



# Developing Common Due diligence tools Working Group

The Food Network for Ethical Trade – 11<sup>th</sup> July 2023 – 11.00 -16.00 hrs



# Competition Law Statement

*“Today we are meeting to discuss a Food Network for Ethical Trade agenda on subject of Human rights.*

*We take competition compliance seriously. Whilst discussions can cover matters of interest to our industry, we cannot discuss or exchange sensitive commercial information.*

*If at any time during this meeting, you think our discussions may be in breach of competition rules, please inform the Chair. The Chair may close the meeting at any time if she believes that discussions are in breach of competition law”*

# Agenda

Timing	Item
10.00 – 11.00	FNET Fortnight call
11.00 – 11.15	Introductions & House keeping
11.15 –12.20	What can we learn from other Engagement / maturity frameworks and experiences of measuring suppliers?  <i>Beck Wallace</i> via pre-recorded interview & <i>Andrea Gerwer</i> , Oxfam <i>Louise Herring</i> , Aim-Progress <i>Megan Bailey</i> , AM Fresh  Panel discussion
12.20 – 12.35	M&S HRDD topline reminder & experience of applying the tool / scoring suppliers, <i>Deborah Johnson</i> , M&S Suppliers share experience of being scored / measured against M&S HRDD
12.35 – 13.15	Small group session 1 Review the draft FNET maturity framework
13.15 – 13.30	Plenary session – Reporting group discussions
13.30 – 14.15	<b>LUNCH BREAK</b>
14.15 – 14.25	How do we implement the checklist/framework in an aligned way that get the biggest impact?, <i>Louise Nicholls</i> , FNET Scoring/ Benchmarking/tendering/ recognising performance improvements?
14.25 – 15.10	Small group session 2 What do we need to do to make the guidance as simple as possible for (smaller) suppliers to use / what are the barriers and how do we overcome them to implement this.
15.10 – 15.35	Plenary session – Reporting group discussions



# Roadmap to deliver the WG objective 1

**Session 1**  
**28 Feb**  
**Virtual meeting**

**Priority objective of the working group agreed**  
**“To develop a maturity framework’ that FNET members can use with suppliers down supply chain & to gain a common understanding of how FNET members measure supplier performance”**

**Session 2**  
**5 April**  
**Virtual meeting**

**A review of what frameworks / scorecards to learn from.**  
**- Brief overview of several frameworks – M&S HRDD, Aim-Progress RSJ, Unilever RPP, Astra Zeneca SPG & Oxfam SBO HRR.**  
**- With M&S permission, members considered if to adapt M&S HRDD**

**Session 3**  
**Today 11 July**

**Learn from other frameworks implementation.**  
**& Reflections on using the M&S scorecard**  
**- Panel of speakers share some lessons on implementing their frameworks / scorecards**  
**- Reminder of how the M&S HRDD works today.**  
**- Propose structure / content of FNET framework.**

**Sessions TBC**  
**Dates TBC**

**The FNET maturity framework developed**  
**-Learnings and discussions used to structure an FNET Framework draft 1.**  
**-Members review and discuss draft 1.**  
**-Suggested changes made to draft and final versions signed.**  
**\*No of sessions tbc as needed**

# Progress to date ...

## The business case (why we need it)

- Increasing regulation & litigation
- Audits are not driving supplier ownership and investment in an effective due diligence system / & difficult to audit full supply chain.
- Suppliers are best placed to understand supply chain risks and inform FNET members of changes over time
- FNET members have limited resources and could be more impactful if they had aligned approach
- Security of supply
- Climate change will only exacerbate the current risks
- Alignment – avoid duplication

## The purpose of the maturity framework

Threefold -

1. measuring suppliers' maturity of their due diligence processes
2. benchmarking which suppliers have moved beyond legal compliance on the core labour issues to best practices
3. for suppliers to demonstrate how they are managing risks

## Who is in scope

- All levels of supply chain / Whole supply chain

## How we will measure success of the framework

For signposting suppliers to what good practice looks like, and giving them a roadmap to aid them progress

# Oxfam Presentations

***Beck Wallace, Oxfam*** - via pre-recorded interview

[Oxfam Interview Recording](#)

Passcode G=%!gaD2

(Recording only available to view for limited time. Expires end of Aug 2023)

***Andrea Gerwer, Oxfam***

Slides 8-12

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# SBO E&E FRAMEWORK OVERVIEW

FNET PANEL – 11<sup>th</sup> July, 2023

Andrea Gerwer – Sustainable Supply Chain Manager (SbO)

