

	U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Office on Trafficking in Persons	
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INFORMATION MEMORANDUM

DEFINITIONS AND PRINCIPLES TO INFORM HUMAN TRAFFICKING PREVENTION

- TO:** ACF Anti-Trafficking Grantees, organizations assisting populations at high risk for human trafficking, and other interested parties
- SUBJECT:** This Information Memo (IM) describes common definitions, terminology, and principles of violence prevention to inform the development and implementation of activities to prevent human trafficking.
- REFERENCES:** Trafficking Victims Protection Act of 2000 (P.L. 106-386), as reauthorized in 2003, 2005, 2008; National Defense Authorization Act of 2013 (P.L. 112-239); Preventing Sex Trafficking and Strengthening Families Act of 2013 (P.L. 113-183); Justice for Victims of Trafficking Act of 2015 (P.L. 114-22); Abolish Human Trafficking Act of 2017 (P.L. 115-392); Trafficking Victims Protection Act of 2017 (P.L. 115-393); SOAR to Health and Wellness Act of 2017 (P.L. 115-398); and Frederick Douglass Trafficking Victims Protection Reauthorization Act of 2017
- PURPOSE:** The purpose of this IM is to enhance common understanding of foundational principles of prevention in order to promote increased efforts to prevent all forms of human trafficking. The IM describes key concepts for organizations and communities to consider when integrating prevention strategies, approaches, and services into anti-trafficking efforts. The IM also provides a framework for the development of national, state, tribal, and local collaborations to prevent human trafficking.
- BACKGROUND:** The Trafficking Victims Protection Act of 2000, as reauthorized, details the “3P” framework of the U.S. government’s response to human trafficking: protection of victims, prosecution of perpetrators, and prevention of human trafficking. Human trafficking is a violent crime that threatens the Nation’s safety, security, and public health. This IM provides additional information to strengthen prevention efforts, including: (1) Definition of violence and its connection to human trafficking; (2) Definition of human trafficking; (3) Definition of three levels of prevention; (4) Definition of four levels of the social-ecological model; (5) Definitions of social determinants of health; and (6) Examples of applying prevention principles at the U.S. Department of Health and Human Services (HHS).

(1) Definition of Violence and Its Connection to Human Trafficking

The Centers for Disease Control and Prevention (CDC) define violence as “the intentional use of physical force or power, threatened or actual, against oneself, another person, or against a group or community—that either results in or has a high likelihood of resulting in injury, death, psychological harm, maldevelopment or deprivation.”

Violence is a pernicious global and societal challenge that manifests in a variety of forms. Each form of violence requires a unique and focused array of prevention strategies to prevent both perpetration and victimization. Despite the diversity in forms of violence, the frameworks of prevention are connected and can be applied across multiple forms. Harnessing established concepts of violence prevention empowers agencies and service providers to refine what they already know. This IM aims to provide a common foundational understanding of violence prevention principles while enabling agencies and service providers to tailor prevention initiatives to meet the unique needs of the populations they serve.

Human trafficking is a violent crime often connected with the experience of or exposure to other forms of interpersonal and community violence, including child abuse and neglect, interpersonal violence and sexual assault, and gang violence. Individuals who have experienced violence may be at higher risk of experiencing human trafficking and individuals who have experienced human trafficking may be at higher risk of experiencing other forms of violence later in life.

A proactive prevention services approach requires the involvement of all government leaders responsible for protecting people from all forms of violence and assisting those who have experienced it. A prevention approach to human trafficking provides an opportunity for agencies to partner with community-based providers to evolve, adjust, and respond to the needs of children, youth, and families in their communities before they reach a critical level of risk or danger. By working together, agencies and community providers can change the services environment so that individuals and families receive the support they need before the harm of human trafficking can occur.

(2) Definition of Severe Forms of Trafficking in Persons¹

The Trafficking Victims Protection Act (TVPA) of 2000, as amended, defines “severe forms of trafficking in persons” in 22 U.S.C. § 7102 (11) 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.

*Per 22 U.S.C. § 7102 (12), the term “sex trafficking” means the recruitment, harboring, transportation, provision, obtaining, patronizing, or soliciting of a person for the purpose of a commercial sex act.

