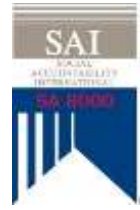


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SAAS Remote Market Surveillance Visit Program

1. Revision History

This document "SAAS Remote Market Surveillance Visit Program" (Procedure 235) details the SAAS rationale, methodology and processes for performing SAAS RMSVs and describes the responsibilities of the CB, their client and SAAS.

Revision #	Revision Date	Revision Description	Approved By
Version 1	5 th Oct 2021	Initial Publication (this document)	John Brookes

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3. Introduction

3.1. Background and Overview

SAI and SAAS wish to thank SAAS Accredited CBs that deliver SA8000 Certification in India for their support of SAAS' Market Research and Special Surveillance program (MRSSP) in India through 2019.

As shared previously, the 2019 program was extremely valuable in identifying and quantifying (previously isolated, or anecdotal) evidence, confirming concerns expressed by buyers and other interested parties regarding audit quality/integrity in India. Kindly refer to our communication dated September 6, 2019 about SA8000 MRSSP program: India: update for 2020.

As a result of the 2019 MRSSP Program, we want to expand our MSV Program to other countries such as China and Italy in 2020 but, with the COVID 19 Pandemic raging most of the year this was not possible.

Following earlier communications about continuing the MSV program, SAI and SAAS have now agreed a protocol for a Remote MSV (RMSV) Program. Throughout the remainder of 2021, and during the first quarter of 2022, SAAS will conduct a limited number of RMSV's in five countries (India, China, Italy, Vietnam and Pakistan).

3.2. Broad Program Objective:

To provide SAI with confidence that risks to workers in SA8000-certified organizations remain effectively managed and mitigated.

3.3. Scope of Applicability

This Instruction is applicable to all SAAS Accredited CBs delivering SA8000 Certification in India, China, Italy, Vietnam & Pakistan. The number of sample clients selected is based on the active number of clients with certifications within the chosen countries with a minimum selection of 1 client per CB.

3.4. References

- 3.4.1. SAAS Procedure 201A (current and prior versions)
- 3.4.2. SAAS Procedure 200 (current and prior versions)
- 3.4.3. IAF Publications (current and prior versions)
- 3.4.4. IEC-ISO Standard 17011 (current and prior versions)

3.5. Definitions

3.4.1 The **SA8000 remote market surveillance process (RMSV)** typically includes planning, conduct and reporting. This involves offline and online work. Planning and reporting is offline activity and conduct is online activity using a VoIP connection with a CBs' client.

NOTE: An RMSV is not a repeat audit /remote audit ("duplicate audit") and is not intended to identify or document specific nonconformities; the RMSV is intended only to provide confidence in the effectiveness of the accredited certification program.

4. Specific Goals of the RMSV Program.

- 4.1 To provide confidence in the effectiveness of the SAAS accredited SA8000 certification program.
- 4.2 To evaluate the effectiveness of the SA8000 Management System of SA8000 certified organizations, specifically:
 - To assess the Control and mitigation of significant health and safety hazards (SA8000 CI 3.1 etc.);
 - To assess the Social Performance Team's contributions to the social management system (SA8000 Clause 9.2 etc.).
- 4.3 To identify trends and opportunities for improvement:
 - Among auditors and CBs;
 - Within the SA8000 standard and SAI's support of the SA8000 program.
- 4.4 Mentoring CB management and auditors with respect to SA8000 audit expectations.

5. Outline of the RMSV Activities – Duties Of CBs.

- 5.1 CBs shall ensure that a survey questionnaire is completed by all chosen clients and that questionnaires SHALL be answered by the clients themselves and not by CB personnel or consultants.

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- 5.2 CBs SHALL inform their respective clients (152) to be ready and available on decided dates for RMSV.
- 5.3 CB management or Senior Auditor(s) are invited and are strongly encouraged to participate in the VOIP component of the RMSV Process (as **Observer** only)*.
- 5.4 Prior to the VOIP Component of a RMSV the CB shall arrange that a site layout/site-map be sent to the SAAS LA.

* SAAS reserves the right to conduct RMSVs without CB participation where necessary.

6. Outline of the RMSV Activities – Duties Of CB Client Company.

- 6.1 Please see Appendix 3 to this document.

