

# ANTI-HUMAN TRAFFICKING BUSINESS AUTHENTICATION CRITERIA COMPANY-LEVEL AND SITE-LEVEL

## **Introduction**

The following criteria can be used by any organization to help it design an effective and transparent system for preventing human trafficking in its operations and those of its supply chain. It can also be used by an organization or an independent third party to authenticate the scope and effectiveness of the organization's anti-human trafficking efforts.

Each authentication criterion is provided with descriptions of performance that can demonstrate conformance with the criterion, or describe leading practices. Also provided are examples of the documents, data and other evidence needed for verification. A company must achieve at least "Conformance" in order for its performance to be authenticated for a given criterion.

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# BUSINESS AUTHENTICATION CRITERIA

## COMPANY-LEVEL

### GOVERNANCE

*These criteria measure the extent to which a Company commits to preventing human trafficking and forced labor in its operations and supply chain, and how it formally incorporates policy commitments into specific expectations for its Board, executive management and employees, and its business and supply chain partners. These indicators also assess how these expectations are integrated into the Company’s business strategy.*

#### A. POLICY COMMITMENTS

##### A.1. Internal commitment

The Company publicly commits to the prevention of human trafficking and forced labor across all the Company’s activities.

<b>Conformance</b>	The Company has a publicly available statement of policy expressing its commitment to preventing human trafficking and forced labor throughout its operations.
<b>Leading Practice:</b>	<p>The Company’s public statement of policy explicitly commits to:</p> <ul style="list-style-type: none"> <li>• preventing human trafficking and forced labor throughout its operations,</li> <li>• conformance to the ILO Declaration on Fundamental Principles and Human Rights at Work, ILO Conventions 29, 105 and 181, ILO 2014 Protocol to the Forced Labor Convention - 1930, and ILO Recommendation 203, and</li> <li>• compliance with the UK Modern Slavery Act, the California Transparency in Supply Chains Act, the U.S. Federal Acquisition Regulations (FAR), and other applicable legal requirements.</li> </ul>
<b>Verification Evidence:</b>	<ol style="list-style-type: none"> <li>1) Policy statement is prominently displayed on the Company web site and conspicuously posted at all of its physical locations.</li> <li>2) The policy statement delineates the specific requirements of the ILO reference documents and the UK, California and US laws.</li> </ol>

##### A.2. Supply chain commitment.

The Company publicly commits to applying its anti-human trafficking policy to its suppliers, contractors and subcontractors throughout its supply chain.

<b>Conformance:</b>	The Company has a public available statement expressing its commitment to prevention of human trafficking throughout its supply chain and in all its business relationships (for example, joint ventures, partnerships and major investments).
<b>Leading Practice:</b>	<p>The Company’s public statement of policy explicitly commits to:</p> <ul style="list-style-type: none"> <li>• preventing human trafficking and forced labor throughout its supply chains,</li> <li>• conformance to the ILO Declaration on Fundamental Principles and Human Rights at Work, ILO Conventions 29, 105 and 181, ILO 2014 Protocol to the Forced Labor Convention - 1930, and ILO Recommendation 203, and</li> <li>• compliance with the UK Modern Slavery Act, the California Transparency in Supply Chains Act and the U.S. Federal Acquisition Regulations (FAR).</li> </ul>
<b>Verification Evidence:</b>	<ol style="list-style-type: none"> <li>1) Policy statement is prominently displayed on the Company web site and conspicuously posted at all of its physical locations.</li> <li>2) The policy statement is actively communicated to all suppliers and business partners and is included in business contracts, purchase orders, and other business relationship documents.</li> <li>3) The specific requirements of the ILO reference documents and UK, California and US laws are delineated within it.</li> </ol>

### A.3. Commitment to remedy

The Company publicly commits to ensure remedy for workers and other stakeholders who may be adversely affected by the Company’s operations or that of its supply chain.

<b>Conformance:</b>	The Company has publicly committed to remedy adverse impacts to workers caused or contributed to by any acts or omissions of the Company or its supply chain/business partners (for example, repayment of fees paid by workers; obtaining legal status for migrant workers).
<b>Leading Practice:</b>	<ol style="list-style-type: none"> <li>1) The Company has a documented process in place to remedy adverse impacts to workers caused or contributed by any acts or omission of the Company or its supply chain/business partners.</li> <li>2) The Company collaborates in public and/or private initiatives (civil society organizations, industry associations, etc.) to provide improved access to remedy to victims of human trafficking and forced labor.</li> </ol>

<b>Verification Evidence:</b>	<ol style="list-style-type: none"> <li>1) Public commitment statement is available on the Company’s web site and posted in its facilities.</li> <li>2) Process and records showing how remedy is/has been provided to victims of human trafficking and forced labor in the company’s operations and in its supply chain.</li> <li>3) Records that demonstrate the Company’s active participation, support for, or leadership of multi-stakeholder initiatives dedicated to providing remedy for victims of human trafficking and forced labor.</li> </ol>
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## **B BOARD AND EXECUTIVE ACCOUNTABILITY**

### **B.1. Executive and board leadership**

The Company’s anti-human trafficking policies are approved and endorsed (signed) by senior management and the board of directors.

<b>Conformance</b>	The Company’s anti-human trafficking policies are endorsed and signed by the CEO and/or individual Board members.
<b>Leading Practice</b>	Speeches, presentations or other external communications are made by the CEO or Board members that describe the Company’s position on human trafficking, its business importance, or its influence on business strategy.
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Policies posted on the Company’s public web site, signed by the CEO and/or Board of Directors.</li> <li>2) Copies of speeches and presentations to external audiences by the CEO and/or Board members are posted on the Company website for download or online viewing.</li> </ol>

### **B.2. Executive level accountability**

The Company assigns responsibility and accountability for implementing the anti-human trafficking policy to an executive level manager or Board member.

<b>Conformance</b>	A Company executive is assigned responsibility and accountability for the Company’s anti-human trafficking efforts.
<b>Leading Practice</b>	Additionally, oversight for anti-human trafficking performance is assigned to a Board committee (for example, the audit committee or governance committee).
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Position description/plan for the assigned executive contains specific anti-human trafficking responsibilities.</li> <li>2) Charter of the Board audit or governance committee details the committee’s responsibility for overseeing the Company’s anti-</li> </ol>

	human trafficking efforts.
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### B.3. Executive and board level review

The Company has a process to regularly discuss the anti-human trafficking policy and its implementation at the executive management and/or Board level with the objective of identifying opportunities for improvement.

<b>Conformance</b>	The anti-human trafficking policy and the Company's performance in implementing it is formally discussed at the executive management level at least annually.
<b>Leading Practice</b>	Human trafficking is a regular agenda item for the responsible Board committee, with the focus on the company's performance on preventing human trafficking in its operations and throughout its supply chain.
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Minutes of executive and/or Board or board committee meetings.</li> <li>2) Documented improvement objectives and plans developed as a result of the meetings.</li> </ol>

### B.4. Executive performance incentives

The Company links executive and Board compensation to performance in achieving its anti-human trafficking objectives, targets and KPIs.

<b>Conformance</b>	The senior executive designated with responsibility and authority for implementing the company's anti-human trafficking policy has a portion of her/his compensation linked to the company's performance in preventing human trafficking and forced labor.
<b>Leading Practice</b>	The specific criteria linking Board and executive compensation to anti-human trafficking performance are publicly available, as are the outcomes.
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Website posting describing how executive compensation is linked to the Company's anti-human trafficking performance;</li> <li>2) Posting/communication of compensation earned or withheld as a result of company performance.</li> </ol>

### B.5. Relationship to corporate strategy

The Company formally considers and incorporates human trafficking issues in the development and review of its corporate strategy.

<b>Conformance</b>	Results of a regularly performed human rights risk assessment, including human trafficking and forced labor, is formally considered in
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	strategy development (for example, strategy to transition to direct hiring; repayment of fees to affected workers).
<b>Leading Practice</b>	<ol style="list-style-type: none"> <li>1) Public speeches, presentations and other external communications describing the Company’s business approach to preventing human trafficking,</li> <li>2) Discussions of its business importance by the board or the CEO, or</li> <li>3) Clear description on the company web site of the relationship between the anti-human trafficking policy and the Company’s business strategy (for example, through an integrated reporting approach).</li> </ol>
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Publically available communication of how human trafficking risks were considered in setting company strategy;</li> <li>2) Copies of speeches, meeting minutes, and other communications that discuss the relationship between anti-human trafficking policy and company strategy;</li> <li>3) Published reports (e.g. annual report or sustainability report) describing relationship between prevention of human trafficking and the company’s business strategy.</li> </ol>



## BUSINESS MANAGEMENT SYSTEM

*These authentication criteria measure how the company’s anti-human trafficking policy is incorporated in day-to-day business operations; how the company performs anti-human trafficking due diligence for its own operations and its supply chain, and how it monitors and measures performance, takes corrective and preventive actions, and employs grievance and allegation reporting mechanisms*

### C. Organizational Structure

#### C.1. Responsibility and resources

The Company has defined and allocated the organization, responsibilities and resources required for effective day-to-day implementation of anti-human trafficking policies and procedures across all relevant internal functions.

<b>Conformance</b>	Responsibility for anti-human trafficking policy implementation is clearly defined and documented for all relevant internal functions (for example, human resources, procurement, supply chain management, etc.).
<b>Leading Practice</b>	<ol style="list-style-type: none"> <li>1) Adequate resources are allocated and individual performance plans in relevant functions contain clearly defined anti-human trafficking responsibilities.</li> <li>2) The Company’s internal organization for managing anti-human trafficking performance aligns with the GSCP “Reference Tool on Supply Chain Social Performance Management Systems.”</li> </ol>
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Documented responsibilities and authorities in position plans;</li> <li>2) Documentation of financial and staff resources dedicated to implementing the company policy.</li> </ol>

#### C.2. Incentives and performance management

The Company links senior management compensation to performance in achieving anti-human trafficking objectives, targets and KPIs.

<b>Conformance</b>	Senior managers with responsibility and authority for implementing elements of the company’s anti-human trafficking policy have a compensation plan linked to their performance in preventing human trafficking and forced labor.
<b>Leading Practice</b>	The specific criteria linking senior manager compensation to anti-human trafficking performance are publicly available.
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Website posting of anti-human trafficking performance criteria used to evaluate senior manager performance. Note: This does not mean that the names of senior managers are published; only the criteria used to evaluate key roles (human</li> </ol>

	resources, supplier managers, etc.).
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## D Assessing and controlling risks

### D.1. Risk assessment

The Company has established and effectively implemented processes to identify, assess and prioritize human trafficking risks on an on-going basis, including in the selection of new suppliers, subcontractors and business partners.

<b>Conformance</b>	<ol style="list-style-type: none"> <li>1) The Company has implemented a formal, documented process to identify and assess human trafficking and forced labor risks in its own operations and those of its suppliers, subcontractors and business partners.</li> <li>2) Due diligence is conducted for all prospective suppliers and subcontractors, including labor agents. The process evaluates the supplier’s performance in complying with anti-human trafficking legal and Policy requirements.</li> <li>3) Prospective suppliers that are unable to meet the Company’s requirements are not selected as suppliers.</li> </ol>
<b>Leading Practice</b>	<ol style="list-style-type: none"> <li>1) The Company assesses human trafficking risks in its operations and throughout its supply chain at least annually.</li> <li>2) The risk assessment is repeated, as needed, in response to changes in operations, legal and customer requirements, and changes in its supply chain and business partnerships.</li> <li>3) The Company has established and documented specific anti-human trafficking performance thresholds for prospective suppliers that must be met to be considered as a supplier to the Company.</li> </ol>
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Documented risk assessment process covering both company operations and supply chain.</li> <li>2) Documented prospective supplier due diligence process.</li> <li>3) Self-assessment tool for use by prospective suppliers.</li> <li>4) Description of how a prospective supplier’s anti-human trafficking performance is considered in the contracting process.</li> <li>5) Records of supplier due diligence assessments.</li> <li>6) Records demonstrating that the risk assessment is performed at least annually and whenever there are changes to company operations or in its supply chain</li> <li>7) Prioritized summaries of assessment results.</li> </ol>

### D.2a. Establishment of operational controls

Based on the results of its risk assessment process, the Company establishes business process controls or improves existing controls to manage identified human trafficking and forced labor risks.

<b>Conformance</b>	<p>Documented process to</p> <ul style="list-style-type: none"> <li>Review existing business processes for their ability to control the identified human trafficking and forced labor risks; and</li> <li>Improve existing controls or establish new ones where they are found to be inadequate (for example, due diligence process for the selection of labor agents).</li> </ul>
<b>Leading Practice</b>	The Company publicly shares and communicates the specific business process controls improved or established as a result of assessment processes.
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Published description of the business process controls used to identify each identified human trafficking risk.</li> <li>2) The description is part of the Company’s annual CSR/social responsibility progress report; annual UK Modern Slavery Act summary, or equivalent.</li> </ol>

#### D.2b. Alignment of related internal policies and processes

The Company aligns internally to its anti-human trafficking policy by describing how business processes and procedures embed the requirements of the policy into day-to-day business process management.

<b>Conformance</b>	The Company aligns in practice the Policy requirements across all relevant business functions (for example, procurement, recruitment, selection and hiring, etc.).
<b>Leading Practice</b>	Regular formal review of business alignment is performed across all relevant functions including human resources, procurement, supply chain management and legal functions (including contract approval).
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Formal description of how key business processes, such as recruitment, selection and hiring and supplier selection and management incorporate the requirements of the Company’s anti-human trafficking policy (for example, how conformance with the Company’s policy is considered in the selection of new suppliers and business partners).</li> <li>2) Documented business processes, procedures and records contain relevant requirements from the Company anti-human trafficking policy.</li> </ol>

#### D.3. Improvement Objectives and Targets

The Company develops and implements objectives and targets to improve its performance in preventing forced labor and human trafficking in its operations and those of its supply chain.

<b>Conformance</b>	<ol style="list-style-type: none"> <li>1) The Company has established improvement objectives and targets to address the gaps identified by the results of its risk assessment process and a review of the adequacy of existing controls.</li> <li>2) Implementation plans are in place for each objective that include assigned owners, targets, milestones, and completion dates.</li> <li>3) The Company regularly evaluates its progress in achieving its objectives and if off track, makes any necessary adjustments to the targets, timelines or allocated resources.</li> </ol>
<b>Leading Practice</b>	<ol style="list-style-type: none"> <li>1) The company has implemented a formal process for developing and managing improvement objectives, including executive level review of progress.</li> <li>2) The Company posts its improvement objectives on its web page and regularly reports its progress in achieving them.</li> <li>3) The Company uses improvement objectives to continually improve its anti-human trafficking performance beyond basic compliance with legal and customer requirements.</li> <li>4) The company has a track record of achieving its improvement objectives.</li> </ol>
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Documented process for setting objectives, implementing improvement plans and measuring their achievement.</li> <li>2) Publication of improvement objectives (for example: web site, annual sustainability report, etc.)</li> <li>3) Records of executive management review of company performance in achieving objectives and targets, including actions taken when objectives are off track.</li> <li>4) Monitoring data, KPIs and other verification information confirming the achievement of objectives.</li> </ol>

#### D.4a. Internal Communication

The Company communicates its anti-human trafficking policy and expectations internally to all managers, supervisors, and direct and indirect employees.

<b>Conformance</b>	<ol style="list-style-type: none"> <li>1) The Company's anti-human trafficking and forced labor policies and performance expectations are communicated to all employees using multiple means: company intranet; workplace postings; employee handbook; etc.</li> <li>2) In addition to the Company's policy commitments and expectations of employees, communication also includes actions that can be</li> </ol>
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	taken for legal and policy violations.
<b>Leading Practice</b>	<ol style="list-style-type: none"> <li>1) The Company communicates its policies and expectations to all employees on a regular basis using a formal communication plan.</li> <li>2) Monitoring is regularly performed to ensure employee awareness of the major policy commitments, such as employee surveys, online questionnaires, etc.</li> </ol>
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Documented internal communication plan</li> <li>2) Examples of communication using a variety of means (email, intranet, notice board postings, meeting minutes, etc.</li> <li>3) Results of employee interviews or surveys measuring awareness of the policy and performance expectations.</li> </ol>

#### D.4b. External Communication

The Company communicates its anti-human trafficking policy and performance expectations to its supply chain and other business partners, and incorporates policy expectations within the terms of its contracts, MOU's and purchase agreements with contractors, subcontractors, suppliers and other business partners.

