

## QUALITY - SOCIAL ACCOUNTABILITY - HEALTH AND SAFETY INTEGRATED MANAGEMENT SYSTEM AUDIT ACCORDING TO THE REQUIREMENTS OF ISO9001:2008, SA 8000:2008, OHSAS 18001:2007 AND ISO 19011:2011 STANDARDS

Valentina TUDOR<sup>1</sup>, Romeo DENUNTZIO<sup>1</sup>, Ioan Niculae ALECU<sup>1</sup>, Marius Mihai MICU<sup>1</sup>, Georgeta TEMOCICOI, Reta CONDEI<sup>1</sup>

<sup>1</sup>University of Agricultural Sciences and Veterinary Medicine Bucharest, 59 Marasti, District 1, 11464, Bucharest, Romania, Phone/Fax: 00 40 744 6474 10;

**Corresponding author:** micumariusmihai@yahoo.com

### Abstract

*The purpose of this paper is to present a method of perfecting the audit of the social requirements of the quality-social accountability-health and safety integrated management system with the social requirements of Business Social Compliance Initiative (BSCI) and Supplier Ethical Data Exchange (SEDEX). The method used was to supplement the social requirement of SA 8000:2008 standard with the additional requirements of BSCI and SEDEX. The results are based on a correspondence between the requirements of SA 8000:2008 standard and the requirements of BSCI and SEDEX codes of conducts, because some of BSCI and SEDEX requirements are more detailed than SA 8000:2008 standard requirements which are the base for the implementation of social requirements of the quality-social accountability-health and safety integrated management system. A check list was elaborated with the integrated social requirements of SA 8000:2008, BSCI and SEDEX. The check list is related to child labour, forced and compulsory labour, health and safety, freedom of association & right to collective bargaining, discrimination, disciplinary practices, working hours, remuneration and management system. The conclusion of the paper is that the elaborated check list allows the quality-social accountability-health and safety integrated management system audit to match to the requirements of BSCI and SEDEX.*

**Key words:** audit, business social compliance initiative (BSCI), management system, occupational health and safety, quality, social accountability, supplier ethical data exchange (SEDEX).

### INTRODUCTION

One of the important audit tools of the quality-social accountability-occupational health and safety integrated management system is the check list which has to enable the auditor to evaluate all the requirements of the integrated management system included the social requirements [2]. Because the SA 8000 standard which establishes the social requirements of the integrated management system is considered the best practice both for the Business Social Compliance Initiative (BSCI) and for the Supplier Ethical Data Exchange (SEDEX), it is important that the check list for the social requirements of the integrated management system should also contain the explicit requirements of BSCI and SEDEX codes of conduct which are implicit requirements of the SA 8000 standard.

### MATERIALS AND METHODS

The methods used are to compare the requirements of SA 8000 standard with the requirements of BSCI Code of Conduct and SEDEX code of conduct and to supplement the check list of the social requirements of SA 8000 standard with the explicit requirements of BSCI Code of Conduct and SEDEX code of conduct.

### RESULTS AND DISCUSSIONS

The check list contains questions to audit the prerequisites of the social requirements from the SA 8000 standard and also questions to audit the explicit social requirements of the BSCI and SEDEX codes of conducts which are implicit requirements of the SA 8000 standard. The questions related to the BSCI code of conduct are specified in the check list with BSCI abbreviation and the questions

related to SEDEX codes of conduct are specified in the check list with SEDEX abbreviation.

### **Check list for social requirements**

#### **Clause from SA 8000 standard/ Question/ Evaluation**

##### **1.Child labour [4].**

1.1.What method does the organization employ not to engage in or support the use of child labour?

1.2.How are the policies and written procedures for the children's remediation established, documented, maintained and communicated?

Are the financial support and other support provided to enable the children to attend and remain in school until childhood ends?

1.3.How is it guaranteed that the young workers are able to work only outside the compulsory education school hours?

How is it guaranteed that the young worker's school, work and transportation time does not exceed a combined total of 10 hours a day?

Do the young workers work more than eight hours a day?

Do the young workers work night hours?

1.4.Are the children and young workers exposed to any situations - inside or outside the workplace- that are hazardous and unsafe to their physical and mental health and development?

