

IQNet Ltd	SA8000 Certification Rules SA8000 认证规则	I 011-SA
IQNet Ltd Bollwerk 31 CH-3011 Bern Switzerland Phone: +41 31 310 24 42 E-mail: iqnetltd@iqnet.ch Website: www.iqnet-ltd.com		



CERTIFICATION RULES

认证规则

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1 PURPOSE

目的

- 1.1 This document defines the requirements to be met by an organization applying for social accountability management systems certification, in compliance with SA8000 International Standard, including the procedure for obtaining, maintaining, extending, reducing, suspending or withdrawing IQNet Ltd SA8000 certification.
本文件确定了组织申请符合SA8000 标准的社会责任管理体系认证需满足的要求，包括 IQNet 有限公司SA8000 认证的获取、维持、范围扩大、范围缩小、暂停或撤销等程序。
- 1.2 These Certification Rules constitute a fundamental basis of the SA8000 certification process and are an integrating part to the Certification Contract (I 009-SA).
这些认证规则构成了 SA8000 认证流程的基础，是《认证合同》（I 009-SA）不可分割的一部分。
- 1.3 IQNet Ltd SA8000 Certificate provides confidence that the certified organization:
IQNet 有限公司授予SA8000 证书，即确信获认证组织：
- has documented and implemented a management system in compliance with the requirements of SA8000 Standard and the SA8000 Performance Indicator Annex;
制定并执行了符合 SA8000 标准和《SA8000 绩效指标附录》要求的管理体系；
 - is capable of meeting its documented policies and procedures.
能够满足已形成文件的政策和程序的要求。

2 SCOPE AND REFERENCES

范围与参考文件

- 2.1 IQNet Ltd is a Corporation pursuant to section 620 at seq. of the Swiss Code of Obligations, with its registered office in Bern/Switzerland. The duration of the Corporation is unlimited.
IQNet 有限公司为遵照《瑞士债法》第 620 条成立的公司，注册办公所在地为瑞士伯尔尼。公司注册有效期没有期限。
- 2.2 The owner of IQNet Ltd is IQNet Association, composed by partners active in the management system certification worldwide.
IQNet 有限公司的所有者为国际认证联盟（IQNet），该联盟由全球范围内从事管理体系认证活动的合作机构组成。
- 2.3 IQNet Ltd offers assessment and certification services for SA8000 under the accreditation and recognition of SAAS (Social Accountability Accreditation Services) - a division of SAI (Social Accountability International). IQNet Ltd can provide SA8000 certification services at the international level, by using IQNet Ltd qualified auditors.
IQNet 有限公司提供的审核与认证服务获得位于纽约的社会责任认可服务组织（SAAS）——社会责任国际（SAI）的分支机构——的认可。通过调派有资质的审核员，IQNet 有限公司可在全球范围内提供 SA8000 认证服务。
- 2.4 SA8000 audits follow the rules defined by SAAS in its accreditation procedures, related advisories, notifications and SA8000 International Standard and related supporting documents.
SA8000 审核遵循 SAAS 制定的认可程序、相关公告、通知、SA8000 国际标准和相关支持性文件的规定。

- 2.5 With the accreditation of IQNet Ltd by SAAS, successfully SA8000 assessed clients by IQNet Ltd will receive their accredited SA8000 certificate.
IQNet 有限公司经 SAAS 认可，因此成功获得 IQNet 有限公司 SA8000 审核的客户将会获得经 SAAS 认可的 SA8000 证书。
- 2.6 IQNet Ltd ensures that its services are credible and reliable; focused at adding value to the certified clients and its stakeholders.
IQNet 有限公司确保其提供的服务可信、可靠、公正；并着眼于为获认证客户及其利益相关方创造增加值。
- 2.7 IQNet Ltd ensures that its services are impartial and in line with its set impartiality and anti-bribery policies. IQNet Ltd services do not include any form of consultancy for the certification applicant (development of the management system documents or system implementation).
IQNet 有限公司确保其服务公正，符合公正性和反贿赂政策要求。IQNet 有限公司提供的服务不包括向认证申请者提供的任何形式的咨询（管理体系文件的制定或体系的执行）。
- 2.8 This document is based on the following reference documents:
本文件参考指南和要求如下：
- SAAS Procedure 200, 200A, 201A and 201B and any related Advisories and Notifications;
《SAAS 程序文件 200》、《SAAS 程序文件 200A》、《SAAS 程序文件 201A》、《SAAS 程序文件 201B》及相关《公告》和《通知》；
 - SA8000 Standard and SA8000 Performance Indicator Annex;
《SA8000 标准》和《SA8000 绩效指标附录》；
 - SAI related SA8000 guidance documents;
社会责任国际组织（SAI）相关 SA8000 指南文件；
 - ISO/IEC 17021.
《合格评定——对提供管理体系审核和认证的机构的要求》

3 DEFINITIONS

定义

- 3.1 The definitions of SAAS Procedure 200 are applicable (see <http://www.saasaccreditation.org/document-library>).
《SAAS 程序文件 200》给出的定义适用（见 <http://www.saasaccreditation.org/document-library>）。

4 CRITERIA FOR SA8000 CLIENTS

SA8000 客户准则

- 4.1 The certification of an organization will apply to the entire entity, and not only to part of it. If there are several production facilities, all will be audited for certification. Similarly, in a continuous process of fabrication and finishing and packaging, the entire process shall be compliant in order for certification to be granted. Subsidiaries of an organization are not automatically included in the certificate, if these are not included in the audit program and accordingly audited.
对某一组织的认证适用于整个实体，而非某一部分。如组织拥有不同的生产场所，所有这些场所必须接受认证审核。同样，在从制造、制成到包装这一连续流程中，整个流程应符合认证要求，方可授予认证。组织的子公司未纳入到审核方案中且未经相应审核，则不可自动纳入证书范围。
- 4.2 The certification process is voluntary, and any organization can apply for certification, by completing sections of the Application for Proposal form (F 002-SA).
认证流程是自愿性的，任何组织均可以通过填写《申请表》（F002-SA）申请认证。
- 4.3 IQNet Ltd makes available its services to all applicants (except as detailed below) on a non-discriminatory basis. The access to IQNet Ltd certification services is not conditional upon the size of the organization or its membership to any association or group.
IQNet 有限公司本着非歧视性原则，向所有申请者（下述情况除外）提供服务。客户申请 IQNet 有限公司认证服务，不受组织规模或任何联盟或团体成员身份等条件约束。

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- 4.4 IQNet Ltd provides SA8000 certification in all countries where it has capability to ensure the service. For the scope of SA8000 certification, the People's Republic of China and its Special Administrative Regions of Macau, Hong Kong and Taiwan, will be treated as separate countries.
IQNet 有限公司在其服务所及的全球各国提供 SA8000 认证。就 SA8000 认证范围而言，中华人民共和国及其香港特别行政区、澳门特别行政区和台湾地区应被视为不同的地区。
- 4.5 SA8000 certification is generally applicable in all industries and scopes, except as provided below:
SA8000 认证通常适用于各类行业、各类范围，但以下所述情况除外：
- 4.6 Excluded activities for which SA8000 certification cannot be provided (as per SAAS requirements):
排除的活动，即不能提供 SA8000 认证的活动（根据 SAAS 要求）：
- As per SA8000:2014 Certification Exclusion List: currently maritime activities
Maritime Activities - SA8000 Certification is not permitted to those organizations involved in maritime activities, as covered by the ILO Maritime Labour Convention, 2006 (No 186).
根据《SA8000:2014 认证排除项列表》：目前从事的所有海事活动。
海事活动：不得对《海事劳工公约》（2006，第 186 号）覆盖的海事活动实施 SA8000 认证。
- However, are eligible for certification those activities that related to seafarers on vessels that navigate exclusively in inland waters or waters within, or closely adjacent to, sheltered waters or areas where port regulations apply.
不过，在内陆水域或遮蔽水域内、临近遮蔽水域或适用港口条例的区域内航行的船只上的船员从事的活动可适用 SA8000 认证。
- The determination as to whether a ship is a certifiable workplace will depend on several factors, including definitions supplied by local regulations.
确定船只是否为可认证场所，由多种不同因素决定，包括地方法规做出的解释。
- SA8000 certification will not be provided to organizations without active operations, i.e. shell companies.
不得向无效运营的组织，即空壳公司，提供 SA8000 认证。
- 4.7 In order to be considered for certification and organization need to:
出于认证考虑，组织需要：
- have been engaged in its stated business for at least 6 months prior to application;
在申请认证前从事其申明的业务至少 6 个月；
 - have active contracts with its clients.
与客户签订了有效合同。

5 OBLIGATIONS OF THE CLIENT

客户的义务

- 5.1 In order to obtain and maintain the certification, the organization shall fulfil at minimum the following obligations towards IQNet Ltd:
组织要想获得并维持认证，应向 IQNet 有限公司履行至少下列义务：

- To comply with the requirements of the Certification Contract and of these Certification Rules, in their version in force;
遵守现行有效《认证合同》和《认证规则》的要求；
- To comply with the requirements of SA8000 International Standard, SA8000 Performance Indicator Annex, SAI guidance documents and the applicable national and international legislation;
遵守《SA8000 国际标准》、《SA8000 绩效指标附录》、SAI 指南文件和适用的国家和国际法律法规的要求；
- To comply with the requirements on the use of the certificate and certification mark;
遵守证书和认证标志使用要求；
- To supply IQNet Ltd with all necessary and truthful information, in order to fulfil the SA8000 audit activities and make the certification decision;
向 IQNet 有限公司提供一切必要和真实的信息，以便其实施 SA8000 审核活动并做出认证决定；
- To supply IQNet Ltd with all necessary and truthful information, related to the use of consultants and their name. Furthermore, the organization undertakes to inform IQNet Ltd on any changes in the matter;
向 IQNet 有限公司提供一切必要和真实的信息，包括聘用咨询公司及其名称。此外，组织有义务将任何相关变更通知给 IQNet 有限公司；
- To notify IQNet Ltd on all changes in legal status, ownership, organization, premises or personnel which may affect its management system, scope of operations and processes. Notification must be given with sufficient notice in order to evaluate the effects on the certification contract. Changes may require revisions to the Application for Proposal (F002-SA) and Proposal for SA8000 Certification (F006-SA);
通知 IQNet 有限公司有关可能影响组织管理体系、经营范围和流程的法人地位、所有权、组织状态、场所或人员发生的所有变更。通知必须提供充分的信息，以便评估此类变更对认证合同产生的影响。一旦发生变更，就可能需要对《申请表》（F002-SA）和《报价单》（F006-SA）进行修改。
- To accept subsequent changes in the audit program, as described in any revised versions of the Proposal for SA8000 Certification (F006-SA), generated by changes related to the organization (as per above) or further to the changes in the SA8000 certification rules;
根据任何修改版《报价单》（F006-SA），接受审核方案的后续变更。前提是此类变更由与组织相关的变更（如上所述）或 SA8000 认证规则发生的变更所引起。
- To make all the necessary arrangements for the conduct of the assessment, including arrangements for document and record review, access in all the areas for the personnel appointed by IQNet Ltd to carry out the assessment, surveillance, special audits or for investigating complaints;
为审核的实施做好一切必要的安排，包括准备文件和记录评审、允许 IQNet 指定的人员进入所有区域实施审核、监督、追加审核或调查投诉情况；
- To register in SAI Database and complete the Self-assessment and to enable the performance of the SAI Maturity Declaration by IQNet Ltd Audit Team as provided for in paragraph 7.3 of these Certification Rules;
注册 SAI 数据库并完成自我评价，以便 IQNet 有限公司审核组能够依照《认证规则》第 7.3 条款实施成熟度声明。
- To provide access, assistance, information, records, documentation and facilities to the audit team; accompanied by accreditation auditors as and when required;
为审核组提供准入、协助、信息、记录、文件和设施；有需要时由认可审核员陪同；
- To allow auditors of IQNet Ltd to enter the clients premises at any time, including initial/recertification audits, announced, semi-announced and unannounced surveillance audits, follow-up and special audits;
允许 IQNet 有限公司审核员在任何时候进入客户场所，包括在初次/再认证审核、事先通知的监督审核、半通知监督审核、不予通知的监督审核、跟进审核和追加审核期间；
- To support the auditor's activities in an appropriate manner;
以适当方式支持审核员实施认证活动；
- To provide any necessary personal health and safety training and, where appropriate, the complete personal protective equipment for IQNet Ltd audit teams.
为 IQNet 审核组提供任何必要的健康与安全培训，且适当时，提供全套的个人防护设备；
- To assign guides to accompany each member in the audit team, as requested;
需要时，指派引导员陪同审核组中的每一名成员；
- To allow IQNet Ltd and the SAAS accreditation body to conduct witnessed, duplicated audits or market surveillance visits at the audited premises;
允许 IQNet 有限公司和 SAAS 认可机构在受审核场所实施见证审核、重复审核或市场监督审查；

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- To supply sufficient evidence, that an effective SA8000 social accountability management system is in place and maintained;
提供充分的证据以证明组织实施并维持了有效的 SA8000 社会责任管理体系;
- To demonstrate the capability to solve nonconformities and other requirements defined by the auditors or by the IQNet Ltd Head Office, respecting the set deadlines;
证明组织有能力在规定的期限内处理审核员或 IQNet 有限公司总部开出的不符合项或提出的其他要求;
- To communicate to IQNet Ltd any situation, which could affect the certification of the organization (e.g. pending legal action, problems with tribunals and NGOs, etc.);
与 IQNet 有限公司就可能影响组织认证的任何情况 (如尚未解决的法律诉讼、与法院和非政府组织存在的问题) 进行沟通;
- To allow IQNet Ltd to review the records of all complaints and corrective actions taken in accordance with the requirement of the social accountability management system or other normative documents;
允许 IQNet 有限公司评审组织有关按照社会责任管理体系要求或其他规范要求处理投诉和实施纠正措施的所有记录;
- To have procedures in place that ensure workers are aware of their right to send a complaint directly to the certification body, SAI or SAAS;
制订了可确保员工知晓其拥有可直接向认证机构、SAI或 SAAS 提出投诉的权利的程序;
- To ensure that the workers can apply this procedure without sanctions or punishment;
确保员工适用该程序而不会受到制裁或惩罚;
- To pay in time the invoices issued by IQNet Ltd through its Local IQNet Ltd Representatives, in compliance with the signed Certification Contract and the signed financial Proposal for SA8000 Certification.
及时支付 IQNet 有限公司按照签订的《认证合同》和《报价单》通过其当地代表机构开具的收费单。

6 APPLICATION 申请

6.1 Application 申请

- 6.1.1 The IQNet Ltd application package contains: Certification Rules and Application Form. Application requests will be sent either directly to IQNet Ltd in Switzerland or to one of IQNet Ltd local representatives.
IQNet 有限公司申请文件包包括: 《认证规则》和《申请表》。申请请求可直接发送给位于瑞士的 IQNet 有限公司或 IQNet 有限公司在当地的代表机构。
- 6.1.2 The certification process is voluntary, and any organization can apply for certification, by completing sections of the Application for Proposal form (F 002-SA).
认证流程是自愿性的, 任何组织都可以通过填写《申请表》(F 002-SA) 申请认证。

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6.1.3 IQNet Ltd requires an authorized representative of the applicant organization to provide the necessary information to enable it to establish the following:

IQNet 有限公司要求申请组织的授权代表提供必要的信息以确定如下内容:

- the desired scope of the certification;
预期的认证范围;
- relevant details of the applicant organization as required by SA8000 certification scheme, including its name and the address(es) of its site(s), its processes and operations, human resources, relationships and any relevant legal obligations;
SA8000 认证方案要求的有关申请组织的相关信息, 包括组织的名称和场所地址、流程和活动、人力资源、各种关系及任何相关的法律义务;
- identification of outsourced processes used by the organization that will affect conformity to SA8000 requirements;
识别可能影响 SA8000 要求符合性的组织外包流程;
- whether there is an initial certification, renewal or transfer of accredited SA8000 certification;
是否实施了初次认证、更新或对经认可的 SA8000 认证进行了转机构;
- whether consultancy relating to the management system to be certified has been provided and, if so, by whom.
是否就待认证的管理体系进行了咨询, 如是, 说明是哪家咨询公司。

6.1.4 The scope of the certification will consider the following:

认证范围考虑如下内容:

- The geographic boundaries will be defined (addresses of all permanent sites covered by certification);
确定地理边界 (认证覆盖的所有永久场所的地址);
- Scope desired for certification will be clearly identified and include the nature of the organization in terms of the products and/or services it provides, as well as its physical addresses;
预期的认证范围得到清晰识别, 且包括组织提供产品和/或服务的性质及地址;
- All processes, properties and operations of a continuous process or premises will be covered by certification and will be included in the application;
持续流程或场所的所有流程、财产和活动均被纳入认证范围并写入申请表中;
- IQNet Ltd will certify an entire organization and will not certify personnel in only one department of a multi-department organization and not the others. Departments are interrelated and personnel might move from one department to the other;
IQNet 有限公司对整个组织实施认证, 不对多部门组织某一部门的人员实施认证。各部门都是相关的, 且人员可能从一个部门调到另一部门;
- The stated number of personnel will include seasonal, part time, contracted and temporary workers paid by the client, either directly or through an employment agency. Calculation of the work force should be based on worker totals during the peak season.
所述的人员数量包括由客户支付薪水的季节工、兼职工、合同工和临时工, 这些工人直接由组织雇佣或通过中介雇佣。计算员工人数宜以旺季员工总数为依据。
- On-site and off-site exclusive suppliers will be treated as part of the organization's operation and included in the scope of the audit and audit day calculation;
现场和异地独家供应商被视为组织运行的一部门, 并被纳入到审核范围和审核人天计算中。
- In cases where a subcontractor is used by the certified organization to deliver parts of its activities, the certificate scope statement will clearly specify that some processes are delivered by subcontractors and those parts are excluded from the scope;
在获认证组织聘用分包方承担其部分活动的情况下, 证书范围表述应清晰说明某些流程由分包方提供, 且这些部分被排除在认证范围外;
- If the certification is sought for a multi-site organization, all addresses will be clearly defined as they will be listed on the certificate, be publicly available and reported to SAI and SAAS;
如多场所组织申请认证, 应明确所有地址, 因为这些地址会在证书上列出、可公开获取并汇报给SAI和SAAS;
- Working conditions for all personnel working on-site of the organization (including those employed

by supplier organizations) are required to also comply with the requirements of SA8000;
要求组织的所有现场工作人员（包括由供应商组织提供的人员）的工作条件也符合 SA8000 要求；

- Employment agencies will include their contracted workers in their scope of certification.
雇佣中介将合同工纳入认证范围。

6.1.5 Acceptance of the application is the responsibility of IQNet Ltd.
IQNet 有限公司负责受理申请。

6.1.6 If the application is terminated prior to an SA8000 certificate being issued by IQNet Ltd, the client may be liable for an account cancellation fee.
如果在 IQNet 有限公司授予 SA8000 证书前终止申请，则由客户承担销户费。

6.1.7 With the signed Certification Contract, the candidate accepts the requirements set forth in this document and the Certification Contract.
申请组织一旦签订《认证合同》，即表明其接受本文件和《认证合同》规定的要求。

6.2 Application Review 申请表评审

6.2.1 IQNet Ltd reviews the application form for proper completion.
IQNet 有限公司对申请表进行评审以检查内容填写是否得当。

6.2.2 If the information provided is not complete, the client is requested to forward missing data.
如果提供的信息不完整，IQNet 有限公司会要求客户发送缺失的信息。

6.2.3 If SA8000 certification application cannot be accepted by IQNet Ltd, the reasons will be made clear and the applicant has the right to reformulate the application.
如 IQNet 有限公司未接受客户的 SA8000 认证申请，其应说明原因，且客户有权重新填写申请表。

6.2.4 If SA8000 certification application is accepted, IQNet Ltd determines the audit program based on the information provided. The audit program is developed for the full certification cycle and clearly identifies the audit activities required to demonstrate that the organization's management system fulfills the requirements for SA8000 certification.
如 IQNet 有限公司接受了客户的 SA8000 认证申请，其会根据所提供的信息确定审核方案。审核方案的制定针对的是完整的认证周期，且应清楚地识别所需的审核活动，以证明组织的管理体系符合 SA8000 认证的要求。

6.2.5 The audit duration is established considering aspects such as the specific nature and characteristics of each organization, sector complexity, risks and number of personnel, as well as the results of any previous audits.
审核人天的确定需考虑多方面因素，比如每个组织的性质和特点、行业的复杂性、风险、人员数量以及任何以往审核的结果。

6.2.6 The applicant organization receives a customized proposal for certification (F006-SA).
申请组织会收到一份定制化的报价单（F006-SA）。

6.2.7 The organization confirms its acceptance of the proposal by signing this document.
组织在该文件上签字即表明其接受该报价单。

6.2.8 By returning a signed copy of the Certification Contract (I009-SA), the organization undertakes to observe the contract terms (including the financial terms), together with the certification rules and the rules for using the IQNet Ltd SA8000 certification mark and the SAAS accreditation mark.
组织向 IQNet 发回签订的认证合同，即表明其遵守合同条款（包括财务条款），以及遵守认证规则及 IQNet 有限公司 SA8000 认证标志与 SAAS 标志的使用规则。

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6.2.9 The contract and proposal are valid for 12 months from the date of the application for certification. If this interval is exceeded without conducting the initial certification audit, the application for certification will be filled in again and, considering the changes (if appropriate). IQNet Ltd is entitled to terminate the contract and proposal for certification.

合同与报价单的有效期为认证申请接受之日起 12 个月。如未实施初次认证审核就超过了该间期，考虑到出现的变更（如适当），组织须再次填写认证申请表。IQNet 有限公司有权终止认证合同和报价单。

6.2.10 IQNet Ltd can decline an application in the following circumstances:

IQNet 有限公司可在如下情况中拒绝接受申请：

- It does not hold or does not intend to extend SA8000 accreditation in the country of operation of the respective client;
未保留或未打算扩大客户所在国的 SA8000 认可范围；
- It does not have the appropriate audit resources and/or availability to provide the service to a specific client or within a specific timeframe;
没有合适的审核资源和/或不具备向特定客户或在特定期限内提供服务的能力；
- The client sector of activity is excluded from SA8000 certification, as per SAAS requirements (e.g. maritime);
根据 SAAS 要求，客户活动所属行业（如有关海事活动）被排除在 SA8000 认证范围外；
- The client refuses to provide adequate information or intentionally provides misleading or false information in its application;
客户拒绝在申请表中提供充分的信息或蓄意提供误导或错误信息；
- There is significant evidence that, in the last 6 months prior to the application, the organization, the organization's directors and management staff, do not comply and, therefore, have been involved, sanctioned or sentenced by administrative or legal Authorities jointly and finally, on serious or very serious grounds, for any of the following:
有确凿证据证明，在申请认证前的 6 个月里，组织、组织的董事和管理人员均遵纪守法，并未在如下任何方面因严重或极为严重的事由受到行政部门或法律部门的制裁：
 - Illicit association, corruption in economic transactions, trafficking of influence, bribery, fraud, illegal exaction, offense against the inland revenue or the social security; offences against the state or against individuals; offences against freedom, against freedom of opinion, against religious or sexual orientation or expression; offences against the fundamental rights of persons; embezzlement and crime of receiving or similar conducts; special disqualification from a profession, job, industry or trade.
非法交易，在经济交往中贪污、非法获取利益、行贿、欺诈、非法勒索、违反税收和社保规定；危害国家或个人；违反自由权、言论自由权利，违背宗教信仰、性取向和性表达；侵犯个人基本权利；挪用公款、受贿或实施类似行为；被取消某一职业、工作、行业或贸易的从业资格。
 - Prohibition to act as Director/Manager or similar.
被禁止担任董事/经理或类似职位。
 - Offences or sanctions in the employment area, against fundamental workers' rights.
在人员雇佣方面实施侵犯或制裁行为，违反工人基本权利。
 - Fraudulent bankruptcy or winding-up by the court.
犯有破产欺诈罪或被法院判决终止营业。
 - Ban from public contracting laws due to an administrative sanction.
因受到行政制裁不受公共契约法保护。

6.2.11 In some cases, as appropriate (e.g. transfer of accredited certification), the applicant will be requested to fill in also the additional form F007-SA Informative Questionnaire for Preparing the SA8000:2014. This will assist in a better understanding of client circumstances and developing the audit programme and audit activities.