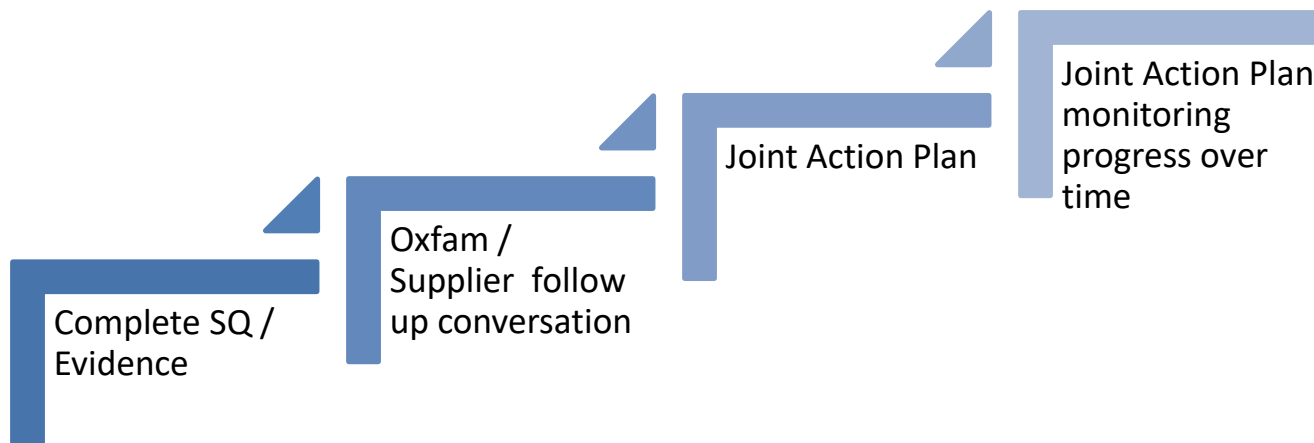


# WHY DO WE HAVE A SUPPLIER FRAMEWORK?

- ▶ Tool allow us to manage Oxfam GB's retail supply chain and operations risks.
- ▶ Provides a clear and credible hierarchy of the business behaviours we value in our suppliers.
- ▶ Mutual ACCOUNTABILITY
- ▶ Aligns with Oxfam's mission to fight poverty and injustice
- ▶ Embeds leading practice so Oxfam walks its talk.
- ▶ Facilitate communications with suppliers, customers and supporters about how we work with our suppliers.





