



Sedex  
Management Controls at My  
Business report

**Guidance**

**For suppliers completing the Self-  
Assessment Questionnaire (SAQ) for  
Goods Provider**

Version 1.0, May 2023







Sedex's vision is to be a leader in making global supply chains more socially and environmentally sustainable. We supply data-driven insight through the most accessible tools and services. We engage with companies to continuously improve their environmental, social and governance (ESG) outcomes.

# What is this document for?

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This document is for **suppliers who have completed the SAQ for Goods Provider** on learning the topics below.

- How to access the Management Controls at My Business report
- How to navigate and interpret the Management Controls at My Business report
- Understand and interpret the management controls scores
- Explain how suppliers can track progress/make improvement through the Management Controls at My Business report
- Access the resources



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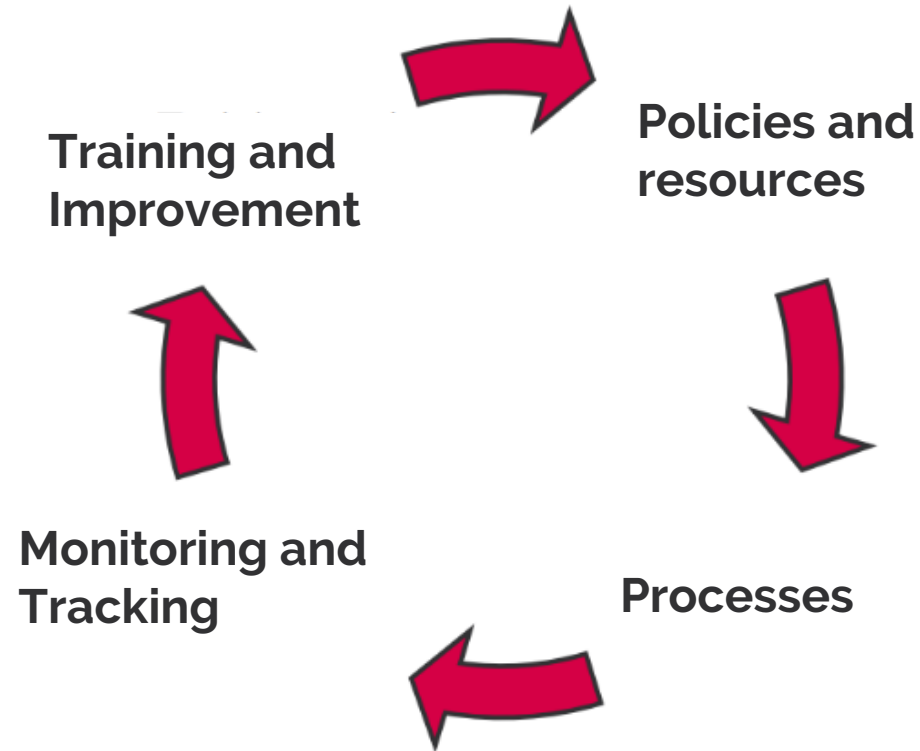
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# What is a management control?

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**Management controls are actions you can take to manage risk at a site. These work together to form a management system.**

# Core components of a Management System

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**By integrating these elements, organizations can establish a comprehensive framework for managing risks and ensuring efficient operations.**

## **1 Policies and resources**

- Policies are business commitments and goals. Resources are the people, job roles, responsibilities and skills needed to implement policies.

## **2 Processes**

- Procedures that enable a business to achieve its policies.

## **3 Monitoring and Tracking**

- How to check that process are followed and desired impact is achieved.

## **4 Training and Improvement**

- Training builds staff awareness and ability through information and instruction. Steps are taken to build employee knowledge and skills to achieve the policy and processes, and the steps are taken to improve performance.

# What is Management Controls at My Business report?

It is a tool available to suppliers who  
have completed the Sedex SAQ.

**For suppliers:**

## The **Sedex Self-assessment Questionnaire (SAQ)**

Helps companies to identify and reduce social sustainability risks by collating and analysing relevant data on conditions for workers in global supply chains.



