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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 | | | | | 2 stage | |  | | | Surveillance audit | | | | | | | | |  | | Special audit | | | |  |
| 2 階段 | | 监督审核 | | | | | | | | | 專項審核 | | | |
| On-site | |  | | | Remotely | | | | | | | | |  | | Re-certification | | | |  |
| 现场 | | 远程 | | | | | | | | | 再认证 | | | |
| 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 (9.3.1.2.2) | | | | | | | | | 审核目的 | | | | | | | | | | | | | | | | | | | | |
| 1. Determining the compliance of the client's management system with the audit criteria / 确定客户的管理体系是否符合审核标准 2. Determining the ability of the management system to ensure compliance with applicable legal, regulatory and contractual requirements / 确定管理体系确保符合适用的法律法规及合同要求的能力 3. Determining the effectiveness of the management system / 确定管理体系的有效性 4. Identification of areas for potential improvement of the management system (if applicable) / 识别管理体系的潜在改善方面（如果适用） 5. Compliance with the conditions for applying the certification mark (not for first certification) / 合认证标识使用规则（不适用初次认证） | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 1. Outsourced processes | | | | 外包过程 | | | | | NA | | | | 不适用 | | | | | |  | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | |
| 1. Technique for obtaining samples of available information | | | | 獲取可用信息樣本的技術 | | | | | Conversation / interview | | | | | | | | | | 会谈/访谈 | | | | | | | | | |  |
| Review of documentation / records | | | | | | | | | | 审查文件/记录 | | | | | | | | | |  |
| Vertical audit of processes | | | | | | | | | | 过程链审核 | | | | | | | | | |  |
| 1. Audit language | | | | 审核语言 | | | | | China | | | | | | | | | | 中文 | | | | | | | | | |  |
| English | | | | | | | | | | 英语 | | | | | | | | | |  |
| 1. System documents of client | | | | 客户体系文件 | | | | | 1. Processes reported/certified / 報告/認證的流程  2. Documentation of the client's management system / 客戶管理系統文件 | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 1. **Information about the audit team** | | | | | | | | | | | | | | | | | | | | **审核组信息** | | | | | | | | | |
| Function in audit | | | | | | | | | Name /Registration ID | | | | | | | | | | | | | | | | | Group | | Code (IAF) | |
| 组内身份 | | | | | | | | | 姓名/注册号 | | | | | | | | | | | | | | | | | 分组 | | 专业代码 | |
| Lead auditor | | | | 审核组长 | | | | | ? | | | | | | | | | | | | | | | | | A | | ? | |
| 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 （更多信息） | | | | | - | | | | | | | | | | | | | | | | | | | | |
| 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 | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 1. **Audit details** | | | | | | | | | 審計細節 | | | | | | | | | | | | | | | | | | | | |
| Date | | Time | | | | | 時間 | | Operates /Organization unit | | | | | | | | | | | | | Participants | | | | | | Standard item | |
| start | | | | | end | |
| 日期 | | 開始 | | | | | 結尾 | | 部门/范围（过程） | | | | | | | | | | | | | 参会人员 | | | | | | 标准条款 | |
| 20.03.2023 | | 09:00 | | | | | 09:30 | | 首次会议 Opening meeting | | | | | | | | | | | | | 管理层及相关部门Management and related departments A | | | | | |  | |
|  | | 09:30 | | | | | 9:40 | |  | | | | | | | | | | | | |  | | | | | | 7.1, 8.5 | |
|  | | 9:40 | | | | | 10:30 | |  | | | | | | | | | | | | |  | | | | | | 4.1, 4.2, 4.3, 4.4, 5.1, 5.2, 5.3, 6.1, 6.2, 7.1, 8.1, 9.1, 9.2,9.3，10.2, 10.3 | |
|  | | 10:30 | | | | | 12:00 | |  | | | | | | | | | | | | |  | | | | | | 5.3, 6.1, 6.2, 7.1, 7.4, 8.1, 8.2, 8.5, 8.6, 8.7, 9.1, 10 | |
|  | | 12:00 | | | | | 12:30 | | 午餐 休息 lunch break | | | | | | | | | | | | | A | | | | | |  | |
|  | | 13:00 | | | | | 16:00 | | 商务部 （职责、风险应对措施目标管理、资源、能力、意识、沟通、文件管理、服务过程策划、采购控制、内审，改进） | | | | | | | | | | | | | 商务部/司女士 Department of Commerce/Ms. A | | | | | | 5.3, 6.1, 6.2, 7.1, 7.2, 7.3, 7.4, 7.5, 8.1, 8.2, 8.4, 8.7, 9.1, 9.2, 10 | |
|  | | 16:00 | | | | | 17:00 | | 补充审核、汇总资料 Supplementary review, summary data | | | | | | | | | | | | | 相关部门 Related departments  A | | | | | |  | |
|  | | 17:00 | | | | | 17:30 | | 末次会议  closing meeting | | | | | | | | | | | | | 管理层及相关部门  A | | | | | |  | |
|  | |  | | | | | 17:30 | | 结束审核 the end | | | | | | | | | | | | |  | | | | | |  | |
