

# PAS 24000:2022

# Social management system – Specification



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# Foreword

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## Presentational conventions

The provisions of this PAS are presented in roman (i.e. upright) type. Its requirements are expressed in sentences in which the principal auxiliary verb is “shall”.

*Commentary, explanation and general informative material is presented in smaller italic type, and does not constitute a normative element.*

Where words have alternative spellings, the preferred spelling of the Shorter Oxford English Dictionary is used (e.g. “organization” rather than “organisation”).

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# 0 Introduction

## 0.1 General

The adoption of a social management system (SMS) is a strategic decision of an organization that can help improve its overall social performance and provide a sound basis for social development initiatives.

The overriding objective of an SMS is to ensure there are clear roles and responsibilities to promote internal planning, implementation, monitoring, evaluation and learning, and to ensure ongoing progress towards achieving defined social performance.

The potential benefits for an organization implementing an SMS in accordance with this document are the abilities to:

- a) consistently provide products and services that meet specified minimum social requirements and applicable customer and regulatory requirements;
- b) address risks and opportunities linked to its context and objectives;
- c) facilitate continuous improvement on the social performance of the organization; and
- d) demonstrate conformity to specified social management system requirements.

This document employs the process approach, the Plan-Do-Check-Act (PDCA) cycle and risk-based thinking. The process approach enables an organization to plan its processes and their interactions so that roles are defined, and responsibilities understood across the organization. The PDCA cycle enables an organization to ensure that its processes are adequately resourced and managed, and that opportunities for improvements are identified and acted upon.

Risk-based thinking enables an organization to determine the factors that could cause its processes and its social management system to deviate from the planned results, to put in place preventive controls, to minimize negative effects and to make maximum use of opportunities as they arise. Consistently meeting requirements and addressing future needs and expectations poses a challenge for organizations in an increasingly dynamic and complex environment. To achieve this objective, the organization might find it necessary to implement specific improvement measures in addition to correction, corrective action and continual improvement, innovation and reorganization.

This document has been prepared using the harmonized structure (i.e. identical clause numbers, clause titles, text and common terms and core definitions) intended to enhance alignment amongst management system standards and to facilitate their implementation for organizations that need to meet the requirements of two or more of these standards.

## 0.2 Social management principles

An SMS is a framework of policies, processes and procedures used by an organization to ensure that it can fulfil all tasks required to achieve its social objectives. Social objectives need to ensure that workers are treated fairly and are provided with a safe working environment that is not detrimental to their health and is in compliance with relevant statutory and regulatory requirements.

Minimum requirements are defined to ensure a base level of social performance covering labour relationships, human rights, health and safety and work and business ethics. A recommendation is included for the organization to develop a plan to provide at least a living wage for the workers in relation to the compensation of standard working hours if the living wage is higher than the minimum wage set by local legislation. The organization may decide to include additional elements.

***NOTE** Complete requirements for an occupational health and safety management system are specified in ISO 45001.*

## 0.3 Success factors

The implementation and maintenance of an SMS, its effectiveness and its ability to achieve its intended outcomes are dependent on a number of key factors, which can include:

- a) top management leadership, commitment, responsibilities and accountability;
- b) top management developing, leading and promoting a culture in the organization that supports the intended outcomes of the SMS;
- c) interactive communication;

- d) consultation with and participation of workers and, where they exist, workers' representatives;
- e) allocation of the necessary resources to maintain the social management system;
- f) social policies which are compatible with the overall strategic objectives and direction of the organization;
- g) social objectives that align with the social policy and take into account the organization's hazards, risks and opportunities;
- h) continual performance evaluation and monitoring of the SMS to improve social performance; and
- i) integration of the SMS into the organization's business processes.