<b>Conformance</b>	<ol style="list-style-type: none"> <li>1) The Company communicates its policy and performance expectations to all direct suppliers, contractors, subcontractors, agents and business partners and requires them to communicate it to all their employees.</li> <li>2) In addition to the Company's policy commitments and expectations of subcontractors, suppliers and agents, communication also includes actions that can be taken for legal and policy violations.</li> </ol>
<b>Leading Practice</b>	The Company requires its direct supplier, contractors, subcontractors and other business partners to communicate its policy to their next tier suppliers and they, in turn, communicate it to all employees in their native language(s).
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Copies of correspondence and other communications to supply chain partners</li> <li>2) Information posted on the Company's supplier portal or other web site dedicated to providing information to suppliers and other business partners</li> <li>3) Copies of contract terms and conditions containing the anti-human trafficking policy expectations</li> <li>4) Evidence from direct suppliers of communication to their employees</li> <li>5) Evidence from direct suppliers of communication to their next tier suppliers.</li> </ol>

## D.5. Training

The Company trains all employees and managers on its anti-human trafficking policy and performance expectations.

<b>Conformance</b>	<ol style="list-style-type: none"> <li>1) All new employees and managers are trained on the provisions of the Company’s anti-human trafficking policy upon hire.</li> <li>2) Additional training on performance expectations is provided for those employees and managers whose job responsibilities include implementation of aspects of the policy.</li> </ol>
<b>Leading Practice</b>	<ol style="list-style-type: none"> <li>1) All employees and managers receive refresher training on a regular basis (at least annually).</li> <li>2) Training on policy implementation expectations is also provided for affected managers and employees of direct suppliers and other business partners.</li> </ol>
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Documented training plan</li> <li>2) Copies of training materials</li> <li>3) Training attendance records</li> <li>4) Records of training provided for suppliers and other business partners</li> </ol>

## D.6. Monitoring control effectiveness

The company measures the effectiveness of its business process controls in preventing human trafficking on an ongoing basis.

<b>Conformance</b>	KPI’s, worker surveys/interviews, grievance reports and supplier performance reporting and other means are used to measure the effectiveness of business process controls on an ongoing basis. For example, interviews or surveys of newly hired employees to monitor ethical recruitment practices.
<b>Leading Practice</b>	The Company publishes the results of ongoing monitoring on its web page or in its annual social responsibility performance report and/or compliance statement.
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Copies of employee interview/survey results</li> <li>2) Summaries of worker grievance reports</li> <li>3) Self-assessments and other regular performance reporting from suppliers and other business partners</li> <li>4) Web-based Company performance/compliance reports.</li> </ol>

## D.7. Grievance and feedback mechanisms

The Company has established formal mechanisms for Company employees, supplier employees and other external parties to raise human trafficking-related complaints and concerns, and to report violations of the Company anti-human trafficking policy.

<b>Conformance</b>	<ol style="list-style-type: none"> <li>1) An easily accessible, confidential and effective grievance process is implemented for use by Company employees</li> <li>2) Grievances are promptly investigated and the results reported to the workforce in a timely manner.</li> <li>3) Employee feedback indicates that they trust the process.</li> <li>4) The Company takes all necessary corrective actions, including reporting to government officials.</li> </ol>
<b>Leading Practice</b>	<ol style="list-style-type: none"> <li>1) An external complaint/allegation reporting process is established for use by the public, suppliers, subcontractors, customers and other external parties.</li> <li>2) External complaints and allegations are promptly investigated and any necessary action taken, including reporting to government officials.</li> <li>3) Reports of grievances, complaints and allegations are used to measure the effectiveness of anti-trafficking efforts in the Company's supply chain.</li> </ol>
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Copies of employee interview/survey results showing trust in the employee grievance process</li> <li>2) Grievance reports, resolution findings, and summary reports to the workforce</li> <li>3) Documents showing how grievance reporting has led to corrective and preventive actions, including changes in existing business process controls</li> <li>4) Investigation reports of external complaints and allegations</li> <li>5) Records of violation reporting to government officials.</li> </ol>

#### D.8. Audits and assessments

The Company implements a formal process to regularly audit its own operations and those of its direct suppliers and other business partners for compliance with both legal and policy requirements related to human trafficking and forced labor.

<b>Conformance</b>	<p>A formal process to audit both the Company's own high risk operations and those of its direct suppliers (including labor agents) on an annual basis.</p> <p>The audit scope includes:</p> <ul style="list-style-type: none"> <li>• All of the requirements of the Company anti-human trafficking policy</li> </ul>
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	<ul style="list-style-type: none"> <li>• Customer requirements,</li> <li>• Relevant ILO conventions and recommendations, and</li> <li>• All applicable legal requirements (e.g. U.S. Federal Acquisition Regulations).</li> </ul> <p>The audit process includes:</p> <ul style="list-style-type: none"> <li>• Documented audit protocol/criteria</li> <li>• Use of qualified auditors</li> <li>• An on-site process, consisting of an opening meeting, site tour/inspection, management and staff interviews, document and record reviews, worker interviews, labor broker interviews, and a closing meeting</li> <li>• Audit report with issues rated by severity (e.g. Minor, Major, Critical)</li> </ul>
<b>Leading Practice</b>	<ol style="list-style-type: none"> <li>1) The Company audit process has achieved GSCP Equivalence.</li> <li>2) Auditor competency requirements align with either the GSCP “Auditing Competency Reference Tool” or the Verite-CREA “Standards for the Knowledge and Skills of Social Auditors.”</li> <li>3) Audit findings and actions taken based on the findings are discussed by Senior Management and/or the Audit Committee of the Board</li> <li>4) Audit effectiveness is independently verified using an independent third party with expertise in human trafficking and forced labor.</li> <li>5) The audit program extends beyond direct suppliers to second tier (and lower) high risk suppliers, contractors and subcontractors.</li> <li>6) Suppliers, subcontractors and labor agents are required to implement an audit process that aligns with the Company’s.</li> </ol>
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Documented, formal audit process, including required skills and competencies for auditors</li> <li>2) Copies of audit reports of Company operations and suppliers</li> <li>3) Summary reports of audit findings to executive management and the Board</li> <li>4) Independent audit process verification reports and recommendations</li> <li>5) Audit results published on the Company web page and in performance reports and compliance statements.</li> </ol>

#### D.9. Corrective and preventive action

The Company has implemented a formal process to manage noncompliance and

nonconformance that includes determining the root cause(s) of identified issues and implementing plans to take appropriate corrective and preventive action.

<b>Conformance</b>	<ol style="list-style-type: none"> <li>1) The Company has implemented a documented nonconformance and noncompliance management process.</li> <li>2) All issues and findings identified in audits, assessments, worker grievances, and other means are evaluated to determine their root cause(s).</li> <li>3) Action plans are developed and implemented that include specific owners, corrective and preventive actions, and target dates.</li> <li>4) Closure of action items is verified.</li> <li>5) Suppliers and other business partners similarly address audit findings of their operations.</li> </ol>
<b>Leading Practice</b>	<ol style="list-style-type: none"> <li>1) Action plans are fully implemented within the designated timeframes.</li> <li>2) Suppliers and other business partners submit progress reports to the Company on a regular basis until all actions have been completed.</li> <li>3) The implementation status of both Company and supplier corrective actions are published on the Company web site and/or in the Company's anti-human trafficking compliance statements.</li> <li>4) Issues do not recur in subsequent audits.</li> </ol>
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Documented process to manage noncompliance and nonconformance.</li> <li>2) Copies of corrective action plans and internal progress reports.</li> <li>3) Records and other evidence demonstrate that once corrective and preventive actions are taken, issues do not recur.</li> <li>4) Progress reports from suppliers and other business partners.</li> <li>5) Publicly available reports/statements summarizing progress in addressing identified issues.</li> </ol>

## D.10. Business incentives and consequences

The Company includes human trafficking considerations, including the results of audits, credible information alleging violations of Company policy, and implementation of corrective and preventive action, in its decisions to engage, incentivize or terminate suppliers and other business relationships.

<b>Conformance</b>	<ol style="list-style-type: none"> <li>1) The Company has implemented a documented process that incorporates human trafficking considerations in supplier and business partner selection and engagement.</li> <li>2) Significant non-conformance with the Company’s anti-human trafficking policy or legal requirements precludes engaging a new supplier and is justification for contract termination or other business consequences.</li> </ol>
<b>Leading Practice</b>	<ol style="list-style-type: none"> <li>1) Regular business reviews (e.g. QBRs) with suppliers, subcontractors and Company operating units include a review and discussion of anti-human trafficking performance, including:             <ol style="list-style-type: none"> <li>a. KPI’s,</li> <li>b. Audit findings,</li> <li>c. Progress in implementing corrective actions.</li> </ol> </li> <li>2) Suppliers with good anti-human trafficking performance are considered for incentive programs such as:             <ol style="list-style-type: none"> <li>a. Preferred supplier status,</li> <li>b. Guaranteed minimum order volume,</li> <li>c. Price premiums, etc.</li> </ol> </li> </ol>
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Copy of process that considers anti-human trafficking performance in supplier selection and retention.</li> <li>2) Agendas and minutes of supplier business review meetings.</li> <li>3) Documented supplier incentive programs.</li> <li>4) Documented criteria for contract termination based on identified noncompliance/nonconformance or receipt of credible information alleging policy/legal violations.</li> <li>5) Business incentives and consequences incorporated in Company performance reports and compliance statements.</li> </ol>



## PERFORMANCE EXPECTATIONS

*This set of criteria is focused on specific anti-human trafficking related practices expected of Company operations, suppliers and other business partners.*

### E. Basic performance expectations

#### E.1. “No fees” for job seekers

The Company ensures that workers are not charged fees or required to lodge financial deposits to obtain employment.

<b>Conformance</b>	<p>The Company prohibits charging workers in its operations and in its supply chain recruitment fees and expenses to obtain employment. This means that workers do not pay:</p> <ul style="list-style-type: none"> <li>• Recruitment fees/commissions to the company, labor agents or any other parties,</li> <li>• Financial deposits;</li> <li>• Bonds or levies;</li> <li>• Forced savings;</li> <li>• Travel expenses to the receiving country or return travel upon completion of the work contract;</li> <li>• The cost of uniforms, tools, personal protective equipment and any other items required to perform the job; and</li> <li>• Any other fees, deductions, withholding or penalties associated with obtaining or retaining employment.</li> </ul>
<b>Leading Practice</b>	<ol style="list-style-type: none"> <li>1) The Company has implemented the “employer pays” policy and regularly checks its effective implementation in its own operations, and in its business and supply chain relationships, particularly with private employment agencies and recruitment intermediaries.</li> <li>2) Employees determined to have paid recruitment fees are reimbursed promptly (within 30 days of discovery).</li> </ol>
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Copies of contract terms and conditions with suppliers, subcontractors and labor agents, specifying the Company’s “no fees” policy.</li> <li>2) Company anti-human trafficking audit criteria.</li> <li>3) Copies of audit reports.</li> <li>4) Supplier and business partner training materials, webinars, written communications.</li> <li>5) Listing of performance requirements on the Company’s supplier portal.</li> <li>6) Migrant worker interview/survey results regarding recruitment fees.</li> </ol>

## E.2. Ethical recruitment

The Company uses only licensed labor agents and prohibits fraud, deception, or coercion in the recruitment, selection and hiring of workers. Employers and recruitment agents must be completely transparent with job seekers about all aspects of employment terms and conditions.

<b>Conformance</b>	<ol style="list-style-type: none"> <li>1) All staff involved in the recruitment, selection and hiring of workers (supplier and labor agent employees) are trained on the Company's anti-human trafficking policy and performance requirements.</li> <li>2) Labor agents do not make material misrepresentations during the recruitment process regarding the key terms and conditions of employment, including wages and fringe benefits, the location of work, living conditions, etc.</li> <li>3) Job announcements/postings clearly state the key terms and conditions of employment.</li> </ol>
<b>Leading Practice</b>	<ol style="list-style-type: none"> <li>1) The Company recruits, selects and hires employees directly, using its own staff.</li> <li>2) All job vacancy announcements and postings are reviewed and approved for completion and accuracy by the manager responsible for the recruitment process.</li> <li>3) All job candidates are given a thorough verbal and written explanation of the terms and conditions of employment before they are asked to sign an employment contract.</li> </ol>
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Training materials for labor agents.</li> <li>2) Training materials and recruitment procedures for use by internal Company staff.</li> <li>3) Copies of job vacancy announcements/postings.</li> <li>4) Documented recruitment, selection and hiring process.</li> <li>5) Interview/survey results of newly hired workers on their recruitment experience.</li> </ol>

## E.3. Employment contracts

The Company requires that all workers are provided with a written employment contract in their native language prior to beginning employment; and for foreign migrants, prior to departure from the sending country. t

<b>Conformance</b>	<ol style="list-style-type: none"> <li>1) Every employee is provided with a signed copy of their employment contract written in their native language before they begin work.</li> <li>2) There is no contract substitution.</li> <li>3) Only legally required contract amendments are allowed, and any changes to contract terms and conditions upon arrival in the receiving</li> </ol>
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	country must be to the advantage of the employee.
<b>Leading Practice</b>	<ol style="list-style-type: none"> <li>1) Employment contracts contain all the information shown in Appendix 1.</li> <li>2) The Company posts its employment contract template on its web site.</li> <li>3) Employment contracts used by suppliers and subcontractors for their employees are at least as comprehensive as the Company template.</li> </ol>
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Results of worker interviews/surveys about their employment contracts.</li> <li>2) Copies of Company and supplier/subcontractor employment contracts.</li> <li>3) Web-posted contract template.</li> </ol>

#### E.4. Document withholding

The Company does not retain, confiscate or destroy employee identity cards, passports, ATM cards and other personal documents. Where retention is required by law, workers are provided access to their documents upon request.

<b>Conformance</b>	<ol style="list-style-type: none"> <li>1) The Company prohibits withholding of employee personal documents in its operations and throughout its supply chain.</li> <li>2) Company facilities have written procedures that ensure workers retain possession of their original personal documents.</li> <li>3) Only copies of personal documents are kept in employee files.</li> <li>4) Where the company is required by law to retain employee documents, employees can access their documents upon request without delay.</li> </ol>
<b>Leading Practice</b>	<ol style="list-style-type: none"> <li>1) Company and supplier employees are provided with personal secure storage for their documents at the workplace, and in their accommodation (if housing is provided or arranged by their employer).</li> <li>2) Employee survey/interview results verify that they are in possession of their own documents.</li> </ol>
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Copies of employee interview/survey results.</li> <li>2) Summary of audit findings on document retention.</li> <li>3) Contract terms and conditions with suppliers requiring them to provide personal locked storage for their employees.</li> <li>4) Audit reports.</li> </ol>

#### E.5. Financial and physical restrictions

The Company prohibits restricting workers by limiting their access to bank accounts; and

restricting freedom of movement outside of working hours.

<b>Conformance</b>	<ol style="list-style-type: none"> <li>1) The Company nor its suppliers can access employee bank accounts (other than to deposit wages).</li> <li>2) Workers are free to come and go from the worksite and their company provided or arranged accommodation during non-working hours.</li> </ol>
<b>Leading Practice</b>	<ol style="list-style-type: none"> <li>1) The Company and its suppliers facilitate the free movement of employees by providing transportation for workers between their accommodation and the community.</li> <li>2) ATM machines and/or bank branch offices are located in the worksite or company-provided accommodation.</li> </ol>
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Copies of employee interview/survey results.</li> <li>2) Documented transportation arrangements for employees in company-provided accommodations.</li> <li>3) Photos or other evidence of ATM machines or bank branch offices at the worksite or company-provided accommodation.</li> <li>4) Audit reports.</li> </ol>

#### E.6. Direct employment

Wherever feasible, the Company uses direct employment relationships and does not use labor-only contracting or consecutive short-term contracts of employment.

