

Authors: P. Scott & R. Kanter Kepnes	Social Accountability Accreditation Services	Issue: 1
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Audit Requirements for Accredited Certification Bodies For Social Fingerprint

1. Revision History

Revision #	Revision Date	Revision Description	Approved By
Version 1	Issued February 2016	Initial Version	Rochelle Zaid

Note: This Procedure 200A serves as the Procedure 200 Annex for Integration of Social Fingerprint and supersedes the SA8000: 2014 Auditor Guidance for Social Fingerprint.

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Section 4

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Introduction and Background

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4. Introduction and Background

4.1 Maturity Models

Social Fingerprint (SF) is a management system maturity model similar to the one outlined in ISO 9004:2009. ISO 9004:2009 Requirement 4:3 states: “An organisation’s environment will be undergoing change continually, regardless of its size ..., its activities and products, or its type ... consequently this should be monitored constantly by the organisation. Such monitoring should enable the organisation to identify, assess and manage the risks related to interested parties, and their changing needs and expectations.” Organisational changes are as relevant to a company’s quality management system as they are to a company’s social accountability management system for SA8000:2014.

A maturity model enables an organisation to assess its processes against a clear set of external benchmarks that represent management system best practice. Similar to ISO 9004:2009, Social Fingerprint includes a Self-Assessment through which an organisation assesses its own management system. Through the Self-Assessment, the organisation receives a maturity score which indicates the level of maturity of its management system.

4.2 Social Fingerprint and SA8000:2014

SA8000:2014 requires certified organisations to build, maintain and continually improve their social accountability management system to ensure full and sustained compliance with SA8000. As this management systems matures, it must be regularly assessed to identify improvement opportunities, set priorities, and establish action plans to achieve sustained, successful implementation of SA8000. The methodology of this assessment under SA8000:2014 is called “Social Fingerprint.” **Social Fingerprint (SF) is a set of tools that helps organisations measure and improve their management systems for social performance.**

Social Fingerprint includes a Self-Assessment taken by the SA8000 applicant or certified organisation and an Independent Evaluation conducted by SAAS-Accredited Certification Body auditors. By incorporating Social Fingerprint into SA8000:2014, SAI aims to increase the integrity, credibility and effectiveness of SA8000 certification and build the capacity of SA8000 certified organisations to develop mature management systems.

Social Fingerprint provides organisations and auditors with a clear, consistent methodology for assessing SA8000 management system maturity and is an indicator of the level of compliance of that system with the SA8000 management system requirements. This enables an organisation to identify weak areas within its own management system so that it can make specific, targeted improvements. It also enables auditors to consistently evaluate the organisation’s management system to determine its readiness for certification and assess its implementation of improvements.

By using one consistent methodology, all organisations and auditors will now have the same understanding of SA8000 management system requirements, which will improve the standardization and implementation of SA8000 compliance across sectors and countries.

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4.3 Social Fingerprint Tools

Social Fingerprint measures management system maturity across 10 key categories that correspond to the 10 requirements of SA8000:2014 Element 9: Management System. Organisations are scored on a maturity scale of 1-5 (1=lowest, 5 = highest) in each of the 10 categories.

Social Fingerprint includes three key tools:

1. Management system **Self-Assessment** conducted by the organisation.
2. **Independent Evaluation** of the organisation's management system conducted by the certification body (CB) audit team, led by the CB lead auditor.
3. **Rating Chart** that explains the maturity levels for each of the 10 categories.

Additional reference tools:

1. Glossary of Relevant Terms
2. SA8000:2014 Guidance Document
3. Technical Instructions

4.4 The 10 Categories of an SA8000 Management System

1. **Policies, Procedures and Records:** How the organisation defines its principles, objectives, and commitment to SA8000, and instructs its personnel to implement those principles on a day-to-day basis.
2. **Social Performance Team:** The group of trained people who lead and facilitate the organisation's SA8000 implementation.
3. **Identification and Assessment of Risks:** How the organisation determines its risks and prioritizes its actions to address them.
4. **Monitoring:** How the organisation tracks its SA8000 implementation and performance to achieve its objectives and targets.
5. **Internal Involvement and Communication:** The organisation's methods and channels for communicating with workers and getting their input for SA8000 implementation.
6. **Complaint Management and Resolution:** How the organisation receives and addresses grievances or other suggestions from workers or interested parties.
7. **External Verification and Stakeholder Engagement:** How the organisation cooperates with external auditors or involves interested parties to get comprehensive input to its SA8000 implementation.
8. **Corrective and Preventive Actions:** How the organisation addresses risks and gaps in its SA8000 implementation and makes system changes to prevent recurrence and drive continual improvement.
9. **Training and Capacity Building:** How the organisation trains its personnel and develops their attitudes, skills and knowledge to effectively implement SA8000.
10. **Management of Suppliers and Contractors:** How the organisation conducts due diligence on its business partners and encourages them to implement SA8000 and improve.

