

Self-assessment questionnaire

– ASSESSING COMPLIANCE WITH TERMS REGARDING HUMAN RIGHTS, LABOUR RIGHTS, ENVIRONMENTAL PROTECTION AND ANTI-CORRUPTION (SUTAINABLE SUPPLY CHAINS)

Contract information

\* Fields to be filled in by the contracting authority

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| **\* Contract terms:** Click here to add text. |
| **\* The following product(s)/service(s) are subject to the follow-up:** Click here to add text. |

Other information to supplier

\* Fields to be filled in by the contracting authority

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| **\* Other information:** Click here to add text. |

Supplier information

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| **Company name:** |
| Click here to add text. |
| **Organisationsnummer:** Click here to add text. |
| **Address:** Click here to add text. |
| **Contact person at supplier for inquiries regarding this questionnaire:**Click here to add text. |
| **Staff headcount Sweden:**[ ]  > 250 (large enterprise)[ ]  < 250 (medium-sized enterprise)[ ]  < 50 (small wenterprise)[ ]  < 10 (micro enterprise) |
| **Staff headcount total:** |
| [ ]  > 250 (large enterprise) |
| [ ]  < 250 (medium-sized enterprise) |
| [ ]  < 50 (small wenterprise) |
| [ ]  < 10 (micro enterprise) |
| **Type of operations** |
| [ ]  Manufacturing |
| [ ]  Wholesale |
| [ ]  Other, please specify: Click here to add text. |
| **If you think it would help the contracting authority to better understand how your company operates regarding sustainable supply chains, please describe your company’s organisational structure:** |
| Click here to add text. |
| **Does your company have any certification relevant for the performance of the contract regarding sustainable supply chains?** |
| [ ]  ISO 14001 |
| [ ]  ISO 9001 |
| [ ]  ISO 20400 |
| [ ]  OHSAS 18001 |
| [ ]  SA8000 |
| [ ]  Other, please specify:  |
| Click here to add text. |
| **Is your company a member of any initiative or organisation with the purpose of addressing sustainability risks (such as the Ethical Trading Initiative, BSCI)?** |
| [ ]  Yes, please specify  |
| [ ]  No. |
| Click here to add text. |

ACCESS TO OWN PRODUCTION FACILITIES

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| Can the company provide access to its own production facilities, relevant for the products/ services which are subject to the follow-up, should the contracting authority decide to conduct an on-site-audit? |
| The supplier shall enable the contracting authority to carry out audits at suppliers’ and / or subcontractors’ facilities to ensure that the supplier fulfils its obligations under paragraphs 1 and 2 and to ensure that the General Terms and Conditions are complied with. During the audit, the supplier shall provide the information and documentation needed to verify compliance with the Basic Terms. |
| **Supplier answer** | **Mandatory information (kindly provide information in text answer box below)** |
| [ ] **Yes** | Kindly provide any information that might be useful to the contacting authority. |
| [ ] **Yes, partly** | You may answer ‘partly’ for example if you can provide access to some facilities but not all. |
| [ ] **No** | Kindly explain why you cannot provide access to production facilities that are within your own jurisdiction. |
| [ ] **N/A** | Check this box if you do not have any own production facilities |
| **Text answer** |
| Click here to add text. |

ACCESS TO SUPPLIERS’ AND SUBCONTRACTORS’ PRODUCTION FACILITIES

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| Can the company provide access to suppliers’ and subcontractors’ facilities, relevant for the products/ services which are subject to the follow-up, should the contracting authority decide to conduct an on-site-audit? |
| The supplier shall enable the contracting authority to carry out audits at suppliers’ and / or subcontractors’ facilities to ensure that the supplier fulfils its obligations under paragraphs 1 and 2 and to ensure that the General Terms and Conditions are complied with. During the audit, the supplier shall provide the information and documentation needed to verify compliance with the Basic Terms. |
| **Supplier answer** | **Mandatory information (kindly provide information in text answer box below)** |
| [ ] **Yes** | Kindly provide any information that might be useful to the contacting authority. |
| [ ] **Yes, partly** | You may answer ‘partly’ for example if you can provide access to some facilities but not all. |
| [ ] **No** | Kindly explain why you cannot provide access to production facilities that are within your own jurisdiction. |
| [ ] **N/A** | Check this box if you do not have any own production facilities |
| **Text answer** |
| Click here to add text. |

