

Sedex: Auditor Guidance Pack

Stage 1

Registration Instructions for Auditors



Auditor Guidance

- Stage 1 Registration Instructions

Step-by-Step instructions for Auditors: to assist you in setting-up and utilising your account on the Sedex system. There are 3 documents in this series, this document is **Stage 1**:

- 1. Registration Instructions for Auditors**
2. How to upload an ethical Audit
3. Reviewing Non-Compliances

To view the other auditor guidance documents, please go to the '?' Help section on the Sedex system, then click on 'Auditor Guidance'

Sedex Auditor Accounts

3 Types of Sedex Auditor Accounts: each with its own registration route.

Independent Auditor – designed for independent individual auditors, allows them to:

- Upload audits.
- Review corrective action plans and sign off non-compliances.
- Allows only one user per account.
- Available for all members; 1st Party and 2nd Party auditors and 3rd Party auditors who are not part of the Audit Company Group or Associate Auditor Group (please see below).

Cost: No charge.

Audit Company Group – designed for audit companies, allows them to:

- Add multiple auditors to the account and centrally manage your company's audits.
- Audit staff can upload audits, review corrective actions and sign off non-compliances.
- Lead user is able to create subsidiary accounts and assign audits to audit staff.
- Available for 3rd party auditing companies only.

Cost: Based on turnover - upwards of £600 per year. Please see application details on our website (www.sedexglobal.com).

Associate Auditor Group (AAG) – designed for audit companies who are part of working group.

- Have the same functionality as Audit Company Group.
- Involved in AAG work group.
- Limited spaces available.

Cost: Based on turnover - upwards of £300 per year. Please see details on our website (www.sedexglobal.com).

If you are unsure about which membership option is best for your organisation and would like some further information, please email helpdesk@sedexglobal.com or call +44 (0)207 9022 320

Sedex Auditor Account Options

(Please choose the account which suits your business needs)

Option 1 - Independent Auditor

- Designed for individual auditors
- Upload audits
- Review Corrective Actions
- Sign-off Non compliances
- Available for all auditors
- No charges incurred**

Option 2 - Audit Company Group

- Designed for audit companies
- Add multiple users to your account
- Create subsidiary accounts
- Assign audits to your audit teams/or to individual auditors
- Available only for third party auditing companies
- Cost – Based on turnover**

Option 3 - Associate Auditor Group

- Designed for audit companies
- Add multiple users
- Create subsidiary accounts
- Input into workgroup
- Limited spaces available
- Cost - based on turnover**



Follow **Option 1**
Pages 5-11



Follow **Option 2**
Pages 12-14



Follow **Option 3**
Pages 15-17

NOT Option 1/2/3

If you are not an independent auditor, Audit Company Group or Associate Auditor, you may be an Audit Company, an NGO or a union.

In these cases a supplier can select you as an independent auditor – please follow Option 1 – pages 5-11

For further information, please email helpdesk@sedexglobal.com or call +44 (0)207 9022 320

Option 1

Independent Auditor

Designed for independent individual auditors

This account allows you to:

- Upload audits.
- Review corrective action plans and sign off non-compliances.
- only one user per account.
- Available for 1st Party, 2nd Party and 3rd Party auditors. This account is available for all auditors.

Cost: No charge.

For an independent auditor account, your supplier must nominate you as their auditor.

Please ask your **supplier** to log on to www.sedexglobal.com and **complete Steps 1 – 12.**

**Option 1:
Independent Auditor**

**Option 2: Audit
Company Group**

**Option 3: Associate
Auditor Group (AAG)**

**Step 1-2:
Supplier
login**

**Step 3 -4:
Supplier
adds a new
audit**

**Step 5-7:
Supplier
selects
auditor type**

**Step 8 - 9:
Supplier enters
auditor details**

**Step 10 - 12:
Supplier
submits audit
request**

**Step 13 - 14:
Auditor
logins**

Supplier login

1. **Supplier:**
Click on
'Login'



2. **Supplier:**
Enter their
login and
Password

Welcome to the Sedex 2.0 Site

Welcome to Sedex 2.0 portal. Our mission is to connect businesses and their global suppliers to share ethical data and enabling continuous improvement in ethical performance

[Sedex Website](#)

Please be aware the Sedex system is offline every day between 2100hrs (GMT) – 2130hrs (GMT). On Saturday this changes to be between 2100hrs Saturday (GMT) – 0100hrs Sunday (GMT). This is to allow the regular maintenance, and system back ups.