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| 1. **Clauses** | | | | | | | | | | | | | | | 适用规则 | | | | | | | | | | | | | | |
| 1. At the opening and closing meeting, I ask for the participation of the management responsible for the quality objectives and the reported / certified activity | | | | | | | | | | | | | | | 1. 要求企业负责质量目标和认证相关活动的管理人员参加首末次会议 | | | | | | | | | | | | | | |
| 2. For the duration of the audit, please provide the lead auditor with a guide, due to the knowledge of contacts, locations of the audited places as well as safety and security rules at the client's premises | | | | | | | | | | | | | | | 2. 在审核期间，请向审核组提供一位向导，引导至相关审核部门及审核场所，并告知审核组关于企业安全和保密规则 | | | | | | | | | | | | | | |
| 3. During the audit, agreed breaks are possible (not posing a threat to the achievement of the objectives and the audit result) depending on the organizational and social needs of the client's staff and auditors | | | | | | | | | | | | | | | 3. 在审核期间，根据企业和当地习惯可以与企业商定休息时间，前提是不会对达成目标和审核结果构成威胁 | | | | | | | | | | | | | | |
| 4. If the plan contains information that is out of date or there are other reasons for changing the plan, please report the case immediately | | | | | | | | | | | | | | | 4.如接到的审核计划中信息与实际不符或是其它原因需要变更计划，请立即通知审核组 | | | | | | | | | | | | | | |
| 5. A possible change of the audit plan (e.g. during the opening meeting and the further part of the audit implementation) requires the approval of both parties (client-lead auditor) | | | | | | | | | | | | | | | 5. 如需中途调整审核计划（例如在首次会议或是部分审核过程中）则需要企业与审核组长双方同意 | | | | | | | | | | | | | | |
| 6. The client has the right to raise a justified objection and change the evaluation team in period time. It should be in max 3 days after receiving this plan | | | | | | | | | | | | | | | 6. 客户有权提出合理的理由更換审核组。 更换审核组的要求应在收到审核计划3天之内提出。 | | | | | | | | | | | | | | |
| 7. The results of the audit will be determined within the available, taken samples of available information | | | | | | | | | | | | | | | 7. 審計的結果將在可用信息的樣本中確定。 | | | | | | | | | | | | | | |
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| 1. **Principles of confidentiality and protection  of personal data** | | | | | | | | | | | | | | | 保密和个人信息保护原则 | | | | | | | | | | | | | | |
| All information obtained during the audit by the auditors and other participants of the audit (indicated in the plan) will be used only for the purposes of certification of the management system | | | | | | | | | | | | | | | 审核员和其他审核参与者（在计划中注明）在审核期间获得的所有信息将仅用于管理体系认证的目的。 | | | | | | | | | | | | | | |
| All activities related to the processing of personal data will be processed in accordance with applicable law | | | | | | | | | | | | | | | 所有个人数据将仅在法律规定范围内使用。 | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 1. **Additional information (if applicable)** | | | | | | | | | | | | | | | 附加信息（如果適用） | | | | | | | | | | | | | | |
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| 1. **Approval of the plan** | | | | | | | | | | | | | | | 计划批准 | | | | | | | | | | | | | | |
| Name and surname of lead auditor | | | | | | | | | | | | | | | ? | | | | | | | | | | | | | | |
| The auditor's signature is not required | | | | | | | | | | | | | | | 不需要審核員的簽名 | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **20.** | **Client’s comment** (select the correct one ) | | | | | | | | | | | | | | 客户意见（请选择正确的一项 ☒） | | | | | | | | | | | | | | |
| **First name and surname** | | | | | | | | 姓名 | | | | | | | ? | | | | | | | | | | | | | | |
| **Signature** | | | | | | | | 签字 | | | | | | |  | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **Accepted** | | | | | 接受 | | | | |  | | | | | | | | **Not accepted** | | | | 不接受 | | | | | |  | |
| **Other comments (optional)** | | | | | 其它建议（可选） | | | | |  | | | | | | | | | | | | | | | | | | | |
| Please send back the audit plan with the client's annotations or, alternatively, send only the position regarding the approval of the audit plan. e.g. "Plan is accepted", back to the e-mail address used. | | | | | | | | | | | | | | | | | 请客户填写意见后电子邮件回复，或是仅发送有关审核计划批准的意见，例如，“计划已接受”。 | | | | | | | | | | | | |
| THE END | | | | | | | | | | | | | | | | 文件结束 | | | | | | | | | | | | | |