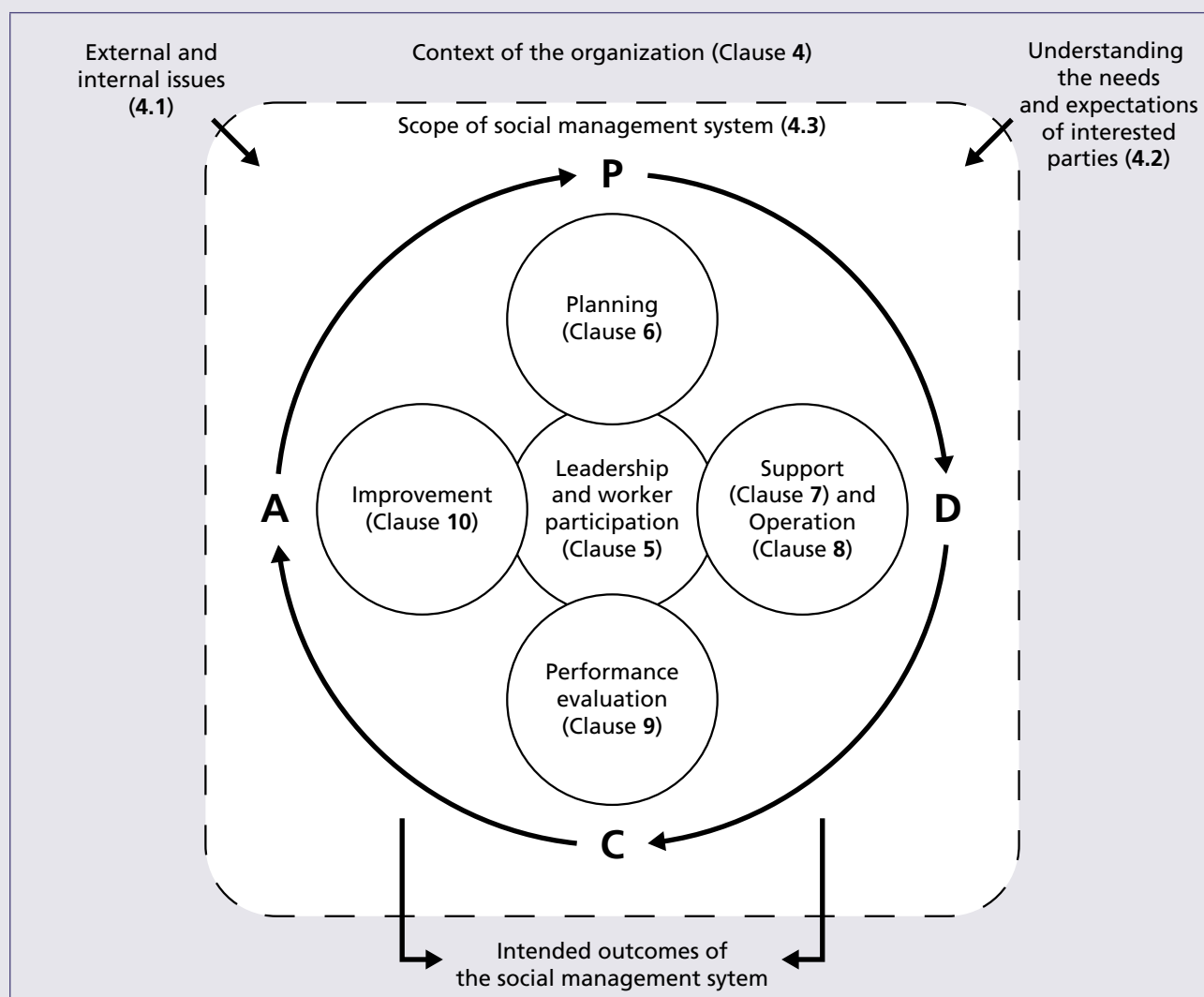
## 0.4 Process approach

The PDCA cycle is an iterative process used by organizations to achieve continual improvement. It can be applied to a management system and to each of its individual elements, as follows:

- a) Plan: determine and assess social risks and social opportunities, and establish social objectives and processes necessary to deliver results in accordance with the organization's social policy;
- b) Do: implement the processes as planned;
- c) Check: monitor and measure processes with regard to the social policy, including the organization's commitments and social objectives, and report the results; and
- d) Act: take actions to correct deviations from expected output and continually improve the social performance to achieve the intended outcomes.

This document incorporates the PDCA cycle into a framework, as shown in Figure 1.

Figure 1 – PDCA cycle



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# 1 Scope

This PAS specifies requirements for a social management system (SMS) and specific criteria for social performance. The requirements are applicable to any organization regardless of its type or size, or the products and services it provides.

This document is intended to help the organization to:

- a) achieve the intended results of its SMS;
- b) fulfil the legal requirements and the social performance requirements;
- c) achieve the social performance objectives; and
- d) continually improve social performance.

This PAS can be used in whole or in part to systematically improve social performance. However, claims of conformity to this document are not acceptable unless the requirements for the SMS (Clause 4 to Clause 10) and the requirements for social performance specified in Annex A are incorporated into the organization's SMS and fulfilled without exclusion.

## 2 Normative references

There are no normative references in this document.

## 3 Terms and definitions

For the purposes of this PAS, the following terms and definitions apply.

### 3.1 audit

systematic and independent and documented **process (3.26)** for obtaining evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled

**NOTE 1** An audit can be an internal audit (first party) or an external audit (second party or third party).

**NOTE 2** An internal audit is conducted by the **organization (3.22)** itself or by an external party on its behalf.

**NOTE 3** "Audit evidence" and "audit criteria" are defined in ISO 19011.

### 3.2 child

human being below the age of 18 years

**NOTE 1** As defined in the United Nations Convention on the Rights of the Child and referred to in ILO Convention 182 [2].

**NOTE 2** National applicable statutory or regulatory requirements can define a different age limit for a child.

[SOURCE: ISO 34101-1:2020, 3.4, and ISO 34101-2:2020, 3.4]

### 3.3 child labour

work that deprives **children (3.2)** of their childhood, their potential and their dignity, and that is harmful to their physical and mental development

**NOTE 1** Child labour specifically refers to work, hazardous or not, that is mentally, physically, socially or morally dangerous and harmful to children, and interferes with their schooling by depriving them of the opportunity to attend school, or obliging them to leave school prematurely, or requiring them to attempt to combine school attendance with excessively long and heavy work.

**NOTE 2** Child labour is differentiated from child/light work.

**NOTE 3** Child labour is described in ILO Convention 138 [3].

[SOURCE: ILO, What is child labour [4]/ ISO 34101-1:2020, 3.5, and ISO 34101-2:2020, 3.5]

### 3.4 competence

ability to apply knowledge and skills to achieve intended results

### 3.5 conformity

fulfilment of a **requirement (3.28)**

### 3.6 consumer

individual member of the general public purchasing or using property, products or services for private purposes

**NOTE** The term "consumer" covers both customers and potential customers. **Consumer products (3.7)** and services can be one-time purchases or long-term contracts or obligations.

[SOURCE: ISO 26000:2020, 2.2, modified – Note has been added]

### 3.7 consumer product

product designed and produced primarily for, but not limited to, personal use, including its components, parts, accessories, instructions and packaging

[SOURCE: ISO 10377:2013, 2.2]

### 3.8 continual improvement

recurring activity to enhance **performance (3.23)**

### 3.9 corrective action

action to eliminate the cause(s) of a **nonconformity (3.20)** and to prevent recurrence

### 3.10 documented information

information required to be controlled and maintained by an **organization (3.22)** and the medium on which it is contained

**NOTE 1** Documented information can be in any format and media and from any source.

**NOTE 2** Documented information can refer to:

- the **management system (3.17)**, including related **processes (3.26)**;
- information created in order for the organization to operate (documentation); and
- evidence of results achieved (records).

### 3.11 effectiveness

extent to which planned activities are realized and planned results are achieved

### 3.12 forced labour

work that is performed involuntarily and under the menace of any penalty

**NOTE** Forced labour refers to situations in which persons are coerced to work through the use of violence or intimidation, or by more subtle means such as manipulated debt, retention of identity papers or threats of denunciation to immigration authorities.

[SOURCE: ILO, *What is forced labour, modern slavery and human trafficking* [5]/ ISO 34101-1:2020, 3.27, and ISO 34101-2:2020, 3.10]

### 3.13 gender

socially constructed characteristics of women and men

**NOTE** Socially constructed characteristics include norms, roles and relationships of and between groups of women and men.

[SOURCE: WHO, *Gender and health* [6]/ ISO 34101-1:2020, 3.29, and ISO 34101-2:2020, 3.11]

### 3.14 hazardous conditions hazardous work

work carried out in dangerous or unhealthy conditions that could result in injuries and/or illness as a consequence of poor safety and health conditions and working arrangements

**NOTE 1** Some injuries or ill health can result in permanent disability.

**NOTE 2** Often health problems caused by working in unhealthy environments may not develop or show up until several years after the exposure to the unhealthy conditions.