在有些情况下，适当时（如对经认可的认证的转换），要求申请者填写附加的《F007-SA SA8000:2014 审核调查表》。这有助于更好地了解客户的环境、制定审核方案和开展审核活动。

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6.3 Multi-site Organizations Applying for SA8000

多场所组织申请 SA8000 认证

6.3.1 A multi-site audit scheme can be applied where multiple sites are assessed together in order to provide a group or country certificate.

多场所审核方案适用于对多场所一并进行审核以提供集团或国家证书的情况。

6.3.2 A multi-site organization can be defined as an organization with an identified central management function (central office/main site/headquarters/head-office) at which organizational activities are planned, controlled and/or managed; and a network of local offices or branches (sites) at which activities are carried out. A multi-site organization need not be a unique legal entity, but all sites will have a legal or contractual link with the central office and be subject to a common management system.

多场所组织可被定义为拥有一个经识别的对组织活动实施策划、控制和/或管理的中央管理职能部门（中央办事处/关键场所/总部/总办事处）以及执行各项活动的地方办事处或分支（分场所）网络的组织。多场所组织需为唯一的法人实体，所有场所应与中央办事处建立法律关系或合同关系且受控于一个共同的管理体系。

6.3.3 Requirements for an organization applying for multi-site certification:

申请多场所认证的组织应满足如下要求：

- Complies with the definition of multi-site organizations.
符合多场所组织定义；
- Has a common management system with established policies and procedures to manage all sites;
建立了一个共同的管理体系，确定了管理全部场所的政策和程序；
- Has a head-office (central function) and 2 or more sites and all sites operate under the same centrally managed system;
拥有一个总部（中央职能部门）和 2 个或 2 个以上场所，且所有场所受控于同一中央管理体系；
- The certification scope is similar for all sites, and is clear and transparent for all stakeholders to understand exactly what is included in the certification;
所有场所的认证范围均相似，且对于所有利益相关方都是清晰、透明的，以便其准确了解认证范围；
- All sites are located within the same country;
所有场所位于同一国家；
- Has one designated and formally nominated SA8000 representative and deputy at the organization head-office, for the whole group of sites, as well as local management representatives at the additional sites;
为组织总部指定了一名经正式提名的 SA8000 代表和副代表负责总部的所有场所，以及为其他场所指定地方管理者代表；
- The following activities are performed or supervised by the designated head-office (central function):
由指定的总部（中央职能部门）执行或监督如下活动：
 - Authorization and control of the SA8000 management system documentation;
授权和控制 SA8000 管理体系文件；
 - Evaluation and control of corrective actions, including root cause analysis, corrective and preventive actions;
评价和控制纠正措施，包括根本原因分析、纠正和预防措施；
 - Centralized management review covering all sites;
集中实施覆盖所有场所的管理评审；
 - Centralized hazard analysis and risk assessment activities and centralized management of locally based Social Performance Teams;
集中实施危害分析和风险评估活动，集中对各地方社会绩效团队进行管理；
 - Centralized internal audit planning, delivery and evaluation of internal audit results;
集中实施内审策划、交付和评价内审结果；
 - Control of suppliers;
对供应商实施控制；

- Centralized management system addressing HR function;
集中运行包括人力资源部门在内的管理体系;
 - Identification and management of training needs;
识别和管理培训需求;
 - Management of legal requirements;
管理法律要求;
 - Management of complaints.
管理投诉。
- All sites are subject to on-site internal audits and surveillance by the head-office (central function) at least before the Stage 2/Recertification audit and then on a biennial basis (every 2 years). At least one of the members of the client's internal auditor team shall have demonstrated social auditing competency and qualification. The results of these internal audits shall be available to IQNet Ltd audit team for review during the head-office audit
所有场所均应至少在二阶段/再认证审核前接受总部（中央职能部门）实施的现场内部审核和监督，且此后每两年接受一次。至少每年都要对所有场所实施内审。内审结果应在总部审核期间提交给IQNet的审核组进行评审。
 - It is not permissible to exclude sites from the scope of the multi-site certification process, in order to overcome the obstacle identified by non-conformities raised by IQNet Ltd with respect to a particular site;
不允许将场所从多场所认证流程范围内排除，这样做是为了克服由 IQNet 有限公司就某一场所开出不符合项这一障碍;
 - If the organization fails to meet the requirements of SA8000 over subsequent audits, this will affect the entire multi-site certification. In such cases, the certificate may be withdrawn and each site would be requested to apply autonomously for certification;
如组织在后续审核中未能满足SA8000 要求，这将影响整个多场所认证。在此类情况下，IQNet 有限公司可撤销认证，每一场所应独立申请认证;
 - In case of workers that work at permanent sites not owned and not controlled by the organization (e.g. work employment or cleaning agencies), these activities can be only considered for the multi-site certification if the organization formally performs internal audits of these locations and maintains records of such audits. A sample of these permanent sites will be subject to internal audits each year by the organization and well as by IQNet Ltd. Should IQNet Ltd not be permitted access to any of these permanent sites, the multi-site certification may be suspended and subsequently withdrawn.
对于在永久场所工作的员工并非由组织所有和控制（如由雇佣中介和保洁公司雇佣）的情况，此类活动仅适用于多场所认证，前提是组织对这些场所实施了内审并保留了审核记录。组织和 IQNet 有限公司每年对此类永久场所的抽样场所实施内审。IQNet 有限公司如未获准进入任何此类永久场所，则可暂停或撤销多场所认证。

6.3.4 Multi-site certification will not apply to: 多场所认证不适用于:

- Organizations where the sites have fundamentally dissimilar or unrelated processes or activities, even though they may be under the same management system;
组织的场所根本不相似，或流程、活动毫不相关，即使都处于同一管理体系下;

6.3.5 The organization should demonstrate its ability to collect and analyse data (including but not limited to the information listed above) from all sites, including the central site, and its authority and ability to initiate changes, if required.

组织应证明其有能力收集和分析来自包括中央场所在内的各场所的信息（包括但不限于以上提供的信息），且在需要时，有权力和能力进行变更。

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7 AUDIT PROCESS

审核流程

7.1 Audit Programme

审核方案

7.1.1 See Annex 1 – Flowchart of the initial certification process.

见附录 1——初次认证流程图

7.1.2 An audit programme for the full certification cycle will be developed to clearly identify the audit activity/activities required to demonstrate that the organization's management system fulfils the requirements for SA8000 certification. The audit programme for the certification cycle will cover the complete management system requirements.

针对完整认证周期的审核方案的制定应清晰识别为证明组织的管理体系符合 SA8000 认证要求所需的审核活动。针对完整认证周期的审核方案覆盖全部管理体系要求。

7.1.3 The audit programme for the initial certification will include a Stage 1 and Stage 2 initial audit, surveillance audits in the first and second years following the certification decision, and a recertification audit in the third year prior to expiration of certification (complemented by a recertification follow-up review).

初次认证审核方案包括初次一阶段和二阶段审核、认证决定做出后第一年和第二年的监督审核及第三年在认证到期前的再认证审核（辅以一次再认证跟进评审）。

7.1.4 The audit objectives will include the following:

审核目标包括：

- The determination of the conformity of the organization's social accountability management system with the audit criteria;
确定组织的社会责任管理体系是否符合审核标准；
- The evaluation of the social accountability management system ability to ensure the organization meets the applicable statutory, regulatory and contractual requirements;
评价组织的社会责任管理体系是否能确保组织符合相关法律法规和合同要求；
- The evaluation of the effectiveness of the social accountability management system to ensure the organization is meeting the specified objectives on a continual basis;
评价组织的社会责任管理体系能否有效确保组织持续符合确定的目标；
- The identification of areas for potential improvement for the social accountability management system.
识别组织社会责任管理体系的潜在改进方面。

7.1.5 A pre-assessment may be conducted (audit prior to the initial stage 1 audit that identifies improvement opportunities and non-binding findings). However, this will not be considered as part of the initial audit.

可实施预审核（在初次 2 阶段审核前进行，目的是识别潜在改进机会和不具有约束力的发现）。不过，预审核不被视为初次审核的一部分。

7.1.6 The first three-year audit and certification cycle begins with the certification decision. Subsequent cycles begin with the recertification decision.

做出认证决定，即开始首个三年审核和认证周期。做出再认证决定，则开始后续周期。

7.1.7 All SA8000 certified organizations will undergo periodic monitoring activities consisting of surveillance audits and follow-up reviews, where applicable.

所有获 SA8000 认证的组织定期接受由监督审核及跟进评审（如适用）构成的持续监督活动。

7.1.8 A description of the SA8000 certification cycle is provided in Annex 2.

附录 2 提供了有关 SA8000 认证周期的说明。

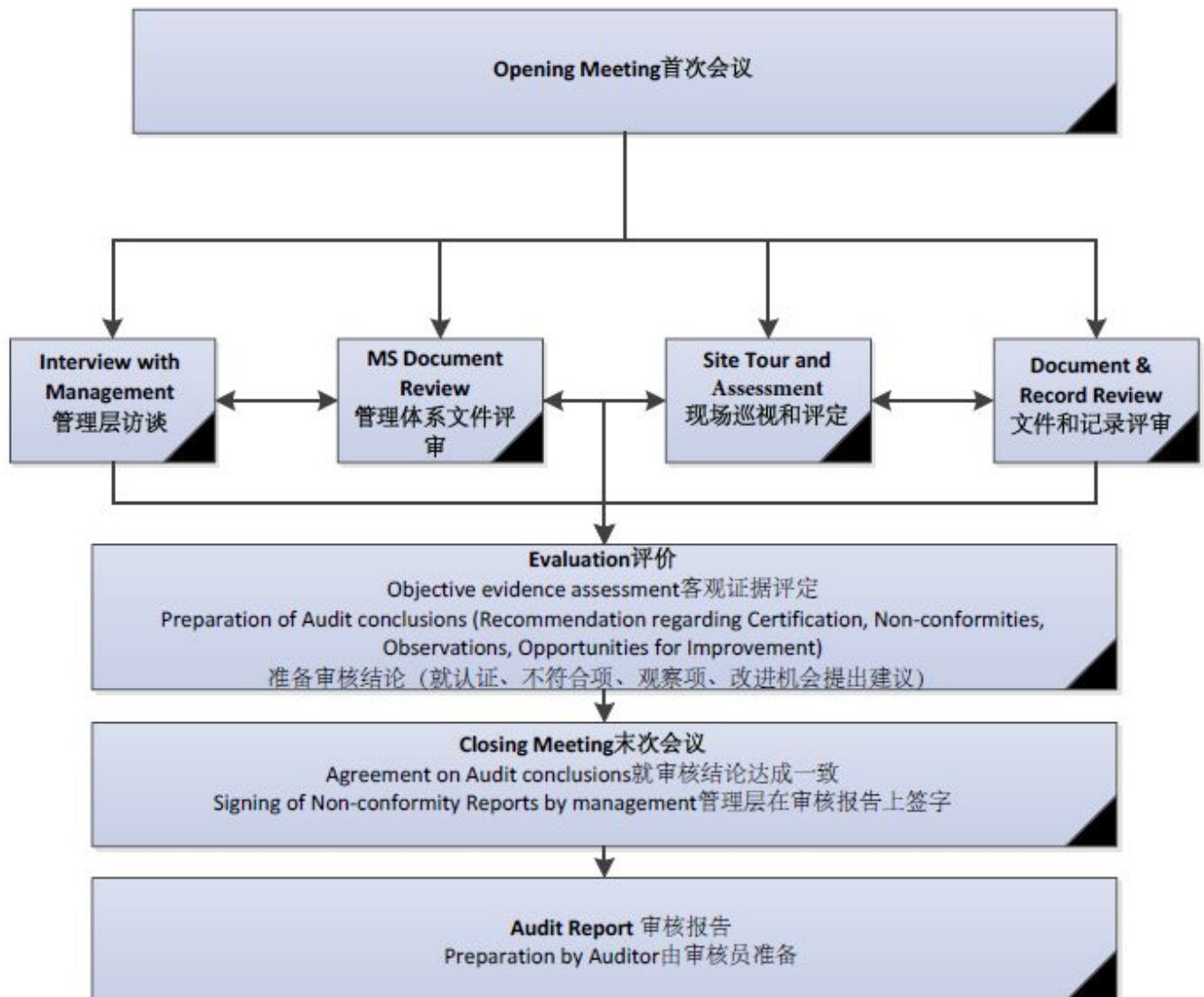
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7.2 Audit Activities

7.2 审核活动

- 7.2.1 The audit planning and execution will take into account all personnel, both on-site and off-site, including temporary and contract labour and homeworkers. IQNet Ltd audit program will address all elements of the standard, at each sampled location; and will be given access to assess all shifts (crews).
审核策划和实施应考虑所有现场和异地的人员，包括临时工、合同工和家庭工人。IQNet 有限公司审核方案应覆盖标准的全部要求，对每个抽样产场所的审核均是如此；且应获准对所有倒班人员（全体员工）进行审核。
- 7.2.2 Before every audit, the appointed IQNet Ltd audit team will submit to the client an audit plan (Stage 1, Stage 2, Surveillance, Recertification, Transfer and Special audits). The audit dates of the audit will be agreed upon, in advance, with the client, except for semi-unannounced audits.
在每次审核实施前，指派的 IQNet 有限公司审核组向客户提交一份审核计划（包括一阶段、二阶段、监督、再认证、转机构和追加审核）。审核日期应提前与客户确定，半通知的审核除外。
- 7.2.3 During the audit activities, IQNet Ltd auditors will have direct access to the organization's management. Other persons such as consultants can participate in the audit as observers, without beyond allowed to interfere in the audit process or audit results.
实施审核活动期间，IQNet 有限公司的审核员可直接与组织的管理层接触。咨询人员等其他人员可作为观察员参与审核，但不得干预审核流程或审核结果。
- 7.2.4 The audit process is intended to gain facts about the level of compliance with SA8000 and associated performance requirements. This is achieved through a combination of meetings, document reviews, examination of records, site review and management and worker interviews. The basic flow of activities is illustrated below:
审核流程的目的是获取有关组织对 SA8000 标准和相关绩效要求的符合程度的信息。通过结合采用会议、文件评审、记录检查、现场评审、管理层和员工访谈实现这一目的。以下为基本的活动流程：

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7.2.5 Opening Meeting 首次会议

- 7.2.5.1 A formal opening meeting will be held with the organization's management and, as appropriate, those responsible for the functions or processes to be audited. The purpose of the opening meeting, is to provide a short explanation of how the audit activities will be undertaken. The IQNet Ltd Code of Conduct and Ethics (Annex 5) will be handed over by the IQNet Ltd Audit Team and requested to be acknowledged by signature and respected by the Organization.

审核组与组织的管理层及，适当时，负责相关活动或流程的人员召开正式的首次会议。首次会议的目的是就如何实施审核活动给出简短的解释说明。审核组组长将 IQNet 有限公司《行为准则和道德规范》交由组织，要求组织签字确认并予以遵守。

- 7.2.5.2 The senior management of the organization will be requested to attend the opening meeting. As applicable, this will include the responsible functions for health and safety, human resources and remuneration, recruitment, training, production schedules, time and attendance monitoring and social

accountability compliance, supply chain (purchasing), etc.

组织的最高管理层需要出席首次会议。适当时，健康与安全、人力资源和薪酬、招聘、培训、生产安排、工时和考勤监督及社会责任合规性、供应链（采购）负责人也要出席首次会议。

7.2.5.3 Worker representatives, trade union representatives (if applicable) and Social Performance Team (SPT) members need to attend the opening as well.

工人代表、工会代表（如适用）及社会绩效团队（SPT）成员也需参加首次会议。

7.2.6 Site Tour and Assessment

现场巡视和审核

7.2.6.1 The IQNet Ltd audit team need to have access to all parts of the audited facility and will confirm all buildings and locations that the organization operates.

IQNet 有限公司审核组需要进入受审核设施的所有部分，并就组织运行的所有建筑和场所进行确认。

7.2.6.2 All areas of the organization are to be briefly toured (including canteen, dormitory, clinic and crèche and all other employer-provided worker service facilities, as appropriate). This will include any areas under construction or renovation and any temporary work areas, in order to evaluate whether:

审核组对 组织的所有区域（适当时，包括食堂、宿舍、诊所、托儿所及其他所有为员工提供的员工服务设施）进行简要巡视。这些区域包括正在施工或翻修的任何区域及任何临时工作区域，以评估：

- **There are any changes from the previous audit (if any);**
在上次审核的基础上是否发生任何变更（如有）；
- **Identification of any potential areas of work;**
是否识别了任何潜在工作区域；
- **Identification of any major structural problems that are clearly evident;**
是否识别了任何显而易见的主要结构性问题；
- **Selection of potential candidates for worker interviews;**
是否挑选了参加员工访谈的备选者；
- **Assessment of the health and safety and working conditions.**
是否评估了健康与安全和工作条件。

7.2.6.3 In order to facilitate the process, the organization will provide a simple layout drawing/plan of their premises that includes all buildings and floors and canteen, dormitory, clinic and crèche and all other employer-provided service facilities, as appropriate, including any areas under construction/renovation.

为促进审核流程的进行，组织将向审核组提供一份简易的场所布局图/平面图，包括所有建筑、楼层及食堂、宿舍、诊所、托儿所和其他所有为员工提供的服务设施，适当时，还包括任何施工/翻修区域。

7.2.6.4 During the tour, the IQNet Ltd audit team might engage in dialogue with workers about general working conditions or might select workers for interview. Interviews of on-site subcontractors may also be performed.

现场巡视过程中，IQNet 有限公司审核组可能会与员工就一般的工作条件进行谈话，或者可能挑选一些员工进行访谈。还会进行现场分包方访谈。

7.2.6.5 The IQNet Ltd audit team may provide randomly workers with contact cards, so workers can be in contact directly with IQNet Ltd after the audit.

IQNet 有限公司审核组可随机向员工提供联系卡片，这样员工就可以在审核结束后直接与 IQNet 有限公司取得联系。

7.2.6.6 The site tour may be performed in 2 stages: a brief overview tour at the beginning of the audit and a comprehensive health and safety and working conditions tour.

现场巡视可分两个阶段实施：审核开始时的简要全厂巡视和全面的健康安全及工作条件巡视。

7.2.6.7 For semi-announced audits, the overview tour shall be performed at the very beginning of the audit, before the opening meeting.

对于半通知审核，应在审核一开始、首次会议前进行全厂巡视。

7.2.7 Review of Documents and Records

文件和记录评审

7.2.7.1 If required, the SA8000 Applicant will provide the social accountability management system documentation to the Lead Auditor, before the conduct of Stage1 of the initial certification audit.

如有要求，SA8000 申请者在初次认证一阶段审核前向审核组组长提供社会责任管理体系文件。

7.2.7.2 In order to prepare for an SA8000 audit, IQNet Ltd makes available to client organizations the SA8000:2014 Assessment Checklist (F009-SA). It is encouraged, as a good practice, once the self-assessment is completed, to make available the checklist with the results to the audit team before or at the beginning of the audit.

为做好 SA8000 审核准备, IQNet 有限公司向客户组织提供《SA8000:2014 评定核查表》(F009-SA)。作为一种良好实践,鼓励组织完成自我评估,并在审核前或审核期间将填写完成的核查表提交给审核组。

- 7.2.7.3 Part of each audit will include a detailed review of documents, such as management system documents, health and safety records, time cards, payroll, wage slips, and personnel records, etc.

每次审核都包括详细的文件评审,如管理体系文件、健康与安全记录、考勤卡、薪资单、工资条和人员记录等。

- 7.2.7.4 In order to assist the organization with the audit preparation and to facilitate the audit process, Annex 4 provides a list of typical documents that should be made available to IQNet Ltd audit team during the audit. The documents will need to be prepared in advance and be readily accessible.

为协助组织做好审核准备并促进审核流程的进行,附录 4 提供了主要的文件清单,组织宜在审核期间将该清单交给审核组。这些文件需要提前准备,且随时可获取。

7.2.8 Interviews with Management **管理层访谈**

- 7.2.8.1 During the audit, the IQNet Ltd Audit Team will undertake discussions with management and relevant functions in order to assess the level of implementation and effectiveness of the SA8000 management system. This will include: the responsible functions for health and safety, human resources and remuneration, recruitment, training, production schedules, time and attendance monitoring and social accountability compliance, supply chain (purchasing), members of the social performance team, etc.

审核期间, IQNet 有限公司审核组与管理层和相关职能部门进行讨论,以评估组织对 SA8000 管理体系的实施程度和有效性。参与讨论的人员包括:健康与安全、人力资源和薪酬、招聘、培训、生产安排、工时和考勤监督、社会责任合规性、供应链(采购)部门负责人和社会绩效团队成员等。

- 7.2.8.2 General personnel interviews will be undertaken in order to establish the compliance and awareness on SA8000 requirements. This will include: worker representatives, trade union representatives, staff, junior managers, first aiders, fire-fighting/emergency responders.

进行全员访谈的目的是确定这些人员对 SA8000 要求的符合性和认识度。参与访谈的人员包括:工人代表、工会代表、全体职员、基层管理者。急救人员、消防/应急响应人员。

7.2.9 Confidential Worker Interviews **保密性员工访谈**

- 7.2.9.1 During each SA8000 audit (Stage 2, surveillance, recertification, transfer, special), it will be necessary to interview a cross-section of workers (non-managerial personnel). These interviews may be in groups or one to one. Management cannot be present at such interview, to safeguard the confidentiality of individuals. Where interpreters are necessary there will be no links between the organization and the interpreter to ensure total impartiality.

在每次 SA8000 审核(二阶段、监督、再认证、转机构和追加审核)期间,有必要进行跨部门(非管理人员)访谈。访谈可以是小组或者一对一形式。管理层不能参与此类访谈,目的是保护员工个人保密性。如有必要聘用翻译人员,组织与翻译人员不能有任何联系,这样做是为了确保绝对的公正性。

- 7.2.9.2 Workers will be selected at random to be interviewed. The organization undertakes that those workers selected for interviews will be compensated in the same manner as if working at their regular job and will not be disadvantaged for being chosen for interviews.

随机挑选员工进行访谈。组织应承诺被挑选参加访谈的员工会得到等同于其正常工作所得的补偿,且不会因此受到不利对待。

- 7.2.9.3 All workers interviewed will be provided by IQNet Ltd Audit Team with a card containing the contact details of the auditors, IQNet Ltd and SAAS. The organization undertakes that it will not require the workers to return the contact details. Cards will be distributed also randomly during the organization walkthrough.

IQNet 审核组向所有接受访谈的员工提供包含审核员、IQNet 有限公司和 SAAS 联系方式的卡片。组织应承诺不会要求员工返还联系卡片。审核组在进行组织巡视时还会将卡片随机分发给其他员工。

- 7.2.9.4 IQNet Ltd audit team, with the support of the organization representatives, will chose an area during the overview tour, where they will undertake confidential interviews of workers and no management may be present at the time of the interview.

在组织代表的支持下, IQNet 审核组将在现场巡视时选择一个区域进行保密性员工访谈,且要求管理层不得参与访谈。

- 7.2.9.5 If a trade union or worker representative exist, they can be allowed to attend the interview at the request

and with the consent of the interviewed worker.

如组织有工会或工人代表，则应受访员工请求和同意，其可以参与访谈。

- 7.2.9.6 IQNet Ltd will maintain a list of the interviewed persons which will not be shared with the organization. This list will be used to ensure that different individuals are interviewed during subsequent audits or to do follow-up on issues at future audits.