EXPECTATIONS

As part of your contract with the contracting authority, your company shall fulfil the contract in accordance with specific contract performance clauses that aim at promoting sustainable supply chains. This questionnaire will explore how your company ensures compliance with these contract performance clauses.

The contract performance clauses state that your company needs to have procedures in place for identifying and managing risks regarding human rights, labour rights, environmental protection and anti-corruption (sustainable supply chains). When answering this questionnaire, it is your responsibility to showcase that your procedures are comprehensive enough to conduct credible risk analyses and to take reasonable actions to manage the most severe risks.

Different companies have varying capabilities to identify and manage risk. When answering the questionnaire, we therefore invite you to be transparent about the challenges your organisation faces. For example, one challenge might be that your company has limited leverage to manage certain risks that occur beyond the first tier of the supply chain. If so, we ask you to explain why your company’s leverage is limited and what your company’s approach to such situations is.

DEFINITIONS

**Supply chain:** Sequence of activities or actors that provide products or services to the company (source: ISO 26000). Can include both external suppliers and own operations.

**Performance of the contract:** Several questions in this questionnaire refer to ‘the performance of the contract’. This is to indicate that the question relates to the products or services offered within the frame of the above stated contract(s).

**Risk:** Risk is herein defined as the risk of a negative impact on human rights, labour rights, the environment and/or corruption. Such risks may prevail as a result of your company’s own operations or through your business relations, e.g. in your supply chain.

REQUIREMENTS - OVERVIEW

1. POLICY COMMITMENT s.8-9
	1. Does the company have a written policy commitment in which it commits to respect human rights, labor rights, environmental regulations and anti-corruption?
	2. Has the policy commitment been approved by the top management?
	3. Is the policy commitment publicly available?
2. COMMUNICATING THE POLICY COMMITMENT s. 10-11
	1. Has the policy commitment been communicated to the company’s employees who are involved in the performance of the contract(s)?
	2. Does the company have a procedure to in writing communicate the policy commitment to first-tier suppliers?
	3. Does the company communicate the policy commitment upstream in the supply chain, i.e. beyond the first tier of the supply chain?
3. DIVISION OF RESPONSIBILITY s.12
	1. Has the company appointed one or more persons at the managerial level who is responsible for compliance with the policy commitment?
4. RISK ANALYSISs.13-15
	1. Has the company identified any risks within your own operations and/or the supply chain for [the product(s)/service(s) which are subject to the follow-up](#_top) (see page 1)?
		1. Has the company mapped the supply chain in order to identify the risks you have presented in question 4.1?
	2. Does the company have a general procedure to identify risk of violation of human rights, labor rights, environmental protection and anti-corruption in your own operations and in the supply chain?
	3. Does the company have a general procedure to prioritize risks of violations of human rights, labor rights, environmental protection and anti-corruption in your own operations and in the supply chain?
5. MONITORING COMPLIANCE s. 16-17
	1. Is the company actively managing the identified risks presented in your answer to question 4.1?
	2. Does the company have general procedures for monitoring compliance with your policy commitment in your own operations as well as in the supply chain?
6. DEVIATION MANAGEMENT s. 18-19
	1. Have any deviations from the policy commitment occurred during the contract(s) period and if so, how were they managed?
	2. Does the company have a general procedure for managing deviations in your own operations and in the supply chain?
7. POLICY COMMITMENT