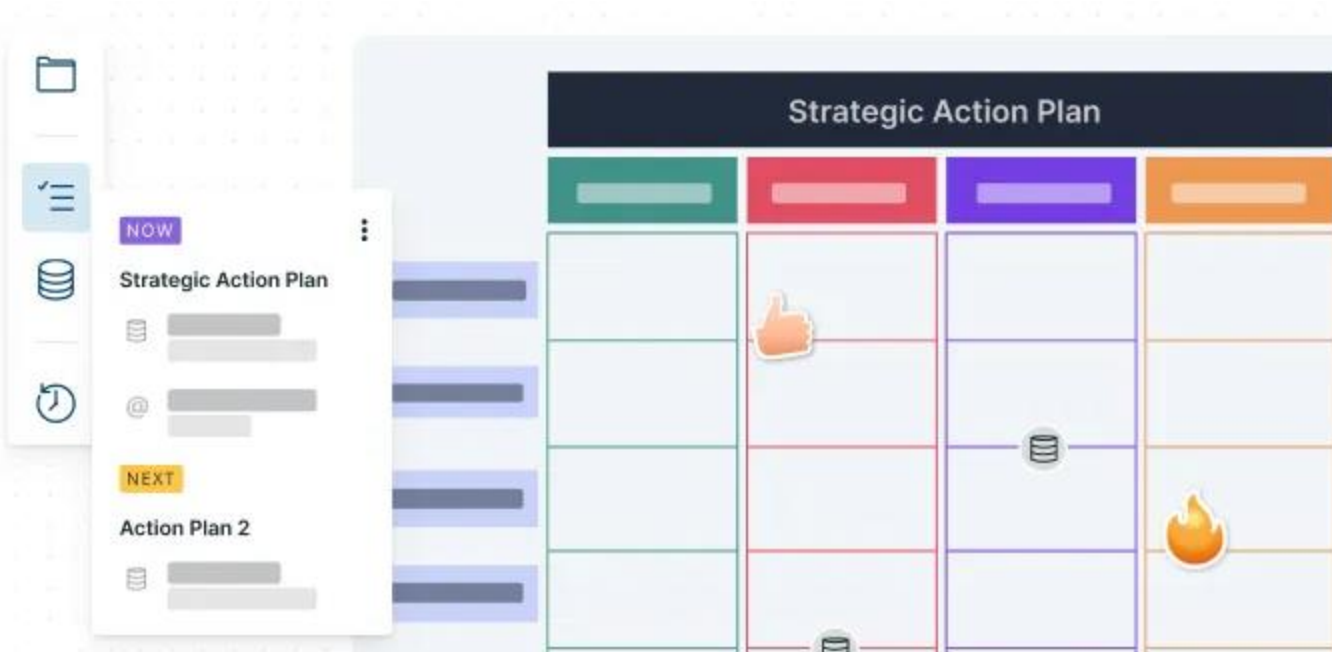


S	M	A	R	T
SPECIFIC	MEASURABLE	ACHIEVABLE	RELEVANT	TIME-BOUND
You need to be clear on what you want to accomplish.	The goals should be quantifiable. For example, generate one lead per month.	The goals should not be too easy or too hard. Set ambitious, but realistic targets.	The target should align with your business goals.	Set a time frame and/ or a clear deadline for achieving your goals.

## The JOINT ACTION PLAN

Oxfam agrees with its supplier a **realistic, timebound plan of action, stating the person who is leading each action** and for use as a tool for mutual accountability. It is a joint action plan.

Oxfam and the supplier will then use the agreed plan as a monitoring tool, by reporting progress against stated actions and discussing the outcomes and impacts of those actions at agreed intervals so that we each understand more about how we do business impacts on the rights of workers in our supply chain over time.



## Commercial incentives

Supplier benefits gained in response to evidence-based progress against the Supplier Framework					
	Level 5	Level 4	Level 3	Level 2	Level 1
Products will be considered for category promotions.		✓	✓	✓	✓
Products are eligible to be featured in Oxfam's Online Shop communications.		✓	✓	✓	✓
Products qualify to be promoted with the SbO Icons		✓	✓	✓	✓
Suppliers are awarded additional points for their evidence-based achievements on the Human Rights Roadmap. For example, this would be added to the supplier review scores or through supplier tenders.			✓	✓	✓
Products are eligible to be branded with the Sourced by Oxfam (SbO) and/or Oxfam brand.			✓	✓	✓
Products will be considered for stand-alone promotions.			✓	✓	✓
Products are eligible to be promoted at a higher frequency across Oxfam's marketing platforms.			✓	✓	✓
Preferential terms will be considered, such as early payment.			✓	✓	✓
Oxfam will consider requests to work with suppliers to become a level 1 'hero' supplier.				✓	
Preferential consideration is given when developing new ranges. These suppliers are approached first with briefs, according to progress against the framework.				✓	✓
Products are eligible to be highlighted by Oxfam as examples of good practice.					✓
Suppliers can openly negotiate any desired benefits with the Sourced by Oxfam team. These will be specific and tailored.					✓
<b>Total number of benefits to suppliers at each level:</b>	<b>0</b>	<b>3</b>	<b>8</b>	<b>10</b>	<b>11</b>

# IMPACT STORIES

## SbO Sourcing Team

- Internal Training
- Greater clarity
- Motivation

## Fair Trade suppliers (e.g. WFTO)

- Very good understanding impact on workers.

## Commercial businesses

- Change business DNA
- Create spaces discuss E&E impact and how to remediate

## Workers

- Overtime reduction

# Aim Progress Presentation

*Louise Herring*, AIM Progress



# Supplier Engagement

AMFRESH UK & FNET

**11<sup>th</sup> July 2023**

By MEGAN BAILEY



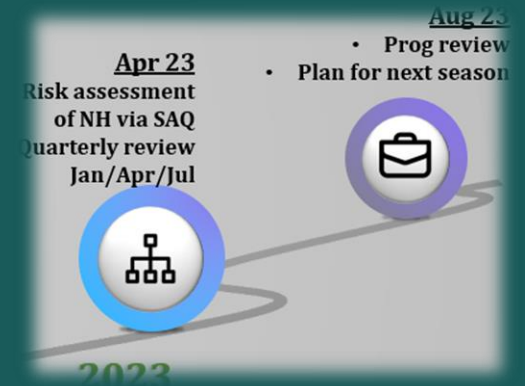
# New Human Rights Policy & HRDD

## Influenced by:

- M&S HRDD Framework
- ETI Base Code, ILO, UNSDGs & UNGPs
- Shift to a 'beyond compliance'
- Want to start conversations, manage risk and highlight best practice

