

Eliminating modern slavery toolkit

Tool 4: Supplier self-assessment questionnaire template (comprehensive version)

How to use this tool

This tool can be used by procurement officers to assess their supply chains for risk factors which may indicate likelihood of modern slavery directly by the supplier or in their own supply chains.

This questionnaire is a comprehensive version which can be contracted or adjusted proportionate to the level of risk of the procurement and as appropriate to prevent barriers to participation for small and medium enterprises (SMEs), social enterprises or Aboriginal or Torres Strait Islander businesses.

Further questions can be applied for higher risk contracts, or simplified to reduce any barriers for SMEs, social enterprises or Aboriginal or Torres Strait Islander businesses, or responses captured using other means such as verbal discussions with the potential supplier.

Acknowledgement

In developing this template questionnaire, the following resources were used as a reference:

- [Business and investor toolkit](#) by the Walk Free Foundation
 - [Example: Supplier self-assessment questionnaire.](#)
- The Australian Government's response to modern slavery – [Procurement Toolkit](#)
 - Example: Supplier questionnaire – Identifying modern slavery risks by the Australian Government.
- Examples of supplier risk assessment questionnaires sourced from Queensland Government reporting entities, Queensland Rail, Stanwell Corporation and Urban Utilities.

Questionnaire template

Introduction

Queensland Government response to modern slavery supply chain risks

The Queensland Government is committed to eliminating one of the greatest challenges to human rights, modern slavery.

The [Queensland Procurement Policy](#) requires agencies to use best endeavours to do business with ethically, environmentally and socially responsible suppliers. Initiatives place expectations on suppliers through the Supplier Code of Conduct, Best Practice Principles, Ethical Supplier Mandate and Ethical Supplier Threshold with government buyers requiring a commitment to ethical behaviours from its suppliers.

Working together to identify and understand the risks of modern slavery, including in operations and supply chains, is an important step toward eliminating modern slavery in government supply chains and influencing ethical related practices.

What is modern slavery?

Modern slavery describes situations where offenders use coercion, threats or deception to exploit victims and undermine their freedom. It can include human trafficking, slavery, servitude, forced labour, debt bondage, forced marriage and the worst forms of child labour.



Modern slavery does not include practices such as substandard working conditions or underpayment of workers. However, these practices are also illegal and harmful and may be present in some situations of modern slavery. These practices may also escalate into modern slavery if not addressed.

Modern slavery law

The introduction of the *Modern Slavery Act 2018* (the Act) (Cth), requires Australian government entities and businesses to do more to address risks of modern slavery. The Act requires organisations based or operating in Australia, with an annual consolidated revenue of \$100 million or more, to submit annual statements which explain what they are doing to assess and address risks of modern slavery in their operations and supply chains. This includes some Queensland Government agencies, such as government-owned corporations, large statutory bodies or commercial business units within government departments.

The Act is designed to raise awareness of modern slavery risks, improve transparency across national and global supply chains, facilitate an open dialogue between buyers and suppliers to mitigate risks when they are identified and improve ethical business practices over time.

Why am I receiving the questionnaire?

Addressing modern slavery risks is not only good corporate social responsibility, it will also improve the integrity and quality of your business operations and supply chains. By completing the questionnaire, you are supporting the identification of modern slavery risks to improve policies and operational practices within yours and government supply chains.

Instructions

Please provide as full and complete responses as possible. There are no wrong answers and you are encouraged to share your completed questionnaire with other companies or government agencies that make similar requests as part of due diligence processes.

In responding to these questions, please ensure that you comply with your obligations under the *Privacy Act 1988* (Cth) in relation to the collection and use of information provided.

The results of this Questionnaire are confidential and for use of the procuring government agency only. They will not be shared beyond the procuring agency, without supplier consent or where such disclosure is required by law.

NOTE:

This Questionnaire should be used as a tool to facilitate collaborative two-way engagement between government agencies and suppliers. Through effective use, the Questionnaire can assist agencies in learning more about their suppliers operations and their strengths and weaknesses when it comes to addressing modern slavery risks. The Questionnaire can be integrated into the tender process itself as a criteria during the contract application process.

