Preparing a Slavery and Human Trafficking Statement: Guidance for Higher Education and the wider Public Sector

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About this Guidance

This Guidance is aimed at higher education providers and the wider public sector, and is part of the Business, Human Rights and the Environment Research Group (BHRE) work to support efforts towards more responsible social procurement and encourage institutions to respect, protect and promote human rights through their purchasing decisions. It supports public sector organisations to develop human rights due diligence in their supply chain and report on what they are doing in their Slavery and Human Trafficking Statement (the Statement). However, this Guidance does not intend to provide a template or a “do this and you will be done with the Statement” guide. Statements should present the efforts, policies and processes undertaken by your institution, reflecting your journey towards fulfilling the responsibilities of the public sector towards those who provide the products and services we procure. The Statement is just one of the elements of this process, one that should be completed with care, attention, and honesty.

Whether your organisation is legally obliged to publish a Statement or not, it is obvious that the responsibility to address modern slavery and human rights abuses in supply chains is now expanding to the public sector. We are conscious that it is not easy to live up to these expectations and responsibilities, which go beyond publishing a Statement. This is why we have prepared this Guidance, which is based on our research and interactions with public buyers. We have kept it short and user-friendly, trying not to overload the reader and providing a quick ‘Dos and Don’ts’ list in the Annex.¹

¹ For detailed analysis of past statements from Universities and Local Authorities see BHRE Research Reports listed in Further Resources.
About the Transparency in Supply Chains provision

The sad reality of global supply chains is that the risk of modern slavery and labour rights violations is present in all of them, including in those of the products and services procured by the public sector. The UK has increased its efforts to combat these violations through the Modern Slavery Act (MSA, 2015). The Act contains the important Transparency in Supply Chains provision (MSA TISC, s.54), which requires commercial entities to report on their actions to identify, prevent and mitigate modern slavery in their supply chains through an annual Slavery and Human Trafficking Statement (the Statement). In 2015, the Government published a guide for all commercial organisations on how to complete the Statement (the Government guide). It was updated in 2017, and supplementary information was published in 2021.

The legislation defines ‘commercial entities’ as suppliers of goods or services with a total annual turnover of £36 million or more, which includes certain public bodies who are subject to the UK Public Contracts Regulations (2015), such as universities and other higher education providers. Despite not being caught by s.54, other public buyers, such as purchasing consortia and a significant number of local authorities, have voluntarily chosen to report on their actions. In 2019, the Procurement Policy Note 05/19: Tackling Modern Slavery in Government Supply Chains Government reiterated the Government’s commitment to tackling modern slavery and demanded Departments take action to ensure risks are identified and managed effectively in government supply chains, including by following a Modern Slavery Procurement Guidance. The Government published its first Statement in March 2020; in September of the same year, it committed to extend the remit of the Act to cover all public bodies meeting the same threshold, and, in March 2021, it launched an online modern slavery statement registry, in an effort to increase transparency and accessibility. While organisations can now choose whether or not to share their Statement on the platform, this will become a mandatory requirement in the future, and we therefore recommend you start doing it now.
What should a slavery and human trafficking Statement contain?

Section 54 contains mandatory requirements concerning the formal elements of the Statement, and a series of suggestions regarding its content.

**Mandatory (Formal) Requirements**

The MSA makes it mandatory for entities to **publish** their Statements on their website via a link located on a prominent place on their homepage or in a relevant and obvious dropdown menu. Several organisations have chosen to publish it in dedicated social responsibility sections or at the bottom of their website. The exact location does not matter, as long as the Statements are easily and permanently accessible. Statements must be **approved** at the highest level of governance of an organisation and **signed** by its most senior member. They must be **produced annually** and published up to six months after the end of an organisation’s financial year.

Here are some Dos and Don’ts regarding the mandatory, formal requirements you may want to consider when preparing your Statement:

<table>
<thead>
<tr>
<th><strong>DO</strong></th>
<th><strong>DON’T</strong></th>
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</thead>
<tbody>
<tr>
<td>Report annually and publish your statement on time.</td>
<td>Publish your Statement later than six months after the end of your financial year.</td>
</tr>
<tr>
<td>Keep your old Statements online. This allows for progress to be monitored.</td>
<td>Delete old Statements.</td>
</tr>
<tr>
<td>Publish the Statement on your website and include a link in a prominent place on the homepage.</td>
<td>Publish the Statement in an obscure place that is not easy to locate.</td>
</tr>
<tr>
<td>Ensure the Statement is approved at the highest level of governance and signed by a senior member of the organisation, providing their role and name.</td>
<td>Simply state it has been approved and signed, or simply sign it without including explicit approval.</td>
</tr>
<tr>
<td>Include a date of signature.</td>
<td>Simply state it has been approved and signed.</td>
</tr>
</tbody>
</table>
**Substantive Content**

Section 54 is less prescriptive on the substantive content of the Statement, and provides a non-exhaustive list of what may be covered. This includes:

1) Organisation’s structure, business and supply chains;
2) Policies in relation to modern slavery and human trafficking;
3) Risk assessment and management;
4) Due diligence processes;
5) Training on modern slavery and human trafficking;
6) Goals and Key Performance Indicators (KPIs) to measure the effectiveness of the organisation’s actions and progress over time.

