**SELF-ASSESSMENT – FOLLOW UP OF THE ETHICAL CONTRACT PERFORMANCE CLAUSES**

For [the contracting authority], hereinafter referred to as the contracting authority, it is of great importance that the products/components we procure with public funds are produced under lawful and decent working conditions. This means that the products/components covered by this contract must be produced under conditions that are consistent with key UN conventions, ILO conventions and the national labour legislation in the country of production (as specified in the ethical contract performance clauses).

Self-assessment forms part of the follow-up of the ethical contract performance clauses in this contract and shall be signed by the responsible manager at [supplier], hereinafter called the supplier. The completed form must be submitted within four weeks from the date it was issued.

This document contains questions with related guidance for the supplier on how the questions should be answered and documented.

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| **This field will be completed by the contracting authority:** |  |
| **Supplier:** |  |
| **Contract/agreement number:** |  |
| **Deadline for response:** |  |

............................................................................................. .............................................. Name, general manager [supplier] Place/Date

The Self-assessment applies to the products/components that the contracting authority, possibly in consultation with the supplier, has selected for further follow-up with regard to the ethical requirements.

**The self-assessment applies to [to be completed by contracting authority]:**

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| --- | --- |
| Product/component: | Reason the product/component was selected: |
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|  | Questions | Suggestions concerning documentation | Response and reference to documentation |
| 1. | Have you adopted a code of conduct/ethical guidelines/ ethical contract performance clauses or similar? | Documentation can be your code of conduct/ethical guidelines/ ethical contract performance clauses or similar which corresponds to the ethical requirements in this contract.   Attach the guidelines in their entirety or a link to an online version and refer to the point and page:   * Prohibition of child labour * Prohibition of forced labour/slave labour * Prohibition of discrimination * Freedom of association and the right to collective bargaining * Compliance with the applicable country’s labour law and labour legislation |  |
| 2. | Can you describe and/or illustrate the supply chain for the selected products/components in this contract? | Can be described and/or illustrated in this document or attached as a separate document. The addresses of sub-suppliers must contain the name of the company, address and country. Sub-suppliers are defined as agents/intermediaries or similar and production units or similar.  Agents are defined as sub-suppliers who are connected to/in contact with the production unit(s). A production unit is defined, as a minimum, as the place where the production of the product occurs, for example a factory. The addresses of agents or similar and production units or similar must contain the name of the company, address and country. Map multiple links in the supply chain if you are familiar with them and/or the contracting authority has asked you to do so.  If the production unit(s) are certified in accordance with a standard for responsible production, you must specify the certification and updated documentation of the certification must be attached. If the product is labelled, the labelling system/certification that applies must be specified and updated documentation of the certification/label must be attached.  Example description of a supply chain for the selected products/components in this contract:  Product/component 1:   * Address of the agent/intermediary * Address of the production unit * If relevant, certification of the production unit * If relevant, labelling of the product/component   Product/component 2:   * Address of the agent/intermediary * Address of the production unit * If relevant, certification of the production unit * If relevant, labelling of the product/component |  |
| 3. | Have you communicated the code of conduct/ethical guidelines/ ethical contract performance clauses or similar to your sub-suppliers? | You must provide documentation showing that your code of conduct/ethical guidelines/ ethical contract performance clauses or similar which corresponds to the ethical requirements in this contract, have been communicated to the sub-suppliers mapped above.  The documentation may be copies of emails, letters and/or agreement documents. |  |
| 4. | Please specify the contact person(s) in your company with responsibility for following up the ethical contract performance clauses in this contract. | Provide the full name, job title, email address, and telephone number of the contact person(s) with responsibility for following up the ethical requirements. |  |
| 5. | How do you follow up the ethical contract performance clauses with sub-suppliers? | Describe how you follow up the ethical requirements, for example a role and responsibility description. The description should also include information about how you analyse risks and follow up your sub-suppliers based on these risks, for example your description of the process/procedure for responsible supply chain management. The documentation may also contain information about the risks you have identified in the supply chain for the selected products/components. You can also explain whether some risk factors represent a greater risk with regard to violations of basic human rights than others, and the reasons behind this assessment.   In addition, the description should include information about how any violations of the ethical requirements are handled regarding remedies and penalties. Specify whether self-assessment, follow-up conversations and/or on-site inspections/audits are included in your follow-up procedures.  If you have documentation of the follow up, for example received self-assessments or reports from on-site inspections of sub-suppliers, from the last 12 months, you should attach these. |  |
| 6. | Are any of the products covered by this contract, other than those specified above, labelled in accordance with a standard for responsible production? | A list of the products in your assortment that have been labelled and which labelling system that applies. |  |