Rules for the Certification of Social Accountability Management Systems

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RINA
Via Corsica 12
16128   GENOVA Italia

tel +39 010 53851
fax +39 010 5351000
web site : www.rina.org

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Technical rules

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CHAPTER 1
GENERAL

1.1

These Rules define the additional and/or substitutive procedures applied by RINA for the certification of Social Accountability Management Systems in relation to what is already defined in the General Rules for the Certification of Management Systems

1.2

RINA issues certification in accordance with the requirements of the UNI CEI EN ISO/IEC 17021-1:2015 Standard and of SAAS Procedure 200:2015, to organisations whose Management System has been recognised as fully conforming to all the requirements of the SA 8000:2014 Specification, issued by SAI (Social Accountability International) and available on the RINA website (www.rina.org), on the SAI website www.sa-intl.org or on the SAAS (Social Accountability Accreditation Services) website www.saasaccreditation.org .

1.3

In addition to what is stated in the General Rules for the Certification of Management Systems in point 1.3, for Social Accountability Management Systems Organizations without active operations or significant assets (i.e. Shell Companies) are prohibited from being certified to SA8000. Therefore any organization that applies for SA8000 certification shall have been actively engaged in its stated business for at least 12 month prior to its application for SA8000.

1.4

For any additional requirement not specifically indicated in this document, reference shall be made to SAAS Procedure 200:2015 available on SAAS website(www.saasaccreditation.org).

CHAPTER 2
REFERENCE SPECIFICATION / CERTIFICATION REQUIREMENTS

2.1

Organisations wishing to obtain RINA certification for their Social Accountability Management System must first and henceforth satisfy the requirements of SA 8000:2014.

2.2

Instead of what is stated in the General Rules for the Certification of Management Systems in point 4.3, for Social Accountability Management Systems, Conformity of the Management System with the reference standard is verified by means of an audit programme comprising:

- an initial audit in two stages,

- Surveillance audits, generally performed at least once every six months r

- a certification renewal audit in the third year.

The following are considered when establishing the audit programme: the size of the organisation, the scope and the complexity of the Management System, the products and processes, the level of effectiveness of the Management system and previous audit results, and any certificates already issued to the customer or other audits already performed.

2.3

In addition to what is stated in the General Rules for the Certification of Management Systems, for Social Accountability Management Systems, Companies are expected to use an additional tool called "Social Fingerprint", provided directly by SAI (Social Accountability International) and available at the website *www.sa-intl.org/socialfingerprint*

This tool consists in a Self-Assessment questionnaire to be filled by applicant organizations allowing them to measure the level of implementation of their Social Accountability Management System and must be filled in before any first certification and recertification audit.

Costs and fees related to Social Fingerprint are charged to the client directly by the Accreditation Body, in charge of this service.

CHAPTER 3
INITIAL CERTIFICATION

3.1

In addition to what is stated in the General Rules for the Certification of Management Systems in point 3.1, for Social Accountability Management Systems, Companies shall provide to RINA, together to what is foreseen in the document "Informative Questionnaire", some additional information reported in the document annexed thereto. This information includes:

- Presence of present or past legal actions against the organization
- Presence of grievances, legal proceedings and other complaints for a period of time of art least six month before the request for certification
- Evidence of the existence of valid contracts with its clients and the business continuity in the twelve months prior to the request for certification

3.2

In addition to what is stated in the General Rules for the Certification of Management Systems under point 3.2 for Social Accountability Management Systems, RINA prior to the certification audit, will check that the applicant Organization does not have a recent or pervasive history of major unaddressed violations with regards to any elements of the sa8000 standard.

This research will be carried out using RINA internal database as well as documents and information publicly available and may include meetings with

"interested parties" in order to acquire advance information on the most common types of problems in the area in which the organisation operates.

During the meetings, the interested parties are unaware of the name(s) of the organisation(s) which has/have applied for certification. The minutes of the meeting, prepared by the RINA Operational Area, may be sent to the Accreditation Body.

Based on the information collected and the documentation provided, RINA reserves in any case the possibility to refuse the request for certification of the company.

3.3

Together with or following the certification request, the organisation is to send RINA the following documents, in addition to what is stated in the General Rules for the Certification of Management Systems in point 3.4:

- a Social Accountability Management manual describing the organisation's social policy, aims and Social Accountability Management System (latest valid version);

- organisation chart with names;

- a list of applicable Social Accountability laws in the country where the production site is located;

- data concerning the organisation's minimum and maximum wages, examples of contracts, a copy of agreements signed with trade unions;

- supplier control plan (meaning the planning of actions regarding suppliers which specify the methods and activities related to awareness, involvement and control including time required, resources, responsibilities);

- self-assessment questionnaire on the organisation's Management System (downloadable from the RINA web site www.rina.org

CHAPTER 4
MAINTENANCE OF CERTIFICATION

4.1

As well as what is stated in point 4.2 of the General Rules for the Certification of Management Systems, for Social Accountability Management Systems, the organisation must keep records of:

- any reports and/or complaints received from interested parties concerning the aspects covered by SA 8000:2014;

- any observations or reports from national or local authorities responsible for controlling occupational health and safety and staff management aspects;

- any disciplinary measures taken;

- any other record certifying compliance with the requirements of the SA 8000:2014 specification

and must make them available to RINA, together with the relative corrective action implemented, during the periodic audits.

