**Safeguarding Basic Human Rights in the Supply Chain** – The Norwegian Government's Standard Self-Assessment Questionnaire

The Norwegian Government’s Standard Self-Assessment Questionnaire is used by {Contracting Authority} for verification of compliance with [contract performance clauses for safeguarding basic human rights in the supply chain](https://anskaffelser.no/verktoy/maler/contract-performance-clauses-safeguarding-basic-human-rights-supply-chain), signed by {Supplier} on {Date} upon entering into the contract {Name of the contract}.

The self-assessment questionnaire is divided six chapters covering clause 2.1-2.6 in the contract performance clauses. The six chapters are part of [OECD Guidelines for Due Diligence for Responsible Business](https://www.responsiblebusiness.no/oecds-sektorveiledere/metoden-aktsomhetsvurdering/). Larger enterprises shall, from July 1st, 2022, according to the Norwegian [Transparency Act](https://lovdata.no/dokument/NLE/lov/2021-06-18-99), carry out due diligence in accordance with the OECD Guidelines for Multinational Enterprise.

Please provide a brief answer to each question (maximum 100 words). Please include source material for each question, either by referencing a website or by enclosing reports or other documentation. Please provide clear page references when referencing documents and reports. Remember to label any enclosed files with the question number.

The deadline for submitting the self-assessment questionnaire is {date}.

[Date and signature]

[Name/title of the Supplier’s Contract Manager]

# General INFORMAtiON about {Supplier}

# Please specify:

|  |  |  |
| --- | --- | --- |
| **Name of contract/contract number:** | {Name/number of the contract} |  |
| **Contact details for the Supplier’s Contract Manager (must sign below):** |  |  |
| **Responsible for due diligence/human rights in Norway:** | [Name  Title  organisational affiliation  contact details] |  |
| **Responsible for due diligence/human rights at Group level:** | [Name  Title  organisational affiliation  contact details] |  |
| **Number of employees in Norway:** |  |  |
| **Number of employees internationally:** |  |  |
| **Link to website describing the organisational structure in Norway:** |  |  |
| **Link to website describing the /organisational structure at Group level:** |  |  |

# **1**

# **HOW DOES THE ENTERPRISE EMBED RESPONSIBLE BUSINESS CONDUCT INTO POLICIES AND MANAGEMENT SYSTEMS?**

## 1.1.1 Has the Board of Directors adopted a publicly available policy on due diligence[[1]](#footnote-2) with regard to basic human rights, the ILO core conventions, Article 32 of the United Nations Convention on the Rights of the Child and national legislation on labour rights that is applicable to the entire supply chain[[2]](#footnote-3)?

**If yes,** please include a link and/or attach a copy of the policy [1.1.1]. **Enter text here:**

***If no,*** *this is a breach of clause 2.2.1 in the contract performance clauses and shall be rectified immediately. The Board of Directors shall have adopted a publicly available policy on due diligence with regard to basic human rights, the ILO core conventions, Article 32 of the United Nations Convention on the Rights of the Child and national legislation on labour rights that is applicable to the entire supply chain.*

## 1.1.2 Does the enterprise have publicly available updated information[[3]](#footnote-4) about due diligence in accordance with the act relating to enterprises' transparency and work on fundamental human rights and decent working conditions (Transparency Act)[[4]](#footnote-5)?

**If yes,** please describe. Please include a link and/or attach relevant documentation containing current information about due diligence in accordance with the Transparency Act [1.1.2-file name]. **Enter text here:**

***If no,*** *this is a breach of the act relating to the Transparency Act and shall be corrected immediately. The enterprise shall have publicly available current information relating to due diligence.*

## 1.1.3 Have the Board of Directors and management team been trained in the due diligence method with regard to basic human rights?

**If yes,** please describe. Please include a link to the website, training tool and/or relevant documentation [1.1.3-file name]. **Enter text here:**

**If no,** please describe if, how and when training of members of the Board of Directors and management team has been scheduled and what the training will cover. Please include relevant links to websites and/or documentation [1.1.3-file name]. **Enter text here:**

## 1.1.4 Does the enterprise have a training programme on the due diligence method that it is mandatory for all employees to complete?

**If yes,** please describe the training programme/training tool. Please include a link to the training website and/or relevant documentation [1.1.4-file name]. Please refer to question 1.1.3 if the same training is used for employees, the management team and the Board of Directors. **Enter text here:**

**If no,** please specify if, how and when a training programme is planned. Describe what the training will cover and the training tools that will be used. Please include relevant links to websites and/or documentation [1.1.4-file name]. **Enter text here:**

## 1.1.5 Does the enterprise have one or more employees at management level who are responsible for compliance and reporting to the Board of Directors with regard to due diligence?

