

# Modern Slavery Audit Checklist

## Tools and Tips for a Healthy Workplace

A **Modern Slavery Audit** is a crucial tool for ensuring that organizations and their supply chains are free from practices related to modern slavery and human trafficking. Here's a comprehensive checklist designed to help auditors assess compliance, identify risks, and implement best practices regarding modern slavery.

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### 1. Policy and Commitment

- ✓ **Modern Slavery Policy:** Confirm the existence of a clear, publicly accessible modern slavery policy.
  - ✓ **Board Approval:** Verify that the policy is approved by senior management or the board.
  - ✓ **Employee Awareness:** Ensure employees are aware of and understand the policy.
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### 2. Risk Assessment and Due Diligence

- ✓ **Risk Identification:** Identify areas of the organization and supply chain at high risk of modern slavery.
  - ✓ **Supplier Assessment:** Assess and document the due diligence processes for new and existing suppliers.
  - ✓ **Risk Mitigation:** Evaluate measures taken to mitigate identified risks (e.g., contract clauses, supplier audits).
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### 3. Supply Chain Management

- ✓ **Supplier Code of Conduct:** Check if suppliers are required to adhere to a code of conduct that includes modern slavery provisions.
  - ✓ **Contract Clauses:** Verify that contracts with suppliers include clauses related to modern slavery prevention.
  - ✓ **Supplier Monitoring:** Review the processes for ongoing monitoring and assessment of suppliers regarding modern slavery.
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### 4. Training and Awareness

- ✓ **Employee Training:** Confirm that employees receive regular training on modern slavery, particularly those involved in procurement and supply chain management.
  - ✓ **Supplier Training:** Check if suppliers receive training or are provided with resources on modern slavery awareness and compliance.
  - ✓ **Awareness Programs:** Evaluate the effectiveness of awareness programs for employees and suppliers.
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### 5. Reporting Mechanisms

- ✓ **Whistleblowing Policy:** Verify the existence of a whistleblowing policy that encourages reporting of modern slavery concerns.
  - ✓ **Reporting Channels:** Ensure there are confidential and accessible channels for reporting modern slavery concerns.
  - ✓ **Investigation Process:** Review the process for investigating reports of modern slavery and the actions taken.
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### 6. Documentation and Record-Keeping

- ✓ **Policy Documentation:** Check the documentation of the modern slavery policy and related procedures.
  - ✓ **Risk Assessments:** Ensure risk assessments are documented and regularly updated.
  - ✓ **Audit Records:** Verify that records of supplier audits and due diligence processes are maintained and reviewed.
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### 7. Remediation and Corrective Actions

- ✓ **Remediation Plans:** Confirm that there are procedures for addressing and remedying instances of modern slavery.
  - ✓ **Corrective Actions:** Evaluate the effectiveness of corrective actions taken in response to identified issues.
  - ✓ **Continuous Improvement:** Assess processes for reviewing and improving modern slavery prevention measures.
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### 8. Compliance with Legal and Regulatory Requirements

- ✓ **Legal Compliance:** Ensure compliance with relevant laws and regulations regarding modern slavery (e.g., UK Modern Slavery Act, California Transparency in Supply Chains Act).
  - ✓ **Regulatory Reporting:** Verify that any required reports or statements (e.g., Modern Slavery Statements) are accurately completed and submitted.
  - ✓ **Updates on Legal Changes:** Check if the organization stays updated on changes in modern slavery laws and regulations.
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### 9. Stakeholder Engagement

- ✓ **Internal Stakeholders:** Confirm engagement with internal stakeholders (e.g., employees, management) on modern slavery issues.
- ✓ **External Stakeholders:** Evaluate the organization's engagement with external stakeholders (e.g., suppliers, NGOs) on modern slavery initiatives.
- ✓ **Collaboration:** Assess participation in industry initiatives or collaborations aimed at combating modern slavery.

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### 10. Audit and Review

✓ **Regular Audits:** Verify that regular internal and external audits are conducted to assess compliance with modern slavery policies and practices.

✓ **Audit Findings:** Review findings from audits and ensure that any issues are addressed promptly.

✓ **Continuous Monitoring:** Evaluate the processes for continuous monitoring and review of modern slavery risks and compliance.

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