Audit Preparation Document 审核准备文件

The purpose of this document is to provide you with guidance on preparing for a TfS audit, and to act as a support tool for the auditor during the audit. In this document you will find the following information:
此文件是为供应商准备TFS审核的指引，同时，它也是审核员准备审计的支持工具。 在此文件中包含以下内容：

1. General Information: *Complete this general information about your site.*
基本信息： 填写企业的基本信息

2. Audit Preparation Checklist: *Lists the steps you need to take before an audit.*
审核准备检查表： 在审核前需要完成的几个步骤

3. Document List: *Documents that may be requested by the auditor during an audit (Sections for: Management, Environment, Health & Safety, Labour & Human Rights and Governance). Please indicate which of these documents are available, if documents are not available please suggest alternative documents. Note that auditors have the right to request and review other documents that are not included in the list.*
文件清单： 审核期间需要提供给审核员的文件（包含： 管理， 环境， 健康安全， 劳工及人权， 企业治理 ）。请说明所需文件是否有可用文件可提供或替代 。请注意， 审计员有权要求审查不包括在列表中的其它文件。

Please send the completed document back to the auditor before the audit takes place.
(When printing please ensure you select the entire workbook (7 pages))
打印时请选择整个工作簿 （7 页 ）

General Information 基本信息

Facility Details 工厂信息			
Company Name: 企业名称：		Duns/Tax number: 税号：	
Parent Company Name: 母公司名称：			
Contact Person: 联系人：		Phone number: 联系方式：	
Address (Street, number): 地址（街道，门牌号）：			
City: 城市：		Zip Code: 邮政编码：	
State/ Province: 市/省		Country: 国家：	
Email: 邮箱：			

Audit Preparation Checklist 审核准备检查表

Below is a summary of the actions that should be completed prior to a TfS audit. Please confirm that these steps have been completed.
以下是TFS审核前需要完成的事项清单 。请确保以下步骤已完成。

Activity 行动	Completed? 已完成?
Audit firm has been selected from preapproved auditor list and contractual terms agreed 与审核公司签订合约条款，审核公司指派审核员	
Data sharing agreement signed and sent to the (lead) auditor 数据共享协议签署并发送给审核员	
Audit date, incl. starting and completion times, agreed with the audit firm and confirmed by you 与审核公司确认审核日期，包括审核开始和结束时间	
(Lead) Auditor informed about relevant safety requirements, e.g., need for personal protective equipment (PPE) 告知审核员相关审核安全要求，例如需要提供的个人防护用品等	
A list of the most hazardous materials and their maximum permitted quantities sent to the (lead) auditor 向审核员提交重大危险材料及其最大允许数量的清单	
A site map and floor plan(s) of the production site and relevant buildings sent to the (lead) auditor 向审核员提交路线图，厂区平面图与生产区域分布图	
Access to all site areas and relevant documentation ensured for the (lead) auditor 确认审核员对企业所有区域及相关文件均有访问权限	
Management and employees informed and briefed about audit date and focal points 通知管理人员和相关员工，简要介绍相应审计日期和议题	
Availability of management and key staff ensured for the audit day(s) 确认审核期间企业管理层和主要负责人的可用性	
Union or worker representatives informed about the audit 通知工会或员工代表	
Room for the auditor (team) provided 准备可供审计员（团）使用的工作室	
Send this completed document (in full) to the (lead) auditor 完整填写此文件并在审核前发给审核员	

Document List: **Management**
管理

Indicate whether the documents below are available. Add comment if an alternative document will be provided.