IQNet 有限公司将保留受访员工名单，且不得将名单与组织分享。该名单用于确保不同员工按序接受访谈，或后续审核期间对问题进行跟进。

- 7.2.9.7 Worker interviews may include interviews with on-site subcontracted labour and suppliers.

员工访谈可包括现场分包方和供应商访谈。

- 7.2.9.8 IQNet Ltd audit team may conduct also off-site worker interviews (outside organization premises).

IQNet 有限公司审核组也可进行异地（即在组织场所外部）员工访谈。

7.2.10 Closing Meeting

末次会议

- 7.2.10.1 A formal closing meeting will be held with the client management and, as appropriate, those responsible for the functions or processes to be audited. The purpose of the closing meeting is to present the audit conclusions, including the recommendation regarding certification. Any non-conformities will be presented in such a manner that they are understood, and the timeframe for reporting will be agreed.

与客户管理层召开正式的末次会议，适当时，受审核部门或流程的负责人也可参与。末次会议的目的是陈述审核结论，包括就认证提出的建议。任何不符合项的陈述均应易于理解，且报告时限也应予以确定。

- 7.2.10.2 The non-conformity reports will be signed for acknowledgment by the organization. The audit team will leave a copy of any raised non-conformity with the organization.

不符合项报告需由组织签字确认。审核组向组织提供一份不符合项报告。

- 7.2.10.3 The SAI Management System Maturity Declaration outcome, where conducted, will be verbally summarized.

审核组对SAI管理体系成熟度声明（如实施）结果进行口头总结。

- 7.2.10.4 Any diverging opinions regarding the audit findings or conclusions between the audit team and the organization will be discussed and resolved, where possible. Any diverging opinions that are not resolved will be recorded and referred to IQNet Ltd Certification Authority.

可能时，对审核组与组织就审核发现或结论存在的分歧意见予以讨论和解决。任何未予解决的分歧意见均予以记录并交由 IQNet 认证委员会评审。

- 7.2.10.5 The senior management of the organization will be requested to attend the closing meeting. As applicable, this will include the responsible functions for health and safety, human resources and remuneration, recruitment, training, production schedules, time and attendance monitoring and social accountability compliance, supply chain (purchasing), etc.

组织的最高管理层应出席末次会议。参与讨论的人员包括：健康与安全、人力资源和薪酬、招聘、培训、生产安排、工时和考勤监督、社会责任合规性、供应链（采购）部门负责人等。

- 7.2.10.6 Worker representatives, trade union representatives (if applicable) and Social Performance Team (SPT) members need to attend the closing meeting.

工人代表、工会代表（适当时）及社会绩效团队（SPT）成员也需出席末次会议。

IQNet Ltd	SA8000 Certification Rules SA8000 认证规则	I 011-SA
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7.3 Integration of Social Fingerprint in the Audit Process

社会指纹与审核流程的整合

- 7.3.1 The SAI Self-Assessment and SAI Management System Maturity Declaration are tools developed by SAI in order to help organizations and certification bodies to measure and rate social performance, support the certification process and drive continual improvement. These will involve a combination between the organization self-assessment and auditors independent assessment based on the same criteria related to management system.

SAI 自我评估和SAI管理体系成熟度声明是由SAI开发的在线工具，旨在帮助组织和认证机构衡量和评级社会绩效、支持认证流程和促进持续改进。它包括基于管理体系相关的同一标准实施的组织自我评估和审核员独立评价。

- 7.3.2 The process has 3 main steps.

该流程分为 3 个主要步骤。



- 7.3.3 As a pre-requisite, the organization will need, at the beginning of the process, to register in SAI Database at <https://database.sa-intl.org/>, complete the profile, complete the Self-assessment (additional costs apply), and link with IQNet Ltd. This is a mandatory step to enable the IQNet Ltd SA8000 audit to take place. Likewise, this step shall be completed for any recertification or transfer audit.

作为一个前提条件，组织需要在流程开始之初在 SAI 数据库<https://database.sa-intl.org/>注册，填写基本信息，完成自我评估（需额外支付费用），并链接到IQNet 有限公司。此点为 IQNet 有限公司实施 SA8000 审核的强制性步骤。同样，对于任何再认证审核或转机构审核也应完成该步骤。

- 7.3.4 The audit time needed for performing the SAI Management System Maturity Declaration by IQNet Ltd audit team is incorporated in the Proposal for SA8000 Certification (F006-SA).

《SA8000 认证报价单》（F006-SA）中包含了 IQNet 有限公司审核组实施SAI管理体系成熟度声明所需的审核时间。

- 7.3.5 A description of the SA8000 Certification cycle an integration of the SAI Self-assessment and and Management System Maturity Declaration in the SA8000 Certification process is presented in annex 2.

附录 2 提供了有关 SA8000 认证周期和 SAI 自我评估与管理体系成熟度声明整合入 SA8000 认证流程的说明。

- 7.3.6 More information on the Social Fingerprint, the intervals for the Self-Assessment and Management System Maturity Declaration and the costs involved (as charged by SAI Database) are described on SAI Website (<http://www.sa-intl.org/index.cfm?fuseaction=Page.ViewPage&pageId=1711>) and in SAI Informative Brochures.

有关社会指纹、自我评估与管理体系成熟度声明的间隔及相关费用（SAI 数据库收取的费用）的更多信息，请参阅SAI 网站（<http://www.sa-intl.org/index.cfm?fuseaction=Page.ViewPage&pageId=1711>）和《SAI 资料册》。

IQNet Ltd	SA8000 Certification Rules SA8000 认证规则	I 011-SA
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7.4 Audit Team Assignment **审核组任务分配**

- 7.4.1 IQNet Ltd assigns the most appropriate and qualified auditors as members of the audit team. If necessary, the audit team can include experts, translators, auditors-in-training and other observers.
IQNet 有限公司指派较为适合且具有资质的审核员担任审核组成员。如有必要，审核组还可包括专家、翻译人员、实习审核员和其他观察员。
- 7.4.2 After receiving the information about the audit team composition, the organization could appeal against the appointment of any particular auditors and/or experts if it has evidence that a conflict of interest exists. In such a case objective evidence of the conflict of interest has to be sent to IQNet Ltd for its analysis. Final decision will be made by the Certification Authority of IQNet Ltd.
收到有关审核组构成的信息后，组织可就任何一位审核员和/或专家的任命提出投诉，如果有证据证明存在利益冲突的话。在此类情况下，组织应将有关利益冲突的客观证据发送给 IQNet 有限公司进行分析。IQNet 有限公司的认证委员会做出最终决定。

7.5 Observers and Guides **观察员和引导员**

- 7.5.1 The presence and justification of observers during an audit activity will be agreed between IQNet Ltd and the client prior to the conduct of an audit (except for unannounced audits).
IQNet 有限公司与客户在审核实施前确定观察员是否参与审核活动和参与理由（不予通知的审核除外）。
- 7.5.2 Observers can be members of the client's organization, consultants, accreditation body assessors, translators, IQNet Ltd and IQNet Ltd Representative personnel and witnessing auditors, auditors in training, regulators or other justified persons.
观察员可以是客户组织的成员、咨询人员、认可机构审核员、翻译人员、IQNet 有限公司和 IQNet 有限公司代表人员、见证审核员、实习审核员、监管人员或其他有正当身份的人员。
- 7.5.3 Each auditor will be accompanied by a guide, unless otherwise agreed by the audit team leader and the organization. Guide(s) are assigned to the audit team to facilitate the audit.
每一名审核员都由一名引导员陪同，除非审核组组长或组织另有确定人选。指派引导员是为了促进审核的实施。
- 7.5.4 The responsibilities of a guide can include: establishing contacts and timing for auditing relevant functions, arranging visits to specific parts of the site or organization, ensuring that rules concerning site safety and security procedures are known and respected by the audit team members, witnessing the audit on behalf of the client.
引导员的责任包括：就对相关部门的审核确定联系人和时间、安排审核员访问场所或组织的特定部分、确保审核组成员了解和遵守场所安全程序规则、代表客户见证审核的实施。
- 7.5.5 The audit team will ensure that observers or guides do not influence or interfere in the audit process or outcomes of the audit.
审核组将确保观察员或引导员不影响或干预审核流程或审核结果。

7.6 Stakeholder Engagement **与利益相关方的协商**

- 7.6.1 Stakeholder engagement needs to be performed as part of the SA8000 certification process. The stakeholder engagement will be conducted periodically by IQNet Ltd and IQNet Ltd SA8000 audit teams.
有必要进行与利益相关方协商，作为 SA8000 审核流程的一部分。由 IQNet 有限公司和 IQNet 有限公司 SA8000 审核组定期进行与利益相关方的协商。

- 7.6.2 The stakeholder engagement process will allow IQNet Ltd certification body and its auditors to engage with the community before the SA8000 audits, in order to gain an understanding of the sector, organization and region environment and specific issues related to SA8000 elements.
与利益相关方的协商流程允许 IQNet 有限公司的认证机构及其审核员在 SA8000 审核实施前与社区进行协商，以了解行业、组织、区域的环境问题和与SA8000 条款有关的特定问题。
- 7.6.3 The purpose of consultations is to provide auditors with background information enabling them to build a picture of the working conditions in advance and to know on what to focus during the audit, what are the most common issues in the industry, region, if the organization has any history of violations, etc.
协商的目的是为审核员提供背景信息，以便审核员提前构建一幅有关工作状况的画面，了解审核重点、最普遍的行业和区域问题及组织是否存在违规历史等。
- 7.6.4 Formal and informal consultations are an effective means of both gathering information on possible sensitive areas and also encouraging local organizations to monitor an SA8000 certified organization's continual compliance.
正式和非正式协商是收集有关潜在敏感区域的信息和鼓励当地组织监督获 SA8000 认证组织持续合规性的有效方法。
- 7.6.5 Typical stakeholders are:
主要的利益相关方包括：
- workers,
员工；
 - trade unions,
工会；
 - research institutions (e.g. institutes, universities, etc.),
研究机构（如学院、大学等）；
 - NGOs, community organizations,
非政府组织、社区组织；
 - governmental bodies (e.g. health and safety inspection, labour inspection, local authorities, etc.),
政府机构（如健康与安全视察组、劳动监察组、地方政府等）；
 - professional industry associations,
专业的行业协会；
 - labour experts.
劳工专家。
- 7.6.6 Stakeholder consultations may include also materials, published by reliable sources (e.g. studies, surveys, reports, etc.), Internet research, etc.
与利益相关方的会谈还可包括可靠信息源发表的刊物（如研究、调查、报告等）、互联网调查等。
- 7.6.7 Auditors will 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 a semi-announced audit.
审核员进行当地信息搜集，同时还进行现场或特定区域审核信息搜集，包括在一阶段审核的早上和/或两个审核人天之间的晚上及半通知审核期间与当地社区核实信息。

7.7 Key Personnel to be available on the audit day

审核当日需在场的主要人员

- 7.7.1 It is normal that the most appropriate person to be the main contact is a representative of the top management, Production Manager, Health & Safety Manager, or HR Manager. These persons, wherever possible, should attend the opening meeting along with any union and/or worker representatives, and these same people should attend the closing meeting at the end of the audit.
通常，作为主要联系人员的最合适人选为最高管理者代表、生产部门经理、健康与安全部门经理或人力资源经理。如有可能，这些人员连同任何工会代表和/或工人代表宜出席首次会议，并参加审核结束后的末次会议。

7.8 Impartiality by the Auditor

审核员维护公正性

- 7.8.1 As an additional support for professional auditor conduct during an audit, IQNet Ltd is making available its Code of Conduct and Ethics (Annex 5), describing the need for impartiality on behalf of the auditor.

At the beginning of each audit, the organization is requested to sign this to confirm it has received and understood the content.

作为在审核实施期间为专业审核员提供的一项额外支持，IQNet 有限公司将发布《行为准则和道德规范》（F025），代表审核员说明维护公正性的必要性。在每次审核之初，组织应在该文件上签字以确认其收到并了解文件内容。

7.9 Communication during the audit

审核期间的沟通

7.9.1 During any audit, the audit team will periodically assess the progress of the work. Where the available audit evidence reveals relevant information not previously communicated by the organization, that the audit objectives are unattainable or indicates the presence of an immediate and significant risk (e.g. safety), the audit team leader will report this to the client and, if possible, to IQNet Ltd to determine appropriate action. Such action may include reconfirmation or modification of the audit program, of the audit plan, changes to the audit objectives or audit scope, or termination of the audit.

任何审核期间，审核组都将定期评估工作的进展情况。如获取的审核证据表明组织此前并未就相关信息与审核组沟通、审核目标未实现或表明出现了重大风险（如安全风险），审核组组长应将此情况通报给客户，且如可能，汇报给 IQNet 有限公司以决定采取何种适当措施。此类措施可包括重新确认或修改审核方案、审核计划，调整审核目标或审核范围，或终止审核。

7.10 Taking Copies of Sample Documents/Records and Photos

对文件/记录抽样和拍照

7.10.1 It is a requirement of SAAS for any SA8000 accredited certification to support the audit report for certification, recertification and transfer with a sample of documents/records and photos to evidence compliance/non-compliance during the audit process.

SAAS 对任何经认可的 SA8000 认证的要求是，通过文件/记录抽样和照片证明组织在审核期间合规/不合规，为认证、再认证和转机构的审核报告提供支持。

7.10.2 Sample copies will include documents/records related to:
对抽样的拷贝包括与如下内容有关的文件/记录：

- SA8000 management system policies and procedures;
SA8000 管理体系政策和程序；
- Calculation of living wage (BNW/LW);
生活工资的计算（BNW/LW）；
- Layout drawing/plan of the organization premises;
组织场所布局图/平面图；
- Sample of documents/records to support working and rest time, overtime, holidays;
有关工作和休息时间、加班和假期的文件/记录抽样；
- Blank payroll sheet or other evidence on the wage calculation methodology;
空白的薪资单或其他有关工资计算方法的证据；

7.10.3 Photos will include:

照片包括：

- Organization building/premises;
组织建筑/场所；
- Production/operation area;
生产/作业区；
- Dormitory (if any);
宿舍（如有）；
- Canteen (if any);
食堂（如有）；
- Chemical storage area (if any);
化学品存储区（如有）；
- Warehouse (if any);
仓库（如有）；
- Supporting facilities (e.g. sewage treatment, boiler, generators);
支持性设施（如污水处理、锅炉、发电机）；

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- Work in progress;
工作/生产进行中;
- Location of the displayed SA8000 standard;
展示SA8000 标准的位置;
- Location where IQNet Ltd and SAAS contact details are displayed throughout the organization;
整个组织内展示IQNet有限公司和SAAS联系方式的位置;
- Location of the displayed SA8000 policy;
展示SA8000 政策的位置;
- Evacuation exits;
疏散出口;
- Fire-fighting equipment;
消防设备;
- Use of personnel protective equipment;
个人防护设备的使用;
- Attendance record system;
考勤记录系统;
- Evidence of emergency evacuation exercises conducted (e.g. fire drills);
实施应急疏散演习的证据 (如消防演习) ;
- Any non-compliance identified during the site tour (e.g. health and safety);
现场巡视期间识别的任何不符合项 (如健康安全方面的) ;
- Any best practice identified during the site tour.
现场巡视期间识别的最佳实践。

7.10.4 Others than identified above, photographs will be kept at a minimum and not include those of proprietary processes or individual workers.
除以上识别的内容之外, 照片要保持在最低限度且不得包含专有流程或个别员工的照片。

7.10.5 For surveillance audits, only sample of the changes to items mentioned under 7.10.2 and 7.10.3 shall, be taken.
对于监督审核, 仅应对7. 10. 2和7. 10. 3提及的事项变更的部分进行抽样。

7.10.6 The client organization cannot refuse the permission to take photographs but can review each photograph taken by the audit team before the team leaves the company. Any objection will be documented in the signed IQNet Ltd Code of Conduct and Ethics and in the Audit Report.
客户组织不得拒绝拍照, 但可以在审核组离开公司前查看其拍摄的照片。任反对理由应记录在经签字的IQNet 有限公司《行为准则和道德规范》和《审核报告》中。

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7.11 Pre-assessments 预审核

7.11.1 Pre-assessment audits can be performed at the request of the client, through the Application for Proposal (F002-SA).

应客户要求（填写《申请表》（F002-SA）），审核组可实施预审核审核。

7.11.2 The pre-assessment will be performed prior to the initial Stage 1 audit and will not replace the Stage 1 audit.

预审核在初次一阶段审核前实施，且不得替代一阶段审核。

7.11.3 The main objectives of the pre-assessment are:

预审核的主要目标是：

- evaluate the level of fulfilment of the SA8000 system requirements;
评估组织对 SA8000 系统要求的满足程度；
- planning for subsequent audits;
策划后续审核；
- confirm the requested certification scope;
确认组织要求的认证范围；
- define the number of personnel involved in the certification scope (including employees with specified term contracts, associated to possible seasonal situation, trainees etc.);
确定认证审核涉及的人员数量（包括签订特定条款合同的员工、参与可能的季节性工作的员工、受训人员等）；
- obtain information of all applicable locations/sites;
获取所有相关场所的信息；
- verify the languages spoken by the personnel at the facility, and the proportion speaking each (verification of information given on the application form);
核实场所人员使用的语言和使用每种语言的人数比例（核实申请表中提供的信息）；
- verify the need to engage a translator;
核实聘用翻译人员的需要；
- obtain information about the highest and the lowest salary;
获取有关最高薪资和最低薪资的信息；
- receive information on working hours and number of shifts;
获取有关工时和倒班次数的信息；
- collect information on number of subcontracted employees;
收集有关分包员工人数的信息；
- verify, if collective working agreements are in place;
核实员工是否签订了集体劳动协议；
- collect information on individual work contracts;
收集有关员工劳动合同的信息
- identify applicable national laws and labour contracts.
识别适用的国家法律法规和劳动合同。

7.11.4 The conduct of the pre-assessment and the respective date are established by mutual agreement with the organization.

审核组与组织确定是否实施预审核和实施日期。

7.11.5 The pre-assessment results will be documented in an audit report and will consist in non-binding findings, with no recommended solutions.

预审核结果将记录在审核报告中，并保留在不具约束力的审核发现中，但不推荐解决方案。

7.12 Initial Audit 初次审核

- 7.12.1 The SA8000 certification audit is carried in two stages. For both stages, an audit plan and a report in English and, if requested, in the local language will be generated.
SA8000 认证审核分两阶段进行。两个阶段各会产生一份用英文编写的审核计划和审核报告，如有要求，可使用本国语言编写。
- 7.12.2 The client will receive an audit plan prior each audit. The document will include the assigned audit team members and the audit dates.
客户在每次审核前都会收到一份审核计划。文件中包括了指派的审核组成员和确定的审核日期。
- 7.12.3 An audit report will be sent to the client after the conclusion of the assessment activities.
审核组在审核活动结束后将审核报告发送给客户。
- 7.12.4 The ownership of the audit report remains with IQNet Ltd.
审核报告的所有权归 IQNet 有限公司所有。

7.12.5 Stage 1: 一阶段:

- 7.12.5.1 In most cases, the stage 1 audit is performed at the client's premises (on-site), with the purpose of evaluating the level of preparation of the organization wanting to proceed towards certification.
在大多数情况下，一阶段审核在客户场所（现场）实施，目的是评价打算接受认证的组织的准备程度。
- 7.12.5.2 The objectives of stage 1 audit are:
一阶段审核的目标包括：
- to review the accuracy of the information provided by the organization in the application form(s);
评审组织在申请表中提供的信息的准确性；
 - to review and assess the organization's SA8000 management system documentation;
评审和评价组织的 SA8000 管理体系文件；
 - to evaluate the organization's location and site specific conditions and to undertake discussions with the organization's personnel to determine the preparedness for the Stage 2 audit;
评价组织场所的特定条件并与组织人员讨论以确定是否准备二阶段审核；
 - to gain an understanding by the audit team of the organization's social accountability management system and its state of development;
便于审核组了解组织社会责任管理体系及运行状态；
 - to gain an understanding by the audit team of the issues pertinent to the client organization;
便于审核组了解客户组织的相关问题；
 - to determine the organization's identification, awareness and keeping under control of the local norms, legal and regulatory requirements;
确定组织对地方规范和法律法规要求的识别、了解和控制程度；
 - to review the organization's method of determining the applicable living wage (LW) and the wages paid to workers;
评审组织确定相关生活工资（LW）和支付给员工的实际工资的方法；
 - to agree on the list of documentation that must be made available by the organization for the Stage 2 audit (refer to Annex 4);
确定组织必须为二阶段审核准备的文件的清单（见附录4）；
 - to obtain the necessary information regarding scope of the management system and certification, including: the structure of the organization, the processes, the levels of control established (particularly in case of multi-site organizations);
获取有关管理体系和认证范围的必要信息：组织结构、流程、建立的控制的程度（尤其是对于多场所组织）。
 - to evaluate if internal audits and management reviews are being planned and performed and that the level of implementation of the management system substantiates that the organization is ready for Stage 2 audit;
评价组织是否策划并实施了内审和管理评审，及管理体系的执行程度是否证明组织已准备好二阶段审核。

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- to review the results of any previous social or ethical second or third-party audits, as applicable. A copy of all such reports within the last 3 years should be made available for review by the organization;
适用时，评审组织任何以往的社会或道德方面的第二方或第三方审核结果。组织宜将过去 3 年内的所有此类报告发送给 IQNet 有限公司进行评审。
- to review the proposed allocation of resources for the Stage 2 audit and agree with the organization on the Stage 2 audit details;
评审拟定的二阶段资源分配情况，并与组织确定二阶段审核的细节；
- to perform the SAI Management System Maturity Declaration.
实施SAI管理体系成熟度声明。

7.12.5.3 An audit report will be developed by IQNet Ltd auditor, documenting the conclusions regarding the level of fulfilment of the Stage 1 audit objectives and the readiness for Stage 2, including identification of any areas of concern that could be classified as non-conformity in Stage 2.

IQNet 有限公司的审核员撰写审核报告，记录有关一阶段审核目标的实现程度和二阶段审核的准备程度的结论，包括识别可在二阶段审核中分类为不符合项的任何问题区域。

7.12.5.4 Stage 1 does not generate non-conformities but risks of non-conformity which, if not satisfactorily addressed, may generate non-conformities in Stage 2 audit.

一阶段不产生不符合项但产生不符合项风险，如不符合项风险未得到满意的处理，则可能在二阶段产生不符合项。

7.12.5.5 In determining the interval between the Stage 1 and Stage 2, consideration will be given to the needs of the organization to resolve the areas of concern identified in Stage 1. The interval between the last day of the Stage 1 audit and the first day of the Stage 2 audit will, however, not exceed 6 months. Where the organization requires more time, an additional Stage 1 audit will be conducted.

在确定一阶段与二阶段审核的间期时，应考虑组织解决一阶段审核识别出的问题区域的必要性。不过，一阶段审核结束与二阶段审核开始的间期不得超过 6 个月。如组织要求延长时间，则需实施额外的一阶段审核。

7.12.5.6 IQNet Ltd may also need to revise its arrangements for Stage 2. If any significant changes, which would impact the management system occur, IQNet Ltd may consider the need to repeat all or part of Stage 1.

IQNet 有限公司可能还需要修改二阶段审核安排。如发生影响管理体系的任何重大变更，IQNet 有限公司可考虑是否需要重复实施全部或部分一阶段审核。

7.12.6 **Stage 2:** **二阶段:**

7.12.6.1 The stage 2 audit is performed at the client's premises (on-site), with the purpose of evaluating effectiveness of the SA8000 management system and associated performance elements and includes an assessment of how effectively the management system is deployed throughout the organization, as evidenced by workplace policies, practices and supporting evidence.

二阶段审核在客户场所（现场）实施，目的是评价 SA8000 管理体系的有效性和相关绩效条款，包括评估组织如何有效运行管理体系，工作场所政策、条例和支持性证据可就此提供证明。

7.12.6.2 The entire management system and associated performance elements for SA8000 (all SA8000 clauses) will be assessed at every certification (Stage 2 audit).