**If yes,** please describe the position and specify the name and contact details for those responsible for reporting. Please include a link and/or relevant documentation [1.1.5-file name]. **Enter text here:**

***If no,*** *this is a breach of clause 2.2.1 in the contract performance clauses and shall be rectified immediately. The enterprise shall have one or more employees at management level who are responsible for compliance and reporting to the Board of Directors with regard to due diligence.*

## 1.1.6 Does the enterprise have routines in place regarding the communication and regular follow-up of the due diligence policy in the supply chain?

**If yes,** please describe these routines. Please include a link and/or relevant documentation [1.1.6-file name]. **Enter text here:**

***If no,*** *this is a breach of clause 2.2.1 in the contract performance clauses and shall be rectified immediately. The enterprise shall have routines in place regarding the communication and regular follow-up of the due diligence policy and in the supply chain.*

## 1.1.7 Have all divisions and business units, especially purchasing and logistics units, adapted their processes, routines and activities for conducting due diligence?

**If yes,** please describe such adaptations. Please include a link and/or relevant documentation [1.1.7-file name]. **Enter text here:**

**If no,** please specify if, how and when the enterprise will adapt their processes, routines and activities for conducting due diligence. Please include relevant links to websites and/or documentation [1.1.7-file name]. ***Enter text here:***

## 1.1.8 Does the enterprise have key performance indicators (KPIs) in place to measure compliance with policies and routines for due diligence?

**If yes,** please describe the KPIs, who these are reported to and how they are followed up on. Please include relevant links to websites and/or documentation [1.1.8-file name]. ***Enter text here:***

**If no,** please specify if, how and when the enterprise plans to implement KPIs for due diligence. Please include relevant links to websites and/or documentation [1.1.8-file name]. ***Enter text here:***

## 1.1.9 Does the enterprise use reporting systems (for example Global Reporting Initiative, International Sustainability Standards Board, Global Compact, Ethical trade Norway or an equivalents system) to report the results from due diligence?

**If yes,** please describe the reporting routines and the reporting systems that are used. Please include relevant links to websites and/or documentation [1.1.9-file name]. **Enter text here:**

**If no,** please specify if, how and when a reporting system will be used. Please include relevant links to websites and/or documentation [1.1.9-file name]. **Enter text here:**

## 1.2.1 Is there a publicly available list of suppliers on the enterprise’s website?

**If yes,** please include a link to the website showing the enterprise’s list of suppliers at the time of submission of the self-assessment questionnaire [1.2.1-file name]. **Enter text here:**

**If no,** please specify if, when and how the enterprise intends to make its list of suppliers publicly available. If the enterprise does not intend to make its list of suppliers publicly available, please specify the reason for this. Please include relevant links to websites and/or documentation [1.2.1-file name]. **Enter text here:**

## 1.2.2 Does the enterprise use tools and management processes to validate compliance with basic human rights in the supply chain (for example the use of blockchain technology or other traceability tools)?

**If yes,** please describe the tools and management processes. Please include a link to the website if this is publicly available information and/or enclose relevant documentation [1.2.2-file name]. **Enter text here:**

**If no,** please specify if, how and when the enterprise intends to track compliance with basic human rights in the supply chain using e.g., blockchain technology. Please include relevant links to websites and/or documentation [1.2.2-file name]. **Enter text here:**

# **2**

# **HOW DOES THE ENTERPRISE IDENTIFY AND ASSESS ACTUAL AND POTENTIAL HARM IN ITS OWN OPERATIONS AND IN THE SUPPLY CHAIN?**

## 2.1.1 Do the enterprise’s routines for due diligence include identifying and assessing of the risk of violation of the ILO Core Conventions, Article 32 of the UN Convention on the Rights of the Child and national legislation on labour rights in the entire supply chain – from raw material extraction to the finished product?

**If yes,** please describe the routines for identifying and assessing of the risk of violation of 1) the ILO Core Conventions, 2) Article 32 of the UN Convention on the Rights of the Child and 3) national legislation on labour rights in the supply chain – from raw material extraction to the finished product. Please include a link and/or relevant documentation [2.1.1-file name]. **Enter text here:**

***If no,*** *this is a breach of clause 2 in the contract performance clauses and shall be rectified immediately.* The enterprise shall have a due diligence system in place for the identification and assessment of the ***risk of* violation *of the ILO Core Conventions, Article 32 of the UN Convention on the Rights of the Child and national legislation on labour rights in the entire supply chain – from raw material extraction to the finished product***.

## 2.1.2 Does the enterprise have due diligence procedures in place to conduct regular risk analyses to identify, prioritise and reduce the risk of human rights violations in the entire supply chain – from raw material extraction to the finished product?

