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| **Certified Entity:**  |       | **Date:** |       |

► This form must be filled out by the main contact for the Certified Entity, on behalf of, and taking into consideration all facilities and subcontracted entities included within your certification.

► **Fill out this form within the scope of your operation. it is understood that not all entities will implement all aspects of these requirements. For assistance, contact the Fiber & Textiles Team at:** **fibertextile@tilth.org**

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| **GOTS 1.2.7** indicates that GOTS Environmental, Social, and Governance criteria reflect sector-specific risks of textile supply chains and are designed to enable effective due diligence for GOTS Certified Entities. GOTS requires Certified Entities to implement six steps into a due diligence process, as outlined in Section 4.1. Due Diligence Management Process (see below). **GOTS 1.2.8** indicates Certified Entities shall implement due diligence according to Section 4.1 and the relevant OECD guidance documents specified in the Manual for the Implementation of GOTS. Due diligence shall be preventative, dynamic, commensurate with risk (risk-based), informed by meaningful engagement with stakeholders, appropriate to Certified Entity’s circumstances, shall involve multiple processes and objectives, ensure ongoing communication, can involve risk-based prioritization, and shall not cause a shift of responsibilities. **GOTS 4.1.1** requires that the Certified Entity shall engage in responsible business conduct. GOTS Chemical Input Criteria, GOTS Environmental Criteria, GOTS Human Rights and Social Criteria, and GOTS Governance Criteria shall be implemented through the due diligence process. This process shall be commensurate with the risk and appropriate to a specific Certified Entity’s circumstances and context. As provided by [OECD Due Diligence Guidance for Responsible Business Conduct](https://mneguidelines.oecd.org/OECD-Due-Diligence-Guidance-for-Responsible-Business-Conduct.pdf) and [OECD Due Diligence Guidance for Responsible Supply Chains in the Garment and Footwear Sector](https://www.oecd-ilibrary.org/governance/oecd-due-diligence-guidance-for-responsible-supply-chains-in-the-garment-and-footwear-sector_9789264290587-en) the following six steps framework must be followed by the Certified Entity when conducting due diligence process:1. **The Certified Entity shall embed its due diligence process into its policies and management systems,**
2. **The Certified Entity shall identify actual or potential adverse impacts associated with the Certified Entity’s operation,**
3. **The Certified Entity shall cease, prevent, or mitigate adverse impacts,**
4. **The Certified Entity shall track implementation and results,**
5. **The Certified Entity shall communicate how impacts are addressed; and**
6. **The Certified Entity shall enable remediation when appropriate.**

**GOTS 4.1.2** indicates that the due diligence process applies to all GOTS certified entities. **GOTS 4.1.3** indicates that the Certified Entity shall continuously implement due diligence to show progressive improvement over time. |

1. Has your company reviewed the [OECD Due Diligence Guidance for Responsible Business Conduct](https://mneguidelines.oecd.org/OECD-Due-Diligence-Guidance-for-Responsible-Business-Conduct.pdf)? [ ]  Yes [ ]  No
2. Has your company reviewed [OECD Guidance for Responsible Supply Chains in the Garment and Footwear Sector](https://www.oecd-ilibrary.org/governance/oecd-due-diligence-guidance-for-responsible-supply-chains-in-the-garment-and-footwear-sector_9789264290587-en)? [ ]  Yes [ ]  No
3. Has your company reviewed the[Manual for the Implementation of GOTS](https://global-standard.org/downloads#standardandmanual), specifically ***Section 4*** regarding the implementation of due diligence into your operations systems and policies? [ ]  Yes [ ]  No

