

## BUSINESS ETHICS ASSESSMENT

TENDER / ASSIGNMENT Click here to enter text.	TENDER MANAGER / ASSIGNMENT LEADER Click here to enter text.	DATE 20160118
TENDER / ASSIGNMENT NUMBER Click here to enter text.	AUTHOR Click here to enter text.	PART 1 (2)

BUSINESS PARTNER NAME Click here to enter text.	REGISTERED ADDRESS Click here to enter text.
HOMEPAGE Click here to enter text.	VISITING ADDRESS (IF DIFFERENT FROM ABOVE) Click here to enter text.
REGISTRATION DATA OF THE LEGAL ENTITY TO BE CONTRACTED BY SWECO Click here to enter text.	

### Sweco Business Partner

#### Section A – E, to be filled out and signed by the Business Partner

The Sweco group is committed to complying with all applicable business ethic laws when performing assignments, also referred to in Sweco group's Code of Conduct, Sweco CSR Policy and subsequently clarified in Sweco Business Ethics Guidelines. In addition to the general Business Partner Risk Assessment, as per Sweco's quality assurance routines and required prior to signing of contract with any Business Partner, this Business Ethics Assessment is also required prior to contract signing as well as every 12<sup>th</sup> month during the contract period. The following Sweco group documents are included as attachments:

- Code of Conduct
- CSR policy
- Business Ethics, Anti-bribery and Corruption Guidelines
- Sweco Group's Guidelines for Gifts and Entertainment

If requested by Sweco, information given should be verified by supporting documentation. After completion, the assessment must be signed by an authorised representative of the Business Partner and returned to your contact person at Sweco.

No.	A - Facts about the Business Partner
A1.	Name of Executive Management individuals (CEO, CFO, COO), Board of Directors as well as significant (> 25 %) Owner(s) of the Business Partner's legal entity:  Click here to enter text.

A2.	<p>In addition to the individuals listed under question A1, state the name of all key-employees (e.g. Team Leaders, Lead discipline engineers, Special Senior Advisors) of the Business Partner, or third party suppliers, who are expected to provide support to Sweco.</p> <p>Click here to enter text.</p>
A3.	<p>Are any Executive Management individuals (CEO, CFO, COO), Members of the Board of Directors, significant (&gt; 25 %) Owner(s) of the Business Partner or any key-employee of the Business Partner or third party supplier who is expected to provide support to Sweco, a current or former (during the last 5 years) Public Official<sup>1</sup>?</p> <p>Choose Yes or No.</p> <p>If yes, please describe.</p> <p>Click here to enter text.</p> <p>Have any of these individuals had in the last 5 years, an employment status or other affiliation with any government agency, financier(s) or international organisation that may be involved, directly or indirectly, in the scope of work under this project?</p> <p>Choose Yes or No.</p> <p>If yes, please describe.</p> <p>Click here to enter text.</p>
A4.	<p>Does the Business Partner currently have or did the Business Partner previously have a relationship with Sweco?</p> <p>Choose Yes or No.</p> <p>If yes, please describe.</p> <p>Click here to enter text.</p>

No.	B - Facts about the project / assignment
B1.	Name and location of the project/assignment as well as location where the Business Partner will perform its services for the assignment:

<sup>1</sup> The term “Public Official” includes elected or appointed officials at all levels of government; employees or officers of a national, regional or local government; employees or officers of a government owned or controlled entity; employees or officers of public international organisations (e.g., the World Bank and other international financial institutions); or political parties, political party officials and candidates for public office. The term “Public Official” shall also include any other person who is carrying out activities on behalf of a government, government-owned entity, public international organisation, political party, or Public Official.

	Click here to enter text.
B2.	Name and location, if known, of Sweco's Client for the assignment, or if applicable, the Client's local executing agency for the assignment:  Click here to enter text.
B3.	Type of Business Partner relationship. Sub-consultant, consortium partner or agent/representative?  Choose type of cooperation.
B4.	Total value of the services (fees and reimbursable expenses) intended to be provided by the Business Partner:  Click here to enter text.
B5.	Please describe the work that the Business Partner will perform. Will the Business Partner be involved in securing business or in applying or obtaining any approvals, permits, licences or registrations -- from governments or private parties -- needed for Sweco to fulfil its obligations under its assignment?  Choose Yes or No.  If yes, please specify.  Click here to enter text.
B6.	Will the Business Partner be involved in or be responsible for any financial transactions under the assignment?  Click here to enter text.  If yes, please specify.  Click here to enter text.