7. Outline of the RMSV Activities – Duties Of SAAS.

- 7.1 Initially 152 clients will be chosen based on the selection criteria defined by SAAS and SAI. SAI agrees sample client companies with SAAS based on Survey Monkey Questionnaire responses.
- 7.2 Based on risk factors and online survey responses, SAAS will select 76 clients for RMSVs. The balance of surveyed clients will be kept in reserve in case of any problems with the chosen clients.
- 7.3 The RMSV processes includes planning, conduct and reporting by SAAS. This will involve offline and online work by SAAS.
- 7.4 On a mutually decided date, SAAS Lead Accreditation Auditor SHALL conduct the VOIP Component of the RMSV (which may take up to an average of 3 ± hours).
- 7.5 The SAAS team includes Lead Accreditation Auditors and Interpreters for all five countries.
- 7.6 During the site tour part of the VOIP Meeting, the SAAS LA may ask the client representative to go to any corner/building/floor of the site and may ask to speak to /interview a few employees including SPT members, if necessary.
- 7.7 Any Access Denial cases SHALL be reported to the CB immediately, for further actions by CB such as suspension of the clients SA8000 Certification for a max period of 3 months, which may be lifted by performing an unannounced on site audit (using a lead auditor that has not visited the company before within the suspension period).

8. Outline of the RMSV Activities – Reporting By SAAS.

- 8.1 Potentially 'Critical' concerns (e.g. to SAAS procedure 200) are reported immediately to the relevant Certification Body (by the SAAS RMSV Program Manager).
- 8.2 CBs will be provided with copies of reports related to their own certified clients. Summarized and anonymized results of all RMSVs shall be reported by SAAS to the Certification Body following the conclusion of RMSV program.

9. Outline of the RMSV Activities – Reporting By SAI.

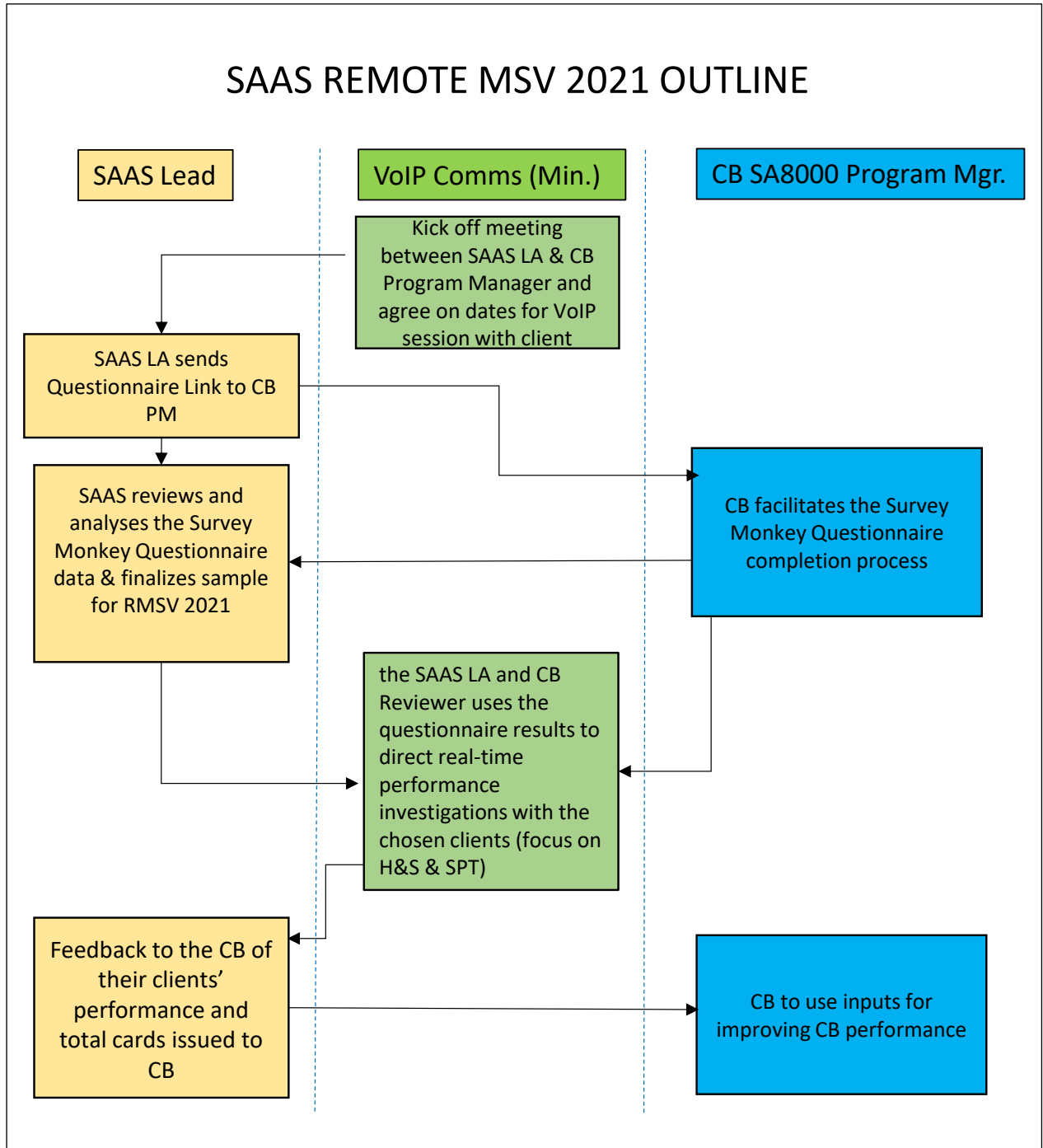
- 9.1 SAI receives results from SAAS.
- 9.2 SAI agrees to any outcomes/penalties (penalty cards, as described below) with SAAS.
- 9.3 SAI transcribes results (broad and detailed) into proposed improvement plans for each CB and their Client(s).
- 9.4 SAI/SAAS Shares the results with the CB.
- 9.5 SAI initiates and delivers training and capacity building with certified companies and consultants, as needed.