User Id

Password

  [Forgotten Password?](#)

**Option 1:
Independent Auditor**

**Option 2: Audit
Company Group**

**Option 3: Associate
Auditor Group (AAG)**

**Step 1-2:
Supplier
login**

**Step 3 -4:
Supplier
adds a new
audit**

**Step 5-7:
Supplier
selects
auditor type**

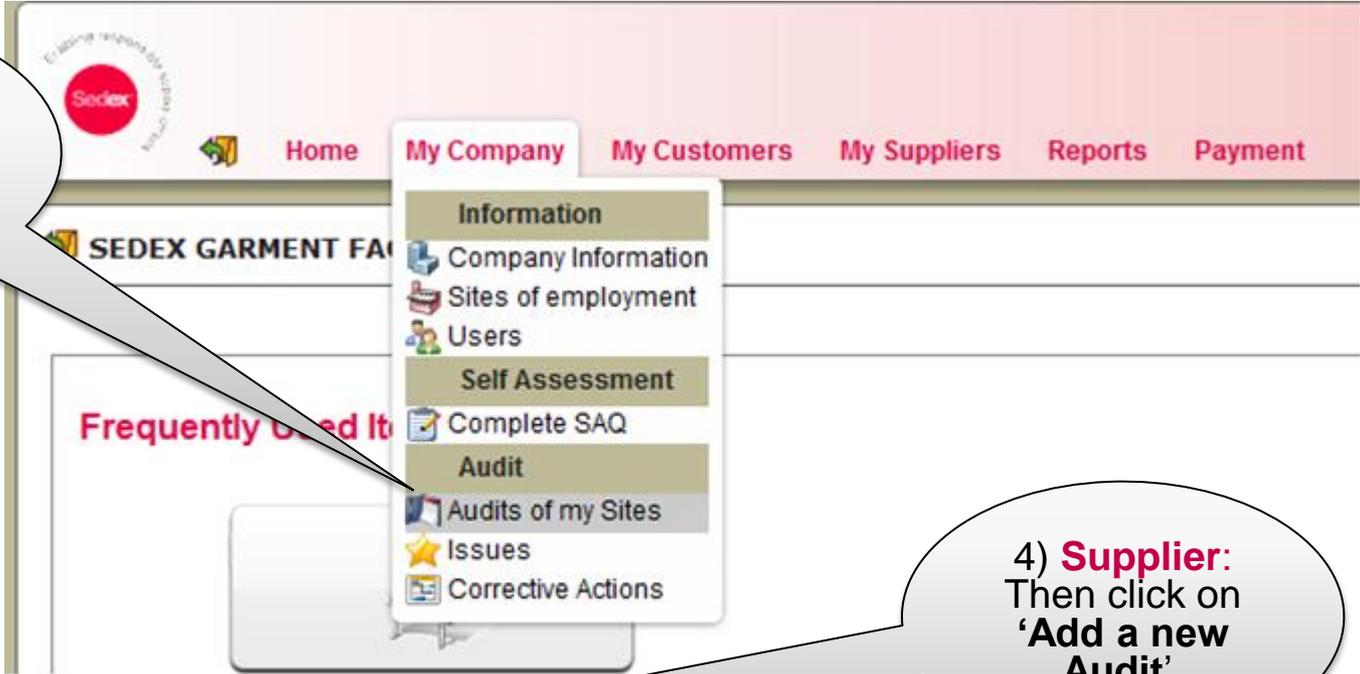
**Step 8 - 9:
Supplier enters
auditor details**

**Step 10 - 12:
Supplier
submits audit
request**

**Step 13 - 14:
Auditor
logins**

Supplier adds a new audit

3) **Supplier:**
click on 'Audits
of my Sites'



4) **Supplier:**
Then click on
'Add a new
Audit'.

