

Understand the risks of Modern Slavery in Supply Chains

Self-Assessment Questionnaire

Working together to identify and understand the risks of modern slavery, including in operations and supply chains, is a critical step toward addressing world-wide modern slavery and related practices.

MODERN SLAVERY LAWS

The introduction of the UK *Modern Slavery Act* in 2015, and more recently the Australian *Modern Slavery Act 2018* (Cth) (**Modern Slavery Laws**), require businesses to do more to address risks of modern slavery. The Modern Slavery Laws require large organisations to lodge annual statements which explain what businesses are doing to assess and address risks of modern slavery in operations and supply chains. The Modern Slavery Laws are designed to (amongst other things) increase business awareness of modern slavery risks and improve transparency across global supply chains.

In addition, the UN Guiding Principles on Business and Human Rights outline that businesses have a responsibility to respect human rights, which includes acting to prevent, mitigate and where appropriate remedy modern slavery within operations and supply chains.

PURPOSE OF THE SAQ

This self-assessment questionnaire (“**SAQ**”) is designed to:

- support the identification of modern slavery risks;
- foster collaborative efforts between suppliers and organisations to address these risks;
- improve transparency; and
- identify areas for further due diligence.

This SAQ was developed through extensive consultation between resources, mining and energy industry organisations. Addressing modern slavery risks is a business-critical issue, as not only is it the right thing to do, it will also improve the integrity and quality of business operations and supply chains.

HOW TO COMPLETE THE SAQ

Please answer all questions. Completing this SAQ honestly and transparently will allow us to work together to address identified risk factors in the supply chain.

You are encouraged to share this completed SAQ with any organisation that requests similar due diligence information. We will not share your completed response to the SAQ without your prior written consent.

Please see the frequently asked questions “FAQ” for further guidance.

PART A – YOUR DETAILS			
Organisation name:			
Organisation number (ABN/ACN or foreign equivalent):			
Organisation address (headquarters):			
NOTE FOR REPRESENTATIVES COMPLETING SAQ:			
Please answer the remainder of this SAQ in relation to the site, facility or operational location that is applicable to the current or proposed goods, materials and/or services agreement you have, or may have, with us. If there are multiple locations, please speak to your procurement representative on how best to complete this SAQ.			
Contracting entity details and locations			
Contracting entity name:			
Description of goods, materials and/or services provided:			
Address of facility, site or operation location:			
Details of representative to contact for further information			
Name:			
Position in Organisation:			
Email address:			
Phone number:			
Worker Information¹	Male	Female	Total
Total number of workers			
Total number of permanent workers			
Total number of seasonal or contract workers or otherwise in non-permanent employment			
Total number of workers provided through agencies, labour brokers, and/or outsourced labour companies			
Auditing History			
Provide the date and details of any responsible sourcing audits or certifications (including social, ethical or environmental) conducted, and locations they relate to.	<p>Please provide details of the audit, including</p> <ul style="list-style-type: none"> • whether it was an independent or internal audit • the date of each audit • locations the audit related to <p>If you require more space, please annex as separate document.</p>		
Certification Schemes			
Provide the details of any responsible sourcing third-party certification schemes including SMETA, ETI or other ISO standard or other relevant inspections, including the dates of certifications.	Please provide details and the date of certification schemes. If you require more space, please annex as separate document.		

¹ Workers refers to any individual (irrespective of whether they are employed directly, indirectly, temporarily or permanently) providing the applicable goods, materials or services for or on behalf of the Contracting Entity.

PART B – MODERN SLAVERY RISK FACTOR SELF-ASSESSMENT

NOTE FOR REPRESENTATIVES COMPLETING SAQ:

Please answer every question and describe reasons for your answer, together with referencing any relevant additional information. You can attach supplementary annexures as appropriate. If you need assistance or clarification, please contact your procurement representative.

