



# GLOBAL REPORTING INITIATIVE INDEX

**Abt Associates**

JUNE 2020

ABTASSOCIATES.COM

## About Our Global Reporting Framework

Our mission is to *improve the quality of life and economic well-being of people worldwide*. This is more than a statement. It's a unifying concept that has defined us since our founding in 1965, and a concept that deeply permeates everything we do.

We advance our mission through our three core impact pathways: Our Work—the products and services we offer our clients, Our People and Operations—how we operate our company, and Our Communities—the way we engage with communities we operate in. We distill our mission into five goals that help operationalize and measurably advance our impact around the world.

Abt is committed to rigorous measurement and transparency. In addition to reporting on our own mission impact goals, we report against international frameworks such as the Global Reporting Initiative (GRI) Standards and the Ten Principles of the United Nations Global Compact (UNGC). Additionally, we align our reporting to the Sustainable Development Goals (SDGs).

A note on reporting time frames: This report spans multiple time frames depending on the topic in focus. This includes the 2019 calendar year (CY), Abt's 2020 fiscal year (FY) (April 2019 to March 2020) and our clients' fiscal year designations. All relevant timeframes are noted throughout the index.

## Abt's 2020 Global Reporting Initiative Index

The 2020 Mission Impact Report has been prepared in reference to the GRI Standards but makes no claims to certification. For more information on our performance and alignment, [read the report here](#).

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## GRI 100: UNIVERSAL STANDARDS

### GRI 102: General Disclosures

#### **1. Organizational Profile**

- **102-1: Name of the organization**

Abt Associates, Inc.

- **102-2: Activities, brands, products, and services**

Founded in 1965, Abt Associates is a consulting and research firm that works on U.S. domestic policy and international development. Abt uses data and bold thinking to improve the quality of people's lives worldwide. From increasing crop yields and combatting infectious disease, to ensuring safe drinking water and promoting access to affordable housing—and more—we partner with clients and communities to tackle their most complex challenges. Our diverse staff of more than 3,700 operate on the ground in more than 50 countries alongside our clients, enabling us to tailor our solutions to meet their needs and the needs of those they serve.

- **102-3: Location of headquarters**

Rockville, MD USA

- **102-4: Location of operations**

We operate in more than 50 countries around the world, with ten locations in the U.S., two in Australia, and one in the U.K.

- **102-5: Ownership and legal form**

We are a privately held company. Our employee stock ownership program (ESOP) was established in 1975, just ten years after the company was founded. It is one of the oldest ESOPs in the U.S. and no one individual has a significant share of ownership.

- **102-6: Markets served**

- ▶ See the [About Us](#) section in the 2020 Mission Impact Report

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Abt Associates serves more than 50 countries and territories in the regions of Australia, Asia Pacific, Europe, Latin America and the Caribbean, the Americas, South and Central Asia, the Middle East and North Africa, and Sub-Saharan Africa.

- **102-7: Scale of the organization**

Total Number of Employees: 3,700+  
 Total Number of Operations: 13 corporate, numerous worldwide field offices  
 FY19 Revenue: \$660M  
 FY19 Assets: \$249M  
 250+ clients served  
 17,800+ partner organizations engaged

- **102-8: Information on employees and other workers**

**Associated UNGC Principle: 6**

**Associated SDG: 8**

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In FY20 we updated our methodology to reflect average headcount across the fiscal year ((first day FY20 - last day FY20)/2).

Percent of employees by employment contract and sex, Abt U.S.:

Employment Contract	Sex	FY20	FY19
<b>Permanent</b>	<i>Female</i>	45%	47%
	<i>Male</i>	55%	53%
<b>Temporary</b>	<i>Female</i>	61%	64%
	<i>Male</i>	39%	36%

GRI 100: UNIVERSAL STANDARDS

Percent of employees by employment contract and sex, Abt Australia and Britain:

Employment Contract	Sex	FY20
<b>Permanent</b>	<i>Female</i>	52%
	<i>Male</i>	48%
<b>Temporary</b>	<i>Female</i>	0%
	<i>Male</i>	0%

Percent of employees by employment contract and region, Abt U.S.:

Employment Contract	Region	FY20	FY19
<b>Permanent</b>	<i>Domestic</i>	40%	44%
	<i>International</i>	60%	56%
<b>Temporary</b>	<i>Domestic</i>	100%	100%
	<i>International</i>	0%	0%

Percent of employees by employment contract and region, Abt Australia and Britain:

Employment Contract	Region	FY20
<b>Permanent</b>	<i>Domestic</i>	16%
	<i>International</i>	84%
<b>Temporary</b>	<i>Domestic</i>	0%
	<i>International</i>	0%

Percent of employees by employment type and sex, Abt U.S.:

Employment Type	Sex	FY20	FY19
<b>Full-Time</b>	<i>Female</i>	43%	45%
	<i>Male</i>	57%	55%
<b>Part-Time</b>	<i>Female</i>	66%	68%
	<i>Male</i>	34%	32%