**NOTE 3** Dangerous work is work that affects the safety and health of the worker.

**NOTE 4** Each party to ILO Convention 182 [2] on the worst forms of child labour (3.3) adopts a national list of hazardous activities for children (3.2).

[SOURCE: ISO 34101-2:2020, 3.13]

### 3.15 human rights

set of equal and inalienable rights of all members of the human family

**NOTE** Human rights are specified in the *Universal Declaration of Human Rights (1948)* [7], the *International Convention on Economic Social and Cultural Rights (1966)* [8], as well as other conventions, treaties and national laws.

[SOURCE: ISO 34101-1:2020, 3.29, and ISO 34101-2:2020, 3.15]

### 3.16 interested party

person or **organization (3.22)** that can affect, be affected by, or perceive itself to be affected by a decision or activity

### 3.17 management system

set of interrelated or interacting elements of an **organization (3.22)** to establish **policies (3.25)** and **objectives (3.21)** as well as **processes (3.26)** to achieve those objectives

**NOTE 1** A management system can address a single discipline or several disciplines.

**NOTE 2** The management system elements include the organization's structure, roles and responsibilities, planning and operation.

### 3.18 measurement

**process (3.26)** to determine a value

### 3.19 monitoring

determining the status of a system, a **process (3.26)** or an activity

**NOTE** To determine the status there can be a need to check, supervise or critically observe.

### 3.20 nonconformity

non-fulfilment of a **requirement (3.28)**

### 3.21 objective

result to be achieved

**NOTE 1** An objective can be strategic, tactical or operational.

**NOTE 2** Objectives can relate to different disciplines (such as financial, health and safety and environmental). They can be, for example, strategic, organization-wide or specific to a project, product or process (3.26).

**NOTE 3** An objective can be expressed in other ways, e.g. as an intended result, a purpose, an operational criterion, as a social performance objective or by the use of other words with similar meaning (e.g. aim, goal or target).

**NOTE 4** In the context of SMS social performance objectives are set by the organization, consistent with the social performance policy, to achieve specific results.

### 3.22 organization

person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its objectives (3.21)

**NOTE 1** The concept of organization includes, but is not limited to sole-trader, company, corporation, firm, enterprise, authority, partnership, charity or institution, or part or combination thereof, whether incorporated or not, public or private.

**NOTE 2** If the organization is part of a larger entity, the term "organization" refers only to the part of the larger entity that is within the scope of the SMS.

### 3.23 performance

measurable result

**NOTE 1** Performance can relate either to quantitative or qualitative findings.

**NOTE 2** Performance can relate to managing activities, processes (3.26), products, services, systems or organizations (3.22).

### 3.24 personal documents

documents which are related to an identified or identifiable natural person

### 3.25 policy

intentions and direction of an organization (3.22) as formally expressed by its top management (3.33)

### 3.26 process

set of interrelated or interacting activities that uses or transforms inputs to deliver a result

**NOTE** Whether the result of a process is called output, product or service depends on the context of the reference.

### 3.27 provider

organization that provides a product or a service

### 3.28 requirement

need or expectation that is stated, generally implied or obligatory

**NOTE 1** "Generally implied" means that it is custom or common practice for the organization and interested parties that the need or expectation under consideration is implied.

**NOTE 2** A specified requirement is one that is stated, e.g. in documented information.

### 3.29 risk

effect of uncertainty

**NOTE 1** An effect is a deviation from the expected – positive or negative.

**NOTE 2** Uncertainty is the state, even partial, of deficiency of information related to, understanding or knowledge of, an event, its consequence, or likelihood.

**NOTE 3** Risk is often characterized by reference to potential events (as defined in PD ISO Guide 73) and consequences (as defined in PD ISO Guide 73), or a combination of these.

**NOTE 4** Risk is often expressed in terms of a combination of the consequences of an event (including changes in circumstances) and the associated likelihood (as defined in PD ISO Guide 73) of occurrence.

### 3.30 social

performance of an organization related to its social impacts and social aspects

[SOURCE: ISO 21931-2:2019, 3.28]

### 3.31 social aspects

element of an organization's activities, products or services that can cause a change to society or quality of life

[SOURCE: ISO 21931-2:2019, 3.26]

### 3.32 social impact

change to society or quality of life, adverse or beneficial, wholly or partially resulting from social aspects

[SOURCE: ISO 21931-2:2019, 3.27]

### 3.33 top management

person or group of people who directs and controls an **organization (3.22)** at the highest level

*NOTE 1 Top management has the power to delegate authority and provide resources within the organization, provided ultimate responsibility for the SMS is retained.*

*NOTE 2 If the scope of the **management system (3.17)** covers only part of an organization then top management refers to those who direct and control that part of the organization.*

*NOTE 3 This constitutes one of the common terms and core definitions for ISO management system standards given in Annex SL of the Consolidated ISO supplement to the ISO/IEC Directives, Part 1. Note 1 has been modified to clarify the responsibility of top management in relation to an SMS.*

### 3.34 worker

person performing work or work-related activities that are under the control of the organization **(3.22)**

*NOTE 1 Persons perform work or work-related activities under various arrangements, paid or unpaid, such as regularly or temporarily, intermittently or seasonally, casually or on a part-time basis.*

*NOTE 2 Workers include top management **(3.33)**, managerial and non-managerial persons.*

*NOTE 3 The work or work-related activities performed under the control of the organization may be performed by workers employed by the organization, workers of external providers, contractors, individuals, agency workers, and by other persons to the extent the organization shares control over their work or work-related activities, according to the context of the organization.*

### 3.35 worker representative

group or individual appointed to represent workers for the purpose of negotiating with management on such issues as wages, hours, health and safety and working conditions

*NOTE It is most closely associated with trade unions but also includes various forms of participation by workers, including works councils, committees and individual representatives.*

[SOURCE: SSCI Benchmarking Requirements, Part IV: Glossary of terms, Version 1.0 [9]]

## 4 Context of the organization

### 4.1 Understanding the organization and its context

The organization shall determine external and internal issues that are relevant to its purpose and strategic direction (in line with its strategy as applicable) and affect its ability to achieve the intended result(s) of its SMS, including its impact on areas and activities that are important to the community in which it operates both socially and culturally.

The organization shall monitor and review information about these internal and external issues.

### 4.2 Understanding the needs and expectations of interested parties

The organization shall determine:

- a) the other interested parties, in addition to workers, that are relevant to the SMS;
- b) the relevant needs and expectations (i.e. requirements) of workers and other interested parties;
- c) which of these needs and expectations are, or could become, legal requirements and other requirements; and
- d) which of these needs and expectations, besides the (legal) requirements identified in c), will be addressed through the SMS.