General Modern Slavery Response	Yes	No	
1. Does your organisation have policies and processes to identify, investigate and remedy the risk and any instances of modern slavery within your organisation?	<input type="checkbox"/>	<input type="checkbox"/>	<i>Please describe.</i>
2. Do you provide training to your employees on modern slavery risk?	<input type="checkbox"/>	<input type="checkbox"/>	
Supply Chain Management	Yes	No	
3. Does your organisation conduct due diligence for modern slavery risks on your suppliers?	<input type="checkbox"/>	<input type="checkbox"/>	<i>Please describe.</i>
4. Does your organisation require your suppliers to conduct due diligence for modern slavery risks on their suppliers?	<input type="checkbox"/>	<input type="checkbox"/>	
5. What action does your organisation take if modern slavery practices are suspected?	<i>Please describe.</i>		
Worst Forms of Child Labour	Yes	No	
6. Does your organisation comply with the United Nations ILO Conventions ² that prohibit the worst forms of child labour, hazardous child labour and minimum age for work?	<input type="checkbox"/>	<input type="checkbox"/>	
7. Does your organisation undertake checks to ensure child labour is not being used within your organisation or by your suppliers?	<input type="checkbox"/>	<input type="checkbox"/>	<i>Please describe.</i>
Forced Labour, Bonded Labour, Human Trafficking	Yes	No	
8. Does your organisation have a policy or process that prohibits modern slavery including all forms of forced labour, bonded labour and human trafficking in its operations and in those of its suppliers?	<input type="checkbox"/>	<input type="checkbox"/>	<i>Please describe.</i>
9. Are any original identity related documents of workers (e.g. passports, birth certificates, national identity cards) retained?	<input type="checkbox"/>	<input type="checkbox"/>	
10. Are workers required to lodge any 'security deposits' (this could include financial or personal property) or pay any recruitment fees?	<input type="checkbox"/>	<input type="checkbox"/>	
11. Does your organisation deduct wages, impose monetary fines, and/or withhold pay or pay entitlements of workers? This includes fines for misconduct and poor production.	<input type="checkbox"/>	<input type="checkbox"/>	

² International Labour Organization Convention No. 138, 182 and 190. "Child Labour" is defined as work that deprives children of their childhood, their potential and their dignity and that harms their physical and mental development. Child is defined as anyone under 18 years. The convention sets the minimum age for admission to work at 15 years (13 years for light work), and for hazardous work 18 years. For further information, please visit <https://www.ilo.org/ipec/facts/lang--en/index.htm>.

Employment Conditions	Yes	No	
12. Are all workers provided with a written contract in a language they understand, where terms of employment including wage rates and hours of work are clear?	<input type="checkbox"/>	<input type="checkbox"/>	
13. Where accommodation is provided to workers (for example, dormitories, hostels or other forms of shared accommodation), are regular checks conducted to ensure that the living conditions are adequate and meet legal requirements (for example, fire safety, space, temperature, lighting, sanitary facilities, privacy, ventilation).	<input type="checkbox"/>	<input type="checkbox"/>	<i>Please describe.</i>
14. Where accommodation is provided, are workers free to leave at will?	<input type="checkbox"/>	<input type="checkbox"/>	
15. Are workers free to lawfully resign their employment without restriction or penalty?	<input type="checkbox"/>	<input type="checkbox"/>	
16. Are workers paid their legal pay entitlements, on time and provided with pay slips clearly showing how wages have been calculated and details of any deductions?	<input type="checkbox"/>	<input type="checkbox"/>	
Grievance and Redress Mechanisms	Yes	No	
17. Do workers have mechanisms to anonymously raise concerns related to labour conditions or workplace grievances and access appropriate remedy?	<input type="checkbox"/>	<input type="checkbox"/>	
18. If yes, please describe how these mechanisms are monitored and remedy is provided?	<i>Please describe.</i>		

PART C – Declaration by person submitting SAQ

NOTE:

This SAQ is required to be signed by a duly authorised representative of the organisation. It is preferable that this be a senior level employee, such as director, general manager or executive. If you are aware of any changes to the answers provided in this SAQ after the date of signing, please promptly notify your procurement representative.

I declare that:

- *I am duly authorised to make representations on behalf of the organisation*
- *The information provided here is true, complete and correct.*

Signature of Authorised person

Name of Authorised person

Position of Authorised person

Date

Thank you for completing this questionnaire. For any queries, please contact your procurement representative.