

# TOOL 6:

## SELF-ASSESSMENT QUESTIONNAIRE

This self-assessment questionnaire can be used by companies to assess suppliers' policies and practices on slavery and human trafficking. This template can be used to gather information on existing suppliers, or form a part of tender process when engaging new suppliers.<sup>73</sup>



### California Transparency in Supply Chains Act (S.B. 657)

Effective January 1, 2012, the California Transparency in Supply Chains Act requires retailers and manufacturers doing business in California with over \$100 Million in worldwide gross receipts to publicly disclose their efforts to eradicate slavery and human trafficking from their supply chains. To assist Safeway in addressing this new law, each Safeway supplier must respond to the survey below. Please contact: [Supplier.Survey@Safeway.com](mailto:Supplier.Survey@Safeway.com)

I / We certify that all materials incorporated into products supplied to Safeway comply with the laws regarding slavery and human trafficking of the country or countries in which the Supplier is doing business.

- Yes
- No

Questions marked with an asterisk (\*) are mandatory.

- \*Company Name: \_\_\_\_\_
- \*Safeway Vendor Number: \_\_\_\_\_
- Vendor DUNS Number: \_\_\_\_\_
- \*Your Name: \_\_\_\_\_
- \*Your Title: \_\_\_\_\_
- \*Phone Number: \_\_\_\_\_
- \*Email Address: \_\_\_\_\_

#### QUESTION 1

Do you currently have a program to assure that human trafficking and slavery do not exist in your operations and supply chain?

- Yes
- No

If yes, please describe your program (500 characters):

\_\_\_\_\_

\_\_\_\_\_

Questions 2 through 6 inquire into five specific activities intended to help identify and mitigate the risk of slavery and human trafficking in the supply chain. Please answer, and describe your efforts to address, each question.

#### QUESTION 2

Do you currently work with a 3rd party to identify the overall risks of slavery and human trafficking in your supply chain? This may include mapping your actual supply chain and looking into what countries you source from and what products or services you buy and the risks related with sourcing from those countries or sourcing a specific product.

- Yes
- No

Please explain : \_\_\_\_\_

\_\_\_\_\_

#### QUESTION 3

Do you currently conduct independent, unannounced audits of your operations and suppliers?

- Yes
- No

Please explain (including description of audit frequency and selection process (e.g. are audits random? Risk based? If risk based, how is high risk identified)? \_\_\_\_\_

\_\_\_\_\_

A. Does your auditing program include auditing personnel recruitment sources, including overseas labor brokers or overseas employment agencies providing imported labor?

- Yes
- No

Please explain : \_\_\_\_\_

\_\_\_\_\_

B. Are your audits based on company standards for suppliers that include clauses on slavery and human trafficking?

- Yes
- No

Please explain : \_\_\_\_\_

\_\_\_\_\_

C. Have you enunciated consequences for supplier non-compliance with said standards?

- Yes
- No

Please explain : \_\_\_\_\_

\_\_\_\_\_

D. In the event that non-compliance by your suppliers is discovered, do you have a program to remediate such infractions?

- Yes
- No

Please explain : \_\_\_\_\_

\_\_\_\_\_

#### QUESTION 4

Do you require your direct suppliers to certify that all materials incorporated into your final product were sourced, processed and manufactured in compliance with the human trafficking and slavery laws of the country or countries in which they operate?

- Yes
- No

Please explain : \_\_\_\_\_

\_\_\_\_\_

#### QUESTION 5

Do you have company standards on human trafficking and slavery for your employees and contractors?

- Yes
- No

Please provide information on your standards and relevant sections: \_\_\_\_\_

\_\_\_\_\_

A. Do you have internal accountability standards and procedures in place to hold your employees and contractors accountable for non-compliance with your standards on slavery and human trafficking?

- Yes
- No

Please explain : \_\_\_\_\_

\_\_\_\_\_

B. Have you established consequences for non-compliance of employees and contractors with said standards?

- Yes
- No

Please explain : \_\_\_\_\_

\_\_\_\_\_

C. In the event that non-compliance by your employees/contractors is discovered, do you have a program to remediate such infractions?

- Yes
- No

Please explain : \_\_\_\_\_

\_\_\_\_\_

#### QUESTION 6

Have your management employees, particularly those in charge of supply chain management, been trained to understand what slavery and human trafficking are and how to mitigate the risk of them in their respective supply chains?

- Yes
- No

Please explain : \_\_\_\_\_

\_\_\_\_\_