**NOTE** Requirements for social performance are also specified in Annex A. The organization may set additional or higher standards.

### 4.3 Determining the scope of the SMS

The organization shall determine the boundaries and applicability of the SMS to establish its scope.

When determining this scope, the organization shall consider:

- a) the external and internal issues referred to in 4.1; and
- b) the requirements referred to in 4.2;

The SMS shall include the activities, products and services within the organization's control or influence that can impact the organization's social performance.

The scope shall be available as documented information.

### 4.4 Social management system

The organization shall establish, implement, maintain and continually improve an SMS, including the processes needed and their interactions, in accordance with the requirements of this document.

## 5 Leadership

### 5.1 Leadership and commitment

Top management shall demonstrate leadership and commitment with respect to the SMS by:

- a) taking responsibility for the effectiveness of the SMS;
- b) ensuring that the social policy (see 5.2) and social performance objectives (see 6.2) are established and are compatible with the context and strategic direction of the organization;
- c) ensuring the integration of the SMS requirements into the organization's business processes;
- d) ensuring focus on social performance throughout the organization;
- e) ensuring that the resources needed for the SMS are available;
- f) communicating the importance of effective social performance management and of conforming to the SMS requirements;
- g) ensuring that the SMS achieves its intended results;
- h) engaging, directing and supporting persons to contribute to the effectiveness of the SMS;
- i) ensuring and promoting continual improvement;
- j) supporting other relevant roles to demonstrate their leadership as it applies to their areas of responsibility;
- k) ensuring the physical security of the workers at their workplaces, including worker accommodation, and during transportation, where provided or mandated;
- l) protecting workers from reprisals when reporting incidents, non-compliance, hazards, risks and opportunities; and
- m) ensuring that applicable statutory and regulatory requirements are determined, understood and consistently met.

*NOTE Business in this document can be interpreted broadly to mean those activities that are core to the purposes of the organization's existence.*

### 5.2 Social policy

Top management shall establish, implement and maintain a social policy, including human rights, labour conditions, ethics and business integrity and occupational health and safety, that:

- a) is appropriate to the purpose and context of the organization and supports its strategic directions;
- b) provides a framework for setting and reviewing social performance objectives;
- c) includes a commitment to meet applicable legal requirements and to meet mutually agreed contractual requirements related to social performance including the requirements of this document; and
 

*NOTE 1 If applicable national legal requirements set a different level of adherence than specified by this PAS, it is necessary to satisfy whichever affords the highest level of adherence for workers.*

*NOTE 2 Mutually agreed contractual requirements can be found in agreements with customers or in collective bargaining agreements.*
- d) includes a commitment to continual improvement of the SMS.

The social policy shall be:

- 1) approved by top management;
- 2) available as documented information;
- 3) communicated, understood and applied within the organization; and
- 4) communicated to relevant business partners, including providers, and other relevant parties, as appropriate.

### 5.3 Roles, responsibilities and authorities

Top management shall ensure that the responsibilities and authorities for relevant roles are assigned and communicated at all levels within the organization and are available as documented information. Workers at each level of the organization shall assume responsibility for those aspects of the social performance over which they have control.

*NOTE While responsibility and authority can be assigned, ultimately top management is still accountable for the functioning of the social performance system.*

Top management shall ensure that assignment of leadership positions within the organization and roles within the SMS are non-discriminatory, including, but not limited to, discrimination on the basis of race, colour, gender, personal relationships, disability, health, marital status, age, HIV/AIDS status, religion, political opinion, language, property, nationality, ethnicity, or social origin.

Top management shall assign the responsibility and authority to an individual(s) for:

- a) ensuring that the SMS conforms to the requirements of this document and is able to support the organization's management of the performance requirements specified in Annex A;
- b) ensuring that the processes are delivering their intended outputs;
- c) ensuring the implementation of the social policy;
- d) ensuring education, training and coaching on, among others, human rights of personnel in all relevant business functions;
- e) reporting on the performance of the SMS to top management;
- f) managing the risks of child labour and forced labour where these exist and contributing to their elimination; and
- g) ensuring the necessary resources are provided for the operation of the SMS processes.

## 5.4 Consultation and participation of workers

The organization shall establish, implement and maintain a process(es) for consultation and participation of workers and workers' representatives (where they exist) at all applicable levels and functions in the development, planning, implementation, performance evaluation and actions for improvement of the SMS.

The organization shall:

- a) provide mechanisms, time, training and resources necessary for consultation and participation;
 

*NOTE 1 Worker representation can be a mechanism for consultation and participation.*
- b) provide timely access to clear, understandable and relevant information about the SMS;

- c) determine and remove obstacles or barriers to participation and minimize those that cannot be removed;

*NOTE 2 Obstacles and barriers can include failure to respond to worker inputs or suggestions, language or literacy barriers, reprisals or threats of reprisals and policies or practices that discourage or penalize worker participation.*

- d) emphasize the consultation of non-managerial workers on the following:
  - 1) determining the needs and expectations of interested parties (see 4.2);
  - 2) establishing the social policy (see 5.2);
  - 3) assigning organizational roles, responsibilities and authorities, as applicable (see 5.3);
  - 4) determining how to fulfil legal requirements and other requirements (see 6.1.2);
  - 5) establishing social performance objectives and planning to achieve them (see 6.2);
  - 6) determining applicable controls for outsourcing, procurement and contractors (see 8.1.3);
  - 7) determining what needs to be monitored, measured and evaluated (see 9.1);
  - 8) planning, establishing, implementing and maintaining an audit programme(s) (see 9.2.2); and
  - 9) ensuring continual improvement (see 10.1); and
- e) emphasize the participation of non-managerial workers in the following:
  - 1) determining the mechanisms for their consultation and participation;
  - 2) assessing risks and opportunities (see 6.1.1);
  - 3) determining actions to reduce social risks (see 6.1.2);
  - 4) determining competence requirements, training needs, training and evaluating training (see 7.2);
  - 5) determining what needs to be communicated and how this will be done (see 7.4);
  - 6) determining control measures and their effective implementation and use (see 8.1); and
  - 7) investigating incidents and nonconformities and determining corrective actions (see 10.2).

