SAI DATABASE (PHASE 2)
INSTRUCTIONS FOR SA8000 CLIENTS

SEPTEMBER 2020

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EXPLANATION OF TERMS

Maturity Declaration (MD): Formerly termed the "Independent Evaluation", the MD is the assessment the auditor makes of the maturity of your management systems. The questions and answers are the same as the SA8000 Self-Assessment allowing you to benchmark and compare.

Q&A Report: The Self-Assessment and Maturity Declaration (Previously Independent Evaluation) results are compiled into a Q&A Report, available for download in the platform.

Social Fingerprint® (SF): A set of tools that helps organizations measure and improve their management systems for social performance. These tools have been integrated into the SA8000 certification process to enhance the SA8000 program. These tools are the SA8000 Self-Assessment and MS Maturity Declaration.

SAI Database: The new online platform for SA8000 audit related activities. It houses both the Self-Assessment and MD currently. Soon it will include the new SA8000 Audit Tool and data-set, as well as allow you to connect with buyers and partners to easily share this data. This is separate from the SAI Training Center for SAI trainings, capacity building tools and workshops (such as the SA8000 Basic Course and SA8000 Advanced Course).

1. INTRODUCTION AND BACKGROUND

SAI Database

With the goal of increasing the value of the certification system to all actors, SAI has invested in, and is continuing to develop the new SAI Database online platform. This platform will give all users of the system access to uniform SA8000 audit data. Certified companies can give access of their data to their buyers and business partners; perform Self-Assessments, and analysis of their audit findings to make improvements over time. Buyers and partners can easily see the certification status of their suppliers in real time, monitor non-conformance, and analyze audit data.

Timeline

The SAI Database is being launched in phases with the initial "soft-launch" (Phase 1) of the platform allowing access to the Self-Assessment and Maturity Declaration. This updated guidance includes information on how to access data from the new SA8000 Audit Tool and related processes (Phase 2).

SA8000 and the Social Fingerprint Methodology

Since the 2014 revision, the SA8000 certification process integrated a customized version of the Social Fingerprint® (SF) tools to help organizations continuously measure and improve their management system for social performance. The SF tools also help organizations build their understanding of SA8000's management system requirements, and provides a framework to develop effective management systems.

The tools included in the certification process are:

- **Self-Assessment:** Completed by the organization applying for an SA8000 certification, the self-assessment helps the organization's gain an understanding its management system maturity.
- **Maturity Declaration (formerly "Independent Evaluation"):** Completed by an accredited certification body's lead auditor, the independent evaluation is a verification of the organization's management system maturity, and helps the organization identify strengths and weaknesses in its management system.

Completing the Self-Assessment and Independent Evaluation will result in a score of an organization's management system on a scale from 1 to 5. This score relates to a maturity level on the **Rating Chart**, which can help organizations make an action plan to improve its practices.

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These tools are not separate from the SA8000 certification program, and the Self-Assessments and Independent Evaluations are to be completed at specific times during the SA8000 certification cycle. Your Certification Body (CB) will be able to help you understand the expectations and requirements of the certification cycle.

Management Systems and the SA8000 Audit Tool

Historically, SA8000 has not utilized a uniform audit report or tool for collecting data against the SA8000 standard. Instead, SAAS procedures have required that certain expectations are met by CBs, but left the scope and context of the reporting and data collection largely to the CBs. Now, SAI is launching the SA8000 Audit Tool. This Tool will eventually replace the CB specific forms and reports used currently during SA8000 audits. It will be soft launched in September of 2020 and will be required in March of 2021.

SAI has worked to create the Audit Tool due to the many benefits such a tool and database will have on the SA8000 system:

- This tool, and the related forms, will create a uniform data set comparable across all SA8000 audits from which to measure effectiveness and inefficiencies and impacts.
- The uniform report will allow users of the system to easily compare performance results across different industries and geographical locations.
- The tool will help increase the focus of SA8000 audits on the management systems processes, thereby increasing the value organizations receive from the audits and eventually leading to improvement in the lives of workers within the system.
- For auditors, the audit tool will help collect and organize audit data. Centralization of this data over time will lead to a meaningful picture of the client and their performance against SA8000.
- For organizations, centralization of audit data will allow incorporation of data into their management systems. The MS structure to the data will hopefully lead to increased effectiveness of those systems.
- The centralization of data will also allow clients to easily share data and reports directly with their buyers or stakeholders. This will further increase the value that those buyers and stakeholders receive from having suppliers and partners who are certified.
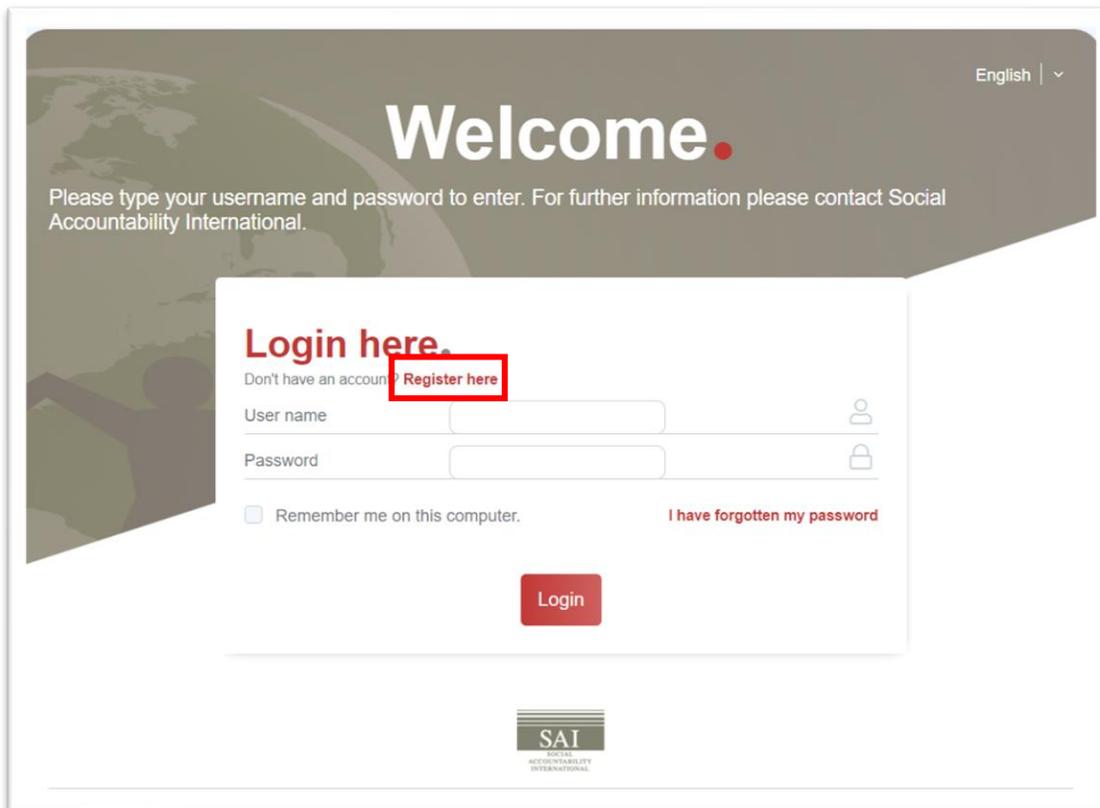
2. CREATING AN SAI DATABASE ACCOUNT

The SA8000 Self-Assessment will only be available in the SAI Database. All Client organizations pursuing SA8000 must create an SAI Database account to access the Self-Assessment and eventually SA8000 audit data.

Please create 1 account per SA8000 certificate held. If you have multiple certificates, ensure you differentiate each account name such as "Bob's Plyers" and "Bob's Plyers – Mexico City".

The platform and Self-Assessment currently supports four languages (English, Chinese, Italian, and Spanish). To select your language, click on the little flag in the upper right hand corner after signing up and logging in

The Self-Assessment must be completed prior to the Stage 1 and Recertification audits.

1. Please click on the link below, or copy and paste the link directly into your browser:
   www.database.sa-intl.org

2. You will see the following on the screen:

Click on the "**Register Here**" button to reach the registration page.

3. Fill out the online form to create your SAI Database account with your unique information.

4. Once you have filled out your information, click Submit and you will be prompted to verify your email address and create your password before accessing your account. Sign into your email and click on the verification link in the email from SAI Database.

