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Supplementary appendix – Certification standard: SA8000:2014

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CHAPTER 1 - GENERAL

This Sheet defines the additional and/or replacement procedures applied by RINA for the certification of Social Responsibility management systems, with respect to what is already defined in the Rules for the certification of RC/C 40 management systems.

RINA issues certification in accordance with the requirements of the UNI CEI EN ISO/IEC 17021-1: 2015 standard and the SAAS 200: 2019 Procedure, to Organizations whose Management System has been recognized as complying with all the requirements of the

SA 8000:2014

Standard is issuedeither by SAI (Social Accountability International) and can be found on the RINA website (www.rina.org), on the website of the IAS www.sa-intl.org or on the website of the SAAS (Social Accountability Accreditation Services) www.saasaccreditation.org.

In addition to the provisions of the General Ruless for the Certification of Management Systems, for Social Responsibility Management Systems companies without production activities or significant assets (so-called Shell Companies) cannot be certified in accordance with the SA8000 standard. Consequently, any organization that intends to certify itself in accordance with the reference standard must demonstrate that it has been active in the business declared for at least 06 months before the request for certification and must demonstrate that it has active contracts with customers at the time of certification.

For any requirements not expressly mentioned in this document, please refer to the requirements of SAAS Procedure 200:20 20 , which can be found on the www.saasaccreditation.org website.

CHAPTER 2 - REFERENCE STANDARD / CERTIFICATION REQUIREMENTS

To obtain certification from RINA, a Social Responsibility Management System must initially and over time meet the requirements of SA Specification 8000:2014.

In place of the provisions of the General Rules for the Certification of Management Systems, for Social Responsibility Management Systems, the compliance of the Management System with the reference standard is verified through an audit program that includes:

- an initial audit in two "stages"
- Semi-Announced surveillance audits on an annual basis starting from 6 (six) months from the date of conclusion of the second certification stage
- Follow-up Review / Recertification Follow-up review at least annually starting from the end of the second certification stage
- surveillance audits at least annually starting from the sixth month from the closure of the second certification stage
- a certification renewal audit after 30 months from the closing date of the second certification stage.

For exceptions to "multi-site" certifications, see § 9

In establishing the audit program, the size of the organization, the scope and complexity of the Management System, the products and processes, the level of effectiveness of the Management System, the result of previous audits, and any certifications already issued to the customer or other audits already carried out are taken into consideration.

In addition to the provisions of the General Ruless for the Certification of Management Systems, for Social Responsibility Management Systems, the Companies are required to perform a Management System Self-Assessment (SA) on the SAI online platform (https: //database.sa-intl .org)

Management systems self-assessment is performed by an organization applying for or maintaining SA8000 certification as a

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reflection of that organization's management system maturity in order to provide benchmarks and insights to help the organization identify areas for improvement. The results of self-assessments remain the property of the organization that performs them.

The self-assessment of management systems must be completed by an applicant or certified organisation within 6 months prior to a phase 1 audit or recertification. The organization may also conduct additional SA at any time of its choice.

The organization is not obliged to share its SA scores with RINA because SA scores are not a component of the SA8000 certification program.

The costs and commissions related to the Social Fingerprint are charged to the customer directly by the Accreditation Body, in charge of this service.

In addition to the provisions of the General Rules for the Certification of Management Systems, for Social Responsibility Management Systems, a company applicant/certified SA8000 wishing to use the services of a consultant in the application of the SA8000 standard must enter into a formally documented and legally binding contractual agreement with the consultant. The consultancy contractshall specify the requirements, expectations/deliverables and limitations for a time-limited consultant engagement. Upon request, the consultancy contractshould be promptly made available to representatives of RINA, or SAAS, for verification and evaluation. The management of the applicant/certified SA8000 company must ensure that the consultant always operates in accordance with the terms of the consultancy contract in a transparent and ethical manner with respect to the SA8000standard and its requirements. The responsibilities and relationship of the consultant with the management of the applicant/certified company SA8000 must be transparent within the management system and understood by the company's staff at all levels. The management of the applicant/certified organization shall retain overall control and responsibility for all SA8000-related services provided by a consultant.

In any case, the Company has the right to withdraw from the contract or to waive certification if it is unable or unwilling to apply these requirements. In this case it will be the responsibility of the Company to inform its clients, RINA and other interested parties, where applicable.

