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|  | SAAS SA8000:2014 Transition Checklist #5 – Procedure 201A:2015 and ISO17021-1:2015 |

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| --- | --- |
| **CB Name** | Add CB Name |
| **CB SAAS Number** | Add CB SAAS # |
| **CB Head Office Address** | Add CB Head Office Address |
| **CB Contact Name** | Add CB Contact Name |
| **SAAS Reviewer** | Add SAAS Checklist Reviewer Name |
| **Review Date** | Add SAAS Review Date |

To ensure a speedy review of SAAS Accredited Certification Body’s compliance with the criteria to perform SA8000:2014 Certification Audits, SAAS has produced a series of checklists to enable a complete submission of documentation to be made by the CB. These checklists are as follows:

#0 – SA8000:2014 Transition Plan Checklist

#1 – Notifications 4A, 4B & 4C Checklist

#2 - Procedure 200:2015 Checklist

#3 - Procedure 200A:2015 Checklist

#4 –Procedure 201B:2015 Checklist

#5 – Procedure 201A:2015 and ISO17021-1:2015 Checklist (this checklist)

These checklists are available for download from the SAAS website at: <http://www.saasaccreditation.org/document-library>

Instructions for CB. In the checklist below please provide details such as procedure or other documentation reference number in the column “

Dear CB

Please complete the following checklist by completing the second column number **ONLY** *[“Where compliance can be found in CB Management System”*. Please provide the cross-reference as to where the relevant section of ISO 17021-1:2015 is addressed in your documented management system. When completed please email the checklist to [lbernstein@saasaccreditation.org](mailto:lbernstein@saasaccreditation.org).

#5 CHECKLIST

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| Note that the items within orange highlighted rows are the additional requirements to ISO17021-1:2015 of SAAS Procedure 201A. |