*NOTE 3 Emphasizing the consultation and participation of non-managerial workers is intended to apply to persons carrying out the work activities, but is not intended to exclude, for example, managers who are impacted by work activities or other factors in the organization.*

## 6 Planning

### 6.1 Actions to address risks and opportunities

#### 6.1.1 Assessment of risks and opportunities

When planning for the SMS, the organization shall consider the issues referred to in 4.1 (context), the requirements referred to in 4.2 (interested parties) and the scope of the management system referred to in 4.3 and determine the risks and opportunities that need to be addressed to:

- a) give assurance that the SMS can achieve its intended result(s);
- b) enhance desirable effects;
- c) prevent, or reduce, undesired effects; and
- d) achieve continual improvement.

Documented information shall be available on:

- 1) risks and opportunities; and
- 2) the process(es) and actions needed to determine and address the risks and opportunities to the extent necessary to have confidence that they are carried out as planned.

#### 6.1.2 Actions

The organization shall plan:

- a) actions to:
  - 1) address the risks and opportunities;
  - 2) address legal requirements and other requirements; and
  - 3) prepare for and respond to emergency situations; and
- b) how to:
  - 1) integrate and implement the actions into its SMS processes (see 4.4); and
  - 2) evaluate the effectiveness of these actions.

### 6.2 Social performance objectives and planning to achieve them

#### 6.2.1 Social performance objectives

The organization shall establish social performance objectives at relevant functions and levels in order to maintain and continually improve the SMS and social performance (see 10.1).

The social performance objectives shall:

- a) be consistent with the social policy;
- b) be measurable (if practicable) or capable of performance evaluation;
- c) take into account:
  - 1) applicable requirements, including requirements specified in this document;
  - 2) the results of the assessment of risks and opportunities (see 6.1.1); and
  - 3) the results of the consultation with workers and, where they exist, workers' representatives (see 5.4);
- d) be monitored;
- e) be communicated;
- f) be updated as appropriate; and
- g) be available as documented information.

#### 6.2.2 Planning to achieve social performance objectives

When planning how to achieve its social performance objectives, the organization shall determine:

- a) what will be done;
- b) what resources will be required;
- c) who will be responsible;
- d) when it will be completed; and
- e) how the results will be evaluated, including indicators for monitoring.

### 6.3 Planning of changes

The organization, in its planning process(es), shall determine and assess the risks and opportunities that are relevant to the intended results of the SMS associated with changes in the organization, its processes or the SMS. In the case of planned changes, permanent or temporary, this assessment shall be undertaken before the change is implemented (see 8.1.2).

When the organization determines the need for changes to the SMS, the changes shall be carried out in a planned manner.

## 7 Support

### 7.1 Resources

The organization shall determine and provide the resources [e.g. financial and human resources, infrastructure and environment for the operation of processes, such as personal protective equipment (PPE)] needed for the establishment, implementation, maintenance and continual improvement of the SMS.

The organization shall assess its capacity and shall prepare a documented plan to build capacity in order to meet the requirements specified in this document.

### 7.2 Competence

The organization shall:

- a) determine the necessary competence of person(s) doing work under its control that affects or can affect its social performance and the effectiveness of the SMS;
- b) ensure these persons are competent on the basis of appropriate education, training or experience;
- c) determine training needs associated with its social aspects and its SMS; and
- d) where applicable, take actions to acquire and maintain the necessary competence, and evaluate the effectiveness of the actions taken.

Appropriate documented information shall be available as evidence of competence.

**NOTE** *Applicable actions can include, for example, the provision of training to, the mentoring of, or the reassignment of currently employed persons, or the hiring or contracting of competent persons.*

### 7.3 Awareness

The organization shall ensure that workers and other relevant persons doing work under the organization's control are aware of:

- a) the social policy and the social performance objectives;
- b) their contribution to the effectiveness of the SMS, including the benefits of improved social performance;
- c) the implications and potential consequences of not conforming to the SMS requirements;
- d) any relevant information stipulated as a knowledge requirement in this document; and

- e) the right to remove themselves from work situations that present an imminent and serious danger without seeking permission, as well as the arrangements for protecting themselves from undue consequences for doing so.

### 7.4 Communication

#### 7.4.1 General

The organization shall determine the internal and external communications relevant to the SMS, including:

- a) on what it will communicate;
- b) when to communicate;
- c) with whom to communicate; and
- d) how to communicate.

The organization shall take into account diversity aspects (including, but not limited to, gender, language, culture, literacy, disability) when reviewing its communication needs.

The organization shall take the views of external interested parties into account when establishing its communication process(es).

Documented information shall be available as evidence of communication.

#### 7.4.2 Internal communication

The organization shall:

- a) communicate systematically, at least on an annual basis, information relevant to the SMS to all relevant persons including the persons working on behalf of the organization; and
- b) ensure its communication process(es) enable workers to contribute to continual improvement.

#### 7.4.3 External communication

The organization shall:

- a) on an annual basis externally communicate information relevant to the SMS, as established by the organization's communication process(es); and
- b) ensure that the requirements on human rights, labour conditions, health and safety, and ethics and business integrity are communicated to relevant business partners and other relevant parties.

## 7.5 Documented information

### 7.5.1 General

The organization's SMS shall include:

- a) documented information required by this document, including that necessary to meet the performance requirements specified in Annex A; and
- b) documented information determined by the organization as being necessary for the effectiveness of the SMS.

**NOTE** *The extent of documented information for an SMS can differ from one organization to another due to:*

- *the size of organization and its type of activities, processes, products and services;*
- *the need to demonstrate fulfilment of legal requirements and other requirements;*
- *the complexity of processes and their interactions; and*
- *the competence of workers.*

### 7.5.2 Creating and updating documented information

When creating and updating documented information, the organization shall ensure appropriate:

- a) identification and description (e.g. a title, date, author, or reference number);
- b) format (e.g. language, software version, graphics) and media (e.g. paper, electronic); and
- c) review and approval for suitability and adequacy.

### 7.5.3 Control of documented information

Documented information required by the SMS and by this document (including Annex A) shall be controlled to ensure:

- a) it is available and suitable for use where and when it is needed; and
- b) it is adequately protected (e.g. from loss of confidentiality, improper use or loss of integrity).

For the control of documented information, the organization shall address the following activities, as applicable:

- 1) distribution, access, retrieval and use;
- 2) storage and preservation, including preservation of legibility;
- 3) control of changes (e.g. version control); and
- 4) retention and disposal.

Documented information of external origin determined by the organization to be necessary for the planning and operation of the SMS shall be identified, as appropriate, and controlled.