CHAPTER 3 - INITIAL CERTIFICATION

In addition to the provisions of the General Ruless for the Certification of Management Systems in point 3.1, for Social Responsibility Management Systems, the company must provide RINA, together with the provisions of the "Information Questionnaire" document, with some additional information contained in the document attached to it. This information includes:

- presence of legal actions present or passed against the organization

- presence of complaints, complaints or complaints submitted by internal and external stakeholders of the Organization in the six months prior to the certification request

- evidence of the existence of contracts in place with its customers and of the continuity of activities in the six months prior to the request for certification

In addition to the provisions of the General Rules for the Certification of Management Systems, for Social Responsibility Management Systems, RINA, before the certification visit, will carry out an audit to ensure that the applicant company does not have a recent or persistent history of serious and unresolved violations related to any element of the SA8000 standard.

This research will be carried out using the RINA internal database as well as publicly available documents and information and may include any meetings with "interested parties" in order to obtain/collect advances on the most common types of problems in the area in which the Organization operates.

During the meetings, interested parties are not aware of the name(s) of the Organization(s) that has/have applied for certification. The minutes of the meeting, prepared by the RINA Operations Area, can be sent to the Accreditation Body.

On the basis of the information collected and the documentation provided, RINA reserves the right in any case to refuse the Company's request for certification.

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Together with the request for certification, or subsequently to the same, the Organization, in addition to the provisions of the General Ruless for the Certification of Management Systems in point 3.4, must also make the following documentation available to RINA:

- Social Responsibility Management manual describing the Social Policy, objectives and Social Responsibility Management System of the Organization (last valid revision);

- Name Organizational Chart

- list of identification details of the legislation in force in the country of the production site for the purposes of Social Responsibility

- data on minimum and maximum wages; examples of contracts, copies of agreements signed by trade unions;

- supplier control plan (means the planning of actions on suppliers that specifies the methods and activities of awareness, involvement and control, with indication of the relative timing, resources and responsibilities).

- self-assessment questionnaire on the Organization's Management System available on the RINA website www.rina.org;

CHAPTER 4 - MAINTENANCE OF CERTIFICATION

In addition to the provisions of the General Rules for the Certification of Management Systems in point 4.2, for Social Responsibility Management Systems the Organization must maintain records relating to:

- Any reports and/or complaints received from interested parties, relating to the aspects covered by the SA 8000: 2014 specification;

- Any comments or reports received from the national or local authorities responsible for monitoring health and safety aspects in the workplace and personnel management;

- any disciplinary measures imposed;

- any other registration attesting compliance with the requirements of SA8000:2014;

and must make them available to RINA together with the related corrective actions taken during the periodic audits.

In addition to the provisions of the General Rules for the Certification of Management Systems, for Social Responsibility Management Systems, RINA may carry out duplicate audits and/or "Market Surveillance visits" every year. The duplicate audit in principle consists of a repetition of the audit that was carried out previously, to verify whether the results of the audits are credible.

The "Market Surveillance" activity is aimed at determining the level of confidence in the compliance of the assessed management system with respect to the specified requirements and the effectiveness of the accredited certification process.

The activity, lasting no more than one day, involves access by an audit team to the company premises in order to examine working conditions, conductinginterviews with management staff and screening ofthe main documents. contractual and operational. Interviews with workers are not a planned part of these visits, unless deemed necessary.

The outcome of these activities will have no impact on the validity of the certificates issued but will contribute to increasing the effectiveness of the audits carried out by RINA. These audits will not in any case be borne by the customer as part of the three-year plan but will be fully borne by RINA.

CHAPTER 5 - RECERTIFICATION

The provisions of the Rules for the certification of RC/C 40 Management Systems apply

CHAPTER 6 - PERFORMANCE OF AUDITS

In addition to the provisions of the General Ruless for the Certification of Management Systems, for Social Responsibility Management Systems and as prescribed by the Accreditation Body, during the Stage 2 and Recertification audits photographic evidence must be collected by the auditor (during the surveillance audits, photographic evidence will be acquired only in the face of changes).