After successfully  
submitting the SAQ

## **Management Controls at My Business report**

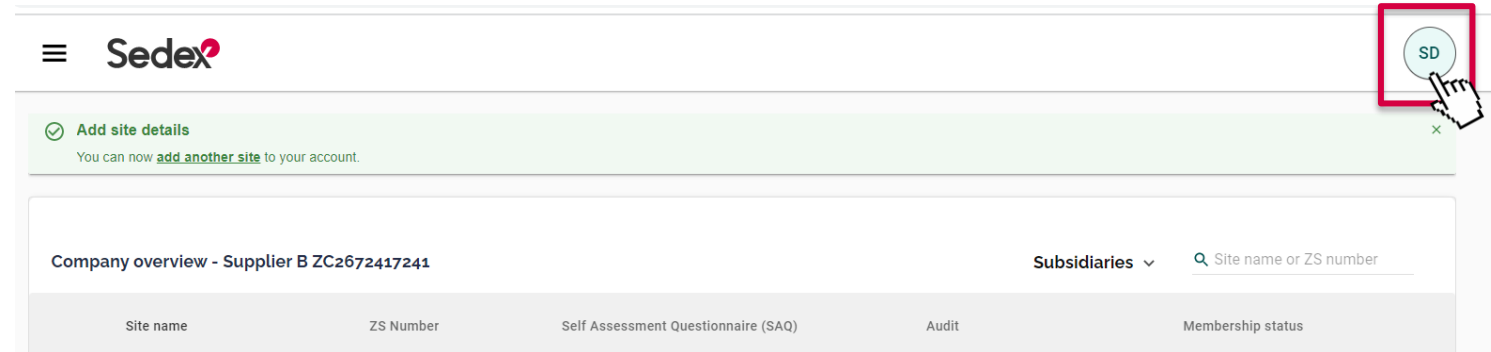
It is a tool that suppliers can use to assess their risk management practices, understand how their practices compare to industry standards, and identify areas for improvement.

# Benefits of the **Management Controls at My Business** report for suppliers

- It helps show your customers **how risks are being managed**, and **highlights where you have established systems** to meet industry standards for the four SMETA pillars of Labour standards, Health and safety, Business ethics and Environment.
- **Self-assess your performance** to decide where to focus improvement efforts.
- **It supports improvement** by linking to guidance for the four SMETA pillars of Labour standards, Health and safety, Business ethics and Environment.



# Where to find the Management Controls at My Business report

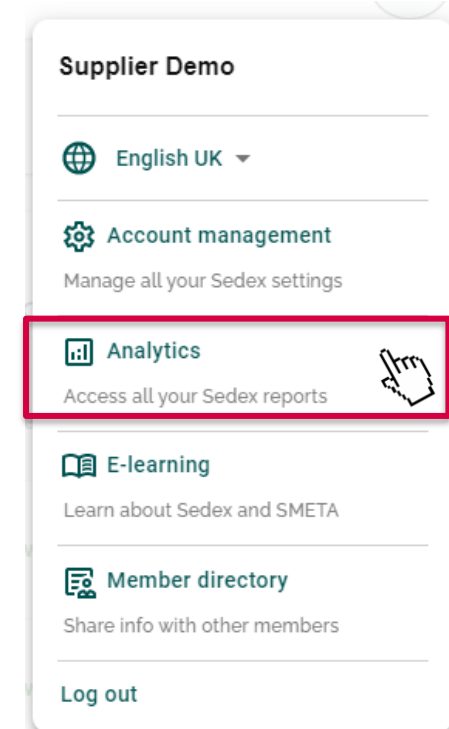


- Click the icon at the top-right corner of the dashboard and you will see a drop-down menu. Click '**Analytics**'.
- The report is found in Sedex Analytics, within