## Engaged suppliers through:

- Roadmap with a period of discussion
- Signed declarations
- Tier One Action plans to engage suppliers beyond compliance
- Supply Chain RA to engage suppliers on areas outside of NCs
  - Allows discussion on key areas such as recruitment, accommodation, transportation, migrant labour & use of labour agencies



# Next Steps

## Updating

- Updating policy prior to September 2023 Launch to include:
  - Responsible Recruitment & Employer Pays Principle
  - Update to our existing WASH Policy
  - Response & Remediation Plan
  - Highlighting our areas of focus and strategy

## Supporting

- Sharing of guidance influenced by risk assessment and supplier surveys
  - Guidance on the use of Labour Providers
  - Grievance mechanisms
  - New Platform on SEDEX
  - Potential Workshops online for key areas of risk



# Other Ways for Engagement

## Sustainability Attributes & Projects

- Focus on best practices & positive stories from the supply base

## Modern Slavery SAQ

- Specific focus on forced labour to review policies, best practices and areas where support is needed.

## Supplier Sustainability Feedback

- Allows us to review what areas of due-diligence and SMETA audits are the most challenging

## KPIs and Scorecards

- Benchmarking and target-setting



# Future Plans on Engagement



# M&S HRDD

*Deborah Johnson, M&S*



# M&S HRDD FRAMEWORK

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# MATURITY FRAMEWORK

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## M&S's Human Rights Due Diligence Maturity Framework

 <b>BELOW FOUNDATION</b>	 <b>FOUNDATION</b>	 <b>INTERMEDIATE</b> In addition to FOUNDATION	 <b>ADVANCED</b> In addition to INTERMEDIATE
<ul style="list-style-type: none"> <li><input type="checkbox"/> No/minimal senior level commitment to human rights</li> <li><input type="checkbox"/> No ethical trade/human rights policies</li> <li><input type="checkbox"/> No/limited mapping of supply chains</li> <li><input type="checkbox"/> No staff leading work on ethical trade/human rights</li> <li><input type="checkbox"/> Staff have no/minimal awareness of human rights</li> <li><input type="checkbox"/> Purchasing practices do not include ethical trade requirements or performance</li> <li><input type="checkbox"/> Sole reliance on ethical audits</li> <li><input type="checkbox"/> No grievance mechanisms</li> <li><input type="checkbox"/> No protocol for dealing with severe human rights violations</li> <li><input type="checkbox"/> No measurement of information about workers in own operations or supply chain</li> <li><input type="checkbox"/> No public reporting of HRDD approach.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Business commitment to human rights outlined in basic policies</li> <li><input type="checkbox"/> Ethical Trade policy and Supplier Code of Conduct shared with suppliers</li> <li><input type="checkbox"/> An individual leads work on ethical trade/human rights</li> <li><input type="checkbox"/> Relevant staff have basic human rights awareness and know how to identify and report human rights risks</li> <li><input type="checkbox"/> Ethical trade/human rights referred to in Terms and Conditions and at tendering stage</li> <li><input type="checkbox"/> Basic risk assessment developed to identify areas of high risk in your own operations and supply chains</li> <li><input type="checkbox"/> Risks are verified using self-assessment questionnaires and audits of own sites and labour providers</li> <li><input type="checkbox"/> Own operations are prioritised</li> <li><input type="checkbox"/> Steps to prevent or reduce risks start with your own operations; labour and service providers</li> <li><input type="checkbox"/> Positive attitude towards worker committees and trade unions promoted</li> <li><input type="checkbox"/> Informal grievance mechanisms and whistleblowing mechanisms in place in own operations</li> <li><input type="checkbox"/> Basic response plan developed for how you would deal with severe human rights violations in your own operations</li> <li><input type="checkbox"/> Basic steps for remedying situations of forced labour in your own operations written down and communicated to relevant staff</li> <li><input type="checkbox"/> Monitoring information collected about awareness raising, training and working practices in your own organisation</li> <li><input type="checkbox"/> Legal reporting requirements met and progress communicated to workers, managers and suppliers.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Public commitments made to human rights, referencing international standards</li> <li><input type="checkbox"/> Business has clear short- and medium-term human rights objectives</li> <li><input type="checkbox"/> Senior manager/s accountable for HRDD approach. 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# REPORTING TEMPLATE

