

The following description is based on the requirements of ISO 17021:2015 and SAAS procedure 200. The certification of a management system based on standard SA8000:2014 consists of the offer and contract phase, the audit preparation, performance of the Stage 1 audit with evaluation of the management documentation, performance of the Stage 2 audit, issue of certificate and surveillance/recertification. In addition the certification consists of independent evaluations of the Social Fingerprint (SF) Self Assessment of the customer.

The auditors are selected by the Head of the Certification Body of TÜV NORD CERT GmbH in accordance with their approvals for the particular sector and their qualification.

1. Certification procedure

1.1. Audit preparation

Following signing of the contract, the auditor prepares for the audit based on the questionnaire filled in by the customer and the calculation sheet, and discusses and agrees the further procedure with the organization to be audited. Another part of preparation is a screening of the company and a consultation with non-governmental organizations. In addition the customer will receive details regarding the Social Fingerprint Self Assessment which shall be completed online before the Stage 1 audit.

During preparation for the surveillance or recertification audit, the organizations to be audited have the duty to report fundamental changes in their organisational structure or changes in procedure to the certification body.

1.2. Audit Stage 1

The customer receives an audit plan at least 2 weeks prior to the audit.

The Stage 1 audit is conducted in order to

- Review accuracy of the pre-audit questionnaire returned by the client organisation.
- Familiarize TÜV NORD Lead Auditor with the issues pertinent to the client organisation.
- Gain an understanding of the client's Social Accountability system and its state of development.
- Determine client's awareness and recognition of the local norms, regulatory and legal requirements.
- Review the client organisation's method of determining a local Living Wage and the wages paid to workers.
- Review and assess the client's SA8000 management system documentation.
- Agree to the list of documentation that must be made available by the client organisation for the Stage 2 Audit.
- Evaluate the client's location and site-specific conditions.
- Undertake discussions with the client's personnel to determine the preparedness for the Stage 2 audit.
- Identify all parts of the organisation so TÜV NORD understands the structure of the organisation for proper determination of scope of the certificate.
- Review the proposed allocation of resources for the Stage 2 audit against the draft audit plan and agree with the client on the details of the Stage 2 audit.

- Evaluate if internal audits and management review are being planned and performed and to ascertain the organisation's general conformity with the SA8000 Standard and Performance Indicator Annex.
- Review previous labor, ethics, and other similar second and third party audit reports that are in the possession of the SA8000 certified or applicant organisation. The client SHALL make available any such audit reports within the previous three years and all SA8000 audit reports, if ever previously certified.
- To confirm the date when the client declares that their SA8000 management system was fully operational.

If findings or areas of concerns were identified in the stage 1 audit, these must be corrected by the customer before the stage 2 audit.

If at the end it cannot be established positively that the customer is ready for Stage 2 Audit, the Stage 1 Audit shall be repeated after reasonable time period. The same applies if the Stage 2 audit cannot be performed during the 6 month from the end of Stage 1 audit to the first day of Stage 2 audit.

The lead auditor is responsible for the coordination of the activities of the Stage 1 audit. Based on the outcome of the Stage 1 audit the Lead Auditor performs Independent Evaluation of the customers Social Fingerprint Self Assessment and updates the SF database accordingly.

1.3. Certification audit (Stage 2 audit)

The customer receives an audit plan before the beginning of the stage 2 audit. The plan is agreed with the customer in advance.

The audit begins with an opening meeting, in which the participants are introduced to each other. The procedure to be followed in the audit is explained. Within the framework of the audit at the organization's premises, the auditors review and assess the effectiveness of the management system which has been installed. The basis for this is the standard SA8000.

The task of the auditors is to compare the practical application of the management system with the documented processes and to assess them in relation to fulfilment of the requirements of the standard. This is achieved by means of interviewing employees, examining the relevant documents, records, personnel files, orders and guidelines and also by visiting relevant areas of the organization and taking photographs and copies of relevant documents.

Based on the outcome of the Stage 2 audit the Lead Auditor performs again an Independent Evaluation of the customers Social Fingerprint Self Assessment and updates the SF database accordingly.

A closing meeting takes place at the end of the on-site audit. At least those employees take part in the audit who have management functions within the organization and worker representatives. The lead auditor reports on the outcome of the audit and the SF Independent Evaluation with translation in case necessary. The lead auditor shall inform the attendances if any Critical or Major Non-Conformity is raised and if so whether additional audits or documented evidence will be needed to close them. A Non Conformity report of the audit will be left at the premises. If nonconformities are established, the lead auditor can only recommend the organization for certification after acceptance or verification of the corrective actions by the audit team, see Section 4 "Management of nonconformities". Attention

must be drawn to this fact in the final meeting. In the closing meeting the Lead Auditor will present a summary of the audit result.