5. Logging in you will see the home screen below:
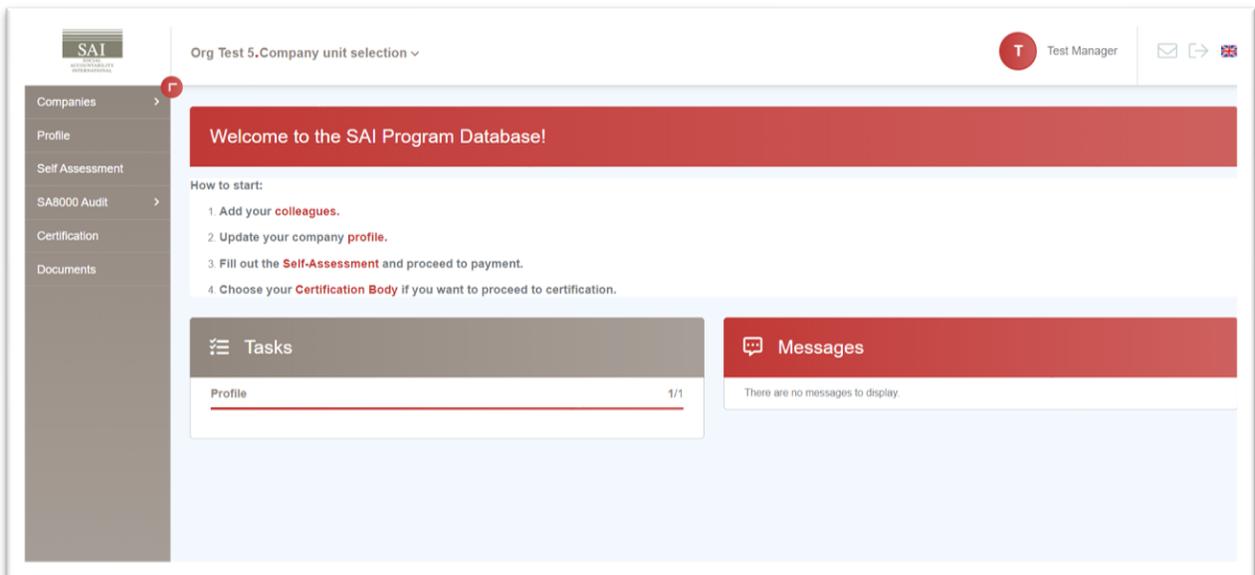
6. Upon logging in you can do a number of things, such as completing your profile, adding your colleague accounts, connecting with your certification body, and performing the Self-Assessment. Below we will walk through these processes:

3. COMPLETING YOUR PROFILE

1. Your first step should be completing your company profile in the SAI Database. To do so, you can click on the link on the start page or click on the button on the side menu.

2. This should bring you to the page below:
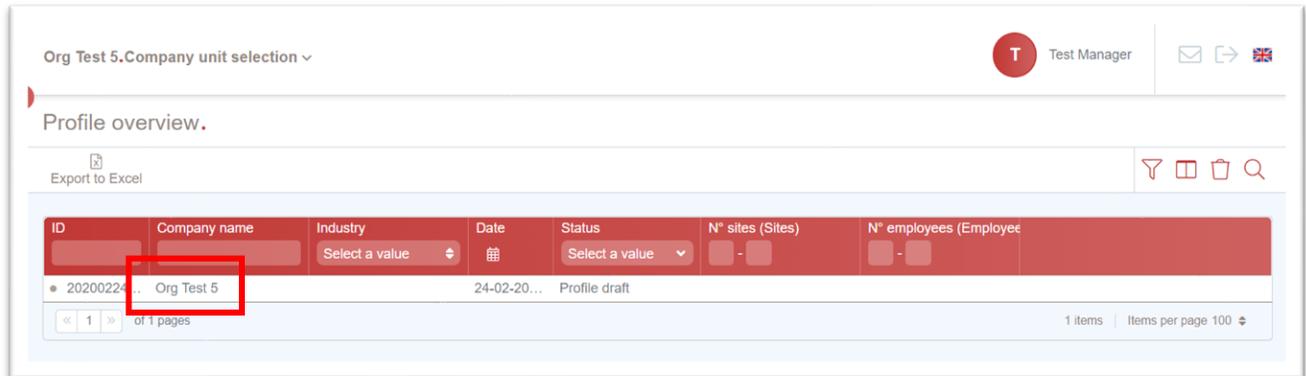
3. Your company name should be the only one on the list. Click on it and it will bring you to your profile. Click the edit button to be able to make changes to it.
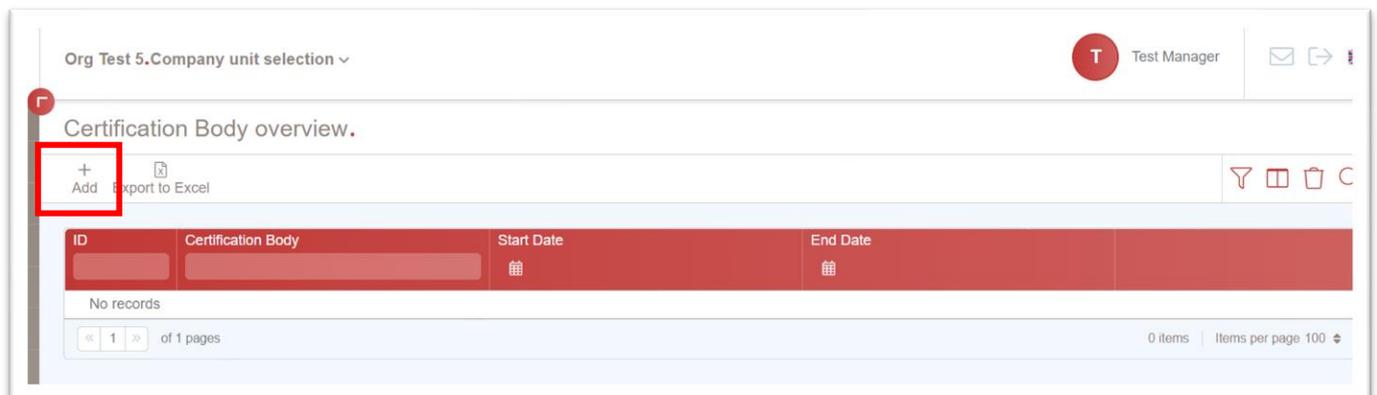
Please note that at any time you want to have a larger screen to work with, you can click on this arrow to enlarge the form view.