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| **ISO17021-1:2015 Requirement [Including SAAS Procedure 200 and 201A Requirements]** | **Where compliance can be found in CB Management System** | **SAAS Verified Compliance** | **SAAS Comments** |
| *1.1 In general, SAAS Accreditation is granted on a country-by-country basis. A CB shall demonstrate to SAAS that it is competent to operate in a particular country. Applicants for initial accreditation may apply for scope as follows, based on the SAAS country risk assessment:*   1. *Lower Risk Countries: accreditation may be granted to conduct SA8000 audits and issue certificates in all countries within this category.* 2. *High Risk and Highest Risk Countries: accreditation may be granted to conduct SA8000 audits and issue certificates on an individual country by country basis.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *4.9 In common with the organisations that they audit, each accredited CB is encouraged to support the concepts of a social accountability system and to comply with the requirements of SA8000:2014 in the operation of its business.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 5.1.1 Legal entity. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 5.1.2 Certification agreement. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 5.1.3 Responsibility for certification decisions. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 5.2.1 Conformity assessment activities shall be impartial. CB shall be responsible and not allow commercial, financial or other pressures. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 5.2.2 Top management commitment to impartiality. Policy on impartiality. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 5.2.3 Impartiality analysis and top management review of residual risk to determine acceptable level of risk. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 5.2.4 Not certifying another CB for its quality management systems. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 5.2.5 No management systems consultancy. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 5.2.6 No internal audits of certified clients. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 5.2.7 Not certifying a client when the CB’s relationship with a management systems consultancy for a minimum of two years. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 5.2.7.1 In order to avoid conflict of interest, CBs whose related bodies have provided SA8000 or similar human resources management system consulting services within the prior three years to a particular organisation SHALL not contract as a certification body for that organisation or any of its sites. This restriction includes related bodies of the same parent company or affiliates, where the validity or reliability of an audit can be questioned because of a consulting relationship.  *Note: Consulting is the provision of documentation development or assistance with implementation of management systems to a specific organisation. Training in a public forum is not considered consulting nor is an introductory session such as a 1-day awareness program at the Client’s location. Arranging training and participating as a trainer is not considered consultancy, provided that, where the course relates to management systems or auditing, it is confined to the provision of generic information that is freely available in the public domain. [See also ISO/IEC 17021-1:2015 5.2 Management of impartiality Clause 5.2.7 & 5.2.8].* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 5.2.8 Not outsourcing audits to a management system consultancy organization. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 5.2.9 No CB marketing linked to management systems consultancy. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 5.2.10 Ensuring no conflict of interest of personnel. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 5.2.11 Response to any threats to impartiality. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *5.2.11.1 – All CBs SHALL have a documented procedure that addresses anti-bribery and corruption in countries where the CBs are accredited to deliver SA8000 Certification.*   1. *This documented procedure SHALL describe how it attempts to detect bribery and corruption between the CB, staff, auditors, technical experts and committees, and its clients.* 2. *The detection process SHALL be based upon a documented risk assessment performed for each country where it performs SA8000 Certification activities. At a minimum, the CB SHALL:* 3. *Have a developed principle based zero tolerance anti-corruption and anti-bribery policy. The policy SHALL include statutes covering whistleblowers, protecting such whistleblowers from retaliation.* 4. *Have a policy that includes specific steps to report, investigate and address situations of attempted bribery.* 5. *Have a reporting system with contact information for stakeholders to use.* 6. *Require auditor and employee acknowledgement and ongoing and continuing training on the subject, policy, process and required actions.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 5.2.12 Personnel, internal and external, and committees shall act impartially. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 5.2.13 Requiring personnel, internal and external, to reveal any potential conflict of interest. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *5.2.14 – The CB SHALL have a documented procedure that describes its annual risk analysis of issues that might affect its impartiality for every country in which it performs SA8000 certification. This analysis SHALL be presented at an annual meeting of the Committee for Safeguarding Impartiality for debate and agreement.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *5.2.15 – The impartiality committee SHALL contain individuals with demonstrable experience related to social accountability issues in the regions where the CB delivers SA8000 certification.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 5.3.1 Risk and liability analysis. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 5.3.2 Evaluation of finances and sources of income for threats to impartiality, and review by the impartiality committee. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *5.3.3 – The CB SHALL present evidence of the appropriate level of professional indemnity and third party liability insurance to the SAAS auditor at each head office audit. The CB SHALL also inform the SAAS auditor about its coverage of individual contract auditors and subcontractors: either the contract auditors and subcontractors are covered by the CB’s insurance or they have to carry their own insurance. If contract auditors and subcontractors are required to carry their own insurance, the CB SHALL demonstrate how it ensures that the insurance is kept up-to-date.