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| Audit No. | 4616.?.2023\_? | | | | Audit date | | | ? | | | | | Issue date | | ? | |
| 審計編號 | 審核日期 | | | 制定的計劃 | |
|  | | | | | | | | | | | | | | | | |
| 1. Client ID | | | 客户编号 | | | 4616.?.2023 | | | | | | | | | | |
| 1. Client name | | | 组织名称 | | | ? | | | | | | | | | | |
| ? | | | | | | | | | | |
| * 1. Registered address | | | 生产/服务场所： | | | ? | | | | | | | | | | |
| ? | | | | | | | | | | |
| * 1. Audit address | | | 审核地点 | | | ? | | | | | | | | | | |
| 1. Client’s contact | | | 客戶聯繫方式 | | | ? | | | | | | | | | | |
| 1. Type of audit | | 审核类型 | | | | 1 stage |  | | On-site | |  | | | Remotely | |  |
| 1個階段 | 现场 | | 远程 | |
| 1. Code IAF | | | | 代碼 EAC | | ? | | | | | | | | | | |
| 1. Audit criteria | | | | 审核依据 | | ISO 9001:2015 | | | | | | GB/T19001-2016 | | | | |
| * 1. Excluded items | | | | 不适用条款 | |  | | | | | | | | | | |
| 1. Audit scope | | | | 审核范围 | | ? | | | | | | | | | | |
| * 1. Audit purpose | | | | 审核目的 | |  | | | | | | | | | | |
| 1. Review of the documented information of the client's management system | | | | | | | | | | 審查客戶管理體系文件化信息 | | | | | | |
| 2. Assessing the client's location-specific conditions and interviewing client personnel to determine readiness for stage two | | | | | | | | | | 評估客戶的特定位置條件並與客戶人員面談以確定第二階段的準備情況； | | | | | | |
| Reviewing the client's status and understanding of the requirements of the standard, especially in relation to the identification of key performance outcomes or significant aspects, processes, objectives and management system performance | | | | | | | | | | 審查客戶的狀態和對標準要求的理解，尤其是與識別關鍵績效結果或重要方面、過程、目標和管理體系績效相關的 | | | | | | |
| 4. Obtaining the necessary information regarding the scope of the management system, including | | | | | | | | | | 獲取有關管理體系範圍的必要信息，包括 | | | | | | |
| a) customer location； | | | | | | | | | | 客戶所在地 | | | | | | |
| b) processes and equipment used | | | | | | | | | | 使用的過程和設備； | | | | | | |
| c) the levels of established supervision measures (especially for multi-site clients) | | | | | | | | | | 既定監管措施的級別（特別是針對多站點客戶）； | | | | | | |
| d) applicable legal and regulatory requirements | | | | | | | | | | 適用的法律法規要求； | | | | | | |
| 5. Reviewing the second stage resource allocation and agreeing with the client on the details of the second stage | | | | | | | | | | 審查第二階段的資源分配，並與客戶就第二階段的細節達成一致 | | | | | | |
| 6. Achieving a reasonable understanding of the client's management system and its site operations in the context of a management system standard | | | | | | | | | | 在管理體系標準的背景下充分了解客戶的管理體系及其現場運營 | | | | | | |
| 7. Assessing whether internal audits and management reviews are planned and performed, and whether the level of implementation of the management system justifies the client's readiness for the second stage | | | | | | | | | | 評估是否計劃和執行內部審核和管理評審，以及管理體系的實施水平是否證明客戶已為第二階段做好準備。 | | | | | | |

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| * 1. Realization audit purpose | | | 實現審計目的 | | | | full scope | | | | | | | | | 全範圍 | | | | | | | | | | |  | | |
| limited (see below) | | | | | | | | | 有限（見下文） | | | | | | | | | | |  | | |
| - | | | | | | | | | | | | | | | | | | | | | | |
| * 1. Deviations from the plan and reason | | | 偏離計劃和原因 | | | | not applicable | | | | | | | | | 不适用 | | | | | | | | | | |  | | |
| described below | | | | | | | | | 如下面所描述的 | | | | | | | | | | |  | | |
| - | | | | | | | | | | | | | | | | | | | | | | |
| * 1. Matters  affecting the audit program (changes) | | | 影響審核方案的事項（變更） | | | | not applicable | | | | | | | | | 不适用 | | | | | | | | | | |  | | |
| described below | | | | | | | | | 如下面所描述的 | | | | | | | | | | |  | | |
| - | | | | | | | | | | | | | | | | | | | | | | |
| * 1. Important changes in system since last audit | | | 自上次審核以來系統的重要變化 | | | | not applicable | | | | | | | | | 不适用 | | | | | | | | | | |  | | |
| described below | | | | | | | | | 如下面所描述的 | | | | | | | | | | |  | | |
| - | | | | | | | | | | | | | | | | | | | | | | |
| 1. Outsourced processes | | | | 外包过程 | | | | not applicable | | | | | | | | | 不適用 | | | | | | | | | |  | | |