Document 文件	Available? 有可用文件?	Alternative / Comment 其他可替代文件/ 诠释
Management in Charge 管理责任		
Organizational chart (including names and responsibilities) 组织结构图 (包括姓名和责任)		
Role/task description (for each position listed in the organizational chart) 职责/任务描述 (针对组织结构图中列出的每个职位)		
Management Systems, Policies & Continual Improvement 管理体系，政策和持续改善策略		
Third party certificates, e.g. in relation to - Quality Management (e.g. ISO 9001) - Good Manufacturing Practices (e.g. GMP ISO 22716) - Environmental Management (e.g. ISO 14001, EMAS) - Occupational Health and Safety (e.g. OHSAS 18001) - Labor Standards (e.g. SA 8000) - Other 第三方证书, 例如: -质量管理 (例如 ISO 9001) -良好生产规范 (例如 GMP ISO 22716) -环境管理 (例如 ISO 14001, EMAS) -职业健康及安全 (例如 OHSAS 18001) -劳工标准 (例如 SA 8000) -其他		
Documented management commitment/policies regarding sustainability issues, e.g. in relation to - Environmental Management - Safety, Health, and Security Management - Labor Conditions and Employee Relations - Community Relations - Anti-Corruption and Compliance to law - Quality Management 关于可持续性问题的文件化管理承诺/ 政策, 如关系到： -环境管理 -安全, 健康以及安保管理 -劳动条件与员工关系 -社区关系 -反贪污与遵守法律 -质量管理		
(Third Party) certificates/other relevant documents that demonstrate compliance with relevant regulations, e.g. in relation to: - Environmental Management (e.g. ISO 14001, EMAS) - Occupational Health and Safety (e.g. OHSAS 18001) - Labor Standards (e.g. SA 8000) - Community Relations - Anti-Corruption and Compliance to law - Good Manufacturing Practices (e.g. GMP ISO 22716) - Quality Management (e.g. ISO 9001) 证明符合有关规定的（第三方）证书/其他相关文件,例如: -环境管理(例如 ISO 14001, EMAS) -职业健康及安全 (例如 OHSAS 18001) -劳工标准 (例如 SA 8000) -社区关系 -反贪污与遵守法律 -良好生产规范 (例如 GMP ISO 22716) -质量管理 (例如 ISO 9001)		
Documented targets to improve performance in sustainability areas considered relevant by the company, e.g. - Environmental Management - Safety, Health, and Security Management - Labor Conditions and Employee Relations - Community Relations - Anti-Corruption and Compliance to law - Quality Management 公司在可持续性领域的文件化目标，如 -环境管理 -安全, 健康以及安保管理 -劳动条件与雇员关系 -社区关系 -反贪污与遵守法律 -质量管理		
Documented performance indicators and reports with regard to the monitoring of carriers, suppliers, distributors, customers, contractors, and third party providers e.g. in relation to - Environmental Management - Safety, Health, and Security Management - Labor Conditions and Employee Relations - Anti-Corruption and Compliance to law - Quality Management 关于监测承运人，供应商，分销商，客户，承包方和第三方供应商的记录性业绩指标和报告 -环境管理 -安全, 健康以及安保管理 -劳动条件与雇员关系 -社区关系 -反贪污与遵守法律 -质量管理		

Document List: **Management**
管理

Indicate whether the documents below are available. Add comment if an alternative document will be provided.

Document 文件	Available? 有可用文件?	Alternative / Comment 其他可替代文件/ 诠释
Report on nonconformities compiled by third party auditors 第三方审计人员编辑的不合格报告		
Training培训		
Documented procedure for identification of training needs 确定培训需求的程序记录		
Process description to review training needs and adapt training accordingly 审查培训需求，并适当描述相应的培训过程		
Training schedules 培训时间表		
Statistics of all personnel trained vs. total employees 所有进行培训人员与员工总数比例的统计		
Training documentation (incl. attendance list) of training provided to employees /contractors/third party workers, e.g. in relation to - Environmental Management - Safety, Health, and Security Management - Labor Conditions and Employee Relations - Community Relations - Anti-Corruption and Compliance to law - Quality Management 为员工/承包商/第三方工人提供培训的的培训文件及记录 (包含出席人员名单), 如关系到: -环境管理 -安全, 健康以及安保管理 -劳动条件与雇员关系 -社区关系 -反贪污与遵守法律 -质量管理		
Business Partners / Supplier & Contractor Management 业务合作伙伴/供应商与承包商管理		
Supplier and contractor portfolio overview (including origin of suppliers) 供应商与承包商概述（包含供应商的来源）		
Supplier Code of Conduct and evidence of adherence 供应商行为准则与遵守准则的证据		
Records of supplier / contractor selection and evaluation 供应商/承包商选择及评价记录		
Records of supplier / contractor audits and consequences 供应商/承包商评审及评审跟进记录		
Information material / trainings provided to suppliers / contractors 提供给供应商/承包商的信息材料/培训		
Process to cross-check against international/regional/national sanction party lists (e.g. lists related to product risks (e.g. arms and weapons) or country risks (e.g. terrorism)) 对国际/区域/国家制裁名单进行交叉核对的程序（如，关于生产风险（如武器）或国家风险（如恐怖主义））		

Document List: **Environment**
环境

Indicate whether the documents below are available. Add a comment if an alternative document will be provided.