Are there work conditions which are slavery-like conditions? (BSCI) [1].

##### **2.Forced and compulsory labour [4].**

2.1.How is it guaranteed that the company does not engage in or support the use of forced and compulsory labour?

Does the company require the personnel to pay deposits with the company upon commencing employment?

Did the company require the personnel to lodge identification papers with the company upon commencing employment?

Are forced, bonded or involuntary prison labour forbidden? (SEDEX) [3].

2.2.How is it guaranteed that the company doesn't withhold any part or any personnel's salary, benefits, property, or documents in order to force such personnel to continue working for the company?

2.3.Does the personnel have the right to leave the workplace premises after completing the standard workday?

Did the personnel have the right to terminate their employment provided that they gave reasonable notice to their employer?

2.4.How is it guaranteed that the company doesn't engage in or support the trafficking in human beings?

##### **3.Health and safety [4].**

3.1.Does the company provide a safe and healthy workplace environment?

How did the company identify the hazards, evaluate the risks and establish the controls?

Is there satisfactory evidence that the special needs of pregnant women, young workers and other particularly vulnerable employees are taken into account in the risk assessment?

Is there satisfactory evidence that transmittable and non-transmittable diseases are particularly regarded in the risk assessment? (BSCI) [1].

Is there satisfactory evidence that the company takes serious measures to avoid endangering workers' health by work processes? (BSCI) [1].

3.2.Who is the management representative for occupational health and safety?

How is the management representative for occupational health and safety made accountable for the implementation of health and safety requirements?

3.3.Has the company prepared the health and safety instructions?

Did the company conduct the health and safety and emergency situations trainings?

Did the company conduct the trainings for the new employees, reassigned employees and in the case of work accidents and work-related sickness?

Is there satisfactory evidence that workers have been properly trained in using personal protective equipment? (BSCI) [1].

Is there satisfactory evidence that workers handling and/or administering hazardous substances including but not limited to chemicals, disinfectants, crop protection products or biocides, have been properly trained? (BSCI) [1].

3.4.How did the company perform the health and safety operational control?

Is there satisfactory evidence that the company implements engineering and administrative

control measures to avoid or minimize the release of hazardous substances into the work environment keeping the level of exposure below internationally established or recognized limits?

Is there satisfactory evidence that electrical installations and equipment are checked periodically by a competent person? (BSCI)

Is there satisfactory evidence that the early warning systems are installed and properly functioning?

Is there satisfactory evidence that adequate amount of fire fighting equipment is installed and properly working? (BSCI) [1].

Is there evidence that emergency lights and any other evaluation signals are correctly installed, properly functioning and maintained by a competent person?

Is there satisfactory evidence that the number of emergency exits are appropriate to secure evacuation of the work force in emergency cases? (BSCI) [1].

Is there satisfactory evidence that an machine part, function, or process which may cause injury to workers is adequately safeguarded?

Is there satisfactory evidence that escape routes, aisles and emergency exits are not blocked, easily accessible and conspicuously marked?

Is there satisfactory evidence that evaluations plans are in line with the legal requirements and properly posted in relevant places so they are visible and understandable for workers? (BSCI) [1].

Is there satisfactory evidence that hazardous machinery and/or vehicles are properly marked and related precautionary measures are understandable for workers? (BSCI) [1].

How did the company record the work accidents?

Is there evidence that accident and emergency procedures exist and are properly implemented? (BSCI) [1].

3.5. Did the company provide free personal protection equipment?

Is there satisfactory evidence that proper maintenance is given to the PPEs, including but not limited to cleaning, replacement when damaged and appropriate storage? (BSCI) [1].

Is there satisfactory evidence that use of PPEs is enforced to provide protection to workers in

conjunction with other facility controls and safety systems? (BSCI) [1].

Did the company assure the first aid and assist the workers in getting follow-up medical treatment?

Does the company have written emergency procedures in place for dealing with cases of trauma or serious illness up to the point at which the patient care can be transferred to an appropriate medical facility? (BSCI) [1].

3.6. Did the company identify the hazards, evaluate the risks and establish the controls for new and expectant mothers arising from their work activity?