¹ See also Department of Health and Human Services, Office on Trafficking in Persons. (February 2019). What Is Human Trafficking? Retrieved from <https://www.acf.hhs.gov/otip/about/what-is-human-trafficking>

The federal definition of a severe form of trafficking in persons describes three facets of the crime under 18 U.S.C. §1591: an action, a means, and a purpose, commonly called the AMP Model (see Figure 1).

Figure 1. The Action-Means-Purpose (AMP) Model

ACTION	MEANS**	PURPOSE
<p>Recruiting includes proactive targeting of vulnerability and grooming behaviors</p> <p>Harboring includes isolation, confinement, and monitoring</p> <p>Transporting includes movement and arranging travel</p> <p>Providing includes giving to another individual</p> <p>Obtaining includes forcibly taking or exchanging something for ability to control</p> <p>Soliciting* includes offering something of value</p> <p>Patronizing* includes receiving something of value</p>	<p>Force includes physical restraint, physical harm, sexual assault, and beatings. Monitoring and confinement is often used to control victims, especially during early stages of victimization to break down the victim’s resistance.</p> <p>Fraud includes false promises regarding employment, wages, working conditions, love, marriage, or better life. Over time, there may be unexpected changes in work conditions, compensation or debt agreements, or nature of relationship.</p> <p>Coercion includes threats of serious harm to or physical restraint against any person, psychological manipulation, document confiscation, and shame- and fear-inducing threats to share information or pictures with others or report to authorities.</p>	<p>Commercial Sex Act is any sex act on account of which anything of value is given to or received by any person.</p> <p>Involuntary Servitude is any scheme, plan, or pattern intended to cause a person to believe that, if the person did not enter into or continue in such condition, that person or another person would suffer serious harm or physical restraint; or the abuse or threatened abuse of the legal process.</p> <p>Debt Bondage includes a pledge of services by the debtor or someone under debtor’s control to pay down known or unknown charges (e.g., fees for transportation, boarding, food, and other incidentals; interest; fines for missing quotas; or charges for “bad behavior”). The length and nature of those services are not respectively limited and defined, thus an individual is trapped in a cycle of debt that he or she can never pay down.</p> <p>Peonage is a status or condition of involuntary servitude based on real or alleged indebtedness.</p> <p>Slavery is the state of being under the ownership or control of someone where a person is forced to work for another.</p>
<p>*Does not apply to labor trafficking</p>	<p>**Does not apply to sex trafficking of minors (i.e., force, fraud, or coercion need not be present)</p>	

(3) Definitions of the Three Levels of Prevention²

Comprehensive efforts to prevent human trafficking include all levels of prevention — primary, secondary, and tertiary prevention (see Figure 2).

- **Primary prevention** stops violence before it occurs. Primary prevention strategies include strengthening and creating healthy relationships, reducing risks within the individual's environment, and increasing buffers to violence.
- **Secondary prevention** provides an immediate response to violence as it occurs. These services include first responses, such as basic services and emergency and medical care that address short-term consequences.
- **Tertiary prevention.** Tertiary prevention activities are long-term responses that occur in the aftermath of violence, such as rehabilitative services (e.g., long-term housing, job training, therapeutic counseling, and other supportive services) that seek to prevent sequelae (revictimization).

Figure 2. Three Levels of Prevention



² Department of Health and Human Services. (February, 2019). The Levels of Prevention. Retrieved from <https://vetoviolence.cdc.gov/levels-prevention>

(4) Definitions of Four Levels of the Social-Ecological Model³

Although human trafficking victimization focuses on harm to the individual, the violence of human trafficking impacts relationships beyond the individual.

The social-ecological model is a tool that helps service providers understand the intended audience for a prevention approach. The four-level social-ecological model considers the complex interplay between individuals, relationships, communities, and societal factors, all of which may interact to contribute to individual risk. The model (see Figure 3) recognizes the range of influences that place people at risk for violence or protect them from experiencing or perpetrating violence. The overlapping rings in the model illustrate how factors at one level influence factors at other levels.

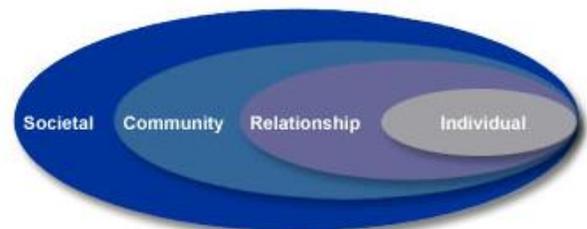


Figure 3. The Social-Ecological Model: A Framework for Prevention

Preventing violence requires acting across multiple levels of the model at the same time. A multi-layered approach is more likely to sustain prevention efforts over time than any single intervention.