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The number of photographs collected will be reduced to a minimum sufficient for the following items to include:

- Exhibition location(s) of the SA8000 standard

- Place(s) of display of RINA and SAAS contact information

- Buildings/premises

- Workstations/production areas

- Bedroom

- Canteens/places of consumption of meals

- Place of Exhibition of the Policy

- Chemical storage areas

- Evacuation tests

- Emergency exits

- Warehouse

- Support structures (e.g. wastewater treatment, boiler, generator)

- Time & Attendance System

- Work in progress

- Any Non-conformities detected in the H&S area

- Best Practice

- Operational sites

- All organizational documents reviewed as part of management systems

- Personal protective equipment

- Anti-fire equipment

The photographic evidence, chosen on the basis of the type of company and production activity, will not include any patented process, images of individual workers or sensitive documents relating to the organization or any of its employees.

At the end of the audit, the Customer will be able to view the photographs collected by the auditors.

This evidence will be stored in the RINA confidential database and used solely for the purpose of certifying the Management System.

Consent to the collection of photographic images as described above cannot be withheld

In addition to the provisions of the General Ruless for the Certification of Management Systems, the following types of findings are integrated into the types of non-conformities already envisaged:

- Critical non-conformity: a serious breach of the SA8000 standard that results in immediate serious repercussions for individual rights, life and safety of workers or a major non-compliance (type A) not taken care of or for which, during the additional audit, the ineffectiveness of the actions taken by the organization was verified. Corrective action for Critical Nonconformities must be proposed within one week and must be implemented within 1 month. During this period, the validity of the certificate issued to the Organization will be suspended, until the effective closure of the Non-Conformity has been verified.

- Time Bound Nonconformity: A special nonconformity, following evidence showing that the organization meets local law, but not the higher requirements of SA8000:2014 or vice versa. The necessary corrective actions implemented by the organization can be implemented, unlike what happens for minor non-conformities (type B) in a maximum period of time of 24 months. RINA will verify every six months the progress of the actions for the closure of the problems highlighted

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Corrective actions for major non-conformities (cf. General Ruless for the Certification of Management Systems) must be implemented within 3 months and for Non-Conformities Less than 6 months.

For any type ofN on Conformity detected, in order to identify the appropriate corrective action, it is essential to perform a complete analysis to identify the real cause that led to the finding.

In addition to the provisions of the General Ruless for the Certification of Management Systems, for Social Responsibility Management Systems, the Organization must use the method of 5 because to carry out the analysis of the causes and define adequate corrective actions. Analysis of causes not carried out with this methodology, will not be accepted by the audit team .

In addition to the provisions of the General Rules for the Certification of Management Systems, for Social Responsibility Management Systems, in the presence of a critical non-conformity, the validity of the Certificate of Conformity will be immediately suspended in accordance with the provisions of the "General Terms and Conditions for the certification of systems, products and personnel" and the provisions of Chapter 11 of the "General Ruless for the Certification of Systems". of Management".

In addition to the provisions of the General Rules for the Certification of Management Systems, for Social Responsibility Management Systems the Organizationmust provide during the stage 1 audit and each recertification audit the evidence of the completion of the self-assessment questionnaire provided by SAI (Social Accountability International) and available at (https://database.sa-intl.org)

In place of the provisions of the General Ruless for the Certification of Management Systems, for Social Responsibility Management Systems, RINA carries out audits on the Social Responsibility Management System, at least every six months, in order to assess the maintenance of compliance with the requirements of the reference specification.

The date by which audits are to be carried out shall be stated on the three-year audit programme held by the Organisation. This programme may be amended by RINA on the basis of previous surveillance audits.

Any deviations of surveillance audits beyond these limits, due to justified reasons, must be agreed in advance with RINA and must in any case be recovered at the first subsequent audit.

Notwithstanding the provisions of the General Ruless for the Certification of Management Systems, for Social Responsibility Management Systems and as prescribed by the Accreditation Body, starting from the sixth month from the closing date of the second Certification Stage, two Semi-Announced surveillance audits will take place annually.

These audits will not take place at the exact deadline planned as set out above, but over a period of 2 months straddling it. In cases where without reasonable reason (e.g. holiday closure period) the customer does not agree to have the Semi Annunciata audit performed, the certificate will be immediately suspended.

At least every 12 months an audit must be carried out at the customer's premises (either Semi Announced or Recertification).

The Recertification audit will be carried out after 30 months from the closing date of the second Certification Stage.

Also on the occasion of the Semi-Announced audits, the names of the technicians are communicated in advance by RINA to the Organization, which has the right to object to their appointment, justifying the reasons.