These elements are not currently mandatory but, as a result of stakeholder consultation, the Government has committed to changing this in the future. The following sections provide guidance on how to reflect them in your Statement.

While there is no prescribed length for the Statement, its content needs to be clear and provide sufficient detail so the reader can understand what the organisation does, whether it is prepared to tackle the risks of modern slavery, and how it avoids contributing to violations in its supply chains. Overwhelming the reader with unrelated content, too much detail, technical or legal terms or excessive figures may hinder readability and accessibility and is not in line with the spirit of the reporting exercise.

Most importantly, organisations should avoid declaring that their supply chains are ‘slavery free’, as this is not only not expected of them, but also unrealistic. Eradicating human and labour rights abuses, including modern slavery, can only be achieved through long-term action and extensive cooperation between a wide range of stakeholders, which includes public buyers, suppliers, governments, workers and their legitimate representatives. Public buyers can contribute to this process by using their leverage over their supply chains, and initiating or contributing to a process where specific risks are identified and addressed, and where violations are remedied.
WHAT IS LEVERAGE?

Leverage over suppliers refers to the buyer’s power and ability to influence its supplier’s actions and activities during the business relationship between them.

Reproduced from OSCE, Combatting Trafficking in Human Beings and Labour Exploitation in Supply Chains. Guidance for OSCE Procurement (2021), written by Olga Martín-Ortega and Don Bowman (p.31).

Organisation’s structure, business and supply chains

The aim of reporting on your organisation’s structure and business activities is to provide the general public with an overview of what you do, what your core business is, and who is responsible for what in your organisation. At the same time, good knowledge and understanding of your supply chain is crucial to ensure effective reporting on modern slavery risks within the sector, business model and specific activity of your organisation. This includes awareness of how the organisation is structured in terms of suppliers, contractors and subcontractors, as well as the origin of the products, materials and services which you use in your business activities. While focus is often limited to direct suppliers and the activities taking place in the UK, your supply chains include the whole range of suppliers involved in both providing and producing the goods and services you procure. Additionally, they include the activities you may develop abroad, such as the teaching and research in overseas campuses for the Higher Education sector, and generally all the business partnerships in other countries.

Mapping your supply chains and reporting on its structure are two different things. The former is a long and difficult process, necessary for identifying the potential risks to the workers which produce the goods and provide the services you procure. Knowing your supply chain beyond your direct supplier will also help prevent future reputational damages, and even legal challenges, if any of the companies you are connected to are discovered to be involved in human rights abuses. Identifying the ‘weakest links’ in terms of human rights in your chain will therefore help you plan and prioritise the actions necessary to address such risks.

Start putting systems in place to map your supply chains as soon as possible, and start reporting on your progress year on year. But remember, supply chains are not static, and suppliers change their own suppliers all the time, which entails a
change in risks to your organisation. Therefore, keep mapping processes as
dynamic as possible, and review your analysis on an ongoing basis.

Even if the information you gather is complex or technical, ensure you include in
your Statement relevant details on the improvements made, while at the same
time avoiding non-essential information which may make the Statement less
accessible.

Here are some tips on how to report on this criterion:

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<thead>
<tr>
<th><strong>DO</strong></th>
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</thead>
<tbody>
<tr>
<td>Provide relevant information that allows the reader to understand the structure of your business and supply chains.</td>
<td>Simply state that your supply chain is complex, or only list the categories of products that you procure.</td>
</tr>
<tr>
<td>Show insight into your existing business relationships, including overseas partnerships.</td>
<td>Simply state that you have multiple business relationships.</td>
</tr>
<tr>
<td>Demonstrate your efforts to gather information and understanding of the origin of the products, materials and services you procure.</td>
<td>Simply state that you procure from the UK. UK origin does not guarantee abuse-free conditions.</td>
</tr>
<tr>
<td>Detail how you intend to increase your knowledge and understanding of your supply chains.</td>
<td>Treat your supply chains as static and unchanged over the years.</td>
</tr>
<tr>
<td>Keep this section concise and clear.</td>
<td>Overwhelm the reader with excessive detail and technical and legal language.</td>
</tr>
</tbody>
</table>

**Policies in relation to modern slavery and human trafficking**

Section 54 of the MSA suggests that companies may report on “b) [...] policies in relation to slavery and human trafficking.”.

While a specific policy on modern slavery in supply chains is not expressly required, this may be nevertheless needed. In fact, this is a relatively new consideration for public buyers, and, as a consequence, existing policies may not be relevant or specific enough to ensure human rights due diligence is effectively addressed by your institution.
DEVELOPING A MODERN SLAVERY POLICY VS. REVIEWING EXISTING ONES

Organisations do not need to have a standalone policy in place to address modern slavery risks in their supply chains. Instead, you can explain how current policies and practices, such as those on sustainable procurement, are relevant, either through their existing state or after having undergone modification.