**If yes,** please describe the routines for conducting regular risk analyses. Describe the methodology for a) identifying, b) prioritising and c) reducing the risk of human rights violations in the entire supply chain. Please include a link and/or relevant documentation [2.1.2-file name]. **Enter text here:**

***If no,*** *this is a breach of clause 2.2.2 in the contract performance clauses and shall be rectified immediately. The enterprise shall have due diligence routines in place to identify, prioritise and reduce the risk of human rights violations in the entire supply chain – from raw material extraction to the finished product.*

## 2.1.3 Can the enterprise, through its due diligence routines, identify which products entail the greatest risk of serious human rights violations by country/region across the supply chain?

**If yes,** please specify the ten (10) products with the highest value under this contract that entail great risk of serious human rights violations in the supply chain. Describe the reason why the ma of these products is based in such high-risk regions/countries. Please include relevant links to websites and/or documentation [2.1.3-file name]. **Enter text here:**

**If no,** please specify if, how and when an overview of which products entail the greatest risk of serious human rights violations by country/region across the supply chain. Please include relevant links to websites and/or documentation [2.1.3-file name]. **Enter text here:**

## 2.1.4 Is information about the risk of violations of basic human rights regularly collected and analysed by industry, production process, raw material, component, country and region in the supply chain?

**If yes,** please describe the method and frequency of the collection of information and the sources used. Please include relevant links to websites and/or documentation [2.1.4-file name]. **Enter text here:**

**If no,** please specify if, how and when the enterprise intends to collect information by **industry, production process, raw material, component, country and region in the supply chain.** Please include relevant links to websites and/or documentation [2.1.4-file name]. **Enter text here:**

## 2.1.5 Are there any risks of human rights violations in the supply chain that are being monitored more closely than others in relation to the product groups/products in this contract?

**If yes,** please describe how the enterprise collects information and how it determines whether a specific risk should be monitored more closely for the products covered under this contract. Describe the key risk factors in the supply chain and how these are managed in order to avoid adverse effects. Please include relevant links to websites and/or documentation [2.1.5-file name]. **Enter text here:**

**If no,** please specify if, how and when such risk assessments will be implemented. Please include relevant links to websites and/or documentation [2.1.5-file name]. **Enter text here:**

## 2.1.6 Are external stakeholders[[5]](#footnote-6)consulted on the risks associated with geographical location (country/region) with regard to production processes?

**If yes,** please describe the methods used to obtain information from external parties and provide an example of external parties that provide useful information for risk mapping. Please include relevant links to websites and/or documentation [2.1.6-file name]. **Enter text here:**

**If no,** please specify if, how and when the enterprise plans to consult external parties in the risk mapping process. include relevant links to websites and/or documentation [2.1.6-file name]. **Enter text here:**

## 2.1.7 Is the enterprise, directly or indirectly, associated with activities in countries with authoritarian regimes or countries/regions with ongoing armed conflicts?

**If yes,** please specify which countries and describe the direct or indirect activities in the countries in which the enterprise carries out raw material extraction and processing, as well as where the completion of components and products takes place. Explain how the enterprise works to avoid the risk of contributing to, supporting or benefiting from activities –in the supply chain – in countries/regions with authoritarian regimes or countries/regions with ongoing armed conflicts. Please include a link and/or relevant documentation [2.1.7-file name]. **Enter text here:**

**If no,** please state whether the enterprise has previously been associated, directly or indirectly, with these types of countries/regions in all or parts of the supply chain. Describe the enterprise’s internal decision-making processes relating to withdrawal from the countries/regions in question. Please include a link and/or relevant documentation [2.1.7-file name]. **Enter text here:**

## 2.1.8 Does the enterprise, as part of due diligence, involve affected partners[[6]](#footnote-7), i.e., those that are or risk becoming negatively impacted by activities in the supply chain?

**If yes,** please describe the methodology for consultation processes and how affected parties are involved in due diligence. Please include a link and/or relevant documentation [2.1.8-file name]. **Enter text here:**

**If no,** please specify if, how and when consultation processes have been planned and how they will be designed. Please include a link and/or relevant documentation [2.1.8-file name]. ***Enter text here:***

## 2.1.9 Does the enterprise have a particular focus on how indigenous people, minority groups, women and young workers risk being negatively affected by activities in the supply chain?

**If yes,** please describe the consultation process and the parties involved to avoid adverse effects from the enterprise’s activities and activities in the supply chain. If one of the involved parties are indigenous people, please describe how the affected group(s) of indigenous people are included in decision-making processes pursuant to the UN Declaration on the Rights of Indigenous People[[7]](#footnote-8). Please include a link and/or relevant documentation [2.1.9-file name]. **Enter text here:**

**If no,** please specify specify if, how and when consultation processes with indigenous people, minority groups, women and young workers are planned and how these will be designed and implemented. Please include a link and/or relevant documentation [2.1.9-file name]. **Enter text here:**

# **3**

# **HOW DOES THE ENTERPRISE IMPLEMENT APPROPRIATE MEASURES TO STOP, PREVENT OR MITIGATE HARM/ADVERSE EFFECTS?**

## 3.1.1 Has the enterprise implemented routines for ceasing, preventing or mitigating adverse effects and harm in its enterprise and in the supply chain?

