Deviation management due diligence for sustainable supply chains

[Supplier AB]

20xx-xx-xx



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Introduction

| Supplier |  |
| --- | --- |
| Supplier | Enter the supplier name |
| Contact person  | Enter name and email |
| Address  | Please provide full address including country, if other than Sweden |

|  |  |
| --- | --- |
| Commissioning party and contracting organisation |  |
| Commissioning party  | Enter the commissioning party (if coordinated monitoring, this may be another party than the contracting organisation whose supplier is monitored) |
| Contact person  | Enter name and email |
| Contracting organisation | Enter the contracting organisation whose supplier is monitored |

| Audit |  |
| --- | --- |
| Contract/agreement | Enter the full name of the contract/agreement |
| Method | [ ]  Desktop audit including document review[ ]  Office audit including document review and interviews[ ]  Other: Write text here |
| Date  | Enter date in accordance with 20XX-XX-XX |
| Sample products | Summarize the sample products briefly. Enter detailed information in the Sample Products table |
| Responsible for assessment | Enter name, title and organisation |
| Purpose | The purpose is to verify whether the supplier has addressed the deviations in accordance with the agreed action plan drawn up after the audit carried out on 20XX-XX-XX. |

Summary

Comment on how the collaboration with the supplier has worked. Be sure to state if it has been difficult to schedule the audit or if other problems have arisen.

Summarise the supplier's work to address the deviations, possibly divided into its own operations and its supply chain.

|  |  |
| --- | --- |
| Deviations, improvement suggestions and proposed action |  |
| Number of deviations | Enter the number of deviations (1-8) |
| Number of improvement suggestions  | Enter the number of improvement suggestions (1-8) |
| Proposed action  | [ ]  No action required[ ]  Action plan is drawn up and followed up through [digital/on-site] audit[ ]  Factory audit (based on identified risk of severe deviation)[ ]  Other: Write text here |

Compliance with process requirements

|  |  |  |  |
| --- | --- | --- | --- |
| Compliance with process requirements 1 – 7 and enabling auditing | Supplier fulfils process requirement | Supplier does not fulfil process requirement | Risk of severe deviation |
| Process requirement 1: Integrate the commitments into policies and allocate responsibility for policies and due diligence | [ ]  | [ ]  |  |
| Process requirement 2: Identify and assess adverse impacts | [ ]  | [ ]  | [ ]  |
| Process requirement 3: Prevent and mitigate adverse impacts supplier causes or contributes to | [ ]  | [ ]  |  |
| Process requirement 4: Prevent and mitigate adverse impacts linked to supplier's operations | [ ]  | [ ]  |  |
| Process requirement 5: Monitor the measures to prevent and mitigate adverse impacts | [ ]  | [ ]  |  |
| Process requirement 6: Enable complaints | [ ]  | [ ]  |  |
| Process requirement 7: Provide for remediation  | [ ]  | [ ]  |  |
| Enable auditing | [ ]  | [ ]  |  |

Company description

|  |  |
| --- | --- |
| Information | Description |
| Operational description | Enter operational description, e.g., from www.bolagsfakta.se  |
| Geographical location | Enter location(s) |
| Possible group affiliation | Enter the parent company |
| Employees | Enter the number of employees |
| Turnover  | Enter turnover |
| Listing  | Enter yes/no, and if yes, which stock exchange |
| Number of items/services and which/number of contracting parties have been purchased, customers, clientele, distribution of turnover private/public sector  | Write text here |
| Number of suppliers, key suppliers, distribution of suppliers by country/region | Write text here |
| Certifications and certificates | [ ]  ISO 9001 Quality management system[ ]  ISO 14001 Environmental management system - requirements and guidance[ ]  FR2000 Management systems for quality, environment, work environment, fire protection and skills supply[ ]  SUSA Svensk Miljöbas[ ]  EMAS Environmental management system[ ]  ISO 20400 Sustainable procurement – guidance (works based on the principles)[ ]  ISO 26000 Corporate Social Responsibility - Guidance (works based on the principles)[ ]  ISO 37001 Anti-bribery management system - requirements and Guidance[ ]  ISO 45001 Work environment management system - requirements and guidance[ ]  SA 8000 social responsibility[ ]  SUSA Systematiskt hållbarhetsarbete[ ]  Other: Write text here |
| Other information  | For example, indicate whether a similar audit has been conducted within the last three years (and on behalf of whom) or whether the audit has been limited in some way. |