每次认证（二阶段审核）都将评估整个管理体系和相关 SA8000 绩效条款（全部 SA8000 条款）。

7.12.6.3 The objectives of Stage 2 audit are:

二阶段审核的目标包括：

- to verify the solution of the Stage 1 areas of concern;
验证针对一阶段问题区域的解决方案；
- to review and assess the information and evidence about conformity to all SA8000 requirements and associated performance elements;
评审和评估有关组织对全部 SA8000 条款和相关绩效条款的符合性的信息和证据；
- to assess the performance monitoring, measuring, reporting and reviewing against key performance

objectives and targets (consistent with the expectations of SA8000);

评估组织对关键绩效指标和目标的监视、测量、汇报和评审情况（与 SA8000 预期值一致）；

- to review and assess the organization's management system ability and its performance regarding meeting of applicable statutory, regulatory and contractual requirements;
评审和评估组织管理体系的能力及满足适用法律法规和合同要求的绩效；
- to assess the operational control of the organization's processes;
评估组织流程的操作控制；
- to assess the internal auditing and management review;
评估组织的内审和管理评审；
- to assess the management responsibility for the client's policies;
评估客户政策的管理责任；
- to perform the SAI Management System Maturity Declaration.
实施SAI管理体系成熟度声明。

7.12.6.4 The IQNet Ltd Audit Team will analyse all information and audit evidence gathered during Stage 1 and Stage 2 to review the audit findings and agree on the audit conclusions.

IQNet 有限公司的审核组将分析一阶段和二阶段审核收集的所有信息和审核证据，以评审审核发现并确定审核结论。

7.12.6.5 The audit conclusions/findings will be documented in an Audit Report and in the Non-conformity Reports and will be communicated to the organization. The audit report identifies non-conformities, observations and improvement opportunities, without recommending solutions.

审核结论/发现将记录在《审核报告》和《不符合项报告》中，且会传达给组织。审核报告识别不符合项、观察项和改进机会，但不推荐解决方案。

7.12.6.6 The organization is required to establish and document, in the Non-conformity Reports, the root cause analysis, correction, corrective actions, deadlines for implementation and responsible persons. The answer of the client with the above-mentioned report will be sent to the Lead Auditor within the time set by the audit team.

组织应在《不符合项报告》中确定并记录根本原因分析、纠正、纠正措施、实施期限和相关负责人。客户就上述报告给出的反馈将在审核组确定的时间内发送给审核组组长。

7.12.6.7 The Lead Auditor will review for adequacy the corrective actions proposed by the organization and inform the organization on acceptance or any additional clarifications/revisions/actions.

审核组组长将评审组织提出的纠正措施的适宜性，并通知组织其是否接受或是否需要任何附加的解释/修订/措施。

7.12.6.8 The Audit Report and any Non-conformity Reports, including the actions defined by the organization, as accepted by the Lead Auditor, will be sent by the Lead Auditor to IQNet Ltd.

《审核报告》和任何《不符合项报告》，包括审核组组长接受的组织制定的措施将由审核组长发送给 IQNet 有限公司。

7.13 Classification of the findings 审核发现分类

7.13.1 The audit findings for Stage 2, surveillance, follow-up review, re-certification transfer are classified into:

二阶段审核发现分为以下三类：

- Non-conformities;
不符合项；
- Observations;
观察项；
- Opportunities for improvement.
改进机会。

There are 4 types audit non-conformities that can be raised during an SA8000 audit:

SA8000 审核期间可开出 4 类不符合项：

- Critical non-conformities;
极其严重不符合项；
- Major non-conformities;
严重不符合项；

- Minor non-conformities;
一般不符合项;
- Time-bound non-conformities.
时限性不符合项。

7.13.2 **A critical non-conformity** represents a grievous breach of the SA8000 standard, that results in severe impact to individual rights, life, safety and/or SA8000, IQNet Ltd, SAAS or SAI reputation. That includes: **极其严重不符合项**即严重违背 SA8000 标准, 导致个人权利、生命、安全和/或 SA8000、IQNet 有限公司、SAAS 或 SAI 的声誉受到严重影响。其中包括:

- A breach of ethical standards;
违背道德标准;
- An immediate threat to personnel (and/or audit team) lives;
对人员生 (和/或审核组) 命造成严重威胁;
- Grievous and intentional violations of human rights.
严重或蓄意违反人权;

7.13.3 Violations observed during an SA8000 audit that, in the opinion of the audit team, require immediate action by the organization client, are known as critical issues, zero tolerances or immediately reportable issues and require the IQNet Ltd audit team to raise a Critical Non-Conformity at the time of observing the violation.

依据审核组的意见, 如SA8000 审核期间发现违规项, 则要求客户组织立即采取措施。这种违规项称为极其严重不符合项、零容忍项或需立即上报的问题。IQNet 有限公司的审核组需要在观察到违规项时即开出极其严重不符合项。

7.13.4 As a general rule, if the critical non-conformity is related to unethical behaviour (e.g. attempted bribery, coercion, etc.), and leads to the withdrawal of the SA8000 certificate, an organization may re-apply for certification after a period of 3 years from the date when such non-conformity associated with audit integrity is issued. SA8000 certificates may be denied (not granted), suspended, or withdrawn when such non-conformities are confirmed.

作为一般规定, 如极其严重不符合项与不道德的行为 (如企图行贿、胁迫等) 有关, 且导致 SA8000 证书被撤销, 在自开出与审核正直性有关的此类不符合项起的 3 年期结束后, 组织可重新申请认证。一旦确认出现此类不符合项, 客户可能被拒绝发放 (不予授予)、暂停或撤销 SA8000 证书。

7.13.15 As a general rule, if the critical non-conformity is related to integrity (e.g. attempted bribery, coercion, or threats to the audit team life or safety), it leads to the withdrawal of the SA8000 certificate. An organization may re-apply for certification after a period of 12 months from the point at which the client has adequately demonstrated full and effective correction and corrective action that resolves all of the issues related to the critical non-conformity.

一般来说, 如极其严重不符合项涉及的是正直性 (如企图行贿、胁迫或威胁审核组的生命或安全), 将导致SA8000证书的撤销。自提供充分证据证明其通过采取了全面且有效的纠正和纠正措施解决了有关极其严重不符合项的所有问题起12个月后, 组织可重新申请认证。

7.13.6 In case of organizations already certified, the raise of a critical non-conformity will lead to an immediate suspension of the SA8000 certificate.

对于组织已获认证的情况, 开出极其严重不符合项将导致组织 SA8000 证书被立即暂停。

7.13.7 **A major non-conformity** can be raised for one of the following reasons:

基于下列原因之一, 即可开出**严重不符合项**:

- the absence of, or total breakdown of a system to meet an SA8000 requirement. A number of minor non-conformities against one requirement can represent a total breakdown of the system and thus be considered a major non-conformity;
体系未能满足 SA8000 要求或彻底失效。出现违背某项要求的大量一般不符合项也可能表明体系彻底失效, 因此被视为严重不符合项;
- a non-conformity that judgement and experience indicate is likely either to result in the failure of the social accountability management system in meeting its goals and expectations or to materially reduce its ability to assure control of its policies and directives in the workplace to protect its workers;
审核组依据判断和经验发现的可能导致社会责任管理体系不能满足组织目标和期望的不符合项, 或实质上削弱了组织确保对工作场所方针和指令的控制以保护工人权利的能力的不符合项;
a minor non-conformity that has not been addressed, or for which no significant improvement has been
- made by the established deadline, in spite the organization's commitment to resolve the issue;
截至确定的期限尚未解决的一般不符合项或未针对一般不符合项进行重大改进, 尽管组织承诺会解决这些问题;
- a non-conformity that poses an imminent and immediate but not life-threatening threat to the health and safety of personnel.
对人员健康和造成严重但非致命威胁的不符合项。

IQNet Ltd	SA8000 Certification Rules SA8000 认证规则	I 011-SA
IQNet Ltd Bollwerk 31 CH-3011 Bern Switzerland Phone: +41 31 310 24 42 E-mail: iqnetltd@iqnet.ch Website: www.iqnet-ltd.com		

- 7.13.8 **A minor non-conformity** is a failure to comply with SA8000 which, based on judgement and experience, is not likely to result in the failure of the social accountability management system or reduce its ability to assure the ongoing viability and effectiveness of policies and procedures to protect its workers' rights. It may be one of the following:
一般不符合项是指审核组依据判断和经验发现的不可能导致社会责任管理体系失效或削弱组织确保工作场所方针和程序的持续可行性和有效性以保护工人权利的能力的不符合项。一般为以下情况之一：
- a failure of oversight in some part of the organization's social accountability management system relative to SA8000 which is not systemic in nature;
对组织的部分 SA8000 相关社会责任管理体系未予监督，但并非系统性问题；
 - a single observed lapse in following one item of an organization's social accountability management system.
审核组观察到组织对其社会责任管理体系的某一方面存在个别失检问题。
- 7.13.9 **A time-bound non-conformity** is a particular type of non-conformity that can be raised only as a result of audit evidence and findings that show that the organization meets the law but not the higher requirements of SA8000. Such non-conformity can be raised only for the following cases:
时限性不符合项为一种特定类型的不符合项。如审核证据和发现表明客户组织满足法律法规要求但未满足 SA8000:2014 的较高要求，则可开出时限性不符合项。仅在以下情况中才可开出此类不符合项。
- Clause 7 – Working hours, where the organization does not meet the maximum working hours and/or maximum overtime hours per week as prescribed by SA8000 or the country law (whichever is the lesser amount);
条款7-工时 组织未满足SA8000或国家法律规定的（以较低的为准）周最多工时和/或周最多加班工时；
 - Clause 8 – Remuneration, where the organization pays the personnel the legal minimum wage but not a living wage.
条款8-薪酬 组织向员工支付了法定最低工资而非生活工资。
- 7.13.10 **An Opportunity for Improvement** indicates a finding which is not a non-conformity but may lead to a non-conformity if it persists without being corrected. It may indicate also a finding related to the organization's areas/processes, which meet the minimum requirements but might be improved.
改进机会是指非不符合项但如持续存在而不予纠正可能导致不符合项的发现。还可指与满足最低要求但还可改进的组织区域/流程有关的发现。
- 7.13.11 **An Observation** is a good example or best practice noted by the audit team in relation to the organization's social accountability practices and management system.
观察项是由审核组记录的与组织社会责任实践和管理体系有关的良好范例或最佳实践。
- 7.13.12 All findings will be discussed with the organization to ensure they are understood and that the evidence is accurate. The audit team leader will seek to resolve any diverging opinions between the audit team and the client concerning audit evidence or findings. Unresolved points will be recorded and submitted to IQNet Ltd for decision.
审核组将就所有发现与组织进行讨论，以确保组织的知情权和证据的准确性。审核组组长将寻求解决审核组与客户就审核证据或发现产生的任何分歧。未予解决的问题将予以记录并提交 IQNet 有限公司做决定。

7.14 Non-conformitymanagement 不符合项管理

- 7.14.1 All non-conformities will be recorded.
所有不符合项均予以记录。
- 7.14.2 For each non-conformity issued, the organization is required to submit a corrective action plan consisting of the root cause analysis, proposed correction and corrective action to solution the identified non-compliance and avoid recurrence.
针对开出的每一个不符合项，组织应提交纠正措施计划，包括根本原因分析、拟定的纠正和纠正措施，以解决识别出的不符合项和避免不符合项再次出现。

7.14.3 IQNet Ltd reviews the organization response and determines if this is acceptable. Failure of the organization to submit acceptable root cause analysis, correction and corrective action for any non-conformity issued within the established timeframe might lead to the repeat of all or part of the initial audit, upgrade of the findings and/or suspension/withdrawal of the certification for certified organizations. The IQNet Ltd will review for adequacy the corrective actions proposed by the organization and inform the organization on acceptance or any additional clarifications/revisions/actions.

IQNet 有限公司评审组织的应对措施并确定是否予以接受。组织在确定的时限内针对开出的任何不符合项未提交可接受的根本原因分析、纠正和纠正措施，将导致再次对获认证组织实施全部或部分初次审核、审核发现升级和/或被暂停或撤销认证。IQNet 有限公司将评审组织拟定的纠正措施的适宜性，并通知组织其是否予接受或需要任何附加的解释/修订/措施。

7.14.4 The timeframes for the organization response to the non-conformities raised, is presented below, in calendar days from the last day of the on-site audit:

以下为组织针对开出的不符合项采取应对措施的时间框架，以日历天为单位，自现场审核结束之日算起：

Critical NC 极其严重不符合项		Major NC 严重不符合项		Minor NC 一般不符合项		Time-Bound NC 时限性不符合项	
Corrective Action Plan sent to IQNet Ltd within: 在多长时间将纠正措施计划发 IQNet 有限公司:	Corrective Action Action implemented within: 在多长时间 执行纠正措施:	Corrective Action Plan sent to IQNet Ltd within: 在多长时间将纠正措施计划发 IQNet 有限公司:	Corrective Action Action implemented within: 在多长时间 执行纠正措施:	Corrective Action Plan sent to IQNet Ltd within: 在多长时间将纠正措施计划发 IQNet 有限公司:	Corrective Action Action implemented within: 在多长时间 执行纠正措施:	Corrective Action Plan sent to IQNet Ltd within: 在多长时间将纠正措施计划发 IQNet 有限公司:	Corrective Action implemented within: 在多长时间 执行纠正措施:
5 days 5 天	1 month 1 个月	15 days 15 天	3 months 3 个月	15 days 15 天	6 months 6 个月	TBNC 8 - 15 days 时限性不符合项 8: 15 天 TBNC 7 Level 1 - 5 days 时限性不符合项 7 等级 1: 5 天 TBNC 7 Level 2 - 5 days 时限性不符合项 7 等级 2: 5 天 TBNC 7 Level 3 - 1 month 时限性不符合项 7 等级 3: 1 个月 TBNC Level 4 - 2 months 时限性不符合项 7 等级 4: 2 个月	TBNC 8 - 24 months 时限性不符合项 8: 24 个月 TBNC 7 Level 1 - 6 months 时限性不符合项 7 等级 1: 6 个月 TBNC 7 Level 2 - 6 months 时限性不符合项 7 等级 2: 6 个月 TBNC 7 Level 3 - 18 months 时限性不符合项 7 等级 3: 18 个月 TBNC Level 4 - 18 months 时限性不符合项 7 等级 4: 18 个月

7.14.5 Non-conformities cannot be closed during the audit in which they were issued. IQNet Ltd requires the organization to submit root cause analysis and evidence of correction and systemic corrective action along with evidence of effective implementation for each non-conformity issued.

不得在开出不符合项的审核期间关闭不符合项。IQNet 有限公司要求组织提交根本原因分析、纠正和系统性纠正措施实施证据，连同对开出的每一个不符合项有效实施了这些措施的证据。

7.14.6 Social accountability management systems will not be certified to SA8000 if any open critical or major non-conformities to SA8000 exist.

如存在任何处于开放状态的 SA8000 极其严重不符合项或严重不符合项，则不得对社会责任管理体系实施认证。

7.14.7 The organization will determine the root cause and undertake the corrections and corrective actions within a lap of time established by common agreement with IQNet Ltd (see table above).

组织将确定根本原因并在与 IQNet 有限公司确定的时限内实施纠正和纠正措施（见上表）。

7.14.8 The implementation of the corrective actions for critical and major non-conformities will be normally verified through a special follow-up audit on-site (announced or semi-announced) or, in limited and appropriate cases, through document review (desktop review). The special audit to confirm effectiveness of corrective actions addressing critical non-conformities will take place, generally, within 30 days from the issuance of the non-conformity. The audit to confirm the effectiveness of the corrective actions addressing major non-conformities will take place, generally, within 90 days from issuance of the non-conformity. The costs for the follow-up audits will be paid by the organization.

通常通过实施现场追加审核（通知和半通知的）的方式，或在有限且适当情况下，通过文件评审（桌面评审）验证组织是否就极其严重和严重不符合项采取了纠正措施。为确认组织针对极其严重不符合项采取的纠正措施的有效性，通常在开出不符合项的30日内实施追加审核。为确认组织针对严重不符合项采取的纠正措施的有效性，通常在开出不符合项的90日内实施追加审核。跟进审核的费用由组织承担。

7.14.9 In case of grievous and intentional violations of human rights or immediate threats to personnel lives: 对于存在严重或蓄意违反人权或对人员生命造成严重威胁的情况：

- as the aim of the audit process is to evaluate conformity with the SA8000 standard, efforts will be made by the applicant or certified organization to rapidly bring about the necessary changes to address these violations;
鉴于审核流程的目的是评价组织对 SA8000 标准的符合性，申请者或获认证组织应争取迅速进行必要变更以解决违规项；

- if there is a clear determination shown by management and immediate action is taken to remediate the violations, this will be considered as an acceptable correction;
如管理层做出明确决定或组织及时采取了措施纠正违规项，此举可被视为可接受的纠正；
- new certificates may be issued or suspensions may be lifted (in case of already certified organizations) when the violations or threats to human rights are remedied.
一旦违规项或对人权构成的威胁得以消除，组织将被授予新的证书或取消暂停（对于已获认证的组织）。

7.14.10 In case of certification or recertification audits, if the follow-up audit cannot be carried out until the deadline or the organization has not implemented the adequate corrective actions, a complete stage 2 audit will be repeated.

对于认证或再认证审核，如在截止日期前不能实施跟进审核或组织未实施适宜的纠正措施，则应再次实施完整的二阶段审核。

7.14.11 Minor non-conformities may remain open for a specified period, normally not longer than 6 months, to allow sufficient time to close them effectively.

一般不符合项仍可处于开放状态一段特定时间，通常不超过 6 个月，以便组织有充分时间有效关闭不符合项。

7.14.12 Corrective actions not completed within the allocated timing will result in upgrading the non-conformity and/or suspension or loss of the SA8000 certificate, depending on the nature of the lapse of the social accountability management system.

视社会责任管理体系的失效性质而定，未在指定时间内完成纠正措施，将导致不符合项升级、SA8000 证书被暂停或撤销。

7.15 Analysis of the Audit Report and of the Corrective Actions Report 对审核报告和纠正措施报告的分析

7.15.1 The audit report and the corrective actions report proposed by the client are verified by IQNet Ltd, who will make the decision on the following steps in the certification process.

客户提供的审核报告和纠正措施报告由 IQNet 有限公司予以验证，IQNet 有限公司决定是否继续认证流程中的后续步骤。

7.15.2 The audit report is valid for a maximum of 8 months from its issue date. After this period, decisions concerning the certification based upon that audit cannot be made, and therefore a new audit is required in case the process is to be continued.

审核报告的有效期限最长为自发布之日起 8 个月。过了该期限，不能基于该审核报告做出认证决定，因此如要继续认证流程，则需要实施新的审核。

7.16 Certification Decision 认证决定

7.16.1 IQNet Ltd certification decision is made based on the evaluation of the audit findings and conclusions and any other relevant information (e.g. public information, other situations revealed by stakeholders, comments on the audit report by the client).

IQNet 有限公司基于对审核发现、结论和任何其他相关信息（如公开信息、利益相关方披露的其他情况、客户在审核报告中提出的意见）做出认证决定。

7.16.2 The recommendation made by the audit team in the audit report is not binding on IQNet Ltd and the decision to issue the SA8000 certificate is at the sole discretion of IQNet Ltd.

审核组在审核报告中提出的建议对 IQNet 有限公司不具有约束力，是否授予 SA8000 证书由 IQNet 有限公司自行决定。

7.16.3 The certification decision is made by the IQNet Ltd certification committee, after all critical and major nonconformities are closed. Minor nonconformities may remain open, and the SA8000 certification may be granted irrespectively, provided that the planned correction and corrective action plan has been reviewed and accepted. The certification committee may request additional actions from the client, in case there are still open points. This decision will be communicated in writing to the client, within two months after receipt of the corrective action response by IQNet Ltd, except in cases which are duly justified.

在所有极其严重不符合项和严重不符合项关闭后，由 IQNet 有限公司的认证委员会做出认证决定。一般不符合项仍可处于开放状态，不影响 SA8000 认证授予，但前提是拟定的纠正和纠正措施计划已经过

IQNet 有限公司评审和接受。如仍有问题未予解决，认证委员会可要求客户采取额外的措施。收到客户发来的纠正措施的两个月内，IQNet 有限公司将该决定以书面形式传达给客户，提供合理解释的情况除外。

7.16.4 The certification decision can be of:

认证决定包括：

- **granting the certification;**
授予认证；
- **delay** – where additional information is required;
延期认证——对于需提供额外信息的情况；
- **conditioned granting of certification** – the client is informed on the grounds for the conditioned granting of certification and the terms and deadlines for restoring the complete fulfilment of the certification requirements. At the set deadline, the Certification Authority reviews the evidence provided and make the decision for maintaining the certification (with no conditions) or initiating the suspension procedure.
有条件性授予认证——告知客户有条件性授予认证的依据及恢复完全满足认证要求的条款和期限。在确定的期限内，认证委员会评审客户提供的证据并决定是否维持认证（无条件地）或启动暂停程序。
- **not granting the certification** – the client is informed on the grounds for not granting the certification and the right to appeal such decision.
不予授予认证——告知客户不予授予认证的依据及其可就该决定投诉的权利。

8 SA8000 CERTIFICATE OF CONFORMITY SA8000合格证书

8.1 Each SA8000 certificate is assigned with a unique identification number and valid for a maximum of 3 (three) years, from the date the certification decision is made by IQNet Ltd. Its validity and scope may be verified in the online IQNet Ltd list of certified organizations.

每一张 SA8000 证书都被分配一个唯一的识别码，有效期为自 IQNet 有限公司做出认证决定之日起最长 3（三）年时间。证书的有效性和范围可在 IQNet 网站上获认证组织名录中予以验证。

8.2 IQNet Ltd SA8000 certificate contains the following:

IQNet 有限公司 SA8000 证书包含如下内容：

- the unique certificate number;
唯一的证书编号；
- the name and address of each certified organization (or the address of the headquarters and any sites within the scope of a multi-site certification);
每一个获认证组织的名称和地址（或多场所认证范围内总部及所有场所的地址）；
- the scope including all the activities for related products and services;
包括与产品和服务相关的所有活动在内的范围；
- the edition of the SA8000 standard to which the certification applies;
认证适用的 SA8000 标准版本；
- the date of issue/extension/renewal/revision and the expiry date of the certificate;
证书授予/范围扩大/更新/修订的日期和到期日；
- the IQNet Ltd SA8000 certification mark and SAAS SA8000 accreditation mark;
IQNet 有限公司 SA8000 认证标志和 SAAS SA8000 认可标志；
- any other information required by the accreditation body SAAS.
认可机构 SAAS 要求的任何其他信息。

8.3 The SA8000 certificate can never guarantee the fulfilment of the applicable legal requirements.
SA8000 证书不能始终保证组织满足适用法律法规的要求。

8.4 The holder of an IQNet Ltd SA8000 certificate may use this for all business purposes, in particular for tenders, order confirmations and agreements with clients.

IQNet 有限公司 SA8000 证书持有人可将证书用于各种商业目的，尤其是招标、订单确认及与客户签订协议。

8.5 In cases where a subcontractor is used by the certified organization to deliver parts of its activities, the certificate scope statement will clearly specify that some processes are delivered by subcontractors and those parts are excluded from the scope.