folder : **New My Supply Chain**



**Management Controls at my Business**




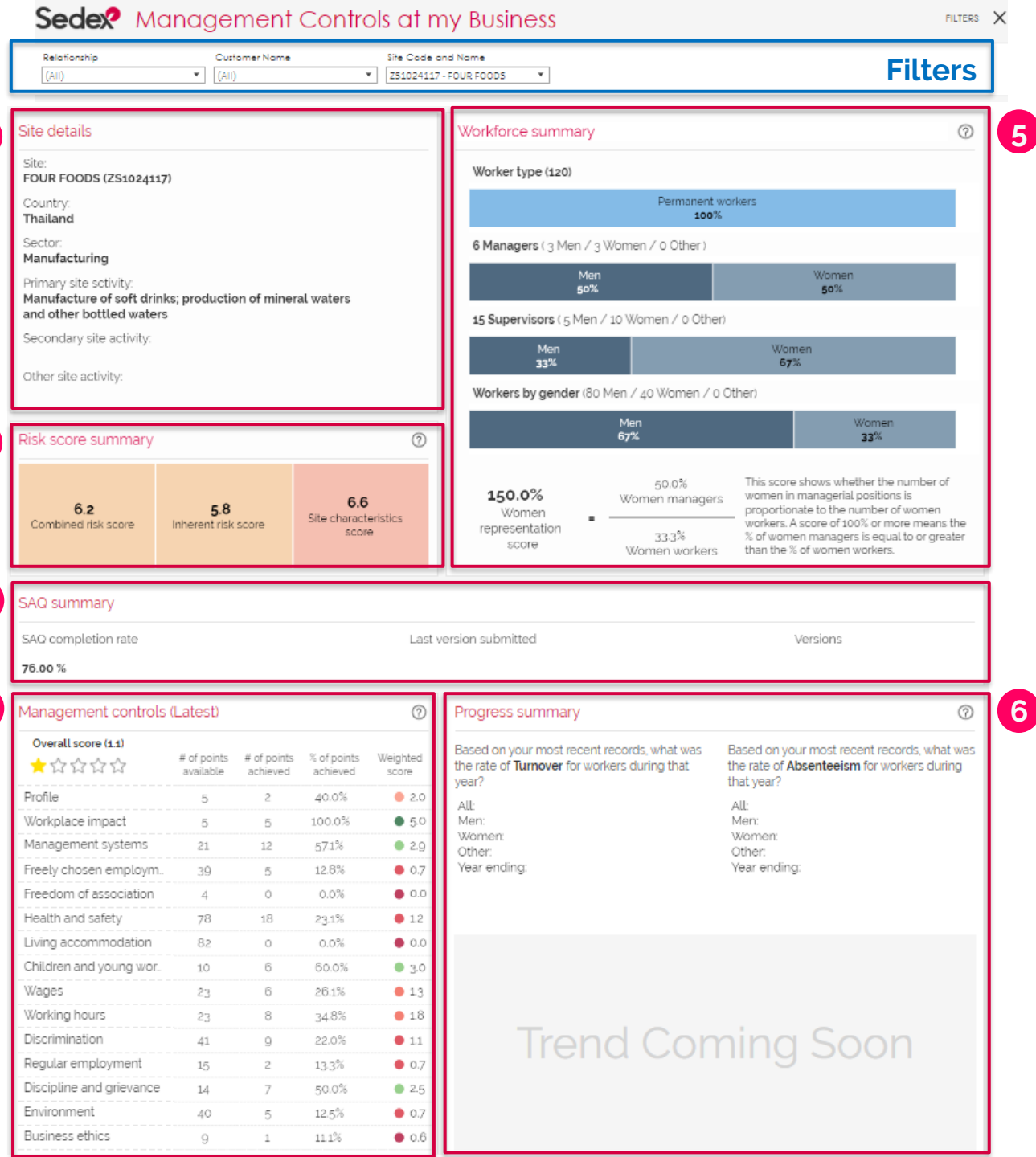
# Overview of the Management Controls at My Business report

Use the **filters** at the top of the report to find your site & display information.

## 6 sections in total:

- 1 Site Details
- 2 Risk score summary
- 3 SAQ Summary
- 4 Management Controls
- 5 Workforce Summary
- 6 Progress Summary