Percent of employees by employment type and sex, Abt Australia and Britain:

Employment Type	Sex	FY20
<b>Full-Time</b>	<i>Female</i>	52%
	<i>Male</i>	48%
<b>Part-Time</b>	<i>Female</i>	76%
	<i>Male</i>	24%

- **102-9: Description of the organization’s supply chain**

Abt Associates is a data-driven, knowledge-based solution provider working to improve the quality of people’s lives worldwide. Abt Associates deploys a services-based supply chain, delivering services as initiated by customer demand, and partnering with clients and communities to tackle their most complex challenges. The largest input for the production of our services is labor, both internal and external. Therefore, our most important asset is our employees and their subject matter expertise in the fields of education, environment and energy, food security and agriculture, governance and justice, health, housing and asset building, and workforce and economic mobility. We rely on a diverse supply base of over 1,700 suppliers to complement our expertise and ensure the delivery of our services and knowledge-based solutions. Customer-driven solutions that require the procurement of tangible materials are fulfilled from a diverse and global supply base, to meet customer and project demand. Payments made to suppliers supporting our supply chain for FY20 totaled \$154 million. Abt Associates focuses on optimization of our supply chain making investments in IT infrastructure

and labor to optimize operations, reduce costs, and ensure delivery of quality services. Investments are continual to ensure we meet our strategic plan, values, and corporate mission.

- **102-10: Significant changes to the organization and its supply chain**

The supply chain is stable without significant change in size, structure, and ownership. Despite the challenges of the COVID-19 pandemic there has been minimal disruption in the supply materials and services to deliver our solutions. There were no major changes to our facilities other than a shift to remote work by employee assets at the end of the fiscal year. Abt Associates' capital structure remains stable and capable of supporting supply chain operation, with no major changes in the location of our supply base nor in our strategic supplier relationships. We effectively managed any supply disruption through active supplier evaluation and monitoring and continue to invest in third party risk management activities and process improvements to ensure supply stability.

- **102-11: Precautionary Principle or approach**

The concept of sustainability is deeply ingrained within the mission of Abt Associates. Abt's multidisciplinary approach to solving the world's most difficult challenges, and its inherent focus on balancing social and environmental considerations with positive economic outcome, has been part of our fabric since the very beginning in 1965.

The Precautionary Principle is a core element of how we pursue our mission. We systematically evaluate potential risks and benefits to human health and the environment across every engagement and ensure mitigation measures are employed when the risk potential is evident.

- **102-12: External initiatives**

Examples of major external initiatives we engage in include:

- CDP's Climate Change Questionnaire
- The Climate Registry
- United Nations Global Compact
- United Nations Sustainability Development Agenda 2030
- World Resources Institute's Greenhouse Gas Protocol

- **102-13: Membership of associations**
  - American Public Health Association
  - American Society of Tropical Medicine & Hygiene
  - Humentum (Inside NGO)
  - International SOS Assistance, Inc.
  - Knowledge Alliance
  - National Contract Management Association
  - National Association of Corporate Directors
  - Professional Services Council
  - Society for International Development
  - Society for Research on Educational Effectiveness
  - The Climate Registry
  - United Nations Global Compact
  - U.S. Global Leadership Coalition
  - World Trade Center Institute, Inc.

## **2. Strategy**

- **102-14: Statement from senior decision-maker**  
See the [Letter from Our CEO](#) in the 2020 Mission Impact Report

## **3. Ethics and Integrity**

- **102-16: Values, principles, standards, and norms of behavior**  
**Associated UNGC Principle: 10**  
**Associated SDG: 16**  
▶ See [Our Ethics & Governance](#) section in the 2020 Mission Impact Report
- **102-17: Mechanisms for advice and concerns about ethics**  
**Associated UNGC Principle: 10**  
**Associated SDG: 16**  
▶ See [Our Ethics & Governance](#) section in the 2020 Mission Impact Report

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We employ a number of measures to ensure staff behave in accordance with our standards and in compliance with regulations that govern our work.

These include:

- A comprehensive Code of Conduct
- Policies on business processes and procedures that are easily accessible to all employees
- Robust training on policies regarding corrupt practices, anti-trafficking, freedom from harassment and non-retaliation
- Two 24-hour anonymous helplines for reporting any potential misconduct, one monitored by management and one monitored by the Chair of the Finance and Audit Committee
- One WhatsApp line managed by Abt's Chief Ethics and Compliance Officer

## 4. Governance

- **102-18: Governance structure**

- ▶ See [Our Ethics & Governance](#) section in the 2020 Mission Impact Report
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Our Human and Reputational Capital Committee is updated several times per year on topics pertaining to social, environmental, and economic impacts.

Additional information on our governance structure can be found on our website: [abtassociates.com](http://abtassociates.com)

- **102-19: Delegating authority**

Accountability and direction for strategic issues—including those pertaining to economic, social and, environmental topics—are ultimately set by our Board of Directors, specifically the Human and Reputational Capital Committee. Chief executives then delegate oversight of actions accordingly to Vice Presidents, Directors, and Senior Managers, with regular reporting of progress and challenges to both executive and board-level leaders.

