

# Supplier Self- Assessment<sup>1</sup>

This Supplier Self-Assessment can help DALLAS26 and the bidder identify potential social and environmental risks. Use "other" to explain company practices not offered in the available choices. Use the "additional information" section to explain your answers in detail.

**Note:** We require a \$15 an hour wage floor for all DALLAS26 contracts. Any reference to local wage laws in this document, therefore, refers to our decision as an organization to make this the lowest wage paid unless a waiver is granted in accordance with the Supplier Qualification section of the Responsible Contracting Process Summary.

## 1. GENERAL OPERATIONAL INFORMATION, required

Q1.1 Supplier Name: \_\_\_\_\_

Q1.2 Headquarters Address: \_\_\_\_\_

Q1.3 Geographic Location of Facilities: \_\_\_\_\_

Q1.4 Product/Service Supplied or Produced: \_\_\_\_\_

Q1.5 # of Workers Employed: \_\_\_\_\_; # of Workers Hired via Labor Agents: \_\_\_\_\_; # of 1099's hired \_\_\_\_\_

Q1.6 Seasonality of Production or Service Delivery: \_\_\_\_\_

Q1.7 Labor Recruiter/Agent: \_\_\_\_\_

Name of Each Labor Agent: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

<sup>1</sup> Protections Against Trafficking in Persons, Sample Supplier/Subcontractor Self-Assessment Questionnaire, Responsible Sourcing Tool, 2022: [https://www.responsiblesourcingtool.org/wp-content/uploads/2023/10/2024-RST-Base-Tool-8-Supplier-Self-Assessment\\_2024-01-11-LL.pdf](https://www.responsiblesourcingtool.org/wp-content/uploads/2023/10/2024-RST-Base-Tool-8-Supplier-Self-Assessment_2024-01-11-LL.pdf)

\_\_\_\_\_

Contact Information: \_\_\_\_\_

Nationality: \_\_\_\_\_

Nationality of Workers Provided: \_\_\_\_\_

License and/or Registration Number: \_\_\_\_\_

Q1.8 Accommodations Provided: \_\_\_\_\_

## 2. GOVERNANCE AND SUSTAINABILITY, required

This section evaluates company governance policies, processes, or programs that demonstrate commitment to worker safeguards, sustainability and ethics.

Q2.1 Does your company have a formal policy, process, or program on (select all that apply):

- ☐ Worker Safeguards Policy, Strategy or Programs
- ☐ Sustainability Policy, Strategy or Programs
- ☐ Code of Conduct
- ☐ Anti-corruption/anti-bribery compliance policies
- ☐ System of internal accounting controls
- ☐ Avoidance and management of adverse impacts on communities
- ☐ Responsible procurement policy
- ☐ None

Q2.2 Has your company faced any worker safeguard violations, fines, or legal actions in the past five years?

- ☐ Yes
- ☐ No

If so, how were these addressed

\_\_\_\_\_  
\_\_\_\_\_

Q2.3 What worker rights metrics does your company report?

- ☐ Employee Trainings on worker rights policies
- ☐ Employee wages and benefits

- ☐ Stakeholders engaged
- ☐ Workforce with disabilities
- ☐ Internal or external campaign impacts
- ☐ Social investments made
- ☐ Supplier diversity spend
- ☐ None
- ☐ Other: \_\_\_\_\_

Q2.4 If applicable, what measures have you taken to embed or improve worker safeguard measures in your operations?

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Q2.5 Does your company conduct Worker Safeguards Due Diligence, or have they engaged a third-party vendor to conduct a worker safeguard risk assessment? If so, is this done by:

- ☐ Employee Worker Rights experts
- ☐ Independent vendors (LRQA, Ergon, Impactt, Verite etc.,)
- ☐ None

Q2.6 How does your company promote compliance and worker safeguards and sustainability responsibility within its supply chain?

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**a. Environmental Management:**

Q2.7 Does your company have a policy, process, or program on (select all that apply):

- ☐ Environmental management system or process to guide activities with respect to environmental stewardship
- ☐ Emergency and operational response plans with respect to environmental incidents
- ☐ Energy Management

- ☐ Waste and material management
- ☐ Safe handling, storage, and disposal of hazardous materials in compliance with applicable regulations
- ☐ Water management
- ☐ Land use and biodiversity
- ☐ System for monitoring and reporting carbon emissions
- ☐ None

Q2.8 Has your company faced any environmental violations, fines, or legal actions in the past five years?

- ☐ Yes
- ☐ No

If so, how were these addressed

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Q2.9 What environmental metrics does your company report?

