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Organizational responses to modern slavery — Guidance

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Summary of pages

This document comprises a front cover, an inside front cover, pages I to IV, pages 1 to 51, an inside back cover and a back cover.

Foreword

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This British Standard is published by BSI Standards Limited, under licence from The British Standards Institution, and came into effect on 30 September 2022. It was prepared by subcommittee G/1/3, *Modern Slavery*, under the authority of Technical Committee G/1, *Governance*. A list of organizations represented on these committees can be obtained on request to their committee manager.

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The guidance in this standard is presented in roman (i.e. upright) type. Any recommendations are expressed in sentences in which the principal auxiliary verb is “should”.

Commentary, explanation and general informative material is presented in smaller italic type, and does not constitute a normative element.

Where words have alternative spellings, the preferred spelling of the Shorter Oxford English Dictionary is used (e.g. “organization” rather than “organisation”).

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0 Introduction

0.1 General

This British Standard provides organizations with guidance for managing modern slavery risk in its operations, supply chains and its wider operating environment. It uses a risk-based approach to help organizations understand the risk of modern slavery, to manage and reduce this risk as part of its legal and non-legal frameworks, and go beyond its legal and statutory duties. This risk management involves the systematic application of policies, procedures and practices to the activities of communicating and consulting, establishing the context and assessing, responding, monitoring, reviewing, recording and reporting the risk of modern slavery.

Modern slavery can be used to cover a set of specific legal concepts, including forced labour, debt bondage, forced marriage, slavery and slavery-like practices, and human trafficking. Modern slavery focuses attention on commonalities across these legal concepts and refers to situations of exploitation that a person cannot refuse or leave because of threats, violence, coercion, deception, and/or abuse of power.

NOTE 1 For further reading regarding why modern slavery is difficult to define, see [Change in Rhetoric but not in Action? Framing of the Ethical Issue of Modern Slavery in a UK Sector at High Risk of Labor Exploitation \[1\]](#).

Modern slavery practices sit at the extreme end of a continuum of exploitation, ranging from “decent work” to severe forms of labour exploitation, involving poor working and living conditions which harm human dignity. It is a criminal offence and a serious violation of people’s fundamental human and labour rights. The right not to be held in practices such as slavery, servitude and forced labour is echoed in core international frameworks, such as the UN *Guiding Principles on Business and Human Rights (UNGPs)* [2], the ILO *Declaration on Fundamental Principles and Rights at Work* [3] and, sustainable development goals (SDGs), including consideration of risks faced by humans as well as organizations.

NOTE 2 The International Labour Organization (ILO) defines “decent work” as the aspirations of people in their working lives, involving opportunities for work that is productive and delivers a fair income, security in the workplace and social protection for families, better prospects for personal development and social integration, freedom for people to express their concerns, organize and participate in the decisions that affect their lives and equality of opportunity and treatment for all women and men.

Organizations can cause, contribute or be linked to modern slavery practices. Regardless of the type or size, all organizations have a responsibility to understand modern slavery risks to their business and whether they can be implicated as a result of their activities, products and services, and business relationships.

Recognizing that organizations can vary in their understanding and response to the risk of modern slavery and that they can have different degrees of resources and leverage, this British Standard needs to be complemented by cross-functional expert knowledge tailored to the nature and industry of the organization and associated risks. Modern slavery is more than an organizational risk, it is a risk to human rights such that decision-making around modern slavery needs to be people focused.

This British Standard recognizes the changing nature of modern slavery and related human rights legal instruments both on national and international levels. It does not intend to replace these frameworks. It is the organization’s responsibility to comply with relevant legislation.

While this British Standard focuses on modern slavery, it recognizes that there are interdependencies with other sustainability considerations, such as climate change. This link is explicitly laid out in the concept of “Just Transition”, which challenges businesses to put people at the heart of climate

mitigation and adaptation strategies. This British Standard has been constructed to complement that thinking.

NOTE 3 For further information on just transition, see the Paris Agreement 2015 [4].

This British Standard can be read in isolation; however, it has been written to allow organizations to integrate it into their system(s) or strategic approach to operational risks. It is intended to complement other activities that address the risk of modern slavery and related practices but not to replace them.

0.2 Modern slavery risk factors

Modern slavery practices can occur in any country or industry sector. However, there are some factors that can increase the risk of modern slavery, such as:

a) geography;

Countries or regions with poor labour market governance (e.g. restricted freedom of association and/or collective bargaining) or legal accountability for rights violations can present an elevated risk of modern slavery. Organizations need to take a risk-based approach to value chains reaching into territories in which these features are present.

b) labour market structure;

Countries, regions or sectors that are dominated by a single industry or a single or small number of employers can render workers more vulnerable as a result of a lack of employment choices.

Strong fluctuations in demand and supply for labour can increase modern slavery risks as the monitoring of workforce wellbeing, labour providers and recruitment channels become more challenging, and is often de-prioritized against the need for sufficient numbers of workers.

c) migration for work;

Low skilled work or poorly protected migrant workers can be at greater risk of modern slavery abuses. These can manifest themselves during the recruitment of workers in labour source countries and in their treatment at work in labour destination countries.

d) discrimination;

Discrimination based on ethnicity, gender, caste, tribal group, religion and other factors can make workers more vulnerable to modern slavery risk.

e) long and opaque value chains;

Highly complex global business models can lead to a lack of appropriate governance and oversight mechanisms and an elevated risk of modern slavery. Similarly, positive influence and/or leverage can be difficult to exert in business relationships, such as joint ventures.

f) corruption;

Corrupt business practices are often a root cause of modern slavery abuses.

g) vulnerable groups of people; and

There are particular individuals and groups that might be more at risk to modern slavery (see [0.3](#)).

h) supply chain volatility.

The relationships in the supply chain vary between industry sectors. Shorter-term, frequently changing, and project-based relationships with no longer-term engagement or repeat business make it more difficult to achieve transparency or ensure responsible behaviour throughout the supply chain. Furthermore, strong fluctuations in demand and supply lead organizations

to prioritize supply continuity and responsiveness over due diligence and compliance considerations. Ad-hoc and transactional relationships lower the ability to scrutinize and monitor potential modern slavery risks.

0.3 Vulnerable workers and groups

Certain groups might be more vulnerable to exploitation and modern slavery, including:

a) migrant workers;

While migrant workers are not inherently more vulnerable to modern slavery, factors such as migration status, language skills, knowledge of rights, and limited support and access to personal documents can contribute to their being at risk of modern slavery. Migrant workers who have limited access to basic necessities, such as accommodation and food can rely on their employer to provide these which contributes to their dependency and vulnerability.

b) women and marginalized workers;

Women and marginalized workers can be vulnerable to modern slavery due to harmful cultural practices, discrimination, marginalization, harassment, domestic and sexual violence, limited employment opportunities and poverty. These factors can increase the risk of exploitation and hinder the reporting of abuse or modern slavery practices in the workplace.

c) seasonal migrant workers;

Seasonal migrant workers in temporary migrant programmes can be at increased risk due to debt bondage (due to upfront migration costs and illegal recruitment feeds), barriers to changing jobs, discrimination, lack of pathways to permanent residency and barriers to accessing justice. These workers are less likely to have access to social security nets, such as unemployment assistance.

d) precarious/informal workers;

Workers on precarious employment contracts, such as zero-hours contracts and dependent self-employment can experience a lack of guaranteed working hours. This creates insecurity and a higher risk of destitution.

e) young workers and children;

Young people aged between 15 to 18 years old in work can be vulnerable to physical, psychological or moral exploitation. Children in work under the age of 15, even when permitted by law, are particularly vulnerable to exploitation. They can often be more easily persuaded to lie about their age or working conditions to protect their income.

f) socially disadvantaged groups; and

Those who are socially excluded or in unstable social conditions can have limited economic opportunity and are typically more vulnerable. These groups can include those who are homeless, have disabilities or belong to a minoritized ethnic group.

g) workers operating in the informal economy.

Workers operating in any part of any economy that is neither taxed nor monitored by any form of government. Informal work can also often be found in domestic settings.

NOTE It is important to note that in some sectors and regions, men and women can be disproportionately affected, e.g. men are likely to make up a high proportion of modern slavery victims in the construction sector and women in domestic work or the textiles industry.

0.4 Factors influencing organizational responses to modern slavery

The motivations of organizations to identify and respond to modern slavery risks differ depending on the type of organization and the context in which they operate.

In addition to the organization's own values, drivers for addressing modern slavery include:

- a) legal and regulatory: compliance with modern slavery, labour and human rights standards; avoidance of financial and non-financial non-compliance costs; due diligence requirements and non-legal norms and mechanisms;
- b) investment: responding to investors' expectations (e.g. supporting responsible return on investment);
- c) customer pressure: responding to customer and consumer expectations (e.g. sourcing sustainable and ethical goods and services);
- d) stakeholder expectations: responding to increasing stakeholder expectations to take account of modern slavery risks; and
- e) positive business reputation: opportunity to differentiate itself in the marketplace by holding itself up to the highest standards.

1 Scope

This British Standard provides organizations with guidance for managing the risk of modern slavery, including prevention, identification, response, remediation, mitigation, and reporting modern slavery in its operations, supply chains and its wider operating environment.

NOTE This applies regardless of whether state authorities have established mechanisms to abolish and prohibit such practices.

This British Standard is applicable to all organizations, regardless of type, size and nature of activity.

2 Normative references

There are no normative references in this document.

3 Terms and definitions

For the purposes of this British Standard, the following terms and definitions apply.

3.1 bribery

offering, promising, giving, accepting or soliciting of an undue advantage of any value (which could be financial or non-financial), directly or indirectly, and irrespective of location(s), in violation of applicable law, as an inducement or reward for a person acting or refraining from acting in relation to the performance of that person's duties

NOTE The above is a generic definition. The meaning of the term "bribery" is as defined by the anti-bribery law applicable to the organization and by the anti-bribery management system designed by the organization.

[SOURCE: BS ISO 37001:2016, 3.1]

3.2 business associate

third party with whom the organization has, or plans to establish a business relationship

NOTE This includes any party whether a corporate body or an individual, including but not limited to franchisees, suppliers, outsourced services, partnerships, and purchasing agents who have a contractual relationship with the organization.

[SOURCE: BS ISO 37001:2016, 3.26]

3.3 child labour

work that deprives children of their childhood, their potential and their dignity, and that is harmful to physical and mental development

NOTE The UN Convention on the Rights of the Child [3] stipulates that a child means every human being below the age of 18 years, unless under the law applicable to the child, majority is attained earlier. See also BS ISO 26000 and the International Labour Standards on Child labour [5].

3.4 compliance function

person or group of persons with responsibility and authority for the operation of the compliance management system

NOTE Preferably one individual is assigned to the oversight of the compliance management system.

3.5 compliance obligation

requirements that the organization mandatorily has to comply with as well as those that the organization voluntarily chooses to comply with

[SOURCE: BS ISO 37301:2021, 3.25]

NOTE Requirements can include laws and regulations, contracts, codes of practice and voluntary commitments like industry standard.

3.6 contractor

external party providing services to the organization in accordance with agreed specifications, terms and conditions

NOTE Services could include construction activities.

3.7 debt bondage

situation where people are forced to work for an employer to pay off their own debts or those they have inherited

NOTE 1 The victims, if they try to leave their employment, are usually caught and returned by force. Providing wages or other compensation to a worker does not necessarily indicate that the labour is not forced.

NOTE 2 Debt bondage is sometimes referred to by the term "bonded labour".

NOTE 3 As defined by ILO Forced Labour Convention, 1930 (No. 29) [6].

3.8 downstream

handling, processing and movement of goods and services when no longer in the custody of the organization in the supply chain

[SOURCE: BS ISO 28001:2007, 3.10]

3.9 due diligence

ongoing risk management process to identify, prevent, mitigate and account for how adverse impacts are addressed in the organization and business associates

[SOURCE: United Nations Guiding Principles Reporting Framework [7], modified - definition amended]

NOTE The UN Guiding Principles on Business and Human Rights [5] stipulates that the main purpose of a human rights due diligence is the prevention of adverse impacts on people.

3.10 employee

worker in a direct labour relationship with the organization

3.11 forced labour

work or service exacted from any person under the menace of any penalty and for which the said person has not offered themselves voluntarily

NOTE See also BS ISO 26000, ILO Forced Labour Convention, 1930 (No. 29) [6] and the OECD Due Diligence Guidance for Responsible Business Conduct [8].

3.12 governing body

group or body that has the ultimate responsibility and authority for the organization's activities, governance and policies and to which top management reports and by which top management is held accountable

[SOURCE: BS ISO 37000:2021, 3.3.4]

3.13 human rights

basic entitlement and freedoms that belong to everyone, regardless of race, sex, nationality, ethnicity, language, religion, or any other status

NOTE Human rights include the right to life and liberty, freedom from slavery and torture, freedom of opinion and expression, the right to work and education, and many more.

3.14 human trafficking

recruitment, transportation, transfer, harbouring 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

NOTE See United Nations Protocol to Prevent, Suppress and Punish Trafficking in Persons Especially Women and Children, supplementing the United Nations Convention against Transnational Organized Crime [9].