- **102-20: Executive-level responsibility for economic, environmental, and social topics**

Abt's Senior Manager of Impact and Sustainability regularly reports to executive leaders and the Board of Directors on Abt's sustainability strategy, priorities, goals, and performance.

- **102-22: Composition of the highest governance body and its committees**

**Associated SDGs: 5, 16**

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Abt's Board of Directors is comprised of ten members, including the Chairman of the Board and Abt's CEO. Board members sit across four committees: Finance and Audit, Nominating and Governance, Human and Reputational Capital, and Compensation, and two sub-committees: ESOP and Operating Model.

- **102-23: Chair of the highest governance body**

**Associated SDG: 16**

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Gary Perlin, retired Chief Financial Officer of Capital One Financial Corporation, currently serves as Chairman of the Board.

- **102-24: Nominating and selecting the highest governance body**

**Associated SDGs: 5, 16**

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The Nominating and Governance Committee of the Board nominates Directors based on their independence and diversity, as well as their experience and expertise in a variety of areas including economic, environmental, and social topics. In evaluating each candidate, the Committee considers factors such as willingness and ability to devote sufficient time to his or her duties as a Director, willingness to leverage relationships to attract top and diverse talent, a confident personality, tolerance for ambiguity, and an informed and reasoned approach to complex business problems.

- **102-25: Conflicts of interest**

**Associated SDG: 16**

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Annually, each Director updates his or her conflict of interest form. The Board Secretary works with Abt's General Counsel and Chief Ethics and Compliance Officer to ensure that mitigation plans are in place if conflicts of interest are identified.

- **102-26: Role of highest governance body in setting purpose, values, and strategy**

- ▶ See [Our Ethics & Governance](#) section in the 2020 Mission Impact Report
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Goals pertaining to reductions in greenhouse gas emissions are developed by Abt's Global Sustainability Program Operations Committee and approved by the executive leadership team.

- **102-32: Highest governance body's role in sustainability reporting**

Abt's sustainability reporting is formally reviewed and approved by our Chief Executive Officer, Kathleen Flanagan.

## **6. Reporting Practice**

- **102-45: Entities included in the consolidated financial statements**

(1) Abt Associates, Inc.

(2) Abt Associates Australia Pty Ltd

(i) Subsidiary: Abt Britain Limited

- **102-50: Reporting period**

This report spans multiple time frames depending on the topic in focus. This includes the 2019 calendar year (CY), Abt's 2020 fiscal year (FY) (April 2019 to March 2020), and our clients' fiscal year designations. All relevant timeframes are noted throughout the report.

- **102-51: Date of most recent report**

Our last report, the [Mission Impact Report: 2019 Update](#), was published in June 2019.

- **102-52: Reporting cycle**

We issue our Mission Impact Report on an annual basis in June.

- **102-53: Contact point for questions regarding the report**

Please send comments or questions about this Report to [impact@abtassoc.com](mailto:impact@abtassoc.com)

- **102-54: Claims of reporting in accordance with the GRI Standards**

This Report has not been prepared in accordance with the GRI Standards, Comprehensive option but includes content we have selected to disclose publicly at this time. Abt has voluntarily followed GRI reporting guidelines since our inaugural Mission Impact Report, published June 2018.

- **102-55: GRI content index**

This document is organized by GRI Disclosures and serves as our GRI Content Index.

- **102-56: External assurance**

We do not engage in external assurance for GRI reporting at this time.

## GRI 200: ECONOMIC DISCLOSURES

### GRI 201: Economic Performance

- **201-1: Direct economic value generated and distributed**

**Associated UNGC Principle: 6**

**Associated SDGs: 5, 7, 8, 9**

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- ▶ See [Our Financial Health](#) section of the 2020 Mission Impact Report

- **201-2: Financial implications and other risks and opportunities due to climate change**

**Associated UNGC Principle: 6**

**Associated SDGs: 5, 7, 8, 9**

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Abt continually assesses portfolio risks and opportunities, including market and reputational risks and opportunities related to climate change. Abt manages risks and opportunities by expanding our capabilities, expanding the markets and countries we serve, and by winning more impactful work that will help our clients address their climate-related risks and opportunities. In 2018, Abt became a signatory of the United Nations Global Compact and annually submits our Communication on Progress to demonstrate how we integrate the Ten Principles into our business operations and portfolio, including those addressing the environment. In addition, Abt publicly discloses our greenhouse gas emissions inventory annually to The Climate Registry and submits the Climate Change Questionnaire with the CDP, formerly the Carbon Disclosure Project.