**If yes,** please describe the enterprise’s routines for ceasing, preventing and mitigating adverse effects in the supply chain and provide examples. Please include a link and/or relevant documentation [3.1.1-file name]. **Enter text here:**

***If no,*** *this is a breach of clause 2.2.3 in the contract performance clauses and shall be rectified immediately. The enterprise shall have routines in place for ceasing, preventing and mitigating adverse effects and harm in the supply chain.*

## 3.1.2 Does the enterprise have policies in place for the prequalification of new suppliers and new production units in accordance with the due diligence policy?

**If yes,** please describe the qualification process for new suppliers and provide examples of common reasons why suppliers fail to fulfil the qualification criteria. Please include a link and/or relevant documentation [3.1.2-file name]. **Enter text here:**

**If no,** please specify if, how and when the enterprise intends to introduce prequalification processes for new suppliers. Please include a link and/or relevant documentation [3.1.2-file name]. **Enter text here:**

## 3.1.3 Are the enterprise’s suppliers and subcontractors required to sign a code of conduct pursuant to the ILO Core Conventions, the UN Convention on the Rights of the Child and working environment legislation in the country of manufacture?

**If yes,** please include a link and/or relevant documentation relating to the enterprise’s code of conduct that must be signed by suppliers. [3.1.3-file name]. Explain how the code of conduct is accepted by suppliers and subcontractors. **Enter text here:**

**If no,** please specify if, how and when the enterprise plans to require suppliers and subcontractors to formally sign a code of conduct that includes the **ILO Core Conventions, the UN Convention on the Rights of the Child and working environment legislation in the country of manufacture.** Please include a link and/or relevant documentation [3.1.3-file name]. **Enter text here:**

## 3.1.4 Are code of conduct violations associated with any sanctions?

**If yes,** please describe the sanctions associated with code of conduct violations. Please enclose contract templates and templates for other written agreements that include information about sanctions and/or other relevant documentation [3.1.4-file name]. **Enter text here:**

**If no,** please specify if, how and when the enterprise intends to implement sanctions for code of conduct violations. Please include a link and/or relevant documentation [3.1.4-file name]. **Enter text here:**

## 3.1.5 Has the enterprise code of conduct been communicated in relevant languages to employees at the production unit? For example, by the code of conduct being included on posters visible for all employees.

**If yes,** please include a link to a website and/or attach explanatory documentation [3.1.5-file name]. **Enter text here:**

**If no,** please specify if, how and when the code of conduct will be visible for all employees at production units. Please include a link to the website and/or relevant documentation. [3.1.5-file name]. **Enter text here:**

## 3.1.6 Has the enterprise introduced incentives and ensured that suppliers will be able to comply with the code of conduct, for example by offering more production orders?

**If yes,** please describe the content and outcomes of such incentives and how the enterprise ensures that suppliers can comply with the code of conduct. Please include relevant links to websites and/or documentation [3.1.6-file name]. **Enter text here:**

**If no,** please specify if, how and when the enterprise intends to establish incentives for compliance with the code of conduct. Please include a link to the website and/or relevant documentation. [3.1.6-file name]. **Enter text here:**

## 3.1.7 Does the enterprise have policies in place to promote long-term cooperation with suppliers?

**If yes,** please describe the policies for long-term cooperation with suppliers. Please include relevant links to websites and/or documentation [3.1.7-file name]. **Enter text here:**

**If no,** please specify if, how and when the enterprise intends to draw up a policy for long-term contracts with suppliers. Please include relevant links to websites and/or documentation [3.1.7-file name]. **Enter text here:**

## 3.1.8 Does the enterprise have policies in place for purchasing strategies relating to 1) order planning, 2) suppliers having adequate time margins for deliveries and 3) avoiding urgent orders or last-minute changes to orders, so that suppliers can plan production and estimate the required production capacity.

**If yes,** please describe the policies and strategies for 1) order planning, 2) suppliers having adequate time margins for deliveries and 3) avoiding urgent orders or last-minute changes to orders. Please include a link to the website and/or relevant documentation. [3.1.8-file name]. **Enter text here:**

**If no,** please specify if, how and when the enterprise intends to introduce such policies and strategies, as well as a timeframe for the implementation. Please include a link to the website and/or relevant documentation. [3.1.8-file name]. **Enter text here:**

## 3.1.9 Does the enterprise accommodate social dialogue [[8]](#footnote-9)and training at production units to ensure that workers are familiar with their rights? Does the enterprise support the presence of worker representation?

