

SA8000: 2014 Social Fingerprint Rating Chart										
Rating	Policies, Procedures & Records	Social Performance Team (SPT)	Identification & Assessment of Risks	Monitoring	Internal Involvement & Communication	Complaint Management & Resolution	External Verification & Stakeholder Engagement	Corrective & Preventative Actions	Training & Capacity Building	Management of Suppliers & Contractors
5	All components of Level 4 AND: SA8000 policies and procedures regularly reviewed and updated. SA8000 implementation tied to business strategy and planning. Demonstrated continual improvement and process review.	All components of Level 4 AND: Senior management regularly reviews the SPT's effectiveness. Team members' involvement in SPT is part of their performance review.	All components of Level 4 AND: Risk assessment process regularly reviewed and updated for continual improvement, with emphasis on transparency. Risk assessment results used in business strategy and planning.	All components of Level 4 AND: Monitoring process regularly reviewed and updated for continual improvement. Monitoring results used to review performance to meet objectives set as part of overall business strategy and planning.	All components of Level 4 AND: Communication procedures regularly reviewed and updated, based on evaluations of workers' understanding of SA8000. Worker input incorporated into annual improvement plans in order to improve SA8000 implementation.	All components of Level 4 AND: Complaint management system regularly reviewed and updated to ensure that it is trusted and widely accessible. Complaints routinely reviewed to identify root causes and areas for continual improvement.	All components of Level 4 AND: Regular, proactive engagement and communication with interested parties for continual improvement of SA8000 implementation.	All components of Level 4 AND: Corrective and preventive action process regularly reviewed and updated for continual improvement. Risk assessment used to predict potential issues and pre-empt them.	All components of Level 4 AND: Training plan regularly reviewed and updated for continual improvement and to ensure that it is building the necessary capacity amongst personnel. Capacity building facilitated for business partners to prevent issues from occurring.	All components of Level 4 AND: Business partners' SA8000 implementation connected to sourcing decisions, with incentives for high performance. Local groups engaged to improve supply chain transparency.
4	Routine implementation of SA8000 policies and procedures, as evidenced by records. Policies and procedures communicated internally and externally. Management review conducted.	Peer-selected Social Performance Team with balanced representation of managers and workers responsible for SA8000 implementation.	SPT responsible for risk assessment of internal processes and significant business partners. Risk assessment includes root cause analysis and consultation with interested parties. SPT recommends actions to senior management to address risks and root cases.	SPT responsible for routine monitoring of SA8000 implementation, including facilitating formal internal audits.	Regular communication about SA8000 between managers and all workers. Evaluation of workers' understanding of SA8000.	Formal complaint management system in place. System includes multiple ways to lodge a complaint and is confidential, non-retaliatory and available to interested parties. Complaint resolutions are reviewed by senior management and results are available upon request to interested parties.	Full cooperation with external auditors. Stakeholder identification and mapping conducted to proactively engage with interested parties for SA8000 implementation.	SPT facilitates corrective actions and preventive actions, monitoring timelines and allocation of resources. Root cause analyses identify necessary preventive actions to avoid recurrence.	On-going training for all personnel on SA8000 implementation and specialized training for SPT. Training records maintained and effectiveness of training measured. Capacity building facilitated for business partners to fix problems.	Communication with business partners about SA8000 and expectations for performance. Supply chain mapping and risk assessment conducted to prioritize certain business partners for further engagement. labour risks considered in selection of new business partners.
3	Written policies and procedures on labour issues developed and communicated internally. Records maintained.	A team of several managers and at least one worker representative responsible for labour practices.	One or more designated managers responsible for risk identification, assessment and prioritization related to internal processes.	Procedures in place to monitor labour practices in the workplace. Monitoring conducted irregularly.	Regular, formal communication about labour standards between management and directly employed workers.	Written complaint management procedures in place to receive and respond to complaints from internal and external sources. Procedures identify various channels personnel can use to lodge a complaint.	Procedures in place to cooperate with external auditors, as well as to identify and respond to interested parties.	Procedures in place for corrective actions. Corrective action process primarily the responsibility of HR and OHS departments. Records of actions maintained.	Training plan in place for all personnel to receive some training on labour issues, with specialized training for those managing labour practices. Training conducted irregularly.	Business partners informed of labour standard requirements and must convey acceptance. Supply chain mapped to identify high risk areas and monitor the most significant business partners' activities.
2	Some separate policies and procedures related to specific labour issues. Limited record-keeping.	Individuals in HR or OHS department primarily responsible for labour practices, with focus on legal or customer code compliance.	Risk assessments conducted for specific areas, such as OHS, as required by law or customer codes.	Monitoring conducted for specific areas, such as OHS, in response to regulatory body or customer requests.	Informal communication, mostly verbal, about labour standards between management and some workers.	All complaints addressed on a case-by-case basis, usually by direct supervisor.	External auditors provided with access to workplace as required. Approach to interested parties is primarily reactive.	Progress on corrective actions driven by customers or regulatory bodies.	Some mention of labour policies, such as OHS, during new employee orientation.	Business partners informed of labour standards requirements, but engagement is primarily reactive or driven by customers.
1	No policies, procedures or records related to labour standards.	No formally assigned responsibility for labour practices.	No formal identification and assessment of risks.	No formal monitoring of labour practices.	No communication channels related to labour standards.	No formal complaint management system.	Little or no engagement with external auditors or interested parties.	Little or no plan to improve labour practices.	No mention of labour practices or standards in training. Workers and managers receive job-related training.	Little or no consideration of labour risks in the supply chain.