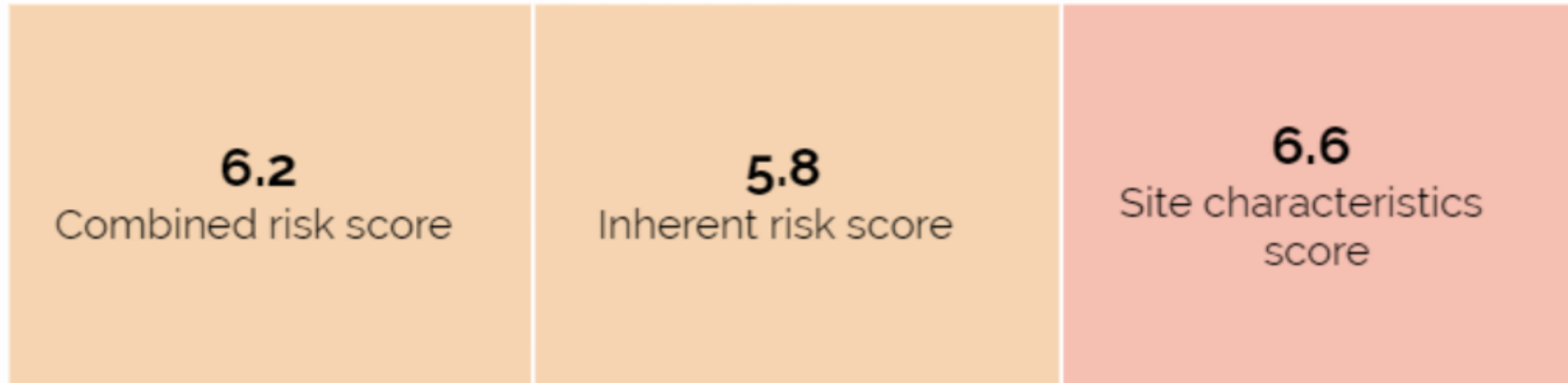
 Tooltip is available next to each section's title.



# Risk score summary

## Risk score summary

Tooltip is available next to the section's title.



- Combined risk score is a combination of:
  - Inherent risk score
  - Site risk score.
- It is on a scale of 0-10, where 10 is the highest risk.
- Inherent risk scores are made up of the country risk, sector and activity risk (According to Anthesis data).
- It's on a scale of 0-10, where 10 is the highest risk.
- Site risk score is made up of site characteristics (site activity, worker information) and answers in SAQ questions.
- It's on a scale of 0-10, where 10 is the highest risk.

**!** To learn about our risk assessment tool, Radar and risk scores in detail, click [here](#).

# Combined risk scores - Risk categories

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**Combined risk scores** are categorised into **High, Medium and Low** risk according to the underlying scores out of 10.

Overall risk category	Score range
Low	0.0-3.9
Medium	4.0-5.9
High	6.0-10



To learn about our risk assessment tool, Radar and risk scores in detail, click [here](#).



