



**Creative Associates International, Inc.’s
Combating Trafficking in Persons (“Anti-Trafficking”) Compliance Plan**

Background and Purpose

Creative Associates International, Inc. (“Creative”) has developed its Combating Trafficking in Persons (“Anti-Trafficking”) Compliance Plan in accordance with applicable U.S. Government’s regulations that demonstrate the company’s zero-tolerance “Policy” (H-5.1.8.22) regarding trafficking in persons by government contractors and award recipients, as set out in FAR Subparts 22.17, 52.222-50 (h), and 52.222-56, and USAID’s Mandatory Provision “Trafficking in Persons”.¹ These regulations/provisions require implementation of a Compliance Plan in instances where supplies, other than commercially available off-the-shelf items, are acquired outside of the United States, or services are to be performed outside the United States; and where such supplies or services have an estimated value that exceeds \$500,000.

Creative’s corporate policies and procedures as a whole demonstrate a commitment to ethical behavior in all of its activities and include robust compliance and ethics programs that are aligned with our corporate values. Key elements of Creative’s programs include written compliance standards and procedures, ongoing employee training, regular audit evaluation and monitoring the effectiveness of the Compliance Plan, a reporting process for complaints and concerns, corrective disciplinary actions for noncompliance, and review and remediation of problems.

Creative’s Combating Trafficking in Persons (“Anti-Trafficking”) Compliance Plan has three main anchors, which include: (1) *prohibitions*—to ensure that Creative’s zero tolerance for antitrafficking is publicized and clearly set forth; (2) *prevention*—to specify actions that Creative will take to help prevent trafficking behaviors from occurring; and (3) *recourse*—to specify reviews and actions that will be taken if anti-trafficking is suspected or if it occurs.

Applicability

Creative’s Compliance Plan incorporates its baseline standards for anti-trafficking compliance that apply presumptively to U.S. Government federally funded contracts, subcontracts, cooperative agreements, grants, awards and subawards, and to vendors from which supplies, other than commercially available off-the-shelf items are procured, that have a value of US\$500,000 or more.

For all such applicable awards, Creative’s project staff together with “functional area team leaders” (*Security, Finance & Contracts, HR, Operations, & Compliance and Legal*) will examine each

¹ Creative’s Anti-Trafficking Compliance Plan is deemed to substantially comport with the requirements of UK Modern Slavery Act 2015 (<http://www.legislation.gov.uk/ukpga/2015/30/part/1/crossheading/offences/enacted>); this Plan thus constitutes the slavery and human trafficking statement required under Section 54 of such Act. See https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/649906/Transparency_in_Supply_Chains_A_Practical_Guide_2017.pdf

contract or award individually to assess the risk of trafficking activity, based on factors such as the number of non-U.S. citizens to be employed and whether the contract or award will involve services or supplies susceptible to trafficking in persons. Creative's project staff, in consultation with functional area team leaders, will make recommendations to adapt or modify the Compliance Plan as necessary to ensure that it is appropriate to the size and complexity of the contract or award, and the nature and scope of the activities to be performed.

The three main anchors of Creative's "Anti-Trafficking" Compliance Plan (*prohibition, prevention & recourse*) are summarized below.

Anchor # 1: Prohibitions

Creative's policy (**Anti-Trafficking Policy, H-P 5.1.8.22**) on Combating Trafficking in Persons identifies prohibited activities and the company's zero tolerance of trafficking as described in FAR Subparts 22.17, 52.222-50 (h), and 52.222-56, and in pertinent USAID Standard Provisions, and describes the actions Creative will take to publicize its prohibitions. Such actions to establish and publicize the company's prohibitions will include, for instance, the roll-out of formal policies and procedures that prohibit trafficking; the strategic placement of signage throughout Creative offices that state the prohibitions; publishing and making accessible Creative's Anti-Trafficking Policy, and orienting Creative staff on the policy and obtaining their signed certifications and acknowledgments of receipt.

Creative will also seek to ensure that subcontractors, subawardees, grantees, and vendors to which the regulations apply are made aware of Creative's prohibitions, and if applicable, to obtain copies of their Compliance Plans. In addition, and in the spirit of the regulations, project and functional area teams will advise any additional measures or approaches deemed appropriate to ensure that staff, and applicable award recipients (*subcontractors, subawardees, grantees, and vendors that receive funds of \$500,000 or more from federally funded awards*) are appropriately informed of Creative's strict prohibitions against trafficking.

In ensuring that Creative staff are informed of the specific anti-trafficking prohibitions, they will be required to read and acknowledge Creative's Anti-Trafficking Policy and complete an on-line training program through Creative's online training platform, "Creative U", which will identify the prohibitions as follows:

Creative prohibits:

- severe forms of trafficking in persons;
- the procurement of commercial sex acts;
- the use of forced labor; destruction, concealment, confiscation, or denial of access by an employee to the employee's identity or immigration documents;
- use of misleading or fraudulent practices during recruitment or offering of employment, or when required by law or contract, failing to provide an employment

- contract, recruitment agreement or other required work document in writing;
- use of recruiters that do not comply with local labor laws;
- charging of recruitment fees to employees;
- failing to provide return transportation or paying for the cost of return transportation at the end of employment;
- if required by law or contract, failing to provide an employment contract, recruitment agreement or other required work document in writing.