The four levels of the social-ecological model are:

- **Individual:** The first level of the model identifies biological and personal history factors that increase the likelihood of becoming a victim or perpetrator of violence.
Individual factors include age, education, income, substance abuse, or history of behaving aggressively or experiencing abuse.
- **Relationship:** The second level focuses on close relationships and explores how relationships increase the risk of becoming a victim or perpetrator of violence.
Relationships include family, friends, intimate partners, and peers.
- **Community:** The third level explores the settings in which social relationships take place and identifies the characteristics of those settings associated with becoming a victim or perpetrator of violence.
Settings include schools, workplaces, and neighborhoods.
- **Societal:** The fourth level looks at the broad societal factors that help create a climate in which violence is encouraged or inhibited.
Societal factors include social and cultural norms and health, economic, educational, and social policies.

³ Department of Health and Human Services. (February, 2019). Social-Ecological Model. Retrieved from <https://vetoviolence.cdc.gov/violence-prevention-basics-social-ecological-model>

(5) Definitions of Social Determinants of Health to Inform Prevention⁴

“Social determinants of health is an abstract term, but for millions of Americans, it is a very tangible, frightening challenge: How can someone manage diabetes if they are constantly worrying about how they’re going to afford their meals each week? How can a mother with an asthmatic son really improve his health if it’s their living environment that’s driving his condition? This can feel like a frustrating, almost fruitless position for a healthcare provider, who understands what is driving the health conditions they’re trying to treat, who wants to help, but can’t simply write a prescription for healthy meals, a new home, or clean air.”

– Alex M. Azar II at the Hatch Foundation for Civility and Solutions⁵

Addressing the social determinants of health (SDOH) is an objective of HHS’ Healthy People Strategy, a national effort that sets goals and objectives to improve the health and well-being of people in the United States.⁶

SDOH are conditions (i.e., social, economic, and physical) in the environment in which people are born, live, learn, work, play, worship, and age that affect a wide range of health, functioning, and quality-of-life outcomes and risks.⁷ SDOH are part of communities and societies and affect the potential for violent outcomes such as human trafficking.

The “place-based” organizing framework developed by Healthy People 2020 includes **five key areas of SDOH: economic stability, education, social and community context, health and health care, and neighborhood and built environment** (see Figure 4).⁸ Organizations, agencies, and service providers engaged in the prevention of human trafficking can integrate SDOH into their strategies, approaches, and services.



Figure 4. The Social Determinants of Health

⁴ Office of Disease Prevention and Health Promotion. (February, 2019). Retrieved from <https://www.healthypeople.gov/2020/topics-objectives/topic/injury-and-violence-prevention#10>

⁵ The Root of the Problem: America’s Social Determinants of Health. (November 14, 2018). Retrieved from <https://www.hhs.gov/about/leadership/secretary/speeches/2018-speeches/the-root-of-the-problem-americas-social-determinants-of-health.html>

⁶ The Foundational Principles for Healthy People are available here: <https://www.healthypeople.gov/2020/About-Healthy-People/Development-Healthy-People-2030/Framework>

⁷ Office of Disease Prevention and Health Promotion. (April, 2019). Retrieved from <https://www.healthypeople.gov/2020/topics-objectives/topic/social-determinants-of-health>

⁸ Office of Disease Prevention and Health Promotion. (April, 2019). Retrieved from <https://www.healthypeople.gov/2020/topics-objectives/topic/social-determinants-of-health>

(6) Tying it All Together: Examples of Applying Prevention Principles at HHS

Using the Social-Ecological Model to Define Protective Factors to Prevent Child Abuse⁹

The HHS Office on Child Abuse and Neglect (OCAN) publishes the annual *Prevention Resource Guide* (hereafter referred to as “the Prevention Guide”). The Prevention Guide highlights the social-ecological model as well as established protective factors.

The Prevention Guide defines protective factors as “[...] conditions or attributes of individuals, families, communities, or the larger society that reduce or eliminate risk and promote healthy development and well-being of children and families.”

Protective factors make certain that children function well at home, in school, at work, and in the community through adulthood. Protective factors can be engaged at each level of the social-ecological model. That is, protective factors exist at the individual, relationship, community, and societal levels.

