Follow-up of suppliers

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An important part of working systematically with social responsibility in the supply chain is to follow up on risks that previously has been identified. Follow-up (step 5) can be done in various ways, e.g. through self-assessments, own or third-party audits or complaints mechanisms. Also, efforts that strengthen the suppliers and subcontractor’s capacity can be part of the follow-up.

This support document focuses on one common method for follow-up – namely audits. Audits can give results that are comparable over time or with country and industry averages. The audits may be carried out by the supplier itself or through a third party. This document provides guidance on how audits can be carried out in practice and what questions/areas may be appropriate to investigate in one’s supply chains. Depending on which stage of the supply chain that is supposed to be audited, the audit may look different. When a subcontractor is audited as a wholesaler in a low-risk country, it is more relevant to review the wholesaler’s procedures and processes for redistributing requirement and monitoring compliance. On the other hand, if there is an audit of the factory where the product is manufactured, an on-site audit needs to be performed. Such an audit usually consists of three steps:

1. Review of documentation
2. Interviews with management and employees
3. Inspection of the workplace and housing facilities

An audit report presents the results of these three steps, present and describes deviations and suggestions on corrective actions, which the supplier is supposed to implement within a specified timeframe.

This template provides suggestions on what questions could be asked and followed up in an audit. Please be aware that the questions in this template are only suggestions of questions and that there may be additional questions that should be added and investigated depending on the nature of the supplier to be evaluated. Byggvarubedömningen does not take responsibility for how users/suppliers use this template or decide to proceed with the information complied in this document,

# General questions

## Products covered

|  |  |
| --- | --- |
| BVB’s ID for the products covered by this audit: |  |
| Name and address of facility/geographic location of the supplier (specify at least the country): | Comment:  |

## Certifications

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| --- | --- |
| Is the supplier certified according to any of the following certifications? *If yes, ensure that the certificate still is valid.*  | ☐ ISO 14001☐ ISO 9001☐ ISO 20400 ☐ ISO 45001 (previous OHSAS 18001) ☐ SA8000 ☐ Other, please describe:  |

## The product’s supply chain

|  |  |  |
| --- | --- | --- |
| In what countries are the supplier’s sub-contractors based?  | ☐ The supplier has mapped the product’s entire supply chain. Please specify the countries:  | ☐ The supplier has partly mapped the product’s supply chain. Please specify the countries:  |

## Code of Conduct/policy

|  |  |  |
| --- | --- | --- |
| Has the supplier adopted a Code of Conduct/several policies including human rights, labour rights, environment and anti-corruption at management level?  | [ ]  Yes.  | [ ]  No.   |
| Has the supplier communicated the Code of Conduct/policy to all its employees?  | [ ]  Yes, specify how:  | [ ]  No.   |
| Does the supplier give support to its employees to understand and implement the Code of Conduct/policy (e.g. by providing training, information meetings or employee performance appraisals)?  | [ ]  Yes, specify how: | [ ]  No.   |
| Has the supplier informed its (sub)suppliers about the Code of Conduct/policy and its content? | [ ]  Yes, specify how: | [ ]  No.   |

## Complaint mechanism

|  |  |  |
| --- | --- | --- |
| Are the supplier’s employees able to report suspected or actual breaches of human rights, labour rights, environment and corruption in a protected and confidential manner?  | [ ]  Yes, specify how: | [ ]  No.   |
| Are the supplier’s employees aware of the possibility to report suspected or actual breaches?  | [ ]  Yes, specify how: | [ ]  No.   |
| Does the supplier encourage relevant players in the product’s supply chain to enable their employees to report suspected breaches/incidents related to human rights, labour rights, environmental impact and anti-corruption in a protected and confidential manner? | [ ]  Yes, specify how: | [ ]  No.   |
| Does the supplier monitor all complaints received in relation to human rights, labour rights, environmental impact and anti-corruption? | [ ]  Yes, specify how: | [ ]  No.   |

## Stakeholder dialog

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| --- | --- | --- |
| Does the supplier have a continuous dialogue with relevant stakeholders, such as owners, customers and suppliers, which are or may be adversely affected by its operations and by the product’s supply chain (e.g. employees and residents/local communities)? | [ ]  Yes, specify how: | [ ]  No.   |