Sample products

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Code | Article number | Article name | Brand owner | End manufacturer | Manufacturing country |
| A | Enter code of similar | Enter a name for the article | Specify brand owner | Enter the name and address of the manufacturer | Enter manufacturing country |
| B |  |  |  |  |  |
| C |  |  |  |  |  |
| D |  |  |  |  |  |
| E |  |  |  |  |  |

Interviewed or surveyed persons

|  |  |
| --- | --- |
| Name | Title/role |
| Enter name | Enter title/role |
|  |  |
|  |  |
|  |  |

Documents reviewed

|  |  |  |
| --- | --- | --- |
| No | Document | Comment |
| 1 | Enter name of document | Explain the content of the document if it is not clear from the name; state if there is a signature, and enter the date, period of validity, etc. |
| 2 |  |  |
| 3 |  |  |
| 4 |  |  |

Deviation management

Process requirement 1: Integrate the commitments into policies and allocate responsibility for policies and due diligence

[www.hållbarupphandling.se/en/processkrav-1](http://www.hållbarupphandling.se/en/processkrav-1)

|  |  |  |  |
| --- | --- | --- | --- |
| Deviation management  | Deviation resolved | Deviation remains | Improvement suggestion |
| Process requirement 1: Integrate the commitments into policies and allocate responsibility for policies and due diligence | [ ]  | [ ]  | [ ]  |

|  |  |  |  |
| --- | --- | --- | --- |
| Deviation | Proposed action | Time frame | Responsible |
| Paste from action plan. | Paste from action plan. | Paste from action plan. | Paste from action plan. |

|  |
| --- |
| Implemented measures |
| Indicate if and how the deviation has been resolved. If the deviation remains, it shall be re-entered in the action plan, where the supplier shall fill in a new planned action.  |

|  |
| --- |
| Auditor's assessment  |
| Supplier fulfils the requirement/Supplier partly fulfils the requirement/Supplier does not fulfil the requirement.  |

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| --- |
| Improvement suggestion  |
| If possible, indicate how policies and responsibilities can be improved. Refer to the guidance. Copy the suggestion to the action plan. Delete the section if there is no improvement suggestion. |

|  |
| --- |
| Reviewed documents |
| Specify which documents (numbers and names from the Document Reviewed table) that have been reviewed. |

Process requirement 2: Identify and assess adverse impacts

[www.hållbarupphandling.se/en/processkrav-2](http://www.hållbarupphandling.se/processkrav-2)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Deviation management  | Deviation resolved | Deviation remains | Improvement suggestion | Risk of severe deviation |
| Process requirement 2: Identify and assess adverse impacts | [ ]  | [ ]  | [ ]  | [ ]  |

|  |  |  |  |
| --- | --- | --- | --- |
| Deviation | Proposed action | Time frame | Responsible |
| Paste from action plan. | Paste from action plan. | Paste from action plan. | Paste from action plan. |

|  |
| --- |
| Implemented measures |
| Indicate if and how the deviation has been resolved. If the deviation remains, it shall be re-entered in the action plan, where the supplier shall fill in a new planned action.  |

|  |
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| Auditor's assessment  |
| Supplier fulfils the requirement/Supplier partly fulfils the requirement/Supplier does not fulfil the requirement.  |

|  |
| --- |
| Improvement suggestion  |
| If possible, indicate how the processes can be improved. Refer to the guidance. Copy the suggestion to the action plan. Delete the section if there is no improvement suggestion. |

|  |
| --- |
| Reviewed documents |
| Specify which documents (numbers and names from the Document Reviewed table) that have been reviewed. |

Process requirement 3: Prevent and mitigate adverse impacts supplier causes or contributes to

[www.hållbarupphandling.se/en/processkrav-3](http://www.hållbarupphandling.se/en/processkrav-3)

|  |  |  |  |
| --- | --- | --- | --- |
| Deviation management  | Deviation resolved | Deviation remains | Improvement suggestion |
| Process requirement 3: Prevent and mitigate adverse impacts supplier causes or contributes to | [ ]  | [ ]  | [ ]  |

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| --- | --- | --- | --- |
| Deviation | Proposed action | Time frame | Responsible |
| Paste from action plan. | Paste from action plan. | Paste from action plan. | Paste from action plan. |