Strategies and procedures to address human rights and modern slavery risks in supply chains, however, are not the same as the ones to achieve other social or environmental goals, so developing a tailored policy is worth considering. Doing so will provide an opportunity for your organisation to reflect on what are the risks most relevant to you, what is needed to address them, how this can be done and who is responsible for these commitments.

If creating a standalone modern slavery policy, clearly set out the obligations on staff, suppliers, business partners and agents, as well as procedures to be followed. Try to involve as many stakeholders as possible in its development and seek help when you need it. Make sure your policy is not a lip-service document or a collection of empty statements not backed by policies or evidence, e.g. a zero-tolerance approach which does not in fact acknowledge that modern slavery risks are present in every supply chain.

The publication of the Statement is not a social responsibility showcase exercise. Rather, it should be a meaningful reflection of a substantive commitment to identify and address human rights abuses in your supply chains, backed by a robust policy. Therefore, avoid showcasing a range of policies which are unrelated to modern slavery, and which do not contain references on how to manage human rights risks. Instead, mention policies which demonstrate that addressing modern slavery is a priority in your organisation. For example, modern slavery related objectives should be integrated into the way your organisation procures its goods and services and does business, i.e. in its procurement and contracting policy and strategy.

Likewise, mentioning “a zero-tolerance approach to modern slavery” does not demonstrate a proper understanding of the risks in your supply chains and the need for a robust response to address them, unless it is backed by appropriate policies and procedures. Lastly, if preliminary work is underway to develop dedicated policies or review existing ones, it is important that this is reflected in your Statement. However, reference should be specific, rather than only expressing a vague and general intention.
If your institution does not have a modern slavery policy, and has not yet planned to develop it or modify existing ones to reflect these new responsibilities, start now!

Clarity over who is responsible for the implementation of the policy or policy objectives is paramount. **This is not only the responsibility of your procurement team; it should be an overall goal of your institution.** Specifically, implementation should involve senior management, and the compliance, finance and procurement teams, who should also be involved in the drafting of the policy. Other members of staff and the end users of the public service you provide, such residents in local authorities, or academics who may be experts in the field and students in the Higher Education sector, should also have their say.

For policies to have the desired impact, they must be supported through effective communications and, where appropriate, training, resourcing and collaborative effort by appropriately skilled personnel. **Clear policy circulation** is essential in any organisation, but especially with regards to an issue such as modern slavery, which has only recently become a public policy priority. At a minimum, your compliance, finance and procurement staff need to be familiar with the policy, its implementation responsibilities and reporting obligations. To become embedded as standard practice, however, all staff needs to be aware of your responsibilities and commitments regarding your supply chains, as well as being incentivised to help addressing the challenges which the institution faces as a whole.

Here are some tips to report on your policies and implementation efforts:

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<tr>
<th><strong>DO</strong></th>
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<tbody>
<tr>
<td>Explain which existing policies are relevant to address modern slavery in your supply chains, and if you have amended them to ensure they are effective.</td>
<td>List or reproduce all your organisational policies, including those that have no relation to modern slavery.</td>
</tr>
<tr>
<td>Specify who is responsible for the policy’s implementation and monitoring, and for reporting on it.</td>
<td>Refer to general responsibilities of your organisation without specifying who is in charge of what.</td>
</tr>
<tr>
<td>Demonstrate your efforts to ensure staff and stakeholders have participated in the developing of the policy.</td>
<td>Simply state the policy has been developed in consultation without other actors, without specifying who this involved.</td>
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</table>
Due diligence processes, risk assessment and management

Reporting on human rights due diligence is not easy, and it is something public buyers have been only recently asked to do. Therefore, there is limited practice to learn from in the public sector. This section considers the main elements your institution needs to be thinking about and reflecting in its Statement regarding how to undertake, assess, monitor and report on its due diligence.

Whilst due diligence in relation to modern slavery is likely to form part of a wider framework around ethical trade, corporate social responsibility and human rights, it also entails addressing specific challenges and ensuring specific processes are in place.

WHAT IS HUMAN RIGHTS DUE DILIGENCE?

Due diligence is the process of identifying human rights risks in an organisation’s supply chains, preventing them from occurring or mitigating those risks and reducing their impact. It includes planning remedial or corrective action.

Human rights due diligence is not about the risk to the organisation, it is about the risk to the people involved in providing services and producing goods in supply chains.

Due diligence is about identifying risks, preventing and mitigating them, and remediying violations when they occur. Risks are not static, supply chains change, new challenges appear, and strategies and procedures need to be updated and adapted. Monitoring the effectiveness of due diligence procedures is therefore essential.

Identifying, preventing and mitigating risks

The first steps of the human rights due diligence process should be to identify potential risks within your supply chains and implement actions to address them.
Mapping all supply chains and identifying all risks at once is not possible, as it is a long-term process, and public bodies have limited resources to dedicate to it. Therefore, prioritisation in risk identification and response is essential.

