DEVIATION MANAGEMENT

SUSTAINABILITY DUE DILIGENCE

[SUPPLIER AB]

[day/month/year]

|  |
| --- |
| INFORMATION ABOUT SUPPLIER |
| **Supplier** | Name |
| **Contact person** | Name, email address |
| **Address** | Complete address incl. country if other than Sweden |
|  |  |
| Information about CONTRACTOR AND contractING ORGANISATION |
| **Contractor** | If other than the contracting organisation whose supplier is monitored (e.g. if it is part of Hållbarhetskollen or the regions’ joint monitoring) |
| **Contact person** | Name, email address |
| **Contracting organisation** | Contracting organisation whose supplier is monitored |
|  |  |
| Information about audit |
| **Contract** | Complete name of contract |
| **Method** | [ ]  Desk audit incl. document review[ ]  Office audit incl. document review & interviews[ ]  Other: |
| **Date**  | Day/month/year |
| **Sample products** | Summarise the selection briefly. You’ll find a detailed table below.  |
| **Responsible for assessment** | Name, title, contracting organisation/consultancy |
| **Purpose** | To verify Supplier's handling of deviations in accordance with the agreed action plan established after the audit carried out on date/month/year.  |

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| SUMMARY  |
| The audit was conducted in cooperation with [Supplier], which provided the requested information to the best of their ability.[Description of Supplier's work to correct the deviations, possibly divided into own operations and the supply chain.][Deviations remain for the following process requirements:1. integrate into policies and management systems2. Identify and assess adverse impacts3. Prevent and mitigate adverse impacts Supplier causes or contributes to4. Prevent and mitigate adverse impacts linked to Supplier's operations5. Monitor the measures to prevent and mitigate adverse impacts6. Enable complaints7. Provide remediation8. Enable auditsAll deviations from the terms have been corrected.] |
| **Number of remaining deviations** | [1-8] |
| **Number of improvement suggestions** | [1-8] |
| **Proposed action**  | [ ]  No action require[ ]  Corrective action plan is established and followed-up through a [digital] follow-up audit [in the office] [ ]  Corrective action plan is established and followed-up through a desk audit [ ]  Factory audit (based on identified actual or potential adverse impact)[ ]  Other:  |

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| --- | --- | --- | --- |
| **COMPLIANCE WITH PROCESS REQUIREMENTS (AUDIT)** | **Deviation corrected** | **Deviation remains** | **Risk for zero tolerance deviation has been found** |
| 1. | INTEGRATE INTO POLICIES AND MANAGEMENT SYSTEMS | ☐ | ☐ |  |
| 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 REMEDIATION | ☐ | ☐ |  |
| 8. | ENABLE AUDITS | ☐ | ☐ |  |

**COMPANY DESCRIPTION**

|  |  |
| --- | --- |
| **INFORMATION** | **DESCRIPTION** |
| **Business description** |  |
| **Geographic location** |  |
| **Possible group affiliation** |  |
| **Number of employees** |  |
| **Revenue** |  |
| **Balance sheet total** |  |
| **Stock exchange listing** | If yes, state stock exchange |
| **Gender distribution of board** |  |
| **Certifications and certificates** | ☐ ISO 9001 quality management system☐ ISO 14001 environmental management system☐ ISO FR2000 management system for quality, environment, work environment, fire protection and competence supply☐ Svensk Miljöbas☐ EMAS (EU Eco-Management and Audit Scheme)☐ ISO 20400 sustainable procurement (works based on the principles)☐ ISO 26000 organisations' social responsibility (works based on the principles)☐ ISO 37001 management system for bribes☐ ISO45001 management system for work environment☐ SA 8000 social responsibility☐ Other certificate:☐ Organisation/initiative (e.g. Ethical Trade Initiative/amfori BSCI): |
| **Number of articles/services, number of customers, customer base, distribution of turnover private/public, which/number of articles/services contracting organisation purchases** |  |
| **Number of suppliers, significant suppliers, distribution of suppliers by country/region** |  |
| **Other information** | For example if similar reviews have been conducted recently (and on behalf of whom) or if the re-audit has been limited in any way |