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| * 1. Does the company have a written policy commitment in which it commits to respect human rights, labor rights, environmental regulations and anti-corruption?
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| Relevant information for the company’s answer includes: * A summary or restatement of the company’s policy commitment(s), or a web link to where it can be found
* The rights and responsibilities included within the policy commitment, keeping in mind that the commitment should at least include reference to:
	+ The Universal Declaration of Human Rights,
	+ The UN Convention on the Rights of the Child, article 32,
	+ The ILO Core Conventions on Forced Labour , Child Labour, Discrimination and Freedom of Association and Collective Bargaining (no. 29, 87, 98, 100, 105, 111, 138 and 182),
	+ Applicable labour law, including regulations on wages, working conditions, working hours and leave
	+ Applicable environmental law, and
	+ The UN Convention against Corruption.
* Whether the policy commitment relates solely to the company’s own activities or if it includes the company’s expectations on other organisations with which it has business relationships (e.g. first-tier suppliers, suppliers beyond the first tier, contractor, entities in the downstream value chain, joint venture partners, governments or government agencies).
 |
| **1.1 Supplier answer** | **Mandatory information (kindly provide information in text answer box below)** |
| [ ]  **Yes** | Attach the relevant document(s), provide a web link, a short summary or restatement of the company policy/policies relating to the above-mentioned information.  |
| [ ]  **Yes, partly** | Answer ‘partly’ for example if the company has a policy commitment that does not cover all the above-mentioned areas. Elaborate on why you consider your company to be partly compliant.  |
| [ ] **Nej** | Text answer optional. |
| **Text answer** |
| Click here to add text. |

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| * 1. **Has the policy commitment been approved by the top management?**
 |
| Relevant information for the company’s answer includes: * The level (board, senior management, other) at which the commitment was approved
 |
| **1.2 Supplier answer** | **Mandatory information (kindly provide information in text answer box below)** |
| [ ] **Yes** | Please specify at which level the policy commitment was approved and the date of approval. Please also provide evidence of approval, e.g. a signature by the CEO. |
| [ ] **No** | Text answer optional. |
| **Text answer** |
| Click here to add text. |

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| 1.3 Is the policy commitment publicly available? |
| Relevant information for the company’s answer includes:* Whether and how the policy commitment is made publicly available through the company website or through other means/channels.
 |
| **1.3 Supplier answer** | **Mandatory information (kindly provide information in text answer box below)** |
| [ ] **Yes** | Please describe how your company has made the policy commitment(s) publicly available. |
| [ ] **No** | Text answer optional. |
| **Text answer** |
| Click here to add text. |

1. COMMUNICATING THE POLICY COMMITMENT

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| 2.1. Has the policy commitment been communicated to the company’s employees who are involved in the performance of the contract(s)? |
| Relevant information for the company’s answer includes:* Whether and how the policy commitment is communicated to the company’s employees who are involved in the performance of the contract (e.g. through a company intranet, in induction training or other training, in meetings, in presentations by senior management or in written guidance).
 |
| **2.1. Supplier answer** | **Mandatory information (kindly provide information in text answer box below)** |
| [ ] **Yes** | Explain how the company informs employees about its commitments and responsibilities.  |
| [ ] **Yes, partly** | Answer ‘partly’ for example if the company has a procedure in place that has not been implemented fully yet. If you answer ‘partly’, please elaborate your answer.  |
| [ ] **No** | Text answer optional |
| **Text answer** |
| Click here to add text. |

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| 2.2 Does the company have a procedure to in writing communicate the policy commitment to first-tier suppliers? |
| Relevant information for the company’s answer includes:* Whether and how the policy commitment is communicated in writing to the company’s first-tier suppliers (contractual terms, signed code of conduct or in written guidance). The company can also present any other activities conducted to communicate the commitment to the company’s first-tier suppliers (e.g. through pre-business conversations, contract negotiations or in training).
 |
| **2.2. Supplier answer** | **Mandatory information (kindly provide information in text answer box below)** |
| [ ] **Yes** | Please explain how the company – in writing and through other activities – communicates the commitment to your first-tier suppliers. |
| [ ] **Yes, partly** | Please elaborate your answer. |
| [ ] **No** | Text answer optional. |
| **Text answer** |
| Click here to add text. |