Creative posts the Anti-Trafficking Policy, as well as its broader Ethics Policy and Child Protection Policy, on its Electronic Document Management System (“EDMS”) (Intranet), where it can be accessed by all Creative personnel at any time.

Anchor # 2: Prevention

Creative takes all reasonable and appropriate measures to comply with the letter and spirit of applicable U.S. Government regulations against Combating Trafficking in Persons (“AntiTrafficking”), and to the maximum extent practicable, shall employ its online training platform, “Creative U”, to deliver training.

While Creative’s prevention measures may vary from award to award depending upon the size of the award and perceived risks, the two main anchors of Creative’s prevention approach shall include awareness and training programs.

- 1) **Creative’s Awareness Programs:** Raising awareness about *what* trafficking is in terms of *what* it encompasses, *how* it is done, and *why* it is done (*the purpose*) is a critical first step in endeavoring to prevent the occurrence of trafficking. Accordingly, Creative’s Compliance Plan includes a robust awareness program to help ensure that Creative’s staff at headquarters and in the field are made aware of the critical aspects that characterize and operationally define trafficking and that its external “partners” are also made aware of applicable anti-trafficking activities and that applicable award recipients have their own Compliance Plans, if required.
 - i. **Raising Awareness Internally to Staff:** The modalities of raising awareness “in house” will vary, but may include, for instance, direct communications from headquarters to staff in the field; broad communications in newsletters or via email; tailored messages from the Compliance Department; policy and procedures roll-outs; and other appropriate means.
 - ii. **Raising Awareness Externally:** To the extent deemed appropriate, Creative will extend its awareness program to its award recipients that receive federal funds of \$500,000 or more and will review their Compliance Plans and share “best practices” in raising awareness.

- 2) **Creative’s Training Program:** Creative’s training program is the second step in its overall trafficking prevention program. Beyond explaining *what* trafficking means, as conveyed through its awareness programs, Creative’s training programs are intended to provide concrete, visible presentations via videos and written materials of *how* it is done and *why* it is done. Such training will be provided to all Creative staff at headquarters and in main offices in the field.

Creative will determine what constitutes a viable training program on a case-by-case basis and will determine the most feasible manner of delivering such training, given the particular circumstances of the award. Methodologies may include, for instance, providing written materials, videos, SMS messaging, social media, or by other means that are suitable and feasible in given situations.

In addition to the foregoing, Creative will seek to build the capacity of award recipients in project implementation (if needed) to whom the regulations apply, as follows:

- i. **External Capacity Building:** To the extent practicable, and if deemed necessary, Creative will share its templates, best practices, and lessons learned with its subcontractors, subawardees, grantees, and vendors to whom the antitrafficking regulations apply.
- 3) **“Subs”, Grantee, and Vendor Awareness and Training Programs:** Awardees to whom the anti-trafficking regulations apply are required to develop and maintain their own Compliance Plans and to certify to Creative that it has done so. Such plans must meet the minimum requirements in the Anti-Trafficking Provisions that are appropriate to the size and complexity of their awards with Creative and the nature of the activities to be performed under them. Creative will, in turn, seek to ensure their appropriateness by sharing its own “best-case” practice.

Anchor # 3: Response

Creative’s senior leadership including program and operational teams will help ensure the appropriate response to trafficking allegations. The range of such responses may include, but not be limited to, for instance the following:

- 1) **Security Response:** Creative has well-established and longstanding systems and methodologies for assessing and reporting allegations of misbehaviors and/or wrong doing. These systems, and the policies and procedures that undergird them, are clearly set forth in Creative’s Headquarters (HQ) and Field Manuals that are accessible online to all staff at headquarters and in the field. One critical component of Creative’s robust “security” system is its allegations “hotline.” Established and monitored by the security department, it serves as a vehicle for reporting of allegations. Creative has extended this proven system to include reporting allegations of trafficking, having laid the grounds for understanding *what* it is, *how* it’s done, and *why* it’s done through the company’s

awareness and training programs. Such prior awareness raising and prevention is important to ensure that those who choose to use the hotline are informed about what may constitute the behavior that falls within the category of the operational definition of anti-trafficking.

