# Self-assessment questionnaire Sustainable supply chains[[1]](#footnote-1): initial assessment at company level

## The long-term ambition and expectations on suppliers that have products registered in Byggvarubedömningen is that suppliers shall work systematically with sustainability in their own operations and in the product’s supply chain. This means that suppliers are expected to have routines for identifying and managing risks related to human rights, labour rights, environment, and anti-corruption. This work is based on UN Guiding Principles on Business and Human Rights, and can be summarized in six steps:

## Policy commitment

## Communicating the policy commitment

## Division of responsibility

## Risk analysis

## Monitoring compliance

## Managing deviations

## Indication on what is requested in each step is briefly described in this self-assessment questionnaire. Additional information is presented in Byggvarubedömningen’s criteria document, available on our webpage. All questions in the self-assessment questionnaire (SAQ) needs to be answered the day the supplier applies for assessment. The answers shall be verified with the documents that are requested on each question and/or description of procedures in the filed for text answer. The answers in the SAQ and enclosed documentation aim to assess whether the supplier conducts a systematic work regarding sustainability in their own operations as well as in the product’s supply chain. The assessment will be based on the criteria presented in our criteria document.

Please note that the supplier is encouraged to be transparent about its work and challenges it may face when answering the SAQ. The fact that the supplier has identified deviations or risks in their own operations and/or in the product’s supply chain it not itself a basis for a supplier to receive a lower assessment-level. The most important is rather how the supplier handles deviations/risks and develops preventive procedures so that they do not happen again. When it comes to challenges, it may be a matter of having limited influence in managing risks beyond the first tier in the supply chain. In that case, we ask the supplier to explain why they have limited influence and what the approach is to such situations. It is also the supplier’s responsibility to demonstrate that sufficiently routines have been established to be able to carry out credible risk analysis and take appropriate measures to deal the most serious risks.

Contact person at supplier inclusive title regarding questions related to sustainable supply chain:

Name:   
Email:   
Title:

### Supplier information

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| Date (year, month, day) for applying for initial assessment: |  |
| Company name: |  |
| Address: |  |
| Staff headcount Sweden: | ☐ > 250 (large enterprise) ☐ <250 (medium-sized enterprise) ☐ <50 (small enterprise)  ☐ <10 (micro enterprise)  ☐ N/A |
| Staff headcount total: | ☐ > 250 (large enterprise) ☐ <250 (medium-sized enterprise) ☐ <50 (small enterprise)  ☐ <10 (micro enterprise)  ☐ N/A |

### Additional information

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| Type of operations: | Manufacturing  Wholesale  Other, please specify: |
| For Byggvarubedömningen to understand how your company operates regarding sustainable supply chains, please describe your company’s organisational structure: | ☐ Please describe: |
| Does your company have any certification relevant for sustainable supply chains? | ☐ ISO 9001  ☐ ISO 14001  ☐ ISO 20400  ☐ OHSAS 18001  ☐ SA8000  ☐ Other, please specify: |
| 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 |

## Product information – sample product for initial assessment

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| Type of product/s: |  |
| BVB ID for sample product: |  |

## Access to own production facilities

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| **Can the company provide access to its own production facilities, relevant for the product/s that this assessment applies to, if it is decided to conduct an on-site-audit?** | |
| The company shall enable Byggvarubedömningen or on behalf of Byggvarubedömningen’s members to carry out audits at the supplier and/or its subcontractors’ facilities to verify that the company fulfils its obligation to work systematically. In connection to the audit, the supplier shall provide the information and documentation needed to verify this. | |
| Answer: | Mandatory information (insert in the field for text answer below). |
| Yes | Kindly provide any information that might be useful to Byggvarubedömningen. |
| 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 that are relevant for the product/s that this assessment applies to. |
| Text answer: | |
| *Insert text here.* | |

Access to suppliers’ and subcontractors’ production facilities

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| **Can the company provide access to suppliers’ and subcontractors’ facilities, relevant for the product/s that this assessment applies to, if it is decided to conduct an on-site-audit?** | |
| The company shall enable Byggvarubedömningen or on behalf of Byggvarubedömningen’s members to carry out audits at the supplier and/or its subcontractors’ facilities to verify that the company fulfils its obligation to work systematically. In connection to the audit, the supplier shall provide the information and documentation needed to verify this. | |
| Answer: | Mandatory information (insert in the field for text answer below). |
| Yes | Kindly provide any information that might be useful to Byggvarubedömningen. |
| 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 suppliers’ or subcontractors’ production facilities. |
| N/A | Please explain why you consider this question as not applicable. |
| Text answer: | |
| *Insert text here.* | |