<b>Conformance</b>	<ol style="list-style-type: none"> <li>1) The Company has a plan in place to transition to direct employment and is implementing the plan according to the defined schedule.</li> <li>2) The Company requires its suppliers and subcontractors to establish a plan to transition to direct employment over a defined period of time.</li> </ol>
<b>Leading Practice</b>	<ol style="list-style-type: none"> <li>1) All employee employment contracts are with the Company or the Company's suppliers.</li> <li>2) No labor agent serves as the employer of any employee working at the Company or in its supply chain.</li> <li>3) If used, labor agents have a narrowly defined role that is limited to recruitment and processing legally required paperwork. Final selection and hiring is done by the Company or its suppliers.</li> </ol>
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Written Company and supplier plans to transition to direct employment.</li> <li>2) Contracts with labor agents showing that their role is limited to recruitment and navigating the legal process.</li> <li>3) Employee survey/interview results indicating that they work</li> </ol>

	<p>directly for the Company or one of its suppliers.</p> <p>4) Audit reports.</p>
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### **E.7. Freedom of association and collective bargaining**

Trade unions and other worker organizations are allowed access to all workers (including foreign migrants) and to carry out trade union functions in the workplace. Where the right is restricted by law, the employer facilitates a parallel means of engagement.

<b>Conformance</b>	<ol style="list-style-type: none"> <li>1) The Company has a formal policy and procedure to respect the rights of all employees to freedom of association and collective bargaining.</li> <li>2) Suppliers and subcontractors are required to have similar policies and procedures in place.</li> <li>3) Where this is a labor union or other formal worker organization on site, both domestic and migrant workers are members.</li> </ol>
<b>Leading Practice</b>	<ol style="list-style-type: none"> <li>1) Foreign migrant workers at the Company's operations and those of its suppliers hold elected office in labor unions and other worker organizations (where allowed by law).</li> <li>2) Where labor unions are not permitted, parallel means of engagement are in place and foreign migrant workers actively participate.</li> </ol>
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Company and supplier policies and employee communication and training on freedom of association and collective bargaining.</li> <li>2) Listings of labor union/worker organization membership and elected representatives.</li> <li>3) Minutes of labor union/worker organization meetings.</li> <li>4) Employee survey/interview results indicating that they understand their rights of freedom of association and collective bargaining and are not restricted in any way from exercising their rights.</li> <li>5) Audit reports.</li> </ol>



## F. REPORTING / TRANSPARENCY

*This section contains the criteria for how a Company publicly reports on its human trafficking policies, practices and performance. Meeting these criteria will help enable a Company to meet its reporting obligations under the UK Modern Slavery Act and the California Transparency in Supply Chains Act.*

### F.1 Anti-Human Trafficking Training

The Company reports details on training of managers and employees on human trafficking and forced labor issues. (who, how, when, etc.). It also reports the total number of employees trained and the amount of training on Human Trafficking they receive.

<b>Conformance</b>	Publicly available report includes details on: <ul style="list-style-type: none"> <li>• Numbers of workers and managers trained,</li> <li>• Type of training (awareness, implementation responsibilities, etc.),</li> <li>• Functional areas trained (procurement, human resources, legal, security, etc.),</li> <li>• Frequency of training,</li> <li>• Training methods, etc.</li> </ul>
<b>Leading Practice</b>	The Company report includes: <ul style="list-style-type: none"> <li>• Measures of training effectiveness and impact (learning, behavior change, business impact, etc.)</li> <li>• Total hours of employee training on policies and procedures concerning aspects of human trafficking that are relevant to operations</li> </ul>
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Course materials</li> <li>2) Training attendance records</li> <li>3) Training plan and schedule</li> <li>4) Effectiveness measures (test scores, skills demonstrations, etc.)</li> </ol>

### F.2 Risk Assessment Disclosure

The Company reports on the outcomes of the risk assessments it has carried out to identify and quantify human trafficking and forced labor issues and risks in its own operations and in its supply chain (both current and prospective suppliers).

<b>Conformance</b>	<ol style="list-style-type: none"> <li>1) The Company provides: <ol style="list-style-type: none"> <li>a. an overview of human trafficking and forced labor risks and impacts identified at an aggregate level,</li> <li>b. Information about prospective suppliers rejected based on due diligence findings.</li> </ol> </li> </ol>
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<b>Leading Practice</b>	<ol style="list-style-type: none"> <li>1) The Company provides a summary of the business controls it has in place and is in the process of establishing in order to control the identified risks.</li> <li>2) Human trafficking and forced labor risks in the Company’s operations and in its supply chain are summarized by issue and region.</li> </ol>
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Copies of risk assessment reports and summaries</li> <li>2) Gap analyses showing where existing business process controls are inadequate or absent</li> <li>3) Risk assessments performed by the Company’s suppliers of their next tier suppliers.</li> </ol>

### F.3 Policy Implementation

On an annual basis, the Company publicly reports details on its progress and challenges in implementing its anti-human trafficking policy.

<b>Conformance</b>	<ol style="list-style-type: none"> <li>1) The Company provides details on the results of monitoring the implementation of its anti-human trafficking policy in its operations and those of its supply chain.</li> <li>2) At a minimum, the report includes: <ul style="list-style-type: none"> <li>• Risk assessment results</li> <li>• Audit data</li> <li>• Key Performance Indicators</li> <li>• Supplier self-assessment and performance reports</li> <li>• Corrective Action Plans</li> <li>• Ongoing challenges, and</li> <li>• Objectives and targets</li> </ul> </li> </ol>
<b>Leading Practice</b>	<ol style="list-style-type: none"> <li>1) Total number and percentage of both Company and supplier operations that have been subject to human trafficking audits and assessments by country.</li> <li>2) Compliance status by supplier and subcontractor</li> <li>3) Links to progress reports prepared by the Company’s major suppliers.</li> </ol>
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Copies of audit reports</li> <li>2) Summaries of audit findings (both aggregate and per supplier/subcontractor)</li> <li>3) Pareto list of the top human trafficking and forced labor issues within the Company and in its supply chain</li> <li>4) Transparent summary of challenges in fully implementing the</li> </ol>

	Company anti-human trafficking policy
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#### F.4 Stakeholder Engagement

The Company details the nature and extent of stakeholder engagement on human trafficking issues for the previous year and plans for the coming year.

<b>Conformance</b>	<ol style="list-style-type: none"> <li>1) The Company provides details on the nature and frequency of stakeholder dialogue and engagement: <ul style="list-style-type: none"> <li>• At the Company level</li> <li>• For Company operations</li> <li>• For major supply chain partners</li> </ul> </li> </ol>
<b>Leading Practice</b>	<ol style="list-style-type: none"> <li>1) The stakeholder engagement section of the report is written in part, or collaboratively with stakeholders</li> <li>2) Key stakeholders publicly endorse the report's stakeholder engagement content</li> <li>3) The report includes: <ul style="list-style-type: none"> <li>• Issues raised, actions taken and improvements made based on the past year's engagements, and</li> <li>• Engagement objectives for the current and future years</li> </ul> </li> </ol>
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Statements or reports by stakeholders that detail the level of engagement by the Company</li> <li>2) Agendas and minutes of stakeholder meetings/engagements</li> <li>3) Company objectives or other initiatives based on stakeholder input.</li> </ol>

#### F.5 Due Diligence of Mergers, Acquisitions and Major Investments

This Indicator measures the extent to which human trafficking considerations are integrated in an organization's business strategy and economic decisions.

<b>Conformance:</b>	<p>The company describes the anti-human trafficking due diligence undertaken as part of any:</p> <ul style="list-style-type: none"> <li>• Mergers</li> <li>• Acquisitions</li> <li>• Joint ventures</li> <li>• Property purchases</li> <li>• Facility construction</li> <li>• Other major external investments</li> </ul>
<b>Leading</b>	<ol style="list-style-type: none"> <li>1) The Company reports how the results of due diligence were</li> </ol>

<b>Practice:</b>	<p>considered in mergers, acquisitions or other major investments (for example, how it influenced the decision to proceed with the deal or changed its terms).</p> <p>2) The details of any anti-human trafficking clauses in mergers, acquisitions, investment agreements and contracts are reported.</p>
<b>Verification Evidence:</b>	<p>1) Documented M&amp;A due diligence process</p> <p>2) Summary of engagements and investments influenced by human trafficking due diligence and a description of resulting changes</p> <p>3) M&amp;A due diligence for the previous financial reporting period described in Company 10K statements, Annual Reports, etc.</p>

## F.6 Number and Resolution of Human Trafficking and Forced Labor Incidents

The company reports human trafficking and forced labor related incidents and issues (identified by audits, routine monitoring, etc.) and how they were resolved, in the Company's owned operations and in its supply chain.

<b>Conformance:</b>	<p>1) The Company publishes:</p> <ul style="list-style-type: none"> <li>• Internal audit results of Company and supplier operations</li> <li>• Supplier self-audits</li> <li>• Supplier audits of their next tier</li> <li>• Any reported incidents of human trafficking and forced labor</li> </ul> <p>2) The report is made on at least an annual basis and includes a pareto listing of findings and their resolution.</p>
<b>Leading Practice:</b>	<p>1) The number and severity of human trafficking and forced labor audit issues consistently declines from year to year.</p> <p>2) The Company establishes and publishes improvement objectives on an annual basis and reports on progress in achieving them.</p> <p>3) The Company consistently achieves its objectives to reduce human trafficking incidents and issues</p>
<b>Verification Evidence:</b>	<p>1) Verification audits performed by independent third party human trafficking experts confirm the validity of Company audit findings and achievement of published objectives</p> <p>2) The number of audits performed by the Company follows its annual audit plan.</p>

## F.7 Grievance and Allegation Reporting

The Company reports the number and resolution of grievances about human trafficking and forced labor issues and abuses and allegations of violations of Company policy and legal requirements it addressed during the previous reporting year.

<b>Conformance:</b>	The Company report details the number and resolution of human trafficking and forced labor issues and concerns based on monitoring its grievance/reporting channels and mechanisms available to workers and external parties.
<b>Leading Practice:</b>	<ol style="list-style-type: none"> <li>1) The Company discloses detailed information about the human trafficking and forced labor grievances, complaints and allegations received, including: <ul style="list-style-type: none"> <li>• Nature of the grievance, complaint or allegation,</li> <li>• Number/percentage addressed to the satisfaction of the reporting party,</li> <li>• Time to resolution,</li> <li>• How resolution was reported back to the workforce (both the Company's and those in its supply chain) and external party, and</li> <li>• Measures of worker trust in the grievance process.</li> </ul> </li> <li>2) The number of grievances and allegations for the same or similar issue decline year over year.</li> </ol>
<b>Verification Evidence:</b>	<ol style="list-style-type: none"> <li>1) Results of employees surveys/interviews concerning their trust of the grievance process and the resolution of grievances to their satisfaction</li> <li>2) Reviews of a random sampling of grievance reports, complaints and allegations, and their resolution and communication back to the workforce and reporting party (both internal and external)</li> <li>3) Reports to government officials of human trafficking issues, grievances, and allegations, and their resolution.</li> </ol>

**F.8 Reporting is reviewed and verified by an external third party.**

The Company's annual anti-human trafficking performance report as well as the supporting documents and quantitative data has been independently reviewed and verified by a qualified, independent third party.

<b>Conformance</b>	The report includes a section describing how the report and supporting information was verified by an independent, external third party, including a signed statement by the third party.
<b>Leading Practice</b>	Stakeholder verification that stakeholder engagement has informed the content of the report, and was considered in changes to the policy and supporting processes and improvement objectives and targets.
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Development and publication includes formal review by an independent third party with expertise in the prevention of human trafficking.</li> </ol>



	<ul style="list-style-type: none"><li>2) The review included verification of performance data related to the Company's supply chain.</li><li>3) Multiple stakeholders were considered where company operations involve multiple geographic regions and/or industry sectors.</li></ul>
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## G. LEADERSHIP

*The following indicators are designed to measure the extent and success of the Company's anti-human trafficking agenda through working with third parties (peers, governments etc.).*

### G.1 Raising human trafficking concerns with governments

The Company commits to government action to prevent human trafficking, by taking public policy positions in favor of legislation and regulations designed to prevent human trafficking, strengthen existing protections, or strengthen access to remedy.

<b>Conformance:</b>	Documented commitment in principle (policy) to advocate for human trafficking prevention with government or local authorities where human trafficking and forced labor risks exist in Company operations, or in its supply chain.
<b>Leading Practice:</b>	<ol style="list-style-type: none"> <li>1) The Company is formally engaged in anti-human trafficking initiatives with government agencies/ministries</li> <li>2) Commitment is backed with specific example(s) of engagements.</li> <li>3) Engagements have demonstrated success in: <ul style="list-style-type: none"> <li>• Promulgating new laws, regulations or other legal protections</li> <li>• Establishing effective systems of access to remedy for trafficking victims</li> <li>• Providing training and education for prospective migrant workers and trafficking victims on their legal rights, including access to remedy</li> </ul> </li> </ol>
<b>Verification Evidence:</b>	<ol style="list-style-type: none"> <li>1) Specific examples published by the Company of: <ul style="list-style-type: none"> <li>• Seeking new or enhanced legislation and regulations to prevent human trafficking</li> <li>• Lobbying for legislation to prevent the denial of trafficking victim rights or to provide remedy (for example access to judicial and non-judicial remedy)</li> </ul> </li> <li>2) Legislation co-sponsored by the Company.</li> </ol>

### G.2 Working with industry peers

The Company seeks to positively influence trade bodies on human trafficking concerns or to leave a trade body when its human trafficking positions conflicts strongly with the Company's position.

<b>Conformance</b>	1) The Company advocates for more protective positions on human trafficking and forced labor within its industry or trade association by formally proposing changes to association policies and supporting documents and advocating for such changes with the membership.
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	2) When these efforts are unsuccessful, the Company publicizes on its web site and through other means how its position and policy differs from that of the organization as a whole.
<b>Leading Practice</b>	<ol style="list-style-type: none"> <li>1) A Company executive serves in a leadership position on the Board or as a work group leader for its industry or trade association to advocate for improvements in the organizations anti-human trafficking policies.</li> <li>2) If it is unable to effect the desired change, the Company leaves the organization rather than risk being associated with an organization that does not support the same level of protection of worker rights.</li> </ol>
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Agenda and meeting minutes of relevant association working groups or Board meetings</li> <li>2) Statements on the association web site the confirms the Company's level of participation</li> <li>3) Public statements by the Company describing any differences in anti-human trafficking policy and approach.</li> </ol>

### G.3 Activities within Multi-Stakeholder Initiatives (MSIs)

The Company is a member and actively participates in Multi-Stakeholder Initiatives (MSIs) which aim to human trafficking and promote responsible recruitment practices.

<b>Conformance</b>	<ol style="list-style-type: none"> <li>1) The Company is an active member of Multi-Stakeholder Initiatives focused on eradicating human trafficking and forced labor.</li> <li>2) The Company lists and describes its Memberships(s) in relevant Multi-Stakeholder Initiatives on its web site.</li> </ol>
<b>Leading Practice</b>	<ol style="list-style-type: none"> <li>1) A Company executive <ul style="list-style-type: none"> <li>• Plays a leadership role within the initiatives, or</li> <li>• Working industry peers and stakeholders, helps to create such initiatives where none exist.</li> </ul> </li> </ol>
<b>Verification Evidence</b>	<ol style="list-style-type: none"> <li>1) Agenda and meeting minutes of relevant MSI working group or Board meetings</li> <li>2) Statements on the MSI web site the confirm the Company's level of participation</li> <li>3) Public statements by the Company describing its alignment with the mission and objectives of the MSI(s).</li> </ol>

### G.4 Support for building local anti-human trafficking capacity

The Company actively supports capacity building of local communities, civil society or government to understand and promote respect for migrant worker trafficking and gives examples.



