Audit Plan 审核计划

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| --- | --- | --- | --- |
| Organization:  组织名称： | Hefei Institute of Plasma Physics, Chinese Academy of Sciences  中国科学院合肥物质科学研究院 | | |
| Address:  组织地址： | 350, Shushanhu Rd., Hefei, Anhui P. R. China  中国安徽省合肥市蜀山湖路350号等离子物理研究所内托卡马克实验楼、电源实验楼和超导实验楼 | | |
| Audit Scope:  审核范围： | To be confirmed in main audit.  待正式审核确定 | | |
| Visit Type and Visit Number:  审核类型和访问次数： | V1 | Actual Visit Date:  实际访问日期： | Oct. 8-9, 2018  2018年10月8-9日 |
| Visit Due by Date:  访问到期日期： | N/A | For auditor information only仅供审核员参考 | None |
| Standard(s):  审核标准： | ISO14001:2015(3.5 MD)  OHSAS18001:2007(2.5 MD) | Accreditation Body(s):  认可机构： | UKAS/UNACC |
| EAC Code:  EAC代码： | 18/34.1 | NACE Code:  NACE代码： | 29.5/73.1 |
| TA Code:  技术领域代码： | EM1/EM36/EM45  OH8/OH15 | CNAS Code:  CNAS代码 (小类)： | 仅适用CNAS证书 |
| Audit Team审核组 | Name姓名 | CCAA Qualification No. CCAA注册号 | 须注明：谁是专业审核员和技术领域代码 |
| Audit Team Auditor：  审核组长： | A: Mr. Scott LIAO 廖庶庆 | 2017-N1EMS-1066487  2016-N1OHSMS-2066487 | EM1/EM36/EM45  OH8/OH15 |
| Team Member：  审核组成员： | B: Ms. Janie TANG 汤彩勤 | 2015-N1EMS-2050281  2016-N1OHSMS-2050281 | EM1/OH8 |
| C: Ms. Joanna LU 陆剑虹 | 2018-N1EMS-2052213  2016-N1OHSMS-1052213 | EM1/OH8 |
| Additional Attendees and Roles其他参加者和角色 | 技术专家须注明：专业代码、技术职称或职务，如果在职应注明其服务的单位 | Audit Language:  审核语言： | Chinese/English  中文/英文 |

Audit objectives 审核目的:

To determine conformity of the management system, or parts of it with audit criteria and its确定管理体系或其部分与审核准则的符合性，及其:

* ability to ensure applicable statutory, regulatory and contractual requirements are met确保符合适用的法律法规和合同要求的能力;
* effectiveness to ensure the client can reasonably expect to achieve specified objectives and to identify as applicable areas for potential improvement有效性，以确保客户能够合理期望达成规定的目标，并识别可能改善的适当区域。