It is important to remember that this process concerns the risks that the activities of an organisation, its partners and entities in its supply chains pose on people. Therefore, public bodies should not limit the risk assessment process to those directly employed or subcontracted by them, as this demonstrates that they are not aware of the impact that their purchasing decisions may be having beyond their own gates, and how the products they buy may be produced in conditions of abuse.

The Government guide indicates that modern slavery risk assessment should be part of an organisation's wider approach to risk assessment and management. It suggests considering country risks, sector risks, transaction risks and business partnership risks. Some public bodies have established modern slavery working groups with representatives from different departments of the organisation to identify risk areas and decide on best ways to deal with them. This is definitively a practice to follow.

Once the higher risks categories have been identified, institutions should establish processes to assess specific risks within each one. Remember: this is a dynamic process. Risks may change and your capacity to assess them will increase over time.

**Supplier engagement** is essential to identify your risks and take action to prevent and mitigate them. Informing existing suppliers of relevant policies and seeking assurances from new ones during the tendering process is not sufficient. In fact, it risks becoming merely a “tick-box” exercise rather than a substantial engagement between public authorities and their suppliers. Instead, you should aim to engage with your suppliers during the life of the contract, encouraging meaningful collaboration to identify and address potential modern slavery risks.

**Collecting data** on your suppliers is essential to have good knowledge and understanding on where your own risks lie. This should include assessing their level of awareness of and their commitment towards preventing modern slavery, and the ways they are identifying and managing their own risks. There are several
tools and databases which are been developed to do this, both privately and by purchasing consortia, so keep an eye out for them.

Once you have done an initial risk assessment, it is important to start developing processes to prevent and mitigate the identified risks in each category. In order to do this, you need to know the working conditions specific to your supply chains, rather than relying on general information about the industry or sector. To do this effectively, you need to closely monitor your supply chains and, as it happens with identifying risks, you can only do this by engaging with your suppliers and collaborating with external organisations.

**Monitoring supply chains** is complex and expensive, but essential to understand whether the risks materialise, and actual violations are occurring. Even in the private sector, with more experience and resources, this is a challenging endeavour. Most organisations are only just beginning to consider how they can effectively monitor potential risk areas to ensure compliance. This is where collaboration with external organisations (see below) is essential.

Effective auditing processes, such as planned audits combined with unannounced visits to suppliers, would allow institutions to be able to react to actual violations, but they normally require the intervention of specialist organisations, as discussed below. Moreover, they can only provide a snapshot of the working conditions at a specific factory and specific time, while they may not be able to uncover less evident violations, such as confiscation of workers' passports or abusive recruitment practices. Organisations should therefore ensure that audits are complemented by other risk management exercises, such as broader supplier engagement.

Appropriate resources need to be deployed to ensure that risk assessment, prevention and mitigation strategies can be effective. This is always difficult, especially considering competing social demands public institutions must tend to, and the limitations and constrains that the public procurement legal regime establishes on socially responsible procurement. If you are doing it, if you are investing in it, say it!

*Contract clauses*
A particularly powerful instrument to manage relationships with suppliers and exercise leverage over supply chains is the introduction of contract clauses regarding modern slavery. These can vary in content, providing more or less leverage to the contracting authority over the supplier. Overall, they should be used to demand disclosure of information, collaboration to identify and address risks, and the establishments of mitigation processes or any other procedures that you consider relevant to fulfil its own modern slavery responsibilities. Most importantly, they should require suppliers to notify you of any potential violation, and to engage with you to remEDIATE it.

You can use the following sample contract conditions as a basis to create your own. However, it is important that you develop some which reflect your institution’s priorities, and which can be effectively implemented and monitored over time based on your institution’s resources and capacity.

SAMPLE CONTRACT CONDITIONS

Modern Slavery, human trafficking, forced and bonded labour, and human and labour rights violations in supply chains.

1. The Supplier will work with the Authority to identify and mitigate the risk of modern slavery, human trafficking, forced and bonded labour and human and labour rights violations in its supply chains.

2. The Supplier will notify the Authority of any potential or actual violation for the duration of the contract, and engage in corrective actions to remedy it. The Authority reserves the right to approve all corrective actions. Corrective actions shall be implemented by the Supplier, at the Supplier's expense. The Authority will endeavor, whenever practicable, to work with the Supplier to remedy the issue and put in place a corrective action plan.

3. The Supplier will, within 90 days of the commencement date, produce a Modern Slavery in the Supply Chain Due Diligence Report identifying the main risks of modern slavery, human trafficking, forced and bonded labour and human and labour rights violations in its supply chain, highlighting the main products and countries involved and the steps to be taken to mitigate the risks in the short, medium and long term.

4. The Supplier will update the Modern Slavery in the Supply Chain Due Diligence Report annually for the duration of the contract. More regular updates will be provided when risks of modern slavery, human trafficking, forced and bonded labour and human and labour rights violations are assessed as imminent either by the Supplier or the Authority.

5. The Supplier agrees that the Authority will assess the Modern Slavery Due Diligence Report and the annual progress report to prevent and mitigate risks of
modern slavery, human trafficking, forced and bonded labour and human and labour rights violations in its supply chains.