<b>Conformance</b>	<p>The Company provides training for the community, civil society organizations and government agencies that includes:</p> <ul style="list-style-type: none"><li>• Awareness of the vulnerability of migrant workers, and</li><li>• How to identify and address human trafficking and forced labor issues.</li></ul>
<b>Leading Practice</b>	<ol style="list-style-type: none"><li>1) The Company provides financial resources to communities and civil society organizations in support of providing remedy to victims of human trafficking and forced labor.</li><li>2) The company strives to find suitable employment for human trafficking victims in its facilities or those of its suppliers</li></ol>
<b>Verification Evidence</b>	<ol style="list-style-type: none"><li>1) Training plan, instructional materials and attendance records</li><li>2) Reports of activities of community-based organizations that have received Company-provided training and resources</li><li>3) Statistics on the number of human trafficking victims provided access to remedy and employment by the Company and its suppliers.</li></ol>

## BUSINESS AUTHENTICATION CRITERIA

### SITE-LEVEL

Criteria Number	Authentication Criteria Description	Guidance for Assessors
<b>A) Policy Commitment</b>		
A.1	<p><b>The organization has an anti-human trafficking policy statement affirming its commitment to compliance with legal requirements, ILO conventions, protocols and recommendations, customer Codes of Conduct and continual improvement, endorsed by executive management and posted in the facility in the language(s) of the workforce.</b></p>	<ul style="list-style-type: none"> <li>• Document review:               <ul style="list-style-type: none"> <li>- Policy must apply to the organization and to all suppliers, labor brokers, contractors and subcontractors in its supply chain, at all levels</li> <li>- At a minimum, the policy must contain the requirements of ILO Conventions 29 and 105, the ILO 2014 Protocol to the Forced Labor Convention - 1930, ILO Recommendation 203, ILO Convention 181 - Private Employment Agencies, US Federal Acquisition Regulations - , 52.222-50 - Combatting Trafficking in Persons, California Transparency in Supply Chains Act, the UK Modern Slavery Act, and other applicable legal requirements and customer codes of conduct</li> <li>- The statement is signed/endorsed by the highest level manager in the organization</li> <li>- Includes a stated commitment to continual improvement in eradicating forced labor and human trafficking in its operations and in its supply chain</li> <li>- The policy statement is appropriate for the nature and scope of the organization's operations.</li> </ul> </li> <li>• Management interview:               <ul style="list-style-type: none"> <li>- Management can state the details of the policy</li> <li>- Management can explain how the Policy is applied to the organization's supply chain</li> </ul> </li> <li>• Worker interview:               <ul style="list-style-type: none"> <li>- Workers are aware of the major requirements of the policy</li> </ul> </li> </ul>
<b>B) Executive Accountability</b>		



<p>B.2</p>	<p><b>The organization has designated a senior manager/executive with responsibility and accountability for ensuring implementation of the organizations management systems and processes governing the prevention of forced labor and human trafficking.</b></p>	<ul style="list-style-type: none"> <li>• Document review:             <ul style="list-style-type: none"> <li>- A senior representative is clearly designated as responsible and accountable implementing the organization's policy objectives</li> <li>- Responsibilities are stated in the designated individual's position plan/job description</li> </ul> </li> <li>• Management interview:             <ul style="list-style-type: none"> <li>- the designated executive can articulate his/her anti-human trafficking responsibilities</li> <li>- the designated manager/executive can describe how his/her performance in implementing the organization's anti-human trafficking policy is evaluated</li> </ul> </li> </ul>
<p>B.3</p>	<p><b>Senior management regularly evaluates the overall effectiveness of the organization's policy and management system in preventing forced labor and human trafficking.</b></p>	<ul style="list-style-type: none"> <li>• Document review:             <ul style="list-style-type: none"> <li>- A documented management system review process, including:                 <ul style="list-style-type: none"> <li>* purpose and scope of the review,</li> <li>* description of the review process,</li> <li>* responsibilities of senior management and other managers and staff,</li> <li>* review frequency, etc.</li> </ul> </li> <li>- Records of past management reviews include: agenda, minutes, presentation materials, documented decisions/action plan, attendees, etc.</li> <li>- Items discussed at the review meeting should include, at a minimum:                 <ul style="list-style-type: none"> <li>* progress towards meeting improvement objectives,</li> <li>* results of audits of the organization and of its suppliers,</li> <li>* completion of corrective actions,</li> <li>* identified human trafficking and forced labor risks,</li> </ul> </li> <li>and                 <ul style="list-style-type: none"> <li>* any other information needed to determine the overall effectiveness of the management system to prevent human trafficking</li> </ul> </li> <li>- The meeting must be led by the senior most manager at the organization/facility</li> <li>- The review must be performed at least once per year</li> </ul> </li> <li>• Management interview:             <ul style="list-style-type: none"> <li>- Management can describe the management system review process, when the last meeting was held, and any improvement objectives or changes in the organizations anti-human trafficking policy and procedures that resulted from the review</li> </ul> </li> </ul>

**C) Organizational Structure**



C.1	<p><b>Responsibilities for implementation of the organization's anti-human trafficking policies and procedures are documented and assigned to managers, supervisors, and employees at all levels of the organization.</b></p>	<ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- Responsibilities at each organizational level are documented in position plans, job descriptions and/or the organization's management system documentation</li> <li>- System procedures (for example, recruitment, selection and hiring) include assignment of implementation responsibilities to specific positions and/or individuals</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe the implementation responsibilities for each level within the organization, and</li> <li>- How responsibilities and reporting lines are documented and communicated</li> <li>- Management can describe how implementation of anti-human trafficking programs and procedures impacts an individual's job performance</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers and staff can describe their anti-human trafficking responsibilities as appropriate to their job and function</li> </ul> </li> </ul>
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**D) Assessing and Controlling Risks**

**D1. Risk assessment**

D.1a	<p><b>The organization has implemented a process to identify, track, understand and implement applicable legal and customer requirements for the prevention of forced labor and human trafficking to its operations and those of its supply chain.</b></p>	<ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- A formal procedure to identify, assess applicability and impact, regularly track, and integrate legal and customer requirements into affected processes and procedures</li> <li>- Up to date log/register of applicable legal and customer requirements</li> <li>- Tracking for new and updated requirements is done at a frequency needed to ensure the register is up to date, but no less than quarterly</li> <li>- New and/or changed operations are reviewed for applicable regulatory and customer requirements prior to start-up</li> <li>- Applicable requirements are communicated to affected departments, functions and individuals</li> <li>- Legal and customer requirements are incorporated into internal operating procedures, which are updated as needed, to reflect changes in those requirements</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- The responsible person can describe the process, and</li> <li>- Knows the applicable legal and customer requirements and can describe how they are included in the organization's procedures (e.g. recruitment)</li> </ul> </li> </ul>
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D.1b

**The organization has implemented a process to identify, evaluate and prioritize the *forced labor and human trafficking risks* associated with the organization's operations and those of its supply chain.**

- Document review:
  - A documented risk assessment process is used to identify the most significant forced labor and human trafficking risks in the company's operations and those of its supply chain, including labor brokers and others in the labor supply chain. The assessment process should be tailored to the nature of the company's operations, and include, for example:
    - \* Supply chain mapping
    - \* Numbers of migrant workers
    - \* Migrant worker nationalities
    - \* Sending and receiving country issues
    - \* Recruitment process (direct hire, labor agents, labor outsourcing, etc.)
    - \* Relationship with labor agents in sending and receiving countries
    - \* Prioritization of identified risks (probability, severity, control effectiveness, etc.)
    - \* other elements, based on the nature of the company's operations and supply chain
  - The process is applied both to current and prospective suppliers and subcontractors
  - Prospective subcontractors and suppliers that do not or cannot meet the organization's requirements are not engaged as suppliers
  - Where there is an identified risk of legal noncompliance or nonconformance with the EICC Code of conduct or the company's anti-human trafficking policy, appropriate control measures are identified
  - The scope of the assessment covers all of the company's operations, processes and physical locations, all suppliers, contractors and subcontractors in its supply chain, and is performed at least annually or whenever there are changes in operations or suppliers
  - Risks are ranked in terms of severity and prioritized for corrective actions (e.g. implementation of controls, supplier/broker audits, etc.)
- Management interview:
  - The responsible person can describe the risk assessment process, when it was last carried out, and what was actions were taken based on the findings
  - Management can describe how the results of supplier due diligence influence the supplier selection process

**D2. Operational controls**



<p>D.2</p>	<p><b>Operational controls are incorporated into business processes to minimize the identified risks of forced labor and human trafficking and to comply with legal and customer requirements.</b></p>	<ul style="list-style-type: none"> <li>• Document review:             <ul style="list-style-type: none"> <li>- Gaps in business processes such as recruitment, selection and hiring and the use of labor brokers that could result in situations of forced labor and human trafficking are addressed by implementing operational controls.</li> <li>- Examples of business controls include (among others):                 <ul style="list-style-type: none"> <li>* job posting/vacancy criteria</li> <li>* competency-based interviewing and candidate selection procedures</li> <li>* process to verify the legal status of migrant workers</li> <li>* process to ensure prospective workers are fully informed about the terms and conditions of employment</li> <li>* process to ensure that workers are not charged recruitment fees and expenses</li> <li>* etc.</li> </ul> </li> <li>- Where controls are not yet in place, the organization has established an improvement plan with owners and due dates to implement the necessary controls                 <ul style="list-style-type: none"> <li>- The effectiveness of controls is evaluated/monitored on a regular basis (see Monitoring and Measurement)</li> </ul> </li> </ul> </li> <li>• Management interview:             <ul style="list-style-type: none"> <li>- Management can describe the controls in the organization's business processes designed to minimize the risk of forced labor and human trafficking</li> </ul> </li> </ul>
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**D3. Improvement objectives and targets**

<p>D.3</p>	<p><b>The organization develops and implements objectives and targets to improve its performance in preventing forced labor and human trafficking in its operations and those of its supply chain.</b></p>	<ul style="list-style-type: none"> <li>• Document review:             <ul style="list-style-type: none"> <li>- A documented objective setting process that considers: risk assessment results, legal and customer requirements, audit results, grievance reports, allegations of policy violations, and the company's policy and standards.</li> <li>- The process should be performed at least annually</li> <li>- Every objective should have its own implementation plan with an owner(s), targets, milestones and completion dates,</li> <li>- Objectives should be broadly communicated throughout the organization</li> <li>- Progress in meeting objectives is reviewed on a regular basis (e.g. quarterly) and adjustments made in resources or targets to help ensure their achievement</li> <li>- Objectives and targets are intended to achieve legal compliance, conformance with codes and standards, and continual improvement.</li> </ul> </li> <li>• Management interview:             <ul style="list-style-type: none"> <li>- Management can describe the process for setting objectives/targets (including the process inputs), the organization's current objectives, current status, and when they were last reviewed by the management team</li> </ul> </li> </ul>
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		<ul style="list-style-type: none"> <li>- Management can describe the process followed when objectives are off-track for completion</li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers should have basic knowledge of the objectives and targets relevant to their job tasks</li> </ul> </li> </ul>
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**D4. Communication**

D.4a	<p><b>There is a process for communicating clearly and transparently about organization's anti-human trafficking policies, practices, expectations and performance, and legal requirements to workers, suppliers, customers, and external stakeholders.</b></p>	<ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- There is a formal communication program to suppliers is in place that includes: <ul style="list-style-type: none"> <li>* correspondence to supplier management,</li> <li>* contract terms and conditions requiring suppliers (including labor brokers) to comply with legal requirements and conform to the organization's anti-human trafficking policy and customer code of conduct requirements,</li> <li>* signed agreements from suppliers to adhere to the organization's requirements,</li> <li>* presentations to suppliers, and</li> <li>* supplier training</li> </ul> </li> <li>- There is regular communication with all employees that includes: <ul style="list-style-type: none"> <li>* workplace postings,</li> <li>* company intranet postings,</li> <li>* work team meetings,</li> <li>* email, and</li> <li>* management presentations.</li> </ul> </li> <li>- Communication with customers is in place and conducted on a regular basis. The program should include, for example, performance in meeting customer code of conduct requirements and recruitment practices and performance.</li> <li>- External stakeholders, including the public, should be provided, as a minimum details about the organization's efforts and performance in preventing forced labor and human trafficking in public, annual reporting that follows the</li> </ul> </li> </ul>
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		<p>guidance of GRI G4 and the California Transparency in Supply Chains Act and the UK Modern Slavery Act.</p> <ul style="list-style-type: none"> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe what, how, and how frequently the organization communicates with suppliers, customers, employees and external stakeholders.</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers can describe the time and nature of the last communication and what they recalled from it</li> </ul> </li> </ul>
D.4b	<p><b>Workers are provided with the site/facility's policies and procedures in their native language(s).</b></p>	<ul style="list-style-type: none"> <li>• Site observation: <ul style="list-style-type: none"> <li>- Facility policies and procedures are posted in the native language(s) of the workers on site</li> </ul> </li> <li>• Document review: <ul style="list-style-type: none"> <li>- organization procedure for providing workers with the site's policies in procedures in their native language(s) or in a language they both speak and understand</li> <li>- Worker handbooks, training handouts and other printed and online information provided to workers in in their native language(s) or in a language(s) they both speak and understand</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe how the site's policies and procedures are provided to worker's in their native language(s)</li> <li>- Management can also describe how any online information or email communication is also done in the workers' native language(s)</li> </ul> </li> <li>• Worker interview:</li> </ul>



- Workers confirm that they have been given the site's policies and procedures in their language

**D5. Training**

D.5a

**Training and awareness of the organization's anti-human trafficking policy and supporting procedures is provided for managers and employees.**

- Document review:
  - A formal training program is in place that includes:
    - \* a organization-wide training needs analysis,
    - \* training plan (e.g. annual plan),
    - \* identification of specific learning objectives for each target audience,
    - \* training materials,
    - \* training frequency for each course/subject,
    - \* attendance records, and
    - \* a process and records to evaluate training effectiveness.
  - Managers and employees responsible for implementing procedures or other aspects of the organization's anti-human trafficking program are given training on their specific responsibilities and tasks.
  - All managers and employees are provided with awareness training on forced labor and human trafficking and the organization's efforts to prevent it.
  - Records of training attendance and effectiveness (e.g. learning, behavior change, etc.)
  - Records indicate that training is delivered to managers and employees at least annually
- Management interview:
  - The responsible person(s) can describe the training process, including how training needs are analyzed, how training materials are developed, how and how often employees are trained and how the effectiveness of training is measured
- Worker interview:
  - Workers can describe how and when they were trained, what was covered in the training and how the company confirms that they understand the material covered.