**Procedures and routines for risk analysis and follow up**

|  |  |  |
| --- | --- | --- |
| Has the supplier procedures and routines for conducting risk analysis of their own operations?  | [ ]  Yes, the following areas are included in the risk analysis: [ ]  Human rights[ ]  Labour rights[ ]  Environment [ ]  Anti-corruption | [ ]  No.   |
| Has the supplier procedures and routines for conducting risk analysis of the product’s the supply chain? | [ ]  Yes, the following areas are included in the risk analysis: [ ]  Human rights[ ]  Labour rights[ ]  Environment [ ]  Anti-corruption | [ ]  No.   |
| Has any risks been identified in the supplier’s own operations and/or in the product’s supply chain? | [ ]  Yes, please specify the risks:  | [ ]  No.  |
| If risks have been identified, does the supplier perform any follow-up activities?  | [ ]  Yes, specify how and which (e.g. audits, education, questionnaire etc.): | [ ]  No.   |

# Fundamental rights

## Child Labour

|  |  |  |  |
| --- | --- | --- | --- |
| Does the supplier ensure the age of all employees in connection with recruitment, e.g. through interviews or one-on-one meetings? | [ ]  Yes. | [ ]  No.  | [ ]  Not relevant for this supplier due to:  |
| When recruiting workers between 13-15, does the supplier check that their guardians have approved their employment? | [ ]  Yes. | [ ]  No.  | [ ]  Not relevant for this supplier due to: |
| Does the supplier ensure that workers under the age of 18 get the leave they are entitled to? | [ ]  Yes. | [ ]  No.  | [ ]  Not relevant for this supplier due to: |
| Does the supplier ensure that workers under the age of 18 do not perform tasks that could harm their health, safety, wellbeing or mental development? | [ ]  Yes. | [ ]  No.  | [ ]  Not relevant for this supplier due to: |
| Does the supplier ensure that workers under the age of 18 get the rest breaks they are entitled to? | [ ]  Yes. | [ ]  No.  | [ ]  Not relevant for this supplier due to: |
| Have any other observations of child labour been identified during the audit?  | [ ]  Yes, specify the evidence:  | [ ]  No.  | [ ]  Not relevant for this supplier due to: |

## Slavery and forced labour

|  |  |  |  |
| --- | --- | --- | --- |
| Does the supplier have procedures to ensure that they comply with national legislation and the applicable collective agreements regarding the right of its employees to receive paid leave? | [ ]  Yes. | [ ]  No.  | [ ]  Not relevant for this supplier due to |
| Does the supplier ensure that they never confiscate the passports and/or identification documents of its employees, including contracted personnel? | [ ]  Yes. | [ ]  No.  | [ ]  Not relevant for this supplier due to |
| Does the supplier ensure that they never charge its employees, including contracted personnel, a fee or deposit in return for employment? | [ ]  Yes. | [ ]  No.  | [ ]  Not relevant for this supplier due to |
| Have any other observations of slavery and/or forced labour been identified during the audit?  | [ ]  Yes, specify the evidence:  | [ ]  No.  | [ ]  Not relevant for this supplier due to: |

## Discrimination

|  |  |  |  |
| --- | --- | --- | --- |
| Does the supplier ensure that employees' continuous exercise of profession is fully evaluated according to objective criteria and in a non-discriminatory manner? | [ ]  Yes. | [ ]  No.  | [ ]  Not relevant for this supplier due to: |
| Does the supplier have procedures to ensure that reassignments, promotions, training, dismissals and other employment-related decisions are based solely on objective criteria (skills, experience and qualifications)? | [ ]  Yes. | [ ]  No.  | [ ]  Not relevant for this supplier due to: |
| Does the supplier have procedures to ensure that remuneration and other benefits (bonuses, allowances, leave etc.) are based solely on objective factors, and implemented in a non-discriminatory manner within its organization? | [ ]  Yes. | [ ]  No.  | [ ]  Not relevant for this supplier due to: |
| Have any other observations of discrimination been identified during the audit?  | [ ]  Yes, specify the evidence: | [ ]  No.  | [ ]  Not relevant for this supplier due to: |