4.5 The Social Fingerprint Rating System

SAI has not selected a minimum mandatory Social Fingerprint score for SA8000:2014 certification. However, the program has been built so that Level 4 generally corresponds to compliance with SA8000:2014.

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237 **Social Fingerprint Level 1:** Organisation has no awareness of SA8000 or any system in place to
238 manage its social performance.

239
240 Organisations at a level 1 may have some very basic processes to comply with local laws or their
241 customers' requirements for labour practices, but have no systems in place to monitor the workplace.

242
243 **Social Fingerprint Level 2:** Organisation has a partially developed management system but its
244 implementation is reactive, inconsistent and mostly ineffective.

245
246 Organisations at a level 2 have the beginnings of a management system in place, but the system is
247 mostly intended to ensure that it is in compliance with local laws or customers' requirements. They may
248 have developed specific policies and procedures, but are not implementing them regularly or effectively.
249 Such companies are primarily focused on risk management and mitigation for business reasons.

250
251 **Social Fingerprint Level 3:** Organisation has developed a management system, but has not fully
252 implemented it.

253
254 Organisations at a level 3 have developed a management system, but are not fully implementing it
255 regularly or consistently. Such organisations may have written policies and procedures addressing all
256 aspects of SA8000 in place with some personnel implementing some of the procedures, but
257 implementation is not consistent throughout the organisation and is not a part of the organisation's
258 operations on a daily basis. Such organisations may be implementing certain aspects of the management
259 system well, such as its OHS policies and procedures, but may not be addressing issues in a holistic way.
260 Their social performance may still be more reactive than proactive, and they may make changes only
261 when require by external bodies. They have set their plan for improvement, with goals and targets, but
262 are not consistently meeting those goals or targets.

263
264 **Social Fingerprint Level 4:** Organisation has developed a management system and implements it
265 consistently and regularly.

266
267 Organisations at a level 4 have developed and implemented a fully functioning SA8000 management
268 system. The management system is proactive and preventive, and it is being implemented regularly and
269 effectively. Such organisations have written policies and procedures for their SA8000 implementation and
270 have trained personnel appropriately to ensure that the procedures are being followed. They have
271 improvement plans in place with goals and targets and are making changes to meet those goals.
272 Compliance with SA8000 is a dynamic, not static process, so organisations in compliance need to
273 continually improve their performance in order to remain compliant.

274
275 **Social Fingerprint Level 5:** Organisation has developed and implemented a mature management
276 system, and is continually improving that system.

277
278 Organisations at a level 5 have mature management systems that are proactive and preventive, and are
279 implemented regularly and consistently by well-trained personnel. They regularly review the system itself
280 to ensure that it is as effective as possible, and are continuously striving to improve. Such organisations
281 meet their improvement plan goals and targets, and then change those goals and targets to push
282 themselves to improve even more. They integrate their social performance with business strategy and
283 planning, so that business decisions are made with consideration for the potential social impact – both on
284 workers and interested parties. In order to achieve this level, an organisation must provide evidence of
285 continual improvement, so organisations may need to sustain certification over a period of time.

286

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287 **4.6 The Social Fingerprint Process**

288
289 Generally, Social Fingerprint is a three-step process:

- 290 1. The organisation shall complete the SF Self-Assessment in the online SAI Training Center.
- 291 2. CB audit team shall conduct the SA8000 audit. The team shall complete the SF Independent
- 292 Evaluation in the online SAI Training Center, led by the CB lead auditor.
- 293 3. Through the audit and the Independent Evaluation, the CB identifies weak areas of the
- 294 management system. The organisation makes the necessary process changes to improve its
- 295 compliance or become ready for certification.

296
297 See [SAAS Notification 4A](#) for more information about how Social Fingerprint fits into the SA8000:2014

298 certification process.

300 **4.7 The Social Fingerprint Self-Assessment**

302 Many management system standards, such as ISO 9001, include a self-assessment that allows

303 organisations to measure the maturity of their management systems. The self-assessment provides an

304 overall understanding of how the organisation views its own performance and enables an organisation to

305 identify its strengths and weaknesses to promote continual improvement over time. Due to the centrality

306 of the management system to SA8000:2014, SAI has incorporated the Social Fingerprint Self-

307 Assessment into the audit process.

308 Thus, organisations interested in pursuing SA8000:2014 certification shall take a Social Fingerprint Self-

309 Assessment as part of the application process. Currently certified organisations shall take the Social

310 Fingerprint Self-Assessment in advance of their transition audit from SA8000:2008 to SA8000:2014 or

311 recertification audit to SA8000:2014.