6. The Supplier agrees to work with the Authority in the implementation of the Modern Slavery in the Supply Chain Due Diligence Report by jointly drafting a Modern Slavery in the Supply Chain Action Plan.

7. The Supplier agrees to appoint a nominated person to liaise with the Authority in the drafting and implementation of the Modern Slavery in the Supply Chain Due Diligence Report and the Modern Slavery in the Supply Chain Action Plan.

8. The Supplier will share its Modern Slavery and Human Trafficking Statement, if required by the Modern Slavery Act to produce such Statement, with the Authority.

9. In the event the Supplier refuses to work with the Authority on drafting and implementing the Modern Slavery in the Supply Chain Due Diligence Report and the Modern Slavery in the Supply Chain Action Plan, or it fails or refuses to take corrective action, then, in addition to any other remedy available to it under this Agreement, the Authority reserves the right to terminate this Agreement in the event the Supplier fails to cure such refusal or failure within 90 days after written notice from the Authority.

Clauses drafted from Olga Martin-Ortega and Andy Davies (2017), Protecting Human Rights in the Supply Chain. A Guide for Public Procurement Practitioners, CIPS Knowledge (p. 15)

Excluding bidders and terminating contracts

It is common for organisations to report they would exclude bidders convicted of modern slavery related offences from their tendering processes. Whilst this may seem an effective course of action, in fact it would not have a major impact on managing your risks. Convictions on modern slavery offences are very rare and have so far focused on individuals rather than companies, therefore prevention and mitigation through this procedure will be very limited.

As a response to violations identified after a contract has been awarded, organisations often mention they would terminate supplier agreements. Terminating contracts is not necessarily the best solution, unless the supplier is unresponsive or a persistent violator of the performance clauses, as it removes the leverage that the institution has over their suppliers and therefore their ability to influence the conditions in supply chains. Instead, organisations should engage with suppliers to develop corrective action plans and remedial processes, and use contract termination as a last resort only.
Collaboration

Identifying, preventing and mitigating modern slavery is not an easy task, and you can’t do it alone. It is essential to partner with those who can help you and have the knowledge and experience to do so. Several public bodies are already collaborating with third parties, as reported in their past Statements. Many Higher Education Institutions, for example, are affiliated to Electronics Watch, either via their purchasing consortia or individually.

**ELETRONICS WATCH**

*Electronics Watch* is an independent monitoring organisation, bringing together public sector buyers and civil society organisations in electronics production regions, with experts in human rights and global supply chains. It guides public procurement demand for decent working conditions in electronics supply chains, providing unparalleled capacity for public buyers to follow up on contractual demands through worker-driven monitoring, which helps workers to voice complaints and contribute to solutions.

Launched in 2015, it is continuously expanding the scope of monitoring to more regions and more suppliers, as increasing numbers of public sector organisations choose to share the cost of monitoring and coordinate their engagement through its network.

Collaboration should be used for guidance, training and help in identifying and acting on specific risks. It is essential not just because public bodies do not have the expertise and capacity to assess every sector they procure from, but because these organisations have established practices, relationships and procedures which can multiply the effect of one single institution and, in time, galvanise the energy and leverage of the public sector as a whole.

Collaborate, help others, and share your good practice in the Statement and beyond!

**Responding to actual violations**

No organisation wants to be involved in actual cases of human rights violations and modern slavery violations. However, *if your human rights due diligence is effective, you should come across information on how risks materialise in your supply chains*. Therefore, your institution needs to have a procedure in place to react if actual instances of modern slavery, human trafficking or any other human
or labour rights violation are identified in your supply chains. While involving law enforcement is the first step, you should also consider how you can be part of the solution, and whether you can have any role in redressing the harm to victims and survivors, providing better options for the future. External partners would be key in designing these actions.

Be transparent about the violations found in your supply chains. Some leading organisations from the private sector are already reporting them, for example with regards to the risks of slave labour in the fishing industry or migrant child labour in the textile industry. While it is difficult to admit there are violations in your supply chains, this is the only way to tackle them and work towards their non-repetition.

Here are some tips that may be helpful when reporting on your due diligence:

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<tr>
<th><strong>DO</strong></th>
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</thead>
<tbody>
<tr>
<td>Describe the actual due diligence processes you have in place.</td>
<td>Make vague and generalised statements.</td>
</tr>
</tbody>
</table>
| Show you understand YOUR risks:  
  • of abuse towards your own staff,  
  • related to your own products/services,  
  • in your supply chains,  
  • related to recruitment agencies,  
  • related to sub-contracting. | Just reproduce the risks found in other Statements or templates without assessing how they relate to your own practice and suppliers. |
| Consider risks according to country, sector, transaction and business partnership. | State that procuring solely from the UK means your supply chains are at low or no risk of modern slavery. Risk of similar abuse exists in the UK. |
Show you understand your high-risk categories and the main countries where these products are produced, or staff is recruited from.

Simply list categories of products that are procured or countries where your products may be produced.

Demonstrate prioritisation of action by identifying high-risk categories and mapping their supply chains first.

Say you are mapping all of your supply chains at once, as this is unrealistic.

