|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| 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 |
| 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. 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. Realization audit purpose
 | 實現審計目的 | full scope | 全範圍 | [x]  |
| 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 | [x]  |
| 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 | [x]  |
| 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 | [x]  |
|  |
| 1. Result of last audit
 | 上次审核结果 | Non-conformity(s) | 不適用 | 0 |
| 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 | [x]  |
| 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 |
|  |
| 1. **Audit results**
 | 審計結果 |
| **General information** | 申请认证组织概述 |
|  |
|  |
| 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 |
|  |  |  |
| **Chapter 4** | Context of the organization | 组织的背景 | OK | IR | NC |
| 4.1 | Understanding the organization and its context | 了解組織及其背景 | **X** |  |  |
| Comment (optional) | 評論（可選） |
|  |
| 4.2 | Understanding the needs and expectations of interested parties | 了解相關方的需求和期望 |  |  |  |
| Comment (optional) | 評論（可選） |
|  |
| 4.3 | Definition of the scope of the quality management system | 質量管理體系範圍的定義 |  |  |  |
| Comment (optional) | 評論（可選） |
|  |
| 4.4 | Quality management system and its processes | 質量管理體系及其流程 |  |  |  |
| Comment (optional) | 評論（可選） |
|  |
|  |
| **Chapter 5** | Leading | 领导 | OK | IR | NC |
| 5.1 | Leadership and commitment | 領導力和承諾 |  |  |  |
| Comment (optional) | 評論（可選） |
|  |
| 5.2 | Quality policy | 質量方針 |  |  |  |
| Comment (optional) | 評論（可選） |
|  |
| 5.3 | Roles, responsibilities and permissions in the organization | 組織中的角色、職責和權限 |  |  |  |
| Comment (optional) | 評論（可選） |
|  |
|  |
| **Chapter 6** | Planning | 策划 | OK | IR | NC |
| 6.1 | Actions relating to risks and opportunities | 與風險和機遇相關的行動 |  |  |  |
| Comment (optional) | 評論（可選） |
|  |
| 6.2 | Quality goals and planning to achieve them | 質量目標和實現這些目標的計劃 |  |  |  |
| Comment (optional) | 評論（可選） |
|  |
| 6.3 | Planning changes | 規劃變更 |  |  |  |
| Comment (optional) | 評論（可選） |
|  |
|  |
| **Chapter 7** | Assistance  | 支持 | OK | IR | NC |
| 7.1 | Resources | 資源 |  |  |  |
| Comment (optional) | 評論（可選） |
|  |
| 7.2 | Competence | 權限 |  |  |  |
| Comment (optional) | 評論（可選） |
|  |
| 7.3 | Awareness | 意識 |  |  |  |
| Comment (optional) | 評論（可選） |
|  |
| 7.4 | Communication | 溝通 |  |  |  |
| Comment (optional) | 評論（可選） |
|  |
| 7.5 | Documented information | 文件化信息 |  |  |  |
| Comment (optional) | 評論（可選） |
|  |
|  |
| **Chapter 8** | Organization  | 运行 | OK | IR | NC |
| 8.1 | Planning and supervision of operational activities | 業務活動的規劃和監督 |  |  |  |
| Comment (optional) | 評論（可選） |
|  |
| 8.2 | Product and service requirements | 產品和服務要求 |  |  |  |
| Comment (optional) | 評論（可選） |
|  |
| 8.3 | Design and development of products and services | 產品和服務的設計和開發 |  |  |  |
| Comment (optional) | 評論（可選） |
|  |
| 8.4 | Supervision of processes, products and services provided from outside | 對外部提供的過程、產品和服務的監督 |  |  |  |
| Comment (optional) | 評論（可選） |
|  |
| 8.5 | Production and service delivery | 生產和服務交付 |  |  |  |
| Comment (optional) | 評論（可選） |
|  |
| 8.6 | Product and service release | 產品和服務發布 |  |  |  |