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M&S – Human Rights Due Diligence Reporting Template			
Name:		Organisation:	
Name & role of most senior organisational lead for Human Rights/Ethical Trade:		Sustainability Reports/Modern Slavery Statement Links:	
Which human rights could our business impact on?	Cause	Contribute	Linked to
Which stakeholders' interests do we need to prioritise?	High	Medium	Low
How advanced overall is our current human rights approach?	Below Foundation/Foundation/Intermediate/Advanced		
What are our human rights priority areas of focus? (by country/region/theme or combination)			
Progress made in last 12 months implementing HRDD approach, including KPIs			
Assessment of HRDD approach	<ul style="list-style-type: none"><li>• <b>Policy and Governance</b> - Foundation/Intermediate/Advanced</li><li>• <b>Risk Assessment</b> - Foundation/Intermediate/Advanced</li><li>• <b>Prevention &amp; Mitigation</b> - Foundation/Intermediate/Advanced</li><li>• <b>Tracking Performance</b> - Foundation/Intermediate/Advanced</li><li>• <b>Remedy</b> - Foundation/Intermediate/Advanced</li><li>• <b>Communication</b> - Foundation/Intermediate/Advanced</li></ul>		
Why have you rated yourself as Foundation/Intermediate/Advanced for each area?	• Policy and Governance		
	• Risk Assessment		
	• Prevention & Mitigation		
	• Tracking Performance		
	• Remedy		
	• Communication		
Challenges faced over last 12 months (and resolution where applicable)			
Human rights due diligence plans for following 12 months, including KPIs			
Questions for/support required from M&S			



## SUPPORTING RESOURCES

### Supplier Guide to the Human Rights Due Diligence (HRDD) Process - 2022/23

[Supplier Guide to the Human Rights Due Diligence \(HRDD\) Process - 2022/23 \(office.com\)](#)



[HUMAN RIGHTS DUE DILIGENCE TRAINING \(sharepoint.com\)](#)

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#### M&S HRDD Training - AT THE START OF YOUR HRDD JOURNEY

If you have assessed yourself as Below  
Foundation or Foundation level on M&S's Human  
Rights Due Diligence Maturity Framework, this  
webinar is for you!

[Learn more →](#)

# ASSESSMENTS



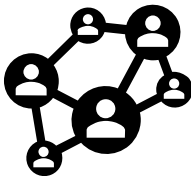
Supplier and M&S assessment against  
Maturity Framework:

Below Foundation  
Foundation  
Intermediate  
Advanced



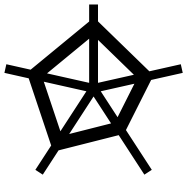
Engagement:

Low  
Medium  
High



Capacity:

Low  
Medium  
High



KPIs:

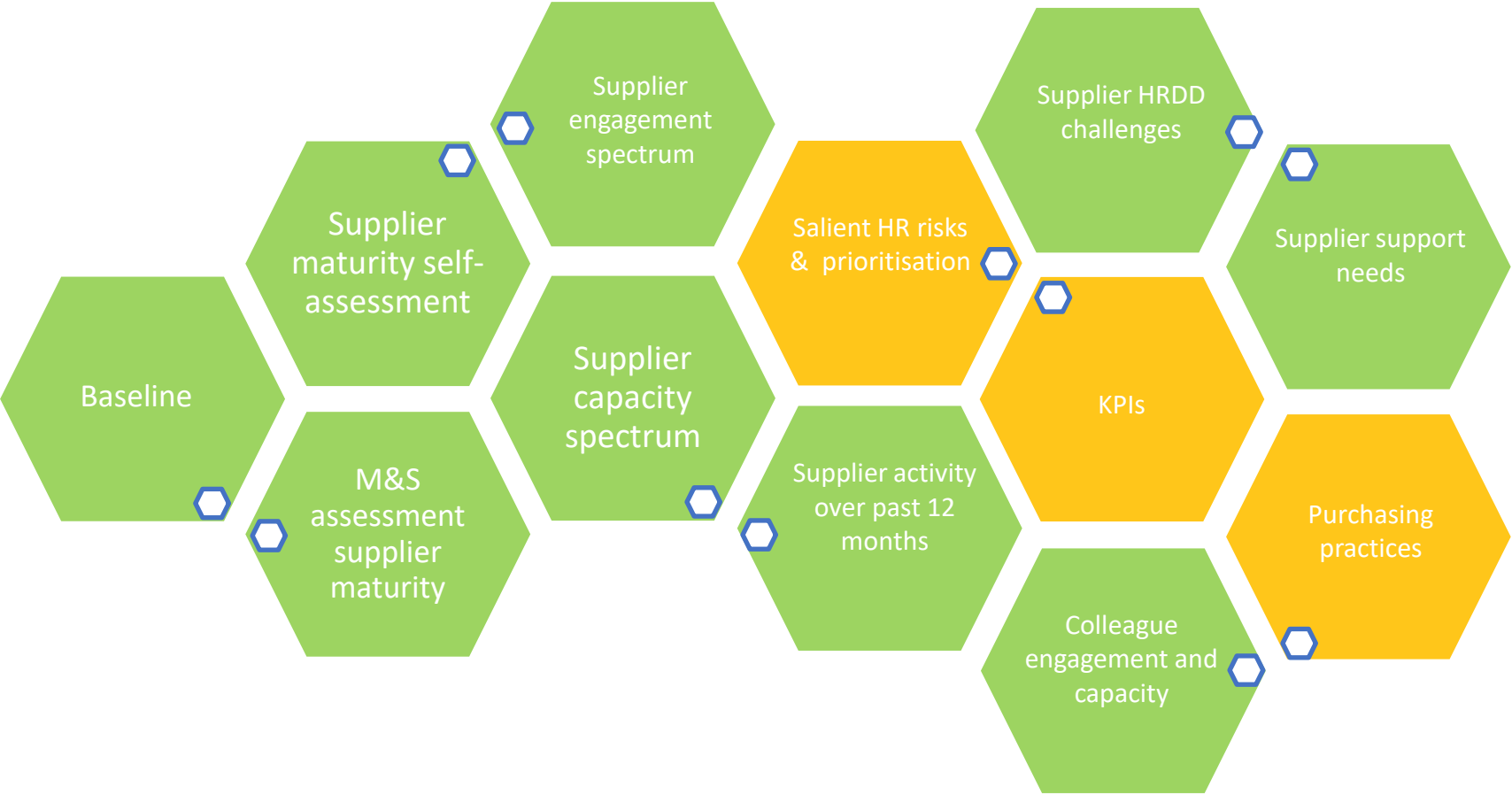
Zero  
Weak  
Acceptable  
Strong



# ENGAGEMENT & CAPACITY MOST IMPORTANT MEASURE



# WHAT DID WE LEARN?



## WHAT'S NEXT

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- Colleague feedback
- Supplier feedback + sharing of case studies (in person Supplier Exchange and virtual)
- Building capacity: KPIs webinar
- Embedding into category teams
- JBPs

# What are the key elements of a due diligence approach

## M&S Approach

1. Policy and Governance
2. Risk Assessment
3. Prevention and Mitigation
4. Tracking performance
5. Remedy
6. Communication

## Nestle Approach

1. Policy and Accountability
2. Traceability
3. Risk Assessment
4. Taking Action
5. Grievance Management and Remediation
6. Monitoring and Verification
7. Reporting



Which headings work best for FNET?

# Small groups discussion 1


## FNET Maturity framework

In small groups pick 1 of the due diligence sections

1. Which framework look like the correct framework for FNET to adapt?
2. Assign the points under the correct due diligence headings - Are there points missing?
3. Look at the Nestle or Oxfam documents are there further points to add in