**If yes,** please describe which of the enterprise’s projects accommodate social dialogue and training programmes for the purpose of teaching workers about the right to professional organisation. Please include relevant links to websites and/or documentation [3.1.9-file name]. **Enter text here:**

**If no,** please specify the intended steps and timeframe for implementation. Please include relevant links to websites and/or documentation [3.1.9-file name]. **Enter text here:**

## 3.2.1 Has the enterprise signed any global framework agreements (GFA)[[9]](#footnote-10)?

**If yes,** please specify which global framework agreements the enterprise has signed and describe the agreements. Please include relevant links to websites and/or documentation [3.2.1-file name]. **Enter text here:**

**If no,** please specify if, how and when the enterprise will sign a GFA. Please include relevant links to websites and/or documentation [3.2.1-file name]. **Enter text here:**

## 3.2.2 Does the enterprise participate in any public-private partnership programmes (PPP) [[10]](#footnote-11) or multi-stakeholder programmes (MSP) in order to manage the systematic risk of adverse effects in the industry?

**If yes,** please specify which PPPs/MSPs the enterprise participates in and how these organisations work to counteract adverse effects in the industry. Please include relevant links to websites and/or documentation [3.2.2-file name]. **Enter text here:**

**If no,** please explain if, when and how the enterprise intends to participate in PPPs/MSPs and which PPPs/MSPs would be most relevant. Please include relevant links to websites and/or documentation [3.2.2-file name]. **Enter text here:**

## 3.2.3 Does the enterprise request better enforcement of national laws and regulations in countries where the authorities fail to fulfil their duty to protect human rights and national legislation on labour rights? This could, for example, involve meetings with national supervisory bodies and/or open letters and/or dialogue with the authorities.

**If yes,** please describe any contact with the authorities in production countries where systematic violations of working environment legislation occur and whether the enterprise intends to follow up with the authorities to improve enforcement of national laws and regulations. Please include relevant links to websites and/or documentation [3.2.3-file name]. **Enter text here:**

**If no,** please explain why the enterprise does not have such contact with the authorities and describe any other ways in which the enterprise engages to improve working conditions in countries where the authorities fail to enforce working environment legislation. Please include relevant links to websites and/or documentation [3.2.3-file name]. **Enter text here:**

## 3.2.4 Does the enterprise have any policies in place to avoid negotiating production prices below current market prices? Do the enterprise conduct market analyses of prices and does the enterprise know the supplier’s payroll costs?

**If yes,** please describe the policies. Please provide an explanation of the data collection and how payroll costs are included in the supplier’s total cost per product ordered from the supplier by the enterprise. Please include relevant links to websites and/or documentation [3.2.4-file name]. **Enter text here:**

**If no,** please explain why the enterprise has not established due diligence and policies for price negotiations. Please explain why the enterprise has not conducted market research in order to calculate payroll costs in relation to total production cost. Please include relevant links to websites and/or documentation [3.2.4-file name]. **Enter text here:**

## 3.2.5 Does the enterprise have any policies in place regarding living wage requirements in accordance with the ILO decent work [[11]](#footnote-12)programme for countries in which the minimum wage is not sufficient for workers to meet their basic needs? Is the living wage estimated in accordance with the SA8000 standard[[12]](#footnote-13) or equivalent?

**If yes,** please describe the enterprise’s policies for requirements relating to the living wage and describe how the living wage is estimated. Please describe how the enterprise facilitates and enables suppliers paying a living wage by offering to pay a price in which the supplier’s production costs have been calculated with a view to the possibility of paying a living wage. Please include a link and/or relevant documentation [3.2.5-file name]. **Enter text here:**

**If no,** please explain why the enterprise does not have policies in place regarding living wage requirements. Please specify if, how the enterprise plans to draw up policies for living wage requirements. Please include a link and/or relevant documentation [3.2.5-file name]. ***Enter text here:***

## 3.2.6 Does the enterprise strive to acquire products, components and raw materials from suppliers with production units that have been third-party certified in relation to decent working conditions and/or environmentally friendly production[[13]](#footnote-14)**?**

**If yes,** please describe the policies for acquiring as many products, components and raw materials as possible with labelling schemes that indicate that the products/raw materials are manufactured under decent working conditions. Please include a link and/or relevant documentation [3.2.6-file name]. **Enter text here:**

**If no,** please specify if, how and when the enterprise intends to require labelling schemes or certifications for decent working conditions. Please include a link and/or relevant documentation [3.2.6-file name]. **Enter text here:**

## 3.2.7 Does the enterprise check and follow up to ensure that there is no violation of environmental protection legislation in the supply chain?