It is underscored that it is Creative's policy to ascertain the credibility of any and all allegations, whether the allegations are from known or anonymous sources, deemed credible or not, and to promptly report to appropriate government officials any and all cases of human trafficking. Creative's Security Department administers the receipt, review, investigation and proper disposition of all allegations of fraud, misconduct and human trafficking. All allegations received by Creative personnel that trafficking has been or may be occurring in the context of program activities that Creative is implementing should be promptly reported to the Security Department, which has the exclusive responsibility and authority to: a) report fraud to the appropriate USG authorities, b) at its discretion, define action plans conducive to establishing the credibility of allegations, and c) launch investigations at the request of or in coordination with authorities. Any allegation regarding a Creative employee, a sub-contractor, beneficiary or any other relevant party involving violations of law, government regulations or Creative standards of conduct, must immediately be reported to Creative's Fraud & Abuse direct lines: 1-877-750-CREA (2732) or +1-202-772-2137 or via email at Fraud&Abuse@CreativeDC.com. The Security Department administers both the direct line and the email address, and is automatically notified via email when an allegation is made via these methods. Only the Security Department and its designated staff have access to the direct line and email. If allegations are received from other sources, such as Creative's website or general email, they must be immediately reported to the Security Department.

- 2) **Compliance and Legal Response:** The Compliance Department will review cases to ascertain whether there has been compliance with Creative's policies and procedures and based on such reviews will recommend the appropriate actions and or remedies. Such reviews also extend to assessing the compliance of applicable award recipients and will include coordination with and input of Creative's project management team in so doing, as appropriate.
- 3) **Human Resources (HR) Response:** The HR Division will review cases involving staff at HQ or in the field to ascertain whether personnel policies and Anti-Trafficking policy and procedures have been complied with. In cases where violations have occurred HR will recommend appropriate actions up to and including staff terminations.
- 4) **Finance and Contracts Response:** Based on the recommendations of Creative's Program and Functional Area Teams, Finance and Contract teams will take the appropriate actions, which may include withholding payments of terminating engagements.

Internal Reporting Requirements and Procedure

All Creative personnel and implementing partners (subs, grantees and vendors) are required to report any suspected trafficking-related activity or violation of this policy to Creative. Any allegation of suspected trafficking regarding a Creative employee, a sub-contractor, grantee or vendor (to whom the regulations apply) or involving violations of law, government regulations or Creative standards of conduct, must immediately be reported to Creative's Fraud & Abuse direct lines: 1-877-750-CREA (2732) or +1-202-772-2137 or via email at: Fraud&Abuse@CreativeDC.com. The Security Department administers both the direct line and the email address, and is automatically notified via email when an allegation is made via these methods.

In addition, reports may be made to any Creative supervisor, senior Country Office management, or to HQ's HR representative. Any Creative supervisor, member of senior Country Office management, or HQ HR representative who receives such a report is required to immediately forward the report to Creative's Director of Compliance or Office of General Counsel.

Creative personnel and Supplier Personnel who believe they or others have been subjected to prohibited trafficking-related activities may also report the activity as outlined above, or may contact the Global Human Trafficking Hotline at 1-844-888-FREE or help@befree.org.

It is each employee's obligation to report known or suspected violations of Creative's Anti-Trafficking Policy. If an employee fails to report a suspected violation, he or she could be subject to disciplinary action, up to and including termination of employment. Creative strictly prohibits retaliation against any Creative employee who reports prohibited trafficking-related activity or other violations of this policy, or who cooperates with any internal or government investigations of such reports. Employees may do so without fear of reprisal. Creative personnel who engage in any form of retaliation against those who report prohibited trafficking-related activities or other violations of this policy are subject to disciplinary action, up to and including termination of employment with Creative.

Review of Allegation, Remediation and Disclosure to Government Authorities

If Creative receives an allegation from an employee report or any other source alleging prohibited trafficking-related activity, Creative's Senior Director of Security will review the information to determine if it is credible and if so, take appropriate referral actions.

Where misconduct is uncovered through an internal investigation, third party audit, or otherwise, the misconduct shall be remedied through corrective action and preventative measures shall be implemented to reduce to risk of reoccurrence.

Creative will cooperate fully with any US Government agencies responsible for any investigations, audits or corrective actions relating to trafficking in persons, including, but not limited to, providing timely and complete responses to document requests, and providing reasonable access

to Creative facilities and staff.

Creative will protect all employees suspected of being victims of or witnesses to prohibited activities, prior to returning to the country from which the employee was recruited, and will not prevent or hinder these employees from cooperating fully with U.S. Government authorities.

Posting of Plan

Creative will post this Plan on its internal and external websites, www.creativeassociatesinternational.com and at all workplaces, except where the work is being performed in non-fixed locations.

Annual Certification to Contracting Officer

Annually after receiving an award, Creative's Director of Compliance shall submit a certification to the Contracting Officer that:

- It has implemented a Compliance Plan to prevent any prohibited activities under the Anti-Trafficking provisions and to monitor, detect, and terminate any agent, subcontract or subcontractor employees engaging in prohibited activities; and
- After having conducted due diligence, either:
 - To the best of Creative's knowledge and belief, neither it nor any of its agents, subcontractors, or their agents is engaged in any such activities; or
 - If abuses relating to any of the activities prohibited by the Anti-Trafficking provisions have been found, Creative or its subcontractor has taken the appropriate remedial and referral actions.



Leland Kruvant

Date of Compliance Plan Issuance: June 6, 2016

President & CEO
Creative Associates International
5301 Wisconsin Ave. NW, Suite 700
Washington, DC 20015