

STOP SLAVERY

A W A R D

QUESTIONNAIRE

INTRODUCTION

The Stop Slavery Award is an initiative from the Thomson Reuters Foundation. The Award recognizes the "best in class" of the corporate sector: companies that are leading the fight against modern slavery in their supply chains. Conferred for the first time in November 2016 at the annual Trust Conference, the Award honors corporations that go above and beyond their peers in the effort to eradicate forced labor, the worst forms of child labor, and other forms of slavery.

The Stop Slavery Award aims to create a virtuous cycle or positive paradigm by demonstrating that businesses can indeed play a critical role in stopping the tragedy of modern slavery worldwide.

Slavery is illegal everywhere. Yet, slavery NGO Walk Free estimates that there are currently 45.8 million people trapped in modern slavery in the world today. This is the largest number of slaves in history.

The global demand for cheap labor is fueling the slave trade. Market forces create both the supply and the demand for slaves. This is why corporations need to take the lead in the fight.

The Stop Slavery Award helps guide consumers' and customers' decisions on what goods they decide to buy or use, and raise awareness about the issues of forced labor, the worst forms of child labor, and other forms of modern slavery, inspiring more companies to investigate and improve the working conditions of those at the bottom of their supply chains.

We have chosen to use the term 'slavery' for the purposes of the Award to fully encapsulate both the UK Modern Slavery Act's 'modern slavery' definition and the US Federal Acquisition Regulation (FAR) 'trafficking in persons' definition, which include all forms of slavery, servitude and forced or compulsory labor, human trafficking, and child labor. Examples of 'slavery' include the following, with the full definition available in Annex A:

- Forced labor includes all work or service that is exacted from any person under the threat of penalty and for which the worker has not offered himself voluntarily including debt bondage and other forms of servitude;
- Other forms of servitude include any practice in which an individual exerts ownership or control over another in such a way as to significantly deprive that person of his or her individual liberty, with the intention of exploiting that person through his or her use, profit, transfer or disposal; and
- The worst forms of child labor, including the ownership, sale, trafficking or forced labor of children; the use, procuring, or offering of children for prostitution, pornography or illicit activities; or the use of children in work which, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety or morals of children as a consequence.

The following questions are designed to highlight best practices relating to different elements of corporate behavior and transparency, focusing on corporate commitment, reporting, performance measurement, business

partner engagement, training, risk assessment, business authentication, and investigation and remediation; as well as eliciting responses relating to leadership and innovation in the space.

Please respond to the questions as concisely as possible, uploading supporting documents where you feel it relevant. There is no requirement to upload documents at each question throughout the questionnaire, though we do ask that all internal policy documents referenced in your responses are uploaded at the end of each section of the survey. These policies will not be made publicly available but will be used during the judging process. We are looking for companies that demonstrate strong transparency through specific examples provided in the free response sections and/or any attached documentation.

Unless otherwise specified, please provide answers based on the most recent financial year, or such other 12 month period you prefer to choose. Please ensure that the same 12 month cycle is used for any subsequent submission for the Stop Slavery Award. Please indicate what 12 month period your submission relates to.

These questions are designed to encourage organizations to do more to try to eradicate slavery from their operations and supply chain. The bar has intentionally been set very high, and we do not expect or require that nominees are able to respond affirmatively to every question or to have instituted policies relating to each issue highlighted. We welcome nominations from every organization, irrespective of how comprehensive their activities have been to date, and through the Stop Slavery Awards will look to reward innovative and high impact approaches.

This document is provided for reference purposes only. The questions below are in the same format as those on our online questionnaire tool; though please submit your nomination for the Stop Slavery Award by responding to the online tool [here](#).

Question Number	Question	Question Type	Values
1. CONTACT DETAILS			
	First name	Free Text Box	
	Last name	Free Text Box	
	Job title	Free Text Box	
	Email	Free Text Box	
	Phone	Free Text Box	
	Company	Free Text Box	
2. COMPANY DESCRIPTION			
Company description			
<i>The following questions are designed to assist the panel better understand the Company's unique operational and supply chain environment</i>			
	Brief description of product/service offerings (maximum 100 word limit)	Free Text Box	
	Headquarters location (City, Country)	Free Text Box	
	Annual revenue (USD equivalent)	Free Text Box	
	Number of employees, including contractors	Free Text Box	
	Countries where persons employed	Multi-select List	Countries List
	Number of suppliers (please indicate whether your response refers to Tier 1	Free Text Box	