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| **2.3 Does the company communicate the policy commitment upstream in the supply chain, i.e. beyond the first tier of the supply chain?** |
| Relevant information for the company’s answer includes:* Whether and how the company communicates in writing to first-tier suppliers a responsibility to forward similar requirements to the next tier in the supply chain.
* Whether the company conducts any other activities to communicate the commitment to suppliers at different tiers in the supply chain (e.g. through pre-business conversations, supply chain dialogues, in training, capacity-building activities, etc.)
 |
| **2.3. Supplier answer** | **Mandatory information (kindly provide information in text answer box below)** |
| [ ] **Yes** | Please explain how the company – in writing and through other activities – communicates its commitments upstream in the supply chain. Kindly indicate specifically whether and how the company (select one or several options): |
| [ ]  **Communicates in writing to first-tier suppliers a responsibility to forward similar requirements to the next tier in the supply chain, and**[ ]  **Communicates its commitments beyond the second tier in the supply chain to suppliers** |
| [ ] **Yes, partly** | Please elaborate your answer |
| [ ] **No** | Text answer optional. |
| **Text answer** |
| Click here to add text. |

3. DIVISION OF RESPONSIBILITY

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| 3.1 Has the company appointed one or more persons at the managerial level who is responsible for compliance with the policy commitment? |
| Relevant information for the company’s answer includes:* The most senior level of oversight and accountability for ensuring compliance with human rights, labor rights, environmental protection and anti-corruption in the company as well as in the supply chain.
 |
| **3.1. Supplier answer** | **Mandatory information (kindly provide information in text answer box below)** |
| [ ] **Yes** | The company has appointed a person at managerial level who is responsible for the following areas (select one or several options): |
| [ ]  **Human rights.** Provide name, title, contact details and scope of responsibility.[ ]  **Labor rights.** Provide name, title, contact details and scope of responsibility.[ ]  **Environmental protection.** Provide name, title, contact details and scope of responsibility.[ ]  **Anti-corruption.** Provide name, title, contact details and scope of responsibility. |
| [ ] **No** | Text answer optional. |
| **Text answer** |
| Click here to add text. |

4. RISK ANALYSIS

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| 4.1 Has the company identified any risks within your own operations and/or the supply chain for [the product(s)/service(s) which are subject to the follow-up](#_top) (see page 1)? |
| Relevant information for the company’s answer includes:* The risks of violations of human rights, labour rights, environmental protection and anti-corruption that the company has identified for the product(s)/service(s) in its own operations as well as throughout the entire supply chain.
* Any challenges the supplier may have in identifying risk (for example related to leverage or transparency).
 |
| **4.1. Supplier answer** | **Mandatory information (kindly provide information in text answer box below)** |
| [ ] **Yes** | The company has identified risk(s) in the following areas (select one or several options): |
| [ ]  **Human rights.** Please describe.[ ]  **Labor rights.** Please describe.[ ]  **Environmental protection.** Please describe.[ ]  **Anti-corruption.** Please describe. |
| [ ] **Yes, partly** | You may for example answer ‘partly’ if the company has only identified risk in parts of its own operations and the supply chain. Please elaborate your answer. |
| [ ] **No** | Text answer optional. |
| **Text answer** |
| Click here to add text. |

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| 4.1.1 Has the company mapped the supply chain in order to identify the risks you have presented in question 4.1? |
| Relevant information for the company’s answer includes:* The level to which the company has been able to map the supply chain in order to identify risk
 |
| **4.1.1. Supplier answer** | **Mandatory information (kindly provide information in text answer box below)** |
| [ ] **Yes** | Select one of the following options: |
| [ ]  **The company has mapped the main tiers of the supply chain connected to the products/services that are subject to the follow-up.** Describe the different tiers of the supply chain and provide information on the geographical location (country/region) for these activities. Also, state whether the mapping is based on first-hand knowledge or for example publicly available information.[ ]  **The company has *partly* mapped the main tiers of the supply chain connected to the products/services that are subject to the follow-up.** Describe the different tiers of the supply chain and provide information on the geographical location (country/region) for those activities where such information is available. Also, state whether the mapping is based on first-hand knowledge or for example publicly available information. To be compliant, you must also describe what concrete measures are being taken to increase traceability in the supply chain. |
| [ ] **No** | Ange fritextsvar vid behov. |
| **Text answer** |
| Click here to add text. |