At the operations level, Abt assesses the energy use of each of our leased facilities, analyzing intensity metrics, including those calculated with leased square footage, occupied square footage, and office headcount and attendance. This provides Abt an opportunity to gauge office utilization, track energy use, and measure and monitor associated financial implications. Abt evaluates municipality and state climate vulnerability assessments to discern risk types and the level of vulnerability at each site. Reports are generated and discussed with the Senior Director of Corporate Services with the purpose of determining which leased assets should be prioritized for retrofits or moves. While

leases are typically set in five-year or ten-year increments, it is vital to monitor changes in vulnerabilities year over year.

### GRI 202: Market Presence

- **202-2: Proportion of senior management hired from the local community**

In FY20, 83% of our senior managers were hired from the local community. The local community is defined by Local Country National (LCN) status. LCNs are employees whose nationality is the same as the country in which the project office is located. Abt emphasizes sourcing local talent to fill positions in our project offices to further support the communities in which we work.

### GRI 205: Anti-Corruption

- **205-1: Operations assessed for risks related to corruption**

**Associated UNGC Principle: 10**

**Associated SDG: 16**

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We use an enterprise risk management (ERM) framework based on global risk management standards, including COSO and ISO 31000, to conduct an annual assessment process. Corruption risks are included in this assessment.

- **205-2: Communication and training about anti-corruption policies and procedures**

**Associated UNGC Principle: 10**

**Associated SDG: 16**

- ▶ See [Our Ethics & Governance](#) section in the 2020 Mission Impact Report
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For additional information, see our [2019 UNGC Communication on Progress](#)

## GRI 300: ENVIRONMENTAL DISCLOSURES

### GRI 302: Energy

- **302-1: Energy consumption within the organization**

**Associated UNGC Principles: 7, 8**

**Associated SDGs: 7, 8, 12, 13**

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Energy consumption within the organization:

U.S. Energy Consumption (MWh)	CY19	CY18	% Change (CY19/CY18)	Base Year (CY12)
Electricity	3,894	5,284	-36%	7,067
Natural Gas (Heat)	1,294	1,384	-7%	32
<b>Gross Energy Consumption</b>	<b>5,187</b>	<b>6,668</b>	<b>-29%</b>	<b>7,099</b>

- **302-4: Reduction of energy consumption**

**Associated UNGC Principles: 8, 9**

**Associated SDGs: 7, 8, 12, 13**

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See Disclosure 302-1 for more information.

### GRI 305: Emissions

- **305-1: Direct (Scope 1) GHG emissions**

**Associated UNGC Principles: 7, 8**

**Associated SDGs: 3, 12, 13, 14, 15**

## GRI 300: ENVIRONMENTAL DISCLOSURES

GHG emissions by Scope:

Total Emissions (MT CO <sub>2</sub> e)	CY19	CY18	% Change (CY19/CY18)	Base Year (CY12)
<b>Scope 1</b>	315	353	-12%	224
<b>Scope 2 (Location-Based)</b>	1,131	1,541	-36%	2,673
<b>Gross Scope 1 &amp; 2</b>	<b>1,446</b>	<b>1,893</b>	<b>-31%</b>	<b>2,897</b>
<b>Scope 3</b>	2,867	3,682	-28%	5,682
<b>Gross MT CO<sub>2</sub>e</b>	<b>4,313</b>	<b>5,576</b>	<b>-29%</b>	<b>8,579</b>
<b>Renewable Energy Credits</b>	(82)	(213)	-159%	N/A
<b>Net MT CO<sub>2</sub>e</b>	<b>4,231</b>	<b>5,363</b>	<b>-27%</b>	<b>8,579</b>

Direct (Scope 1) GHG emissions:

Scope 1 Emissions (MT CO <sub>2</sub> e)	CY19	CY18	% Change (CY19/CY18)	Base Year (CY12)
<b>Natural Gas</b>	235	252	-7%	168
<b>Refrigerants</b>	80	101	-26%	55
<b>Gross Scope 1</b>	<b>315</b>	<b>353</b>	<b>-12%</b>	<b>224</b>

- 305-2: Energy indirect (Scope 2) GHG emissions**

**Associated UNGC Principles: 7, 8**

**Associated SDGs: 3, 12, 13, 14, 15**

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Energy indirect (Scope 2) GHG emissions:

Scope 2 Emissions (MT CO <sub>2</sub> e)	CY19	CY18	% Change (CY19/CY18)	Base Year (CY12)
<b>Direct Electricity (Location-Based)</b>	1,131	1,541	-36%	2,673
<b>Renewable Energy Credits</b>	(82)	(213)	—	N/A
<b>Net Scope 2</b>	<b>1,049</b>	<b>1,328</b>	<b>-27%</b>	<b>2,673</b>

- **305-3: Other indirect (Scope 3) GHG emissions**

**Associated UNGC Principles: 7, 8**

**Associated SDGs: 3, 12, 13, 14, 15**

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Other indirect (Scope 3) GHG emissions:

Scope 3 Emissions (MT CO <sub>2</sub> e)	CY19	CY18	% Change (CY19/CY18)	Base Year (CY12)
Air Travel	1,811	2,365	-31%	3,814
Employee Commuting	872	1,137	-30%	1,867
Indirect Electricity—Data Colocations	184	180	2%	N/A
<b>Gross Scope 3</b>	<b>2,867</b>	<b>3,682</b>	<b>-28%</b>	<b>5,682</b>

- **305-5: Reduction of GHG emissions**

**Associated UNGC Principles: 8, 9**

**Associated SDGs: 13, 14, 15**

- ▶ See [Our Environmental Responsibility](#) section in the 2020 Mission Impact Report

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In 2019, we successfully completed external verification of our 2017 and 2018 GHG emissions. Adhering to the Greenhouse Gas Protocol, Abt includes CO<sub>2</sub>, CH<sub>4</sub>, and N<sub>2</sub>O in our emission inventory and measures our emissions in Scope 1, 2, and 3.

