

# Description of the BRCGS ETRS risk assessment procedure



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If you should require any further information then please do not hesitate to contact us. We will be please to help you.

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## Description of the BRCGS ETRS risk assessment procedure



The ***BRCGS Global Standard for Ethical Trade and Responsible Sourcing Risk Assessment*** (hereafter referred to as the BRCGS ETRS RA) is an assessment of the social performance of the audited site.

The risk assessment provides a “check up” of the site’s ethical trade and responsible sourcing performance by checking five “Vital Signs” and evaluating indicators that determine the situation of the workers at the workplace, including:

- senior management is committed to the principles,
- workers are treated fairly and with respect,
- they have a safe and healthy working environment,
- their human rights and freedoms are respected,
- the business they work for behaves with integrity.

Sites can use it to improve their ETRS performance if they have never had an ethical audit. Buyers who want to screen new suppliers or small businesses can also use it where a full ethical audit is not viable. The risk assessment may be conducted as a bolt-on to other BRCGS Standards (like Food Safety or Consumer Products) or a stand-alone audit. It must not last more than four hours. The report language is English.

The auditors are selected by the Head of the Certification Body of TÜV NORD CERT GmbH in accordance with their approvals for the particular industry/service sector and their qualification.

### 1 RISK ASSESSMENT PROCEDURE

The following description is based on the requirements of the latest version of the document: “*BRCGS Ethical Trade and Responsible Sourcing – Risk Assessment and Guidance*”.

The risk assessment procedure consists of:

- offer and contract phase,
- assessment preparation,
- risk assessment onsite and announced,
- issue of a risk assessment report and a copy of the risk assessment checklist.

#### 1.1 Risk assessment preparation

If the risk assessment is a bolt-on, TÜV NORD must be notified in advance, to ensure that an additional four hours can be added to the schedule for delivery of the main audit. If it is stand-alone, the site and TÜV NORD sign a separate contract.

After concluding a contractual agreement with the customer, the site starts with the site preparation.

To effectively plan and prepare for the risk assessment, TÜV NORD will request the following information from the site:

- the background to the site,
- a plan showing all building infrastructure,
- the management organizational chart, showing senior management responsibilities related to ETRS.

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## 1.2 Risk assessment

The risk assessment takes place on-site on a mutually agreed date.

During the assessment, TÜV Nord will collect and evaluate evidences, which may be:

- visual (from the site tour)
- documentary (from the written information reviewed) or
- verbal (gathered from informal conversation with workers and management)

At the closing meeting, the auditor will provide feedback to the site and highlight, if applicable, the areas of elevated risk and improvement.

A copy of the risk assessment checklist will also be provided. The checklist has a built-in and weighted scoring system that automatically generates the percentage score per Vital and the overall star rating at the end of the process. To avoid mathematical bias, each Vital has the same maximum score of 20%.

## 1.3 Award of the risk assessment report and risk assessment checklist

TÜV NORD will upload the results of the risk assessment and the report to the BRCGS Directory (not public) for the site (the owner) to review. The site may allocate access to the report to their stakeholders. The report will include:

- the outcome of the risk assessment, expressed as a 1-5 star rating,
- a summarized version of the site details,
- a PDF of the checklist, including the percentage scores per Vital and the star rating.

## 2 SURVEILLANCE AUDIT

Not applicable

## 3 EXTENSION OF SCOPE AUDIT

Not applicable

### 3.1 Short Notice Audits

Not applicable

## 4 TRANSFER OF CERTIFICATION FROM OTHER CERTIFICATION BODIES

Not applicable

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### **5 CERTIFICATION OF COMPANIES WITH MULTIPLE LOCATIONS (MULTI-SITE)**

The assessment scope is site-specific.

### **6 MANAGEMENT OF NON-CONFORMITIES**

There is no requirement for the site to provide evidence of corrective actions following the risk assessment. Areas of improvement will be outlined at the end of the risk assessment.