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**SOCIAL ACCOUNTABILITY
ACCREDITATION SERVICES**



Guidance Document
For the
Interaction
Child Sponsorship Certification Standards
And
Certification Manual

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Introduction to SAAS/InterAction CSO Guidance

The InterAction Child Sponsorship Certification Standards and Certification Manual defines the certification criteria for child sponsorship organizations. If such organizations are to be certified as complying with these standards, some guidance is necessary. This guidance document provides it. One aim of this guidance is to enable certification bodies and child sponsorship organizations to harmonize their application of the standards. This is an important step towards universal recognition of the certification. It is hoped that this Guidance will also be useful to certification bodies themselves and to those whose decisions are guided by their certificates.

The term “shall” is used throughout this document to indicate those provisions which, reflecting the requirements of Interaction Child Sponsorship Certification Standards and Certification Manual, are mandatory. The term “should” is used to indicate guidance which, although not mandatory, is provided as a recognized means of meeting the requirements. Child sponsorship organizations whose systems and processes do not follow the Guidance in any respect will only be eligible for certification if they can demonstrate to the certification body that their solutions meet the relevant clause of the standards in an equivalent way.

Behind this Guidance lies the principle, that if organizations’ management systems are certified to Interaction Child Sponsorship Certification Standards and Certification Manual, those systems should give the organization (internally), and its markets, confidence that the organization is capable of systematically meeting agreed requirements for any service supplied within the field specified on the certificate. Certification bodies shall demonstrate that the certificates they issue satisfy this principle.

Guidance is offered in five areas associated with the child sponsorship manual and certification process.

Guidance I contains the standards and their associated components for InterAction Child Sponsorship. These standards and their components define the requirements for certification and are divided into two sections:

- I. Governance and Administrative Standards, and
- II. Child Sponsorship Program Standards

Guidance II contains examples of the intent of the standard and evidences that can provide proof of compliance to the requirements in the standards and components (Guidance I).

This identification of evidences will form the basis of mutual recognition between certification bodies, and is considered necessary for the consistent application of Interaction Child Sponsorship Certification Standards and Certification Manual.

Guidance III is the Glossary of Certification Terms. The key to understanding the requirements and the certification and accreditation processes is the understanding of the terms used in those processes. This guidance provides common language definitions of those terms that are most frequently used.

Guidance IV defines the requirements for the process that the certification bodies (CBs) use to certify the Child Sponsorship Organizations to the Child Sponsorship standards. These requirements are established by the accrediting authority, SAAS.

Guidance V defines the process that SAAS uses to accredit the CBs to certify the Child Sponsorship Organizations to the Interaction Child Sponsorship Standards.

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Guidance I

INTERACTION CHILD SPONSORSHIP CERTIFICATION STANDARDS

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FOREWORD TO THE SECOND EDITION

InterAction is the largest alliance of international development and humanitarian non-governmental organizations (NGOs) that are headquartered in the United States of America. InterAction works to overcome poverty, exclusion and suffering by advancing social justice and basic dignity for all, with over 165 members in every developing country, worldwide.

InterAction has established a standards and certification program for member organizations. The achievement of this certification by a qualifying organization will indicate that the child sponsorship organization meets the Private Voluntary Organization Standards, or PVO Standards established by InterAction. This manual contains the standards that define the requirements that a Child Sponsorship Organization must meet in order to be eligible for certification.

This certification program has been in effect since 2004 and has resulted in the certification of a number of Child Sponsorship Organizations. During this process, the experience gained during the certifications has resulted in clarifications and improvements in the standards that will make the certifications even more valuable.

This second edition of the InterAction Child Sponsorship Organization standards cancels and replaces the first edition, and is effective with the publication of this manual.

Supplemental guidance, based on learning's in the field, will be produced jointly by InterAction and SAAS.

FOREWORD TO THE FIRST EDITION

InterAction is the largest alliance of international development and humanitarian non-governmental organizations that are headquartered in the United States of America. InterAction works to overcome poverty, exclusion and suffering by advancing social justice and basic dignity for all, with over 160 members in every developing country, worldwide.

InterAction has established a standards and certification program for member organizations. The achievement of this certification by a qualifying organization will indicate that the child sponsorship organization meets the PVO Standards established by InterAction. Certification bodies that are accredited by Social Accountability International, Inc. will conduct the certification of an organization to the requirements of these standards.

This manual contains the standards that define the requirements that a Child Sponsorship Organization must meet in order to be eligible for certification. More details are specified in the companion document "InterAction Child Sponsorship Standards Certification Self-study and Site Review Guidelines."

This is the first edition of the standards and certification manual and is available in English only at this time. These requirements contained herein will be reviewed on a periodic basis by the InterAction Child Sponsorship Working Group of the Standards/Membership Committee and the entire Standards/Membership Committee and may be revised and reissued as appropriate. Public notice will be made if a new version is published.

Acknowledgments for the development of this manual are due to the following individuals and organizations who participate in the Child Sponsorship Pilot Certification Project/Initiative:

Childreach/Plan USA

Kitty Holt

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Christian Children’s Fund	William Hopkins
InterAction	Ken Giunta
Save the Children	Earl Moran, Erin Bradshaw and Claire Donohue
World Vision	Asteria Rajino

In addition, many staff members from each of these organizations and two certification bodies-- CSCC [Cal Safety Compliance Corporation] and Intertek Testing Services-- in the United States and in Central America participated in development and field testing of the standards.

InterAction is confident that these standards, implemented in the spirit of continual improvement, will improve and enhance the operation, effectiveness, accountability, transparency and efficiency of organizations providing child sponsorship services.

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Introduction

The Child Sponsorship Certification Standards Manual contains the requirements for Child Sponsorship Certification.

A. Child Sponsorship Certification Philosophy

Goal and Purpose: The decision to pursue certification is a strategic decision of a Child Sponsorship Organization. The InterAction Child Sponsorship Certification aims to promote confidence that organizations which have this credential provide child sponsorship services at the high level associated with the Child Sponsorship Certification standards and methodology. In addition, Child Sponsorship Certification prioritizes quality improvement, which is achieved by implementing management processes that meet the Child Sponsorship Standards and continuing to improve their performance over time. Certification verifies the implementation of an effective set of procedures and controls defined to be critical to the effective and reliable functioning of the Child Sponsorship Organizations in fulfilling their missions.

Scope/Applicability: Child Sponsorship Certification is a credential for a United States organization’s child sponsorship program that is a member of InterAction. While many organizations may have a relationship (e.g., partnership or service collaboration) with an international alliance or other entity, the Child Sponsorship Certification evaluates and confers a credential on the autonomous legal entity that resides within the United States. The term “organization” is used throughout Child Sponsorship materials to refer to this legally autonomous United States organization that is a member of the InterAction alliance.

Approach: Child Sponsorship Certification recognizes that organizations may deliver child sponsorship services through a multitude of different structures, including:

- direct service delivery through the organization’s own employees in another country,
- autonomous foreign branches of the U.S. entity,
- participation in formal international alliances or federations,
- contractual agreements with non-governmental organizations (“NGOs”) incorporated in the country of service delivery, and
- non-contractual understandings with organizations that provide service delivery.

Therefore, the appropriate management structures and control procedures will vary among the organizations.

A U.S. organization that participates in such an international alliance or federation will secure agreement from the entities within that alliance or federation which are delivering U.S. funded child sponsorship services in the field, that they will comply with service delivery standards and will cooperate in certification activities. Likewise, organizations that provide child sponsorship services independently or through agreements with NGOs in other countries will ensure that the service delivery provider’s practices are consistent with the CSO certification standards.

B. Methodology: Organization and Background

Implementation: The Child Sponsorship Certification standards (requirements) are divided into two

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sections:

Section I: Governance and Administrative Standards, and

Section II: Child Sponsorship Program Standards

When applicable, each standard and component reference a section of the InterAction PVO Standards from which it is derived. These are shown as, for example: (Source: §§ 2.1, 2.2) Where there are ‘notes’ commenting on some Standard component, these are explanatory, not additional requirements.

Interpretations: Periodically, interpretations concerning the standards and their components in this manual may be published by InterAction. These will be available for certification bodies and certified organizations. These interpretations will be considered as requirements and as part of the standards. Revisions of the standards manual shall include the released interpretations at the time of the new revision, and a new compilation of interpretations shall be initiated.

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Section I: Governance and Administration Standards

Standard I.A: Board Responsibility

A member Child Sponsorship Organization shall be governed responsibly by an independent, active and informed Board of Directors and, if applicable, its duly constituted Executive Committee. **(Source: §§ 2.1, 2.2)**

- **Component I.A.1 – (U.S. office only)** The Child Sponsorship Organization’s board shall act as the organization’s governing body, accepting responsibility for oversight of all aspects of the organization. **(Source: §§ 2.1, 2.4)**
- **Component I.A.2 – (U.S. office only)** The Child Sponsorship Organization’s board policies shall specify the frequency of board meetings (at least two meetings per year), adequate attendance by directors (at least a majority of directors on average), and voting requirements. Records of these meetings shall be maintained. **(Source: § 2.2)**
- **Component I.A.3 – (U.S. and field offices)** Policies and procedures shall be in place to ensure that the activities are conducted within applicable laws. **(Source: § 2.7)**
- **Component I.A.4 – (U.S. office only)** The Child Sponsorship Organization’s board shall exercise fiscal oversight of the organization by: **(Source: §§ 2.5. 4.2)**
 - a. Approving the annual budget;
 - b. Appointing an independent Certified Public Accountant as auditor;
 - c. Receiving and reviewing the annual, audited financial statement, which comply with Generally Accepted Accounting Standards and Requirements according to the AICPA and the FASB;
 - d. Requesting and reviewing a management letter, if applicable; and
 - e. Reviewing the financial statements and activities of the organization.
- **Component I.A.5 – (U.S. office only)** The Child Sponsorship Organization shall annually report to the public by means of an annual report, or in separate report formats, the following information: **(Source: § 4.5)**
 - a. Audited financial statements,
 - b. IRS form 990 if applicable and requested,
 - c. List of current board members,
 - d. Other information that may be helpful to the public to understand the organization’s purposes, goals, activities and results.

Standard I.B: Impartiality Protections

The Child Sponsorship Organization’s board of directors shall govern fairly and impartially.

- **Component I.B.1 – (U.S. office only)** Documented board policies shall:
 - a. Restrict the number of employees who are voting members of the board,

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- b. Provide limits for directors being related to one another, the founder, or the executive director or president/chief executive officer,
- c. Establish limited terms of service for directors and officers,
- d. Prohibit compensation to board members for service as directors.

(Source: § 2.2)

- **Component I.B.2 - (U.S. office only)** Child Sponsorship Organization board policy shall prohibit direct and indirect conflicts of interest, requiring that members of the board and employees:
 - a. Discloses any affiliation they have with an actual or potential supplier of goods and services, recipient of grant funds, or organization with competing or conflicting objectives;
 - b. Absent themselves from discussion and abstain from voting or otherwise participating in a decision on any issue in which there is a conflict of interest; and
 - c. Refuse large or otherwise inappropriate gifts for personal use.

Appropriate records shall be maintained.

(Source: § 2.3)

Standard I.C: Fiscal Management and Accountability

The Child Sponsorship Organization’s finances are conducted in such a way as to assure appropriate use of funds. Appropriate records shall be maintained. **(Source: § 4.1)**

- **Component I.C.1 – (U.S. and field offices)** The Child Sponsorship Organization shall operate according to a budget approved by its board. **(Source: § 4.7)**
- **Component I.C.2 – (U.S. office only)** The Child Sponsorship Organization’s combined fundraising and administration costs shall be kept to the minimum necessary to meet the organization’s needs. **(Source: § 4.6)**
- **Component I.C.3 – (U.S. and field offices)** The Child Sponsorship Organization shall exercise adequate internal controls over disbursements to avoid unauthorized payments, and to prohibit any unauditible transactions such as loans to board members and to staff. This may include descriptions of procurement policies and procedures. **(Source: § 4.7)**
- **Component I.C.4 – (U.S. office only)** The Child Sponsorship Organization shall complete and file Form 990 annually to the United States government. **(Source: § 4.3)**

Standard I.D: Equal Access Rights

- **Component I.D.1 – (U.S. and field offices)** The Child Sponsorship Organization shall ensure that the fundamental concern of the organization is the well being of those affected, and its child sponsorship programs assist those who are at risk without political, religious, gender or other discrimination. **(Source: § 7.1.6)**

Standard I.E: Organizational Integrity

The affairs of the Child Sponsorship Organization are conducted with integrity and truthfulness.

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- **Component I.E.1 – (U.S. and field offices)** Each director and employee shall follow the organization’s written standard of conduct and such standard of conduct provides that:
 - a. The organization opposes and does not act as a willing party to wrongdoing, corruption, terrorism, bribery, other financial impropriety, or illegal acts in any of its activities;
 - b. The organization takes prompt and firm corrective action whenever and wherever wrongdoing of any kind is found among its board and employees; and
 - c. The standard of conduct is maintained despite possible prevailing contrary practices elsewhere. **(Source: §§ 3.2, 3.4)**
- **Component I.E.2 – (U.S. and field offices)** The Child Sponsorship Organization shall endeavor to assure confidentiality to employees desiring it who present evidence of misconduct or other irregularities in the conduct of anyone associated with the organization. **(Source: § 3.3)**

Records of the investigations and corrective actions shall be maintained.

Standard I.F: Management and Human Resources

The Child Sponsorship Organization shall follow management practices that are appropriate to its mission, operations, and governance structure. **(Source: § 6.1)** Records of the investigations and corrective actions shall be maintained.