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| The [**Manual for the Implementation of GOTS**](https://global-standard.org/downloads#standardandmanual) indicates that a Certified Entity’s Policy on Responsible Business Conduct (RBC) must: * 1. Be based on the OECD Guidelines for Multinational Enterprises and relevant international human rights standards, listed under GOTS Section 4.4.1.
1. Include commitments regarding Certified Entity’s own activities and articulate Certified Entity’s expectations of its business partners – including suppliers, licensees, and intermediaries – across the full length of its supply chain.
2. Include a commitment to incorporate due diligence into the decision-making process at an organizational level.
3. Cover GOTS Chemical Input Criteria, GOTS Environmental Criteria, GOTS Human Rights and Social Criteria, and GOTS Governance Criteria and issues identified as sector risks in the OECD Due Diligence Guidance for Responsible Supply Chains in the Garment and Footwear Sector.
4. Include commitments to conduct due diligence on the Certified Entity’s most significant risks in its own operations and in its supply chain.
5. Include a commitment to responsible sourcing practices, meaning that the Certified Entity commits to preventing its contribution to harmful impacts through its sourcing practices.
6. Stipulate the Certified Entity’s expectations regarding the use of subcontractors by direct suppliers, when relevant, including a definition of “subcontract” and distinctions in subcontracted work if they exist.
7. Put forth the Certified Entity’s expectations regarding the outsourcing to homeworkers and the use of handwork, where relevant to the Certified Entity’s business models.
8. Include a commitment to meaningful engagement with affected stakeholders through the course of due diligence.
9. Include a commitment to hear and address all complaints against the Certified Entity regarding its own operations regardless of how they are raised.
10. Include a commitment to hear and address measured and substantiated complaints that the Certified Entity has caused or contributed to harm in its supply chain raised through legitimate processes.
11. Should be approved at the most senior level of the Certified Entity.
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1. Has your company strengthened its management systems to implement and conduct due diligence in your own operation and supply chain? [ ]  Yes [ ]  No [ ]  Explain:
2. Has your company created a ***Policy on Responsible Business Conduct* (RBC)** based on [OECD Guidelines](https://mneguidelines.oecd.org/OECD-Due-Diligence-Guidance-for-Responsible-Business-Conduct.pdf)? This may consist of one single policy, several stand-alone policies, or integrated into wider governance documents such as the code of conduct or principles of business ethics? [ ]  Yes [ ]  No [ ]  Attach Policy, then list file name here:
	1. Does it articulate your commitments to responsible business conduct in your own operations and the full length of your supply chain? [ ]  Yes [ ]  No [ ]  Comment:
	2. Does it include a commitment to incorporate due diligence into the decision-making process at an organizational level? [ ]  Yes [ ]  No [ ]  Comment:
	3. Does it include a *Code of Conduct* that prescribes the principles of ethical behavior, honesty, fair dealings, and proscribes any form of corruption or bribery?
	[ ]  Yes [ ]  No [ ]  Attach Policy, then list file name here**:**
	4. Does itinclude assessing risk to the GOTS Chemical Input Criteria, GOTS Environmental Criteria, GOTS Human Rights and Social Criteria, and GOTS Governance Criteria as part of your due diligence process? [ ]  Yes [ ]  No [ ]  Attach Policy, then list file name here:
	5. Is itpublicly available and communicated to all employees, suppliers, business partners, and other relevant parties? [ ]  Yes [ ]  No [ ]  Comment:
3. Has oversight and responsibility of implementation of Due Diligence been assigned to relevant Senior Management and have board-level responsibilities for implementing the Policy on Responsible Business Conduct been implemented, as applicable? [ ]  Yes [ ]  No
**Responsible Sr. Management Contact:**
**Responsible Board-level Contact:**

*Have both above-named contacts received information and regularly provided training on all relevant topics including those related to human and labour rights?* [ ]  Yes [ ]  No [ ]  Attach Examples, then list file name here:

1. Does your operation provide relevant staff with training on integrity regulations and inform them about sanctions for non-compliance? [ ]  Yes [ ]  No [ ]  Comment:
2. Has your operation allocated adequate support and resources to conduct due diligence process and implement your *Policy on Responsible Business Conduct?* [ ]  Yes [ ]  No [ ]  Attach examples of increased support and resources, then list file name(s) here or create a narrative response here:
3. Has your operation performed a risk assessment in regard to material sourcing with an emphasis on potential for contamination? Have actual or potential adverse impacts associated within your operation, and suppliers been identified? [ ]  Yes [ ]  No [ ]  Attach Examples, then list file name(s) here:
4. Has any testing in response to a risk assessment been undertaken?[ ]  Yes [ ]  No [ ]  Describe:
5. Based on your self-assessment of your systems and suppliers, and actual or potential adverse impacts, what actions have been identified and taken to cease, prevent, or mitigate adverse impacts? Are your operations most significant risks and those from your supply chain included? [ ]  Yes [ ]  No [ ]  Provide a report **(then list file name)** or enter a narrative response here:
6. Has your company developed metrics to show implementation, results, and progressive improvement over time *of your operation’s due diligence*? This is to verify, monitor, and validate progress on due diligence and its effectiveness within *your operation*. [ ]  Yes [ ]  No [ ]  Provide Metrics, then list file name here:
7. Has your company developed metrics to show implementation, results, and progressive improvement over time *of your suppliers*? This is to verify, monitor, and validate progress on due diligence and its effectiveness within *your supply chain.* [ ]  Yes [ ]  No

[ ]  Provide Metrics, then list file name here:

[ ]  Provide information regarding the current status of implementation and goals for improvement
then list file name or create a narrative response here:

[ ]  Provide information on how found impacts are tracked, addressed, corrected (remediated), and communicated with OTCO on an annual basis. [ ]  Provide a report: list file name, or
enter a narrative response here:

1. Will your operation communicate publicly, including stakeholders for Human Rights, on your due diligence process, including how you have addressed potential and actual harm, at least on an annual basis, and that is communicated in a way that is relevant, accurate, clear, user friendly and with plain language that is presented in a way that intended users can access the information? [ ]  Yes [ ]  No [ ]  If no,enter a narrative response here:

**Ethical Business Behavior is a crosscutting prerequisite at all stages of the supply chain and applies
to all stakeholders of the supply chain. Confidence among the stakeholders of the GOTS certification process (Workers, business partners, customers, Approved Certifiers, and scheme) is critically important.**

► **The following points must be agreed to by the Certified Entity:**

[ ]  **4.5.3** The Certified Entity shall adhere to relevant OECD guidelines.

**[ ]  4.5.4** The Certified Entity shall not be involved in any act of corruption, extortion, or embezzlement, nor in any form of bribery - including but not limited to - the promising, offering, giving, or accepting of any improper monetary or other incentives.

**[ ]  4.5.5** The Certified Entity shall keep accurate information regarding their activities, structure, and performance, and disclose these in accordance with applicable regulations and industry benchmark practices.

**[ ]  4.5.6** The Certified Entity shall neither participate in falsifying such information nor in any act of misrepresentation in the supply chain.

**[ ]  4.5.7** The Certified Entity shall collect, use and otherwise process any personal information (including that from Workers, business partners, customers and consumers in their sphere of influence) with reasonable care.

**[ ]  4.5.8** The Certified Entity shall collect, use and process personal information following privacy and information security laws and regulatory requirements.

**[ ]  4.5.9** The Certified Entity shall establish an anonymous non-discriminatory whistle-blower mechanism, assuring easy access and effective measures to protect whistle-blowers and ensuring that any information received regarding corruption or non-compliance is followed up and necessary actions taken.

**[ ]  4.5.10** The Certified Entity shall provide relevant staff with training on integrity regulations and inform them about sanctions for non-compliance.

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| **Important Information Regarding Electronic Signatures:** Oregon Tilth recognizes and permits the use of electronic signatures in the conduct of its business. By checking the box below, you willingly consent to the use of electronic signatures in the conduct of your business with Oregon Tilth.[ ]  **AGREE** |

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| **Name/Title:**       | **Date:**       |

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|  |  |
| **Signature:** |  |
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