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 6.1.1 Organizational structure documented, including duties, responsibilities and authorities for personnel and committees, and relationships to any other parts of the organization. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 6.1.2 Structured and managed to safeguard impartiality. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 6.1.3 Top management authority and responsibility. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 6.1.4 Formal rules for committees. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *6.1.5 – The CB SHALL have a documented procedure that describes how it disseminates changes in SAAS requirements to its regional offices, contract auditors and subcontracted offices. This procedure shall also describe how it overcomes language communication barriers.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 6.2.1 CB shall have a process for the effective control of certification activities. CB shall consider the risk that these activities. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 6.2.2 CB shall consider the appropriate level and method of control of activities undertaken. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *6.2.3 – The CB SHALL perform annual individual risk assessments for each country where it delivers SA8000 Certification.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *6.2.4 – The CB SHALL not offer SA8000 certification in countries that meet the following criteria:*     1. *When applicable, as defined at* [*http://www.saasaccreditation.org/*](http://www.saasaccreditation.org/)*accreditation-requirements and* 2. *Any country to which the CB Senior Auditors [as defined in 1.22.5 above] are not prepared to travel. The CB SHALL maintain a list of such countries.* 3. *Any country to which SAAS accreditation auditors are not prepared to travel. Any such circumstances will be listed at* [*http://www.saasaccreditation.org/*](http://www.saasaccreditation.org/)*accreditation-requirements* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 7.1.1 Processes for determining and demonstrating competence of all personnel involved in certification. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *7.1.1.1 Using its own internal processes and records (and with reference to the requirements of SAAS Procedure 201B, where applicable), the CB SHALL demonstrate that all personnel whose work may impact the SA8000 Certification Program are competent. This includes:*   1. *Advisory Committee Members* 2. *Impartiality Committee Members* 3. *Management Staff* 4. *Audit Staff* 5. *Subject Matter/Technical Specialists* 6. *Administrative Staff* 7. *Outsourced partner organisations and individuals* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 7.1.2 Documented process for determining competence criteria. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 7.1.3 Documented processes for the initial evaluation and ongoing monitoring of competence and performance. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 7.1.4 Access to necessary technical expertise. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 7.2.1 Competence of personnel managing audit programs. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 7.2.2 Access to sufficient auditors and technical experts | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *7.2.2.1 Only appropriately qualified and competent individuals SHALL participate in SA8000 audits (as described in SAAS Procedure 201B).* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 7.2.3 Informing each person of their duties, responsibilities and authorities. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 7.2.4 Defined processes for selecting, training, authorizing and monitoring of auditors, and selection of experts, including the observation of an on-site audit for initial competence evaluation. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 7.2.5 Documented processes for achieving and demonstrating effective auditing, including the use of auditors with generic auditing knowledge and skills and knowledge and skills for auditing in specific technical areas. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 7.2.6 Ensuring auditors/experts familiar with processes and requirements and access to up-to-date documented procedures and instructions. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 7.2.7 Identification of training needs, provision of training and use of auditors/experts and other personnel with demonstrated competence. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 7.2.8 Certification decisions by personnel who understand standard and certification requirements and have demonstrated competence to evaluate the outcomes of audit processes. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *7.2.8.1 Those making the certification decision, as defined in SAAS Procedure 201B, SHALL be able to demonstrate how they come to the certification decision if there are language communication barriers between the decision-maker and the language the audit report and audit path notes are written.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 7.2.9-7.2.11 Documented procedures for monitoring and measurement of performance and competence of personnel involved in audit and certification activities, including on-site observation. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *7.2.11.1 The CB SHALL observe each of its auditors performing an SA8000 audit on-site at least once every 24 months. Witnessed audits by SAAS shall not satisfy this requirement. Such observations SHALL be conducted by Senior Lead Auditors, as identified in SAAS Procedure 201B.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 7.3 Written agreement for external auditors/experts. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *7.3.1 Contracts with individual auditors and external technical experts SHALL be reviewed and renewed annually. Such contracts SHALL include the following information:*   1. *Whether the auditor shall work on an exclusive basis for the CB.* 2. *Whether the auditor is required to carry their own insurance.* 3. *That the auditor shall not use their own business cards or other personal documents during an SA8000 audit but only that of the accredited CB.* 4. *That the auditor SHALL NOT offer any other services to any CB Client that he or she has audited within a 3-year period of the last audit to that CB Client.* 5. *That the auditor SHALL attend experience exchange training at least once a year. Failure to attend two sequential training sessions SHALL result in the cancellation of the contract.* 6. *That the auditor shall maintain CPE/CPD records as required by SAAS – see Procedure 201B.* 7. *That the auditor shall maintain an audit log for the work they do for the CB.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 7.4 Up-to-date personnel records. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *7.4.1 All personnel training and audit records for any country in which the CB operates SHALL be available to the SAAS Auditor at the time of the CB Annual Head Office Audit.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 7.5.1 Process and legally enforceable arrangements for outsourcing. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *7.5.1.1 All outsourced activities SHALL require a legally enforceable service agreement between the accredited Certification Body and the subcontracted organisation outlining the roles and responsibilities of each party.*   1. *The accredited CB SHALL assess any threats to impartiality that may arise as the result of a subcontracting relationship and make such records available for review by SAAS.* 2. *Contracts with partner (subcontracted) organisations SHALL be subject to an annual review and SHALL include relevant KPIs against which the performance of the partner can be monitored (e.g. quality of reports, tardiness of reporting). These KPIs SHALL be reviewed by the CB at the time of management review.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *7.5.1.2 The CB SHALL not outsource audits to a management system consultancy or training organisation, as this poses an unacceptable threat to the impartiality of the CB.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *7.5.1.3 CBs SHALL not outsource their SA8000 audit activity in highest risk countries.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *7.5.1.4 CBs SHALL not use or outsource services of a subcontracted body that was formerly accredited by SAAS and whose accreditation was reduced or withdrawn by SAAS and/or was unable to achieve accreditation through the SAAS accreditation application process.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *7.5.1.5 CBs SHALL not permit a subcontract organisation to further subcontract the required services to any organisation or individual. This requirement SHALL be clearly stated in the contract between the CB and the subcontractor.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *7.5.1.6 All SA8000 auditors who perform SA8000 audits SHALL present themselves as representatives of the SAAS-accredited CB that has the authority to issue the SA8000 certificate.*   1. *Individual contract auditors and/or subcontracted auditing company representatives that perform SA8000 audits or audit related activities SHALL present themselves only as a representative of the SAAS accredited CB.* 2. *All forms of identification, such as business cards or marketing materials, SHALL only reference the SAAS-accredited CB.* 3. *Any additional contact information provided to the SA8000 client, worker representatives or employees SHALL include the full contact details of the local representative (whether directly employed by a CB or working through a subcontract agreement) and the SAAS-accredited CB’s head office. That contact information SHALL include:*    * *The accredited CB's name and logo*    * *Contact information of the SAAS-accredited head office*    * *Name and contact information of the local representative* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *7.5.1.7 All CB auditors SHALL only utilize audit reports, stationery, and any other documentation that contains the SAAS-accredited CBs name and logo. No other audit reports, stationery or any other documents of the individual subcontractor or subcontracted organisation SHALL be used.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *7.5.1.8 The certification body SHALL issue the SA8000 certificate to the client directly with its logo as well as the SAAS mark.*   1. *Only a SAAS-accredited CB’s logo may appear on an SA8000 certificate.* 2. *In the interest of transparency, when used, subcontractors’ details SHALL appear on the SA8000 certificate, displaying the name of the subcontracted organisation which carried out the audit.* 3. *An individual contractor or the subcontracted organisation’s logo is prohibited from being displayed on any SA8000 certificate.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *7.5.1.9 All SAAS-accredited CBs SHALL ensure that their auditors, including subcontractors, have controlled copies of all of the policies and procedures that are required to perform SA8000 audits and are sufficiently trained and competent in such policies and procedures.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 7.5.2 Not outsource the certification decision. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 7.5.3 CB responsibility for outsourced certification activities. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *7.5.3.1 The certification body may contract the SA8000 audit to individual auditors and may use the resources of partner (subcontracted) organisations to provide SA8000 auditing services (under a contractual agreement) within the parameters defined in this document.*   1. *All such contracted auditors and subcontracted auditing services SHALL conform to the CBs rules and regulations.* 2. *The SAAS-accredited CB itself SHALL be responsible for all phases of the certification process, including contractual arrangements, quotes, planning, auditing and review and approval of the audit report.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *7.5.4 Process for approval and monitoring of all bodies that provide outsourced services. Records of competence maintained.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *7.5.4.1 The SAAS Accredited CB SHALL perform internal audits of any subcontracted organisation at least once per year, utilizing the CBs full-time staff. Internal audits performed by the partner organisation itself are not acceptable to fulfill the accredited CBs requirements but SHALL be utilized as an input to the accredited CBs internal audit.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *7.5.4.2 Representatives of any partner organisation SHALL participate in the management review of the SAAS-accredited CB.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *7.5.4.3 Every 12 months, each partner organisation SHALL be required to perform a risk and impartiality assessment of its business to assess the integrity of the SA8000 audit services it offers on behalf of the accredited CB. Results of the audit SHALL be forwarded to the CBs Impartiality Committee for review.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *7.5.4.4 The accredited CB SHALL perform:*   1. *One duplicate audit on-site every two years of any subcontractor/partner organisation operating in high risk countries.* 2. *One duplicate audit on-site every three years of any subcontractor/partner organisation operating in lower risk countries.* 3. *The results of these audits SHALL be made available to the SAAS Auditor at the time of the annual Head Office Audit.