Onsite Stage 1 Audit Plan

第一阶段现场审核计划

|  |  |
| --- | --- |
| Organization:组织名称 | Institute of Plasma Physics, Chinese Academy of Sciences（abbreviated as ASIPP）中国科学院合肥物质科学研究院等离子体物理研究所（ASIPP） |
| 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 | Date(s) on site:现场日期： | Sep. 13-14, 20182018年9月13-14日 |
| Audit Team Leader:审核组长： | Team A: Mr. Scott LIAO 廖庶庆2017-N1EMS-10664872016-N1OHSMS-2066487 |
| Team Member(s):审核组成员： | Team B: Ms. Jenie TANG 汤彩勤2015-N1EMS-20502812016-N1OHSMS-2050281Team C: Ms. Fiona CHEN 陈桂芳 |
| Standard(s):标准： | ISO14001: 2015 （2 MD）OHSAS18001: 2007 （1.5 MD） |
| Audit Language:审核语言： | Chinese/English 汉语/英语 |

*Audit objectives: 审核目的*

|  |
| --- |
| The objectives of this audit were本次审核的目的：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 确保客户能够合理预期并实现规定的目标，及识别适当的潜在改进领域的能力。

Specific Objectives of Stage 1 audit 第一阶段审核的特定目的：to obtain pertinent information to provide for stage 2 audit effectiveness and planning; including an evaluation of the client’s location and site specific conditions, a collection of information related to the processes, equipment used and operations within the scope of the management system, levels of control established (particularly in the case of multi-site clients) and identification of key performance or significant aspects and objectives.获得有关信息以确保第二阶段审核的策划和有效实施，包括评价客户的场所和现场特殊情况，收集管理体系范围内与过程、所使用的设备和运作相关的信息，已建立的控制水平（尤其是多场所的客户）和关键绩效或重要因素和目标的识别；to evaluate the state of readiness of the management system for the stage 2 audit, including an evaluation of internal audit and management review planning and performance and a determination of the overall level of implementation of the management system;评估管理体系对接受第二阶段审核是否准备就绪，包括评价内部审核和管理评审的策划和执行，以及确定管理体系实施的整体水平；* to confirm the planned arrangements and resources for the Stage 2 audit.

确认第二阶段审核的计划安排和资源；* to provide feedback to the organization to facilitate continual improvement.

向组织提供反馈以促进持续改进。 |

| 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 | 09:00 | All | Auditor arrival 审核员到达现场 | N/A |
| 09:00 | All | Opening meeting 首次会议 | N/A |
| 09:30 | All | Top management interview最高管理层沟通Scope of certification管理体系认证范围Management commitment 管理承诺Policy/objective management 方针和目标管理Organizational structure, responsibility and authority组织机构、职责和权限Provision of resources / Infrastructure 资源/基础设施的提供Needs and expectations of clients or interested parties顾客和相关方的需求和期望Establishment and implementation situation of 2015管理体系建立和实施情况 |  |
| 10:00 | All | Site Tour 现场参观Onsite verification of key departments QEH planning 关键部门策划 的现场验证Boundary and Utility Facilities, Construction, Facilities Maintenance, Warehouse area 周界和公用设施，设施维护，仓库，办公区域 |  |
| 10:30 | A/C | Planning of management system, include管理体系策划，包括：Obtain, identify and update legal requirements and other requirement 法律和其他要求的获取、识别和更新Checking, include检查，包括：Monitoring and measurements监视和测量Evaluation of compliance with applicable legal and other requirements合规性评估 |  |
| B | Environmental aspect/occupational hazards identification, , objective establishment & achievement, status concerning key operational control and emergency preparation and response, etc. 环境因素，职业危害因素，目标建立及实现程度评审，关键的运行控制及应急准备与响应状况等 |  |
| 12:00 | All | Quick Lunch 午餐 | N/A |
| 12:30 | All | Audit Schedule Review 审核小组会议 | N/A |
| 13:00 | All | Continue 继续 |  |
| 14:30 | A/C | According to 2015 applicable requirements if applicable适用2015要求：Context of the organization 组织环境Needs and expectations of interested parties 相关方的需求和期望Determine the risks and opportunities, and planning the actions to address the risks and opportunities确定风险和机遇，以及策划应对的措施Confirming for stage 2 audit arrangement 确认第二阶段审核安排 |  |
| B | Allowance & insurance, workload statistics,Physical examination, accidents analysis and statistics, 保险及津贴, 工时统计，体检和事故统计分析Human resource & Human Resource 人力资源和培训Document and record control centre 文件和记录控制 |  |
| 16:30 | All | Audit Schedule Review 审核小组会议 | N/A |
| 17:30 | All | End onsite 结束 | N/A |
|  |
| 第二天 | 08:30 | All | Auditor arrival 审核员到达现场 | N/A |
| 08:30 | A/C | EHS requirements from interested parties相关方环境及职业健康安全要求Waste management 废弃物管理Emergency preparedness and response 应急准备和响应 |  |
| B | Top Management / Management Representative最高管理层 / 管理者代表 Internal Audit 内部审核Management Review管理评审Continual Improvement持续改进 |  |
| 12:00 | All | Quick Lunch 午餐 | N/A |
| 12:30 | All | Audit Schedule Review 审核内部讨论 | N/A |
| 13:00 | All | Audit report preparation 准备审核报告 | N/A |
| 14:00 | All | Closing meeting 末次会议 | N/A |
| 15:00 | All | End onsite 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。

|  |  |  |  |
| --- | --- | --- | --- |
| Plan Developed by审核计划制定人: | Scott LIAO 廖庶庆 | Date日期 | Sep. 6, 2018 |
| Confirmed by Client 客户确认: |  | Date日期 |  |