312
313 The Self-Assessment primarily serves as a capacity-building tool for the organisation. It teaches the

314 organisation about the components of the management system through the questions and answers, and

315 highlights the aspects of the system and the documentation that the organisation should have in place

316 and available for the SA8000 audit.

317
318 As soon as the SF Self-Assessment is completed in the online SAI Training Center, the client will receive

319 a SF Self-Assessment score for each of the 10 categories, as well as an overall SF Self-Assessment

320 score.

322 **4.8 The Social Fingerprint Independent Evaluation**

323
324 The Social Fingerprint assessments judge the maturity of an organisation's SA8000 management system

325 from both the organisation and the auditor's perspective, but are *not* a checklist to evaluate an

326 organisation's compliance. **Auditors shall still conduct a comprehensive audit of the company and**

327 **its management systems, and input collected information into the Independent Evaluation as data**

328 **points.** The auditors' answers to the SF Independent Evaluation produce a SF Independent Evaluation

329 score for each of the 10 categories, as well as an overall SF Independent Evaluation score.

330
331 The Social Fingerprint scores shall feed into the overall audit findings and into the certification decision-

332 making process. The scores shall not replace the submission of findings or non-conformances, and

333 auditors cannot write non-conformances against a Social Fingerprint score. Auditors shall still identify and

334 write non-conformances as required by Procedure 200.

335
336 *Practical Information about the Independent Evaluation:*

337
338 The Social Fingerprint Self-Assessment and Independent Evaluation use the same set of questions.

339 There are 3 to 7 questions for each of the 10 management system categories. Each question has 5

340 answers, each representing one of the 5 levels of maturity.

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342 The questions and answers generally assess an organisation’s compliance with the requirements of the
343 SA8000; however, they do not necessarily match the language of the Standard nor the order of the
344 requirements in the Standard. Some requirements within each category may be addressed by more than
345 one question, and some questions may address more than one requirement within each category.
346 Furthermore, there is some overlap between questions in different categories. (For example, there are
347 questions about senior management commitment in both Category 1: Policies, Procedures and Records,
348 and Category 2: Social Performance Team).

349
350 The Independent Evaluation utilizes the same questions and answers as the Self-Assessment for the
351 organisation. Therefore, all of the questions are written using personal plural pronouns: “we” or “our.” The
352 CB Auditor shall read the questionnaire by replacing “we” and “our” with “they” or “the organisation.”
353

354 **Example:**

355 *Social Fingerprint Question:* The following best describes our operating procedures for our labour
356 policies.

357 *Answer Options:*

- 358 1. We don’t have such procedures because the people at our organisation know that they are
359 expected to follow the rules.
- 360 2. We have some written procedures that tell people how to follow our rules regarding labour
361 practices.
- 362 3. We have specific written procedures that tell people how to follow our labour policies.
- 363 4. We have written procedures that tell people how to follow our policies in order to implement
364 SA8000. We have updated them in response to specific issues.
- 365 5. We have written procedures that tell people how to implement SA8000. We regularly check to
366 make sure that our procedures are working and revise them accordingly.

367
368 The auditor shall read the question and answers above as follows:

369 Question: The following best describes the organisation’s operating procedures for its labour policies.

370 Answer Options:

- 371 1. The organisation doesn’t have such procedures because the people at the organisation know
372 that they are expected to follow the rules.
- 373 2. The organisation has some written procedures that tell people how to follow its rules
374 regarding labour practices.
- 375 3. The organisation has specific written procedures that tell people how to follow its labour
376 policies.
- 377 4. The organisation has written procedures that tell people how to follow its policies in order to
378 implement SA8000. They have updated the procedures in response to specific issues.
- 379 5. The organisation has written procedures that tell people how to implement SA8000. They
380 regularly check to make sure that the procedures are working and revise them accordingly.

381
382
383 **4.9 The Social Fingerprint Scores**
384

385 Each organisation that completes the Social Fingerprint process, which includes the Self-Assessment and
386 the Independent Evaluation, will receive a Social Fingerprint Benchmark Report within 24 hours of the
387 lead auditor’s completion of the Independent Evaluation. This Benchmark Report contains two sets of
388 scores (from 1 to 5): 1) the Self-Assessment scores; and 2) the Independent Evaluation scores. This
389 report is available in the SAI Reporting Tool, accessed through the SAI Training Center.

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Section 5

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Purpose of Procedure

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408 **5. Purpose of Procedure**

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410 ***5.1 Procedure 200A Interaction with Procedure 200***

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412 This Procedure (200A) supplements SAAS Procedure 200:2015 and serves as the “Procedure 200 Annex
413 for integration of Social Fingerprint.” CB Lead Auditors shall use this procedure to conduct SF
414 Independent Evaluations during the following SA8000 certification processes.

