

## ANNEX TO PROPOSAL – ACCELERATED AUDIT

### 合同附件-加速审核

Document #: F101-7-ENCN

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Annex to Proposal 合同的附件 #: \_\_\_\_\_

Client's name 客户名称: \_\_\_\_\_

Please be advised that the following information provides the necessary details on the “Accelerated” audit process. This program provides the option of conducting a “back-to-back audit” for Stage I and Stage II activities, meaning that upon **successful completion** of the Stage I activity, the audit team will proceed immediately with the Stage II activity. However, it also means that if the first activity is **not successful**, the audit team will not be authorized to proceed to Stage II. It is **important** to note that in this situation your organization will incur a penalty equal to the fees applicable to the Stage II activity, as per the above-referenced proposal, plus any additional cost associated to the audit team travel arrangement.

请注意以下信息，提供了“加速”审核流程必要的详细说明。该程序提供了针对第一和第二阶段审核实施“背靠背审核”的选择，这意味着在第一阶段审核**成功完成之后**，审核组将立即进行第二阶段审核。然而，这也意味着如第一阶段审核**不成功**，审核组将不被授权进行第二阶段审核。**非常重要**的是请注意，在这种情况下，依照以上提及的合同，再加上审核组差旅的其他任何支出费用，贵公司将承担相当于适用于第二阶段审核的费用。

It is to be noted that this program is not recommended for combined audits of integrated management systems audits, unless your organization has previous experience with the implementation of the integrated system.

请注意该程序不推荐用于结合管理体系审核的结合审核，除非贵组织之前已经有结合管理体系实施的经验。

In order to minimize the risks associated with a back-to-back Stage I / Stage II activity, Intertek will perform an off-site review of your organization's documentation, internal audit results and records of management review at least four (4) weeks before the on-site visit (unless otherwise agreed upon with Intertek). Unsatisfactory results for the review of these documents could indicate the possibility of a significant misinterpretation of the requirements of the audit criteria (certification standard), indicating that your organization is not ready for an on-site audit. It could therefore prevent the interruption of the on-site activity after Stage I.

为了尽可能减少背靠背第一/第二阶段审核的相关风险，Intertek 将在现场审核实施至少 4 周之前，对贵公司的体系文件，内部审核结果以及管理评审记录实施一次非现场评审（除非贵公司与 Intertek 另有约定）。对于这些文件评审的结果如不符合要求，这可能表明有对审核准则（认证标准）的要求存在重大误解的可能性，表明贵公司尚未准备实施现场审核。因此，这可防止第一阶段审核之后现场活动的中止。

The process for the on-site audit activity is the following:

以下是现场审核活动流程：





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1. The audit team proceeds with a formal opening meeting.  
审核组进行正式的见面会。
2. The audit team proceeds with a regular Stage I activity (including the review of the documentation, as applicable).  
审核组进行常规的第一阶段审核（包括文件评审，如适用）。
3. At the end of Stage I, the following activities will take place:  
第一阶段结束时，将发生以下情形：
  - a. If the results are **satisfactory**, the Audit team will hold a “**confirmation**” meeting with the organization to report the results of the Stage I activity and to confirm that it will proceed with the Stage II activity.  
如果结果**符合要求**，审核组将举行“**确认**”会议，与公司确认第一阶段审核结果报告，以及确认将进行第二阶段审核。
  - b. If the results are **not satisfactory**, the Audit team will proceed with a formal closing meeting to let the organization know why it will **not proceed** with the Stage II activity and to tentatively schedule the next visit  
如果结果**不符合要求**，审核组将进行正式的总结会，让公司知道为何**不能进行**第二阶段审核以及暂定的下一次的拜访时间。
4. In both cases, a formal report will be prepared and issued to the organization.  
在这两种情况下，正式的报告都将编制并发给公司。

In all cases, the audit team will inform your organization of its right to dispute the audit team’s decision.  
同时，审核组都将通知贵公司，其有对审核组决定提出异议的权利。

Conditions that may lead the audit team to not proceed with the Stage II activity include, but are not limited to, the following:

以下是可能导致审核组不能进行第二阶段审核的条件，但不仅限于此：

1. If the results of the Stage I activity indicate that information provided by the client regarding the scope of the management system, processes, location(s)/site(s), work shifts, number of employees of the client, and related statutory and regulatory aspects and compliance (i.e. quality, environmental and legal aspects of the client’s operations, associated risks, etc) is inaccurate to the point that the activity cannot take place as per the preliminary plan;  
如果第一阶段审核结果表明客户提供的关于管理体系范围，过程，地址/场所，工作班次，客户的员工人数以及相关法律法规方面遵守情况（即：客户运行的质量，环境和法律方面的情况，相关风险等等）不准确，以至于第一阶段不能依照初步计划举行；



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2. If the results of the Stage I activity provide a clear indication of a significant misunderstanding by the client of the requirements of the audit criteria (certification standard), indicating that the client is not ready for the Stage II activity;  
如果第一阶段审核结果表明客户有对审核准则（认证标准）的要求存在重大误解，表明贵公司尚未准备实施现场审核；
3. If the corrective actions deemed necessary as a result of the above-mentioned off-site documentation review activity have not been satisfactorily implemented;  
如果以上提及的非现场文件评审结果认为有必要的纠正措施还未圆满实施；
4. If the applicable legal and regulatory requirements have not been properly identified;  
如果适用的法律法规要求尚未准确识别；
5. In the case of EMS audits: if the significant environmental aspects have not been properly evaluated and/or identified;  
针对 EMS 审核：如果重大环境因素尚未准确评估和/或识别；
6. In the case of OHSMS audits: if the hazards have not been properly identified and/or if the risks have not been properly assessed;  
针对 OHSMS 审核：如果危险源尚未准确识别和/或如果风险等级尚未准确评估；
7. In the case of both EMS and OHSMS audits: If a compliance audit has not been completed  
针对 EMS 以及 OHSMS 审核：如果合规性评审没有完成（参考：ISO 14001:2004 4.5.2 条款和 OHSAS 18001:2007 4.5.2 条款）
8. In the case of combined audits of integrated management system audits, failure to satisfy one of the conditions specified above for any of the standards/audit criteria covered by the scope of the management system may lead to the interruption of the audit after the Stage I activity  
针对结合管理体系审核的结合审核，未能满足上述规定的条件可能会导致第一阶段审核之后现场审核的中止，这些条件是管理体系范围所覆盖的任何标准/审核准则。

By signing this document, the client recognizes and accepts the risks inherent with a back-to-back activity, and agrees to the conditions defined above.

该文件一经签署，表明客户认可和接受背靠背审核的内在风险，并同意上述规定的条件内容。

**Intertek**

**Client 客户:** \_\_\_\_\_



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Signature 签字: \_\_\_\_\_

Name 姓名: \_\_\_\_\_

Title 职位: \_\_\_\_\_

Date 日期: \_\_\_\_\_

Signature 签字: \_\_\_\_\_

Name 姓名: \_\_\_\_\_

Title 职位: \_\_\_\_\_

Date 日期: \_\_\_\_\_