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|  | SAAS SA8000:2014 Transition Checklist #2 – SAAS Procedure 200:2015 |

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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 (this checklist)

#3 - Procedure 200A:2015 Checklist

#4 –Procedure 201B:2015 Checklist

#5 – Procedure 201A:2015 and ISO17021-1:2015 Checklist

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

#2 CHECKLIST

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 Procedure 200 is addressed in your documented management system. When completed please email the checklist to lbernstein@saasaccreditation.org.

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| **SAAS Procedure 200 Requirements** | **Where compliance can be found in CB Management System** | **SAAS Verified Compliance** | **SAAS Comments** |
| 9.1.1 d) All SA8000 certificates issued by accredited CBs shall contain the following disclaimer:“Social Accountability International and other stakeholders in the SA8000 process only recognize SA8000 certificates issued by qualified CBs granted accreditation by SAAS and do not recognize the validity of SA8000 certificates issued by unaccredited organisations or organisations accredited by any entity other than SAAS.” Additionally, all SA8000 certificates shall contain the address of the SAAS website (www.saasaccreditation.org/certification) where stakeholders can confirm the validity of an accredited SA8000 certificate. | *Add CB documentation cross reference* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| 9.1.5 All requirements in this procedure which relate to SA8000 clients SHALL be written into the contract with the SA8000 client so that the client clearly understands what is required and accepts those terms upon signing the client contract. For additional details, reference Procedure 201A. | *Add CB documentation cross reference* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| 9.1.6 SAAS Advice and Interpretation: SAAS maintains regular contact with CBs and their SA8000 Program Managers. CBs SHALL have designated one staff person (the SA8000 Program Manager, as defined in Procedure 201A and 201B) and a Deputy to interface with SAAS. | *Add CB documentation cross reference* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| 11.1.3 b) The CB SHALL have a documented and implemented process to effectively obtain and maintain information about working conditions regularly gathered from regional interested parties, NGOs, trade unions, community organisations and workers. This information SHALL be used in audit planning and throughout the audit process. | *Add CB documentation cross reference* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| 11.1.8 Each CB SHALL have documented procedures for selecting and appointing the audit team for each audit, including the requirements and attributes of the audit team leader and the overall competence needed to achieve the objectives of the audit. If there is only one auditor, the auditor shall have the competence to perform the duties of an audit team leader applicable for that audit.  | *Add CB documentation cross reference* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| **SAAS Procedure 200 Requirements** | **Where compliance can be found in CB Management System** | **SAAS Verified Compliance** | **SAAS Comments** |
| 11.2.1 Each CB SHALL develop and maintain a general procedure that addresses issues that can occur during an audit such as, but not limited to: attempted bribery; power outage; fire; serious accident; denied access to any part of the premises; denied access to records; denied access during an unannounced audit; and other such matters. This procedure SHALL address auditor process and the circumstances under which an audit SHALL be terminated. | *Add CB documentation cross reference* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| 13.1.1 Pre-Assessment audits are an optional service that can be provided by a CB. The CB SHALL have procedures for managing the pre-assessment process so as to reduce conflicts of interest and so as not to provide consulting during the pre-assessment audit. | *Add CB documentation cross reference* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| 13.2.1 All CB’s SHALL have a documented procedure that describes the criteria for accepting a client based on various risk factors including any geographical, ethical, and/or commercial basis. These criteria may include countries and business sectors from which they may choose to refuse applications. | *Add CB documentation cross reference* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| 13.2.4 The CB SHALL have a documented procedure that describes how it undertakes the initial research process. | *Add CB documentation cross reference* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| 14.1.2 CBs SHALL have a documented procedure that describes how they perform an SA8000 certification Stage 1 audit that generally follows the steps as outlined in above and ISO 17021-1:2015 Clause 9.3.1.2 and includes the Social Fingerprint Independent Evaluation. | *Add CB documentation cross reference* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| 15.1.3 CBs SHALL have a documented procedure that describes how it performs an SA8000 Certification (Stage 2) Audit that SHALL follow ISO/IEC 17021 clause 9.3.1.3 and generally follow the guidelines as outlined in SAAS Procedure 200 Table 5. | *Add CB documentation cross reference* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| 16.1.1 The CB SHALL have a documented procedure that describes how it undertakes surveillance audits. | *Add CB documentation cross reference* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| 16.2.2 The CB SHALL maintain a procedure for determining the frequency of the unannounced audits, including criteria for increasing the number of unannounced audits, criteria for scheduling unannounced audits, the process for developing the audit plan and information for planning and undertaking the unannounced audit. See www.saasaccreditation.org/accreditation-requirements for further guidance. | *Add CB documentation cross reference* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| **SAAS Procedure 200 Requirements** | **Where compliance can be found in CB Management System** | **SAAS Verified Compliance** | **SAAS Comments** |
| 17.1.1 The CB SHALL have a documented procedure that covers the performance of recertification audits, including the Social Fingerprint Independent Evaluation process. | *Add CB documentation cross reference* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| 18.1.2 All SAAS-accredited CBs SHALL have a documented procedure that describes how they affect transfers of SA8000 certification. | *Add CB documentation cross reference* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| 19.1.1 The CB SHALL have a documented procedure that covers the performance of special audits with the possible need for access to the CB client’s premises (that may be announced or unannounced) included in the contractual agreement between the CB and their client. | *Add CB documentation cross reference* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| 21.2.3 The CB SHALL have a documented procedure for determining the sampling to be taken when auditing sites as part of the certification and surveillance of a multi-site organisation. | *Add CB documentation cross reference* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| 22.6.1 c) The CB SHALL have procedures to determine when an on-site visit is required to confirm effective closure of a Minor or Time-Bound NC. | *Add CB documentation cross reference* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |

--- End Of Checklist #2 ---