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Section 6

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Integration of SF into SA8000:2014 Certification Requirements

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6. Integration of SF into SA8000:2014 Certification Requirements

6.1 SF and SA8000:2014 Integration during Initial Certification

6.1.1 As depicted by Figure 21 below, the organisation shall complete the SF Self-Assessment before the Stage 1 Audit and the auditors shall complete SF Independent Evaluations during the Stage 1 and Stage 2 Audits.

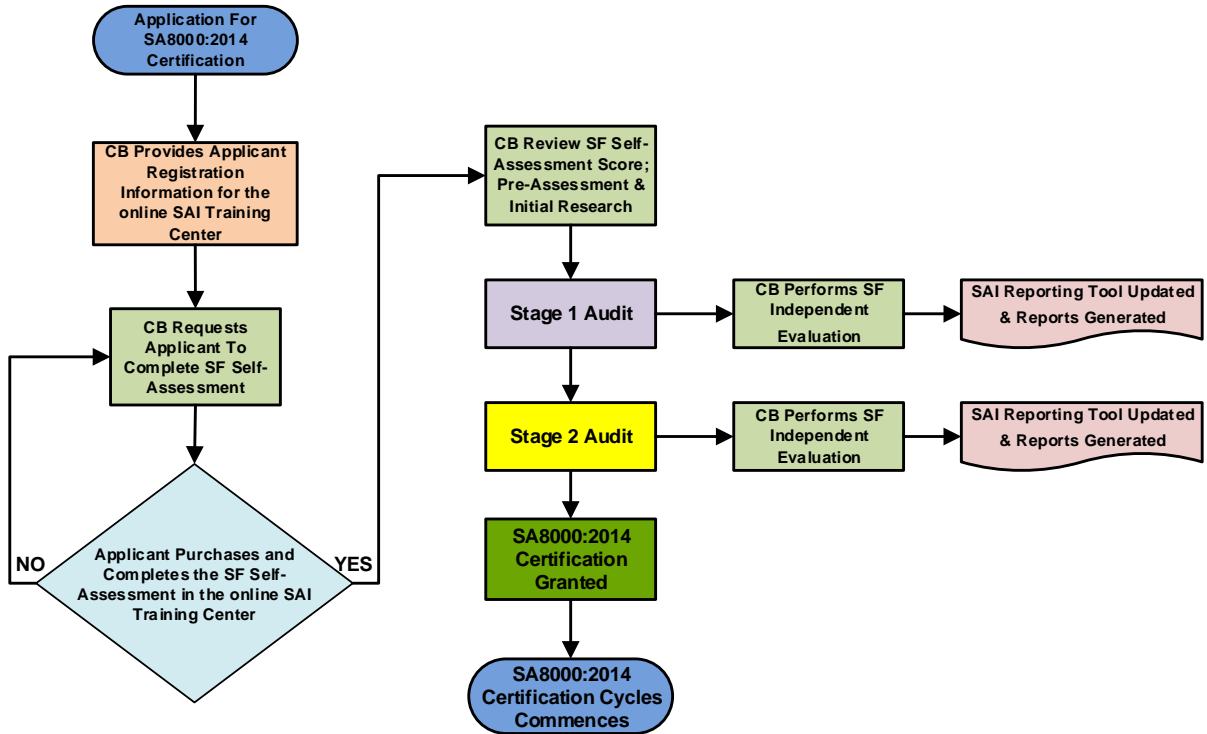


Figure 1 - SF Integration into the Initial SA8000:2014 Certification Process

6.1.2 The CB Lead Auditor SHALL read and understand this procedure (SAAS Procedure 200A) and SAAS Procedure 200 prior to performing any SF Independent Evaluations. All are available for download here: <http://www.saasaccreditation.org/document-library>.

6.1.3 Each SAAS Accredited CB SHALL maintain records that demonstrate the competency of CB Lead Auditors to perform SF Independent Evaluations.

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Section 7

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Integration of SF into Pre-Assessment and Initial Research

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481 **7. Integration of SF into Pre-Assessment and Initial Research**

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483 *7.1 Pre-Assessment and Initial Research*

484

485 7.1.1 The SF Independent Evaluation is not part of this process.