We are committed to externally verifying our emissions on a biennial cycle and publically report our inventory to The Climate Registry. Abt’s GHG inventories for years 2012 through 2018 have been externally verified to reasonable assurance standards for Scope 1 and 2 emissions and to limited assurance standards for Scope 3 emissions.

In 2019, our total emissions were 4,313 MT CO<sub>2</sub>e, representing a 22.7% year-over-year reduction from 2018 and a cumulative reduction of 49.7% from the 2012 base year. Emissions for 2019 and 2020 will be verified in 2021.

## GRI 400: SOCIAL DISCLOSURES

### GRI 401: Employment

- **401-1: New employee hires and employee turnover**

**Associated UNGC Principle: 6**

**Associated SDGs: 5, 8**

In FY20 we updated our methodology to calculate hire and turnover rates more accurately, measuring the number of hires or turnovers per category and dividing by average headcount. Therefore rates will not add up to 100%.

As Abt wins more international-based projects, our rate of international hiring will increase. Depending on the country, this will have implications for male/female rates by country.

Hire rates, Abt U.S.:

Age Group	FY20	FY19
<b>Under 30</b>	37%	37%
<b>30-50</b>	23%	33%
<b>Over 50</b>	13%	17%

Sex	FY20	FY19
<b>Female</b>	20%	23%
<b>Male</b>	24%	36%

Region	FY20	FY19
<b>Domestic</b>	15%	13%
<b>International</b>	28%	43%

## GRI 400: SOCIAL DISCLOSURES

Hire rates, Abt Australia and Britain:

Age Group	FY20
<b>Under 30</b>	55%
<b>30-50</b>	27%
<b>Over 50</b>	21%

Sex	FY20
<b>Female</b>	31%
<b>Male</b>	25%

Region	FY20
<b>Domestic</b>	43%
<b>International</b>	26%

Turnover rates, Abt U.S.:

Age Group	FY20	FY19
<b>Under 30</b>	18%	16%
<b>30-50</b>	9%	9%
<b>Over 50</b>	8%	6%

Sex	FY20	FY19
<b>Female</b>	14%	11%
<b>Male</b>	7%	8%

Region	FY20	FY19
<b>Domestic</b>	15%	13%
<b>International</b>	7%	7%

Turnover rates, Abt Australia and Britain:

Age Group	FY20
Under 30	11%
30-50	10%
Over 50	13%

Sex	FY20
Female	12%
Male	10%

Region	FY20
Domestic	18%
International	10%

- **401-2: Benefits provided to full-time employees that are not provided to temporary or part-time employees**

**Associated SDG: 8**

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Abt Associates is committed to providing a comprehensive suite of benefits for the health and wellness (physical and financial) of our employees and their eligible dependents/family members.

Our U.S.-based employees who regularly work 30 hours or more each week are eligible immediately to participate in our comprehensive benefits package, which includes company-subsidized medical and dental insurance plans, company-funded life insurance, disability plans and leave plans, business travel accident insurance, and an employee assistance plan. Employees can choose from a variety of employee-paid benefits offered through payroll deductions, including flexible spending plans, supplemental life and disability insurance, and vision coverage. Employees are also eligible for parental leave—which provides 100% base salary replacement for up to five days in their first year of employment and up to ten days after one year of employment—

## GRI 400: SOCIAL DISCLOSURES

following the birth of an employee’s child or the placement of a child with an employee in connection with adoption. Abt will contribute a certain percentage of its profits each year to eligible employees (U.S. citizens and permanent residents) via the employee stock ownership program (ESOP) as well as provide a generous matching contribution to the employee’s 401K.

Abt’s Expatriate and Third Country National employees enjoy the same benefits as our U.S.-based employees.

- **401-3: Parental leave**

**Associated UNGC Principle: 6**

**Associated SDGs: 5, 8**

- ▶ See [Supporting Nursing Mothers in the Field](#) section in the 2020 Mission Impact Report

Per Abt’s Parental Leave Policy, all employees working 30 hours or more are entitled to parental leave, regardless of sex. New parents can receive ten days of full paid leave when they welcome a new child into their life, through birth or adoption. Through our Adoption Assistance benefit, Abt will reimburse \$5,000 in costs associated with an adoption process.