# Progress Summary

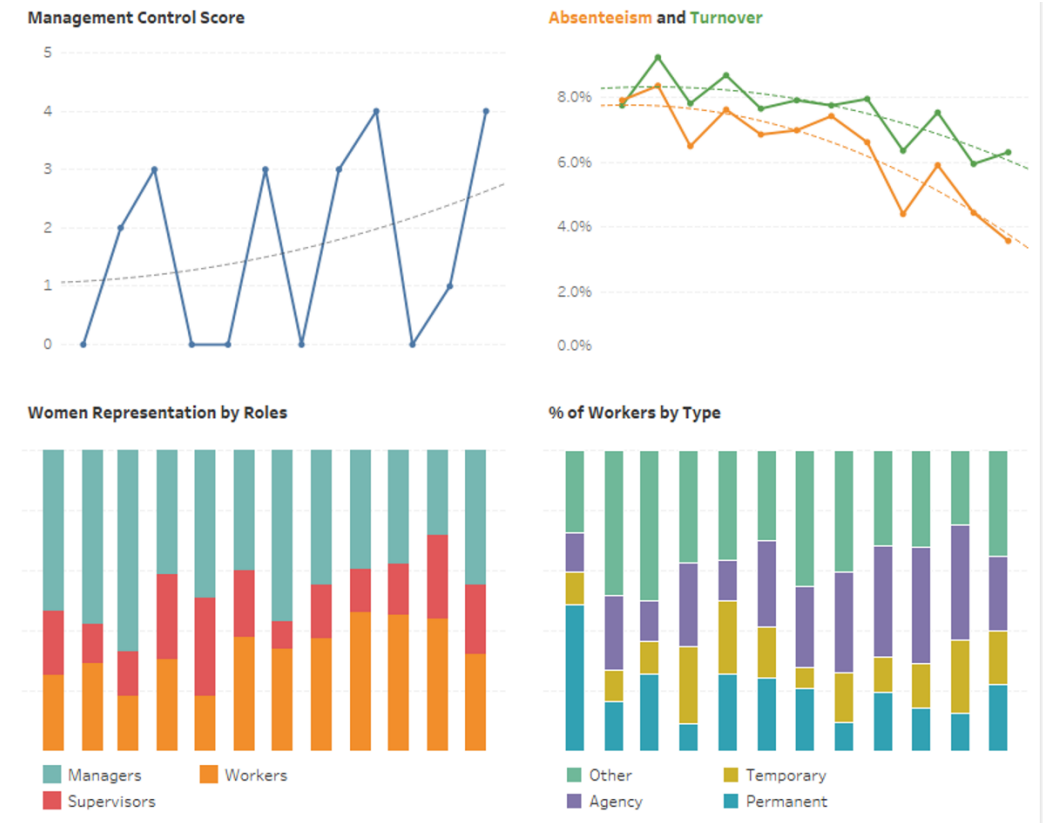
## Tracking progress over time

Every time your SAQ is submitted, it confirms to the customers that you have finished the SAQ. This set of answer will be saved to allow Sedex to track and demonstrate changes over time. As you submit new versions of the SAQ over time , the charts in this section will **show the change overtime** in following area:

- Management Control scores
- Absenteeism & turnover rates
- Women's Representation score
- Workforce composition change overtime.

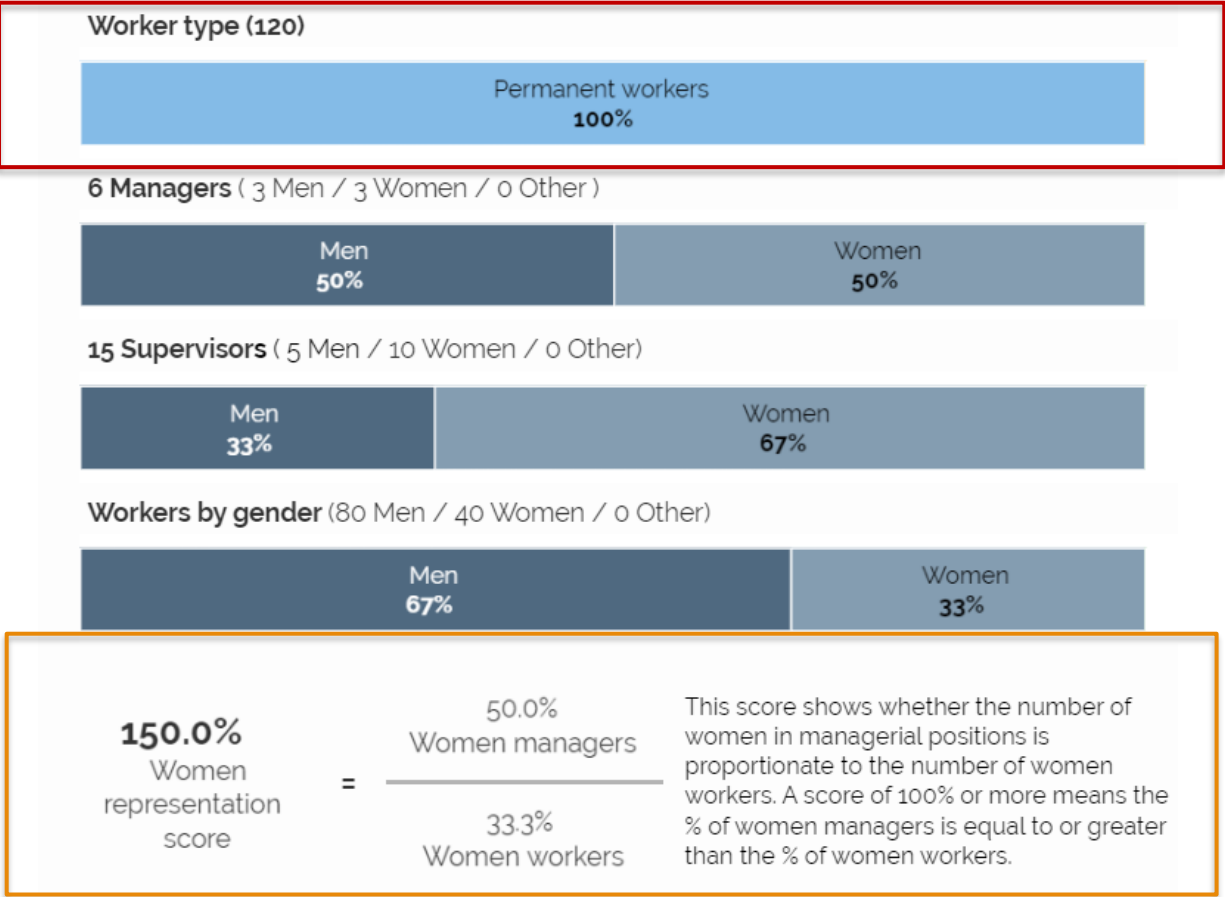
## Example: Interpreting Absenteeism and turnover rates