TOGETHER FOR SUSTAINABILITY

Document 文件	Available? 有可用文件？	Alternative / Comment 其他可替代文件 / 诠释
Environmental Compliance符合环保要求		
National legislation and relevant permits / licenses with regard to environmental protection relevant to the site, e.g. in relation to: - emissions to air or ODS - wastewater management & waste - nuisance (noise and odor) - land use and biodiversity - contamination - spills or other discharge of hazardous substances, chemicals or waste - storage or use of hazardous substances 企业关于环境保护的国家立法许可或许可证，如关系到 -污染物排放到空气或臭氧层 -废水管理与浪费 -损害（噪音与气味） -土地使用与生物多样性 -污染 -泄漏或其他有害物质，化学物质或废弃物的排放 -有毒有害物质的储存与使用		
Waste废弃物		
Records or reports on the types of waste produced by the site 企业所产生废弃物类型的记录或报告		
Permits, e.g. in relation to: - legally approved waste disposal facility - waste handling - waste contractor license 废弃物排放许可，如关系到 -经法律认可的废物处理设施 -废弃物处理 -废弃物处理承包商的许可证		
Certification of professional waste management of external waste contractors外部废弃物承包商的废弃物处理资质证书		
Audit reports of external waste contractors 外部废弃物承包商的审计报告		
Water and Wastewater		
Relevant licenses/permits, e.g. for water extraction or discharging wastewater相关许可证/许可，如取水许可证或废水排放证明		
Documented samples/tests of wastewater 废水的采样/测试文件		
Documented on-site water use (by water source) 现场用水记录（水源）		
Documented procedures established and followed for water management		
Documented targets and monitoring results to reduce water consumption		
Documented protection concepts for wastewater effluents and leakages (wastewater data report) 关于废水排放及泄漏方面的应急保护措施 （废水数据报告）		
Soil and Groundwater土壤及地下水		
Documented impact assessment with regard to site operations on soil and groundwater (e.g. groundwater contamination) 关于土壤和地下水的环境影响评估文件 （如地下水污染）		
Documented procedures to reduce impacts on soil and groundwater 减少对土壤和地下水影响的程序文件		
Emissions to Air and Climate Change 空气废气排放与气候变化		
Emission data report, e.g. - emission sources - types of emissions to air identified - fugitive emissions 排放数据报告，例如: -排放源 -废气类型 -无组织排放		
Documented procedures established and followed for emission measurement废气排放量的确定与遵守的程序文件		

Document 文件	Available? 有可用文件？	Alternative / Comment 其他可替代文件/ 诠释
Documented emission reduction program for greenhouse gas emissions (including reduction targets and monitoring results) 温室气体排放量的减排计划文件 (包括减排目标和监测结果)		
Documented samples/tests of emissions to air废气采样/测试记录		
Inventory of equipment that contains ozone depleting substances 含有消耗臭氧物质的设备清单		
Energy 能源		
Documented monitoring and tracking of energy consumption 能源消耗与追踪记录		
Documented share of renewable energy out of total consumption 可再生能源使用率的份额记录		
Site energy audit reports 现场能源审计报告		
Land Use and Biodiversity 土地利用与生物多样性		
Documented impact assessment with regard to site operations on designated protected areas or the ecosystem (plants, animals and microorganisms) 企业运营对指定保护区或生态系统的环境影响评估文件 （植物，动物和微生物)		
Documented control measures to minimize impacts on land use and biodiversity尽量减少对土地使用以及生物多样性影响的文件化的管制措施		
Nuisance (Noise and odor) 滋扰（噪声和气味）		
Documented procedures to manage/reduce potential harm from nuisance 管理/减少潜在危害的文件化程序		
Noise map/documentation of potential sources of noise 噪声源的分布图/记录		
Odor map/documentation of potential sources of odor 气味源的分布图/记录		
Documented systems or procedures for managing/reducing the potential of the site to cause nuisance 管理/减少引起潜在滋扰的程序文件		
Instances of complaints due to noise an odor 因噪音和气味引起的投诉保险		
Hazardous Substances 有害物质		
Hazardous Substances Inventory 有害物质清单		
Documented procedures/policies on storage, labelling and handling / use of containers for hazardous materials 关于危险品的存储，标识与处理/使用的程序文件/政策		
Incident reports and consequences with regard to leakages, spills or other unintended discharge of hazardous substances, materials to the environment 有害物质/材料泄露或意外排放事故报告		

Document List: **Health & Safety**
健康&安全

Indicate whether the documents below are available. Add comment if an alternative document will be provided.

