**PURPOSE OF THE QUESTIONNAIRE**

The purpose of this information request is to help Incitec Pivot Limited with our due diligence to assess the risk of modern slavery in our supply chain. The responses provided will help Incitec Pivot Limited to identify and assess the risk of modern slavery in our supply chain.

**INSTRUCTIONS FOR COMPLETING THE QUESTIONNAIRE**

1. Provide your responses to the questionnaire, including appropriate supporting documents within ten (10) business days.
2. This is an initial request for information and we may ask for further information in due course.
3. Include appropriate cross-references where the same information and documents are to be supplied in response to two or more different questions. You do not need to repeat your response.
4. Update your responses as more information becomes available or if subsequent events make any earlier responses inaccurate.
5. To assist in our due diligence review and / or on-boarding checks, we may hold interviews with the employees, workers, sub-contractors and agents.

| **Item** | **Query** | **Response** |
| --- | --- | --- |
| **1.** | **The Supplier**  |
|  | **Entity Name** |  |
|  | **Registered Company No.** | **ABN** |  |
| **Other** |  |
|  | **Registered Office Address** |  |
|  | **Postal Address** |  |
|  | **Contact Name** |  |
|  | **Telephone No.** |  |
|  | **Mobile No.** |  |
|  | **Email** |  |

| **Item** | **Query** | **Response** |
| --- | --- | --- |
| **2.** | **Screening & Prioritisation** |
|  | Does your organisation have operations in any of the countries listed? Please select all countries that apply. | [ ]  Yes [ ]  NoIf yes, please select all countries that apply in Appendix 1. |
|  | Do your suppliers have operations in any of the countries listed? | [ ]  Yes [ ]  No |
|  | Does your organisation or do your suppliers have operations in any of the sectors listed?Please tick those that apply. | [ ]  Accommodation and food service activities[ ]  Agriculture, forestry and fishing[ ]  Construction[ ]  Domestic work[ ]  Healthcare services[ ]  IT services and software[ ]  Manufacturing[ ]  Mining and quarrying[ ]  Personal service[ ] Wholesale and trade |
|  | Does your organisation employ or hire low-skilled foreign or domestic migrant workers for contract or seasonal work? | [ ]  Yes [ ]  No |
|  | Does your organisation have written policies explicitly prohibiting workers and agents from the following:- Engaging in all forms of modern slavery.- Engaging in child labour.- Withholding worker identity or immigration documents.- Using recruiters that do not comply with local labour laws of the country in which the recruiting takes place.- Charging workers recruitment fees. | [ ]  Yes [ ]  No[ ]  Yes [ ]  No[ ]  Yes [ ]  No[ ]  Yes [ ]  No[ ]  Yes [ ]  NoIf so, please provide copies or links to where these documents can be accessed. |
| **3.** | **Compliance** |
