

Best Practice Social Audit Requirements for Crossrail

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SECTION A	SECTION B	SECTION C	SECTION D	
<p>Who undertakes the audit? To satisfy us that the the auditor's ability to undertake a social audit is sound, the auditor shall provide evidence against all of the following requirements. They need to be able to demonstrate that:</p>	<p>When is the audit undertaken? To satisfy us that the the audit is undertaken at the appropriate time/interval, the auditor shall provide evidence against at least three of the following requirements as a minimum.They need to be able to demonstrate that:</p>	<p>What content is included in the audit To satisfy us that the the audit contains the appropriate information, the auditor shall provide evidence against all of the following requirements.The audit report needs to include:</p>	<p>How is the audit conducted? To satisfy us that the the audit is undertaken in the appropriate manner, the auditor shall provide evidence against all of the following requirements.The audit needs to include:</p>	Advisory Comments
Primary Requirements	Primary Requirements	Primary Requirements	Primary Requirements	
A1.They are trained to audit, competent to audit and certified to do so.	B1.An audit is undertaken every 18 months as a minimum. (Based on initial audit findings, the auditor can adapt and undertake more flexible audits)thereafter as required	C1.Date of the audit	D1.A factory/Site visit.	<p>Allow sufficient time</p> <p>Needs to be undertaken as an educational process (it is still a new concept)</p> <p>Applaud excellence</p> <p>Improvement plans are imperative and evidence should demonstrate that they are being acted upon.</p> <p>Encourage engagement and transparency</p> <p>Establish achievable goals</p> <p>Protect confidentiality</p>
A2.There is no conflict of interest; that they can be impartial while undertaking the audit.	B2. (Based on initial audit findings), they can adapt and undertake more flexible audits thereafter as required.	C2.Signature of Director	D2.Anonymous feedback from auditees should be possible (eg Private interviews/meetings with staff, in the absence of supervisors)	
A3.They have an understanding of the culture in which the organisation is based.	B3. Either the buyer or supplier has arranged an audit prior to concluding the order.	C3.The use of compliant question set such as the SEDEX-SMETA auditing template shall be used	D3. Confirmation that the auditee organisation has been pre-notified of the criteria for assessment	
A4. They have attended a prior briefing or have prior knowledge of in-country issues and/or commodity issues.		C4.A list of risks, highlighted in the report, with an action plan in place, with time frames.		
		C5. An account of whether the organisation has any processes for social compliance (e.g. procedures/policies).		
		C6.An account of how the auditor has made allowance for any important and relevant differences in culture.		
		C7.An account of any previous non-compliance and actions taken to address this (where this is not the first audit).		
Secondary Requirements	Secondary Requirements	Secondary Requirements	Secondary Requirements	
A5. Management may engage third party auditors (must be from an organisation recognised by a European or US based certification agency)	B4. Although unannounced audits are considered preferable, it is recognised that this practice may not be practical. Therefore audit notification period should be minimised such that preferential abnormal practices cannot be easily implemented.	C8.An account and suitable recognition of other existing 3rd party certification schemes that may be in place.	D5. Confirmation that the duration of the audit has been based on an assessment of risk.	

A6. They have specific knowledge pertinent to the product/process/system being audited.	B5. Aligned to existing audit schedule where possible to ease disruption	C9.A clear focus on areas which are known to be poor.		
A7.They have specific competence in Social Auditing	B6.Additionally, audits to be undertaken post organisational changes of auditee company /Legislative changes	C10.Justification if a "pick&mix" of the overall question set to provide a "snapshot" is used.		

Must meet all primary requirements	Must meet all primary requirements	Must meet all primary requirements	Must meet all primary requirements	MANDATORY
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Secondary Requirements				
Score 3/3	Score 3/3	Score 3/3	Score 1/1	Score 10/10 EXCELLENT
Score 3/3	Score 2/3	Score 3/3	Score 1/1	Score 9/10 GOOD
Score 3/3	Score 1/3	Score 3/3	Score 1/1	Score 8/10 PASS

NB: Scoring does not indicate the performance of the audited facility, only the robustness of the audit process