PROTECTIONS AGAINST TRAFFICKING IN PERSONS
Sample Supply Chain Risk Management Process Flow

**START**

- **SUPPLY CHAIN CODE OF CONDUCT**
  - Tool 1: Establishes internal and subcontractor, supplier and agent performance expectations

- **CONTRACT TERMS AND CONDITIONS**
  - Tools 1 and 2: Social responsibility performance requirements in contract terms and conditions
    - Suppliers sign agreement to conform to Company Code and legal requirements

- **SUPPLIER AGREEMENT**
  - Understanding of supply chain, including countries of origin/delivery, types of goods/services, and contract values
    - All levels/tiers of the supply chain

- **MAP SUPPLY CHAIN**
  - High level rating of risk, based on type of product/service, location and contract amount

- **RISK SCREENING**
  - 2 years

  - **POTENTIAL RISKS?**
    - No
      - Tools 3 and 4: Detailed risk assessment using self-assessment questionnaires and/or desktop assessment interviews
        - Suppliers prioritized for further evaluation based on risk level
    - Yes
      - **FORMAL RISK ASSESSMENT (SELF-ASSESSMENT QUESTIONNAIRE)**
        - **INADEQUATE RISK CONTROLS**
          - No
          - **ON SITE AUDIT**
            - Yes
              - **ALL MAJOR * ISSUES RESOLVED?**
                - No (open Majors*)
                  - **SUPPLIER PROGRESS REPORTING**
                - Yes
                  - **SUPPLIER APPROVED**

          - Yes
            - **SUPPLIER IMPLEMENTS CORRECTIVE ACTION PLAN**
              - **QUARTERLY SUPPLIER REPORTING OF COMPLIANCE DATA AND KPI’S**
                - Yes
                  - **ALL MAJOR * ISSUES RESOLVED?**
                    - No
                      - **CLOSURE NOTIFICATION**
                    - Yes
                      - **CLOSURE AUDIT**

*Includes both Major and Egregious findings