- High absenteeism rates reduce productivity and cost businesses money.
- Measuring and monitoring the rates over time allows sites to demonstrate how the improvements the company make are financially beneficial for their business.



# Workforce Summary

This section allows you to see the proportion of your workforce who are permanent employees, and to identify whether women are proportionally represented in managerial or supervisor role when compared to the composition of the workforce.



## Example: interpreting worker type



- Increasing the proportion of the workforce who are permanent employees over time can reduce risk.
- It's because permanent employees tend to have better compensation, dependable hours and job security than those in precarious work (such as agency or subcontracted work, temporary work, casual or 'on-call' work, seasonal work, home-work and self-employment).

## Example: interpreting women representation score

- In this case, 150% would mean that the percentage of women managers are greater than the percentage of women workers. Women are fairly represented in leadership roles.

# Management Controls

## Management controls (Latest)

<div> <div>Overall score (1.1)</div> <div>      </div> </div>					
	# of points available	# of points achieved	% of points achieved	Weighted score	
Profile	5	2	40.0%	2.0	
Workplace impact	5	5	100.0%	5.0	
Management systems	21	12	57.1%	2.9	
Freely chosen employm..	39	5	12.8%	0.7	
Freedom of association	4	0	0.0%	0.0	
Health and safety	78	18	23.1%	1.2	
Living accommodation	82	0	0.0%	0.0	
Children and young wor..	10	6	60.0%	3.0	
Wages	23	6	26.1%	1.3	
Working hours	23	8	34.8%	1.8	
Discrimination	41	9	22.0%	1.1	
Regular employment	15	2	13.3%	0.7	
Discipline and grievance	14	7	50.0%	2.5	
Environment	40	5	12.5%	0.7	
Business ethics	9	1	11.1%	0.6	

- Overall Management Controls score is from 0-5 based on their risk management practices, **where 5 is the highest and best score available.**
- The risk management practices are weighted based on a four-level scoring system, where answers from the SAQ can receive either: 1 point, 2 points, 3 points and 7 points. *(More details in the next section about Management Controls Score)*
- A score of 5 is reached only when all available points are achieved.

### Overall Score (5)



- Higher scores show stronger and more sophisticated management systems which help to reduce your risks.**
- Your Buyers will use this score in conjunction to other risk scores to plan their audit requests.

# Management Controls

## Management controls (Latest)



### Overall score (1.1)



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### # of points available:

- number of points available in a particular section using the four-level scoring system of Management Controls Score (*More details in the next section about Management Controls Score*)

### # of points achieved:

- number of points achieved by the answers in the SAQ in a particular section using the four-level scoring system of Management Controls Score (*More details in the next section about Management Controls Score*)

### % of points achieved:

- $(\text{\# of points achieved} / \text{\# of points available}) \times 100\%$

### Weighted Score:

- It's based on the % of points that were achieved within that section, converted to a scale of 0-5. It's weighted in the sense that some answers have a greater weighting towards the score.
- 15 sections of the SAQ closely mirroring a SMETA audit**



# What is Management Controls Score

It is based on a four-level scoring system, where answers from the SAQ can receive either:

- **1 point**
- **2 points**
- **3 points**
- **7 points**

## 1 Point

### Basic and Essential Practices (Level 1 answers)

Your answers in the SAQ showing that you meet the **minimum standard for risk management** and **demonstrate likely compliance with legal and ethical requirements** are awarded 1 point. Your answers form a solid foundation for risk management but are **not sufficient to constitute reasonable due diligence**.