	suppliers or includes Tier 2/3/other suppliers, if available)		
	Countries from where supply originates	Multi-select List	Countries List
	Optional: Provide any additional information about your operations or supply chain that would be useful to the panel. (maximum 200 words)		
	Industry	Single-select List	Energy – Fossil Fuel
<i>These sectors are based on industry classifications developed by Thomson Reuters. For further details, please see the full list here.</i>			Renewable Energy
			Uranium
			Chemicals
			Mineral Resources
			Applied Resources
			Industrial Goods
			Industrial & Commercial Services
			Industrial Conglomerates
			Transportation
			Automobiles & Auto Parts
			Cyclical Consumer Products
			Cyclical Consumer Services
			Retailers
			Food & Beverages
			Personal & Household Products & Services
			Food & Drug Retailing
			Banking & Investment Services
			Holding Companies
			Insurance
			Real Estate
Collective Investments			
Healthcare Services			
Pharmaceuticals & Medical Research			
Technology Equipment			
Software & IT Services			
Telecommunications Services			
Utilities			
3. BEHAVIOR AND TRANSPARENCY			
<i>A. Corporate Commitment & Reporting</i>			
1	Have you made a public commitment to eradicate slavery throughout your operations and supply chain, which has been signed by a senior officer?	Yes/No	

	If yes, please provide examples of the documents in which these public commitments appear, including links to public websites, and upload the documents as required. (Examples may include statements contained in corporate annual reports, human rights policies, or stand-alone statements. Please provide links to relevant public websites below.) (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to make a public commitment. (suggested 400 word limit)	Free Text Box	
	Attach Files	File Upload	
2	Has your commitment to eradicating slavery been integrated into your other policies and decision-making procedures (e.g., procurement, joint venture decisions, etc.)?	Yes/No	
	If yes, please provide examples demonstrating how integration has been achieved. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to achieve integration. (suggested 400 word limit)	Free Text Box	
3	Which positions/departments maintain day-to-day and overall responsibility for designing and implementing your anti-slavery strategy and program? (suggested 400 word limit)	Free Text Box	
4	Do you publicly report on your: (a) policies and procedures; (b) goals and targets; (c) investigations; (d) risk areas; and (e) overall performance related to eradicating slavery? (Check all that apply.)	Multiple Choice	a) Policies and procedures b) Goals and targets c) Investigations d) Risk areas e) Overall performance related to eradicating slavery
	If yes, please provide examples of these reports, including links to public websites, and upload the documents as required. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to publicly report on the points listed. (suggested 400 word limit)	Free Text Box	
	Attach Files	File Upload	
5	Do you engage stakeholders in the formulation, implementation, and/or reporting of your anti-slavery commitment?	Yes/No	
	If yes, please provide examples of this type of engagement, explaining why particular	Free Text Box	

	stakeholders were chosen. (suggested 400 word limit)		
	If no, please provide details of any steps you plan to take to engage stakeholders. (suggested 400 word limit)	Free Text Box	
B. Performance Measurement			
6	Do you set goals and targets or otherwise monitor your performance in eradicating slavery?	Yes/No	
	If yes, please provide examples of these goals and targets. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to set goals and targets. (suggested 400 word limit)	Free Text Box	
7	How often do you review your performance against your goals and targets? (suggested 400 word limit)	Free Text Box	
8	Have your efforts to eradicate slavery progressively improved?	Yes/No	
	If yes, please provide examples explaining how you measure improvement, and upload any documents as you deem necessary. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to achieve improvement. (suggested 400 word limit)	Free Text Box	
	Attach Files	File Upload	
9	Do you evaluate your general business performance based (at least in part) on your success or failure in preventing or remedying slavery in your operations and supply chains?	Yes/No	
	If yes, please provide examples explaining how you measure success or failure, and upload any documents as you deem necessary. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to evaluate your business performance based on your success or failure in this regard. (suggested 400 word limit)	Free Text Box	
	Attach Files	File Upload	
10	Do you evaluate the performance of your directors, officers and employees based (at least in part) on their commitment to and success in preventing or remedying slavery?	Yes/No	
	If yes, please provide examples explaining how you measure commitment and/or success. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you	Free Text Box	

