



ESCZ-PR-0104

SA8000 认证规则

Rules for SA8000 Certification

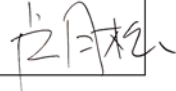
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英特检测认证有限公司

E-UNION Standard Certification Zhongshan Limited

Part of E-UNION Business Assurance

修订记录和批准页
Revision records and Approval

版本号 Version	生效日期 Effective date	修订摘要 Revision summary	编制 Prepared By	审核 Reviewed By	批准 Approved By
A/0	2025-07-01	初版发布	技术部	夏恩余	卢月松
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前言 Foreword

英特认证所实施的 SA8000 认证项目, 分包自 E-UNION Standard Certification Limited, 根据分包授权协议, 英特认证仅负责市场拓展、接受认证申请、审核组织过程沟通协调等一般性工作, 认证过程关键环节如申请评审、认证人员能力评价、审核方案管理、审核、认证决定、证后监督、申投诉处理等均由 E-UNION Standard Certification Limited 负责。认证结果预期为仅在境外使用。

认证规则由 E-UNION Standard Certification Limited 制定并发布, 英特认证依据《国家认监委关于加强认证规则管理的公告》进行立项论证、符合性审查、验收审查后采用, 并履行《公告》要求的规则备案、实施效果评估、动态维护和更新的要求。

SA8000 认证规则 Rules for SA8000 Certification

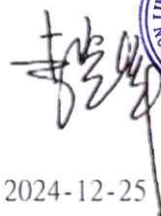
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授權書 Authorization Letter

根據雙方於 2024 年 12 月 25 日簽署的編號為 CBOCA-01 的《認證業務運作合作協議》（以下稱“分包協議”）的規定，E-UNION Standard Certification Limited 茲此授權英特檢測認證有限公司在中華人民共和國境內合作開展 SA8000 認證項目，並一併授權英特檢測認證有限公司使用 E-UNION Standard Certification Limited 具有所有權的編號為 SOP-30 的《SA8000 認證規則》文件。上述授權的具體範圍和限制條件在“分包協議”中予以了明確。授權期限自 2024 年 12 月 25 日至 2027 年 12 月 24 日。

Pursuant to the provisions of the "Certification Business Operation Cooperation Agreement" (hereinafter referred to as the "Subcontracting Agreement") with the number CBOCA-01 signed by both parties on December 25, 2024, E-UNION Standard Certification Limited hereby authorizes 英特檢測認證有限公司 to jointly carry out the SA8000 certification project within the territory of the People's Republic of China, and also authorizes 英特檢測認證有限公司 to use the document "Rules of SA8000 Certification" with the number SOP-30 owned by E-UNION Standard Certification Limited. The specific scope and restrictive conditions of the above authorization are specified in the "Subcontracting Agreement". The authorization period is from December 25, 2024 to December 24, 2027.

授權方 : E-UNION Standard Certification Limited
Authorizing Party : E-UNION Standard Certification Limited

授權簽署人 : 
Authorized Signatory : 

簽署日期 : 2024-12-25
Date : 2024-12-25

Social Accountability Accreditation Services

ACCREDITATION CERTIFICATE



CERTIFICATION BODY

E-UNION Standard Certification Limited

is accredited in accordance with SAAS Procedure 200 and assessed against ISO/IEC 17021-1:2015 for the provision of certification services for Social Accountability Management Systems to SA8000:2014.

This accreditation demonstrates competence for a defined scope as detailed in and at the locations specified in the annexure to this certificate. The annexure to this certificate is an integral part of this accreditation certificate and may be revised or reissued from time to time by Social Accountability Accreditation Services. The currently valid version of this accreditation certificate may be found on the SAAS website at: www.sa-intl.org

Accreditation by Social Accountability Accreditation Services is subject to conformity with SAAS requirements and hence the absence of the annexure to this certificate means that the accreditation may no longer valid.


Executive Director, Social Accountability Accreditation Services

Initial Accreditation date:
15th December 2024

This certificate was issued:
20th December 2024

This certificate expires on:
14th December 2029

Client number: 056

Certificate number: 24-056

This is not a legal document and cannot be used as such. The use of the accreditation mark shown on this certificate indicates accreditation in respect of those activities covered by this Accreditation Authority. This certificate remains the property of SAAS to whom it must be returned on request. ©

CERTIFICATE OF ACCREDITATION

Annex

Issued: April 14, 2026

 Social Accountability Accreditation Services 9 East 37 th Street, 10th Floor, New York, NY 10016	ISSUED TO: E-UNION Standard Certification Limited Registered address: Workshop 7 on 10TH Floor, Cameron Sino Technology Centre, NO. 73 Chai Wan Kok Street Tsuen Wan, Hong Kong Client Reference No. 056	
	Scope: Procedure 200 and ISO/IEC 17021-1:2015 for the provision of certification services for Social Accountability Management Systems to SA8000:2014	
	Period of Accreditation: December 15, 2024 to December 14, 2029	Geographic Scope to Deliver SA8000 Audits: China

Office locations where Certification Body claims local SA8000 expertise:	
E-UNION Operational Office Room 801, Building A3, Block 1, Phase 1 Project of Banfu Science and Technology Innovation Park, Zhongshan Science City, Banfu Town, Zhongshan City, Guangdong Province, China	

Countries in which the certification body has issued SA8000 accredited certificates	
China	

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Rules for SA8000 Certification

SA8000 认证规则

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1. Scope 范围

The present document defines the relationship between the E-UNION Auditing Office and E-UNION HQ, on the one hand, and the Organisation seeking SA8000® certification of their corporate social responsibility system on the other hand and sets the rules for issuing, maintaining, extending/reducing, renewing, suspending and withdrawing such certification.

本文件定义了 SA8000 认证申请人、E-UNION 审核办公室和 E-UNION 总部之间的关系，一方面是关于组织寻求 SA8000 社会责任体系认证的，另一方则是关于制定认证证书颁发、维护、扩展/缩减、更新、暂停或取消证书规则的。

NOTE: a E-UNION Auditing Office may belong to one of the following categories:

备注: E-UNION 审核办公室可能属于以下情况之一:

- **Certification Body**, i.e. solely E-UNION (<https://www.e-union.cn>, info@e-union.cn) upon accreditation received by SAAS (Social Accountability Accreditation Service, 9 East 37th Street, 10th Floor, New York, NY 10016, New York, NY 10036, saas@saasaccreditation.org);
认证机构本身, 即 E-UNION HQ 总部 (<https://www.e-union.cn>, info@e-union.cn) 是由 SAAS(社会责任认证认可服务机构, 9 East 37th Street, 10th Floor, New York, NY 10016, saas@saasaccreditation.org)认可的审核机构。
- **Hong Kong Headquarter Office (E-UNION HQ)**, i.e. body solely promoting and manage the business of SA8000® certification;
E-UNION 香港总部, 即负责促销和管理 SA8000 认证业务的办公室。
- **E-UNION Auditing Office (China Auditing Office)**, i.e. certification body performing quotation-making, audit-planning, on-site auditing, audit reporting and audit follow-up activities using the system developed, managed and controlled by E-UNION HQ, under close supervision by E-UNION HQ and upon specific authorisations/validations on Auditing Office's part.
E-UNION 审核办公室(中国大陆), 即使用由 E-UNION 总部开发、管理和控制的系统执行报价、审核策划、现场审核、审核报告和跟踪审核的审核机构, 该审核办公室由 E-UNION 总部进行监管、被 E-UNION 总部赋予某些特定的权限。

Authorized Auditing Offices currently adhering to the E-UNION are listed on the web-site <https://www.e-union.cn>.
目前 E-UNION 的授权审核办公室名单列在网站 <https://www.e-union.cn> 上。

2. The SA8000® Applicant Status SA8000 认证申请人(或 SA8000 认证申请组织)

The Applicant Status consists of recognition to Organisation willing to adopt SA8000® as their policy and take the first essential steps towards certification. An SA8000® Applicant declares its compliance with national and local legislation relating to SA8000® requirements, declares to have understood SA8000® requirements and to be ready to take up the process towards implementation and certification.

SA8000®认证申请人是指: 组织愿意采取 SA8000 标准作为他们的政策, 并且为获得 SA8000 认证采取了一些基本步骤。SA8000 申请人声明遵守与 SA8000 要求有关的国家和政府法律法规, 声明已经明了 SA8000 要求并且已经准备好采取行动来执行 SA8000 标准和导入认证过程。

3. Rules for obtaining the SA8000® Applicant Status recognition 获得 SA8000 认证申请人资格的规则

The Organisation willing to obtain the SA8000® Applicant Status recognition contacts the E-UNION Auditing Office who then invites the Organisation to fill in the "Application Form" available on <https://www.e-union.cn>. The information provided through the above mentioned form will be used by the E-UNION Auditing Office to issue a Quotation (including the Fee Schedule, General Terms and Conditions of the Service) that will be sent to

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the applicant Organisation along with a copy of the SA8000® Standard, the Rules for Certification, the Ethic Codes, the Application Form, and the Questionnaire.

SA8000 认证申请人，需要联系 E-UNION 审核办公室，审核办公室会邀请组织填写“基本资料表”，该“认证申请表”可以在网页 <https://www.e-union.cn> 上获得。E-UNION 审核办公室依据“认证申请表”来准备一份报价书(包含:认证费用清单、认证服务条款)，并与 SA8000 标准、认证规则、道德经营准则、认证申请表、以及调查问卷等一起发送给 SA8000 认证申请人。

The Organisation that accepts the Quotation, has it signed by the legal representative or its authorized person and sends it to the E-UNION Auditing Office along with Application Form duly filled in. The Application Form provides for the signature of both the legal representative of the Organisation and of – at least – one trade union representative or, otherwise, of the SA8000® Workers Representative. This is aimed at supporting the dialogue among the interested parties in taking the decision to implement a corporate social responsibility system and in approving compliance plans undertaken by the Organisation. Moreover, it required that a trade union representative or otherwise, the SA8000® Workers Representative endorse the decision of the Organisation to seek certification.

由公司法人代表或其授权代表签字接受报价的组织，将报价书与填好的申请表一起发送给 E-UNION 审核办公室。申请表里有供给组织法人代表和至少一位工会代表或 SA8000 工人代表签名确认的地方。目的在于支持利益相关方之间就决定执行企业社会责任体系并认可由组织实施的方针计划进行对话。因而，要求工会代表或 SA8000 工人代表签字认同组织申请 SA8000 认证。

The Organisation is required contextually to pay fees indicated in the Quotation (Application Fee + Stage 1 and Stage 2 Certification Audit Fee + Surveillance Audit Fee). Upon completion, the Organisation submits to the E-UNION Auditing Office the Self-assessment Form filled in according to the instructions included in the form itself. The E-UNION Auditing Office performs an initial check out, reporting on the Evaluation Report shortcomings found out in the Self-Assessment Form. Then the E-UNION Auditing Office submits the documentation to E-UNION HQ, that takes into examination the application for the Applicant Status indicating in the assessment report the typologies of shortcomings detected into the Self-assessment Form together with the objective evidences appropriate for the issue of the Applicant Status Certificate. The Organization commits itself to provide E-UNION with all the information necessary for the recognition of the Applicant Status and the possible specific documentation or information that E-UNION may require.

申请者需要支付报价书中列明的费用(申请费+第一阶段和第二阶段认证审核费+监督审核费)。完成后，申请者还需要填写好的自我评估表给 E-UNION 审核办公室。E-UNION 审核办公室会进行初步审查，并报告所发现的自我评估表中的错误之处。然后 E-UNION 审核办公室把文件提交给 E-UNION HQ 检查申请人状态及自我评价中的错误类型、所需要的适当客观证据。申请者承诺向 E-UNION 提供申请人状态所需的所有资料、以及 E-UNION 可能需要的特定文件或资料。

Should the application be rejected, for reasons explained in the Evaluation Report, the applicant Organisation must amend the outlined shortcomings within one-month time from the date of their communication. If the Organisation fails to do so, in order to obtain the recognition of the SA8000® Applicant Status, it is required to pay a further application fee, as indicated in the Quotation. Should the application be accepted, both with request for amendments following the Evaluation Report or without any such request, E-UNION will approve and accept the SA8000® Applicant Status.

如申请被拒绝，原因会在评估报告中予以说明，申请者必须在相互沟通起的一个月内纠正缺失。如果申请者无法完成，为了取得 SA8000 申请人状态认可，需要按照报价书中的说明再支付一次申请费。如申请被接受，不管是否有要求修改评估报告，E-UNION 将会批准和接受 SA8000 申请人状态。

The typology of shortcomings that are taken into account when evaluating whether to approve and accepted or not an SA8000® Applicant Status are illustrated in the General Criteria for Auditing Social Accountability Systems,

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in the Evaluation Report and in the following table:

是否批准和接受申请者的 SA8000 申请人状态，需要考虑缺失的类型，该等缺失的类型已经列在社会责任体系审核基本准则、评估报告和下表中：

Typology of Shortcomings 缺失类型	Effect 影响
1. The column pertaining to conformance status of the corporate social accountability to each requirement is not complete. 符合企业社会责任标准的每个要求是不完整的。	The SA8000® Applicant Status is approved and accepted only after the Self-Assessment Form has been integrated with information that were lacking.
2. The requirements classified as non-applicable are not borne by motivation. 那些归为不适用的要求没有被解释。	
3. The description of improvement actions and its planning time is not provided for each non-conformity. 没有针对每一项不符合项提供整改措施和时间表。	
4. The indication of the number of objective evidences is lacking or insufficient. 客观证据数量的缺少或不足。	
5. Inadequacy (with reference to the spirit of the standard and ILO conventions) of the content of the improvement actions pertaining to the non-conformities that have been outlined. 不符合项整改措施不充分(关于标准和国际劳工组织公约)。	SA8000 申请认证被认可仅当自我评价与缺失的信息一致时。
6. Inadequacy of the reasons provided for classifying one (or more) requirement(s) as non-applicable. 将一个或多个要素列为不适用要求的原因不充分。	
7. Within the past 12 months, violations to local laws and regulations are still not corrected effectively. 过去 12 个月中违反当地法律法规尚未有效解决。	

The Organisation commits to undergo a certification audit in 6-month time after the acceptance of the SA8000® Applicant Status. The renewal of the Applicant Status is not allowed; if 6-month elapses without the organization perform the 1st stage Audit, the latter will lose the pre-payment of the audit fee.

申请者承诺在获得批准和接受 SA8000 申请人身份之后在 6 个月内接受认证审核，不允许申请人身份更新；如果 6 个月内申请人没有进行第一阶段审核，则会浪费之前支付的审核费用。

The actual recognition of the SA8000® Applicant Status allows the Organisation to publicly state itself as an SA8000® Applicant. The SA8000® Applicant Status is notified to SAAS by E-UNION, if needed.

对 SA8000 申请人身份的实际认可，允许申请人公布他们已成为 SA8000 申请人身份状态。需要时，E-UNION 会将 SA8000 申请人状态通知到 SAAS。

4. SA8000® Certification / SA8000 认证

Certification attests the conformity of the Social Accountability System to the reference standard.

获得认证即表明已经符合了 SA8000 社会责任管理体系标准。

Certification activities are carried out by E-UNION availing itself of the operational instrument, includes certification bodies E-UNION may decide to subcontract social accountability system audit and surveillance audits to. The certificate issued by E-UNION is the document attesting the applicant Organisation has a social accountability system in place that is conforming to the standard.

认证审核活动是由 E-UNION 通过其网络开展的，包括 E-UNION 可能分包的认证审核和监督审核。E-UNION 颁发的证书则表明组织已经建立了社会责任管理体系并且符合标准要求。

Therefore, the audit carried out by the E-UNION Auditing Office in order to verify the conformance of the Organisation to the standard is a service supplied to the applicant Organisation and to obtain which the applicant

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Organisation corresponds a payment following current applicable fees.

因此，由 E-UNION 审核办公室进行的以确认组织符合标准要求的审核，是一项提供给申请组织和需要支付相应费用的服务。

A contract between the E-UNION Auditing Office and the applicant Organisation enters into force from the date when the E-UNION Auditing Office confirms acceptance of the Application for Certification and expires three years after the date when the Certification Committee takes the decision to issue the certificate.

E-UNION 审核办公室与申请人签署的合同，是从 E-UNION 审核办公室确认接受组织的认证申请之日开始生效，并且从认证委员会决定颁发 SA8000 证书之日起三年到期。

At the end of the three-years duration, the contract may be subject to renewal.

三年到期时，该认证合同需要更新。

On the basis of this contract, which contemplates that certain activities will be carried out by E-UNION, and not by the E-UNION Auditing Office, the E-UNION Auditing Office **undertakes the following obligations for itself and/or for E-UNION**:

该合同中会明确有哪些审核活动是由 E-UNION 总部 执行的而不是由 E-UNION 审核办公室 执行，E-UNION 审核办公室需要为自己或代表 E-UNION 总部 承担以下义务：

- To operate in conformance to the standard ISO17021, to the rules of the accreditation body SAAS and to the rules of the E-UNION;
按照 ISO17021 标准要求、SAAS 认证规则和 E-UNION 总部的认证规则进行操作。
- To assess the Organisation with maximum objectiveness along all the steps of the certification process, according to the reference standard and not providing consultancy neither on the implementation of the Social Accountability Management System nor on the preparation of documents related to the system itself;
在所有的认证步骤中都最大限度地保持客观及依据标准对组织进行评估，既不能为其提供社会责任体系咨询，也不能在协助组织准备相应文件。
- Avoid undersigning contracts for the certification of Social Accountability Systems of Organisations that carry out activities in competition with those carried out by the Auditing Offices of the E-UNION;
避免签订与执行审核的 E-UNION 审核办公室形成竞争的认证合同。
- To preserve confidentiality of information acquired in performing certification activities during the period of validity of the Certification Contract, save the faculty to communicate provided for by Article 11 in case the certificate is revoked;
在认证合同有效期内，执行认证审核过程中所获得的信息将会予以保密，在证书被取消时将按照本文件第 11 条规定仅保留相应信息用于沟通。
- To ensure that all information about and data referring to the personnel of the Organisation that might be notified to the auditors during audits are used only within the certification process of the Social Accountability System and are neither communicated externally nor made use of in any other way; E-UNION will have the faculty to divulge to the competent authorities in charge by law, on their request, the data collected during the certification process.
确保所有提供给审核人员的组织人员信息及数据只能在社会责任体系认证过程中使用，既不能用于外部沟通或通过其他方式使用；E-UNION 总部将只会在执法当局提出要求时，把认证过程中收集的信息向执法当局予以通报。
- To require, to the former extent, the undersigning of a Confidentiality Agreement by auditors and staff operating on behalf of the E-UNION Auditing Office;
对于前述内容，要求代表 E-UNION 审核办公室的审核人员和职员签署保密协议。

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- To employ properly trained personnel to perform certification activities;
雇佣受过适当训练的个人来执行认证活动。
- To ensure that the timeframe agreed upon to perform activities that involve the Organisation seeking certification is respected;
确保与认证申请组织达成的认证活动时间表得到尊重。
- To provide updating on the evolution of the applicable norms on Social Accountability;
提供适用的社会责任标准更新服务。
- To ensure that certified Organisations are provided the top-quality Social Accountability System certification services, with reference to the state-of-the-art of standards and legislation and to worldwide visibility of the labels awarded upon certification;
根据认证标准和立法及全球可见的标识，确保向组织提供高质量的社会责任体系认证服务。
- To inform Organisations with on-going certification process about changes to be made in certification requirements and take into account their point of view before making them final and determining the date of effectiveness;
通知组织在持续认证过程中发生的标准或要求的变更，在决定执行的日期和有效期时考虑组织的观点。
- To register the Organisation in the List of Certified upon certification decision by the Certification Manager and Technical Committee;
根据认证经理和技术委员会的决定，注册登记已经获得认证的组织名单。
- To inform the Organisation on any change to the Rules for Certification and related documents that might be introduced after signing the Certification Contract.
- 通知组织有关认证准则的任何变更以及认证合同签署后的任何文件变更。

The Organisation applying for certification undertakes the following obligations:

申请认证的组织需要履行以下义务：

- To provide the E-UNION Auditing Office all the required information to start up the certification process and any other document or specific information required by the E-UNION Auditing Office;
向 E-UNION 审核办公室提供所需要的所有资料来开始认证审核，以及 E-UNION 审核办公室所要求的任何其他文件或特定资料。
- To provide the list of temporary sites, if any. A sample will be chosen from the list to perform certification and surveillance audits also on temporary sites;
如有，需要提供临时性场所清单。认证审核机构将从名单中抽样对临时性场所进行认证审核和监督审核。
- To provide objective evidence of having implemented a Social Accountability System conforming to the reference standard and, specifically, of having performed a monitoring process on every requirement of the standard and, at least, one cycle of internal audits, corrective actions, and management review;
提供实施和符合社会责任标准的客观证据，尤其是对执行标准每个条款要求进行监督的过程，至少包括一个完整周期的内部审核、纠正措施和管理评审。
- To make available all that is necessary to the running of the certification and surveillance audits, namely: maximum cooperation to the auditors on the part of the Organisation's senior management, thus including access to all documents and registrations and to all parts of the Organisation's premises and the permission of taking pictures within the organization's premises; allowance to perform workers interviews without any senior manager, management representative, Organisation's consultant attending;

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确保对认证审核和监督审核过程提供所有必要的支持，即：组织高级管理层需要给予审核员最大限度的合作，包括接触所有的文件、注册资料和场所、允许在组织场所内进行拍照、允许在没有高级管理层、管理代表及组织咨询人员的参与下进行员工访谈。

- To document conformity to the first eight requirements of the SA8000® standard (taking into account that in case national legislation is in force on the same matters, the more favourable to workers between SA8000® standard and national legislation applies) and to manage a Social Accountability System conforming to the very same SA8000® requirements;
提供文件证明符合 SA8000 标准的前 8 项要求和管理 SA8000 体系以符合 SA8000 标准的每一项要求(考虑到有效的法律法规在某些要求上可能会与 SA8000 标准要求不一致，则选择更有利于员工的要求)。
- To commit to prepare Corrective Action Plans and to implement it to solve problems issued during Stage 1 audit and to manage corrective actions after Stage 2 certification and surveillance audits.
申请组织承诺策划和管理一阶段审核中提出的问题以及二阶段审核和监督审核提出的纠正措施。
- To provide objective evidence of the actual implementation of procedures/instructions related to the previous point;
提供与之前审核有关的程序/指引得到实际执行的客观证据。
- To comply to perform activities acquired through tenders asking for SA8000® Certification exclusively by means of the resources of its organizational structure or, alternatively, by means of the organizational structures of subcontractors that also possess the SA8000® Certification thus excluding by any means subcontracting to companies that do not possess such Certification.
只以其自身组织架构来申请 SA8000 认证，或者，以包括其分包商的组织架构来申请 SA8000 认证，需要排除那些不参加认证的分包商。
- To notify the E-UNION Auditing Office of any pending legal prosecution involving the certified system.
需要通知 E-UNION 审核办公室任何影响到认证体系的未决法律诉讼。

NOTE: The E-UNION Auditing Office declines responsibility arising from the Organisation providing false/deceitful documents upon request from the Audit Team in order to perform the assessment during the audit.
说明：应审核组要求所提供的审核所需文件资料，如果是虚假资料，则 E-UNION 审核办公室 将不承担任何由此而产生的责任。

5. Access to Certification 获得颁发证书

The E-UNION Auditing Office commits to provide all Organisations access to certification by E-UNION., given it meets the following requirements:

如果符合以下要求，E-UNION 审核办公室承诺所有组织都可以获得 E-UNION 颁发的证书。

- a. It has implemented a Social Accountability System conforming to the standard against which it is seeking certification;
基于寻求认证的社会责任标准已经建立和实施了社会责任管理体系并符合其要求。
- b. Its Social Accountability System is satisfactorily documented;
社会责任管理体系保留有令人满意的记录。
- c. It has undersigned the Certification Contract with a E-UNION Auditing Office;
已经与 E-UNION 审核办公室签订了认证合同。
- d. It has provided all required documents and evidences;
提供了所要求的所有文件和证据。
- e. It has fulfilled its contractual obligations;
完成了合同中规定的义务。
- f. It has fully applied the SA8000® standard to the Social Accountability System pertaining to products and services within the scope of certification;

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在社会责任体系认证范围内的产品和服务完全适用 SA8000 标准。