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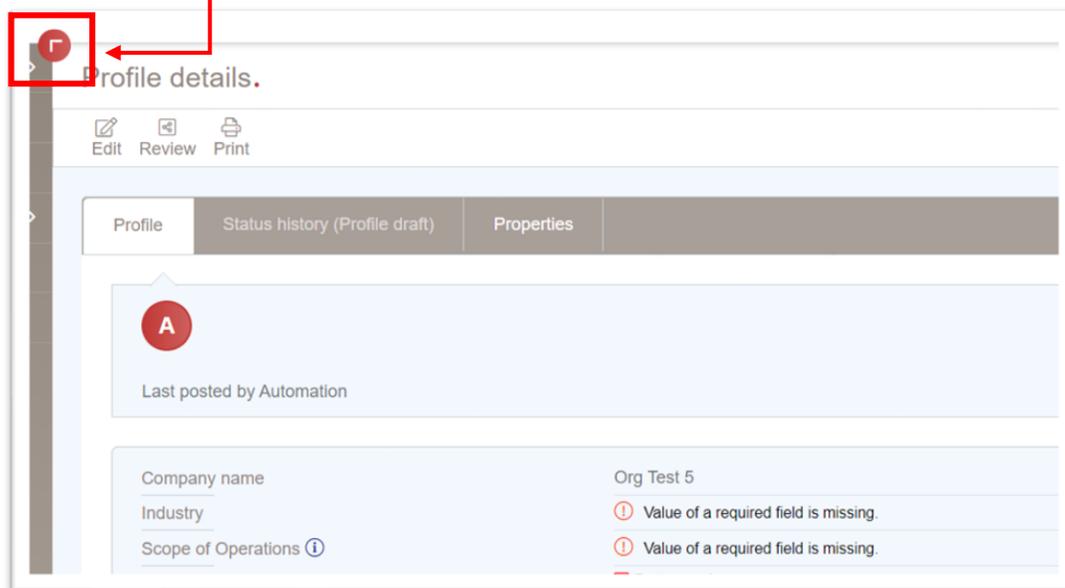
4. Fill out the profile fully. It includes information such as employee demographics, wages and hours. *Please note that the auditor will independently verify this information on the audit and is able to make their own changes to your profile data during.*

4. CONNECTING WITH YOUR CERTIFICATION BODY

1. If you are working with a Certification Body (CB), you can connect to their department so they can view your information and the auditor can perform Maturity Declarations. In the future, this allows the CB to assign audits and the audit tool as well.

2. To connect with your CB, you can click on the link on the start page or click on "Companies" > "Certification Body" on the side menu.

3. That should bring up the page below. The list should be empty, but you can click the "Add" button to add your CB:

Please contact SAI at sa8000@sa-intl.org regarding any questions or concerns in these instructions.