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Section 8

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Integration of SF into the Stage 1 Audit

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8. Integration of SF into the Stage 1 Audit

8.1 Stage 1 Audit Preparation

- 8.1.1 Stage 1 Audits SHALL be performed in accordance with the appropriate section(s) of SAAS Procedure 200.
- 8.1.2 If a Stage 1 Audit is not performed because the client organisation is a micro enterprise as defined in SAAS Procedure 200, the SF Independent Evaluation SHALL only be performed at the Stage 2 Audit.
- 8.1.3 Prior to performing the Stage 1 Audit, the CB Lead Auditor SHALL review the results of the client organisation's SF Self-Assessment. This review SHALL be documented and maintained as an audit record. Auditors shall use the Self-Assessment results to gauge the awareness and level of understanding about management systems within the organisation before the audit. The Self-Assessment score does not represent the absolute maturity level of the organisation; the auditor shall complete the audit to independently assess the organisation's management system maturity.
- 8.1.4 The Audit Plan developed for the Stage 1 Audit SHALL include sufficient time for the CB Lead Auditor to perform an onsite management system documentation review and complete the SF Independent Evaluation questionnaire.

8.2 Stage 1 Audit Performance

- 8.2.1 The CB Lead Auditor SHALL collect evidence during the Stage 1 Audit and any document review to complete the SF Independent Evaluation questionnaire. Because the Stage 1 Audit is a limited audit, the auditor may not have all of the detailed information about the client's management system, so the auditor shall answer the questions as accurately as possible with the information available. The results of the Independent Evaluation will provide a general impression of the maturity of the client's management system and identify areas for improvement before the Stage 2 Audit.
- 8.2.2 The auditor may speak with the client about the client's answers to the SF Self-Assessment to ensure that they understand the questions and answer clarifying questions.
- 8.2.3 The auditor may choose to answer some questions of the SF Independent Evaluation as he/she conducts the audit and collects evidence; or, the auditor may choose to answer all of the questions of the SF Independent Evaluation after the evidence collection is complete.
- 8.2.4 The auditor SHALL answer all of the questions in the SF Independent Evaluation questionnaire in order to produce the SF scores during the classification of any audit findings and before the closing meeting.
- 8.2.5 The SF Independent Evaluation scores SHALL be reviewed with the client organisation during the closing meeting.
- 8.2.6 The SF Independent Evaluation Score SHALL be reviewed as one factor for determining whether the client organisation is ready for the Stage 2 Audit, in conjunction with the other audit findings.
- 8.2.7 **If the Independent Evaluation score is less than 3:** The CB shall caution the applicant organisation about proceeding to the Stage 2 Audit if it's Independent Evaluation score is less than a 3. Lower scores indicate that the organisation's management system may not be mature enough to achieve SA8000 certification. If the CB allows the organisation to proceed to the Stage 2 Audit, the CB shall record this decision and its reasoning in the Stage 1 Audit Report.

8.3 Stage 1 Audit Outcomes

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- 557 8.3.1 The SF Independent Evaluation scores shall be maintained in the online SAI Reporting Tool,
558 accessed through the online SAI Training Center.
- 559 8.3.2 If more than 6 months pass between the end of the Stage 1 and Stage 2 Audits, the CB SHALL
560 conduct an additional Stage 1 Audit and corresponding SF Independent Evaluation. The client
561 organisation is not required to repeat the Self-Assessment in these circumstances.
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Section 9

Integration of SF into the Stage 2 Audit Process

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9. Integration of SF into the Stage 2 Audit Process

9.1 Stage 2 Audit Preparation

- 9.1.1 Stage 2 Audits SHALL be performed in line with the appropriate section(s) of SAAS Procedure 200.
- 9.1.2 Prior to performing the Stage 2 Audit, the CB Lead Auditor SHALL review the results of the client's Self-Assessment and the Stage 1 SF Independent Evaluation. This review SHALL be documented and maintained as an audit record.
- 9.1.3 The Audit Plan developed for the Stage 2 Audit SHALL include sufficient time for the CB Lead Auditor to complete the SF Independent Evaluation questionnaire.