<p>D.5b</p>	<p><b>Pre-departure orientation training is provided for foreign migrant workers before they leave their home country for the place of work.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- The organization has a formal pre-departure orientation/onboarding training program for migrant workers that is provided before they depart from their home country</li> <li>- The training covers basic information about the workplace and the site's policies and procedures, facility rules, legal rights and responsibilities, grievance, and other necessary information</li> <li>- Training records verify that all new workers have been trained before they depart the sending country</li> <li>- Training is delivered by organization staff or by a third party using training materials developed or approved by the organization</li> <li>- Training is delivered in the native language of the workers</li> <li>- 'Assessment of learning' records demonstrate that the learning objectives were met</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe the content of the pre-departure training program for foreign migrant workers, who delivers it, and how and when it is delivered</li> <li>- Management can also describe how it ensures that all foreign migrants attend the training and how the company assesses learning</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers confirm that they received a pre-departure briefing before leaving their home country and that the training was delivered in their native language</li> <li>- Workers could recall the major topics covered in the training</li> </ul> </li> </ul>
<p>D.5c</p>	<p><b>Training is provided for newly arrived migrant workers before they begin work.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- organization has a formal new employee orientation/onboarding training program for newly arrived migrant workers</li> <li>- The training covers the site's policies and procedures, facility rules, legal rights and responsibilities, grievance, and other necessary information</li> <li>- Training records verify that all new workers have been trained before they begin work</li> <li>- Training materials are in the native language(s) of the workers</li> <li>- 'Assessment of learning' records demonstrate that the learning objectives were met</li> </ul> </li> <li>• Management interview:</li> </ul>



		<ul style="list-style-type: none"> <li>- Management can describe the content of the facility's training program for new workers, who delivers it, and how and when it is delivered</li> <li>- Management can also describe how it ensures that all new workers attend the training and how the facility assesses learning</li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers confirm that they received a new employee orientation/onboarding training before beginning work and that the training was delivered in their native language</li> <li>- Workers could recall the major policies, procedures and legal requirements covered in the training</li> </ul> </li> </ul>
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**D6. Monitoring control effectiveness**

D.6	<p><b>The organization evaluates the effectiveness of its risk control processes on an ongoing basis.</b></p>	<ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- A documented program to measure control effectiveness on an ongoing basis is in place that includes: <ul style="list-style-type: none"> <li>* interviews of new hires to evaluate the recruitment process;</li> <li>* worker surveys;</li> <li>* evaluation of worker grievance reports;</li> <li>* process and procedure-specific key performance indicators (KPI's)</li> <li>* termination interview data.</li> </ul> </li> <li>- The program also relies on regular reporting from labor recruiters and next tier suppliers and contractors on the effectiveness of their anti-human trafficking policies and procedures.</li> <li>- The individuals responsible for the processes being monitored review that data on an ongoing basis and make any needed improvements to existing controls.</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Responsible managers can describe how they track the effectiveness of their anti-human trafficking controls; can provide recent monitoring data; and can describe any changes to processes and procedures made as a result of monitoring information.</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers can confirm is they were interviewed or surveyed about their recruitment experience</li> </ul> </li> </ul>
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**D7. Grievance and feedback mechanisms**



<p>D.7a</p>	<p><b>The organization has ongoing processes to proactively seek worker feedback on and participation in practices to prevent forced labor and human trafficking, and to continually improve them.</b></p>	<ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- A formal program to obtain worker feedback is in place and includes elements such as regular employee surveys, worker focus groups, joint worker-management committees, process improvement teams, employee interviews, and anonymous feedback channels.</li> <li>- Feedback is evaluated and improvement actions are taken, as needed.</li> <li>- The results of management's evaluation of feedback is promptly reported to the workforce.</li> <li>- Workers are encouraged to participate in committees and teams whose function it is to improve the organization's anti-human trafficking efforts.</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe the mechanisms the organization employs to seek worker feedback; when the last feedback request was made; what information was obtained; and what actions it took as a result of the feedback.</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers can explain how management seeks feedback; when the last request was made; what actions management took to respond to feedback, and how was feedback used.</li> <li>- Do workers believe that providing feedback to management will lead to change?</li> <li>- Workers should also be able to explain how they, or their co-workers are involved in work teams and committees that have as part of their focus, preventing forced labor and human trafficking.</li> </ul> </li> </ul>
<p>D.7b</p>	<p><b>A confidential grievance mechanism is available in the workers' native language(s) that ensures workers can raise grievances anonymously, without intimidation or retaliation.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Site observation: <ul style="list-style-type: none"> <li>- Postings describing how workers can report grievances confidentially and anonymously</li> <li>- Notice board postings are in the native language(s) of the workers working at the site</li> </ul> </li> <li>• Document review: <ul style="list-style-type: none"> <li>- organization has a formal grievance policy and procedure that describes how workers can report grievances anonymously and confidentially, without fear of retaliation or intimidation</li> <li>- Copies of training materials and training records on the facility grievance procedures</li> <li>- Training materials are in the native language(s) of the workers on site</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe how workers can report grievances to management, confidentially, anonymously,</li> </ul> </li> </ul>



		<p>and without fear of intimidation or reprisal</p> <ul style="list-style-type: none"> <li>- Management can describe how the grievance process accommodates the different languages of the workforce</li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers are comfortable reporting grievances to facility management and have no concerns about confidentiality or fear of reprisal</li> <li>- Workers can describe the training received on the facility grievance process</li> <li>- Workers can describe the methods available for them to report a grievance</li> </ul> </li> </ul>
<p>D.7c</p>	<p><b>The facility has implemented procedures to address worker grievances in a timely manner and report the resolution back to the workers.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Site observation: <ul style="list-style-type: none"> <li>- Postings describing how grievances are acted upon</li> <li>- Notice board postings are in the native language(s) of the workers working at the site</li> </ul> </li> <li>• Document review: <ul style="list-style-type: none"> <li>- organization has a formal procedure that describes how it addresses worker grievances and reports their resolution back to the workers</li> <li>- The grievance process includes an appeals process for workers who do not agree with how a grievance is resolved</li> <li>- Records of grievance reports, grievance resolution and communication to workers</li> <li>- Copies of training materials and training records on the facility grievance procedures</li> <li>- Training materials are in the native language(s) of the workers on site</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe how addresses grievances and reports the results to workers</li> <li>- Management can describe the average time it takes to address grievances; the percentage of grievances resolved to the satisfaction of the workers, and other key grievance process metrics</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers believe that management addresses grievances reports appropriately and in a timely manner</li> <li>- Workers verify that they can appeal a grievance resolution with which they do not agree</li> </ul> </li> </ul>



**D8. Audits and assessments**

<p>D.8a</p>	<p><b>The organization performs regular self-audits to assess conformance with internal policies and procedures and customer requirements and to verify compliance with legal requirements.</b></p> <p><b>Note: see 2.6 regarding audits of labor recruiters</b></p>	<ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- A formal, annual self-audit program is in place in order to assess conformance to: applicable regulatory requirements; customer requirements; customer contractual requirements related to forced labor and human trafficking; internal policies, standards and management system; and other requirements to which the organization subscribes</li> <li>- The self-audit program covers: all of the organization's operations; all processes, work practices and conditions; review of documents and records; interviews with individuals responsible for recruitment, selection and hiring and other processes with potential forced labor risks; and worker interviews.</li> <li>- The audit process includes: <ul style="list-style-type: none"> <li>* Evaluation of compliance with the organization's anti-human trafficking policy and customer requirements</li> <li>* Evaluation of regulatory compliance</li> <li>* Review of documents and records</li> <li>* Interviews with managers and staff responsible for anti-human trafficking-related processes and procedures</li> <li>* Worker interviews</li> <li>* Review of workplace conditions and practices (site tours and inspections)</li> <li>* On-site visits to office of labor agents that recruit workers for the organization's operations (see also 2.6) <ul style="list-style-type: none"> <li>- Audits are performed by trained and qualified internal and/or external auditors.</li> <li>- Audit findings are reviewed by senior management in order to develop appropriate corrective and preventive action plans .</li> </ul> </li> </ul> </li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe how self-audits are performed; the results of the most recent audit; and actions taken as a result of the audit.</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers can state whether or not they were interviewed as part of an internal anti-human trafficking audit</li> </ul> </li> </ul>
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D.8b

**The organization performs regular audits of its suppliers and subcontractors to assess their conformance with the organization's policy requirements and to verify compliance with legal requirements.**

- Document review:
  - A formal, annual audit program is in place in order to assess supplier and subcontractor conformance to: applicable regulatory requirements; the organization's policy requirements; customer contractual requirements related to forced labor and human trafficking; internal policies, standards and management system; and other requirements to which the supplier subscribes
  - The audit program covers: all of the supplier's operations that support the organization; all processes, work practices and conditions; review of documents and records; interviews with individuals responsible for recruitment, selection and hiring and other processes with potential forced labor risks; and worker interviews.
  - The audit process includes:
    - \* Evaluation of compliance with the organization's anti-human trafficking policy requirements
    - \* Evaluation of regulatory compliance
    - \* Review of documents and records
    - \* Interviews with managers and staff responsible for implementing the organization's anti-human trafficking requirements
    - \* Worker interviews
    - \* Review of workplace conditions and practices (site tours and inspections)
    - \* On-site visits to office of labor agents that recruit workers for the supplier's operations, as needed (see also 2.6)
  - Audits are performed by trained and qualified internal and/or external auditors.
  - Audit findings are reviewed by senior management in order to develop appropriate corrective and preventive action plans .
- Management interview:
  - Management can describe how self-audits are performed; the results of the most recent audit; and actions taken as a result of the audit.
- Worker interview:
  - Workers can state whether or not they were interviewed as part of an internal anti-human trafficking audit

**D9. Corrective and preventive action**



D.9	<p><b>The organization has implemented a process to address in a timely manner management system nonconformances and policy and legal noncompliances identified by self-audits, external audits, supplier/subcontractor audits, control effectiveness monitoring, worker grievance reports, and other means.</b></p>	<ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- A formal program and process is in place address identified noncompliances/nonconformances that includes: <ul style="list-style-type: none"> <li>* determining the root cause(s) of all identified issues,</li> <li>* determining appropriate corrective and preventive actions;</li> <li>* establishing corrective action plans (specific actions, owners, timeline and milestones);</li> <li>* reporting credible information about policy and legal violations to the appropriate government officials;</li> <li>* regularly evaluating progress in plan implementation, and</li> <li>* verifying closure of action plan items</li> </ul> </li> <li>- If an action item is off track, measures are taken to get the item back on schedule (e.g. additional resources)</li> <li>- Completion of action items is confirmed by the responsible manager and verified by a follow-up audit <ul style="list-style-type: none"> <li>- Records showing identification of root cause(s), improvement plans, progress reviews, and closure of corrective and preventive actions</li> <li>- Suppliers and subcontractors are required to use an equivalent process to manage nonconformance and noncompliance in their operations</li> </ul> </li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe the corrective action management program; the corrective actions that are currently being implemented and how they would know if any of them were off track.</li> </ul> </li> </ul>
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**E. Performance Expectations**

**E1. No fees for job seekers**



<p>E.1a</p>	<p><b>The organization pays the costs and fees associated with the recruitment, travel and processing of foreign migrant workers either directly, or through a labor broker.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- The organization has a written policy that workers do not pay the costs and fees associated with recruitment, travel and processing, including government levies.</li> <li>- The policy states that the organization will pay the fees directly, or if labor recruiters are used, that the costs of recruitment are included in the fees that the organization pays the agent for recruiting workers to work at the facility</li> <li>- Contract requirements are established for all receiving country labor recruiters that prohibit charging workers for recruitment and associated expenses.</li> <li>- Contracts including the 'no fees' policy are on file for all receiving country labor recruiters</li> <li>- Records showing fees paid directly by the organization or by the recruiter on behalf of the organization</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe how the company pays recruitment fees directly or how it reimburses receiving and sending country recruiters for fees and expenses paid on its behalf</li> <li>- Management can explain how they ensure that workers do not pay any recruitment fees</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers understand that they are not required to pay fees for recruitment</li> <li>- Workers verify that they did not pay any fees for their jobs</li> </ul> </li> </ul>
<p>E.1b</p>	<p><b>The organization pays all transportation costs for foreign migrants to come from sending country to work at the facility</b></p>	<ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- organization worker recruitment procedure states that the inbound transportation costs are not paid by the workers</li> <li>- Employment contracts state that workers do not pay for inbound transportation</li> <li>- Contracts with labor recruiters prohibit charging workers for inbound transportation costs</li> <li>- Transportation receipts/records show that all inbound transportation is paid for by the organization or its labor recruiter(s)</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe how worker inbound transportation costs are paid</li> <li>- Labor agency management can describe their practices to ensure workers do not pay inbound transportation costs</li> <li>- Management can describe how workers are reimbursed for any inbound transportation costs they may have been charged by sending country recruiters and sub-recruiters or</li> </ul> </li> </ul>



		<p>other actors in the labor supply chain</p> <ul style="list-style-type: none"> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers verify that they have not paid any inbound transportation expenses</li> <li>- Workers that paid any inbound transportation costs were promptly reimbursed by the organization or labor recruiter</li> </ul> </li> </ul>
<p>E.1c</p>	<p><b>The organization pays all return transportations costs and fees for migrant workers upon completion of their employment contract.</b></p>	<ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- Organization worker policy and procedure states that 1) return transportation costs are not paid by the workers upon completion of the employment contract and 2) workers who terminate their contract early with adequate notice pay only for return transportation; there is no financial penalty.</li> <li>- Employment contracts state that all return transportation costs are paid by the employer upon successful completion of the contract</li> <li>- Employment contracts describe the worker's responsibility for return transportation costs upon early voluntary contract termination</li> <li>- Contracts with labor recruiters prohibit charging workers for return transportation costs upon successful completion of the employment contract</li> <li>- Transportation receipts/records show that return transportation is paid for by the organization or its labor agent(s)</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe how worker return transportation costs are paid</li> <li>- Labor agency management can describe their practices to ensure workers do not pay return transportation costs upon successful completion of the employment contract</li> <li>- Management can describe how workers are reimbursed for any return transportation costs they may have been charged</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers understand that they will not pay return transportation expenses upon completion of their contracts</li> </ul> </li> </ul>



		<ul style="list-style-type: none"> <li>- Workers understand that if they terminate their contracts early with adequate notice will be responsible for return transportation, but no other costs will be incurred</li> </ul>
E.1d	<p><b>Workers are promptly reimbursed for any recruitment and travel fees and expenses they have paid.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- The organization has a written policy that any workers found to have paid recruitment fees are reimbursed promptly.</li> <li>- Records showing that any workers that paid fees have been reimbursed and that reimbursements were made within 30 days of discovery</li> <li>- Contracts with labor recruiters require repayment of workers within 30 days of discovery</li> <li>- Receipts for worker-paid fees are available for review (if applicable)</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe how the organization determines if workers have paid recruitment fees</li> <li>- Management can explain how they determine the amount paid by workers and how repayment is made</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers that paid fees can describe the repayment process</li> <li>- Workers can describe what kind of receipts were required from them in order to be reimbursed</li> </ul> </li> </ul>



E.1e	<p><b>Workers are not required to make monetary deposits or post bonds as part of the recruitment process or any time during their employment.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- The organization has a policy and contract terms/instructions with labor recruiters prohibiting posting of bonds or lodging of deposits by workers</li> <li>- Recruitment and hiring records for workers verify no bonds or deposits (including government levies, 'runaway' insurance, etc.)</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe the organization's policy prohibiting bonds and deposits</li> <li>- Labor agency management can describe their policy prohibiting bonds and deposits</li> <li>- Management can explain how the organization verifies that workers are not made to post bonds or lodge deposits</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers can verify that they, or family members on their behalf, did not post bonds or lodge deposits</li> </ul> </li> </ul>
E.1f	<p><b>Workers are not required to participate in savings programs automatically funded by deductions from their wages unless legally required.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- The organization has a policy prohibiting forced savings programs unless legally required</li> <li>- The organization has written instructions/contract terms with labor recruiters prohibiting mandatory savings programs for workers</li> <li>- Payroll records and payslips verify that there are no mandatory savings programs in place</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can attest to the fact that they don't allow mandatory savings programs</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers can verify that they were not required to participate in savings programs in which their wages were automatically deducted</li> </ul> </li> </ul>

**E2. Ethical recruitment**



<p>E.2a</p>	<p><b>The organization has established social responsibility requirements for labor brokers and other suppliers and contractors.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- Anti-human trafficking contract language in written agreements with all suppliers and subcontractors, including all labor recruiters and agents.</li> <li>- The contract language requires conformance to the organization's anti-human trafficking policy, applicable legal requirements, and prohibits using misleading or fraudulent recruitment practices, failing to disclose basic information about the job; making material misrepresentations about the terms and conditions of employment.</li> <li>- Recruiters are required to be in compliance with all applicable laws and regulation in receiving and sending countries</li> <li>- Contract terms and conditions clearly state the penalties for violations, up to and including contract termination</li> <li>- Contracts require supplier management and labor recruiter staff to be trained on the requirements of the organization's anti-human trafficking policy and applicable laws and regulations (for example, the U.S. Federal Acquisition Regulations)</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe how human trafficking is covered in its contracts with labor recruiters and agents, suppliers and subcontractors.</li> <li>- Management can explain the consequences for labor agent and supplier violation of the organization's anti-human trafficking policy requirements.</li> <li>- Labor agent and supplier managers and staff are familiar with the organization's anti-human trafficking policy and requirements.</li> </ul> </li> </ul>
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<p>E.2b</p>	<p><b>Due diligence is conducted for sending and receiving country recruiters before using them.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Document review:             <ul style="list-style-type: none"> <li>- organization has implemented a labor agent due diligence procedure that evaluates an agent's social and ethical performance and legal compliance before engaging them, and requires their commitment to ongoing conformance.</li> <li>- due diligence includes an evaluation of the agent's:                 <ul style="list-style-type: none"> <li>* licensing status</li> <li>* compliance history</li> <li>* policy prohibiting the use of misleading or fraudulent recruitment practices and the charging of recruitment fees</li> <li>* contractual requirements for any sending country agents or sub-agents used</li> <li>* process for verifying that workers are not charged fees by sending country agents and sub-agents</li> <li>* ability and willingness to meet company anti-human trafficking requirements and all applicable legal requirements on an ongoing basis</li> </ul> </li> <li>- If actual or potential major nonconformances are identified during screening, corrective actions are fully implemented before the recruiters are used                 <ul style="list-style-type: none"> <li>- Records of due diligence assessment and corrective actions (if applicable) are available.</li> </ul> </li> </ul> </li> <li>• Management interview:             <ul style="list-style-type: none"> <li>- Management can describe the process they use to screen receiving and sending country recruiters before using them</li> <li>- Management can explain the corrective action process they follow if issues are identified during the screening process and the consequences for prospective recruiters if the issues are not addressed.</li> <li>- Management can explain how the effective implementation of corrective actions is verified</li> </ul> </li> </ul>
<p>E.2c</p>	<p><b>The organization has direct contracts with local (receiving country) recruiters.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Document review:             <ul style="list-style-type: none"> <li>- Formal contracts are in place between the organization/facility and all receiving country recruiters with which it does business</li> <li>- A written set of instructions is established for all receiving country labor recruiters, including prohibiting fraudulent recruitment practices, and penalizing workers if they terminate their contracts early upon giving proper notice, among others.</li> <li>- Contracts are on file for all receiving country labor recruiters</li> </ul> </li> <li>• Management interview:             <ul style="list-style-type: none"> <li>- Management can describe the contracting process with</li> </ul> </li> </ul>