9 SA8000 CERTIFICATION MARKS

SA8000 认证标志

- 9.1 Together with the certificate, the certified client receives the right to use the SA8000 certification mark of IQNet Ltd. The ownership of the IQNet Ltd mark remains with IQNet Ltd. This mark may be combined with the SAAS SA8000 accreditation mark and may only be used:
连同证书在内，获认证客户还会获准使用 IQNet 有限公司 SA8000 证书标志。IQNet 有限公司标识的所有权归 IQNet 有限公司所有。该标志可与 SAAS SA8000 认可标志一并使用，且仅可在如下情况使用：
- with the name of the certified company;
附有获认证组织名称；
 - with reference to applicable standard;
附有参考的相关标准；
 - within the validity period of the certificate;
证书处于有效期内；
 - within the certified scope/area;
处于获认证范围/区域；
 - by the certified organization (the legal first owner);
由获认证组织（第一合法所有人）使用；
 - without any changes;
未进行任何变更；
 - in colours as specified by IQNet Ltd and by SAAS, enlarging or reducing is allowed;
使用 IQNet 有限公司和 SAAS 规定的文字颜色，允许扩大或缩小字体；
 - (but in a size which makes all the features of the mark clearly distinguishable);
（但文字的大小应保证标识的所有特征清晰可辨）；
 - on a clearly contrasting background;
背景清晰；
 - on documents, signs, advertising media;
用于文件、标识和宣传媒介上；
 - in general company documents with a clear description of the certificate coverage/scope;
用于一般性的公司文件上，并清晰描述证书的范围；
 - not on products, its labelling or packaging, laboratory test, calibration or inspection reports or in such a way as to suggest that IQNet Ltd or SAAS have certified or approved any product, process or service of a certified facility, or in any other misleading manner.
不得用于产品、标签或包装上，不得用于实验室检测报告、校准报告或检验报告，或用以暗示 IQNet 有限公司或 SAAS 已认证经批准某一获认证企业的任何产品、流程或服务的方式使用，或以其他误导性方式使用。
- 9.2 The SAAS SA8000 accreditation mark must always be used in connection with the SA8000 certification mark of IQNet. When using the SAAS SA8000 accreditation mark, its size must be of a similar size to the IQNet Ltd SA8000 certification mark. The ownership of SAAS mark remains with SAAS.
SAAS 的 SA8000 认可标志必须始终与 IQNet 有限公司的 SA8000 认证标志一并使用。使用 SAAS 的 SA8000 认可标志时，标志的大小必须与 IQNet 有限公司的 SA8000 认证标志相似。SAAS 标志的所有权归 SAAS 所有。
- 9.3 The certified organization may use the IQNet Ltd logo in association with the Marks but will not use the Marks with the logos, emblems or brands of any other organization.
获认证组织可使用 IQNet 有限公司标识连同标志，但不得连同任何其他公司的标识、徽标或品牌使用标识。
- 9.4 The following marks will be used:
获认证组织将使用如下标志：

IQNet Ltd	SA8000 Certification Rules SA8000 认证规则	I 011-SA
IQNet Ltd Bollwerk 31 CH-3011 Bern Switzerland Phone: +41 31 310 24 42 E-mail: iqnetltd@iqnet.ch Website: www.iqnet-ltd.com		



9.5 For the SA8000 certification mark of IQNet Ltd, two colour schemes are to be used i.e. blue and silver. For consistent colour tones, specific colour codes or numbers are to be used:

IQNet 有限公司 SA8000 认证标志使用两色设计方案，即蓝色和银色。为保持一致的色调，采用专门的色码或数字：

- for blue colour: "PANTONE" 661 C
蓝色：“国际标准色卡” 661C
- for silver colour: "PANTONE" 877 C
银色：“国际标准色卡” 877C
- or for four colour printing:
或四色打印：

C (Cyan):	100%
C (蓝绿色) :	100%
M (Magenta):	80%
M (品红色) :	80%
Y (Yellow):	0%
Y (黄色) :	0%
K (Kontrast):	0%
K (对比色) :	0%

9.6 The SA8000 certification mark of IQNet Ltd will not be used with the letter “Q” formed of yellow/golden stars on a blue background
使用 IQNet 有限公司的 SA8000 认证标志，不得将带有黄色/金色星星的字母 “Q” 型印在蓝色背景上。

9.7 An electronic file of the SA8000 certification mark of IQNet Ltd and SAAS accreditation mark is available upon request by IQNet Ltd.

应 IQNet 有限公司要求，也可使用 IQNet 有限公司的 SA8000 认证标志和 SAAS 认可标志的电子版。

IQNet Ltd	SA8000 Certification Rules SA8000 认证规则	I 011-SA
IQNet Ltd Bollwerk 31 CH-3011 Bern Switzerland Phone: +41 31 310 24 42 E-mail: iqnetltd@iqnet.ch Website: www.iqnet-ltd.com		

10 MAINTENANCE OF THE SA8000 CERTIFICATION

维持SA8000 认证

- 10.1 The SA8000 certificate is valid for a maximum of 3 years from the issuing date, provided that the management system is maintained implemented and effective. This will be demonstrated during the surveillance audits and related follow-up reviews. Before the certificate expiry, a recertification audit will be carried out (and related follow-up) and a new certification cycle will begin once the certification decision is made.

SA8000 证书的有效期为授予之日起最长 3 年时间，前提是管理体系得到执行、维持，且运行有效。这一点将在监督审核和相关跟进评审期间予以证实。证书到期前，客户应接受再认证审核（及相关的跟进），自此开始新一轮的认证周期。一旦做出认证决定，新的认证周期即开始了。

10.2 Surveillance Audits

监督审核

- 10.2.1 The sequence of the audit activities for a 3 years cycle (with the related surveillance and follow-up frequency) is described in Annexes 2 and 3.

附录2和附录3规定了3年周期内审核活动的次序（及相关监督和跟进的频次）。

- 10.2.2 During the validity of the SA8000 certificate, IQNet Ltd will conduct surveillance audits and follow-up reviews following relevant procedures. The frequency of the surveillance audits is determined starting from the date the certification is granted and it is presented in Annex 3.

在 SA8000 证书有效期内，IQNet 有限公司会根据相关程序实施监督审核和跟进评审。监督审核频次的确定是从授予证书之日算起，见附录3的规定。

- 10.2.3 For single site organizations annual semi-announced surveillance audits complemented by follow-up reviews will be conducted during every 3-years certification cycle, as presented in Annex 3.

对于单一场所组织，每 3 年认证周期内将实施年度半通知审核，辅以跟进评审，见附录 3 的规定。

- 10.2.4 A semi-announced audit is an on-site surveillance audit that is delivered on any day(s) during a pre-advised 8-weeks window. The SA8000 certified client shall be advised at least 8 weeks before the first day of the 8-weeks window of the exact start and end of the 8-weeks window. Without informing on the exact dates, the audit team shall present itself at the company premises to perform the audit on a date within that window.

半通知审核为在预先通知的8星期的窗口期内任一（多）天实施的现场监督审核。审核组应至少在8星期窗口期的第一天前通知SA8000获证客户该8星期窗口期的确切起止日期。在未告知确切日期的情况下，审核组应在该窗口期内的某一天到达客户场所实施审核。

- 10.2.5 For multi-site organizations semi-annual announced surveillance audits will be conducted during every 3-years certification cycle, as presented in Annex 3.

对于多场所组织，每3年认证周期内将实施半年通知审核，见附录3的规定。

- 10.2.6 If requested, the IQNet Ltd Certification Authority can decide to anticipate a surveillance audit.

如有要求，IQNet 有限公司的认证委员会可决定是否提前实施监督审核。

10.2.7 The intervals of the surveillance audits are defined by IQNet Ltd (see Annex 3) and the effective dates will be established in agreement with the Lead Auditor, within the specified interval, except for semi-announced audits where only the time window is established.

监督审核的间期由 IQNet 有限公司确定（见附录 3），且在确定的间期内客户与审核组组长就有效日期的确定达成一致。半通知审核除外，因为半通知审核只确定时间窗口。

10.2.8 Delays in surveillance audit and follow-up scheduling are not allowed and shall result in the suspension of the SA8000 certificate until the pending activity is conducted. Delays due to force majeure such as an earthquake, flood, fire, epidemic, lack of activities, shall be resulting in the immediate suspension of the certificate.

监督审核和跟进的安排不允许延期，否则将导致SA8000证书的暂停，直至实施了未完成的活动才可恢复。因地震、洪水、火灾、瘟疫或活动匮乏等不可抗力造成延期，将导致证书被立即暂停。

10.2.9 At least one surveillance audit per year will be scheduled to include an assessment of the organization during the high or peak season.

每年至少安排一次监督审核，包括在旺季期间对组织进行审核。

10.2.10 Each on-site surveillance audit will include an audit of:

每次现场监督审核应包括对以下内容的审核：

- management system elements: management review, internal audits and corrective actions;
管理体系条款：管理评审、内审和纠正措施；
- effectiveness of the Social Performance Team (SPT) work;
社会绩效团队（SPT）开展的工作的有效性；
- verification of any changes impacting the organization SA8000 management system;
验证是否存在影响组织 SA8000 管理体系的任何变更；
- verification of any changes in the organizational structure, including location and activities;
验证组织结构，包括位置和活动，是否发生任何变更；
- verification of any changes in the number of personnel;
验证人员数量是否发生任何变更；
- any update in the organization's SA8000 management system documentation;
组织 SA8000 管理体系文件的任何更新；
- any complaints received and organization response, including the effectiveness of the organization's complaint mechanism;
组织收到的任何投诉及应对措施，包括组织投诉机制的有效性；
- personnel training and personnel awareness and understanding of the SA8000 management system and its impact on individuals; 员工培训和员工对 SA8000 管理体系及其对个人的影响的认识和理解；
- effectiveness of the corrective and preventive actions taken as a result of any non-conformities and opportunities for improvement raised during the previous IQNet Ltd SA8000 audit (including the findings from the follow-up reviews); 针对上次 IQNet 有限公司审核期间开出的任何不符合项、改进机会（包括跟进评审的发现）采取的纠正和纠正措施的有效性；
- progress made in relation to any time-bound non-conformities previously issued;
就此前开出的任何任何时限性不符合项进行整改的进展情况；
- effectiveness of the health and safety system in place, including health and safety risk assessment, training and instruction, emergency evacuation planning and exercising, 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;
评估健康与安全体系的有效性，包括健康与安全风险评估、培训和指导、紧急疏散策划和演习、自上次审核至今发生事件的次数以及对任何死亡事故、严重事故和潜在危险事件进行的分析，包括火灾、有毒化学品泄露、爆炸；
- worker representative(s) activities since the previous audit;
自上次审核以来工人代表组织的活动；
- analysis of working hours and remuneration (including during high season, if any) since the previous audit;
分析上次审核以来的工时和薪酬情况（包括旺季的，如有）；
- comparison between IQNet Ltd calculated current living wage (basic needs wage) and the calculation performed by the organization;
比较 IQNet 有限公司计算的与组织计算的当前生活工资（基本生活工资）；
- display of SA8000 standard in prominent location, in all premises (including field offices);
在所有场所（包括地方办事处）的显著位置展示SA8000标准；
- the use of the SA8000 certified status, IQNet Ltd SA8000 certificate and certification mark and SAAS accreditation mark;

IQNet Ltd	SA8000 Certification Rules SA8000 认证规则	I 011-SA
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对 IQNet 有限公司 SA8000 证书、认证标志和 SAAS 认可标志的使用情况。

- 10.2.11 Besides, the above-mentioned, each surveillance audit will include additional SA8000 elements in order to ensure the examination of all elements within each three-years cycle.

除上述提及的内容外，每次监督审核将包括对额外的 SA8000 条款的审核，以确保在每一三年周期内对所有条款进行了审查。

- 10.2.12 During the certification cycle, meetings with interested parties can be considered and planned in order to acquire in advance information on the most common types of issues in the area of operation.

在认证周期内，可考虑并策划与利益相关方的协商，以事先获得有关组织运行区域内最常见问题的信息。

10.3 Follow-up Reviews 跟进评审

- 10.3.1 A follow-up review represents the activity performed between on-site audits in order to monitor the ongoing commitment and performance of a certified organization. While a follow-up review will be in most cases conducted via remote electronic communication with the certified organization's representative, over a minimum of 2 hours, if review of evidence demands it, it may be also conducted on-site over a longer period (than the standard 2 hours).

跟进评审即两次现场审核期间实施的活动，目的在于监督获证组织的持续履行承诺和体系运行情况。虽然跟进评审通常采用远程电子通信方式与获证组织代表沟通至少2个小时，当证据评审需要时，跟进评审也可在现场进行且延长时间（超过2小时标准时间）。

- 10.3.2 The follow-up review takes place approximately at 6 months after the surveillance/recertification audit (refer to Annex 3 for exact timeframes).

在监督审核/再认证审核后约6个月实施跟进评审（见附录3有关具体时间框架的规定）。

- 10.3.3 The follow-up review shall be conducted by a qualified Lead Auditor (typically the Team Leader leading the previous audit) and shall comprise a appropriate verbal and other electronic interaction to review evidence with the organization's representative.

跟进评审应由具备资质的高级审核员（通常为上次审核的审核组长）实施，且应包括采取适当的口头及其他电子形式的互动方式，与组织代表共同评审证据。

- 10.3.4 The follow-up review shall include:

跟进评审应包括：

- review of the organization's operations and confirmation of continued appropriateness and accuracy of the SA8000 certified scope;
评审组织的运行情况及确认其获证范围的持续适宜性和准确性；
- confirmation of the number of employees and/or changes to personnel;
确认人员数量及/或人员发生的变更；
- progress/closure of previously raised non-conformities;
评审上次开出的不符合项采取措施的进展情况及关闭与否；
- progress made towards required time-bound non-conformities;
评审对需整改的时限性不符合项采取措施的进展情况；
- the organization's commitment to health and safety, including satisfactory results and records of the organization's ongoing health and safety risk assessments and corrective and preventive actions taken (SA8000 requirement 3.5);
评审组织在健康安全方面应尽的责任，包括取得的满意结果、组织持续实施健康安全风险评估的记录及采取的纠正和预防措施（SA8000条款3.5）；
- the organization's commitment to its internal monitoring, complaint management and improvement processes (SA8000 requirements 9.4, 9.6 and 9.8).
评审组织在内部监督、投诉管理及改进过程（SA8000条款9.4、9.6、9.8）方面应尽的责任。

- 10.3.5 If the follow-up review identifies weaknesses against the performance of the organization to SA8000 requirements 3.5, 9.4, 9.6 and 9.8, then the reviewing auditor shall raise a non-conformity citing

“inadequate demonstration of commitment to management systems principles within the organization’s SA8000 policy (SA8000 requirement 9.1.2)” and further details/evidence of the finding as follows:

如跟进评审识别出组织在SA8000条款3.5、9.4、9.6和9.8方面存在不足，则评审员开出的不符合项应引述为“证明组织遵守其SA8000方针下的管理体系原则的证据不充分（SA8000条款9.1.2）”，需提供以下详情/证据：

- in the case of minor, isolated (non-systemic) failure to demonstrate commitment, a MINOR non-conformity shall be raised. Further actions shall be reviewed during the next surveillance audit visit.
如为轻微的、孤立的（非系统性的）未遵守情况，则应开出一项一般不符合项。下次监督审核期间应评审组织采取的进一步措施。
- In the case of broad, or systemic lack of commitment, a major non-conformity shall be raised. A special audit shall be conducted within 8 weeks to review responses and further actions undertaken (potentially leading to a recommendation for suspension of certification).
如为广泛的或系统性的未遵守情况，则应开出严重不符合项。8个星期内应实施追加审核，以评审组织采取的应对措施和后续措施（可能会导致建议暂停证书）。

10.4 Analysis of the Surveillance Audit and Follow-up Report and of the Corrective Actions Report **对监督审核报告、跟进评审报告及纠正措施报告的分析**

- 10.4.1 The audit/follow-up report and the corrective actions proposed by the client are verified by IQNet Ltd, who will make the decision on the following steps in the certification process.
审核/跟进报告和客户拟定的纠正措施由 IQNet 有限公司予以验证，IQNet 有限公司决定是否继续认证流程中的后续步骤。
- 10.4.2 The audit/follow-up report is valid for six months maximum, counted from its issue date. After this period, decisions concerning the certification based upon that audit cannot be made, and therefore a new audit is required in case the process is to be continued.
审核/跟进报告的有效期限最长为自发布之日起 6 个月。过了该期限，不能基于该审核报告做出认证决定，因此如要继续认证流程，则需要实施新的审核。
- 10.4.3 The ownership of the audit report remains with IQNet Ltd.
审核报告的所有权归 IQNet 有限公司所有。

10.5 Decision of Maintaining the Certificate **维持证书决定**

- 10.5.1 The audit/follow-up report and the corrective actions report, including the organization’s response, are submitted to the IQNet Ltd Certification Authority, who makes a decision concerning the maintenance of the certification.
审核/跟进报告和纠正措施报告，包括组织采取的应对措施，提交给 IQNet 有限公司的认证委员会，认证委员会决定是否维持认证。
- 10.5.2 If, during the surveillance audits, critical or major non-conformities are identified, they will be addressed as per paragraph 7.14 of these Certification Rules. In such cases, the Certification Authority can decide taking into account the following situations:
如果在监督审核期间识别出极其严重不符合项或严重不符合项，按照《认证规则》第 7.14 条予以解决。在此情况下，认证委员会可根据下列情况决定：
- Temporary suspension of the SA8000 certificate until confirmation of successful implementation of adequate and effective corrections and corrective actions. This will be verified by the means of a special follow-up audit. The costs related to the follow-up audit will be borne by the organization;
临时暂停 SA8000 证书，直到确认组织成功实施充分且有效的纠正和纠正措施。可实施追加跟进审核对此予以验证。跟进审核的费用由组织承担；
 - Maintenance of the SA8000 certificate, in very limited cases, as judged appropriate by IQNet Ltd Certification Authority;
IQNet 有限公司认证委员会依据适宜判断，在有限的情况下，维持 SA8000 证书。
 - Maintenance of the SA8000 certificate, in very limited cases, as judged appropriate by IQNet Ltd Certification Authority: with some risk mitigation measures, e.g. frequency of surveillance audits;
IQNet 有限公司认证委员会依据适宜判断，在有限的情况下，维持 SA8000 证书：采取一定的风险缓解

- 措施，如增加监督审核频次；
- **Withdrawal of the SA8000 certificate.**
撤销 SA8000 证书。

11 RENEWAL OF THE SA8000 CERTIFICATE

SA8000 证书的更新

11.1 Re-certification Audits

再认证审核

- 11.1.1 The purpose of the recertification audit is to confirm the continued conformity and effectiveness of the organization's SA8000 management system as a whole, and its continued relevance and applicability for the scope of the certification.
再认证审核的目的是确认组织 SA8000 管理体系整体的持续合规性和有效性，以及认证范围的持续相关性和适用性。
- 11.1.2 Re-certification audit of the SA8000 certificate will be carried out before the validity of the certificate ends. The time interval between the initial certification and recertification or between two recertification audits cannot exceed three years from the issue of the certificate.
对 SA8000 证书的再认证审核应在证书到期前进行。初次认证与再认证审核的时间间隔或两次再认证审核的时间间隔不能超过证书授予之日起的三年时间。
- 11.1.3 The re-certification audit will re-assess the effectiveness of the policies and actions defined in the social accountability management system and the overall effectiveness of the management system in its entirety, taking into consideration internal and external changes which may have affected the social management system.
考虑到内部和外部的变更可能会对社会管理体系产生影响，再认证审核将重新评估社会责任管理体系确定的政策和措施的有效性和管理体系的整体有效性。
- 11.1.4 The recertification audit covers all the standard requirements and includes the document review as well as the review of the previous surveillance audit reports. The entire management system and associated performance elements for SA8000 (all SA8000 clauses) will be assessed at every certification (Stage 2 audit).
再认证审核覆盖标准的全部要求，包括文件评审及对以往监督审核报告的评审。每一次认证（二阶段审核）都会对整个管理体系和SA8000 相关绩效条款（全部 SA8000 条款）进行评估。
- 11.1.5 The re-certification audits will include an on-site audit and is carried out similar to Stage 2 of the initial audit. The re-certification audit may have a stage 1 audit only in the situations where there have been significant changes to the management system (e.g. changes in the organizational structure, relocation, addition or deletion of locations, addition of business processes, significant changes in shifts and number of personnel) or the context in which the management system is operating (e.g. changes in legislation).
再认证审核包括现场审核，且实施方式与初次审核二阶段相似。再认证审核可能会进行一阶段审核，但仅发生在管理体系（如组织结构变更、迁址、地址增加或撤除、业务流程增加、倒班模式和人员数量发生重大变更）或管理体系运行环境发生了重大变更的情况下。
- 11.1.6 The recertification audit should be performed at least 6 months before the expiry of the current certificate.
再认证审核宜在当前证书到期前至少 6 个月实施。
- 11.1.7 For any critical and/or major non-conformity, IQNet Ltd audit team will define time limits for the root cause analysis, correction and corrective action. These actions will be implemented and verified prior to the expiration of the certification.
对于任何极其严重和/或严重不符合项，IQNet 有限公司将确定实施根本原因分析、纠正和纠正措施的时限。此类措施将在认证到期前得到实施和验证。
- 11.1.8 If the recertification audit was not completed before the expiration of the certificate or IQNet Ltd is unable to verify the implementation of corrections and corrective actions for any critical and/or major non-conformity prior to the expiry date of the certification, then the recertification will not be recommended and the validity of the certificate will not be expanded.

IQNet Ltd	SA8000 Certification Rules SA8000 认证规则	I 011-SA
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如果再认证审核未在证书到期前完成，或 IQNet 有限公司未能在认证到期前验证针对任何极其严重和/或严重不符合项实施纠正和纠正措施的情况，则不建议实施再认证，证书的有效期也不会延长。

11.1.9 Where critical and/or major non-conformities prior the expiration of the certificate, IQNet Ltd can restore certification within 6 months, provided that the outstanding recertification activities are completed, otherwise at least a Stage 2 audit will be conducted.

如果极其严重和/或严重不符合项在认证到期前予以解决，IQNet 有限公司可在 6 个月内恢复认证，前提是尚未实施的再认证活动已经完成，否则至少要实施二阶段审核。

11.1.10 Where, the recertification audit was not conducted, within the required timeframes, before the elapse of the certificate validity, provided the organization intends to resume certification, an initial audit, including stage 1 and stage 2, will be conducted.

如果在证书有效期截止前的规定时间内未实施再认证审核，但组织打算继续认证，则应实施初次审核，包括一阶段和二阶段。

11.2 Re-certification and Follow-up Review

再认证和跟进评审

11.2.1 A recertification follow-up review shall be conducted after the conduct of the recertification audit and before the recertification decision being made and the certificate being issued.

再认证跟进评审应在再认证审核实施后、再认证决定做出及证书授予前实施。

11.2.2 The recertification follow-up review shall be conducted as described in par. 10.3 above.

再认证跟进评审应按上述10.3要求实施。

11.2.3 Additionally, the review activities shall confirm that all required conditions for recertification have been met. This review shall clearly document the following (in addition to the above):

另外，评审活动应确认再认证所需的所有必要条件都得到满足。该评审应明确记录（除上述内容外）以下内容：

- reconfirmation of the SA8000 certification scope;重新确认SA8000认证范围;
- reconfirmation of the number of personnel;重新确认人员数量;
- reconfirmation of the certificate details;重新确认证书细节;
- confirmation that any previously raised critical or major non-conformities have been adequately addressed and closed;确认上次开出的任何极其严重不符合项或严重不符合项是否得到适当解决和关闭;
- recommendation/non-recommendation for continued certification to SA8000 (subject to which re-certification may be granted or denied by the Certification Authority).建议/不建议维持SA8000认证（待认证委员会授予或不予授予再认证）。

11.2.4 The recertification follow-up review may be on-site or off-site as presented in Annex 2.

再认证跟进评审可为现场实施，也可为非现场实施，参见附录2。

11.3 Analysis of the Re-certification and Follow-up Report and Corrective Actions Report

对再认证报告、跟进报告和纠正措施报告的分析

11.3.1 The audit report, follow-up report and the corrective actions report proposed by the client are verified by IQNet Ltd, who will make the decision on the following steps in the certification process.

审核报告、跟进报告和客户拟定的纠正措施提交IQNet 有限公司予以验证，IQNet有限公司决定是否维持认证。

11.3.2 The audit report is valid for a maximum of 6 months from its issue date. After this period, decisions concerning the certification based upon that audit cannot be made, and therefore a new audit is required in case the process is to be continued.

