

Supplier Self-Assessment Form: Human Trafficking and Forced Labour

Introduction:

This self-assessment form is designed to understand your company's commitment and maturity level in preventing human trafficking and forced labour within your operations and supply chain. Please select the option that best describes your company's current state for each question.

Supplier Information:

- **Supplier Company Name:**
- **Contact Person:**
- **Title:**
- **Email Address:**
- **Phone Number:**
- **Date of Assessment:**

Basic Questions:

These questions cover fundamental commitments and initial steps towards preventing forced labour and human trafficking.

- 1. Does your company have a policy prohibiting forced labour and child labour within your direct operations?**
 - ☐ Not Implemented
 - ☐ Basic: Statement included in the general Code of Conduct.
 - ☐ Intermediate: Standalone policy exists and is communicated internally.
 - ☐ Advanced: Comprehensive standalone policy is in place and communicated internally.
- 2. Does your company comply with applicable labour laws regarding wages, working hours, and working conditions in your direct operations?**
 - ☐ Not Implemented
 - ☐ Basic: We generally comply with local labour laws.
 - ☐ Intermediate: We have processes to monitor and ensure compliance.
 - ☐ Advanced: We have a systematic approach to legal compliance with regular checks.

- 3. Does your company ensure that employees are paid at least the legally mandated minimum wage?**
- ☐ Not Implemented
 - ☐ Basic: We pay at least the minimum wage.
 - ☐ Intermediate: We pay at least the minimum wage and consider industry standards.
 - ☐ Advanced: We pay wages that meet or exceed legal requirements and consider living wage benchmarks.
- 4. Does your company provide a safe and healthy working environment for its direct employees, in compliance with local regulations?**
- ☐ Not Implemented
 - ☐ Basic: We comply with basic health and safety regulations.
 - ☐ Intermediate: We have a documented health and safety management system.
 - ☐ Advanced: We have a comprehensive health and safety system with risk assessments.
- 5. Does your company allow workers to express their concerns or grievances related to working conditions?**
- ☐ Not Implemented
 - ☐ Basic: Workers can express concerns informally.
 - ☐ Intermediate: We have a formal grievance mechanism.
 - ☐ Advanced: We have a confidential and accessible grievance mechanism with follow-up.
- 6. Is your company aware of the issue of recruitment fees being charged to workers and generally avoids this practice for its direct employees?**
- ☐ Not Implemented
 - ☐ Basic: We are aware and generally avoid it.
 - ☐ Intermediate: We have a policy against charging recruitment fees.
 - ☐ Advanced: We ensure no recruitment fees are charged to our direct employees.
- 7. Does your company refrain from retaining original identification papers of its direct employees or requiring them to pay deposits as a condition of employment?**
- ☐ Not Implemented
 - ☐ Basic: We generally do not retain IDs or require deposits.
 - ☐ Intermediate: We have a policy against retaining IDs or requiring deposits.
 - ☐ Advanced: We strictly prohibit retaining IDs or requiring deposits.
- 8. Does your company comply with applicable legal limits on daily and weekly working hours for its direct employees and sub-contractors?**

- ☐ Not Implemented
- ☐ Basic: We generally comply with legal limits.
- ☐ Intermediate: We have processes in place to track and ensure compliance with legal limits.
- ☐ Advanced: We systematically monitor and document compliance with legal limits on working hours and require our sub-contractors to do same.

9. Does your company state a commitment not to use prison labour in its direct operations?

- ☐ Not Implemented
- ☐ Basic: We state a commitment not to use prison labour.
- ☐ Intermediate: This commitment is included in our policies.
- ☐ Advanced: We actively ensure no prison labour is used in our direct operations.

10. Does your company have a process to ensure that all direct employees understand the terms of their employment contracts, including those who may not be fluent in the local language (e.g., through translation or explanation)?

- ☐ Not Implemented
- ☐ Basic: We provide contracts in the local language.
- ☐ Intermediate: We make efforts to explain contract terms to employees.
- ☐ Advanced: We have a formal process to ensure all employees fully understand their contract terms, including providing translations or explanations as needed.

11. Does your company have a system to verify and document the age of workers at the time of employment?

- ☐ Not Implemented
- ☐ Basic: We keep records of employee names and ages.
- ☐ Intermediate: We document the type of identification used for age verification.
- ☐ Advanced: We have a systematic process for verifying and documenting the age of all new hires, including retaining copies of identification documents (while adhering to data privacy regulations).

Intermediate Questions:

These questions explore more formal implementation and monitoring processes beyond basic compliance.