4.2

In addition to what is stated in point 4.4 of the General Rules for the Certification of Management Systems, for Social Accountability Management Systems, RINA will have the possibility to perform duplicate audits on-site each year. A duplicate audit in principle repeats the audit that was performed previously to check if the audit findings are credible. The audit won't be charged to client as part of the three years audit plan. All the costs related to this activity will be borne by RINA.

CHAPTER 5
PERFORMANCE OF AUDITS

5.1

5.1.1

In addition of what is stated in the General Rules for the Certification of Management Systems in point 6.1, for Social Accountability Management Systems and as established by the Accreditation Body, during the audit the auditor will collect some photographic as a record of the audit. These evidences will include at minimum:

- SA8000 Standard Posters
- Work flows
- Dormitory
- Canteen
- Chemical storage area
- Personal Protective equipment
- Firefighting equipment
- Evacuation exits
- Evacuations drills
- Warehouse
- Supporting Facilities
- Attendance records system
- Any detected Non Conformity
- Organization's documents reviewed as a part of the audit
- Operational sites

The photographic evidences, chosen on the basis of Company's processes and activity, will not include any proprietary process, individual worker or sensitive documents related to the organization or any of its employees.

These evidences will be kept confidential within RINA internal database and used exclusively for the certification purposes.

The Organization can, in any case refuse permission to take pictures of one or more sensitive element. The refuse shall be given in writing to the auditor and will be kept within certification proposal documentation.

5.1.2

In addition of what is stated in the General Rules for the Certification of Management Systems in point 6.1.3 for Social Accountability Management Systems the Non conformities already foreseen are integrated with the following type of non-conformity:

- Critical Non conformity: a grievous breach of the SA8000 standard that results in an immediate severe impact to individual rights, workers lives and safety or in presence of a major non conformity (type A) that has not been addressed or for which no significant improvement has been verified by the audit team during the supplementary audit.

- Time Bound non conformity: a special non conformity that can only be raised against point 8 of the relevant standard, as a result of evidence and findings that show that the organisation meets local law but not the higher requirements of SA8000:2014 standard or vice versa. Only in this case the necessary corrective actions put in place by the organisation may be implemented, differently from what happens for the minor non-conformities (type B) in a period of time comprised between 18 and 24 months.

5.1.2

In addition of what is stated in the General Rules for the Certification of Management Systems in point 6.2.1 and 6.4.1, for Social Accountability Management Systems the Organization shall provide during stage 1 and recertification audit, evidence of completion of the self-assessment questionnaire "Social Fingerprint", provided by SAI (Social Accontability International) and available at website ***www.sa-ntl.org/socialfingerprint***

5.2

Instead of what is stated in the General Rules for the Certification of Management Systems in point 6.3.1, for Social Accountability Management Systems RINA performs periodic audits on the Social Accountability Management System, at intervals of not more than 6 months, in order to evaluate whether it remains compliant with the requirements of the reference specification. The date within which the audits must be performed is indicated on the three yearly audit programme sent to the organisation.

This programme may be modified by RINA according to the results of the previous surveillance audits.

If the limits of the surveillance audits are exceeded for justified reasons, this must be agreed with RINA in advance and recovered at the subsequent audit.

5.2.1

At the request of the certification client within the initial certification cycle after the first six month audit and the second, twelve month (unannounced) audit, micro-enterprises (up to 10 employees) may be allowed to move to an annual surveillance schedule in lower risk countries only . If the number of personnel increases to more than ten within the initial certification cycle, the frequency of the required SA8000 surveillance audits SHALL revert to a 6 monthly semiannual surveillance schedule for that client

5.3

In addition to what is stated in the General Rules for the Certification of Management Systems in point 6.3.2, for Social Accountability Management Systems and as established by the Accreditation Body, at least one surveillance audit, generally the second one, is to be unannounced.

This audit will not take place exactly upon expiry of the six-month period but within a 4 month lapse of this date. If any serious non-conformities are found during the unannounced audit, it must be planned once again during the three-year period. Also during unannounced audits, RINA will inform the organisation of the names of the auditors in advance; the organisation may object to the use of these people and explain its reasons.

CHAPTER 6
TRANSFER OF ACCREDITED CERTIFICATES

The first paragraph of chapter 10 of the General Rules for the Certification of Management Systems is replaced, for Social Accountability Management Systems, by the following:

If an organisation with a valid certificate issued by another body which is accredited by SAAS (Social Accountability Accreditation Services) wishes to transfer its certificate to RINA, it must send RINA the Informative Questionnaire as per point 3.1 of the General Rules for the Certification of Management Systems and explain why it is requesting the transfer.

All the other paragraphs of chapter 10 of the General Rules for the Certification of Management Systems apply, with the exception of the necessity to always perform an on-site audit at the site of the organization requesting for transfer of the certificate, using recertification times and equivalent to a recertification.

CHAPTER 7
SPECIAL REQUIREMENTS FOR MULTISITE ORGANIZATION

7.1

In addition to what is stated in the General Rules for the Certification of Management Systems under point 9.1 it's possible to include within the same certificate only the sites located in the country in which the company is incorporated. Any Permanent site located outside the country will be subject to an ad-hoc sampling and inserted in a specific certificate.

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