- g. It has developed and communicated an adequate procedure to manage complaints, in order to allow workers to provide suggestions and/or complaints in an anonymous way. Such procedure shall include the chance to lodge a claim with the E-UNION Auditing Office who performed the SA8000® compliance audit (and with E-UNION, in all cases);
已经建立和实施了充分的程序来管理投诉，以允许工人以匿名方式提供建议和/或投诉。该程序应包括可向执行 SA8000 审核的 E-UNION 审核办公室 (以及所有情况下都可向 E-UNION) 发起投诉。
- h. It has prepared its SA8000® Management Review and Internal Audit Report, consistent with requirements 9.1 and 9.4, describing the Organisation's performances relating to each item/matter tackled by the SA8000® standard (all nine requirements included).
已经按照 SA8000 标准 9.1 和 9.4 条的要求准备了 SA8000® 管理评审和内部审核报告，描述组织有关 SA8000 标准所要求的绩效(涵盖所有 9 个条款)。

6. Conditions to Apply for Certification 申请认证的条件

The stipulation of the Certification Contract between the E-UNION Auditing Office and the Organisation applying for certification, which contemplates that certain activities will be carried out by E-UNION and not by the E-UNION Auditing Office, shall take place according to the following procedure:

申请认证的组织和 E-UNION 审核办公室之间认证合同规定，某些活动必须是由 E-UNION 总部 执行而不是 E-UNION 审核办公室，需要按照以下程序执行：

- a. The applicant Organisation submits (on-line via the web-site <https://www.e-union.cn> OR via e-mail) the Application Form duly filled in, thus receiving a quotation in reply. Such quotation is not binding for the applicant Organisation;
申请组织(通过在线网站 <https://www.e-union.cn> 或者电子邮件)提交填好的申请表，然后会收到一份报价。该报价对申请组织不具有约束力。
- b. Along with the quotation, the E-UNION Auditing Office collects the Application Form.
连同报价，E-UNION 审核办公室收集认证申请表。
- c. The applicant Organisation sends back to the E-UNION Auditing Office the documents listed in point b above duly filled in the parts applying to itself and duly undersigned for acceptance, along with proof of payment. Besides being signed by the legal representative, the Application Form shall be signed also by a trade union representative, or else, by an SA8000® Workers Representative. This provision is meant to favour dialogue among interested parties in taking the decision to implement a Social Accountability System and in approving compliance plans that will be put in place by the Organisation. Moreover, a declaration without reserve must be signed by a trade union representative or else, by an SA8000® Workers Representative pertaining the choice of the Organisation to seek certification;
申请组织把填好的文件和签字的文件发回到 E-UNION 审核办公室，连同银行付款的回单。除了由法人代表签署，申请表也必须由工会代表或 SA8000 工人代表签署。该规定意味着与利益相关者就决定执行社会责任体系并认可组织实施方针计划进行沟通。而且，组织寻求认证的同意声明书必须由工会代表或 SA8000 工人代表签字。
- d. Only if the information received is complete will the Organization be given a Certification Contract;
仅当收到完整的信息后才能给予申请组织认证合同。
- e. The E-UNION Auditing Office shall notify the Organisation in writings (by email) that the certification process has been started and that a procedure for lodging claims is available on <https://www.e-union.cn>.
E-UNION 审核办公室必须书面通知组织(邮件)认证过程已经开始并且申请组织可在网页 <https://www.e-union.cn> 上启动投诉。

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7. Certification Process Management 认证过程管理

7.1 General 总则

7.1.1 The initial certification audit SHALL generally be conducted in three stages, as described in Figure 1.
SA8000 初次认证一般划分为下图 1 中所示的三个阶段：

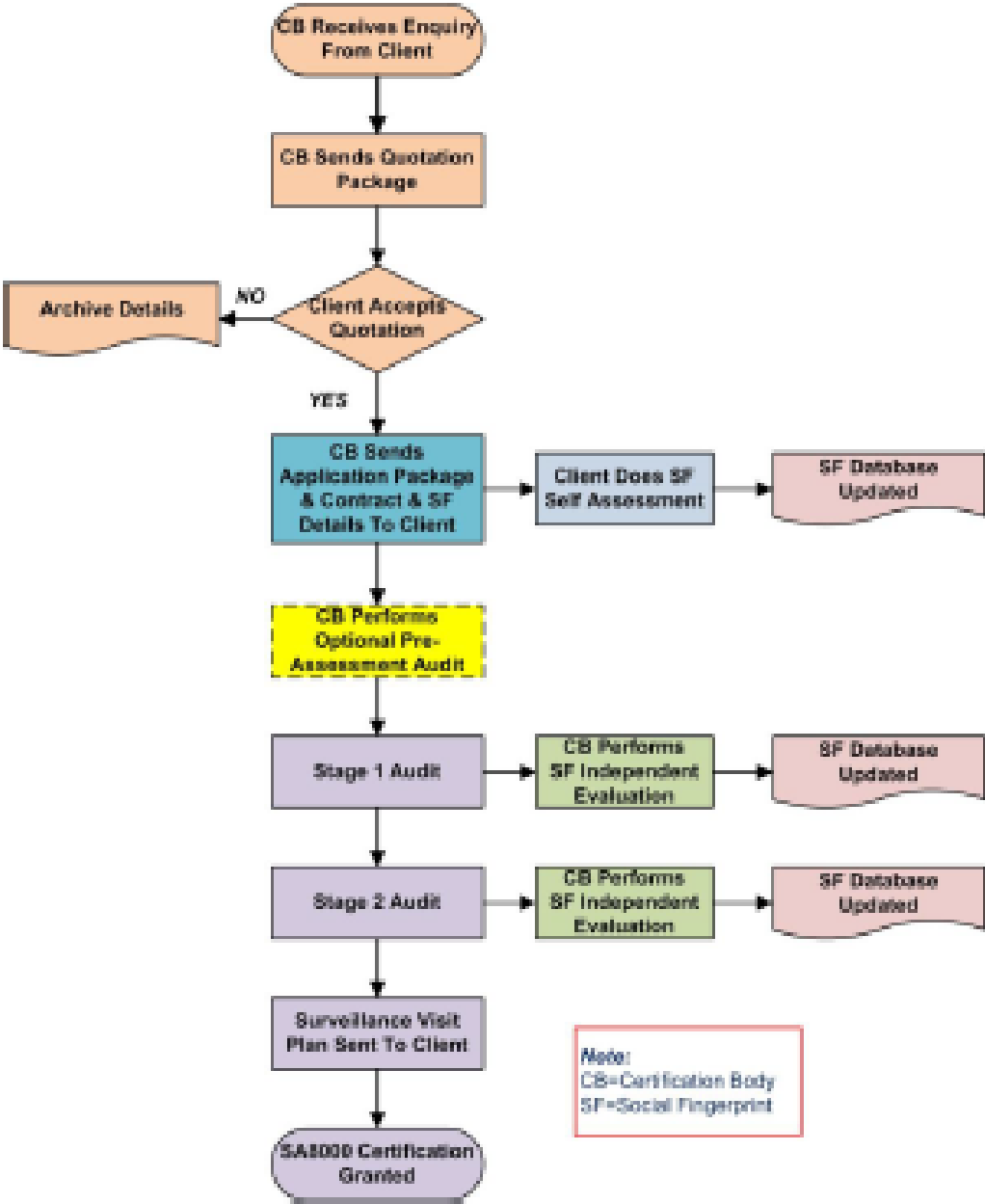


Figure 1 – Initial Audit Process

7.1.2 Audit planning and execution SHALL take into account all personnel both on-site and off-site, including temporary and contract labor and homeworkers.

审核计划和执行应考虑现场和非现场的所有人员，包括临时工、合同工和家庭工人。

- a) E-UNION audit program SHALL address all elements of the standard at each location. Operations of all shifts (crews) covered by the scope of the SA8000 certificate SHALL BE audited during the Stage 2, Recertification and during at least one surveillance audit during the certification cycle.
E-UNION 审核计划应解决每个地点的标准的所有问题。SA8000 证书范围内涵盖的所有轮班(人员)的操作均

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应在第二阶段(重新认证)期间以及认证周期内的至少一次监督审核期间进行审核。

- b) The rounding down to full-time equivalents is not permitted for SA8000 Certification. Every individual SHALL be taken as one person for audit effort planning irrespective of what hours they work per week and whether full or part-time.
SA8000 认证不允许模糊全职。每个人都应被视为审核工作计划中的个人，无论他们每周工作多少小时，无论是全职还是兼职。
- c) If a large number of agency workers or workers-cooperative workers (i.e. >5%) are employed by a company, then the management of the labor agency and/or workers-cooperative SHALL attend the audit and be interviewed by the Audit Team. The labor agency /workers-cooperative management SHALL ensure that human resources, attendance, and remuneration records are available for all their personnel at the time of at least every Stage 2 or Recertification Audit and upon the request of E-UNION.
如果公司雇用大量中介工人或工人合作社工人(即 >5%)，则劳工中介和/或工人合作社的管理层应参加审核并接受审核组的约谈。劳工中介/工人合作社管理层应确保至少在每次第二阶段或重新认证审核时并根据 E-UNION 的要求提供所有人员名单、出勤和薪酬记录。

7.1.3 Stakeholder engagement SHALL be performed as part of the SA8000 certification process. When the audit team determine the calculation of audit days, inclusion of stakeholder engagement in the audit day calculation will be acceptable.

利益相关者的参与应作为 SA8000 认证流程的一部分进行。当审核团队确定审核日的计算时，可以接受将利益相关者参与纳入审核日的计算中。

- a) Stakeholder engagement provides guidance, informed decision-making and a way to engage in meaningful dialogue with those parties with the most knowledge and stake in SA8000 activities. Stakeholder engagement allows auditors to engage with the community prior to the audit to do fact finding and assist in the assessment of the organization. Formal and informal consultations are an effective means of both gathering information on possible problem areas and also encouraging local organizations to monitor an SA8000-certified organization's continual compliance. Such consultations reduce the risk that auditors will overlook a nonconformity, help encourage a constructive feedback loop and build confidence in the reliability of certification.
利益相关者参与提供指导、知情决策以及与 SA8000 活动最了解和利益相关方进行有意义的对话的方式。利益相关者参与允许审核员在审核之前与社区接触，以进行事实调查并协助评估组织。正式和非正式磋商是收集可能存在问题领域信息并鼓励当地组织监控 SA8000 认证组织持续合规情况的有效手段。此类咨询降低了审核员忽视不合格项的风险，有助于鼓励建设性的反馈循环并建立对认证可靠性的信心。
- b) E-UNION SHALL have a documented and implemented process to effectively obtain and maintain information about working conditions regularly gathered from regional interested parties, NGOs, trade unions, community organizations and workers. This information SHALL be used in audit planning and throughout the audit process.
E-UNION 应制定记录并实施的流程，以有效获取和维护定期从区域相关方、非政府组织、工会、社区组织和工人收集的有关工作条件的信息。该信息应用于审核计划和整个审核过程。
- c) The steps in stakeholder engagement SHALL include: defining stakeholders, interacting with stakeholders, performing consultations, developing profiles, and ongoing and regular updates.
利益相关者参与的步骤应包括：定义利益相关者、与利益相关者互动、进行磋商、制定概况以及持续和定期更新。
- d) Stakeholder engagement SHALL be conducted in a common sense approach for auditors to understand common concerns in a given geographic region. At minimum, annual consultation with stakeholders SHALL be conducted, with evidence of information collected.

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利益相关者参与应以常识性方法进行，以便审核员了解特定地理区域的共同关注点。至少应与利益相关者进行年度磋商，并收集信息证据。

- e) Auditors SHALL conduct local intelligence gathering while on-site or in a specific area for audits. This may include checking with the local community in the early morning of the Stage 1 audit and/or in the evening between audit days and at the time of an audit.
审核员应在现场或特定区域进行当地情报收集以进行审核。这可能包括在第一阶段审核的清晨和/或审核日之间和审核时的晚上与当地社区进行核实。
- f) E-UNION SHALL maintain records including notes and minutes from stakeholder consultations and other pre-audit research. Client files SHALL NOT contain a generic boiler plate statement about stakeholder consultation but SHALL include actual recorded evidence of stakeholder consultation.
E-UNION 应保存记录，包括利益相关者磋商和其他预审核研究的笔记和会议记录。客户文件不应包含有关利益相关者咨询的通用样板声明，但应包含利益相关者咨询的实际记录证据。

7.1.4 E-UNION SHALL have documented procedures for selecting and appointing the audit team for each audit, including the requirements and attributes of the audit team leader and the overall competence needed to achieve the objectives of the audit. If there is only one auditor, the auditor shall have the competence to perform the duties of an audit team leader applicable for that audit.

E-UNION 应制定文件化的程序来选择和指定每次审核的审核组，包括审核组组长的要求和组织成员以及实现审核目标所需的整体能力。如果只有一名审核员，该审核员应有能力履行适用于该审核的审核组组长的职责。

7.1.5 In addition to SA8000 certification, there are numerous commercial social accountability /labor and ethics auditor recognition /training /competence programs (mainly applicable to second party Code of Conduct Audits) in the marketplace. If, due to client or other external party demand, E-UNION wishes its SA8000 report to be accepted by a particular party (typically in lieu of that party's own audits) it is the responsibility of E-UNION to ensure that the requirements of that program (including the content of reports and the demonstrated qualifications /competence of auditors utilized) are met in addition to the requirements.

除了 SA8000 认证外，市场上还有众多商业社会责任/劳工与道德审核员认可/培训/能力计划(主要适用于第二方行为准则审核)。如果由于客户或其他外部方的要求，E-UNION 希望其 SA8000 报告被特定方接受(通常代替该方自己的审核)，则 E-UNION 有责任确保除要求外还满足该计划的要求(包括报告的内容和所用审核员所证明的资格/能力)。

7.1.6 SA8000 auditor and allied expert personnel appointed to audit teams, between them, SHALL reflect the totality of competencies, location-specific knowledge, language skills and cultural knowledge required to conduct all SA8000 audits performed by E-UNION (see Procedure 201B for explicit requirements, details, and team composition). These skills SHALL include:

SA8000 审核员和任命为审核团队的联合专家人员应反映进行 E-UNION 执行的所有 SA8000 审核所需的全部能力、特定地点知识、语言技能和文化知识(有关明确要求、详细信息和团队组成，请参阅程序 201B)。这些技能应包括：

- a) knowledge of issues applicable to the location (laws/regulation and other demands/norms applicable to a specific location – including industry rules or norms);
了解适用于该地点的问题(适用于特定地点的法律/法规和其他要求/规范--包括行业规则或规范);
- b) knowledge of applicable language(s)/dialect(s) – written and spoken;
了解适用的语言/方言 --书面和口语;
- c) knowledge of prevailing cultural norm(s) of management and workers - this would include gender (as a subset of culture) and other potential differences (such as caste, immigrant workers and many other broadly or narrowly applicable issues).

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了解管理层和工人的普遍文化规范 -- 这包括性别(作为文化的一个子集)和其他潜在差异(例如种姓、移民工人和许多其他广泛或狭义适用的问题)。

7.1.7 Social Fingerprint (Management System Maturity Declaration) SHALL be fully integrated into the SA8000 audit process.

Social Fingerprint(管理体系成熟度声明)应完全纳入 SA8000 审核流程。

7.1.8 SA8000 certification SHALL ONLY be offered to organizations that can demonstrate that they subject their organization to on-site internal auditing at least on a biennial basis. Formal internal audit reports and findings raised SHALL be available at E-UNION audit of the Client's head office.

SA8000 认证只能提供给能够证明其组织至少每两年接受一次现场内部审核的组织。正式的内部审核报告和提出的调查结果应在 E-UNION 对客户总部的审核中提供。

7.1.9 E-UNION Client's Internal Auditor Team SHALL demonstrate their individual social auditing competency and qualifications. There SHALL be no exceptions to these requirements.

E-UNION 客户的内部审核团队应证明其个人社会审核能力和资格。这些要求不得有任何例外。

7.1.10 The certification cycle is three years, based upon the dates of the initial certification decision. The time interval between initial certification and recertification or between two recertification audits shall not exceed three years from the issue of the certification decision. There SHALL be no gaps before the new certification cycle (recertification) commences.

认证有效期为 3 年，认证有效期自初次认证决定之日起计算。再认证与初次认证以及两次再认证之间间隔不得超过 3 年。两个认证周期之间不应存在时间差。

7.1.11 E-UNION SHALL appoint special person in charge of gathering information about working conditions regularly from HR and social or labor department of the government, trade unions, community organizations, related NGOs and etc. An annual risk assessment for China shall be conducted.

应指定专人负责定期收集相关方信息，包括国家及地方人力资源及社会保障部门、工会、社区、与劳工有关的 NGO 等，并根据所获得的信息对开展活动的国家进行风险分析，每年评估一次。

7.1.12 The entire management system and associated performance elements for SA8000 shall be assessed at every certification (Stage 2 site audit) and recertification. The entirety of the management system shall also be assessed throughout the certification cycle through the use of surveillance audits.

初次二阶段认证及再认证应审核对整个管理体系及所有绩效要素进行审核。监督时，整个周期全覆盖即可。

7.2 Enquiry and Application 问询和申请

7.2.1 E-UNION shall provide certification requirements and related information to clients when they enquiry. Application form shall be filled and submitted with documentation required.

当收到客户关于 SA8000 的询问时，应向其提供有关认证的要求及相关信息。当客户确定提出申请 SA8000 认证后，应填写《SA8000 认证申请表》，连同所要求的文件一并提交至 E-UNION 的市场和销售人员。

7.2.2 Special requirements for SA8000 applicant SA8000 申请人的特殊要求

7.2.2.1 Any organization that applies for SA8000 certification SHALL have been engaged in its stated business for at least 6 months prior to its application for SA8000.

任何 SA8000 认证的申请人在提出申请时，应开展业务至少 6 个月。

7.2.2.2 The organization that is to be certified SHALL have active contracts with its customer(s).

SA8000 申请人应与其顾客协议处于活动状态。

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7.2.2.3 The applicant shall not have a recent or pervasive history of major unaddressed violations in any element of the SA8000 standard for at least six months before Stage 1 audit.

应确保在一阶段审核前 6 个月客户无严重违反 SA8000 标准且未解决的情况。

7.2.2.4 The following activities, regions or organizations are not permitted to SA8000 certification

SA8000 标准认证不适用于以下活动、地区或组织:

7.2.2.5 Maritime Activities, Fishing Workplaces and Offshore Workplaces.

海事活动、渔业作业场所、离岸作业场所。

7.2.2.6 Organizations without active operations [i.e. Shell Companies].

没有具体业务运营的组织, 如控股公司。

7.2.2.7 Multi-site certification across multiple countries SHALL NOT be permitted. Note: Hong Kong, Macau and Taiwan shall be regarded as different countries or regions.

跨境多场所组织。注: 香港、澳门及台湾地区应视作不同的国家或地区。

7.3 Application Review 申请评审

7.3.1 After receiving the Application Form, the CS staff should review the accuracy and completeness of the information. The CS staff should prepare the Quotation Form and send to the Applicant after approval by the Operation Manager. The Quotation signed by the Applicant should be collected and filed. The evidence shall be maintained in the client file to demonstrate that the client organization is still active.

收到完整的《SA8000 认证申请表》及相关资料后, 客服人员进行评审其资料是否完整和准确。客服人员准备《SA8000 认证报价表》后交审核经理批准后发给客户。待收到客户签署同意后予以存档。应保留证明客户处于活动状态的证据。

7.3.2 Prior to accepting a client organization for SA8000 certification, E-UNION shall research, at a minimum, the following: sufficient wage levels for the client location; present or past legal actions against the organization; information about working conditions; language spoken by personnel at the organization and the proportion speaking each; whether or not the client is currently or previously has been certified to SA8000 and if so reviews of those SA8000 audit and non-conformity reports.; whether or not the client organization has had audits against other social codes of conduct and if so, reviews of those audit reports; grievances, legal proceedings and other complaints for a period of time of at least six months before the Stage 1 audit. If any violation of Clause 6.2.2/6.2.3 in this Procedure, E-UNION may choose to refuse violations.

受理申请前, 公司客服人员需要收集有关的相关方信息、当地工资水平、目前或过去与组织有关的法律诉讼、工作条件、使用的语言、是否经过 SA8000 认证、是否经过其他社会行为准则审核、一阶段前至少 6 个月的申诉、诉讼、投诉等。任何一项违反本程序中上述 6.2.2/6.2.3 条款的内容, E-UNION 可以选择拒绝申请。

7.3.3 After the successful review of all these Application documents, Applicant's Profile, Quotation documents, and other related supporting documents such as Questionnaire by the SA8000 Certification Manager, a formal SA8000 Certification Contract or Agreement shall be duly signed by the Applicant and the E-UNION's Representative. Any conflicts and questions shall be clarified and solved prior the SA8000 Certification Process. SA8000 认证经理在完成审查上述的申请文件、申请人背景资料、报价表以及其它相关的支持性文件如: 调查表后, 应准备一份书面的正式 SA8000 认证合同或协议, 由申请组织和 E-UNION 双方代表签署。任何争议或疑问均应在正式开始 SA8000 认证流程之前予以澄清或解决。

7.4 Certification Scope 认证范围

7.4.1 The geographic boundaries of the scope, nature of the of the organization in terms of the products and/or services, as well as its physical address(es), including multi-sites, SHALL be clearly defined; If a multi-site certificate is involved then all addresses must be defined on the certificate.

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认证范围应清晰界定客户的物理边界、地址及产品和/或服务；如涉及多场所，则所有场所都应体现。

7.4.2 The scope of a single SA8000 certificate SHALL cover all processes, properties and operations of a continuous process or premises, including remote sites and home workers operating under a common management system. For example, in a situation with several assembly lines, all must be audited for certification. Similarly, in a continuous process of fabrication and finishing and packaging, the entire process must be compliant in order for certification to be granted.

单一认证证书应覆盖一个连续过程或场所的所有过程、地点及经营活动，包括同一个管理体系下的远程场所及家庭工。如：当有多个装配线时，须对所有装配线进行审核。类似的，对于一个制造、加工和包装连续的过程，整个过程都要符合要求。

7.4.3 The scope shall include the entire legal entity's structure and processes. In cases where a subcontractor is used by the certified organization to deliver parts of its activities, the scope statement shall clearly specify that some processes are delivered by subcontractors and those parts are excluded from the scope. On-site and off-site exclusive suppliers SHALL be treated as part of the organization's operation and included in the scope of the audit and audit day calculation.

认证范围应包括整个组织的结构和过程。如果活动存在外包，应注明哪些部分活动是分包，且分包不包括在认证范围内。但如果分包商是独家供应的话，应视作组织的一部分，予以计算审核人日并进行审核。

7.4.4 E-UNION shall certify an entire organization and SHALL NOT certify personnel in only one department or a process/product of a multi-department organization and not the other(s).

认证应覆盖整个组织，不得只认证某个部门或某个流程/产品。

7.4.5 Suppliers and contractors operating on site at the certified location should be treated as part of the company's operation as they are a captive supplier.

在组织现场工作的供应商/分包商也应包括在认证范围内。

7.4.6 Employment agencies SHALL include their contracted workers in their scope of certification.

招聘代理应将其合同工包括在内。

7.4.7 Scopes accepted for ISO9001, ISO14001, ISO45001 or other ISO system certifications may not be appropriate or acceptable as a Social Accountability Management System Scope.

ISO 系列国际标准的认证审核范围，可能并不适合或被 SA8000 认证所接受。

7.4.8 The SA8000 stage 1 audit SHALL identify all parts and boundaries of the organization, so that E-UNION understands the structure of the organization to be able to determine the scope of the certificate. E-UNION SHALL continuously review the size and scope of the organization at each semi-announced surveillance audit and follow-up review to ensure proper audit days throughout the certification and surveillance cycle. The CB SHALL maintain appropriate audit records of operational and (where appropriate) geographic boundaries of the scope of the organization and any changes thereto. E-UNION SHALL, where appropriate, record justification of the chosen scope for review by those responsible for the certification decision.

SA8000 第 1 阶段审核应识别公司的所有部分和边界，以便 E-UNION 了解公司的结构，从而能够确定证书的范围。E-UNION 应在每次突击审核和后续跟进审核中持续审查公司的规模和范围，以确保整个认证和监督周期的审核日数正确。CB 应维护组织范围的运营和(如适用)地理边界及其任何变更的适当审核记录。E-UNION 应在适当的情况下记录所选范围的理由，以供负责认证决定的人员进行审查。

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7.4.9 The scope of certification SHALL be clearly identified on the E-UNION's SA8000 certificate, which SHALL include the nature of the business in terms of the products and/or services the company provides as well as the physical address(es) of the business. If the certificate refers to a multi-site organization, then all addresses SHALL be defined on the certificate and its annexes, be publicly available, and be reported to SAAS.