| Date  日期 | Time  时间 | Auditor  审核员 | Area / Department / Process / Function  区域/部门/过程/职能 | Key Contact  主要接触人 |
| --- | --- | --- | --- | --- |
| 第一天 | 0850 | All | Arrival on site 抵达现场 |  |
| 0900 | All | Open meeting 首次会议 | N/A |
| 0930 | All | Site tour 审前参观 |  |
| 1015 | All | Top Management Interview 最高管理层交流  - Understanding the organization and its context 理解组织及其环境  - Understanding the needs and expectations of interested parties 理解[相关方](file:///C:\Users\Leon_yin\AppData\Local\Microsoft\Windows\Temporary%20Internet%20Files\Content.Outlook\N5XUT0BM\相关方%20应用%20.pptx)的需要和期望  - Determining the scope of the management system 确定管理体系的范围  - Management system and its processes管理体系及其过程  - Leadership and commitment 领导力和承诺  - Policy 方针  - Organizational roles, responsibilities and authorities 组织的岗位，职责和权限  - Actions to address risks and opportunities 应对风险和机遇的措施  - Resources 资源管理  - Output of Internal audit/ Management review 内部审核/管理评审输出  - Continual improvement 持续改进  - Review of PA audit findings评审预审发现  E: 4.1-4,5.1,5.2,5.3,6.1,6.2,9.1,9.2,9.3,10.1,10.2,10.3;  H: 4.1,4.2,4.3.1,4.3.2,4.3.3,4.5.1,4.5.3,4.5.5,4.6 |  |
| 1100 | A | Legislation identification and compliance evaluation, measuring and monitoring  法规识别,监测及符合性评估  E: 4.1,4.2,6.1.1,6.1.2,6.1.3,6.2.1,6.2.2,8.1,9.1.2,9.3  H: 4.3.2, 4.4.2, 4.4.3, 4.4.4, 4.4.5,4.5.1, 4.5.2, 4.5.3 |  |
| B | Environmental aspects identification and evaluation updating; Actions to address risks and opportunities; objectives, targets and programs  环境因素, 应对风险和机遇的措施,目标指标及管理方案  E: 4.1, 4.2, 4.3, 6.1.1, 6.1.2, 6.1.3, 6.1.4, 6.2.1, 6.2.2  Planning for hazard identification, risk assessment and risk control; OHSAS objectives and programs  危险源辨识、风险评价和控制措施规划，职业健康安全目标和管理方案  H: 4.3.1, 4.3.3,4.4.5,4.5.3,4.5.4 |  |
| C | Purchasing / Sales & Interested Parties  采购中心 / 销售& 相关方影响  PPE management  劳动防护用品管理  E:4.1,4.2,6.1.1,6.1.2,6.2.1,6.2.2,7.2,7.4.1,7.4.2,7.4.3,8.1  H:4.3.1, 4.3.2, 4.4.2, 4.4.3, 4.4.6, 4.4.7, 4.5.1, 4.5.3, 4.5.4 |  |
| 1200 | All | Light working lunch 简便工作午餐 | N/A |
| 1230 | All | Team review内部讨论 | N/A |
| 1300 | All | Continue 继续 |  |
| 1400 | A/B | Continue 继续 |  |
| C | People, Awareness and Competence  人员，意识和能力  DCC-Control of documented information  文控-文件化信息的控制  E: 6.1.6.2,7.2,7.3,7.4,7.5,8.1,8.2,9.1,10;  H: 4.4.1,4.4.2,4.4.4，4.4.5, 4.5.4 |  |
| 1630 | All | Team review内部讨论 | N/A |
| 1730 | All | End第一天审核结束 | N/A |
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| 第二天 | 0830 | All | Arrival on site 抵达现场 |  |
| 0830 | A | Surrounding facility, general site, firefighting management  周边设施，公用工程，消防管理  EHS control in lab  实验楼安环控制  E: 4.1,4.2, 6.1.1,6.1.2,7.1,7.2,7.3,7.4,8.1,8.2,9.1,10.2,10.3  H: 4.3.1, 4.3.3, 4.4.2, 4.4.3, 4.4.6 4.4.7, 4.5.1,4.5.3 |  |
| B | Operational monitoring, accident statistics, analysis and improvement，employee satisfaction survey  运行监控，事故分析及改进  Allowance, Insurance,  津贴，保险, 工时统计  Occupational disease control including physical examination  职业病控制包括体检  H:4.3.1, 4.4.2, 4.4.3, 4.4.6, 4.5.1, 4.5.3, 4.4.4, 4.4.5, 4.5.4 |  |
| C | Waste management, hazardous waste disposal  废弃物管理，危废处置  Emergency preparation and response  应急准备和响应  E: 8.2  H: 4.4.2, 4.4.6, 4.4.7 |  |
| 1200 | All | Light working lunch 简便工作午餐 | N/A |
| 1230 | All | Team review内部讨论 | N/A |
| 1300 | All | Continue 继续 |  |
| 1400 | A/B | Continue 继续 |  |
| C | Management review (管理评审)  Internal audit (内部审核)  Non-conformance and Corrective action (不符合和纠正措施)  Analysis of Data(数据分析)  Continual Improvement (持续改进)  E:9.2.1,9.2.2,9.3,10.1,10.2,10.3  H:4.5.3, 4.5.5, 4.6 |  |
| 1500 | All | Communication audit result with top management (if necessary) 与高层沟通审核结果（必要时）  Summary and preparing report. 总结和准备报告 | N/A |
| 1530 | All | Close meeting 末次会议 | N/A |
| 1630 | All | End on-site audit 现场审核结束 | N/A |

**Notes to Client: 客户注意：**

* Times are approximate and will be confirmed at the opening meeting prior to commencement of the audit.

审核计划的时间为预估安排, 将在开始现场审核前的首次会议中确认。

* SGS auditors reserve the right to change or add to the elements listed before or during the audit depending on the results of on-site investigation.

审核员保留根据现场的实际情况更改或增减计划中审核项目的权利

* A private place for preparation, review and conferencing is requested for the auditor’s use.

请安排一间独立的工作场所作为审核组准备、回顾和讨论时使用。

* Please provide a light working lunch on-site each audit day.

每个审核日请安排现场的简便的工作餐

* Your contract with SGS is an integral part of this audit plan and details confidentiality arrangements, audit scope, information on follow up activities and any special reporting requirements.

审核计划，保密承诺，审核范围，跟进审核信息以及任何特别的报告要求都会作为组织与SGS的合同的组成部分。

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| Plan Developed by  审核计划制定人: | 姓名 廖庶庆 | Date日期 | Sep. 26, 2018 |
| Confirmed by Client 客户确认: |  | Date日期 |  |
| Approved by TM  技术经理批准（仅CNAS证书） |  | Date日期 |  |