- **Component I.F.1 – (U.S. office only)** The Child Sponsorship Organization shall have clear, well-defined, documented policies and procedures relating to all United States employees, clearly outlining their rights and benefits. **(Source: §§ 6.3, 6.3.1)**
- **Component I.F.2 – (U.S. and field offices)** The Child Sponsorship Organization’s board documented policies shall prohibit excluding from participation, denying benefits, or otherwise subjecting to discrimination any person on the basis of race, color, national origin, age, religion, disability or gender in its hiring and human resource practices. **(Source: §2.6)**
- **Component I.F.3 – (U.S. and field offices).** The Child Sponsorship Organization shall have documented policies and practices that support equal pay for equal work for women and men. **(Source: §§ 6.4.1.5, 6.4.2.4)**

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Section II: Program Standards

Standard II.A: Program Development

The organization's child sponsorship program, through the use of child-centered approaches to development, empowers institutions, facilitates popular participation and sustainable development, to achieve as an end goal the well being of children. **(Source: § 7.1.1)**

- **Component II.A.1 – (U.S. and field offices)** The Child Sponsorship Organization child sponsorship programs should facilitate self-reliance, self-help and popular participation by empowering individuals and communities, and giving priority to working with or through local and national institutions and groups. **(Source: § 7.9.1)**
- a) **Component II.A.2 – (U.S. and field offices)** The Child Sponsorship Organization should document its approach to sponsorship program design and clearly outline the objectives and results they plan to achieve in the sponsorship programs. **(Source: §§ 7.9.3, 7.9.4)**
- b) **Component II.A.3 – (U.S. and field offices)** Child Sponsorship Programs should be designed, implemented and monitored so that enrolled children, their families, and/or the community benefit in identifiable ways. **(Source: §§ 7.1.3, 7.9.1.3)**
- c) **Component II.A.4 – (U.S. and field offices)** The Child Sponsorship Organization shall have clear policies and procedures and/or criteria, guided by program principles, that enable it to move in and out of communities in an effective way when appropriate. **(Source: §§ 7.11.13)**

Standard II.B: Fostering Human Rights

In its program activities, the Child Sponsorship Organization respects and fosters human rights, both socio-economic and civil-political. **(Source: § 7.1.4)**

Component II.B.1 – (U.S. and field offices) The Child Sponsorship Organization shall establish and follow clear policies and procedures to protect children from abuse and neglect and that respect the privacy and dignity of children and their families. **(Source: § 7.9.8)**

Standard II.C: Program Quality Monitoring and Evaluation

- The Child Sponsorship Organization has established policies and procedures for ongoing monitoring and evaluation of its child sponsorship programs and projects, both qualitatively and quantitatively. **(Source: §§ 7.1.9, 7.9.14)**
- **Component II.C.1 – (U.S. and field offices)** The Child Sponsorship Organization's procedures for program monitoring and evaluation shall address the effective use of inputs, including human and financial resources **(Source: § 7.1.9)**
- **Component II.C.2 – (U.S. and field offices)** These procedures for program monitoring and evaluation should also address the effectiveness of the outputs and the results/impacts on the program participants, but not limited to the enrolled children and their families. **(Source: §§ 7.11.12, 7.11.14)**
- **Component II.C.3 – (U.S. and field offices)** The Child Sponsorship Organization shall have the capacity to provide oversight of financial and performance and child monitoring at the local level, whether through a field office structure or through partnerships with local entities. **(Source: § 7.9.14)**

Standard II.D: Child Sponsorship Accountability

The resources generated through child sponsorship are used and accounted for in a manner consistent with the

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programs and purposes described in appeals. **(Source: § 7.9.2)**

- **Component II.D.1 – (U.S. and field offices)** The Child Sponsorship Organization should not use sponsorship purely as a fund-raising tool, but seeks to make its sponsorship programs consistent with the organization’s overall mission and purposes. **(Source: § 7.9.7)**
- **Component II.D.2 – (U.S. and field offices)** The Child Sponsorship Organization shall exercise management and financial controls to provide assurance that sponsorship contributions are used as promised or implied in the fundraising appeal or as requested by the donor. **(Source: §§ 7.11.2, 7.11.4, 7.11.5, 7.11.7, 7.11.11, 7.11.14)**
- **Component II.D.3 – (U.S. and field offices)** Organizations engaged in child sponsorship shall adopt policies, procedures and practices to ensure that the benefits and/or impact accruing to the **enrolled** child and/or his/her family and/or the community:
 - 1) are identifiable **(Source: § 7.9.3)**:
 - 2) can be documented **(Source: § 7.9.2)**; and
 - 3) are regularly shared with and understood by sponsors including **(Source: § 7.11.12)**
 - a) Its definition of benefits to sponsored children, their family, and the community;
 - b) How it monitors the delivery of these benefits;
 - c) The status of each sponsored child, with regular updates;
 - d) Significant changes which impact the child’s participation in the program

Appropriate records shall be maintained.

- **Component II.D.4 –** The Child Sponsorship Organization shall never knowingly enroll a child or family already enrolled by another sponsorship agency. **(Source: § 7.9.6)**
- **Component II.D.5 –** The child sponsorship organization shall not seek more than one sponsor for a child unless this fact is clearly communicated to sponsors. **(Source: § 7.9.6)**

Standard II.E: Fundraising and Commitment to Accurate Disclosure

The organization providing child sponsorship services is truthful in marketing and advertising. **(Source: § 7.9.9)**

- **Component II.E.1 – (U.S. and field offices)** Marketing materials, including visual images, shall be accurate and current in their portrayal of conditions involving families and children depicted in these materials. **(Source: § 7.9.10)**
- **Component II.E.2 – (U.S. and field offices)** The Child Sponsorship Organization that pools sponsorship contributions to support child-focused community development projects shall note this practice in sponsorship marketing materials. **(Source: § 7.9.11)**
- **Component II.E.3 – (U.S. and field offices)** The Child Sponsorship Organization shall seek to protect sponsors from inappropriate solicitations from sponsored families. **(Source: § 7.9.1, 7.9.12)**

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Guidance II

Component	Intent	Evidence
<p>I.A: Board Responsibility</p> <p>A member Child Sponsorship Organization shall be governed responsibly by an independent, active and informed Board of Directors and, if applicable, its duly constituted Executive Committee. (Source: §§ 2.1, 2.2)</p>		
<p>Component I.A.1 (U.S. office only) – The Child Sponsorship Organization’s board <i>shall</i> act as the organization’s governing body, accepting responsibility for oversight of all aspects of the organization.</p>	<p>To ensure that each CSO has in place a “governing” board of directors that fulfills its fiduciary responsibilities.</p>	<p>1. Pertinent section of bylaws, charter, or policy and procedures that vest authority to the board; 2. If possible, interview(s) with Board Chair and/or other Board members in order to confirm their responsibility.</p>
<p>Component I.A.2 (U.S. office only) – The Child Sponsorship Organization’s board policies <i>shall</i> specify the frequency of board meetings (at least two meetings per year), adequate attendance by <i>directors</i> (at least a majority of directors on average), and voting requirements. Records of these meetings shall be maintained</p>	<p>To ensure that the board of directors meet frequently enough with a minimum of a quorum present at each meeting, in order to provide active and informed decisions.</p>	<p>1. Pertinent section of the policy or bylaws that specify the frequency of board meetings and define the required attendance. 2. Minutes from last year to show that meetings were held as required and that attendance and voting requirements were met.</p>
<p>Component I.A.3 (U.S. and field offices) – Policies and procedures <i>shall</i> be in place to ensure that the activities are conducted within applicable laws.</p>	<p>To ensure that each CSO has an established system/mechanism to monitor its operations against the prevailing laws and regulations that apply to its work. The phrase “applicable laws” should be understood to include U.S. law, host-country law, and international law.</p> <p>The Standard notwithstanding, InterAction recognizes that it may be necessary in certain cultures to operate outside the parameters of local law in order to provide the services promised to beneficiaries. This affirms the possibility of conscientious objection in the context of a clearly defined organizational policy.</p>	<p>1. Internal policies, procedures and agreements which show compliance with applicable laws -- examples are articles of incorporation, registration agreements, and labor laws. 2. If legal action has been initiated against the organization within the last three years, document internal policies and procedures followed, and any actions taken, to respond to and resolve legal action.</p>

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<p>Component I.A.4 (U.S. office only) – The Child Sponsorship Organization’s board <i>shall</i> exercise fiscal oversight of the organization by:</p> <p>a) Approving the annual budget; b) Appointing an independent Certified Public Accountant as auditor; c) Receiving and reviewing the annual, audited financial statement, which comply with Generally Accepted Accounting Standards and Requirements according to the AICPA and the FASB; d) Requesting and reviewing a management letter, if applicable; and e) Reviewing the financial statements and activities of the organization.</p>	<p>Responsibility for oversight of the annual budget, including both projected income and expenses, is a basic and essential board function.</p>	<p>1. List board members who are on financial oversight committee, including name of board treasurer (if applicable). Most of the following should be available in the board meeting minutes: 2. Proof that board approved the budget. 3. Proof that the board appointed a CPA. 4. Proof that the board received and reviewed the audited financial statements. 5. Proof that the financial statements comply with GAAP according to AICPA and FASB. 6. Proof that board reviewed any management letter. 7. Proof that board reviewed the financial statements and activities of the organization.</p>
<p>Component I.A.5 (U.S. office only) – The Child Sponsorship Organization <i>shall</i> annually report to the public by means of an annual report, or in separate report formats the following information: a) Audited financial statements, b) IRS form 990 if applicable and requested, c) List of current board members, d) Other information that may be helpful to the public to understand the organization’s purposes, goals, activities and results.</p>	<p>Honest and accurate communications are essential if the public trust is to be earned. Transparency is a core value of public service organizations.</p>	<p>1. Copy of annual report/audited financial statements, along with: 2. Proof that audited financials are available to the public (can be on a website or by request). 2. Proof that the 990 is available upon request. 3. List of current board members is available to the public (best evidence would be from annual report on CSO website). 4. Section of annual report that includes information on the organization's purposes, goals, activities and results.</p>
<p>LB: IMPARTIALITY PROTECTIONS</p> <p>The Child Sponsorship Organization’s Board of Directors shall govern fairly and impartially.</p>		
<p>Component I.B.1 (U.S. office only) – Documented board policies <i>shall</i>: a) Restrict the number of employees who are voting members of the board, b) Provide limits for directors being related to one another, the founder, or the executive director or president/chief executive officer, c) Establish limited terms of service for directors and officers, d) Prohibit compensation to board members for service as directors</p>	<p>For a board to be “independent,” it shall normally not include more than one paid staff person, typically the chief staff officer, who shall not chair the board or serve as treasurer. A greater representation of paid staff on the board should be limited to large organizations with large, active boards, and, in such cases, a policy regarding the maximum staff representation should be clearly defined. The board chair and the chief staff officer should be independent of one another, i.e. not related by family or by close business or professional associations.</p> <p>The requirement that board policies include limited terms of service is NOT intended to force board members to retire after a specified time. The presence of defined terms simply ensures a periodic review of each board member’s performance; approval of a new term connotes a renewed commitment by both the organization and the individual board member, and thus represents good</p>	<p>1. By-laws or other documentation which shows that there are restrictions on the number of employees who are voting members of the board. 2. Appropriate sections of Bylaws and/or other relevant policies and procedures that address the terms of service, restrictions on board member’s relationships and services by employees, and board member’s compensation and/or reimbursement for expenses.</p>

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	institutional practice.	
<p>Component I.B.2 (U.S. office only) – Child Sponsorship Organization board policy <i>shall</i> prohibit direct and indirect conflicts of interest, requiring that members of the board and employees: a) Discloses any affiliation they have with an actual or potential supplier of goods and services, recipient of grant funds, or organization with competing or conflicting objectives; b) Absent themselves from discussion and abstain from voting or otherwise participating in a decision on any issue in which there is a conflict of interest; and c) Refuse large or otherwise inappropriate gifts for personal use. Appropriate records shall be maintained.</p>	<p>While it is neither possible nor desirable for members to attempt to suggest a detailed set of regulations that would cover all aspects of the professional behavior and ethical conduct for every individual associated with the organization, InterAction considers a written code of conduct to provide guidance for directors, employees, and volunteers to be a mandatory and essential vehicle for communicating institutional expectations.</p> <p>A formal board policy regarding conflict of interest is essential. At a minimum, these must cover all board members and all employees with supervisory responsibility. It is strongly recommended that they also cover employees below the supervisory level and volunteers, so that the commitment to individual integrity is organization-wide.</p>	<p>1. Conflict of interest policy; 2. minutes of board meetings where conflicts are disclosed or where board members abstained from voting, when applicable; 3. Filed board, staff, and volunteer conflict of interest statements which are updated periodically.</p>
<p>Standard I.C: Fiscal Management and Accountability</p> <p>The Child Sponsorship Organization’s finances are conducted in such a way as to assure appropriate use of funds. Appropriate records shall be maintained. (Source: § 4.1)</p>		
<p>Component I.C.1 (U.S. and field offices) – The Child Sponsorship Organization <i>shall</i> operate according to a budget approved by its board.</p>	<p>To ensure that each CSOs operating budget is vetted, approved and monitored by persons in addition to the management staff that created it. Financial accountability and sound financial management are at the heart of the relationship of trust between donors and donees and is a fundamental oversight responsibility of a board of directors.</p>	<p>1. Copy of budget; 2. documentation of budget approval (likely to be board meeting minutes for US, and approval from Country or other level for the field); 3. Annual financial reports (budget vs. actual).</p>
<p>Component I.C.2 (U.S. office only) – The Child Sponsorship Organization’s combined fundraising and administration costs <i>shall</i> be kept to the minimum necessary to meet the organization’s needs.</p>	<p>To ensure that each CSO sets internal targets for fundraising and administrative expenses that are appropriate to the nature of its structure and programs. These expenses should generally not exceed 35% of total expenditures.</p>	<p>1. Provide the ratio or proportion of the organization’s total combined fundraising and administrative costs to the total expenditures for each of the past three years; 2. Provide evidence that the office sets an internal target</p>
<p>Component I.C.3 (U.S. and field offices) – The Child Sponsorship Organization <i>shall</i> exercise adequate internal controls over disbursements to avoid unauthorized payments, and to prohibit any unauditible transactions such as loans to board members and to staff. This may include descriptions of procurement policies and procedures</p>	<p>To avoid unauthorized payments and to prohibit any unauditible transactions such as loans to board members and to staff.</p>	<p>1. Procurement and/or internal control policies, procedures or guidelines; 2. Proof that internal controls are in place, such as documentation of internal audits on budgets or projects, bidding process is being followed, etc.; 3. Conflict of interest policy; 4. Signatory (approval authority) policy; 5. Code of conduct</p>