3.15 organization

person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its objectives

NOTE 1 The concept of organization includes, but is not limited to, sole-trader, company, corporation, firm, enterprise, authority, partnership, charity or institution, or part or combination thereof, whether incorporated or not, public or private.

NOTE 2 If the organization is part of a larger entity, the term "organization" refers only to the part of the larger entity that is within the scope of the compliance management system.

[SOURCE: BS ISO 37000:2021, 3.1.3]

3.16 risk

effect of uncertainty on objectives

NOTE 1 An effect is a deviation from the expected. It can be positive, negative or both, and can address, create or result in opportunities and threats.

NOTE 2 Objectives can have different aspects and categories and can be applied at different levels.

NOTE 3 The UN Guiding Principles on Business and Human Rights [2] stipulate that risk needs to be understood in relation to people and not only to the organization itself.

[SOURCE: BS ISO 31000:2018, 3.1 modified – Notes amended.]

3.17 slavery

status or condition of a person over whom any or all the powers attaching to the right of ownership are exercised

NOTE 1 As legal ownership rights are no longer asserted by exploiters, powers attaching to the right of ownership need to be understood as constituting control over a person in such a way as to significantly deprive that person of their individual liberty, with the intent of exploitation through the use, management, profit, transfer or disposal of that person. Typically, this exercise is supported by and obtained through means such as violent force, deception and/or coercion.

NOTE 2 For further guidance, see Bellagio-Harvard Guidelines on the Legal Parameters of Slavery [10].

3.18 stakeholder

person or organization that can affect, be affected by, or perceive itself to be affected by a decision or activity

NOTE This constitutes one of the common terms and core definitions for ISO management system standards given in Annex SL of the Consolidated ISO Supplement to the ISO/IEC Directives, Part 1 [11].

3.19 subcontractor

organization or individual contracted by the supplier to perform a specific part of a contract

[SOURCE: BS ISO 20400:2017, 3.29]

3.20 supplier

organization that provides goods or services

[SOURCE: BS ISO 20400:2017, 3.30]

3.21 supply chain

direct and indirect relationship of organizations, people, processes, logistics, information, technology and resources engaged in activities and creating value from the sourcing of materials through the delivery of products or services, which can span across multiple tiers

[SOURCE: BS ISO 18788:2015, 3.71, modified – Notes amended]

NOTE 1 The supply chain might include vendors, subcontractors, manufacturing facilities, logistics providers, internal distribution centres, distributors, wholesalers and other entities that lead to the end user.

NOTE 2 See also value chain (3.23).

3.22 top management

person or group of people who directs and controls the organization at the highest level

3.23 upstream

handling, processing and moving of goods and services that occur before the organization in the supply chain takes custody of the goods

[SOURCE: BS ISO 28001:2007, 3.27]

3.24 value chain

process of value creation within a business model, across different types of assets from inputs, activities, outputs and outcomes

NOTE 1 Types of assets can include finance, raw materials, factored goods, human resource, IP and relationships.

NOTE 2 Value chains can also be highly connected to form value ribbons, e.g. the travel industry connects travel agents to airports to airlines to hotels.

3.25 victim

person(s) who is or was in situations of modern slavery

NOTE 1 Many people who experienced modern slavery prefer the term “survivor” to describe their self-identity in the process of regaining their freedom. This British Standard recognizes the individual self-identity of survivors which can vary between people throughout their liberation process and that how they choose to identify cannot be assumed by others. Therefore, the term victim (of modern slavery) is used throughout this British Standard.

NOTE 2 For further reading see, A Full Freedom: Contemporary Survivors’ Definitions of Slavery [12].

3.26 worker

person performing work or work-related activities that are under the control of the organization

NOTE 1 Persons perform work or work-related activities under various arrangements, paid or unpaid, such as regularly or temporarily, intermittently or seasonally, casually or on a part-time basis.

NOTE 2 Workers include top management, managerial and non-managerial persons.

NOTE 3 The work or work-related activities performed under the control of the organization could be performed by workers employed by the organization, workers of external providers, contractors, individuals, agency workers, and by other persons to the extent the organization shares control over their work or work-related activities, according to the context of the organization.

4 Context of the organization

4.1 Understanding the organization and its context

In managing the risk of modern slavery (as specified in [Clause 9](#)) the organization should understand and examine its external and internal context.

The organization should define and document the context in which it operates, including its supply chain, subcontractors and business associates. It is important to evaluate internal and external factors that can influence the way in which the organization assesses and mitigates modern slavery risk. This is important to feed into the organization’s overall modern slavery risk management process.

The external context refers to factors that are outside the organization but related to the management of modern slavery risk, including:

- a) the geographical locations in which the organization operates (such as its own activities; activities in its supply chain, subcontractors and business partners and activities, and products and services within the organization’s influence);
- b) the social, cultural, political, legal, regulatory and economic factors, whether international, national, regional or local;

- c) external stakeholders (such as businesses, civil society organizations, regulatory bodies, local government, the public, communities of interest, press and media, special interest groups, trade unions and employer organizations), and their expectations regarding the management of modern slavery risk;
- d) applicable market conditions related to the organization; and
- e) laws of the countries where the products/services provided are manufactured, distributed, supplied and consumed.

The internal context refers to factors that are substantially in the control of, or subject to the authority of, the organization through its governing and management systems. The organization should identify and evaluate its internal context, including objectives and strategies to mitigate modern slavery risks, which could include:

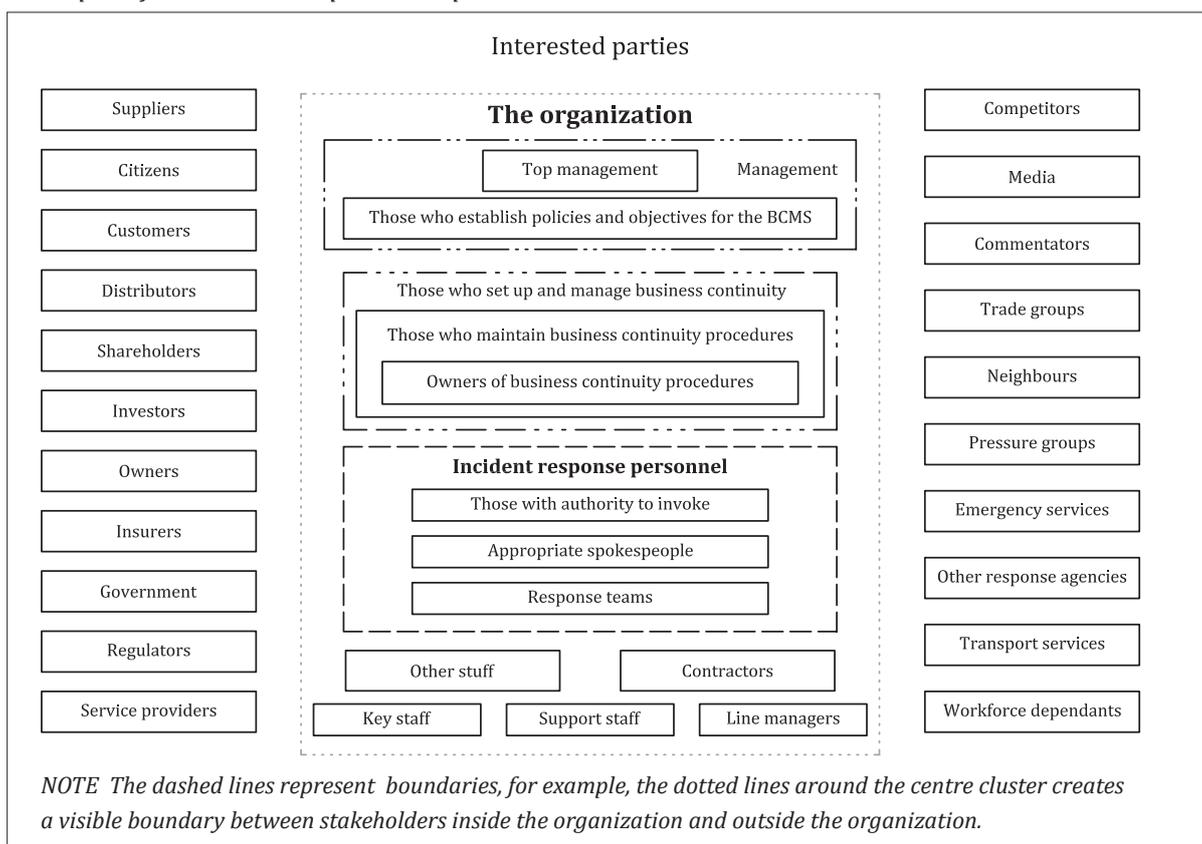
- 1) vision, mission and values;
- 2) governance, organizational structure, roles and accountabilities;
- 3) strategy, objectives and policies;
- 4) the organization's culture;
- 5) standards, guidelines, agreements and business models adopted by the organization;
- 6) capabilities, understood in terms of resources and knowledge (e.g. capital, time, people, processes and systems);
- 7) relationships with contractual and internal stakeholders, taking into account their perceptions and values;
- 8) interdependencies and interconnections;
- 9) the labour provision models being used (see [Annex A](#));
- 10) processes and practices used to procure goods and services;
- 11) supply chain management and governance of victim vulnerabilities and applicable financial processes relating to employment, especially seasonal (or similar) workers; and
- 12) the nature of the workforce and vulnerabilities associated with certain aspects or types of employment.

4.2 Understanding the needs and expectations of stakeholders

4.2.1 General

As part of the organization's duty of care within and outside the organization, it should identify all stakeholders that are of relevance to its modern slavery strategy and approach, taking account of their requirements based on needs and expectations. It is important to identify not only obligatory and stated requirements but also any that are implied.

NOTE See [Figure 1](#) for examples of stakeholders in public and private sectors.

Figure 1 — Examples of stakeholders in public and private sectors

4.2.2 Compliance, legal and regulatory requirements

The organization should identify its obligations and maintain its social licence to operate in all situations in which the organization (or its suppliers) operates, including where the law or its enforcement might not provide for minimum human rights safeguards. This applies to all situations in which the organization (or its suppliers) operates, including where the law or its enforcement might not provide for minimum human rights safeguards.

NOTE 1 Social licence represents an organization's ongoing acceptance of its own or the industry's standard business practices and operating procedures by its employees, stakeholders, and the general public.

NOTE 2 There are numerous international, regional and national initiatives driving organizations to act in an ethical and responsible manner, such as the UN Guiding Principles on Business and Human Rights (UNGPs) [2] and OECD Guidelines for Multinational Enterprises [13]. Additionally, several European states, such as France and Germany have passed laws requiring organizations to conduct mandatory due diligence and publicly report on the steps being taken to tackle modern slavery.

The organization's obligations include:

- legislation, UK and international;
- local government requirements;
- international frameworks (such as the UNGPs) and voluntary requirements (such as industry codes of conduct and due diligence standards, such as the *OECD Due Diligence Standard for Responsible Business conduct* [8]);
- agreements with community groups or non-governmental organizations and trade associations;
- public commitments of the organization or its parent organization; and
- contractual relationships and commitments.

4.2.3 Human rights, modern slavery and compliance

The organization should identify its human rights, modern slavery compliance obligations, determining, as a minimum:

- a) processes that take into account the organization's context and its significant modern slavery-related aspects and risks associated with its compliance obligations;
- b) whether legal, compliance and other requirements present risk;
- c) identifying (see [0.2](#) and [0.3](#)), monitoring and reporting significant modern slavery risk in its operations and supply chains;
- d) ranking modern slavery risks in order of priority;
- e) due diligence measures or corrective actions to mitigate compliance risks within an agreed timeline;
- f) publicly disclosing modern slavery risks and measures taken to mitigate them (e.g. in the organization's modern slavery statement and annual report);
- g) establishing contact points and regular communication between the organization and suppliers, subsidiaries, and other entities around changes in context or compliance risk; and
- h) incorporating modern slavery risk into the overall risk register.

4.3 Bribery

4.3.1 General

Modern slavery can be linked with bribery. Therefore, the organization should ensure any third party, over which it has control, either implements:

- a) the organization's anti-bribery management system; or
- b) its own anti-bribery controls.

In each case, it is only to the extent that is reasonable and proportionate with regard to the bribery risks faced by the controlled organization, taking into account that organization's risk assessment.

NOTE 1 The organization has control over another organization if it directly or indirectly controls the management of the organization.

In relation to business associates not controlled by the organization (such as suppliers and contractors) where the risk of bribery is assessed as being low, the organization should:

- 1) determine whether the business associate has anti-bribery controls in place; and
- 2) where a business associate does not have anti-bribery controls in place (or it is not possible to verify this), ensure the business associate implements anti-bribery controls in relation to the relevant transaction, project or activity. If this is not possible, this should be a factor in evaluating the bribery risk of the relationship with the business associate and the way in which the organization manages such risks.

For business associates which pose a moderate or high bribery risk, the organization should ensure that:

- i) business associates commit to preventing bribery by, on behalf of, or for the benefit of the business associate in connection with the relevant transaction, project, activity, or relationship; and
- ii) it is able to terminate the relationship with the business associate in the event of bribery by, on behalf of, or for the benefit of the business associate in connection with the relevant transaction, project, activity, or relationship.