		<p>receiving country recruiters</p> <ul style="list-style-type: none"> <li>- Management can explain the recruiter contract terms and conditions</li> </ul>
E.2d	<p><b>The organization has direct contracts with sending country recruiters.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- Formal contracts are in place between the organization/facility and all sending country recruiters with which it does business</li> <li>- A written set of instructions is established for all sending country labor recruiters, including prohibiting fraudulent recruitment practices and penalizing workers if they terminate their contracts early upon giving proper notice, among others.</li> <li>- Contracts are on file for all sending country labor recruiters</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe the contracting process with sending country recruiters</li> <li>- Management can explain the agent contract terms and conditions</li> </ul> </li> </ul>
E.2e	<p><b>Contracts or other agreements with receiving and sending country recruiters prohibit the charging of fees to migrant workers.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- Contracts are on file for all receiving country labor recruiters which include the provision that workers cannot be charged recruitment fees</li> <li>- Contracts describe the consequences to labor recruiters for violation of the no fees policy</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe the contracting process with receiving country recruiters and how they communicate expectations that workers will not be charged recruitment fees</li> <li>- Management can explain the agent contract terms and conditions</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Ask workers if they were charged fees (particularly</li> </ul> </li> </ul>



		<p>important where labor agent contracts prohibit the charging of fees)</p>
<p>E.2f</p>	<p><b>Regular monitoring is performed of recruiters to verify that they are meeting requirements no less stringent than those contained in ILO Convention 181 (Private Employment Agencies), ILO Recommendation 203 (Supplementary Measures for the Effective Suppression of Forced Labor), and the U.S. Federal Acquisition Regulations, 52.222-50 (Combatting Trafficking in Persons).</b></p>	<ul style="list-style-type: none"> <li>• Document review:             <ul style="list-style-type: none"> <li>- A written labor agent monitoring process for both sending and receiving country recruiters; process includes:                 <ul style="list-style-type: none"> <li>* document reviews (e.g. expenses and fees),</li> <li>* interviews with newly arrived worker's,</li> <li>* self-reported KPI's, and</li> <li>* on-site audits.</li> </ul> </li> <li>- Monitoring data and audit reports for all receiving and sending country recruitment recruiters</li> <li>- Corrective action plans and records showing that identified issues have been addressed</li> <li>- Process for imposing business consequences (up to and including termination) for recruiters that fail to meet organization requirements</li> </ul> </li> <li>• Management interview:             <ul style="list-style-type: none"> <li>- Management can describe the monitoring process(es) for both receiving and sending country recruiters</li> <li>- Management can explain issues identified through monitoring and how those issues have been addressed/corrected</li> </ul> </li> <li>• Worker interview:             <ul style="list-style-type: none"> <li>- Not Applicable</li> </ul> </li> </ul>
<p>E.2g</p>	<p><b>Labor recruiters are required to conduct due diligence of any sub-recruiters they use.</b></p>	<p>Minimum requirements:</p> <ul style="list-style-type: none"> <li>• Document review:             <ul style="list-style-type: none"> <li>- The organization's agent(s) has/have implemented a sub-agent due diligence procedure that evaluates a recruiter's social, ethical and environmental performance and legal compliance before engaging them, and requires their commitment to ongoing conformance.</li> <li>- If actual or potential major nonconformances are identified during screening, corrective actions are fully implemented before the sub-recruiters are used</li> <li>- Records of due diligence assessments and corrective actions (if applicable) are available.</li> </ul> </li> </ul>



		<ul style="list-style-type: none"> <li>- Contracts with recruiters clearly require due diligence of sub-recruiters/sub-agents</li> <li>• Management interview: <ul style="list-style-type: none"> <li>- An agent management (if available for the audit) can describe the process they use to screen sub-recruiters before using them</li> <li>- Facility/organization management can explain the process used by its recruiters to screen any sub-recruiters</li> </ul> </li> </ul>
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**E3. Employment contracts**

E.3a	<p><b>All migrant worker have employment contracts with their employer that contain all the terms and conditions of their employment.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- every worker has a written employment contract</li> <li>- all employment contracts meet the organization's Policy requirements, as well as legal and customer Code of Conduct requirements;</li> <li>- assessor should cross reference copies provided to workers against those maintained by facility if possible</li> <li>- contracts for all direct hire workers are with the organization/employment site</li> <li>- workers who work for an outsourced service organization (i.e. housekeeping/security guards) have contracts directly with that organization</li> </ul> </li> <li>• Management interview: Management can describe: <ul style="list-style-type: none"> <li>- contents of worker contracts</li> <li>- requirements for worker contracts managed by labor providers/sourcing companies</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Interviewed workers know who their employment contract is with</li> </ul> </li> </ul>
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E.3b	<p><b>Workers are provided a copy of their contract for review and signature before they begin work, and for foreign migrant workers, at least 5 days prior to departure from their home country.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- documents showing dates of departure for foreign migrant workers</li> <li>- dates on worker contracts showing when they were provided to worker and signed by workers</li> <li>- records verify that there was at least 5 days allowed for review before signing and departure from the sending country (assessors, please note how many days in advance contracts are provided)</li> </ul> </li> <li>• Management interview. Management can state: <ul style="list-style-type: none"> <li>- the process used by the organization and/or labor agent to review contract terms with workers before asking them to sign the contract</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Interviewed workers verify when they were given their contracts for review and were provided a copy of the signed contract</li> <li>- Foreign migrants can verify that it was at least 5 days before departure from the sending country.</li> </ul> </li> </ul>
E.3c	<p><b>Employment contracts are written in the worker's native language and translation is accurate and understandable.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- review of contracts on file by the site verifies that they are in the local language of all workers and that the translation is accurate</li> <li>- cross reference organization records with contracts in possession of workers, if possible</li> </ul> </li> <li>• Management interview. Management can describe: <ul style="list-style-type: none"> <li>- the process for ensuring that worker contracts are in their native language and accurately translated</li> <li>- how the organization ensures that contracts reviewed by workers in the sending country are also in their native language</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers can show the assessor their native language contract</li> <li>- Workers can verify that their contract is in their own language and they understood the content.</li> <li>- Workers can verify that the contract or written terms and conditions of employment reviewed with them in the sending country were in their native language</li> </ul> </li> </ul>



<p>E.3d</p>	<p><b>Workers with difficulty reading are given a verbal explanation of the contract terms and conditions before signature.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- Procedure describing how workers with poor reading skills are identified and provided with a verbal explanation of their contract terms</li> <li>- Records showing which workers were provided a verbal explanation (when, by whom, language, etc.)</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe the process for ensuring that workers are given a verbal explanation of the contract terms, including who does it, if the person providing the explanation is the same nationality of the worker, where and when it is done, etc.</li> <li>- Management can explain how they verified that workers with difficulty reading understand their contract terms and conditions</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers with difficulty reading can verify that the contract was explained to them.</li> <li>- Workers with reading difficulties know the major terms and conditions of their contracts</li> </ul> </li> </ul>
<p>E.3e</p>	<p><b>There is no contract substitution and amendments to contracts after arrival in the receiving country meet local law, are explained to migrant workers, and are signed with their full and free consent.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- Records show that 'in force' worker employment contracts are those signed by the workers in their home country before departure</li> <li>- Amendments to 'in force' contracts are only made when required by law</li> <li>- A comparison of an amended contracts to the originals demonstrates that contract terms are not materially worse than the original</li> <li>- Records verifying that any contract amendments were communicated to workers and workers signed the amended contracts freely</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe the local legal requirements that resulted in any contract amendments</li> <li>- Management can state how workers were informed of any changes, and the process in place for the workers to either accept the amended contracts or reject them and be returned to their home country at no expense to the worker</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers can verify that any contract amendments were fully explained to them and that they could reject any materially worse terms if they chose.</li> <li>- Workers know whether or not their contracts were amended from the original signed in the sending country to the ones</li> </ul> </li> </ul>



		<p>currently in force</p> <ul style="list-style-type: none"> <li>- Workers are unaware of any cases where they or their peers were forced to sign contract amendments or were not provided free transportation home if they refused</li> </ul>
<p>E.3f</p>	<p><b>The notice period for voluntary early contract termination is no more than 30 days.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- Worker contracts for all nationalities with the organization clearly state that the notice period for contract termination is 30 days or less if required by law</li> <li>- Records of voluntary early contract termination show that no fees are charged if proper notice is given</li> <li>- Assessment reports or self-reported information from labor recruiters verifying the required notice period</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe the process for employees to terminate their contracts early, including the notice period, and how that is communicated to workers</li> <li>- If labor recruiters employ foreign migrants on the site, the recruiters can describe the notice period and how it is communicated to workers</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers verify that they understand the notice requirements</li> <li>- Workers can verify that the minimum notice period and early termination process was communicated to them</li> <li>- Workers are not aware of any cases where the organization or its labor recruiters imposed a notice period longer than 30 days</li> </ul> </li> </ul>



<p>E.3g</p>	<p><b>There is no penalty for early contract termination if workers give the required notice.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- organization policy and procedure for early contract termination</li> <li>- Employee contracts clearly state that there is no penalty if the required notice is given (notice period cannot exceed 30 days)</li> <li>- Contracts/agreements with labor recruiters do not contain terms which allow them to penalize workers for terminating their contracts early with appropriate notice (not to exceed 30 days)</li> <li>- Termination and payroll records for workers that have terminated their contracts early verify that they incurred no financial penalty</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe the process they and their labor recruiters (if any) follow for early contract termination, including that there can be no penalty of any kind if proper notice is given</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers are aware of the process for early contract termination, including that there is no financial penalty if they give proper notice</li> <li>- Workers are not aware of any former workers that were penalized for voluntary contract termination with proper notice</li> </ul> </li> </ul>
<p>E.3h</p>	<p><b>The penalty for early contract termination if workers do not give the required notice does not exceed two weeks base wages.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- organization policy and procedure for early contract termination.</li> <li>- Policy states that workers cannot be charged more than the equivalent of 2 weeks base wages</li> <li>- Employment contracts state the limit of financial penalty if inadequate notice is given</li> <li>- Termination records and final payslips verify that workers were not charged more than two weeks pay if inadequate notice was given.</li> <li>- Records verify that if the worker had any unused/accumulated leave, it would be applied against the two weeks base wages owed in order to minimize the net financial penalty.</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe the process and penalty calculation for voluntary notice less than the minimum required</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers are informed/aware of the process and penalty for early contract termination if sufficient notice is not given</li> <li>- Workers are not aware of any former employees that were penalized an amount greater than two weeks wages .</li> </ul> </li> </ul>



E.3i	<p><b>Foreign migrant workers can return to their home country during annual leave or in family emergency situations without penalty.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- organization procedure to allow workers to return to their home country during annual leave or in emergency situations, without penalty, wage withholding, or other such measures.</li> <li>- Leave records showing that workers traveled home during annual leave</li> <li>- Employment contracts state the amount of annual leave to which workers are entitled</li> <li>- Employment contracts state that workers can return home in emergency situations without penalty</li> <li>- Training and communication records showing that workers were trained on the annual leave policy</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe how much annual leave workers are given/earned and how they can use it to travel home</li> <li>- Management can also describe how many workers take advantage of their annual leave to return home</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers report that they are entitled to annual leave and that they can use it to return home</li> <li>- Workers also state that there are no penalties or disincentives for returning home on annual leave or for family emergencies</li> </ul> </li> </ul>
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**E4. Document withholding**

E.4a	<p><b>Workers are in possession of their original identification documents, passports, travel papers and other personal documents.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- organization policy prohibits withholding of worker identity documents by the organization or its labor agent(s) except where required by law <ul style="list-style-type: none"> <li>* In those cases, procedures are in place for safe keeping of only those personal documents required by law. Personal documents must be kept at the workplace and must not be tampered with or damaged in any way. Workers must have immediate access to those documents upon request. In no case shall there be an application process or fee for the safe keeping and retrieval of government--issued identification, passports or work permits..</li> </ul> </li> <li>- Contracts with labor recruiters prohibit withholding of worker identity documents</li> <li>- Personnel files contain only copies of worker passports and other identity and work documents</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe the organization's policy prohibiting withholding of worker identity documents</li> <li>- Labor agency management can describe their policy and</li> </ul> </li> </ul>
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		<p>practices to ensure workers are in possession and control of their original identity documents</p> <ul style="list-style-type: none"> <li>- Management can explain how the organization verifies that original worker identity documents are not held or confiscated by the organization or its labor agent(s)</li> <li>- If documents are required to be withheld by law, management can state what process is in place to ensure document safe keeping and how workers are guaranteed return of their documents immediately upon request</li> </ul> <ul style="list-style-type: none"> <li>• Worker interview:             <ul style="list-style-type: none"> <li>- Workers can verify that they are in possession and control of their original identity documents and do not have to request them from their employer</li> </ul> </li> </ul>
<p>E.4b</p>	<p><b>Workers are provided with individual, safe and secure lockable storage for their documents and other valuables.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Site observation:             <ul style="list-style-type: none"> <li>- Document storage facilities in the factory/workplace and/or worker accommodation</li> </ul> </li> <li>• Document review:             <ul style="list-style-type: none"> <li>- organization has written procedures describing the storage facilities provided to workers for safekeeping of their identity documents and other personal valuables                 <ul style="list-style-type: none"> <li>- Records of lock boxes and lock combinations/keys for worker storage facilities</li> </ul> </li> </ul> </li> <li>• Management interview:             <ul style="list-style-type: none"> <li>- Management can describe how the organization provides worker's with secure lockable storage for their identity documents                 <ul style="list-style-type: none"> <li>• Worker interview:                     <ul style="list-style-type: none"> <li>- Workers can verify that they have lockable storage facilities in the workplace and/or their accommodation and can describe how the storage is secured</li> </ul> </li> </ul> </li> </ul> </li> </ul>
<p><b>E5. Financial and physical restrictions</b></p>		
<p>E.5a</p>	<p><b>Workers have full control of their bank accounts. Neither the organization nor labor recruiter can access worker accounts.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Document review:             <ul style="list-style-type: none"> <li>- organization policy prohibits access to worker bank accounts by the organization, except for deposit of wages</li> <li>- The organization has written instructions/contract terms with labor recruiters prohibiting access to worker bank accounts</li> <li>- Banking agreements/contracts between the employer and the bank(s) used for deposit of wages states that workers have exclusive access to their accounts</li> </ul> </li> <li>• Management interview:             <ul style="list-style-type: none"> <li>- Management can describe the organization's policy limiting access to worker bank accounts by the organization for the purpose of depositing wages only</li> </ul> </li> </ul>