4. On the next screen you only need to find your CB department by typing the name into the "Certification Body" search bar and selecting the correct department. Make sure you confirm with your CB the correct department your organization should be in.
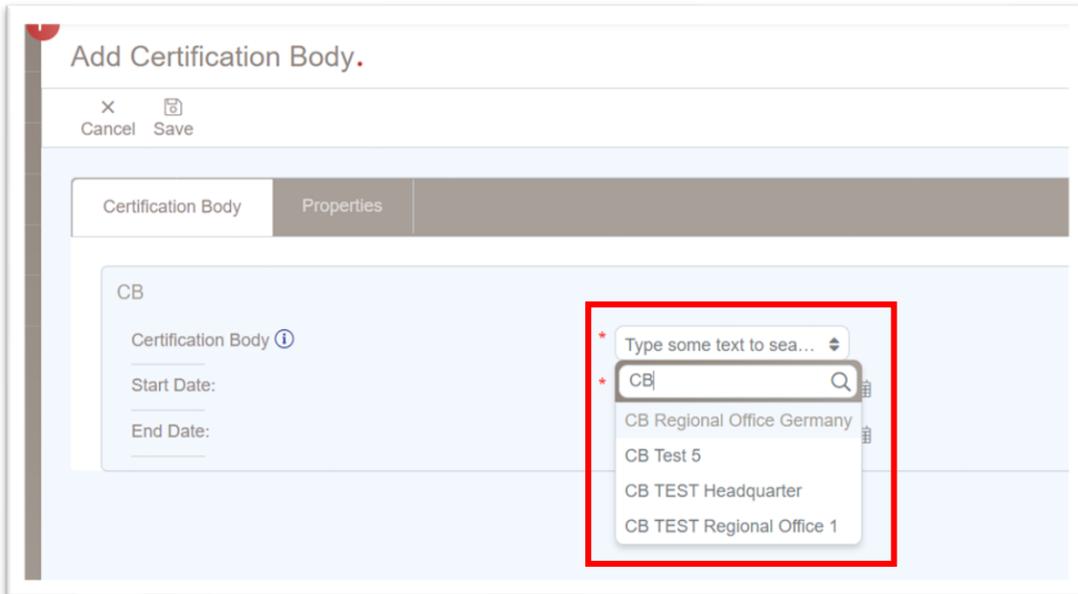
5. Afterwards, click save. The relation will be set and you can always come back and edit it if your CB asks you to, or if you move to working with a different CB.

5. PERFORMING AND PURCHASING THE SA8000 SELF-ASSESSMENT

1. Unlike in the Training Center, in the SAI Database, you perform the Self-Assessment before proceeding to payment. To do so, you can click on the link on the start page or click on the button on the side menu.
2. From this screen, click the "Add" button to start a new Self-Assessment.

It is important to note that *the Self-Assessment will no longer be viewed by the auditor*. This exercise is for your eyes only. It should be seen as a capacity building and benchmarking exercise. You should answer truthfully so as to achieve the largest benefit.

You can perform it as many times as you wish, can go back, change your answers, and study how each answer corresponds to a level of management systems maturity. The CB only needs to see that you have completed and paid for the Self-Assessment within 6 months before the Stage 1 or Recertification audits. This information will be displayed on your profile.

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3. On the Self-Assessment screen each category (9.1, 9.2, etc…) is broken up into sections and you can navigate between them freely by using the drop down list.


4. Fill out the Self-Assessment in its entirety, making sure to answer as truthfully as you can. Ensure you have the right people involved in the process. The flexibility of the SAI Database allows you to navigate freely between the sections and answer at a pace and order that makes sense for your organization.