Demonstrate understanding that risks may change.

Reproduce the same risk assessment year on year in your Statement without demonstrating this is an ongoing commitment.

Describe the assurances you seek from potential bidders before awarding them a contract. This should cover procurement for both goods and services.

Simply state that any bidder is required to ensure modern slavery is not present in their supply chains.

Describe engagement with suppliers on modern slavery, including through any relevant contract clause.

Simply state that you engage with suppliers for the duration of the contract.

Describe the procedures that demand the same level of due diligence and recruitment safeguards when using subcontractor or agencies.

Simply state that you use reputable agencies without understanding their own due diligence procedures.

Report how you plan to audit and monitor your own sites and those of your suppliers or take alternative action if this is not possible.

State you outsource the responsibility to monitor sites, without demonstrating how you ensure that this in fact takes place.

Identify violations which may be taking place and describe what specific actions you have taken to address and mitigate them.

Omit violations from your Statement or dismiss them because they are taking place lower down your supply chains.

Provide details of your collaboration with external partners and how these are helping you.

Simply state that you are affiliated with external organisations.

Demonstrate that, despite your collaborations, you are still taking responsibility for your own human rights due diligence.

Copy collaborators’ Statements or produce joint Statements. Every institution should have its own.

Training on modern slavery and human trafficking

The introduction of Section 54 has led to widespread training and consultancy in the private sector, which has generally served as an awareness raising exercise but also, to some extent, an outsourcing of responsibility from the public sector to consultants. This Guide complements these capacity building exercises.
Training staff on modern slavery in supply chains is essential, and should be offered to wider staff, rather than focusing on the procurement department only. However, it is not sufficient to limit it to the general induction processes, as staff may not be able to retain all the information conveyed at once. Instead, we suggest providing more focused training, and for this to be regularly refreshed and updated as good practice emerges. While external, in-depth training may be useful, we recommend in-house training to be provided as well. This is important to ensure staff is aware of how modern slavery risks specifically relate to your organisation and its policies, and to demonstrate your organisation takes its commitment to address these issues seriously.

Here are some tips on reporting on training and capacitation:

<table>
<thead>
<tr>
<th>DO</th>
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<tbody>
<tr>
<td>Describe the modern slavery trainings you provide, including its contents, target users and frequency.</td>
<td>Cite training unrelated to modern slavery or simply state that training is provided to all staff.</td>
</tr>
<tr>
<td>Differentiate between trainings you provide, demonstrating that targeted capacitation is available for relevant staff.</td>
<td>Simply state that training is provided to all staff, using a one fits all approach.</td>
</tr>
<tr>
<td>Describe the different training providers, differentiating between internal and external ones.</td>
<td>Simply state that training is provided by experts.</td>
</tr>
</tbody>
</table>

**Key Performance Indicators (KPIs) and Goals**

Organisations need to measure the effectiveness of their actions and progress over time, and set ambitious goals for the future. The Government Guide encourages to report on the effectiveness of the measures in place by providing information on Key Performance Indicators (KPIs) related to anti-slavery actions.

KPIs need to be specific, measurable, achievable, relevant, and time-bound goals (SMART). Remember that aiming to have abuse-free supply chains is not realistic without major changes in consumer and production practices, which are often beyond your control. What you should primarily aim for is not to contribute to the abuse with your purchasing practices and demands, and if you do, to have ways to mitigate and remedy the harm.
KPIs should be used to measure the effectiveness of your organisation’s actions and progress over time. This, in turn, should be used to **establish further goals, including actions and partnerships, in a strategic manner**. For example, your KPIs could monitor how many supply chains you intend to map, which suppliers you wish to engage with, in how many contracts you aim to include relevant contracts clauses, which mitigation procedures you intend to develop and in which time frame, or who you will train on modern slavery in supply chains.

Here are some tips for reporting on this effectively:

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<th><strong>DO</strong></th>
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</thead>
<tbody>
<tr>
<td>Report on how you will measure the effectiveness of your actions and who is responsible for this measurement.</td>
<td>Simply state you will review your procedures without assessing their impact.</td>
</tr>
<tr>
<td>Provide information on existing KPIs.</td>
<td>Make vague and general commitments for the coming years.</td>
</tr>
<tr>
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<td>List general sustainability and/or procurement commitments which are not directly relevant.</td>
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<td>Demonstrate you are tracking progress at the short, medium and long term.</td>
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<td>Set further goals and aspirations for the following years as an ongoing improvement and self-awareness process.</td>
<td>Reproduce the same goals and KPIs year on year without mentioning how these will be developed in the future.</td>
</tr>
</tbody>
</table>

An effective use of KPIs will allow you to demonstrate continuous engagement and improvement in addressing modern slavery risks in your supply chains. Accordingly, your Statement must be considered a **live document**; it will improve year on year, reflecting this engagement.

