and Objectives:**

**Proposed Research Design and Methodology:**

**Page limit.** The number of pages in the “Program Narrative” part of the proposal must not exceed 30 (double-spaced pages), no matter the amount of funding requested.

**Due date.** Completed proposals **must be received** at the National Institute of Justice by the close of business on July 13, 2001. Extensions of this deadline will not be permitted.

**Award period.** In general, NIJ limits its grants and cooperative agreements to a maximum period of 12 or 24 months. However, longer budget periods may be considered.

**Number of awards.** NIJ anticipates supporting one grant under this solicitation.

**Award amount.** An award totaling \$199,560 will be made available for this NIJ solicitation.

**Applying.** Two packets need to be obtained: (1) application forms (including a sample budget worksheet) and (2) guidelines for submitting proposals (including requirements for proposal writers and requirements for grant recipients). To receive them, applicants can:

- Access the Justice Information Center on the Web: <http://www.ncjrs.org/fedgrant.htm#nij> or

the NIJ Web site: <http://www.ojp.usdoj.gov/nij/funding.htm>

These Web sites offer the NIJ application forms and guidelines as electronic files that may be downloaded to a personal computer.

- Request hard copies of the forms and guidelines by mail from the National Criminal Justice Reference Service at 800–851–3420 or from the Department of Justice Response Center at 800–421–6770 (in the Washington, D.C., area, at 202–307–1480).
- Request copies by fax. Call 800–851–3420 and select option 1, then option 1 again for NIJ. Code is 1023.

**Guidance and information.** Applicants who wish to receive additional guidance and information may contact the U.S. Department of Justice Response Center at 800–421–6770. Center staff can provide assistance or refer applicants to an appropriate NIJ professional. Applicants may, for example, wish to discuss their prospective research topics with the NIJ professional staff.

**Send completed forms to:**

Trafficking in Persons  
National Institute of Justice  
International Center  
Room #7110  
810 Seventh Street N.W.  
Washington, DC 20531  
[overnight courier ZIP code 20001]

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For more information on the National Institute of Justice, please contact:

**National Criminal Justice Reference Service**

Box 6000

Rockville, MD 20849-6000

800-851-3420

e-mail: [askncjrs@ncjrs.org](mailto:askncjrs@ncjrs.org)

You can view or obtain an electronic version of this document from the NCJRS Justice Information Center web site (<http://www.ncjrs.org>) or the NIJ web site (<http://www.ojp.usdoj.gov/nij>).

If you have any questions, call or e-mail NCJRS.