HKQAA
HONG KONG QUALITY ASSURANCE AGENCY
香 港 品 質 保 證 局

SA8000 Certification - Audit Guide (SA8000认证 –审核指引)

1. The prime objective of HKQAA for SA8000 certification is to provide professional, impartial, fair and bribe free certification helping organizations to demonstrate their commitment and achievement in corporate social responsibility. We keen on establishing partnership working relationship with our clients to improve social responsibility standards through on-going assessments. We follow a positive, non-confrontational approach to verify compliance and want to improve overall awareness of social responsibilities as well as occupational health and safety issues.

1. 香港品质保证局 SA8000 认证服务的最主要目标，是提供专业，公正，公平和不受贿赂的认证服务，帮助组织显示其在企业社会责任的承诺和成果·我们热衷于与我们的客户建立合作伙伴的关系，通过持续的评审，以提升社会责任标准。我们采用积极，非对抗性的方法来验证符合性，并希望提高社会责任以及职业健康和安全的整体意识。

2. Other than the charges invoiced by HKQAA, there is no other fees required to be paid by the client. **HKQAA will not arrange our staff (including Business Manager, Account Executive, Customer Service Officer, Audit Team etc.) to collect other money from the client. HKQAA staff are obliged to report in full details to HKQAA Headquarter whenever money transaction, gifts and entertainment arrangement are being offered by the client.**

2. 除了由香港品质保证局开具发票所收取的费用外，客户是没有其他费用须缴付的。**香港品质保证局不会安排我们的雇员（包括业务经理，销售主任，客户服务主任，审核组等）从客户收取其他金钱。在任何时候，客户所提供的金钱交易，礼品及娱乐安排，香港品质保证的雇员都有必要向总部报告全部细节**。

3. According to the document Procedure 200 – Advisory 2022-1 (reference document 5) issued by the accreditation body, SAAS, applicant or certified organizations SA8000 organizations can use external consultants to assist in establishing and promoting the operation of the SA8000 system if they meet the relevant accreditation requirements.

3. 按认可方SAAS所颁布的文件Procedure 200 – Advisory 2022-1 (参考文件5)，有意申请或已认证SA8000认证的组织，在满足相关认可要求下是可以使用外部顾问协助建立及推动SA8000体系运作。

3.1 Consultant Definition

a. A consultant may be an individual, an organization, or a part of an organization.
b. A consultant is someone who is not directly employed by the applicant/certified organization to provide or may provide limited-time external expertise/assistance.
c. It involves activities such as providing SA8000-related expert advice, advice, training, coaching or occasional assistance in implementing SA8000-related processes.
d. But cannot or will not make decisions on behalf of the management of the organization or act as a management representative of the organization. It cannot communicate with HKQAA personnel including auditors on behalf of the organization.

3.1. 顾问的定义

a. 顾问可以是个人、组织或组织的一部分。
b. 顾问是指未直接受雇的人由申请人/已获证公司提供或可能提供限时的外部专业知识/协助。
c. 其涉及的活动例如提供与SA8000 相关的专家意见、建议、培训、辅导或偶尔协助实施SA8000 相关流程。
d. 但不可或不会代表组织管理层作出决策或作为组织的管理代表。并不可代表组织与HKQAA人员包括审核员沟通。

3.2 Responsibilities for an applicant or certified SA8000 organization

a. A legally binding "Consultant Contract" shall be entered into with the Consultant.
b. The consultant contract shall be in accordance with the Consultant Definition mentioned above.
c. The consultancy contract shall be readily available to representatives of HKQAA or SAAS for review and assessment.
d. Shall ensure that consultants always operate in a transparent and ethical manner with respect to SA8000 and related requirements in accordance with the terms of the consultant's

3.2 申请或已认证SA8000的组织的责任

a. 应与顾问签订具法律约束力的「顾问合同」。
b. 顾问合同应根据上述的「顾问定义」。
c. 顾问合同应随时可提供给HKQAA 或 SAAS 的代表，以供审查和评估。
d. 应确保顾问始终按照顾问合同条款以透明和道德的方式就SA8000和相关要求进行操作。

contract.

e. The consultant's responsibilities and relationship to the applicant/certified SA8000 organization's management shall be transparent within the management system and understood by all levels of the organization.

f. Organization's management shall maintain overall control and responsibility for all SA8000 related services provided by the consultant. The organization's management must be able to demonstrate compliance with the above requirements without consultant intervention, including when interviewed by the SA8000 auditor.

g. Organizations applying for or certified to SA8000 should relinquish their SA8000 certification and notify HKQAA, their clients and other SA8000 stakeholders (if applicable) when the relevant requirements cannot be met.

h. To meet relevant accreditation requirements, the organization shall ensure that the following controls are in place;
- Clearly define and document consultant responsibilities, roles and au. And inform everyone in the organization.
- Careful management review of information/documents/data provided by consultants to ensure truthfulness, relevance, accuracy, etc.
- Clearly document contract terms and conditions involved.
- Clearly define consultants' involvement, roles and limits.

