[Office audit/Desk audit] 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 audit aims to ensure compliance with the contract clause on due diligence for sustainable supply chains. This is done by reviewing policies, processes and their application based on sample products. |

| Contract clause |
| --- |
| Paste or attach the monitored contract clause |

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 and whether policies and processes are mainly in place or if there are major shortcomings in the supplier's due diligence, 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. |

Search engine check

|  |  |
| --- | --- |
| Keyword | Comment |
| Supplier (including website)  + human rights  + forced labour  + child labour  + workers' rights  + health & Safety  + environment  + corruption  Search for supplier at <https://www.business-humanrights.org/en/> | Write text here |
| Manufacturer (including website)  + human rights  + forced labour  + child labour  + workers' rights  + health & safety  + environment  + corruption  Search for manufacturers on <https://www.business-humanrights.org/en/> | Write text here |

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 |  |  |

Audit results

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)

|  |  |  |  |
| --- | --- | --- | --- |
| Compliance with process requirement | In accordance with requirement | Deviation | Improvement suggestion |
| Process requirement 1: Integrate the commitments into policies and allocate responsibility for policies and due diligence |  |  |  |

|  |
| --- |
| Excerpt from the contract clause |
| Supplier shall integrate the commitments in the Supplier Code of Conduct into policies and allocate  responsibility for policies and due diligence, by   1. ensuring that relevant policies, established at the highest management level, are adopted or   revised to align with the commitments in the Supplier Code of Conduct,   1. making the policies publicly available and communicating them to rights-holders affected by   its own operations,   1. ensuring that the board of directors considers the policies when making decisions, 2. appointing one or more persons in management positions as responsible for the due diligence   process and   1. assigning responsibility for the implementation of the policies to employees whose decisions are most likely to increase or decrease the risks of adverse impacts. |

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| --- |
| Processes |
| Own operations  Briefly state what policies and responsibilities that are in place to meet the requirement.  Supply chain  Briefly state what policies and responsibilities that are in place to meet the requirement. |

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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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| Deviation |
| Summarise why the supplier does not fulfil the requirement, i.e. write one deviation per process requirement. Copy the deviation to the action plan. Delete the section if no deviation is identified. |

|  |
| --- |
| 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)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Compliance with process requirement | In accordance with requirement | Deviation | Improvement suggestion | Risk of severe deviation |
| Process requirement 2: Identify and assess adverse impacts |  |  |  |  |

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| Excerpt from the contract clause |
| 2.2 Supplier shall identify and assess actual and potential adverse impacts, by   1. identifying risk suppliers, 2. mapping the supply chains of risk suppliers, 3. regularly examining the risks of adverse impacts in its own operations and in the supply chains   of risk suppliers,   1. engaging in meaningful consultations with rights-holders or their representatives and   obtaining information from credible and independent sources if consultations are not possible  in the supply chains of risk suppliers,   1. paying attention to adverse impact on individuals from groups and populations that are at   heightened risk of vulnerability or marginalisation, including environmental and human rights  defenders and   1. prioritising the most significant risks based on likelihood and severity. |

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| Sample products |
| Briefly indicate how the supplier has applied the requirement to the sample products. Use the letter codes from the Sample Products table.  State whether the supplier or auditor has identified a risk of severe deviation. |

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| Processes |
| Own operations  Briefly state what processes are in place to meet the requirement.  Supply chain  Briefly state what processes are in place to meet the requirement. |

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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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| Deviation |
| Summarise why the supplier does not fulfil the requirement, i.e. write one deviation per process requirement. Copy the deviation to the action plan. Delete the section if no deviation is identified. |

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

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

|  |  |  |  |
| --- | --- | --- | --- |
| Compliance with process requirement | In accordance with requirement | Deviation | Improvement suggestion |
| Process requirement 3: Prevent and mitigate adverse impacts that supplier causes or contributes to |  |  |  |

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| Excerpt from the contract clause |
| Supplier shall prevent and mitigate actual and potential adverse impacts that Supplier causes or  contributes to, by   1. ceasing activities that cause or contribute to adverse impact in its own operations or supply   chains,   1. establishing action plans in meaningful consultation with affected rights-holders or their representatives, with a particular focus on the most significant risks identified and 2. promoting purchasing practices that do not hinder sub-suppliers from complying with the   commitments in the Supplier Code of Conduct. |

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| Sample products |
| Briefly indicate how the supplier has applied the requirement to the sample products. Use the letter codes from the Sample Products table. |

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| Processes |
| Own operations  Briefly state what processes are in place to meet the requirement.  Supply chain  Briefly state what processes are in place to meet the requirement. |

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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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| Deviation |
| Summarise why the supplier does not fulfil the requirement, i.e. write one deviation per process requirement. Copy the deviation to the action plan. Delete the section if no deviation is identified. |

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

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

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| Compliance with process requirement | In accordance with requirement | Deviation | Improvement suggestion |
| Process requirement 4: Prevent and mitigate adverse impacts linked to the supplier's operations |  |  |  |

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| Excerpt from the contract clause |
| Supplier shall use its leverage to prevent and mitigate actual and potential adverse impacts linked  to Supplier's operations, by   1. assessing risk suppliers based on the commitments in the Supplier Code of Conduct and the   due diligence process, with a particular focus on the most significant risks identified,   1. establishing action plans for risk suppliers, with a particular focus on the most significant risks   identified,   1. forwarding the commitments in the Supplier Code of Conduct (section 1) and the due diligence   process (section 2) in writing to risk suppliers,   1. requiring risk suppliers to disclose their supply chains in accordance with the supply chain   transparency requirement (section 4.4) and   1. ensuring the possibility of temporarily suspending deliveries from a sub-supplier while   preventive and mitigating measures are implemented and, in the event of severe deviations  that remain unaddressed, the possibility of terminating the contract with the sub-supplier concerned. |