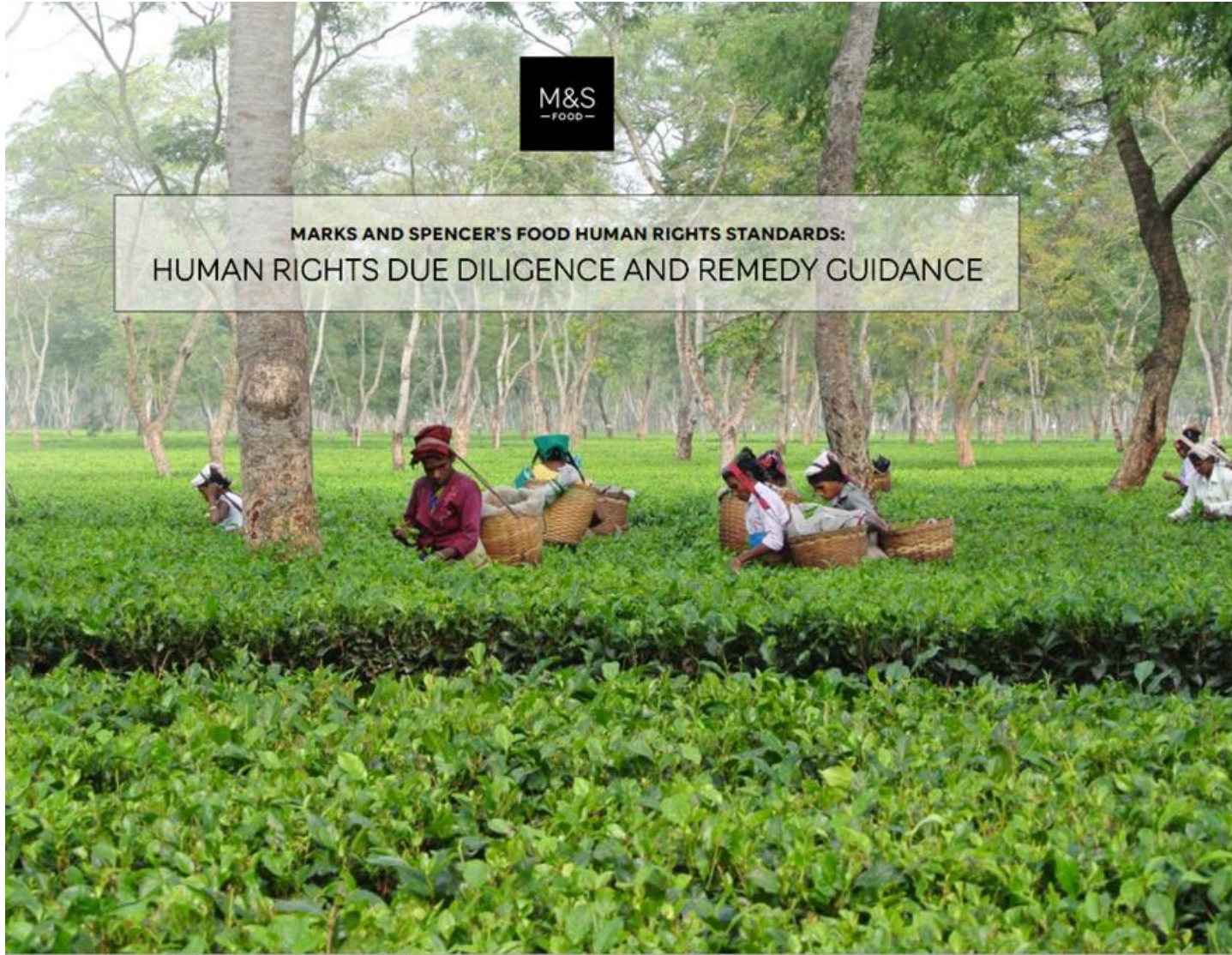
M&S's Human Rights Due Diligence Maturity Framework

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FNET – Human Rights Due Diligence reporting template		
Name	Date of completion	Organisation
Name & role of most senior organisational lead for Human Rights/Ethical Trade:	Sustainability Reports/Modern Slavery Statement Links:	
What are our human rights priority areas of focus? (by country/ region/ theme or combination)		
Summary of key Progress made in last 12 months implementing HRDD approach, including KPIs		
Assessment of HRDD approach	Foundation/ Intermediate/ Advanced	Summary of the 2/3 identified actions to close the gaps towards next level in next 12 months
Policy and Governance		
Risk Assessment		
Prevention and Mitigation		
Tracking performance		
Remedy		
Communication		





## Small groups discussion 2

1. What do we need to do to make the guidance as simple as possible for (smaller) suppliers to use?
2. What are the barriers and how do we overcome them to implement the framework?

**END**

# Appendix: links to frameworks

Aim Progress - [Responsible Sourcing Journey](#) (RSJ)

Unilever - [Responsible Partner Policy](#) (RPP)

Astra Zeneca's – [Sustainability Partner Guide and Framework](#) (SPG)

Oxfam – [Sourced by Oxfam Ethical and Environmental Supplier Framework](#) / Oxfam – [Sourced by Oxfam](#)

[Human Rights Roadmap](#)

[\(M&S Human rights due diligence and remedy guidance\)](#)

ETI Human rights due diligence framework - [Human rights due diligence framework | Ethical Trading Initiative \(ethicaltrade.org\)](#)

# Resources

Oxfam – [Supplier information page](#)

Oxfam - [Women's Perspectives Matter: Providing an enabling environment for women to be heard in the workplace](#) / Top tips pre-read [this report](#).