Optional to the closing meeting a pre-closing meeting can be hold. In this meeting the SA8000 management representative and the Social Performance Team shall attend and the Lead Auditor will clearly explain the audit findings and SF Independent Evaluation score. At the end of the meeting the findings may be agreed.

The audit is documented in the audit report (the documentation must be separate for stage 1 and stage 2 audits) and is completed by means of further records (e.g. audit questionnaire and hand-written records).

Based on the outcome of the Stage 2 audit the Lead Auditor performs again an Independent Evaluation of the customers Social Fingerprint Self Assessment and updates the SF database accordingly.

1.4. Issuance of certificate

The certificate is issued when the certification procedure has been reviewed and released by the head of the certification body or his deputy or nominated representative. The person who reviews and releases the procedure may not have participated in the audit.

The certificate can only be issued when the nonconformities have been accepted or verified by the audit team.

The certificate is valid for 3 years.

Certificates may be suspended, withdrawn or cancelled if audits are delayed or nonconformities are not closed. In case of multi-site certification if a systematic failure is observed the certificate of all sites may be suspended, withdrawn or cancelled.

1.5. Surveillance audit

Surveillance audits must be conducted in 6 month period of validity of the certificate (3 years), whereupon the second surveillance audit will take place unannounced. In high/ highest risk countries the fourth surveillance audit will be performed unannounced as well.

The first surveillance audit shall take place latest after 6 month of the last day of the Stage 2 or recertification audit. All following surveillance audits shall be performed latest after 6 month of the last day of the previous audit.

The permissible tolerance for conducting semi-annual surveillance audits is the last day of the previous audit -3/ +0 months.

The client receives a report following the surveillance audit.

1.6. Recertification audit

Recertification audits must be complete before the end of the period of validity of the certificate, including review of the measures for correction of nonconformities.

In the recertification audit, a review of the documentation of the management system of the organization takes place and an on-site audit is conducted, whereby the results of the previous surveillance audits over the period of the certification are to be taken into consideration. All requirements of the standard are audited. Activities related to the recertification audit may include a stage 1 audit if there are significant changes in the management system or in connection with the activities of the organization (e.g. changes to the law).

The audit methods used in the recertification audit correspond to those used in a stage 2 audit. The client shall again complete the Social Fingerprint Self Assessment before the recertification audit is performed.

2. Transfer of certificates of other certification bodies

In general, only certificates from SAAS accredited certification bodies can be transferred. Organizations with certificates which originate from non-accredited certification bodies are treated like new clients. In addition the client shall provide the last two SA8000 reports. If this is not the case the audit must be considered as new certification.

An Initial Research must be conducted before a certificate can be transferred. Transfer can only be conducted in case of valid certificate, no open critical or major Non-Conformities, no suspension of the customer and upon confirmation of SAAS.

The further surveillance audit programme is based on the programme which has been in place up to the time of the takeover of the certificate.

The social fingerprint self assessment shall be performed before the transition audit online. Based on this the SF Independent Evaluation shall be conducted as per the requirements of the recertification.

3. Certification of multi-site organizations

Certification of organizations with several production sites in one country with similar types of activity and which operate under a single management system might be applicable for multisite certification. If an organization with several sites is certified SA8000, all sites must be audited within the three years certification cycle.

The locations to be audited will be determined based on random sampling procedure. However, special requirements must be fulfilled to apply the multi-site auditing approach.

4. Management of nonconformities

An analysis of the causes must be performed for each nonconformity (NC) and corresponding corrective actions must be implemented. The organization has the duty, depending on the seriousness of the nonconformity, to provide a Corrective Action Plan (CAP) and to implement Corrective Actions within a prescribed timeline as following:

Critical NC		Major NC		Minor NC	
CAP sent to TÜV NORD	Corrective action completed	CAP sent to TÜV NORD	Corrective action completed	CAP sent to TÜV NORD	Corrective action completed
1 week	1 month	1 month	3 month	2 month	6 month

If the deadlines are not met, the audit is considered not to be successful, i.e. not passed. No certificate can be issued, or an existing certificate is withdrawn.

5. Contact data

As part of the staff interviews the staffs receive contact data of the Certification Body and Accreditation Body "Social Accountability Accreditation Services" (SAAS). The employees therefore have the possibility of pass directly the complaints to independent agencies.