

Asda Supply-Chain Security Self-Assessment Questionnaire – Frequently Asked Questions

Please find below some common queries and responses in relation to the Asda SCS programme. If your question is not answered by this information, please email SCSASDA@asda.co.uk for further guidance.

Who needs to complete a Supply-Chain Security S.A.Q?

The programme applies to all instances where Asda/IPL will be the importer of record (any non-DDP incoterm) and where the transit route does not begin and end in Great Britain. Any contracted supplier to us meeting these conditions will need to complete the S.A.Q.

My company has an AEOS / C-TPAT accreditation, do I need to complete the S.A.Q?

You will need to complete an initial S.A.Q so that we have evidence of Your Company processes. Following this, you will be exempt for the duration of your accreditation.

My site has a SCAN audit, do I need to do the S.A.Q?

Yes, SCAN audits are not an accepted exemption to the Asda SCS programme. However, you can use your audit report to support your responses.

Are there any exemptions to having to complete the S.A.Q?

After you have completed an initial S.A.Q., an exemption exists for suppliers who hold any of the following:

- AEO UK - AEOS or AEOF accreditations only
- C-TPAT accreditation
- AEOS or AEOF accreditation in a country which has a MRA (Mutual Recognition Agreement) with the UK AEO programme

I have completed the Responsible Sourcing SEDEX S.A.Q; do I still need to complete the Supply-Chain Security S.A.Q?

Yes. Responsible Sourcing is a separate programme with a different scope and focus to Supply-Chain Security. Any questions relating to the SEDEX S.A.Q. should be directed to Responsiblesourcingqueries@asda.co.uk.

Do I need to complete 1 S.A.Q. per factory?

No; the S.A.Q. is per supplier. Once passed, it will approve all facilities within your supply-chain to us.

Is the S.A.Q. required in order to onboard a new factory?

No; the S.A.Q. is per supplier. Once passed, it will approve all facilities within your supply-chain to us, both current and future.

How should I approach the questions?

The S.A.Q. should be completed in terms of Your Company site(s) however, note that it relates to all activity carried out under your contracted part of the supply-chain – i.e., up until the point Asda takes over the transport.

Therefore, you should answer the questions with respect to whether you carry the specified activity out at your own sites(s) – in which case you would fully answer the question – or whether the specified activity takes place in your supply-chain but is outsourced to someone else (3rd party).

Where a 3rd party carries out the activity, this is where you can answer N/A with the comment that a 3rd party does it. For all of the activity types there is a question that relates to measures you have in place for your 3rd parties – this is where we check the security measures for the questions you have marked as 'N/A – 3rd party'.

As our contract is with Your Company, we would expect you to have reasonable measures for separate parties you work with for example, due-diligence checks or wording in contracts around security responsibilities. Evidence requested to be provided should be in the form of Your Company policies, procedures, standard T&Cs etc.

If my business is only a sales or design office, should all the question responses be N/A?

No. Several sections such as Personnel Security, Information Security and Premises/Access Security, apply to any trade premises. It is expected that your office premises will hold/handle the order information for Asda and will be where your

computer systems are situated. The information relating to our orders and the physical systems they are held on also need to be protected from unauthorised access/tampering. Therefore, we would expect some form of security measures for your office.

The international supply-chain security is from the point of an order being raised to the point of dispatch/delivery and incorporates any premises these steps take place at. You will also need to provide details of the measures you have in place for your 3rd parties carrying out the loading/shipping.

Am I answering the S.A.Q. questions on behalf of the manufacturing factories?

No. You are providing the responses in relation to Your Company, while taking into account all activity carried out under your contracted part of the supply-chain – i.e., up until the point Asda takes over the transport. Therefore, you should consider whether activities are at your own sites or outsourced by Your Company to 3rd parties and what measures Your Company has in place to mitigate these risks.

Refer to accompanying FAQ sections for further guidance on how questions should be answered.

Which response should I choose?