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<p>Component I.C.4 (U.S. office only) – The Child Sponsorship Organization <i>shall</i> complete and file Form 990 annually to the United States government.</p>	<p>Compliance with all applicable laws includes those related to the regulation of the charitable sector. Filing a Form 990 is not only a U.S. Internal Revenue Service requirement, it reflects a commitment on the part of the filing charity to transparency and accountability. The existence of a dynamic and creative non-governmental, non-profit sector depends upon the public’s confidence in the efficacy of its programs and in the integrity of the individuals and organizations comprising the sector.</p>	<p>1. Form 990 for past three years.</p>
<p>ID: EQUAL ACCESS RIGHTS.</p>		
<p>Component I.D.1 (U.S. and field offices) – The Child Sponsorship Organization <i>shall</i> ensure that the fundamental concern of the organization is the well being of those affected, and its child sponsorship programs assist those who are at risk without political, religious, gender or other discrimination.</p>	<p>While each CSO may have its own targeted beneficiaries, there must not be any form of discrimination at point of service.</p>	<p>1. Sections of by-laws, standing policies, or procedures which refer to anti-discrimination in field programs, and/or 2. Anti-discrimination policy/procedures; 3. Guidelines for child participation/child enrollment/eligibility criteria 4. Orientation and/or training addressing non-discrimination. 4. Confirmation that the policy/procedures are practiced.</p>
<p>IE: ORGANIZATIONAL INTEGRITY</p> <p>The affairs of the Child Sponsorship Organization are conducted with integrity and truthfulness.</p>		
<p>Component I.E.1 (U.S. and field offices) – Each director and employee <i>shall</i> follow the organization’s written standard of conduct and such standard of conduct provides that: a) The organization opposes and does not act as a willing party to wrongdoing, corruption, terrorism, bribery, other financial impropriety, or illegal acts in any of its activities; b) The organization takes prompt and firm corrective action whenever and wherever wrongdoing of any kind is found among its board and employees; and c) The standard of conduct is maintained despite possible prevailing contrary practices elsewhere.</p>	<p>Member organizations must be committed to integrity and truthfulness; their activities should be open and accessible to scrutiny by donors.</p> <p>It is neither possible nor desirable for members to attempt to suggest a detailed set of regulations that would cover all aspects of the professional behavior and ethical conduct for every individual associated with the organization. However, members must recognize that their reputations for program quality and for individual and organizational integrity reflect on the whole PVO community. InterAction considers a written code of conduct to provide guidance for directors, employees, and volunteers to be an essential vehicle for communicating institutional expectations and for establishing the systems, policies and procedures needed to address problems if and when they occur.</p>	<p>1. Code of conduct; 2. Documentation showing that staff are aware of the code of conduct (e.g.: signed consent forms); 3. By-laws/other documentation which addresses how wrongdoing will be handled; 4. Examples of how past incidents of wrongdoing have been handled, if applicable.</p>

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	This component requires that the organization have documented policies or procedures to guide its investigation of, and corrective action to different types of wrongdoing. These documented policies or procedures need not be exhaustive; however, they should provide a framework for investigative and corrective action. Records of the investigations and corrective actions shall be maintained.	
Component I.E.2 (U.S. and field offices) – The Child Sponsorship Organization <i>shall</i> endeavor to assure confidentiality to employees desiring it who present evidence of misconduct or other irregularities in the conduct of anyone associated with the organization.	To ensure protection of “whistleblowers” from retaliation by the alleged wrongdoer and management.	1. Whistleblower policy/procedures; 2. Evidence that staff are aware of whistleblower policy/procedures (e.g.; documentation, staff interview); 3. Existence of a realistic reporting chain for whistleblowers.
I.F. MANAGEMENT AND HUMAN RESOURCES The Child Sponsorship Organization shall follow management practices that are appropriate to its mission, operations, and governance structure.		
Component I.F.1 (U.S. office only) – The Child Sponsorship Organization <i>shall</i> have clear, well-defined, <i>documented</i> policies and procedures relating to all United States employees, clearly outlining their rights and benefits	To ensure that each CSO has established written human resource policies which provide guidance for directors, employees, and volunteers. These policies are an essential vehicle for communicating institutional expectations.	1. Human resource policies and procedures; 2. Employee handbook; 3. By-laws/standing policies
Component I.F.2 (U.S. and field offices) – The Child Sponsorship Organization’s board documented policies <i>shall</i> prohibit excluding from participation, denying benefits, or otherwise subjecting to discrimination any person on the basis of race, color, national origin, age, religion, disability or gender in its hiring and human resource practices.	To ensure that each CSO regardless of its size, is committed explicitly through its policies and procedures to all Equal Employment Opportunity hiring practices, as well as to recruiting and retaining staff that combine professional competence with a commitment to service.	1. By-laws/standing policies; 2. Anti-discrimination policy/procedures; 3. Code of conduct; 4. Recruitment and hiring policies and procedures 5. Salary administration procedures.
Component I.F.3 (U.S. and field offices) – The Child Sponsorship Organization <i>shall</i> have documented policies and practices that support equal pay for equal work for women and men.	To ensure that salaries are not predetermined by the gender of the employee and that women employees are paid equally to men who share similar experience and responsibilities at their organization.	1. Policy which affirms organization’s commitment to equal pay for equal work; 2. Salary administration procedures; 3. Salary information for staff (can be reviewed during on-site audit).
SECTION II: PROGRAM STANDARDS		

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<p>II.A: PROGRAM DEVELOPMENT</p> <p>The organization’s child sponsorship program, through the use of child-centered approaches to development, empowers institutions, facilitates popular participation and sustainable development, to achieve as an end goal the well being of children.</p>		
<p>Component II.A.1 (U.S. and field offices) – The Child Sponsorship Organization child sponsorship programs <i>should</i> facilitate self-reliance, self-help and popular participation by empowering individuals and communities, and giving priority to working with or through local and national institutions and groups.</p>	<p>Each CSO’s child sponsorship program, regardless of its approach, should never be imposed upon sponsored children and their communities, but rather should engage with its beneficiaries in program design, implementation, and evaluation to enable the empowerment of local individuals, institutions and communities.</p>	<p>1. Strategic plans; and/or 2. Other explanations of how programs empower individuals and communities; and/or 3. Explanation of how programs strengthen capabilities of local and national institutions or groups, with special emphasis on reviewing strategies related to empowerment of local partners, with evidence of transitioning capacities to the local level; 4. Information, such as cooperative agreements, on other entities CSO works with to implement programs (this will be most accessible in the field); 5. Policies, procedures, guidelines, and/or training material about working in partnership with local community groups and/or institutions.</p>
<p>Component II.A.2 (U.S. and field offices) – The Child Sponsorship Organization should document its approach to sponsorship program design and clearly outline the objectives and results they plan to achieve in the sponsorship programs.</p>	<p>To ensure that each CSO’s approach to its sponsorship program is clearly articulated in writing so that all stakeholders of each CSO’s work, including its employees, board of directors, donors, sponsors, partners, and beneficiaries can readily access and understand what services and outcomes they can and should anticipate from the CSO’s programming. Understandably, programming may vary from country to country and from community to community.</p>	<p>1. Strategic plan or other documentation which describes the goals and objectives of sponsorship program at multiple levels: country, district, and local.; 2. Training manuals or guidelines for program design</p>
<p>Component II.A.3 (U.S. and field offices) – Child Sponsorship Programs should be designed, implemented and monitored so that enrolled children, their families, and/or the community benefit in identifiable ways.</p>	<p>To ensure that each CSO develops programs that lend themselves to monitoring and evaluation of the tangible outcomes that were intended for and expected by program beneficiaries. Each CSO should clearly define its program target population and indicate the inclusion of enrolled children and families in that population.</p>	<p>1. Organization’s participation policy/procedures for enrolled children and families; 2. Evidence that enrolled children, families, and/or the community (depending on how CSO operates) have benefited in identifiable ways from the CSO programs, for example: tracking system, child monitoring form, or child progress report.</p>
<p>Component II.A.4 (U.S. and field offices) – The Child Sponsorship Organization <i>shall</i> have clear policies and procedures and/or criteria, guided by program principles, that enable it to move in and out of communities in an effective way when appropriate.</p>	<p>To prevent the ad hoc movement into new communities and/or out of communities that have been the beneficiary of CSO programs.</p> <p>The CSO should have a clearly defined approach to area selection, startup, implementation, and phase down and phase out. The beneficiary population should understand this approach and participate in it</p>	<p>1. Phase-in/phase-out policies, procedures, guidelines, or criteria; 2. Community needs assessment; 3. Evidence of these guidelines in field program design documents, if applicable; 4. Evidence of implementation of policy/procedure in the past two years, if applicable.</p>
<p>II.B: FOSTERING HUMAN RIGHTS</p> <p>In its program activities, the Child Sponsorship Organization respects and fosters human rights, both socio-economic and civil-political.</p>		

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<p>Component II.B.1 (U.S. and field offices) – The Child Sponsorship Organization <i>shall</i> establish and follow clear policies and procedures to protect children from abuse and neglect and that respect the privacy and dignity of children and their families.</p>	<p>To ensure that each CSO has in place established, written and institutionalized policies, procedures and employee training on those policies and procedures that protect children from abuse and neglect and that respect the privacy and dignity of children and their families.</p>	<ol style="list-style-type: none"> 1. Child protection policies/procedures; 2. Evidence that policies/procedures are being followed - this could include evidence that background checks are conducted, documentation of action taken upon unannounced sponsor field visit, review of sponsor/child correspondence, data security measures, etc. 3. Child Rights education programs. 4. Establishment of child rights and child protection networks including government and NGO partners and all beneficiaries.
<p>II.C: PROGRAM QUALITY</p> <p>MONITORING AND EVALUATION</p> <p>The Child Sponsorship Organization has established policies and procedures for ongoing monitoring and evaluation of its child sponsorship programs and projects, both qualitatively and quantitatively.</p>		
<p>Component II.C.1 (U.S. and field offices) – The Child Sponsorship Organization’s procedures for program monitoring and evaluation <i>shall</i> address the effective use of inputs, including human and financial resources.</p>	<p>To encourage each CSO to ensure that program monitoring and evaluation are incorporated into each program design and that this design ensures the appropriate allocation of staff and funds; and the involvement of relevant stakeholders when measuring program outcomes and impact.</p>	<ol style="list-style-type: none"> 1. Training manuals or guidelines for program design, implementation, monitoring and evaluation which show how the CSO monitors the effective use of inputs; 2. Information on how CSO collects and analyzes data at field/HQ level, e.g.: a project database; 3. Evidence of data (such as applicable global indicators) being collected and analyzed at appropriate intervals; 4. Evidence of evaluation data being used for program improvement; 5. program budgets, information on budget monitoring and revision, as applicable
<p>Component II.C.2 (U.S. and field offices) – These procedures for program monitoring and evaluation <i>should</i> also address the effectiveness of the outputs and the results/impacts on the program participants, but not limited to the enrolled children and their families.</p>	<p>To ensure that the CSO understands that program indicators and outcomes must be developed that are tangible, intended, and measured by CSO management and that the CSO works with a clear definition of its target population.</p>	<ol style="list-style-type: none"> 1. Training manuals or guidelines for program design, implementation, monitoring and evaluation which show how the CSO monitors the effectiveness of outputs; 2. Sample report that demonstrates the results achieved in a program(s); 3. CSO's definition of a beneficiary and information on how the number of beneficiaries is derived; 4. Procedures to coordinate collection and analysis of program monitoring and evaluation data <u>at</u> the field and/or HQ level; 5. Evidence of this data (such as applicable global indicators) being collected and analyzed at appropriate intervals; 6. Evidence of evaluation data being used for program improvement; 7. System to assess long-term program impact.

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<p>Component II.C.3 (U.S. and field offices) – The Child Sponsorship Organization <i>shall</i> have the capacity to provide oversight of financial and performance and child monitoring at the local level, whether through a field office structure or through partnerships with local entities.</p>	<p>To require CSOs to establish internal organizational mechanisms that assure appropriate, ongoing oversight of local/regional program performance. This component does not address the external audits performed annually by an independent certified auditor.</p>	<p>1. Documentation that describes financial, program and child monitoring oversight structure and procedures; this may include organizational structure, job descriptions, financial procedures and signatory policy, and/or (where applicable) contractors' terms of reference. 2. Documentation of oversight activity, such as visit log, written visit report, etc.</p>
<p>II. D. CHILD SPONSORSHIP ACCOUNTABILITY</p> <p>The resources generated through child sponsorship are used and accounted for in a manner consistent with the programs and purposes described in appeals.</p>		
<p>Component II.D.1 (U.S. and field offices) – The Child Sponsorship Organization <i>should</i> not use sponsorship purely as a fund-raising tool, but seeks to make its sponsorship programs consistent with the organization’s overall mission and purposes.</p>	<p>To make certain that each CSO develops child sponsorship programs that are fully integrated into the overarching CSO corporate culture and that are in line with the CSO’s mission.</p>	<p>1. Information on organization's mission; 2. Strategic plan or other documentation of how the CSO's sponsorship program is consistent with the organization’s mission and purposes; 3. Information sent to a prospective or new sponsor from the US office; 4. Communications which are specific to the CSO's program and/or approach in the audited country Examples: 1) two-way communication between sponsors and beneficiaries; 2. participation of beneficiaries in the creation of communications materials; 3) development education materials that address general and country or area specific development issues and approaches.</p>
<p>Component II.D.2 (U.S. and field offices) – The Child Sponsorship Organization <i>shall</i> exercise management and financial controls to provide assurance that sponsorship contributions are used as promised or implied in the fundraising appeal or as requested by the donor.</p>	<p>To ensure that each CSO has well established policies on accounting practices regarding the appropriate use of restricted and unrestricted sponsorship funds, and that population targeting and program design are consistent with fundraising appeals.</p>	<p>1. Accounting policies which relate to use of sponsorship funds, including cash gifts to sponsored children; 2. Reports showing use of sponsorship funds; 3. Communications to the public and donors on the use of sponsorship funds.</p>
<p>Component II.D.3 (U.S. and field offices) - Organizations engaged in child sponsorship shall adopt policies, procedures and practices to ensure that the benefits and/or impact accruing to the enrolled child and/or his/her family and/or the community: 1) are identifiable; 2) can be documented; and 3) are regularly shared with and understood by sponsors including: a) Its definition of benefits to sponsored children, their family, and the community; b) How it monitors the delivery of these benefits; c) The status of each sponsored child, with regular updates; d) Significant changes which impact the child’s participation in the program. Appropriate records shall be maintained.</p>	<p>To ensure that CSOs have clearly defined expectations and definitions of benefits intended for the children, families and/or communities being served, and that those beneficiaries as well as their sponsors clearly understand what they should expect from the program .</p>	<p>1. Sample communications issued to sponsors in the past two years that may include: marketing materials sent to prospective sponsors which explain how their child and/or family, and/or community will benefit, Progress Report or other material sent to sponsor to show impacts/benefits received by either child and/or family and/or community; 2. copy of policy/procedure that requires enrolled children, their families, and/or the community to benefit in identifiable ways from sponsor's contributions. 3. CSO's participation policy; 4. information related to child monitoring which may include: tracking system, child folder which may consist of records of home visit/child monitoring. Materials applied to II.A.2 likely to be</p>