Six protective factors of focus within the Prevention Guide are:

- Nurturing and Attachment
- Knowledge of Parenting and Child Development
- Parental Resilience
- Social Connections
- Concrete Support for Families
- Social and Emotional Competence of Children

Training on the Principles of Prevention to Address Intimate Partner Violence¹⁰

The HHS Family and Youth Services Bureau (FYSB) and the CDC collaborate on **PreventIPV (Prevent Intimate Partner Violence)**, which provides a number of prevention-related resources, including the **Principles of Prevention course and associated guide**. The guide, published by the CDC, includes primary prevention, prevention approaches, the social-ecological model, the public health approach, and types of violence. The guide also defines child maltreatment, intimate partner violence, sexual violence, suicide, youth violence, and protective factors for each type of violence listed. For more information, please visit preventipv.org.

The HHS Health Resources and Services Administration (HRSA) Office of Women’s Health (OWH) is building agency capacity to respond effectively to IPV as a social determinant of health. **The HRSA OWH launched an agency-wide strategy to address IPV** that includes developing or updating educational materials that highlight IPV and trafficking as a social determinant of health. HRSA’s Bureaus and Offices developed **27 novel innovations and commitments to address IPV** through their programs and initiatives. The activities emphasize four areas where HRSA supports programs: training the workforce, developing partnerships, increasing access to quality healthcare, and addressing gaps in knowledge. Specific activities include improving IPV screening, referral, and

⁹ Office on Child Abuse and Neglect. (2019). 2019 Prevention Resource Guide, Keeping Children Safe and Families Strong in Supportive Communities. Retrieved from

<https://www.childwelfare.gov/topics/preventing/preventionmonth/resources/resource-guide/>

¹⁰ The IPV Prevention Council. (February, 2019). Principles of Prevention. Retrieved from <https://preventipv.org/vision/key-prevention-resources>

health-related outcomes for families through the Maternal Infant and Early Childhood Home Visiting Program, and tailoring trainings for HRSA-supported health care providers. For more information, please visit <https://www.hrsa.gov/sites/default/files/hrsa/HRSA-strategy-intimate-partner-violence.pdf>.

The HRSA OWH, in collaboration with the Bureau of Primary Health Care (BPHC) and the Administration for Children and Families (ACF), supports the **“Project Catalyst” initiative**, an interagency model to foster the engagement, training, and evaluation of leadership teams of Primary Care Associations, State Departments of Health, and State Domestic Violence Coalitions. This initiative supports approaches to address IPV and human trafficking in HRSA-supported health centers and generates formal partnerships between health centers and community-based social service organizations. Project Catalyst curricula, developed by Futures Without Violence, are included in the comprehensive toolkit at IPVHealthPartners.org. By addressing provider approaches, partnerships, and policy, this initiative addresses multiple levels of the social ecological model.

Prevention Curriculum Focusing on Youth

The Family and Youth Services Bureau (FYSB) funds the **National Runaway Safeline (NRS)**, which operates the **National Communication System for Runaway and Homeless Youth**. The NRS offers the **Let’s Talk Curriculum**, a FREE evidence-based prevention curriculum to help build life skills so youth can resolve problems without resorting to running away or unsafe behavior. It also encourages youth to identify resources and seek help from trusted adults. The Let’s Talk Curriculum is tailored for middle- and high school-aged youth (10–20 years old) and is available in English and Spanish. For more information, please visit <https://www.1800runaway.org/runaway-prevention-curriculum-sign-up/>.

Establishing Technical Packages on Violence Prevention Strategies¹¹

The CDC provides technical packages to inform violence prevention efforts in child abuse and neglect, intimate partner violence, sexual violence, suicide, and youth violence. Each technical package is a collection of strategies and approaches to prevent or reduce public health problems like violence.

A technical package has three parts:

- The **strategy** lays out the direction or actions to achieve the goal of preventing violence.
- The **approach** includes the specific ways to advance the strategy. This can be accomplished through programs, policies, and practices.
- The **evidence** supports each of the approaches in preventing violence or its associated risk factors.