	plan to take to evaluate performance in this regard. (suggested 400 word limit)		
C. Business Partner Engagement			
11	Do you require all of your contractors, agents, and suppliers ("business partners") to abide by a Code of Conduct (or similar policies and procedures) that prohibits slavery?	Yes/No	
	If yes, please provide examples, and upload the documents as required. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to require compliance with a Code of Conduct. (suggested 400 word limit)	Free Text Box	
	Attach Files	File Upload	
12	Do you reserve the right to suspend or terminate relationships with business partners who persistently fail to comply with the Code of Conduct?	Yes/No	
	If yes, please explain your requirements. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to be able to suspend or terminate relationships. (suggested 400 word limit)	Free Text Box	
13	Have you ever suspended or terminated a relationship with a business partner?	Yes/No	
	If yes, please explain circumstances of any suspensions or terminations. (suggested 400 word limit)	Free text box	
	If no, please provide details of criteria for contract suspension or termination. (suggested 400 word limit)	Free Text Box	
14	Do you verify or validate compliance with the Code of Conduct by business partners?	Yes/No	
	If yes, please provide examples of recent verification efforts, including what steps were taken. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to verify or validate compliance. (suggested 400 word limit)	Free Text Box	
15	Do you provide support and/or capacity-building to business partners who have difficulty complying with the Code of Conduct?	Yes/No	
	If yes, please provide examples of the type of support provided. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to provide support or capacity	Free Text Box	

	building. (suggested 400 word limit)		
16	Do you require your business partners to establish Codes of Conduct for their respective subcontractors and sub-suppliers?	Yes/No	
	If yes, please provide examples explaining what matters are addressed in these second-level Codes of Conduct, and upload any documents as you deem appropriate. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to require the establishment of Codes of Conduct. (suggested 400 word limit)	Free Text Box	
	Attach Files	File Upload	

D. Training

17	Do you provide training on slavery (including on current and emerging legislation and regulations) to your: (a) directors and officers; (b) employees; and (c) significant business partners?	Multi-select List	a) directors & officers
			b) employees
			c) significant business partners
	Please provide examples of the type of training provided or, if training is not provided, steps you plan to take to introduce such training. (suggested 400 word limit)	Free Text Box	
18	What are the purposes of your various training programs? (suggested 400 word limit)	Free Text Box	
19	Have you targeted or tailored your training to particular types of participants?	Yes/No	
	If yes, please provide examples. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to target or tailor your training. (suggested 400 word limit)	Free Text Box	
20	How frequently are training programs reviewed and updated? (suggested 400 word limit)	Free Text Box	
21	How frequently is re-training provided? (suggested 400 word limit)	Free Text Box	
22	How do you ensure that your training is effective? (suggested 400 word limit)	Free Text Box	

E. Risk Assessment

23	Do you complete risk mapping, risk analysis and due diligence to identify and prioritize the risk of slavery at your operations and within your supply chain?	Yes/No	
	If yes, please describe, explaining the standards, systems, methodologies or protocols followed, and upload any	Free Text Box	

	documents as you deem appropriate. (suggested 400 word limit)		
	If no, please provide details of any steps you plan to take to identify and prioritize the risk. (suggested 400 word limit)	Free Text Box	
	Attach Files	File Upload	
24	Does your risk assessment go beyond your direct (first-level) business partners?	Yes/No	
	If yes, please provide examples, explaining how many tiers/levels are encompassed in your risk assessment. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to expand your risk assessment. (suggested 400 word limit)	Free Text Box	
25	How frequently are risk assessments carried out? (suggested 400 word limit)	Free Text Box	
26	Have you developed partnerships with other businesses, NGOs or government actors to gain a better understanding of the risks faced by workers at your operations or within your supply chain?	Yes/No	
	If yes, please provide examples. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to develop such partnerships. (suggested 400 word limit)	Free Text Box	
F. Business Authentication			
27	Do you conduct unannounced "spot audits" or inspections at your own operations?	Yes/No	
	If yes, please provide examples of the matters reviewed during your audits or inspections. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to conduct unannounced "spot audits" or inspections. (suggested 400 word limit)	Free Text Box	
28	Do you conduct unannounced "spot audits" or inspections at your suppliers' operations?	Yes/No	
	If yes, please provide examples of the matters reviewed during your audits or inspections. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to conduct unannounced "spot audits" or inspections. (suggested 400 word limit)	Free Text Box	
29	Do you engage a third party to carry out or assist with the audits or inspections?	Yes/No	