		<ul style="list-style-type: none"> <li>- Management can explain how the organization verifies that worker bank accounts cannot be accessed by the organization</li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers can verify that neither the organization nor its labor agent(s) can access their bank accounts except to deposit their wages</li> </ul> </li> </ul>
E.5b	<p><b>Workers have unrestricted access to drinking water and toilet facilities in the workplace at all times and are free to leave the facility during meals breaks or from their accommodation during non-work hours.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Site observation: <ul style="list-style-type: none"> <li>- If workers reside on site (dormitory), access to the accommodation is open or there are no access restrictions or undue security procedures.</li> <li>- Workers move freely when needed to access basic liberties.</li> <li>- There are no systems for restriction in place such as toilet passes.</li> </ul> </li> <li>• Document review: <ul style="list-style-type: none"> <li>- Policy/procedures to prevent restrictions in worker freedom of movement from worksite or dormitory when not engaged in work.</li> <li>- Entry and leave records (if applicable) show no restriction in movement (e.g. toilets, drinking water, external medical facilities, factory/dormitory exit and entry).</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can state how workers can move freely within the facility for basic liberties and go to and from the workplace and accommodation when not engaged in work.</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers state that there are no restrictions on their movements for basic liberties and to/from dormitory when not engaged in work.</li> <li>- Workers also confirm that access to basic liberties is not limited to specific times of the day (e.g. rest breaks and meal breaks).</li> </ul> </li> </ul>

**E6. Direct Employment**



E.6a	<p><b>Workers at the site/facility are employed directly by the organization; not by labor recruiters.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- records verify that all workers performing work for the organization are employed by the organization, not a labor recruiter or agent</li> <li>- contracts with labor agents specify that agents may not serve as the employer of workers supplied to the organization</li> <li>- employment contracts for all workers are with the facility/organization, or there is a plan in place to transition to direct employment over a specific period of time and the plan is on track</li> </ul> </li> <li>• Management interview. management can describe: <ul style="list-style-type: none"> <li>- the organization's approach and plan to going to direct employment, including any legal or business obstacles</li> <li>- how it is working with labor recruiters, including 'recruitment only' contract terms with labor agents</li> <li>- progress to date, and expected timeframe for complete transition to direct employment (if applicable)</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- interviewed workers state they are employed directly the facility</li> </ul> </li> </ul>
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**E7. Freedom of association and collective bargaining**

E7.1	<p><b>The organization has in place a policy and procedures respecting the right of all workers to associate freely and bargain collectively.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Site observation: <ul style="list-style-type: none"> <li>- Postings describing worker rights of freedom of association; and/or</li> <li>- No signs, postings or other visible evidence that the facility discourages or restricts freedom of association</li> </ul> </li> <li>• Document review: <ul style="list-style-type: none"> <li>- organization has a formal policy and procedure respecting the legal rights of workers to freedom of association</li> <li>- Employment contracts state that workers can associate freely and bargain collectively where allowed by law</li> <li>- Copies of training materials and training records on worker freedom of association</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe legal rights to freedom of association in the country</li> <li>- Management describes how worker's can join labor unions or other worker organizations of their choosing</li> <li>- Where freedom of association is restricted by law, management can describe alternative processes in place</li> <li>- Labor agency management can describe their practices to ensure workers rights to freedom of association and</li> </ul> </li> </ul>
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		<p>collective bargaining are respected</p> <ul style="list-style-type: none"> <li>- Management can describe how worker representatives are democratically elected by the workforce</li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers can describe the training received on their rights of freedom of association and collective bargaining</li> <li>- Workers can describe their freedom of association rights</li> <li>- If there is a labor union or other worker organization at the facility, workers can describe how their representatives are elected</li> </ul> </li> </ul>
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**E8. Non-discrimination**

E8.1	<p><b>Migrant workers are treated equally with local workers.</b></p>	<ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- organization has written policy and procedure to ensure that workers are treated equally with local workers, including equal opportunity for: <ul style="list-style-type: none"> <li>* bonuses,</li> <li>* regular and overtime hours,</li> <li>* shift arrangements,</li> <li>* paid holidays,</li> <li>* work accident insurance,</li> <li>* social insurance and any other benefits</li> </ul> </li> <li>- Payroll records, personnel files, training records, and other key documents and records verify that workers are treated equally with local workers (Note: wage equality is covered in section 7.1)</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe how local workers and workers are given opportunities for training, assigned work shifts, offered overtime, and other indicators of equal opportunity</li> <li>- Management can describe any legal limits to equal treatment</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers believe that they are treated equally with local workers</li> </ul> </li> </ul>
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E8.2	<p><b>Migrant workers are paid the same wages and are given the same opportunity for bonuses as local workers performing the same job.</b></p>	<ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- organization policy describing that wages are based on job duties, not the nationality of the worker</li> <li>- Payroll and personnel records confirm that workers are paid equally with local workers performing the same job</li> <li>- Employment contracts show the same wages for workers and local workers</li> <li>- Payroll records confirm that workers make at least the legal minimum wage</li> <li>- Criteria for earning bonuses are the same for worker's and local workers.</li> <li>- Payroll records verify that workers and local workers performing the same jobs are paid bonuses using the same payment criteria</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe the wages and bonuses paid to worker and local workers for the various types of jobs in the facility</li> <li>- Management can describe how workers are paid at least the legal minimum wage</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers confirm that they are paid the same wages and bonuses as local workers in the same job</li> <li>- Workers confirm that they are paid at least the legal minimum wage</li> </ul> </li> </ul>
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**E9. Humane treatment**

E9.1	<p><b>The organization has implemented a policy and procedures prohibiting harassment and abuse of workers.</b></p>	<ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- organization has written policy and procedure to prohibit harassment and abuse of all workers</li> <li>- Grievance records do not show instances of inhumane treatment. Where such treatment is reported, management took prompt remedial action</li> <li>- Training records for supervisors on humane treatment of workers</li> <li>- Discipline records do not indicate imposition of inhumane treatment as a disciplinary measure</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe the facility/organization policy on preventing harassment and abuse, including the actions the organization would take if such abuse was reported</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers confirm that there have been no cases of harassment or abuse</li> <li>- Workers confirm that any reported instances of abuse were promptly addressed by management</li> </ul> </li> </ul>
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**E10. Employer-provided or arranged accommodation**

<p>E.10a</p>	<p><b>Workers are provided with safe, hygienic and secure accommodation that meets legal and Code of Conduct requirements.</b></p>	<p>1.) Purpose built accommodation need to meet country legal requirements; where there are no legal requirements, the IFC Worker Accommodation guidance will apply</p> <p>2.) Rented apartments must be permitted by the local government AND the organization must perform an annual risk assessment, on-site inspections and training of occupants (e.g. cooking do's/don'ts, importance of smoke detectors, keeping hallways clear, disposing of waste, reporting maintenance needs,...)</p> <ul style="list-style-type: none"> <li>• Site observation: <ul style="list-style-type: none"> <li>- Dormitory and sanitary facilities (common areas, hallways, rest rooms,...) are clean and properly maintained.</li> <li>- An adequate number of exits from each floor with the exit doors accessible and unlocked are available. Doors may be locked only if panic hardware, such as crash bars, is used.</li> <li>- Building is heated in the winter (if applicable), and windows provide light and ventilation.</li> <li>- Adequate lighting (Lighting is adequate for reading, writing and other off-work activities) and safe and sufficient electricity sockets are provided.</li> <li>- Lodging areas do not have cooking facilities unless separated.</li> <li>- Adequate fire and heat detection, alarm and notification and fire suppression systems are in place.</li> <li>- Adequate domestic waste disposal facilities and pest control measures in place.</li> <li>- Adequate number of first aid boxes is available.</li> <li>- Sufficient space is available for each worker.</li> <li>- All facilities are separated by gender and adequate in number.</li> </ul> </li> <li>• Document review: <ul style="list-style-type: none"> <li>- A cleaning and sanitation program is in place and sanitation program tracking records are available and up to date.</li> <li>- A pest control program is in place and pest control log is available for review and up to date.</li> <li>- A preventive maintenance program (including emergency response supporting facilities) is in place with tracking records available and up to date.</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can state how they ensure dormitory and sanitary facility standards and how they track the inspections and resulting actions.</li> </ul> </li> </ul>
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		<ul style="list-style-type: none"> <li>- For Rented Apartments the organization must perform an annual risk assessment, on-site inspections and training of occupants (ex. cooking does/don't, importance of smoke detectors, keeping hallways clear, disposing of waste, reporting maintenance needs,...)</li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers can state that the dormitory facilities are adequate, clean and safe.</li> <li>- For rented Apartments, occupants can state that they were trained and demonstrate elements of the training.</li> </ul> </li> </ul>
E.10b	<p><b>Workers are provided with safe transportation between their employer-provided accommodation and the place of work.</b></p>	<ul style="list-style-type: none"> <li>• Site observation: <ul style="list-style-type: none"> <li>- Buses, vans, cars and other means of employer-provided transportation appear to be in good physical condition</li> </ul> </li> <li>• Document review: <ul style="list-style-type: none"> <li>- organization has written procedure on worker transportation to and from the facility and accommodation</li> <li>- Worker complaints and grievance records do not show instances related to transportation services. Where issues have been reported, management took prompt remedial action</li> <li>- Preventive maintenance and repair records for transportation vehicles</li> <li>- Accident and injury records related to employer-provided transportation</li> <li>- Employment contracts describe transportation services provided by the employer</li> </ul> </li> </ul>



		<ul style="list-style-type: none"> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe the type of transportation services the facility/organization provides for workers, including how it ensures that the services are safe</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers report no issues with the transportation they are provided</li> <li>- Workers state that the transportation service consistently arrives at the site on time and departs shortly after the end of the work shift</li> </ul> </li> </ul>
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**E11. Medical treatment**

E11.1	<p><b>The facility provides or arranges for medical treatment for workers when they are ill or injured.</b></p>	<ul style="list-style-type: none"> <li>• Site observation: <ul style="list-style-type: none"> <li>- There is an on-site clinic where required by local law</li> <li>- Workplace postings in multiple languages describing the process for workers to obtain medical treatment for work-related injuries and illnesses</li> </ul> </li> <li>• Document review: <ul style="list-style-type: none"> <li>- organization policy and procedure to provide medical treatment and workplace accident insurance for all workers at no cost to workers and with reasonable expense limit for treatment (same limit as for local workers)</li> <li>- Policy guarantees workers their original position and wages when they return from medical leave</li> <li>- Receipts of payments made by the facility for worker medical insurance</li> <li>- Employment contracts state that workers will be provided with medical treatment for work-related injuries and illnesses</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe the facility's policy and procedures for providing medical treatment for injured or ill workers and the return-to-work process, including translation assistance when workers must interface with health care staff on or off-site that do not speak their language.</li> <li>- Management can also describe the requirements of local law for on-site clinics and health care staff and arrangements with local clinics and hospitals to provide treatment for more serious issues.</li> </ul> </li> <li>• Worker interview:</li> </ul>
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		<ul style="list-style-type: none"> <li>- Workers know what to do if they are injured or become ill on the job</li> <li>- Workers are aware of how they will be treated for any work related injuries or illnesses including any expense limits</li> <li>- Workers state that the facility provides someone to help them communicate with health care staff on or off-site that do not speak their language</li> </ul>
<b>E12. Wages</b>		
E12.1	<b>Workers are paid wages directly by the facility.</b>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- Organization procedure for direct payment of wages to workers</li> <li>- Payroll and personnel records confirm that workers are paid directly by the organization</li> <li>- Employment contracts state that workers' wages are paid directly by the organization</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe how the organization pays worker wages directly</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers confirm that they are paid directly by the facility/organization</li> </ul> </li> </ul>



E12.2	<p><b>Workers are provided a pay slip with the details they need to understand how they are paid, including overtime, bonuses, deductions and other components of wages.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- organization has a procedure for providing detailed payslips to workers</li> <li>- Sample of payslips provided by the organization and workers contain the required level of detail</li> <li>- Employment contracts state that workers will be provided with detailed payslips each pay period</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe the information provided in worker payslips</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers confirm that they receive a detailed payslip when they are paid at the end of each pay period</li> </ul> </li> </ul>
E12.3	<p><b>Pay slips are in the workers' native language(s) or, alternatively, are they given a translation key to enable them to understand the payslip.</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- organization has a procedure for providing payslips to workers in their native language(s) or to provide them with a key and training to enable them to interpret the information</li> <li>- Sample of worker payslips are in their native language</li> <li>- Translation 'key' (if provided) allows for easy interpretation of payslip information</li> <li>- Employment contracts state that workers will be provided with payslips in their native language each pay period</li> <li>- Worker training materials and records on understanding payslips</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe how the facility/organization ensures that workers are able to understand the information on their payslips - either native language payslips or translation keys</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers confirm that they receive a detailed payslip when they are paid at the end of each pay period</li> </ul> </li> </ul>

**E13. Working hours**



<p>E13.1</p>	<p><b>Total working hours for workers do not exceed 60 hours per week or the legal limit, whichever is lower.</b></p>	<ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- Payroll and time records; worker payslips</li> <li>- Employment contracts state the number of regular working and hours and expected overtime (not to exceed 60 hours per week)</li> <li>- Using time records, the average number of hours worked - including overtime - per worker per week does not exceed 60 hours (sample to verify what is learned from worker interviews and to confirm wage payment).</li> <li>- The evaluation sample should be reflect the worker demographics of the facility</li> <li>- If 60 hours or legal requirements are exceeded, ensure this was because of an emergency or unusual situations</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can explain how the facility/organization manages worker working hours to within the legal and Code of Conduct limits</li> <li>- Management can describe how the organization assigns and approves overtime so that workers do not exceed legal of Code of Conduct limits</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers can state the number of hours they typically work each week</li> <li>- Workers can explain the procedure for assigning overtime</li> </ul> </li> </ul>
<p>E13.2</p>	<p><b>All overtime work is voluntary</b></p>	<p>Minimum Requirements:</p> <ul style="list-style-type: none"> <li>• Document review: <ul style="list-style-type: none"> <li>- company has a policy stating that all workers have the right to refuse overtime work without penalty or retaliation</li> <li>- procedure for formally requesting workers to work overtime</li> <li>- Employment contracts state that workers have the ability to refuse overtime without penalty</li> <li>- Worker training materials and records on overtime requests</li> </ul> </li> <li>• Management interview: <ul style="list-style-type: none"> <li>- Management can describe the process for requesting and assigning overtime</li> </ul> </li> <li>• Worker interview: <ul style="list-style-type: none"> <li>- Workers confirm that they can refuse overtime without penalty (for example, salary deductions, no future offers of overtime work, etc.)</li> </ul> </li> </ul>

## Appendix 1

### Conformance for Employment Contracts

- Name and address of the employer)
- Worker's full name
- Worker's date of birth
- Worker's passport and work visa number
- Worker emergency contact information
- Clear prohibition on charging of recruitment or placement fees
- Clear prohibition on contract substitution
- Work start date and duration of contract
- Requirements for voluntary contract termination including notice period (not to exceed 30 days, or less per local law)
- Requirements for involuntary contract termination (with cause)
- Description of repatriation process and specification of the costs to be borne by the employer and the worker
- Provisions for voluntary contract renewal
- Description of the location and nature of work to be performed, including any work-related health or safety hazards
- Regular wage rate
- Overtime and holiday premium rates
- Regular work hours and shifts
- Anticipated overtime hours with total working hours not to exceed 60 hours per week or local law, whichever is lower
- Estimated minimum net pay per month (not including overtime)
- Method and frequency of wage payment
- Any bonuses and conditions for earning them
- Any allowances
- Full listing of any and all deductions including specification of the type and amount of each deduction and which, if any, are optional
- Description of additional benefits including medical insurance, accident/injury insurance, holidays, annual leave, sick leave, or any other applicable benefits
- Detailed description of living conditions and breakdown of any deductions for accommodations, meals, transportation or other services provided or arranged by the employer



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- Any other terms required by applicable laws and regulations
- No terms restricting a worker's trafficking to freedom of association and collective bargaining consistent with local law

## Appendix 2

### Definitions

1. **Agent** means any individual, including a director, an officer, an employee, or an independent contractor, authorized to act on behalf of the organization.
2. **Coercion** means:
  - a) Threats of serious harm to or physical restraint against any person;
  - b) Any scheme, plan, or pattern intended to cause a person to believe that failure to perform an act would result in serious harm to or physical restraint against any person; or
  - c) The abuse or threatened abuse of the legal process.
3. **Commercially available off-the-shelf (COTS) item** means —
  - a) Any item of supply (including construction material) that is —
    - (i) A commercial item (as defined in paragraph (1) of the definition at FAR 2.101);
    - (ii) Sold in substantial quantities in the commercial marketplace; and
    - (iii) Offered to the United States Government, under a contract or subcontract at any tier, without modification, in the same form in which it is sold in the commercial marketplace; and
  - b) Does not include bulk cargo, as defined in 46 U.S.C. 40102(4), such as agricultural products and petroleum products.
4. **Commercial sex act** means any sex act on account of which anything of value is given to or received by any person.
5. **Debt bondage** means the status or condition of a debtor arising from a pledge by the debtor of his or her personal services or of those of a person under his or her control as a security for debt, if the value of those services as reasonably assessed is not applied toward the liquidation of the debt or the length and nature of those services are not respectively limited and defined.
6. **Employee** means an employee of the Contractor directly engaged in the performance of work under the contract who has other than a minimal impact or involvement in contract performance.
7. **Forced Labor** means knowingly providing or obtaining the labor or services of a person —
  - a) By threats of serious harm to, or physical restraint against, that person or another person;
  - b) By means of any scheme, plan, or pattern intended to cause the person to believe that, if the person did not perform such labor or services, that person or another person would suffer serious harm or physical restraint; or
  - c) By means of the abuse or threatened abuse of law or the legal process.