TOGETHER FOR SUSTAINABILITY

Document 文件	Available? 有可用文件？	Alternative / Comment 其他可替代文件 / 诠释
Product Safety 产品安全		
Registration of products according to the destination country's legal requirements, e.g.: - REACH (Europe) - TSCA (US) 根据目的地国家的法律要求进行的产品注册，例如: - REACH (欧洲) - TSCA (美国)		
Material Safety Data Sheet (MSDS) for all hazardous materials, substances, raw materials, intermediates and final products 所有有害物质，物质，原料，中间体和最终产品的物料安全数据表（Material Safety Data Sheet - MSDS）		
Documented procedures to acquire Material Safety Data Sheets (MSDS) from suppliers 获取供应商提供的材料安全数据表（MSDS）的程序		
Transportation Safety 运输安全		
Documented policy/procedure for safe transport of chemicals 化学品运输安全的政策/程序		
Documents for consignment of dangerous goods 危险品托运单证		
Documented policy/procedures/checklists for loading and unloading operations 装卸作业政策/程序/检查表		
Documented policy/procedures/checklists for filling and discharging operations 灌装和放电操作政策/程序/检查表		
Shipping documents 运输单据		
Process Safety and Storage 工艺安全和存储		
National regulations for processing and storage of hazardous substances 有害物质加工和存储的国家规范		
Permits to process and store or use hazardous substances 储存和使用危险物质（特别是有毒以及剧毒物质）的许可证		
Documented policy/procedures/checklists to manage hazardous substances, i.e. to ensure process safety and storage 有害物质管理的政策/程序/检查表		
Documented policy/procedures/checklists to label and separate hazardous substances 有害物质标识与分离的政策/程序/检查表		
Pipe & Instrumentation Diagrams / Documents (P&IDs) 工厂管件，仪器平面图		
Schedule for maintenance and inspection 维护及检查计划表		
Documentation of formalized safety reviews 正式的安全检查文件		
Specifications (e.g. pipe service index) for materials and components 材料和零部件的规格（如管道服务指数）		
Documentation on ex-classifications 前分类文件		
List of substances and quantities currently in stock 库存清单		
Occupational Health and Safety		
Risk (Exposure) Assessment on OHS risks 职业健康安全风险评估以及预防措施		
Documented measures taken to control/mitigate identified risks 对已识别风险的控制措施		
OHS and hygiene manual and/or procedures 职业健康安全和卫生手册/程序		
Records of accidents 事故记录		
Records of work-related injuries 工伤记录		
Documented measures to prevent accidents 安全事故应急预案		
Documented+A29:A31 policy/procedures defining use of Personal Protective Equipment (PPE) 个人防护用品（PPE）使用规定/程序		
Documented policy/procedures defining handling of hazardous substances 有害物质处理的政策/程序		
Documented policy/procedures defining manufacturing instructions 安全生产操作说明		

Document List: **Health & Safety**
健康&安全

Indicate whether the documents below are available. Add comment if an alternative document will be provided.

Document 文件	Available? 有可用文件？	Alternative / Comment 其他可替代文件 / 诠释
Rules and procedures on entering specific facilities only with a confined space entry permit, e.g. in relation to - confined space entry - hot work - elevated work - groundbreaking - high voltage '必须持有受限空间准入证方可进入设施的出入规定 /程序, 例如: '-进入受限空间 -热作业 -高处作业 -动土作业 -高电压操作		
Emergency Preparedness 应急响应		
Written emergency procedures/emergency evacuation plan 书面的紧急预案/紧急疏散计划		
Site emergency response/evacuation plan 现场紧急响应/疏散计划		
Fire drill record 消防演习记录		
Documented inspection of all fire fighting equipment (e.g. alarms)/certificates所有消防设施（如报警）检查记录/ 证书		
Medical Care 医疗保健		
Documented medical care programs for employees, e.g. prevention programs 职工医疗档案（职业病档案），例如预防计划		
Security 保安		
Description of the site security, e.g. - organizations involved - tasks to be performed 生产现场保安职责，例如: - 组织参与 - 要执行的任务		

Document List: **Labour & Human Rights**

Indicate whether the documents below are available. Add comment if an alternative document will be provided.