审核报告的有效期限最长为自发布之日起 6 个月。过了该期限，不能基于该审核报告做出认证决定，因此如要继续认证流程，则需要实施新的审核。

11.3.3 The ownership of the audit report remains with IQNet Ltd.

审核报告的所有权归 IQNet 有限公司所有。

11.4 Decision on the Renewal of the SA8000 Certificate

更新 SA8000 证书决定

- 11.4.1 The audit report and the corrective actions report are submitted to the certification committee, who makes a decision concerning the re-certification of the client, as described in section 7.16 of these Certification Rules.

根据《认证规则》第 7.16 条，审核报告和纠正措施报告交由认证委员会评审，认证委员会就是否对客户实施再认证做出决定。

- 11.4.2 The renewal of the SA8000 certificate is valid for a maximum, consecutive period of 3 years. During this period, the system of the certified organization will be submitted to the surveillance activities described in section 10 of these certification rules.

SA8000 证书更新的有效期最长为连续的 3 年时间。在此期间，获认证组织的体系将受认证规则第 10 条所述的监督活动制约。

- 11.4.3 The effective date on the certificate will be after the recertification decision but the expiry date will be based on the prior cycle.

证书的生效日期即自做出再认证决定起，截止期则依据前一周期而定。

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IQNet Ltd Bollwerk 31 CH-3011 Bern Switzerland Phone: +41 31 310 24 42 E-mail: iqnetltd@iqnet.ch Website: www.iqnet-ltd.com		

12 SPECIAL AUDITS

追加审核

12.1 Expanding the Certification Scope

扩大认证范围

12.1.1 IQNet Ltd considers all requests regarding enlargement of the certification scope (e.g. new sites or new activities/business processes added to the certification scope) as an extension of the SA8000 certification.

IQNet 有限公司将有关扩大认证范围（如在认证范围的基础上增加新的场所、活动/业务流程）的所有要求视为对 SA8000 认证的范围扩大。

12.1.2 Further to the written notification in this regards received from the client, IQNet Ltd will decide whether: 基于客户提供的有关此事宜的书面通知，IQNet 有限公司就如下事项做出决定：

- the changes do not substantially affect the certification terms and they will be verified during the next scheduled audit with a related increase in the audit duration;
变更是否实质上影响认证条款，且是否将在拟定的下次审核期间增加相应审核人天予以验证；
- the changes affect the certification terms and a special audit is required;
变更是否影响认证条款，且是否需要实施追加审核；
- the changes lead to the conduct of an initial audit.
变更是否导致需要实施初次审核。

12.1.3 IQNet Ltd will issue a new financial proposal to the organization.

IQNet 有限公司将为组织提供一份新的报价单。

12.1.4 The costs of any special audit will be paid by the certified organization.

实施任何追加审核的费用均由组织承担。

12.2 Short-notice Audits

临时通知审核

12.2.1 If necessary, additional special audits (announced or semi-announced) can be carried out. The reason for such audits can be:

如有必要，可实施额外的追加审核（通知的或半通知的）。实施此类审核的原因如下：

- significant changes in the organization of the certified client, restructure, changes of human resources and equipment;
获认证客户组织发生重大变更、组织重构、人力资源和设备发生变更；
- as a follow-up on suspended organization;
作为对被暂停认证的组织的跟进；
- complaints and serious stakeholder concerns, confirmed event or information received from stakeholders or other sources, to investigate possible bribery situations;
收到投诉和利益相关方严重关注的问题、来自利益相关方或其他信息源的经证实的事件或信息、调查可能存在的贿赂行为；
- as part of a calibration/duplicate audit process or market surveillance visit.
作为校准/重复审核或市场监督审查流程的一部分。

12.2.2 In these cases, the costs of the additional audit will be paid by the certified organization, except for the last bullet above.在此类情况下，实施额外审核的费用由获认证组织承担，但上述最后一项除外。

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13 TRANSFER OF CERTIFICATES

证书的转机构

- 13.1 Any organization with an SA8000 management system certified by another SAAS accredited certification body, seeking to change the existing certification body with IQNet Ltd will be treated in compliance with the applicable IQNet Ltd procedure.
任何获得其他经认可的认证机构实施的 SA8000 管理体系认证的组织，希望将现有认证机构转换为 IQNet 有限公司的，可视为符合 IQNet 有限公司的相关程序。
- 13.2 Only certifications which are covered by the appropriate SAAS accreditation will be eligible for transfer. Organizations holding certifications that are not covered by such accreditation will be treated as uncertified clients (applicants). The only exception will be the organizations certified by applicant CBs undergoing the accreditation process with SAAS.
只有相应 SAAS 认可范围覆盖的认证才可以进行转机构。获得未经 SAAS 认可范围覆盖的认证的组织被视为未获认证客户（即申请者）。例外情况仅适用于正在申请 SAAS 认可的认证机构实施认证的组织。
- 13.3 For transfer during or at the end of the certification cycle, the steps detailed below will be followed in sequence, before any transfer can occur:
对于认证周期内或认证周期结束时的转机构，应按序采取如下步骤方可进行转机构。
- IQNet Ltd will be accredited by SAAS for the country of the organization applying for transfer;
IQNet 有限公司须获得 SAAS 认可才可在申请转机构的组织所在国实施认证。
 - The organization will provide a copy of, at minimum, the last 2 audit reports issued by the previous CB for review. Such audit reports may be requested by IQNet Ltd to the previous CB (directly or through the assistance of SAAS). If these reports are not available, the transfer cannot take place.
组织向 IQNet 有限公司提供由上一家认证机构出具的至少最近 2 份审核报告进行评审。此类报告可由 IQNet 有限公司向组织的上一家认证机构（直接或由 SAAS 协助）索取。如果未获得此类报告，则不能进行转机构。
 - The current SA8000 certificate will be valid, with no open critical or major non-conformities.
当前 SA8000 证书有效，不存在未予关闭的极其严重或严重不符合项。
 - If open major or critical major non-conformities exist, the transfer cannot take place until a Stage 1 and Stage 2 audits are conducted and a positive certification decision is reached.如存在未予关闭的极其严重不符合项或严重不符合项，则不能进行转机构，直到实施了一阶段和二阶段审核且做出了肯定性的认证决定。
 - If the certificate is suspended by the current CB, the transfer may not take place until a Stage 1 and Stage 2 audits are conducted and a positive certification decision is reached.如证书被当前认证机构暂停，则不能进行转机构，直到实施了一阶段和二阶段审核且做出了肯定性的认证决定。
 - Any open minor non-conformities from previous audits will be addressed by a corrective action plan.
制定纠正措施计划，解决上次审核中开出的尚未关闭的任何一般不符合项。
- 13.4 IQNet Ltd will formally notify SAAS (and have received an affirmative reply in writing) on 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.
一经确定时间表或在实施现场审核前，IQNet 有限公司将正式通知 SAAS（并已收到 SAAS 书面确认答复）有关转机构活动的情况，这样 SAAS 可提供有关该客户的任何已知的问题或尚未解决的投诉问题和/或其它重大问题。
- 13.5 The organization applying for transfer of accredited SA8000 certification to IQNet Ltd will fill in the application form F002-SA and the additional for F007-SA Informative Questionnaire for Preparing the SA8000:2014 Audit.
申请将经认可的 SA8000 认证转换到 IQNet 有限公司的组织将填写《申请表》（F002-SA）和附加的《F007-SA SA8000: 2014 审核调查表》。
- 13.6 IQNet Ltd Certification Authority will carry out a review of the certification of the prospective client. This review will include the following:

IQNet 认证委员会将对客户的认证情况进行评审。评审内容包括：

- The application form F002-SA, the related F007-SA Informative Questionnaire for Preparing the SA8000:2014 Audit;
《F002-SA 申请表》和《F007-SA SA8000: 2014 审核调查表》；
- The existing SA8000 certificate;
现有 SA8000 证书；
- At minimum, the 2 of the most recent audit reports;
至少最近的 2 份审核报告；
- Basic document review and a review of key indicators of the social accountability management system performance;
基本的文件评审和社会责任管理体系关键绩效指标评审；
- Any complaints received and actions taken, within the scope of the SA8000 certification.
在认证范围内收到的任何投诉和采取的应对措施。

- 13.7 Where the organization is eligible for transfer, IQNet Ltd will conduct a transfer audit equivalent to a recertification audit. The audit will take place within the validity period of the current certificate. The Management System Maturity Declaration will be conducted as per the certification requirements.
一旦组织符合转机构条件，IQNet 有限公司将实施等同于再认证审核的转机构审核。该审核将在当前证书有效期限内实施。根据认证要求，审核组将实施管理体系成熟度声明。
- 13.8 Upon the successful completion of the transfer audit, IQNet Ltd will issue an SA8000 certificate to the client with a maximum of 3 years validity. A new certification cycle will commence with the issuance of the IQNet Ltd SA8000 certificate.
一旦转机构审核成功完成，IQNet 有限公司就将向客户授予 SA8000 证书，证书的有效期限最长为 3 年。IQNet 有限公司授予 SA8000 证书，即表明新的认证周期开始了。
- 13.9 If an organization is not eligible for transfer of accredited SA8000 certification, it will be considered as a new client and an initial Stage 1 and Stage 2 certification will be conducted.
如组织不符合对经认可的 SA8000 认证进行转机构的条件，其将被视为新的客户，需要进行初次一阶段和二阶段认证。
- 13.10 Where an IQNet Ltd SA8000 certified clients informs the intention to transfer to another SAAS accredited CB, IQNet Ltd is bound, that upon the request of the transferring CB, to provide copies of the last 2 audit report along with any concerns that they may have about the organization's ability to meet the requirements of SA8000 in a consistent manner.
一旦获 IQNet 有限公司 SA8000 认证客户向其表明有意向向经 SAAS 认可的另一认证机构转换，应转换认证机构的要求，IQNet 有限公司必须提供最近 2 份审核报告，连同有关组织是否具备持续满足 SA8000 要求的能力的任何问题。

14 ZERO TOLERANCE PROTOCOL AND CASES OF TERMINATING AN AUDIT

零容忍规约和终止审核的情况

- 14.1 Zero tolerance situations are represented by violations observed during an SA8000 audit that, in the opinion of IQNet Ltd audit team, require immediate action by the organization, such as:
依据 IQNet 有限公司审核组的意见，零容忍情况即 SA8000 审核期间观察到的需要组织立即采取应对措施的违规项，如：
- Flagrant human rights violations;
公然违反人权；
 - Flagrant unethical behaviour that compromises the integrity of the SA8000 audit;
公然实施有损 SA8000 审核正直性的不道德的行为；
 - Found at the organization premises, any temporary sites, as well as at the employer-provided housing that are covered by the audit.
在审核覆盖的组织场所、任何临时场所及雇主提供的住所发现的违规项。
- 14.2 The IQNet Ltd audit team will raise a critical or major non-conformity at the time of observing the violation. Depending on the seriousness of the situation, the IQNet Ltd audit team have the authority to terminate the audit or immediately contact IQNet Ltd Headoffice or local Representative in order to seek

guidance whether the audit should be terminated.

IQNet 有限公司的审核组发现违规项即开出极其严重不符合项或严重不符合项。依据情况的严重性而定，IQNet 有限公司的审核组有权终止审核或立即联系 IQNet 有限公司总部或当地代表机构，以决定是否终止审核寻求指导。

14.3 Typical Zero tolerance issues include:

典型的零容忍问题包括：

14.3.1 Child labour:

童工：

- Workers who are classified as children as per SA8000 definition;
根据 SA8000 标准的定义被分类为儿童的工人；
- Workers younger than 18 who are subjected to the worst forms of child labour (forced labour, prostitution, pornography and illegal activities).
最恶劣形式的童工、不满 18 岁的工人（从事强迫劳动、卖淫、色情和非法活动）。

14.3.2 Forced labour and inhumane treatment:

强迫劳动和非人对待：

- Not allowing workers to leave the workplace against their will, including when they are forced to work overtime against their will;
违背工人意愿不允许其离开工作场所，包括违背工人意愿强迫其加班；
- Use of violence or the threat of violence to intimidate workers to force them to work;
使用暴力或暴力威胁手段恐吓工人以强迫其劳动；
- Inhumane or degrading treatment, corporal punishment (including sexual violence), mental or physical coercion and/or verbal abuse.
非人或对待、体罚（包括性暴力）、精神或身体压迫和/或口头谩骂。

14.3.3 Occupational Health and Safety:

职业健康与安全：

- Occupational health and safety violations that pose an imminent and significant threat to personnel's and/or audit team's health, safety and/or lives.
违反职业健康与安全规定，对人员和/或审核组的健康、安全和/或生命构成严重威胁。

14.3.4 Unethical behaviour:

不道德的行为：

- Attempted bribery of auditors;
企图贿赂审核员；
- Any intimidating, coercive and threatening behaviour in relation to the audit team.
实施任何恐吓、胁迫或威胁审核组的行为。

14.4 To be considered zero tolerance, all these issues must be:

考虑到零容忍问题时，所有此类问题必须：

- Flagrant at the time of the audit;
在审核期间不能容忍；
- Factual and proven.
有事实证明的。

14.5 Audit disruptions are issues that can occur during an audit, such as: lack of proper or adequate system implementations, unavailability of relevant personnel, documents or records, audit objectives are unattainable, power outage, fire, serious accident, health and safety issues, denied access to any part of the premises, denied access to records, denied access during an unannounced audit, and other such matters.

审核中断是指审核期间可能发生的诸如此类问题：体系未予执行或执行不充分、相关人员未到场、未提供文件或记录、审核目标未实现、停电、发生严重事故、存在威胁健康安全的问题、被拒绝进入场所的任何部分、被拒绝查看记录、实施不予通知的审核期间被拒绝进场及其他类似问题。

14.6 In such cases, the IQNet Ltd audit team has the authority to decide to terminate the audit.

在此类情况下，IQNet 有限公司的审核组有权决定终止审核。

14.7 In such cases:

在此类情况下：

- the IQNet Ltd audit team will inform the Organization on the situations occurred which do not allow the audit to continue;
IQNet 有限公司的审核组通知组织发生的情况不允许继续审核；
- the IQNet Ltd audit team will inform IQNet Ltd Headoffice (directly or through the IQNet Ltd Representative) as soon as possible;
IQNet 有限公司的审核组尽快（直接或经由 IQNet 有限公司代表）通知 IQNet 有限公司总部；
- the certificate will be suspended;
证书将被暂停；
- the team leader will issue an audit report covering the activities performed until the audit was terminated and providing the reasons for which the audit had to be terminated and the number of audit days conducted until the audit termination;
审核组组长出具一份审核报告，覆盖截止审核终止执行的各项活动，并提供终止审核的原因以及截止审核终止所花费的人天数；
- the IQNet Ltd audit team will inform the Organization (including the information in the Audit Report as well) that in such situation the audit will need to be re-conducted, involving also changes in the contract arrangements with the Organization.
IQNet 有限公司的审核组通知组织（也包括审核报告中的信息），在此类情况下，需重新实施审核，且还需要对与组织签订的合同进行变更；
- a Stage 1 initial audit can be reclassified as pre-assessment;
一阶段初审可被重新分类为预审核；
- a Stage 2 audit will need to be repeated from the very beginning, if the applicant continues to seek certification;
二阶段审核需要完全重新实施，如果申请者需要继续寻求认证的话；
- other types of audits can be stopped and postponed to a later date.
其他类型审核可能被暂停或延期。
- If the IQNet Ltd audit team is not permitted access to any of the permanent sites (or areas) to be covered by the audit in a way that impacts the audit process, a critical non-conformity shall be raised and the organization's certificate shall be suspended. 如 IQNet 有限公司的审核组未被允许进入此次审核覆盖的任何永久场所而影响了审核流程，则应开出极其严重不符合项，并暂停组织的证书。。

15 NOTICE OF CHANGES

变更通知

15.1 Notice of changes by IQNet Ltd

IQNet 有限公司发出变更通知

- 15.1.1 Where important changes in the certification rules, the reference standard and/or requirements of the accreditation body are anticipated, IQNet Ltd will:
一旦预期认证规则、参考标准和/或认可机构的要求发生重大变更，IQNet 有限公司将：
- notify the affected organizations;
通知受影响的组织；
 - specify the date when the changes will enter into force, granting a reasonable period of time for compliance.
确定变更生效的日期，并给予组织一段合理期限以使其合规。
- 15.1.2 The organization is bound to comply with the current version of the certification rules.
组织必须遵守现行认证规则。
- 15.1.3 The organization (if already certified or undergoing certification) is entitled to waive the certification should it consider that it cannot comply with the new requirements. Such a decision should be notified in writing and sent to IQNet Ltd with at least 30 days before the deadline for compliance.
如考虑到遵守不了新版要求，组织（如已获认证或正在接受认证）有权放弃认证。组织应将该决定以书面形式在合规期限截止前至少 30 天内发送给 IQNet 有限公司。

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15.2 Notice of changes by the organization

组织发出变更通知

15.2.1 The certified organization accepts to inform IQNet Ltd without delay on all changes relating to:
获认证组织同意及时通知 IQNet 有限公司有关如下方面发生的所有变更：

- legal, commercial, organizational status or ownership;
法人地位、商业地位、组织状态或所有权；
- organization and management (e.g. key managerial, decision-making or SA8000 functions);
组织和管理层（如主要管理层、决策或 SA8000 活动）；
- contact address and sites;
联系地址和场所；
- scope of operations under the certified management system;
获认证管理体系下的经营范围；
- major changes to the management system and process;
管理体系和流程发生的主要变更；
- significant changes in the number of employees.
员工人数发生的重大变更。

15.2.2 Such changes may lead to changes in the audit program, as described in any revised versions of the Proposal for SA8000 Certification (F006-SA).
根据任何修订版《SA8000 认证报价单》（F006-SA）规定，此类变更可能导致审核方案的变更。

15.2.3 In order to maintain SA8000 certification, the organization will accept the amended audit program.
为维持 SA8000 认证，组织将接受修订的审核方案。

15.2.4 Whenever justified, these changes may lead to a special audit, in which at least the verification of the usage of the SA8000 Certificate and certification mark will be audited, as well as the functions, which are considered as being mandatory for the SA8000 Standard: “Child Labour”, “Forced Labour”, “Health and Safety”, “Freedom of Association & Right to Collective Bargaining”, “Discrimination”, “Disciplinary Practices”, “Working Hours”, “Remuneration”, “Management Systems”.
一旦提供合理说明，审核组将针对此类变更实施追加审核。在追加审核期间，至少应验证组织对 SA8000 证书和认证标志的使用情况，以及被视为 SA8000 标准强制性审核项的条款，即“童工”、“强迫劳动”、“健康与安全”、“结社自由与集体谈判权”、“歧视”、“惩戒措施”、“工时”、“薪酬”和“管理体系”。

16 WAIVING THE CERTIFICATION, SUSPENSION OR WITHDRAWAL OF CERTIFICATION

放弃认证、暂停或撤销认证

16.1 A certified organization may waive at any time the certification by the means of an official notification sent to IQNet Ltd, directly or through the IQNet Ltd Representative, with at least 3 months prior notice. IQNet Ltd Representative is authorized to invoice the organization for all the activities carried out before this takes effect.

通过至少提前 3 个月直接向 IQNet 有限公司或经由 IQNet 有限公司代表发送正式通知的形式，获认证组织可在任何时候放弃认证。IQNet 有限公司代表有权向组织就认证放弃前进行的所有认证活动开具收费单。

16.2 The non-fulfilment of the requirements established by Certification Contract and Certification Rules can lead to the application of the following:

16.3 Warning

警告

- 16.3.1 This is a strong request to the client, in case IQNet Ltd detects the client does not respect its obligations set in the Certification Contract and Certification Rules or in case of non-conformities, which are unresolved or not responded. The client is requested to address the issues in a defined timeframe.

IQNet 有限公司一旦发现组织未遵守《认证合同》和《认证规则》规定的义务或存在未予以解决的不符合项，就会向其提出强烈要求，即警告。客户须在既定的时间框架内纠正这些不符合项。

16.4 Temporary Suspension of the SA8000 Certification

临时暂停 SA8000 认证

- 16.4.1 Certification will be suspended in cases where, for example, 如发生以下情况，将暂停认证：

- the organization's certified management system has persistently or seriously failed to meet the certification requirements, including the requirements for the effectiveness of the management system (e.g. major non-conformities or minor non-conformities which cumulated may lead to a major non-conformity, identified by the audit team during the scheduled surveillance audits);
组织已获认证的管理体系持续或严重不符合认证要求，包括针对管理体系有效性的要求（如，审核组在规定的监督审核期间识别出严重不符合项或累积起来可能导致严重不符合项的一般不符合项）；
- a critical non-conformity identified upon a regular surveillance audit, a special audit or as a result of a confirmed event or information provided by a stakeholder;
审核组在定期的监督审核、追加审核期间或根据利益相关方提供的经证实的事件或信息识别出严重不符合项；
- the certified organization has failed to meet the terms and deadlines established for restoring the complete fulfilment of the certification requirements in the case of conditioned granting of certification;
获认证组织未满足条件性授予认证情况下重新完全满足认证要求的条款和期限；
- the certified organization fails to provide to IQNet Ltd information regarding significant changes which might influence the effectiveness of the certified management system or breaches the certification contract terms;
获认证组织未能向 IQNet 有限公司提供有关可能影响已获认证的管理体系有效性的重大变更的信息，或违背认证合同条款；
- the certified organization does not allow surveillance audits and follow-up reviews to be conducted with the requested frequency or when planned/agreed (including where, for announced audits, the client requests a postponement of more than 1 month or, in exceptional circumstances, 2 months);
获认证组织不允许按照要求或拟定的/双方同意的频次实施监督或跟进评审（包括针对通知审核，如客户请求延期 1 个月以上或例外情况下延期 2 个月的情况）；
- the certified organization does not settle all its due payments, under the certification contract;
获认证组织未支付认证合同规定的全部应付费用；
- the certified organization has voluntarily requested a suspension. In this case the organization will communicate its decision to IQNet Ltd in writing.
获认证组织自愿要求暂停认证。在此种情况下，组织应以书面形式将其决定传达给 IQNet 有限公司。

- 16.4.2 The IQNet Ltd suspension decision is communicated to the organization in writing. The suspension letter includes the suspension grounds, the terms and deadlines upon which suspension will be lifted as well and the conditions which may lead to certification withdrawal. In order to lift the suspension, IQNet Ltd may request a special audit to be conducted in order to verify the implementation of the requested actions. IQNet 有限公司将暂停认证决定以书面形式传达给组织。暂停函包括暂停理由、取消暂停的条款和期限以及导致认证撤销的条件。为取消暂停，IQNet 有限公司可要求实施追加审核，以验证组织是否实施了必要措施。

- 16.4.3 In case of suspension, the SA8000 certification is temporarily invalid and the organization is obliged to: 在暂停认证的情况下，SA8000 证书临时失效，且组织须：

- not claim to be IQNet Ltd SA8000 certified;
不得宣称获得 IQNet 有限公司的 SA8000 认证；
- not use, display or promote the IQNet Ltd SA8000 certification mark, the IQNet Ltd SA8000 certificate and the SAAS SA8000 accreditation mark.

不得使用、展示或宣传 IQNet 有限公司的 SA8000 认证标志、IQNet 有限公司的 SA8000 证书及 SAAS 的认可标志。

16.4.4 In case of suspension of the SA8000 certification, IQNet Ltd will act as follows:

在暂停 SA8000 认证的情况下，IQNet 有限公司将采取如下措施：

- Remove the organization from its database of registered organizations;
将该组织从其注册组织数据库移除；
- Notify the accreditation body SAAS.
向认可机构 SAAS 发出通知。

16.4.5 By the established deadline, once the requested terms have been fulfilled, IQNet Ltd reviews the necessary evidence and decides on the lifting of suspension or withdrawal of certification. The decision is communicated to the organization in writing.

