University of Nottingham
Rights Lab

Workshop

Modern slavery risk assessment and due diligence: Creating a group action plan

4 to 12 people

Action plans
Short
Medium
Long-term

Schedule
Face-to-face
Hybrid
Remote

Aim

The aim of this briefing note is to provide instructions for facilitating a creative group problem solving approach to engage a multi-function and/or multi-stakeholder team of between 4-12 people in the development and agreement of short-, medium- and long-term action plans to address modern slavery risk. Taking 2 ½ to 3 hours, the workshop format can be adapted for delivery as either a face-to-face, hybrid or remote event.

Deciding who should attend

Strategically, you may wish to engage senior management as well as to include participants with knowledge and expertise across a range of functions and levels. Participants are likely to include those from your organisation and/or relevant providers, suppliers and other external stakeholders. Participants may be chosen from – but are not limited to – representatives from purchasing, procurement, commissioning, legal, commercial, marketing and human resources. You may also wish to include operational specialists with specific knowledge of those parts of the sector under consideration known to be at high modern slavery risk.

Before the workshop

It is a good idea to share key documents, such as sector-specific guidelines, that you will use to support the generation of ideas for action during the workshop with participants ahead of the session, along with a short description of the workshop's aims, objectives and approach. As an example, the workshop objectives are given in the text box that may be tailored to your event context.

By the end of the workshop

Participants should be able to:

- Understand the specific nature of modern slavery risk in the sector
- Identify the specific strengths, weaknesses, opportunities and threats within the supply chain
- Agree the key actions required for the development of modern slavery risk assessment and due diligence to address these features
- Prioritise and agree short, medium and long-term action plans for the development of suitable modern slavery risk assessment and due diligence

In addition, you may wish to ask participants to prepare by coming to the workshop with a list the activities within their functional area that they believe could contribute to the minimisation of modern slavery risk.

Developing a shared understanding of modern slavery risk

You may wish to commence with a short presentation by a modern slavery specialist either within or external to your organisation to develop a shared understanding of the nature of modern slavery risk in the sector. This introduction could be set in the context of existing knowledge and understanding about the extent of modern slavery globally and/or nationally in the UK.

Conducting a SWOT analysis of your supply chain

With a multi-functional or multi-stakeholder team, you can gain an invaluable view of the current strengths, weaknesses, opportunities and threats that you are facing related to modern slavery risk. Ask participants to individually identify the strengths and weaknesses of your internal supply chain processes and the external opportunities and threats that are relevant to your locality. You can capture these features using post-its on a flip-chart grid or record them electronically using software such as padlet. Once everyone has added their perspective, a facilitator can lead a group discussion to resolve any inconsistencies in how each aspect has been catagorised.

Creating your group action plans

Once you have introduced the session, allowed time for the opportunity for those present to gain a shared understanding of the risks, and conducted your SWOT analysis, make sure that you provide an overview of the creative problem-solving process described here so that everyone understands the phased sequencing of idea creation and selection.

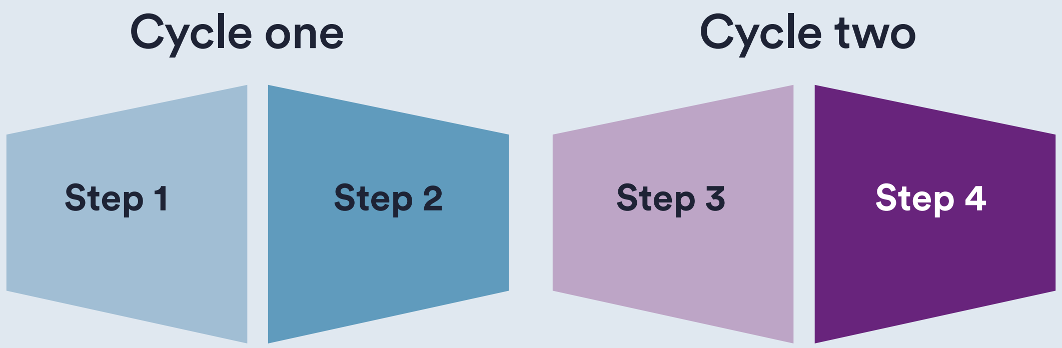
Overview of the creative problem-solving process

As shown in the diagram overleaf, this creative problem-solving approach is a sequential process which involves two distinct cycles of idea generation followed by filtering. This allows participants the freedom to brainstorm ideas safe in the knowledge that they can later filter these in the second and fourth stage. For the process to work well, it is important that idea generation and filtering take place separately.