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Notes to the above:

- a) No costs will be incurred by the CB (other than the indirect costs of time).
- b) The RMSV program outcomes remain confidential between the CB, SAI and SAAS.
- c) Please see an illustrated outline of the Main RMSV processes at Appendix 1 to this instruction.
- d) Any positive or negative variances between the Survey Questionnaire and the actual on-site performance of the client as evidenced during the VOIP element of the RMSV will be quantified by the use of a penalty card system on CBs KPIs as described in Appendix 2 to this instruction.
- e) Where needed, SAAS and the CB will agree on a suitable translator for the VOIP element of the RMSV.

Appendix 1: RMSV Process Overview Diagram



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Appendix 2: RMSV CB Penalty System - Comparison of Survey Questionnaire Data Against VOIP Interactions with the Management of the Chosen Client Company.

To quantify the results of the performance with respect to the above, SAAS will use a “Color Card” system that will provide an input into each CB’s annual KPI Assessment Score.

The card system is described below:

Card Color	Basis for issuance of cards	Reason Card Given (per chosen client)	CB Consequences
Green	Information gathered through VoIP alignment with responses to Questionnaire	VOIP investigation results fully align Vs. information declared by client in the Survey Questionnaire.	Confidence in CB’s performance (both positive and negative performance) demonstrated through the RMSV process will be taken into account by SAAS when evaluating a CB’s Annual KPIs Major (Red Card) issues identified through the RMSV process may lead to SAAS demands for further investigation / actions from CB
Yellow		VOIP investigation results reveal minor discrepancies Vs. information declared by client in the Survey Questionnaire.	
Red		VOIP investigation results reveal Major discrepancies Vs. information declared by client in the Survey Questionnaire.	
Green	Participation by CB & CB Client in RMSV Process	Survey Questionnaire fully completed with time lines	
Yellow		Survey Questionnaire partially completed BUT within time lines	
Red		CB does not participate in a timely fashion. E.G. Survey Questionnaire not completed on time. or Client refuses to participate on the day of the VOIP or CB Refuses to participate in the RMSV Program.	
Green	Client performance during VoIP on H & S & SPT parameters	H & S & SPT performance at par or exceeds expectations SPT team fully aware about their role and performs regular monitoring	
Yellow		Minor Health and Safety issues seen on site during the VOIP site tour SPT team partially aware about their role and performs partial monitoring	
Red		Major Health and Safety issues seen on site during the VOIP site tour. SPT team is not aware about their role and does not perform monitoring	

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Appendix 3: RMSV CB Client Duties

WHO will be needed*

- The SA8000 Management Representative (if possible other top management personnel)
- SPT Team
- Health & Safety Representative(s)
- Health & Safety Committee members

**Note: We request that the personnel above be readily available during the allocated time, however, not all personnel will be involved at all stages. Interviews with SPT and H&S Committee members will typically be conducted without the presence of managers.*

WHAT are the technical needs

- Stable internet connection.
- SMART PHONE – (With Camera).
- Time slot on a mutually agreed date of 3 hours.

VOIP Timing

- Client and CB to provide a time slot/s for SAAS personnel on a mutually agreed date of average 3 ± hours.
- Ensure that all the VOIP Participants are fully available during the VOIP Session.

HOW the VOIP process will be performed

- Client to complete Survey Monkey Questionnaire by stipulated date.
- Participants to agree to date with CB for VOIP Session.
- Client to participate fully in the VOIP Session with SAAS Lead Auditor, SAAS Interpreter and CB Representative.
- Client to provide an up to date site plan upon request to SAAS.
- Client to facilitate the virtual site tour and record on SMART PHONE.
- Participants to answer all questions by SAAS LA.
- Implement any actions specified by the CB or SAI/SAAS after the RMSV.

End of RMSV Instruction