



Responsible Business Alliance

Advancing Sustainability Globally

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# RBA's Risk-Based SAQ



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# Risk SAQ vs Traditional SAQ

Risk SAQ	Traditional SAQ
79 Facility-specific Risk Questions. Up to 48 conditional Control/Management Systems questions.	300-400 Questions, depending on factory-specific conditions (example: dormitories onsite) .
New scoring model combines inherent risk indicators (country governance, product risk, etc.) with factory specific responses.	Risk rating determined exclusively by factory responses.
The risk scores can be improved with by providing documented evidence of control mechanisms.	Self-reported risk is often viewed with low confidence from customers and stakeholders.
All questions weighted equally	Questions weighting may vary from 1-10
Risk rating can be further improved by utilizing our optional verification process	Not designed to be verified remotely.



# Navigation

Responsible Business Alliance | Un-impersonate | RBA-Online | Help | Language | Dana Battistello | Impersonating Supplier Two Sites at Supplier Test Two

**RBA-STAGE: BUILD 29291 WITH PRODUCTION BACKUP AT 20220123T180001EST** Posted on 01/24/2022 03:19 EDT(-04:00) [Show More](#)

Show 10 | Columns | Export | Export All | search... | Advanced | Clear | Copy URL

Facility Name	Facility ID	Country or Region	SAQ Version	Status	Last Modification Date	% of Completion	Risk Rating	Score	Control Score	RBA Validated Score	Options
Fab 3	G-FA-10004288	United States	Facility Risk SAQ-January 2022	Unreleased							Options
Fab 3	G-FA-10004288	United States	Facility Risk SAQ-July 2021	Archived							View Edit
Fab 4	G-FA-10004289	China	Facility Risk SAQ-January 2022	Unreleased							Options

**Risk SAQs** | My Facility Responsible Labor SAQs | My Facility Risk SAQs

The new Risk-Based SAQs and the Responsible Labor SAQ can be located for each company to complete under the Risk SAQs menu item.

Choose Options > Edit to begin the Risk SAQ process.



# Step 1: Scoring and Methodology

## Scoring elements include:

- Product Risks
- Country Governance Scores
- Inherent Geographic Risks
- Factory Responses to the questionnaire

## Step 1

Factory Specific Questions  
+ Inherent Risk Indicators

*Initial Score Given*

Element		Weight	
Product Risks		10.0%	} 30 %
Country Governance		20.0%	
<b>Inherent Geographic Risk-Specific Indicators</b>			
Labor		5.0%	} 20 %
Health & Safety		5.0%	
Environmental		5.0%	
Ethics		5.0%	
<b>Factory Responses</b>			
Labor		12.5%	} 50 %
Health & Safety		12.5%	
Environmental		12.5%	
Ethics		12.5%	
<b>Total</b>		<b>100%</b>	



# Step 1: Risk Questions

Score Card **Risk Questions** Control Questions

Facility Risk SAQ-July 2021 (100%)

Facility Info (100%) Labor (100%) Environmental (100%) Health and Safety (100%) **Ethics (100%)**

ET1 - Does your facility have any links to senior officials in the local or national government, or in regulatory bodies that are relevant for your business? Examples of links are shareholder interests, close family relationships, significant business relationships with officials or companies they control.

Yes

ET2 - Has your facility been investigated by relevant authorities for an ethics violations such as bribery, embezzlement or tax evasion, over the last two years?

No

ET3 - Has your facility been subject to any legal proceedings over the past two years associated with alleged infringements of other parties' intellectual property rights?

No

ET4 - Has your facility been investigated by relevant authorities for unfair competitive practices, or similar, over the last two years?

No

ET5 - Has your facility been investigated by relevant authorities for misleading advertising, or similar, over the last two years?

No

ET6 - Do you encrypt all the personal information that you store, of suppliers, customers, consumers and employees?

Yes

ET7 - Do you share any of the personal information that you store, of suppliers, customers, consumers and employees, with third parties?