See Disclosure 401-2 for more information.

Sex	Employees who took parental leave in FY19	Employees who returned to work in FY19 after parental leave ended	Employees who returned to work after parental leave and were still employed 12 months later	Employees who took parental leave in FY20	Employees who returned to work in FY20 after parental leave ended	Return to work rate	Retention rate
<b>Female</b>	49	48	34	39	38	97%	71%
<b>Male</b>	51	51	41	60	60	100%	80%
<b>Total</b>	100	99	75	99	98	99%	76%

## GRI 402: Labor/Management Relations

- **402-1: Minimum notice periods regarding operational changes**

**Associated UNGC Principle: 3**

**Associated SDG: 8**

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Abt's standard practice is to ensure that employees are well-informed in advance of operational and procedural changes. Our company was founded on participatory principles and we have maintained that practice throughout our company's history. From a corporate planning perspective, we conduct a five-year strategic planning process with annual updates. In general, all major operational changes are decided and announced during this process, thereby providing employees between one to five years notice. Of course, changes may be required within the course of a year, in which case the decision is announced directly to staff affected by the change(s).

Our approach is to provide the "what, how, and when" for employees and then involve staff and/or collect input from staff to inform decisions and direction based on employee feedback. Ideally, employees are included in the design and implementation processes, thereby maximizing their input. For example, changes in our annual performance review process reflected employee feedback on the existing process and included a six-month notice period. The decision to implement a new enterprise resource planning (ERP) system was announced a year in advance and included employee representatives on implementation teams. The decision to move office locations and design new office space was announced five years in advance and included employee visioning sessions and employee input and feedback throughout the process.

## GRI 403: Occupational Health and Safety

- **403-1: Occupational health and safety management system**

**Associated SDG: 8**

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An occupational health and safety management system has not been implemented at this time.

Abt had 12 reportable Occupational Safety and Health Administration (OSHA) injuries in FY20. The 12 injuries were the result of flea bites experienced by staff in McAllen, Texas, which has a very high number of fleas due to the heat and humidity of the area. A combination of the location and infrastructure repairs needed on the roof of our leased space resulted in a possum gaining access to the building, spreading the fleas indoors. The building has since been repaired and undergone proper treatment for the removal of the fleas and animals.

- **403-2: Hazard identification, risk assessment, and incident investigation**

**Associated SDGs: 3, 8**

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The vast majority of domestic employees work in an office environment where work-related hazards are minimal. Most injuries are either slip and fall injuries or those related to wrist strain due to typing. Our HR and Benefits team meets on an annual basis with our workers compensation carrier to review claims and identify patterns that would require intervention. Recommendations are reviewed for potential implementation at this time. Additionally, in the U.S., Abt must comply with the Occupational Safety and Health Administration (OSHA) regulations around worker safety.

Employees have many avenues for reporting a work-related injury: they can contact the HR Service Center, report to Facilities in the office in which they work, report to their manager or contact the HR and Benefits team directly. All reports come to Benefits for reporting to our workers compensation carrier. Abt's Non-Retaliation Policy protects workers from retaliation for good-faith reporting of any possible improper activity.

Abt employees have resources in place to raise issues about their work situation either directly to their manager or to HR. They can also

contact Abt's Employee Advisory Council if they are not satisfied with the response from their manager or HR.

For repetitive stress injuries, we use our workers' compensation carrier to perform ergonomic assessments to identify adjustments to work stations that will allow an employee to work without discomfort. The carrier may recommend changes to the work station, or equipment that will reduce discomfort (such as a natural keyboard) that Abt will provide.

- **403-3: Occupational health services**

**Associated SDGs: 3, 8**

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Abt's workers' compensation carrier performs ergonomic assessments to minimize the risk of repetitive stress injuries at employees' request. Employee access is facilitated by sharing information on Abt's intranet, required postings in all offices and communicating process for reporting accidents and injuries during new employee orientation. Abt secures personal health information and ensures that information on employee work-related injuries is not used for favorable or unfavorable treatment by keeping access to this information restricted to Benefits staff.

- **403-4: Worker participation, consultation, and communication on occupational health and safety**

**Associated SDG: 8**

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Abt does not have a process for worker participation and consultation in the development, implementation, and evaluation of the occupational health and safety management system.

- **403-5: Worker training on occupational health and safety**

Abt does not provide training beyond informing employees about the reporting process noted in Disclosure 403-2.

- **403-6: Promotion of worker health**

- ▶ See [Our Employee Wellness](#) section in the 2020 Mission Impact Report

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Abt provides medical coverage to all employees working at least 30 hours per week and subsidizes approximately 70% of the cost. Employees also have access to complimentary flu shots, subsidized exercise classes, chair massages, a bike maintenance subsidy, and a bike sharing membership discount to encourage exercise.

Abt offers many voluntary health promotions, including a step and weight loss challenges, on-site gyms in two offices, and medical screening incentives. We also offer supplemental health insurance programs that are employee funded. Our Work/Life Assistance Plan offers many seminars on topics such as stress relief, depression, marital conflict, and financial issues. Employees also have access to counselors at no cost.