Where it is not practicable to meet 1) or 2), this should be taken into account in evaluating the bribery risk of the relationship with this business associate and the way in which the organization manages such risks.

NOTE 2 For more information on anti-bribery and extortion, see BS ISO 37001.

4.3.2 Organizational compliance requirements

The organization should have policies and procedures in place to fulfil its compliance obligations, including to:

- a) determine how the obligations identified in b) to e) apply to the organization's structure, operations, and supply chain;
- b) understand both internal and external factors that could impact on the management of these issues to deliver its intended results;

NOTE One way to do this is through consulting within the organization, its suppliers, contracting partners and relevant stakeholders, such as investors, consumers, employees and workers.

- c) assign accountability to a director (or equivalent) to oversee the assembly of a team of cross-functional workers to assess compliance risks annually;
- d) maintain a central risk register (see [9.3.2.1](#)); and
- e) monitor new compliance and modern slavery risks and incorporate these into the risk register and contractual agreements.

4.4 Legal and compliance teams

The organization should identify the key workers responsible for managing and implementing its compliance obligations. It should also ensure that key workers within the organization understand their responsibilities. In larger organizations, it can be that legal counsel, along with compliance managers or the company secretary, have a key role in ensuring compliance obligations. In smaller organizations, the role of understanding compliance obligations can fall across a number of functions, such as human resources, occupational health and safety, finance directors, procurement and the ethical or sustainability managers.

The role of legal and compliance teams can include:

- a) ensuring that legal compliance and other obligations are met;
- b) helping to set the organization's ethical standards beyond what the law requires;
- c) ensuring the organization's terms and conditions of contract are reviewed and appropriate contract clauses are inserted to address the risk of modern slavery;
- d) ensuring that any tender documents are reviewed, and the appropriate modern slavery provisions are inserted;
- e) understanding how the organization addresses any default provisions in contract clauses where modern slavery has been uncovered;
- f) advising the board on the risk relating to human rights and modern slavery;
- g) ensuring an annual review is carried out, taking into account circumstances, including developments in legal and other requirements, related to its modern slavery policy;
- h) devise internal accountability for the management of compliance risks;
- i) identify and document mandatory obligations related to modern slavery mitigation;
- j) identify emerging modern slavery-related legislation applicable to its activities, products and services;

- k) establish a schedule to review incoming mandatory obligations; and
- l) ensure there is a suitable and sufficient audit programme.

The legal counsel should:

- 1) provide top management with effective advice on organizational strategies and its implementation;
- 2) influence the organization on issues relating to ethics, governance and risks;
- 3) manage the legal function of the organization;
- 4) oversee the work of external legal counsel so that they understand and can advise on modern slavery issues;
- 5) oversee the finalization of the publication of external statements and policies to ensure compliance; and
- 6) ensure an annual review of contractual agreements is conducted.

Once the organization has identified the relevant compliance obligations, it should:

- i) devise internal accountability for the management of legal compliance risks;
- ii) identify and document mandatory legal obligations related to modern slavery mitigation;
- iii) identify emerging modern slavery-related legislation applicable to its activities, products and services and establish a schedule to review incoming legal obligations;
- iv) make a public commitment to upholding compliance obligations in the organization's modern slavery policy or statement and ensure it is communicated to relevant parties;

NOTE Most disclosure legislation requires that the organization's statement are made available on the homepage of its website.

- v) clarify whether the statement or policy relates solely to the organization's own activities or includes the organization's expectations of other organizations;
- vi) involve both internal and external consultative processes and top management and/or the board in the process of creating a policy or statement; and
- vii) specify how public policy will be communicated to the different parties, e.g. stakeholders, communities that might be affected.

5 Leadership and commitment

5.1 Governance

Governance and leadership includes modern slavery risk management. Top management and oversight bodies (in a smaller organization, this could be the owner) should integrate the management of modern slavery risk into all organizational activities and demonstrate leadership and commitment by:

- a) approving the organization's values and principles to reflect a strong commitment to identify and address unethical behaviour;
- b) approving reporting mechanisms (such as a modern slavery statement) on actions taken by the organization to address modern slavery;

NOTE Attention is drawn to relevant legal and/or regulations.

- c) approving the organization's policy(s) relating to modern slavery;
- d) aligning the organization's strategy, business processes and modern slavery policies;

- e) requiring that resources are allocated for effective modern slavery risk management;
- f) exercising reasonable oversight over the implementation of the organization's modern slavery risk management and measuring its effectiveness (e.g. through risk and key performance indicators, benchmarking and the organization's ability to respond);
- g) receiving and reviewing information, at planned intervals, concerning the content and operation of the organization's modern slavery risk management approach; and
- h) providing appropriate training for board members on modern slavery and relevant issues, such as occupational safety and health (OSH) and human rights at work.

These should be carried out by top management if the organization does not have a governing body.

5.2 Top management

Top management should demonstrate leadership and commitment in addressing modern slavery by:

- a) developing the organization's values so that they reflect a strong commitment against unethical behaviour;
- b) preparing, approving and publishing the organization's reporting mechanisms (such as a modern slavery statement);
- c) establishing, implementing, maintaining and reviewing the organization's modern slavery policy and objectives to address modern slavery risks;
- d) integrating modern slavery risk management into the organization's processes;
- e) deploying adequate and appropriate resources for effectively tackling modern slavery;
- f) communicating modern slavery policies internally and externally (such as through contracts or codes of conduct);
- g) communicating internally the importance of effective modern slavery risk management and of conforming to the modern slavery policies and processes;
- h) ensuring that approaches to tackle modern slavery are appropriately designed and implemented;
- i) directing and supporting workers to contribute to the effectiveness of addressing modern slavery;
- j) promoting a zero tolerance of modern slavery and awareness within the organization, its business associates and other stakeholders;
- k) supporting other relevant management roles to demonstrate leadership in preventing and detecting modern slavery as it applies to their areas of responsibility;
- l) encouraging the use of reporting procedures, including whistleblowing, for suspected and actual modern slavery across the supply chain;
- m) ensuring that there are no barriers to reporting modern slavery and/or policy(s) violations, such as retaliation, discrimination or disciplinary action, unless an individual participated in the violation;
- n) reporting to the governing body (if relevant), at planned intervals, on the content and operation of modern slavery risk management processes, including allegations and identified cases of modern slavery;
- o) implementing mandatory modern slavery training for all employees tailored to their roles and at appropriate intervals;
- p) taking account of relevant laws and conventions on related issues, such as human rights, labour rights, and child labour and how they apply to the organization; and

- q) promoting continual improvement.

5.3 Modern slavery policy

5.3.1 General

A modern slavery policy should state the intentions, objectives, and values of the organization, as formally set out by its top management. The policy typically describes elements such as the organization's vision, values, commitments and rules.

Top management should define the modern slavery policy in terms of the organization's objectives and its obligations, ensuring it:

- a) is a concise, high-level statement of top management's intention and direction for managing the risk of modern slavery;
- b) is appropriate to the purpose of the organization (given its size, nature and complexity, and to reflect its culture, dependencies and operating environment); and
- c) includes a clear commitment to satisfying applicable requirements, including legal and regulatory obligations.

The modern slavery policy should:

- 1) specify the scope and boundaries of the organization's modern slavery policy, including limitations and exclusions;
- 2) identify any authorities and delegations required, including the person(s) responsible for the organization's modern slavery policy;
- 3) include references to standards, guidelines, regulations or policies to be taken into account or complied with; and
- 4) be reassessed at planned intervals, and communicated with relevant stakeholders.

The modern slavery policy can include:

- i) a funding commitment;
- ii) references to other related policies;
- iii) a requirement to implement modern slavery risk management (including a remediation action plan for identified cases); and
- iv) a commitment to exercise and maintain a review of modern slavery risk.

There should be a strategy in place which outlines how the organization's modern slavery policy is to be delivered, including key objectives and targets, including a basic work plan.

5.3.2 Communicating the policy

The effective communication of the organization's modern slavery policy(s) and procedures are essential when addressing modern slavery risk.

Such communication should be meaningful, timely, continual and include a feedback mechanism and a review cycle, incorporating provisions to proactively address changes in the organization's environment.

To enhance the communication of the modern slavery policy, the organization should communicate the organizational:

- a) mission: the organization's purpose for existing;
- b) vision: aspiration of what the organization would like to become;

- c) values: principles and thinking patterns intended to play a role in shaping the organization's culture and to determine what is important to the organization, in support of the mission and vision; and
- d) culture: beliefs, history, ethics, observed behaviour and attitudes that are interrelated with the identity of the organization.

If the organization is not already required to publish a modern slavery statement, it should publish its modern slavery policies prominently on its publicly accessible website to demonstrate what action it is taking.

NOTE Attention is drawn to the Modern Slavery Act 2015 [14], and similar legislation in other jurisdictions.

The organization's communication of its policy should be tailored to meet the differing needs of its recipients, including ensuring it is communicated in appropriate formats and languages for its intended audience. Information communicated within the organization can differ in detail and presentation from that conveyed to customers, supply chain partners or other stakeholders, e.g. the policy could be communicated to supply chain partners for acknowledgement as an appendix to contract documentation. This could be supplemented by the provision of training materials that further "translates" the policy into more practical terms.

The modern slavery policy can be communicated to the organization's own workforce, including volunteers, through training that relates to their own activity (such as through role play or online interactive lessons).

The organization should establish processes to confirm that the policy has been internalized by the recipients and not merely acknowledged.

5.4 Roles, responsibilities and authorities

Top management and the governing body, where applicable, should assign and communicate accountabilities for relevant roles related to managing the risk of modern slavery at all levels of the organization. Due to the nature of modern slavery, responsibilities for managing risk should be assigned to business functions. Given organizations differ in shape, size and capabilities, risk management and assessment processes (see [Clause 8](#)) should take into account the roles and responsibilities of its business functions.

6 Support

6.1 Resources

The organization should determine, and make available in a timely and efficient manner, the resources required for effective modern slavery risk management that:

- a) achieves its modern slavery policy, statement and objectives;
- b) meets the changing requirements of the organization;
- c) enables effective communication on modern slavery matters, internally and externally; and
- d) provides for the on-going operation and continual improvement of the modern slavery risk management activities.

Resources can be provided internally or externally, and include:

- 1) financial and human resources;
- 2) IT solutions;
- 3) specialized skills;

- 4) organizational infrastructure;
- 5) investigators;
- 6) contemporary reference material on procurement;
- 7) legal expertise; and
- 8) professional development and training.

6.2 Competence

Top management should determine the competencies needed for modern slavery management roles and responsibilities and the awareness, knowledge, understanding, skills and experience needed to fulfil them. All persons assigned roles within the organization should demonstrate the competencies required and be provided with training, education, development and other support needed to do so.

The organization should establish an appropriate and effective system for managing the competence of persons undertaking anti-modern slavery work.

Processes to achieve competence can include:

- a) an assessment of competencies for role(s) to be undertaken;
- b) the creation of a personal development programme that identifies training, education, development and other support needed to attain competence;
- c) the provision of training and mentoring, including the selection of suitable methods and materials;
- d) performance evaluation;
- e) knowledge sharing;
- f) job sharing;
- g) hiring or contracting competent persons;
- h) training of target groups; and
- i) the evaluation of training received against defined training needs.

The organization should require contractors working on its behalf to demonstrate that person(s) undertaking work under its control have the requisite competencies in managing the risk of modern slavery in the roles undertaken.

6.3 Awareness

All persons carrying out work for the organization (e.g. staff, contractors, suppliers, business associates) should be aware of the organization's modern slavery policy and objectives, including:

- a) how to reduce the likelihood of modern slavery;
- b) the importance of conformity to the modern slavery policy and procedures;
- c) dependencies on suppliers and outsource partners and any associated risks to modern slavery risk management;
- d) the implications of changes in the operation of the organization;
- e) their contribution to the effectiveness of modern slavery risk management, including the benefits; and
- f) their role and responsibility in achieving conformity with its requirements.

The organization should build, promote and embed modern slavery management within the culture of the organization so that:

- 1) it becomes part of the organization's core values and management; and
- 2) stakeholders become aware of the modern slavery policy and their role in associated procedures.

The organization, with procedures to manage the threat of modern slavery embedded in its culture:

- i) instils confidence in its stakeholders (especially staff and customers) in its ability to manage the risk;
- ii) increases its resilience and sustainability by taking into account modern slavery risk management in decisions at all levels; and
- iii) minimizes the likelihood and impact of modern slavery.

6.4 Communication

The organization should determine the internal and external communications relevant to effective management of the modern slavery activities (policy, procedures and objectives), including what to communicate, when, with whom, and how to effectively communicate.

When the modern slavery policy or statement is introduced or updated, workers should be briefed on the key points/changes. In addition, a communication should be sent from the governing body or top management (e.g. personalized letter, a newsletter or a post on the intranet).

The organization should determine to what extent other stakeholders should receive this communication.

The modern slavery policy and statement should be effectively communicated to new workers (see [5.3.2](#)) and included, when it exists, in the new employee information package delivered when joining the organization.

The organization should use its typical communication channels, such as newsletters, email, intranet or internet posts, worker meetings, training courses, brochures, social media, etc., in person and any other appropriate communications vehicles.