3.7. Did the company provide for use by all personnel access to clean toilet facilities, access to drinking water, and where applicable, sanitary facilities for food storage? Are the work conditions adequate for all the workplaces?

Is there satisfactory evidence that the company provides workers with washing facilities, changing rooms and toilets in adequate number according to the workforce population? (BSCI) [1].

3.8. Were the dormitory facilities provided for personnel by the company clean, safe and did they meet the basic needs of the personnel?

Is there satisfactory evidence that location of the dormitories are chosen in a way that users are not exposed to natural hazards or affected by the operational impacts of the worksite? (BSCI) [1].

3.9. Do the personnel have the right to remove themselves from imminent serious danger without seeking permission from the company?

**4. Freedom of association & right to collective bargaining [4].**

4.1. Do all the personnel have the right to freedom of association and collective bargaining?

Did the company effectively inform the personnel that they were free to join an organization of their choosing?

How is it guaranteed that the company does not interfere with the establishment, operation, or administration of workers' organisations or collective bargaining?

How does the employer adopt an open attitude towards the activities of trade unions and their organizational activities? (SEDEX)

Is there satisfactory evidence that workers are aware who is their representative towards management? (BSCI) [1].

4.2. In situations where the right to freedom of association and collective bargaining is restricted by law, how does the company allow workers to freely elect their own representatives?

4.3. Were the workers' representatives subject to discrimination, harassment, intimidation, or retaliation for reason of their being members of a union or participation in trade union activities?

How does the company assure the free access of workers representatives to their members in the workplace?

#### **5. Discrimination** [4].

5.1. What method does the organization use not to engage in or support discrimination?

Is there satisfactory evidence that questions regarding health conditions are not used for discrimination during employment? (BSCI) (3)

5.2. How does the company allow the personnel to exercise the rights to observe tenets or practices, or to meet needs relating to condition that could trigger discrimination?

5.3. How does the company prevent harassment?

5.4. Are the personnel subject to pregnancy or virginity tests under any circumstances?

#### **6. Disciplinary practices** [4].

6.1. Is it forbidden, within the company, to use corporal punishment, mental or physical coercion, or verbal abuse of the personnel and harsh or inhuman treatment?

Are the disciplinary measures recorded? (SEDEX) [3].

#### **7. Working hours** [4].

7.1. Does the company comply with applicable laws and industry standards on working hours and public holidays?

Does the company respect the normal work week of 48 hours (40 hours in Romania)?

7.2. Is the personnel provided with at least one day off following every six consecutive working days (two days off after five consecutive working days in Romania) ?

Are legal exceptions to collective bargaining permitted?

7.3. Does the company respect the overtime work of maximum 12 hours per week (8h in Romania) and not on a regular basis?

7.4. Does the company request overtime work in order to meet short-term business demands on collective bargaining?

#### **8. Remuneration** [4].

8.1. Does the company respect the personnel's right to a living wage and respect the legal requirements related to the minimum salary?

8.2. Did the company make deductions from wages for disciplinary purposes?

Are there legal exceptions to collective bargaining?

Are illegal, unauthorized deductions from wages for disciplinary purposes forbidden? (BSCI) [1].

How does the company assure that the deductions from wages which are not provided by law are not made without the express permission of the related worker? (SEDEX) [3].

8.3. Did the company provide payslips?

Did the company respect the legal requirements related to remuneration?

Did the company render the remuneration in a manner convenient to the workers?

Did the workers receive written information about the salary before employment? (SEDEX) [3].

8.4. Is overtime work compensated at a legal premium rate?

8.5. How does the company assure that it doesn't use methods to avoid fulfilling its obligations to personnel under applicable laws? How does the company assure that it doesn't use work outside the legal frame? (SEDEX) [3].

How does the company assure that it uses only workers with legal right to work? (SEDEX) [3].

How does the company validate the legal right to work of all the workers including employment agency staff reviewing the original documentation?

How does the company assure that the employment agency provides only the employees registered by them? (SEDEX) [3].

How does the company assure the control over the employment agency with regards to the above points and related legislation? (SEDEX) [3].