**NOTE 1** *Access can imply a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information.*

**NOTE 2** *Access to relevant documented information includes access by workers, and, where they exist, workers' representatives.*

## 8 Operation

### 8.1 Operational planning and control

#### 8.1.1 General

The organization shall plan, implement, control and maintain the processes needed to meet the requirements of the SMS, and to implement the actions determined in Clause 6, by:

- a) establishing performance criteria for the processes; and
- b) implementing control of the processes in accordance with the established performance criteria.

Documented information shall be available to the extent necessary to have confidence that the processes have been carried out as planned.

The organization shall control planned changes and review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary.

#### 8.1.2 Planning activities

The organization shall develop an annual work plan that explains how the processes required in 4.4 are to be implemented in order to meet the social performance objectives. The annual work plan shall:

- a) be suitable for the organization;
- b) be generated once per year and monitored in accordance with Clause 9;
- c) be aligned with the social policy, as defined in 5.2;
- d) be aligned with the social performance objectives, as defined in 6.2;
- e) take account of the requirements of this document, including Annex A; and
- f) provide detailed explanations for activities that will occur over the following 12 months.

#### 8.1.3 Social procurement

The organization shall ensure that externally provided processes, raw materials, ingredients, products, packaging materials or services that are relevant to the SMS are controlled and conform to the (applicable) requirements of this document.

**NOTE** Requirements for performance are specified in Annex A.

### 8.2 Emergency preparedness and response

The organization shall establish, implement and maintain a process(es) needed to prepare for and respond to potential emergency and fire safety situations, including in worker accommodation and other facilities as provided or mandated, as identified in 6.1.2, including:

- a) establishing a planned response to emergency situations, including the provision of first aid and medical assistance;
- b) providing training for the planned response;
- c) annually testing and exercising the planned response capability;
- d) evaluating performance and, as necessary, revising the planned response, including after testing and, in particular, after the occurrence of emergency situations;
- e) communicating and providing relevant information to all workers on their duties and responsibilities;
- f) communicating relevant information to contractors, visitors, emergency response services, government authorities and, as appropriate, the local community; and
- g) taking into account the needs and capabilities of all relevant interested parties and ensuring their involvement, as appropriate, in the development of the planned response.

Documented information shall be available on the process(es) and on the plan for responding to potential emergency situations.

## 9 Performance evaluation

### 9.1 Monitoring, measurement, analysis and performance evaluation

#### 9.1.1 General

The organization shall determine:

- a) what needs to be monitored and measured;
- b) the applicable key performance indicators for the performance areas specified in Annex A for internal and external purposes;
- c) the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results;
- d) when the monitoring and measuring shall be performed; and
- e) when the results from monitoring and measurement shall be analysed and evaluated.

The organization shall evaluate the social performance (e.g. by application of key performance indicators) and the effectiveness of the SMS.

Documented information shall be available as evidence of the results.

#### 9.1.2 Analysis and evaluation

The organization shall analyse and evaluate appropriate data and information arising from monitoring, measurement and internal audits, at least on an annual basis.

The result of analysis shall be used to evaluate:

- a) conformity and to identify nonconformities to the requirements specified in this document, including Annex A;
- b) the performance and effectiveness of the SMS;
- c) if planning has been implemented effectively;
- d) the effectiveness of actions taken to address opportunities and risks;
- e) the performance of external providers; and
- f) the need for improvements to the SMS.

Documented information shall be available as evidence of the results.

### 9.2 Internal audit

#### 9.2.1 General

The organization shall conduct internal audits at planned intervals to provide information on whether the SMS:

- a) conforms to:
  - 1) the organization's own requirements for its SMS; and
  - 2) the requirements of this document, including Annex A; and
- b) is effectively implemented and maintained.

The organization shall ensure that internal auditors do not experience negative effects when reporting nonconformities, including harassment, pressure, demotion or termination of employment.

#### 9.2.2 Internal audit programme

The organization shall plan, establish, implement and maintain an audit programme(s), including the frequency, methods, responsibilities, planning requirements and reporting.

When establishing the internal audit programme(s) the organization shall consider the importance of the processes concerned and the results of previous audits.

The organization shall:

- a) define the audit objectives, criteria and scope for each audit;
- b) select auditors and conduct audits to ensure objectivity and the impartiality of the audit process; and
- c) ensure that the results of audits are reported to relevant managers and relevant persons.

Documented information shall be available as evidence of the implementation of the audit programme(s) and the audit results.

*NOTE ISO 19011 provides generic guidance on auditing management systems.*

## 9.3 Management review

### 9.3.1 General

Top management shall review the organization's SMS, at least annually, to ensure its continuing suitability, adequacy and effectiveness.

### 9.3.2 Management review inputs

The management review shall include:

- a) the status of actions from previous management reviews;
- b) changes in external and internal issues that are relevant to the SMS, including:
  - 1) the needs and expectations of interested parties;
  - 2) legal requirements and other requirements; and
  - 3) risks and opportunities;
- c) the extent to which the social policy and the social performance objectives have been met;
- d) information on the social performance, including trends in:
  - 1) incidents, nonconformities, corrective actions and continual improvement;
  - 2) monitoring and measurement results;
  - 3) results of evaluation of compliance with legal requirements and other requirements;
  - 4) internal and external audit results;
  - 5) consultation and participation of workers; and
  - 6) risks and opportunities;
- e) adequacy of resources for maintaining an effective SMS;
- f) relevant communication(s) with interested parties; and
- g) opportunities for continual improvement.

### 9.3.3 Management review results

The results of the management review shall include decisions related to:

- a) the continuing suitability, adequacy and effectiveness of the SMS in achieving its intended results;
- b) continual improvement opportunities;
- c) any need for changes to the SMS;
- d) resources needed;
- e) actions, if needed;
- f) opportunities to improve integration of the SMS with other business processes; and
- g) any implications for the strategic direction of the organization.

Top management shall communicate the relevant results of management reviews to workers and, where they exist, workers' representatives (see 7.4).

Documented information shall be available as evidence of the results of management reviews.

# 10 Improvement

## 10.1 Continual improvement

The organization shall continually improve the suitability, adequacy and effectiveness of the SMS.

## 10.2 Incident, complaint, nonconformity and corrective action

The organization shall establish, implement and maintain a process(es), including reporting, investigating and taking action, to determine and manage incidents, complaints and nonconformities.