> The more ideas that can freely be generated during the brainstorming phases (first and third stages) the more comprehensive and impactful your action planning will be.

This creative problem solving process was devised and tested by Dr Caroline Emberson of the University of Nottingham's Rights Lab. In case of queries, Caroline can be contacted at caroline.emberson@nottingham.ac.uk

As shown in the diagram, this creative problem-solving approach is a sequential process which involves two distinct cycles of idea generation followed by filtering. Each of these steps, including the activities of the facilitator and the professionals attending the workshop, are described in detail below.



Generate and clarify possible solutions

Filter ideas based upon likely effectiveness and resource implications

Refine and develop additional possibilities

Prioritise based on importance and urgency

Cycle one

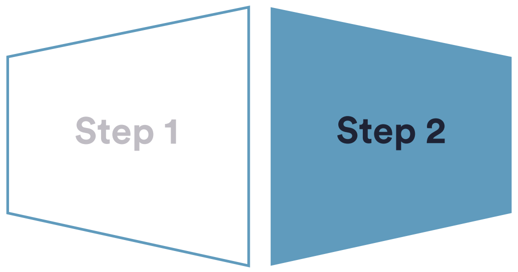
Generate and clarify possible solutions

Facilitator

- Provide post-its and pens, or use software such as padlet, to capture individual ideas for action
- Ask participants to record as many ideas as they can. Asking for a minimum of five suggestions from each person encourages idea generation
- Once you notice that people have stopped writing, ask each person in turn to read out their ideas, explaining that questions may be asked only for clarification. This is not the time to evaluate anyone's ideas as either good or bad
- If a new idea occurs to a participant as they hear what others have suggested, ask them also to record this too

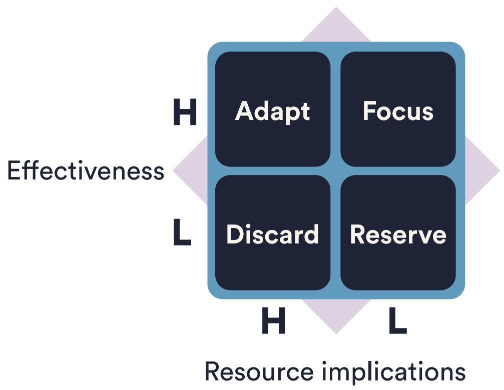
Participants

- Generate as many ideas as possible
- Note down everything that you think of – don't self-censor at this stage
- Capture each individual ideas on a post-it or by padlet
- Jot down every new idea that occurs to you
- Build on the ideas of others
- Only ask questions to clarify what someone else's idea means



Generate and clarify possible solutions

Filter ideas based upon likely effectiveness and resource implications



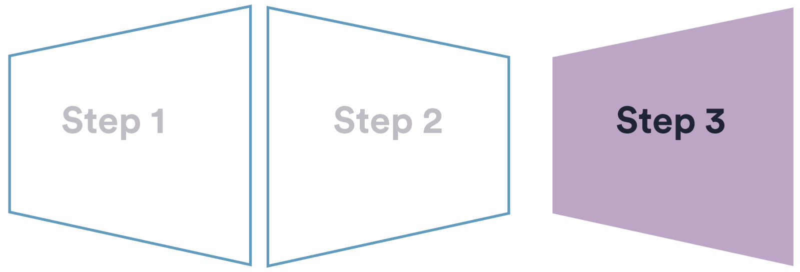
Facilitator

- This is the first filtering step. Create a four-box grid on flip chart paper or by labelling the four corners of the padlet so that participants can classify and place their ideas for action into the appropriate area based on the likely 'effectiveness' of their idea (either high or low) and its resource implications (again, either high or low)
- Lead a group discussion to gain agreement for the classification of each action. Move any ideas that are re-classified
- Actions in the 'focus' category which have high effectiveness and with low resource implications will be moved on to the next stage of the process, as can high effectiveness ideas that can be adapted to reduce their resource implications