Part A: Your company/organisation/business details

Organisation name:			
Organisation number (ABN/ACN or foreign equivalent)			
Organisation address (headquarters)			
Parent company			
Contracting entity details and locations			
Contracting entity name:			
Description of goods, materials and/or services provided:			
Address of facility, site or operation location:			
Details of representative to contact for further information			
Name:			
Position in organisation:			
Email address:			
Phone number:			
Worker information¹	Female	Male	Total
Total number of workers			
Total number of permanent workers			
Total number of seasonal or contract workers or other-wise in non-permanent employment			
Total number of workers provided through agencies, labour hire companies or brokers			
Additional documentation			
Is your organisation subject to the <i>Modern Slavery Act 2018</i> (Cth) or equivalent State / Territory or international legislation?	Yes/No		
If YES, have you submitted a Modern Slavery Statement or equivalent for the relevant reporting period under that legislation?			
Auditing history			
Provide the date and details of any responsible sourcing audits or certifications (including social, ethical or environmental) conducted, and locations they relate to.	<p>Please provide details of the audit, including:</p> <ul style="list-style-type: none"> • whether it was an independent or internal audit • the date of each audit • locations the audit related to <p>If you require more space, please attach as separate document.</p>		

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

Certification schemes	
Provide the details of any responsible sourcing third-party certification schemes including SMETA, ETI or other ISO standard or other relevant inspections, including the dates of certifications.	Please provide details and the date of certification schemes. If you require more space, please attach as separate document.

Part B: Modern slavery risk factor self-assessment

General modern slavery response	Yes	No	Please describe
1. Does your organisation have policies and processes to identify, investigate and remedy the risk and any instances of modern slavery within your organisation? (e.g. Supplier Code of Conduct, Human Rights Policy, Whistleblowing Policy, Complaints Management System)			If yes, please provide details of, or copies of the policies and compliance processes.
2. Does your organisation have a person or team responsible for overseeing modern slavery risks that arise in relation to the goods/services that you deliver?			If yes, please describe the role and responsibility of that person/team.
3. Do you provide training to your employees on modern slavery risk?			
Supply chain management			
4. Does your organisation perform screening or due diligence checks of prospective suppliers to assess the risks of modern slavery or other human rights harms that may occur in its operations and supply chains?			If yes, please describe how your organisation performs this screening. If no, does your organisation plan to introduce measures to screen prospective suppliers for modern slavery risks in future?
5. Does your organisation require your suppliers to conduct due diligence for modern slavery risks on their suppliers?			
6. Does your organisation or major suppliers operate or have operations in any countries identified as high risk for Modern Slavery, including: Bangladesh, China, Democratic Republic of Congo, Ethiopia, India,			If yes, please list which countries.

Supply chain management			
Myanmar, Nigeria, Pakistan, Russia, Thailand?			
7. Does your organisation produce or provide goods/services that are known to have a high Modern Slavery risk factor? For instance: agriculture; construction; electronics and electrical products; extractives/mining and basic metal production; fishing and aquaculture; forestry; healthcare; hospitality; housekeeping/facilities operations, textile and apparel manufacturing; transportation and warehousing security; security; cleaning; traffic control.			If yes, please describe what goods or services your organisation produces or provides.
8. Have you had any instances of known or suspected Modern Slavery in your supply chain, or claims or adverse media attention in relation to human rights practices within your supply chain?			If yes, please describe what action your organisation takes.
8. Do you have any additional controls or other due diligence activities to respond to modern slavery in your supply chain?			
Employment conditions and workplace environment			
8. Are workers required to lodge any 'security deposits' (this could include financial or personal property) or pay any recruitment fees?			If yes, please describe the circumstances for the payments.
9. Are any original identity related documents of workers (e.g. passports, birth certificates, national identity cards) retained?			If yes, please explain why.
10. Does your organisation deduct wages, impose monetary fines, and/or withhold pay or pay entitlements of workers?			If yes, please explain why.

Employment conditions and workplace environment			
11. Are workers paid their legal pay entitlements (including superannuation), on time and provided with pay slips clearly showing how wages have been calculated and details of any tax or other deductions?			If not, please explain why not.
12. Are all workers provided with a written contract in a language they understand, where terms of employment including wage rates and hours of work are clear?			If not, please explain why not.
13. Where accommodation is provided to workers (for example, dormitories, hostels or other forms of shared accommodation), are regular checks conducted to ensure that the living conditions are adequate and meet legal requirements (for example, fire safety, space, temperature, lighting, sanitary facilities, privacy, ventilation)?			If not, please explain why not.
14. Where accommodation is provided, are workers free to leave at will?			If not, why not?
15. Are workers free to lawfully resign their employment without restriction or penalty?			If not, why not?
16. Do workers have a complaints mechanism to anonymously raise concerns related to labour conditions or workplace grievances and access appropriate remedy?			If yes, please explain how you monitor and remedy concerns.