5. Once completed, click "Save". You can then choose to save as a draft or save as completed and head to payment.

6. Once saved, from the General Information tab, click the "Proceed to Payment" button as shown below:
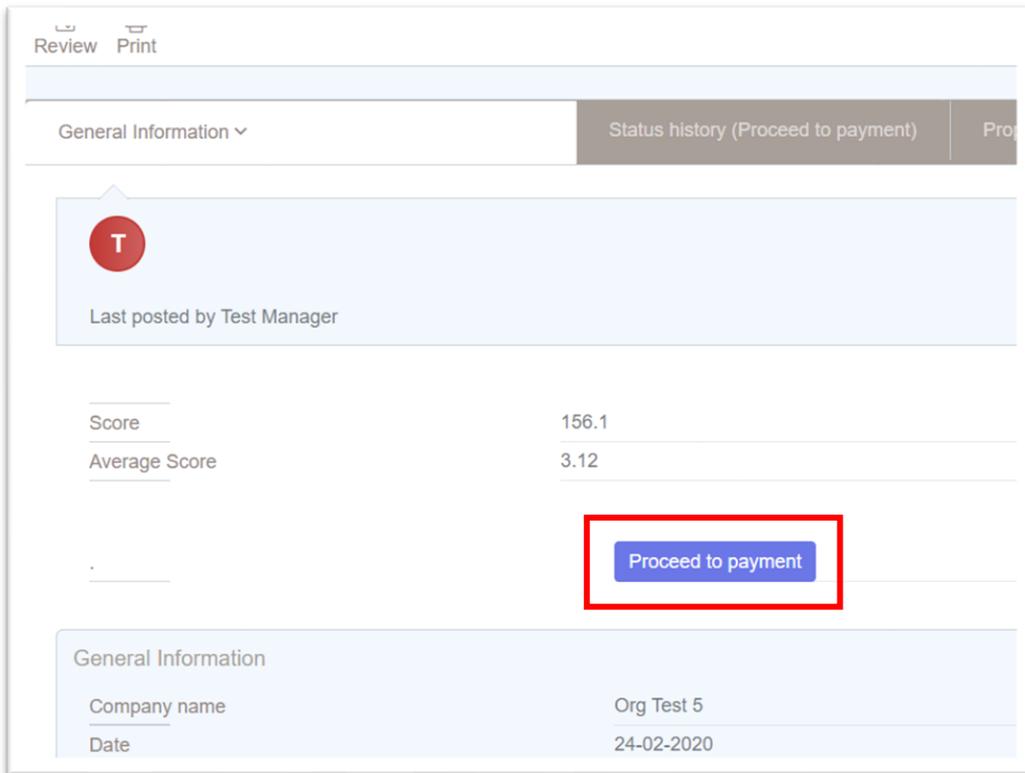

7. *From the pay portal, fill in your credit card information and make the payment. If you need an invoice or to pay via wire transfer, please contact the SAI Billing Department at* *billing@sa-intl.org*.

8. Once payment is completed, the system will do two things. First, it will indicate in your company profile the date of your completion. This is so your CB can ensure you have completed the SA within 6 months of the Stage 1 or Recertification audits. Second, it will allow you to generate a Question & Answer (Q&A) report.
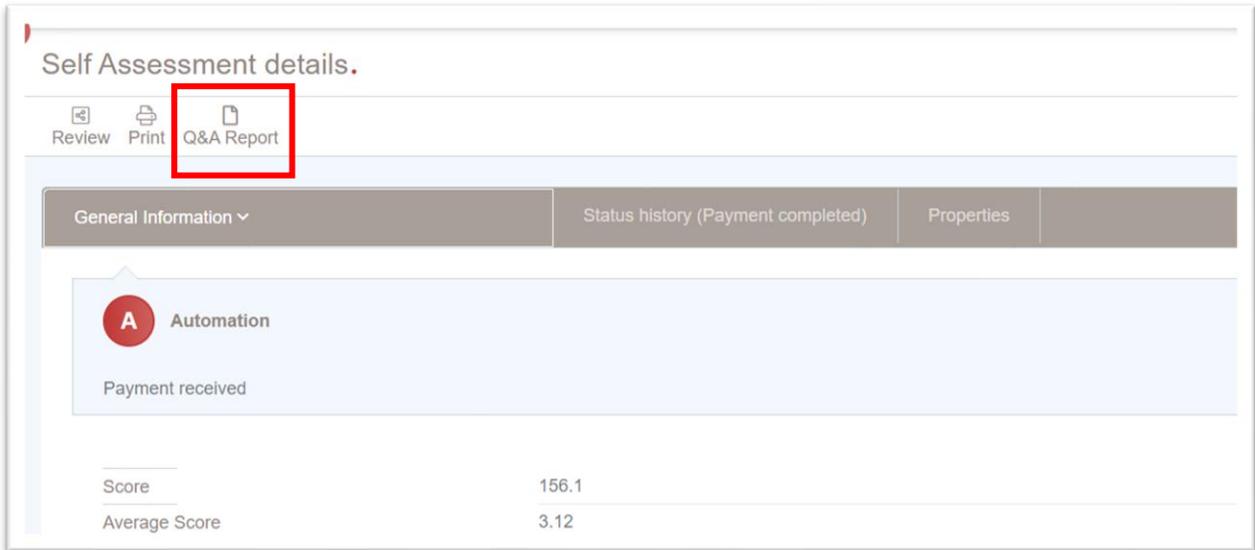
9. You may be familiar with this report from the Training Center platform. It allows provides the user with each question, all of the possible answers associated with it, the answer selected, and the scores. The new SAI Database makes this report readily available for the certified company. This allows your company to use it to map where your maturity is and consider what aspects of a mature system are missing and could be worked on. *You can print or save the report in a number of formats.*
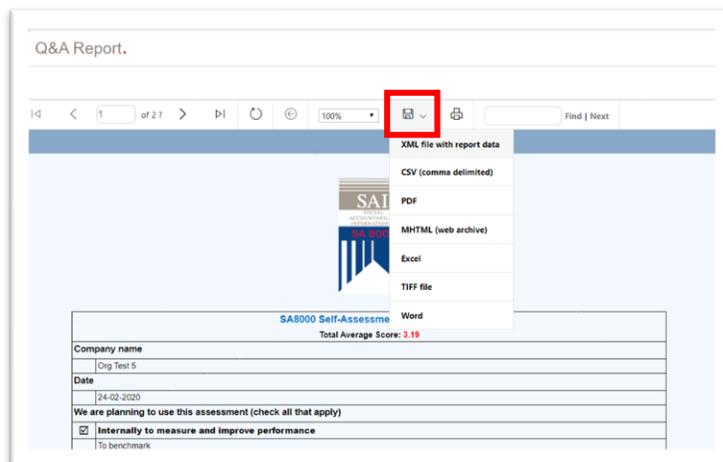
6. REVIEWING THE SA8000 AUDIT TOOL