Participants

- Evaluate each of your ideas based upon its likely effectiveness and the resource implications and place it in the appropriate quadrant of the grid prepared by the facilitator
- When prompted, explain why you have classified your actions as you did
- Comment on the classification of others' ideas, particularly if you can identify how ideas with high resource implications might be adapted to reduce the level of resource required

Cycle two



Generate and clarify possible solutions

Filter ideas based upon likely effectiveness and resource implications

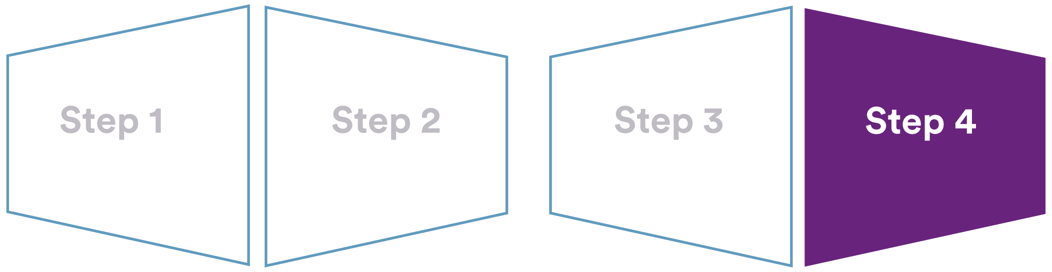
Refine and develop additional possibilities

Facilitator

- Ask the group to consider whether they can generate further ideas by reviewing areas for action recommended by sector-specific best practice guides. You may find guides such as the **OECD guidelines for responsible business conduct; SHIVAs online-self-assessment scorecard for local authorities** or specialist Rights Lab guidance such as that available for **adult social care** and **construction** useful for this
- Again, ask participants to note down and share details of any additional ideas generated

Participants

- Use best practice guidelines to identify additional actions or further refine ideas in existing action areas
- Note down all additional possibilities
- Again, build on the ideas of others
- Ask questions for clarification

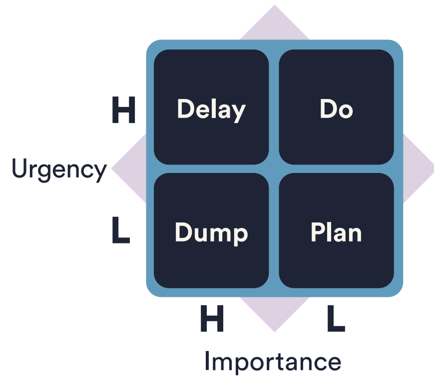


Generate and clarify possible solutions

Filter ideas based upon likely effectiveness and resource implications

Refine and develop additional possibilities

Prioritise based on importance and urgency



Facilitator

- This is the second and final filtering step
- Create a four-box grid on flip chart paper or by labelling the four corners of the padlet so that participants can classify and place these ideas into the appropriate area. This time the filtering grid is based on the urgency of the action (either high or low) and its importance (again, either high or low)
- This filtering grid allows participants to differentiate those actions to which they want to commit into short term actions (high urgency, high importance); medium term plans (high important, low urgency) from longer term objectives (high urgency but low importance)
- Re-categorise the ideas identified as suitable either to 'focus' upon or to 'adapt' during the first filtering stage, plus any additional actions generated as a result of step 3
- Lead a group discussion to gain agreement by the group for the classification of each action. Move any ideas that are re-classified during the group discussion
- Lead the discussion to review the final action plan as a group, assigning owners for each retained action and agreeing SMART key performance indicators

Participants

- Evaluate each of your ideas based upon its urgency and importance and place it in the appropriate quadrant of the grid prepared by the facilitator
- When prompted, explain why you have classified your actions as you did
- Discuss and finalise short, medium and long-term actions
- Assign action owners

After the workshop

You may wish to formalise the plan in the form of a Microsoft Word document or Excel spreadsheet. Make sure that you have included action owners and agreed timescales so that accountability is clear and implementation can be monitored.