3.3 According to the terms 9.2.1 and 9.5.1 of the SA8000 Standard, the senior management of the applicant or certified SA8000 organization must take responsibility for the realization of its SA8000 system (that is, no external consultants can be entrusted to undertake it); at the same time, it is necessary to ensure that all personnel in the organization effectively understand the requirements of SA8000.

3.4 According to the accreditation requirements, if HKQAA auditors find that the organization fails to effectively manage the above requirements, the auditor will issue a non-conformity according to the actual situation. Once found to be extremely negative (such as involving the use of false documents), it will lead to critical non-conformity (Cri), and the certificate may eventually be suspended.

4. SA8000 certification process includes a First Stage Assessment (FSA) and Certification Audit (CA) as well as sequence Surveillance Visits (SV), Surveillance Follow-up Review (SFR), Renewal Audits (REA) and Re-certification Follow-up Review (RFR). Unannounced visits (UV) will be included in the surveillance visit program. Besides, in accordance with SA8000 clause 9.7.1, SA8000 certified clients shall agree to witness audit, Market Surveillance Program (MSV) and special audit conducted by

e. 顾问的职责和与申请/获证SA8000组织管理层的关系应在管理体系内透明，并为公司各级人员所理解。

f. 公司管理层应对顾问提供的所有 SA8000 相关服务保持全面控制和责任。包括在接受 SA8000 审核员面谈时，组织的管理层必须能够在没有顾问干预的情况下证明遵守上述要求。

g. 不能满足相关要求时，申请或已认证SA8000的组织应放弃其 SA8000 认证，并通知HKQAA、其客户及其他SA8000利益相关方(如适用)。

h. 为满足相关认可要求，组织应确保以下控制到位；
- 明确介定并记录顾问的责任、角色和职责。并告知组织内所有人员。
- 对顾问提供的信息/文件/数据进行仔细的管理审查，以确保其真实性、相关性、准确性等。
- 明确的书面化合同条款和涉及的条件。
- 明确介定顾问的参与、角色和权限。

3.3 按SA8000标准条款9.2.1及9.5.1，申请或已认证SA8000组织的高层管理对实现其SA8000体系须承担责任(即不可委托外部顾问来承担)；同时须要确保组织全体人员对SA8000要求有效地理解。

3.4 按认可要求，如HKQAA审核员发现组织未能就以上要求作出有效管理，审核员会按实际情况发出不符合项。一旦被发现极端负面情(例如涉及使用虚假文件)，将会导致极严重不符合项 (Cri)，证书最终有可能被中止。

4. SA8000认证过程包括第一阶段评估 (FSA) 和认证审核（CA），认证后之监督审核（SV）、监督跟进评审 (SFR)、复审（REA）及复审跟进评审 (RFR)。在监督审核中会包括不预先通知审核(UV)。此外，根据 SA8000 第 9.7.1 条，已通过SA8000认证的单位也必须同意香港品质保证局或SA8000认可机构派员与审核员进行现场見證审核、市场监督计划（MSV）、特殊审核及复制审核。如客户拒绝接受以上审核的安排，香港品质保证局会考虑暂停或取消向此客户已发出

representatives of HKQAA or SA8000 Accreditation Body. HKQAA will consider suspending or cancelling the SA8000 certificate of the client who rejects aforesaid audits. (Please refer to SA8000:2014 Certification Scheme – Declaration of Consent (F1008) which you signed during application stage)

的SA8000证书。(请参考您在申请阶段签署的SA8000:2014 认证计划 - 同意声明(F1008))

Regardless any stage of onsite audits, HKQAA will send following questionnaires for collecting updated information and understanding infection risk level from Clients for audit planning, namely,

- SA8000 System Change Collection
- SA8000 Multi-site Questionnaire (if applicable)
- COVID-19 Pre-audit Questionnaire (until end of the pandemic)
- SA8000:2014 Auditee Questionnaire (F440A)

无论现场审核处于哪个阶段，香港品质保证局都会发送以下问卷，以收集客户的最新信息和了解感染风险级别，以进行审核计划，即：

- SA8000 System Change Collection
- SA8000 認證多場所問卷(如適用)
- 新冠肺炎疫情審核前問卷調查(直至疫情結束為止)
- SA8000:2014受审核方问卷 (F440A)

5. For FSA, please pay attention to the following issues:

5.1 Before FSA, Organization shall complete SAI Management System Self-Assessment (SA) on SAI Database. Please refer to SAI SA8000 Database Client Instructions. (Clients could ask for this document from CSU of HKQAA)

