



Title: Public Information	Version No.: 01	Date: May 08, 2017
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1.0 Purpose and Scope

This procedure establishes and defines the methods for SMT-Global maintain (through publications, electronic media or other means), and make public, without request, in all our geographical areas in which it operates, information about audit process, process for scope of certification, types of management systems and certification schemes, the use of the certification body's name and certification mark or logo; processes for handling requests for information, complaints and appeals and policy on impartiality.

2.0 Certification Countries and Regions

SMT-Global provided SA8000: 2014 certification activities in China, Hong Kong, Macau and Tai Wan regions.

3.0 Audit Process and Scope of Certification

(Details refer to SOP CS-009)

3.3.1 SA8000 Technical Manager shall perform annual individual risk assessments for each country where SMT-Global delivers SA8000 Certification.

Identify applicable local laws, e.g. labor law, purchase and study these laws, keep a copy in the office and set up any information system to keep informed about any changes in the law

Identify local interested parties, prepare and maintain up-to-date a list of contacts with interested parties, for consultation prior to any audits performed at a later time

Conclude the contract about use of accreditations with SMT-Global.

Submit to the SA8000 Program Manager the names of all employees who prepare offers and sign certification contracts

Develop a profile of the country where the facility to be certified is located, demonstrating true understanding of the social issues relevant to the location of the facility, and submit it to the SA8000 Program Manager

3.3.2 Issue of Quotations, Contracts, Contract Review and SF Self-assessment

3.3.3 Prepare for the audit planning

3.3.4 Technical manager and scheduler will select audit team and submit to Program Manager for proper approval.

3.3.5 Pre-assessment and Initial Research

Pre-assessment audits can be performed at the request of the client by and the request shall be documented in the client audit file. During pre-assessment, the SA8000 auditors shall not provide organization specific solutions.



A pre-assessment audit shall only be performed prior to the initial stage 1 audit and shall not be performed in lieu of a stage 1 audit. The pre-assessment shall be formally documented in an audit report and shall consist of non-binding findings with no recommended solutions. The time spent on a pre-assessment audit shall not be considered part of the stage 1 and/or stage 2 process.

3.3.6 Prior to accepting a client for SA8000 certification, SA8000 Technical Manager or delegate shall carry out initial research to check if the applicant have any recent or pervasive history of major unaddressed violations in any element of the SA8000 standard (including freedom of association) for at least six months before the Stage 1 audit.

3.3.7 The stage 1 audit shall be conducted during an on-site visit to the client. In the case of micro-enterprises (as defined in this document), an on-site stage 1 audit may not be necessary. In such cases, the justification for not doing an on-site visit shall be recorded in the client file. Details shall be recorded describing the conduct of the remote Stage 1 audit.

The stage 1 audit shall be normally of one to two audit day duration. If a stage 1 audit goes beyond the maximum identified in the audit days table found in this document, the SA8000 lead auditor shall justify and record why the additional days for Stage 1 audit was found to be necessary.

3.3.8 The stage 2 audit shall follow ISO/IEC 17021 clause 9.3.1.3 and below guideline and it include:

Opening meeting

Quick overview tour

Confirmation of records required for interviews

Management interview

Management system elements review

Workers representative interview & social performance team Interviews

Health & safety, working conditions tour -including in situ worker interviews and selection of production records

Subcontractor interviews

Employee interviews

Workers interviews

Document & records review

Pre-closing meeting preparation

Closing meeting

3.3.9 The office executing the audit shall update the audit status (audit “done”, “with or without non-conformities”) in the certification database as soon as the audit is finished, and upload all related audit records in a timely manner.

The audit team shall provide an audit report within 1 month after last day of each Stage 1, Stage 2, Surveillance, Transfer, Unannounced, Special, and Recertification audit. The audit report shall clearly show the parts of the system that were audited.



4.0 Using of SMT-Global Certification Mark/Logo and SAAS Certification Mark

(Details refer to SOP CS-013)

SMT-Global shall only use SAAS Certification Mark in stationery, document or website after being accredited by SAAS.

The SA8000 Program Manager and SA8000 Technical Manager are responsible for the enforcement of the directives provided in this document.

Certificates shall be issued in the local language of the client. However, an English version shall be available upon request.

The certificate shall contain following disclaimer:

“ Social Accountability International and other stakeholders in the SA8000 process only recognize SA8000 certificates issued by qualified CBs granted accreditation by SAAS and do not recognize the validity of SA8000 certificates issued by unaccredited organizations or organizations accredited by any entity other than SAAS.”

Additionally, all SA8000 certificates shall contain the address of SAAS website (www.saasaccreditation.org/certification) where stakeholders can confirm the validity of an accredited SA8000 certificate.

A unique SMT-Global certificate number for tracking purposes.

4.1 Use of SMT-Global SA8000 certificates and certification marks:

SMT-Global will provide a client, whose SA8000 social accountability management system has been certified by SMT-Global, the relevant SMT-Global certification mark(s). The artwork of the appropriate certification mark will be provided in PDFed formats.

Certified clients have the right to utilize the certification mark, in accordance with the guidelines and directives provided in this document, on letterhead, certain brochures and for publicity activities relating to the certified SA8000 social accountability management system.

When permitted, this mark can be used in conjunction with the SAAS accreditation mark.

If the scope of certification does not include all products and/or services provided by the organization, and/or all locations/facilities of the organization, these information shall not be covered by the scope of certification.