认证范围应在 E-UNION 的 SA8000 证书上明确标识，其中应包括公司提供的产品和服务方面的业务性质以及业务的实际地址。如果证书涉及多场所公司，则所有地址均应在证书及其附件中定义、公开，并向 SAAS 报告。

a) E-UNION SHALL ensure that the scope of a single SA8000 certificate covers all processes, properties and operations related to the organization. For example, if an organization has several assembly lines and products, all must be incorporated within the scope certification.

E-UNION 应确保单个 SA8000 证书的范围涵盖与组织相关的所有流程、属性和操作。例如，如果一个组织拥有多条装配线和产品，则所有这些都必须纳入认证范围内。

b) E-UNION SHALL ensure that all components of typically contiguous (closely related) processes, and the entities performing them, are appropriately understood and considered when defining an SA8000 certification scope and when planning the associated certification cycle and audit-effort required.

E-UNION 应确保在定义 SA8000 认证范围以及规划相关认证周期和所需审核工作时，适当理解和考虑通常连续（密切相关）流程的所有组成部分以及执行这些流程的实体。

■ Typically, contiguous processes SHALL be truthfully and unambiguously represented within an organization's SA8000 certification scope. For example, the following SHALL be considered as "typically contiguous processes": 通常，连续过程应在组织的 SA8000 认证范围内真实且明确地表示。例如，以下应被视为“典型的连续过程”：

- 1) Agricultural harvesting, sorting and packing. 农产品收割、分选、包装
- 2) Hardware design, fabrication, finishing and packing. 硬件设计、制造、精加工和包装
- 3) Garment cutting, sewing, washing/dyeing, finishing, packing, distribution. 服装裁剪、缝纫、洗涤/染色、整理、包装、分销

■ If any components of such "typically contiguous processes" are outsourced, the company shall be required to: 如果此类“连续过程”的任何组件被外包，公司应被要求：

EITHER 要么

- demonstrate detailed and effective management control and monitoring of all SA8000-related aspects those outsourced process components, 展示对外包流程组件的所有 SA8000 相关方面进行详细且有效的管理控制和监控

OR 或者

- treat the outsourced process component(s) under its SA8000 subcontractor processes, in which case company SHALL explicitly state the exclusion of such typically contiguous process component(s) from its certification scope. 在其 SA8000 分包商流程下对待外包流程组件，在这种情况下，公司应明确声明将此类通常连续的流程组件排除在其认证范围之外。

c) An organization's certification scope SHALL include the entire legal entity's structure and processes. In cases

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where an off-site subcontractor is used by the certified organization to deliver parts of its activities, the scope statement shall clearly specify that some processes are delivered by subcontractors and those parts are excluded from the scope. Suppliers operating on-site at the certified location SHALL be treated as part of the company's operation as they are a captive supplier. As such their workers are under the umbrella of the certification and SHALL be included as part of the oversight process. They would also be included the calculation of the number of workers at the certified company.

组织的认证范围应包括整个法人实体的组织架构和流程。如果获证组织使用分包商，范围说明书应明确规定某些过程由分包商交付，而这些部分不包括在范围之外。在认证地点现场运营的供应商应被视为公司运营的一部分，因为他们是专属供应商。因此，他们的工人受到认证的保护，并应纳入监督过程的一部分。它们还将包括在认证公司的工人人数的计算中。

d) Public information regarding the certification of an organization SHALL be clear and understandable and specific as it relates to the scope of the certificate. This public information by the SA8000 client SHALL be audited by E-UNION at every SA8000 audit and will be subject to review by the SAAS auditor during a witness audit and during the review of client packages during each office audit.

有关组织认证的公共信息应清晰易懂且具体，因为它与证书的范围相关。SA8000 客户的公开信息应在每次 SA8000 审核时由 E-UNION 进行审核，并在见证审核期间和每次办公室审核期间对客户包的审查期间接受 SAAS 审核员的审查。

e) E-UNION SHALL certify an entire organization and SHALL NOT certify personnel in only one department of a multi-department organization and not the other(s). Departments are interrelated and personnel might move from one department to another.

E-UNION 应认证整个组织，不得仅认证多部门组织中一个部门的人员，而不认证其他部门的人员。部门之间相互关联，人员可能从一个部门流动到另一个部门。

f) On-site and off-site exclusive suppliers SHALL be treated as part of the organization's operation and included in the scope of the audit and audit day calculation.

现场和场外独家供应商应被视为组织运营的一部分，并纳入审核范围和审核日计算范围。

g) With respect to SA8000 certification, working conditions for all personnel working on behalf of the organization seeking certification (including those employed by supplier organizations) are required to also comply with the requirements of SA8000. This includes ancillary workers such as security staff, labour agency temporary personnel, catering staff, cleaning staff, etc.

对于 SA8000 认证，申请认证的公司代表、工作人员(包括供应商组织雇用的人员)的工作条件也必须符合 SA8000 的要求。这包括保安人员、劳务中介临时人员、餐饮人员、清洁人员等辅助人员。

h) Employment agencies and workers cooperatives seeking certification SHALL include their contracted workers in their scope of certification. All workers, irrespective of their working hours, SHALL be counted as a worker and not added to others to make a 'Full Time Equivalent'.

寻求认证的就业组织和工人合作社应将其合同工纳入其认证范围。所有工人，无论工作时间长短，均应被视为工人，不得添加到其他工人中以形成“全职工作量”。

i) Companies and E-UNION that wish to make a strong case for certifying less than the entire organization SHALL comply with the following rules and restrictions:

希望对非整个组织进行有力证明的公司和 E-UNION 应遵守以下规则和限制：

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■ Top management of the organization SHALL be included in the scope, regardless of how the scope is restricted.

无论范围如何限制，组织的最高管理层应包含在范围内。

■ The boundaries of the scope shall be clearly defined.

范围的边界应明确界定。

■ Any exclusions shall be clearly defined (to the extent that potential customer or other interested party might assume their inclusion if not explicitly excluded).

任何排除项都应明确定义(如果没有明确排除，潜在客户或其他利益相关方可能会认为其包含在内)。

■ The organization shall not limit certification to a unique department, or operation within the company, e.g., human resources or purchasing.

组织不应将认证限制于公司内部的特定部门或运营，例如人力资源或采购。

■ Where deemed appropriate, E-UNION and its client may agree a plan to expand the organization's SA8000 certification scope over time. In such cases, the implementation of such a plan would become a condition of continued certification.

在适当的情况下，E-UNION 及其客户可以商定一项计划，随着时间的推移扩大组织的 SA8000 认证范围。在这种情况下，实施此类计划将成为继续认证的条件。

7.5 Audit Program 审核方案

7.5.1 General Requirements 总要求

7.5.1.1 Audit program managers should according to the results of the application review, following the process requirements of SAAS Procedure 200 and this Procedure. The Application Form and other information of the Applicant should deliver to audit team to confirm on the site, adjust the audit program according to the result of confirm in the field if necessary.

审核方案管理人员应根据申请评审的结果，按照 SAAS Procedure 200 和本程序文件的要求进行审核方案策划。该《SA8000 认证申请表》和其它工厂信息应传递到审核组，由审核组在现场确认，必要时根据审核组在现场确认的结果调整审核方案。

7.5.1.2 Based on the identified customer specific circumstance from application review, analysis the capacity of audit and certification.

根据申请评审时已识别的特定的客户的具体情况分析对其实施审核和认证所需的能力，委派具备相应能力的审核组实施审核。

7.5.1.3 The audit program SHALL address all elements of the standard at each location and assess all shifts (crews) covered by the scope of the SA8000 certificate.

审核方案应考虑每个地点和班次以及 SA8000 的所有要求。

7.5.1.4 The certification cycle is three years, which is based on the dates of the initial certification decision.

认证周期为三年，自初次认证决定起计算。

7.5.1.5 An Audit Program shall be documented for each certification to track the 3-year certification cycle and subsequent cycles and audit activities, including initial certification, surveillance, re-certification and special audits.

应为每项认证制定书面的审核方案，用以跟踪三年认证周期及后续周期，同时涵盖初次认证、监督审核、再认

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证及专项审核在内的各项审核活动。

7.5.1.6 When preparing the Audit Program, the existing CoC audits, Management System Certifications, and other audits of the client should be considered.

在准备审核方案时，客户工厂现有的 COC 审核、管理体系认证、以及其它的审核都应考虑在内。

7.5.2 Initial Certification Audit 初次审核

Initial certification includes Stage 1 and Stage 2 audits. Pre-assessment audit may be performed at the request of the client, however, the time spent on pre-assessment audit shall not be regarded as part of Stage 1 and/or Stage 2 audits. The pre-assessment SHALL be formally documented in an audit report and SHALL consist of non-binding findings with no recommended solutions.

初次认证审核分为第一阶段和第二阶段。应客户的要求，可以在一阶段审核之前安排一次预审核，预审核时间并不作为审核的一部分。预审核应形成报告，包括审核发现，但审核发现不具有约束性，也不应提供解决建议。

7.5.3 Auditor Days- Single Site 审核时间(单一场所)

7.5.3.1 The overall audit time expressed in auditor days taken to audit an organization against the requirements of the SA8000 Standard includes time to ensure adequate stakeholder engagement, remote auditing activities (including planning of the audit, review of the preparatory documents, writing the report and managing the general aspects of the job) as well as performing the on-site audit. Travelling time is not included.

审核时间包括完成以下活动所需的全部时间，包括编制审核计划、必要的非现场员工访谈、文件评审、现场审核、编制报告以及一般管理等所需的时间。该时间不包括路途差旅时间。

7.5.3.2 Audit time should be calculated according to the complexity of the industry, risk rank, number of employees and the necessary off-site worker interviews. The minimum audit time is on table1. There should be reasonable grounds if the audit time is adjusted, and the grounds should record.

应根据行业复杂程度、风险等级、员工数量、必要的非现场员工访谈等因素计算审核时间，尤其应注意现场审核时间的计算。表 1 规定了初次审核的最低审核时间，并考虑其所列的审核时间调整因素。如需调整，应有合理的理由，并在审核方案策划时予以记录。

Table 1- Standard Audit Days /表1-标准审核时间表			
Column 1	Column 2	Column 3	Column 4
Number Of Employees 人数	Stage 1 Audit & Management System Maturity Declaration Evaluation Review & Stage 2 Preparation 一阶段审核&管理体系成熟度声明评审 &二阶段准备	Stage 2 Audit & Management System Maturity Declaration Evaluation Review & Reporting Audit Days 二阶段审核&管理体系成熟度声明评 价&审核报告	Total Audit Days 总人天数
1-25	1.5	2	3.5
26-100	2	3	5
101-250	2	4	6
251-500	2	6	8
501-800	2	7	9
801-1200	2	9	11
1201-2000	2	11	13
2001-3000	2	12	14
3001-6000	2	13	15
6001-10,000	3	14	17
10,001-15,000	3	15	18
15,001-20,000	3	16	19
注 1: 二阶段准备包括调研、审核策划、生活工资计算、相关方咨询等。 Note1: Stage 2 preparation time includes research, audit Planning, living wage calculations and stakeholder consultation. 注 2: 根据本文件中的审计时间表，对规定的审计时间可能会有半天发生。因此，允许进行半天的审核。			

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Note 2: Fractionalization of prescribed audit days resulting in half days may occur as per the audit day tables found in this document. As a result, half day audits are allowed.

Table 1- Standard AudiTable 1- Standard Audit Days /表 1-标准审核时间表

Stage 1 - Standard Audit Effort				
Column 1	Column 2	Column 3	Column 4	Column 5
Number Of Employees	Total Minimum Stage 1 Audit & Social Fingerprint Review & Stage 2 Preparation - Days [Hours]	Approximate Time Spent On Social Fingerprint IE Days [Hours]	Minimum Stage 1 On Site Audit Effort Days Days [Hours]	Average Stage 1 Reporting Days Days [Hours]
1-25	1.5[12]	0.25[2]	1[8]	0.25[2]
26-100	2[16]	0.25[2]	1.4[11]	0.35[3]
101-250	2[16]	0.25[2]	1.4[11]	0.35[3]
251-500	2[16]	0.25[2]	1.4[11]	0.35[3]
501-800	2[16]	0.25[2]	1.4[11]	0.35[3]
801-1200	2[16]	0.25[2]	1.4[11]	0.35[3]
1201-2000	2[16]	0.25[2]	1.4[11]	0.35[3]
2001-3000	2[16]	0.25[2]	1.4[11]	0.35[3]
3001-6000	2[16]	0.25[2]	1.4[11]	0.35[3]
6001-10,000	3[24]	0.25[2]	2.2[18]	0.55[4]
10,001-15,000	3[24]	0.25[2]	2.2[18]	0.55[4]
15,001-20,000	3[24]	0.25[2]	2.2[18]	0.55[4]
Stage 2 - Standard Audit Effort				
Column 1	Column 2	Column 3	Column 4	Column 5
Number Of Employees	Total Minimum Stage 2 Audit & Social Fingerprint Review & Stage 2 Preparation - Days [Hours]	Approximate Time Spent On Social Fingerprint IE Days [Hours]	Minimum Stage 2 On Site Audit Effort Days Days [Hours]	Average Stage 2 Reporting Days Days [Hours]
1-25	2[16]	0.25[2]	1[8]	0.75[6]
26-100	3[24]	0.25[2]	2[16]	0.75[6]
101-250	4[32]	0.25[2]	3[24]	0.75[6]
251-500	6[48]	0.25[2]	5[40]	0.75[6]
501-800	7[56]	0.25[2]	5.75[46]	1[8]
801-1200	9[72]	0.25[2]	7.75[62]	1[8]
1201-2000	11[88]	0.25[2]	9.75[78]	1[8]
2001-3000	12[96]	0.25[2]	10.75[86]	1[8]
3001-6000	13[104]	0.25[2]	11.75[94]	1[8]
6001-10,000	14[112]	0.25[2]	12.25[98]	1.5[12]
10,001-15,000	15[120]	0.25[2]	13.25[106]	1.5[12]
15,001-20,000	16[128]	0.25[2]	14.25[114]	1.5[12]

Table 14 - Single Site Initial Certification Audit Effort in Days

Table 2- Standard Audit Days in Detail /表 2-标准审核时间表-分项

7.5.3.3 Audit Effort SHALL take into account all personnel both on-site and off-site, including seasonal, part-time, and temporary workers, indirect workers, and subcontractors and on-site suppliers and homeworkers. The rounding down to full-time equivalents is not permitted for SA8000 Certification. Every individual SHALL be taken as one person for audit effort planning irrespective of what hours they work per week and whether full or part-time. Calculation of personnel SHALL be based on totals during the high season.

计算审核时间时，应考虑现场和非现场的所有人员，包括季节工、兼职工、临时工、非直接雇佣工人、分包商人员、现场的供应商人员及家庭工。非全职员工人数不得折算为全职员工人数；人数应以高峰季节人员总数计算。

7.5.3.4 Audit time adjustment factors include the following aspects 审核时间调整因素包含以下几个方面：

- For the first time audit in a new country, the audit time should be added additional 20% based on Table 1. Before process the SA8000 application in a new country, expanding scope application should be submitted to SAAS.
- 对于在一个新的国家第一次进行审核时，应在表 1 的基础上额外增加 20%的审核时间。受理新国家的 SA8000 申请前，应先向 SAAS 申请扩大范围。

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- If translate is required during audit, audit time should be appropriate added of Table1, for example, plus 25%.

若审核过程中使用了翻译，审核时间应在表 1 中审核时间的基础上适当增加，例如增加 25%。

7.5.3.5 Surveillance audit time is based on initial audit stage 2, if there are significant changes to the number of employees, the audit time should be recalculated. Review contract to confirm the number of employee information at least 4 weeks before audit, change audit days if necessary. See Table 3 for on-site surveillance time (Minimum).

监督审核时间在初次审核二阶段的基础上而来，如果客户人数发生重大变更，则应重新计算审核人天数。应当至少提前四周(非通知审核除外)进行合同评审以确保理解客户人数变更信息，必要时对审核人日进行调整。表 3 提供了单场所年度监督表(最少)。

Table 3 - Single Site Annual Surveillance (Minimum) 表 3 - 单一场所年度监督(最少)				
Column 1	Column 2	Column 3	Column 4	Column 5
Number Of Employees 员工人数	*Annual Surveillance Effort Excluding on Site Reporting 年度监督审核人天,不包括现场报告	Annual Surveillance Audit Reporting Time 年度监督审核报告人天	*Follow-Up Review 文件审核	Total Annual Surveillance Audit Effort (i.e Column 2 + Column 3+ Column4) 总年度监督审核人日
1-25	2	0.5	0.25	2.75
26-100	2	0.5	0.25	2.75
101-250	2	0.5	0.25	2.75
251-500	3	0.5	0.25	3.75
501-800	4	0.5	0.25	3.75
801-1200	4	0.75	0.25	5
1201-2000	5	0.75	0.25	6
2001-3000	5	0.75	0.25	6
3001-6000	5	0.75	0.25	6
6001-10,000	6	1	0.25	7.25
10,001-15,000	6	1	0.25	7.25
15,001-20,000	7	1	0.25	8.25
Note: *Includes 0.25 days Management System Maturity Declaration Evaluation. 注: 包括 0.25 人天管理体系成熟度声明评价。				

7.5.4 Shifts 班次

7.5.4.1 The initial certification (Stage 2) and recertification audits SHALL include the auditing of all shifts (crews). In addition to the Stage 2 audit, all shifts (crews) SHALL be seen at least once throughout the certification cycle through the use of surveillance audits. Audits of night shifts SHALL include a focus on worker interviews and health and safety issues. To enable an efficient audit at a site with multiple shifts, the auditor may shorten the daytime hours in an audit in order to perform the remaining hours for the audit during the night shift. The auditor SHALL NOT be required to audit eight hours during the day, and also audit during the night shift.

对于倒班情况，初审二阶段及再认证审核应覆盖所有班次。在整个认证周期中所有班次应通过监督审核至少经过一次审核。夜班审核应包括员工访谈及健康安全问题。安排倒班的审核时，审核员可以缩短白天的审核时间，剩余时间进行夜班审核。审核员不应被要求白天审核 8 小时再加上夜班审核。表 4 给出了不同班次情况下的审核时间安排。

Shift Type 班次	Nominal Working Hours 名义工作时间	When To Audit 审核时间
Morning	06:00 to 14:00	During Normal Audit Day Of 09:00-17:00
Afternoon	14:00 to 22:00	During Shortened Audit Day & 3 Hours of 19:00-22:00
Night	22:00 to 06:00	During Shortened Day & 3 Hours of 00:00-03:00
Twilight	17:00 to 21:00	During Shortened Audit Day & 3 Hours of 18:00-21:00

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Day 1	06:00-16:00	During Normal Audit Day Of 09:00-17:00
Day 2	08:00-18:00	During Normal Audit Day Of 09:00-17:00
Day 3	09:00-17:00	During Normal Audit Day Of 09:00-17:00

Table 4 – Mandatory Shift Pattern Audit Effort 表 4 不同班次审核时间安排表

7.5.4.2 Table 4 indicates the time of day and audit effort when at least one member of the audit team SHALL audit the appropriate shift. Audits of night shifts SHALL mainly focus on worker interviews and health and safety issues. A minimum of 1 hour SHALL be spent performing a shift audit.

表 4 指出了审核组中至少一名成员应审核相应班次的时间和审核工作量。夜班审核应主要关注工人访谈以及健康和安全问题。应至少花费 1 小时进行轮班审核。

7.5.4.3 The basis of this table is to permit the audit day to be split to ensure that night and other shifts are audited at the appropriate time when problems if they exist might occur i.e. poor lighting levels; lack of access to first aid and medical assistance; lack of a fully functioning emergency response team; workers locked into work areas or dormitories.

该表的基础是允许将审核日分开，以确保在可能出现问题(如果存在)(即照明水平不佳)时，在适当的时间审核夜班和其他班次；无法获得急救和医疗援助；缺乏功能齐全的应急响应团队；工人被锁在工作区或宿舍。

7.5.5 Multiple-Site Certification 多场所认证

Appropriate requirements from SAAS Procedure 200 and the following apply.

执行 SAAS Procedure 200 有关适用的要求及以下要求。

7.5.5.1 General 总则

7.5.5.1.1 All sites that are to be included in the scope of a multi-site certificate SHALL be visited during the Stage 2 and Recertification audits and subsequently visited at least once during the 3-year certification cycle.

认证范围内的所有场所，二阶段审核和再认证审核必须审核，随后三年认证周期内至少审核一次。

7.5.5.1.2 Within the SA8000 system, the scope of SA8000 certificates can be divided into three sector types, each requiring a specific approach for multi-site auditing. These are 1) Manufacturing, 2) Service, 3) Farms and Plantations.

在 SA8000 体系中，证书范围可以分为以下三类：1)制造业，2)服务业，3)农场及种植业，其中每一类对多场所审核都有特定的方法要求。

7.5.5.1.3 All of the sites within the scope of the certificate shall be listed in the *Matrix of Multi-sites*, the locations, the schedule of auditing those sites and the plan to audit the sites as well as a record of all the nonconformities raised at each site. Development of this matrix SHALL include a risk analysis for assigning sampling of locations and number of days.

针对多场所认证应填写《多场所清单矩阵表》，列出认证范围内所有场所、位置、审核安排、不符合记录，并进行风险分析以指定抽样场所及人数。

7.5.5.2 Application of SA8000 Multiple-Site Certification 多场所认证应用条件

7.5.5.2.1 Multi-site certification to SA8000 SHALL only be offered if there is a centralized management system responsible for functions pertinent to specific SA8000 criteria.

组织应具有集中的管理体系负责与 SA8000 有关的功能。

7.5.5.2.2 The organization SHALL have one designated and formally nominated SA8000 management representative and deputy at the organization headquarters for the whole group of sites, as well as local management representatives at the additional sites, and the following SA8000 requirements SHALL be **MANAGED CENTRALLY** at a designated organization headquarters. The following activities SHALL be performed at the nominated Head Office:

组织应在指定的总部具有一个正式指定的 SA8000 总管理者代表负责所有的场所，各个场所具有自己的管理者

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代表，且总部集中管理以下要求和活动：

- a) Authorization and Control of the SA8000 Management System Documentation; SA8000 管理体系文件的授权和控制;
- b) Evaluation and control of corrective actions, including root cause analysis, correction and preventive action; 纠正措施包括根本原因分析、纠正和预防措施的评价和控制;
- c) Centralized Management Review that addresses all sites; 覆盖所有场所的集中的管理评审;
- d) Centralized Hazard Analysis and Risk Assessment activities; 集中的危害分析和风险评估活动;
- e) Centralized internal audit planning, delivery and evaluation of internal audit results. 集中的内部审核策划、实施和结果评价;
- f) Control of suppliers; 供应商控制;
- g) Centralized management systems addressing HR function; 集中的人力资源管理体系;
- h) Identification and management of training needs. 培训需求的识别和管理。

7.5.5.2.3 The organization SHALL conduct internal audits of ALL sites, at minimum annually. The results of these internal audits SHALL be available for review by the CB during the headquarters audit.
组织应至少每年进行一次覆盖所有场所的内部审核，内部审核结果应在总部审核时能够提供。

7.5.5.3 Multi-site Stage 2 Audit Effort – Head Office and Regional Office Audit All Sectors
多场所二阶段审核时间-总部和区域办公室-适用于所有行业

7.5.5.3.1 The organization’s head office and regional offices Stage 2 initial certification audit SHALL be performed as normal and fully in line with the requirements of Single Site Initial Certification Audit Effort.
组织的总部办公室和区域办公室二阶段应按照单场所二阶段审核人日计算。

7.5.5.4 Multi-site Stage 2 Audit Effort for Sites – Manufacturing Sector and Plantations
多场所二阶段审核时间-场所-适用于制造业及种植业

7.5.5.4.1 Every site SHALL be visited during the Stage 2 audit but some in a limited manner. The number of sites subject to a full audit are indicated in Table 5 Column 2. The number of sites subject to a limited audit are indicated in Table 5 Column 3.
二阶段每个场所都要审核，但部分场所可以采取有限审核的方式。需要进行全面审核的场所数量见表 5 第二栏，需要进行有限审核的场所数量见表 5 第三栏。

Column 1	Column 2	Column 3
Number Of Sites 场所数量	Full Audit 全面审核场所数量	Limited Scope Audit 有限审核场所数量
1	1	0
2	2	0
3	3	0
4	2	2
5	2	3
6	2	4
7	3	4
8	3	5
9	3	6
10	3	7

表 5 制造业&种植业多场所认证--全面审核&有限审核分布表
Table 5 - Multi-site Manufacturing Sites Full & Limited Audit Effort

7.5.5.4.2 For sites requiring a full audit, the number of audit days SHALL be calculated separately per site based on the number of personnel per site as described in Table 1 for each site. The only exception to this requirement

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is for sites that are less than 5KM apart, in which case the number of employees may be added together (clubbed) for audit planning purposes.