截止到确定的期限，一旦组织满足了条款要求，IQNet 有限公司将对必要的证据进行评审，并决定是否取消暂停或撤销认证。该决定应以书面形式通知给组织。

16.4.6 The maximum suspension period is of 6 months.

暂停期最长为 6 个月。

16.4.7 After this period, if the conditions that caused this situation have not been changed, the SA8000 certification is withdrawn, except in cases duly justified.

过了该期限，如导致该情况发生的条件没有改变，则撤销 SA8000 认证，除非提供合理说明。

16.5 Withdrawal of the SA8000 Certificate

撤销 SA8000 证书

16.5.1 IQNet Ltd will withdraw the certification in the following cases:

IQNet 有限公司在下列情况下撤销认证：

- The certified client has failed to satisfactorily resolve the issues that resulted in the suspension, within the timeframe established by IQNet Ltd.
获认证客户未能在 IQNet 有限公司确定的时间框架内以令人满意的方式解决导致认证暂停的问题。
- The certified client has committed grievous breaches to the SA8000 system, with a severe impact on individual rights, life, safety (including that of IQNet Ltd personnel), and/or which seriously endanger SA8000, IQNet Ltd, SAAS or SAI reputation.
获认证客户严重违反了 SA8000 体系要求，对个人权益、生命和安全（包括 IQNet 有限公司人员）造成了严重影响，和/或严重损害了 SA8000、IQNet 有限公司、SAAS 或 SAI 的声誉。
- The certified client has voluntarily requested the termination of the contract.
获认证客户自愿要求终止合同。

16.5.2 The decision is communicated to the organization in writing. The organization has the right to appeal against IQNet Ltd decision as described in section 18 of these rules.

IQNet 有限公司以书面形式将此决定传达给组织。根据上述规则第 13 条，组织有权就 IQNet 有限公司的这决定提出投诉。

16.5.3 In case of withdrawal of the SA8000 certification, the organization is obliged to:

在撤销 SA8000 认证的情况下，组织须：

- Return the original SA8000 certificate and possible existing authenticated copies to IQNet Ltd;
将 SA8000 证书原件以及可能留存的有效复件归还给 IQNet 有限公司；
- Resign from using possible copies or reproductions of the SA8000 certificate;
不得使用可能留存的有效 SA8000 证书复件；
- Withdraw from its technical documentation any reference to the SA8000 certification, or to take off the SA8000 certification marks granted by IQNet Ltd.
从其技术文件中删除任何 SA8000 认证参考文件，或去除 IQNet 有限公司授权的 SA8000 认证标志。

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16.5.4 In case of withdrawal of the SA8000 certification, IQNet Ltd will act as follows:

在撤销 SA8000 认证的情况下，IQNet 有限公司将采取如下措施：

- Withdrawal of the correspondent certificate;
撤销相应的证书；
- Remove the organization from its database of registered organizations;
将该组织从其注册组织数据库中删除；
- Notify the accreditation body SAAS.
向认可机构 SAAS 发送通知。

16.5.5 The temporary suspension or the withdrawal of the SA8000 certificate does not give any right of reimbursement to the client. Regarding the ongoing contracts, the client is bound to settle all due payment by the moment of withdrawal.

临时暂停或撤销 SA8000 证书，不代表给予客户任何索偿权。对于仍在执行中的合同，客户必须在证书撤销前支付全部应付费用。

16.5.6 In case of multi-site certification, the certification is suspended/withdrawn for the whole group.

对于多场所认证的情况，要暂停或撤销对整个集团的认证。

17 CHANGES TO CERTIFICATES

证书的变更

17.1.1 The decision on the changes to an existing valid certificate for the following situations is made by IQNet Ltd:

IQNet 有限公司针对以下情况决定是否对现有有效证书进行变更：

- the client request or notification by the IQNet Ltd audit team regarding the change in location(s), changes in the name/legal status of the certified organization, re-wording the certification scope, etc.
就获认证组织的地址、名称或法人地位的变更，客户请求或 IQNet 有限公司的审核组通知改写认证范围等；
- the results of a surveillance audit regarding the reduction of the certification scope, change in location(s), etc.
就认证范围减小、地址变更等实施的监督审核的结果。

17.1.2 IQNet Ltd reviews the request and/or the existing audit evidence and decides whether additional information is needed or an expansion of scope is required (see also 12.1). IQNet Ltd may establish the need of an additional audit in order to make a decision.

IQNet 有限公司对该请求和/或现有审核证据进行评审，并决定是否需要提供额外信，或是否需要扩大认证范围（见12.1）。IQNet 有限公司可确定是否需要实施额外审核以做出认证决定。

18 COMPLAINTS AND APPEAL

投诉和申诉

18.1 Complaints addressed by the client to IQNet Ltd for its certification performance or decisions will be handled according to IQNet Ltd relevant procedure. A description of the complaints and appeals process is publicly available on IQNet Ltd Website.

客户就 IQNet 有限公司的认证实施情况或决定向其提出的投诉，应按照 IQNet 有限公司相关程序予以受理。有关投诉和申诉流程的描述可在 IQNet 网站上获取。

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- 18.2 If IQNet Ltd receives a complaint regarding one of its SA8000 certified clients, IQNet Ltd will contact the client in an appropriate way, in order to find out the nature and causes of the complaint, ensuring that the complaint is handled and solved within a reasonable time and safeguarding the confidentiality of the complainant.
如 IQNet 有限公司收到针对其 SA8000 认证的客户的投诉，其应以适当方式联系该客户，以弄清投诉的性质及起因，从而确保在合理时间内对该投诉进行受理和解决，并对投诉人的信息予以保密。
- 18.3 IQNet Ltd has the right to carry out a special or even an unannounced audit, if the nature of the complaint justifies such a step.
IQNet 有限公司有权实施追加审核或不予通知的审核，如果投诉的性质证明有理由采取该步骤的话。
- 18.4 In case of complaints related to the operation of the social accountability management system, the organization's management has the right to submit a written response to the allegations and to have this included in the complaint file of IQNet Ltd.
如投诉与社会责任管理体系的运行有关，组织的管理层有权就该指控提交一份书面回应，并将此文件纳入到 IQNet 有限公司的投诉档案里。
- 18.5 An organization may appeal against an IQNet Ltd decision, stating its grounds for disagreement, within 30 days from the notification of the decision.
组织可在收到 IQNet 有限公司决定的通知后的 30 日内就其决定提出起诉，陈述反对理由。
- 18.6 The appeal is reviewed by IQNet Ltd within 2 months from its submission.
IQNet 有限公司在起诉提出的 2 个月内进行评审。
- 18.7 The decision to be communicated to the organization lodging the appeal will be made by individuals different from those who conducted the audits or made the certification decision. The organization lodging the appeal is also given the opportunity to provide additional evidence to support the appeal.
向提出起诉的组织传达决定的人员不应为实施审核或做出认证决定的人员。提出起诉的组织还有机会提供额外的证据以为起诉作支持。
- 18.8 The decision is communicated to the appellant by written correspondence, directly or via the IQNet Ltd Representative.
决定应以书面方式直接或通过 IQNet 有限公司代表传达给上诉人。

19 IMPARTIALITY, CONFIDENTIALITY AND PROPERTY

公正性、保密性和所有权

- 19.1 The client recognizes the independence of the audit team and commits itself not to make any offers and/or inducements could compromise that independence, such as asking for consulting services.
客户承认审核组的独立性并承诺不会做出有损审核组独立性的任何给予好处或利诱行为，如要求提供咨询服务。
- 19.2 During the audit activities, the audit team will verify the level of conformity of the implemented system with the requirements of the SA8000 standard. The client will agree to supply any documents, which can be requested within the audit scope, and to allow the access of the audit team to the places included in the audit scope (including taking photos and sampled documents of the audited site), as well as the contact of all correspondent personnel, without management participation.
审核活动期间，审核组将验证组织执行的体系与 SA8000 标准要求的符合程度。客户同意提供审核范围内需要的任何文件，并允许审核组进入审核范围覆盖的场所（包括拍照核对受审核场所的文件进行抽样），以及在没有管理层参与的情况下与所有相应人员接触。

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- 19.3 All documents supplied by IQNet Ltd or by the auditors assigned by IQNet Ltd (e.g. audit reports), will remain in the property of IQNet Ltd, and cannot be supplied to third parties, except SAI and SAAS; neither may be used for other purposes besides the agreed audits and certification activities. SA8000 audit reports can be made available to SAI and SAAS at any time. All reports will be kept confidential, according to the agreement between SAI and SAAS and IQNet Ltd.
IQNet 有限公司或 IQNet 有限公司指派的审核员提供的所有文件（如审核报告）归 IQNet 有限公司所有，不得提供给第三方，SAI和SAAS除外；也不得用于其他目的，双方一致同意的审核和认证活动除外。SAI和SAAS 在任何时候都可以获取 SA8000 审核报告。根据 SAI和SAAS 与 IQNet 有限公司签订的协议，所有报告均予以保密。
- 19.4 IQNet Ltd and IQNet Ltd Representative ensures the maintenance of confidentiality during the certification process. Confidential information does not include any information which: is or hereafter becomes publicly available, was available prior to the time of its disclosure by the organization or was disclosed by an independent third-party with the right to make such a disclosure.
IQNet 有限公司和IQNet有限公司代表确保在认证流程中维护保密性。保密信息不包括任何此类信息：已公开或即将公开的、组织披露前可获取的、具有披露权的独立第三方披露的信息。
- 19.5 Information, data and documents received from the client and its personnel are used for the purpose of certification activities as mentioned in the certification contract and certification rules only.
从客户及其人员那里获取的信息、数据和文件仅用于认证合同和认证规则所规定的认证活动的目的。
- 19.6 When processing personal data in relation to the SA8000 certification contract, each contractual party is obliged to comply with the relevant personal data protection legislation, including the provisions of the EU Regulation 2016/679 (GDPR) where applicable, the related legal requirements and the decisions that the surveillance authority may implement in connection with these aspects. Within the scope of the certification contract, parties disclose to each other personal data concerning employees, collaborators and/or representatives with assigned responsibilities in the implementation of the certification contract. Where the law requires, each party disclosing information regarding its employees, collaborators and/or representatives shall ensure it has taken the necessary measures concerning the information, processing, preservation or removal of their personal data provided within the scope of the certification contract, as required by the applicable legislation.
当处理与SA8000认证合同相关的个人数据时，各合同方有义务遵守相关的个人数据保护法，包括适用的欧盟法规2016/679（GDPR）的规定、相关法律要求及监管机构就这些方面可能执行的决策。在认证合同的范围内，双方相互披露在认证合同执行过程中负有指定责任的员工、合作者和/或代表的个人资料。在法律要求的情况下，每一方披露其雇员、合作者和/或代表的信息时，应确保其已采取必要的措施，根据适用法律的要求，处理、保存或删除其在认证合同范围内提供的个人数据。
- 19.7 IQNet Ltd and IQNet Ltd Representative shall maintain confidential the personal data provided by the organization and shall utilize such data solely for the purpose of the conformity assessment activities, as well as to provide information and communications on related activities (such update in the reference documents, trainings, workshops). In certain cases, where required by the certification program, such personal data must be communicated to third parties such as the accreditation body (SAAS), the scheme owner (SAI), other certification bodies (in case of transfers), or as required by a legal body.
IQNet有限公司和IQNet有限公司代表应对组织提供的个人数据予以保密，并仅应出于符合性评估活动及提供相关活动的信息和通信（参考文件、培训、研讨会中的此类更新）的目的使用此类数据。在某些情况下，如果认证方案有要求，或法律机构有要求，此类个人数据必须传达给第三方，如认可机构（SAAS）、方案所有者（SAI）、其他认证机构（针对转机构）。

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- 19.8 IQNet Ltd reserves itself the right to show its files to its committees and internal auditors, the accreditation auditors and to auditors of other certification entities, with whom it has or want to have agreements of mutual recognition, with the purpose to demonstrate evidence of the standards applicable to its certification activities.
IQNet 有限公司保留向其委员会和内审核员、认可机构审核员及其他认证机构审核员出示其资料的权利，前提是IQNet有限公司已经或有意向与其他认证机构签订互认协议，旨在提供证明标准适用于其认证活动的证据。

20 PUBLICATION OF CERTIFIED CLIENTS

获认证客户名录公布

- 20.1 IQNet Ltd publishes the list of certified SA8000 organizations on its website, and SAAS publishes the same data in its database (including organization name, date of certification, country, address of head office and sites, scope of certification).
IQNet 有限公司在其网站上公布获 SA8000 获证企业名录，SAAS 在其数据库中也会发布同样数据（包括组织名称、认证日期、所在国、总部和场所地址、认证范围）。
- 20.2 Organizations with suspended or withdrawn SA8000 certificates are removed from these databases.
被暂停或撤销 SA8000 证书的客户会被从这些数据库中除名。
- 20.3 Where the law requires information to be disclosed to a third party, the client will be informed of the information provided, as permitted by the law.
如法律要求将信息披露给第三方，按法律规定，应将该信息通知给客户。
- 20.4 Upon request by any party, IQNet Ltd will make the suspended/withdrawn status of certification publicly accessible.
一旦任何一方提出要求，IQNet 有限公司应将认证暂停或撤销状态公开。

21 ABUSE OF THE SA8000 CERTIFICATE, CERTIFICATION MARK OR ACCREDITATION MARK

SA8000 证书、认证标志或认可标志的滥用

- 21.1 The abuse of the SA8000 certificate, IQNet Ltd SA8000 certification mark or the SAAS accreditation mark by the certified client or by third parties gives IQNet Ltd the right to take appropriate legal actions, in order to protect its own interests.
针对获认证客户或第三方滥用 SA8000 证书、IQNet 有限公司 SA8000 认证标志或 SAAS 认可标志，IQNet 有限公司有权采取适当的法律措施以保护其自身利益。

22 LIMITATION OF RESPONSIBILITIES AND LIABILITIES

责任权限

- 22.1 IQNet Ltd (including the IQNet Ltd Representative) is not responsible before third parties for any personal, material, or financial damage, resulting directly or indirectly from the activity of the certified SA8000 client of IQNet Ltd.
对于由获得 IQNet 有限公司 SA8000 认证的组织直接或间接引起的任何人身伤害、物质或经济损失，IQNet 有限公司（包括 IQNet 有限公司代表）对第三方不负任何责任。
- 22.2 IQNet Ltd (including the IQNet Ltd Representative) is not responsible in case a third party, for example, a customer of the certified client, does not acknowledge, or acknowledge only part of the SA8000 certificate issued by IQNet Ltd.
对于第三方，如获认证组织的客户，对 IQNet 有限公司授予的 SA8000 证书不予承认或仅部分承认的情况，IQNet 有限公司（包括 IQNet 有限公司代表）不负任何责任。
- 22.3 IQNet Ltd (including the IQNet Ltd Representative) is not liable for the work and services provided by the audited client and its subcontractors.
对于受审核客户及其分包商提供的劳动和服务，IQNet 有限公司（包括 IQNet 有限公司代表）不负任何责任。
- 22.4 IQNet Ltd (including the IQNet Ltd Representative) is not liable for loss of SA8000 accreditation, and due to this cannot provide accredited SA8000 certificates any longer.
对于因失去 SA8000 认可造成的损失及由此造成的未能提供或维持获认可的 SA8000 证书的情况，IQNet 有限公司不负任何责任。
- 22.5 IQNet Ltd (including the IQNet Ltd Representative) is also not responsible for possible wrong doing by the certified client. The SA8000 certificate is issued in accordance with methodologies, which are internationally acknowledged and reflected on the present certification rules. The SA8000 certificates prove that the certified client has implemented a management system, which was considered, based on a sampling carried out during the audit and on subsequent information, to be conform with the requirements of the reference standard and be capable of maintain its performance.
IQNet 有限公司（包括 IQNet 有限公司代表）也不对获认证客户的可能的不当行为负责。SA8000 证书的授予遵循国际认可的方法，此类方法在现行认证规则中有所体现。SA8000 证书可证明获认证客户已经执行了管理体系。依据审核期间的抽样及后续信息，可认为该客户符合参考标准的要求且有能力维持表现。

23 DISPUTES AND GOVERNING LAW

争端与管辖法

- 23.1 Notwithstanding its place of performance and execution, any controversies arising from the execution, application or interpretation of these Rules will be solved in a friendly manner. In case the conciliation is not possible, the competent authority are the courts at Bern/Switzerland and the applicable law and legal jurisdiction are of Bern/Switzerland.
无论本规则在何地执行，因本规则执行、适用或解释产生的任何争端，应通过友好协商方式解决。如果该调解方式行不通，则可向瑞士伯尔尼的法院提起诉讼，且瑞士伯尔尼的相关法律和法律管辖权适用。

24 LANGUAGE

语言

- 24.1 The present rules are drawn up in the English language. They may be translated into any other language than English provided that, given any conflict of interpretation, the English text will prevail. Any notice given under or in connection with the present rules must be in English.
现行规则以英文写就，可翻译为除英文外的任何其它语言。如就翻译产生任何分歧，以英文文本为准。根据现行规则发出的或与现行规则有关的任何通知必须以英文写就。

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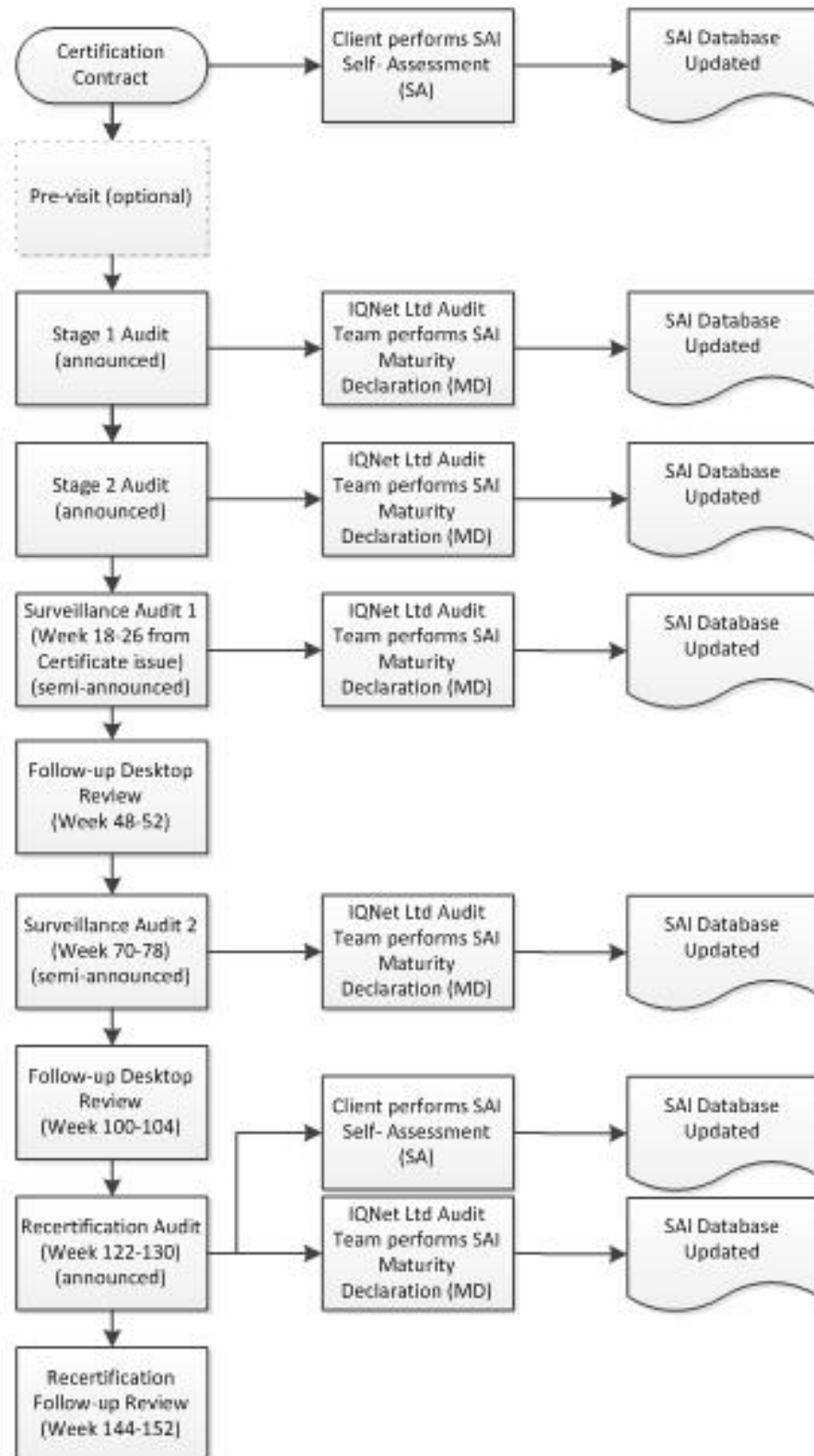
25 ANNEXES

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- 25.1 Annex 1 – Flowchart of the Initial SA8000 Certification Process
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Annex 1 – Flowchart of the Initial SA8000 Certification Process

附录一——SA8000初次认证流程图

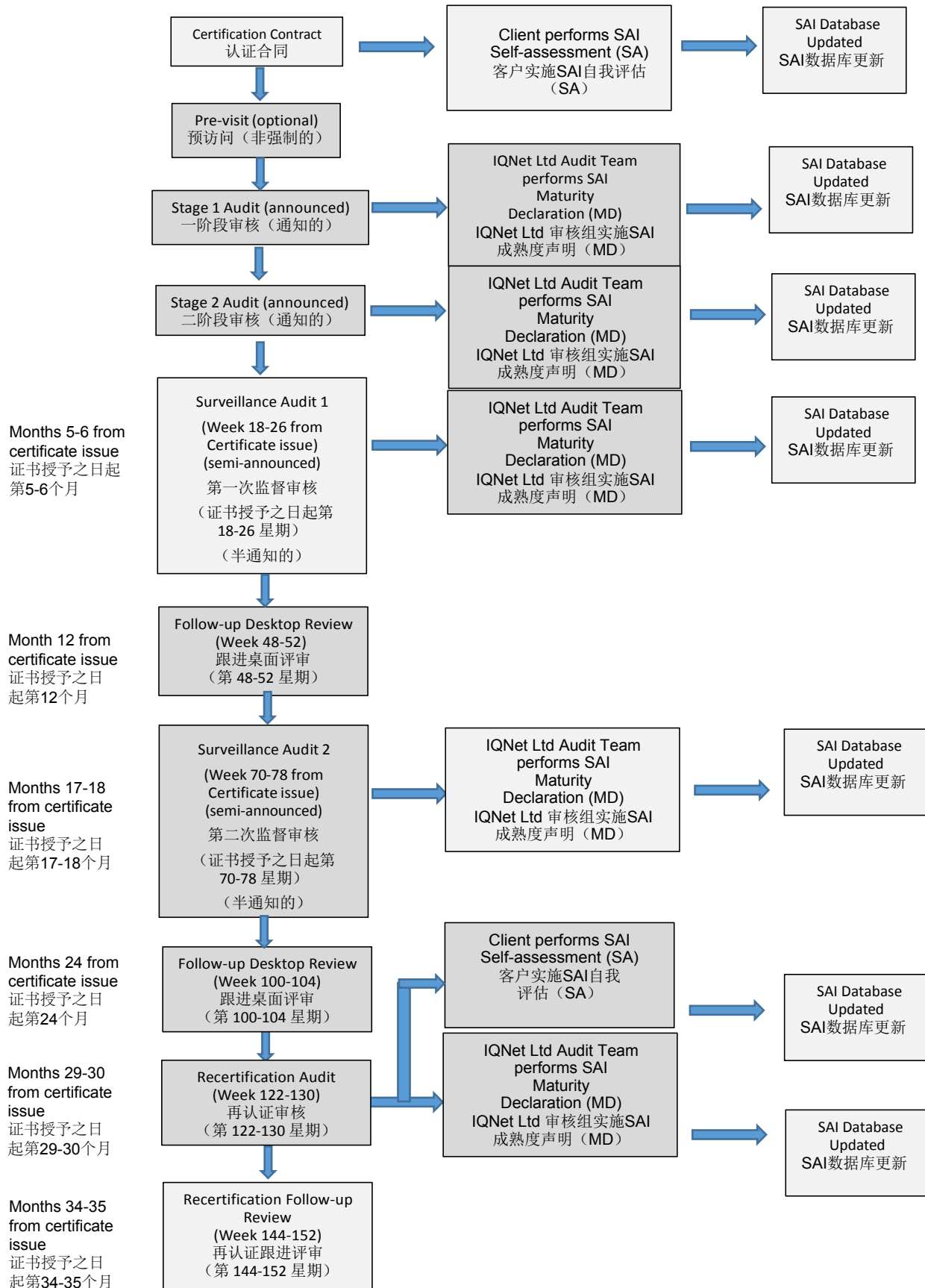


Annex 2 – The SA8000 Certification Cycle and Integration of SAI Self-Assessment and Management System Maturity Declaration