6.5 Training

Top management and the governing body should allocate appropriate resources so that training needs can be identified and fulfilled for both internal and external roles.

The organization should provide training on:

- a) its processes, methods and tools to be used for managing the risk of modern slavery;
- b) documentation processes and procedures;
- c) appropriate engagement with suppliers;
- d) developing and implementing its modern slavery policy;
- e) ethical considerations for purchasing decisions and practices;
- f) internal (local) as well as external (global) modern slavery risks and buying practices; and
- g) the organization's remedy process.

Training of teams should be performed at regular intervals, with new workers trained upon joining the organization.

6.6 Recording and reporting

6.6.1 General

The modern slavery risk management process and its outcomes should be recorded and reported through appropriate mechanisms which aim to:

- a) communicate risk management activities and outcomes across the organization;
- b) provide information for decision-making;
- c) improve risk management activities;
- d) assist interaction with stakeholders, including those with responsibility and accountability for risk management activities; and
- e) facilitate transparency and disclosure (see [6.6.2](#)).

6.6.2 Transparency and disclosure

Reporting is an integral part of the organization's governance and should enhance the quality of dialogue with stakeholders and support top management and oversight bodies, where applicable, in meeting their responsibilities.

The organization should disclose information in a timely, clear, comparable, balanced and accurate manner to enable stakeholders to assess the impact that the organization's decisions and responses to modern slavery have on their respective interests. Information should be readily available to stakeholders and include as a minimum:

- a) the organization's known and likely risks and impacts on modern slavery;
- b) matters which the organization is required to notify to a regulatory authority;
- c) changes in modern slavery obligations, their impact on the organization and the proposed course of action to meet the new obligations;
- d) its policies and practices regarding modern slavery;
- e) information on the modern slavery management system's effectiveness, progress, trends and outcomes;
- f) actions taken to manage modern slavery risk within its operations and supply chain; and
- g) operations and suppliers considered to have significant risk for incidents of modern slavery, including the type of operation and supplier as well as countries or geographic areas with operations and suppliers considered at risk.

The organization could consider including a) to g) as part of its wider human rights reporting.

NOTE 1 Transparency does not require that proprietary information be made public, nor does it involve providing information that is privileged or that would breach legal, commercial, security or personal privacy obligations.

NOTE 2 The Global Reporting Initiative (GRI) specifies reporting requirements in more detail. Relevant subclauses include GRI 401 [15], GRI 403, [16], GRI 408 [17], GRI 409 [18].

Top management and oversight bodies, where applicable, including the legal and compliance function, should be regularly updated on the validity and performance of the organization's modern slavery risk management process, including all relevant nonconformities, and actively promote the principle that the organization encourages and supports a culture of full and open reporting.

Internal reporting arrangements should:

- 1) set out appropriate criteria and obligations for reporting;
- 2) establish timelines for regular reporting;

- 3) establish an exception reporting system which facilitates ad hoc reporting of emerging nonconformities;
- 4) establish systems and processes are in place to ensure the accuracy and completeness of information;
- 5) provide accurate and complete information to the correct functions or areas of the organization to enable preventative, corrective and remedial action to be taken; and
- 6) sign-off on the accuracy of reports to the governing body, including the legal and compliance function.

The organization should choose a format, content and the timing of its internal reporting that is appropriate to its circumstances.

NOTE 3 Attention is drawn to relevant legal requirements with regard to format, content and timing of internal reporting.

Where the organization is required to report nonconformities, regulatory authorities should be informed in accordance with applicable regulations, or as otherwise agreed.

Reporting obligations should be clearly set out in the organization's modern slavery policy and procedures and reinforced by other methods, such as informal reinforcement by management during their day-to-day work with employees.

All nonconformities should be appropriately reported to top management and the governing body. If the organization is not required to disclose nonconformities, voluntary self-disclosure of nonconformities to regulatory authorities to mitigate the consequences should be taken into account.

An effective modern slavery risk management process should include a mechanism for the organization's employees and/or others to report suspected or actual misconduct or violations of the organization's modern slavery obligations on a confidential basis and without fear of retaliation, in accordance with BS ISO 37002.

The organization should publish information on the modern slavery risk management process in an easily accessible and appropriate format, e.g. on the organization's website, at the organization's premises, cascaded through workers and supply chain, and in local languages.

7 Recruitment and employment relations

7.1 General

The organization and its business associates should inform workers of their rights at the beginning of their employment, with information on policies and procedures available to workers on an ongoing basis.

The organization should regularly engage with its workers throughout the organization, its business associates and supply chain, requesting feedback about their work and concerns.

NOTE Fostering an environment of openness and trust can help prevent modern slavery by encouraging workers to raise any grievances they experience (see [Clause 9](#)).

Key risk areas for workers can include:

- a) recruitment and associated fees;
- b) pay, deductions and method of payment;
- c) entitlements, such as freedom to join a trade union, sick pay, and training;
- d) accommodation, rent, freedom of movement;

- e) grievance mechanisms and how complaints are dealt with;
- f) overall treatment; and
- g) worker expectations for work and living conditions.

Specialist audits focussed on worker welfare can help prevent negative conduct and practices.

7.2 Recruitment: internal and external control

The organization should establish responsible employment processes for people directly employed that mitigate the risk of modern slavery in its operations (i.e. the organization's operations, the entities it owns, the entities in which it holds a majority shareholding, and the facilities it manages).

The organization should also expect contractors, sub-contractors or agencies supplying labour or services to implement similar employment practices in their operations and supply chains.

NOTE 1 For further guidance, see Consumer Goods Forum, Guidance on Priority Industry Principles [19].

The organization should ensure its recruitment practices and those used by third-party recruitment agencies protect workers from modern slavery related practices. Activities should be monitored, with the use of assessments and audits for recruitment agencies. Speaking with workers directly can help identify negative practices (e.g. if fees were paid). The organization should take into account the timing and location of worker interviews, e.g. employers could interview workers in their home country as part of the recruitment process, where possible, immediately upon arrival, and at some point after the worker has worked at the site.

Recruitment carried out in compliance with licensing requirements adds a layer of protection for workers. Often the provision of a licence comes with a regulator to review labour market practices in the participating organization. If recruiting from abroad, countries might have public employment services, which, due to government involvement, could also be more strictly regulated than a private recruitment organization.

Recruitment practices should be clear and fair, and the employer should be responsible for associated costs. Recruitment fees can be hidden as deductions from worker wages or forced onto workers as "optional" services for which they have to pay. Many organizations adopt the "Employer Pays" principle which helps ensure that no worker should pay for a job. Any terms and conditions made with external recruitment agencies should also be clear and fair and be agreed before any work takes place.

Policies should be inclusive and their legal status, in the case of migrant workers, should not be grounds for discrimination with regards to reporting abuse or remedy. For migrant workers, policies should include a guarantee for the safe return to their home country. Those responsible for recruitment and management of recruitment agencies should be trained in relevant modern slavery policies. Further, where workers are charged recruitment fees, the organization should advocate for repayment of fees to workers.

Subcontracted workers or workers providing a service which is outsourced to a third-party supplier can be vulnerable to modern slavery due to the lack of oversight by the lead organization.

7.3 Worker empowerment

As an integral part of the organization's employment relations, in order to uphold and promote worker empowerment, the organization should ensure that workers are informed of and can exercise their right to join or form trade unions, ensuring, as a minimum, that:

- a) workers, without distinction, have the right to join or form trade unions of their own choosing and to bargain collectively;

- b) the organization fosters a constructive relationship with trade unions and engages with their organizational activities;
- c) worker representatives are not discriminated against and are enabled to carry out their representative functions in the workplace; and
- d) where the right to freedom of association and collective bargaining is restricted under law, the organization facilitates, and does not hinder, the development of parallel means for independent and free association and bargaining.

7.4 Terms and conditions of work

Terms and conditions of employment should:

- a) be provided to the worker before commencement of work;
- b) be provided in a language the worker understands; and
- c) include an accurate reflection of the work.

In addition to modern slavery provisions, employment contracts should include information on:

- 1) the position of the worker, an accurate job description and the duration of the contract;
- 2) the place of work;
- 3) transportation, where applicable;
- 4) entitlements (such as leave, vacation and holiday entitlements);
- 5) discrimination, including:
 - i) prohibition of discrimination in hiring, compensation, training, promotion, termination or retirement based on race, caste, nationality, ethnicity, religion, age, disability, gender, marital status, sexual orientation, union membership or political affiliation; and
 - ii) the treatment of migrant workers who are to be treated fairly and should benefit from conditions that are no less favourable than those of non-migrant workers;
- 6) freedom of association and collective bargaining;
- 7) wages, benefits and payments, including:
 - i) those for a standard working week should meet, as a minimum, national legal standards or industry benchmark standards, whichever is higher;
 - ii) to be paid in monetary form, regularly, directly and on time;
 - iii) deductions should not be taken from wages, except as permitted by law or in accordance with the worker's contract; and
 - iv) deductions from wages as a disciplinary measure should not be permitted;
- 8) working hours, including overtime and other working conditions, where:
 - i) working hours should be within industry standards;

NOTE Attention is drawn to relevant legal requirements with regard to worker hours.
 - ii) overtime should be voluntary and if refused, workers are not to be punished;
 - iii) overtime should be determined in line with the extent, frequency, and hours worked by the individual;
 - iv) overtime should be compensated at a premium that is at least 125% of the regular rate of pay;

- v) the working environment should be safe, with adequate health and safety provision and rest breaks; and
 - vi) training on health and safety and other working conditions should be provided in relevant languages, taking account of literacy/numeracy levels;
- 9) living conditions (where relevant):
- i) accommodation facilities provided to workers should conform to all requirements and guidelines covering health, sanitation, electrical mechanical, fire and structural safety and prevention of communicable diseases;
 - ii) should be designed and built for human habitation and allow for individual sleeping beds;
 - iii) charges for rent and food should be reasonable; and
 - iv) appropriate medical arrangements should be provided; and
- 10) access to remedy: workers should have access to credible internal grievance mechanisms, with an avenue for appeal to an independent body and judicial remedy without fear of recrimination or dismissal.

7.5 Occupational health and safety

The organization's modern slavery risk management should eliminate or minimize work-related risks that could lead to physical or mental injury or ill health.

The organization should take a systematic approach to eliminating or minimizing occupational health and safety (OH&S) risk and promoting OH&S, wellbeing and prevention culture across its operations and supply chains, including providing:

- a) safe and healthy working conditions (see [7.3](#));
- b) appropriate health and safety training, supervision and equipment;
- c) identification of hazards, the assessment and control of OH&S risk;
- d) a means to raise OH&S concerns without recrimination; and
- e) monitoring, review and actions to improve OH&S.

Indications of modern slavery can be identified through OH&S monitoring, such as work-related incidents, excessive working hours, bullying, fire risk, unsuitable transport and accommodation and exposure to hazardous materials and communicable disease. All of these should be investigated, and recurrence prevented (see also [9.4.4.3](#)).

The organization should, in collaboration with its suppliers, provide a safe and healthy working environment, including working time limits, rest periods, holidays, maternity protections, and welfare of workers, such as safe drinking water, sanitation and access to first aid and medical services.

NOTE For additional information on health and safety, see [BS ISO 45001](#) and [BS ISO 45003](#) and for information on sustainability, see [BS ISO 20400](#), [BS EN ISO 26000](#).

8 Procurement and supply chain management

8.1 General

The organization should review its modern slavery risk management at planned intervals to maintain its ongoing suitability, adequacy and effectiveness. The review should take into account potential changes, such as developments in legal and other requirements related to its modern slavery policy.

When planning for modern slavery risk management, the organization should take into account its existing policies, processes and functions (compliance, legal, reporting, procurement, disclosure, communication, etc.), the context of the organization (see [Clause 4](#) and specifically the needs and expectations referred to in [4.2.1](#)), and determine the threats and opportunities that need to be addressed to provide assurance that the measures in place to address modern slavery are effective, including:

- a) encouraging and facilitating reporting of modern slavery;
- b) supporting and protecting whistleblowers and other relevant stakeholders;
- c) ensuring reports of modern slavery are dealt with in a proper and timely manner;
- d) improving organizational culture and governance;
- e) reducing the risk of modern slavery;
- f) achieving continual improvement; and
- g) ensuring compliance with local applicable laws (see [4.2.4](#)).

The organization should plan:

- 1) actions to address threats and opportunities; and
- 2) how to:
 - i) integrate and implement these actions into its modern slavery risk management;
 - ii) evaluate the effectiveness of these actions;
 - iii) involve relevant workers and relevant stakeholders in the planning of the modern slavery risk management;
 - iv) address instances where wrongdoing is reported outside the organization (e.g. to relevant authorities);
 - v) define the degree of confidentiality, support and protection that the organization can provide; and
 - vi) provide feedback to and collect feedback from whistleblowers and other relevant stakeholders.

8.2 Responsible procurement: control of externally provided process, products and services

8.2.1 General

The organization's top management should create and communicate a strategy, that includes the supply chain, for addressing modern slavery risk, and challenge and empower those responsible for procurement processes, including those responsible for providing guidance, mentoring and advice.