对于需要进行全面审核的场所，根据每个场所的人数单独计算审核人日，按照表 1 进行。例外情况：如果两个场所相距在 5KM 以内，可以将人数合并计算进行策划。

7.5.5.4.3 For sites requiring a limited audit, the number of audit days SHALL be calculated separately per site based on the number of personnel per site as described Table 5 for each site. The only exception to this requirement is for sites that are less than 5KM apart, in which case the number of employees may be added together (clubbed) for audit planning purposes.

对于需要进行有限审核的场所，根据每个场所的人数单独计算审核人日，按照下表 6 计算。例外情况：如果两个场所相距在 5KM 以内，可以将人数合并计算进行策划。

多场所组织 -- 每个场所二阶段审核人日 Multisite Companies - Stage 2 Site Audit - Days Per Site			
Number Of Workers 工人数量	Audit Days Required 所需审核人日	Number Of Workers 工人数量	Audit Days Required 所需审核人日
1-25	1	1201-2000	2.5
26-100	1	2001-3000	2.5
101-250	1.5	3001-6000	2.5
251-500	1.5	6001-10,000	3
多场所组织--每个场所二阶段审核人日 Multisite Companies - Stage 2 Site Audit - Days Per Site			
501-800	2	10,001-15,000	3
801-1200	2	15,001-20,000	3.5

表 6 制造业&种植业多场所有限审核人日表

Table 6 -Multi-site Manufacturing Sites Limited Audit Effort

7.5.5.4.4 The limited audits SHALL be of limited scope as and focus on health and safety, worker interviews and worker environment.

有限审核应关注健康安全、工人访谈以及工人环境。

7.5.5.4.5 For more than 10 sites, the number of full audit sites SHALL be the rounded square root of the number of all sites. The number of limited audit sites = the number of all sites –the number of full audit sites.

如果组织场所多余 10 个，需要进行全面审核的场所数量为总场所数量的平方根，计算结果向上取整，需要进行有限审核的场所数量为总场所数量减去全面审核场所数量。

7.5.5.5 Multi-site Stage 2 Audit Effort for Sites – Service Sector

多场所二阶段审核时间-场所-适用于服务行业

7.5.5.5.1 Every Regional Office/Site SHALL be visited during the Stage 2 audit but some in a limited manner. The number of sites subject to a full audit are indicated Table 7 Column 2. The number of sites subject to a limited audit are indicated in Table 8 Column 3.

二阶段每一个区域办公室/场所都应进行审核，但部分可以采取有限审核的方式。需要进行全面审核的场所数量见表 7 第二栏，需要进行有限审核的场所数量见表 8 第三栏。

Column 1 Number Of Sites 场所数量	Column 2 Full Audit 全面审核场所数量	Column 3 Limited Scope Audit 有限审核场所数量
1	1	0
2	2	0
3	3	0
4	2	2
5	2	3

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6	2	4
7	2	5
8	2	6
9	2	7
10	2	8

表 7 服务业多场所认证--全面审核&有限审核分布表
Table7- Multi-site Service Sector Sites Full & Limited Audit Effort

7.5.5.5.2 For sites requiring a full audit, the number of audit days SHALL be calculated separately per site based on the number of personnel per site as described in Table 1 for each site. The only exception to this requirement is for sites that are less than 5km apart, in which case the number of employees may be added together (clubbed) for audit planning purposes.

对于需要进行全面审核的场所，根据每个场所的人数单独计算审核人日，按照表 1 进行。例外情况：如果两个场所相距在 5KM 以内，可以将人天数合并计算进行策划。

7.5.5.5.3 For sites requiring a limited audit, the number of audit days SHALL be calculated separately per site based on the number of personnel per site as described Table 8 for each site. The only exception to this requirement is for sites that are less than 5km apart, in which case the number of employees may be added together (clubbed) for audit planning purposes.

对于需要进行有限审核的场所，根据每个场所的人数单独计算审核人日，按照表 8 计算。例外情况：如果两个场所相距在 5KM 以内，可以将人天数合并计算进行策划。

多场所组织--有限审核每个场所二阶段审核人日 Multisite Companies - Stage 2 Site Audit - Days Per Site			
Number Of Workers 工人数量	Audit Days Required 所需审核人日	Number Of Workers 工人数量	Audit Days Required 所需审核人日
1-25	1	1201-2000	2.5
26-100	1	2001-3000	2.5
101-250	1.5	3001-6000	2.5
251-500	1.5	6001-10,000	3
501-800	2	10,001-15,000	3
801-1200	2	15,001-20,000	3.5

表 8 服务业多场所有限审核人日表
Table 8 - Multi-site Service Sector Sites Limited Audit Effort

7.5.5.5.4 The limited audits SHALL be of limited scope as and focus on health and safety, worker interviews and worker environment.

有限审核应关注健康安全、工人访谈以及工人环境。

7.5.5.5.5 For more than 10 sites, the number of full audit sites SHALL be the rounded square root of the number of all sites. The number of limited audit sites = the number of all sites –the number of full audit sites.

如果组织场所多余 10 个，需要进行全面审核的场所数量为总场所数量的平方根，计算结果向上取整，需要进行有限审核的场所数量为总场所数量减去全面审核场所数量。

7.5.5.5.6 During the Stage 2 Audit, at least 2% or 2 (whichever is the larger value) of work locations [premises not owned by the CB Client but at which work is performed by their workers] SHALL be audited per regional office. The audit SHALL be of 0.5 days minimum.

对于组织工人工作所在地场所不是客户所拥有的，二阶段审核时，每个区域办公室至少选取 2%或 2 个(取大者)上述工作地点进行审核。每个审核至少半天。

7.5.5.5.7 If the scope of an SA8000 certificate includes workers that work at permanent sites not owned and not

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controlled by client organization [such as those workers employed by a staffing or cleaning agency] for the multi-site certification: These activities can ONLY be added to the organization's SA8000 multi-site certification if the organization formally audits the site and maintains records of such audits. A sample of these permanent sites SHALL be subject to internal audits each year by the organization as well as site audits by E-UNION. The on-site audits by E-UNION will be chosen by E-UNION at random throughout the certification cycle. Should E-UNION not be permitted access to any of these permanent sites at any time for whatever reason, the organization's multi-site certification SHALL be cancelled and withdrawn.

如果多场所认证范围内，在固定场所工作的工人不是组织所有或不受组织控制：若组织对这些场所进行正式审核且保留审核记录，则这些活动只能包括在多场所认证范围内；对于这些永久场所的抽样应根据组织每年的内审及 E-UNION 的现场审核来定，在整个认证周期内随机抽样。无论任何原因如果不允许进入这些永久场所，则该组织的多场所认证将被撤销。

7.5.5.6 Multi-site Surveillance Audit Effort – All Sectors 多场所监督审核时间 - 适用于所有行业

7.5.5.6.1 The organization's Head Office SHALL be audited at least every six months, and the Regional Offices SHALL be audited at least once every 3-year certification cycle. The audit day calculation for these audits SHALL be calculated as per Table 4.

组织的总部办公室应至少每六个月审核一次，区域办公室在三年认证周期内至少审核一次，审核人天数按照表 4 单场所监督审核人天数表计算。

7.5.5.6.2 In the service sector, where work is undertaken at permanent sites not owned by the certified organization, E-UNION SHALL perform a risk assessment to develop a surveillance strategy for those permanent sites. This risk assessment SHALL result in identifying and adding the appropriate permanent sites to be visited to E-UNION surveillance plan/matrix for the client's 3-year certification cycle.

对于服务业，若开展工作的永久场所不是组织所拥有的，E-UNION 应进行风险评估以形成监督方案，根据风险评估的结果识别和添加监督审核需要覆盖的场所。

7.5.5.7 Multi-site Recertification Audits – All Sectors 多场所再认证审核-适用于所有行业

Recertification Audits SHALL be performed in the manner as for STAGE 2 initial certification audits using the same audit effort and full and limited audits.

再认证审核同初审二阶段审核，审核时间计算及全面审核&有限审核选择同初审二阶段。

7.5.6 Unannounced Audit 不通知审核

7.5.6.1 A certification cycle, E-UNION can plan and conduct unannounced surveillance audit depends on the risk assessment. When customers encounter complaints, major changes, or major non-conformity, it may not require additional unannounced audit.

一个认证周期中，E-UNION 可以根据风险分析的结果进行不通知监督审核。当客户遇到投诉、重大变更或严重不符合时，有可能需要额外增加不通知审核。

7.5.7 Selecting and Appointing the Audit Team 选择和指派审核组

7.5.7.1 The audit program managing personnel shall select and appoint appropriate audit team taking consideration into the requirements and attributes of the audit team leader and members and the overall competence needed to achieve the objectives of the audit, to ensure that their audit ability and technical ability are qualified by E-UNION. If there is only one auditor, the auditor shall have the competence to perform the duties of an audit team leader applicable for that audit. Audit teams, between them, SHALL reflect the totality of competencies, including:

审核方案管理人员应结合审核组长及组员的任职要求与资质条件，以及实现审核目标所需的整体能力，遴选并委派合适的审核组，确保其审核能力与技术能力均通过 E-UNION 的资质认定。若审核组仅配备一名审核员，则该审核员须具备履行对应审核工作的审核组长职责的能力。审核组整体应具备以下全部能力：

a) knowledge of issues applicable to the location (laws/regulation and other demands/norms applicable to a specific location - including industry rules or norms);

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掌握审核地点的相关事项（包括适用于特定地点的法律法规及其他要求 / 规范，含行业规章或标准）；

b) knowledge of applicable language(s)/dialect(s) - written and spoken;

掌握适用的语言 / 方言，具备书面与口语应用能力；

c) knowledge of prevailing cultural norm(s) of management and workers - this would include gender (as a subset of culture) and other potential differences (such as caste, immigrant workers and many other broadly or narrowly applicable issues).

了解管理层与员工所遵循的主流文化规范，其中包括性别因素（作为文化的一部分）及其他潜在差异因素（如种姓、外来务工人员等各类适用范围或宽或窄的相关问题）。

7.5.7.2 SA8000 auditors SHALL rotate between clients so that no SA8000 Lead Auditor (Team Leader) performs more than 5 audits per certification cycle per client.

同一家客户一个认证周期内，同一名 SA8000 主任审核员作为审核组长不得超过 5 次审核。

7.5.7.3 E-UNION SHALL NOT use any staff member from one of their certified clients [certified to any management system standard] to act as an SA8000 auditor of another client.

不得使用认证客户(含其他管理体系)的人员对另一个客户进行 SA8000 审核。

7.6 Audit Plan 审核计划

7.6.1 Every audit SHALL have an audit plan. 所有的审核都须有审核计划。

a) For announced audits i.e. Stage 1, Stage 2, Recertification and Special Audits, the audit plan SHALL be sent to the client at least 2 weeks prior to the audit and SHALL include the name of and summary of background information on each member of the audit team.

对于通知审核，即第一阶段、第二阶段、重新认证和特殊审核，审核计划应在审核前至少 2 周发送给客户，并应包括审核团队每位成员的姓名和背景信息摘要。

b) For semi-announced audits, E-UNION SHALL develop an audit plan and send this to the client at the same time as the announcement of the semi-announced audit and SHALL include the name of and summary of background information on each member of the audit team.

对于半通知审核，E-UNION 应制定审核计划，并在宣布半通知审核的同时将其发送给客户，并应包括审核团队每位审核员的姓名和背景信息摘要。

c) The audit SHALL be planned to fully evaluate the effectiveness of the SA8000 management system and related performance criteria through evidence-based assessment.

审核应计划通过循证评估来全面评估 SA8000 管理体系和相关绩效标准的有效性。

d) The audit plan SHALL ensure for all Stage 2 and Recertification audits, that the composition of the audit team reflects the gender balance of the employees and industry sector of the client unless justified and authorized by E-UNION management.

审核计划应确保所有第二阶段和重新认证审核的审核团队的组成体现客户员工和行业部门的性别平衡，除非 E-UNION 管理层证明合理并授权。

Note: This effectively means that (other than under exceptional circumstances) audit team needs to include at least one male and one female auditor (and/or interview specialists) so that, wherever practicable, one-on-one interviews may be performed by an Auditor of the same gender.

备注：这实际上意味着(特殊情况除外)审核团队需要至少包括一名男性和一名女性审核员(和/或面谈专家)，以便在可行的情况下，一对一面谈可以由同性别的审核员进行。

e) To prevent familiarity with a client, the Audit Team Leaders SHALL not perform this role for more than 1

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certification cycle as an Audit Team Leader without a break of 1 cycle in between.

为防止与客户熟悉彼此，审核组组长不得在超过 1 个认证周期内担任审核组组长，且其间不得中断 1 个周期。

Note: This requirement also applies to E-UNION's Subcontract Audit Team Leaders that have worked for a previous CB when the Client transfers from one CB to another.

备注：当客户从一个 CB 转到另一个 CB 时，此要求也适用于曾在前 CB 工作过的 E-UNION 分包审核团队负责人。

7.6.2 The audit plan SHALL be adapted to the processes and working environment of the organization being assessed and SHALL include all requirements of the organization's social management system (for initial and recertification audits) and associated performance elements and cover all shifts within the audit cycle.

审核计划应适应被评估组织的流程和工作环境，并应包括组织社会管理体系(初次审核和再认证审核)的所有要求和相关绩效要素，并涵盖审核周期内的所有班次。

7.6.3 The plan SHALL be developed considering information gathered from local and regional experts, stakeholders, community members, NGOs and Trade Unions, information which SHALL be gathered and recorded in advance of the audit. Any persons who attending the audit including experts, observers, trainers, translators, SAAS auditors, customer's representatives, and other persons shall be addressed in the audit plan.

编制审核计划时，应考虑审核前从当地及地区专家、相关方、社区、NGO 及工会等获得的信息。任何参加审核的其他人员包括：专家、观察员、培训师、翻译、SAAS 审核员、客户代表等，都应列明在审核计划中。

7.6.4 The audit plan SHALL include all requirements of the organization's social management system (for initial and recertification audits) and associated performance elements and cover all shifts within the audit cycle.

审核计划应包括社会管理体系的所有要求(初审及再认证审核)及有关绩效指标，并在整个审核周期内覆盖所有班次。

7.6.5 The audit plan SHALL indicate the need for the certified organization to provide their calculations of living wage and the lowest wage paid to any employee in the organization, adjusted to gross or net. The certified organization shall also supply evidence of the legally required minimum wage (that is the lowest wage permitted by law or by a special agreement such as one with a labor union).

审核计划应表明认证组织需要提供其生活工资和支付给员工的最低工资(调整为总额或净额)的计算结果。认证组织还应提供法定最低工资的证明(即法律或与工会等特殊协议允许的最低工资)。

7.6.6 Relevant records of internal communication of audit team members, the client and external stakeholders related to the individual client and audit SHALL be maintained.

应保存审核组成员之间的内部沟通记录、客户以及与个别客户和审核相关的外部利益相关者的沟通相关记录。

7.6.7 Audit records SHALL contain a copy of the **AS AUDITED** plan that confirms the paths and sequence of each audit. This can be a hand-marked copy of the audited plan as presented at the opening meeting.

审核记录应包含“实际审核计划”的复印件，该计划确认每次审核的路径和顺序。这可以是首次会议上提交的经审核计划的手写复印件。

Note: Re-labeling the audit plan soft copy as "Issue 2" is not acceptable evidence of the 'as audited' plan.

备注：将审核计划重新标记的“版本 2”并不是“实际审核”计划的可接受证据。

7.6.8 E-UNION SHALL ensure that the client is informed (for every type of audit) of their right to object to any member of the audit team as required by ISO 17021-1:2015, 9.2.3.5. Records of this communication SHALL be maintained by the DCC of E-UNION.

E-UNION 应确保客户(针对每种类型的审核)被告知其有权根据 ISO 17021-1:2015, 9.2.3.5 的要求反对审核团队的任何成员。此通信的记录应由 E-UNION 的 DCC 维护。

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7.6.9 In addition to the requirements in ISO 17021-1:2015, 9.2.3.2: Audit plans SHALL include the following information in the following Table 9, as applicable, as a minimum:

除 ISO17021-1:2015, 9.2.3.2 条款规定外, 适用时, 审核计划应至少包括以下信息:

Table 9 – Audit Plan Details

a) Auditors Names and Sector Competence Code. 审核员姓名及认可行业代码	b) Experts Names. 专家姓名
c) Translators Names. 翻译姓名	d) Other persons attending the audit, e.g. CB, SAAS, or others. 参与审核的其他人员, 如 E-UNION 观察员、SAAS 评审员、或其他人员等;
e) Client contact details including organization name; address; main contact. 客户联系方式, 包括组织名称、地址及联系人;	f) SA8000 management representative; SA8000 workers representative; Traden Union representative; Social Performance Team Member(s). SA8000 管理者代表、SA8000 工人代表、工会代表、SPT 小组成员
g) Other representatives as appropriate (such as OHS rep; HR manager; Payroll manager). 适用时, 其他代表(如 OHS 代表、HR 经理、薪酬经理);	h) Locations to be audited (except in the case of multi-site sampling). 审核地点(多场所抽样除外);
i) Shifts operated and to be audited. 运营班次及被审核班次;	j) Approximate time of each audit activity and date. This SHALL also include the time allocated to perform the SF IE. 审核活动时间及日期, 包括独立评价时间安排
k) Audit site demographics related to number, gender and language spoken for: workers and managers, contract services suppliers and direct and indirect labor. 审核现场, 工人、管理人员、供应商、直接与间接员工的人数、性别、使用语言分布表;	l) Travel time to sites as appropriate. 适用时, 去现场所需的差旅时间;
m) Indication of the expected number of worker and manager interviews. 拟进行的工人访谈及管理人员访谈人数;	n) Language of audit. 审核所用的语言;
o) Statements on bribery policy, confidentiality and impartiality, both general statements and policies specific to the audit and audit team. 通用的以及审核及审核组特定的反贿赂声明、保密声明、公正性声明;	p) List of documents to prepare for the audit. 审核所需准备的文件清单;
q) Statement on the need for senior management, workers representatives, SPT Team to be present at the opening and closing meetings. 需要高级管理人员/工人代表/SPT 小组成员参加首次会议及末次会议的声明。	r) A simple audit and career profile of each member of the audit team.

7.6.10 For announced audits, the audit plan SHALL be sent to the client **at least 2 weeks prior to the audit**, except for the unannounced audit. For unannounced audits, the CB SHALL develop an audit plan and maintain it, confidentially, until the auditor arrives on-site and presents it at the opening meeting of the audit. In order to facilitate the unannounced audit, the CB SHALL provide information on the expected audit plan to the client at the end of the previous audit or at a later date, but absolutely not in any way that might inform the client as to when the unannounced audit will take place.

对于通知审核, 审核计划应**至少提前两周**发至客户, 不通知审核除外。不通知审核的审核计划应在审核组到达现场召开首次会议时提供给客户。但是为了有助于不通知审核的实施, 在前一次审核时或之后应告知客户不通知审核相关要求和信息。

7.6.11 After receiving the audit plan by the client, if the client has raised any objections to the audit plan including the audit team members, the Certification Manager of E-UNION shall communicate with the client to understand the situation, and take following actions, including asking the Audit Team Leader to revise the Audit Plan if necessary.

客户收到审核计划后, 若对审核计划(包括审核组成员)提出任何异议, E-UNION 认证经理应与客户沟通以了解情况, 并采取后续措施, 必要时可要求审核组长对审核计划进行修订。

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7.7 Pre-Assessment and Initial Research 预评估及初始调查

7.7.1 Pre-Assessment Audit 预评估

7.7.1.1 Pre-Assessment audits are an optional service that can be provided by E-UNION. E-UNION SHALL have procedures for managing the pre-assessment process so as to reduce conflicts of interest and so as not to provide consulting during the pre-assessment audit.

预评估审核是 E-UNION 可以提供的一项可选服务。E-UNION 应制定管理预评估流程的程序，以减少利益冲突，并在预评估审核期间不提供咨询。

7.7.1.2 Pre-assessment audits can be performed at the request of the client by E-UNION. This request SHALL be documented in the client audit file.

E-UNION 可应客户要求预评估审核。该请求应记录在客户审核文件中。

7.7.1.3 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.

预评估审核只能在最初的第一阶段审核之前进行，并且不得代替第一阶段审核。预评估应正式记录在审核报告中，并且应包含不具有约束力和解决方案的调查结果。预评估审核所花费的时间不应被视为第一阶段和/或第二阶段流程的一部分。

7.7.1.4 Arranging training and participating as a trainer at a client's organization SHALL NOT be considered consultancy provided that, where the course relates to management systems or auditing, it is confined to the provision of generic information that is freely available in the public domain; i.e. the trainer SHALL NOT provide organization-specific solutions.

在客户公司中安排培训并作为培训师参与，如果课程涉及管理体系或审核，且仅限于提供公共领域免费提供的通用信息，则不应被视为咨询；即培训师不得提供特定于公司的解决方案。

7.7.2 Initial Research 初始背景调查

7.7.2.1 E-UNION SHALL have a documented procedure that describes the criteria for accepting a client based on various risk factors including any geographical, ethical, and/or commercial basis. These criteria may include countries and business sectors from which they may choose to refuse applications.

E-UNION 应制定书面程序，描述基于各种风险因素(包括任何地理、道德和/或商业基础)的客户接受标准。这些标准可能包括他们可能选择拒绝申请的国家 and 商业部门。

7.7.2.2 Prior to accepting a client organization for SA8000 certification, E-UNION SHALL check that the applicant does not have a 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.

在接受客户组织进行 SA8000 认证之前，E-UNION 应检查申请人在 SA8000 标准的任何要素(包括结社自由)中是否有最近或普遍存在的未解决的重大违规历史，并在第一阶段审核认证前至少六个月内进行。

a) The process to obtain this information can include web-based research.

获取此信息的过程可以包括网络调查。

b) E-Union SHALL search diligently for local intelligence from within E-UNION and from external bodies such as regulatory agencies, trade unions, local stakeholders and community members.

E-Union 应努力从 E-UNION 内部以及监管机构、工会、当地利益相关者和社区成员等外部机构寻找当地情报。

c) The results of this research process SHALL be documented and maintained in the client file and include

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justification as to why clients were taken on if they have a previous pervasive history of major unaddressed violations in any elements of the SA8000 standard.

该研究过程的结果应记录并保存在客户档案中，并包括说明客户为何被接纳的理由(如果客户以前在 SA8000 标准的任何要素中存在重大未解决的违规行为)

7.7.2.3 The research process by E-union SHALL include, at a minimum:

E-UNION 的研究过程至少应包括:

a) A determination of sufficient wage levels for the client location, as defined by SA8000 Element 8.1.

根据 SA8000 要素 8.1 的定义，确定客户所在地的足够工资水平。

b) A determination of present or past legal actions against the organization.

确定组织现在和过去是否有违法行为。

c) Consultation to gather information about working conditions gathered from regional and local interested parties, NGOs, trade unions and workers. This process SHALL be included in the calculation of audit days as part of the preparation of the Stage 1 and Stage 2 audit for initial and recertification audits and, at minimum, 1 time per year for surveillance audits.

进行磋商，从地区和地方利益相关方、非政府组织、工会和工人处收集有关工作条件的信息。该过程应包含在审核天数的计算中，作为初始审核和再认证审核的第一阶段和第二阶段审核准备工作的一部分，以及每年至少一次监督审核。

d) A determination of the languages spoken by personnel at the organization, and the proportion speaking each. E-UNION SHALL record this information before accepting a client organization for SA8000 Certification to ensure it has the capacity to communicate effectively with the majority of personnel.

确定组织内人员使用的语言以及使用每种语言的比例。E-UNION 应在接受客户组织进行 SA8000 认证之前记录此信息，以确保其有能力与大多数人员进行有效沟通。

e) A determination as to whether or not the client is currently or previously has been certified to SA8000 and, if so, reviews of those SA8000 audit and non-conformity reports. If E-UNION cannot make this determination, they SHALL confer directly with SAAS.

确定客户当前或以前是否已获得 SA8000 认证，如果是，则审查这些 SA8000 审核和不合格报告。如果 E-UNION 无法做出此决定，他们应直接与 SAAS 协商。

f) A determination as to whether or not the client organization has had audits against other social codes of conduct and, if so, reviews of those audit reports.

