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**Operations
Office of Research Integrity & Assurance**

**Compliance Plan for Combating Trafficking In Persons**

Arizona State University is opposed to human trafficking and forced labor in any form. The U.S. Government has a zero-tolerance policy regarding Government employees, contractor personnel or their agents engaging in any form of trafficking in persons, defined to mean the recruitment, harboring, transportation, provision or obtaining of a person for labor of services, through the use of force, fraud, or coercion for the purpose of subjections to involuntary servitude, peonage, debt bondage or slavery and sex trafficking.

ASU is required to comply with the with the Federal Acquisition Regulations (FAR) and Defense Federal Acquisition Regulations Supplement (DFARS) provisions and Arizona Revised Statutes regarding Combating Trafficking in Persons.

FAR 52.222-50, Combating Trafficking in Persons (MARCH 2015) paragraph (h)(1), states that a Compliance Plan must be maintained for the duration of the performance of the contract, for any portion of the contract that (a) Is for supplies, other than commercially available off-the-shelf items, acquired outside the United States, or services to be performed outside the United States; **and** (b**)** Has an estimated value that exceeds $500,000.

Compliance Plans are maintained by ASU Office for Research Integrity and Compliance (ORIA) The Principal Investigator, listed below is responsible for the implementation of this Compliance Plan and it shall be effective (‘Effective Date’) as of the date of final signature below.

ASU Awareness Program:

Pursuant to the FAR and DFARS ASU, its employees, and their agents shall not:

1. Engage in severe forms of trafficking in persons during the period of performance of the contract;
2. Procure commercial sex acts during the period of performance of the contract;
3. Use forced or trafficked labor in the performance of the contract;
4. Destroy, conceal, confiscate, or otherwise deny access by an employee to the employee's identity or immigration documents, such as passports or drivers' licenses, regardless of issuing authority;
5. Use misleading or fraudulent practices during the recruitment of employees or offering of employment, such as failing to disclose, in a format and language accessible to the employee, basic information or making material misrepresentations during the recruitment of employees regarding the key terms and conditions of employment, including wages and fringe benefits, the location of work, the living conditions, housing and associated costs (if employer or agent provided or arranged), any significant cost to be charged to the employee, and, if applicable, the hazardous nature of the work;
6. Use recruiters that do not comply with local labor laws of the country in which the recruiting takes place;
7. Charge employees recruitment fees (as defined by the FAR);
8. Fail to provide return transportation or pay for the cost of return transportation upon the end of employment -
9. For an employee who is not a national of the country in which the work is taking place and who was brought into that country for the purpose of working on a U.S. Government contract or subcontract (for portions of contracts performed outside the U.S.); or
10. For an employee who is not a U.S. national and who was brought into the U.S. for the purpose of working on a U.S. Government contract or subcontract, if the payment of such costs is required under existing temporary worker programs or pursuant to a written agreement with the employee (for portions of contracts performed inside the United States).

Exceptions:

 The requirements of paragraph 8 are modified for a victim of trafficking in persons who is seeking victim services or legal redress in the country of employment, or for a witness in an enforcement action related to trafficking in persons. ASU shall provide the return transportation or pay the cost of return transportation in a way that does not obstruct the victim services, legal redress, or witness activity. This paragraph does not apply when the preceding exception applies.

The requirements of paragraph 8.b shall not apply to an employee who is legally permitted to remain in the country of employment and who chooses to do so; or is exempted by an authorized official of the contracting agency from the requirement to provide return transportation or pay for the cost of return transportation. Requests for such authorizations from the contracting agency shall be coordinated by the ASU Office of Research Integrity & Assurance Services.

9. Provide or arrange housing that fails to meet the host country housing and safety standards; or

10. If required by law or contract, fail to provide an employment contract, recruitment agreement, or other legally required work document in writing in a language the employee understands, containing a detailed description of the terms and conditions of employment, at least five (5) days before an employee relocates to perform work. The employee's work document shall include, but is not limited to, details about work description, wages, prohibition on charging recruitment fees, work location(s), living accommodations and associated costs, time off, roundtrip transportation arrangements, grievance process, and the content of applicable laws and regulations that prohibit trafficking In persons.

[Adapted from FAR 52.222-50(b).]