5.2 Please prepare the following documents and records for review:

a. Records of employee attendance, working hours, pay ledger, production volume, social insurance payment and housing fund payment for the last **12 months** shall be presented to audit team. (Note: Records to demonstrate Implementation of SA8000 for at least 3 months prior to FSA are required)
b. List of SA8000 worker representatives
c. Labor contracts
d. Personal files
e. Official documents and certificates
f. Understanding of basic living wage
g. Risk assessment documents (including risks of all social responsibility aspects and occupational health and safety)
h. List of factories owned by the same boss producing the same kind of products under the certification scope
i. List of subcontractors and suppliers
j. List of applicable laws and regulations applicable to SA8000.
k. Contact details of local unions and associations representing workers' rights.
l. Contact details of Labour Department (劳动局) and Social Insurance Department (社保局)
m. Essential management system implementation records (including internal audit and management review)
n. Internal auditor competence evidence
o. Organizational chart of Social Performance Team (SPT)
p. 2nd party social audit reports
q. OR other documents or records requested by the

5. 就第一阶段评估(FSA)，请注意下列事项:

5.1 在FSA前，组织应在SAI数据库上完成SAI管理体系自我评估(SA)。请参考《SA8000用户的SAI数据库说明。》(客户可向本局的客户服务部索取这文件。)

5.2 请准备下列文件及記錄供審閱：

a. 应向审核小组提交过去**12个月**内的花名册、员工出勤记录、工时、工资帐目、产量、社会保险金及住房公积金。(注：出具在FSA前至少3个月实施SA8000的记录)
b. SA8000员工代表清单
c. 劳动合同
d. 员工个人档案
e. 官方批文及证明
f. 基本生活工资的了解
g. 风险评估文件 (包括所有社会责任范畴及职业健康安全)
h. 所有同一經營者拥有生产认证范围中涉及的产品之工场的清单
i. 分包商和供应商名单
j. 适用于SA8000的法律法规
k. 当地代表工人权利的协会和工会的联系方式
l. 劳工处（劳动局）和社会保险部（社保局）的详细联系方式
m. 基本管理系统的运行记录(包括内部审核及管理评审)
n. 内审员资质证明
o. 社会责任积效团队(SPT)架构图
p. 第二方社会审核报告
q. 或其他审核小组要求的文件及记录

audit team

In case the client cannot provide the documents or records above, auditor may report it as audit findings to the Organization for improvement prior to CA.

According to SAAS requirement, Organization which has implemented SA8000 social management system shall publicly display information of external contact channels to workers for access and facilitate constructive communication between workers and management. Clients could ask for a standard poster of external contact channels from HKQAA CSU and post it in required areas.

6. For CA, please pay attention to the following issues:

6.1 On-site assessment shall not be arranged at low season or at a period that the actual attendance of workers is less than 70% of the highest number of workers in the last 12 months.

6.2 On-site assessment duration shall be extended (in the same visit or in a separate visit subject to HKQAA's arrangement) if the actual attendance of workers is more than the highest number of workers in the last 12 months

6.3 Audit team will review relevant documents & records, obtain testimonies of Organization staff and workers as well as witness operation to cross check the information obtained during the assessment at a time agreed with Organization management. In case such cross-checking process cannot be completed, recommendation for certification shall not be made and the situation shall be detailed in audit report by audit team.

6.4 Worker interview shall be conducted at a location without disturbance that only invited worker(s) shall present. Audit team will pick the location with the consent of Organization management representative.

7. For SV, please take note：

7.1 For SA8000 certification under annual surveillance program, according to accreditation requirement, semi-announced SV (i.e., UV) will be arranged and completed within an allowable window time (e.g., 8 weeks). If UV could not be arranged and completed within the window time, the certificate will be suspended or terminated. Clients shall not be permitted to delay any SV, otherwise, Client's certificate will be immediately suspended. If the delay due to client request is greater than three months, client's certificate will be cancelled.

7.2 Clients could inform CB any block out date (e.g., public holidays, blackout, etc.) within the window during the stage of audit scheduling. HKQAA will not perform audit on that day. Requests to block out a date will be ignored once the window time started. Clients shall provide evidence to support corresponding request if needed.