1. With the launch of the new SA8000 Audit Tool, all of your audit data will be housed in the SAI Database. You will be able to review reports and forms in one place, immediately once they are finalized.

2. To review completed Audit Tools and Audit Reports, click on the side menu button "SA8000 Audit" > "Audit Tool". On this screen, you will be able to view all fully reviewed and finalized Audit Tools.

3. Click on any of the completed forms and you can dive down into each section of the Tool through the drop-down list. You can print the entire tool or download an SA8000 Audit Summary Report from the button on the top.

4. The Tool is separated into sections based on the criteria of the SA8000 Standard.
   a. Audit Overview – This tab contains the envelope data for the audit. Information such as who, what, when and where the audit occurred.
   b. SA8000 Criteria 1 – 8 – The next 8 tabs represent the first 8 Criteria of the Standard. These are the performance elements and all have the same structure.
      i. Conformity Record – Questions that indicate whether your organization meets the Standard criteria.
      ii. Good Practices – A space for the auditor to record evidence of practices that are meaningful, effective or insightful.
      iii. Non-Conformity(s) – The space for initial raising of non-conformities (NCs) against the standard on the audit. Further details related to any NCs raised will be located in the NC Report (see next section).

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iv. Management Process Requirements (MPR) – As part of an effort to further increase the focus of SA8000 audits on management systems, the MPR sections are a means for the auditor to consider the processes behind organizational performance. It asks the auditor whether the organization's processes (separated into the SA8000 Criteria 9.1-9.10) are adequate to address a number of specific risks related to the performance section. Where a process is deemed inadequate, the auditor is prompted to select the specific risks which the system fails to address.

- A 'No' in this section does not relate directly to a non-conformity for the organization. However, a non-conformity raised in the tab requires at least one 'No' in the MPR section.
- The data from this section, and any corresponding narrative raised by the auditor in the 'Additional Comments', should be used by the organization to consider how and why the auditor found the processes inadequate. Using this data, the organization utilize the results of the audit to prioritize risks and improve processes against them.
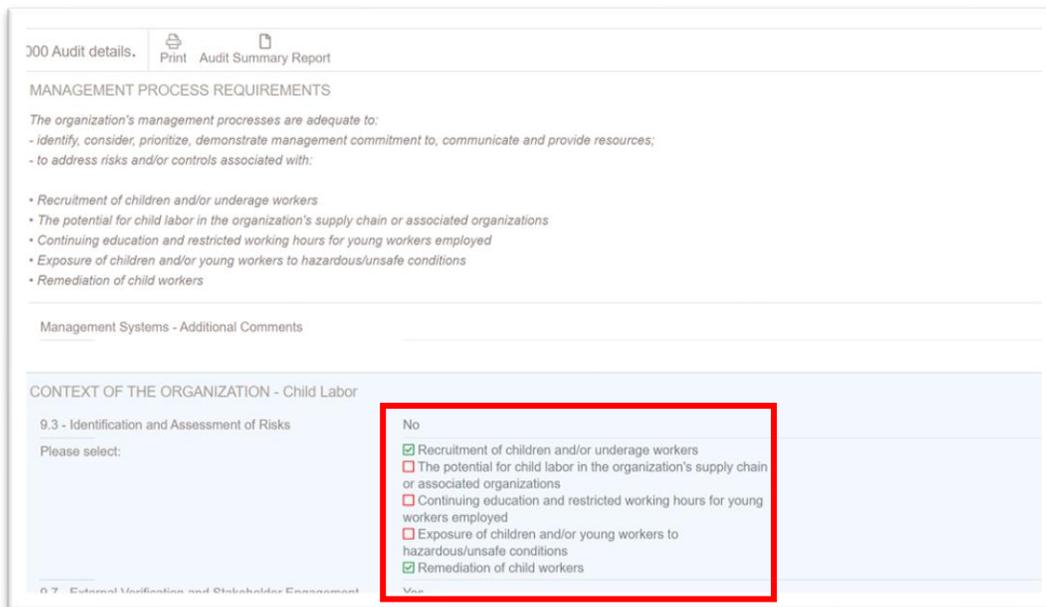
c. SA8000 Criteria 9.1-9.10 – The next 10 tabs represent the management systems criteria from the SA8000 Standard. These tabs all have the same structure and are similar to the performance criteria tabs. They differ in two ways.