附录2——SA8000 认证周期及SAI自我评估和管理体系成熟度声明的整合

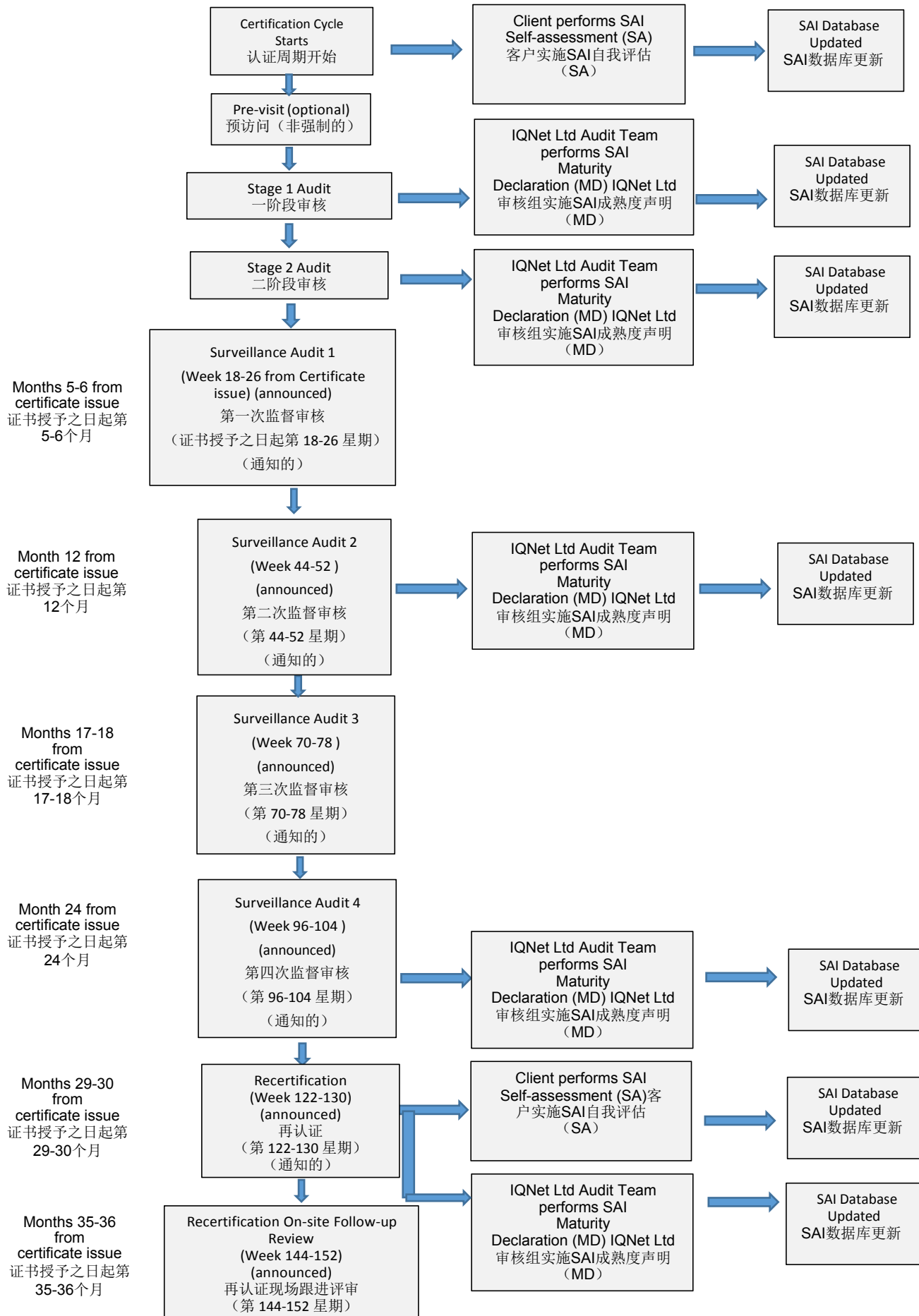
Single Site

单一场所



Multi-site

多场所



Annex 3 – The Surveillance Audit Frequency in the SA8000 Certification Cycle

附录3——SA8000 认证周期内的监督审核频次

Audit Frequency for SINGLE SITE ORGANIZATIONS

单一场所审核频次

Audit/Certification Cycle Activity 审核/认证周期活动	Visit Type 审查类型	Time Window 时间窗口	Week Numbers 星期数
CERTIFICATION (Date of decision and issue of certificate) (Cycle start = 0 month) 认证 (做出认证决定和发放证书之日) (周期开始=0 个月)	None 无	None 无	0
Surveillance 1 (Months 5-6) 第一次监督 (第 5-6 个月)	On-site Semi-announced visit 现场半通知审查	8 weeks 8 个星期	18-26
Follow-up Review (Month 12) 跟进评审 (第12个月)	Off-site (unless on-site visit necessary) 非现场 (除非有必要进行现场审查) Announced (unless on-site unannounced necessary) 通知的 (除非有必要进行不予通知的现场审查)	4 weeks 4 个星期	48-52
Surveillance 2 (Months 17-28) 第二次监督 (第 17-18 个月)	On-site Semi-announced visit 现场半通知审查	8 weeks 8 个星期	70-78
Follow-up Review (Month 24) 跟进评审 (第 24 个月)	Off-site (unless on-site necessary) 非现场 (除非有必要进行现场审查) Announced (unless on-site unannounced necessary) 通知的 (除非有必要进行不予通知的现场审查)	4 weeks 4 个星期	100-104
Re-CERTIFICATION AUDIT (Months 29-30) 再认证审核 (第29-30个月)	On-site Announced visit 现场半通知审查	8 weeks 8 个星期	122-130
Follow-up and Recertification Review (Months 34-35) 跟进和再认证评审 (第34-35个月)	Off-site (unless on-site necessary) 非现场 (除非有必要进行现场审查) Announced (unless on-site unannounced necessary) 通知的 (除非有必要进行不予通知的现场审查)	8 weeks 8 个星期	144-152
Re-CERTIFICATION (Date of decision and issue of certificate) (Cycle start = 0 months) 再认证 (做出认证决定和发放证书之日) (周期开始=0 个月)	None 无	None 无	156

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Audit Frequency for MULTI- SITE ORGANIZATIONS

多场所审核频次

Audit/Certification Cycle Activity 审核/认证周期活动	Visit Type 审查类型	Time Window 时间窗口	Week Numbers 星期数
CERTIFICATION (Date of decision and issue of certificate) (Cycle start = 0 month) 认证 (做出认证决定和发放证书之日)	None 无	None 无	0
Surveillance 1 (Months 5-6) 第一次监督 (第5-6个月)	On-site Announced visit 现场通知审查	8 weeks 8 个星期	18-26
Surveillance 2 (Month 12) 第二次监督 (第 12 个月)	On-site Announced visit 现场通知审查	8 weeks 8 个星期	44-52
Surveillance 3 (Months 17-18) 第三次监督 (第 17-18 个月)	On-site Announced visit 现场通知审查	8 weeks 8 个星期	70-78
Surveillance 4 (Months 23-24) 第四次监督 (第 23-24 个月)	On-site Announced visit 现场通知审查	8 weeks 8 个星期	96-104
Re-CERTIFICATION AUDIT (Months 29-30) 再认证审核 (第 29-30 个月)	On-site Announced visit 现场通知审查	8 weeks 8 个星期	122-130
Follow-up and Recertification Review (Months 34-35) 跟进和再认证评审 (第 34-35 个月)	Off-site (unless on-site necessary) 非现场 (除非有必要进行现场审查) Announced (unless on-site unannounced necessary) 通知的 (除非有必要进行不予通知的现场审查)	8 weeks 8 个星期	144-152
Re-CERTIFICATION (Date of decision and issue of certificate) (Cycle start = 0 months) 再认证 (做出认证决定和发放证书之日) (周期开始=第 0 个月)	None 无	None 无	156

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Annex 4 – The List of Required Documents for an SA8000 Audit

附录4——SA8000 审核所需文件清单

In order to assist you with the audit preparations, please find below a list of typical documents that should be made available to IQNet Ltd audit team during the audit.

为协助您做好审核准备，请查看以下主要文件清单。该文件清单应在审核时提交给 IQNet 有限公司的审核组。

The documents will need to be prepared in advance and be readily accessible.

这些文件需提前准备且随时可获取。

Auditors will be examining some or all of the following, please prepare, as applicable: 审核员将查阅一些或全部下列文件，适当时，请予以准备：
Policies and Procedures on: 方针和程序：
SA8000 policy and policies related to SA8000 standard elements (child labour, work eligibility of job applicants, forced and compulsory labour, health and safety, freedom of association and right to collective bargaining, discrimination, disciplinary practices, working hours, remuneration, employment agencies) SA8000 方针和与 SA8000 标准条款有关的政策（童工、申请者的工作资格、强迫或强制劳动、健康与安全、结社自由和集体谈判权、歧视）、惩戒措施、工时、薪酬和中介机构）
Procedures for the implementation of SA8000 standard SA8000 标准执行程序
Procedure for remediation of child labourers 童工补救程序
Procedure to prevent ignition of fires from sources of heat, open flames, electrical sparking, hot surfaces, welding, smoking, heat or sparks. 确保着火点远离热源、明火、电火花、灼热表面、焊缝、烟雾、热体或火花的程序
Procedure(s) for health and safety risk assessment and health and safety committee 健康与安全风险评估和健康与安全委员会程序
Procedure for emergency preparedness and response 应急准备和应对程序
Procedure for labelling of chemicals 化学品标签使用程序
Procedure for handling and storage of hazardous waste 有害废物处理与存储程序
Method for determining the living wage (BNW) 生活工资（基本生活工资）计算方法
Procedure for management review 管理评审程序
Procedure for the Social Performance Team 社会绩效组程序
Procedure for grievances and complaints 抱怨与投诉程序
Procedure for training 培训程序
Procedure for corrective and preventive actions 纠正措施与预防措施程序

Procedure for internal audits 内审程序
Procedure for management of suppliers and subcontractors 供应商与分包方管理程序
Others 其他
Records and documents: 记录 and 文件:
Copies of official documents on legal status of the organization (e.g. business license, certificate of registration) 有关组织法人地位的官方文件（如营业执照、注册证书）复印件
Permits, operating licences, certificates of operation, etc. (e.g. business and operating permits, fire safety and electrical certificates, permits for equipment such as boilers, generators, elevators, fuel and chemical storage, tanks; building, emissions and waste-disposal permits). 许可、经营许可证、操作证书等（如营业和运行许可证，消防安全和用电安全证明，锅炉、电梯、燃料和化学品存储罐等的设备使用许可；施工、排放和废物处理许可）
Organization chart 组织结构图
Evidence of appointment of relevant functions (e.g. SA8000 management representative, H&S management representative, Social Performance Team, Health and Safety Committee, election of worker representative) 相关职能（如 SA8000 管理者代表、健康与安全事务管理者代表、社会绩效团队、健康与安全委员会、选举出的工人代表）任命书
Layout drawing/plan of the organization premises 组织场所布局图/平面图
Record of the maximum number of people allowed in the building at one time 建筑物内一次性容纳最多员工人数记录
List of company's figures on employment structure 公司的就业结构数据列表
System for collecting and updating applicable legal requirements 适用法律要求收集与更新系统
Personnel files (including personnel labour contracts/terms of employment) 人员档案（包括签订劳动合同/雇佣条款的人员）
Employee Handbook/Work Rules/Internal Regulations (terms and conditions of employment) 员工手册/工作规则/内部规定（雇佣条款和条件）
Health and Safety Risk Assessment document 健康与安全风险评估文件
Minutes of H&S Committee meetings 健康与安全委员会纪要
Government inspection reports, e.g., sanitation, fire safety, structural safety, environmental compliance, etc. 政府检验报告，如卫生、消防、结构安全性、环境合规性检验报告等。
A list of all the chemicals and solvents used on this site 场所使用的全部化学品和溶剂清单
Records of receipt, consumption, withdrawal and disposal of chemicals and crop protection substances (including Material Safety Data Sheets – MSDS) 化学品、农作物保护物质的收取、消耗、撤销或处理记录（包括材料安全数据表）
Machinery, equipment, lifts inspection/service/maintenance plan and records 机器、设备、电梯检验/服务/维修计划和记录
Operating and safety instructions for machinery, workplace and high-pressure equipment 机器、工作场所和高压设备操作与安全指导
Evidence of qualification of personnel working with electrical installations 操作电力装置的人员的资质证明

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<p>Accident and injury log (including details of the most common issues, the damages and indication of harmed persons). This includes near-misses and cover the organization and employer-provided residences. 事故与工伤处理日志（包括最普遍问题、伤害和受伤人员的详细信息），包括未造成伤害的事件，且覆盖组织和雇主提供的住所。</p> <p>Evidence of qualification of medical personnel 医疗人员资质证明</p>
<p>Evidence of first-aid training 急救培训证明</p>
<p>Emergency preparedness and response plan 应急准备和响应计划</p>
<p>Emergency evacuation plan 紧急疏散路线图</p>
<p>Documentation of health and safety training (including names of participants and dates) 健康与安全培训记录（包括参训人员姓名及日期）</p>
<p>Documentation on evacuation drills and fire-fighting drills (including names of participants and dates) 疏散演习和消防演习记录（包括参与人员姓名及日期）</p> <p>Inspection reports and maintenance records for fire-fighting equipment, alarm and smoke-detection systems (e.g. inspection labels on fire extinguishers) 消防设备、警报、烟雾监测系统的检验报告和维修记录（如检查灭火器的标签）</p>
<p>Test reports for room temperature, noise, dust and lighting level 室内温度、噪音、灰尘和照明度测试报告</p> <p>Records to prove that the water is drinkable 证明供水可饮用的记录</p>
<p>Evidence of safety measures for cooking/eating areas and dormitories (fire protection, hygiene, etc.) 厨房/用餐区和宿舍安全证明（防火、卫生等）</p>
<p>Collective Bargaining Agreement (and any other agreements with union or worker representatives) 集体谈判协议（及与工会或工人代表签订的任何其他协议）</p>
<p>Minutes of meetings with union or worker representatives 与工会或工人代表召开会议的纪要</p>
<p>Evidence of any infringements of the working rules/discipline and any disciplinary measures taken 有关任何违反工作规则/纪律的问题和采取任何惩戒措施的证明</p>
<p>Time records for the past 12 months (including time records for any on-site subcontractors, exclusive suppliers or indirect workers such as agency workers, canteen, cleaning and security)过去 12 个月的考勤记录（包括任何现场分包方、独家供应商或派遣工、食堂人员、保洁人员和保安等的间接工人的考勤记录）</p>
<p>Methodology by which wages are calculated工资的计算方法</p>
<p>List of bonuses and benefits provided to personnel with details on provision criteria (e.g. who benefits, how often, organization/employee contribution) 发放给员工的奖金和福利清单，详细说明供给标准(如受益方为谁、多久发放一次、组织/员工的缴款额)</p>
<p>Calculation of the living wage (BNW) 生活工资（基本生活工资）计算</p>
<p>Payroll records for past 12 months (including for workers employed by third-party organizations) 过去 12 个月的薪资记录（包括由第三方组织雇佣的员工）</p>
<p>Payslip records for the past 12 months 过去 12 个月的工资单记录</p>
<p>Piece rate records for the past 12 months (if applicable) 过去 12 个月的计件记录（如适用）</p>

Production records for the past 12 months 过去 12 个月的生产记录
Evidence on the granting of benefits for pregnant women and new mothers 给予孕期妇女和初产妇福利的记录
Insurance, tax and other required receipts. Details (policy type, date valid until, company name) 保险、纳税和其他收据。明细（保险单类型、有效期至、公司名称）
Evidence of paying the contributions to social insurance fund 支付社保基金记录
Evidence on any benefits paid to employees (mandatory/voluntary) 向员工给予任何福利的证明（强制的/自愿的）
Evidence of any exemptions from statutory regulations (e.g. comprehensive hour system, insurance waiver) 任何有关法规豁免的证明（如综合计时制、保险撤销）
Records related to SA8000 management system implementation SA8000 管理体系执行记录
Records of management review 管理评审记录
Social performance risk assessment, covering all elements of the SA8000 standard 社会绩效风险评估，覆盖 SA8000 标准全部条款
Records of monitoring activities by SPT 社会绩效团队监督活动的记录
Records of internal audits 内审记录
Records of internal auditor(s) qualification 内审员资质记录
Records of internal involvement and communication 内部参与和通记录
Records of complaints/concerns by employees and their handling 员工投诉/关心的问题及处理记录
Records on stakeholder communication and engagement 与利益相关方的沟通和协商记录
Records on non-conformities identified during internal and external audits (including root cause analysis, correction and corrective action and implementation results) 内审和外审期间识别出的不符合项的记录（包括根本原因分析、纠正、纠正措施及措施的执行等。）
Previous ethical trade audit reports, corrective action logs 以往道德审核报告、纠正措施日志
SA8000 training plan SA8000 培训计划
SA8000 training materials SA8000 培训材料
SA8000 Training and awareness records for personnel, worker representatives and Social Performance Team (including training effectiveness) 员工、工人代表、社会绩效团队 SA8000 培训和掌握程度记录（包括培训的有效性）
A list of subcontractors (including names and addressed of production units) 分包方名单（包括名称和生产单位的地址）
A list of employment agencies 中介机构名单
List of homeworkers providing services to the organization 向组织提供服务的家庭工人的名单
Evidence of communication of SA8000 requirements to suppliers 将 SA8000 要求传达给供应商的记录

Records for risk assessment, monitoring activities and efforts to ensure that significant risks are addressed in the supply chain

风险评估、监督活动和采取的确解决供应链中重大风险的措施的记录

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Annex 5 – IQNet Ltd Code of Conduct and Ethics

附录 5——IQNet 有限公司《行为准则和道德规范》

To:

敬启者：_____

We would like to thank you in advance for your cooperation during our audit team visit to your organization.
我方审核组将到访贵司，提前感谢贵司在审核期间给予配合。

At the same time, we would like to remind you about our Code of Conduct and Ethics regarding gifts and gratuities. Everyone in our company, including our audit personnel, fully understands the IQNet Ltd Anti-bribery and Impartiality policies; and we would appreciate your compliance to avoid any misunderstanding.

同时，我方也提醒贵司遵守我方有关礼品与馈赠的《行为准则和道德规范》。我方每一名员工，包括审核人员，完全了解 IQNet 有限公司的反行贿受贿政策和公正性政策；如贵司能予以遵守，避免产生任何误解，我方将不胜感激。

While we respect that certain practices vary between different cultures, we also ask you to understand that we cannot allow any practice that might undermine, or it can be perceived to undermine our commitment to integrity. Under our policies, our audit personnel are required to report to their local management any potential intimidation or any inappropriate offers of benefits / entertainment, and this, in turn, will refer to our Head Office management. In case of an escalating situation, our auditors are authorized to terminate the audit and leave your organization's premises. IQNet Ltd may also take further action against any parties who offer such inducements.

我方在尊重不同文化间存在一定习俗的同时，也希望贵司理解，我方不允许存在任何损害或有可能损害我方诚信原则的行为。根据我方政策，审核人员需将任何可能遭遇的恐吓情况或任何不当的给予好处或款待的情况汇报给我方在当地的 管理层，然后当地的管理层再将此情况汇报给总部的管理层。如情况升级，我方审核员有权终止审核并离开贵司场所。IQNet 有限公司还会针对提供此类好处的各相关方采取进一步措施。

We also assure you that our auditors have been fully trained on correct audit procedures, which include the auditor not requesting any personal benefits as part of the audit process. If you have any concerns on this point, please contact the office named on this document.

我方还向贵司保证，我方已按照正规的审核程序对审核员进行了全面培训，包括要求其不得向受审核方索取任何个人利益作为审核流程的一部分。如贵司对此有任何问题，请与本文件中具名的办事处取得联系。

We would also kindly ask you to provide your written consent on the following:

我方也希望贵司就以下内容予以书面同意：

1. The appointed audit team working on behalf of IQNet Ltd will take photos of the audited site. Such photos are aimed to provide an overview of the work environment and ethical practices and will refrain from capturing any insights of technologies that might involve disclosure of know-how. Such photos will be included in the Audit Report and/or kept in our offices in your customer file.

我方任命的代表 IQNet 有限公司行事的审核组将会进行现场拍照。这些照片旨在提供有关工作环境与道德规范的实践的概况，且不会拍摄任何可能导致专业知识泄密的工艺流程。这些照片会被添加到审核报告中，或保存在我方的贵司客户档案中。

2. The appointed audit team working on behalf of IQNet Ltd will take some sample copies (or extracts) of the documents referred in Annex 4 of I 011-SDX Sedex Regulation for Sedex SMETA Audits. Such sample copies will be maintained in our offices in your customer file, subject to confidentiality arrangements.

我方任命的代表 IQNet 有限公司行事的审核组将会对 I011-SA 《SA8000 认证规则》附录 4 第 7.10 条款中所述的文件进行抽样（或选取）并复印。此类抽样的复印件将保存在我方的贵司客户档案中，受保密性协议保护。

3. The audit team working on behalf of IQNet Ltd may conduct confidential interviews with employees chosen by the auditors freely, without any influence or interference from the management.

我方任命的代表 IQNet 有限公司行事的审核组可能会与贵司员工进行秘密访谈，员工的选取由审核员自行决定，不受任何来自管理层的影响或干预。

4. The appointed team working on behalf of IQNet Ltd can be subject to a witnessed audit (IQNet Ltd staff observing/monitoring auditor performance or your client representative observing the audit). Witnessed audits aim at ensuring the competence and calibration of auditors performing SMETA audits and will not affect the performance and results of the audit. There is no additional cost incurred by your organization.

我方任命的代表 IQNet 有限公司行事的审核组可能会接受见证审核（由 SAAS 认可审核员观察或监督 IQNet 有限公司审核员的表现）。见证审核旨在确保实施 SA8000 审核的审核员的能力并进行校准，不会影响审核的过程和结果。见证审核不会额外向组织收费。

5. This Code of Conduct and Ethics is a binding annex of the IQNet Ltd Sedex SMETA Audit Contract (I009-SDX) and shall be subject to the same legal jurisdiction.

作为 IQNet 有限公司《SA8000 认证规则》（I011-SA）的一个具有约束力的附录，该《行为准则和道德规范》与《认证规则》受同一法律管辖权管辖。

Again, thank you for your support and cooperation. Please indicate your understanding and agreement by signing on the space provided below.

最后，再次感谢贵司给予支持和配合。请在以下空白处签字，以示理解和同意。

Yours sincerely,
此致

IQNet Ltd Lead Auditor (Name),
IQNet 有限公司审核组组长（姓名）

Signature,
签字

☐ I understand and agree to abide by the IQNet Ltd Code of Conduct and Ethics.

本人理解并同意遵守 IQNet 有限公司《行为准则和道德规范》。

请在空白处填写任何反对意见：

Name and Position of Organization's Representative:

组织代表姓名和职务：_____

Signature (and Stamp):

签字（和盖章）：_____

Place, Date:

时间，地点：_____