When an incident, a complaint or a nonconformity occurs, the organization shall:

- a) react in a timely manner and with the appropriate level of urgency to the incident, complaint or nonconformity and, as applicable:
  - 1) take action to control and correct it; and
  - 2) deal with the consequences;
- b) evaluate, with the participation of workers (see 5.4) and the involvement of other relevant interested parties, the need for action to eliminate the cause(s) of the incident or nonconformity, in order that it does not recur or occur elsewhere, by:
  - 1) investigating the incident or reviewing the nonconformity;
  - 2) determining the cause(s) of the incident or nonconformity; and
  - 3) determining if similar incidents have occurred, if nonconformities exist, or if they could potentially occur;
- c) review existing assessments of social performance risks and other risks, as appropriate (see 6.1);
- d) determine and implement any action needed, including corrective action;
- e) review the effectiveness of any corrective action taken; and
- f) make changes to the SMS, if necessary.

Corrective actions shall be appropriate to the effects or potential effects of the incidents or nonconformities encountered.

Documented information shall be available as evidence of:

- 1) the nature of the incidents or nonconformities and any subsequent actions taken; and
- 2) the results of any corrective action, including their effectiveness.

The organization shall communicate this documented information to relevant workers and, where they exist, workers' representatives and other relevant interested parties.

## Annex A (Normative)

### Requirements related to social performance

*NOTE If applicable national legal requirements set a different level of adherence than specified by this PAS, it is necessary to satisfy whichever affords the highest level of adherence for workers.*

#### A.1 Human rights policy

The SMS shall ensure that the requirements in Table A.1 are satisfied.

**Table A.1 – Requirements for a human rights policy**

1	A risk inventory is made of human right issues.
2	No adverse human rights impacts are caused by the organization's activities. Any such impacts that occur are addressed.
3	No adverse human rights impacts are contributed to by the organization's activities. Any such impacts that occur are addressed.
4	A human rights due diligence process is established, implemented and maintained, to identify, prevent, mitigate and account for how the organization addresses its impacts (including the impacts of its providers) on human rights, and on processes enabling the remediation of any adverse human rights impacts caused by the organization or to which it contributes.  This due diligence process aims to avoid adverse human rights impacts directly linked to the organization's operations, products or services and prevents or mitigates any adverse human rights impacts in its business relationships, even if the organization has not contributed to those impacts.

#### A.2 Forced labour

The SMS shall ensure that the requirements in Table A.2 are satisfied.

**Table A.2 – Requirements related to forced labour**

1	The organization does not engage in, support or tolerate employment by force or compulsion. All workers (including prisoners) enter into employment voluntarily and may terminate with reasonable notice.
2	The organization does not force any person to work under the menace of any penalty or sanction.
3	No personal documents or any other valuable possessions, such as work permits or travel documents, are withheld from workers, nor are workers required to lodge them with the employer and/or recruiter.
4	No fees or related costs are charged (directly or indirectly, in whole or in part) to applicants and workers for services directly related to recruitment or work that can lead to situations of forced or compulsory labour.
5	No monetary deposits, financial or collateral guarantees or personal possessions are demanded as a condition of employment.
6	Workers are not held in debt bondage or forced to work for an employer or any other entity to pay off debt.
7	If advances and loans are available to workers, a written policy about the terms and conditions is in place that is communicated to workers in an understandable manner. These terms (and related interest rates) are not used to bind workers to employment.

Table A.2 – Requirements related to forced labour (*continued*)

8	<p>If a secure storage option for personal documents and valuable possessions is provided:</p> <ul style="list-style-type: none"> <li>a) it is the choice of the workers to utilize the storage;</li> <li>b) records of storage are maintained; and</li> <li>c) workers have free access to their possessions.</li> </ul>
9	<p>When employment agencies or contractors are used, these agencies are required to:</p> <ul style="list-style-type: none"> <li>a) comply with applicable national legal requirements;</li> <li>b) be licensed or certified by the competent national authority, if applicable;</li> <li>c) comply with the requirements of Table A.2 on forced labour and recruitment fees; and</li> <li>d) not engage in fraudulent or corrupt recruiting practices.</li> </ul>
10	<p>The organization does not restrict workers’ freedom of movement. The organization does not require workers to remain at the workplace at the conclusion of their working hours or confine them in any worker accommodation.</p>
11	<p>If cases of forced or compulsory labour are found, the organization implements effective remediation, such as compensation for personal and material damages. The remediation actions taken are verified and recorded, the remediation plan is documented, and actions put in place to avoid recurrence.</p>

### A.3 Child labour

The SMS shall ensure that the requirements in Table A.3 are satisfied.

Table A.3 – Requirements related to child labour

1	<p>The organization conforms to the minimum age of work to be not less than 15 years or the minimum age as defined by applicable legal requirements or the age of completion of compulsory education, whichever is higher.</p> <p>The organization may employ persons under the age 15 years for light work in accordance with ILO Convention 138 [3] and in line with applicable national legal requirements.</p> <p><i>NOTE The organization can employ persons under the age of 15 years for light work only if the local minimum age law is set at an age of 14 years in accordance with ILO Convention 138 [3].</i></p>
2	<p>Details on any children under the age of 15 years working at the site are reported.</p>
3	<p>Where the organization applies work for training/apprenticeship schemes, these are not exploitative and are in line with national legal requirements.</p>
4	<p>The organization does not employ workers under the age of 18 years at night or in hazardous conditions.</p>
5	<p>The organization establishes age verification mechanisms for all workers and maintains valid age verification records.</p>
6	<p>The organization ensures that if child labour is found, effective remediation procedures are in place that put the best interest of the child first. The remediation plan is documented and verified, and actions put in place to avoid recurrence.</p>

## A.4 Freedom of association

The SMS shall ensure that the requirements in Table A.4 are satisfied.

**Table A.4** – Requirements for freedom of association

1	Workers have the right to join or form trade unions or other worker organizations of their own choosing – or refrain from doing so – and to bargain collectively in accordance with applicable national legal requirements.
2	Worker representatives or members of trade unions are not discriminated against or otherwise penalized because of their membership in or affiliation with a trade union or worker organization in accordance with applicable national legal requirements.
3	Duly elected worker representatives of trade unions and other worker organizations have access to the workplace to carry out their representative functions in accordance with applicable national legal requirements.
4	Where there are no legal protections for the right to collective bargaining or freedom of association the organization engages workers through alternative lawful mechanisms of engagement, where possible, to allow worker representatives to enter into a dialogue about workplace issues.