## Policy commitment

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| **1.1 Does the company have a written policy commitment in which it commits to respect human rights, labour rights, environmental regulations, and anti-corruption?** | |
| 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, where the policy 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 Answer: | Mandatory information (insert in the field for text answer below). |
| Yes | Attach relevant documents, provide a web link, or summarize the company’s commitment(s) with reference to above stated information. |
| Yes, partly | You can answer ”partly” if the company for example has a policy commitment, but which does not cover all areas of responsibility. Please explain why you believe that your company partly meets the requirements. |
| No | Insert text answer if necessary. |
| Documentation to include to your answer: | |
| Please attach relevant documents or insert weblink in text answer. | |
| Text answer: | |
| *Insert text here.* | |

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| **1.2 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 Answer: | Mandatory information (insert in the field for text answer below). |
| Yes | Please specify at which level the policy commitment was approved and the date of approval in text answer below. |
| No | Insert text answer if necessary. |
| Documentation to include to your answer: | |
| Please provide evidence of approval, e.g. demonstrating that the policy commitment has been signed by the company’s CEO/Chairman of the Board. | |
| Text answer: | |
| *Insert text here.* | |

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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 Answer: | Mandatory information (insert in the field for text answer below). |
| Yes | Please describe how your company has made the policy commitment(s) publicly available in the text answer below. |
| No | Insert text answer if necessary. |
| Text answer: | |
| *Insert text here.* | |

## Communication 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 for the product/s that this assessment applies to?** | |
| 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 for the product/s that this assessment applies to (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 Answer: | Mandatory information (insert in the field for text answer below). |
| Yes | Explain how the company informs employees about its commitments and responsibilities in the text answer below. |
| 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 in the text answer below. |
| No | Insert text answer if necessary. |
| Text answer: | |
| *Insert text here.* | |

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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 (e.g. through 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 business dialogue, contract negotiations or in training). | |
| 2.2 Answer: | Mandatory information (insert in the field for text answer below). |
| Yes | Please explain how the company – in writing and through other activities – communicates the commitment to first-tier supplier in the text answer below. |
| Yes, partly | Please elaborate your answer in the field for text answer below. |
| No | Insert text answer if necessary. |
| Documentation to enclose to your answer: | |
| Please provide evidence of written communication with suppliers linked to the product that the assessment applies to, e.g. signed Code of Conduct or contractual requirements. | |
| Text answer: | |
| *Insert text here.* | |

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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 Answer: | Mandatory information (insert in the field for text answer 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. *Please describe how the commitment is communicated in the field for text answer below.*  ​​☐​ Communicates its commitments **beyond the second tier** in the supply chain to suppliers. *Please describe how the commitment is communicated in the field for text answer below.* |
| Yes, partly | Please elaborate your answer in the field for text answer below. |
| No | Insert text answer if necessary. |
| Text answer: | |
| *Insert text here.* | |

## Division of responsibility

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| **3.1 Has the company appointed one or more persons at 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, labour rights, environmental protection and anti-corruption in the company as well as in the supply chain. | |
| 3.1 Answer: | Mandatory information (insert in the field for text answer below). |
| Yes | The company has appointed a person/s at managerial level who is responsible for the following areas (select one or several options):  **Human rights.** *Provide title and scope of responsibility in text answer below.*  **Labour rights.** *Provide title and scope of responsibility in text answer below.*  **Environmental protection.** *Provide title and scope of responsibility in text answer below.*  **Anti-corruption.** *Provide title and scope of responsibility in text answer below.* |
| No | Insert text answer if necessary. |
| Text answer: | |
| *Insert text here.* | |

## Risk analysis

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| **4.1 Does the company have a general procedure to identify risk of violation of human rights, labour 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 will present in question 4.4. * Any challenges the company may have in identifying risk (for example related to leverage or transparency). | |
| 4.1 Answer: | Mandatory information (insert in the field for text answer 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 in the field for text answer below.*  **Labour rights.** *Please describe in the field for text answer below.*  **Environmental protection.** *Please describe in the field for text answer below.*  **Anti-corruption.** *Please describe in the field for text answer below.*  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 present. |
| Yes, partly | Please elaborate your answer in the field for text answer below. |
| No | Insert text answer if necessary. |
| Documentation to enclose to your answer: | |
| Please enclose the procedure and documentation that demonstrate your model/tool for risk analysis regarding your own operations as well as your supply chain. The documentation should state who is responsible for risk analysis and the frequency of implementation. | |
| Text answer: | |
| *Insert text here.* | |

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| **4.2 Does the company have a general procedure to prioritize risks of violations of human rights, labour 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)[[2]](#footnote-2) and likelihood of occurrence. | |
| 4.3 Answer: | Mandatory information (insert in the field for text answer below). |
| Yes | Please describe the company’s procedure for prioritizing risk in text answer below. |
| Yes, partly | Please elaborate your answer in the field for text answer below. |
| No | Insert text answer if necessary. |
| Text answer: | |
| *Insert text here.* | |