**Conclusions**

Combatting modern slavery in supply chains is one of the most severe challenges of our times. Public buyers have a shared responsibility to prevent and mitigate human rights violations related to the goods and services they procure. While it is encouraging to see a high level of organisational commitment and leadership in the public sector, more is needed to develop and implement substantial human rights due diligence procedures. We hope this Guidance supports your organisation in doing this, so you can be part of the solution.
## Annex 1: Preparing a Statement in a Nutshell

<table>
<thead>
<tr>
<th><strong>DO</strong></th>
<th><strong>DON’T</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Mandatory (Formal) Requirements</strong></td>
<td></td>
</tr>
<tr>
<td>Report annually and publish your Statement on time.</td>
<td>Publish your Statement later than six months after the end of your financial year.</td>
</tr>
<tr>
<td>Keep your old Statements online. This allows for progress to be monitored.</td>
<td>Delete old Statements.</td>
</tr>
<tr>
<td>Publish the Statement on your website and include a link in a prominent place on the homepage.</td>
<td>Publish the Statement in an obscure place that is not easy to locate.</td>
</tr>
<tr>
<td>Ensure the Statement is approved at the highest level of governance and signed by a senior member of the organisation, providing their role and name.</td>
<td>Simply state it has been approved and signed, or simply sign it without including explicit approval.</td>
</tr>
<tr>
<td>Include a date of signature.</td>
<td>Simply state it has been approved and signed.</td>
</tr>
<tr>
<td><strong>Organisation’s structure, business and supply chains</strong></td>
<td></td>
</tr>
<tr>
<td>Provide relevant information that allows the reader to understand the structure of your business and supply chains.</td>
<td>Simply state that your supply chain is complex, or only list the categories of products that you procure.</td>
</tr>
<tr>
<td>Show insight into your existing business relationships, including overseas partnerships.</td>
<td>Simply state that you have multiple business relationships.</td>
</tr>
<tr>
<td>Show your efforts to gather knowledge and understanding of the origin of the products, materials and services you procure.</td>
<td>Simply state that you procure from the UK. UK origin does not guarantee abuse-free conditions.</td>
</tr>
<tr>
<td>Detail how you intend to increase your knowledge and understanding of your supply chains.</td>
<td>Treat your supply chains as static and unchanged over the years.</td>
</tr>
<tr>
<td>Keep this section concise and clear.</td>
<td>Overwhelm the reader with excessive detail and technical and legal language.</td>
</tr>
<tr>
<td><strong>Policies in relation to modern slavery and human trafficking</strong></td>
<td></td>
</tr>
<tr>
<td>Explain which existing policies are relevant to address modern slavery in your supply chains, and if you have amended them to ensure they are effective.</td>
<td>List or reproduce all your organisational policies, including those that have no relation to modern slavery.</td>
</tr>
<tr>
<td>Specify who is responsible for the policy’s implementation and monitoring, and for reporting on it.</td>
<td>Refer to general responsibilities of your organisation without specifying who is in charge of what.</td>
</tr>
<tr>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>Demonstrate your efforts to ensure staff and stakeholders have participated in the developing of the policy.</td>
<td>Simply state the policy has been developed in consultation without other actors, without specifying who this involved.</td>
</tr>
<tr>
<td>Specify how you make sure your staff and stakeholders are informed about your relevant policies.</td>
<td>Simply state that your stakeholders are aware of your policies.</td>
</tr>
</tbody>
</table>