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		appropriate here.
Component II.D.4 (U.S. and field offices) – The Child Sponsorship Organization <i>shall</i> never knowingly enroll a child or family already enrolled by another sponsorship agency.	To avoid duplication of services to sponsored children and any inadvertent misrepresentation to sponsors.	Organization’s policy/procedure that prohibits the intentional enrollment of children or families already enrolled by another sponsorship agency
Component II.D.5 (U.S. and field offices) – The Child Sponsorship Organization <i>shall</i> not seek more than one sponsor for a child unless this fact is clearly communicated to sponsors.	To avoid unintended duplication of services to sponsored children and/or any inadvertent misrepresentation to sponsors.	1. Policy/procedure that prohibits more than one sponsor per child and/or 2) List of sponsorship/types/products and their definitions; and/or 3) Communication sent to sponsor reflecting the type of sponsorship they have; or 4) Material that communicates to a sponsor that his/her sponsored child has or may have more than one sponsor.
Component II.E.1 (U.S. and field offices) – Marketing materials, including visual images, <i>shall</i> be accurate and current in their portrayal of conditions involving families and children depicted in these materials. <i>Note:</i> The organization’s communications <i>should</i> neither minimize nor overstate the human and material needs of those whom it assists. The organization’s communications <i>should</i> not contain any material omissions or exaggerations of fact, misleading photographs, nor any other communication that would tend to create a false impression or misunderstanding. The materials <i>should</i> give accurate balance to the actual programs for which the funds solicited will be used.	To ensure that the organization’s communications neither minimize nor overstate the human and material needs of those whom it assists. The organization’s communications should not contain any material omissions or exaggerations of fact, misleading photographs, nor any other communication that would tend to create a false impression or misunderstanding. The materials should give accurate balance to the actual programs for which the funds solicited will be used.	1. CSO’s marketing guidelines or methods used to address the accuracy and currency of conditions portrayed in the organization’s communications; 2. (in the field) comparison of marketing materials to field conditions; 3. country-specific website content, if applicable. 4. Examples of CSO materials cross-checking by the FO.
Component II.E.2 (U.S. and field offices) – The Child Sponsorship Organization that pools sponsorship contributions to support child-focused community development projects <i>shall</i> note this practice in sponsorship marketing materials.	To preserve and protect the trust of sponsors and other donors by ensuring the accuracy and transparency of each CSO’s approach to child sponsorship and the manner in which its sponsorship funds are used. ..	1. Attach copies of current, written disclosures that communicate the CSO pools funds; 2. (in the field) comparison of marketing materials to field conditions; 3. Country-specific website content, if applicable. 4> Country-specific policies re: relation of enrolments to target populations.
Component II. E.3 (U.S. and field offices) – The Child Sponsorship Organization shall seek to protect sponsors from inappropriate solicitations from sponsored families.	To ensure that each CSO develops and implements clear policies and procedures that shield sponsors from inappropriate communication from sponsored families.	1. Provide policies/procedures which address methods of protecting sponsors from inappropriate solicitations; 2. Show quality control mechanisms used in field to ensure communications are not inappropriate.

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Guidance III

Glossary of Certification Terms

This glossary is an element of the standards

Accreditation: Authorization to confer certification to a standard, by an accreditation agency, based on ongoing and periodic audits of certifier and determination that it meets the specified requirements. There are three stages: document review of procedures; office auditing to verify evidence the procedures are being followed; witnessing of an audit to verify field implementation of the procedures.

Application for certification: Documentation offered to demonstrate procedures and practices are in place to ensure the organization is meeting the standards, including information developed in self-study preparatory work.

Beneficiaries: The individuals and communities explicitly targeted by the CSO's program.

Best Practices: Recommended services and supports that are individualized and based on the most recent validated research and expert consensus about evidence and outcomes.

Bylaws: Adopted by the organization for the regulation of its internal affairs, in particular, the actions of the governing body and its relationship to the chief executive officer and any advisory board associated with the organization.

Certification: The formal evaluation of an organization against accepted criteria or standards according to an established methodology used to measure and rate compliance. The process comprises three stages: review for adequacy and appropriateness of documented procedures for meeting the standard; verification that there is evidence the procedures are known to staff and being followed at US headquarters; testing the effectiveness of the management systems in the field by auditing a sample of sites. Periodic surveillances takes place during the finite term of certification.

Certification Body: A third party that assesses and certifies compliance of a system with a specified standard, under the oversight and authorization of an accreditation agency.

Certification Review Panel: This panel is chaired by a certification body representative with representatives from InterAction, sponsors, donors, a subject matter expert who did not participate in the audit, other interested parties as identified by InterAction and/or the panel chair. The panel reviews the audit reports and recommendations from the certification body and decides if there is adequate information to grant certification. Members serve for a term of one year, which may be renewed.

Child Sponsorship Certification Standards: The set of performance and accountability standards being used in the child sponsorship pilot certification project that is being accredited by Social Accountability Accreditation Services. These Standards were drawn directly from the PVO Standards of InterAction, which were divided into three discrete categories, consolidated under common headings and broken down into more manageable components for the purposes of this certification pilot. These changes to the PVO Standards were reviewed and approved by the InterAction Board of Directors.

Component: For purposes of Child Sponsorship Certification, a standard of best practice, organized by subcategory within two main sections. I. Governance and Administration Standards and II. Child Sponsorship Program Standards.

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Confidentiality: An ethical and practice principle that requires the protection of information shared within a service relationship. An organization that upholds confidentiality prohibits personnel from disclosing information about persons served without their written consent. Auditors keep confidential the information which they review in documents, and on site visits, and sign agreements to that effect.

Contractor, independent: An independently employed individual who contracts to do a piece of work according to his/her own methods and is subject to his/her employer's control only as to the end product or final result of his/her work, not as to the means whereby it is to be accomplished.

Corrective Action Request (CAR), Major: A finding that a CSO has not effectively implemented an element or requirement of the Standard to an extent that the ability to fulfill that element or requirement is absent or that there has been a complete breakdown in the ability of the CSO to meet that requirement, constituting a major non-conformity with the standard.

Corrective Action Request (CAR), Minor: A finding that an element or requirement is not being met but not to the extent that the CSO fails to effectively provide services in general compliance with the intent of the Standard, constituting a minor non-conformity with the standard.

Corrective Action Procedures: Documented methods included in monitoring and evaluation procedures for addressing non compliance and developing and implementing corrective and preventive actions.

CSO: Child Sponsorship Organization

Disclosure and Reporting: All documents that are deemed part of the certification and accreditation processes are kept confidential. The fact of certification is public information, which shall be posted by SAAS and may be listed by other parties in the system. Status of Certification: no information is disseminated; there are no comments on whether or where in the process of certification or accreditation an entity may be. Any organization will publicly report/publish information as it desires, about itself only--that it has or has not applied, etc.

Evaluation and monitoring: This process includes internal review of standard compliance throughout the organization, headquarters, national and project sites and offices. Such internal reviews of program and performance covering applicable components of the Standards are part of the evidence of compliance typically conducted as part of self-study and forwarded as part of certification applications.

Job Description: Explicit obligations and specific tasks required of personnel as a condition of employment. Such descriptions are in writing and may include educational, experience and skill requirements associated with the job.

National office: **Sometimes referred to as a Country Office:** The organization's office (or the office of the entity that the organization partners with) that is located in a country other than the United States through which the organization provides services in that country or region. The alliance that the organization belongs to may have more than one national office in a single country or region.

NGO: Non-governmental organization. The term can be applied to international CSOs or PVOs or to national or local organizations engaged in development activities.

Partner: An NGO with which the CSO has established a relationship for the purposes of program implementation. The partnership may be a formal, legal one or a non-contractual one.

Person served: Individuals, groups, organizations, or communities that use, receive, or benefit from programs and services. Persons served can include consumers, children, family members, legal guardians,

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advocates, and public/private institutions.

Personnel: The body of employees, consultants, and/or volunteers that carries out tasks of the organization, performing under the organization’s administration and/or supervision.

Planning: The process of specifying objectives, evaluating the means for their achievement, and deliberate decision making about appropriate courses of action.

Policies: Written statements of principles and positions that guide organizational operations and services.

Practice: Established actions or ways of proceeding in the regular performance of organizational duties. Policies and procedures often guide practice.

Procedures: The designated methods by which broad policies are implemented and organizational operations are carried out, usually contained in writing by an operating or program manual as an adjunct to board-approved policies.

Private Voluntary Organization Standards, InterAction (PVO): Standards established by InterAction in the areas of governance, finance, communications with the U. S. public, management practice, human resources, program and public policy. Standards are available and may be downloaded from the InterAction website: www.InterAction.org.

Sampling: Testing the efficacy of internal control/management systems by visiting a small number of sites. If a defined number of sample sites do not evidence that the control systems are adequate, corrective action is required, after which a new sample will be selected.

Sponsorship: The practice of raising funds for development programs through a link between the donor (sponsor) and an identified beneficiary. OK???

Standard : The broad topic statement of best practice provided for each subcategory, including both components and standards, and derived from the appropriate InterAction PVO Standards.

Subcategory: A topic heading within one of the two sections of Child Sponsorship Certification Standards. Example: “A. Board Responsibility” is a subcategory of the “I. Governance and Administration” Standard.

Subject Matter Expert: Person with experience and expertise in child sponsorship organizations, policy and programs, regional and national issues, who brings such knowledge to both audit teams and the certification review panel.

Surveillance: During the term of accreditation or certification, semi-annual audits and report reviews to verify that compliance is ongoing

Training: Instruction so as to make fit, qualified, or proficient in a skill or body of knowledge.

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Guidance IV
Guidance for the certification process

**Requirements for InterAction Child Sponsorship Organization Certification
by SAAS Accredited Certification Bodies**

SAAS CERTIFICATION REQUIREMENTS

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Foreword

InterAction has established a standards and certification program for member organizations. The achievement of this certification by a qualifying organization will indicate that the child sponsorship organization meets the Private Voluntary Organization Standards, or PVO Standards established by InterAction. The InterAction Child Sponsorship Certification aims to promote confidence that organizations which have this credential provide child sponsorship services at the high level associated with the InterAction Child Sponsorship Certification standards and methodology. In addition, InterAction Child Sponsorship Certification prioritizes quality improvement, which is achieved by implementing management processes that meet the InterAction Child Sponsorship Standards and continuing to improve their performance over time. Certification verifies the implementation of an effective set of management, governance and program procedures and controls defined to be critical to the effective and reliable functioning of the Child Sponsorship Organizations in fulfilling their missions.

Once an organization has implemented the necessary improvements, it can earn a certificate attesting to its compliance with the InterAction Child Sponsorship Certification. This certification is awarded by certification bodies that are accredited by SAAS, Social Accountability Accreditation Services.

Purpose

This document has been written for use by Certification Bodies undertaking assessments of organizations against the InterAction Child Sponsorship Certification, Standards and to define the certification process requirements to be used by those Bodies. The purpose of this document is to:

- Provide documentation to assure continuity and consistency of the InterAction Child Sponsorship certification process;
- Establish consistent InterAction Child Sponsorship Certification procedures, requirements and methodologies for accredited Certification Bodies to operate in a consistent and controlled manner; and
- Provide transparency that is required of an international accreditation body.
- Provide training and educational materials to organizations interested in certification.

This document prescribes the procedures, criteria and methodology that a certification body must undertake in carrying out the assessment of an organization that submits for compliance with InterAction Child Sponsorship Certification. The assessment of an organization for compliance with InterAction Child Sponsorship Certification is a voluntary procedure and it is the responsibility of any such organization to provide sufficient evidence that certification is justified.

This procedure shall be updated from time to time and is subject to regular oversight by SAAS and its board.

The requirements in this document include criteria for certification body recognition, certification body audit process, certification body auditor qualifications and certificates. These requirements are binding on certification bodies accredited by SAAS for InterAction Child Sponsorship Certification Standards certification.

Supporting Documents

SAAS Procedure XXX, Child Sponsorship Organization Accreditation

SAAS Procedure 304, For Making A Complaint Or Appeal

Commonly used acronyms in this procedure:

- SAAS – Social Accountability Accreditation Service
- CSO – Child Sponsorship Organization
- CB – Certification Body

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- CAR – Corrective Action Request
- CRP – Certification Review Panel
- SME – Subject Matter Expert

1.0 Certification Body

- 1.1 The certification body shall be accredited for InterAction Child Sponsorship Certification Standards certification program.
- 1.2 Violation of these requirements by any part of a certification body organization shall initiate the de-accreditation process and may result in the loss of accreditation by SAAS.
- 1.3 The certification body, or the organization of which it forms a part, shall be legally identifiable. A certification body that is part of an organization involved in functions other than certification shall be organizationally identifiable within the related organization. Where the certification body also supplies other services, the relationship between the certification function and other functions must be clearly defined and separation maintained.
- 1.4 The certification body shall retain authority and shall be responsible for its decisions relating to certification, including the granting, maintaining, renewing, extending, reducing, suspending and withdrawing of certification.
- 1.5 The certification body shall include in its operating procedures a description of the specific certification processes for which SAAS has accredited it for, and the sequence and interactions. The certification body shall perform internal audits of those certification activities using a process approach compliant with ISO 9000:2005.
- 1.6 Where a certification body has multiple offices involved in the Interaction Child Sponsorship certification process, the following conditions shall be fulfilled:
 - a. The certification body shall use a common management system requiring use of the same procedures for all its offices in the delivery of certification to the standard.
 - b. One CB staff member shall be designated to interface with SAAS. This designated staff will be the direct contact with SAAS and will be responsible for the control of all the InterAction Child Sponsorship Certification Standards certification related activities, except where necessary for scheduling and logistics. The office where this designated staff is based shall be visited annually,
- 1.7 The certification body shall conform to ISO/IEC 17021:2006, "Conformity assessment – Requirements¹ for bodies providing audit and certification of management systems", and this procedure.
- 1.8 The certification body procedure for management of complaints shall encompass at a minimum a documented investigation process, corrective action system (including root cause analysis, preventive action, and systemic corrective action) and a record of each complaint and its resolution. SAAS shall be notified of each such complaint received within one month of receipt and will be appraised of its subsequent investigation and resolution.
- 1.9 In order to avoid conflict of interest, certification bodies whose related bodies have provided child sponsorship related consulting services within the prior two years to a particular organization shall not contract as a certification body for that company or any of its sites.

Note: Consulting is the provision of documentation development, or assistance with implementation of management systems to a specific organization. Training in a public forum is not considered consulting nor is an

¹ Guide 17021 will replace ISO/IEC Guide 62:1996 for required implementation by September 15, 2008 for Certification Bodies accredited by SAAS prior to January 1, 2008. Organizations seeking accreditation by SAAS after January 1, 2008 will be required to conform to Guide 17021 by the date of accreditation. SAAS will transition to required compliance to ISO/IEC 17021:2006 to replace ISO/IEC Guide 62:1996 for existing Certification Bodies and will require compliance to ISO/IEC 17021:2006 in lieu of ISO/IEC Guide 62:1996 by September 15, 2008 in line with IAF requirements.

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introductory session such as a 1-day awareness program at the client's location.