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 8.1.1 CB shall maintain and make public without request, information. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 8.1.2 CB shall provide upon request information. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 8.1.3 Information provided is accurate and not misleading. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 8.2.1-8.2.2 Certification documents content. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 8.3.1 CB policy governing any mark it authorizes certified clients to use. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 8.3.2 CB shall not permit its marks to be applied to laboratory test, calibration or inspection reports. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 8.3.3 Rules for governing use of any statement on product packaging or accompanying information. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 8.3.4 CB’s requirements of the client organization regarding reference to certification. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 8.3.5 CB ownership of marks and reports and control of use and references. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 8.4.1-8.4.7 Policy and arrangements to safeguard confidentiality. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 8.5.1 Information provided by the CB to its clients. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 8.5.2 Notice to clients of changes by the CB. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 8.5.3 Notice to the CB of changes by a client. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.1.1 Application and required information. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.1.2 Application review by CB. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *9.1.2.4 CB’s SA8000 auditors SHALL rotate between clients so that no SA8000 auditor performs more than 5 audits per certification cycle per client.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *9.1.2.5 While any competent individual may perform preliminary planning work, the CB’s decision to accept an application SHALL be assigned to an SA8000 LA (or higher-level individual), who is directly employed by the CB. Prior to making such a decision, the assigned individual SHALL review and authorize outputs from the application review process in the form of outline audit plan arrangements, indicating the following:*   1. *The audit team to be appointed (composed of auditors and technical experts [including any subcontracted personnel], who, between them, have the totality of the competences and abilities required to perform the certification activities). See also SAAS Procedure 201B.* 2. *The audit-days to be assigned for all activities associated with Stage 1 and Stage 2 SA8000 audits, including justification for multi-site sampling and/or deviations from audit day requirements tables (where applicable).* 3. *The individual(s) who will be making the certification decision.* 4. *The CB SHALL maintain a record of this application review, decision, and authorization of outline audit plan arrangements (including any limitations, and/or special considerations and/or justifications).*   *Note: The SA8000 LA referred to in the above requirement may or may not be a part of the audit team assigned to the applicant.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.1.3.1 Development of an audit program for the full certification cycle. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.1.3.2 Audit program for initial, surveillance and recertification. Three-year certification cycle and subsequent cycles. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.1.3.3 Surveillance audits at least once in a calendar year. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.1.3.4 Taking account of certification or other audits. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.1.3.5 Consideration for shift work. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.1.4 Documented procedures for determining auditor time, justification and records, including 9.1.4.1 through 9.1.4.4. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.1.5 Program for multi-site sampling. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.1.6 Audit planning for multiple management systems | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.2.1.1-9.2.1.2 Determining audit objectives. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.2.1.3 Determining audit scope. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.2.1.4 Determining audit criteria. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.2.2.1 Process for selecting and appointing audit teams for competence needed, including 9.2.2.1.1 through 9.2.2.1.5. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *9.2.2.1.6 CBs SHALL NOT use any staff member from one of their certified clients [certified to any management system standard] to act as an SA8000 auditor of another client.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.2.2.2 Program for use of observers, technical experts and guides; includes 9.2.2. 2.1 through 9.2.2.2.3. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.2.3 Preparation of the audit plan and related communications; includes 9.2.3.1 through 9.2.3.2. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.2.3.3 Communicating the defined tasks of the audit team to the audit team and client. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.2.3.4 Audit plan and dates communicated to client. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.2.3.5 Providing information about audit team members to provide the client sufficient time to object. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.3.1 Initial certification audit in two stages. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.3.1.2 Stage 1 audit; includes 9.3.1.2.1 through 9.3.1.2.2 | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.3.1.2.3 Stage 1 audit readiness, and concerns communicated to the client. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.3.1.2.4 Interval between stage 1 and 2 and consideration of stage 2 audit arrangements based on stage 1 audit findings. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.3.1.3 Stage 2 audit process. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.3.1.4 Analysis of stage 1 and stage 2 audit information and evidence for initial certification audit conclusions. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.4.1 Process for conducting on-site audits. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.4.2 Conducting the opening meeting. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.4.3 Communication during the audit; includes 9.4.3.1 through 9.4.3.3. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.4.4 Obtaining and verifying information; includes 9.4.4.1 and 9.4.4.2 | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.4.5 Identifying and recording audit findings to enable an informed certification decision; includes 9.4.5.1 through 9.4.5.4. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.4.6 Preparing audit conclusions. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.4.7 Conducting the closing meeting; includes 9.4.7.1 through 9.4.7.3. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.4.8.1 Written audit report for each audit. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.4.8.2 and 9.4.8.3 Audit team leader responsible for the content of the audit report, which shall provide an accurate, concise and clear record of the audit to enable an informed decision, including a through r. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.4.9 CB requirements for client to analyze cause and describe correction and corrective actions within a defined time. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.4.10 CB review of corrections, identified causes, and corrective action by client to determine these are acceptable. CB shall verify effectiveness of actions. Evidence shall be recorded. Client shall be informed of the review and verification. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.5.1.1 Certification decision by person(s) different from those that carried out the audits and has appropriate competence. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.5.1.2 Certification decision by person(s) employed by, or under legally enforceable arrangement; includes 9.5.1.3. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.5.1.4 Record of each certification decision. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.5.2 Actions prior to making a decision. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.5.3.1 Minimum information for the initial certification decision. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.5.3.2 Time restriction for closure of major nonconformities from stage 2. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.5.3.3 Transfer certification information sufficient for decision. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.5.4 Information for granting recertification. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.6.1 Maintaining certification – demonstration of continued satisfaction of the requirements. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.6.2.1.1-9.6.2.1.2 Surveillance activities. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.6.2.2 Surveillance audit content. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.6.3.1.1 Recertification audit planning to evaluate continued conformity and effectiveness of the management system as a whole. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.6.3.1.2 Recertification activity shall consider performance over the period of certification, including review of surveillance audit reports. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.6.3.1.3 For recertification audit planning consideration of the need for a stage 1 for significant changes. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.6.3.2.1 Recertification audit shall include an on-site audit that addresses effectiveness, improvement, and achievement of policies and objectives. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.6.3.2.2 Time limit and verification of corrective action(s) for major nonconformities before expiry date. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.6.3.2.3 Process for recertification based on existing expiry date when recertification activities completed prior expiry date. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.6.3.2.4 Process for recertification when corrective actions for major nonconformities are not implemented before expiry date. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.6.3.2.5 Process for restoration of expired certification. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.6.4.1 Process for expansion of scope including special audits. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.6.4.2 CB process for short notice audits in response to complaints or suspension. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *9.6.4.3 The CB SHALL have a documented procedure describing how it will perform duplicate audits on-site each year. A duplicate audit in principle repeats the audit that was performed previously to check if the audit findings are credible.*  *These duplicate audit SHALL be performed as follows, in addition to that identified in 7.5.4.4 above:*   1. *A minimum of one duplicate audit on-site for every 100 SA8000 audits globally that the CB performs.* 2. *The duplicate audit SHALL be based on a risk assessment conducted by the CB.* 3. *The results of these audits SHALL be made available to the SAAS auditor at the time of the annual Head Office Audit.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.6.5.1-9.6.5.5 Suspending, withdrawing or reducing certification process(es). | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.7.1-9.7.8 Appeals process. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.8.1-9.8.11 Complaints process. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 9.9.1-9.9.4 Records on clients and applicants. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 10.1 Management system requirements options A or B – indicate option selected. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 10. 2 Option A: General management system requirements |  |  |  |
| 10.2 1 General management system requirements | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 10.2.2 Management system manual or associated documents | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 10.2.3 Control of documents process. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 10.2.4 Control of records process. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 10.2.5 Management review process; includes 10.2.5.1 through 10.2.5.3. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 10.2.6 Internal audit process; includes 10.2.6.1 through 10.2.6.4. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 10.2.7 Corrective action process | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 10.3 Option B: based on ISO 9001 |  |  |  |
| 10.3.1 System in accordance with ISO 9001 that supports ISO 17021-1. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 10.3.2 Management system scope. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 10.3.3 Customer focus considerations. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| 10.3.4 Management review additional inputs. | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |
| *10.3.4.1 The CB SHALL maintain detailed records of management review planning, deliberations, outcomes and decisions that fully describe the discussions held.* | *Add CB documentation cross reference* | Yes  No | *SAAS Reviewer Comments* |

--- End Of Checklist #6 ---