i. They also contain space for the auditor to raise an 'Opportunity for Improvement' (OFI). OFIs allow for addressing grey areas of performance against the standard. Where your processes may not meet the standard goals of efficiency and effectiveness, but do not raise to a level of non-conformity, OFIs allow the auditor

to highlight these deficiencies and provide the organization with insights into how to improve them.

ii. The MPR data from the performance tabs are displayed in the management systems tabs, creating a matrix from which both organizations and the auditors can consider the connections between performance and processes. This section is termed the 'Performance Criteria Flag'.

7. REVIEWING NON-CONFORMITIES

1. While NCs are raised in the SA8000 Audit Tool, the full details of an NC are not fully collected until after the audit. Because of this, the Database has a separate form where NCs are reported and viewable.

2. A 'Non-Conformity Report' is generated for each audit instance. This means that for each Audit Tool that is reviewed and finalized, where an NC is raised, a unique Non-Conformity Report will be generated. The report will list all NCs raised on the audit and allow a more detailed reporting on the processes required to close them.

3. To find and review your NC data, you can click on side menu 'SA8000 Audit' > 'Non-Conformity Report'. From there you will see a list of all NC reports for your organization. Each report represents the results of a single completed Audit Tool.

4. In the report you can then dive down into the data related to each individual NC raised for your organization.

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5. Each NC has unique NC number from which to identify it. Within the form, the auditor and CB record data related to the NC, immediate containment action, root-cause analysis, and corrective action. Data related to the status of each NC raised for an organization will be reported in the Audit Summary Report.

8. CERTIFICATION FORM

1. By the end of December 2020, all certified organizations MUST be registered on the SAI Database and CBs must have created up-to-date 'Certification Forms' for all of their clients.

2. Previously, certification data was manually shared with SAAS by accredited Certification Bodies. This process led to only periodic updating of public certification data. The Certification Form solves this issue by allowing immediate reporting on the certification status of all certified organizations within the system. Data will be made available through a public page. Through the launching of Phase 3, and brand/stakeholder Database access, your interested partners can review your certification status at any time.

3. Each organization has a single Certification Form. The form can be found by clicking on the side menu 'Certification' and selecting it from the list.

4. In it, the form contains data related to an organization's certification status and a space for CBs to upload the current SA8000 Certificate.

Please contact SAI at sa8000@sa-intl.org regarding any questions or concerns in these instructions.

Certification details.

Certified Organization	TEST Coop - ORG00001
Internal CB SA8000 certificate ID	202020945616
Certification status	Certified
Certification date	01-09-2020
Date of expiry	01-09-2023
Date of initial certification	
Cycle	2nd
Date of upgrade to SA8000:2014	
Previously certified by another CB?	
Scope of Certification	Scope
Certificate Upload	

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9. OTHER DATABASE FUNCTIONS (*PHASE 3*)

The SAI Database has a number of other functions and data sets that are available to certified users from the side menu.

- **Documents** – Here the user can download tools, resources and guidance documents associated with SA8000 certification.
- **Certification Status** – Here is where your CB will update your certification status information.
- **Brand Relations (Phase 3)** – Once we have finalized the functions in Phase 1 and 2, we will add the ability for your buyers and other stakeholders to create accounts and connect with you directly. You can then grant them access to your data and reports making sharing of your certification status and data sets streamlined and easy.

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