| Comment (optional) | 評論（可選） |
|  |
| 8.7 | Supervision of non-compliant outputs | 監督不合規輸出 |  |  |  |
| Comment (optional) | 評論（可選） |
|  |
|  |
| **Chapter 9** | Evaluation of Performance | 绩效评价  | OK | IR | NC |
| 9.1 | Monitoring, measurement, analysis and evaluation | 監測、測量、分析和評價 |  |  |  |
| Comment (optional) | 評論（可選） |
|  |
| 9.2 | Internal audit | 內部審計 |  |  |  |
| Comment (optional) | 評論（可選） |
|  |
| 9.3 | Management review | 管理評審 |  |  |  |
| Comment (optional) | 評論（可選） |
|  |
|  |
| **Chapter 10** | Improvements | 改进  | OK | IR | NC |
| 10.1 | Identifying and selecting opportunities for improvement and implementing necessary actions to meet requirements and increase customer satisfaction | 識別和選擇改進機會並實施必要的措施以滿足要求並提高客戶滿意度 |  |  |  |
| Comment (optional) | 評論（可選） |
|  |
| 10.2 | Nonconformities and corrective actions | 不符合項和糾正措施 |  |  |  |
| Comment (optional) | 評論（可選） |
|  |
| 10.3 | Continuous improvement of the suitability, adequacy and effectiveness of the quality management system | 持續改進質量管理體系的適宜性、充分性和有效性 |  |  |  |
| Comment (optional) | 評論（可選） |
|  |
|  |
| **Unresolved issues (cases)** | 未解決的問題（例） |
| not applicable | 不适用 | [x]  |
| described below | 如下面所描述的 | [ ]  |
|  |
|  |
| **Assessment of the effectiveness of supervision over the documents used** | 對所用文件的監督有效性評估 |
| positive  | 積極的 | [x]  |
| other result (see below) | 其他結果（見下文） | [ ]  |
|  |
|  |
| **Assessment of the effectiveness of supervision over the applied certification marks (if applicable)** | 對申請的認證標誌的監督有效性評估（如適用） |
| first certification | 第一次認證 | [x]  |
| positive  | 積極的 | [ ]  |
| other result (see below) | 其他結果（見下文） | [ ]  |
|  |
|  |  |
| **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 | [x]  |
| other result (see below) | 其他結果（見下文） | [ ]  |
| **-** |
|  |
| **16.** | **Recommendation of audit team** | 審核組推薦 |
| Based on the obtained samples of available information (evidence), the audit results are as follows: | 根據獲取的可用信息（證據）樣本，審計結果如下： |
| **16.1** | **the compliance of the management system with the requirements (audit criteria)** | 管理體係是否符合要求（審核准則） |
| positive  | 積極的 | [x]  |
| other result (see below) | 其他結果（見下文） | [ ]  |
| - |
|  |
| **16.2** | **the effectiveness of the management system in relation to the ability of the management system to meet the applicable requirements and expected results** | 管理體系的有效性與管理體系滿足適用要求和預期結果的能力有關 |
| positive  | 積極的 | [x]  |
| other result (see below) | 其他結果（見下文） | [ ]  |
| - |
|  |
| **16.3** | **the effectiveness of the management system in relation to the processes of internal management audits and reviews** | 管理體系在內部管理審核和審查過程中的有效性 |
| positive  | 積極的 | [x]  |
| other result (see below) | 其他結果（見下文） | [ ]  |
| - |
|  |
| **16.4** | **Appropriateness of the scope of certification** | 新建議的認證範圍 |
| without change | 不變 | [x]  |
| new suggested certification scope | 新建議的認證範圍 | [ ]  |
| - |
| **17.** | **Lead auditor authorization** | 主任審核員授權 |
| **First name and surname** | 姓名 | ? |
| **Signature** | 签字 |  |
|  |
| **18.** | **Appendixes to the audit report** | 審計報告附件 | Quantity | 數量 |
| 1. | Audit plan | 審計計劃 | 1 |
| 2. | Participants list | 參與者名單 |  |
| 4. | Auditor executive report | 審計執行報告 |  |
| 5. | Non-conformity sheet: | 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 |