- 1.10 The certification body may perform a "pre-assessment" or "pre-audit" which is an audit prior to the initial Stage 1 audit that generates non-binding findings at the certification body client's sites, without recommending solutions. The pre-assessment shall not be considered as part of the initial audit.
- 1.11 The certification body shall have a documented procedure to ensure the continuing effectiveness and competence of its InterAction Child Sponsorship Certification auditors and technical advisors. This procedure shall include an internal witness audit process that has the initial and continuing authority for the approval or rejection of the CB's auditors. This procedure and process shall be approved by SAAS in accordance with the requirements of section 3 in this document.
- 1.12 Certification bodies shall maintain, as a minimum, the following records:
- a. copies of scheduled audits showing time and assigned auditors,
 - b. auditor qualification records (employees and sub-contracted) including evidence of completion of required background checks,
 - c. the quotation file to the organization, including the audit days and how they were calculated, and audit day fees,
 - d. notes/minutes from stakeholder consultations and other pre-audit research
 - e. pre-assessment reports, if conducted,
 - f. the report of the stage 1 readiness review, if applicable, including the evidence that all the requirements are addressed by the certification applicant's processes,
 - g. the audit plan (agenda) demonstrating auditor itinerary details, time frames, subjects (processes) covered, and personnel involved,
 - h. the final audit report, including the opening and closing meeting attendance records, positive reporting notes and checklists completed by each auditor and the audit team recommendation regarding certification,
 - i. copies of all nonconformities issued, surveillance audit reports, follow up reports, and other documentation leading to the verification of the effectiveness of the correction of the nonconformities,
 - j. audit logs/notes as maintained by each audit team member,
 - k. a copy of the certification decision process,
 - l. a copy of the certificate issued,
 - m. the audit team members' initial assignment approval and continuous performance evaluation,
 - n. client, interested parties, organization and worker complaints including the actions taken to resolve them,
 - o. a register of all certified organizations.
 - p. SME –selection
- 1.13 All the records specified above, stored in hard copy or electronically, must be readily accessible during an office assessment by SAAS. The certification body shall maintain an effective procedure that defines the controls for the identification, storage, protection, retrieval, retention time and disposition of records. The records specified above shall be retained for the life of the associated certificate plus 3 years.
- 1.14 Records shall be accessible at the designated office (see 1.6b) and remain legible, readily identifiable and retrievable. These documents must also be made available to SAAS to allow adequate review and oversight and to provide appropriate evidence of compliance by the CB and its personnel.
- 1.15 All certification body documents and records shall be in English.

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2.0 Audit Process

- 2.1 Any child sponsorship organization that is a member of InterAction and is headquartered in the United States may elect to pursue third party certification to these InterAction Child Sponsorship Standards. Such organizations, however, shall have demonstrated capability to conform to all InterAction Child Sponsorship Standards requirements.
- 2.2 The certification process shall address all InterAction Child Sponsorship Standards requirements according to this Procedure and the requirements of ISO/IEC 17021:2006.
- 2.3 The initial certification audit shall be conducted in two stages: Stage 1 – readiness review and Stage 2 – on-site audit
- a. Stage 1 - Readiness review: see ISO/IEC 17021: 9.2.3.1. The Stage 1 review shall usually be conducted during an on-site visit to the organizations headquarters, and only applies to the initial certification headquarters audit.
 - b. Stage 2 – On-site audit: see ISO/IEC 17021: 9.2.3.2. The Stage 2 audit shall be conducted at the organization’s US headquarters site and at a sample of their field office sites. The field office sites shall be selected by the CB with input and approval from the CSO. This selection will be based on the percent of sponsorship activity that the field office sites represent. For the initial certification Stage 2 audit, a total of three or four field office sites shall be selected from the sites that represent the top 60% of sponsorship activity. Annex 2 contains a description of the SAAS sampling methodology for site sampling.
- 2.4 Audit planning and execution shall take into account all child sponsorship stakeholders, both on site and off site. The certification body audit plan shall address all relevant elements of the standard at each location reviewed and shall be developed in consultation and cooperation and coordination with the Subject Matter Expert as defined in Annex 1.
- 2.5 All standards and their components, as defined in the InterAction Child Sponsorship Standards document, shall be assessed at a minimum of once every four years. The audit cycle shall be based upon the dates of the initial certification decision. The time interval between initial certification and re-certification or between two re-certification audits shall not exceed four years from issue, except that a grace period of up to 3 months may be allowed with proper documented justification.
- 2.6 All requirements of the InterAction Child Sponsorship Standards shall be verified during the stage 2 site audit of the initial audit and re-certification audit.
- 2.7 The audit plan shall be established in compliance with the guidance in the current version of ISO 19011 and adapted to the processes and working environment of the organization and shall include all applicable requirements of the InterAction Child Sponsorship Standards. The audit plan shall be established based on the process approach as defined in ISO 9000:2005.
- 2.8 An audit nonconformity (also referred to as a Corrective Action Request, or CAR) finding shall have three distinct parts:
- a. a statement of nonconformity,
 - b. the requirement, or specific reference to the requirement in the InterAction Child Sponsorship Standards,
 - c. the objective evidence observed that supports the statement of nonconformity.
- 2.9 A major CAR is one or more of:
- a. the absence of, or total breakdown of, a system to meet an InterAction Child Sponsorship Standards requirement. A number of minor nonconformities against one requirement can represent a total breakdown of the system and thus be considered a major nonconformity;

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- b. a nonconformity that judgment and experience indicate is likely either to result in the failure of the InterAction Child Sponsorship Standards in meeting its goals and expectations or to materially reduce its ability to assure control of its policies and directives in the workplace to protect its workers and/or beneficiaries;
 - c. a nonconformity that poses an imminent threat to a child sponsorship recipient's or provider's health and safety or violates the child protection policy.
- 2.10 A minor CAR is a failure to comply with the InterAction Child Sponsorship Standards which, based on judgment and experience, is not likely to result in the failure of the system or reduce its ability to assure the ongoing viability and effectiveness of the system's policies and procedures. It may be one of the following:
 - a. a failure or oversight in some part of the organization's which is not systemic in nature;
 - b. a single observed lapse in following one item of an organization's system;
- 2.11 All CARs shall be recorded. CARs may not be closed during the audit in which they were issued. The certification body shall require the organization to submit root cause analysis and evidence of systemic corrective action for each nonconformity issued. All CARs shall be written against the CSO's headquarters operations, and only the headquarters may provide the effective corrective action for the resolution of a major or minor CAR. A CAR that is originated at a delivery site shall be referred to the CSO's headquarters for resolution. Establishing timing for the effective resolution of CARs is the responsibility of the lead auditor.
 - a. Major CARs must have an action plan approved by the CB within 30 days from issue and effective corrective action implemented and verified by the CB within 90 days from issue of the CAR. The issue date is defined as the date of the transmission of the final report
 - b. Minor CARs must have effective corrective action implemented and verified by the CB within one year.
- 2.12 Child Sponsorship Organizations shall not be certified to InterAction Child Sponsorship Standards if any open major CARs exist. Minor CARs may remain open for a specified period, not longer than one year from issue, to allow sufficient time to close them effectively.
- 2.13 If an audit must be terminated for lack of proper or adequate system implementation, a re-audit must be done from the beginning of the process, not necessarily at the terminated location.
- 2.14 Surveillance audits shall be conducted at selected certified child sponsorship organization field office sites every six months. The field office sites shall be selected by the CB with input and approval from the CSO. The selection shall be based on the distribution of sponsorship activity and in agreement with SAAS sampling methodology (see Annex 2). Field offices shall be selected for each surveillance audit; at least one of these shall be selected from the bottom 40% of the sponsorship activity list.
- 2.15 Every re-certification audit shall re-assess the effectiveness of the policies and actions defined in the InterAction Child Sponsorship Standards and the overall effectiveness of the system in its entirety taking into consideration internal and external changes which may have affected the system. The recertification audit shall include an audit of the US headquarters office and at least two field office sites. The field office sites shall be selected by the CB with input and approval from the CSO. This selection will be based on the percent of sponsorship activity that the field office sites represent. The field office sites shall include sites that represent the top 60% of sponsorship Annex 2 contains a description of the SAAS sampling methodology for site sampling.
- 2.16 The audit report is a consensus document between the CB lead auditor and the subject matter expert (SME). The responsibility for the drafting, review and submission of these reports remains with the CB lead auditor.
 - a. Audit reports summarize evidence of compliance at headquarters and selected field sites, and also explain any aspects of the standards not fully complied with or not applicable, as well as Corrective Action Requests (CARs), major and minor, if applicable. Audit reports often also contain Opportunities for Improvement shared by the audit team regarding CSO performance as it relates to compliance with the InterAction Child

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Sponsorship Certification Standards.

b. The audit report shall comply with all requirements of ISO 19011:2002, 6.6.1- Preparing the audit report. In addition, the following requirements apply:

- the attendance records for the opening and closing meetings shall be included in the report
- a statement that the audit was conducted per the audit plan, and a copy of the audit plan that reflects how the audit was conducted (reflecting any changes made during the course of the audit)
- a clear statement of the audit team recommendation about certification
- a description of the organization’s operations for the benefit of the certification review panel (CRP) describing the CSO program
- descriptive narratives for the compliance / noncompliance of each standard and component, including a section for best practices of the organization
- clear statements of nonconformities and opportunities for improvement (see section 2.8)

2.17 Certification Review Panel. Traditionally, certification review panels sit within the certification body which conducted the audit. In this program, however, it is desirable to convene more inclusive certification panels including stakeholders whose concerns are addressed in several specific standard components dealing with financial and program governance.

The certification review panel members shall include:

1. An individual sponsor of a child
2. An institutional donor (funder)
3. A Subject Matter Expert who was not part of the reporting audit team ,
4. A Certification Body Representative, CHAIR, who was not part of the reporting audit team

Qualified Certification Review Panel members are convened to consider initial certification and certification reissue decisions, and may be convened to hear serious complaints and issues involving unresolved major nonconformities involving certified child sponsorship organizations.

Qualification requirements shall be established by SAAS Director of Accreditation with InterAction review and approval.

The Certification Review Panel will make one of three determinations, based on the reports and other materials available for review:

1. recommendation of certification, in the case of few or no minor non-conformances and no major non-conformances
2. recommendation of certification, pending confirmation either by correspondence or on-site review of satisfactory corrective action for a major non-conformity
3. finding that there is inadequate information on compliance to recommend certification at this time

2.18 The Certification Review Panel reviews the audit reports and recommendations about certification of a child sponsorship organization (CSO) and decides whether there is adequate information supporting compliance for the certification body to grant certification or recertification for a four year period. The panel may ask questions of the lead auditor or SME that were on the audit team and ask for supplemental information. The report submitted to the panel will include information on steps being taken to correct any non-conformity.

Audit reports summarize evidence of compliance at headquarters and selected field sites, and also explain any aspects of the standards not fully complied with or not applicable. It is the responsibility of this panel to determine whether this evidence and information is adequate to justify the certification of the applicant child sponsorship

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organization.

3.0 Audit Team Requirements

3.1 Lead Auditors: The certification body shall evaluate all lead auditors in the process of qualifying them to perform InterAction Child Sponsorship Standards audits and regularly thereafter, and shall have evidence available to demonstrate the competence of each one. Each such auditor, as a minimum, shall be as follows:

- a. employed by or under contract to a SAAS accredited certification body, and qualified by that CB as a lead auditor,
- b. qualified as a ISO 9001:2000 or equivalent lead auditor by a SAAS accredited certification body or by a recognized auditor certification body,
- c. designated as qualified to perform headquarters audits, delivery site audits, or both,
- d. trained in the InterAction Child Sponsorship Standards utilizing a SAAS approved course as specified in 3.6 below,
- e. experienced, demonstrated by having:
 - 1) satisfactorily served as a lead auditor on at least three accredited ISO 9001 or 14001 certification, recertification or transfer audits or equivalent,
 - 2) participated in at least one InterAction Child Sponsorship Standards headquarters certification audit as a team member, to be qualified as a headquarters site lead auditor,
 - 3) participated in at least one InterAction Child Sponsorship Standards delivery site certification audit or at least two delivery site surveillance audits as a team member, to be qualified as a delivery site lead auditor.

3.2 Team Auditors:

The certification body shall evaluate all auditors qualified to perform InterAction Child Sponsorship Standards audits and shall have evidence available to demonstrate competence, at a minimum, as follows:

- a. be employed by or under contract to a SAAS accredited certification body, and qualified by that CB as an auditor,
- b. qualified ISO 9001:2000 or equivalent auditor by a SAAS accredited certification body or by a recognized auditor certification body,
- c. designated as qualified to perform headquarters audits, deliver site audits, or both,
- d. trained in the InterAction Child Sponsorship Standards utilizing a SAAS approved course as specified in 3.6 below,
- e. experienced, demonstrated by having:
 - 1) satisfactorily served as a team member at least three accredited ISO 9001 or 14001 or equivalent audits,
 - 2) participated in at least one InterAction Child Sponsorship Standards headquarters certification audit as a team member to be qualified as a headquarters site auditor,
 - 3) participated in at least one InterAction Child Sponsorship Standards delivery site certification audit or at least two delivery site surveillance audits as a team member to be qualified as a delivery site auditor.

3.3 The certification body shall evaluate auditor performance at least biennially in determining effective implementation of InterAction Child Sponsorship Standards requirements, including an internal witness audit

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process. Such evaluations shall also include feedback from SAAS witness audits, post-audit surveys, and feedback from SMEs and the organizations audited.

3.4 Audit Teams:

A CB audit team shall normally consist of a qualified CB auditor, a subject matter expert (SME) (see Annex 1) and a translator, as appropriate. All InterAction Child Sponsorship Standards audit teams shall satisfy the following:

- a. all team members shall have completed a background check as specified by InterAction,
- b. consist of qualified auditors to conduct audits in the name of the certification body,
- c. auditors shall be qualified to conduct either headquarters audits, delivery site audits or both,
- d. at least one member of the team is a qualified lead auditor
- e. at least one audit team member is qualified in interviewing techniques
- f. at least one subject matter expert, selected by the CB from the list of approved SMEs established by InterAction.
- g. team auditor(s) should have language skills appropriate to the assignment, when practical, or arrange for an independent translator that is skilled in conducting interviews for the team. No member of the audit team shall have provided consultancy for the client in the two years prior to the audit.

3.5 The certification body shall maintain personnel records documenting that auditors have appropriate skills and experience for specific audit teams. This shall include a documented procedure for ensuring auditor possession of appropriate language and interview skills, impartiality, and gender assignment.