List Search **Add a new Audit**

Option 1: Independent Auditor

Option 2: Audit Company Group

Option 3: Associate Auditor Group (AAG)

Step 1-2:
Supplier
login

Step 3 -4:
Supplier
adds a new
audit

Step 5-7:
Supplier
selects
auditor
type

Step 8 - 9:
Supplier enters
auditor
details

Step 10 - 12:
Supplier
submits audit
request

Step 13 - 14:
Auditor
logins

Supplier selects audit type

There are 3 different Audit Types:

- 1. First Party:** carried out by the site itself- internal/self audit-
- 2. Second Party:** a customer within the supply chain (Brand, Retailer, Purchaser, Other) auditing their supplier's site.
- 3. Third Party:** a neutral third party auditing company, independent of the supply chain. If you select third party, please see next slide for details on what to enter.

Entering the correct Audit Type is very important as this allows the supplier to correctly select their chosen auditor.

5) **Supplier:** Select the Audit Type and Audit Date here

7) **Supplier:** Your supplier will select which type of auditor you are.

6) **Supplier:** Select the site name using the 'pick path'

List Search Add a new Audit

Properties

Audit Date Type * Announced

Audit Date * / /

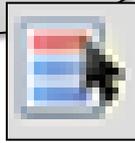
Audited site

Site Name *

Auditor Identification

Audit Type *
First Party
Second Party
Third Party

Give auditor access to site inform



**Option 1:
Independent Auditor**

**Option 2: Audit
Company Group**

**Option 3: Associate
Auditor Group (AAG)**

**Step 1-2:
Supplier
login**

**Step 3 -4:
Supplier
adds a new
audit**

**Step 5-7:
Supplier
selects
auditor type**

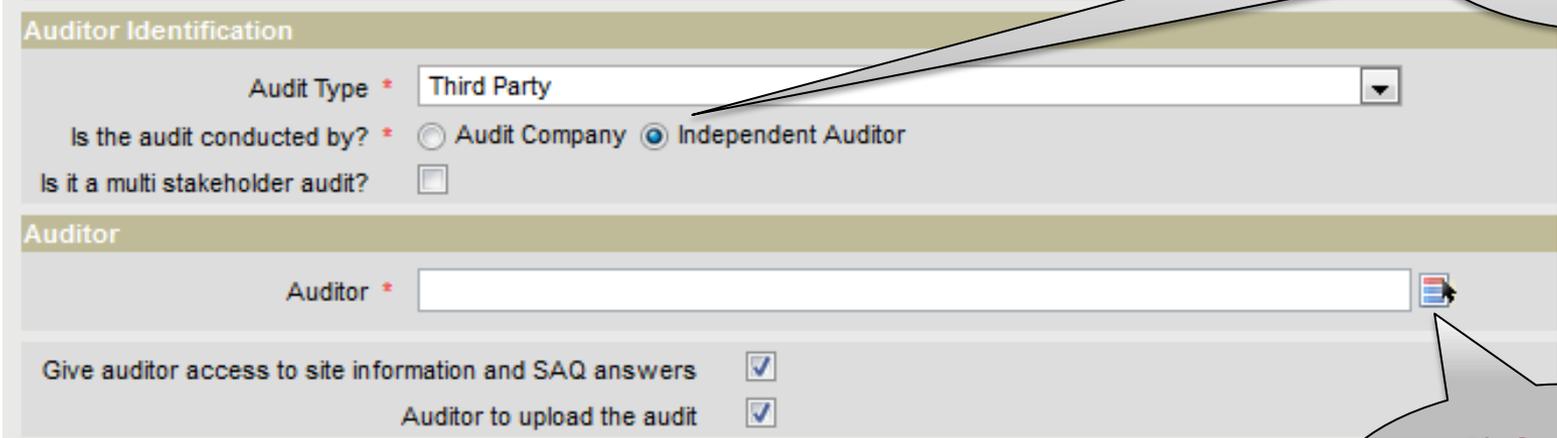
**Step 8 – 9:
Supplier
enters auditor
details**

**Step 10 - 12:
Supplier
submits audit
request**

**Step 13 - 14:
Auditor
logins**

Supplier enters auditor details

8) **Supplier:**
select
'Independent
Auditor'.