- ☐ GHG emissions
- ☐ Emissions to air
- ☐ Emissions to land/soil
- ☐ Emissions to water
- ☐ Water use
- ☐ Energy consumption
- ☐ Waste generation
- ☐ Recycling or composting rates
- ☐ None
- ☐ Other: \_\_\_\_\_

Q2.10 If applicable, what measures have you implemented to improve energy efficiency and reduce resource consumption in your operations?

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Q2.11 If applicable, do your products or services incorporate any eco-design principles, sustainable materials (e.g., recycled content, renewable resources), or other environmental attributes?

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Q2.12 If applicable, do you have programs for recycling, reuse, or waste reduction? (select all that apply)

- ☐ Recycling
- ☐ Reuse
- ☐ Waste Reduction
- ☐ No

Q2.13 Does your company have any sustainability assessments or certifications or adhere to any social or environmental standards? (select all that apply)

- ☐ EcoVadis
- ☐ SEDEX
- ☐ ISO 14001
- ☐ ISO 45001
- ☐ ISO 20121
- ☐ LEED (specify): \_\_\_\_\_
- ☐ Other (specify): \_\_\_\_\_
- ☐ No

### 3. GEOGRAPHIC AND INDUSTRY RISK, required

This section evaluates whether you have operations in countries that have a high risk for workplace safety violations, gender discrimination, labor exploitation or labor trafficking or are industries generally understood to have high rates of the same.

Q3.1 Where are the goods you offer manufactured? If multiple locations, please check all that apply:

- ☐ North America, if so, indicate which countries: \_\_\_\_\_
- ☐ South America, if so, indicate which countries: \_\_\_\_\_
- ☐ Central America, if so, indicate which countries: \_\_\_\_\_
- ☐ East Asia, if so, indicate which countries: \_\_\_\_\_
- ☐ South Asia, if so, indicate which countries: \_\_\_\_\_
- ☐ Europe, if so, indicate which countries: \_\_\_\_\_
- ☐ Asia Pacific, if so, indicate which countries: \_\_\_\_\_
- ☐ Not applicable

Q3.2 Do you require contracting to any of the following industries to fulfill contractual obligations if awarded:

- ☐ Construction
- ☐ Food and Beverage

- ☐ Private Security
- ☐ Facilities Services (Janitorial, Utilities, Waste Management, etc.)
- ☐ Merchandising (souvenirs, apparel, etc.)
- ☐ Not applicable

#### 4. WORKER SAFEGUARDS

This section helps assess forced labor risks in how a subcontractor or supplier recruits, selects, and hires workers, the supplier's relationship with labor agents, and how migrant workers are managed.

##### a. Recruitment, selection, and hiring

This section examines your policies and practices for recruiting, selecting, and hiring workers. It includes direct hiring, hiring through labor agents, hiring contract and temporary employees including 1099's, and guest worker visa programs for companies operating in the U.S.

Q4.1 Which of the following are included in your company's recruitment policy? (select all that apply)

- ☐ Non-discrimination
- ☐ Workers do not pay recruitment fees
- ☐ All workers are provided with detailed contracts of employment
- ☐ No underage labor (below the minimum legal working age)
- ☐ Equal compensation for men and women doing the same job
- ☐ Compliance with legal requirements
- ☐ We have no formal recruitment, selection, and hiring policies
- ☐ Other (please describe): \_\_\_\_\_
- ☐ Additional Information: \_\_\_\_\_
- ☐ None
- ☐ Not Applicable

Q4.2 How do you make sure that your policy requirements are followed? (select all that apply)

- ☐ We follow formal recruitment procedures that meet legal and Code of Conduct requirements.
- ☐ Our recruitment procedures are specific for each type of employment arrangement, including temporary and seasonal workers.
- ☐ We use objective criteria for selecting the best applicants.
- ☐ We provide all workers with a written employment agreement (contract) that complies with applicable legal and Code of Conduct requirements.
- ☐ We routinely survey new hires to verify that our policies were followed.
- ☐ Other (please describe): \_\_\_\_\_
- ☐ Additional Information: \_\_\_\_\_
- ☐ None

☐ Not Applicable

Q4.3 How does your company recruit, select, and hire workers? (select all that apply)