No.	C - Facts about the Business Partner's financial capacity and financial compliance
C1.	What was the Business Partner's annual revenue for the last 3 years and annual net profit during this period? What is the projected revenue for the current year?  Click here to enter text.
C2.	State the Business Partner's total Current Assets (e.g. cash and equivalents, accounts receivables, stock inventory and prepaid liabilities expected to be converted into cash in < 1 year) for the latest periodic accounts. (Not applicable if being self-employed)  Click here to enter text.

C3.	<p>Is the Business Partner registered to pay all statutory taxes? Confirm with YES that there are no current debts in connection with taxes, duties or levies due to any public administration(s).</p> <p>Choose Yes or No.</p> <p>If No, please explain why.</p> <p><a href="#">Click here to enter text.</a></p>
C4.	<p>Please enclose supporting documentation or describe the Business Partner's financial accounting routines demonstrating the capacity to present compliant invoices, including time sheets and supporting documentation for legitimate reimbursable expenses.</p> <p><a href="#">Click here to enter text.</a></p> <p>Do the financial and accounting routines comply with national legislation and has the auditing of the accounts resulted in penalties or suspensions lately?</p> <p>Choose Yes or No.</p>

No.	D - Facts about the Business Partner's operational capacity and capability.
D1.	<p>Does the Business Partner have a Quality, Environmental and Health and Safety management system?</p> <p>Choose Yes or No.</p> <p>If not please describe what quality assurance routines are in place.</p> <p><a href="#">Click here to enter text.</a></p>
D2.	<p>Please describe how the Business Partner intends to allocate key-staff for the assigned scope of work, with regards to permanent existing employees, new recruitments, temporary employees or Sub-Consultants. (The information requested can also be presented as part of the answer to question A2.)</p> <p><a href="#">Click here to enter text.</a></p>

No.	E - Facts about the Business Partner's Business Ethics compliance record.
E1.	<p>Please enclose supporting documentation or describe the Business Partner's Corporate and Social Responsibility routines including Business Ethics, Anti-bribery and Anti-corruption.</p>

	Click here to enter text.
E2.	<p>Have the Business Partner, its Executive Management individuals (CEO, CFO, COO), Members of the Board of Directors, significant (&gt;25 %) Owner(s) or key personnel for this assignment during the last 5 years engaged in, or been subject to suspension, debarment or penalties due to, any unethical behaviour or misconduct?</p> <p>Click here to enter text.</p>
E3.	<p>Over the last 3 years, has the Business Partner, or any person affiliated with the Business Partner (including Owners, Board members, Executive Managers, key personnel for this assignment) been investigated concerning potential breach, or have been determined to have breached i) any criminal laws or regulations of any nature, or ii) any other government or international organisation measures (criminal, civil, or administrative), concerning fraud, corruption, collusion, or coercive practices? If so, please describe.</p> <p>Click here to enter text.</p>

Final confirmation by the Business Partner.

As an authorised representative of our legal entity, I hereby confirm that:

- The information given in this Business Ethics Assessment is true and correct;
- I have read Sweco Group’s
  - o Code of Conduct;
  - o CSR policy;
  - o Business Ethics, Anti-bribery and Corruption Guidelines; as well as
  - o Sweco Group’s Guidelines for Gifts and Entertainment.

and confirm that all employees, permanent and temporary as well as any sub-consultants engaged in the assignment by or through us, have understood the Guidelines and will comply fully with the Code and Policy.;

- *(Only applicable for assessments repeated for the same Business Partner under the same cooperation agreement, which has been in force for 12 months or longer).* There have been no findings, or suspicions, of any breach of the Sweco Code and CSR policy by any employees, permanent and temporary as well as any sub-consultants engaged by us or through us, since the last assessment was performed.
- If I have any doubts or questions, on how to apply the Code and Policy and interpret the Guidelines, I understand that I can seek guidance and clarifications from Sweco Group’s Compliance Officer or Legal Counsel; and

- I am aware that Sweco has the right to immediately terminate any cooperation agreement established due to breach of contract, and take subsequent legal action:
  - if information given in this form is suspected to be incorrect;
  - if there is a suspected breach by any of our employees, permanent and temporary as well as any sub-consultants engaged by us or through us, of the aforementioned Code and Policy or breach of any applicable laws.

Date: [Click here to enter a date.](#)

Place: [Click here to enter text.](#)

Name (in letters): [Click here to enter text.](#)

Signature: \_\_\_\_\_

Title/Position: [Click here to enter text.](#)