7.3 On-site assessment will be conducted in the same

如客户不能提供上述文件或记录， 审核员或会以书面方式向组织提出审核发现，以便组织于认证审核前作出改进。

根据SAAS的要求，已实施SA8000社会管理系统的组织应向工人公开显示外部联系渠道的信息，以使工人得悉，并促进工人与管理层之间的建设性沟通。 客户可以向本局的客户服务部索取那外部联系渠道的标准海报并在要求的地点张贴。

6. 就认证审核(CA)，请注意下列事项:

6.1 现场审核不能安排在淡季或工人上班人数小于过去12个月最高的工人上班人数的70%的時間。

6.2 如果实际在场的工人人数超过过去12个月内最高工人人数，现场审核的时间必须延长（在同一审核，或在另一个香港品质保证局安排的独立审核）。

6.3 在与组织管理层商定的时间内，审核小组将审核相關的文件及记录，並收集组织职员和工人的口頭证据，和见证工场运作以交叉检查在评审时所获得的资料，如交叉检查的过程无法在审核的時間內完成，审核组不可以作出认证推荐，情况会在审核报告里详细记录。

6.4 工人的访谈会在一个沒有干擾的位置进行和只有受邀请的工人出席。审核组会挑选组织代表同意的位置。

7. 就监督审核(SV)， 请注意事项：

7.1 对于SA8000年度监督计划的认证，根据认可要求，将在允许的窗口时间内（例如8周）安排并完成半通知监督审核（即UV）。 如果未能在窗口时间内安排完成UV，证书将被暂停或终止。不允许客户延迟任何SV，否则客户的证书将被立即暂停。如果因客户要求延迟超过三个月，客户的证书将被取消。

7.2 客户可以在审核安排阶段通知验证机构窗口期内的任何封锁日期（例如公共假期、停电等）。香港品质保证局当天将不会安排审核。 一旦窗口时间开始，封锁日期的请求将被忽略。在有须要时，客户应提供证据来支持相关请求。

7.3 现场审核的方式与认证审核相同，除了審

manner as CA except the duration may be shorter and audit scope might be smaller than that of CA.

7.4 Under no circumstance could two surveillance audits be combined as one.

8. For REA, please take note：
   8.1 Before REA, Organization shall fill and provide following information to our Customer Service Unit (CSU) for audit arrangement determination:
      a. Completion status of SAI MS Self-Assessment (SA) on SAI Database
      b. Addendum to Application Form (F475)
      c. SA8000:2014 Auditee Questionnaire (F440A)
   8.2 On-site assessment will be conducted in the same manner as CA except the duration may be shorter if overall performance showed improvement in the certification cycle and maintained at a satisfactory level.

9. For UV, please pay attention to the following issues:
   9.1 HKQAA will determine the window period of an unannounced audit with the Organization in advance. If the Organization is inconvenient to accept the audit on certain days during the recommended audit window period, the Organization shall inform the customer service department of the Agency before the start of the window period and explain the reason. If the request is finally accepted, auditors will not visit the Organization on those dates. Finally, audit will be carried out without prior notice within the confirmed window period.

10. For Surveillance Follow-up Review (SFR), please take note：
   10.1 SFR is applicable to annual SV program for SA8000 single site certification.
   10.2 Generally, it will be arranged in the manner of 0.5-manday through appropriate verbal and other electronic interactions to review evidence with client representatives.
   10.3 Before SFR, Organization shall:
      a. fill and provide “SA8000:2014 Follow-up Review Questionnaire” (F1212) to our CSU
      b. provide relevant information of following areas as per auditor’s request:
         i. performance of continual monitoring and improvement in Clauses 3.5, 9.4, 9.6 and 9.8 of SA8000:2014
         ii. appropriateness and accuracy of SA8000 certification scope
         iii. number of employees, and/or changes to personnel
         iv. progress/closure of previously raised NCs (including TBNCs)
         v. commitment to health and safety including health and safety risk assessments and corrective and preventive actions taken.
   10.4 NC or AFI will be raised in case audit findings are

核时间或会较短外，同时审核范围或比认证审核审核范围为小。

7.4 在任何情况下，两次监督审核都不能合并为一次来进行。

8. 就复审(REA)，请注意事项：
   8.1 在复审(REA)之前，组织应填写及提供以下信息并提供给我们的客户服务部，以便确定审核安排：
      a. SAI数据库中完成SAI管理册系自我评估(SA)的状态
      b. 「认证申请问卷附录」(F475)
      c. SA8000:2014受审核方问卷 (F440A)
   8.2 现场的一个认证的一个。 如认证周期内整体表现呈现改进及维持满意水平，除了如果整体的管理社会有所改善并保持在令人满意的水平，审核时间或可缩短。

9. 就不预先通知审核(UV)，请注意事项：
   9.1 香港品质保证局会于事前与组织确定不预先通知审核的窗口期。 如组织在建议审核窗口期内有个别日子不便接受审核，组织必须在窗口期开始前向本局客户服务部提出，并说明原因。 如最终要求被接纳，审核员不会在那些日期到访。 最终核会在已确定的窗口期内以不预先通知安排下进行。