确定客户组织是否针对其他社会行为准则进行了审核，如果是，则审查这些审核报告。

g) An investigation of grievances, legal proceedings and other complaints for a period of time of at least six months before the Stage 1 Audit.

在第一阶段审核之前，对申诉、法律诉讼和其他投诉进行至少六个月的调查。

7.7.2.4 E-UNION SHALL have a documented procedure that describes how it undertakes the initial research process as described above.

E-UNION 应制定书面程序，描述其如何进行上述初始调查过程。

7.8 Stage 1 Audit 第一阶段审核

7.8.1 The Management System Maturity Declaration Self-assessment shall be finished by the client before Stage 1 audit and Stage 1 audit shall include the MS Maturity Declaration Independent Evaluation by E-UNION. **The Evaluation should be conducted through the SAI On-line Training Center, the evaluation scores and results should be maintained in the SAI Training Center.**

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第一阶段审核前，客户工厂应进行管理体系成熟度声明自我评价。第一阶段审核中，E-UNION 应进行管理体系成熟度声明独立评价。**该独立评价应通过 SAI 在线培训中心进行，评价分数和结果保存在 SAI 培训中心数据库中。**

7.8.2 The Stage 1 audit SHALL be conducted during an on-site visit to the organization. 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 off-site Stage 1 audit.

一阶段审核应在客户现场审核进行，微型组织(本程序中规定的 10 人及以下)除外。如进行非现场审核，应说明理由，并对非现场审核形成记录。

7.8.3 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, E-UNION SHALL justify and record why the additional days for Stage 1 audit was found to be necessary.

一阶段审核一般为 1~2 人天，如果人天数超过本程序文件中规定的最高人天数，E-UNION 应说明理由并予以记录。

7.8.4 Prior to the Stage 1 audit being performed, a pre-audit questionnaire SHALL be sent to the client organization for completion. The questionnaire SHALL be returned to E-UNION and reviewed prior to the Stage 1 Audit taking place.

一阶段审核前，客户工厂应完成一份审核前调查问卷。该问卷应在以阶段审核发生之前返回 E-UNION 进行审查。

7.8.5 The Stage 1 audit SHALL be performed by the proposed Stage 2 Audit Team Leader.

一阶段审核应由拟任二阶段审核的审核组长执行。

7.8.6 E-UNION SHALL justify the time period between the Stage 1 and Stage 2 audits with a documented explanation of how the client can move from Stage 1 to Stage 2, consideration taken into the need for the client organization to resolve areas of concern identified during the Stage 1 audit. No more than 6 months SHALL be allowed to pass between the end of the Stage 1 audit and the first day of the Stage 2 audit. If more time is required, an additional Stage 1 audit SHALL be conducted **(including the SF Independent Evaluation)**.

确定一阶段、二阶段审核的间隔时间时应说明理由，应考虑客户解决一阶段所识别问题所需的时间。一阶段、二阶段最长时间间隔不得超过 6 个月；否则，应再进行一次一阶段审核**(包括 SF 独立评价)**。

7.8.7 Objectives of Stage 1 Audit 第一阶段审核目的

The objective of a Stage 1 audit is as described below in Table 10.

a) Review accuracy of the pre-audit questionnaire returned by the client organization. 评审客户组织返回的审核前问卷的准确性。	b) Familiarize the Audit Team Leader with the issues pertinent to the client organization. 审核组长熟悉与客户有关的问题。
c) Gain an understanding of the client's SA system and its state of development. 理解客户 SA 体系及其运行状况	d) Determine client's awareness and recognition of the local norms, regulatory and legal requirements. 确定客户对当地法律法规要求的意识
e) Review the client organization's method of determining a local Living Wage and the wages paid to workers. 审查客户确定当地生活工资和支付工人工资方法	f) Review and assess the client's SA8000 management system documentation. 审查客户的 SA8000 管理体系文件
g) Agree to the list of documentation that must be made available by the client organization for the Stage 2 Audit. 确定二阶段所需准备文件的清单	h) Evaluate the client's location and site-specific conditions. 评价客户地点及特定条件
i) Undertake discussions with the client's personnel to determine the preparedness for the Stage 2 audit. 与客户人员讨论二阶段准备情况	j) Identify all parts of the organization so E-UNION understands the structure of the organization for proper determination of scope of the certificate. 确定组织的结构以便确定事宜的认证范围
k) Review the proposed allocation of resources for the Stage 2	l) Evaluate if internal audits and management review are being

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audit against the draft audit plan and agree with the client on the details of the Stage 2 audit. 评审拟进行的二阶段资源分配，以及与客户商讨二阶段审核细节	planned and performed and to ascertain the organization's general conformity with the SA8000 Standard and Performance Indicator Annex. 评价是否策划并实施了内审及管理评审以确定客户整体上满足 SA8000 标准和绩效指标附件的要求
m) Review previous labor, ethics, and other similar second and third party audit reports that are in the possession of the SA8000 certified or applicant organization. The client SHALL make available any such audit reports within the previous three years and all SA8000 audit reports, if ever previously certified. 评审其他二方或三方有关劳工、道德或其它类似审核的审核报告(如果三年内接受过此类审核)。	n) To confirm the date when the client declares that their SA8000 management system was fully operational. This date SHALL be recorded in the Stage 1 Audit Report. 与客户确认 SA8000 管理体系生效的时间，并记录在一阶段审核报告中
o) Review of the competence of the Organization's Internal Auditors. 审查客户工厂内部审核员的资质	p) Evidence that ISO/IEC 17021-1:2015 Clauses 9.3.1.2.2 e) & f) have been performed and the determination of the need to produce a new Stage 2 Audit Plan by the Audit Team Leader. 获得 ISO/IEC 17021-1:2015 Clauses 9.3.1.2.2 e) & f)条款的要求已执行的证据，并由组长确定一份新的二阶段审核计划

Table 10 – Objectives of a Stage 1 Audit

7.8.8 For all Stage 1 audits, an audit plan SHALL be sent to the client **at least two weeks** prior to the audit. The client's MSMD Self-Assessment Score SHALL be factored into the Stage 1 audit planning process.

对于所有的一阶段审核，审核计划**应在一阶段审核之前至少两周**发送至客户。客户工厂的管理体系成熟度声明自评分数应纳入一阶段审核计划中。

7.8.9 E-UNION SHALL have a documented procedure that describes how they perform an SA8000 certification Stage 1 audit that generally follows the steps as outlined in above and ISO 17021-1:2015 Clause 9.3.1.2 and includes the Social Fingerprint Independent Evaluation.

E-UNION 应建立一份书面程序文件以描述审核组如何在一阶段审核过程中遵守 ISO17021，9.3.1.2 条的要求以及执行社会责任指纹独立评价。

7.8.10 It is unlikely that a client following a Stage 1 audit would be ready for a Stage 2 Audit within 4 weeks of that Stage 1 Audit as the reporting process and approval of any RCA/CAP (to address any potential N/C's) takes several weeks. E-UNION SHALL therefore justify in writing any Stage 2 audit being performed within 4 weeks of the performance of the Stage 1 Audit.

7.8.11 The Stage 1 audit steps SHALL generally be as described as follows in Table 11:

一阶段审核一般包括以下步骤：

a) Opening Meeting 首次会议;	b) Overview Tour (Including Canteen, Dormitory, Clinic, and Crèche, as appropriate) 巡视(适用时，包括餐厅、宿舍、诊所及托儿所)
c) Meeting with Workers Representative(s) and Social Performance Team (SPT) Members. 工人代表访谈和 SPT 小组成员访谈	d) Meeting with Management to Confirm Understanding of SA8000, Confirm scope, Review Answers to SAAS Pre-Audit Questionnaire 管理层访谈，以确认对 SA8000 的理解、范围的确认、审核前调查问卷的评审
e) Confirmation of Subcontract Labor on Site (Such as Cleaners, Canteen Staff, Refuse Collectors, Clinic Nurses and Doctors, Dormitory and Security Guards) 现场分包人员的确认，如清洁工、餐厅工作人员、环卫工、诊所医护人员、宿舍管理员、保安等	f) Availability of Documents 文件的准备情况
g) Review of Management System Documentation Including Management Review and Internal Audits 管理体系文件评审，包括管理评审及内审文件	h) Management System Maturity Declaration Independent Evaluation 管理体系成熟度声明独立评价
i) Confirm Stage 2 Audit Plan and Logistics for Audit 确认二阶段审核计划及后勤安排	j) Closing Meeting 末次会议

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7.8.12 Stage 1 audit findings SHALL be documented.

一阶段审核发现点必须予以书面记录。

7.8.13 The category of findings raised during a Stage 1 audit SHALL only be:

a) Risk of non-conformance, b) Observations.

一阶段审核发现只分为两类：1) 不符合风险, 2) 观察项。

7.8.14 In determining the interval between Stage 1 and Stage 2 audits, consideration SHALL be given to the need for the client organization to resolve areas of concern identified during the Stage 1 audit.

在确定第一阶段与第二阶段审核的间隔时间时，**必须**考虑客户组织是否需要解决第一阶段审核中发现的相关问题点。

7.8.15 E-UNION SHALL justify the time period between the Stage 1 and Stage 2 audits with a documented explanation of how the client can move from Stage 1 to Stage 2.

E-UNION 须对第一阶段与第二阶段审核的间隔时长进行合理性论证，并以书面形式说明客户组织如何从第一阶段过渡至第二阶段。

7.8.16 No more than 6 months SHALL be allowed to pass between the end of the Stage 1 audit and the first day of the Stage 2 audit. If more time is required, the CB SHALL conduct an additional Stage 1 audit.

第一阶段审核结束日与第二阶段审核首日的间隔时间**不得超过 6 个月**。若确需延长间隔时间，认证机构须重新开展一次第一阶段审核。

7.8.17 The Stage 1 Social Fingerprint IE score SHALL be factored into the Stage 2 audit planning process by the Stage 2 nominated Audit Team Leader.

一阶段审核时社会责任指纹独立评价的分数和发现点，应由审核组长整合进二阶段审核的审核计划之中。

7.9 Stage 2 Audit 第二阶段审核

7.9.1 The evaluation of the effectiveness of the SA8000 management system and associated performance elements SHALL include an assessment of how effectively the management system(s) is deployed, as evidenced by workplace policies and supporting evidence, including whether or not it is implemented within the organization's overall objectives.

对 SA8000 管理体系有效性及其相关绩效要素的评价，**必须**包含对该管理体系实际推行效果的评估，评估需以职场政策及佐证材料为依据，同时需核查该体系是否已融入组织的总体目标之中。

Prior to the Stage 2 Audit, the Team Leader shall review all the audit outcomes from the Stage 1 Audit including the Client's SF Self-Assessment and the Stage 1 SF Independent Evaluation Results. These review records shall be maintained in the Audit File.

第二阶段审核前，审核组长应复核第一阶段审核的全部结果，包括客户的社会责任自我评估报告以及第一阶段社会责任独立评估结果。上述复核记录应归入审核档案留存。

7.9.2 An important part of the Stage 2 audit process is the conduct of interviews with workers and other personnel, as detailed in the Interview section of this document.

第二阶段审核过程的一个重要环节，是对工人及其他相关人员开展访谈，具体要求详见本文件的访谈章节。

7.9.3 E-UNION SHALL have a documented procedure that describes how it performs an SA8000 Certification (Stage 2) Audit that SHALL follow ISO/IEC 17021 clause 9.3.1.3 and generally follow the guidelines as outlined in Table 11 below.

E-UNION 须制定书面程序，明确其开展 SA8000 认证（第二阶段）审核的实施方式，该程序**必须**符合 ISO/IEC 17021 标准第 9.3.1.3 条款的要求，且总体遵循下文表 11 所列指南。

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1) Opening Meeting 首次会议	2) Quick Overview Tour - including canteen, dormitory, clinic, and crèche as appropriate 现场快速巡视, 包括餐厅、宿舍、医务室、托儿所(适用时)
3) Confirmation of records availability required for reviews 确认所需审查的档案已可用	4) Management Interviews 管理人员访谈
5) Health & Safety & Working Conditions Tour - including on-site worker interviews and selection of production records. In the case of small companies this tour may be combined with that of 2) above. 健康&安全&工作条件巡视 – 包括现场访谈和生产记录抽样; 在小规模公司本现场巡视可与上述的第 2 步合在一起	6) Worker Interviews 工人访谈
7) Management System Elements Review (including: Policies, Procedures and Records, Social Performance Team, Identification and Assessment of Risks, Monitoring, Internal Involvement and Communication, Complaints Management and Resolution, External Verification and Stakeholder Engagement, Corrective and Preventive Actions, Training and Capacity Building, Management of Suppliers and Contractors.) 管理体系要素评审(包括: 方针、程序和记录、社会责任绩效小组、风险鉴别与评估、监督、内部参与和沟通、投诉处理、外部验证与利益相关者参与、纠正和预防措施、培训和能力建设、供应商和分包商管理)	8) Workers Representative Interview & Social Performance Team Interviews 工人代表和 SPT 小组成员访谈
9) Subcontractor Interviews such as - cleaners, canteen staff, clinic nurses, doctors, dormitory managers, and security guards 分包商访谈, 例如: 清洁工、食堂人员、诊室护士、医生、宿舍管理人员和保安等	10) Employee Interviews - including staff, junior managers, first aiders, emergency response team members 雇员访谈-包括职员、基层管理人员、急救人员、应急响应小组成员
11) Document & Record Review - Working Hours, Payroll, Living Wage, Cost Accounting 文件和记录评审-工时、薪酬、生活工资、成本计算	12) Pre-Closing Meeting Preparation (Optional) 末次会议准备(可选项)
13) Closing Meeting 末次会议	

Table 11 – SA8000 Stage 2 Audit Steps

7.9.4 E-UNION SHALL undertake a full and fair evaluation of the client's management system and its performance by determining the effectiveness of the client's policies and procedures to demonstrate conformance to SA8000 requirements. E-UNION SHALL document evidence to show conformance to the elements beyond the policies and procedures created.

二阶段应对组织的管理体系及其绩效进行全面评价以确定对 SA8000 要求的符合性。应保留证据以展现符合政策和程序文件之外的要素要求。

7.9.5 The Management System Maturity Declaration Independent Evaluation shall be conducted in Stage 2 Audit by the Audit Team.

二阶段审核的审核组应进行管理体系成熟度声明独立评价。

7.9.6 In extreme circumstances, an audit SHALL be terminated for lack of proper or adequate system implementation. In this case, a report SHALL be produced that covers the activities performed until the audit was terminated. If a Stage 2 audit is terminated, the audit SHALL be repeated from the very beginning of the Stage 2 audit process, if the applicant continues to seek certification.

极端情况下, 当体系运行证据不足的情况发生时可终止审核。此种情况, 应编制终止审核报告, 在报告中描述终止前已经实施的活动。若客户继续申请认证, 应重新进行二阶段审核。

7.10 Surveillance Audits 监督审核

7.10.1 The semi-announced audit process is as per Figure 2 below.

图 2 描述了半通知审核的流程。

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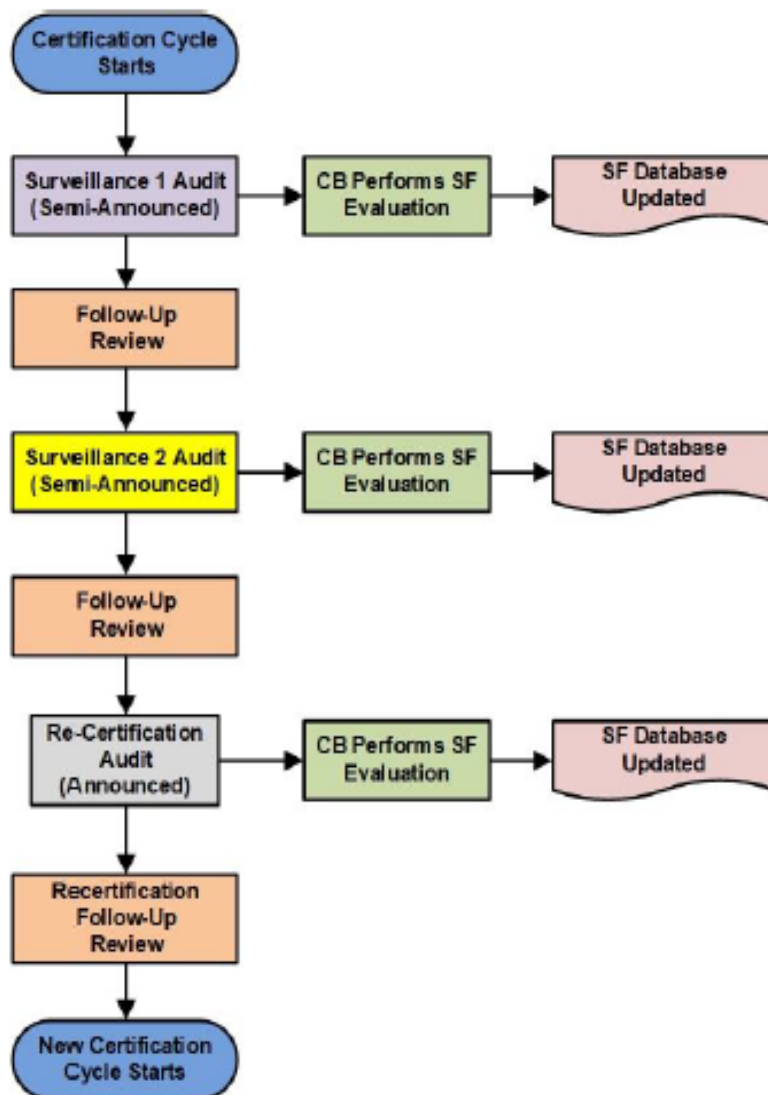


Figure 2 – Surveillance during the SA8000 Certification Cycle

7.10.1.1 With the exception of Multi-site clients, surveillance audits of SA8000 certified organizations SHALL be planned and conducted on an annual basis over the three-year certification cycle, as defined in Figure 2.

除多址客户外，SA8000 认证机构的监督审核应在三年的认证周期内，每年进行一次。

7.10.1.2 The planning of routine surveillance windows and recertification audits SHALL be as follows in Figure 3: 常规监督审核和再认证的时间窗口如下图 3 描述。

Audit/Certification Cycle Activity	Visit Type	Time Window	Week Numbers
Certification (Cycle Starts = 0 months)	None	None	0
Surveillance Audit #1 (Prior to 6 months)	Semi-announced visit	8 weeks	18-26
Follow-up Review (Prior to 12 months)	Usually announced and performed off-site, however, CB may, at its discretion, perform follow-up review on-site (announced or unannounced).	4 weeks	48-52
Surveillance Audit #2 (Prior to 18 months)	Semi-announced visit	8 weeks	70-78
Follow-up Review (Prior to 24 months)	Usually announced and performed off-site, however, CB may, at its discretion, perform follow-up review on-site (announced or unannounced).	4 weeks	100-104

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Re-Certification Audit (Prior to 30 months)	Fully announced visit	8 weeks	122-130
Follow-up and Recertification Review (33-35 months)	Usually announced and performed off-site, however, CB may, at its discretion, perform follow-up review on-site (announced or unannounced).	4 weeks	144-152
Current Certification Expires / Positive Certification Decision made (if requirements met) (Cycle Ends = 36 Months - New Cycle Starts)	None	None	156

Guidance Notes To The Above Table: Any client that does not readily accommodate a semi-announced surveillance audit visit during the window SHALL have their certification CANCELLED. 任何客户工厂如在时间窗口内尚未准备好做半通知审核，则应取消其认证。 Semi-announced audits should not be performed on the last day of the window. 半通知审核不应安排在时间窗口的最后一天进行。			
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Figure 3 – Annual Surveillance and Re-certification Audit Planning

7.10.1.3 The Audit time windows in Figure 3 above SHALL be communicated to the SA8000 Client no less than 8 weeks prior to the audit (or the start of the window for a semi-announced audit). It is the client's responsibility to inform E-UNION (before the start date of the window) of any local holidays and shutdowns that occur during the window. If the client has a bona fide reason for not being able to accommodate an audit on a day before the first day of the window, then that date is blocked out in the window and the audit not performed on that day. Requests to block out a date received during the specified window SHALL be ignored and the client informed accordingly. The client is not allowed to negotiate on the dates of the window nor is the window permitted to be moved once E-UNION has informed the client of the same.

上图 3 中的审核时间窗口应在审核前至少 8 周(或半通知审核的窗口开始时间)通知 SA8000 客户。客户有责任(在窗口开始日期之前)通知 E-UNION 窗口期间发生的任何当地节假日和关闭情况。如果客户有正当理由无法在窗口第一天的前一天接受审核，则该日期将被排除在窗口中，并且不会在该天执行审核。在指定窗口期间收到的封锁日期的请求应被忽略，并相应地通知客户。一旦 E-UNION 通知客户，客户不得就窗口日期进行协商，也不得改变窗口日期。

7.10.1.4 All SA8000 certified organizations SHALL undergo periodic surveillance audits. Surveillance visits SHALL be planned in accordance with Section "Audit Planning" above. The amount of time required for the SA8000 surveillance audit effort SHALL be as described in the Section "Audit Planning".
所有 SA8000 认证组织均应接受定期监督审核。监督访问应根据上文“审核计划”部分进行计划。SA8000 监督审核工作所需的时间应如“审核计划”部分中所述。

7.10.1.5 As per ISO/IEC 17021, clause 9.1.3.2, the certification cycle SHALL begin with the certification or recertification decision date (as informed by E-UNION to its client).
根据 ISO/IEC 17021 第 9.1.3.2 条，认证周期应从认证或再认证决定日期开始(由 E-UNION 通知其客户)。

a) The date of the first surveillance audit following the initial certification or recertification decision SHALL be not more than 6 months from the certification or recertification decision date (as informed by E-UNION to its client).
初始认证或再认证决定后的首次监督审核日期，应不超过认证或再认证决定之日起 6 个月(由 E-UNION 通知其客户)。

7.10.1.6 Within the initial certification and subsequent cycles, the frequency of surveillance SHALL be determined as follows:
在初始认证和后续周期内，监督频率应确定如下：

a) All SA8000 certified organizations SHALL undergo a surveillance (or recertification) audit at least every twelve months as described above.
所有 SA8000 认证组织应至少每 12 个月接受一次监督(或重新认证)审核，如上所述。

b) Clients SHALL not permitted to delay any surveillance audit unless the facility is subject to a force majeure such

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as an earthquake, flood or fire and cannot trade. In these cases, the client's certificate SHALL be immediately suspended and the reason for such suspension recorded by E-UNION in the client file along with copies of the press coverage for the incident as evidence.

客户不得推迟任何监督审核，除非设施遭受地震、洪水或火灾等不可抗力而无法进行交易。在这些情况下，客户的证书应立即暂停，并且 E-UNION 将暂停的原因记录在客户档案中，并附上该事件的新闻报道复印件作为证据。

c) If the Client commences trading within three months of the incident, a special on-site audit SHALL be conducted by E-UNION to evaluate and confirm that any impacts no longer adversely affect SA8000 conformity. 如果客户在意外发生后三个月内有贸易来往，E-UNION 应进行特殊现场审核，以评估并确认任何影响不再对 SA8000 合规性产生不利影响。

d) If the delay due to a client request is greater than three months, then the client's certificate SHALL be withdrawn/cancelled. Records of a suspension or cancellation SHALL be documented and maintained by E-UNION.

如果由于客户请求而造成的延迟超过三个月，则客户的证书应被撤回/取消。暂停或取消的记录应由 E-UNION 记录和维护。

e) Under no circumstance SHALL two surveillance audits be combined as one. 在任何情况下均不得将两次监督审核合并为一次。

7.10.1.7 During each surveillance audit, the Audit Team Leader SHALL ensure that the conformity evidence reviewed by the team includes evidence attesting to conformity during the organization's 'high season/peak productivity' and 'low season/low productivity' (including, but not limited to 'working hours' conformity). 在每次监督审核期间，审核组组长应确保小组审查的符合性证据包括证明组织“旺季/高峰生产力”和“淡季/低生产力”期间符合性的证据(包括但不限于“工作时间”符合性)。

7.10.1.8 Each surveillance audit SHALL re-examine, in addition to the items mentioned in Table 12 below, additional SA8000 elements, so that all elements of the SA8000 Standard SHALL have been re-examined within each three-year cycle. Although not all clauses of SA8000 will usually be audited during each surveillance audit, the items in Table 12 SHALL be audited on each surveillance audit.