9.2 Stage 2 Audit Performance

- 9.2.1 The CB Lead Auditor and other members of the audit team shall use the SF Independent Evaluation questionnaire as a tool to guide the Stage 2 Audit, particularly the components of the audit that assess the organisation's management system as per Requirement 9 of SA8000:2014. The audit team may choose to answer relevant questions of the SF Independent Evaluation as they conduct the audit and collect evidence; or, the audit team may choose to answer all of the questions of the SF Independent Evaluation after the evidence collection is complete. Either way, the auditors shall collect sufficient evidence during the audit to answer the all of the questions in the SF Independent Evaluation questionnaire.
- 9.2.2 After the audit team collects all the evidence for the audit, the team shall have a meeting to prepare for the closing meeting, as described in the appropriate section(s) of Procedure 200. During this meeting, the team members shall provide feedback to the CB Lead Auditor about their full assessment of the maturity of the client organisation's management system. Based on this meeting and other feedback or evidence collected during the audit, the audit team led by the CB Lead Auditor SHALL answer all of the questions in the SF Independent Evaluation questionnaire in order to produce the SF scores. The team SHALL compare the results of the Stage 1 and Stage 2 Audits to assess the client organisation's implementation of improvements. This SHALL be completed prior to the closing meeting.
- 9.2.3 **Implications of Independent Evaluation Scores for SA800 Certification:**
 (Note: These are general guidelines about SF Scores. This information is *not* normative, and should be referred to as guidance only.)
If the Independent Evaluation score is 1: Organisations with a score of 1 will likely have significant major non-conformities and are not ready for certification.
If the Independent Evaluation score is 2: Organisations with a score of 2 will likely have a small number of major non-conformities and numerous minor non-conformities. Organisations at this level are likely not ready for certification, but may be able to make some improvements to become ready over time.
If the Independent Evaluation score is 3: Organisations with a score of 3 will likely have several minor non-conformities and areas of improvement, and may have one or two major non-conformities. Organisations at this level may be ready for certification if they make specific improvements to their system. The auditor shall provide justification for providing certification to organisations at this level.
If the Independent Evaluation score is 4: Organisations with a score of 4 may have a small number of minor non-conformities but should be ready for certification, provided they meet the other requirements of the Standard.
If the Independent Evaluation score is 5: It is unlikely, although possible, for an organisation to achieve a score of 5 after the Stage 2 Audit because it must demonstrate evidence of continual improvement against its targets and objectives. Organisations with a score of 5 should be ready for certification and their management system implementation would likely surpass the certification expectations.

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635 9.2.4 The SF Independent Evaluation scores SHALL be reviewed as one factor for determining whether
636 the client organisation is ready for SA8000 Certification.

637 9.2.5 The SF Independent Evaluation scores SHALL be reviewed with the client organisation during the
638 closing meeting as part of the audit findings.

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641 ***9.3 Stage 2 Audit Outcomes***

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643 9.3.1 The SF Independent Evaluation scores shall be maintained in the online SAI Reporting Tool,
644 accessed through the online SAI Training Center.

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Section 10

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Integration of SF into Surveillance Audits

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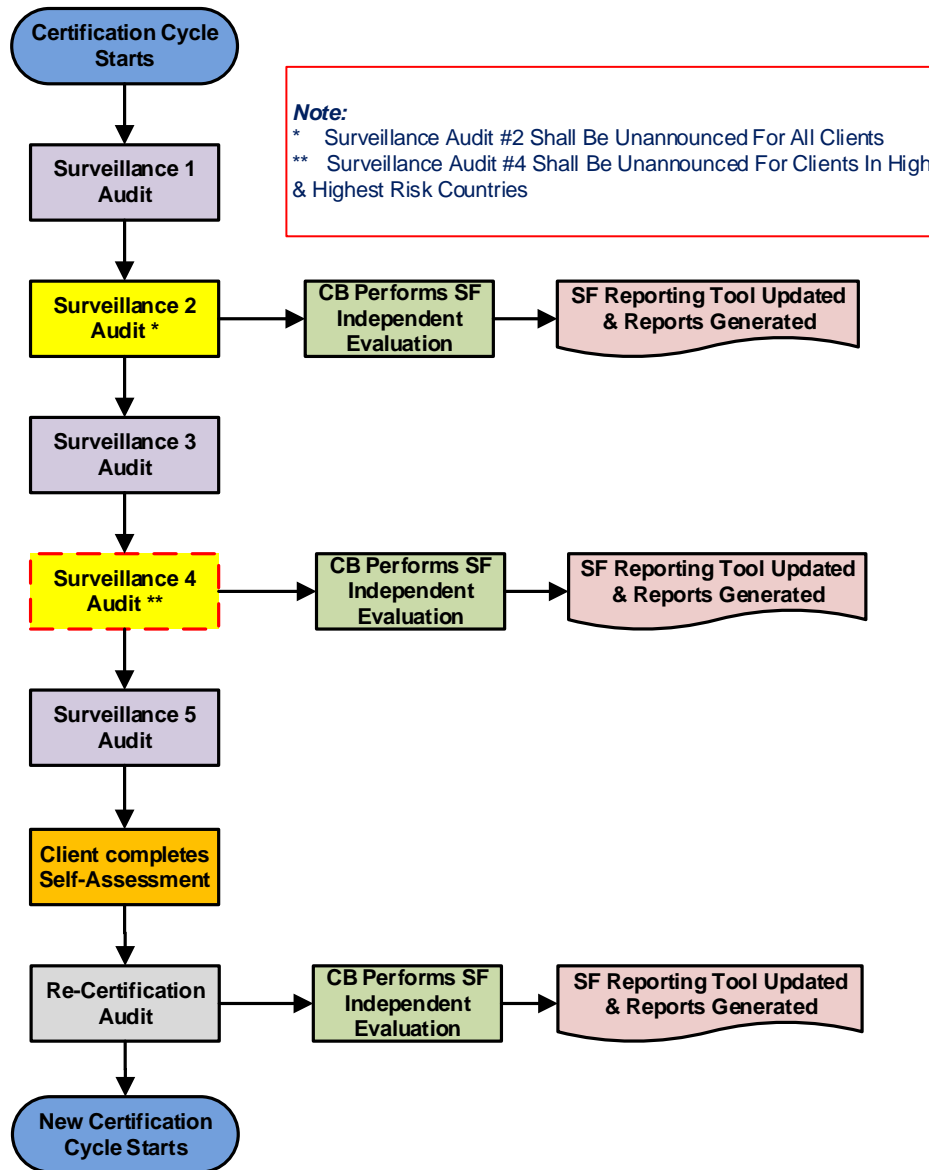
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10. Integration of SF into Surveillance Audits