Modern slavery risk management should be included in the organization's governance of the procurement processes. Organizations often have a group of people to provide governance over issues, such as approving procurement strategies, gateways and commitments, monitoring savings and other function key performance indicators.

8.2.2 Procurement policy and strategy

The procurement policy and strategy should have a clear connection with the organization's policies and strategies in addressing modern slavery.

The procurement policy and strategy should:

- a) address modern slavery risk within the organization's supply chains;

- b) disclose where particular risks are within the organization (such as material sourcing);
- c) articulate the relevance of modern slavery to the organization's supply chains (such as codes of conduct and labour standards); and
- d) identify and considers other relevant policies and priorities that influence modern slavery activity (e.g. wage, equality, carbon policies and strategies).

8.2.3 People

Effective modern slavery risk management depends on everyone in the organization understanding the risk of modern slavery and how to prevent it. Workers should be given appropriate training and resourcing to effectively manage the risk of modern slavery, especially those involved in procurement activities, including:

- a) leadership teams;
- b) sourcing, procurement and contract management;
- c) those who can specify products or trades that have potential breaches in human rights and exploitative practices; and
- d) contract managers responsible for compliance in the contract.

Key individuals within the procurement function can have incentives and requirements embedded into their roles through job descriptions and personal objectives, some of which can increase the risk of modern slavery (e.g. short order cycles, cost reduction focus, supply chain continuity). The modern procurement function has many other objectives, which should include the management of modern slavery exposure.

8.3 Procurement activity

8.3.1 General

Procurement consists of a range of market and supplier focussed activities, which include planning, sourcing and management. These should feed into the organization's modern slavery risk management process.

8.3.2 Procurement planning

When starting the procurement activity, the organization should:

- a) conduct market research to identify specific modern slavery risks (see [0.2](#) and [0.3](#)) relating to the goods or services being procured, trends, relevant laws and regulations;
- b) understand its role in the supply chain and the capability in its procurement marketplace to manage the risk of exploitation;
- c) develop a procurement strategy that enables the organization to engage with the supply chain on modern slavery risks either through the enforcement of responsible sourcing standards or by building a supplier relationship which delivers continual improvement;
- d) identify modern slavery risks and responses that should be integrated into the procurement process, especially in supplier pre-qualification, bidding/tender and contract processes. This includes evidence of due diligence activity (see [9.4.3](#)); and
- e) ensure that modern slavery expectations for its suppliers are passed through to its subcontractors and that this is codified in the subcontractor documentation.

8.3.3 Procurement sourcing

When sourcing a supplier, the organization should:

- a) in the prequalification process, address the modern slavery questions that deliver the outcome it is looking for, gearing this towards experience and practical outcomes, not statement or policy driven;
- b) use databases to validate responses and review documentation to understand what evidence is available to support the responses (e.g. databases hosting organizations' modern slavery policies);
- c) address statements that are a legal requirement. This should be a "go/no-go" criteria, with emphasis on legal compliance statements, not just issuing a statement;
- d) incorporate responsible sourcing standards into the technical aspect of the organization's specification;
- e) ensure that subcontract documentation contains both materials and labour standards where a supplier is providing both services;
- f) establish the contract requirements, verifying that the supply chain is capable of understanding and responding accordingly;
- g) emphasize continual improvement and collaboration, should instances occur, with remediation being a focus;
- h) when considering the cessation of a contract, prioritize the needs of victims and potential victims ahead of the needs of the organization;
- i) outline measures and specify data to illustrate the amount of engagement the organization is having with its supply chain and therefore starting to create a more transparent supply chain;
- j) determine the effective use of technological solutions to include the supply chain aspects into the tender requirements; and
- k) undertake an assessment of the tender response by using a multi-criteria approach that includes non-financial performance.

8.3.4 Procurement management

When managing suppliers, the organization should:

- a) where services and/or subcontracts are let, make the contract managers aware of the requirements that have been included in relation to sourcing standards and/or labour standards;
- b) where data is being requested, embed it in procurement or other data management systems from the suppliers and in the regular performance management programme;
- c) determine the effective use of supplier development programmes to improve supply chain response to addressing breaches of human rights;
- d) adopt a collaborative approach and work to connect with its suppliers and increase transparency (see [9.3.2.2](#)), where required;
- e) undertake effective risk-based audits to inform the risk assessment process and supplier development plans. This should be done in conjunction with other performance data; and
- f) where audit covers international supply chains, have a clear understanding of its response in cases of breaches or the need for improvements.

NOTE Audits can be part of the organization's due diligence activity and can comprise self-assessments, internal audits and third-party audits.

Modern slavery risk management, including the risk assessment, should identify key risks within the supply chain and categorize risks according to procurement exposure and leverage. The risk assessment should cover all spend and will influence the procurement strategies adopted to address the issues within the supply chain.

To help prevent modern slavery, the organization should exercise proportional control over its external providers. These external providers could include the organization's corporate headquarters, associate organization, suppliers, downstream customers or franchises or a business associate to whom the organization has outsourced a process.

The organization should verify that external providers conform to its modern slavery standards (e.g. through contractual agreement and subsequent surveillance).

The organization should establish and apply the criteria for the selection, monitoring, and evaluation of external providers. Implementation of such a process enables the organization to have a clear understanding of the external provider's performance, determine gaps in their operations, and identify solutions for any issues.

In situations where a parent organization or customer mandates the use of a specific external provider, this might be the only criterion; however, monitoring performance is still required.

If the organization is unable to influence the activities or transparency of an external provider to an acceptable degree, it might be necessary to terminate the relationship.

8.4 Supplier engagement

The organization's supplier can have multiple suppliers of their own. These suppliers can also present a risk of modern slavery in the same way as the contracting organization, including those listed in [0.2](#).

Supplier engagement defines the relationship between the organization and its suppliers; the organization should implement its commitment to responsible and sustainable sourcing, including:

- a) mapping the supply chain;
- b) through risk assessment;
- c) planning interventions with suppliers;
- d) building a transparent relationship;
- e) establishing an effective grievance process; and
- f) establishing a whistleblowing mechanism (see [9.4.6](#)).

Key performance indicators (KPIs), analysis and monitoring are key for sustainable supplier engagement, including appropriate leading and lagging metrics. An effective strategy to manage supplier activities depends on understanding the market, supply chain and the sources of the organization (see [8.3](#)).

The organization should engage with suppliers to prevent, mitigate and remediate the risk of modern slavery on a continual basis, including:

- 1) coordinating its suppliers' activities to identify and mitigate modern slavery risk;
- 2) applying the modern slavery prevention and mitigation criteria to its processes for the selection of suppliers;
- 3) being able to disclose the suppliers list;
- 4) verifying that the requirements to manage the risk of modern slavery are met by suppliers and subcontractors. Suppliers should conform to the modern slavery prevention criteria;

- 5) determining the suppliers that pose a moderate or high modern slavery risk (see [0.2](#) and [0.3](#)) and engaging with these suppliers more closely. This can include increased development activities, such as training, auditing and monitoring of the suppliers and their supply chains;
- 6) providing training and activities to encourage the suppliers, subcontractors and business partners to treat workers with respect and dignity; and
- 7) establishing targets, measurements and incentives that foster a collaborative culture of effective risk management.

The organization should have clear and transparent policies and processes in place to address the risk of modern slavery.

NOTE Attention is drawn to the relevant to modern slavery provisions and regulations with regard to labour (e.g. Modern Slavery Act 2015 [[14](#)]).

In addition to setting out principles to safeguard worker welfare, having such policies demonstrates commitment internally which should mirror the standards the organization expects of its suppliers. This also serves to communicate the commitment throughout the organization.

9 Modern slavery risk management

9.1 General

Modern slavery risk management is part of governance and leadership and is fundamental for translating commitment and policies into practical action.

The organization should establish the external and internal context of the risk management process by taking into account the factors in [4.1](#).

Risk management involves the systematic application of policies, procedures and practices, to the activities of communicating and consulting, establishing the context and assessing, responding, monitoring, reviewing, recording and reporting the risk of modern slavery.

This should be an integral part of the organization's management and decision-making and be integrated into the structure, operations and processes of the organization. It can be adapted and applied at strategic, operational, programme and project levels.

Understanding the context is important because:

- a) modern slavery risk management takes place in the context of the objectives and activities of the organization;
- b) organizational factors can be a source of risk; and
- c) the purpose and scope of the modern slavery risk management process could be interrelated with the objectives of the organization as a whole.

9.2 Communication and consultation

9.2.1 General

The purpose of communication and consultation is to assist relevant stakeholders in understanding risk, the basis on which decisions are made and the reasons why particular actions are required.

Communication seeks to promote an awareness and understanding of risk, whereas consultation involves obtaining feedback and information to support decision-making. Close coordination between the two should facilitate factual, timely, relevant, accurate and understandable exchange of information, taking into account the confidentiality and integrity of information as well as the privacy rights of individuals.

Communication and consultation with appropriate external and internal stakeholders should take place within and throughout all steps of the modern slavery risk management process.

Communication and consultation aims to:

- a) bring together different areas of expertise for each step of the process (such as trade unions, modern slavery experts, non-governmental organizations (NGOs);
- b) taking into account different views when defining and evaluating risks;
- c) provide sufficient information to facilitate risk oversight and decision-making; and
- d) build a sense of inclusiveness and ownership among those affected by risk.

9.2.2 Stakeholder engagement

Managing the risk of modern slavery is part of all activities associated with the organization and includes interaction with internal and external stakeholders. The organization might have many stakeholders, each with distinct attributes and with diverse and conflicting requirements.

Stakeholder engagement involves dialogue between the organization and one or more of its stakeholders. It assists the organization in addressing its responsibilities by providing an informed basis for its decisions. Stakeholder engagement can take many forms. It can be initiated by the organization, or it can begin as a response by the organization to one or more stakeholders. It can take place in either informal or formal meetings and can take a wide variety of forms. It should be interactive and is intended to provide opportunities for stakeholders' views to be heard. Where appropriate, records of stakeholder engagement should be retained.

In order to effectively engage with stakeholders, the organization needs a clear understanding of who the relevant stakeholders are and how and why they might want to engage with the organization. Establishing a method for identifying stakeholder groups is fundamental to the engagement process.

When identifying its stakeholders, the organization should:

- a) recognize the interests and legal rights of its stakeholders and respond to their expressed concerns;
- b) assess the relative ability of stakeholders to contact, engage with and influence the organization;
- c) take into account the views of stakeholders whose interests are likely to be affected by a decision or activity even if they have no formal role in the governance of the organization or are unaware of these interests; and
- d) explore participation in relevant stakeholder-driven social responsibility initiatives that foster meaningful engagement.

In identifying the requirements of stakeholders, the organization can distinguish between mandatory requirements and the non-mandatory expectations of, and voluntary commitments to, stakeholders.

Stakeholder engagement is a valuable tool for managing the risk of modern slavery. The outcomes of engagement activities can help to shape the organization's approach regarding:

- 1) the overall aspirations of the modern slavery policies and procedures;
- 2) the goals against which progress is measured;
- 3) which sectors, workers, audiences and processes to focus on;
- 4) how the organization will approach these; and
- 5) what capabilities and resources are required.

Stakeholder engagement also forms part of the market intelligence activity and can be used to inform the risk assessment process at a category level. It can help the organization access market

information on how its sector is responding to modern slavery risk, as well as provide access to sector-based initiatives.

Stakeholder engagement can enable the organization to continually improve its performance.

When implementing modern slavery policy and strategy, the organization should effectively communicate and engage with all relevant stakeholders. It is important to engage with key stakeholders who are able to inform its modern slavery strategies, whether in the supply chain, non-governmental organizations, trade unions and/or consultants. It is also an opportunity to engage and upskill the supply chain in relation to what the organization is expecting from future activities, e.g. it could help procurement teams to respond to bids and tenders. It is also important to verify that suppliers understand modern slavery risks and the organization's modern slavery policy and strategy (see also [5.3](#)).

The organization should engage and explore collaboration with peer organizations, support lobbying, industry bodies, and competitors to address modern slavery risks collaboratively and in a co-ordinated manner to exercise leverage, share intelligence, and build capabilities and capacity.

Stakeholder engagement information should be integrated into governance through established organizational processes. The organization's policies and/or processes should include the requirement to use stakeholder engagement, where appropriate.

9.3 Modern slavery risk assessment

9.3.1 General

Risk assessment is the process of risk identification, risk analysis and risk evaluation.

The organization should identify, analyse and evaluate its exposure to modern slavery risks based upon a risk assessment in relation to its activities, products, services and relevant aspects of its operations, including outsourced third-party and wider value chain processes in accordance with [Clause 8](#).

The organization's exposure and response to modern slavery should be assessed periodically and whenever there are material changes in circumstances or organizational context.

NOTE See [Clause 8](#) for guidance on the risk management process.

Risk assessment should be conducted systematically, iteratively and collaboratively, drawing on the knowledge and views of stakeholders. It should use the best available information, supplemented by further enquiry, as necessary.

External organizations, such as regulators, trade unions, NGOs and experts can help identify, verify and provide country, regional, sector and category-specific information related to modern slavery risks. While particular risks can be associated with certain activities, it is the organization's responsibility to identify specific risks associated within their own supply chains.

