

IQNet Ltd Follow-up Reviews as Part of the SA8000 Certification Program

THE CONCEPT

The SA8000 follow-up review represents an activity in the SA8000 audit and certification cycle aimed at monitoring the ongoing commitment and performance of the SA8000 certified organizations between on-site audit activities.

THE PROCESS

The follow-up review will generally take place as a virtual meeting (via web-based conference with document sharing) between the IQNet Ltd SA8000 Lead Auditor and the certified organization's representatives.

THE OUTCOMES

The purpose of the follow-up review is to confirm the maintenance of the SA8000 certification by assessing the certified organization's efforts to maintain and continually improve its ethical performance under the SA8000 management system.



How is it conducted?

- In general, the follow-up review will be conducted via remote communication (web-based conference and document sharing), with the SA8000 certified organization's representatives, for an approximate duration of 2 hours. The remote communication channel selected should allow discussions with the organization's representatives and sharing of documents.
- Should the reviewing of evidence require it (e.g. major or persistent non-conformities, complaints or concerns from interested parties, difficulties or inability to arrange a remote activity, lack of internet access in the SA8000 organization), the follow-up review will be conducted on-site, with a duration of more than 2 hours.

Who is conducting the follow-up review?

- The follow-up review will be conducted by a qualified IQNet Ltd SA8000 Lead Auditor (typically the Team Leader performing one of your previous audits).

Who should attend on behalf of the SA8000 Organization?

- The follow-up review will be conducted with the appointed SA8000 Management Representative, which may be supported, as considered necessary, by additional responsible functions such as management systems, human resources, health and safety, worker representatives and/or trade union representatives, SPT (Social Performance Team) members.

What is an SA8000 follow-up review?

A follow-up review represents an activity, part of the SA8000 audit and certification program, performed between on-site audits, with the purpose to monitor the ongoing commitment and performance of a certified organization.

The follow-up review may occur in the audit cycle of the SA8000 organization as provided in your specific audit program and detailed in the IQNet Ltd SA8000 Certification Rules (I011-SA).

The application and frequency of the follow-up review in the SA8000 audit cycle depends on the type of the organization, e.g. whether organization with one single operational site or organization where the activities are deployed in several sites.

What are the outcomes of the follow-up review?

- The follow-up review will conclude with a recommendation on the maintenance or renewal of your SA8000 certification.
- Should the follow-up review identify weaknesses against the performance of the organization to SA8000 requirements 3.5, 9.4, 9.6 and 9.8, the Lead Auditor will raise a non-conformity citing "inadequate demonstration of commitment to management system principles within the organization SA8000 policy (SA8000 clause 9.1.2)" and will further detail the details/evidence of the findings.
- In case of minor, isolated (non-systemic) failure to demonstrate commitment, a minor non-conformity shall be raised. Implementation shall be reviewed during the next audit activity (on-site or off-site).
- In case of broad or systemic lack of commitment, a major non-conformity shall be raised. A special audit activity will be conducted (on-site or off-site) to review responses and further actions undertaken (potentially leading to a recommendation for suspension or non-granting of the certification).
- Any non-conformity finding demanding on-site review prior to closure, will remain open until a satisfactory review can take place during a future site visit.
- Should your organization not be willing or capable to accommodate this activity within the required timeframe, your SA8000 certification will need to be suspended or will not be renewed (in case of re-certifications).

THE CONTENT

The SA8000 follow-up review covers several core topics for the coverage, impact and changes of the SA8000 certified system: operations, personnel, actions to address previously identified findings, health and safety management, internal monitoring, complaint management and performance improvement.

THE ENGAGEMENT

The successful achievement of the follow-up objectives relies on your organization's preparation and availability to provide supporting evidence of your actions to maintain and improve your certified SA8000 management system.

ADDITIONAL RESOURCES

The SA8000 follow-up review process and requirements are described in our I 011-SA SA8000 Certification Rules (binding part of your SA8000 certification contract).

These are aligned with SAAS regulations for accredited SA8000 Certification available at <http://www.saasaccreditation.org/document-library>

What are the topics covered and the typical information, documentation and records to be made available during the follow-up review?

In order to enable the successful and effective completion of this activity you are kindly requested to prepare in advance and have available information and documented evidence related to the topics mentioned below. Such information and documented evidence include:

Review of client operations and confirmation of continued appropriateness and accuracy of the SA8000 certified scope:

- information on the current scope of activities and whether any changes occurred from the previous audit as related to: sites and locations, activities, processes, products/services, changes in personnel with responsibilities in SA8000 management system.

Confirmation of the number of personnel and/or changes to personnel:

- information on the current number of personnel: total number of personnel, breakdown of personnel (e.g. management, full-time employees, part-time employees, agency/labour dispatch provided workers, on-site subcontractors, etc.). Changes as compared to the previous audit.

Progress/closure of previously raised non-conformities:

- documented evidence of any corrections and corrective actions undertaken to address previous SA8000 audit findings (non-conformities, opportunities for improvement), including photos, records, documents as needed, for the review by our Lead Auditor.

Progress made towards required time-bound non-conformities (open from previous audit activities):

- documented evidence of the progress of the corrective action plan for any time-bound non-conformities, open from previous audit activities, for the review by our Lead Auditor.

The organization's commitment to health and safety, including satisfactory results and records of the organization's ongoing health and safety risk assessments and corrective and preventive actions taken (SA8000 requirement 3.5):

- information on any changes introduced in the health and safety documentation (from the previous audit) and availability of the changed documents for the review by our Lead Auditor;

- information on any changes in the responsible personnel, incl. health and safety management representative, worker representatives, committee and availability of documented evidence to support appointment/election of new personnel for the review by our Lead Auditor;
- documented evidence of any health and safety risk assessment conducted from the previous audit available for the review by our Lead Auditor;
- documented evidence of any meeting of the health and safety committee, conducted from the previous audit, and its results available for the review by our Lead Auditor;
- documented evidence of the status of corrective and preventive actions to address and prevent current and potential health and safety hazards (e.g. emergency evacuation exercises, testing and monitoring activities, training actions, accidents to address accidents and incidents), available for the review by our Lead Auditor.

The organization's commitment to its internal monitoring, complaint management and improvement processes (SA8000 requirements 9.4, 9.6 and 9.8):

- information on any changes introduced in the SA8000 risk assessment (from the previous audit) and availability of documented risk assessment for the review by our Lead Auditor;
- information on any changes in the responsible personnel, incl. SA8000 management representative, worker representatives, SPT committee members (occurred from the previous audit) and availability of documented evidence to support appointment/election of new personnel for the review by our Lead Auditor;
- documented evidence of any SPT monitoring activities and results (occurred from the previous audit) for the review by our Lead Auditor;
- documented evidence of any internal audits conducted from your previous audit for the review by our Lead Auditor;
- documented evidence of SPT meetings and reports to senior management (occurred from the previous audit) for the review by our Lead Auditor;
- information on the status of complaints (open, closed) and documented evidence of any actions undertaken for addressing them for the review by our Lead Auditor.

SERVICES AVAILABLE

Certification

Audit

Training

Capacity Building