**If yes,** please explain how the enterprise prevents the violation of environmental protection legislation. Please specify which labelling schemes and certifications the enterprise requires to produce the enterprise’s products. Please include relevant links to websites and/or documentation [3.2.7-file name]. **Enter text here:**

**If no,** please specify whether the enterprise intends to adopt labelling schemes or recognised certifications to assess compliance with local and national environmental protection legislation. Please include relevant links to websites and/or documentation [3.2.7-file name]. **Enter text here:**

## 3.2.8 Does the enterprise check and ensure that no corruption occurs in the enterprise and in the supply chain? What does the enterprise do to avoid the risk of corruption in specific countries that are red listed in Transparency International’s Corruption Perception Index?

**If yes,** please describe the measures the enterprise takes, as well as any labelling schemes and certifications that are used to prevent corruption in the enterprise and in the supply chain. Please include relevant links to websites and/or documentation [3.2.8-file name]. **Enter text here:**

**If no,** please specify whether the enterprise intends to adopt labelling schemes or recognised certifications to assess compliance with anti-corruption legislation in production countries in the supply chain. Please include relevant links to websites and/or documentation [3.2.8-file name]. **Enter text here:**

# **4**

# **HOW DOES THE ENTERPRISE TRACK IMPLEMENTATION AND RESULTS TO STOP, PREVENT AND MITIGATE HARM/ADVERSE EFFECTS?**

## 4.1 Does the enterprise have routines in place to track and ensure that the measures to cease, prevent and mitigate adverse effects and human rights violations in the supply chain are implemented and effective?

**If yes,** please describe the enterprise’s routines to track and ensure measures to cease, prevent and mitigate adverse effects and human rights violations in the supply chain. Please include relevant links to websites and/or documentation Please include relevant links to websites and/or documentation Please include relevant links to websites and/or documentation [4.1-file name]. **Enter text here:**

***If no,*** *this is a breach of clause 2.2.4 in the contract performance clauses and shall be rectified immediately. The enterprise shall have routines in place to track and ensure that the measures to cease, prevent and mitigate adverse effects and human rights violations in the supply chain are implemented and effective.*

## 4.2 Does the enterprise have self-assessment routines in place for suppliers to ensure compliance with the code of conduct and routines for corrective action in the event of code of conduct violations? How often are such self-assessments performed?

**If yes,** please include a link to a website and/or attach a copy of self-assessment forms. Please describe how the enterprise assesses the supplier’s self-assessment reports, how often suppliers need to submit self-assessment forms and the routines to validate corrective actions in the event of code of conduct violations [4.2-file name]. **Enter text here:**

**If no,** please specify if, how and when self-assessment routines. Please include a link and/or relevant documentation [4.2-file name]. **Enter text here:**

## 4.3 Does the enterprise conduct local audits, carried out by the enterprise’s internal auditor and/or by independent third-party auditor, for the safeguarding of human rights and compliance with the code of conduct in the supply chain?

**If yes,** please describe the audit methodology, who conducts the audits, how often audits are performed and how the enterprise verifies that code of conduct violations is corrected. Please include relevant links to websites and/or documentation [4.3-file name]. **Enter text here:**

**If no,** please specify if, how and when the enterprise intends for such measures to be implemented and explain the intended implementation steps. Please include relevant links to websites and/or documentation [4.3-file name]. **Enter text here:**

## 4.4 Are workers interviewed about working conditions and/or are interviews with local trade unions and civil society organisations conducted as part of local audits? Are interviews conducted outside of the factory area?

**If yes,** please explain the methodology, approach and audit standards used (for example SA8000 or SMETA). Are workers interviewed outside of the factory area by auditors who are able to conduct interviews in the native languages of the workers? How does the enterprise establish contact with local trade unions and civil society organisations? Please include relevant links to websites and/or documentation Please include relevant links to websites and/or documentation Please include relevant links to websites and/or documentation [4.4-file name]. **Enter text here:**

**If no,** please specify if, how and when the enterprise intends to implement such measures. Please include relevant links to websites and/or documentation [4.4-file name]. **Enter text here:**

## 4.5 How can employees at the production units blow the whistle and report code of conduct violations? Examples of whistleblowing channels can be toll-free numbers, e-mail addresses or an app.

**If yes,** please describe the provided access to whistle blowing channels. Please include relevant links to websites and/or documentation [4.5-file name]. **Enter text here:**

**If no,** please specify if, how and when the enterprise will be able to ensure that workers have access to whistleblowing channels. Please include a link to the website and/or relevant documentation. [4.5-file name]. **Enter text here:**

## 4.6 Are specific methods used in connection with local audits to investigate whether forced labour or child labour occur in the production unit?

**If yes,** please explain the methodology, approach and audit standards used (for example SA8000 or SMETA) to identify the risk of forced labour and child labour. Please include relevant links to websites and/or documentation [4.6-file name]. **Enter text here:**

**If no,** please specify if, how and when the enterprise intends to introduce such specific methods. Please include relevant links to websites and/or documentation [4.5-file name]. **Enter text here:**

## 4.7 Does the enterprise have routines and processes in place to terminate supplier relationships as a result of serious code of conduct violations?