Auditor Identification

Audit Type * Third Party

Is the audit conducted by? * Audit Company Independent Auditor

Is it a multi stakeholder audit?

Auditor

Auditor *

Give auditor access to site information and SAQ answers

Auditor to upload the audit

9) **Supplier:**
Please click here
to choose your
Auditor

 **Entering the correct auditor identification details is very important as once the audit request is created an automatic email notification will be sent straight to the auditor.**

**Option 1:
Independent Auditor**

**Option 2: Audit
Company Group**

**Option 3: Associate
Auditor Group (AAG)**

**Step 1-2:
Supplier
login**

**Step 3 -4:
Supplier
adds a new
audit**

**Step 5-7:
Supplier
selects
auditor type**

**Step 8 - 9:
Supplier enters
auditor details**

**Step 10 - 12:
Supplier
submits
audit request**

**Step 13 - 14:
Auditor
logins**

Supplier submits audit request

The system will search for the email address entered:
If found: the request will go to your existing account (please skip step 11).
If not found: please complete step 11.

10) **Supplier:**
Type in the **correct** auditor's email address.

11) **Supplier:**
Type in the auditors **first and last name**.

12) **Supplier:**
Submit the request.

 Once the supplier has typed in your details, you will receive an email with login details to get started with your account. If not please check whether the correct email has been entered.

**Option 1:
Independent Auditor**

**Option 2: Audit
Company Group**

**Option 3: Associate
Auditor Group (AAG)**

**Step 1-2:
Supplier
login**

**Step 3 -4:
Supplier
adds a new
audit**

**Step 5-7:
Supplier
selects
auditor type**

**Step 8 - 9:
Supplier enters
auditor details**

**Step 10 - 12:
Supplier
submits audit
request**

**Step 13 - 14:
Auditor logs
in**

Auditor Logs in

13. Auditor:
Click on 'Login'



14. Auditor:
Enter your
login and
Password.

Welcome to the Sedex 2.0 Site

Welcome to Sedex 2.0 portal. Our mission is to connect businesses and their global suppliers to share ethical data and enabling continuous improvement in ethical performance

[Sedex Website](#)

Please be aware the Sedex system is offline every day between 2100hrs (GMT) – 2130hrs (GMT). On Saturday this changes to be between 2100hrs Saturday (GMT) – 0100hrs Sunday (GMT). This is to allow the regular maintenance, and system back ups.

User Id

Password

 [Forgotten Password?](#)

Option 2

Audit Company Group

Designed for commercial audit companies

This account allows you to:

- Add multiple auditors to the account and centrally manage your company's audits.
- Audit staff can upload audits, review corrective actions and sign off non-compliances.
- Lead user is able to create subsidiary accounts and assign audits to audit staff.
- Available for 3rd party auditing companies only.

Cost: Based on turnover - upwards of £600 per year.

**Option 1:
Independent Auditor**

**Option 2: Audit
Company Group**

**Option 3: Associate
Auditor Group (AAG)**

**Step 1 – 2:
Download Terms
of Reference**

**Step 3:
Download
application form**

Application - Download Terms of Reference

1) Please go to www.sedexglobal.com



Home About Sedex Member services Ethical audits Resources News and events Joining Sedex Search

What we do	
Members	A members
Sedex Board	AB members
FAQs	B members
Contact us	Auditors
	List of members

2) Please click here for information on the Audit Company Group and application forms

**Option 1:
Independent Auditor**

**Option 2: Audit
Company Group**

**Option 3: Associate
Auditor Group (AAG)**

**Step 1 – 2:
Download Terms
of Reference**

**Step 3:
Download
application form**

Application - Download Application Form

Audit Company Group

As the number of global auditors using the system has increased, other audit companies are interested in improving their 'Sedex experience'. For this reason, we have created another auditor group – 'the Audit Company Group'. Membership of this group gives extra functionality on the system.

