

Checklist/Reporting Template

It is important to report on the progress and impacts of due diligence efforts since companies are supposed to conduct on-going due diligence and to be transparent about it. For reporting, the following document can be used. This document can be used as a checklist for developing your Due Diligence Management process. It can also be used as a template to report on your achievements to stakeholders, for example to the Social Economic Council (SER) within the context of the ICSR covenant.

Company name and address			
Filled in by (name and contact details)			
Date			
Period covered by this report			
Due diligence management point of attention	Implemented, please provide evidence (*)	Partly implemented, please provide evidence (*)	Not implemented, please clarify
Responsible Business Conduct (RBC) policies			
RBC policies regarding company's own operations, supply chains and other business relations developed and endorsed by the company's CEO. Policies contain measurable indicators.			
Procedures in place for periodic and systematic evaluation of RBC policies.			
Senior person/team assigned who is responsible for implementation, monitoring and evaluation.			
Strategy for internal communication about RBC policies implemented.			
RBC policies are clearly communicated with stakeholders and publicly available.			
RBC policies included in company's mission statement.			
RBC embedded in management systems			
Due diligence management embedded in ISO 20400 or other management systems.			
Responsibility for due diligence implementation assigned to relevant departments.			
Adequate communication channels between relevant senior management and relevant departments established.			
Record keeping systems on due diligence processes in place.			
Supplier code of conduct based on RBC requirements implemented.			
RBC requirements integrated in general purchase conditions, purchase orders/contracts, product specifications and possible supplier self-audit questionnaire.			
Supplier code of conduct and purchase conditions are publicly available.			



Template for supplier visit reports with specific attention to RBC requirements is available.			
Due diligence instructions or training available for procurement staff and other relevant workers.			
Incentives for workers and business units to apply due diligence in place.			
RBC expertise/engagement is a selection criterion in recruitment processes of procurement staff and other relevant workers.			
Possible purchasing conditions and commercial incentives impeding suppliers and/or other business relations from implementing RBC identified and addressed.			
Long-term relationships established with suppliers to address RBC challenges.			
Direct suppliers provided with due diligence guidelines and/or training.			
Annual budget for RBC earmarked.			
RBC requirements included in decision-making processes for mergers/acquisitions.			
Grievance mechanism			
A mechanism responding to internally and externally reported grievances is in place.			
Farmers are informed about the existence of grievance mechanism (when there is direct engagement).			
First tier suppliers encouraged to establish grievance mechanism.			
Assessing adverse impacts			
Cooperation with NGOs established.			
RBC expectations and requirements of clients systematically monitored.			
Red flag RBC risks identified based on Quick Scan.			
Relevance of international RBC initiatives for spice supply chains analysed.			
Actual and potential adverse RBC-related impacts identified and assessed.			
Company's involvement with actual and potential adverse impacts assessed.			
RBC risks and needs for action prioritised.			
Making plans			
Plans, appropriate to the kind of involvement with actual and potential adverse impacts developed and implemented. Plans contain measurable indicators.			



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Procedures in place for periodic and systematic evaluation of these plans.			
Track implementation			
Procedures in place to track implementation and effectiveness of the plans.			
Procedures in place to systematically learn from due diligence processes.			
Communication			
Strategy for external communication about RBC policies implemented.			
Relevant information on due diligence policies, processes and management is publicly available.			
Training for marketers and sales people on RBC implemented.			
Remediation (if a company causes or contributes to adverse impacts)			
Restore the situation of affected persons and enable appropriate remediation			
Strategy for stakeholder engagement implemented.			
Provide for or cooperate with legitimate remediation mechanisms.			

(*) For example, website link or report