## Freedom of association

|  |  |  |  |
| --- | --- | --- | --- |
| Are the supplier’s employees free to join unions, take union trusts and negotiate collectively? | [ ]  Yes.  | [ ]  No.  |  [ ]  Not relevant for this supplier due to: |
| If the supplier has operations in countries where freedom of association is limited, does they ensure that employees can have joint forums for dialogue on wages and working conditions, and that there is an opportunity to express opinions to management? | [ ]  Yes. | [ ]  No.  | [ ]  Not relevant for this supplier due to: |
| Have any other observations in regard to lack of freedom of association been identified during the audit? | [ ]  Yes, specify the evidence: | [ ]  No.  | [ ]  Not relevant for this supplier due to: |

# Labour rights

## Agreements

|  |  |  |  |
| --- | --- | --- | --- |
| Does the supplier ensure that all its employees receive written and legally binding employment contracts in a language they understand? | [ ]  Yes. | [ ]  No.  | [ ]  Not relevant for this supplier due to: |
| Does the supplier ensure that all employment contracts clearly describe the agreed type of employment, salary, overtime pay, working hours, vacations and any other employment-related issues? | [ ]  Yes. | [ ]  No.  | [ ]  Not relevant for this supplier due to: |
| Have any other observations related to agreements been identified during the audit? | [ ]  Yes, specify the evidence:  | [ ]  No. | [ ]  Not relevant for this supplier due to:  |

## Wages

|  |  |  |  |
| --- | --- | --- | --- |
| Does the supplier ensure that its employees receive a reasonable wage that at least corresponds to statutory minimum level or relevant collective agreements? | [ ]  Yes.  | [ ]  No.  | [ ]  Not relevant for this supplier due to:  |
| Does the supplier ensure that the wages are paid directly to the employee on the scheduled pay day and in full? | [ ]  Yes.  | [ ]  No.  | [ ]  Not relevant for this supplier due to:  |
| Have any other observations related to wages been identified during the audit? | [ ]  Yes, specify the evidence:  | [ ]  No. | [ ]  Not relevant for this supplier due to:  |

## Weekly working hours

|  |  |  |  |
| --- | --- | --- | --- |
| Are the regular weekly working hours of the supplier’s employees limited in accordance with applicable national law and/or relevant collective agreements/international standard? | [ ]  Yes.  | [ ]  No.  | [ ]  Not relevant for this supplier due to:  |
| Are the total working hours (including overtime) of the supplier’s employees limited in accordance with applicable national law and/or relevant collective agreements/international standard? | [ ]  Yes.  | [ ]  No.  | [ ]  Not relevant for this supplier due to:  |
| Does the supplier have a system for monitoring the number of hours worked by its employees? | [ ]  Yes.  | [ ]  No.  | [ ]  Not relevant for this supplier due to:  |
| In cases where individual employees have worked too many hours over a certain period, do the supplier ensure that these individuals are compensated with, for example, compensatory leave? | [ ]  Yes.  | [ ]  No.  | [ ]  Not relevant for this supplier due to:  |
| Have any other observations related to wages been identified during the audit? | [ ]  Yes, specify the evidence:  | [ ]  No. | [ ]  Not relevant for this supplier due to:  |

## Work-related injuries and illnesses

|  |  |  |  |
| --- | --- | --- | --- |
| Does the supplier conduct continuous risk assessments of its operations from a health and safety perspective? | [ ]  Yes.  | [ ]  No.  | [ ]  Not relevant for this supplier due to:  |
| Does the supplier have a system for documenting incidents and near misses in relation to workplace accidents, injuries and illnesses that occur its operations? | [ ]  Yes.  | [ ]  No.  | [ ]  Not relevant for this supplier due to:  |
| Does the supplier’s employees receive the relevant training and necessary information about health and safety? | [ ]  Yes.  | [ ]  No.  | [ ]  Not relevant for this supplier due to:  |
| Does the supplier require its employees to use the appropriate protective equipment in order to perform their work safely? | [ ]  Yes.  | [ ]  No.  | [ ]  Not relevant for this supplier due to:  |
| Has any serious accidents or incidents occurred in the past years? | [ ]  Yes.  | [ ]  No.  | [ ]  Not relevant for this supplier due to:  |
| Have any other observations related to work-related injuries and illnesses been identified during the audit? | [ ]  Yes, specify the evidence:  | [ ]  No. | [ ]  Not relevant for this supplier due to:  |