Benefits

Members of the Audit Company Group receive the following benefits:

- ▶ permanent log-in facilities to Sedex
- ▶ prepopulated email address on the Sedex system, making it easier for a supplier to select you as their chosen auditor
- ▶ access to B member self assessment data once you have been nominated as an audit partner of that member
- ▶ access to non-compliance and other data relating to audit reports uploaded by your own company
- ▶ central view of your own audit company's audit data

Application for Audit Company Group

[Application details and the Terms of Reference for Non AAG membership, can be found here](#) 📄 (48 KB).

3) Please click here for Audit Company Group application forms and Terms of Reference

★ Please submit all applications to auditing@sedexglobal.com. A member of the Sedex team will be in touch regarding your application.

There is an annual membership fee for this type of membership and this is twice the fee of the AAG.

**Option 1:
Independent Auditor**

**Option 2: Audit
Company Group**

**Option 3: Associate
Auditor Group (AAG)**

As shown previously, suppliers can ask you to upload their audit. They will be able to select your audit company from a pre-populated list as follows:



1) **Supplier:** Click on add a new audit

2) **Supplier:** select audit type and audit company type.

Auditor Identification

Audit Type * Third Party

Is the audit conducted by? * Audit Company Independent Auditor

Audit Company Type * Non AAG Commercial Audit Company

Auditor

AAG – Commercial Audit Company

Non AAG Commercial Audit Company

Additional Information

NGO

Trade Union

Auditor's Qualification



3) **Supplier** will now be able to select your audit company from a pre-populated list.

Option 3

Associate Auditor Group (AAG)

Designed for audit companies who are part of the AAG working group

This account allows you to:

- Have the same functionality as Audit Company Group.
- Involved in AAG work group.
- Limited spaces available.

Cost: Based on turnover - upwards of £300 per year.

**Option 1:
Independent Auditor**

**Option 2: Audit
Company Group**

**Option 3: Associate
Auditor Group (AAG)**

**Step 1 - 2:
Download Terms
of Reference**

**Step 3:
Download
application form**

Application - Download Terms of Reference

1) Please go to www.sedexglobal.com



Home About Sedex Member services Ethical audits Resources News and events Joining Sedex Search

What we do		
Members	A members	supply chains
Sedex Board	AB members	indicated to driving improvements in
FAQs	B members	supply chains
Contact us	Auditors	al supply chain data, Sedex is an
	List of members	olution, helping you to reduce risk,
		chain practices.

2) Please click here for more information on the Associate Auditor Group (AAG) and application forms

**Option 1:
Independent Auditor**

**Option 2: Audit
Company Group**

**Option 3: Associate
Auditor Group (AAG)**

**Step 1 - 2:
Download Terms
of Reference**

**Step 3:
Download
application form**

Application - Download Application Form

The AAG

The AAG is a Sedex working group made up of commercial auditing companies and NGOs that are significantly involved in ethical trade auditing, with active participation from Sedex members. As a working group there is a limit on member numbers.

The purpose of the AAG is to drive convergence in ethical trade/social auditing, based on, and helping to shape, best practice.

[List of AAG members.](#)

Benefits

Members of the AAG receive the following benefits:

- ▶ permanent log-in facilities to Sedex
- ▶ prepopulated email address on the Sedex system, making it easier for a supplier to select you as their chosen auditor
- ▶ access to B member self assessment data once you have been nominated as an audit partner of that member
- ▶ access to non-compliance and other data relating to audit reports uploaded by your own company
- ▶ featured in Sedex communication materials regarding the Associate Auditor Group and ethical trade audits
- ▶ listed on the Sedex website
- ▶ recognised by Sedex members as driving convergence and best practice in auditing

Membership of the AAG does not infer any increased competence of an audit body. Sedex does not certify or accredit auditors/audit companies.