**If yes,** please describe which are the most serious code of conduct violations and the routines used when a supplier relationships must be terminated. Please include a link and/or relevant documentation [4.7-file name]. **Enter text here:**

**If no,** please specify if, how and when such routines and processes will be in place. Please include a link and/or relevant documentation [4.7-file name]. **Enter text here:**

## 4.8 Does the enterprise have routines and processes in place for managing situations in which forced labour or child labour is discovered?

**If yes,** please describe the routines and processes for managing situations in which forced labour or child labour are discovered. Please include a link and/or relevant documentation [4.8-file name]. **Enter text here:**

**If no,** please specify if, how and when the enterprise intends to draw up such emergency plans. Please include a link and/or relevant documentation [4.8-file name]. **Enter text here:**

# **5**

# **HOW DOES THE ENTERPRISE COMMUNICATE HOW ANY HARM/ADVERSE EFFECTS ARE ADDRESSED?**

## 5.1 Is the enterprise able to reference publicly available information about the work on due diligence in the supply chain? Does this information cover how the risk of breach of Clause 1 of the contractual conditions and any harm in the supply chain will be addressed?

**If yes,** please describe the publicly available information that explains how the enterprise’s risk of human rights violations and any harm in the supply chain is addressed. Please include a link and/or relevant documentation [5.1-file name]. **Enter text here:**

***If no,*** *this is a breach of clause 2.2.15 in the contract performance clauses and shall be rectified immediately. The enterprise shall have publicly available information that explains how the risk of human rights violations and any harm in the supply chain is addressed.*

## 5.2 Does the enterprise communicate internally to all employees about the continuous work on due diligence in the supply chain, for example on the intranet?

**If yes,** please describe the internal communication and the use of communication channels to reach all employees. Please include a link and/or relevant documentation [5.2-file name]. **Enter text here:**

**If no,** please specify if, how and when these routines will be in place. Please include a link and/or relevant documentation [5.2-file name]. **Enter text here:**

## 5.3 Does the enterprise have policies in place to communicate, without undue delay, any harm or adverse effects caused by the enterprise or that the enterprise has contributed to?

**If yes,** please describe the policies for communicating, without undue delay, any harm or adverse effects to the enterprise’s customers, business partners, shareholders, employees and other stakeholders that the enterprise has caused or contributed to. Please include a link and/or relevant documentation [5.3-file name]. **Enter text here:**

**If no,** please specify if, how and when these routines will be in place. Please include a link and/or relevant documentation [5.3-file name]. **Enter text here:**

## 5.4 Is the enterprise required to report on due diligence in one or more countries?

**If yes,** please describe and attach the statutory reporting and information about the countries in which the enterprise is required to report on due diligence. Please include link and/or relevant documentation [5.3-file name]. **Enter text here:**

# **6**

# **HOW DOES THE ENTERPRISE PROVIDE FOR, OR COOPERATE ON, REMEDIATION AND COMPENSATION WHERE REQUIRED?**

## 6.1 If the enterprise has caused harm or contributed to harm, is this addressed by the enterprise remedying such harm and providing compensation to any victims?

**If yes,** please describe the routines and processes associated with how the enterprise remedies and provides compensation to any victims. Please include link and/or relevant documentation [6.1-file name]. **Enter text here:**

**If no,** this is a breach of clause 2.2.6 in the contract performance clauses and shall be rectified immediately. If the enterprise has caused or contributed to harm, this shall be addressed by ensuring or cooperating to remedy the harm and provide compensation to victims.

## 6.2 Does the enterprise have written crisis-, action plan and follow-up routines in place that are applied in the event that child labour, forced labour or working conditions that entail a risk to life or health are uncovered in the supply chain?

**If yes,** please describe the written crisis-, action plan and follow-up routines for situations in which 1) child labour, 2) forced labour or 3) working conditions that entail a risk to life and health are uncovered in supply chain. Please describe which stakeholders participated in the work. Please include link and/or relevant documentation [6.2-file name]. **Enter text here:**

**If no,** please specify if, how and when these routines will be in place and explain the intended implementation steps. Please include link and/or relevant documentation [6.2-file name]. ***Enter text here:***

## 6.3 Has the enterprise, its suppliers or subcontractors been convicted or listed for human rights violations by international or financial institutions? Are, for example, the enterprise, suppliers or subcontractors listed on the World Bank’s list of ineligible companies[[14]](#footnote-15) or Norges Bank’s Investment Management’s list of excluded companies?