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| 4.2 Does the company have a general procedure to identify risk of violation of human rights, labor rights, environmental protection and anti-corruption in your own operations and in the supply chain? |
| Relevant information for the company’s answer includes:* The process through which the company identifies risk in its own operations and in the supply chain, and through which you have identified the stated risks you have presented in question 4.1.
* Any challenges the company may have in identifying risk (for example related to leverage or transparency).
 |
| **4.2 Supplier answer** | **Mandatory information (kindly provide information in text answer box below)** |
| [ ] **Yes** | Describe the process through which the company identifies risk. Please state whether and how the company’s process to identify risk includes an assessment of risks regarding (select one or several options): |
| [ ]  **Human rights.** Please describe.[ ]  **Labor rights.** Please describe.[ ]  **Environmental protection.** Please describe.[ ]  **Anti-corruption.** Please describe. |
| Please also state whether and how the company’s process to identify risk includes (select one or several options): |
| [ ]  **Your own operations**[ ]  **Your first-tier suppliers**[ ]  **The whole supply chain beyond the first tier, focusing on the main processes of the supply chain and/or the tiers where severe risk is most prevalent** |
| [ ] **Yes, partly** | Please elaborate your answer. |
| [ ] **No** | Text answer optional. |
| **Text answer** |
| Click here to add text. |
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| **4.3 Does the company have a general procedure to prioritize risks of violations of human rights, labor rights, environmental protection and anti-corruption in your own operations and in the supply chain?** |
| Relevant information for the company’s answer includes:* The key factors through which the company prioritizes risk with attention to severity (scale, scope, irremediability)[[1]](#footnote-2) and likelihood.
 |
| **4.3 Supplier answer** | **Mandatory information (kindly provide information in text answer box below)** |
| [ ] **Yes** | Describe the company’s procedure for prioritizing risk. |
| [ ] **Yes, partly** | Please elaborate your answer. |
| [ ] **No** | Text answer optional. |
| **Text answer** |
| Click here to add text. |

5. MONITORING COMPLIANCE

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| **5.1 Is the company actively managing the identified risks presented in your answer to question 4.1?** |
| Relevant information for the company’s answer includes:* Monitoring activities and other initiatives aiming at mitigating risk and ensuring compliance in own operations as well as in the supply chain for the products/services that are subject for the follow-up.

Any challenges faced with ensuring compliance and monitoring risk (for example related to leverage or a lack of transparency). |
| **5.1 Supplier answer** | **Mandatory information (kindly provide information in text answer box below)** |
| [ ] **Yes** | Please describe the activities the company is undertaking to monitor compliance for the specified product(s)/service(s).  |
| [ ] **Yes, partly** | You may answer ‘partly’ if some of the risks are being managed/monitored, but not all. Please elaborate your answer including any challenges the company is facing in addressing risk. |
| [ ] **No** | Text answer optional. If you have answered no because you have not identified any risks in your answer to question 4.1, please indicate this in your answer.  |
| **Text answer** |
| Click here to add text. |

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| 5.2 Does the company have general procedures for monitoring compliance with your policy commitment in your own operations as well as in the supply chain? |
| Relevant information for the company includes:* The process through which the company monitors compliance in its own operations and the supply chain, including:
	+ the process through which the company determines when and where monitoring activities should be conducted,
	+ which activities are being conducted to manage risks and monitor compliance,
	+ any challenges the supplier may have in monitoring risk (for example related to leverage or transparency).
 |
| **5.2 Supplier answer** | **Mandatory information (kindly provide information in text answer box below)** |
| [ ] **Yes** | Please describe how the company manages risk and/or monitors compliance giving specific reference to your procedures for determining – based on risk – when and where activities are conducted and what type of activity is conducted. If the company for example have different processes for its own operations and the supply chain, please indicate this in your answer.  |
| [ ] **Yes, partly** | Please elaborate your answer including any challenges the company is facing in addressing risk, and the measures the company is taking to address these challenges.  |
| [ ] **No** | Text answer optional. |
| **Text answer** |
| Click here to add text. |