Examples of Level 1 answers:

- Enforcing the use of personal protective equipment (PPE) in the workplace.
- Presence of a written policy document.
- Making a separate bed available to each worker in their living accommodation.

# What is Management Controls Score

It is based on a four-level scoring system, where answers from the SAQ can receive either:

- 1 point
- 2 points
- 3 points
- 7 points

## 2 Points

### Good Practices (Level 2 answers)

Your answers in the SAQ demonstrating **a higher level of risk management** and are **likely to go beyond the minimum standard** are awarded 2 points. Your answers show that the business is **committed to continuous improvement** and is taking **proactive measures** to manage its impacts.

Examples of Level 2 answers:

- Minimising the use of, or not using, double deck bunks in living accommodation.
- Providing workers with a 'key' in their own language that enables them to understand their payslips.
- Carrying out formal due diligence screening of prospective labour providers to determine if their practices conform to requirements.

# What is Management Controls Score

It is based on a four-level scoring system, where answers from the SAQ can receive either:

- 1 point
- 2 points
- 3 points
- 7 points

## 3 Points

### Best Practices (Level 3 answers)

Your answers in the SAQ demonstrating **a high level of risk management** and **go beyond the expected standard** are awarded 3 points. Your answers show that the business **is committed to achieving excellence in its risk management practices** and may be taking **steps to address systemic issues**.

Examples of Level 3 answers :

- Consulting workers (or their representatives) on the design of their housing where possible.
- Implementing a worker committee or council, with freely-elected representatives, to represent workers (where there are no trade unions).
- Having a committee or individual responsible for the implementation, monitoring, and evaluation of measures that promote gender equality and women's empowerment.

# What is Management Controls Score

It is based on a four-level scoring system, where answers from the SAQ can receive either:

- 1 point
- 2 points
- 3 points
- 7 points

## 7 Points

### Advanced practices (Level 4 answers)

Your answers in the SAQ demonstrating **an advanced level of risk management** and **go beyond the best practices** are awarded 7 points. Your answers show that the business is at **the forefront of risk management practices** and is taking **innovative measures to manage its impacts**.

Examples of Level 4 answers:

- Paying workers a genuine living wage.
- Implementing an internationally recognised health and safety management system (ISO 45001).



# How can I improve Management Controls Score for my site?

## Management controls (Latest) ?

Overall score (1.1)				
★☆☆☆☆	# of points available	# of points achieved	% of points achieved	Weighted score
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Business ethics	9	1	11.1%	0.6

Look at where scores are lower to see where improvement is needed



Decide what actions to take by identifying your priorities and through discussions with your colleagues and/or in partnership with customers.

***(Your customers can also view the Management Controls report of your site. )***



Understand what is required and where controls can be strengthened by:

1. Review your SAQ answers
2. Visit the **Management Controls Guidance documents**

# Case Study

Management controls (Latest) ⓘ

Overall score (1.1)	# of points available	# of points achieved	% of points achieved	Weighted score
★☆☆☆☆				
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Look at where scores are lower to see where improvement is needed



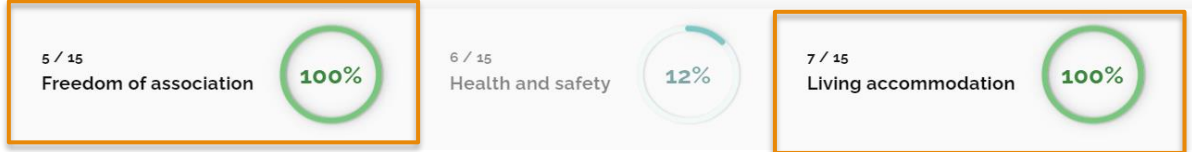
Identify your priorities

- Freedom of Association
- Living Accommodation

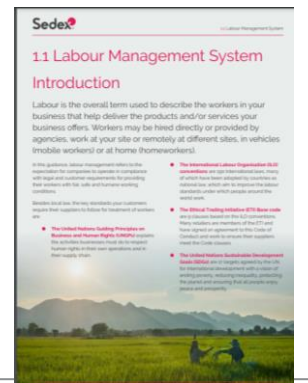


Understand what is required and where controls can be strengthened by:

## 1. Review your SAQ answers in the areas of your priority



## 2. Visit the Management Controls Guidance document to map what you are doing against the best practice



# Case Study

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Example in the Living Accommodation section:

What measures do you have in place to ensure the accommodation provided to workers by a third party meets local housing and safety standards?