Strategies and approaches in technical packages represent different levels of the social-ecological model with efforts intended to impact individual behaviors as well as the relationship, family,

¹¹ Department of Health and Human Services. (February, 2019). Technical Packages for Violence Prevention: Using Evidence-based Strategies in Your Violence Prevention Efforts. Retrieved from <https://www.cdc.gov/violenceprevention/pub/technical-packages.html>

school, community, and societal factors that influence risk and protective factors for violence. They are intended to work together and to be used in combination in a multi-level, multi-sector effort to prevent violence. The CDC has implementation guidance to help state and local health agencies and other stakeholders select and implement the strategies in the technical packages.¹²

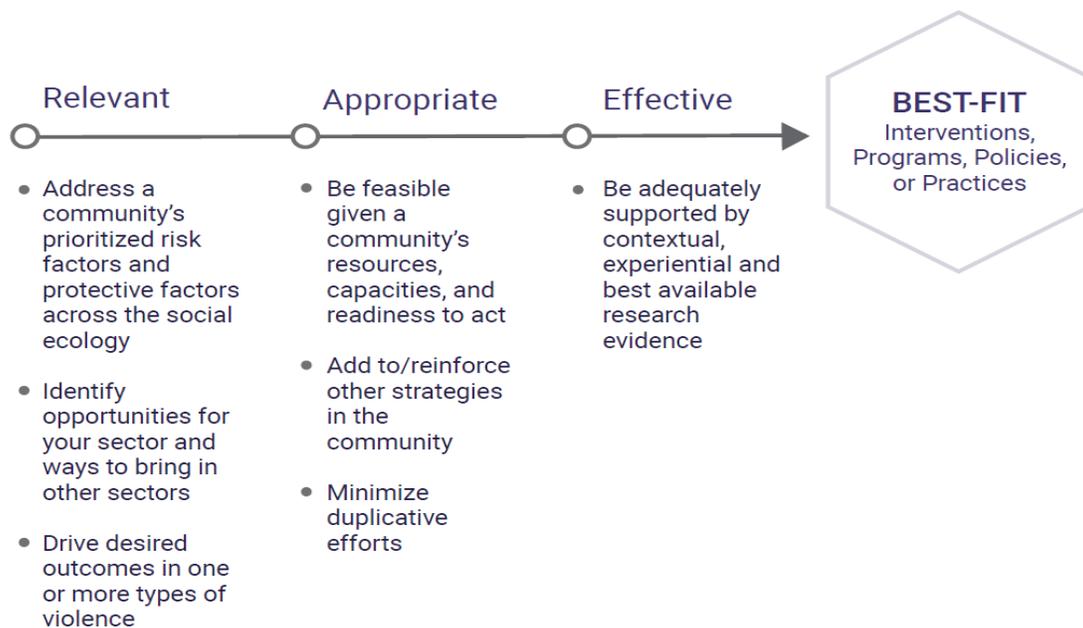
Strengthening Cross-Cutting Violence Prevention Strategies and Approaches¹³

CDC technical packages point to cross-cutting strategies and approaches that address multiple forms of violence. Common themes include:

- Promoting **social norms** that protect against violence, such as mobilizing men and boys as allies and empowering bystanders through education
- **Teaching skills** to prevent violence, such as social-emotional learning, parenting skills, and providing family relationship programs
- Creating **protective environments** by improving school safety, street outreach, and reducing exposure to community-level risks
- Strengthening **economic supports** such as household financial security, work-family supports, and family-friendly work policies

The goal is to select strategies and approaches where you can make a difference and to work with other sectors and stakeholders in ways that advance the prevention of violence (see Figure 5).

Figure 5. Major Considerations in Selecting Strategies and Approaches



¹² Department of Health and Human Services. (April, 2019). Violence Prevention in Practice. Retrieved from <https://vetoviolence.cdc.gov/apps/violence-prevention-practice/#/>

¹³ Wilkins, N., Tsao, B., Hertz, M., Davis, R., Klevens, J. (2014). Connecting the Dots: An Overview of the Links Among Multiple Forms of Violence. Atlanta, GA: National Center for Injury Prevention and Control, Centers for Disease Control and Prevention Oakland, CA: Prevention Institute.

The many forms of violence are interconnected and often share the same root causes. They can take place within a single residence or in a community and can happen at the same time or at different stages of life. Understanding the overlapping causes of violence and how to protect people and communities can help us better address violence in all of its forms.