10. 就监督跟进评审(SFR)，请注意事项：

   10.1 SFR 适用于 SA8000 单站点认证的年度监督计划
   10.2 通常，它将以 0.5 个工作日的方式通过适当的口头和其他电子互动方式安排，以与客户代表一起审查证据。
   10.3 在 SFR 之前，组织应：
      a. 填写并向我们的 CSU 提供 “ SA8000：2014 跟进评审问卷”（F1212）
      b. 根据审核员的要求提供以下领域的相关信息：
         i. SA8000：2014 条款 3.5、9.4、9.6 和 9.8 中持续监控和改进的表现
         ii. SA8000 认证范围的适用性和准确性
         iii. 员工人数和/或人员变更
         iv. 先前提出的 NC(包括 TBNC)之进度/关闭
         v. 对健康和安全的承诺，包括健康和安全风险评估以及采取的纠正和预防措施
   10.4 如果确认审计发现 ,将按以 NC 或 AFI 提出。

confirmed.

10.5 If necessary, HKQAA auditor will request changing the form of SFR from offsite to onsite or arrange an additional onsite follow-up audit for further verification.

11. For Recertification Follow-up Review (RFR), please take note：
    - 11.1 RFR is applicable to annual SV program for SA8000 single site certification.
    - 11.2 Generally, it will be arranged in the manner of 0.5-manday through appropriate verbal and other electronic interactions to review evidence with client representatives.
    - 11.3 Before RFR, Organization shall:
        - a. fill and provide “SA8000:2014 Follow-up Review Questionnaire” (F1212) to our CSU
        - b. provide relevant information of following areas as per auditor’s request:
            - i. appropriateness and accuracy of SA8000 certification scope
            - ii. number of employees, and/or changes to personnel
            - iii. closure of previously raised Critical or Major NCs
    - 11.4 NC or AFI will be raised in case audit findings are confirmed.
    - 11.5 If necessary, HKQAA auditor will request an additional onsite follow-up audit for further verification.

12. Each on-site assessment will comprise of the following elements:
    - a. Opening meeting
    - b. Interview with management
    - c. Workplace inspection
    - d. Examination of documents
    - e. Worker Interviews (not for FSA)
    - f. BLW Survey
    - g. Management System Maturity Declaration (MD) as per SAAS requirements
    - h. Discussion & closing meeting

13. Please make sure the personnel responsible for the following functions are available during the audit:
    - a. Human Resource
    - b. Accounting
    - c. Production / Services
    - d. Health and safety Management
    - e. Management Representatives
    - f. Trade Union Representatives
    - g. SA8000 Worker Representatives
    - h. Social Performance Team (SPT)

14. For all types of audit, according to SAAS requirements, HKQAA auditors shall take required photos as mean of evidence collection throughout an audit. If taking being denied, it might likely violate the certification requirements and result as an audit non-conformity if not acceptable

10.5 如有需要，香港品质保证局审核员将要求将SFR 的形式由场外改为现场进行，或额外安排一个现场跟进审核，作进一步核实。

11. 就复审跟进评审(RFR)，请注意事项：
    - 11.1 RFR 适用于SA8000 单站点认证的年度监督计划
    - 11.2 通常，它将以 0.5 个工作日的方式通过适当的口头和其他电子互动方式安排，以与客户代表一起审查证据。
    - 11.3 在 RFR 之前，组织应：
        - a. 填写并向我们的 CSU 提供「SA8000：2014 跟进评审问卷」（F1212）
        - b. 根据审核员的要求提供以下领域的相关信息：
            - i. SA8000 认证范围的适用性和准确性
            - ii. 员工人数和/或人员变更
            - iii. 先前提出的极严重不合格项及嚴重不合格项之关闭
    - 11.4 如果确认审计发现，将按以 NC 或 AFI 提出。
    - 11.5 如有需要，香港品质保证局审核员将要求进行额外的现场跟进审核，作进一步核实。

12. 每次现场审核将包括下列内容：
    1. 首次会议
    2. 管理层面谈
    3. 工作场所视察
    4. 检查文件
    5. 工人面谈（FSA不适用）
    6. 基本生活工资调查
    7. 管理体系成熟声明(MD)按SAAS要求安排
    8. 讨论及末次会议

13. 在审核期间，职能负责人员必须在场：
    - a. 人力资源
    - b. 会计
    - c. 生产/服务
    - d. 健康和安全管理
    - e. 管理者代表
    - f. 工会代表
    - g. SA8000工人代表
    - h. 社會責任積效團隊 (SPT)

14. 对于所有类型的审核，根据SAAS的要求，HKQAA 审核员应拍摄所需的照片，作为整个审核期间收集证据的手段。如果被拒绝，则可能会违反认证要求，并且如果不能接受，则会导致审核不合格。

reasons.

