

Combatting Anti-Human Trafficking Compliance Plan *ASEAN-USAID Partnership for Regional Optimization with the Political-Security and Socio-Cultural Communities (ASEAN-USAID PROSPECT)*

Contract/Agreement Number: 72049718C00002

Period of Performance: 20 August 2019 – February 19, 2024

DAI believes that all human beings should be treated with dignity, fairness, and respect, and we are committed to upholding fundamental human rights. DAI fully supports the United States Government's prohibition on trafficking in persons and complies with all anti-human trafficking laws and regulations in its work with the U.S. Government and other clients throughout. Accordingly, DAI expects all employees, subcontractors, subcontractor employees, partners, agents, and other intermediaries to abide by U.S. Government regulations as well.

Specifically, DAI personnel are required to comply with DAI's policy on anti-human trafficking, Policy 8.0a Governing Policy on Anti-Human Trafficking. In addition, DAI employees, subcontractors, subcontractor employees, partners, agents, and other intermediaries must comply with Federal Acquisition Regulation, *Combating Trafficking in Persons* (§52.222-50).

This document sets forth DAI's compliance for the above referenced contract, as required by FAR 52.222-50 (h), based upon the size and complexity of the contract and the nature and scope of the activities. Under this contract, DAI is employing 10 non-United States citizens in Indonesia. Across ASEAN, there is medium risk that the contract will involve services or supplies susceptible to trafficking in persons.

Additional awareness information about trafficking in persons may be found at the U.S. Department of State's Office to Monitor and Combat Trafficking in Persons website at <http://www.state.gov/j/tip>.

AWARENESS PROGRAM

Pursuant to the terms of our contract (FAR 52.222-50 Combating Trafficking in Persons), and DAI policies, its employees, and agents, as well as its subcontractors and sub-awardees and their employees and agents, are forbidden to:

- Recruit, harbor, transport, provide, or obtain persons, through the use of force, fraud, and/or coercion, and subject any person to involuntary servitude; and/or procure commercial sex acts from any person;
- Procure any sex act in exchange for anything of value and/or of perceived value;
- Use forced labor in the performance of a contract, cooperative agreement, or sub-award;
- Deny any employee access to his/her identity or immigration documents;
- Use misleading or fraudulent practices during the recruitment of any employee(s) and/or the offer of employment;
- Use recruiters who violate US and or the applicable labor laws where the recruitment occurs;
- Charge employee(s) recruitment fees;
- Withhold or fail to provide and/or pay the cost for an employee's return transportation upon the end of his/her employment (for employees who are not local nationals of the host/cooperating country where the work occurs and who traveled to the host/cooperating country to work on a project contract, subcontract, cooperative agreement, or sub-award);
- Provide or arrange housing that fails to meet the host/cooperating country housing and safety standards (if DAI provides or arranges for the employee's housing); and/or
- Fail to provide an employment and/or recruitment agreement, or other required work documents in writing as required by applicable US or local law or the contract, cooperative agreement, or sub-award.

Any violation of the contract clause and/or DAI's Policy could result in disciplinary action up to and including termination of employment. For subcontractors, subcontractor employees, and agents, failure to comply may result in immediate termination of the subcontract or agreement.

EMPLOYEES

DAI employees are expected to report any credible information on violations of this policy. DAI employees are also required to complete the annual anti-human trafficking awareness training.

For field employees of the aforementioned project, DAI provides the following training program:

- After the Compliance Plan is approved and annually afterwards, the COP or a senior manager designated by the COP will provide a trafficking-in-persons training using the customized training materials and poster provided.
- On an annual basis, project staff will take DAI's Ethics training which includes basic TIP awareness information as well as instructions on the reporting process of any credible evidence of violations of this policy.

- New staff will be provided with an awareness poster and training as part of the onboarding process.
- The customized awareness poster and Compliance Plan will be posted in the project's Field Operations Manual (FOM)..
- The anti-trafficking awareness poster must be posted at the project office.

SUBCONTRACTORS/SUPPLIERS

For work performed outside the U.S., FAR clause 52.222-50, Combatting Trafficking in Persons, is incorporated into our agreements with subcontractors and vendors with the exception of suppliers of commercially available off-the-shelf items. Subcontractors and sub-awardees for agreements over \$500,000 must certify annually and must receive materials and orientation appropriate for their level of capacity. A copy of all subcontractor certifications is maintained on file with DAI's Office of Contracts.

Subgrants and Grants under Contracts (GUCs) templates have appropriate mandatory provisions for non-U.S. Non-Governmental Organizations on Combatting Trafficking in Persons as dictated by USAID's ADS 303.

Purchase Order Templates have a clause that addresses the TIP policy requirement.

- For small- and mid-sized vendors - for procurements above \$3,500 and up to \$499,000 -, all required certifications are in the existing Purchase Order template.
- However, for small- and mid-sized vendors, the project's Awareness Poster will be shared and to increase awareness, project may ask the vendor to initial the TIP section of the agreement.
- For vendors with awards over \$500,000, the project will include TIP as an agenda item for the kick-off meeting. The project will provide and discuss the contents of the Awareness Poster. The project will also provide and explain how to complete the Subcontractor Compliance Plan (High Risk) Template. Subcontractor employees will also attend TIP awareness events or meetings that the project holds for its employees.

REPORTING

DAI Employees:

- (1) Shall immediately inform their supervisor, Chief of Party, Deputy Chief of Party, or the Chief Ethics and Compliance Officer if they become aware of credible information of human trafficking.
- (2) May report suspected or actual human trafficking activities to the Global Human Trafficking Hotline at 1-844-888-FREE or help@befree.org.
- (3) May report suspected or actual human trafficking activities to the DAI Ethics Hotline at 1-855-603-6987 (US), 1-503-597-4328 (International), ethics@dai.com, or via the Speak Up line accessible at <https://secure.ethicspoint.com/domain/media/en/gui/34333/index.html>.