3.6. Audit personnel qualifications related to training, interview expertise, and language skills are as follows:

- a. Training requirements: The CB shall document and demonstrate to SAAS that it satisfactorily ensures that audit personnel, including those (irrespective of job title) who make certification decisions and provide technical assistance to field auditors, are trained and proficient in the elements and application of the InterAction Child Sponsorship Standards.
 - i. The certification body shall develop auditor training in the InterAction Child Sponsorship Standards that specifically addresses CSO headquarters operations and delivery site operations. The training shall include exercises, case studies and other learning opportunities that require execution of all aspects of the audit experience, including audit planning, audit conduct, determination and preparation of CARs and the preparation of audit reports. The training shall include all of the standards and components of the standard, including evidences of compliance.
 - ii. The minimum duration of the training shall be two eight-hour days.
 - iii. The training may be delivered in person or in real-time telecommunication sessions. Training sessions must have more than two trainees for any course.
 - iv. The training materials shall be reviewed and approved by SAAS with the input of at least one SME.
 - v. The trainer must be a qualified lead auditor.
- b. Skill requirements: the CB shall document and demonstrate to SAAS satisfactory procedures for selecting a qualified team of auditors per 3.4 above. Additionally, the CB shall document how its auditing staff: 1) obtains factual information in a manner sensitive to local cultural norms, and ensures that any audit team can so conduct interviews, and 2) how it protects the confidentiality of those who are interviewed
- c. Assignment criteria: the CB shall maintain personnel records documenting that auditors have appropriate skills and experience for specific audit teams. Where a subcontractor, auditor or translator is engaged, the CB

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shall have procedures to confirm that person's impartiality, including that such subcontractor is not an employee or recent ex-employee of the auditee.

3.7 The audit team shall provide a full report on the client's activities and operations audited per section 2.16 within the following guidelines. The lead auditor is responsible for ensuring that comprehensive records of the audit shall be maintained as defined in section 1.12.

a. Certification Audit Timeline

For certification audits, draft audit reports should be completed at the conclusion of each audit undertaken (headquarters and each field site) and shared with subsequent audit teams (if different) before launching an audit of a new site. Time should be allotted to each audit team to review and discuss a preceding audit report, before the next field audit begins.

Within fourteen days following the last certification audit, the audit team, led by the CB lead auditor, should meet with CSO headquarters for a comprehensive review of all audit findings and observations. The CSO will have ten days following that meeting, to provide any additional evidence that may have been missed by the audit team that refutes and/or satisfies any observations and/or Corrective Action Requests (CARs) that the audit team plans to issue in the audit report. Within 21 days following this response from headquarters, the audit team, again led by the certification body, should complete the final audit report.

This final audit report should be issued immediately to the CSO, SAAS and to InterAction. Given the allowance for a closing meeting with headquarters (described above), it is understood by all parties that this final report is not to be considered a minority report that is subject to debate or further negotiation. However, the CSO will be given ten days to identify any factual errors that do not reflect what was agreed to and understood at the final closing meeting. Following this ten-day period, the final report will be issued by the CB to the certification review panel once it is scheduled to meet.

b. Surveillance Audit Report Timeline

Within ten days after completing a surveillance audit, the audit team should schedule either a face-to-face meeting or conference call with CSO headquarters for a comprehensive review of all audit findings and observations. The CSO will have ten days following that discussion, to provide any additional evidence that may have been missed by the audit team that refutes and/or satisfies any observations and/or Corrective Action Requests (CARs) that the audit team plans to issue in the surveillance audit report. Following this response from headquarters, the audit team, again led by the certification body, should complete the final audit report within 14 days.

3.8 SAAS shall continue to review and evaluate best practices for auditor and audit team requirements and may issue supplemental advisories on these requirements.

4.0 Complaints

4.1 Complaints Sent Directly to CB:

4.1.1 Upon receipt of a complaint within the scope of SAAS accreditation, the CB shall at a minimum:

- a. Initiate its complaints procedure.
- b. Acknowledge receipt of the complaint to the complainant within 5 working days.
- c. Communicate complaints to SAAS in agreement with the following guidelines:
 - i. Complaints concerning the performance of the accredited CB from applicant or certified CSOs or interested parties shall be sent directly to SAAS
 - ii. Complaints concerning the performance of the certified CSOs from interested parties should in the first instance be raised with the certification body in question, and if they are not satisfactorily addressed by the CB, they can be elevated to SAAS for review.
- d. For complaints concerning the performance of the certified CSOs from interested parties, the CB shall determine the acceptability of the complaint based on evidence received.

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- e. If the complaint is accepted by the CB, the CB shall conduct an investigation as detailed in 4.1.2 through 4.1.4 below.
- f. If the complaint is not accepted, the CB shall notify the complainant of the reasons for not accepting the complaint and provide instruction on the CBs appeals process. The complainant shall also be given the opportunity to provide additional evidence to support the complaint. Copies of communications when complaints are not accepted shall be sent to SAAS.

4.1.2 Complaints shall be reviewed by designated CB staff for relevance to provisions of InterAction Child Sponsorship Standards and for inclusion of documented evidence of non-compliance by the CB. An investigation shall be undertaken and may be aided through the undertaking of an unannounced audit and interviews with outside stakeholders. The investigation shall cover all elements identified in the complaint.

4.1.3 The CB shall submit a report to the complainant, with a copy to SAAS on the conclusion of its investigation. The report shall present the resolution of the complaint and the reasons for that conclusion, summarizing the documented evidence submitted unless the appellant has requested it be held confidential in whole or in part, and summarizing a response – if any – from the management of the child sponsorship organization. If the CSO has agreed to corrective action, that commitment shall be included in the report. When the CSO’s implementation of the corrective action has been confirmed, that too shall be reported. Every 6 months, each CB shall provide a detailed report to SAAS of all complaints received.

4.1.4 The CB client’s management shall have the right to submit a written response to the allegations and to have that response, or a summary of it, included in the report. The report shall be written so as not to breach the confidentiality agreement in effect and shall be issued within 10 days of the rendering of the decision.

4.2 Complaints Received by SAAS Regarding CB and CB Clients:

4.2.1 SAAS shall immediately forward all such complaints to the CB which shall follow the actions defined in sections 4.1.1 through 4.1.3, as detailed above.

4.2.2 In addition, the CB shall at a minimum:

- a. Acknowledge receipt of the complaint from SAAS.
- b. within 10 days report to SAAS with a plan of action, with subsequent reports every 30 days.
- c. Be in contact with the complainant as part of the investigation.
- d. Complete the investigation within 90 days, unless otherwise agreed to by the SAAS Director of Accreditation.

4.2.3 SAAS may elect to investigate the accredited certification body’s actions in investigating the complaint through an additional audit of the organization by SAAS

4.3 All interviews conducted by the CB auditor shall include information regarding how the person can communicate with the CB and SAAS regarding a concern or additional information related to the audit. The auditor shall provide such contact information.

4.4 All complaints shall be logged, actioned and records kept and shown to the SAAS auditor during their visit. All CBs within the SAAS accreditation system shall keep records of complaints and appeals and its responses to each for a minimum of 10 years after the resolution of the complaint.

4.5 SAAS shall communicate all complaints to Interaction within 10 days of its receipt of the complaint.

5.0 InterAction CSO Standards Certificate Content Requirements

5.1 Certificates shall be issued in English.

5.2 All InterAction Child Sponsorship Certification Standards certificates shall contain the following:

- a. Scope statement(s) including the child sponsorship organization’s name and the certified US Headquarters site

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address(es);

- b. The edition of the InterAction Child Sponsorship Standards to which certification applies; date of certification decision; and date of expiration (date of certification plus 4 years maximum);
- c. The CB's mark, SAAS mark and InterAction mark (equal prominence);
- d. A unique certification body certificate number for tracking purposes.

5.3 Certificates shall not reference other documents for which the certification body is not accredited by SAAS

6.0 Obtaining and Maintaining Accreditation

6.1 The certification body, prior to issuing any InterAction Child Sponsorship Standards certificate, shall have been granted SAAS accreditation to conduct such audits. Steps in the accreditation application process are detailed in the SAAS accreditation procedure XXX.

7.0 Other Requirements

- 7.1 Consultants to the applicant organization cannot participate in the audit but may observe the process.
- 7.2 The certification body shall not infringe the copyright of any documents used in the certification process.
- 7.3 An audit day is defined as a full normal working day of 8 hours. The number of audit days may not be reduced by scheduling longer hours per work day. Travel time shall not be included in the audit day time.

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Annex 1 Subject Matter Expert

1. Subject Matter Experts (SMEs) are integrated into all the review and evaluation processes in the Child Sponsorship Certification Standards system.
2. Certification audit teams shall, at a minimum, include both a person experienced with child sponsorship service delivery (SME) as and a qualified systems auditor.
3. As with the auditing professionals, the system will seek to have SMEs familiar with the country and language of field site evaluations and use local experts to the extent possible.

This use of experts allows extension and codification of the concept of peer review into a more independent and impartial structure.

4. These experts are nominated by the Child Sponsorship Organizations.
5. A subject matter expert, different from the person who participated in auditing the applicant under consideration for certification will also participate in the determinations of the Certification Review Panel (CRP), and will undergo some brief additional training as determined by the Director of Accreditation of SAAS for CRP participation.
6. Basic Criteria for SME selection:
 - a. The CSOs retain absolute right of veto regarding SME selection
 - b. SMEs should be paid at the prevailing consulting rate as USAID and should be reviewed at least once every two years.
 - c. Criteria for SME selection shall include child sponsorship program experience and no conflict of interest relating to applicant child sponsorship organizations (CSOs). The most important criterion is that the SME be familiar with the business of child sponsorship.
 - d. The SME cannot be currently an employee of one of the CSOs nor have a relationship with the CSO to be audited that could be a conflict of interest. A period of two years from the time of the last contract or employment must pass before the SME can again participate on an audit for such clients
 - e. Ideally, the same SME will participate in both office and field audits for an applicant for certification, surveillance and re-certification audits. This will ensure greater audit continuity, given that the Certification Body may assign a different in-country auditor at each field site.

7. The primary role of the SME is to provide program context to the certification body auditor. The role of the SME is particularly critical as certification body auditors become familiar with different child sponsorship programs, systems and structure of international non-governmental organizations.

The SME's role in the audit team is:

- a. to assist the certification body auditor in making objective determinations of CSO compliance with the InterAction Child Sponsorship Certification Standards,
 - b. to share with the certification body auditor any and all observations related specifically to CSO compliance with the InterAction Child Sponsorship Certification Standards, and
 - c. to weigh-in (input) to assure that the certification report is a consensus document that reflects their shared views with the certification body auditor.
8. For the purpose of the audit, it is not the role of the SME to issue unsolicited comments, observations or recommendations about the relative strength or weakness of a CSO's child sponsorship programs. Nor is it the role of the SME to offer an opinion on whether or not she/he believes the child sponsorship program being audited reflects good development practice.

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9. It is understood and anticipated that a subject matter expert may have constructive observations and recommendations on ways to improve program delivery that go beyond the scope of the certification audits. Any SME comments and observations that apply to the standards/components should be incorporated into the Audit report and weaved into the audit comments.

While there is no appropriate place in the formal audit report for additional observations and recommendations that focus on program delivery and that go beyond the scope of standards/component compliance, each of the CSOs welcomes receiving them. Such observations and recommendations, when requested by the CSO, can be provided in a separate report or memorandum to the CSO at no additional fee, unless negotiated with the CSO and determined not to be a conflict of interest.

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Annex 2
Site Sampling Methodology

1. For Initial and Re- Certification :Beyond Headquarters, select the required audit sample from the total universe of program sites, that in aggregate (or combined) represent 60% of the children served by each CSOs child sponsorship program locations.
2. For Surveillance :draw sample from the bottom 40%

3 Audit the sample in its entirety (all elements of the standard that apply)

- a. Auditing all of the sample sites will avoid continually drawing new samples
- b. Auditing all of the sample sites will also provide the CSO more information than if the auditing stopped as soon as a major nonconformity was found

4 If there are no major nonconformities found during the site audits, prepare the audit reports for the Certification Review Panel.

5 If a major nonconformity is found at any selected site, replace the site(s) in the population of sites eligible to be sampled and draw a new sample equal in number only to the number that had major nonconformities during the audit.

For example, three sites were selected and audited. One had a major nonconformity during the audit:

- a. Replace the failed one in the available site pool, but not the others in the original sample that did not have a major nonconformity
- b. CSO [notifies the CB that it] has implemented agreed upon corrective and preventive action
- c. Select a new sample, of one [equal to number that failed]
- d. Do a complete evaluation of that one site
- e. Continue until all selected site audits are completed with no major nonconformities

6 This process would not subject a CSO to the possible risk of having the entire population sampled, and provides it with more information about the effectiveness of its system than if the auditing stopped as soon as there is a major nonconformity found.

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Guidance V
Guidance for the accreditation process

SAAS Accreditation Procedure: Child Sponsorship Organizations
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SAAS ACCREDITATION REQUIREMENTS

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1.0 INTRODUCTION

This procedure describes the specific process for granting, maintaining, extending, reducing, suspending and withdrawing the Accreditation of a Certification Body by SAAS for the certification of the InterAction Child Sponsorship Certification Standards.

This procedure, which addresses the requirements of ISO/IEC 17011:2004 “General requirements for accreditation bodies accrediting conformity assessment bodies,” is intended for use by SAAS, and sets out the rights and responsibilities of both SAAS and accredited certification bodies (CBs). The SAAS activities required for auditing and accrediting CBs are also defined in this procedure. Another document, Child Sponsorship Organization Certification Procedure, SAAS Procedure XXX, exists for external circulation and is included in the Accreditation Application packages.

Other activities and responsibilities of SAAS and accredited CBs may be described in other guidelines and administrative documents.