15. In case audit findings are confirmed and reported as Non-conformity, generally, Organizations should fill and provide correction and corrective action plan to HKQAA for review within two weeks. Organizations should properly adopt root cause analysis (RCA) techniques to find out root cause(s), identify and implement corresponding actions within an allowed time limit. For understanding RCA techniques, Clients could ask for material of Application of RCA Tool from HKQAA CSU. Since use of SAI Database, Clients could review NC Reports via the Database[1]. (Please refer to **Appendix 1** for understanding good and bad examples of corrective action plan and **Appendix 2** for understand basic requirements of continual improvement plan for TBNC.)

16. As SAI Database has been fully adopted, CB auditors have been using Audit Tool on the Database as formal reporting. CB will release the SAI Audit Summary Report and SAI Audit Tool Report to Clients after completion of technical review. Clients could access the Audit Summary Report and Audit Tool Report via the Database[1].

17. For getting more information or related technical documents, Clients can go to following webpages of SAI and SAAS to obtain relevant documents.

    - https://sa-intl.org/
    - http://www.saasaccreditation.org/document-library

To make the certification process a successful one, full cooperation of organization management is a must. In return, audit team shall behave professional and present audit findings with objective evidence.

Organization's management can express their concerns to HKQAA headquarter regarding misconduct of HKQAA staff. If necessary, please click the hyperlink below to go to the webpage of the Agency for further understanding or provide relevant information. The process will be conducted in an appropriately confidential manner.

http://www.hkqaa.org/gb_certservice.php?catid=8

Thank you for your kind cooperation.

REMARK:

1. For understanding operations of SAI Database, please refer to SAI Database Client Instructions for SA8000 Clients.

Reference documents:

1. SA8000:2014 International Standard
2. SA8000:2014 国际标准
3. SAAS Procedure 200
4. SAI Database Client Instructions for SA8000 Clients.
5. SAAS Procedure Advisory 2022-1

15. 如果确认审计发现并报告为不合格项，一般情况下，组织应在两周内填写并向本局提供纠正和纠正措施计划，以供评审。组织应适当地采用根本原因分析（RCA）技术来找出根本原因，在允许的时间内识别和实施相应的措施。为了解根本原因分析技术，客户可以向本局的客户服务部索取根本原因分析工具应用材料。自使用 SAI 数据库后，客户可以通过数据库查看不符合报告[1]。(请参阅**附录1**了解纠正措施计划的好坏范例及**附录2**了解有关时限不符合项的持续改进计划的基本要求)

16. 由于已完全采用了SAI 数据库，認證機構的 审核员已使用数据库上的审核工具作为正式报告。認證機構将在完成技术审查后向客户发布 SAI 审核总结报告及SAI审核工具报告。 客户也可以通过数据库查看审核总结报告[1]。

17. 为获取更多信息或相关技术文件，客户可以到以下SAI和SAAS网页获取相关文件。

    - https://sa-intl.org/
    - http://www.saasaccreditation.org/document-library

使认证过程成功，组织管理层的充分合作的是必须的，与此相時，审核组應表现专业及基于客观证据提出审核结果。

组织可向香港品质保证局总部表达他们对其雇员不当行为的关注。如有需要，可击点以下连结到本局网页作进一步了解或提供相关讯息。过程将以洽当的保密方式进行。

http://www.hkqaa.org/gb_certservice.php?catid=8

谢谢您的友好合作。

備註：

1. 为了解SAI数据库操作，请参考SA8000用户的 SAI 数据库说明。

参考文件：

1. SA8000:2014 International Standard
2. SA8000:2014 国际标准
3. SAAS Procedure 200
4. SA8000用户的SAI 数据库说明
5. SAAS Procedure Advisory 2022-1

Appendix 1 – Criteria of acceptable corrective action plan
附录 1 – 可接受的纠正措施计划标准

i. Bad example 不良例子

不合格项内容：（轻微不符合） **按以下客观证据，反映组织的化学品安全管理存在不符合情况。组织未有以适当方式将化学品的潜在风险明确地向员工作出沟通以保障员的健康。违反了 SA8000:2014 条款 3.1, 组织应提供一个安全和健康的工作环境，并应采取有效的措施防止潜在的健康和安全事故和职业伤害，或在工作的过程中发生的或引起的疾病。基于产业相关的安全与健康的知识 以及任何特定的危害，只要是合理可行的， 就应当减少或消除工作场所的所有危险因素。** **现场审核发现组织二楼组装车间的一个工位上有两瓶 AB 胶并未张贴标识，包括化学品的主要危害讯息。** **(地点：生产部)** ☒ 执行纠正行动和纠正措施的证据需和此不合格项报告一并提交 此不合格项的事实得到受审核方代表的同意	
受审核方代表： --	*HKQAA* *审核员：* --
签名： 日期： --	*签名：* *日期：*2021 年 11 月 20 日