除下表 12 中提到的项目外，每次监督审核均应重新检查额外的 SA8000 要素，以便 SA8000 标准的所有要素均应在每个三年周期内重新检查。虽然在每次监督审核中通常不会审核 SA8000 的所有条款，但下表 12 中的项目应在每次监督审核中进行审核。

The SSAS Procedure 200A for integration of the Social Fingerprint Independent Evaluation into the surveillance process shall also be referenced. Prior to performing a surveillance audit with a required SF Independent Evaluation, the Team Leader shall review the previous SF Independent Evaluation outcomes and integrated it into the Surveillance Audit Plan.

监督审核还应参考将 Social Fingerprint 独立评估纳入监测过程的 SAAS 程序 200A。在执行监督审核之前，审核组长应对之前的 SF 独立评价结果进行回顾，并整合进监督审核计划中。

The Team Leader shall ensure the audit team conduct the SF Independent Evaluation in the same approach and process as stated in the Stage 1 and/or Stage 2 Audit process.

审核组长应确保审核组在监督审核期间按照与一阶段/二阶段审核同样的方法和过程执行 SF 独立评价。

Considering the Surveillance audit is not a full Certification Audit, some of the SA8000 Elements may not be audited during this specific surveillance audit. In the case of elements such as Social Performance Team, External Verification, Stakeholder Engagement, Control of Suppliers and Contractors, the Lead Auditor could use the previous audit evidences as a reference to complete the SF independent Evaluation.

鉴于监督审核并非全面的认证审核，部分 SA8000 要素可能不会在本次监督审核中涉及。对于社会责任绩效小

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组、外部验证、利益相关方参与、供应商与承包商管控这类要素，审核组长可参考既往审核证据，完成社会责任独立评估。

Mandatory Items To Be Reviewed Each Surveillance Audit 每次监督审核必须审查的项目	
a) Verification of the number of personnel covered by the scope. 核实认证范围所涵盖的人员数量。	b) The review of the management system elements of management review, internal audits and corrective action. Performance monitoring to the SA8000:2014 PIA's SHALL be part of discussions at each management review meeting held by a SA8000:2014 Certified Organization. 对管理体系要素的审查包括管理评审、内部审核和纠正措施。SA8000:2014 PIA 的绩效监控应成为 SA8000:2014 认证组织召开的管理评审会议讨论的一部分
c) Response to any complaints received and the effectiveness of the organization's complaint mechanism (noting that the existence of suggestion boxes that almost never receive any comments are not deemed to demonstrate effectiveness). 对收到的任何投诉的回应以及组织投诉机制的有效性(注意几乎从未收到任何意见的意见箱并不被视为有效)。	d) Worker training and worker awareness and understanding of the client's SA8000 system in place. 工人培训以及工人对客户 SA8000 系统的认识和理解。
e) Effectiveness of the root cause analysis, corrective and preventive action taken as a result of non-conformities raised during the previous audit (s) by the CB including progress against any TB-N/Cs raised. CB 对上次审核期间提出的不符合项进行根本原因分析、采取纠正和预防措施的有效性，包括针对提出的任何 TB-N/C 的进展情况。	f) Effectiveness of the health and safety management system in place, including number of incidents since the previous audit and analysis of any fatalities, any serious accidents, and any potentially hazardous events including fires, spills of toxic chemicals, explosions. 现有健康和安全管理体系的有效性，包括自上次审核以来发生的事件数量以及对任何死亡、任何严重事故以及任何潜在危险事件(包括火灾、有毒化学品泄漏、爆炸)的分析。
g) Activities of the Worker Representative(s) since the previous audit. 自上次审核以来工人代表的活动。	h) Analysis of working hours and remuneration (including during high season, if any) since the previous audit. 自上次审核以来的工作时间和薪酬分析(如果有旺季)。
i) Comparison between in the CB's calculated current living wage and the process and number that is calculated by the certified organization. CB 计算的当前生活工资与认证机构计算的流程和数字的比较。	j) Use of claims made by the client about their SA8000 certified status including the use of CB and SAAS SA8000 mark. 使用客户关于其 SA8000 认证状态的声明，包括使用 CB 和 SAAS SA8000 标志。
k) Update of the client's SA8000 audit records. 更新客户的 SA8000 审核记录。	l) Confirmation that the SA8000 Standard is posted in prominent location(s) including in field offices. The posting of the company's SA policy document only does not satisfy this requirement. 确认 SA8000 标准张贴在显着位置，包括现场办事处。仅张贴公司的 SA 政策文件并不能满足这一要求。
m) A site tour of facilities SHALL be mandatory on every on-site audit. 每次现场审核都必须对设施进行现场参观。	n) Effectiveness of the SPT. An annual meeting only does not usually meet this requirement. SPT 的有效性。仅召开一次年会通常不能满足这一要求。

Table 12 - Mandatory Items to Be Audited During Surveillance Audits
监督审核强制审核项目

7.10.1.9 The client organization's social accountability targets, objectives and performance indicators as described in Table 13 below SHALL be identified and maintained with the client's records so as to show improvement in conformance over time.

下表 13 中所述的客户组织的社会责任目标和绩效指标应与客户记录一起维护，以显示随着时间的推移有在改进。

Each On-Site Surveillance Audit Report SHALL As A Minimum Include a description Of: 每份现场监督审核报告至少应包括以下描述：			
Item	Description	Item	Description
1	Changes to the organization's SA8000 management	9	Comprehensive review of the health & safety

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	system 组织 SA8000 管理体系的变更		conditions within the organization. 全面审查组织内的健康和状况。
2	Changes to the organizational structure 组织架构变更	10	Overall health and safety risk assessment including review of incidents and accidents 整体健康和安​​全风险评估，包括事件和事故审查
3	Progress made against any Time-Bound Non-Conformities corrective action plans 针对任何有时限的不合格项纠正行动计划取得的进展	11	Effectiveness of the organization's complaint mechanism 组织投诉机制的有效性
4	Close-out of non-conformities raised at previous audit - including review of corrective action verification 关闭上次审核中提出的不合格项 - 包括审查纠正措施	12	Effectiveness of the SPT Activities SPT 活动的有效性
5	Evaluation of prior follow-up review actions/recommendations 对先后后续审查行动/建议的评估	13	Worker representative role and activities 工人代表的角色和活动
6	Management systems including management review, internal audit, corrective action 管理体系包括管理评审、内部审核、纠正措施	14	Working hours 工作时间
7	Complaints and grievances and the organization's response 投诉和申诉以及组织的回应	15	Living wage calculation by the organization 公司计算的生活工资
8	Worker training and awareness of health and safety and the SA8000 management system 工人培训和健康与安全意识以及 SA8000 管理体系	16	Use of SA8000 certification logo SA8000 认证 Logo 的使用

Table 13 – Targets & Objectives to Be Audited Each Surveillance Audit

7.10.2 Surveillance Audits – Single Site 单一地址的监督审核

7.10.2.1 E-UNION SHALL conduct site semi-announced audits and follow-up reviews during every three-year certification cycle as defined in Figure 2 and Figure 3, above for scheduling requirements.

E-UNION 应在每个三年认证周期内进行现场半通知审核和跟进审核，如上面图 2 和图 3 中所定义的调度要求。

7.10.2.2 E-UNION SHALL supplement on-site annual audits by conducting follow-up reviews between each on-site audit to ensure that the client continues to monitor and improve its performance (in accordance with Clauses 3.5, 9.4, 9.6 & 9.8 of SA8000:2014).

E-UNION 应通过在每次现场审核之间进行跟进审核来补充现场年度审核，以确保客户持续监控和改进其绩效(根据 SA8000:2014 第 3.5、9.4、9.6 和 9.8 条)。

7.10.2.3 Follow-up reviews (typically around 2 hours in duration, including preparation and reporting time) SHALL be conducted by a qualified Lead Auditor (typically the Team Leader leading the prior audit visit) and SHALL comprise appropriate verbal and other electronic interaction to review evidence with client representatives (via VOIP, document sharing, and similar protocols, or face to face, when appropriate). Follow-up review details and outcomes SHALL be appropriately recorded in client files and made available to a SAAS Auditor upon request.

跟进审核通常持续约 2 小时(包括准备和报告时间)，应由合格的首席审核员(通常是领导先前审核访问的团队负责人)进行，并应包括适当的口头和其他线上互动与客户代表审查证据(通过 VOIP、文件共享和类似协议，或面对面)。跟进审核细节和结果应适当记录在客户文件中，并根据要求提供给 SAAS 审核员。

7.10.2.4 As a minimum, the follow-up review techniques performed SHALL include an explicit and documented review of evidence demonstrating:

所执行的后续审核技术至少应包括对证据进行明确且记录在案的审查，以证明：

a) review of client operations and confirmation of continued appropriateness and accuracy of SA8000 certification scope

审查客户运营并确认 SA8000 认证范围的持续适当性和准确性

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b) confirmation of number of employees, and/or changes to personnel
先前提出的不符合项的进展/结束

c) progress/closure of previously raised non-conformities
确认员工人数和/或人员变动

d) progress being made towards required time-bound N/C criteria
在实现所需的有时限的不符合项标准方面取得的进展

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

组织对健康与安全的承诺，包括组织持续开展的健康安全风险评估所取得的合规结果与相关记录，以及已采取的纠正和预防措施（符合 SA8000 标准第 3.5 条要求）

f) the organization's commitment to its internal 'monitoring', 'complaint management', and 'improvement' processes (per SA8000 requirements 9.4, 9.6 and 9.8).

组织对其内部**监测**、**投诉管理**及**改进**流程的承诺（符合 SA8000 标准第 9.4、9.6 及 9.8 条要求）

7.10.2.5 Additionally, during a "Recertification Follow-up Review" (typically performed off-site 33-35 months after the initial certification), the follow-up review activities shall confirm, and records demonstrate, that all required conditions for recertification have been met. Recertification follow-up review records shall clearly document:

此外，在“再认证后续审核”期间(通常在初次认证后 33-35 个月在场外进行)，后续审核活动应确认并记录证明已满足再认证的所有必需条件。再认证后续审核记录应明确记录：

a) Reconfirmation of SA8000 certification scope 重新确认 SA8000 认证范围

b) Reconfirmation of number of employees 重新确认员工人数

c) Reconfirmation of Certificate and other certification details 重新确认证书和其他认证细节

d) Confirmation that any previously raised Critical or Major non-conformities have been adequately addressed and closed 确认之前提出的任何关键或重大不符合项均已得到充分解决和关闭

e) Recommendation/ Non-Recommendation for continued certification to SA8000 (subject to which, re-certification may be granted or denied by E-UNION's decision-making authority).

继续进行 SA8000 认证的推荐/不推荐(根据情况，E-UNION 决策机构可以批准或拒绝重新认证)。

7.10.2.6 If the follow-up review identifies weaknesses/findings against the performance of the client company to SA8000 requirements 3.5, 9.4, 9.6 or 9.8, then the reviewing auditor SHALL raise a nonconformity citing "inadequate demonstration of commitment to management systems principles within the organization's SA8000 Policy (SA8000, 9.1.2)" and further details/evidence of the infraction(s) as follows:

如果后续审核发现客户公司在 SA8000 要求 3.5、9.4、9.6 或 9.8 方面的绩效存在缺陷/发现，则审核员应提出不符合项，理由是“未充分证明对组织 SA8000 政策（SA8000、9.1.2）内管理体系原则的承诺”以及违规的进一步细节/证据（s）如下：

- In the case of minor, isolated (non-systemic) failure to demonstrate commitment, a MINOR nonconformity shall be raised. Further actions SHALL be reviewed during the next scheduled audit visit.
如果出现轻微的、孤立的（非系统性的）未能证明承诺的情况，则应提出轻微不符合项。应在下次计划的审核访问期间审查进一步的行动。

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- In the case of broad, or systemic, lack of commitment, a MAJOR nonconformity shall be raised. A Special Audit conducted on-site within 8 weeks to review responses and further actions undertaken (potentially leading to a recommendation for suspension of certification).
如果出现广泛或系统性缺乏承诺的情况，则应提出重大不符合项。8周内进行了现场特别审核，以审查答复和采取的进一步行动（可能会建议暂停认证）。

7.10.3 Monitoring Certified Organization Performance and Non-Conformity Trends 监控认证组织绩效和不合格项趋势

7.10.3.1 The performance of the client organization to the requirements of SA8000 SHALL be monitored during each surveillance audit over the certification cycle.

在认证周期的每次监督审核中，应监控客户组织对 SA8000 要求的表现。

7.10.3.2 E-UNION SHALL have a method by which to highlight to each auditor the issues that have occurred at all previous visits to enable that auditor to monitor trends.

E-UNION 应制定一种方法，向每位审核员强调之前所有访问中出现的问题，以便审核员能够监控趋势。

7.10.3.3 E-UNION SHALL also maintain a record of the client's progress of improvement in performance for each SA8000 element and against the PIA in their audit report.

E-UNION 还应在其审核报告中根据 PIA 保存客户在每个 SA8000 要素的绩效改进进度的记录。

7.10.4 Surveillance Audit Worker Interview and Record Review 监督审核人员访谈和记录审查

7.10.4.1 The minimum number of worker files to be reviewed at each surveillance audit SHALL be as defined in Table 14 - Required Minimum Number of Worker Files to Be Reviewed Per Surveillance Audit below.

每次监督审核时要审查的工人档案的最小数量应如下面表 14 - 对于每次监督审核时需要审查的工人档案的最低数量的定义。

Surveillance Audit - No. of Worker Records To be Reviewed			
Column 1	Column 2	Column 3	Column 4
Number Of Employees	Total Individual Employees Interviewed	**Additional Worker Files To Be Reviewed	Total Worker Files & Wage Records Reviewed
1-10	*	*	*
11-25	1	1	2
26-100	1	2	3
101-250	2	2	4
251-500	3	3	6
501-800	5	4	9
801-1200	5	5	10
1201-2000	7	6	13
2001-3000	7	7	14
3001-6000	8	8	16
6001-10000	8	10	18
10000-15000	10	12	22
15001-20000	10	13	23
* Note: * As decided appropriate by the CB Lead Auditor. ** The files of the all the workers interviewed SHALL be reviewed in detail. The other files SHALL be skimmed to look for any obvious anomalies that if found SHALL be investigated further.			

Table 14 - Required Minimum Number of Worker Files to Be Reviewed Per Surveillance Audit

7.10.4.2 The format for the number of workers interviewed and minimum time to be spent on interviews is defined in Table 15. If the auditor has reason to vary from the table provided, this SHALL be documented in the

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client file.

表 15 规定了面谈的工人人数和面谈最短时间。如果审核员有理由与所提供的表格不同，则应将其记录在客户档案中。

Surveillance Audit - Workers To Be Interviewed & Hours To Be Spent On Interviews				
Column 1	Column 2	Column 3	Column 4	Column 5
Number Of Employees	No. Of Individual Interviews	No. Of Group Interviews	Total Employees Interviewed	**Effective Time Spent On Interviews In Hours
1-10	*	*	*	30 mins
1-25	1	[1 Group of 2]	3	30 mins
26-100	2	[1 Group of 2]	4	45 mins
101-250	3	[1 Group of 2]	5	1.5
251-500	4	[1 Group of 3]	7	2.5
501-800	5	[1 Group of 3]	8	4.0
801-1200	5	[1 Group of 2] & [1 Group of 3]	10	5.0
1201-2000	6	[1 Group of 2] & [1 Group of 4]	12	5.5
2001-3000	6	[2 Groups of 2] & [1 Group of 3]	13	6.0
3001-6000	8	[2 Groups of 2] & [1 Group of 3]	15	6.5
6001-10000	8	[1 Group of 2] & [1 Group of 3] & [1 Group of 4]	17	6.5
10000-15000	9	[1 Group of 2] & [1 Group of 3] & [1 Group of 4]	18	7.0
15001-20000	10	[2 Groups of 2] & [2 Groups of 3]	20	8.0
<i>* Note:</i> <i>* As decided appropriate by the CB Lead Auditor.</i> <i>** Approximate time.</i>				

Table 15 - Surveillance Audit Minimum Number of Workers to Be Interviewed

7.11 Re-certification Audits 再认证审核

7.11.1 The process as described in Stage 2 Audits above SHALL be followed for all Recertification Audits. 再认证审核应遵守上述的二阶段审核流程的要求。

7.11.2 The Management System Maturity Declaration Independent Evaluation shall be conducted by Lead Auditor during recertification. The Evaluation approach and process is same as it in the Stage 1/Stage 2 Audit. 再认证审核应由审核组长进行管理体系成熟度独立评价。评价方法和过程与一阶段、二阶段审核一样。

7.11.3 Every recertification audit SHALL reassess the effectiveness of the entirety of the policies and actions defined in the client organization's social management system and the overall effectiveness of that management system in its entirety, taking into consideration internal and external changes which may have affected the social management system.

每次再认证审核均应重新评估客户组织社会责任管理体系中定义的整体政策和行动的有效性以及该管理体系的整体有效性，同时考虑可能影响社会责任管理体系的内部和外部变化。

7.11.4 The recertification activity shall include the review of previous surveillance audit reports and consider the performance of the management system over the most recent certification cycle. **All the open Major NCs shall be closed effectively at least 3 months prior to the Re-certification.**

再认证活动应包括对先前监督审核报告的审查，并考虑管理系统在最近的认证周期中的表现。**所有严重不符合项均应在再认证之前至少 3 个月内予以有效关闭。**

7.11.5 Before re-certification, customers should be completed. Pre-audit questionnaire and Management System Maturity Declaration Self-Assessment.

再认证前，客户应完成新的审核前问卷和管理体系成熟度声明自我评估。

7.11.6 E-UNION SHALL document the process used and outcome for deciding whether a Stage 1 audit is

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necessary for the recertification client. A Stage 1 audit may be deemed necessary if the certified organization underwent a major change since the last certification audit such as a relocation, addition or deletion of locations of the organization or the addition of business processes, and/or shifts patterns.

如果组织自上次审核以来发生以下重大变更时则应进行一阶段审核: 经营地址变更、地址增加、业务过程增加、和/或班次变更。

7.11.7 The audit effort for recertification SHALL be newly calculated based on a documented review of updated information (provided by the certified organization) to consider changes to personnel numbers and other factors. Significant factors to consider SHALL include: the number of personnel, size and geographic spread of facilities, technology in the business services, shift patterns, labour sourcing, and/or a move from dormitories to living outside the factory. Additionally, the following items SHALL be reviewed:

再认证的审核时间应根据文件审查的更新资料重新计算, 考虑到员工数量和其它因素的变化。应考虑的重大变更包括: 员工数量、工厂规模和设施的地理分布、业务技术、班次类型、劳动力来源和/或有宿舍变更为厂区外住宿等。另外, 下述项目应予以审查:

a) progress/closure of previously raised Major and Minor N/C's 之前提出的严重和轻微不符合项整改和关闭进展

b) progress being made towards required time-bound N/C criteria 限期不符合项的整改进展

c) the organization's commitment to its internal 'monitoring', 'complaint management', and 'improvement' processes (per SA8000 requirements 9.4, 9.6 and 9.8). 工厂对内部监督、投诉处理和持续改进过程的承诺

7.11.8 If this documented review above shows that progress has not been made then the audit day reduction as in Clause 6.10.7 a) and b) below SHALL not apply.

如果文件审查表明没有改进, 则上述的审核时间减免就不再适用。

a) In cases where there has been no significant change within the client organization, the amount of audit effort SHALL be no less than 70% of that that used for the initial (Stage 2) Audit.

如果客户没有发生任何重大变更, 则按照不少于二阶段审核时间的 70% 计算;

b) In the case of a significant change, E-UNION SHALL recalculate the number of audit days required based on 70% of what the initial audit would be with the new and updated changes.

如果发生重大变更, 应则按照更新的信息在初审二阶段审核时间 70% 的基础上, 重新计算作为再认证的审核时间。

c) The recertification audit SHALL be performed in line with the timescale as in Figure 2 above.

再认证应按照上图 2 中的时间表来进行。

7.11.9 If an organization has its SA8000 certificate withdrawn by E-UNION for any reason and the client decides, within 6 months, to re-establish its SA8000 certification with E-UNION, then this may be affected in line with the Recertification Audit requirements found in this section of the document. Any requests to re-establish its SA8000 certification after 6 months, or to a new CB, SHALL be treated as a new application and an initial Stage 1 and Stage 2 certification audit shall be required.

如果组织的 SA8000 证书被撤销, 然后在 6 个月内寻求原机构进行认证恢复证书, 则可以按照再认证对待; 如果超出 6 个月或是向新机构申请认证, 则一律按照初次认证审核对待。

7.11.10 If an organization voluntarily decides to cancel its SA8000 certification and then decides within 6 months to re-establish its SA8000 certification with E-UNION, then this may be affected in line with the Recertification Audit requirements found in this section of the document. Any requests to re-establish its SA8000 certification after 6 months, or to a new CB, SHALL be treated as a new application and an initial Stage 1 and Stage 2 certification audit shall be required.

如果组织主动注销 SA8000 证书, 然后在 6 个月内寻求原机构进行认证恢复证书, 则可以按照再认证对待; 如果超出 6 个月或是向新机构申请认证, 则一律按照初次认证审核对待。

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7.11.11 Following expiration of certification, the certification body can restore certification within 6 months provided that the outstanding recertification activities are completed, otherwise at least a stage 2 shall be conducted. The effective date on the certificate shall be on or after the recertification decision and the expiry date shall be based on prior certification cycle.

证书过期后 6 个月内可以恢复认证，否则至少应进行第 2 阶段。证书上的生效日期应在重新认证决定之时或之后，到期日应基于之前的认证周期。

7.12 Transfer Audits 证书转换审核

SAAS accredited SA8000 certification can be transferred, the process is in accordance with applicable provisions in SAAS Procedure 200. If E-UNION receives a request for certification from any previously SA8000 certified client, even if they are not treating this request as a transfer audit, then that E-UNION SHALL formally confer with SAAS to ensure that the client has a clean certification history.

SAAS 认可的 SA8000 认证可进行转换，转换程序依据 SAAS Procedure 200 中关于认证转换的适用规定执行。E-UNION 如果收到了 SA8000 证书转换的申请，可以不接受转换，当作是一个新的认证，但应事前与 SAAS 进行咨询以确保该申请人的认证审核历史是否清楚。

7.12.1 In all cases, E-UNION SHALL obtain a copy of, at minimum, the last 2 SA8000 audit reports produced by the previous CB for review. If these reports are not available (from either the client or the former CB, or with assistance from SAAS) then a transfer CANNOT take place and the client SHALL be considered a new client and an initial certification Stage 1 and Stage 2 audit SHALL be conducted.

任何情况下，E-UNION 应取得至少最近两次的审核报告(可从申请方、之前的审核机构、或者从 SAAS 获得)，如果无法获得审核报告则应按照新客户对待，并实施初次认证一阶段和二阶段审核。

7.12.2 For transfer during or at the end of the certification cycle (i.e. a live and current SA8000 certificate exists), the steps as detailed below SHALL be followed in sequence, before any transfer can occur:

对于认证周期期间或结束时的转让(即存在有效且当前的 SA8000 证书)，在进行任何转让之前，应按顺序执行以下详细步骤：

a) E-UNION SHALL be accredited by SAAS for the country (or countries) of the transferee.

E-UNION 应获得被转让人所在国家/地区的 SAAS 认可。

b) The existing client certificate SHALL be valid, with no open critical or major non-conformities. Organizations whose SA8000 Certificate has expired ARE NOT eligible for this Transfer process and shall be treated as new clients.

现有的客户证书应有效，没有公开的关键或重大不符合项。SA8000 证书已过期的组织不符合此转移流程的资格，应被视为新客户。

c) If open critical or major NCs exist, no transfer SHALL be undertaken until a new certification audit (Stage 1 & Stage 2) is performed. If the client is currently suspended with its existing CB, a transfer may not take place until a new certification audit (Stage 1 & Stage 2) is performed. Any open minor non-conformities SHALL be addressed by a corrective action plan.

如果存在尚未关闭的关键或主要不符合项，则在执行新的认证审核(第 1 阶段和第 2 阶段)之前不得进行任何转移。如果客户当前已暂停其现有 CB，则在执行新的认证审核(第一阶段和第二阶段)之前可能不会发生转移。任何公开的轻微不符合项均应通过纠正行动计划予以解决。

d) E-UNION SHALL formally notify SAAS (and have received an affirmative reply in writing) of the transfer activity upon scheduling and prior to the on-site audit so SAAS may provide input on any known issues or outstanding complaints and/or concerns about the client.

当 E-UNION 接受认证证书转换时，在安排审核后、现场审核前应正式通知 SAAS 并得到其正式答复，以便 SAAS 提供与该客户有关的已知问题或未解决的投诉。

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e) E-UNION SHALL perform and document a review of, at minimum, the 2 most recent SA8000 audit report(s) and all non-conformity findings issued by the former CB, including those previously closed out. 对认证转换进行评审时，E-UNION 应评审至少最近两次的审核报告以及上一家机构开具的所有不符合发现包括已经关闭的不符合。

f) E-UNION SHALL perform and document a basic document review that includes the key indicators of the social management system performance.