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| **4.3 Has the company conducted a mapping of all parts of the supply chain for the product/s that this assessment applies to?** | |
| Relevant information for the company’s answer includes:   * To what extent the company has been able to map the supply chain to identify risks. | |
| 4.3 Answer: | Mandatory information (insert in the field for text answer below). |
| Yes | **The company has mapped the main parts of the supply chain for the product/s that this assessment applies to.** *Describe the different parts of the supply chain and provide information about geographical location (country/region) for these activities. Also state whether the mapping is based on first-hand information, or e.g. on publicly available information.*  **The company has partly mapped the main parts of the supply chain for the product/s that this assessment applies to.** *Describe the different parts of the supply chain and provide information about geographical location (country/region) for these activities where this information is available. Also state whether the mapping is based on first-hand information, or e.g. on publicly available information. To meet the requirements, you also need to describe what concrete measures are taken to increase traceability in the supply chain.* |
| No | Insert text answer if necessary. |
| Documentation to enclose to your answer: | |
| Please enclose documentation that shows your supply chain mapping for the product/s that the assessment applies to. | |
| Text answer: | |
| *Insert text here.* | |

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| **4.4 Has the company identified any risks within your own operations and/or the supply chain for the product/s that this assessment applies to?** | |
| 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 specified product/s in its own operations and/or throughout the entire supply chain. * Any challenges the supplier may have in identifying risk (for example related to leverage or transparency). | |
| 4.4 Answer: | Mandatory information (insert in the field for text answer below). |
| Yes | The company has identified risk(s) in the following areas (select one or several options):  **Human rights.** *Please describe in the field for text answer below.*  **Labour rights.** *Please describe in the field for text answer below.*  **Environmental protection.** *Please describe in the field for text answer below.*  **Anti-corruption**. *Please describe in the field for text answer below.* |
| Yes, partly | You can answer ”partly” if for example the company only has identified risks in parts of the own operations and/or in the supply chain. Please develop your answer. |
| No | Insert text answer if necessary. |
| Text answer: | |
| *Insert text here.* | |

## Monitoring compliance

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| **5.1 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 in 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). | |
| 5.1 Answer: | Mandatory information (insert in the field for text answer 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 | Insert text answer if necessary. |
| Text answer: | |
| *Insert text here.* | |

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| **5.2 Is the company actively managing the identified risks presented in your answer to question 4.4?** | |
| Relevant information for the company’s answer includes:   * Monitoring activities and other initiatives aiming at mitigating risks and ensuring compliance in own operations as well as in the supply chain for the product/s that the assessment applies to. * Any challenges faced with ensuring compliance and monitoring risk (for example related to leverage or a lack of transparency). | |
| 5.2 Answer: | Mandatory information (insert in the field for text answer below). |
| Yes | Please describe the activities the company is undertaking to monitor compliance for the product/s that this assessment applies to. |
| 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 4.4, please indicate this in your answer. |
| Documentation to enclose to your answer: | |
| If risks have been identified for the product/s that this assessment applies to (which you described in question 4.4), please enclose documentation that shows planned and/or performed follow-up activities in the current supply chain. | |
| Text answer: | |
| *Insert text here.* | |

## Deviation management

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| **6.1 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. | |
| 6.1 Answer: | Mandatory information (insert in the field for text answer 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 procedures of action depending on the severity of the violation. |
| Yes, partly | Please elaborate your answer in the field for text answer below. |
| No | Insert text answer if necessary. |
| Text answer: | |
| *Insert text here.* | |

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| **6.2 Have any deviations from the policy commitment occurred for the product/s that this assessment applies to, 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. * 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 to the deviation/negative impact[[3]](#footnote-3). * Other information that helps explain certain outcomes. | |
| 6.2 Answer: | Mandatory information (insert in the field for text answer below). |
| Yes | Please specify in which area/s deviations occurred (select one or more options):  **Human rights.** *Please describe whether and how the company managed the deviation including access to remedy for any victims.*  **Labour 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 | Insert text answer if necessary. |
| Text answer: | |
| *Insert text here.* | |

1. This is a translation of the Swedish self-assessment questionnaire, version 2021-2. The Swedish version is the original. Where there are different language versions of these documents, the English version shall be considered as translations only. The questions in this self-assessment questionnaire have been taken from the Swedish National Agency for Public Procurement, document “Formulär för egenrapportering hållbara leveranskedjor” (in English: Form for Self-reporting Sustainable Supply Chains). [↑](#footnote-ref-1)
2. Scale means the gravity of the impact. 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)
3. UN Guiding Principles on Business and Human Rights differs in companies’ commitment depending on whether it is causing, contributing, or is directly linked to a deviation. Where a supplier **causes or may cause** an adverse human rights impact, it should take the necessary steps to cease or prevent the impact. Where a supplier **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. The most common is that suppliers are considered to cause impact in its own operations, and to be contributing to impacts in the supply chain. Where a supplier has not caused nor 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 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. [↑](#footnote-ref-3)