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| --- |
| Implemented measures |
| Indicate if and how the deviation has been resolved. If the deviation remains, it shall be re-entered in the action plan, where the supplier shall fill in a new planned action.  |

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| Auditor's assessment  |
| Supplier fulfils the requirement/Supplier partly fulfils the requirement/Supplier does not fulfil the requirement.  |

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| --- |
| Improvement suggestion  |
| If possible, indicate how the processes can be improved. Refer to the guidance. Copy the suggestion to the action plan. Delete the section if there is no improvement suggestion. |

|  |
| --- |
| Reviewed documents |
| Specify which documents (numbers and names from the Document Reviewed table) that have been reviewed. |

Process requirement 4: Prevent and mitigate adverse impacts linked to supplier's operations

[www.hållbarupphandling.se/en/processkrav-4](http://www.hållbarupphandling.se/en/processkrav-4)

|  |  |  |  |
| --- | --- | --- | --- |
| Deviation management  | Deviation resolved | Deviation remains | Improvement suggestion |
| Process requirement 4: Prevent and mitigate adverse impacts linked to supplier's operations | [ ]  | [ ]  | [ ]  |

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| --- | --- | --- | --- |
| Deviation | Proposed action | Time frame | Responsible |
| Paste from action plan. | Paste from action plan. | Paste from action plan. | Paste from action plan. |

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| --- |
| Implemented measures |
| Indicate if and how the deviation has been resolved. If the deviation remains, it shall be re-entered in the action plan, where the supplier shall fill in a new planned action.  |

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| Auditor's assessment  |
| Supplier fulfils the requirement/Supplier partly fulfils the requirement/Supplier does not fulfil the requirement.  |

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| --- |
| Improvement suggestion  |
| If possible, indicate how the processes can be improved. Refer to the guidance. Copy the suggestion to the action plan. Delete the section if there is no improvement suggestion. |

|  |
| --- |
| Reviewed documents |
| Specify which documents (numbers and names from the Document Reviewed table) that have been reviewed. |

Process requirement 5: Monitor the measures to prevent and mitigate adverse impacts

[www.hållbarupphandling.se/en/processkrav-5](http://www.hållbarupphandling.se/en/processkrav-5)

|  |  |  |  |
| --- | --- | --- | --- |
| Deviation management  | Deviation resolved | Deviation remains | Improvement suggestion |
| Process requirement 5: Monitor the measures to prevent and mitigate adverse impacts | [ ]  | [ ]  | [ ]  |

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| Deviation | Proposed action | Time frame | Responsible |
| Paste from action plan. | Paste from action plan. | Paste from action plan. | Paste from action plan. |

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| --- |
| Implemented measures |
| Indicate if and how the deviation has been resolved. If the deviation remains, it shall be re-entered in the action plan, where the supplier shall fill in a new planned action.  |

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| --- |
| Auditor's assessment  |
| Supplier fulfils the requirement/Supplier partly fulfils the requirement/Supplier does not fulfil the requirement.  |

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| --- |
| Improvement suggestion  |
| If possible, indicate how the processes can be improved. Refer to the guidance. Copy the suggestion to the action plan. Delete the section if there is no improvement suggestion. |

|  |
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| Reviewed documents |
| Specify which documents (numbers and names from the Document Reviewed table) that have been reviewed. |

Process requirement 6: Enable complaints

[www.hållbarupphandling.se/en/processkrav-6](http://www.hållbarupphandling.se/en/processkrav-6)

|  |  |  |  |
| --- | --- | --- | --- |
| Deviation management  | Deviation resolved | Deviation remains | Improvement suggestion |
| Process requirement 6: Enable complaints | [ ]  | [ ]  | [ ]  |

|  |  |  |  |
| --- | --- | --- | --- |
| Deviation | Proposed action | Time frame | Responsible |
| Paste from action plan. | Paste from action plan. | Paste from action plan. | Paste from action plan. |

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| Implemented measures |
| Indicate if and how the deviation has been resolved. If the deviation remains, it shall be re-entered in the action plan, where the supplier shall fill in a new planned action.  |

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| Auditor's assessment  |
| Supplier fulfils the requirement/Supplier partly fulfils the requirement/Supplier does not fulfil the requirement.  |

|  |
| --- |
| Improvement suggestion  |
| If possible, indicate how the processes can be improved. Refer to the guidance. Copy the suggestion to the action plan. Delete the section if there is no improvement suggestion. |

|  |
| --- |
| Reviewed documents |
| Specify which documents (numbers and names from the Document Reviewed table) that have been reviewed. |