|  | Does your organisation issue a policy explicitly ensuring the following:- Document checks (including proof of age documents) of all workers before they begin working, to confirm they are allowed to work according to legal standards.- Workers including those hired by recruiters are provided with detailed and accurate work agreements or similar work papers, prior to commencement of work and in a language understood by the worker.- Wages meet applicable host country legislation or, if there is no legal minimum wage, wages are aligned with the prevailing sector wage.- Housing provided or arranged for your workers meets host-country housing & safety standards.- The provision or payment of return transportation for all foreign migrant workers at the end of their period of work, if they were brought to the country for the purpose of working for your organisation.- Workers, including migrant workers, can cancel their work contracts at any time with no financial penalty, subject to giving reasonable notice in accordance with local law or a collective agreement. | [ ]  Yes [ ]  No[ ]  Yes [ ]  No[ ]  Yes [ ]  No[ ]  Yes [ ]  No[ ]  Yes [ ]  No[ ]  Yes [ ]  No |
|  | Does your organisation require your suppliers or sub-contractors to accept and comply with your policies listed in question 3a above?  | [ ]  Yes [ ]  No |
|  | Is your organisation a signatory to, or a member of, any ethical trading or ethical working conditions initiatives, or modern slavery initiatives or charters? | [ ]  Yes [ ]  NoIf yes, please provide details. |
|  | Is there a mechanism or whistle-blowing policy to encourage concerns about modern slavery to be raised so that they can be investigated? | [ ]  Yes / [ ]  NoIf yes, please provide details. |
|  | Has your business or any of your employees, agents or suppliers who supply goods or services on your behalf, been investigated or charged in relation to breaches of legislation relating to modern slavery or human rights generally (in Australia or internationally)? | [ ]  Yes / [ ]  NoIf yes, please provide details. |
| **4.** | **Relationships** |
|  | Do you currently work with a third party to identify the overall risks of slavery and human trafficking in your supply chain? This may include mapping your 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 / [ ]  NoIf yes, please provide details. |
|  | Does your organisation currently conduct independent, unannounced audits on your operations and sub-contractors? | [ ]  Yes / [ ]  NoIf yes, please explain including audit frequencies & selection process.  |
|  | Does your audit programme include auditing personnel recruitment sources, including overseas labour brokers or overseas employment agencies providing imported labour? | [ ]  Yes / [ ]  NoIf yes, please provide details. |
|  | Are your audits based on company standards for sub-contractors that include clauses on slavery and human trafficking? | [ ]  Yes / [ ]  NoIf yes, please provide details. |
|  | Have you set out consequences for sub-contractor non-compliance with your policies and standards? | [ ]  Yes / [ ]  NoIf yes, please provide details. |
|  | In the event of non-compliance by your Sub-contractors, what is your organisations remediation process? | [ ]  Yes / [ ]  No my organisation does not have a remediation process.If yes, please provide details. |
| **5.** | **Training** |  |
|  | Do you have company standards on human trafficking and slavery for your employees and contractors? | [ ]  Yes / [ ]  No |
|  | Do your workers, who have direct responsibility for procurement, supply chain management and recruitment receive training to understand what modern slavery and human trafficking is and how to mitigate risk of these in their supply chain? | [ ]  Yes / [ ]  No |