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| Sample products |
| Briefly indicate how the supplier has applied the requirement to the sample products. Use the letter codes from the Sample Products table. |

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| Processes |
| Own operations  Briefly state what processes are in place to meet the requirement.  Supply chain  Briefly state what processes are in place to meet the requirement. |

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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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| Deviation |
| Summarise why the supplier does not fulfil the requirement, i.e. write one deviation per process requirement. Copy the deviation to the action plan. Delete the section if no deviation is identified. |

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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 5: Monitor the measures to prevent and mitigate adverse impacts

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

|  |  |  |  |
| --- | --- | --- | --- |
| Compliance with process requirement | In accordance with requirement | Deviation | Improvement suggestion |
| Process requirement 5: Monitor the measures to prevent and mitigate adverse impacts |  |  |  |

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| Excerpt from the contract clause |
| Supplier shall monitor the measures to prevent and mitigate actual and potential adverse impacts,  by   1. following-up established action plans for its own operations and risk suppliers, with a   particular focus on the most significant risks identified,   1. engaging in meaningful consultations with rights-holders affected by its own operations, or   their representatives, and to the extent possible in the supply chains of risk suppliers and   1. addressing deviations. |

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| Sample products |
| Briefly indicate how the supplier has applied the requirement to the sample products. Use the letter codes from the Sample Products table. |

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| Processes |
| Own operations  Briefly state what processes are in place to meet the requirement.  Supply chain  Briefly state what processes are in place to meet the requirement. |

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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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| --- |
| Deviation |
| Summarise why the supplier does not fulfil the requirement, i.e. write one deviation per process requirement. Copy the deviation to the action plan. Delete the section if no deviation is identified. |

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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)

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| --- | --- | --- | --- |
| Compliance with process requirement | In accordance with requirement | Deviation | Improvement suggestion |
| Process requirement 6: Enable complaints |  |  |  |

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| Excerpt from the contract clause |
| Supplier shall enable stakeholders such as rights-holders, their representatives and environmental  and human rights defenders to submit complaints if they have concerns about actual or potential  adverse impacts in Supplier's operations or supply chains. Supplier shall address the submitted  complaints. |

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| Processes |
| Own operations  Briefly state what processes are in place to meet the requirement.  Supply chain  Briefly state what processes are in place to meet the requirement. |

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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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| Deviation |
| Summarise why the supplier does not fulfil the requirement, i.e. write one deviation per process requirement. Copy the deviation to the action plan. Delete the section if no deviation is identified. |

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| --- |
| Suggestions for improvement |
| 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)

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| --- | --- | --- | --- |
| Compliance with process requirement | In accordance with requirement | Deviation | Improvement suggestion |
| Process requirement 7: Provide for remediation |  |  |  |

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| Excerpt from the contract clause |
| Supplier shall, if Supplier has caused or contributed to actual adverse impact, provide for  remediation by   1. to the extent possible, restoring affected rights-holders to the situation they would have been   in had the adverse impact not occurred and enabling remediation that is proportionate to the  significance and scale of the adverse impact,   1. engaging in meaningful consultation with affected rights-holders or their representatives on   appropriate remedy and   1. assessing whether affected rights-holders are satisfied with the process and outcome. |

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| Sample products |
| Briefly indicate how the supplier has applied the requirement to the sample products. Use the letter codes from the Sample Products table. |

|  |
| --- |
| Processes |
| Own operations  Briefly state what processes are in place to meet the requirement.  Supply chain  Briefly state what processes are in place to meet the requirement. |

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

|  |
| --- |
| Deviation |
| Summarise why the supplier does not fulfil the requirement, i.e. write one deviation per process requirement. Copy the deviation to the action plan. Delete the section if no deviation is identified. |

|  |
| --- |
| 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. |

Enable auditing

|  |  |  |  |
| --- | --- | --- | --- |
| Compliance with process requirement | In accordance with requirement | Deviation | Improvement suggestion |
| Enable auditing |  |  |  |

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| Excerpt from the contract term |
| Supplier shall, within [four (4)] weeks of [contracting organisation's] request, enable [contracting  organisation] to, on its own or through a representative, conduct audits in Supplier's operations.  Supplier shall also enable [contracting organisation] to, on its own or through a representative,  conduct audits of any sub-suppliers’ operations. Supplier and any sub-suppliers shall, in connection  with audits, provide the information that [contracting organisation] requests. |

|  |
| --- |
| Sample products |
| Briefly indicate how the supplier has applied the requirement to the sample products. Use the letter codes from the Sample Products table. |

|  |
| --- |
| Processes |
| Own operations  Briefly state what processes are in place to meet the requirement.  Supply chain  Briefly state what processes are in place to meet the requirement. |

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

|  |
| --- |
| Deviation |
| Summarise why the supplier does not fulfil the requirement, i.e. write one deviation per process requirement. Copy the deviation to the action plan. Delete the section if no deviation is identified. |

|  |
| --- |
| 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

Describe the supplier's work and whether policies and processes are mainly in place or whether there are major shortcomings in the supplier's work with sustainable supply chains, possibly divided into its own operations and the supply chain.

No deviations have been found./Deviations have been found 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 follw-up/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 audit 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 corrected 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 |  |  |  |  |  |  |  |