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|  | SAAS SA8000:2014 – Checklist #3SAAS Procedure 200A:2016: Audit Requirements for Social Fingerprint  |

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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:2016 Checklist (this 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>

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 (document name or reference number and associated clause number) as to where the relevant section of Procedure 200A:2016 is addressed in your documented management system. When completed please email the checklist to LBernstein@saasaccreditation.org.

Dear CB

Please complete the following checklist by completing the second column number **ONLY** *[“*

|  |  |  |  |
| --- | --- | --- | --- |
| SAAS Procedure 200A Requirements | Where compliance can be foundin CB Management System | SAAS VerifiedCompliance | SAAS Comments |
| Section 4.8 - How does the CB ensure that the Social Fingerprint scores are fed into the overall audit findings and into the certification decision-making process? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Section 5.1 - How does the CB Lead Auditor use this procedure to conduct SF Independent Evaluations during the Procedure 200 Certification Processes? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Section 6.1 - How does the CB ensure that Lead Auditors understand SAAS Procedure 200A and SAAS Procedure 200 prior to performing any SF Independent Evaluations, and records demonstrate the competency of CB Lead Auditors to perform SF Independent Evaluations? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 8.1 – How does the CB ensure that their Lead Auditors review the results of the client organisation’s SF Self-Assessment prior to performing the Stage 1 Audit and that this review is documented and maintained as an audit record? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 8.1 – How does the CB ensure that their Lead Auditors use the Client’s Self-Assessment results to gauge the awareness and level of understanding about management systems within the organisation before the Stage 1 audit? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 8.1 - How does the CB ensure that the Audit Plan developed for the Stage 1 Audit includes sufficient time for the CB Lead Auditor to perform an onsite management system documentation review and complete the SF Independent Evaluation questionnaire? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 8.2 - How does the CB ensure that their Lead Auditor answers all of the questions in the SF Independent Evaluation questionnaire in order to produce the SF scores during the classification of any audit findings and before the closing meeting? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 8.2 - How does the CB ensure that the SF Independent Evaluation scores are reviewed with the client organisation during the closing meeting? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 8.2 - How does the CB ensure that the SF Independent Evaluation Score is reviewed as one factor for determining whether the client organisation is ready for the Stage 2 Audit, in conjunction with the other audit findings? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 8.3 - How does the CB ensure that the SF Independent Evaluation scores are maintained in the online SAI Reporting Tool, accessed through the online SAI Training Center? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 8.3 - How does the CB ensure that if more than 6 months pass between the end of the Stage 1 and Stage 2 Audits, that they conduct an additional Stage 1 Audit and corresponding SF Independent Evaluation? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 9.1 - How does the CB ensure that prior to performing the Stage 2 Audit, the Lead Auditor reviews the results of the client’s Self-Assessment and the Stage 1 SF Independent Evaluation, and that this review is documented and maintained as an audit record? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 9.1 - How does the CB ensure that the Audit Plan developed for the Stage 2 Audit includes sufficient time for their Lead Auditor to complete the SF Independent Evaluation questionnaire? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 9.2 - How does the CB ensure that their auditors collect sufficient evidence during the Stage 2 audit to answer the all of the questions in the SF Independent Evaluation questionnaire? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 9.2 - How does the CB ensure that their Audit Team compares the results of the Stage 1 and Stage 2 Audits to assess the client organisation’s implementation of improvements and that this comparison is completed prior to the closing meeting? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 9.2 - How does the CB ensure that the SF Independent Evaluation scores are taken into account as one factor for determining whether the client organisation is ready for SA8000 Certification? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 9.2 - How does the CB ensure that the SF Independent Evaluation scores are reviewed with the client organisation during the closing meeting as part of the audit findings? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 9.3 - How does the CB ensure that the SF Independent Evaluation scores are maintained in the online SAI Reporting Tool, accessed through the online SAI Training Center? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 10.1 - How does the CB ensure that the SF Independent Evaluation is performed at the 2nd and 4th Surveillance Audits and at every Recertification Audit? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 10.2 - How does the CB ensure that prior to performing a Surveillance Audit with a required SF Independent Evaluation, their Lead Auditor reviews the results of the previous SF Independent Evaluations and that this review is documented and maintained as an audit record? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 10.2 - How does the CB ensure that their Surveillance Audit Plan developed for each Surveillance Audit with a required SF Independent Evaluation (including unannounced audits) includes sufficient time for their Lead Auditor to complete the SF Independent Evaluation questionnaire? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 10.3 - How does the CB ensure that the Social Fingerprint Independent Evaluation during a Surveillance Audit is conducted in the same manner as for a Stage 2 Audit? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 10.3 - How does the CB ensure that if Social Performance Team, External Verification and Stakeholder Engagement, and Management of Suppliers and Contractors are not covered during the specific surveillance audit (i.e. if they are not related to a non-conformity), then their Lead Auditor uses the evidence from a prior audit to complete the Independent Evaluation for those requirements? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 10.3 - How does the CB ensure that the SF Independent Evaluation Score is reviewed as one factor for determining whether the client organisation maintains their SA8000 Certification and that the score is also reviewed to assess the client organisation’s progress in implementing improvements? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 10.3 - How does the CB ensure that the SF Independent Evaluation scores are reviewed with the client organisation during the closing meeting? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 10.4 - How does the CB ensure that the SF Independent Evaluation scores are maintained in the online SAI Reporting Tool, accessed through the online SAI Training Center? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 11.1 - How does the CB ensure that their Recertification Audits are performed in line with the appropriate section(s) of SAAS Procedure 200? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 11.1 - Prior to performing a Recertification Audit, how does the CB ensure that their Lead Auditor reviews the results of the SF Independent Evaluations conducted during the certification cycle and also review the results of the SF Self-Assessment that the client organisation completed before the Recertification Audit? How are these reviews documented and maintained as an audit record? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 11.1 - How does the CB ensure that the Audit Plan developed for the Recertification Audit includes sufficient time for their Lead Auditor to complete the SF Independent Evaluation questionnaire? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 11.2 - How does the CB ensure that the Social Fingerprint Independent Evaluation during a Recertification Audit is conducted the same as during a Stage 2 Audit? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 11.2 - How does the CB ensure that the SF Independent Evaluation Scores is reviewed as one factor for determining whether the client organisation will be recertified to SA8000 and that it is reviewed to assess the client organisation’s progress in implementing improvements? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 11.2 - How does the CB ensure that the SF Independent Evaluation scores are reviewed with the client organisation during the closing meeting? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 11.3 - How does the CB ensure that the SF Independent Evaluation scores are maintained in the online SAI Reporting Tool, accessed through the online SAI Training Center? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 12.1 - How does the CB ensure that Transfer Audits are performed in line with the appropriate section(s) of SAAS Procedure 200? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 12.1 - How does the CB ensure that the client organisation completes a SF Self-Assessment prior to the Transfer Audit if more than 6 months have passed since it performed a Self-Assessment? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 12.1 - How does the CB ensure that prior to performing a Transfer Audit, their Lead Auditor reviews the results of previous SF Independent Evaluations as provided by the previous CB, and the organisation's Self-Assessment(s) and that this review is documented and maintained as an audit record? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 12.1 - How does the CB ensure that the Audit Plan developed for the Transfer Audit includes sufficient time for their Lead Auditor to complete the SF Independent Evaluation questionnaire? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 12.1 - How does the CB determine the client requires an additional Stage 1 Audit prior to the Transfer Audit and that a Stage 1 Audit is required? And if so, ensure the client organisation completes a SF Self-Assessment prior that Audit?  | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 12.2 - How does the CB ensure that their Independent Evaluation(s) for Transfer Audits are performed during the Stage 1 (if required) and Stage 2 Audits? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 12.2 - How does the CB ensure that the SF Independent Evaluation Score generated during the Transfer Audit is reviewed as one factor for determining whether the client organisation will be issued a new SA8000 certificate and that client organisation’s progress in implementing improvements is also reviewed and records maintained? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 12.2 - How does the CB ensure that the SF Independent Evaluation scores are reviewed with the client organisation during the closing meeting? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Sections 12.3 - How does the CB ensure that the SF Independent Evaluation scores are maintained in the online SAI Reporting Tool, accessed through the online SAI Training Center? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Section 14.1 - How does the CB ensure that for Multisite Certification Audits, the SF Independent Evaluation is only completed for the nominated head office? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Section 14.1 - How does the CB ensure that for Multi-Site Stage 1, Stage 2, Surveillance, Recertification and Transfer Audits, the SF Independent Evaluation Process is performed as described in the appropriate sections of this procedure? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Section 15.1 - How does the CB ensure that the SF Independent Evaluation questionnaire is completed after all the audit evidence is collected and that the answers to the questionnaire produce SF scores, which inform and support the findings and the audit decision made by the CB Audit Team? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Section 15.1 - How does the CB ensure that Non-conformities are not written against the SF scores and that the scores are only intended to support the audit findings and non-conformities that are identified during an audit? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Section 16.1 - How does the CB ensure that if the Lead Auditor uses the SF Independent Evaluation offline tool, that the results are uploaded to the online SAI Reporting Tool accessed through the online SAI Training Center within 3 working days of the last day of the audit? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Section 17.1 - How does the CB ensure that all audit notes and records of its SF Independent Evaluation are maintained? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |
| Section 17.1 - How does the CB ensure that all client SF scores are maintained in the online SAI Reporting Tool, accessed through the online SAI Training Center? | *Enter cross reference to CB's Management System.* | Yes [ ]  No [ ]  | *SAAS Reviewer Comments* |

--- End Of 200A Checklist---