E-UNION 应进行文件审查，文件评审时应评审社会管理体系绩效的关键指标。

g) E-UNION SHALL perform and document an on-site audit equivalent to a recertification audit to affect a transfer of certificate; a Social Fingerprint Independent Evaluation shall be conducted as per the recertification requirements.

E-UNION 应进行和记录现场审核，**等同于再认证审核**，并根据再认证的要求进行管理体系成熟度声明独立评价。

h) A new certification cycle shall commence with the issuance of a new SA8000 certificate to a transfer client. 新的认证周期自新的 SA8000 证书签发开始。

i) To mitigate any risk of Conflict of Interest issues, when transferring to E-UNION the audit team used for the transfer audit SHALL NOT consist of any members that had participated in audits in the last cycle for the previous CB. This refers mainly to the use of subcontract auditors that work for several CB's.

为了降低利益冲突问题的风险，在转移到 E-UNION 时，用于转移审核的审核团队不得由参与过上一 CB 上一周期审核的任何成员组成。这主要指为多个 CB 工作的兼职审核员。

7.12.3 Clients certified by organizations not accredited by SAAS are not considered recognized, valid SA8000 certificate holders. Therefore, those clients SHALL NOT be considered eligible to undergo the transfer process and initial certification audits SHALL be conducted. However, E-UNION SHALL read any and all social audit reports available. E-UNION SHALL also report to SAAS any such clients that have received unaccredited SA8000 certificates so SAAS may investigate the organization issuing unaccredited SA8000 certificates. The only exception to this prohibition SHALL be applicant CBs undergoing the accreditation process with SAAS.

持有非 SAAS 认可 SA8000 证书的客户不符合认证证书转换条件，应进行初次认证审核，并且 E-UNION 应向 SAAS 报告，以便 SAAS 对此进行调查。然而，E-UNION 应阅读所有可用的社会审核报告。E-UNION 还应向 SAAS 报告任何收到未经认可的 SA8000 证书的此类客户，以便 SAAS 可以调查颁发未经认可的 SA8000 证书的组织。此禁令的唯一例外是正在接受 SAAS 认证流程的申请 CB。

7.12.4 Transfer requested when a CB is no longer accredited to perform SA8000 audits

当 CB 被撤销 SA8000 审核资质时候的转移审核申请

7.12.4.1 For transfer during or at the end of the certification cycle (i.e. a live and current SA8000 certificate exists), the steps as detailed below SHALL be followed in sequence, before any transfer can occur:

对于认证周期期间或结束时的转让（即存在有效且当前的 SA8000 证书），在进行任何转让之前，应按顺序遵循以下详细步骤：

a) The new CB SHALL be accredited by SAAS for the country (or countries) of the transferee.

新的 CB 应由被转让人所在国家/地区的 SAAS 进行认可。

b) The new CB SHALL formally notify SAAS (and have received an affirmative reply in writing) of the transfer activity upon scheduling and prior to the on-site audit so SAAS may provide input on any known issues or outstanding complaints and/or concerns about the client.

新 CB 应在安排时间并在现场审核之前正式通知 SAAS（并已收到肯定的书面答复）转移活动，以便 SAAS 可以就任何已知问题或未决投诉和/或疑虑提供意见。

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7.12.4.2 E-UNION SHALL perform a SPECIAL VERIFICATION AUDIT as follows:

E-UNION 应按如下方式执行特殊验证审核：

a) If the client is in a Highest-Risk Country then it requires a mandatory 1 day on-site special visit irrespective of company size. This visit SHALL include an onsite review of the clients documented management system, risk assessment, management review, internal audits, SPT Monitoring Activities, Social Fingerprint scores and the previous CB reports for the current cycle.

如果客户位于风险最高的国家/地区，则无论公司规模大小，都需要进行为期 1 天的强制性现场特别访问。此次访问应包括对客户记录的管理体系、风险评估、管理评审、内部审核、SPT 监控活动、Social Fingerprint 评分和当前周期的先前 CB 报告进行现场审查。

b) If the client is in a High-Risk Country then this only requires an offsite review of the client's documented management system, risk assessment, management review, internal audits, SPT Monitoring Activities and Social Fingerprint scores and the previous CB reports for the current cycle. If E-UNION wishes to do an on-site 1 day special audit (as maybe a result of their own certification risk assessment) then they can do this but have to justify why in the client file.

如果客户位于高风险国家，则只需要对客户文件化管理体系、风险评估、管理审查、内部审核、SPT 监控活动和社会指纹评分以及当前周期的先前 CB 报告进行异地审查。如果 E-UNION 希望进行为期 1 天的现场特别审核（可能是他们自己的认证风险评估的结果），那么他们可以这样做，但必须在客户文件中说明原因。

c) In Lowest-Risk Countries E-UNION "picks up" the audit activities in line with the previous CB's program (e.g. Surveillance #2) - and performs a document review of the previous reports only.

在风险最低的国家，E-UNION 根据之前的 CB 计划“接手”审核活动（例如监督 #2），并且仅对之前的报告进行文件审查。

7.12.4.3 A comprehensive audit report of the activities in a) b) or c) above SHALL be produced to enable those responsible for the certification decision to come to the correct transfer decision.

应生成上述 a)、b) 或 c) 中活动的综合审核报告，以便负责认证决定的人员能够做出正确的转移决定。

7.12.4.4 The Special Verification Audit SHALL also review any existing open critical, major, minor and time-bound non-conformities and agree the existing or a revised CAP for the closure of the same. The assigned auditor/audit team SHALL also review the general compliance of the company to the requirements of SA8000.

特别验证审核还应审查任何现有的公开的关键、主要、次要和期限不符合项，并同意现有或修订后的 CAP 来结束这些不符合项。指定的审核员/审核团队还应审查公司是否总体符合 SA8000 的要求。

7.12.4.5 The date of the new certification continuation SHALL be the existing date of the previous CB's certificate unless a re-certification audit was performed and, in that case, the date SHALL be the date of the granting of SA8000 Certification made by those responsible for the certification decision.

新认证延续的日期应为先前 CB 证书的现有日期，除非进行了重新认证审核，在这种情况下，该日期应为负责认证的人员授予 SA8000 认证的日期决定。

7.12.4.6 If the previous CB has already performed their 2nd Annual Semi-Announced audit then, a recertification audit SHALL be performed in lieu of that described in above section.

如果之前的 CB 已经执行了第二次年度半通知审核，则应执行再认证审核来代替上述部分所述的审核。

7.12.4.7 Unless an on-site visit is required, it is expected that the transfer from the previous CB to E-UNION will be made at minimal or reduced cost.

除非需要进行现场访问，否则预计从以前的 CB 转移到 E-UNION 将以最低或降低的成本进行。

7.12.4.8 All transfer activities under this Section SHALL be completed with 10 weeks of the previous CB relinquishing involvement with the Client company (and certificate cancellation) otherwise a new Recertification Audit SHALL be performed.

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本节下的所有转让活动均应在前一个 CB 放弃与客户公司的关系(以及证书取消)后 10 周内完成, 否则应进行新的重新认证审核。

7.13 Special Audits 特殊审核

7.13.1 E-UNION SHALL have a documented procedure that covers the performance of special audits with the possible need for access to E-UNION client's premises (that may be announced, semi-announced, or unannounced) included in the contractual agreement between E-UNION and their client.

E-UNION 应制定书面程序, 涵盖特殊审核的执行情况, 并可能需要进入 E-UNION 客户的场所(可能是宣布的、半宣布的或不宣布的), 并包含在 E-UNION 和客户的双方合同协议中。

7.13.2 E-UNION SHALL document in the client file the reason for the Special Audit, the process used and the outcome of the decision of the Special Audit.

E-UNION 应在客户档案中记录特殊审核的原因、所使用的流程以及特殊审核决定的结果。

7.13.3 Special audits are typically performed for the following reasons:

特殊审核通常发生在以下情况:

a) Extension/expansion of a client organization's scope of SA8000 certification. 扩充 SA8000 认证范围

b) To investigate possible auditor bribery. 调查潜在的审核员廉政问题

c) To investigate a complaint, whether generated internally, from a stakeholder, from a client organization or from SAAS. 调查公司内部、利益相关者、客户工厂或来自 SAAS 的投诉

d) To verify on-site, the effectiveness of a CAP produced by E-UNION Client Organization as response to the raising of a Critical, Major or Time-Bound nonconformity. 现场验证关键不符合项、严重不符合项或限期不符合项整改措施的有效性

e) As the result of issues raised during a Follow-Up Review. 监督文审中提出的问题点。

f) As part of a calibration/duplicate audit process. 作为一种校准或复查的方法

7.13.4 E-UNION SHALL perform duplicate audits on-site each year. A duplicate audit in principle repeats the audit that was performed previously to check if the audit findings are credible. These duplicate audits SHALL be performed as follows:

E-UNION 应对 SA8000 认证每年进行复查审核。复查审核是对之前所做的审核进行重复审核以检查之前的审核结果是否可以信赖。复查审核应基于如下原则进行:

a) A minimum of one duplicate audit on-site for every 100 SA8000 audits globally.
每 100 家 SA8000 审核至少安排一次复查审核。

b) The duplicate audit SHALL be based on a risk assessment. For example,
重复审核必须基于风险评估开展。例如:

one duplicate audit on-site every 2 years of any subcontractors/partner organization operating in high-risk countries;

对于在高风险国家运营的分包商 / 合作组织, 每 2 年开展一次现场重复审核;

one duplicate audit on-site every 3 years of any subcontractors/partner organization operating in low-risk countries.

对于在低风险国家运营的分包商 / 合作组织, 每 3 年开展一次现场重复审核。

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c) The results of these duplicate audits SHALL be made available to the SAAS auditor at the time of the annual Head Office Audit.

复查审核的结果应予以保存并在 SAAS 进行 Office Audit 时予以提供。

7.14 Audit Report and Audit Records 审核报告及审核记录

7.14.1 General Requirements 总要求

7.14.1.1 The audit team SHALL provide a full report on the client's audited activities and operations within 1 month after the last day of each Stage 1, Stage 2, Surveillance, Transfer, Special, and Recertification audit.

审核组应在一阶段、二阶段、监督、转换、特殊及再认证后 1 个月内向被认证企业提供完整的审核报告。

7.14.1.2 Audit team leader will be responsible for the content of the audit report, and sign the audit report for confirmation. Being the records of audit, the audit report should be accurate, concise and clear in order to provide sufficient information for certification decision, and overall evaluation on the suitability, adequacy of establishment and operation of the auditee's management system.

审核组长对审核报告的内容负责，并在审核报告上签字确认。审核报告应提供对审核的准确、简明和清晰的记录，以便为认证决定提供充分的信息，对受审核方管理体系建立、运行的适宜性、有效性、充分性进行总体评价。

7.14.1.3 The SA8000 Audit Team Leader SHALL be responsible for ensuring that comprehensive reporting notes and checklists are completed by all auditors and that these are kept as a record of the audit as hard or soft copies in the client file.

SA8000 审核小组组长应负责确保所有审核员完成全面的报告说明和清单，并将这些记录作为审核记录以硬复印件或软复印件形式保存在客户档案中。

7.14.1.4 As part of the SAAS accreditation audit, following a SAAS witness audit, the CB SHALL provide a copy of their audit report to SAAS [identical to that as provided to their client] within 10 working days after the last day of the on-site audit.

作为 SAAS 认可审核的一部分，在 SAAS 见证审核之后，CB 应在现场审核最后一天后 10 个工作日内向 SAAS 提供审核报告复印件[与提供给客户的报告相同]。

7.14.1.5 Unconfirmed statements or information reported by managers, workers, worker representatives or other stakeholders that are relevant to the process SHALL be recorded and kept as audit notes [maintaining confidentiality of sources] and not be included in the report.

管理人员、工人、工人代表或其他与流程相关的利益相关者报告的未经证实的陈述或信息应记录并保存为审核记录[对来源保密]，并且不包含在报告中。

7.14.1.6 The report SHALL NOT include reference to the root cause analysis, corrective and preventive action proposed by the client organization as this is part of the audit follow-up activity.

报告不得提及客户公司提出的根本原因分析、纠正和预防措施，因为这是审核后续跟进的一部分。

7.14.1.7 At the end of each on-site audit, the audit team SHALL leave a copy of any NCs raised during the audit with the client so the client may begin the process of identifying containment actions, root cause and corrective actions.

在每次现场审核结束时，审核小组应向客户留下审核期间提出的所有不符合项的复印件，以便客户可以开始识别遏制措施、根本原因和纠正措施的过程。

7.14.1.8 The audit report SHALL clearly show the parts of the system that were audited.

审核报告应清楚地显示系统中被审核的部分。

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a) The report SHALL include evidence of positive reporting showing conformance to the elements of the Standard. Positive reporting with supporting details provides value added information to the client and the CB technical reviewer and decision-makers.

报告应包括积极报告的证据，表明符合本标准的要素。带有支撑证据的积极评价的报告可以为客户、CB 技术评审员和决策者提供有价值的信息。

b) The context, findings, and issues against each part of the audit SHALL be included and set out a description of the current situation, how specific requirements are managed, with supporting evidence and information to substantiate any findings.

应包括审核各部分的背景、调查结果和问题，并描述当前情况、如何管理具体要求，并提供支持证据和信息来证实任何调查结果。

or findings and issues as well as the comment on the conformity of the organization's management system with the certification requirements; summarization of all audit findings to judge the ability to meet the specific requirements of the products/service covered in the management system.

或调查结果和问题以及对组织管理体系符合认证要求的评论；总结所有审核结果，以判断是否有能力满足管理体系所涵盖的产品/服务的具体要求。

c) As per the SAAS Procedure 200A:2015 (Audit Requirements for Accredited Certification Bodies For Social Fingerprint) for the integration of the Social Fingerprint Independent Evaluation in the audit report.

根据 SAAS 程序 200A:2015(社会指纹认可认证机构的审核要求)，将 Social Fingerprint 独立评估纳入审核报告。

d) The audit team should pay attention to the contents of each item of positive evaluation, and clearly point out the insufficiency or anything that should be concerned, and strengthened and improved in the operation of the organization's management system, including the uncertainties and obstacles happened that may cause devaluation on the audit conclusion.

审核报告应清晰表明经审核的部分，并包括支持性的证据，对管理体系的符合性、有效性和充分性进行综合评价：包括组织的管理体系与认证要求的符合性评价意见；归纳审核所有发现；应重视正面评价综述的每项内容，同时明确指出组织管理体系运行中不到位或须关注、加强、改进、完善之处；包括所遇到的降低审核结论可靠性的不确定因素和/或障碍。

7.14.1.9 The SA8000 Audit Report SHALL ensure that positive reporting of each SA8000 element is addressed in the report as a macro-area of assessment, with more specific and descriptive notations consistently provided for those issues (single requirements) that are relevant to the specific organization/area. Typically, the report SHALL contain the items in the following Table 29:

SA8000 审核报告应确保有对 SA8000 每个要素的正面进行陈述以获得审核的宏观印象，附加一些该工厂的详细部门或区域。典型地说，审核报告应包括下表中的内容：

a) A brief overall description of the organization being evaluated with some information on the nature of the business, the size, number of employees, shift patterns and makeup of the organization, and attach the CB's regional back ground research materials. 简单描述被评价组织的经营性质、规模、人数、倒班和组织文化的信息，并附加认证机构背景信息研究材料。	b) NCs are referenced to the appropriate clause and reflect the violation expressed from a management system perspective. 不符合项所依据的适用条款并反映出对管理体系的不符合情况。
c) Most importantly- describe where the team proposes accepting a deviation from the wages provision of the standard and raised TB Non-Conformities. This is intended to provide the CB's Certification Decision Maker(s) with adequate information to decide on certification. 更重要的是 -- 描述审核组接受工资与标准的偏离而开具的限期不符合项。此内容应为认证决定人员提供足够的信息以做出决定，为认证机构认证决定人员提供足够的信息来做认证决定。	d) Working hours - e.g. if there is no overtime problem, auditors SHALL report the evidence supporting compliance with the working hours criteria of SA8000, for example that the organization has adequate equipment and staff to fill the orders it has accepted. The method that the organization uses for time and attendance recording SHALL also be described e.g. biometric finger print. 工作时间 -- 如果没有加班问题，审核员应在报告中提供符合 SA8000 工作时间标准的证据。例如该组织有足够的设备和

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	人员来完成它已经接受了订单。还应当说明该组织记录考勤的方法，如指纹打卡。
e) Status of control of suppliers- Include a brief summary on the status of “control of supplier “programs and risk mapping exercise e.g. a brief description of the plan and current results in terms of approved suppliers, demonstrated compliance or pending certifications. 供应商控制的状态--包括简单的“供应商控制“程序及风险的总结。例如批准的供应商、证明一致性或待认证认证的供应商方面的计划和目的。	f) Wages - Provide basic wage information as an example of wages paid. This could be accomplished with a payroll sheet and a brief explanation of wage utilized. 工资 -- 提供基本工资信息，以工资支付为例。这可用完整工资表和工资效用的简要说明来完成。
g) Homework- Include a brief description of home work if/when it is encountered, with an emphasis on the method of control and number of workers involved. 家庭工 -- 包括家庭工作简短说明，着重说明方法控制和工人人数。	h) Freedom of association- Provide a description of the presence of a trade union on site if there is one, or note what trade unions are prevalent or simply recognized in the sector and in the region, the common practice in the industry for representation, and how the employer demonstrates employees’ freedom to form a union of desired. 自由结社 -- 如果存在工会，请描述工会情况；或者说明行业内或地区内比较流行的或者认可的工会组织；关于代表，行业内惯用形式；雇主如何证实员工具有组建工会的自由。
i) Worker Representative – Provide a brief description of how any SA8000 worker representatives or committees were elected and when include any evidence of meetings, minutes, negotiations, and whether workers know their representative. 工人代表 -- 提供 SA8000 关于工人代表或委员会及任何会议、谈判和工人是否知道其代表的证据。	j) Health and Safety- Confirm that conditions in the organization are compliant with local laws and SA8000 minimum standards and SA8000PIA and Guidance Documents. 健康安全 -- 确认组织中关于 SA8000 最低标准和 SA8000 指导性文件的投诉情况。
k) A description of any grievances or complaints received by the organization since the last audit. The process as to how they were investigated and how the identification of the complainant was kept confidential. Include examples if there are many, and any that have remained unresolved for a long period of time. 自上次审核所收到的不满或投诉的描述。调查和识别投诉过程应保密。包括例子，任何长时间未解决的。	l) Description of how previous NCs and the organization’s corrective action from previous NCs has been monitored and closed. 描述以往不符合的关闭及组织改正性措施的监测。
m) Note ‘interview formats’ used - along with reports of information (i.e. number of Interviewees per group, number of groups, on or off site). 注意：采访格式沿用报告信息格式(每组受访人数，组数，是否为现场访问)。	n) The SA8000 audit report SHALL NOT reference buyers or customers of the organization. SA8000 审核报告不应引用组织的买家及客户。
o) Photographs that are taken as evidence as part of the audit shall be included in the audit report. 照片作为审核证据应包含在审核报告中。	p) Management System Maturity Declaration Self-Assessment and Independent Evaluation scores and correlation to NCs as appropriate. 管理体系成熟度声明自我评价和独立评价的分数以及，适用时，与不符合项的关联。
q) A statement outlining the effectiveness of the SPT. SPT 小组持续有效性陈述。	r) A statement outlining the effectiveness of the company complaint mechanism. 工厂申诉机制有效性描述。
s) Improvement Progress by the client against the SF Score, SA8000 Standard and PIA Requirements. 工厂针对管理体系成熟度声明评分、SA8000 标准和绩效指标的改善进展。	
Note: All management and worker interview records SHALL BE treated as confidential and NOT included in the report. 注：所有管理层及工人访谈的记录应保密处理，不得在报告中体现。	

Table 16 – Audit Report Content

7.14.2 Audit Report Review 报告审查

- EVERY Audit Report SHALL be subject to a process and technical review. For SA8000 Certification, the E-UNION’s Technical Committee will be responsible for the Technical Review.

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每一份审核报告都应经过技术审查的流程。对于 SA8000 认证，技术委员会负责这个一项技术审查。

- All Report Reviewers SHALL be as a minimum Lead Auditor (See also SAAS Procedure 201B).
所有的报告审查人员至少应获得主任审核员 LA 的资格。
- E-UNION SHALL establish Report Review Outcome KPI's for each Auditor. The result of which SHALL be factored into the Auditor review and competence monitoring process.
E-UNION 应为每一名审核员建立报告审查结果的 KPI，报告审查的结果应纳入审核员评估和资格监督流程。
- Outcome KPI's SHALL include but are not limited to:
报告审查结果的 KPI 应包括但不限于以下：
 - a) An analysis of the turnaround time (TAT) from the last day of the audit until when E-UNION receives the complete audit package for technical review. Auditors with persistently tardy performance SHALL NOT BE USED.
对审核员提交审核报告的周转时间(TAT：从现场审核完成的最后一天起算到提交技术委员会执行报告审查的时间)进行分析，经常延迟提交审核报告的审核员不应继续使用。
 - b) An analysis of the number of N/Cs raised by each audit team member per audit*.
每一名审核员在每一次审核中所签发的不符合项的数量分析。

** Note: Typically, if this is less than 1.3 non-conformities per audit then the Auditor should be further investigated for possible “soft auditing/soft grading”.*

通常，如果某个审核员在一次审核过程中所签发的不符合项数量少于 1.3 个的话，该审核员应当被进一步调查可能存在的“审核宽松/评分宽松”。

7.14.3 Audit Records 审核记录

E-UNION SHALL maintain, as a minimum, the records in the following Table 30 with respect to all on-site audits performed.

E-UNION 至少应保存下表 30 中做列出的所有现场审核记录。

- a) These records may be kept as either hard or soft copies in the client file for the length of the certification cycle plus 3 years.
这些审核记录可以是纸质文档或电子文档，保存在客户档案中，保存期限为一个认证周期+3 年(从认证流程开始日期计算，保存 6 年)。
- b) Copies of all audit plans, audit reports, and non-conformities SHALL be available in soft copy at the E-UNION's Head Office (as defined in SAAS Procedure 201A).
所有审核计划、审核报告和不符合项应以电子文档形式保存在 E-UNION 总部办公室。

a) Copies of scheduled audits showing time and assigned auditors. 展示审核时间和负责审核员的审核排期复印件	b) Calculation of audit effort. 审核人天数的计算
c) Signed copies of Code of Ethics/ Anti-bribery Form. 已签署的公司行为准则/反腐败声明	d) Opening and Closing Meeting Attendee Lists. 首次会议和末次会议签到表
e) Notes/minutes from stakeholder consultations and other pre-audit research. 利益相关方咨询和其它审核前调查的记录	f) Explanation of living wage calculation of both E-UNION and client organization. 认证机构和工厂双方的生活工资计算方法
g) Client's completed application form. 客户完成的认证申请表	h) Pre-assessment reports, if conducted. 预审核报告，如有执行的话
i) Document reviews performed for initial and transfer audits. 初次审核和再认证审核的文件审查记录	j) Stage 1 readiness review report, including the evidence that all requirements of SA8000 are addressed by the certification applicant's process.

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	一阶段审核报告，包括被认证工厂陈述 SA8000 所有要求的证据
k) The audit plan (agenda) for each audit demonstrating auditor itinerary details, time frames, subjects (processes) covered, and personnel involved. 每一次审核的审核计划，展示审核员具体行程、时间表、审核所覆盖的流程或主题，及参与人员	l) The final audit report, including the opening and closing meeting attendance records, photographs, positive reporting notes and checklists completed by each auditor and the audit team, and their recommendation regarding granting or continuation of certification. 最终审核报告，包括考试和末次会议签到表、照片、正面审核发现点、每一个审核组成员的检查表、以及推荐或维持认证的建议
m) Copies of all non-conformities issued, audit reports, follow up reports, and other documentation leading to the verification of the effectiveness of the correction of the non-conformities. 所有签发的不符合项、审核报告、监督报告、及其它用于验证不符合项整改有效性证据的复印件	n) Audit logs/notes as maintained by each audit team member. 审核组每一个成员的审核经历表/审核笔记
l) The audit team members' initial assignment approval by E-UNION and acceptance of each team member by the client organization. E-UNION 初始批准的审核组成员安排及客户最终接受的安排	m) Social Fingerprint Self-Assessment and Independent Evaluation scores. 管理体系成熟度声明自评和独立评价报告
q) Brief overview of the client's compliance with the requirements of the SAAS Performance Indicator Annex. 工厂符合 SA8000 绩效指标的简要概述	r) Copy of the Organization's "SITE or Factory Layout PLAN" 工厂平面布置图复印件

Table 17 - Audit Records List

c) Records SHALL be maintained in a language common to the local offices and auditors and the SA8000 head office for E-UNION. ALL certification records SHALL be made available, via translation if necessary, for review by the SAAS accreditation auditor upon request.