8. A **(foreign) migrant worker** is an individual that migrates from his or her home country to another country for specific purpose of employment.
9. **Human trafficking**, as defined by the 2000 UN Protocol to Prevent Trafficking in Persons, means: the recruitment, transportation, transfer, harboring or receipt of persons, by means of the threat or use of force or other forms of coercion, of abduction, of fraud, of deception, of the abuse of power or of a position of vulnerability or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purpose of exploitation, including sexual exploitation and forced labor.
10. **Involuntary servitude** includes a condition of servitude induced by means of —
  - a) Any scheme, plan, or pattern intended to cause a person to believe that, if the person did not enter into or continue in such conditions, that person or another person would suffer serious harm or physical restraint; or
  - b) The abuse or threatened abuse of the legal process.
11. **Modern Slavery**, as defined in the UK Modern Slavery Act, means when a person:
  - a) holds another person in slavery or servitude and the circumstances are such that the person knows or ought to know that the other person is held in slavery or servitude, or
  - b) requires another person to perform forced or compulsory labour and the circumstances are such that the person knows or ought to know that the other person is being required to perform forced or compulsory labour
12. **Native language** is the language of the foreign migrant worker's country of origin or a language that the foreign migrant worker best speaks and understands.
13. **Receiving country** is the country where the employer's business operation is located and where the foreign migrant worker is working.
14. **Recruitment agents, or recruiters**, mean private employment agencies (PEA), labor recruiters, labor brokers, and any other third parties involved in the recruitment, selection, hiring, transportation, and/or in some cases management of foreign migrant workers in either sending or receiving countries
15. **Sending country** is the foreign migrant worker's country of origin and citizenship.
16. **Severe forms of trafficking in persons**, as used by the US Federal Acquisition Regulations (FAR) means:
  - 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.
17. **Sex trafficking** means the recruitment, harboring, transportation, provision, or obtaining of a person for the purpose of a commercial sex act.



18. **Sub-agents** are any third parties used by a recruitment agent to help facilitate the recruitment, selection, hiring, and/or transportation of foreign migrant workers.
19. **Subcontract** means any contract entered into by a subcontractor to furnish supplies or services for performance of a prime contract or a subcontract.
20. **Subcontractor** means any supplier, distributor, vendor, or firm that furnishes supplies or services to or for a prime contractor or another subcontractor.
21. **United States** means the 50 States, the District of Columbia, and outlying areas.

### Appendix 3

#### Authentication Criteria based on U.S. FAR Requirements

FAR Requirement	Company-Level Criteria	Site-Level Criteria
<b>52.222-50(b) Policy</b> Contractors, contractor employees, and their agents shall not:		
<b>52.222-50(b)(1)</b> Engage in severe forms of trafficking in persons	<b>A.1 Internal Commitment</b> The Company publicly commits to the prevention of human trafficking and forced labor across all the Company's activities  <b>A.2 Supply Chain Commitment</b> The Company publicly commits to applying its anti-human trafficking policy to its suppliers, contractors and subcontractors throughout its supply chain.	<b>A Policy Commitment</b> A.1 The organization has an anti-human trafficking policy statement affirming its commitment to compliance with legal requirements, ILO conventions, protocols and recommendations, customer Codes of Conduct and continual improvement, endorsed by executive management and posted in the facility in the language(s) of the workforce.
<b>52.222-50(b)(2)</b> Procure commercial sex acts	<not specifically addressed>	<not specifically addressed>
<b>52.222-50(b)(3)</b> Use forced labor	<b>A.1 Internal Commitment</b> The Company publicly commits to the prevention of human trafficking and forced labor across all the Company's activities  <b>A.2 Supply Chain Commitment</b> The Company publicly commits to applying its anti-human trafficking policy to its suppliers, contractors and subcontractors throughout its supply chain.	<b>A Policy Commitment</b> A.1 The organization has an anti-human trafficking policy statement affirming its commitment to compliance with legal requirements, ILO conventions, protocols and recommendations, customer Codes of Conduct and continual improvement, endorsed by executive management and posted in the facility in the language(s) of the workforce.
<b>52.222-50(b)(4)</b> Destroy, conceal, confiscate, or otherwise deny access by an	<b>E.4 Document Withholding</b> <ul style="list-style-type: none"> <li>The Company does not retain, confiscate or destroy employee identity cards, passports, ATM cards and</li> </ul>	<b>E.4a Personal Documents</b> E.4a Workers are in possession of their original identification documents, passports, travel papers and other personal



<p>employee to the employee's identity or immigration documents, such as passports or drivers' license, regardless of issuing authority</p>	<p>other personal documents. Where retention is required by law, workers are provided access to their documents upon request.</p>	<p>documents E.4b Workers are provided with individual, safe and secure lockable storage for their documents and other valuables.</p>
<p><b>52.222-50(b)(5)</b> Use:  <ul style="list-style-type: none"> <li>✓ misleading or fraudulent practices during the recruitment of employees or offering of employment, or</li> <li>✓ recruiters that do not comply with local labor law of the country in which the recruiting takes place.</li> </ul> </p>	<p><b>E.2 Ethical Recruitment</b>  <ul style="list-style-type: none"> <li>• The Company uses only licensed labor agents and prohibits fraud, deception, or coercion in the recruitment, selection and hiring of workers. Employers and recruitment agents must be completely transparent with job seekers about all aspects of employment terms and conditions.</li> </ul> </p>	<p><b>E2. Ethical Recruitment</b>  E.2a The organization has established social responsibility requirements for labor brokers and other suppliers and contractors.  E.2b Due diligence is conducted for sending and receiving country recruiters before using them</p>
<p><b>52.222-50(b)(6)</b> Charge employees recruitment fees.</p>	<p><b>E.1 No fees for jobseekers</b>  <ul style="list-style-type: none"> <li>• The Company ensures that workers are not charged fees or required to lodge financial deposits to obtain employment</li> </ul> </p>	<p><b>E1. Recruitment Fees and Costs</b>  E.1a The organization pays the costs and fees associated with the recruitment, travel and processing of foreign migrant workers either directly, or through a labor broker.  E.1d Workers are promptly reimbursed for any recruitment and travel fees and expenses they have paid.  <b>E2. Ethical Recruitment</b>  E.2e Contracts or other agreements with receiving and sending country recruiters prohibit the charging of fees to migrant workers.</p>
<p><b>52.222-50(b)(7)</b> Fail to provide return transportation or pay for the cost of return transportation upon the end of employment.</p>	<p><b>E.1 No fees for jobseekers</b>  <ul style="list-style-type: none"> <li>• This means that workers do not pay: "Travel expenses to the receiving country or return travel upon completion of the work contract." (Minimum Requirements)</li> </ul> </p>	<p><b>E1 No fees for job seekers</b>  E.1b The organization pays all transportation costs for foreign migrants to come from sending country to work at the facility  E.1c The organization pays all return transportations costs and fees for migrant workers upon completion of their employment contract.</p>



		E.1d Workers are promptly reimbursed for any recruitment and travel fees and expenses they have paid.
<p><b>52.222-50(b)(8)</b></p> <p>Provide or arrange for housing that fails to meet the host country housing and safety standards.”</p>	<N/A>	<p><b>E10 Employer-provided or arranged accommodation</b></p> <p>E.10a Workers are provided with safe, hygienic and secure accommodation that meets legal and Code of Conduct requirements.</p>
<p><b>52.222-50(b)(9)</b></p> <ul style="list-style-type: none"> <li>Fail to provide an employment contract, recruitment agreement, or other required work document in writing if required to do so by law or contract. <ul style="list-style-type: none"> <li>✓ Provided at least <b>five days before</b> the employee relocates.</li> <li>✓ In a language the employee understands</li> <li>✓ Contains details about work description, wages, prohibition on charging recruitment fees, work location(s), living accommodations and associated costs, time off, roundtrip transportation arrangements, grievance process, and the content of applicable laws and regulations that prohibit trafficking in persons.”</li> </ul> </li> </ul>	<p><b>E.3 Employment Contracts</b></p> <ul style="list-style-type: none"> <li>The Company requires that all workers are provided with a written employment contract in their native language prior to beginning employment; and for foreign migrants, prior to departure from the sending country.</li> </ul>	<p><b>E3. Employment Contracts</b></p> <p>E.3a All migrant workers have employment contracts with their employer that contain all the terms and conditions of their employment.</p> <p>E.3b Workers are provided a copy of their contract for review and signature before they begin work, and for foreign migrant workers, at least 5 days prior to departure from their home country.</p> <p>E.3c Employment contracts are written in the worker's native language and translation is accurate and understandable.</p> <p>E.3d Workers with difficulty reading are given a verbal explanation of the contract terms and conditions before signature.</p>
<p><b>52.222-50(c)(1) Notification</b></p> <ul style="list-style-type: none"> <li>The Contractor shall notify its employees and agents of:</li> </ul>	<p><b>D.4 Internal Communication</b></p> <p>The Company communicates its anti-human trafficking policy and expectations internally to all managers,</p>	<p><b>D4 Communication</b></p> <p>D.4a There is a process for communicating clearly and transparently about organization's anti-human trafficking policies, practices, expectations and performance, and legal</p>



<ul style="list-style-type: none"> <li>✓ The United States Government's policy prohibiting trafficking in persons, described in paragraph (b) of this clause; and</li> <li>✓ The actions that will be taken against employees or agents for violations of this policy. Such actions for employees may include, but are not limited to, removal from the contract, reduction in benefits, or termination of employment</li> </ul>	<p>supervisors, and direct and indirect employees.</p> <p><b>D.5 External Communication</b></p> <p>The Company communicates its anti-human trafficking policy and performance expectations to its supply chain and other business partners, and incorporates policy expectations within the terms of its contracts, MOU's and purchase agreements with contractors, subcontractors, suppliers and other business partners.</p>	<p>requirements to workers, suppliers, customers, and external stakeholders.</p>
<p><b>52.222-50(c)(2)</b></p> <ul style="list-style-type: none"> <li>• The Contractor shall take appropriate action, up to and including termination, against employees, agents, or subcontractors that violate the policy in paragraph (b) of this clause.</li> </ul>	<p><b>D.9. Corrective and preventive action</b></p> <ul style="list-style-type: none"> <li>• The Company has implemented a formal process to manage noncompliance and nonconformance that includes determining the root cause(s) of identified issues and implementing plans to take appropriate corrective and preventive action.</li> </ul> <p><b>D.10 Business Incentives and Consequences</b></p> <ul style="list-style-type: none"> <li>• The Company includes human trafficking considerations, including the results of audits, credible information alleging violations of Company policy, and implementation of corrective and preventive action, in its decisions to engage, incentivize or terminate suppliers and other business relationships</li> </ul>	<p><b>D9. Corrective and Preventive Action</b></p> <p>D.9 The organization has implemented a process to address in a timely manner management system nonconformances and policy and legal noncompliances identified by self-audits, external audits, supplier/subcontractor audits, control effectiveness monitoring, worker grievance reports, and other means.</p>
<p><b>52.222-50(d)(1)</b></p>	<p>&lt;N/A&gt;</p>	<p><b>D9. Corrective and Preventive Action</b></p> <p>from D.9 Guidance for Assessors:</p>



<ul style="list-style-type: none"> <li>• The Contractor shall inform the Contracting Officer and the agency Inspector General immediately of: <ul style="list-style-type: none"> <li>i. Any credible information it receives from any source (including host country law enforcement) that alleges a Contractor employee, subcontractor, subcontractor employee, or their agent has engaged in conduct that violates the policy in paragraph (b) of this clause; and</li> <li>ii. Any actions taken against a Contractor employee, subcontractor, subcontractor employee, or their agent pursuant to this clause</li> </ul> </li> </ul>		<p>“reporting credible information about policy and legal violations to the appropriate government officials”</p>
<p><b>52.222-50(h)(1) Compliance Plan Applicability</b></p> <p>This paragraph (h) applies to any portion of the contract that—</p> <ul style="list-style-type: none"> <li>i. Is for supplies, other than commercially available off-the-shelf items, acquired outside the United States, or services to be performed outside the United States; and</li> <li>ii. Has an estimated value that exceeds \$500,000.</li> </ul>	<p>Not specifically addressed. However, all of the items in the FAR Compliance Plan requirements are covered by the criteria. Therefore, conformance to the company-level criteria would enable a contractor to write a credible FAR Compliance Plan.</p>	<p>Not specifically addressed. However, all of the items in the FAR Compliance Plan requirements are covered by the criteria. Therefore, conformance to the site-level criteria would enable a contractor to write a credible FAR Compliance Plan.</p>
<p><b>52.222-50(i)(1) Subcontracts</b></p>	<p>&lt;N/A&gt;</p>	<p><b>F.1 Anti-Human Trafficking Training</b></p>



<p>(1) The Contractor shall include the substance of this clause, including this paragraph (i), in all subcontracts and in all contracts with agents. The requirements in paragraph (h) of this clause apply only to any portion of the subcontract that—</p> <p>(A) Is for supplies, other than commercially available off-the-shelf items, acquired outside the United States, or services to be performed outside the United States; and</p> <p>(B) Has an estimated value that exceeds \$500,000.</p> <p>(2) If any subcontractor is required by this clause to submit a certification, the Contractor shall require submission prior to the award of the subcontract and annually thereafter. The certification shall cover the items in paragraph (h)(5) of this clause.</p>		<p>The Company reports details on training of managers and employees on human trafficking and forced labor issues. (who, how, when, etc.). It also reports the total number of employees trained and the amount of training on Human Trafficking they receive.</p> <p><b>F.2 Risk Assessment Disclosure</b></p> <p>The Company reports on the outcomes of the risk assessments it has carried out to identify and quantify human trafficking and forced labor issues and risks in its own operations and in its supply chain (both current and prospective suppliers).</p> <p><b>F.3 Policy Implementation</b></p> <p>On an annual basis, the Company publicly reports details on its progress and challenges in implementing its anti-human trafficking policy.</p> <p><i>F.6 Number and Resolution of Human Trafficking and Forced Labor Incidents</i></p> <p>The company reports human trafficking and forced labor related incidents and issues (identified by audits, routine monitoring, etc.) and how they were resolved, in the Company’s owned operations and in its supply chain.</p> <p><b>F.7 Grievance and Allegation Reporting</b></p> <p>The Company reports the number and resolution of grievances about human trafficking and forced labor issues and abuses and allegations of violations of Company policy and legal requirements it addressed during the previous reporting year.</p>
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