不合格项的成因：（描述应考虑此不合格项对管理体系的影响） **车间员工疏忽未有张贴标识，工作马虎不认真。(参考註解 1)**		
纠正：（描述应注明消除不合格项的行动） **已即时口头指示员工注意及改善。(参考註解 2)**	责任人 SA8000 绩效小组 **(参考註解 4)**	预计完成日期 **2021 年 11 月 20 日**
纠正措施：（描述应注明消除不合格项成因所采取的措施） **1. 落实车间化学品管理责任。** **2. 加强前线员工工作意识，使日常工作有效到位。** 3. **安排化学品使用培训。** **(参考註解 3)**	责任人 SA8000 绩效小组 **(参考註解 4)**	预计完成日期 **2022 年 3 月 31 日** **(参考註解 5)**

Remark 注解

1. The "root cause" proposed is only for the work attitude of frontline employees, and the "root cause" of the real problem cannot be found from the process, system and related risks of chemicals use in the workshop.
   提出的「成因」只针对前线员工工作态度，未能从车间化学品使用过程、制度及相关风险中查找出真正问题的「成因」。
2. The proposed "corrective actions" does not address the actual situation identified (chemicals in use not being labeled as they should) to eliminate the associated risks and stop the problem from harming employees.
   建议的「纠正」行动未有处理已发现的实际处境（使用中的化学品未贴上应有标签），以消除相关风险及停止问题对员工的危害。
3. The "corrective actions" in items 1 and 2 are not specific. Furtherpmore, "training" is not the only mean of "corrective actions". The organization should propose new management practices for management processes, systems and associated risks for use of chemicals.
   第1及第2项的「纠正措施」欠具体。 此外，「培训」并不是「纠正措施」的唯一方法。 组织应就化学品管理过程、制度及相关风险中提出新的管理方案。
4. The primary responsibility for the problem should be the person in charge of that workshop, and the SA8000 Social Performance Team should not be blamed for the problem. At the same time, the responsible person must be clear to the name and title of the person.
   问题的主要责任人应是那工作间的负责人，不应将问题归咎于SA8000绩效小组。 同时，责任人必须明确至人员姓名及其职称。

5. According to the nature of this non-conformity, it is unreasonable to set an "Estimated Completion Date" of 4 months after the audit. The organization should set a reasonable improvement completion date (e.g. within 1 month or earlier) based on the nature of the problem, the level of risk, and resources.
   按这不符合项的性质，设定的「预计完成日期」为审核后 4 个月，并不合理。 组织应按问题性质、风险程度及资源设定合理的改善完成日期（例如：1个月内或更早）。

ii. Good example 良好例子

不合格项内容：（轻微不符合） **按以下客观证据，反映组织的化学品安全管理存在不符合情况。组织未有以适当方式将化学品的潜在风险明确地向员工作出沟通以保障员的健康。违反了 SA8000:2014 条款 3.1, 组织应提供一个安全和健康的工作环境，并应采取有效的措施防止潜在的健康和安全事故和职业伤害，或在工作的过程中发生的或引起的疾病。基于产业相关的安全与健康的知识 以及任何特定的危害，只要是合理可行的， 就应当减少或消除工作场所的所有危险因素。** **现场审核发现组织二楼组装车间的一个工位上有两瓶 AB 胶并未张贴标识，包括化学品的主要危害讯息。** **(地点：生产部)** ☒ 执行纠正行动和纠正措施的证据需和此不合格项报告一并提交 此不合格项的事实得到受审核方代表的同意	
受审核方代表： --	*HKQAA* *审核员：* --
签名： 日期： --	*签名：* *日期：*2021 年 11 月 20 日

不合格项的成因：（描述应考虑此不合格项对管理体系的影响） **化学品用量小，并未引起使用工人的重视。同时生产部未有全面就发放及使用化学品作出细化的风险管理。** **(参考註解 1)**		
纠正：（描述应注明消除不合格项的行动） **立即检查车间使用中的化学品容器，并对欠缺标识的化学品容器即时加上合适的标签，并附上相关警告标志。(参考註解 2)**	责任人 **陈大文** **(生产部主管)** **(参考註解 4)**	预计完成日期 **2021 年 11 月 20 日**
纠正措施：（描述应注明消除不合格项成因所采取的措施） **1. 细化化学品管理及使用规则。添加针对化学品发放时标签状态的要求。并由化学品发放人员负责确认标签的适宜性。** **2. 生产部于每天工作早会上增加针对安全化学品使用基本守则。** **3. 将化学品标签要求加入《车间巡检报告》的检查清单内，并作定期监控。** 4. **更新《职安健风险评估报告》相关内容以降低化学品使用的风险。** **(参考註解 3)**	责任人 **李大福** **(生产部经理)** **(参考註解 4)**	预计完成日期 **2021 年 12 月 10 日** **(参考註解 5 及 6)**