	If yes, please provide examples of recent third-party audits or inspections, including the name(s) of the third party/parties who were engaged to carry out the audit or inspection. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to ensure your audits are independently verified. (suggested 400 word limit)	Free Text Box	
30	Are your audits or inspections tailored to take account of local or regional differences, including more prevalent risks?	Yes/No	
	If yes, please provide examples of this type of tailoring. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to tailor inspections or audits in this way. (suggested 400 word limit)	Free Text Box	
31	Do you require your business partners to report on risks and remedial steps taken to eradicate slavery at their respective operations?	Yes/No	
	If yes, please provide examples of the matters reported on and steps taken. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to require reporting. (suggested 400 word limit)	Free Text Box	
32	Are reports provided by business partners independently verified by you or a third party?	Yes/No	
	If yes, please provide examples of recent verification efforts, including the steps taken and the name(s) of the third party/parties engaged to assist. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to achieve independent verification. (suggested 400 word limit)	Free Text Box	
33	Have your business partners progressively improved in their efforts to eradicate slavery?	Yes/No	
	If yes, please provide examples explaining how you measure improvement. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to encourage improvement. (suggested 400 word limit)	Free Text Box	
G. Investigation & Remediation			
34	Do you have a mechanism in place for reporting and investigating violations of your anti-slavery policies and procedures?	Yes/No	

	If yes, please describe this mechanism. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to adopt such a mechanism. (suggested 400 word limit)	Free Text Box	
35	Does the mechanism provide for confidentiality or anonymity, and non-reprisal?	Yes/No	
	If yes, please provide examples of this protection. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to provide for this protection. (suggested 400 word limit)	Free Text Box	
36	Does the mechanism allow any stakeholder to file a report or complaint?	Yes/No	
	If yes, please explain the process. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to allow any stakeholder to file a complaint. (suggested 400 word limit)	Free Text Box	
37	Have you provided public notification and/or education regarding the mechanism's availability?	Yes/No	
	If yes, please provide examples of this type of communication. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to provide notification and/or education. (suggested 400 word limit)	Free Text Box	
38	Are resources provided to assist complainants?	Yes/No	
	If yes, please provide examples of the type of resources available. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to develop these resources. (suggested 400 word limit)	Free Text Box	
39	If a report is substantiated, is there a mechanism in place to enforce remediation requirements?	Yes/No	
	If yes, please provide examples. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to adopt such a mechanism. (suggested 400 word limit)	Free Text Box	
40	Do you provide for public transparency at appropriate stages in the process?	Yes/No	
	If yes, please provide examples of reporting or other means of encouraging transparency. (suggested 400 word limit)	Free Text Box	

	If no, please provide details of any steps you plan to take to provide for transparency. (suggested 400 word limit)	Free Text Box	
41	Do you require business partners to have a mechanism in place for reporting and investigating violations of anti-slavery policies and procedures?	Yes/No	
	If yes, please provide examples of these mechanisms. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to require business partners to adopt such a mechanism. (suggested 400 word limit)	Free Text Box	
42	Do you have a defined approach to remediation where adverse events are reported?	Yes/No	
	If yes, please define your approach. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to define your approach to remediation. (suggested 400 word limit)	Free Text Box	
43	Have you achieved a progressive improvement in remedying grievances and complaints related to slavery?	Yes/No	
	If yes, please provide examples explaining how you measure improvement. (suggested 400 word limit)	Free Text Box	
	If no, please provide details of any steps you plan to take to achieve improvement. (suggested 400 word limit)	Free Text Box	
4. LEADERSHIP & INNOVATION			
44	How have your own principles and practices served as a model for change within the broader community? (suggested 500 word limit)	Free Text Box	
45	How are you assisting and supporting others in the business community and the public sector to ensure that slavery is eradicated globally? (For example, describe any high-impact initiatives that your company has sponsored or participated in.) (suggested 500 word limit)	Free Text Box	
46	How has overcoming challenges in your company's unique operations and supply chain environment led to improvement of your anti-slavery strategies?	Free Text Box	
47	What are your future targets or goals that exemplify your company's continued commitment to lead in anti-slavery best	Free Text Box	

	practices?		
	Please upload below any additional documents that you would like the Selection Committee to consider as part of your application for the 2017 Stop Slavery Award.	File Upload	

5. REFERENCES

Please provide details below for three references relating to your company's anti-slavery strategies, including at least one independent organization or NGO whose work involves anti-slavery initiatives.

Please provide up to three references relating to your company's anti-slavery strategies: (1) supplier (2) business partner (e.g., customer, NGO, consulting agent, or other whereby money is exchanged) (3) independent organization (e.g., NGO or organization not receiving any compensation).