Process requirement 7: Provide for remediation

[www.hållbarupphandling.se/en/processkrav-7](http://www.hållbarupphandling.se/en/processkrav-7)

|  |  |  |  |
| --- | --- | --- | --- |
| Deviation management  | Deviation resolved | Deviation remains | Improvement suggestion |
| Process requirement 7: Provide for remediation | [ ]  | [ ]  | [ ]  |

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| --- | --- | --- | --- |
| Deviation | Proposed action | Time frame | Responsible |
| Paste from action plan. | Paste from action plan. | Paste from action plan. | Paste from action plan. |

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| --- |
| Implemented measures |
| Indicate if and how the deviation has been resolved. If the deviation remains, it shall be re-entered in the action plan, where the supplier shall fill in a new planned action.  |

|  |
| --- |
| Auditor's assessment  |
| Supplier fulfils the requirement/Supplier partly fulfils the requirement/Supplier does not fulfil the requirement.  |

|  |
| --- |
| Improvement suggestion  |
| If possible, indicate how the processes can be improved. Refer to the guidance. Copy the suggestion to the action plan. Delete the section if there is no improvement suggestion. |

|  |
| --- |
| Reviewed documents |
| Specify which documents (numbers and names from the Document Reviewed table) that have been reviewed. |

Enable auditing

|  |  |  |  |
| --- | --- | --- | --- |
| Deviation management  | Deviation resolved | Deviation remains | Improvement suggestion |
| Enable auditing | [ ]  | [ ]  | [ ]  |

|  |  |  |  |
| --- | --- | --- | --- |
| Deviation | Proposed action | Time frame | Responsible |
| Paste from action plan. | Paste from action plan. | Paste from action plan. | Paste from action plan. |

|  |
| --- |
| Implemented measures |
| Indicate if and how the deviation has been resolved. If the deviation remains, it shall be re-entered in the action plan, where the supplier shall fill in a new planned action.  |

|  |
| --- |
| Auditor's assessment  |
| Supplier fulfils the requirement/Supplier partly fulfils the requirement/Supplier does not fulfil the requirement.  |

|  |
| --- |
| Improvement suggestion  |
| If possible, indicate how the processes can be improved. Refer to the guidance. Copy the suggestion to the action plan. Delete the section if there is no improvement suggestion. |

|  |
| --- |
| Reviewed documents |
| Specify which documents (numbers and names from the Document Reviewed table) that have been reviewed. |

Audit statement

Summarise the supplier's work to address the deviations, possibly divided into its own operations and its supply chain.

No deviations remain. /Deviations remain for the following process requirements:

1. Integrate the commitments into policies and allocate responsibility for policies and due diligence
2. Identify and assess adverse impacts
3. Prevent and mitigate adverse impacts supplier causes or contributes to
4. Prevent and mitigate adverse impacts linked to supplier's operations
5. Monitor the measures to prevent and mitigate adverse impacts
6. Enable complaints
7. Provide for remediation
8. Enable auditing

[Contracting organisation] is recommended to follow up the deviations through a re-audit/desk audit within [x] months from the date below

**Place and date**

Write text here

**Auditor signature**

Insert or type signature here

**Name clarification**

Write text here

Action Plan [Supplier AB]

**Date when the action plan was set:** Write text here

**For audits carried out on:** Write text here

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| No | Deviation (to be completed by the person responsible for audit) | Process requirement (to be completed by the person responsible for audit) | Possible improvement suggestion (to be completed by the person responsible for audit) | Proposed action (to be completed by supplier) | Timeframe (to be completed by supplier) | Responsible (to be completed by supplier) | Approval of proposed action (to be completed by the person responsible for audit) |
| 1 | Paste the deviation from the assessment. | Specify the process requirement (name and heading) | Paste the improvement suggestion. | How the supplier intends to correct the deviation.In order for the deviation to be addressed in a sustainable manner, the root cause must be identified. | When the deviation must be rectified at the latest. | The person at the supplier who is responsible for implementing the measure. | Comment on whether the proposed action is approved. If it is not, a supplement to the proposed action must be requested. |
| 2 |  |  |  |  |  |  |  |
| 3 |  |  |  |  |  |  |  |