6. DEVIATION MANAGEMENT

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| 6.1 Have any deviations from the policy commitment occurred during the contract(s) period and if so, how were they managed? |
| Relevant information for the company’s answer includes:* Information on deviations from the policy commitment, i.e. any violations of human rights, labour rights, environmental protection and anti-corruption that have occurred in the own operation or the supply chain connected to the performance of the contract.
* Specific actions taken to manage the deviation(s)
* Remedy provided for negative impact caused by the deviation
* Whether the company was causing, contributing to, or linked[[2]](#footnote-3) to the deviation/negative impact
* Other information that helps explain certain outcomes.
 |
| **6.1. Supplier answer** | **Mandatory information (kindly provide information in text answer box below)** |
| [ ] **Yes** | Please indicate the area(s) within which the company has identified impacts during the contracting period (select one or several options): |
| [ ]  **Human rights.** Please describe whether and how the company managed the deviation including access to remedy for any victims[ ]  **Labor rights.** Please describe whether and how the company managed the deviation including access to remedy for any victims[ ]  **Environmental protection.** Please describe whether and how the company managed the deviation including access to remedy for any victims.[ ]  **Anti-corruption.** Please describe whether and how the company managed the deviation including access to remedy for any victims |
| [ ] **No** | Text answer optional. |
| **Text answer** |
| Click here to add text. |

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| 6.2 Does the company have a general procedure for managing deviations in your own operations and in the supply chain? |
| Relevant information for the company’s answer includes:* The process through which the company determines which mitigation or remediation activity to undertake if any future violations were to be detected in its own operations as well as in the supply chain.
* How the severity of the non-compliance impacts the action the company undertakes.
* How and whether the company takes different actions in mitigating or remediating the risk depending on if it has caused, contributed to, or is linked to the violation.
 |
| **6.2. Svar** | **Mandatory information (kindly provide information in text answer box below)** |
| [ ] **Yes** | Please describe the process through which the company would mitigate/remedy a violation if one were to occur. Please indicate if the company has different procedures depending on whether the violation occurs in its own operations or in the supply chain, or if your company is causing, contributing to, or linked to the violation. Indicate if the company has different courses of action depending on the severity of the violation.  |
| [ ] **Yes, partly** | Please elaborate your answer. |
| [ ] **No** | Text answer optional. |
| **Text answer** |
| Click here to add text. |

1. **Scale** means the gravity of the impact on the human right(s). **Scope** means the number of individuals that are or could be affected. **Irremediability** means the ease or otherwise with which those impacted could be restored to their prior enjoyment of the right(s) (UNGP 14). [↑](#footnote-ref-2)
2. Where a business enterprise **causes or may cause** an adverse human rights impact, it should take the necessary steps to cease or prevent the impact. Where a business enterprise **contributes or may contribute to** an adverse human rights impact, it should take the necessary steps to cease or prevent its contribution and use its leverage to mitigate any remaining impact to the greatest extent possible. Leverage is considered to exist where the enterprise has the ability to effect change in the wrongful practices of an entity that causes a harm. Where a business enterprise has not contributed to an adverse human rights impact, but that impact is nevertheless **directly linked** to its operations, products or services by its business relationship with another entity, the situation is more complex. Among the factors that will enter into the determination of the appropriate action in such situations are the enterprise’s leverage over the entity concerned, how crucial the relationship is to the enterprise, the severity of the abuse, and whether terminating the relationship with the entity itself would have adverse human rights consequences. (UNGP 19b) [↑](#footnote-ref-3)