**ASU Compliance Plan:**

1. Notification
2. To provide the required awareness program for individuals working on projects subject to the Combating Trafficking in Persons clause, the Principal Investigator shall distribute this Compliance Plan to all employees working on the referenced project prior to performance of the project. Additional information about Trafficking in Persons and associated laws and regulations can be found at the U.S. State Department's Office to Monitor and Combat Trafficking in Persons website: <http://www.state.gov/j/tip/>, the National Human Trafficking Resource Center website: https://traffickingresourcecenter.org/, and by reviewing the following Arizona Revised Statutes relating to the Combating of Human Trafficking: <http://endsextrafficking.az.gov/human-trafficking/arizona-laws>
3. ASU will include a discussion of this topic at the project kick-off meeting and will provide ongoing discussions related to combating human trafficking at events or meetings held for any team member.
4. Violations of this Compliance Plan and subsequent laws may result in disciplinary actions, including but not limited to, removal from the contract, reduction in benefits, or termination of employment.
5. Employees are expected to report any credible information of violations of this Compliance Plan and/or FAR 52.222-50(b) by calling the ASU Hotline for Ethics and Compliance at 877-786-3385, and by calling the Global Human Trafficking Hotline at 1-888-373-7888 or sending an email to help@befree.org.
6. Should violations of this Compliance Plan and/or FAR 52.222-50(b) occur, the Principal Investigator shall be responsible for informing the ASU Office of Research Integrity & Assurance (ORIA), Assistant Director Chantelle Shalley, (480) 965-4387, Chantelle.Shalley@asu.edu, immediately and taking any remedial actions necessary. ASU shall inform the Contracting Officer and the agency Inspector General as required.
7. Subrecipient or Vendor
	1. When applicable, Subrecipients and Vendors will have FAR, DFARS and/or Arizona Revised Statutes incorporated into their subawards or purchase orders.
	2. Subrecipients must flow down the Combating Trafficking in Persons clauses to any of their subcontractors.
	3. Subrecipients and Vendors will receive a copy of this Compliance Plan and be bound to the same requirements as ASU. Violations of this Compliance Plan and/or FAR, DFARS or Arizona Revised Statutes may result in subaward termination.
	4. All Subrecipients and Vendors will be required to certify compliance with this plan.
8. Recruitment and Wage Plan

To the extent that ASU uses a recruitment company during the course of the project, only recruitment companies with trained employees may be used, who prohibit charging recruitment fees to the employee, and who ensure that wages meet applicable host-country legal requirements.

1. Housing Plan

To the extent that ASU will provide or arrange housing during the course of the project, the following describes the activities that will be undertaken to ensure that housing meets host-country safety standards:

1. Principal Investigator Certification

Principal Investigator:

Unit Name:

Sponsor Name:

ASU Proposal Number:
Project Title:

I,      , as Principal Investigator and an employee or agent of ASU, working on the above referenced project, acknowledge the following:

1. That I have reviewed and understand Compliance Plan for Combating Trafficking in Persons and agree to comply with the requirements contained therein.
2. I understand that I cannot begin work on this project until I sign and submit this agreement.
3. I will furnish this Compliance Plan to the Contracting Officer upon request.
4. Annually, as of the Effective Date, I will certify to ORIA one of the following compliance statuses:
	* 1. To the best of the my knowledge and belief, neither I nor any of my subcontractors, agents have been engaged in human trafficking; or
		2. If abuses relating to any of the prohibited activities identified in FAR 52.222-50(b) have occurred, remedial actions have been taken, and actions to prevent future violations have been taken.

Certified by:

 Principal Investigator Signature Date

1. Subrecipient Certification

Subrecipient Name:

Subrecipient Principal Investigator:

Agreement Number:
Project Title:

I,      , as Principal Investigator and an employee or agent of Subrecipient, working on the above referenced project, certify the following:

* 1. Subrecipient’s policies and practices prohibit engaging in the trafficking of persons, the use of forced labor, or the procuring of a commercial sex acts in the country or countries in which it conducts business; and
	2. If applicable, it has implemented a compliance plan to prevent any prohibited activities identified in FAR 52.222-50 (b) and to monitor, detect, and terminate any subcontract, subcontractor employee or agent engaging in prohibited activities; and
	3. After conducted due diligence, either
		1. To the best of the its knowledge and belief, neither it nor any of its subcontractors, agents have been engaged in human trafficking; or
		2. If abuses relating to any of the prohibited activities identified in FAR 52.222-50(b) have occurred, remedial actions have been taken, and actions to prevent future violations have been taken.

Certified by:

 Subrecipient Principal Investigator Signature Date