The mark(s) cannot be altered or modified. However, it may be resized, provided the proportions of the entire mark are maintained and all features of the mark are clearly distinguishable.



4.2 Use of accreditation body (SAAS) mark:

SMT-Global shall only use of the SA8000 logo, name and SAAS mark in its stationery, documents and website after being accredited by SAAS. SMT-Global shall not infringe the copyright of any SAAS, ISO or other standard-setter documents.

Any misuse shall be stopped immediately. The proper use of SA8000 logo, name, SAAS mark and respect of copyrights shall be reviewed during internal audit.

Use of the accreditation body mark is permitted in accordance with the rules specified above, and the extra requirements identified in the following sections:

An SA8000 certified facility may use the SAAS accreditation mark for SA8000 only in conjunction with the accredited SMT-Global certification mark on the facility's stationery, literature, and website subject to the conditions below

5.0 **Handling Complaints and Appeals**

(Details refer to SOP CS 003)

Any person may make an appeal or complaint to SMT-Global. All appeals and complaints brought before the company by client organizations or other parties are to be forwarded to the responsible SA8000 Technical Manager for handling with copy to the SA8000 Program Manager.

The SA8000 Technical Manager is responsible for the initial evaluation, investigation and resolution (including responses) of all appeals and complaints brought before the company. If the SA8000 Technical Manager was involved in complaints or appeals, other individual shall be assigned by the SA8000 Program Manager to take this responsibility.

Evaluation and investigation activities may be delegated to other staff members. The SA8000 Technical Manager will report the receipt and resolution of all appeals and complaints brought before the company to the SA8000 Program Manager and input to management review activities.

Appeal:

A formal expression of dissatisfaction by a party affected by a decision of the SMT-CS Program, which is directly related to the certification status of the party affected.

Complaint:

A formal expression of dissatisfaction, other than appeal, by any other organization or person, with matters that are related to the SMT-CS Program or a certified client, where a response is expected.

Escalation

If the SA8000 Technical Manager determines, after the initial evaluation and/or investigation, that the appeal or complaint has no merit and no further action is warranted the person or organization who originally filed the appeal (provided a name and contact



information is given), or complaint will be notified of the decision and given the option of escalating the appeal or complaint to the SA8000 Program Manager.

If the SA8000 Program Manager agrees with the SA8000 Technical Manager, the person or organization who originally filed the appeal or complaint will be notified of the decision. The decision of the SA8000 Program Manager is final and binding on both parties.

In case the complaint process is not properly resolved and as a last resort, the third parties, for example, NGOs, Trade Unions or any other independent parties will be invited or consulted to involve in the appeals or complaints to investigate the complaints accordingly.

The SA8000 Program Manager will report the evaluation, investigation and resolution (including responses) of all appeals or complaints brought before the company, and they will be the input for the management review. If there is a non-conformance identified during the investigation, an internal "corrective action request" will be issued for follow up. During the whole process, the whistleblowers shall be fully protected from retaliation.

Grievance Channel :

All complaints can be submitted via hotline or e-mail or company website. Details of the complaints handling procedure are publicly accessible through below options:

- www.smt-global.com
- Hotline: 0086-13418510532
- E-mail: rambo@smt-global.com

6.0 Impartiality Policy

(Details refer to SOP CS 020)

To eliminate or minimize the threats to the impartiality of system certification through taking corrective and preventive actions to conflicts of interests based on the identification and analysis of the possibilities of various potential threats of conflicts.

Openness:

SMT-Global needs to provide public access to, or disclosure of, appropriate and timely information about its audit process and certification process, and about the certification status (i.e. the granting, extending, maintaining, renewing, suspending, reducing the scope of, or withdrawing of certification) of any organization, in order to gain confidence in the integrity and credibility of certification. Openness is a principle of access to, or disclosure of, appropriate information.

To gain or maintain confidence in certification, SMT-Global should provide appropriate access to, or disclosure of, non-confidential information about the conclusions of specific audits (e.g. audits in response to complaints) to specific interested parties.

SMT-Global should provide appropriate access to interested stakeholders of this



Procedure of Impartiality Control, via SMT-Global's website at www.smt-global.com .

Statement:

SMT-Global has fully understood that the impartiality is crucial to the confidence of the system certification. SMT-Global will conduct the identification and analysis of potential threats to the impartiality and take corrective and preventive actions to manage the impartiality, to ensure the confidence and integrity of the system certification activities.

SMT-Global has recognized that being impartial and being perceived to be impartial is necessary for a certification body to deliver certifications that provides confidence.

SMT-Global will consider that the source of revenue is client paying for certification, and that this is a potential threat to impartiality.

To obtain and maintain confidence, it is essential that SMT-Global's decisions should be based on objective evidence of conformity (or nonconformity) obtained by SMT-Global, and that its decisions are not influenced by other interests or by other parties.

Governance Board for safeguarding impartiality:

SMT-Global has established the SMT-CS-GB (Governance Board) to safeguard the impartiality. The structure of SMT-Global shall safeguard the impartiality of the activities of SMT-Global and shall provide for a Governance Board to:

- assist in developing the policies relating to impartiality of its certification activities,
- counteract any tendency on the part of SMT-Global to allow commercial or other considerations to prevent the consistent objective provision of certification activities,
- advise on matters affecting confidence in certification, including openness and public perception, and
- conduct a review, at least once annually, of the impartiality of the audit, certification and decision-making processes of SMT-Global.

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08/05/2017	01	Initial release