**SAMPLE PRODUCTS**

The application of policies and processes was examined on the basis of the following products:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Code** | **Product number** | **Product name** | **Brand owner** | **Manufacturer** | **Manufacturing country** |
| A | Code or similar | Name, e.g. ”Kulpenna MARVY RB-7 blå” | Name of brand owner, e.g. BIC | Name and address of manufacturer | Manufacturing country |
| B |  |  |  |  |  |
| C |  |  |  |  |  |
| D |  |  |  |  |  |
| E |  |  |  |  |  |

**INTERVIEWED OR INQUIRED PERSONS**

The following people were interviewed or inquired in connection with the audit:

|  |  |
| --- | --- |
| **NAME** | **TITLE/FUNCTION** |
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**DOCUMENT REVIEW**

The following documents were reviewed in connection with the audit:

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| --- | --- | --- |
| **NO** | **DOCUMENT** | **COMMENT** |
| 1 | Name of document /alternatively collection name | Comment on the document's content, possible signature, dating |
| 2 |  |  |
| 3 |  |  |
| 4 |  |  |
| 5 |  |  |

**DEVIATION MANAGEMENT**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **NO.** | **PROCESS REQUIREMENT** | **Deviation corrected** | **Deviation remains** | **Improvement suggestion** |
| **1.** | **INTEGRATE INTO POLICIES AND MANAGEMENT SYSTEMS** |[ ] [ ] [ ]
| Paste the deviation from the corrective action plan. |
| Proposed action | Paste from the corrective action plan. |
| Time frame | Paste from the corrective action plan. |
| Responsible person | Paste from the corrective action plan. |
| Here the auditor indicates how the deviation has been addressed together with his/her assessment of whether the deviation is considered to have been corrected or remains. If the deviation remains, it is re-entered in the corrective action plan, where Supplier fills-out a new planned action.Also indicate any improvement suggestions. |

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| --- | --- | --- | --- | --- | --- |
| **NO.** | **PROCESS REQUIREMENT** | **Deviation corrected** | **Deviation remains** | **Improvement suggestion** | **Risk for zero tolerance deviation** |
| **2.** | **IDENTIFY AND ASSESS ADVERSE IMPACTS** |[ ] [ ] [ ] [ ]
| Paste the deviation from the corrective action plan. |
| Proposed action | Paste from the corrective action plan. |
| Time frame | Paste from the corrective action plan. |
| Responsible person | Paste from the corrective action plan. |
| Here the auditor indicates how the deviation has been addressed together with his/her assessment of whether the deviation is considered to have been corrected or remains. If the deviation remains, it is re-entered in the corrective action plan, where Supplier fills-out a new planned action.Indicate whether any risks for zero tolerance deviations have been found. Also indicate any improvement suggestions. |

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| --- | --- | --- | --- | --- |
| **NO.** | **PROCESS REQUIREMENT** | **Deviation corrected** | **Deviation remains** | **Improvement suggestion** |
| **3.** | **PREVENT AND MITIGATE ADVERSE IMPACTS SUPPLIER CAUSES OR CONTRIBUTES TO**  |[ ] [ ] [ ]
| Paste the deviation from the corrective action plan. |
| Proposed action | Paste from the corrective action plan. |
| Time frame | Paste from the corrective action plan. |
| Responsible person | Paste from the corrective action plan. |
| Here the auditor indicates how the deviation has been addressed together with his/her assessment of whether the deviation is considered to have been corrected or remains. If the deviation remains, it is re-entered in the corrective action plan, where Supplier fills-out a new planned action.Also indicate any improvement suggestions. |

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| --- | --- | --- | --- | --- |
| **NO.** | **PROCESS REQUIREMENT** | **Deviation corrected** | **Deviation remains** | **Improvement suggestion** |
| **4.** | **PREVENT AND MITIGATE ADVERSE IMPACTS LINKED TO SUPPLIER’S OPERATIONS** |[ ] [ ] [ ]
| Paste the deviation from the corrective action plan. |
| Proposed action | Paste from the corrective action plan. |
| Time frame | Paste from the corrective action plan. |
| Responsible person | Paste from the corrective action plan. |
| Here the auditor indicates how the deviation has been addressed together with his/her assessment of whether the deviation is considered to have been corrected or remains. If the deviation remains, it is re-entered in the corrective action plan, where Supplier fills-out a new planned action.Also indicate any improvement suggestions. |