9.3.2 Identification of modern slavery risk

9.3.2.1 General

Risk identification helps the organization recognize, understand and address modern slavery risks within its operation and its supply chain. The process should identify modern slavery-related sources, situations or circumstances with the potential to cause modern slavery.

Risk identification should be an on-going process, not a singular or timed event. It should take into account normal activities, day-to-day fluctuations, planned changes (e.g. entry into new markets or new product conceptualization) within the organization as well as within its upstream and downstream supply chain.

Ways of identifying risks can vary, e.g. reviewing past incidents, consulting workers, business partners and suppliers and other stakeholders.

Risks can be categorized in many ways, including those occurring:

- a) within the organization;
- b) within the various tiers of the organization's supply chain (both upstream and downstream);
- c) business associates; and
- d) by private individuals working for or on behalf of the organization, e.g. the organization's workers could independently hire a nanny or domestic cleaner while living and operating overseas.

Identification typically includes identifying the organization's activities, the people that might be impacted by these activities (including the organization's own employees and those of its supply chain partners) and determining from this point what rights might be at risk (including labour rights).

Relevant and up-to-date information is important in identifying risk, taking account of factors such as:

- 1) geographical risk (such as country context and compliance with labour standards at local, regional or international level, high prevalence of modern slavery and/or labour rights violations, strength of government legislation to combat modern slavery, conflict zones, social acceptance of exploitation);
- 2) workplace risks (e.g. proximity to borders, worker demographics, health and safety violations);
- 3) bribery and corruption;
- 4) sector risks; and
- 5) labour supply chains (such as, the use of transient and temporary labour, use of subcontractors and labour supply chains, abundance of low paid labour).

NOTE For additional considerations of risks, see BS ISO 31000.

9.3.2.2 Supply chain mapping

To identify at-risk areas, the organization should undertake supply chain mapping to determine the location of suppliers and their supply chains and progressively improve its understanding and oversight of all tiers of its supply chains. Supply chain mapping involves determining which suppliers (and their supply chains) are significantly linked to high-risk products and/or services identified during the risk assessment, taking this into account when implementing the policy and strategy.

Supply chain mapping involves:

- a) understanding the supply chain;
- b) mapping all suppliers; and
- c) understanding processes below tier one.

Managing modern slavery risk within the organization's own activities and in the supply chain, including subcontractors and business partners, requires an understanding of those entities' cultures and environments, as well as the end-to-end context of their supply chains. Each element of the organization's supply chain involves a set of risks that should be managed.

Supply chains and the use of subcontractors and business associates are integral parts of business operations. While there is significant interdependence within a supply chain, each individual element of a supply chain is unique in certain respects; this uniqueness might require tailored approaches to the management of the risks involved.

To manage the risks within a supply chain, the organization should:

- 1) identify the role of organizations and individuals at each tier or level of its upstream and downstream supply chain or network;
- 2) understand the interdependencies and supporting infrastructure;
- 3) establish how each element plays a role in adding value to the performance of other members of the chain, directly or indirectly;
- 4) determine how each element has the potential to contribute to the risk profile of the organization, both positively and negatively; and
- 5) evaluate how each element exerts influence on the success of preventing modern slavery.

The organization should recognize that the decisions taken for individual elements have potential chain-wide implications. Therefore, the risk factors throughout the supply chain should be understood and controlled for successful management of modern slavery risks.

The organization should identify, record and periodically review its upstream and downstream supply chain, particularly its use of subcontractors and business associates who might have an impact on modern slavery risk, and the potential to cause an undesirable or disruptive event.

Managing supply chain risk should be included in the organization's overall business operations where significant risks have been identified and there is a potential to cause, contribute or be linked to an occurrence of modern slavery.

The organization should define, record and periodically review the level of risk in its supply chain and subcontractors.

9.3.3 Analysis of modern slavery risk

9.3.3.1 General

The purpose of risk analysis is to comprehend the nature of modern slavery risk and its characteristics, including the level of risk. Risk analysis involves a detailed consideration of uncertainties, risk sources, business relationships, supply chain, consequences, likelihood, events, scenarios, controls and their effectiveness. An event can have multiple causes and consequences and can affect multiple objectives.

Risk analysis can be undertaken with varying degrees of detail and complexity, depending on the purpose of the analysis, the availability and reliability of information, and the resources available. Analysis techniques can be qualitative, quantitative or a combination of these, depending on the circumstances and intended use.

9.3.3.2 Risk Indicators

Risk indicators to analyse the likelihood of modern slavery can include:

- a) recruitment fees: large recruitment fees, whether for recruitment itself, travel, visa or administration costs can leave workers in situations of debt bondage;
- b) contract deception: workers might not be given written contracts of employment or they might be given contracts in a language other than their native language. Workers might find themselves in a different job or with a significantly lower salary than they were promised or provided with facilities, such as accommodation that does not meet their expectations;
- c) wages and benefits: current factors of modern slavery include withholding of wages (notably if the contract is terminated early), unreasonable pay deductions, wages not paid on time, worker bank accounts controlled by employer, and in-kind payments (e.g. bonds, manufactured goods);

- d) retention of identification documents: workers can be effectively bound to a job or employer when personal documents (e.g. passports), or any other valuables (e.g. wedding rings), are confiscated, destroyed, withheld, or otherwise denied to the worker, technically preventing them from leaving their job; and
- e) worker accommodation: if the organization provides accommodation for workers to live in, the housing needs to be safe, clean and offered at a reasonable price. As workers become more reliant upon their employer, risk of exploitation can increase, particularly where accommodation is used to restrict their freedom of movement.

NOTE For a comprehensive understanding of modern slavery risks, see [0.2](#) and [0.3](#).

9.3.4 Evaluation of modern slavery risk

Modern slavery risks can be evaluated by comparing the results of risk analysis with its risk criteria and then prioritizing the risks. This evaluation can help decision-makers consider how to address modern slavery and determine where action is required.

The organization's decision should take into account:

- a) appropriate response measures;
- b) further analysis to better understand the risk;
- c) establishing and monitoring effective corrective action (including remediation, see [9.4.4](#)); and
- d) improved engagement with stakeholders.

Decisions should take into account the wider context and the actual and perceived consequences to external and internal stakeholders.

The outcome of risk evaluation should be recorded, communicated and validated at appropriate levels of the organization.

When prioritizing modern slavery risks, the saliency of the risk if it was to occur should be determined. Saliency is attention by the organization on the risks to people and not the risk to business (although these two are not mutually exclusive).

"Saliency" can be understood through gauging the:

- 1) scale: how severe would an occurrence be?
- 2) scope: how widespread would an occurrence be? and
- 3) remediability: if possible, how effective would remediation be?

Risk evaluation, including the gauging of saliency, assists the organization in prioritizing its actions in line with its resources and values.

9.4 Responding to modern slavery

9.4.1 General

The organization should take steps to allow those affected by modern slavery risks to be able to voice their concerns and access effective remedies. Approaches to addressing modern slavery should take into account a range of different options and should be victim- and worker-centric to be able to effectively prevent, identify, and rectify abuses. This involves an iterative process of formulating and selecting appropriate measures, planning and implementing these measures, and assessing the effectiveness of these measures.

9.4.2 Type and extent of control

The organization should establish, as appropriate, the controls for external providers, in order to have confidence that the providers have arrangements in place to prevent and remedy modern slavery occurring within its operations and supply chains.

The organization should retain the option to control a supplier that presents an intolerable risk by terminating the business relationship and seeking alternate suppliers.

NOTE Intolerable can mean after extensive efforts to support a supplier, that the residual risk cannot be tolerated in relation to the organization's own values.

The type and extent of control is based on the potential modern slavery risk that the external provider and their supply chain presents.

EXAMPLE

In a clothing retail business sourcing stock from a garment manufacturer in a high modern slavery risk location and also from a separate garment manufacturer from a location with a low risk of modern slavery, the clothing retailer needs to monitor the performance of both suppliers but is likely to need to place more frequent, detailed or targeted monitoring arrangements (such as onsite audits) on the one operating with a workforce in a high modern slavery risk location. As performance status creates more confidence, risk-based adjustments from this start point can be made to satisfy the organization that all suppliers are maintaining contractually required standards.

The organization should determine which controls are to be implemented by or for an external provider. The intent of these controls is to verify that the provider is operating in accordance with local law and contractually required standards.

The organization should verify that processes provided by an external provider are within the control of the organization's anti-slavery approach in accordance with the recommendations and guidance of this British Standard.

Examples of controls include, but are not limited to:

- a) imposing "flow down" requirements within contracts with suppliers, including the requirement that these flow down to their suppliers in turn;
- b) contractual agreement that suppliers should periodically (no less than annually) provide a modern slavery self-assessment report;
- c) contractual agreement to permit onsite inspections, audits and other verification activities, including unannounced visits by either the organization or a second party under instruction and representing the organization; and
- d) evaluating performance indicators and statistics.

When traditional commercial leverage is exhausted, the organization, prior to terminating an intolerable business relationship, might consider actions to increase leverage, such as lobbying national government, engaging with industry associations, civil society organizations, or generate leverage through participation in multi-stakeholder collaborations.

9.4.3 Due diligence

COMMENTARY ON 9.4.3

See also [Annex B](#) with regard to due diligence.

Where the organization's modern slavery risk assessment has assessed a more than low modern slavery risk, as set out in the risk assessment, in relation to:

- a) specific categories of transactions, projects, procurement, outsourced services or activities;
- b) planned or on-going relationships with business associates, including but not limited to, suppliers, contractors and their subcontractors, specific categories of business associate;
- c) specific categories of worker in certain positions where there is the potential for modern slavery exposure, both within and outside the organization;
- d) countries and industry sectors where there is a known propensity for modern slavery; or
- e) the controls in place for the recruitment, employment and welfare of workers to account for possible exploitation or inconsistency between composition, demographics, nationality or workers' accommodation and the organization's operations and physical location,

the organization should assess the nature and extent of the modern slavery risk in relation to specific transactions, projects, activities, suppliers, contractors, business associates and workers falling within those categories by conducting a necessary level of due diligence of business associates and in the supply chain to obtain sufficient information to assess the modern slavery risk.

Due diligence should be updated at a defined frequency, and be fully documented, including sources, so that any potential or actual modern slavery risks can be properly taken into account and an appropriate action taken to manage that risk.

NOTE The organization might conclude, subject to assessing the risk, that it is unnecessary, unreasonable or disproportionate to undertake due diligence on certain categories of workers and business associates.

9.4.4 Remediation

9.4.4.1 General

The organization should have processes in place to remediate modern slavery. Remediation involves:

- a) remedial actions and processes aimed at identifying and stopping modern slavery which is occurring, as well as preventing such future occurrences; and
- b) processes and actions aimed at providing remedy to individuals or groups that have been harmed by an organization's activities.

9.4.4.2 Remedial actions and processes

The organization should enable victims of modern slavery to bring their problems, complaints and suggestions to the attention of the organization and seek redress. A grievance mechanism can offer multiple possible routes for workers to raise complaints. For example, workers might be able to choose between reporting to their line manager, human resources, through an external multilingual hotline, or to a nominated grievance officer. The options made available should be tailored to cultural and practical circumstances as far as possible.

The organization should establish remediation processes that take into account:

- a) agreed actions if modern slavery is found in the supply chain;
- b) remediation activity once a victim has been found;
- c) engaging with victims to understand how modern slavery entered the supply chain; and

- d) verifying that the supply chain has access to appropriate reporting mechanisms (internally or externally).

The organization should have policies and processes for effective remediation, including:

- 1) improved victim identification;
- 2) preventing exploitative practices;
- 3) protecting workers from exploitative practices through appropriate safeguards;
- 4) working with authorities and other relevant stakeholders for effective remedies;
- 5) establishing root causes and undertaking appropriate preventative actions; and
- 6) providing access to appropriate and effective remedies.

Remedial procedures should prioritize the needs and concerns of victims. These procedures should also focus on empowering workers through training to recognize and identify violations. Empowering workers not only involves training to further understand their rights but also ensures that they are actively involved in the detection and remediation of modern slavery practices. This helps to ensure that decisions are not solely made by a more powerful party (e.g. a buyer or supplier), based on what is believed to be in workers' best interest.

When incidents of modern slavery are uncovered, the organization should document the followed remediation process. The documentation should be transparent with regard to the organization's decisions and activities to remedy modern slavery incidents. Where cases of modern slavery are uncovered, the organization should openly disclose measures to remedy the wrongdoing and actions taken to prevent it from being repeated. For effective remediation procedures, the organization should work collaboratively with industry experts and supply chains to share knowledge and develop better practice.

The remediation process should:

- i) enable victims and stakeholders to determine the appropriateness of remedies;
- ii) go beyond standard corrective action plans, such as termination of relationship with suppliers, and focus instead on mechanisms to engage and support suppliers;
- iii) foster trust with suppliers to encourage suppliers to identify issues and work towards continual improvement;
- iv) adopt a bottom-up approach, utilizing on-the-ground support (e.g. collaboration with local NGOs) for workers, to support supplier development and embed best practice;
- v) focus on worker driven monitoring to drive remediation and ensure that workers have a voice and representation;
- vi) focus on worker empowerment and proactive prevention tactics, such as supporting workers in realization of their rights and enabling freedom of association and collective bargaining for workers operating throughout its supply chain;
- vii) consider collaborating with other stakeholders, including workers, to establish appropriate forms of remedy, to enable workers to access legal representation and to correct any adverse impacts resulting from its operations; and
- viii) demonstrate how allegations via whistleblowing procedures are to be addressed. This is important to encourage reporting of modern slavery incidents.