**APPENDIX 1**

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| [ ]  | Afghanistan | [ ]  | Chad | [ ]  | Guatemala | [ ]  | Maldives | [ ]  | Panama | [ ]  | Swaziland |
| [ ]  | Algeria | [ ]  | China | [ ]  | Guinea | [ ]  | Mali | [ ]  | Papua New Guinea | [ ]  | Syria |
| [ ]  | Andorra | [ ]  | Christmas Island | [ ]  | Guinea-Bissau | [ ]  | Malta | [ ]  | Paraguay | [ ]  | Tajikistan |
| [ ]  | Angola | [ ]  | Cocos Islands | [ ]  | Guyana | [ ]  | Marshall island | [ ]  | Puerto Rico | [ ]  | Taiwan |
| [ ]  | Anguilla | [ ]  | Columbia | [ ]  | Haiti | [ ]  | Martinique | [ ]  | Qatar | [ ]  | Tanzania |
| [ ]  | Antarctica | [ ]  | Comoro Is. | [ ]  | Honduras | [ ]  | Mauritania | [ ]  | Reunion | [ ]  | Thailand |
| [ ]  | Antigua / Barbuda | [ ]  | Congo | [ ]  | Hong Kong | [ ]  | Mauritius | [ ]  | Romania | [ ]  | Togo |
| [ ]  | Aruba | [ ]  | Cook Islands | [ ]  | Iceland | [ ]  | Mayotte | [ ]  | Ruanda | [ ]  | Tonga |
| [ ]  | Azerbaijan | [ ]  | Costa Rica | [ ]  | India | [ ]  | Micronesia | [ ]  | Russian Fed. | [ ]  | Trinidad, Tobago |
| [ ]  | Bahamas | [ ]  | Cuba | [ ]  | Indonesia | [ ]  | Minor Outlying Islands | [ ]  | S. Sandwich Ins | [ ]  | Tunisia |
| [ ]  | Bahrain | [ ]  | Djibouti | [ ]  | Iran | [ ]  | Moldavia | [ ]  | Sao Tome,Principe | [ ]  | Turkey |
| [ ]  | Bangladesh | [ ]  | Dominica | [ ]  | Iraq | [ ]  | Monaco | [ ]  | Samoa,American | [ ]  | Turkmenistan |
| [ ]  | Barbados | [ ]  | Ecuador | [ ]  | Ivory Coast | [ ]  | Mongolia | [ ]  | San Marino | [ ]  | Turks & Caicos Is |
| [ ]  | Belarus | [ ]  | Egypt | [ ]  | Japan | [ ]  | Montserrat | [ ]  | Saudi Arabia | [ ]  | Tuvalu |
| [ ]  | Belize | [ ]  | El Salvador | [ ]  | Jordan | [ ]  | Morocco | [ ]  | Senegal | [ ]  | Uganda |
| [ ]  | Benin | [ ]  | Equatorial Guinea | [ ]  | Kazakhstan | [ ]  | Mozambique | [ ]  | Seychelles | [ ]  | United Arab Emirates |
| [ ]  | Bermuda | [ ]  | Estonia | [ ]  | Kenya | [ ]  | Namibia | [ ]  | Sierra Leone | [ ]  | Uruguay |
| [ ]  | Bhutan | [ ]  | Ethiopia | [ ]  | Kirghizstan | [ ]  | Nauru | [ ]  | Singapore | [ ]  | US Virgin Is. |
| [ ]  | Bolivia | [ ]  | Falkland Islands | [ ]  | Kiribati | [ ]  | Nepal | [ ]  | Solomon Islands | [ ]  | Uzbekistan |
| [ ]  | Bosnia Herzeg. | [ ]  | Faroe Islands | [ ]  | Kuwait | [ ]  | New Caledonia | [ ]  | Somalia | [ ]  | Vanuatu |
| [ ]  | Botswana | [ ]  | Fiji | [ ]  | Laos | [ ]  | Nicaragua | [ ]  | South Africa | [ ]  | Vatican City |
| [ ]  | British Virgin Is. | [ ]  | FrenchPolynesia | [ ]  | Lebanon | [ ]  | South Korea | [ ]  | Venezuela |
| [ ]  | Brunei | [ ]  | French Guinea | [ ]  | Lesotho | [ ]  | Nigeria | [ ]  | South Yemen | [ ]  | Vietnam |
| [ ]  | Burkina Faso | [ ]  | Gabon | [ ]  | Liberia | [ ]  | Niue | [ ]  | Sri Lanka | [ ]  | Wallis,Futuna |
| [ ]  | Burma | [ ]  | Gambia | [ ]  | Libya | [ ]  | Norfolk Island | [ ]  | St. Helena | [ ]  | Western Samoa |
| [ ]  | Burundi | [ ]  | Ghana | [ ]  | Liechtenstein | [ ]  | North Korea | [ ]  | St. Lucia | [ ]  | Zaire |
| [ ]  | Cambodia | [ ]  | Gibraltar | [ ]  | Luxembourg | [ ]  | North Mariana | [ ]  | St. Vincent | [ ]  | Zambia |
| [ ]  | Cameroon | [ ]  | Greenland | [ ]  | Macau | [ ]  | North Yemen | [ ]  | St Christopher & Nevis | [ ]  | Zimbabwe |
| [ ]  | Cape Verde Is. | [ ]  | Grenada | [ ]  | Madagascar | [ ]  | Oman | [ ]  | St. Pierre & Miquelon |  |  |
| [ ]  | Cayman Islands | [ ]  | Guadeloupe | [ ]  | Malawi | [ ]  | Pakistan | [ ]  | Sudan |  |  |
| [ ]  | Central African Rep | [ ]  | Guam | [ ]  | Malaysia | [ ]  | Palau | [ ]  | Suriname |  |  |