## A.5 Discrimination/Fair treatment of workers

The SMS shall ensure that the requirements in Table A.5 are satisfied.

**Table A.5** – Requirements related to discrimination/ fair treatment of workers

1	Equal opportunities and treatment in employment and occupation are respected. Workers, including temporary and part-time workers and contractors, are not discriminated against in recruitment or employment practices based on any legally protected characteristics and any personal characteristics that do not interfere with a worker's ability to do a specific job.
2	The organization does not engage in, support or tolerate the use or threat of corporal punishment, mental or physical coercion, bullying, harassment, including sexual harassment, or abuse of any kind.
3	Written disciplinary procedures are in place and are effectively communicated to all workers. <i>NOTE Disciplinary procedures should include the possibility for workers to be accompanied by a union representative or workplace companion during discussions with the employer.</i>
4	Records of all disciplinary action are kept.

## A.6 Occupational health and safety

The SMS shall ensure that the requirements in Table A.6 are satisfied.

*NOTE Complete requirements for an occupational health and safety management system are specified in ISO 45001.*

**Table A.6 – Requirements for occupational health and safety**

1	Occupational health and safety is an integral part of the SMS.
2	Safe, healthy and clean conditions are provided in all workplaces, including worker accommodation, and other facilities as provided or mandated.
3	Health and safety training is provided in a timely manner and repeated on a regular basis and in case of new or reassigned workers and when changes in the process or machinery present new risks.
4	Health and safety training is provided appropriate to the needs of all workers, is readily understood, and at no cost and during remunerated working hours.
5	Written records are maintained of all health and safety incidents in the workplace and other facilities, as provided or mandated.
6	The causes of health and safety incidents are determined when they occur, and appropriate corrective actions are taken to prevent recurrence of similar incidents.
7	Appropriate and effective personal protective equipment (PPE) is provided free of charge. The PPE is maintained and replaced as necessary. Workers are instructed in its proper use and monitored.
8	Clear arrangements for providing first aid and medical assistance are in place for any workplace accidents or incidents.
9	All workers are provided with free potable water and clean toilet facilities.

## A.7 Building safety

The SMS shall ensure that the requirements in Table A.7 are satisfied.

**Table A.7 – Requirements for building safety**

1	Fire exits, escape routes, firefighting equipment and fire alarms are properly marked according to national and industry standards. Fire exits and escape routes are open, accessible and clear of obstacles so as to permit safe evacuation in case of an emergency.
2	Firefighting equipment and fire alarms are tested or inspected in accordance with applicable national legal or industry requirements.
3	Appropriate measures are taken to evaluate and monitor the strength, stability and safety of buildings and equipment, including worker accommodation, where provided or mandated. Corrective action is taken where required.
4	If accommodation facilities are provided or mandated, these are located separately from production or storage facilities.

## A.8 Employment and contractual relations

The SMS shall ensure that the requirements in Table A.8 are satisfied.

**Table A.8** – Requirements for employment and contractual relations

1	Workers are informed about their employment terms and conditions in writing and in an understandable manner before they enter into employment.
2	Work is performed by individuals with a formal verifiable working relationship in accordance with applicable national legal requirements.
3	No employment arrangements are used to avoid obligations to workers under applicable national labour and social security laws.
4	Compensation for standard working hours meets or exceeds applicable legal minimum wages, industry standards or collective bargaining agreements (where applicable). <i>NOTE The organization should develop a plan to provide at least a living wage for the workers in relation to the compensation of standard working hours.</i>
5	Wages are paid regularly, in a timely manner and in full. All payments are made directly to the employee in legal tender or into a bank account in their name.
6	When it establishes a pay rate for production, quota or piece work, the organization allows workers to earn at least a wage which meets or exceeds applicable legal minimum wages, industry standards or collective bargaining agreements (where applicable) within standard working hours.
7	All workers are compensated for all overtime as required by applicable national legal requirements or a collective bargaining agreement, whichever gives higher benefits or protection to workers.
8	All workers are provided with clear and written details of their wages for the pay period concerned each time that they are paid.
9	No deductions from wages are made unless permitted by applicable national legal requirements or a collective agreement. Workers are informed about any deductions in writing and in a manner understandable to them.
10	No deductions from wages are made as a disciplinary measure.
11	All legally mandated benefits and facilities as required by law are provided to all workers.

## A.9 Working hours

The SMS shall ensure that the requirements in Table A.9 are satisfied.

**Table A.9 – Requirements for working hours**

1	Standard working hours conform to applicable national legal requirements, collective agreements, or industry standards, but do not exceed 48 h, excluding overtime.
2	Where applicable national legal requirements set exceptions to the limit of total working hours (60 h per week, including overtime) appropriate safeguards are taken to protect the workers' health and safety.
3	When total working hours exceed 60 h per week, including overtime, total hours worked are reported.
4	Overtime agreed with workers and overtime requirements do not result in forced labour.
5	Overtime is not requested on a regular basis. <i>NOTE The regularity of overtime can depend on seasonal demand.</i>
6	All workers have the right to breaks during work shifts.
7	Workers have the right to at least one rest day of 24 consecutive hours in every week.
8	Where applicable national legal requirements set exceptions to the minimum number of rest days, appropriate safeguards are taken to protect workers' health and safety. At a minimum, workers are granted two rest days, each of consecutive 24 h, in a 14 day period.
9	Workers are granted paid leave (public and annual holidays, maternity/paternity leave, sick leave, etc.) in accordance with applicable national legal requirements.

## A.10 Grievance mechanism

The SMS shall ensure that the requirements in Table A.10 are satisfied.

**Table A.10 – Requirements for grievance mechanism**

1	A written procedure to address complaints or concerns is established. The grievance mechanism is accessible to all workers and external parties.
2	The confidentiality of any complaint raised is provided and information is revealed only as necessary to investigate and handle the complaint.
3	No worker or external party that lodges a complaint in good faith is retaliated against.

## A.11 Business ethics

The SMS shall ensure that the requirements in Table A.11 are satisfied.

**Table A.11 – Requirements for business ethics**

1	The organization is not, and does not get, involved in any act of corruption, extortion, embezzlement, or in any form of bribery, either directly or indirectly. <i>NOTE Furthermore, when considering business ethics the organization should determine the social impact of conflict of interest, antitrust activities and data privacy.</i>
2	The organization does not falsify any information regarding its activities, structure and performance and is not involved in any act of misrepresentation in the supply chain.

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