10.1 SF Independent Evaluations during the SA8000 Certification Cycle

10.1.1 The SF Independent Evaluation SHALL BE performed at the 2nd and 4th Surveillance Audits and at every Recertification Audit, as depicted by Figure 2 below.



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Figure 2 - SF Independent Evaluation throughout the SA8000 Certification Cycle

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10.2 Surveillance Audit Preparation

10.2.1 Surveillance Audits SHALL be performed in line with Section 16 of SAAS Procedure 200.

10.2.2 Prior to performing a Surveillance Audit with a required SF Independent Evaluation, the CB Lead Auditor SHALL review the results of the previous SF Independent Evaluations. This review SHALL be documented and maintained as an audit record.

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685 10.2.3 The Surveillance Audit Plan developed for each Surveillance Audit with a required SF Independent
686 Evaluation (including unannounced audits) SHALL include sufficient time for the CB Lead Auditor
687 to complete the SF Independent Evaluation questionnaire.
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10.3 Surveillance Audit Performance

- 10.3.1 The Social Fingerprint Independent Evaluation during a Surveillance Audit shall be conducted the same as during a Stage 2 Audit (see Section 9).
- 10.3.2 As noted in SAAS Procedure 200, Surveillance Audits only assess specific sections of the organisation’s management system. SAAS Procedure 200 Section 15 outlines the mandatory items to be reviewed during Surveillance Audits. Practically, the review of those items shall enable the auditor to evaluate the organisation’s performance for 7 of the 10 management system requirements and answer the Independent Evaluation questions for those requirements. If the other three requirements (Social Performance Team, External Verification and Stakeholder Engagement, and Management of Suppliers and Contractors) are not covered during the specific surveillance audit (i.e. if they are not related to a non-conformity), then the auditor shall use the evidence from a prior audit to complete the Independent Evaluation for those requirements.
- 10.3.3 The SF Independent Evaluation Score SHALL be reviewed as one factor for determining whether the client organisation shall maintain SA8000 Certification. It SHALL also be reviewed to assess the client organisation’s progress in implementing improvements.
- 10.3.4 The SF Independent Evaluation scores SHALL be reviewed with the client organisation during the closing meeting.

10.4 Surveillance Audit Outcomes

- 10.4.1 The SF Independent Evaluation scores shall be maintained in the online SAI Reporting Tool, accessed through the online SAI Training Center.

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Section 11

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Integration of SF into Recertification Audits

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11. Integration of SF into Recertification Audits

11.1 Recertification Audit Preparation

- 11.1.1 Recertification Audits SHALL be performed in line with the appropriate section(s) of SAAS Procedure 200.
- 11.1.2 Prior to performing a Recertification Audit, the CB Lead Auditor SHALL review the results of the SF Independent Evaluations conducted during the certification cycle. The CB Lead Auditor SHALL also review the results of the SF Self-Assessment that the client organisation SHALL complete before the Recertification Audit. This review SHALL be documented and maintained as an audit record.
- 11.1.3 The Audit Plan developed for the Recertification Audit SHALL include sufficient time for the CB Lead Auditor to complete the SF Independent Evaluation questionnaire.

11.2 Recertification Audit Performance

- 11.2.1 The Social Fingerprint Independent Evaluation during a Recertification Audit shall be conducted the same as during a Stage 2 Audit (see Section 9).
- 11.2.2 The SF Independent Evaluation Scores SHALL be reviewed as one factor for determining whether the client organisation will be recertified to SA8000. It SHALL also be reviewed to assess the client organisation's progress in implementing improvements.
- 11.2.3 The SF Independent Evaluation scores SHALL be reviewed with the client organisation during the closing meeting.

11.3 Recertification Audit Outcomes

- 11.3.1 The SF Independent Evaluation scores shall be maintained in the online SAI Reporting Tool, accessed through the online SAI Training Center.