- ☐ We directly recruit, select, and hire all workers (full-time, part-time, temporary and seasonal).
- ☐ We use licensed external labor recruiters/agents to recruit and hire workers (you may know “labor recruiter/agents” by terms such as brokers, agents, labor contractors, gang masters, or crew leaders).
- ☐ We use informal external labor recruiters/agents to recruit and hire workers.
- ☐ We hire some workers directly and use labor recruiters/agents for other jobs.
- ☐ We hire workers through formal host country guest worker programs.
- ☐ Other (please describe): \_\_\_\_\_
- ☐ Additional Information: \_\_\_\_\_
- ☐ Not Applicable

Q4.4 How does your company recruit and hire foreign migrant workers? (select all that apply)

- ☐ Directly in their home country
- ☐ Using a licensed labor recruiter/agent in their home (origin) country
- ☐ Using an informal labor recruiter/agent in their home (origin) country
- ☐ Through a licensed labor recruiter/agent in the destination country
- ☐ Through an informal labor recruiter/agent in the destination country
- ☐ Other (please describe): \_\_\_\_\_
- ☐ Additional Information: \_\_\_\_\_
- ☐ Not Applicable

**b. Use of recruitment and employment agencies**

This section evaluates how your company uses labor agents. Companies may engage labor providers for a range of services, from simply recruiting employees to managing and paying workers on behalf of the company. If your company does not use labor agents, please indicate so below:

☐ Not applicable, skip to question Q4.10

**If applicable, please continue.**

Q4.5 How does your company screen your labor recruiter/agents to determine if they can meet legal and Code of Conduct requirements before you begin using them? (select all that apply)

- ☐ We perform formal due diligence screenings of prospective labor recruiters/agents to determine if their practices conform to company and legal requirements (Note: Due

Diligence includes checking licensing, history of legal violations, management interviews, labor provider internal policies and procedures, etc.).

- ☐ We use formal rating and selection criteria based on our performance requirements.
- ☐ We verify that the labor recruiter/agents are licensed.
- ☐ We do not use a formal screening process.
- ☐ Other (please describe): \_\_\_\_\_
- ☐ Additional Information: \_\_\_\_\_

Q4.6 Do you or your labor recruiter/agents recruit workers from other countries (foreign migrant workers, guest workers, etc.)?

- ☐ Yes
- ☐ No

Q4.7 Do you or your local (destination country) labor recruiter/agents work with recruiter/agents or agents in the countries where workers are recruited (origin countries)?

- ☐ Yes
- ☐ No
- ☐ If no, please explain: \_\_\_\_\_
- ☐ Our company performs formal due diligence of all origin country recruiters/agents and agents. (Note: Due Diligence includes examination of licensing, history of legal violations, management interviews, review of recruiter/agent internal policies and procedures, etc.)
- ☐ Destination country labor recruiter/agents screen the origin country recruiter/agents and agents.
- ☐ Origin country recruiter/agents and agents must provide a valid government-issued license.
- ☐ Human rights requirements are in the service agreements with origin country agents.
- ☐ We have no process to screen the origin country recruiter/agents and agents
- ☐ Other (please describe): \_\_\_\_\_
- ☐ Additional Information: \_\_\_\_\_

Q4.8 How much do workers pay your company or the labor recruiter/agent or agent (in either the destination or origin country) to get a job with your company? (select all that apply)

- ☐ Workers are not required to pay recruitment fees or lodge deposits of any kind
- ☐ Workers pay only what is legally required in their origin country
- ☐ Workers pay only what is legally required in the destination country
- ☐ Our company policies specify the maximum amount workers are required to pay
- ☐ Workers pay what is legally allowable in the origin or destination country
- ☐ I don't know
- ☐ Other (please describe): \_\_\_\_\_



☐ Additional Information: \_\_\_\_\_

Q4.9 When are workers provided with an explanation of their job duties and terms and conditions of employment? (select all that apply)

- ☐ In their home country, before signing the employment contract
- ☐ In their home country, after signing the employment contract
- ☐ After arrival in the destination country, before signing the employment contract
- ☐ In the destination country, after signing the employment contract
- ☐ Other (please describe): \_\_\_\_\_
- ☐ Additional Information: \_\_\_\_\_

**STOP:** Please read the following information carefully.

Q4.10. Do you employ migrant workers?

- ☐ Yes (If yes, please continue to Section c. Management of Migrant Workers)
- ☐ No (**STOP** If checked no to Q4.10, this concludes your Supplier Assessment Questionnaire)

#### **c. Management of Migrant Workers**

This section examines workplace policies, practices and procedures used to manage migrant workers at your workplace, your client's facilities, or other worksites, such as warehouses. If this is not applicable, please indicate that below:

Q4.11 Are their migrant workers\* at your company?