## 9. Management systems [4].

### *Policy*

9.1. Is the policy for social accountability and labour conditions written in the workers' own language?

Is the policy for social accountability and labour conditions and the SA 8000 standard displayed in a prominent, easily viewable place on the company's premises?

Is the policy available in an effective form upon request?

Did the company establish an anti-corruption and anti-bribery policy in all business activities? (BSCI) [1].

### *Management representative*

9.2. Who is the management representative for social accountability management system?

### *SA 8000 worker representative*

9.3. Is the workplace dialogue facilitated by trade union?

Where there aren't trade unions, are the workers able to elect a worker as SA 8000 worker representative to facilitate communication with senior management in matters relating to SA 8000?

Is the SA 8000 worker representative seen as a substitute for trade union representation?

### *Management review*

9.4. Did the top management conduct the management review?

Were there amendments and improvements that got implemented?

Did the SA 8000 worker representative participate in the management review?

### *Planning and implementation*

9.5. Are the requirements of SA 8000 standard understood and implemented at all levels of the organization?

9.5.a. Did the company provide a clear definition of all parties' roles, responsibilities and authorities?

9.5.b. Did the company perform the training of new, reassigned, and/or temporary personnel upon hiring?

9.5.c. Did the company develop training and awareness programmes for existing personnel?

9.5.d. Did the company conduct monitoring of activities and results including internal audits?

9.6. Did the company consult the SA 8000 Guidance document for interpretative guidance?

### *Control of Suppliers/Subcontractors and Sub-Suppliers*

9.7. Did the company ask for written commitment from Suppliers/Subcontractors and Sub-Suppliers?

Did the company collect appropriate records of suppliers/subcontractors' (and where appropriate sub-suppliers') commitments to social accountability?

9.8. Were there written procedures for the evaluation and selection of suppliers/subcontractors (and where appropriate sub-suppliers)?

How does the company assure that outsourcing is permitted only with the main client consent? (SEDEX) [3].

9.9. Did the company make reasonable efforts to ensure that the requirements of SA 8000 standard are being met by suppliers and subcontractors within their span of control and influence?

9.10. Do the home workers have the same level of protection as the directly employed personnel?

### *Addressing concerns and taking corrective action*

9.11. Does the company provide confidential means for all personnel to report non-compliances with SA 8000 standard to the company management and the worker representative?

Did the company resolve the concerns of employees and other interested parties?

Did the company refrain from disciplining, dismissing, or otherwise discriminating against any personnel for providing information concerning observance of the SA 8000 standard?

9.12. Did the company implement corrective and preventive actions?

### *Outside communication and stakeholder engagement*

9.13. Are there procedures for communication? Did the company regularly communicate to all interested parties including the results of management review and monitoring activities?

9.14. How did the company participate in dialogues with all stakeholders?

*Access for verification*

9.15. Did the company ensure access to its premises and to reasonable information required by the auditor in the case of announced and unannounced audits?

*Records*

9.16. Did the company keep appropriate records to demonstrate compliance with the requirements of SA 8000 standard?

## CONCLUSIONS

The check list contains the integrated requirements of SA 8000 standard and BSCI and SEDEX codes of conduct and can be used in auditing the integrated management system in order to ensure that the quality-social accountability-health and safety integrated management system audit corresponds to all the requirements of BSCI and SEDEX codes of conduct.

## REFERENCES

- [1] Code of conduct, 2009, BSCI Code of conduct, Business Social Compliance Initiative, [www.bsci-intl.org](http://www.bsci-intl.org).
- [2] Denuntzio R., 2008, Integration of the Quality Management System with the Social Accountability Management System and the Occupational Health and Safety Management System according to the requirements of ISO/DIS 9001:2007, SA 8000:2008 and BS OHSAS 18001:2007, 11th International Conference Quality and dependability, ISSN 1842-3566, Societatea Română pentru Asigurarea Calității, Sinaia.
- [3] Guide, 2012, Guide to completing a Sedex Members Ethical Trading Audit, Supplier Ethical Data Exchange, [www.sedexglobal.com](http://www.sedexglobal.com).
- [4] Standard, 2008, Social accountability 8000, New York, Social Accountability International.