9.4.4.3 Processes and actions aimed at providing remedy

The organization should restore, as soon and as much as possible, individuals or groups that have been harmed by the organization's activities to the situation they would have been in had the impact not occurred, e.g. medical and mental health support, returning of confiscated documentation, reimbursing of recruitment fees.

To the extent this is not possible, the organization should use compensation, reparation or other forms of remedy that try to redress the harm caused, e.g. through apology, monetary compensation or punitive sanctions against a supplier or manager and correction of nonconformity.

Workers should not be required to provide evidence of harm, e.g. receipts of recruitment related fees and costs. The organization should document the reimbursement. The organization should invite relevant stakeholders for independent monitoring of calculation of monetary reimbursements, the reimbursement process itself, and the effectiveness of all used remedies in redress the harm caused.

9.4.5 Incident response and investigations

The organization should determine, plan, implement and control the processes required to establish and maintain modern slavery risk management in accordance with the recommendations and guidance in this British Standard.

Processes should be integrated into the organization's business activities to be effective and appropriately managed, including:

- a) receiving and assessing reports of wrongdoing, including how reports are to be made, received and prioritized, for completeness and relevance;
- b) addressing reports of wrongdoing in an impartial and timely manner; and
- c) acting upon and closing reports, including how recommendations are reviewed, agreed and instigated.

Processes should also include activities for action to correct the immediate issue, deal with their consequences and importantly prevent any repeat occurrence (this is how iterative systems improve). Any incident response investigations should prioritize the health and safety of affected workers, other potential victims and those conducting the investigations.

Incidents (see NOTE) should be investigated so that under-reporting, recurrence or escalation into more serious incidents can be prevented.

When a modern slavery issue is raised by a worker, the situation should be treated as an incident and investigated accordingly.

Examples of incidents and nonconformities include, but are not limited to:

- 1) incidents: fatalities, work-related near-miss events, injuries and ill health, exposures to health hazards, occupational diseases, property and equipment damage; and
- 2) nonconformities: protective equipment not functioning properly, failure to apply legal requirements, prescribed procedures not being followed, workers being denied statutory sick leave, pay irregularities failure to manage fire safety and psychosocial risk at work.

The aim of an incident investigation is to determine what happened, why it happened, and what can be done to prevent it from happening again. This means not only considering the immediate causes, but also the underlying or root causes and taking corrective actions to address these causes. When determining cause(s), the organization should focus the analysis on prevention and not on blame or punishment.

The level of investigation should be proportionate to the potential consequences of the incident and adverse impact on individuals. The incident should be reported and recorded internally and, where appropriate, reported externally to relevant authorities.

Minor incidents should be reported internally and investigated, to prevent reoccurrence or similar incidents becoming more serious. Investigating and acting upon incidents in a timely and transparent way can help build a culture of trust and cooperation between workers at different levels.

NOTE Minor incidents need not necessarily be when someone has experienced an act that would be considered sufficiently egregious to be classed as modern slavery. Minor incidents could be when mandated training has not occurred, or people have been incorrectly paid.

Where practicable, the investigation should be led by someone independent of the activities being investigated and include a worker or worker representative.

Recommendations should be communicated to all relevant persons. It is good practice to implement recommendations as quickly as possible. Top management should always review investigation reports of significant incidents and nonconformities.

9.4.6 Whistleblowing

Whistleblowing occurs when a person working on behalf of the organization raises a concern about danger, unethical conduct, or illegality that affects others, internally or externally.

The organization's modern slavery policy and processes should include a whistleblowing channel to receive and assess reports of alleged wrongdoing, address wrongdoing and close whistleblowing cases in a way that enhances trust, impartiality and protection.

This whistleblowing channel should be prepared to deal with modern slavery reports and accommodate other reports that can indicate modern slavery risks. Persons working on the organization's behalf might be fearful that raising the alarm will lead to retribution from their colleagues or employer. However, the organization should encourage those working on its behalf, in its supply chain, or for its business associates to voice their concerns over malpractice and inappropriate acts against any internal or external stakeholder through the whistleblowing channel.

A whistleblower channel helps the organization to:

- a) identify potential modern slavery risks;
- b) address concerns in an appropriate manner;
- c) create a deterrent to those who might be considering an illegal, improper, or unethical practice; and
- d) reduce problems and improve working conditions and operational effectiveness.

Effective whistleblower channels provide individuals with an alternative route other than their direct line management through which to raise concerns. Whistleblowers should receive protection for raising concerns.

NOTE For further information on whistleblowing, see also [Annex B, B.1.2](#) and *BS ISO 37002*.

9.4.7 Communicating remedial procedures

9.4.7.1 General

The organization should communicate its measures to respond to and remedy modern slavery risks to workers and supply chain partners. Communications should be suitable for the audience, taking into account diversity such as gender, language, culture, literacy and disability.

The communications need of shift workers, remote workers and part-time workers should be met, as appropriate.

9.4.7.2 Internal communication

Communication within the organization should include information relating to:

- a) top management's commitment to responding to and rectifying modern slavery risks;
- b) how workers can raise concerns and/or make suggestions;
- c) policies related to modern slavery risk management, emphasizing what it means at a practical level for workers;
- d) actions being taken to protect workers;
- e) progress in preventing modern slavery (e.g. status reports showing the progress of projects that have been completed or are underway); and
- f) incident investigation (e.g. the type of incidents that are taking place, factors that can contribute to the occurrence of incidents, the outcomes of investigations and resulting actions).

9.4.7.3 Communicating whistleblower policy

The organization should communicate to those working on its behalf, who have reasonable belief that a dangerous, unethical, or illegal conduct has occurred, their right to anonymously report the issue internally, as well as externally to appropriate authorities.

9.4.7.4 Communicating complaint procedures

Complaint procedures should be communicated to internal and external stakeholders. The procedures should be publicly available and minimize obstacles to access caused by language, educational level, or fear of reprisal, as well as taking account of the need for confidentiality and privacy.

The organization should establish and communicate internal and external complaints and remedial procedures to relevant stakeholders. The procedures should guarantee privacy and confidentiality and be tailored to the culture, language, education and technology requirements of the target audience. Procedures should be established for creating a reporting mechanism for anonymous and non-anonymous complaints and for appealing decisions.

9.4.7.5 External communication

Communication with people outside the organization can differ from internal communication. The extent of the communication should be related to the modern slavery risk faced or posed by external stakeholders, such as supply chain partners, and take into account any relevant legal requirements and other requirements, e.g. statutory incident reporting.

It is important to develop and maintain arrangements for communicating with supply chain partners. This can be done in different ways, depending on what needs to be communicated and to whom it needs to be communicated.

Contracts are often used to communicate modern slavery risk management performance requirements to supply chain partners, including the requirement to flow down these requirements to subsequent tiers of the supply chain. The organization should also use and require its suppliers use methods such as on-site induction to raise awareness to individual workers of modern slavery risk, or actions to be taken in case a modern slavery incident is suspected.

NOTE A modern slavery incident need not be an occurrence of modern slavery but could be the failure of a party to carry out the actions necessary to prevent modern slavery, e.g. if annual awareness training is mandated but is not conducted, or if contracts supposed to contain flow-down clauses do not. These incidents are not modern slavery, but they are acts or omissions which are likely to lead to an increased probability of an actual modern slavery occurrence happening.

If anything changes in relation to modern slavery risk management, the organization should communicate this to external providers as soon as possible.

For effective communication with external providers, the organization should take into account:

- a) previous modern slavery risk management performance, trends and incidents;
- b) actions to be taken and who to inform in the event a modern slavery incident occurs;
- c) the need for additional consultation and/or provision for high-risk partners;
- d) processes for incident investigation, reporting problems and taking corrective action; and
- e) arrangements for day-to-day communications.

Media, such as warning signs, poster campaigns, videos or audio messages can be effective methods of communicating to the workplace the need to be alert to the risks of modern slavery.

The organization should put in place arrangements for receiving, recording and responding to relevant communications from external stakeholders and for providing relevant information in an accessible and timely way. Appointing designated contacts can be an effective way of ensuring communication is consistent.

9.5 Performance and evaluation

9.5.1 General

Performance and evaluation help provide and improve the quality and effectiveness of modern slavery risk management design, implementation and outcomes. Ongoing monitoring and periodic review should be a part of the risk management process, with responsibilities clearly defined. Monitoring and review includes planning, compiling and analysing information, recording results and providing feedback and should take place in all stages of the process. The results should be incorporated throughout the organization's performance management, measurement and reporting activities.

9.5.2 Monitoring, measurement, analysis and evaluation

The organization should undertake monitoring, measurement, analysis and evaluation to help determine if intended results are being achieved.

The organization should establish a suite of metrics to meet the priorities set out in its modern slavery policy and strategy. Metrics are the raw data that are collected to understand performance. A pro-active performance measuring system can help the organization monitor, assess, and continually improve performance (e.g. tracking the percentage of suppliers that have been trained, the number of victims supported, and the number of incidents identified).

Measurable indicators can help the organization in measuring the achievement of its objectives and quantify the effectiveness of its approaches to address modern slavery. Indicators can be quantitative or qualitative and should help to demonstrate impacts for the organization. This process should take into account the results of the assessment of modern slavery risks to ensure that indicators relate to the relevant characteristics of the organization. The issue of what and how to measure performance can be challenging but it is a vital part of demonstrating the effectiveness of the modern slavery risk management process. Furthermore, the indicators needed can vary with the organization's maturity and the timing and extent of new and revised programs being implemented.

The organization should determine:

- a) what needs to be monitored and measured, and why;
- b) who is responsible for monitoring;

- c) the methods for monitoring, measurement, analysis and evaluation, as applicable, to provide valid results;
- d) when the monitoring and measuring should be performed;
- e) when the results from monitoring and measuring should be analysed, evaluated and reported; and
- f) to whom and how such information should be reported.

The organization should retain appropriate documented information as evidence of the methods and results.

The results of the measurement and performance evaluation should be used to help bring about continual improvement in the organization's response to modern slavery.

The processes for monitoring and measuring that are put in place should be useful, appropriate for what is being evaluated and proportionate to the level of risk involved, e.g. routinely checking that suppliers are paying their workers correctly is important, whilst checking that dividends are being paid to shareholders is not, and can be substituted by knowledge that disgruntled shareholders would quickly raise their lack of dividend payment as a complaint.

Topics that the organization should take into account when reviewing its performance could include:

- 1) status of actions from previous reviews;
- 2) changes in external and internal issues, e.g. new operating locations, new product lines, new supply chain partners, new requirements in anti-slavery legislation (see also [0.2](#) and [0.3](#)); and
- 3) information on the effectiveness of the quality of the modern slavery risk management process, including:
 - i) worker satisfaction and feedback from other relevant stakeholders;
 - ii) the extent to which objectives have been met;
 - iii) performance of external providers, including supply chain due diligence and audit results;
 - iv) nonconformities and corrective actions;
 - v) results of monitoring the organization's implementation of their modern slavery risk management process;
 - vi) audit results, including, as appropriate, the results of internal, customer, or regulatory body, and audits;
 - vii) adequacy of resources, e.g. people, financial;
 - viii) effectiveness of actions taken to address modern slavery risks; and
 - ix) opportunities for improvement.

9.5.3 Auditing

The organization should use auditing activities at planned intervals to identify and respond to modern slavery risks in its suppliers, supply chain and business associates. If the organization does not have the financial resources to conduct an in-depth audit, it should utilize the risk assessment process to identify and prioritize potential high-risk areas to investigate.

Audits should be conducted against existing knowledge of modern slavery risks and conform to the organization's modern slavery policy and strategy.

NOTE Attention is drawn to relevant legal and regulatory obligations with regard to audits.

Audits should help provide initial risk assessment to help the organization understand risk.

Auditing of suppliers should also run alongside a system that captures the workers' perspective to understand the recruitment process and working environment.

Key areas to investigate should include:

- a) worker profile, including presence of migrant workers;
- b) focus on worker recruitment processes, including use of third-party recruitment agencies and any fees paid (by supplier and/or worker);
- c) documents review: contracts of employment, work permits, visas, payment records, working hours and overtime, annual leave records;
- d) policy review: for example, human rights, modern slavery, grievance procedures, occupational health and safety, recruitment, including any provision for migrant workers;
- e) document retention, e.g. passport, bank books;
- f) review of pay and terms, including recruitment fees;
- g) review of termination of employment;
- h) inspection of worker files: copies of passport, work permit, visa;
- i) management interviews: review of policy and procedures; and
- j) worker interviews: recruitment and hiring, recruitment fees and expenses, document retention, freedom of movement, grievance procedure, wages and deductions.

In addition to interviews and observations, records are crucial to internal audit as it is often only through evidence that prior actions can be verified as having been carried out correctly, e.g. the payment of a workforce over the past 12 months is principally evident through the audit of payslips and banking records. Attendance records for training or maintenance records for fire safety equipment enables an auditor to check whether these activities are being conducted at planned frequencies.