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Section 12

Integration of SF into Transfer Audits

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814 **12. Integration of SF into Transfer Audits**

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12.1 Transfer Audit Preparation

- 818 12.1.1 Transfer Audits SHALL be performed in line with the appropriate section(s) of SAAS Procedure
819 200, which states that the CB shall perform and document an on-site audit equivalent to a
820 Recertification Audit to effect a transfer of certificate. As noted in Section 11.2.1, the Social
821 Fingerprint Independent Evaluation for Recertification Audits shall be conducted the same as
822 during a Stage 2 Audit (see Section 9).
- 823 12.1.2 The client organisation SHALL complete a SF Self-Assessment prior to the Transfer Audit if more
824 than 6 months have passed since it performed a Self-Assessment.
- 825 12.1.3 Prior to performing a Transfer Audit, the CB Lead Auditor SHALL review the results of previous SF
826 Independent Evaluations as provided by the previous CB, and the organisation's Self-
827 Assessment(s). This review SHALL be documented and maintained as an audit record.
- 828 12.1.4 The Audit Plan developed for the Transfer Audit SHALL include sufficient time for the CB Lead
829 Auditor to complete the SF Independent Evaluation questionnaire.
- 830 12.1.5 The CB shall determine if the client requires an additional Stage 1 Audit prior to the Transfer Audit.
831 If the Stage 1 Audit is required, the organisation shall complete a Self-Assessment prior to the
832 Stage 1 Audit, as described in Section 8.

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12.2 Transfer Audit Performance

- 836 12.2.1 The Independent Evaluation(s) for the Transfer Audit shall be performed the same during the
837 Stage 1 (if required) and Stage 2 Audits (see Sections 8 and 9).
- 838 12.2.2 The SF Independent Evaluation Score generated during the Transfer Audit SHALL be reviewed as
839 one factor for determining whether the client organisation will issue a new SA8000 certificate to the
840 transfer client. It should also be reviewed to assess the client organisation's progress in
841 implementing improvements.
- 842 12.2.3 The SF Independent Evaluation scores SHALL be reviewed with the client organisation during the
843 closing meeting.

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12.3 Transfer Audit Outcomes

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848 12.3.1 The SF Independent Evaluation scores shall be maintained in the online SAI Reporting Tool,
849 accessed through the online SAI Training Center.

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Section 13

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Integration of SF into Special Audits

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874 **13. Integration of SF into Special Audits**

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876 **13.1 Special Audits**

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878 13.1.1 SF Independent Evaluations SHALL NOT be performed as a part of Special Audits.

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Section 14

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Integration of SF into Multi-site Certification Audits

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14. Integration of SF into Multi-site Certification Audits

14.1 SF and Multi-Site Certification Audits

- 14.1.1 For Multi-site Certification Audits, the SF Independent Evaluation SHALL only be completed for the nominated head office.
- 14.1.2 For Multi-Site Stage 1, Stage 2, Surveillance, Recertification and Transfer Audits, the SF Independent Evaluation Process SHALL be performed as described in the appropriate sections above.

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Section 15

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Non-Conformity Classification

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934 **15. Non-Conformity Classification**

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936 **15.1 SF and Non-Conformity Classification**

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938 15.1.1 The SF Independent Evaluation questionnaire SHALL be completed after all the audit evidence is
939 collected. The answers to the questionnaire produce SF scores, which inform and support the
940 findings and the audit decision made by the CB Audit Team.

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942 15.1.2 Non-conformities SHALL NOT be written against the SF scores. The scores are intended to
943 support the audit findings and non-conformities that are identified during the full audit.

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Section 16

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Integration of SF into Audit Reporting

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16. Integration of SF into Audit Reporting

16.1 Results of SF Independent Evaluation

- 16.1.1 The results of the SF Independent Evaluation are an integral part of the audit and shall be included with the CB Certification Report. When both the SF Self-Assessment and SF Independent Evaluation are completed, the CB will have access to the Q&A Report, which includes the organisation's answers to the Self-Assessment and the relevant scores, as well as the auditor's answers to the Independent Evaluation and the relevant scores. This is available in the SAI Reporting Tool, accessed through the SAI Training Center.
- 16.1.2 If the audit team uses the SF Independent Evaluation offline tool, the results SHALL be uploaded to the online SAI Reporting Tool, accessed through the online SAI Training Center, within three working days of the last day of the audit.

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Section 17

Integration of SF into Audit Records

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17. Integration of SF into Audit Records

17.1 Social Fingerprint Independent Evaluation Records

- 17.1.1 As with any other documentation supporting the SA8000 Certification Audit, the Accredited CB shall be expected to produce documentation of its SF Independent Evaluation procedures and maintain this documentation in Audit Records.
- 17.1.2 All the SF scores shall be maintained in the online SAI Reporting Tool, accessed through the online SAI Training Center.

-----End of SAAS Procedure 200A-----