[Sensemaker](#) – A tool Oxfam used with ETI in Moroccan strawberry work & ETI Blog [International Women's Day: What Moroccan women workers really, really want...and feel](#)

published [this report](#) with the intention of sharing some top tips, so perhaps it could be one of the pre-reads for participants

# Examples of headings in other frameworks

	Framework	Sections	Detail
1	Unilever (Responsible Partner Policy)	Pillar 1- Business integrity and ethics <b>Pillar 2 – Human Rights</b>  Pillar 3 - Planet	Legal Compliance / Corruption / Information / sourcing products  <b>All ETI base code principles</b>  Nature / climate action / waste
2	Astra Zeneca (Sustainability Partner Guide and Framework)	<b>Inclusive</b>  Resilient  Transparent	<b>Human Rights / Inclusion &amp; Diversity / Workforce Wellbeing &amp; Safety / Health in the Community</b>  Energy & Greenhouse Gas / Water / Waste / Product Environmental Stewardship / Pharmaceuticals in the Environment  Fair and balanced reporting of own sustainability performance
3	Oxfam (SBO Ethical & Environmental supplier Framework)	<b>Human Rights Road map</b>     Environment	<b>Corporate commitment</b> <b>Implementation</b> <b>Sourcing commitment</b> <b>4 core enabling rights (no forced / child labour/ freedom of assoc / no discrimination)</b> <b>Other minimum labour standards (Access to work &amp; job security/ access to GMs / Fair / H&amp;S / Working hours / Non-violence, harassment or harsh treatment)</b> <b>4 indicators of worker wellbeing (Feeling valued / Fulfilment of potential/ Would recommend employer/ Sense of optimism)</b> Plan to minimize negative impacts on the environment & degradation on communities (Environmental mission / credentials / external collaboration on environment)

# Examples of headings in other frameworks cont'

	Framework	Sections	Detail
3	Aim-Progress (Responsible Sourcing Journey)	Based on 4 Pillars - <b>Human Rights &amp; Labour</b> - <b>Standards</b> - <b>Health and Safety</b> - <b>Business Integrity</b> -Environment	
4	M&S (HRDD)	-Commitment to human rights -Ethical trade/human rights policies -Mapping of supply chains -Staff leading work on ethical trade/human rights -Staff awareness of human rights -Inclusion of ethical requirements or performance in the Purchasing practices -Reliance or not on Ethical audits -Grievance mechanisms -Protocol for dealing with severe human rights violations -Measurement of information about workers in own operations or supply chain -Public reporting of HRDD approach.	



## Pillar 1 Business Integrity & Ethics



### 1. Legal Compliance & Countering Corruption

Business partners comply with relevant laws and regulations and have a zero-tolerance approach to all forms of corruption.



### 2. Safeguarding Information & Property

Business partners protect information and collect, process, store, transfer and dispose of personal data responsibly.



### 3. Sourcing and Manufacturing Products

Products and materials supplied to Unilever are appropriately sourced, tested and meet agreed specifications.

## Pillar 2 Human Rights



### 4. Freely Agreed Terms of Employment

Work is conducted on the basis of freely agreed and documented terms of employment.



### 5. Free from Discrimination

All workers are treated equally and with respect and dignity without any form of discrimination.



### 6. Free from Harassment

All workers are free from harassment and abuse.



### 7. Work is Voluntary

Employment is accepted and work is conducted on a voluntary basis.



### 8. Appropriate Age

All workers are of an appropriate age and young workers are protected.



### 9. Fair Wages

All workers are paid fair wages.



### 10. Reasonable Working Hours

Working hours for all workers are reasonable.



### 11. Freedom of Association

All workers are free to exercise their right to form and/or join trade unions and to bargain collectively.



### 12. Health & Safety

All workers operate in a safe and healthy work environment that identifies and reduces risks to prevent accidents, injuries and illnesses.



### 13. Access to Grievance Mechanisms & Remedies

All workers have access to grievance mechanisms with fair procedures and remedies.



### 14. Land Rights

The rights and title to property and land of the individual and local communities are respected.

## Pillar 3 Planet



### 15. Protect and Regenerate Nature

Business is conducted in a manner which protects, preserves and regenerates nature including biodiversity.



### 16. Climate Action

Greenhouse gas (GHG) emissions are reduced in line with the goals of the Paris Agreement.



### 17. Waste-free World

The generation of waste is reduced and zero waste to landfill is achieved.