**Due diligence processes, risk assessment and management**

<table>
<thead>
<tr>
<th>Describe the actual due diligence processes you have in place.</th>
<th>Make vague and generalised Statements.</th>
</tr>
</thead>
</table>
| **Show you understand YOUR risks:**  
  - of abuse towards your own staff,  
  - related to your own products/services,  
  - in your supply chains,  
  - related to recruitment agencies,  
  - related to sub-contracting. | Just reproduce the risks found in other Statements or templates without assessing how they relate to your own practice and suppliers. |
<p>| Consider risks according to country, sector, transaction and business partnership. | State that procuring solely from the UK means your supply chains are at low or no risk of modern slavery. Risk to similar abuse exists in the UK. |
| Show you understand your high-risk categories and the main countries where these products are produced, or staff is recruited from. | Simply list categories of products that are procured or countries where your products may be produced. |
| Demonstrate prioritisation of action by identifying high-risk categories and mapping their supply chains first. | Say you are mapping all of your supply chains at once, as this is unrealistic. |
| Demonstrate understanding that risks may change. | Reproduce the same risk assessment year on year in your Statement without demonstrating this is an ongoing commitment. |
| Describe the assurances you seek from potential bidders before awarding them a contract. This should cover procurement for both goods and services. | Simply state that any bidder is required to ensure modern slavery is not present in their supply chains. |
| Describe engagement with suppliers on modern slavery, including through any relevant contract clause. | Simply state that you engage with suppliers for the duration of the contract. |
| Describe the procedures that demand the same level of due diligence and recruitment safeguards when using subcontractor or agencies. | Simply state that you use reputable agencies without understanding their own due diligence procedures. |</p>
<table>
<thead>
<tr>
<th>Topic</th>
<th>Recommended Practice</th>
<th>Alternative Practice</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Report how you plan to audit and monitor your own sites and those of your suppliers or take alternative action if this is not possible.</strong></td>
<td>State you outsource the responsibility to monitor sites, without demonstrating how you ensure that this in fact takes place.</td>
<td>Identify violations which may be taking place and describe what specific actions you have taken to address and mitigate them. If this is not possible, take alternative action.</td>
</tr>
<tr>
<td><strong>Identify violations which may be taking place and describe what specific actions you have taken to address and mitigate them.</strong></td>
<td>Omit violations from your Statement or dismiss them because they are taking place lower down your supply chains.</td>
<td>Provide details of your collaboration with external partners and how these are helping you.</td>
</tr>
<tr>
<td><strong>Provide details of your collaboration with external partners and how these are helping you.</strong></td>
<td>Simply state that you are affiliated with external organisations.</td>
<td>Identify violations which may be taking place and describe what specific actions you have taken to address and mitigate them. If this is not possible, take alternative action.</td>
</tr>
<tr>
<td><strong>Demonstrate that, despite your collaborations, you are still taking responsibility for your own human rights due diligence.</strong></td>
<td>Copy collaborators’ Statements or produce joint Statement. Every institution should have its own.</td>
<td>Training on modern slavery and human trafficking</td>
</tr>
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<td><strong>Training on modern slavery and human trafficking</strong></td>
<td>Describe the modern slavery trainings you provide, including its contents, target users and frequency.</td>
<td>Cite training unrelated to modern slavery or simply state that training is provided to all staff.</td>
</tr>
<tr>
<td><strong>Differentiate between trainings you provide, demonstrating that targeted capacitation is available for relevant staff.</strong></td>
<td>Simply state that training is provided to all staff, using a one fits all approach.</td>
<td>Simply state that training is provided by experts.</td>
</tr>
<tr>
<td><strong>Describe the different training providers, differentiating between internal and external ones.</strong></td>
<td>Simply state that training is provided by experts.</td>
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</tr>
<tr>
<td><strong>Key Performance Indicators (KPIs) and Goals</strong></td>
<td>Report on how you will measure effectiveness and who is responsible for this measurement.</td>
<td>Simply state you will review your procedures without assessing their impact.</td>
</tr>
<tr>
<td><strong>Provide information on existing KPIs.</strong></td>
<td>Make vague and general commitments for the coming years.</td>
<td>Ensure the KPIs mentioned are modern slavery related.</td>
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Further resources

UK Government

- Guidance on ‘Publish an Annual Modern Slavery Statement’ (2021)
- Transparency in supply chains: a practical guide (Updated December 2021)

Repositories of Statements

- UK Government Modern Slavery Statement Registry.
- TiSC Report, Modern Slavery Act Compliance Tracker.

Guidance


BHRE Research Series - Transparency in Supply Chains

Universities


Local Authorities


Other Resources

- Anti-Slavery Partnership Toolkit, https://iasctoolkit.nottingham.ac.uk/
- Ethical Trading Initiative, www.eti.org
- Gangmasters and Labour Abuse Authority, http://www.gla.gov.uk/
- Responsible Sourcing Tool, https://www.responsiblesourcingtool.org/
- Global Slavery Index, www.globalslaveryindex.org
- Unseen, https://www.unseenuk.org/
About us

The **Business, Human Rights and Environment Research Group** (BHRE) is led by Professor Olga Martin-Ortega. It brings together the expertise and research interests of several leading academics in the field of Business and Human Rights, International Environmental Law and International Criminal Law. As part of our research, we focus on the roles and responsibilities of public buyers regarding their own supply chains. In particular, we are studying the implementation of the Transparency in Supply Chains provision of the Modern Slavery Act 2015 (MSA) by the public sector. We also work with other governments and international organisations to support their efforts to prevent and address modern slavery in supply chains. For more information visit [www.bhre.org](http://www.bhre.org).

**LUPC** is a not-for-profit organisation whose purpose is to achieve value for money for our members in their procurement of goods and services, in a way that benefits our members, society and the economy, whilst minimising damage to the environment. In collaboration with other higher education purchasing consortia and with responsible procurement at the centre of everything we do, our expert procurement team manages a large portfolio of framework agreements securing best value for each of our members. Established in 1968, LUPC's membership is made up of universities and colleges of higher and further education, as well as other not-for-profit organisations in the education, arts, science, charity, and wider public sectors. For more information visit [www.lupc.ac.uk](http://www.lupc.ac.uk).

**HEPA** is the network for procurement professionals in the Higher Education sector. It was created as a result of the challenge set out in the Diamond Report to enhance the expertise and capacity of university procurement. HEPA aims to: Work to enhance individual competencies, knowledge and skills in procurement practices by providing face to face courses, e-learning, regional networking, competency frameworks, and much more; Provide leadership development programmes and learning opportunities; Develop and maintain an online repository of resources and information covering areas such as best practice, benchmarking, templates, and news; Provide procurement support beyond finance and procurement teams, including for procurement colleagues in HR, estates, IT, research teams and those with purchasing authority in academic departments. For more information [www.hepa.ac.uk](http://www.hepa.ac.uk).