Yes

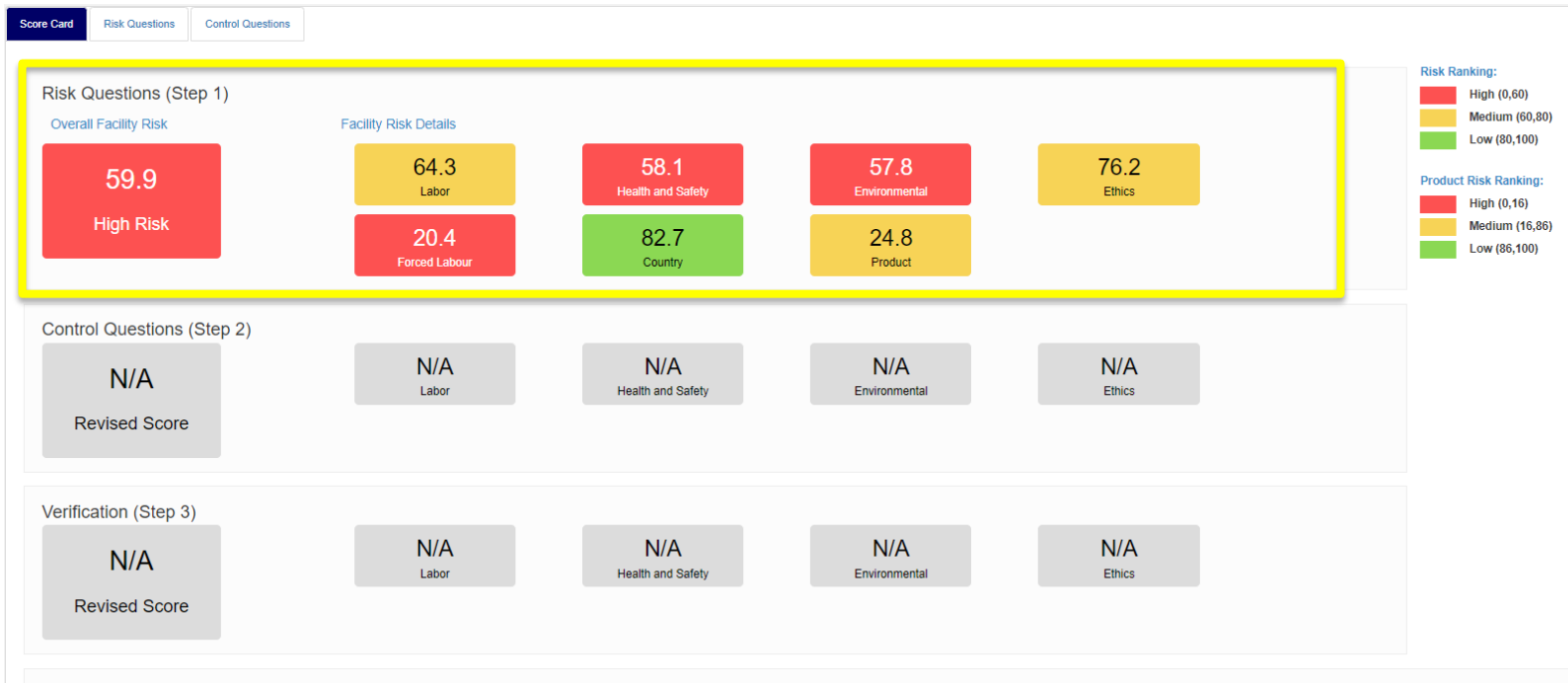
ET8 - Do you keep full written records of every sale, purchase, payment made and payment received by your facility, which has an equivalent value of US\$100 or greater?

< + Upload from Excel Download to Excel Save **Release**

Once all questions have been answered, facility releases questionnaire for scoring.



# Step 1: Scorecard





## Step 2: Scoring and Methodology

Provides an opportunity for the factory to identify the controls that are put into place (policy / procedure / mechanism etc.) in order to manage and mitigate the risks at the site.

- Completion of Step 2 is fully optional, if factory is satisfied with risk rating from Step 1.
- Provides up to a 10-point improvement on the risk score received at Step 1

**Step 2**  
Applicable Control  
Questions

*Recalculated Score Given*

Section	# of Questions
Labor	25
Health and Safety	7
Environment	5
Ethics	6
Common (applicable to all sections)	5





# Step 2: Evidence of Controls

Score Card Risk Questions **Control Questions**

Facility Risk SAQ-January 2022 (66%)

Labor (70%) Environmental (100%) Health and Safety (46%) Ethics (50%)

LC1 - Does your facility hold any voluntary certifications for labour standards? For example, SA 8000, RBA VAP or Factory of Choice, or equivalent or similar?

Yes

LC1-a - Electronic copy of certifications

Drop file here to upload

Capture PNG

LC2 - Does your facility have a written policy on the prevention of forced labour?

Yes

LC2-a - Electronic copy of policy document

Drop file here to upload

Freedom Index Ratings.csv

LC3 - Does your facility have a written policy on No fees?

Upload from Excel Download to Excel Save **Release**

Once all control questions are answered and supporting documentation (i.e., evidence) uploaded, the facility releases the Risk SAQ for updated scoring.