**If yes,** please the describe the matter (year, issue, involved parties, etc.) and how the matter was/will be resolved. Please include link and/or relevant documentation [6.3-file name]. **Enter text here:**

## 6.4 Has the enterprise, its suppliers or subcontractors been fined for non-compliance with national legislation that requires transparent information and/or reporting on the safeguarding of human rights in the supply chain – e.g., pursuant to the Norwegian Transparency Act[[15]](#footnote-16), UK Anti-Slavery Act[[16]](#footnote-17), La Loi de Vigilance[[17]](#footnote-18) or Australian Modern Slavery Act[[18]](#footnote-19)?

**If yes,** please describe the matter (issue, involved parties and current status) and how the matter was/will be resolved. Please include link and/or relevant documentation [6.4-file name]. ***Enter text here:***

## 6.5 Has the enterprise, its suppliers or subcontractors been subject of a complaint at an OECD national contact point for breaches of the OECD Guidelines for Multinational Enterprises?

**If yes,** please describe the matter (issue, involved parties and current status) and how the matter was/will be resolved. Please include link and/or relevant documentation [6.5-file name]. ***Enter text here:***

1. Such policies shall be in line with the [Act relating to enterprises' transparency and work on fundamental human rights and decent working conditions (Transparency Act) – Lovdata](https://lovdata.no/dokument/NL/lov/2021-06-18-99) [↑](#footnote-ref-2)
2. *The entire supply chain*, including all stages of the production process – from raw material extraction, refinement, and component production to the final product, including distribution and transport. [↑](#footnote-ref-3)
3. The enterprise must respond to written requests within three weeks. [↑](#footnote-ref-4)
4. The Transparency Act will apply to larger enterprises that are resident in Norway and offer goods or services in or outside Norway. In addition, the Transparency Act will apply to foreign larger enterprises that offer goods or services in Norway and are tax resident in Norway. [↑](#footnote-ref-5)
5. **For example, international organisations, civil society organisations, trade unions, embassies, special interest organisations for business, public-private sector partnerships, researchers, and journalists.** [↑](#footnote-ref-6)
6. This refers to parties that may be negatively impacted by the enterprise’s planned activities, such as employees, trade unions, consumers, and the supply chain. Other stakeholders may include civil society organisations, local communities, human rights activists, competitors, authorities, business partners and shareholders. [↑](#footnote-ref-7)
7. [The UN Declaration on the Rights of Indigenous People – regjeringen.no](https://www.regjeringen.no/no/tema/urfolk-og-minoriteter/samepolitikk/internasjonalt-urfolksarbeid/fns-erklaring-om-urfolks-rettigheter/id87024/) [↑](#footnote-ref-8)
8. [Social dialogue (GOVERNANCE) (ilo.org)](https://www.ilo.org/ifpdial/areas-of-work/social-dialogue/lang--en/index.htm)%2520%2520a) [↑](#footnote-ref-9)
9. Global framework agreements are offered by e.g., Industry All: [Global Framework Agreements | IndustriALL (industriall-union.org)](https://www.industriall-union.org/global-framework-agreements) [↑](#footnote-ref-10)
10. Please see the OECD definition of a PPP. [OECD Principles for Public Governance of Public-Private Partnerships - OECD](https://www.oecd.org/gov/budgeting/oecd-principles-for-public-governance-of-public-private-partnerships.htm) [↑](#footnote-ref-11)
11. [Decent work (ilo.org)](https://www.ilo.org/global/topics/decent-work/lang--en/index.htm) [↑](#footnote-ref-12)
12. [Living Wage - SAI (sa-intl.org)](https://sa-intl.org/programs/living-wage/) [↑](#footnote-ref-13)
13. For example, Fair Trade, TCO Certified, Utz, Nordic Swan or equivalent product labelling, **and/or production units certified by SA8000:14; SMETA 4 Pillar version 6.1; BSCI 2.0, RBA 6.0, WRAP, ISO45001 or equivalent.** [↑](#footnote-ref-14)
14. [Procurement - World Bank Listing of Ineligible Firms and Individuals](https://www.worldbank.org/en/projects-operations/procurement/debarred-firms) [↑](#footnote-ref-15)
15. [Act relating to enterprises' transparency and work on fundamental human rights and decent working conditions (Transparency Act) – Lovdata](https://lovdata.no/dokument/NL/lov/2021-06-18-99) [↑](#footnote-ref-16)
16. [UK Modern Slavery Act & Modern Slavery Registry - Business & Human Rights Resource Centre (business-humanrights.org)](https://www.business-humanrights.org/en/latest-news/uk-modern-slavery-act-modern-slavery-registry/) [↑](#footnote-ref-17)
17. [France's loi de vigilance - Business & Human Rights Resource Centre (business-humanrights.org)](https://www.business-humanrights.org/en/latest-news/frances-loi-de-vigilance/) [↑](#footnote-ref-18)
18. [Modern slavery (homeaffairs.gov.au)](https://www.homeaffairs.gov.au/criminal-justice/Pages/modern-slavery.aspx) [↑](#footnote-ref-19)