/s/

Katherine Chon
Director
Office on Trafficking in Persons

Attachments:
Additional Information

ADDITIONAL INFORMATION

ACF Resources

Department of Health and Human Services, Office on Trafficking in Persons. (February, 2019). What is Human Trafficking? Retrieved from <https://www.acf.hhs.gov/otip/about/what-is-human-trafficking>

The IPV Prevention Council. (February, 2019). Principles of Prevention. Retrieved from <https://preventipv.org/vision/key-prevention-resources>

Office on Child Abuse and Neglect. (2019). 2019 Prevention Resource Guide. Retrieved from <https://www.childwelfare.gov/topics/preventing/preventionmonth/resources/resource-guide/>

Child Welfare Information Gateway. (2017). Child Maltreatment Prevention: Past, Present, and Future. Washington, DC: U.S. Department of Health and Human Services, Children's Bureau. Retrieved from https://www.childwelfare.gov/pubPDFs/cm_prevention.pdf

CDC Resources

CDC Injury Prevention and Control: Division of Violence Prevention site for tools and trainings, prevention information, resources, announcements and events, and other information:

- Adaptations of the Social-Ecological Model for strategies to prevent violence, such as child abuse and neglect and preventing intimate partner violence: <https://vetoviolenace.cdc.gov/violence-prevention-basics-social-ecological-model>
- Information on the Levels of Prevention: <https://vetoviolenace.cdc.gov/levels-prevention>
- Resources and information about Adverse Childhood Experiences (ACEs): <https://www.cdc.gov/violenceprevention/childabuseandneglect/acestudy/resources.html>

Technical packages on violence prevention and implementation guidance:

- [Intimate Partner Violence](#)
- [Youth Violence](#)
- [Sexual Violence](#)
- [Child Abuse and Neglect](#)
- [INSPIRE: Seven Strategies for Ending Violence Against Children](#)
- [Violence Prevention in Practice Implementation Guidance](#)

The Essentials for Childhood Framework includes strategies to promote relationships and environments that can help create safe, stable, nurturing relationships and environments for all children.

The CDC offers trainings and publications that discuss “connecting the dots” and exploring the overlaps between multiple forms of violence and working towards collaborative prevention:

- Resources on “connecting the dots”: vetoviolenace.cdc.gov/connecting-dots
- Maryland’s “connecting the dots” strategic plan and case study: [Shared Risk & Protective Factor Framework for Violence Prevention](#)
- Publication on “connecting the dots”: [An Overview of the Links Among Multiple Forms of Violence](#)
- Free self-paced training on “connecting the dots”: vetoviolenace.cdc.gov/apps/connecting-the-dots/node/4

Healthy People Resources

Office of Disease Prevention and Health Promotion. (February, 2019). Retrieved from <https://www.healthypeople.gov/2020/topics-objectives/topic/injury-and-violence-prevention#10>

The Social Determinants of Health. (April, 2019). Retrieved from <https://www.healthypeople.gov/2020/topics-objectives/topic/social-determinants-of-health>

The Foundational Principles for Healthy People: <https://www.healthypeople.gov/2020/About-Healthy-People/Development-Healthy-People-2030/Framework>

HRSA Resources

IPV Health Partners Toolkit

IPVHealthPartners.org

This toolkit, developed by Futures Without Violence with support from HRSA and ACF, contains comprehensive resources to help health centers and domestic violence (DV) organizations address intimate partner violence (IPV) in the communities they serve. The toolkit includes tips for partnering with a DV organization, guides to implement screening and counseling, and universal education in practice. The website includes practical action steps, provider scripts, training curricula, templates, quality assurance/quality improvement tools, and many other resources. A primary focus of the toolkit is health center leadership buy-in and engagement to support practice transformation to address IPV.

HRSA Strategy to Address IPV

<https://www.hrsa.gov/sites/default/files/hrsa/HRSA-strategy-intimate-partner-violence.pdf>

HRSA OWH engaged 14 Bureaus and Offices to produce the HRSA Strategy to Address IPV. This framework outlines one approach a federal agency is enacting from 2017–2020 to address IPV in a coordinated and collaborative manner. The Strategy serves as an example for other organizations to support an enterprise approach to address a social determinant of health.

REVISION HISTORY

Date	Version	Notes
4/24/19	OTIP-IM-19-01	Initial version.
5/13/19	OTIP-IM-19-01.01	Edited to clarify the definition of “severe forms of trafficking in persons.”