2.0 REFERENCES

The following referenced documents are essential for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

- ISO/IEC 17021:2006 Conformity assessment – Requirements for bodies providing audit and certification of management systems
- ISO 9000:2005 Quality management systems — Fundamentals and vocabulary
- ISO 9001:2000 Quality management systems – Requirements
- ISO/IEC 17000:2004 Conformity assessment — Vocabulary and general principles
- ISO/IEC 17011:2004 General requirements for accreditation bodies accrediting conformity assessment bodies
- ISO 19011:2002 Guidelines for quality and/or environmental management systems auditing

Procedures listed below reference SAAS documents:

- Procedure XXX Child Sponsorship Organization Certification Procedure
- Procedure 202 Procedure for Complaints and Appeals
- Procedure 203 Staff and Contractor Appointment, Training and Appraisal
- Procedure 303 Guidelines For Accreditation Review Panel Members
- Procedure 304 Guidelines For Making a Complaint or Appeal
- Work Instruction Accreditation Process: Document Review and Initial Office Audit
- Procedure 312 Document Review Report
- Procedure Initial Accreditation/Reaccreditation Office Audit Report
- Work Instruction Accreditation Process: Witness Audit
- Procedure Witness Audit Report
- Work Instruction Accreditation Process: Office Surveillance Audit
- Procedure Surveillance Office Audit Report

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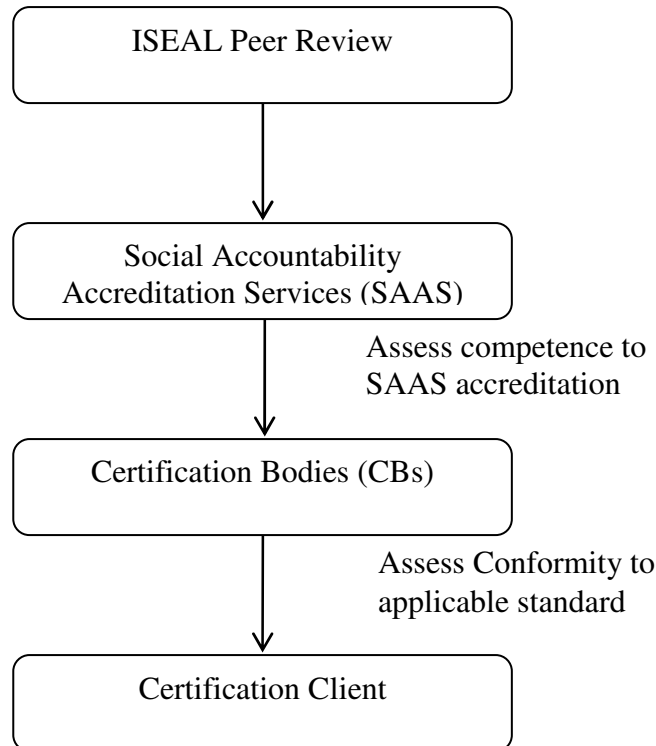


Figure 1

4.0 ACCREDITATION CRITERIA AND INFORMATION

- 4.1 The general criteria for the SAAS Accreditation of CBs are that set out in ISO/IEC 17021:2006, SAAS Procedure XXX and other procedural documents as produced from time to time by SAAS.
- 4.2 SAAS makes publicly available, and updates at adequate intervals, the following information via its publicly accessible internet site [www.SAASaccreditation.org]:
- detailed information about SAAS audit and accreditation processes, including arrangements for granting, maintaining, extending, reducing, suspending and withdrawing accreditation;
 - documentation containing the requirements for SAAS accreditation; (see proc XXX)
 - general information about the fees relating to SAAS accreditation; (proc 406)
 - a description of the rights and obligations of SAAS Accredited CBs; (proc XXX)
 - information on SAAS accredited CB's;
 - information on procedures for lodging and handling complaints and appeals to SAAS (procedure 304);
 - information about the authority under which the SAAS accreditation program operates;
 - description of SAAS's rights and duties;
 - general information about the means by which SAAS obtains financial support;
 - information about its activities and stated limitations under which it operates;
 - information about any related bodies.

5.0 APPLICATION FOR ACCREDITATION

5.1 The certification body, prior to issuing any child sponsorship organization certification, shall have been granted SAAS accreditation as defined in this SAAS accreditation procedure.

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5.2 Upon receipt of a request for an application for accreditation as a Certification Body (CB), the interested party will be sent an information package which will include, as a minimum:

- a) SAAS “Requirements for Gaining and Maintaining Accreditation” (Procedure xxx)
- b) SAAS “Accreditation of Certification Bodies of Social Accountability Systems” (Procedure xxx)
- c) SAAS “For Making a Complaint or Appeal” (Procedure 304)
- d) SAAS “Accreditation Application” (Procedure 435-3)
- e) SAAS “Fee Schedule” (Procedure 406)
- f) SAAS “Conditions for Use of the SAAS Accreditation Mark” (Procedure 426)
- g) A covering letter defining the responsibility of the Applicant CB for fully completing the Application Form, and its other rights and responsibilities as outlined in the documents above (Procedure 435-2)
- h) Model accreditation certificate (Procedure 418)
- i) The appropriate SAAS recognized Standard and certification methodology
- j) Model accreditation agreement (Procedure 435-4)

5.3 Upon receipt of the properly completed Application Form (that is completed by a duly authorized representative of the applicant CB), accompanied with the required application fee, SAAS will, within 10 working days, acknowledge receipt of the application in writing (Letter 602), where requested provide the applicant CB with an official SAAS receipt, and update the Accreditation & Applicant Register (Form 419). The minimum of information to be provided by the applicant CB in completing the Application Form and supporting attachments is:

- a) The general features of the applicant body, such as corporate entity, name, addresses, legal status and, where relevant, human and technical resources. This will include the number of employees in the organization, including a breakdown between full-time employees and subcontractors.
- b) General information concerning the body covered by the application, such as its functions, its relationship within or to a larger corporate entity, and its physical locations.
- c) A description of the systems it certifies, and the standards or other normative documents applicable to each system.
- d) A controlled copy of its quality manual and, where required, any associated documentation.
- e) A description of the scope of the desired accreditation.
- f) An understanding that the applicant CB will comply with the requirements for accreditation to Child Sponsorship Organization Certification and will supply any information needed for its evaluation.
- g) The name and contact information of the management representative from the CB for SAAS accreditation.

6.0 RESOURCE REVIEW

6.1 Within 10 working days of the receipt of the application and all documents by SAAS, the client information shall be recorded on Form 419. SAAS staff shall conduct, and maintain records of, a review of the application within 15 working days of receipt of the final document to ascertain whether:

- a) The SAAS requirements for accreditation are clearly documented by the applicant;
- b) Any difference between the understanding of SAAS and that of the applicant CB is resolved;
- c) SAAS is able to carry out the audit of the applicant CB, in terms of its own policies and procedures, its competence and the availability of suitable auditors and experts;
- d) SAAS has the ability to carry out the initial audit in a timely manner;
- e) SAAS has the capability to perform the accreditation service requested with respect to the scope of the accreditation sought, the location of the applicants’ premises, and any further special requirements.

6.2 SAAS’s Director of Accreditation or designee shall review the application for conformance to SAAS criteria, and may request further information from the CB if required. If this review shows that the applicant CB has the

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potential to meet the accreditation criteria, SAAS accepts the application and notifies the CB accordingly (Letter 604). If SAAS, after due consideration of the application, believes that the applicant CB does not have the potential to achieve accreditation, it will advise the applicant that its application has been declined (Letter 605). In doing so, SAAS will justify its reasons for reaching this conclusion, and shall refer the applicant to “For Making a Complaint or Appeal” (Procedure 304).

7.0 SUBCONTRACTING THE AUDIT

SAAS does not subcontract its accreditation activities but does contract external individual auditors and experts to undertake accreditation audits.

8.0 PREPARATION FOR ACCREDITATION AUDIT

8.1 After acceptance of the application by SAAS, a Fee Schedule (Form 406) for the document review will be prepared and a Lead Auditor will be nominated by the Director of Accreditation.

8.1.1 The Applicant CB shall confirm acceptance of the draft document review fees and its lack of objection to proposed auditors within 15 working days.

8.1.2 If an objection to a member of the proposed SAAS audit team is lodged by the applicant or accredited CB, the Director of Accreditation shall consider such objections using the following criteria: conflict of interest or if objection is based on a personality conflict. Objections will not be considered in relation to location or other such related travel issues.

8.1.3 If an objection is accepted by the Director of Accreditation, SAAS shall designate an alternate audit team member.

8.1.4 Fees for each part of the audit are due to SAAS prior to being conducted.

8.2 SAAS shall authorize the Lead Auditor and the audit team to evaluate all material submitted by the applicant CB. Pending successful resolution of any issues raised in the document review, SAAS shall draft an audit schedule that defines the stages of the accreditation process, including the office and witness audit, list of potential Accreditation Review Panel (ARP) members, and draft fee schedule and submit it to the CB. After acceptance by the CB, SAAS shall authorize the audit team to conduct the office and witness audits on its behalf.

This authorization shall be communicated to the applicant CB. Auditors must have completed and signed a SAAS confidentiality agreement (Form 423).

8.3 When selecting the audit team for each audit, SAAS shall ensure that all team members have successfully completed a background check as specified by InterAction and the skills brought to the audit are appropriate (Procedure 203).

Auditors are selected based on the following criteria:

- a. Availability
- b. Expertise in issues of concern
- c. Location
- d. Knowledge of local language
- e. Acceptance by CB
- f. Lack of conflict of interest

8.4 The Lead Auditor shall conduct the accreditation process per appropriate procedures. With the applicant CB, the Lead Auditor, in consultation with SAAS Secretariat, shall establish the audit date and locations for the office and witness audits. Any arrangements the audit team may require (such as travel arrangements, accommodation, meals, audit team review rooms, access to photocopiers etc.) should be confirmed with the applicant CB in writing at this point. Where able and appropriate, the applicant CB will make travel arrangements for the accreditation audit team.

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8.5 In the case that the SAAS auditor does not speak the local language for the delivery site audit, an independent interpreter must be present. All interpreters and translators will be provided by SAAS whenever possible and charged out to the CB. If this is not possible, the CB, in conjunction and upon approval by SAAS, will arrange for the hiring of the interpreter.

9.0 PRELIMINARY VISIT

A preliminary visit shall only be required when the document review cannot be completed, or the audit cannot be planned without direct discussion with the applicant CB's personnel. This will be at the discretion of the Lead Auditor in consultation with the SAAS Director of Accreditation.

10.0 DOCUMENT AND RECORD REVIEW

10.1 The purpose of the document audit is to review all relevant documents and records supplied by the CB to evaluate its system, as documented, for conformity with ISO/IEC 17021:2006, SAAS Procedures, and other procedural and guidance documents as produced from time to time by SAAS, the applicable standard-setting organization, and/or ISEAL. Audits shall be performed in accordance with the SAAS procedures.

10.2 After the completion of the document review, the lead auditor shall submit the document review report (Form 312) and recommendation for future action to the SAAS Secretariat. The Director of Accreditation shall review the report and recommendation and decide on future accreditation action.

10.3 If the decision is that further action is required for the documentation before accreditation audits may proceed, the CB will be contacted and appropriate arrangements made to resubmit documentation. This process continues until the documentation is acceptable or the CB decides to withdraw its application.

10.4. If the decision is that the accreditation can proceed, the Director of Accreditation shall select the remainder of the CB accreditation office and witness audit team, with the concurrence of the lead auditor and agreement by the applicant.

10.5 SAAS may decide not to proceed with an on-site office and witness audit based on the deficiencies found during the document and record review and included in the report. The applicant will be notified of this decision and shall have the opportunity to appeal, per SAAS per Procedure 304.

11.0 ON-SITE AUDIT

In the case of an on-site office and witness audit, the following steps shall be followed:

1. The Applicant CB shall confirm acceptance of the Draft Audit Plan fees and its lack of objection to proposed auditors and potential ARP members within 15 working days.
2. If an objection to a member of the proposed SAAS audit team or ARP is lodged by the applicant or accredited CB, the Director of Accreditation shall consider such objections using the following criteria: conflict of interest or if objection is based on a personality conflict, it must have been noted in a previous audit (for currently accredited CBs). Objections will not be considered in relation to location or other such related travel issues.

11.3 If an objection is accepted by the Director of Accreditation, SAAS shall designate an alternate audit team member.

11.4 Fees for each part of the audit are due to SAAS prior to being conducted.

11.5 Office Audit

The purpose of the office audit is to assess the degree and effectiveness of the implementation of the Applicant CB's system within its defined scope. During the office audit, the SAAS accreditation auditors shall review the organization's procedures, documents and files, and conduct interviews with staff at the U.S. headquarters of the organization. Initial office audits shall be performed in accordance with the SAAS Procedures.

11.5.1 The Lead Auditor is responsible for the conduct of the audit and preparation for the submission of the audit report to SAAS. This audit shall be planned, conducted and reported, per the requirements of SAAS

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Procedures.

11.5.2 In all cases, the site granting certificates will be audited at this time

11.5.3 The applicant shall have the opportunity to accept the proposed audit team and fees per 11.1-11.4. The audit team shall be chosen per 8.3.

11.6 Witness Audit

The purpose of the witness audit is to assess the degree and effectiveness of the implementation of the Applicant CB's system and to determine the CB's auditors' competence. The SAAS auditor(s) witness the applicant auditing a CSO US headquarters office and a sample of its delivery sites against the InterAction Child Sponsorship Standards. SAAS auditors witness the applicant to ensure it is following its own certification procedures and that the procedures are effective. The SAAS witness audits shall be performed in accordance with SAAS procedures and shall include all audit phases, including research, planning, conducting and reporting the audit.

11.6.1 It is necessary for the applicant to have a CSO client willing to go through the process of certification with the intention of becoming certified once the accreditation process is completed for the applicant. InterAction shall select/appoint the CB for a particular CSO applicant.

11.6.2 The SAAS audit team members shall take care to raise any issues found in this area against the CB auditor training and competency requirements rather than against individual auditors.

11.6.3 Witness audits shall be scheduled pending satisfactory results of the document review and initial office audit, unless otherwise agreed upon with the Director of Accreditation. The witnessed audits shall be initial certification audits, not surveillance audits, since the CB cannot have any existing certifications prior to accreditation.

11.6.4 For witness audits, each auditor on the CB's audit team must be accompanied by an SAAS auditor. Exceptions to this rule, if required, must be approved by the Director of Accreditation, such as if only one auditor from the applicant CB is conducting the audit.

11.6.5 The SAAS audit team shall witness one or more applicant certification audit(s) conducted by the Applicant CB. The witness audit shall be planned, conducted and reported in accordance with the SAAS procedures.

11.6.6 The Lead Auditor is responsible for the conduct of the audit and for the submission of the final audit report to SAAS. The CB's submission of the final report for the witness audit shall complete the audit phases of the accreditation process. Follow up activities shall be determined by SAAS.

See section 15 for rules on oversight at surveillance and reaccreditation audits

12.0 ANALYSIS OF FINDINGS AND AUDIT REPORT

12.1 Within 10 working days of the completion date of each audit phase, the Lead Auditor shall provide SAAS with a report containing a summary of findings and audit team recommendations as to the applicant CB's conformity to all of the SAAS accreditation requirements.

12.1.1 The witness audit phase by SAAS includes a review of the certification audit report prepared by the applicant. Therefore, the SAAS audit report is not considered complete and able to be reviewed by SAAS until after the certification audit report is received. The certification audit report, consequently, is due to the Lead Auditor within 10 working days of the witness audit. See Work Instruction ___ for additional details.

12.1.2 Nonconformities shall be prepared using SAAS Form ___ for presentation to the client during the closing meeting. The CB representative and the SAAS auditor shall each sign the CAR. SAAS shall retain the original signed copy and a copy shall be left with the CB representative.

12.2 If there are major and/or minor CARs issued to the applicant as a result of the audit, the Lead Auditor shall manage the process for closing out those CARs per SAAS Work Instruction ____. The closing of major CARs

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may necessitate additional audits of the applicant.