The responses Yes/ No/ NA are available and will be interpreted as follows:

- **‘Yes’** – Yes, your company site(s) has this type of activity and yes, it has the required controls
- **‘No’** - Yes, your company site(s) has this type of activity but no, it does not have the required controls
- **‘N/A’** with comment: **‘Carried out by 3rd parties’** – No, your company site(s) does not have this activity but yes, it is carried out by your 3rd parties (factory partners) and will be covered by the question which specifically asks about your 3rd party measures
- **‘N/A’** with comment: **‘This does not take place in our supply chain’** – No your company site(s) does not have this activity and it is not carried out by any of your 3rd parties either

What type of evidence should I provide?

Where questions request evidence, this should be provided in the form of Your Company policies, procedures, standard T&Cs etc. that relate to you as our contracted supplier.

What evidence is needed for the specific 3rd party activity questions – do I need to collect policies and procedures from all the factories?

The 3rd party measures questions require you to detail what controls and measures you have in place to ensure that the 3rd parties you work with to fulfil Asda orders have appropriate standards for the given activity. As our contracted supplier, we would expect you to have reasonable measures for separate parties you work with. To evidence this you will need to provide copies of Your Company contracts, T&Cs, or due-diligence procedures etc. You do not need to provide details or copies of factory processes etc. – the overall S.A.Q. is for Your Company.

My company has several owned sites and there are local variations in the policies, do I need to provide copies of all of them?

No. Providing that all of your sites meet the requirements set out in the question notes, you may explain this and provide the document(s) for one site as an example.

Can I change the responses I have given after submission?

No; responses are unable to be changed. Please check responses carefully before submitting and ensure evidence is attached where requested.

Why hasn't my submitted S.A.Q. been reviewed yet?

The auditors should review a submitted S.A.Q. within 10 working days, providing their invoice has been paid. If the invoice has not been paid, then this will lead to delays in an auditor reviewing your S.A.Q. If you have paid the invoice and have concerns about a delay, then please contact the Asda SCS team using the email address provided at the top of this document.

Do I need to successfully pass every question?

No. You do not need to pass every question, but you do need to pass a significant number in order to be awarded a passing score. If you receive a passing score overall but have failed any critical questions, then you will be required to remediate these questions.

What if I fail the S.A.Q?

If you fail the S.A.Q. then you will be required to re-take it until you pass, if you wish to supply Asda on any incoterm other than DDP. There will be an auditor review charge per S.A.Q. completed.

How often will I need to complete the S.A.Q.?

The re-assessment period is based on risk and will take into account your most recent S.A.Q. score and the number of sites/factories in your part of the supply-chain. This will result in a re-assessment period of either 1 year, 2 years or 3 years. Further detail can be found in the [Supplier Overview Pack](#).

If the approval is at supplier-level, do I still need to disclose my factories for SCS purposes?

Yes. The number of owned and 3rd party sites you have in your supply-chain contributes to your risk profile. This affects your re-assessment period for the S.A.Q. and determines whether any sample audits are needed. You will need to list these sites on your Authenticate profile and keep this information up to date. Instructions on how to do this can be found in the [Authenticate User Guide](#).

Do my factories need physical audits?

The S.A.Q. has largely replaced physical audits. Suppliers with ≤10 sites (owned and 3rd party combined) will not receive any mandatory audits. Suppliers with a greater number of sites will be audited at a sample number of those sites. Detail on the number of audits to expect can be found in the [Supply Chain Security Risk Matrix](#). Audit sites will be selected by Asda; you do not need to do anything unless you are contacted by Asda in this regard.

I cannot log in to Authenticate, or am having technical issues with completing a task in the system, who can help?

In the event of a technical issue requiring support, please email enquiries@authenticateis.zendesk.com in the first instance.

There is an ESG Assessment available on Authenticate – do I need to complete this?

The ESG (Environment, Social and Governance) assessment tool is a separate service provided to suppliers by Authenticate. You may use this service if you wish but it is not related to Asda and is not required in order to supply to us. The SCS S.A.Q. is an Asda assessment which will be assigned to you in Authenticate for you to complete, co-ordinated by our audit partner Intertek.