- 1. Does your company conduct basic risk assessments of its direct suppliers regarding potential risks of forced labour and human trafficking?**
 - ☐ Not Implemented
 - ☐ Basic: We have general awareness of risks in our supply chain.
 - ☐ Intermediate: We conduct basic assessments (e.g., questionnaires) for direct suppliers.
 - ☐ Advanced: We have a process for identifying and assessing risks in our direct supply chain.
- 2. Does your company have a defined process for its employees to report concerns or suspicions of human trafficking and/or forced labour within its operations?**
 - ☐ Not Implemented
 - ☐ Basic: Employees can report to their supervisors.
 - ☐ Intermediate: We have a defined reporting process communicated to employees.
 - ☐ Advanced: Our reporting process includes confidentiality and investigation procedures.
- 3. Does your company have policies and procedures in place to track working hours for all direct employees, including overtime?**
 - ☐ Not Implemented
 - ☐ Basic: We have informal methods for tracking working hours.
 - ☐ Intermediate: We have documented policies and procedures for tracking working hours, including overtime.
 - ☐ Advanced: We have a comprehensive system for tracking and recording all working hours, including overtime, with regular reviews.
- 4. Does your company ensure that overtime work for direct employees is voluntary and compensated in accordance with local laws?**
 - ☐ Not Implemented
 - ☐ Basic: We generally ensure overtime is compensated legally.
 - ☐ Intermediate: We have a policy stating that overtime is voluntary and compensated according to law.
 - ☐ Advanced: We have processes in place to ensure overtime is voluntary, properly compensated, and monitored to prevent excessive hours.
- 5. Does your company agree to engage and cooperate with [UN / UN Organization Name] in providing relevant information regarding its direct operations?**
 - ☐ Not Implemented
 - ☐ Basic: We are willing to provide information if requested.
 - ☐ Intermediate: We are committed to cooperating and providing relevant information.

- ☐ Advanced: We have a designated contact for engagement with [UN / UN Organization Name].

Advanced Questions:

These questions explore more sophisticated practices and a higher level of commitment, extending to the supply chain and continuous improvement.

- 1. Does your company actively engage with workers' representatives, respect the right to collective bargaining where applicable, and have open communication channels for its direct employees and encourages this in its supply chain?**
 - ☐ Basic: We expect our suppliers to respect worker rights.
 - ☐ Intermediate: We communicate our expectations on worker rights to key suppliers.
 - ☐ Advanced: We actively engage with worker representatives and encourage this in our supply chain.
 - ☐ Leading/Best Practice: We have strong relationships with worker representatives and actively promote collective bargaining in our supply chain.
- 2. Does your company have a comprehensive due diligence process that includes risk mapping across your entire supply chain, supplier assessments, and audits where necessary to identify and assess risks of human trafficking and forced labour?**
 - ☐ Basic: We focus on risks in our direct operations.
 - ☐ Intermediate: We conduct risk assessments for our direct suppliers.
 - ☐ Advanced: We have a comprehensive due diligence process across our supply chain.
 - ☐ Leading/Best Practice: Our process is proactive, uses data analytics, involves stakeholders, and includes independent assessments.
- 3. Does your company have a robust supplier evaluation process that includes a thorough assessment of adherence to ethical labour standards (including prohibition of human trafficking and forced labour) through questionnaires, audits, and contractual obligations?**
 - ☐ Basic: We consider basic labour standards in supplier selection.
 - ☐ Intermediate: We include labour standards in our supplier code and selection.
 - ☐ Advanced: Ethical labour standards are a key part of our supplier evaluation process.

- ☐ Leading/Best Practice: We have integrated rigorous ethical labour standards into supplier selection, provide support, and incentivize performance.

4. Does your company conduct regular audits (internal or third-party) of your key suppliers to ensure compliance with your ethical standards?

- ☐ Basic: We rely on contractual agreements with suppliers.
- ☐ Intermediate: We use self-assessment questionnaires for suppliers.
- ☐ Advanced: We conduct regular audits of key suppliers.
- ☐ Leading/Best Practice: Our audit program is risk-based, includes unannounced audits, and focuses on continuous improvement.

5. Does your company have a systematic management review process that includes setting targets for improvement in preventing human trafficking and forced labour, with documented action plans and progress tracking?

- ☐ Basic: We review our policies occasionally.
- ☐ Intermediate: We conduct periodic reviews of our policies and procedures.
- ☐ Advanced: We have a systematic management review process with improvement targets.
- ☐ Leading/Best Practice: Our review process includes ambitious targets, involves leadership, and results in measurable, communicated progress.

6. Has your company integrated the principles of the UN Supplier Code of Conduct and/or other relevant international standards (e.g., SA 8000, ILO conventions) into your policies and practices?

- ☐ Basic: We are aware of these standards.
- ☐ Intermediate: We have reviewed these standards.
- ☐ Advanced: We have integrated these principles into our operations.
- ☐ Leading/Best Practice: We actively promote and advocate for these standards throughout our industry and supply chain.

7. Does your company provide comprehensive and regular training to all relevant personnel, including management and procurement teams, on the risks of human trafficking and forced labour, indicators, and your company's policies and procedures, extending to your supply chain where feasible?

- ☐ Basic: We have not provided specific training.
- ☐ Intermediate: We provide basic awareness training to relevant employees.
- ☐ Advanced: We provide comprehensive training to relevant personnel, including supply chain aspects.
- ☐ Leading/Best Practice: Our training is interactive, regularly updated, and we track its effectiveness.

Declaration:

I hereby declare that the information provided in this self-assessment form is true and accurate to the best of my knowledge. I understand that providing false information may have consequences for our business relationship.

Signature of Contact Person:**Date:**