Referee information may be entered in the spaces provided, uploaded on the company's letterhead, or emailed to [the Stop Slavery Award team](#).

Please note that your references may be contacted for further information.

Reference 1 (Supplier)		Free Text Box	
	Please provide the referee's contact details.	Free Text Box	
	Describe the referee's relationship to the respondent company.	Free Text Box	
	Has the referee engaged in any joint projects or initiatives with the respondent company in the anti-slavery space?	Yes/No	
	Please describe the joint projects or initiatives.	Free Text Box	
	To the referee: "Why do you consider this organization a leading example of corporate commitment to minimizing the risk of slavery in the supply chain?"	Free Text Box	
	Reference 1 – Attachments	File Upload	
Reference 2 (Business Partner)		Free Text Box	
	Please provide the referee's contact details.	Free Text Box	
	Describe the referee's relationship to the respondent company.	Free Text Box	
	Has the referee engaged in any joint projects or initiatives with the respondent company in the anti-slavery space?	Yes/No	
	Please describe the joint projects or initiatives.	Free Text Box	
	To the referee: "Why do you consider this organization a leading example of corporate commitment to minimizing the risk of slavery in the supply chain?"	Free Text Box	
	Reference 2 – Attachments	File Upload	
Reference 3 (Independent Organization)		Free Text Box	
	Please provide the referee's contact details.	Free Text Box	
	Describe the referee's relationship to the respondent company.	Free Text Box	
	Has the referee engaged in any joint projects	Yes/No	

	or initiatives with the respondent company in the anti-slavery space?		
	Please describe the joint projects or initiatives.	Free Text Box	
	To the referee: "Why do you consider this organization a leading example of corporate commitment to minimizing the risk of slavery in the supply chain?"	Free Text Box	
	Reference 3 – Attachments	File Upload	
DOCUMENTATION			
	Please attach here any documents relating to your company's policies referenced in your responses to the questions above.	File Upload	
FEEDBACK			
	Thank you for your submission. If you have any suggested improvements to the questionnaire or overall process, we welcome your feedback.	Free Text Box	
THANK YOU!			
	<p>Thank you for taking part in the Thomson Reuters Foundation's Stop Slavery Award survey. Your response is very important to us.</p> <p>Please note that any nominations or documents uploaded will be kept confidential unless express confirmation has been received to make them public. The Selection Board will be given access to the full nomination, including any documents submitted.</p> <p>For further information, please contact the Stop Slavery Award team.</p>		

Definition of 'Slavery'

The term, 'slavery', as used in the Stop Slavery Award Questionnaire encompasses the UK Modern Slavery Act and the US Federal Acquisition Regulation (FAR) definitions for 'modern slavery' (I) and 'trafficking in persons' (II), respectively.

1. 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

The definition of Slavery and Servitude Slavery, according to the 1926 Slavery Convention, is the status or condition of a person over whom all or any of the powers attaching to the right of ownership are exercised. Since legal 'ownership' of a person is not possible, the key element of slavery is the behaviour on the part of the offender as if he/she did own the person, which deprives the victim of their freedom. Servitude is the obligation to provide services that is imposed by the use of coercion and includes the obligation for a 'serf' to live on another person's property and the impossibility of changing his or her condition.

Forced or compulsory labour is defined in international law by the ILO's Forced Labour Convention 29 and Protocol. It involves coercion, either direct threats of violence or more subtle forms of compulsion. The key elements are that work or service is exacted from any person under the menace of any penalty and for which the person has not offered him/her self voluntarily.

2. Trafficking in Persons in all severe forms, as used by the US Federal Acquisition Regulations (FAR) is defined as:

a) Sex trafficking in which a commercial sex act is induced by force, fraud, or coercion, or in which the person induced to perform such act has not attained 18 years of age; or

b) The recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.

Under the UK's Modern Slavery Act, the offence of human trafficking requires that a person arranges or facilitates the travel of another person with a view to that person being exploited. The offence can be committed even where the victim consents to the travel. This reflects the fact that a victim may be deceived by the promise of a better life or job or may be a child who is influenced to travel by an adult. In addition, the exploitation of the potential victim does not need to have taken place for the offence to be committed. It means that the arranging or facilitating of the movement of the individual was with a view to exploiting them for sexual exploitation or non-sexual exploitation. The meaning of exploitation is set out here:

<http://www.legislation.gov.uk/ukpga/2015/30/section/3/enacted>.