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： | The Tokamak Laboratory Building, Superconducting Test Center and High-Power Electrical Equipment Testing Center in Institute of Plasma Physics, No. 350, Shushanhu Road, Hefei City, Anhui Province, P. R. China  中国安徽省合肥市蜀山湖路350号等离子体物理研究所内托卡马克实验楼、超导测试中心和电源测试中心 | | |
| Audit Scope:  审核范围： | Development and manufacture of superconducting tokamak systems and related research on plasma physics experiments  Development, assembly and test of fusion reactor components  Development of fusion power supplies, coil power supplies and microwave power supplies  Provision of the short-circuit current test, temperature rise test and performance test on electrical devices  超导托卡马克系统研发、制造和相关等离子物理实验研究  聚变堆部件研发、组装和测试  聚变电源、磁体电源和微波电源研发  提供电气设备的短路、温升及控制性能测试 | | |
| Visit Type and Visit Number:  审核类型和访问次数： | 第一次监督审核 V2 | Actual Visit Date:  实际访问日期： | Oct. 10-11, 2019  2019年10月10-11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(2 MD)  OHSAS18001:2007(2.5 MD) | Accreditation Body(s):  认可机构： | UKAS/UNACC |
| EAC Code:  EAC代码： | 19/34 | NACE Code:  NACE代码： | 31.62/ 73.1/ 74.3 |
| TA Code:  技术领域代码： | EM1/EM36/EM45  OH8/OH15 | CNAS Code:  CNAS六位代码： | 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: Mr. Dieter DOU 窦亚峰 | 2018-N1EMS-1055249  2017-N1OHSMS-1055249 | EM1/OH8 |
| C: Ms. Joanna LU 陆剑虹  只参加第一天审核 | 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 | 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 |  |
| 1015 | All | Site tour 审前参观 |  |
| 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 | 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 |  |
| 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  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 |  |
| 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 | 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 |
| 1330 | All | Close meeting 末次会议 | N/A |
| 1500 | 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

* At the on-site audit, the products manufacture and/or services provision within the scope of certification shall be in a normal operation status, including key shifts.

现场审核时，认证范围内的产品制造和服务提供应处于正常运作状态，包括关键班次。

* 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. 25, 2019 |
| 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 |  |