Internal audits should be relevant to what materially affects the organization's performance at preventing modern slavery and how the modern slavery risk management process, outcomes and mitigations are achieved, e.g. audits can include reviews of incident reports, subsequent investigations, and whether planned corrective actions have been taken and are working as intended.

How an audit is carried out, how often and by whom depends on the size and complexity of the organization and its activities.

Workers should be involved in audits. They do not need to be professional auditors or have a formal auditing qualification; however, they should meet the competence requirements set out by the organization and be given appropriate guidance and training. Ideally, they should not be directly involved in the processes or activities being audited to ensure that they are carried out as objectively as possible. If the organization is small, this is not always possible and it can be acceptable for a worker to audit their own work.

Audits are more effective if the organization has a positive culture of responsible business conduct and the objectives of the audit are to identify areas for improvement rather than attribute blame. For example, the organization might have a programme for conducting second party supplier audits on its supply chain partners. In this situation, internal audit would check that this programme is being followed and that the supplier audits are being conducted effectively.

The organization should keep records of all elements of the audit, (e.g. planning schedule, scope and criteria, names of auditors, results, nonconformities and corrective actions taken or other outcomes, such as improvement plans). This can be in a format suitable to the organization,

whether this is formal audit plans and reports or in less traditional formats, such as data stored spreadsheets or emails.

10 Improvement

Effectively addressing modern slavery requires the organization to continually identify opportunities for improvement, including:

- a) continually reinforcing the organization's commitment to tackling modern slavery in its operations, supply chains and wider operating environment;
- b) regularly reviewing its policies and procedures in relation to modern slavery to accommodate any changes to the external and internal context in which they are applied;
- c) regularly incorporating lessons learned in its modern slavery risk management approach;
- d) equipping workers with the skills and competency to manage modern slavery risks in their own roles and responsibilities;
- e) engaging in dialogue with stakeholders who have expertise on modern slavery risks relevant to the organization's activities;
- f) engaging with suppliers to promote best practice in preventing, identifying and responding to modern slavery in their own operations and supply chains; and
- g) engaging with victims and workers so that modern slavery risk management processes take into account lived experiences.

Annex A (informative)

Labour provision models and associated risks

A.1 Employees/directly employed workers

Modern slavery can occur undetected in the organization's workforce without its knowledge. Victims might be legitimately employed by a business but could be exploited and controlled by someone external to the organization. For example, a worker's wages could be taken from them by offenders often through control of victims' bank accounts.

A.2 Third-party recruitment of employees

Modern slavery can also occur in third-party recruitment of employees, especially when workers are recruited from abroad or for low-skilled work. Abuses via third-party recruitment can include, e.g. debt bondage linked to repayment of illegal recruitment fees and threats if workers want to leave their employers.

A.3 Labour providers and agency workers

Agency workers are people who work on the organization's site temporarily but remain employed by a labour provider, sometimes called an employment agency. The use of labour providers increases the risk of exploitation within a workforce as it blurs oversight and accountability, especially when labour providers outsource to other labour providers.

Similarly, the following labour provision models can heighten the risk of modern slavery occurring as organizations might lack oversight of activities undertaken and the treatment of workers in the supply chain:

- a) outsourcing;
When the organization hires another organization to perform services that would traditionally have been performed in-house by directly employed staff.
- b) subcontracting;
When the organization hires an outside firm or person to do work as part of a larger project.
- c) offshoring; and
When the organization moves its operations or part of its operations to another country to benefit from, e.g. lower labour costs, fewer regulations or a more specialized labour force.
- d) franchising;
When the organization operates a business using the name and trademark of another larger organization under a legal agreement. The managing organization pays fees to the organization whose brand is used. While franchising is a management model, it also poses risks of modern slavery in terms of how labour is provided. A franchise agreement details the level of control the franchisor has over certain activities and decisions; however, that agreement does not typically provide the franchisor with the right to ensure the franchisee's operations conform to a relevant or agreed standard in relation to labour supply and the supply of goods.

It is therefore important for the franchisor to ensure that franchising as a management model is only used to provide services in activities and markets where there is a low risk of modern

slavery and that the franchise agreements allow the franchisor to assess the risk, audit the controls being operated by the franchisee and to terminate the agreement when there is no meaningful engagement to effectively address modern slavery.

Annex B (informative)

Due diligence

B.1 Due diligence

B.1.1 General

Due diligence plays an important role in the risk management process to identify, prevent, mitigate and account for how adverse impacts are addressed. The purpose of conducting due diligence on certain transactions, projects, activities, business associates, or the organization's workers is to further evaluate the scope, scale, and nature of the more than low modern slavery risks as identified in the organization's risk assessment (see [9.3](#)).

Due diligence can inform the organization's decision on whether to proceed, discontinue, or revise the proposed or ongoing relationships with business associates or workers. Effective due diligence is conducted based on searches from public sources (e.g. internet searches) but can also come from and be compared with information from the business associate. The core purpose of due diligence is to identify and address modern slavery risk especially in the supply chain. Significant research is required where the supply chain has many tiers. An example of multi-level tiers might be from minerals extracted from a mine, (the miners) through to the brokers (agents), manufacturers (labour risks) and sellers (distributors or franchisees) of the finished product or part procured by the organization.

Conventions such as the *UN Universal Declaration on Human Rights* [[20](#)], *OECD Due Diligence guidance for responsible business conduct* [[21](#)], *ILO conventions*, and the *UN Sustainable Development Goals* [[22](#)], increasingly drive organizations to conduct and evidence substantive due diligence on their business associates both upstream (sales/distribution) and downstream (supply chains).

In relation to projects, transactions and activities, factors that the organization might find useful to evaluate in a due diligence approach include:

- a) organizational structure;
- b) business model;
- c) location; and
- d) countries of operation and complexity of the individual elements of the business associates in the supply chain.

Other factors to take into account include:

- 1) the organization's modern slavery policies and processes;
- 2) financing and payment arrangements, especially the organization's workers;
- 3) scope of the organization's engagement with the organization and available resources;
- 4) level of internal controls and visibility the business associate has over its organization and the management of its workers;

- 5) public body participation;
- 6) competence and qualifications of the parties involved;
- 7) reputation of business associates in the supply chain, drawn from media and public sources; and
- 8) pending, impending, past regulatory breaches or criminal convictions related to modern slavery.

In conducting the due diligence it is essential to record the findings and sources of the information and to enable some form of oversight in major transactions or projects to ensure that the process has been robust, diligently recorded and decisions made within the framework of the organization's decision-making and authorization processes. A decision to proceed or otherwise with a business associate should be recorded too, along with any risk mitigation.

Factors which the organization might find useful to evaluate in developing a modern slavery due diligence process of a business associate(s) could include:

- i) confirmation of the legitimacy of the business associate entity, as demonstrated by corporate registration documents, annual filed accounts, tax identification number, listing on a stock exchange;
- ii) whether the business associate has the qualifications, experience and resources needed to conduct the business for which it is being contracted;
- iii) reviewing the business associates modern slavery policy, ensuring it is communicated and implemented to its own stakeholders;
- iv) whether the business associate has a reputation for exploitation of its workers, bribery, fraud, dishonesty or similar unethical conduct or has been investigated, convicted, sanctioned or debarred for malpractices or criminal conduct;
- v) the identity of the shareholders (including the ultimate beneficial owner(s) and top management of the business associate, and whether they as individuals have:
 - a reputation for unethical conduct;
 - been investigated, convicted, sanctioned or debarred for modern slavery bribery or similar criminal conduct;
 - any reported connections to organized crime gangs; and
 - any direct or indirect links to the to a relevant public official [politically exposed person (PEP)];
- vi) the nature, type and extent of due diligence undertaken will depend on factors such as the ability of the organization to obtain sufficient information, the cost of obtaining information, and the extent of the possible modern slavery risk posed by the relationship;
- vii) the due diligence procedures implemented by the organization on its business associates should be consistent across similar modern slavery risk levels, e.g high risk business associates in locations or markets where there is a high risk of modern slavery are likely to require a significantly higher level of due diligence than where there is a lower level of modern slavery;
- viii) different types of business associates are likely to require different levels of due diligence, e.g.:
 - from the perspective of the organization's reputation, legal and financial liability, business associates pose a higher risk to the organization when they are providing products or services to the organization as an element in the supply chain; and
 - the level of influence which the organization has over its business associates also affects the organization's ability to obtain information directly from those business associates as part of its due diligence. It might be relatively easy for the organization to require its tier

one suppliers and joint venture partners to provide extensive information about themselves as part of a due diligence exercise, as the organization has a degree of choice over with whom it contracts in this situation. However, it might be more difficult for the organization to require a business associate to provide information about themselves or to fill in due diligence questionnaires further down the tiers of a supply chain as the organization is unlikely to be able to exercise sufficient influence over those lower tiers, if indeed it has even identified them.

Due diligence is not a perfect tool. The absence of negative information does not necessarily mean that the business associate does not pose a modern slavery risk. However, the results need to be carefully assessed, recorded and a rational judgement made by the organization based on the facts available to it. The overall intent is that the organization makes reasonable and proportionate enquiries about the business associate, taking into account the activities that the business associate would undertake/be a part of, e.g. in the supply chain and the modern slavery risk inherent in these activities, and within the elements /tiers of the supply chain.

B.1.2 Whistleblowing

Relevant whistleblowing reports can also come from workers in second- or third-tier partners in the supply chain. Hence, workers at those suppliers need to be able to access the organization's whistleblowing channel.

NOTE See also [2.4.6](#) and BS ISO 37002.

B.1.3 Spotting and supporting potential victims of modern slavery

There are a number of indicators of modern slavery. Indicators alone don't necessarily mean modern slavery is taking place, nor do all indicators have to be present in a particular case. Reporting any suspicions is integral to helping victims, including:

- a) physical appearance:
 - 1) workers might look unkempt, malnourished, dirty, frightened, withdrawn or confused;
 - 2) there might be signs of physical abuse, such as scars, bruises, scratches or even untreated injuries; and
 - 3) workers might be subjected to threats of violence against them or their family members;
- b) few or no possessions:
 - 1) workers might have little or no money, food or suitable clothing; and
 - 2) they might have false identity documents.
- c) isolation and control:
 - 1) workers might rarely be left alone and may be under the control of someone else who is always speaking on their behalf;
 - 2) workers might be driven to and from work by the controlling person;
 - 3) workers might have limited contact with their family or friends; and
 - 4) workers might have limited social interaction at their workplace or at their accommodation.
- d) reluctance to seek help:
 - 1) workers might avoid eye contact or seem frightened. They might refuse help when it is offered; and
 - 2) workers might be distrustful of the authorities or afraid of revealing their immigration status.

- e) restricted freedom of movement:
 - 1) workers might have their movements controlled by someone else;
NOTE This is particularly relevant if they are living on-site or in provided accommodation.
 - 2) workers might not be able to leave their work premises or even their job; and
 - 3) workers might have their documents, identification and other valuables held by someone else.
- f) unusual travel times:
 - 1) workers might travel at unusual times or always work late; and
 - 2) workers might travel to and from work with a group of other workers.
- g) poor working conditions:
 - 1) workers might not have a contract and might be unable to decide when and where they work;
 - 2) workers might work excessively long hours without days off and with inadequate pay;
 - 3) workers might not have access to their earnings or have their bank cards/documents held by someone else;
 - 4) workers might be working without the required protective equipment or clothing and might not have had basic training for their position; and
 - 5) workers might live with other workers even if they don't appear to be friends.
- h) poor accommodation:
 - 1) workers might not know their home address and might have had no choice in where they live; and
 - 2) worker accommodation might be substandard, degrading or unsuitable for habitation.

B.1.4 Guidelines for supporting victims

Victims might be reluctant to tell their story and could feel fear or shame and worry they won't be believed. They might not recognize they are in fact a victim and might not know the rights they are entitled to. They might be suffering from stress and mental health problems due to their circumstances.

When speaking with a potential victim, their safety and welfare should be the primary concern. A victim-centred approach is recommended to support them and their wishes, including:

- a) if it is a victim who is disclosing the incident, listen carefully and nonjudgmentally. Assure them they are being taken seriously. Do not push them to share more than they are comfortable with;
- b) provide reassurance and look after the welfare of the victim (e.g. offer food and water) and try to build rapport and trust;
- c) protect the identity of the victim as well as the identity of the person reporting the incident, if they are not the same person. Keep the victim separate from potential suspects. The aim is to minimize further harm;
- d) try to create a safe environment where the victim feels comfortable sharing details;
- e) do not promise complete confidentiality. Explain that the incident has to be reported to a manager or someone else who can help with the individual's protection;
- f) if the victim or witness is in immediate danger, call the police immediately and ensure the individual(s) is in a safe place until the police arrive;

- g) if an interpreter is required, use a professional service. Asking a friend or colleague of the victim is strongly discouraged;
- h) honour the wishes of the victim (e.g. if they want to leave with the potential suspect or do not wish their name to be used when reporting to the police). However, a report should be made (see tip about confidentiality); and
- i) it is not your job to investigate. Take down what details you can, but do not try to take a formal statement. Report the incident to the authorities who can investigate further.

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