12.3 Within 30 working days of receipt of the audit report from the lead auditor, after SAAS review, SAAS shall send a copy of the report to the applicant CB for comment. The report shall take into consideration:

- The qualification, experience and authority of the Certification Body staff encountered;
- The adequacy of the internal organization and procedures adopted by the Certification Body to give confidence in the quality of its services;
- The observations at the witnessed audit; and
- The actions taken to correct identified non-conformities including, where applicable, those identified in previous assessments.

The applicant will have 10 days to submit comments. Then, a final report, if any revisions were required to the draft, is sent to the Applicant CB with a cover letter; copies of an affirmative report shall also be sent to each of the Accreditation Review Panel members when the on-site audit and CAR process is complete.

12.4 If the report is not affirmative, the applicant will be informed of procedures for appeals (Procedure 304).

13.0 DECISION-MAKING AND GRANTING ACCREDITATION

13.1 The final report and Audit Team Leader's recommendations on accreditation will be reviewed by the ARP (Accreditation Review Panel). The ARP shall be comprised of three persons, one drawn from SAAS staff who shall chair the ARP, one from InterAction, the third being an independent expert.

Prior to serving on an ARP, potential members will undergo training, examining key accreditation requirements and examples of audit reports prior to making mock decisions and discussing the basis on which they were made. SAAS Executive Director will invite members to training at appropriate times

13.2 All ARP members will be provided with copies of relevant documents at their usual business or home address. They will be invited to study the materials provided. After the delivery of the documentation, the ARP chair will consult with the other two members by telephone, and ascertain if they would like more information. All members will have completed and signed requisite confidentiality agreements, and shall be free from any potential conflicts of interest.

The chair will also ask if they would like to hold a face to face meeting to discuss the issue, and this meeting shall be arranged if any one of the three ARP members requests it.

Each ARP member, having reached a recommendation, shall complete the Accreditation Recommendation Form, and forward it to the chair within 30 days of receipt. The chair will then summarize the recommendation, and forward the completed forms to SAAS. In the event of a split decision, the ARP determination is made by simple majority.

If the ARP chooses to recommend that SAAS decline accreditation, the reasons for doing so will be clearly summarized by the chair and attached to the Accreditation Recommendation Forms forwarded to SAAS.

13.3 The SAAS Executive Director shall consider the final audit report and the recommendation of the ARP in making the final decision to grant or refuse accreditation. The SAAS Executive Director shall notify the applicant Certification Body of the decision in writing.

13.4 The ARP members may contact the Lead Auditor for clarification of any issues. On no account will they contact the applicant CB directly. The members of the ARP shall only consider the information provided in the final reports, along with clarifications provided by the Lead Auditor and Director of Accreditation, in making their recommendation.

13.5 After due consideration of the contents of the report, and in any event not longer than 30 calendar days after its receipt, the ARP shall recommend granting or refusal of accreditation by way of a supermajority vote, and the ARP chair will advise the SAAS Executive Director of the outcome of their deliberations. If the ARP

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recommends declining accreditation, its reasons for doing so shall be clearly set out.

- 13.6 Within 30 days after receipt of the ARP recommendation, the SAAS Director of Accreditation shall notify the applicant CB of SAAS’s decision, in writing. If the application is declined, SAAS notifies the CB accordingly (Letter 611) and the applicant CB’s attention will be drawn to “For Making a Complaint or Appeal” (Procedure 304). If the application is approved, SAAS notifies the CB accordingly (Letter 612) and the CB shall be instructed that it may not make any public claims whatsoever regarding its accreditation by SAAS until such time that the Accreditation Agreement (Procedure 435) has been duly signed by both parties and the CB has paid all moneys owed to SAAS.
- 13.7 Within 30 working days after receiving final payment, and signing of the Accreditation Agreement, SAAS shall present to the accredited CB a signed Certificate of Accreditation for InterAction CSO standards. The accreditation certificate shall include:
- a) effective date of the accreditation and the term for which the accreditation is valid (three year accreditation period);
 - b) SAAS’s identity and logo;
 - c) the unique identity of the accredited CB and SAAS client number and name and address of the CB’s location where certification decisions are made. If the CB makes decentralized certification decisions, the address on the certificate shall be the location of the CB staff designated to interface with SAAS;
 - d) a brief indication of, or reference to, the scope of accreditation;
 - e) the name of the Standard to which the CB will be granting certifications;
 - f) for InterAction Child Sponsorship Standards Certification, a statement of conformity and a reference to SAAS Procedure XXX and ISO/IEC 17021, including the issue or revision used for audit of the CB.

14.0 COMPLAINTS AND APPEALS

SAAS has established Procedure 202, “Complaints and Appeals” for managing complaints and appeals, and an external instruction “For Making a Complaint or Appeal” (Procedure 304) to address how complaints and appeals may be made by CBs and others against the accreditation process and resultant decisions made by SAAS.

SAAS shall ensure that complaints and appeals are properly investigated and resolved through the implementation of these processes.

15.0 REACCREDITATION AND SURVEILLANCE

15.1 SAAS shall carry out periodic surveillances of the accredited CB to verify that it continues to comply with the SAAS accreditation criteria. The appointed SAAS lead auditor, shall manage the surveillance audit process and conduct the office audit per Work Instruction ____, reporting the audit result using Form ____, and the witness audit per Work Instruction ____, reporting the audit result using Form ____. Any nonconformities shall be prepared using SAAS Form ____ for presentation to the client during the closing meeting. The CB representative and the SAAS auditor shall each sign the CAR. SAAS shall retain the original signed copy and a copy shall be left with the CB representative.

15.1.1 Surveillance audits shall be scheduled by the SAAS Director of Accreditation or designee, who shall also nominate the lead auditor and audit team members and provide the lead auditor with all required documentation to allow the conduct of the audit. These surveillances may be combined with surveillances of SA8000 accreditation, as appropriate. In all cases, the CB’s site granting certificates will be audited annually, at a minimum.

15.1.2 Office audit: The purpose of the office audit is to ensure continued compliance with the requirements of SAAS. The SAAS audit shall be performed in accordance with the SAAS Work Instruction ____ and shall be reported using Form ____.

At each surveillance office audit, the SAAS audit team shall review, at a minimum:

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- a) The Certification Body's records of management review and internal audit;
- b) The Certification Body's records of corrective action;
- c) The records of any complaints, appeals and disputes between the Certification Body and any third parties;
- d) The way the Certification Body and its certified clients are using the SAAS accreditation Mark;
- e) A sample of other procedures drawn at random from the Certification Body's quality system, auditor records and the procedure for allocating auditor teams
- f) The Audit Team shall witness one or more audits conducted by the Certification Body.

15.1.3 Witness audit: The purpose of the witness audit is to assist in the determination of CB auditor competence and verify that relevant procedures are followed. SAAS audit team members raise issues in this area against the CB auditor training and competency requirements rather than against individual auditors. The SAAS audit shall be performed in accordance with the SAAS work instruction ___ and shall include all audit phases, including research, planning, conducting and reporting the audit. The audit shall be reported using Form ___.

At each surveillance witness audit, the audit team shall review, at a minimum:

- a) The CB audit team's qualifications;
- b) The CB audit team's preparation;
- c) The conduct of the audit, including interview techniques;
- d) The CB's audit report, issuance and management of Corrective Action Requests.

15.2 Reaccreditation:

Complete reassessments of the accredited CB's compliance with accreditation procedures will occur within 3 months of the end of the accreditation term of three years. These reaccreditations cover all elements and cover all steps of the accreditation requirements, as described herein and in SAAS Procedure XXX. CBs applying for reaccreditation shall complete an application form, pay the required reaccreditation application fee, and submit any revised documentation in advance of the office audit.

16.0 EXTENDING ACCREDITATION

Extensions to accreditation are dealt with in Section 17 below.

17.0 REDUCING, EXTENDING & WITHDRAWING ACCREDITATION

There are various reasons for changing accreditation status, which would be based upon a re-audit or other steps specified below.

- 17.1 SAAS may reduce the scope of, suspend or withdraw the accreditation, partially or in total, if it considers that the accredited CB has infringed the requirements of accreditation in any significant manner and report such information to the ARP.
- 17.2 The Director of Accreditation may decide to order a full or partial re-audit as a result of changes that materially affect the operation of the accredited CB (such as change in ownership or changes in senior personnel), or if analysis of a complaint or any other information indicates that the accredited CB may no longer comply with the accreditation criteria. Where full or partial re-audits are required, the audit procedures set out in this document shall be followed. The decision to perform such a re-audit shall be made by the Director of Accreditation in consultation with the Lead Auditor. The CB shall be given a minimum period of notice of 21 working days and re-audits shall follow the procedures set out in this document.
- 17.3 If the accredited CB wishes to extend or reduce its scope of accreditation, it must apply to SAAS in writing to do so, setting out the proposed changes and justifications. The SAAS Director of Accreditation will consider this

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application and will decide what, if any, audit procedure is appropriate in order to determine whether or not the amendment should be granted, and act accordingly. The decision to perform such a re-audit shall be made by the Director of Accreditation in consultation with the ARP. Where full or partial re-audits are required, SAAS shall follow the audit procedures set out in this document.

17.4 Should a decision by the Director of Accreditation be for suspension or withdrawal of SAAS Accreditation then the ARP shall be notified.

17.5 Detailed procedures for withdrawal, suspension and cancellation of accreditations are found in SAAS Procedure 210.

18.0 RECORDS ON CBs

18.1 SAAS maintains records on CBs to demonstrate that requirements for accreditation, including competence of personnel, have been effectively fulfilled.

18.2 Detailed procedures for document control are found in SAAS Procedure 204 and maintenance of files and records in Procedure 205.

18.3 SAAS keeps and manages appropriate records on CBs secure to ensure confidentiality.

18.4 The records kept on CBs shall include but are not limited to:

- a) Relevant correspondence,
- b) Audit records and reports,
- c) Records of committee deliberations, if applicable, and accreditation decisions, and
- d) Copies of accreditation certificates.
- e) CB assignment

19.0 PROFICIENCY TESTING AND OTHER COMPARISONS FOR LABORATORIES

This clause of ISO17011 is not applicable to SAAS at this time.

20.0 OBLIGATIONS OF THE CERTIFICATION BODIES

20.1 SAAS requires that applicant and accredited CBs:

- a) Always comply with the accreditation criteria and associated documents.
- b) Make all necessary arrangements for the conduct of accreditation, reaccreditation and surveillance audits, including provision for examining documentation and the access to all areas, records (including internal audit reports, third party audit reports by other bodies, personnel records and complaints) and personnel for the purposes of audit, surveillance, re-audit and resolution of complaints.
- c) Make available, when requested, all records of complaints, appeals and disputes in which the CB may be involved, and subsequent actions taken by the CB.
- d) Only claim to be accredited with respect to the scope for which they have been granted accreditation.
- e) Do not use accreditation in such a manner as to bring SAAS or InterAction into disrepute, and do not make any statement regarding their accreditation which SAAS or InterAction considers misleading or unauthorized.
- f) Upon suspension or withdrawal of accreditation (however determined), discontinue use of all advertising matter that contains any reference thereto and returns any accreditation documents as required by SAAS.
- g) Do not allow the fact of their accreditation to be used to imply that a product, process, system or person is approved by SAAS or InterAction.
- h) Ensure that no accreditation document, mark or report, or any part thereof, is used in a misleading

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manner.

- i) In making reference to accreditation status in communication media such as documents, brochures or advertising, comply with SAAS and InterAction requirements.
- j) Report in writing, every six months, a list of SAAS accredited certifications, withdrawals and all requested statistical information on audit practices and results.

20.2 It is required that each accredited CB shall promptly notify SAAS of any intended or actual changes to its management system or other changes that may materially affect conformity to accreditation criteria.

- a) Legal, commercial or organizational status;
- b) Organization and management, for example key managerial staff;
- c) Policies and procedures;
- d) Premises;
- e) Personnel, equipment, facilities, location, working environment or other resources.

The SAAS Director of Accreditation may decide to perform a full or partial reassessment in light of such changes that materially affect the operation of the accredited Certification Body, or if analysis of a complaint or any other information indicates that the accredited Certification Body may no longer comply with the accreditation criteria. Where such reassessments are planned, the Certification Body shall be given a minimum period of notice of 21 CCD (consecutive calendar days) and reassessments shall follow the procedures set out in this document.

21.0 OBLIGATIONS OF SAAS

21.1 SAAS shall ensure that at all times it operates non-discriminatory policies and procedures, administered in a non-discriminatory manner. SAAS procedures will not be used to impede or inhibit access by applicant bodies other than as specified in this procedure.

21.2 SAAS shall make its services accessible to all applicants whose activities fall within the accreditation area. There shall not be undue financial or other conditions. Access shall not be conditional upon size of the applicant CB or membership of any association or group, nor shall accreditation be conditional upon the number of bodies already accredited.

21.3 SAAS shall confine its requirements, audits and decisions on accreditation to those matters specifically related to the scope of accreditation being considered.

21.4 SAAS shall safeguard confidentiality of information obtained in the course of its accreditation activities at all levels of the organization, including committees and external bodies or individuals acting on its behalf.

Except where required in this procedure, or per Article Seven of the Accreditation Agreement between SAAS and the CB, or by U.S. law, information about a particular CB shall not be disclosed to a third person without the written consent of the CB.

21.5 SAAS shall give CBs due notice of any changes it intends to make in its requirements for accreditation. It will take into account views expressed by interested parties (including CBs) before deciding on the precise form and effective date of the changes. Following a decision on, and publication of, the changed requirements, it shall verify that each accredited CB carries out any necessary adjustments to its procedures within such time as, in the opinion of SAAS, is reasonable.

21.6 Any complaint, appeal or dispute brought before SAAS by CBs or other parties shall be subject to SAAS Procedure 202.

22.0 REFERENCE TO ACCREDITATION AND USE OF SYMBOLS

22.1 SAAS accreditation symbol is referred to as the accreditation mark. SAAS will allow accredited CBs to refer to accreditation in certificates, reports, stationery and publicity material relating to the accredited activities. Those

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organizations certified by an accredited CB that fall within the CB’s scope of accreditation are also entitled to use the SAAS accreditation mark. All users of the SAAS accreditation mark, and all references to accreditation by the CB, must comply with SAAS policy “Conditions for Use of the SAAS Accreditation Mark” (Form 426).

- 22.2 Users of the accreditation mark must not use the mark in any way that implies that SAAS or the standard-setting organization itself approved a system certified by an accredited CB. The symbol shall not be used on a product or in any other way that may be interpreted as denoting product conformance.
- 22.3 Should the accreditation mark be incorrectly referred to, or used in misleading ways, SAAS shall take appropriate actions, which could include asking the CB to take appropriate corrective action, withdrawal of certificate, publication of the transgression and if necessary, legal action.