Select all that apply

- ☒ The requirement to meet standards is included in contracts with the labour provider or housing provider
- ☐ Local housing and safety standards are clearly posted at the housing and in company offices
- ☐ Our company regularly inspects accommodation for compliance with standards and keeps records
- ☐ Our labour recruiter or third-party housing owner/manager performs regular housing inspections and corrects any issues
- ☐ There is a mechanism in place for workers to complain about accommodation conditions without fear of retaliation
- ☐ There is a person with adequate background, competency and experience to monitor third-party providers
- ☐ Other (please explain)

**Action: Review your answers in the new SAQ**

**Your answer:**

- **Only selecting one answer** means you might not meet the minimum standard for risk management or be able to demonstrate compliance with legal and ethical requirements. You will not score full points for this question.
- By taking action you might find opportunities to improve worker accommodation, increasing the ability of new workers to settle and perform their work effectively.

# Case Study

Example in the Living Accommodation section:

**What measures do you have in place to ensure the accommodation provided to workers by a third party meets local housing and safety standards?**

Select all that apply

**Your answer**

- ☒ The requirement to meet standards is included in contracts with the labour provider or housing provider
- ☐ Local housing and safety standards are clearly posted at the housing and in company offices
- ☐ Our company regularly inspects accommodation for compliance with standards and keeps records
- ☐ Our labour recruiter or third-party housing owner/manager performs regular housing inspections and corrects any issues
- ☐ There is a mechanism in place for workers to complain about accommodation conditions without fear of retaliation
- ☐ There is a person with adequate background, competency and experience to monitor third-party providers
- ☐ Other (please explain)

## Action :

- Visit the **Management Controls Guidance documents (2.1 Health & Safety Management System)** to map what you are doing against the best practice.
- Learn more about **international standards and laws** which contain requirements that businesses should or need to achieve and map what you are doing against the required practice. Sources are listed in the Management Controls Guidance documents.
- Example: [IOM's Migrant Worker Guidelines for Employers \(Checklist - Migrant Workers' Accommodations\)](#)

## Good/Best practice:

Having formal policies and procedures, such as regular audits and inspections in place, will help to ensure that the accommodation is clean, decently habitable and maintained in a good state of repair. The results of inspections should be recorded and be available for review.





# Case Study

Example in the Living Accommodation section:

**What measures do you have in place to ensure the accommodation provided to workers by a third party meets local housing and safety standards?**

Select all that apply

- ☒ The requirement to meet standards is included in contracts with the labour provider or housing provider
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- ☐ There is a mechanism in place for workers to complain about accommodation conditions without fear of retaliation
- ☐ There is a person with adequate background, competency and experience to monitor third-party providers
- ☐ Other (please explain)

## Action:

- **Review and change your site's practices** in terms of the core components of a Management System (Policies & resources, processes, monitoring & tracking and training & improvement).
- **Update and submit your SAQ answer**, then see the change in your Management Control scores.

## Your answer

## Good/Best practice:

Having formal policies and procedures, such as regular audits and inspections, in place will help to ensure that the accommodation is clean, decently habitable and maintained in a good state of repair. The results of inspections should be recorded and be available for review.

# Management Controls Guidance Documents

- Available in English, Spanish, Chinese, Japanese.
- Sets out what is required in a good management system for each SMETA pillar.
- Includes examples of good practice, case studies, FAQ and further resources.
- Linked from the Management Controls at My Business report, but they can also be accessed in the following e-Learning courses:



– [Assessing Management Systems at Your Site \(Suppliers\)](#)



# Additional resources

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- [Management Controls at My Business Summary](#)
- [SAQ Briefing Note](#)
- [SAQ Guidance](#)



# Helpdesk

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For any questions, please contact our helpdesk below.

## Contact Us

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