记录应以当地办事处、审核员以及 E-UNION SA8000 总部通用的语言保存。所有认证记录均应提供(如有必要, 可通过翻译)供 SAAS 认证审核员根据要求进行审查。

8. Validity, Surveillance and Maintenance of the Certification 认证资格的有效性、监督和维护

Maintaining certification requires the certified Organisation to be able to demonstrate:

维持认证资格要求获证组织能够证明：

- Implementation of corrective actions planned to solve non-conformities in the given timeframe;
在规定的期限能够执行解决不符合项的纠正措施计划。
- Conformance of the Social Accountability System to the reference standard;
遵守社会责任体系相关标准。
- Meeting the deadlines for payments agreed upon.
遵循约定的付款期限。

During the validity of the Certificate:

在证书有效期内：

- The Certified Organisation shall timely inform in writings the E-UNION Auditing Office on any significant change within the scope of the certification affecting both the Organisational structure and the documentation of the Social Accountability System. Such notification must be provided within thirty (30) working days from the change taking place and anyway fifteen (15) working days before the next surveillance audit;
获证组织必须要及时书面通知 E-UNION 审核办公室任何影响认证范围、包括组织架构及社会责任体系文件的重要变化。该通知必须要在发生变更之日起的 30 个工作日内提交并且是在下一次监督审核之前 15 个工作日。
- Depending on the type of changes that have been made, further audits may be planned to assess the impact of the changes on the Social Accountability System;
基于变更的类型，可能需要策划进一步的审核来评估这些变更对社会责任体系的影响。

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- c) Qualified auditors appointed by the E-UNION Auditing Office periodically runs surveillance audits of the Social Accountability System of the Organisation. As per the requirements of SAAS Procedure 200, the surveillance audit includes Desk-top Follow-up Review and On-site Surveillance Audit. The Surveillance Audit Arrangements shall be defined in the Certification Contract or Quotation Form. All the on-site Surveillance audit is a Semi-announced.

由 E-UNION 审核办公室任命的有资格的审核员定期对组织的社会责任体系进行监督审核。根据 SAAS Procedure 200 的要求, 监督审核分为文件审查和现场审核, 监督审核安排应在认证合同或报价表中予以清楚定义。所有的现场监督审核都是半通知的

- d) The E-UNION Auditing Office has the right to perform supplementary audits of the Social Accountability System of the certified Organisation anytime and for any reason deemed appropriate (i.e.: claim directly or indirectly submitted by clients of the certified Organisation or by other stakeholders, in case the annual “budget” of the days agreed within the contract for the surveillance audits will be depleted);

E-UNION 审核办公室有权在任何时间和基于合理的判断的任何理由(例如:由获证组织的客户直接或间接提出要求、或其他利益相关者提出要求, 在合同里约定的年度监督审核人天数需要用完), 对获证组织的社会责任体系执行补充审核。

- e) In case Major Non-conformities or persistent problems should not be tackled by the Organisation, the E-UNION Auditing Office might plan unannounced audits besides that described in point c).

如果存在严重不符合项或一直存在的问题未被获证组织解决, E-UNION 审核办公室可能需要策划几次上述 c)条描述之外的未事先通知的突击审核。

The frequency of the surveillance audits is set following what established in the SAAS' Procedure 200, that is:
监督审核的频率是根据 SAAS 程序 200 设定的, 即:

- **First Cycle of Certification:** for the first 3 years of the certification, surveillances are mandatory on-site Semi-announced audit after 6th and 18th months, with the exception of the cases in which the organization (with 10 or less employees) requests a different procedure.

第一个认证周期: 第一个3年的认证, 第6个月和第18个月的监督审核是强制的半通知现场审核, 除非是小微组织(少于10名员工)。

- **Certification Renewal:** During the three years of the certification process, based on the risk assessment outcomes, E-UNION will decide whether the Unannounced audit will be performed. In case during the three-years cycle, major CARs (or repeated minor CARs on the same issue) will be raised among other concerns, this will indicate the need for additional unannounced audits.

再认证: 在三年审核的过程期间, E-UNION会基于风险评估的结果确定是否需要执行不通知审核。如果在三年审核周期期间, 严重不符合项(或在同一个问题点上重复出现轻微不符合时)将会表明需要更多的不通知审核。

- **Special Audits:** In accordance with SAAS Procedure 200 and E-UNION's Certification Audit Procedure, special audits may be arranged during the 3-year audit cycle. These special audits may be occurred in the form of Duplicate Audits, SAAS Market Surveillance Visits, Witness Audits by SAAS and/or E-UNION. The organization cannot refuse them whatever they are announced, semi-announced or unannounced audits.

特殊审核: 根据SAAS 和E-UNION认证程序文件的要求, 在一个3年认证周期内, 有可能会安排一些特殊审核, 包括: 复查、SAAS市场监察、见证审核。获证组织不可拒绝这些特殊审核, 不管是通知、半通知或不通知的审核。

The total number of man/days during the maintenance period is calculated on an annual base and spread on each six-month/annual audit taking into account the planning needs of both the audit team and the organization itself. 在证书维护期间的总人天数是基于年度人天数计算的, 并且根据审核组和机构的要求分配到每次监督审核。

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In case CARs of situations that, on E-UNION's opinion require a closer audit period, the time between surveillance audits could be shorter than 6 months.

在需要解决纠正措施要求情况下，E-UNION 可要求更短的审核间距，监督审核的间距也可能少于 6 个月。

In order to avoid problems arising from partial or total interruption of the working activities in correspondence with the unannounced audit, the Organisation shall:

为了避免在突击审核时引起部分或完全中断工作活动的问题，获证组织必须：

- Notify possible closure times planned (e.g., days-off, maintenance of equipment, holidays, etc.) at least two months in advance with respect to the timeframe set for the unannounced audit;
在设定的突击审核期间，至少要提前 2 个月通知审核机构可能的计划停工事件(如放假、设备维护、假期等)。
- Notify possible extraordinary closure times at least seven days in advance with respect to the timeframe set for the unannounced audit.
在设定的突击审核期间，至少提前 7 天通知可能的额外停工时间。

NOTE: the brief related to the Organisation is submitted to the Certification Manager and Technical Committee with a request for suspension of the certificate in cases described in Article 11 of the Rules for Certification.

注意：根据认证规则中第 11 条所描述的证书暂停申请，将提交给认证经理和技术委员会。

9. Renewal of the Certification Contract and of the Certificate 认证合同和认证证书的更新

Prior to the 6 months of the expiration of validity date of the certificate, the Organisation may apply for renewal of the Certification Contract. Upon acceptance of the application and following successful re-assessment of the Social Accountability System of the Organisation (carried out before the expiration of the Certificate), the Certification Contract is renewed and new Certificate issued.

在证书到期月份之前 6 个月，组织需要申请更新认证合同。接受申请并且之后对组织的社会责任体系重新审核通过(需要在证书过期之日前执行)，认证合同予以更新并将颁发新证书。

Assessment mentioned above is carried out according to Article 7 above (SINGLE-STAGE CERTIFICATION AUDIT). 单一阶段的再认证审核是根据上述的第 7 条(单一阶段认证审核)执行的。

10. Extension/Reduction of the Scope of Certification 扩大/缩小认证范围

Changes in the scope of certification, i.e. in the scope of implementation of the Social Accountability System of the Organisation, to include products/services different from those covered by original certification of the Social Accountability System can be requested by submitting a new Application Form specifying the new scope or can be requested by the Audit Team.

变更认证范围，即：组织社会责任体系实施的范围，包括产品/服务不同于初始社会责任体系认证范围，组织可提交一份新的《认证申请表》来说明新的认证范围，或者由审核组来提交变更要求。

The E-UNION Auditing Office and E-UNION review the documentation and decide whether a further audit has to be carried out or whether on-site verification can be carried out during the next surveillance audit.

E-UNION 审核办公室和 E-UNIONHQ 将审查申请文件并决定是否需要安排一次审核或可在下一次监督审核时执行现场审核。

Depending on the specific change to the scope of certification, the Certification Contract might be subject to amendment.

基于变更后的认证范围，认证合同可能会予以修正。

11. Suspension and Withdrawal of the Certification 暂停和撤销认证证书

The Technical Committee convened by E-UNION may, at its sole discretion, proceed to the suspension of the

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certificate of the Organisation for a three-months time if it is ascertained that the Organisation:
E-UNION 召集具备唯一自由裁量权的技术委员会，如果确实发现获证组织存在以下情况，则对获证组织执行为期三个月的证书暂停：

- Has failed to pay fee related to the Certification Contract;
没有按照认证合同约定的条款支付费用。
- Has undergone major Organisational changes that require the Organisation to suspend implementation of the Social Accountability System;
经过了重大的组织变更，需要获证组织暂停执行社会责任体系。
- Has made improper use of the Certification obtained and of its trademark;
不当使用证书及其商标。
- Has failed to complete in an adequate manner (i.e. implements adequate corrective actions) the management-cycle of the Required Corrective Actions (i.e. the Organisation submits the Corrective Actions – the Lead Auditor evaluates them as appropriate – the certification body provides positive feedback) within **one month before** the timeframe set by E-UNION to carry out surveillance audits: this case leads to the Certification Committee receiving a proposal for suspension **automatically**. Once the management-cycle of the Corrective Actions Required has been completed in an adequate manner and the Corrective Actions Required receive positive evaluation, the case is brought back to the Certification Committee to have the suspension revoked;
未能在适当的方式下完成(如:执行适当的纠正措施)纠正措施要求的管理循环(如:组织提交纠正措施，审核组长评估他们-认证机构提供积极的反馈)在 E-UNION 设定的时间之前的一个月內执行监督审核：这样就会导致认证委员会自动收到暂停证书的建议。如果纠正措施要求的管理循环以一个适当的方式完成并且纠正措施收到积极的评估，那么将会提交认证委员会来取消暂停。
- Has failed to implement, even partially, its improvement plan;
没有执行，甚至部分执行及其改善计划。
- Is not willing to be audited in the timeframe established by the E-UNION Auditing Office;
不愿意在 E-UNION 审核办公室安排的时间上执行审核。
- Has received a request for a major Corrective Action Required or for a number of minor Corrective Actions Required jeopardizing the overall conformity of the system and/or has received a motivated negative opinion by the auditors;
有收到严重不符合项或许多轻微不符合项并危害到系统的一致性和/或收到来自审核员的负面评论。
- Has been the object of claims, supported by adequate objective evidences, lodged by interested parties outlining shortcomings of the Social Accountability System.
有足够的客观证据证明拒绝请求，由利益相关者提交的社会责任体系缺点纲要。

During suspension, the Organisation shall nevertheless pay annual fees provided for by contract to maintain certification.

在暂停期间，获证组织仍然需要按照认证合同中约定的条款来支付款项以维持认证证书。

The Technical Committee revokes suspension only when complete solution of problems that caused the suspension has been ascertained and proper documentation proving such solution has been provided to the Technical Committee.

技术委员会取消暂停，仅当引起暂停的问题已经完整改善并将此解决方案提交给技术委员会。

Expenses for related audits are charged to the Organisation.

审核的相关费用由获证组织负责支付。

In case certification is suspended for reasons requiring more than three months to be managed, the Organisation may submit to the E-UNION Auditing Office a motivated request for prolonging the time period of suspension. The request is forwarded to the Technical Committee that may approve or reject such request and sets the lapse of time before taking the decision of either revoking the suspension or revoking the certification.

如果证书暂停的原因需要三个多月的管控期，则组织要 E-UNION 审核办公室提交给延长证书暂停时间的申请。

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该申请被转至技术委员会，可能接受或拒绝该请求，并且在决定是否取消暂停或取消证书之前设定截止期限。

E-UNION may at its sole discretion **revoke** certification where:

E-UNION 可以在以下情况下利用其唯一自由裁量权来取消证书：

- Causes determining suspension have not been eliminated within the given timeframe;
在给定的时间期限内引起暂停证书的原因没有被消除。
- The Organisation is not willing to be audited or hampers the carrying out of the audits;
组织不愿意被审核或妨碍执行审核。
- The Organisation makes improper use of the certification mark or does not comply with the requirements of these Rules for Certification;
组织不当使用认证商标或没有遵循认证规则的要求。
- The Organisation does not abide by the law, the Rules for Certification and any other contractual provisions;
组织不遵守法律、本认证规则或任何其他合同的规定。
- The Organisation incurs in legal prosecutions that, due to their number or type, impact on the Social Accountability System to the extent of compromising the image of the certification achieved;
组织引起法律诉讼，基于其数量或类型，在某种程度上影响社会责任体系的认证。
- One of the cases listed in the paragraph regulating suspension of the certificate takes place in a particularly severe way;
出现其中一个问题并以一个特别严重的方式暂停证书。
- The Organisation means not to abide by the Rules for Certification and/or by E-UNION's specific requirements, thus voluntarily waiving certification and/or its maintenance or renewal, as granted by Article 16.
组织不遵守认证规则或 E-UNION 的特殊要求，因此自愿放弃认证或其证书的维护或更新，见第 16 条规定。

All suspension or revoke decisions are notified to the Organisation and posted on the List of Certified Facilities. The E-UNION Auditing Office and E-UNION HQ reserve the right to communicate by press or web such decisions and related reasons and to inform the interested parties.

所有的暂停或取消证书的决定都会通知获证组织并且公告在获证工厂名单中。E-UNION 审核办公室和 E-UNION 总部保留权利通过出版物或网络来通知利益相关方。

In case certification is revoked, the Organisation is required to pay additional charges met by the E-UNION to manage the process of revoking the certificate: fee to be paid by the Organisation is 50% of the overall amount foreseen until the expiration of the contract (including surveillance audits).

在证书被取消的情况下，要求获证组织支付额外的费用来满足 E-UNION 取消证书的过程：组织需要支付总预算费用的 50%直到合同到期(包括监督审核)。

Should the Organisation be willing to re-apply for certification after its certificate being revoked, it shall submit a new Application Form not before six months after the notification of the certification being revoked and shall undergo the complete certification cycle. Said new Application may be accepted or rejected.

如果组织在证书被取消后想重新申请认证，组织需要在正式被通知取消证书之后 6 个月内并且要经历一个完整的认证周期。新的申请可能被接受也可能被拒绝。

12. Use of the trademark “SA8000® Certified Organisation” “SA8000® 获证组织”如何使用商标

The trademark “SA8000® Certified Organisation” may be printed on Organisation's headed paper and documents under the following conditions:

在以下情况下，“SA8000®获证组织”商标可以印刷在获证组织的信笺和文件上：

- a. The mark is used in conjunction with the name or trademark of the Organisation;
标志结合组织名称或组织商标使用。
- b. The mark is not more visible/evident than the trademark of the Organisation;
该标志不比组织商标更为可见/明显。
- c. It is unmistakably stated that the mark relates to the Social Accountability System of the Organisation and

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does not relate to its products/services;

准确描述该标志是组织社会责任体系认证，而并非产品/服务认证。

- d. Existing limitation to the scope of application of the Social Accountability System are clearly indicated.
清楚描述组织社会责任体系的认证范围。

Further details are provided to the Organisation by means of a specific procedure Guidelines for the Use of the Collective Mark of Certification, regulating advertising and use of the mark. The procedure is sent to the Organisation and is incorporated in the present Rules for Certification.

更多详细要求在提供给组织的《认证标志使用指南文件》中，规定了广告和标志的使用。该程序会提供给获证组织并且已经整合在本认证规则中。

The certified organisation can also use the trademark of SAAS, the accreditation Body, for its own advertisement and stationery material, but only if the trademark of SA8000® Applicant or of SA8000® certified organisation is associated. The trademark can be used only with the respect of the following conditions.

获证组织也可以使用认可机构 SAAS 的商标，用于其广告和文具，但是必须和 SA8000 获证组织标志联合使用。仅仅在符合以下条件时方可使用 SAAS 商标。

The SAAS SA8000® trademark must be reproduced:

SAAS SA8000® 商标必须按照以下要求复制：

- In the specified colour or in the main colour of the headed paper or print;
使用信笺或印刷品的主要颜色或指定颜色。
- On a clearing contrasting background; the trademark may be reversed (i.e., negative of the above-example)
背景对比度鲜明时，标志可以反色使用（即：上述颜色的反色）。
- If the background where the trademark is copied is dark enough for it to identify the whole trademark;
标志复制的背景颜色是否足够深，以便于辨识整个商标。
- In a dimension that allows all the part of the trademark to be clearly distinguished;
尺寸方面，需要可清楚辨识标志的各个部分。
- The trademark dimension shall not differ from the dimension of the trademark of SA8000® Certified organisation;
标志尺寸不得异于 SA8000® 获证组织标志。

Further specifications can be found in the SAAS Procedure 426 “CONDITIONS FOR USE OF THE SAAS ACCREDITATION MARK FOR SA8000®”.

更多详细要求可参照《SAAS Procedure 426 - SAAS 认可 SA8000 标志使用条款》。

13. Payments and Validity of the Application for Certification/认证申请费用支付和有效性

The Organisation applying for certification shall:

申请认证的组织需要：

- Remit payment of the services supplied by the E-UNION Auditing Office as specified in the contract and all travel, accommodation, and subsistence expenditures, supported by documents, met by the auditors;
支付 E-UNION 审核办公室在认证合同中约定的服务费用和审核过程中所产生的所有差旅费、住宿和餐饮开支，基于审核员提供的支持票据。
- Remit payment of related fiscal charges;
支付相关财务费用。
- Commit to undergo the Stage 2 certification audit not more than 12 months after the submission of the Application Form. If the Organisation fails to do so, fees paid will not be refunded and a new application process must be started.
承诺在提交认证申请表后 12 个月内进行第二阶段审核。如果组织没有做到，已付的费用将不会退还，只能重新开始申请。

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14. Appeals 申诉

The Organisation undergoing the process of certification can appeal against decisions by the Technical Committee explaining the reasons for doing so not more than thirty days after notification of the decisions.

接受认证过程的组织可以投诉技术委员会的决定, 技术委员会要在通知决定后 30 天内予以解释其决定的理由。

E-UNION HQ notifies, possibly via the E-UNION Auditing Office, the appellant Organisation decisions made and related motivations within sixty days from the submission of the appeal.

E-UNION 总部自己或通过 E-UNION 审核办公室, 在提交投诉后 60 天之内, 通知投诉组织对投诉的处理结果和相关动机。

15. Fee Schedule 费用

Fees applied to the services are established by the E-UNION Auditing Office and may be subject to periodical unannounced variations, the keeping of contractual obligations already in place holding still.

由 E-UNION 审核办公室确定的认证服务申请费用, 可能会进行定期的无需事先告知的变动, 在合同条款中已经提及。

16. Rights and Obligations of the Certified Organisation 获证组织的权利与义务

The certified Organisation has the right to:

获证组织有权:

- Use the certified Organisation Mark complying with what provided for in the Rules for certification and the Conditions for the Use of the Mark;
按照认证规则及认证标志使用条款的规定, 使用认证标志。
- Communicate in a veritable way the certification gained;
以名副其实的方式宣传所取得的证书。
- Not comply with the Rules for Certification and/or any other requirements imposed upon it by E-UNION, thus voluntarily waiving certification and/or its maintenance and renewal.
不符合认证规则和/或其它 E-UNION 的规定, 意味着自愿放弃认证和/或证书维护及更新。

The Organisation has the obligation to:

获证组织有义务:

- To notify the E-UNION Auditing Office in advance of any of the following variations:
以下变动需要提前通知 E-UNION 审核办公室:
 - o Changes to name or form of the Organisation;
组织名称或形式变更。
 - o Changes in the Organisational structure;
组织架构变更。
 - o Changes in the activates covered by the scope of certification;
认证范围变更。
 - o Changes in the Social Accountability System;
社会责任管理体系变更。
- Before every audit takes place, provide the E-UNION Auditing Office the updated list of temporary site or detached units/branches included in the scope of certification;
在每次审核之前, 提交给 E-UNION 审核办公室更新的临时场所地址或分离单位/分公司清单。
- Communicate its certification to be limited to the production sites included in the scope of certification and to be limited to the time of validity of the certificate;
宣传证书仅限于认证范围内的生产场所和证书有效期内。
- Make sure no document or declaration related to the certification is issued that the E-UNION Auditing Office may deem prejudicial, misleading, or unauthorised;
确保不得发布对 E-UNION 审核办公室不利的、产生误解的或未经授权的与认证相关的文件或声明。

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- Hand the certificate back in case of expiration, modification of the scope, revocation;
交回过期、认证范围修改、取消的证书。
- Stop using communication and promotional material containing reference to certification in case of expiration, suspension, revocation of the certification;
在证书过期、暂停、取消的情况下，禁止进行宣传和促销。
- Upon request, provide the E-UNION Auditing Office the records of all claims and corrective actions implemented and the documentation of possible current or terminated legal lawsuits related to the activities to which the Social Accountability System certified by Certification Committee convened by E-UNION is applied.
一经要求，需要向 E-UNION 审核办公室提交所有声明和纠正措施的实施记录，及可能当前的或终止的与 E-UNION 认证的社会责任体系活动有关的法律诉讼文件。

The Organisation is the only liable party for the fulfilment of any request imposed upon it by its clients on matters that may be related to SA8000®-relevant issues.

获证组织是唯一有责任满足以上任何的由其客户提出的与 SA8000 有关要求的团体。

17. Applicable Law and Jurisdiction 适用法律和司法管辖

This regulation is governed by Hong Kong SAR law. Any dispute concerning this Agreement - including those related to its validity, execution, resolution, settlement, and payment of debts/credits - will be settled by binding arbitration governed by the Regulations of the Chamber of Arbitration of the Chamber of Commerce of HONG KONG SAR / CHINA, hereinafter referred to as the Regulations, and by a single arbitrator appointed in accordance with the Regulations. The place of arbitration shall be HONG KONG SAR / CHINA. The arbitration shall be in English/Chinese.

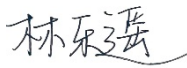
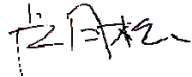
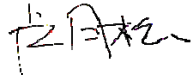
本认证规则受香港特别行政区/中国大陆法律管辖。所有有关本合同争议，包括其效力、执行、决定、解决方案、期数、及债务/信用卡的偿还等，将提交香港特别行政区/中国大陆国际商会仲裁条例来处理，此处所称的规定，系指根据条例委任单一仲裁机构。仲裁地应是香港特别行政区/中国大陆，仲裁语言应是英语/中文。

Notes and Reminders 注意事项

- 1) The E-UNION Auditing Office is available to provide clarifications on the content of this document.
E-UNION 审核办公室可以对这份文件予以说明。
- 2) E-Union Auditing Office should send this Rules of Certification together with the Certification Contract to the Applicant.
E-Union 审核办公室应当将本认证规则合同认证合同一起传达给申请组织。
- 3) Signing the SA8000 Certification Agreement implies full comprehension and full acceptance of this Rules.
签署 SA8000 认证协议意味着签署人已经完全理解并完全接受本认证规则。
- 4) The Applicant shall read this Rules of Certification carefully prior to sign the Certification Contract.
SA8000 申请组织应在签署认证合同之前认真阅读本认证规则。
- 5) The Audit Team should verify whether this Rules have been understood by the SA8000 Applicant during Stage 1 Audit.
审核组应当在一阶段审核期间验证申请组织是否已经了解本认证规则的要求。

End of this document. 文件内容到此为止。

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Document Revision Records					
No.	Date	Description of Change	Prepared By	Reviewed By	Approved By
1.0	June 30, 2022	Initial Release	Leyao Lin 	Mike Lee 	Yuesong Lu 
2.0	April 30, 2025	Revised the following clauses: 6b) delete the requirement of collecting <u>the Code of Ethics</u> , the <u>Rules for Certification</u> , and the <u>MSMD Self-Assessment Form</u> . 17) delete the requirement of signing back this document by the Client.	Liang Jiamin 	Mike Lee 	Yuesong Lu 
3.0	December 20, 2025	Revised the following clauses: 7) Describe the Certification process in details, add the contents of Application review, Audit scheme, Audit report, Audit days rules, etc.	Liang Jiamin 	Mike Lee 	Yuesong Lu 