3) Please click here for Associate Auditor Group (AAG) application forms and Terms of Reference

★ Please submit all applications to auditing@sedexglobal.com. Kindly note that spaces are limited. A Sedex member of staff will be in touch regarding your application.

[Application details and the Terms of Reference for AAG membership, can be found here](#) (101 KB).

**Option 1:
Independent Auditor**

**Option 2: Audit
Company Group**

**Option 3: Associate
Auditor Group (AAG)**

As shown previously, suppliers can ask you to upload their audit. They will be able to select your audit company from a pre-populated list as follows:



1) **Supplier:** Click on add a new audit

2) **Supplier:** select audit type and audit company type.

Auditor Identification

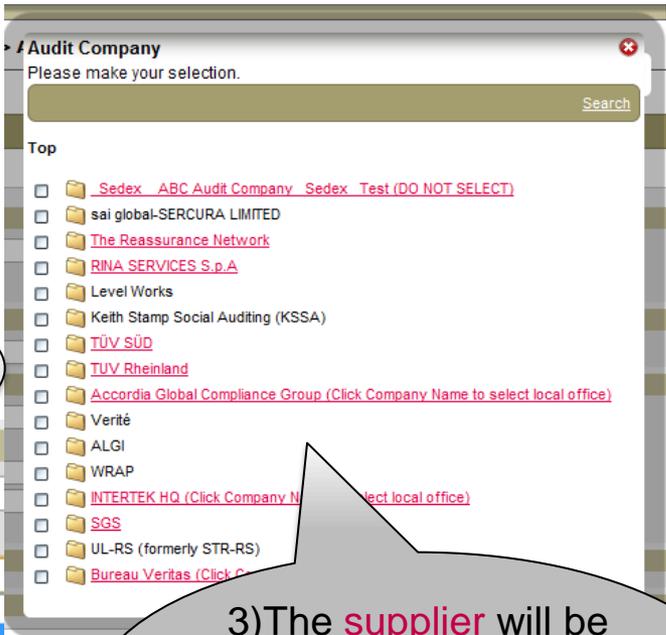
Audit Type * Third Party

Is the audit conducted by? * Audit Company Independent Auditor

Audit Company Type * AAG – Commercial Audit Company

Audit Company * AAG – Commercial Audit Company

Is it a multi stakeholder audit? Non AAG Commercial Audit Company
NGO
Trade Union



3) The **supplier** will be able to select your audit company from a pre-populated list.

Next Steps

Now that you have an account on the system you will need to begin uploading your audits.

For further instructions on 'getting started' with your account please go to **Stage 2: Uploading Ethical Audits**. This document is located in the 'Auditor Guidance' page in the '?' Help section when you are logged onto the system or you can ask the Helpdesk for a copy.

Discover **WIZNESS** My Profile Sedex Web Site Sign Out

Home Audits

John Smith john.preisig@sedexglobal.com

INDEPENDENT AUDITORS > HOME

Frequently Used Items

- Audits**
List the audits you or your company is involved in
- Issues**
List the issues identified during audits
- Corrective Actions**
List the corrective actions taken by sites after your audits

The Sedex Stage

Sedex, the Supplier Ethical Data Exchange, is a membership organisation for businesses committed to continuous improvement of the ethical performance of their supply chains. Companies join Sedex in order to :

- use the Sedex web-based system
- participate in Sedex governance
- participate in working groups
- network and engage with other Sedex members
- utilise Sedex value-added services

Sedex is a not-for-profit organisation based in London, UK, open for membership to any company anywhere in the world. Sedex continues to grow, adding new member companies from around the world, and improving the system and services that we offer. For more information about Sedex, please visit: www.sedexglobal.com

If you need help, please contact the Sedex helpdesk:

UK Helpdesk

- **tel.** +44 (0)20 7902 2320
- **email:** helpdesk@sedexglobal.com
- **Skype:** sedex_london

US / Canada Helpdesk

- **tel.** +1 888 487 6146
- **email:** helpdesk@sedexglobal.com

China Helpdesk

- **tel.** +86 (0)21 6103 1622
- **email:** helpdeskchina@sedexglobal.com
- **Skype:** sedex_china