

Introducing our new process for carrying forward non-compliances in Sedex Advance

Frequently Asked Questions

What is the new process for carrying forward non-compliances in Sedex Advance?

We have created a new process for carrying forward non-compliances to support members and auditors handling open non-compliances in audit reports on Sedex Advance. This process will come into effect on 22 May 2019.

What are the benefits of the new process?

The process will:

- a) Carry open non-compliances forward from existing audits to new periodic audits (a period audit is a full audit used to monitor sites on an ongoing basis)
- b) Help auditors avoid duplicating the same issues across multiple audits. This means that any open non-compliances on Sedex Advance are a real time reflection of the current situation on site. This will enable customers to identify recurring or systemic issues more easily
- c) Close redundant open non-compliances from Sedex Advance.

What are the main changes I will see when Sedex introduce the new process for carrying forward non-compliances in Sedex Advance?

Sedex will run a one-off closure of historical open non-compliances on published audits, which predate the last full published audit. These open non-compliances will automatically close and the status will change to *Closed* and *Superseded* by ZAA code of the last full published audit.

Only open non-compliances from the last published full audit (periodic audit) and subsequent follow-up audits will carry forward to the periodic audit.

Will the new process carry over open non-compliances on audits with any status?

Only open non-compliances on *published* audits will carry over to periodic audits. Open non-compliances on audits with the *accepted* status **will not** carry over to the next periodic audits. Suppliers are responsible for publishing audits after they are uploaded to the Sedex platform by the audit body. Audits become visible to the supplier's customers only once published.

How will the new process continually address open non-compliances?

Once we introduce the new process for carrying forward non-compliances, all open non-compliances from the last *published full audit* and any subsequent *published follow-up audits* will carry forward to a new periodic audit. The auditor can then address the validity of the open non-compliance.

The process will result in one of two scenarios:

- a) The status of non-compliances that carry forward will remain same in their respective parent audit unless it is closed on the Periodic Audit. Then, the status of the non-compliance will change to *closed* and *verified by new audit*.

- b) Non-compliances that carry forward to the first periodic audit and remain open after the audit is published, upon initiation of the second periodic audit, the non-compliances status in their respective parent audits will change to *closed* and *superseded* by ZAA code of the second periodic audit. This will avoid historic non-compliances remaining open on the Sedex platform when the site has been subsequently audited and the issue was not raised.