# Step 2: Scorecard





## Step 3: Scoring and Methodology

When a site has provided evidence through the Control Question process, they may choose to have the RBA Verify the evidence in the SAQ.

- Completion of Step 3 provides up to a 10-point improvement on risk score from Step 2
- There is a small fee for the service (\$150 for Member sites, \$250 for supplier sites)
- Target turnaround time for verification is 7 days, if no additional information is requested from the reviewer.



*Final Score Given and  
Verification Indicated*



# Step 3: Scoring and Methodology

Score Card Risk Questions **Control Questions**

Facility Risk SAQ-January 2022 (100%)

Labor (100%) Environmental (100%) Health and Safety (100%) Ethics (100%)

LC1 - Does your facility hold any voluntary certifications for labour standards? For example, SA 8000, RBA VAP or Factory of Choice, or equivalent or similar?

Yes

LC1-a - Electronic copy of certifications

Drop file here to upload

Capture PNG

LC2 - Does your facility have a written policy on the prevention of forced labour?

Yes

LC2-a - Electronic copy of policy document

Drop file here to upload

Capture PNG

LC3 - Does your facility have a written policy on No fees?

Yes

Request Verification Upload from Excel Download to Excel Save

After Control Questions are Released, the facility has the option to Request Verification.



## Step 3: Verification Scoring

### Reviewer's rating options:

- **“Yes”** – Evidence fully address the control questions, and meets the standard outline in the RBA code of Conduct
  - Completely covers all elements listed in the control question
  - Sufficient details provided
  - Facility will be awarded bonus score
- **“Partial”** – Evidence partially address the control question
  - Covers some elements of the control question
  - Partial detail / no detail provided
  - Facility keeps their additional SAQ score
- **“No”** – Evidence not uploaded, or does not address the control question at all
  - Additional score to respond to SAQ control questions will be removed



# Step 3: Scorecard





# Responsible Labor SAQ

A separate stand-alone Responsible Labor SAQ is also available, which was modeled after the same methodology of the full Risk SAQ

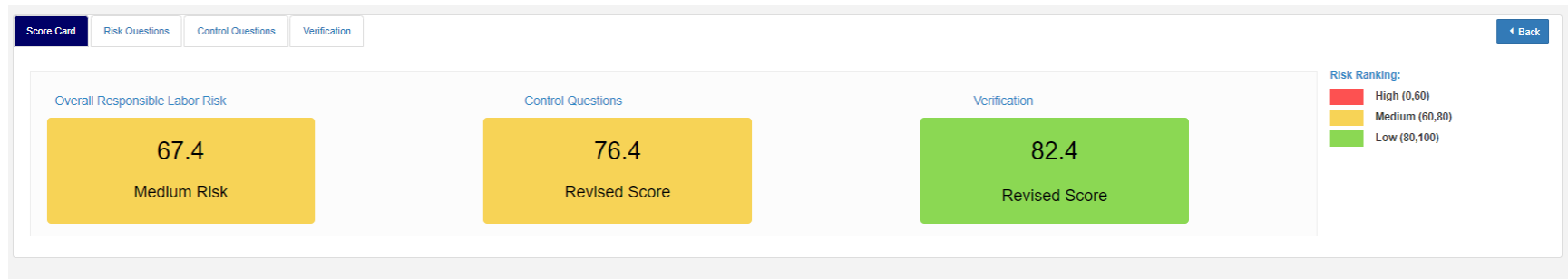
- 10 Inherent Risk indicators
- 12 facility-specific risk questions
- 8 Control Questions

Worker Origin deductions also included in score

- Based on Human Freedom Index
- Source Countries dividend into risk quadrants
- Point deduction taken for each high-risk country workers are sourced from
- Domestic migrant workers may also have additional point deductions by Region



# Responsible Labor SAQ – Scorecard



Just as with the Risk SAQ, the facility receives a revised score after completion of each step.





# Sharing your SAQ with Customers: Start to finish

- 1) Register your company with RBA-Online  
[Guidance Document](#)
- 2) Complete the Subscription Process ([Guidance Document](#))
  - \$250/yr for each factory registration
  - Bank Wire / ACH Payments to 5-7 days to process
- 3) Add a Facility to your account  
[Guidance Document](#)
- 4) Create a Trading Relationship with your Customers  
[Guidance Document](#)
- 5) Complete and Release your Facility SAQ  
[Guidance Document](#)





# RBA-Online Support

Email Support:

[HelpDesk@ResponsibleBusiness.org](mailto:HelpDesk@ResponsibleBusiness.org)

Live Operator (US time Zone):

571-858-5720

Complete Guidance Document Site:

<https://www.g360link.com/rba-online.htm>