TOGETHER FOR SUSTAINABILITY

Document 文件	Available? 有可用文件？	Alternative / Comment 其他可替代文件/ 诠释
Child Labor 童工		
National legislation with regard to child labor (definition minimum age, definition of hazardous work) 关于童工的法律法规（最小年龄的定义，危险岗位的定义）		
Company policy on young workers and/or apprenticeships (if applicable) 对未成年工和/或学徒的公司政策（如适用）		
Birth certificates/ID cards 出生证明或身份证		
List of children/young workers 童工/未成年工名单		
Documented communication to staff and interested parties concerning child labor policies and procedures 关于将童工政策及程序传达给雇员与利益相关方的证明文件		
Labor contracts (sample), records of wage payments, accounts, etc. provided by the company 劳动合同，工资记录等		
Records or timetables of work/transport/school time 工作时间表		
Information/ policy for your supplier with regard to young workers 关于对供应商的未成年工管控信息 /政策		
Forced and Compulsory Labor 强迫劳动		
Labor contracts (sample) 劳动合同		
Security guards policy 保安制度		
Working Hours 工作时间		
Records of hours worked, e.g. - time card - attendance records 工作时间记录，例如: - 时间卡 - 考勤记录（需提供最近13个月的考勤记录）		
Compensation policy/scheme 福利政策		
Minimum Wages 最低工资		
Payroll records (including paid annual, maternity and sick leave) 工资记录（包括有薪年假，产假和病假）		
Labor contracts (sample) 劳动合同（样本）		
Freedom of Association 自由结社		
Documents related to building of institutional structures that represent workers 员工代表选举程序/工会相关文件		
Company trade union representatives' meeting protocols of past year 过去一年的公司工会代表大会协议 （如有）		
Documented policy/procedures against discrimination 反歧视政策/程序		
Records documenting cases of discrimination 歧视案件的记录		
Company slogans against discrimination 企业反歧视口号		
Job announcements 招聘公告		
Documented grievance mechanism for workers to report cases of discrimination 员工申诉歧视案件的机制		
Procedures to encourage employment of women, e.g. - part-time - flexible hours 鼓励妇女就业的程序，例如: - 兼职 - 灵活的工作时间		

Document 文件	Available? 有可用文件？	Alternative / Comment 其他可替代文件/ 诠释
Workforce statistics, e.g. - presence of minorities - disabled persons - women in management 劳动力统计数据，例如: - 少数民族人数 - 残疾人 - 管理层女性		
Code of behavior/company statements forbidding physical/verbal/psychological/sexual abuse of workers and encouraging denouncement 行为守则/公司禁止虐待工人并鼓励揭发的声明		

Document List: **Governance**
企业治理

Indicate whether the documents below are available. Add a comment if an alternative document will be provided.

Document 文件	Available? 有可用文件?	Alternative / Comment 其他可替代文件/ 诠释
Business Integrity 商业诚信		
Policy or documented commitment of top management to prevent corruption/bribery/fraud 高层管理人员防止腐败/贿赂/欺诈的政策或书面承诺		
Records of any legal proceedings, e.g. - cases of corruption - cases of bribery 任何法律诉讼的记录, 例如: -腐败案件 -贿赂案件		
Documented internal reporting procedure on business integrity 关于廉政的内部报告程序		
Documented internal controls, e.g. - multiple-eyes principle - separation of functions - job rotation 关于商业诚信的内部管控文件, 例如: -多眼原则 -职责分离 -工作岗位轮换		
Records of hints/complaints received in past year 在过去的一年里收到暗示/投诉商业诚信的记录		
Training records with regard to corruption/bribery/fraud 关于反腐败/反贿赂/反欺诈的培训记录		
Documented whistle blowing process, e.g. - internal/external whistleblower hotline - appointment of compliance partners/ombudsmen - measures in place to protect whistleblowers (e.g. confidentiality agreements, protection against sanctions) 文件化的举报, 例如: -内部/外部举报热线 -合规性合作伙伴/申诉专员的任命 -保护揭发人的措施(比如秘密协议，反对制裁保护)		
Special risk areas as concerned; policy and measures to: - prevent sourcing from civil war zones - check and suspend business partners against sanction party lists (arms, weapons, terrorism) - ensure animal health and welfare 对于特别存在风险的地区采取的措施与政策： -防止从内战地区采购资源 -检查与暂停与反制裁名单中（武装，武器，恐怖组织）的商业伙伴合作关系 -确保动物健康与福利		
Confidentiality agreements with customers in relation to contracted products and projects under development (sample) 与客户在合同约定产品和正在开发项目的保密协议 (样本)		
Documented policy on fair business, including advertising and competitive marketing 公平交易的政策文件，包括广告和竞争营销		
Record of measures to promote fair business 促进公平交易的措施记录		
Disciplinary and Complaint Procedures 纪律和投诉程序		
Documented disciplinary procedures to prevent corporal punishment, physical coercion, verbal abuse 禁止体罚，身体胁迫，辱骂的纪律处分程序		
Documented complaint/grievance/appeals procedures 投诉/申诉程序的记录		
Records of breaches of the company disciplinary policy 违反公司纪律政策的记录文件		

Document List: **Governance**
企业治理

Indicate whether the documents below are available. Add a comment if an alternative document will be provided.

Document 文件	Available? 有可用文件?	Alternative / Comment 其他可替代文件/ 诠释
Records of appeals against disciplinary procedures and their outcome 对纪律处分程序及其结果提出上诉的文件		