*[\*Note: "migrants" include both foreign and domestic migrants who are either directly employed by your company or work for a labor recruiter/agent or agency.]*

- ☐ Yes
- ☐ No

Q4.12 Who is responsible for coordinating and processing migrant worker documentation when they arrive for work?

- ☐ An employee of my company
- ☐ The labor recruiter/agent
- ☐ Another employer (factory, farm, etc.)
- ☐ Other (please describe): \_\_\_\_\_
- ☐ Additional Information: \_\_\_\_\_

Q4.13 How does your company and/or your labor recruiter/agent manage migrant worker identity documents (passports, visas, work permits, proof of age, etc.)? (select all that apply)

- ☐ We keep only photocopies of identity documents, and the worker keeps the originals in his or her possession
- ☐ Workers are provided with individual locked storage for their identity documents
- ☐ Workers must turn in their documents to the company or the labor recruiter/agent for safekeeping
- ☐ Workers voluntarily have the company or the labor recruiter/agent hold their documents for safekeeping
- ☐ The company or labor recruiter/agent keeps the documents; however, workers can retrieve them at any time without delay
- ☐ Workers can retrieve their documents when they intend to return to their home country for a visit or when their contract term is over
- ☐ Other (please describe): \_\_\_\_\_
- ☐ Additional Information: \_\_\_\_\_

Q4.14 What basic wage are migrant workers paid? (select all that apply)

- ☐ Legal minimum wage
- ☐ Wage defined by a legally recognized collective bargaining agreement
- ☐ Same wage as local workers performing the same work
- ☐ If there is no legal minimum wage, migrant workers are paid the prevailing industry wage
- ☐ Wage is based on job skills and experience
- ☐ Wages that meet basic needs (clothing, food, and housing) plus a little discretionary income
- ☐ Wages are based on piecework (for example, the number of items produced or harvested)
- ☐ Other (please describe): \_\_\_\_\_
- ☐ Additional Information: \_\_\_\_\_

Q4.15 Who pays migrant workers' wages?

- ☐ Our local (in-country) labor recruiter/agent
- ☐ My company
- ☐ Another employer
- ☐ Other (please describe): \_\_\_\_\_
- ☐ Additional Information: \_\_\_\_\_

Q4.16 How are migrant workers paid? (select all that apply)

- ☐ Directly in cash
- ☐ Directly by company check

- ☐ By deposit into the workers' bank accounts
- ☐ In cash cards (debit cards)
- ☐ Workers are paid a portion of their wages each pay period and the balance at the end of their contract
- ☐ Workers are paid in full upon completion of their contract
- ☐ Workers are paid in part or in full in non-cash (that is, in-kind payment in goods or services)
- ☐ Other (please describe): \_\_\_\_\_
- ☐ Additional Information: \_\_\_\_\_

Q4.17 How many regular work hours do migrant workers work per week?

- ☐ 40
- ☐ 48
- ☐ Less than 40
- ☐ Between 40 and 48
- ☐ More than 48
- ☐ Other (please describe): \_\_\_\_\_
- ☐ Additional Information: \_\_\_\_\_

Q4.18 Does your company have a process for migrant workers to report grievances?

- ☐ Yes
- ☐ No
- ☐ If "No," please explain: \_\_\_\_\_

Q4.19 Which of the following are part of your company's grievance process for migrant workers? (select all that apply)

- ☐ Anonymous reporting channel (for example, a hotline or email address)
- ☐ Confidentiality for the worker reporting the grievance
- ☐ Protection for workers against intimidation and retaliation
- ☐ Formal procedure for grievance resolution
- ☐ Communication of grievance status and resolution to workers
- ☐ Staff assigned to receive and handle worker grievances speak the workers' language(s)
- ☐ Supervisors and managers are trained in how to handle and resolve worker grievances
- ☐ The grievance policy and procedure are communicated to all workers
- ☐ A grievance mechanism is available to workers in all worksites along the supply chain
- ☐ Workers do not have to report grievances to their supervisor or manager of their direct supervisor
- ☐ Suggestion boxes

- ☐ Appeal process for grievances not resolved to the satisfaction of workers
- ☐ Other (please describe): \_\_\_\_\_
- ☐ Additional Information: \_\_\_\_\_

Q4.20 Can migrant workers directly report a grievance to your company or a third party without having to go through the labor recruiter/agent?

- ☐ Yes
- ☐ No
- ☐ If "No," please explain: \_\_\_\_\_

*This concludes your Supplier Self-Assessment Questionnaire*