In addition to the provisions of the General Ruless for the Certification of Management Systems, for Social Responsibility Management Systems and as prescribed by the Accreditation Body, starting from one year from the closing date of the second Certification Stage, three annual Follow-up Review / Recertification follow up Review activities will take place.

These activities will be carried out remotely, and therefore not at the customer's premises, through video conferencing methods agreed from time to time with the audit team. The Follow-up Review activities are therefore aimed at confirming:

- the continued adequacy of the certification purpose with the activities carried out by the organization

- the number of employees,

- the closure of minor non-conformities previously formalized and progress of actions for time-bound non-compliance

- the organisation's commitment to health and safety requirements, including monitoring results and records and any follow-up actions taken

- the organization's commitment to its internal processes of "monitoring", "handling complaints" and "improvement"

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The Recertification Follow-up Review activity is planned33 months from the closing date of the second Certification Stage and must take place in a time window of eight weeks.

This audit aims to confirm the conditions verified during the Recertification:

- Certification Purpose
- Number of employees
- certificate
- Management and closure of critical or major nonconformities

CHAPTER 7 - MANAGEMENT OF CERTIFICATES OF CONFORMITY

The provisions of the Rules for the certification of RC/C 40 Management Systems apply

CHAPTER 8 - MODIFICATION OF CERTIFICATION AND COMMUNICATION OF CHANGES

The provisions of the Rules for the certification of RC/C 40 Management Systems and the provisions of the "GENERAL CONDITIONS OF CONTRACT FOR THE CERTIFICATION OF SYSTEMS, PRODUCTS AND PERSONNEL" apply.

CHAPTER 9 - PARTICULARITIES FOR MULTI-SITE ORGANIZATIONS

This paragraph contains additional requirements to the General Ruless for the Certification of Management Systems for Social Responsibility Management Systems and as prescribed by the Accreditation Body for multi-site companies.

Internal audits carried out by the Organization

To proceed with the first certification process, the organization must have carried out a cycle of internal audits on all the sites included in the certification perimeter before carrying out the second certification internship

The internal audit cycle must be repeated on all sites before recertification

Internal audits must be carried out every two years in the three-year cycle of validity of the certificate.

Audit planning

The planning of audits in the three-year period of validity of the Certification, provides for the carrying out of onsite audits announced at least every six months (instead of the alternation between Follow-up Review Audit and Semi-announced Audits valid for single-site companies).

The half-yearly is counted from the closing date of the second certification stage and must take place within a time window of 8 weeks. Each half-yearly audit will involve the Head Office (Management) and a selected sample of sites.

As with single-member organizations, a Recertification audit is scheduled 30 months from the date of conclusion of Stage 2 certification.

33 months from the closing date of the Certification audit, a Follow-up and Recertification Review is scheduled to be carried out at the Organization's headquarters (with the same purposes already set out for audits on single-site companies)

CHAPTER 10 - TRANSFER OF ACCREDITED CERTIFICATES

The first paragraph of Chapter 10 of the General Ruless for the Certification of Management Systems is replaced as follows for Social Responsibility Management Systems:

If an Organization with a valid certification issued by another SAAS (Social Accountability Accreditation Services) accredited Body wishes to transfer its certification to RINA, it must send RINA the "Information Questionnaire" referred to in point 3.1 of the General Rules for the Certification of Management Systems specifying the reasons for the transfer request.

All other paragraphs of Chapter 10 of the General Rules for the Certification of Management Systems remain applicable, without prejudice to the need to carry out in any case an audit at the site(s) of the organization requesting the transfer, with the timing of a recertification audit. Upon completion of the transfer audit, a certificate valid for three years will be issued.

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CHAPTER 11 - SUSPENSION, RESTORATION AND WITHDRAWAL OF CERTIFICATION

The provisions of the Rules for the certification of RC/C 40 Management Systems and the provisions of the "GENERAL CONDITIONS OF CONTRACT FOR THE CERTIFICATION OF SYSTEMS, PRODUCTS AND PERSONNEL" apply.

CHAPTER 12 - WAIVER OF CERTIFICATION

The provisions of the Rules for the certification of RC/C 40 Management Systems apply

CHAPTER 13 - CONTRACTUAL CONDITIONS

The provisions of the Rules for the certification of RC/C 40 Management Systems and the provisions of the "GENERAL CONDITIONS OF CONTRACT FOR THE CERTIFICATION OF SYSTEMS, PRODUCTS AND PERSONNEL" apply.