Remark 注解

1. The organization found the "root cause" of the real problem in the process, system and associated risks of chemical use on the shop floor.
   组织从车间化学品使用过程、制度及相关风险中查找出真正问题的「成因」。
2. When the actual situation that was found (chemicals in use was not properly labeled), the organization took immediate actions to eliminate the problem in a timely manner.
   就已发现的实际处境（使用中的化学品未有应有标签），组织马上采取对应行动及时消除问题。
3. Each Corrective Action identified specific actions and objectives. The organization proposed a new management plan for management process, system and related risks for use of chemicals.
   各项「纠正措施」均指出具体行动和目的。 组织就化学品管理过程、制度及相关风险中提出了新的管理方案。
4. The person in charge of the workshop is the most suitable person who is mainly responsible for follow-up. At the same time, the name and title of the person in charge were specified.
   工作间的负责人是最合适的跟进主要责任人。同时明确了负责人的姓名及职称。
5. A reasonable Estimated Completion Date was set based on the nature of the non-conformance. (less than 1 month)
   按不符合项的性质，设定了合理的「预计完成日期」。(少于1个月)
6. In general, the planned completion time for non-conformities shall be set in accordance with the Accredited Party requirements below:
   在一般情况下，不符合项的计划完成时间应依据以下认可方要求来设定:

SA8000 Certification - Audit Guide (SA8000认证 –审核指引)

Critical NC 极严重不符合项	Major NC 严重不符合项	Minor NC 轻微不符合项	TBNC 时限不符合项
1 month 1 个月	3 months 3个月内	6 months 6个月内	请参考附录B Pleaese refer to Appendix B

Appendix 2 – Basic elements of continual improvement plan for TBNC
附录 2 – TBNC持续改进计划的基本要素

1. According to SAAS accreditation requirements, when TBNC occurs, the organization must propose a "continuous improvement plan" within the specified time limit below, and achieve the specified goal within the allowable time limit. During the period when the "Continuous Improvement Plan" is in effect, HKQAA must regularly evaluate the results per phase. If the organization fails to meet the above requirements, the SA8000 certificate will be immediately suspended and eventually revoked.
   按SAAS认可要求，当出现了TBNC时，组织必须在以下指定时限内提出「持续改善方案」，并且在容许的时限内达到指定目标。在「持续改善方案」生效期间，必须定期接受HKQAA评估阶段性的成效。如组织未能满足以上要求，SA8000证书将即时被暂停及最终被撤销。

TBNC Level TBNC 水平	Time for "Continuous Improvement Plan" Submission 提交《持续改善方案》时限	Deadline of ""Continuous Improvement Program" 「持续改善方案」最终时限	Periodic Time Limit of "Continuous Improvement Program" 「持续改善方案」阶段性时限
L1	1 week after the audit 审核完成后 1 周内	Achieve L2 after 6 months 6 个月后达到水平2	Every 6 months 每6个月
L2	1 week after the audit 审核完成后 1 周内	Achieve L3 after 6 months 6 个月后达到水平3	
L3	1 month after the audit 审核完成后 1 个月内	Achieve L4 after 18 months 18 个月后达到水平4	
L4	2 months after the audit 审核完成后 2 个月内	Achieve Standard requirement after 18 months 18 个月后达到标准要求	

2. Basic Elements of "Continuous Improvement Program" 「持续改善方案」的基本元素

   i. Nonconformities to be rectified 待改善的不符合情况
   ii. Expected results after completion of the improvement program 预期完成改善方案后的结果
   iii. Improvement indicators or targets 改善指标或目标
   iv. Improvement Implementation Period 改善实施时段
   v. The person in charge of the program report 方案报行负责人
   vi. Person and time of monitoring 监督负责人及时间
   vii. Effectiveness of improvement 改善成效
   viii. Follow-up actions 跟进行动

3. Example (for reference only) 範例 (只供参考)

待改善的不符合情况：	周加班时间持续维持于 20 小时 （水平 3)		
预期改善结果：	不安排常规加班，周加班时间少于 12 小时		
方案报行负责人：	生产部及生产计划部主管		
实施時限：	18 个月		
实施时段：	7-12/2021 (6 个月)	1 - 6/2022 (6 个月)	7-12/2022 (6 个月)
改善目标：	最高周加班时间 ≤ 20 小时 平均周加班时间 ≤ 17 小时	最高周加班时间 ≤ 16 小时 平均周加班时间 ≤ 14 小时	最高周加班时间 ≤ 12 小时 平均周加班时间 ≤ 10 小时 不安排常规加班
监督负责人： (SPT 成员姓名)			
监督时间： (监督日期)			
改善成效： (达标/不达标)			

跟进行动： (不达标时填写)			