Employees may report, in good faith, and have a responsibility to report, without fear of retaliation and subject to protection under 10 U.S.C. §2409 for reprisal for whistleblowing on trafficking in persons violations, any activity that violates the contract clause or cooperative agreement standard provision.

DAI will report all violations to both the USAID Office of Inspector General (OIG) and to the Contracting Officer.

RECRUITMENT AND WAGE PLAN

Neither DAI employees nor sub-contractors/grantees are permitted to use recruiters who charge recruitment fees to potential employees. Wages must meet requirements of the host country.

Furthermore, as required by law and/or the project contract or agreement, an employee's work document (employment contract, recruitment offer, or other required work documents) shall be in a language the employee understands; and

As required by law and/or the project contract or agreement, an employee's work document(s) will include details such as a work/position description, wages, prohibition on charging recruitment fees, work location(s), living accommodation(s) and associated costs (if applicable), time off, roundtrip transportation arrangements (if applicable), grievance process, and the content of the applicable laws, regulations, and DAI policies which prohibit the trafficking in persons and the use of forced labor.

HOUSING PLAN

Providing housing is not anticipated under this contract.

DUE DILIGENCE AND CERTIFICATION

- Annually on the contract/cooperative agreement anniversary date, the COP will certify through the Certification Form below that through due diligence efforts:
 - To the best of his/her knowledge and or belief, the project's employees, agents, as well as its subcontractors, sub-awardees and their employees and agents are not engaged in prohibited activities; and
 - If prohibited activities are found, DAI and/or its subcontractor and sub-awardees will take the appropriate remedial and referral actions, as per the "Reporting" section of the Compliance Plan.
- The signed form must be saved in the Project TAMIS Corporate module and emailed to your HO based Project Manager and Contracts Administrator. The Contracts Administrator will submit the annual certification form to the USAID CO/AO, and the Project Manager will collect these forms for the purpose of centralized bookkeeping and corporate tracking.
- Due diligence with regards to project staff is accomplished by:
 - Ensuring training is completed, awareness materials are posted, and any prohibited activities are reported as per the Compliance Plan constitute sufficient due diligence.
- Due diligence with regards to agents, subawardees and their employees and agents is accomplished by:

- During site visits or visits to vendors, project staff should be cognizant of human trafficking warning signs and report potential violations as per the “Reporting” section of the Compliance Plan.
- For vendors with agreements over \$500,000, Keith Doxtater is responsible for collecting Compliance Plan certifications annually.

COMPLIANCE PLAN COMPONENTS

- Training material Presentaion slides (Medium-to-High Risk) or (Low Risk)
- Awareness Poster
- Subcontractor Compliance Template and Certification Form
- COP Certification Form (below)

ANTI-HUMAN TRAFFICKING CERTIFICATION

PROJECT NAME: ASEAN-USAID PROSPECT PRIME CONTRACT No: 720-497-18-C-00002

SECTION I: AUTHORITY. In accordance with FAR 52.222-50, for any portion of the contract that: (1) has an estimated value that exceeds \$500,000, and (2) is (a) for supplies – other than commercially available off-the-shelf items – acquired outside the United States, or (b) for services to be performed outside the United States, a Contractor shall maintain a compliance plan to prevent any prohibited activities identified in FAR 52.222-50(b) and to monitor, detect, and terminate any agent, subcontract or subcontractor employee engaging in prohibited activities.

SECTION II: PROHIBITED ACTIVITIES. Prohibited activities are identified in FAR 52.222.50(b), as listed or referenced below:

- Engaging in severe forms of trafficking in persons during the period of performance of the contract;
 - Procuring commercial sex acts during the period of performance of the contract;
 - Using forced labor in the performance of the contract;
 - Destroying, concealing, confiscating, or otherwise denying access by an employee to the employee’s identity or immigration documents;
 - Using misleading or fraudulent practices during the recruitment of employees or offering of employment as described in FAR 52.222-50(b)(5);
 - Charging employees recruitment fees;
 - Failing to provide return transportation or failing to pay for the cost of return transportation upon the end of employment for employees identified in FAR 52.222-50(b)(7);
 - Providing or arranging housing that fails to meet the host country housing and safety standards; or
 - If required by law or contract, failing to provide an employment contract, recruitment agreement, or other required work document in writing, in accordance with FAR 52.222-50(b)(9).
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SECTION III: TO BE COMPLETED BY PROJECT CHIEF OF PARTY ON BEHALF OF PROJECT.

- A. The Contractor has implemented a compliance plan in accordance with Sections I and II above, and will provide its compliance plan to the Contracting Officer upon request:
 YES NO
- B. The Contractor has posed the relevant contents of its compliance plan at the workplace or on the Contractor’s website (if applicable) or has distributed the relevant contents of the compliance plan to each worker in writing in accordance with FAR 52.222-50(h)(4)(i).
 YES NO
- C. The Contractor has conducted due diligence, and to the best of the Contractor’s knowledge and belief, neither the Contractor nor any of its employees, agents, subcontractors, or their employees are engaged in any prohibited activities identified in FAR 52.222-50(b):
 YES NO
- D. If the response to C above is NO, the Contractor has taken the appropriate remedial and referral actions, including but not limited to notifying the Contracting Officer of any abuses detected or any actions taken (please detail all actions taken and attach this detailed description to this certification form).
 YES NO
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SECTION IV: CERTIFICATION.

Keith Doxtater
Chief of Party



Signature of Chief of Party

August 4, 2023

Date