|  | | | | | | | | | | | | | | | | | | | | | |
| 1. Result of last audit | | | | | | 上次审核结果 | | | | | | | | | Non-conformity(s) | | | | | | | 不適用 | | | | | - | | |
| 1. Technique for obtaining samples of available information | | | | | | 獲取可用信息樣本的技術: | | | | | | | | | mentioned in the audit plan / 審計計劃中提及 | | | | | | | | | | | | | | |
| 1. Audit language | | | | | | 审核语言 | | | | | | | | | China | | | | | 中文 | | | | | | |  | | |
| English | | | | | 英语 | | | | | | |  | | |
| 1. Audit time | | | | | | 審核時間 | | | | | | | | | Hours | | | | | | 小时 | | | | | |  | | |
| Days | | | | | | 天 | | | | | |  | | |
| 1. Information about the audit team / Registration ID | | | | | | | | | | | | | | | 审核组信息 /注册号 | | | | | | | | | | | | | | |
| Lead auditor | | | 审核组长 | | | ? | | | | | | | | | | | | | | | | | | | | | | | |
| Auditor | | | 审核组员 | | |  | | | | | | | | | | | | | | | | | | | | | | | |
| Technical expert | | | 技术专家 | | |  | | | | | | | | | | | | | | | | | | | | | | | |
| Training auditor | | | 实习审核员 | | |  | | | | | | | | | | | | | | | | | | | | | | | |
| Technical expert (more data) | | | 技术专家 更多數據） | | |  | | | | | | | | | | | | | | | | | | | | | | | |
| Auditor support in terms of specialist knowledge and skills | | | | | | | | | | | | | 在专业知识和技能上为审核员提供支持 | | | | | | | | | | |
| Observer | | | 观察员 | | |  | | | | | | | | | | | | | | | | | | | | | | | |
| Participation without significant influence and the right to interfere with the audit activities and the audit result | | | | | | | | | | | | | 参与审核中，但不影响、不干预审核活动和审核结果 | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Abbreviations /terms | | | | | | | | | | | | 縮略詞/術語 | | | | | | | | | | | | | | | | | |
| **RI** = recommended improvements | | | | | | | | | | | | **RI** = 建議改進 | | | | | | | | | | | | | | | | | |
| **NC** = nonconformity | | | | | | | | | | | | **NC =** 不合格 | | | | | | | | | | | | | | | | | |
| **OK =** requirement fulfilled (X) | | | | | | | | | | | | **OK =** 滿足要求 (X) | | | | | | | | | | | | | | | | | |
| **NA** = not applicable | | | | | | | | | | | | **NA =** 不適用 | | | | | | | | | | | | | | | | | |
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| 1. **Audit results** | | | | | | | | | | | | | 審計結果 | | | | | | | | | | | | | | | | |
| **General information** | | | | | | | | | | | | | 申请认证组织概述 | | | | | | | | | | | | | | | | |
| - | | | | | | | | | | | | |  | | | | | | | | | | | | | | | | |
|  | | Context of the organization | | | | | | | | | | 组织的背景 | | | | | | | | | | | | | OK | | IR | NC | |
| 15.1 | Review of the documented information of the client's management system | | | | | | | | 審查客戶管理體系文件化信息 | | | | | | | | | | | | | | | | **X** | |  |  | |
| Comment (optional) | | | | | | | | | | | | | 評論（可選） | | | | | | | | | | | | | | | |
| - | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 15.2 | Assessing the client's location-specific conditions and interviewing client personnel to determine readiness for stage two | | | | | | | | 評估客戶的具體位置條件並與客戶人員面談以確定第二階段的準備情況 | | | | | | | | | | | | | | | | **X** | |  |  | |
| Comment (optional) | | | | | | | | | | | | | 評論（可選） | | | | | | | | | | | | | | | |
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| 15.3 | Reviewing the client's status and understanding of the requirements of the standard, especially in relation to the identification of key performance outcomes or significant aspects, processes, objectives and management system performance | | | | | | | | 審查客戶的狀態和對標準要求的理解，尤其是與識別關鍵績效結果或重要方面、過程、目標和管理體系績效相關的情況 | | | | | | | | | | | | | | | | **X** | |  |  | |
| Comment (optional) | | | | | | | | | | | | | 評論（可選） | | | | | | | | | | | | | | | |
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| 15.4 | Obtaining the necessary information regarding the scope of the management system, incl.   1. customer location; 2. processes and equipment used; 3. the levels of established supervision measures (especially for multi-site clients); 4. applicable legal and regulatory requirements; | | | | | | | | 獲取有關管理體系範圍的必要信息，包括  a) 客戶所在地；  b) 使用的過程和設備；  c) 既定監管措施的級別（特別是針對多站點客戶）；  d) 適用的法律法規要求； | | | | | | | | | | | | | | | | **X** | |  |  | |