- **403-7: Prevention and mitigation of occupational health and safety impacts directly linked by business relationships**

Abt publishes desk setup guidance for ergonomic comfort and provides ergonomic assessments for employees who request assistance.

See Disclosure 403-2 for more information.

- **403-8: Workers covered by an occupational health and safety management system**

No employees are excluded from this disclosure.

- **403-9: Work-related injuries**

Work-related injuries:

<b>Fatalities as a result of work-related injury</b>	0
<b>High-consequence work-related injuries</b>	0
<b>Recordable work-related injuries</b>	12
<b>Main types of work-related injury</b>	Flea bites
<b>Work-related hazards that pose a risk of high-consequence injury</b>	None
<b>Actions taken or underway to eliminated other work-related hazard</b>	Fumigation and animal removal
<b>Workers excluded from disclosure</b>	None

## GRI 400: SOCIAL DISCLOSURES

The 12 injuries were the result of flea bites experienced by staff in McAllen, Texas, which has a very high number of fleas due to the heat and humidity of the area. A combination of the location and infrastructure repairs needed on the roof of our leased space resulted in a possum gaining access to the building, spreading the fleas indoors. The building has since been repaired and undergone proper treatment for the removal of the fleas and animals.

- **403-10: Work-related ill health**

Work-related ill health:

<b>Fatalities as a result of work-related ill health</b>	0
<b>Cases of recordable work-related ill health</b>	0
<b>Main types of work-related ill health</b>	N/A
<b>Work-related hazards that pose a risk of ill health</b>	None
<b>Workers excluded from disclosure</b>	None

## GRI 404: Training and Education

- **404-2: Programs for upgrading employee skills and transition assistance programs**

**Associated SDG: 8**

- ▶ See [Our Leaders at All Levels](#) section in the 2020 Mission Impact Report

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Abt provides learning and development opportunities for staff through LinkedIn Learning, which offers over 10,000 diverse courses. LinkedIn Learning content, along with dedicated time to learn, allows Abt staff to meet just-in-time needs as well as accomplish long-term goals.

Abt also supports continued education/training through our professional development assistance program, which helps cover the cost of expenses incurred while pursuing a degree or professional certification. Internal courses, brown bags and workshops are hosted throughout each year on a wide variety of topics. Access to technical on-demand training is available for staff. Abt is highly supportive of on-the-job learning and has created tools and an environment where stretch assignments and internal mobility opportunities help staff develop new skills.

## GRI 400: SOCIAL DISCLOSURES

- **404-3: Percentage of employees receiving regular performance and career development reviews**

**Associated UNGC Principle: 6**

**Associated SDGs: 5, 8**

See [Continuous Performance Management](#) section in the 2020 Mission Impact Report

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Performance Review Evaluation Plan (PREP) is Abt's annual performance evaluation process in which all employees—in all locations worldwide—are provided with feedback, a rating for goals and competencies and the opportunity to create a professional development plan. 100% of Abt staff who were hired by December 31st of the previous year participate in our annual PREP review process. All staff also participate in our Continuous Performance Management program throughout the year. This program allows for timely, concise feedback that can be given and discussed immediately in real time.

## GRI 405: Diversity and Equal Opportunity

- **405-1: Diversity of governance bodies and employees**

**Associated UNGC Principle: 6**

**Associated SDGs: 5, 8**

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Diversity of governance bodies:

Governance Body	Age Group			Sex	
	Under 30	30-50	Over 50	Female	Male
<i>Board of Directors</i>	0%	0%	100%	40%	60%
<i>Executive Leadership</i>	0%	12%	88%	38%	62%

## GRI 400: SOCIAL DISCLOSURES

### Diversity of employees, Abt U.S.:

Region	Employee Category	Sex	FY20	FY19
<b>Domestic</b>	<i>Senior Management</i>	Female	57%	57%
		Male	43%	43%
	<i>Non-Senior Management</i>	Female	66%	66%
		Male	34%	34%
<b>International</b>	<i>Senior Management</i>	Female	28%	32%
		Male	72%	68%
	<i>Non-Senior Management</i>	Female	32%	33%
		Male	68%	67%

Region	Employee Category	Age	FY20	FY19
<b>Domestic</b>	<i>Senior Management</i>	Under 30	0%	0%
		30-50	43%	40%
		Over 50	57%	60%
	<i>Non-Senior Management</i>	Under 30	24%	25%
		30-50	57%	56%
		Over 50	19%	19%
<b>International</b>	<i>Senior Management</i>	Under 30	0%	0%
		30-50	54%	51%
		Over 50	46%	49%
	<i>Non-Senior Management</i>	Under 30	8%	9%
		30-50	76%	76%
		Over 50	16%	15%

## GRI 400: SOCIAL DISCLOSURES

Diversity of employees, Abt Australia and Britain:

Region	Employee Category	Sex	FY20	FY19
Domestic	Senior Management	Female	38%	48%
		Male	62%	52%
	Non-Senior Management	Female	78%	69%
		Male	22%	31%
International	Senior Management	Female	60%	56%
		Male	40%	44%
	Non-Senior Management	Female	48%	48%
		Male	52%	52%

Region	Employee Category	Age	FY20	FY19
Domestic	Senior Management	Under 30	0%	0%
		30-50	81%	68%
		Over 50	19%	32%
	Non-Senior Management	Under 30	16%	15%
		30-50	64%	63%
		Over 50	20%	22%
International	Senior Management	Under 30	0%	0%
		30-50	50%	50%
		Over 50	50%	50%
	Non-Senior Management	Under 30	8%	11%
		30-50	72%	70%
		Over 50	19%	19%

### GRI 410: Security Practices

- **410-1: Security personnel trained in human rights policies or procedures**

**Associated UNGC Principle: 1**

**Associated SDG: 16**

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We have a strict, zero-tolerance policy for sexual misconduct of any kind. We require all Abt Associates U.S. employees and international field staff to complete training modules on human rights, trafficking,

## GRI 400: SOCIAL DISCLOSURES

child protection, preventing sexual exploitation and abuse, reporting harassment, investigations, and retaliation. In FY20, 100% of Abt Associates U.S. staff completed training on all modules.

The Abt Associates Institutional Review Board (IRB) ensures that relevant staff take training on research integrity and protection of human research participants every three years. This is a three-hour on-line training, which is available in ten different languages. The IRB supplements this online with role-based training on other topics, such as privacy laws (e.g., HIPAA) open data policies (e.g., USAID's) and ethical issues specific to a methodology (e.g., qualitative research with vulnerable populations). Of staff engaged with research participants, 100% are trained in these topics at all times.

### GRI 412: Human Rights Assessment

- **412-1: Operations that have been subject to human rights reviews or impact assessments**

#### **Associated UNGC Principle: 1**

- ▶ See [Our Ethics & Governance](#) section in the 2020 Mission Impact Report

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Our researchers study some of the most important and relevant questions facing the world today, from the effects of Post-Traumatic Stress Disorder, to evaluating the effectiveness of strategies to reduce barriers to family planning services. Social, behavioral, and educational research can pose risks to privacy and confidentiality as well as ethical challenges, especially studies involving vulnerable populations. As part of its commitment to conducting research that meets the highest ethical standards, Abt Associates maintains its own Institutional Review Board (IRB) to safeguard research participants' rights and welfare and to protect their personal information.

The IRB review typically includes assessment of: 1) the informed consent process and research design; 2) compliance with country or state privacy laws; 3) a safety plan for studies involving vulnerable populations to ensure those in need are referred to appropriate resources, e.g., helplines for veterans, and study teams complied with mandated reporting requirements, e.g., potential child neglect and abuse; 4) a detailed data security plan and data agreements; and 5)

certificates of confidentiality or privacy certificates to protect participants' sensitive research data.

The Abt Associates IRB ensures that staff take training on research integrity and protection of human research participants every three years. This is a three-hour on-line training, which is available in ten different languages. The IRB supplements this online with role-based training on other topics, such as privacy laws (e.g., HIPAA), open data policies (e.g., USAID's), and ethical issues specific to a methodology (e.g., qualitative research with vulnerable populations).

Abt had zero reported violations of human rights abuses through any of our employees, clients, suppliers, or research participants in FY20.

- **412-2: Employee training on human rights policies or procedures**

**Associated UNGC Principle: 1**

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- ▶ See [Our Ethics & Governance](#) section in the 2020 Mission Impact Report

- **412-3: Significant investment agreements and contracts that include human rights clauses or that underwent human rights screening**

**Associated UNGC Principle: 2**

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Abt is compliant with all of its U.S. Government contracts containing the Federal Acquisition Regulations (FAR) clause found at FAR 52.222-50, titled "Combating Trafficking in Persons." Additionally, upon issuance of a subcontract under a U.S. Government prime contract, Abt includes this same FAR clause and ensures compliance by its subcontractors. Our work performed under agreements with the U.K. Department for International Development (DFID) requires that we likewise adhere to and be compliant with relevant anti-trafficking and human rights policies.

Our work for the Australian Government's Department of Foreign Affairs and Trade (DFAT) strictly adheres to the Environmental and Social Safeguard Policy. Abt Associates Australia implements a robust child protection policy in compliance with DFAT's stringent requirements driving adherence to international child safeguarding standards. In accordance with a "do no harm" approach, a number of key safeguarding requirements are implemented as part of our operations and program activities, including rigorous recruitment and

## GRI 400: SOCIAL DISCLOSURES

screening measures, comprehensive child protection training for staff and partners, dedicated child protection resourcing across programs, detailed risk management processes, and partner capacity building.

### GRI 415: Public Policy

- 415-1: Political contributions

**Associated UNGC Principle: 10**

**Associated SDG: 16**

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Abt makes no political contributions.