## Safe buildings

|  |  |  |  |
| --- | --- | --- | --- |
| Does the supplier make regular inventories of the fire and safety risks in its buildings and document them? | [ ]  Yes.  | [ ]  No.  | [ ]  Not relevant for this supplier due to:  |
| Does the supplier have procedures for identifying legal requirements and other requirements for which the organization is affected by and which are applicable to fire and security risks? | [ ]  Yes.  | [ ]  No.  | [ ]  Not relevant for this supplier due to:  |
| Does the supplier provide fire safety equipment (alarms and fire extinguishers) in the buildings where they conduct its operations? | [ ]  Yes.  | [ ]  No.  | [ ]  Not relevant for this supplier due to:  |
| Does the supplier provide fire safety training for its employees? | [ ]  Yes, specify the date for the last training:  | [ ]  No.  | [ ]  Not relevant for this supplier due to:  |
| Are the emergency exits unobstructed? | [ ]  Yes.  | [ ]  No.  | [ ]  Not relevant for this supplier due to:  |
| Have any other observations related to safe buildings been identified during the audit? | [ ]  Yes, specify the evidence:  | [ ]  No. | [ ]  Not relevant for this supplier due to:  |

## Basic hygiene

|  |  |  |  |
| --- | --- | --- | --- |
| Does the supplier ensure that its employees have access to adequately equipped shower and changing rooms, lockers for clothing, rooms for eating and resting, toilets and other staffrooms?  | [ ]  Yes.  | [ ]  No.  | [ ]  Not relevant for this supplier due to:  |
| Does the supplier ensure that all its employees have access to sufficient and safe drinking water in connection to their workplace? | [ ]  Yes.  | [ ]  No.  | [ ]  Not relevant for this supplier due to:  |
| Have any other observations related to basic hygiene been identified during the audit? | [ ]  Yes, specify the evidence:  | [ ]  No. | [ ]  Not relevant for this supplier due to:  |

# Environment

## Water, air and ground

|  |  |  |  |
| --- | --- | --- | --- |
| Does the supplier have the permits and licenses required by local laws or regulations?  | [ ]  Yes. | [ ]  No.  | [ ]  Not relevant for this supplier due to:  |
| Are the employees provided with adequate and necessary environmental awareness for both their specific job function and general safety?  | [ ]  Yes. | [ ]  No.  | [ ]  Not relevant for this supplier due to:  |
| Have any other observations related to water, air and ground been identified during the audit? | [ ]  Yes, specify the evidence:  | [ ]  No. | [ ]  Not relevant for this supplier due to:  |

# Extraction of raw materials

|  |  |  |  |
| --- | --- | --- | --- |
| Has the supplier been able to trace the origin of its product’s s all the way down to the extraction of raw materials?  | [ ]  Yes, specify in what countries the extraction takes place:  | [ ]  No. | [ ]  Not relevant for this supplier due to:  |

# Chemicals

|  |  |  |  |
| --- | --- | --- | --- |
| Does the supplier have procedures in place to ensure safe handling and storing of chemicals?  | [ ]  Yes.  | [ ]  No. | [ ]  Not relevant for this supplier due to:  |
| Are the employees handling the chemicals provided with personal protective equipment? | [ ]  Yes. | [ ]  No. | [ ]  Not relevant for this supplier due to:  |
| Have any other observations related to chemicals been identified during the audit? | [ ]  Yes, specify the evidence:  | [ ]  No. | [ ]  Not relevant for this supplier due to:  |

# Corruption and bribery

|  |  |  |  |
| --- | --- | --- | --- |
| Does the supplier have rules for its employees regarding giving and receiving of benefits? | [ ]  Yes.  | [ ]  No.  | [ ]  Not relevant for this supplier due to:  |
| Has the supplier established and communicated internally who, or which department, is responsible for the company’s anti-corruption procedures and to whom the company’s employees can turn to for advice? | [ ]  Yes.  | [ ]  No.  | [ ]  Not relevant for this supplier due to:  |
| Have any other observations related to corruption and bribery been identified during the audit?  | [ ]  Yes, specify the evidence:  | [ ]  No. | [ ]  Not relevant for this supplier due to:  |