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| **NO.** | **PROCESS REQUIREMENT** | **Deviation corrected** | **Deviation remains** | **Improvement suggestion** |
| **5.** | **MONITOR THE MEASURES TO PREVENT AND MITIGATE ADVERSE IMPACTS** |[ ] [ ] [ ]
| Paste the deviation from the corrective action plan. |
| Proposed action | Paste from the corrective action plan. |
| Time frame | Paste from the corrective action plan. |
| Responsible person | Paste from the corrective action plan. |
| Here the auditor indicates how the deviation has been addressed together with his/her assessment of whether the deviation is considered to have been corrected or remains. If the deviation remains, it is re-entered in the corrective action plan, where Supplier fills-out a new planned action.Also indicate any improvement suggestions. |

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| --- | --- | --- | --- | --- |
| **NO.** | **PROCESS REQUIREMENT** | **Deviation corrected** | **Deviation remains** | **Improvement suggestion** |
| **6.** | **ENABLE COMPLAINTS** |[ ] [ ] [ ]
| Paste the deviation from the corrective action plan. |
| Proposed action | Paste from the corrective action plan. |
| Time frame | Paste from the corrective action plan. |
| Responsible person | Paste from the corrective action plan. |
| Here the auditor indicates how the deviation has been addressed together with his/her assessment of whether the deviation is considered to have been corrected or remains. If the deviation remains, it is re-entered in the corrective action plan, where Supplier fills-out a new planned action.Also indicate any improvement suggestions. |

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| --- | --- | --- | --- | --- |
| **NO.** | **PROCESS REQUIREMENT** | **Deviation corrected** | **Deviation remains** | **Improvement suggestion** |
| **7.** | **PROVIDE REMEDIATION** |[ ] [ ] [ ]
| Paste the deviation from the corrective action plan. |
| Proposed action | Paste from the corrective action plan. |
| Time frame | Paste from the corrective action plan. |
| Responsible person | Paste from the corrective action plan. |
| Here the auditor indicates how the deviation has been addressed together with his/her assessment of whether the deviation is considered to have been corrected or remains. If the deviation remains, it is re-entered in the corrective action plan, where Supplier fills-out a new planned action.Also indicate any improvement suggestions. |

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| --- | --- | --- | --- | --- |
| **NO.** | **PROCESS REQUIREMENT** | **Deviation corrected** | **Deviation remains** | **Improvement suggestion** |
| **8.** | **ENABLE AUDITS** |[ ] [ ] [ ]
| Paste the deviation from the corrective action plan. |
| Proposed action | Paste from the corrective action plan. |
| Time frame | Paste from the corrective action plan. |
| Responsible person | Paste from the corrective action plan. |
| Here the auditor indicates how the deviation has been addressed together with his/her assessment of whether the deviation is considered to have been corrected or remains. If the deviation remains, it is re-entered in the corrective action plan, where Supplier fills-out a new planned action.Also indicate any improvement suggestions. |

**STATEMENT**

The audit was conducted in cooperation with [Supplier], which provided the requested information to the best of their ability.

[Description of Supplier's work to correct the deviations, possibly divided into own operations and the supply chain.]

[Deviations remain for the following process requirements:

1. integrate into policies and management systems

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 remediation

8. Enable audits

All deviations from the terms have been corrected.]

[[Contracting organisation] is recommended to follow-up the deviations through a follow-up audit/desk audit in [X] months.]

**Place and date:**

**Auditor's signature:**

**Name clarification:**

**CORRECTIVE ACTION PLAN [SUPPLIER AB]**

**Date:** *(when the corrective action plan was established)*

**For deviation management conducted: [date]**

| **No.** | Deviation***To be filled in by the person responsible for assessment*** | Process requirement***To be filled in by the person responsible for assessment*** | Possible improvement suggestion***To be filled in by the person responsible for assessment*** | Proposed action***To be filled in by supplier*** | Timeframe***To be filled in by supplier*** | Responsible person***To be filled in by supplier*** | Approval of proposed action***To be filled in by the person responsible for assessment*** |
| --- | --- | --- | --- | --- | --- | --- | --- |
| 1 | Paste the deviation from the assessment above | Paste the process requirement | Paste possible improvement suggestion | How supplier intends to correct the deviation.In order for the deviation to be corrected in a sustainable way, the root cause must be identified. | When the deviation will have been corrected, at the latest | The person at the supplier who is responsible for the implementation of the action. | Comment on whether the proposed action is approved. If it is not, supplementation of the proposed action must be requested. |
| 2 |  |  |  |  |  |  |  |

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