| Comment (optional) | | | | | | | | | | | | | 評論（可選） | | | | | | | | | | | | | | | |
| - | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 15.5 | Reviewing the second stage resource allocation and agreeing with the client on the details of the second stage | | | | | | | | 審查第二階段的資源分配，並與客戶就第二階段的細節達成一致 | | | | | | | | | | | | | | | | **X** | |  |  | |
| Comment (optional) | | | | | | | | | | | | | 評論（可選） | | | | | | | | | | | | | | | |
| - | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 15.6 | Achieving a reasonable understanding of the client's management system and its site operations in the context of a management system standard | | | | | | | | 在管理體系標準的背景下充分了解客戶的管理體系及其現場運營 | | | | | | | | | | | | | | | | **X** | |  |  | |
| Comment (optional) | | | | | | | | | | | | | 評論（可選） | | | | | | | | | | | | | | | |
| **-** | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 15.7 | Assessing whether internal audits and management reviews are planned and performed, and whether the level of implementation of the management system justifies the client's readiness for the second stage | | | | | | | | 評估是否計劃和執行內部審核和管理評審，以及管理體系的實施水平是否證明客戶已為第二階段做好準備。 | | | | | | | | | | | | | | | | **X** | |  |  | |
| Comment (optional) | | | | | | | | | | | | | 評論（可選） | | | | | | | | | | | | | | | |
| **-** | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| **16.1** | **Unresolved issues (cases)** | | | | | | | | | | | | | 未解決的問題（例） | | | | | | | | | | | | | | |
| not applicable | | | | | | | | | | | | | | 不适用 | | | | | | | | | |  | | | | |
| described below | | | | | | | | | | | | | | 如下面所描述的 | | | | | | | | | |  | | | | |
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| **16.2** | **Client's readiness to perform the 2nd stage of the audit** | | | | | | | | | | | | | 客戶準備執行第二階段審核 | | | | | | | | | | | | | | |
| positive | | | | | | | | | | | | | | 積極的 | | | | | | | | | |  | | | | |
| other result (see below) | | | | | | | | | | | | | | 其他結果（見下文） | | | | | | | | | |  | | | | |
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|  | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **16.3** | **Realization of audit purposes** | | | | | | | | | | | | | 審計目的的實現 | | | | | | | | | | | | | | |
| first certification | | | | | | | | | | | | | | 第一次認證 | | | | | | | | | |  | | | | |
| positive | | | | | | | | | | | | | | 積極的 | | | | | | | | | |  | | | | |
| other result (see below) | | | | | | | | | | | | | | 其他結果（見下文） | | | | | | | | | |  | | | | |
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| **16.4** | **Assessment of the effectiveness of corrective actions taken from the previous audit** | | | | | | | | | | | | | 評估上次審核中採取的糾正措施的有效性 | | | | | | | | | | | | | | |
| positive | | | | | | | | | | | | | | 積極的 | | | | | | | | | |  | | | | |
| other result (see below) | | | | | | | | | | | | | | 其他結果（見下文） | | | | | | | | | |  | | | | |
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| **17.** | **Lead auditor authorization** | | | | | | | | | | 主任審核員授權 | | | | | | | | | | | | | | | | | |
| **First name and surname** | | | | | 姓名 | | | | | | Huiying Zhang | | | | | | | | | | | | | | | | | |
| **Signature** | | | | | 签字 | | | | | |  | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **18.** | **Appendixes to the audit report** | | | | | | | | | | | | | 審計報告附件 | | | | | | | | | Quantity | | | 數量 | | |
| 1. | Audit plan\_1 stage | | | | | | | | | | | | | 審計計劃\_1階段 | | | | | | | | | 1 | | | | | |
| 2. | Participants list | | | | | | | | | | | | | 參與者名單 | | | | | | | | |  | | | | | |
| 4. | List of viewed documents | | | | | | | | | | | | | 已查看文檔列表 | | | | | | | | |  | | | | | |
| 5. | Non-conformity sheet No: | | | | | | | | | | | | | 不合格表編號： | | | | | | | | |  | | | | | |
| The report will be submitted to the certification body for approval | | | | | | | | | | | | | | | | | | 報告將提交認證機構批准 | | | | | | | | | | |
| THE END | | | | | | | | | | 文件结束 | | | | | | | | | | | | | | | | | | |