

Preparatory Review and Audit Plan

Organization: [27475] - Audit: [04/2018]

Audit objectives are:

- determination of the conformity of the client's management system, or parts of it, with audit criteria
- evaluation of the ability of the management system to ensure the client organization meets applicable statutory, regulatory and contractual requirements
- evaluation of the effectiveness of the management system to ensure the client organization is continually meeting its specified objectives, and
- as applicable, identification of areas for potential improvement of the management system

Standards – Version – Audit type:

ISO 14001:2015 – Initial Audit (IA)

Audit scope of the Organization:

PROVISION OF HOTEL SERVICES: ACCOMODATION, RESTAURANT AND BAR, CONFERENCE FACILITIES AND OTHER RELATED SERVICES.

Sites to certify or certified: *(do not complete for individual sites)*

- REX HOTEL - A member of SAIGONTOURIST
- 141 Nguyen Hue Blvd., District 1, HO CHI MINH CITY VIET NAM
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Specific points to audit arising from previous audit:

None

Existence of a complaint from any source recorded by the certification body that should be addressed during this audit:

- N.A

Documents supplied and analysed:

- Yes, environmental manual / organization structure & production flow chat are reviewed

Comments or problems observed during this preparatory review:

- None

The document review has been carried out:

on the client's premises

from our offices

Sampling programme adopted in the following audit plan (for example: process, sites or activities that will be assessed by sampling):

The coming audit is based on following sampling:

| Sites Sampling | Shift work | Surveillance audit 1 done Sep 2015 | Surveillance audit 2 done Sep 2016 | Certification Audit planned Apr 2018 | Surveillance audit 1 planed in Apr 2019 | Surveillance audit 2 planed in Apr 2020 |
|---|--|---|---|---|---|---|
| Hotel | 8 hour (08.00-17.00)/7 working days 1 shift | All elements and processes of Management System excluding Admin. & HR, HK & Reception, Accounting | All elements and processes of Management System excluding sales, F&B (Kitchen & Restaurant ...) | All processes, activities with the full scope | All elements and processes of Management System excluding Admin. & HR, HK & Reception, Accounting | All elements and processes of Management System excluding sales, F&B (Kitchen & Restaurant ...) |
| <u>Sampling for permanent sites:</u> n/a | n/a | n/a | n/a | n/a | n/a | n/a |
| <u>Sampling on Temporary sites:</u> n/a | n/a | n/a | n/a | n/a | n/a | n/a |
| | | | | | | |
| | | | | | | |
| Sampling by processes for shift works with transmission instruction if necessary | | | | | | |
| n/a | n/a | n/a | n/a | n/a | n/a | n/a |
| | | | | | | |

AUDIT PLAN

Lead Auditor (LA): Nguyen Chi Thanh Audit date: 19, 20 Apr. 2018

Auditor 1 / Ref (A1): N/A No. of audit days on site: 2 man-days

| Date / time | Specify the names of sites audited and process/services concerned | Standard clause | | | Audit team | |
|--------------------------|--|-----------------|---|--|------------|--|
| | | Q | S | E | | |
| Date: 19 Apr 2018 | | | | | | |
| 08:30 09:00 | OPENING MEETING / HỌP KHAI MẠC <ul style="list-style-type: none"> - Introduction of Members / Giới thiệu đoàn đánh giá - Audit scope and objectives / Mục đích và phạm vi của cuộc đánh giá - Audit and Report Method / Phương pháp đánh giá - Audit Plan Review / Thảo luận kế hoạch đánh giá | | | x | LA | Top management & relevant managers Đội diện BGD Khách sạn, Các Trưởng Phòng/Bộ phận liên quan |
| 09:00 10:00 | SITE TOUR / ĐÁNH GIÁ HIỆN TRƯỜNG Audit team & Environmental Team/PIC take site tour at the areas around the Factory for checking (E.g. Production, waste WH, waste water treatment system, warehouses ...) <ul style="list-style-type: none"> - Environmental aspects/Impacts - Operation Control (Resource use, Waste control & treatment, chemical control, subcontractor control....) - Emergency preparedness and response | | | 6.1.2 8.1 8.2 | LA | Senior Management, Leader of Environmental Section |
| 10:00 14:00 | Top management & Environmental Team, focus on key management processes: <ul style="list-style-type: none"> - Understanding of the organization and its context - Understanding the needs and expectations of interested parties - Determining the scope of the environmental management system - Leadership and commitment - Environmental policy - Environmental Objectives, Targets & Planning actions to achieve environmental objectives - Environmental Aspects & Impacts - Compliance obligations - Actions to address risks and opportunities - Resource, roles, responsibility & authority - Training, awareness & competence - Communication - Documented information - Operational planning and control - Emergency preparedness and response - Monitoring, measurement, analysis and evaluation - Evaluation of compliance - Non Conformance and Corrective and preventive action - EMS Audit - Management Review - Continual improvement - Verification the action from previous audit's findings - Use of the CB logo | | | 4.1 4.2 4.3 5.1 5.2 5.3 6.1 6.2 7.1 7.2 7.3 7.4 7.5 8.1 8.2 9.1 9.2 9.3 10.1 10.2 10.3 | LA | Senior Management & Environmental Section Đội diện BGD Khách sạn, Ban Môi trường Trần Thị Minh Hạnh Vũ Ngọc Lộc |

| Date / time | Specify the names of sites audited and process/services concerned | Standard clause | | | Audit team | |
|--------------------------|--|-----------------|---|--|------------|---|
| | | Q | S | E | | |
| Date: 19 Apr 2018 | | | | | | |
| 14:00 16:00 | Admin. & HR Dept. (including Fire Fighting Team), focus on key processes as human resource management (training, recruitment, appointing ...), parking, IT, security, emergency response ... <ul style="list-style-type: none"> - Environmental Aspects & Impacts - Compliance obligations - Determination of related risks & opportunities - Actions to address risks and opportunities - Environmental Objectives, Targets & Planning actions to achieve environmental objectives - Resource, roles, responsibility & authority - Training, awareness & competence - Operational planning and control - Emergency preparedness and response - Monitoring, measurement, analysis and evaluation - Non Conformance and corrective action - Continual improvement. | | | 5.3 6.1 6.2 7.1 7.2 8.1 8.2 9.1 10 | LA | Admin. & HR Dept. (including Fire Fighting & Security Team) Hành chính Nhân sự, bao gồm đội PCCC, Bộ V Nguyễn Thị Bích Hà Trần Anh Sơn |
| 16:00 17:00 | Sales & Finance, focus on key processes sale, purchase, payment ... <ul style="list-style-type: none"> - Environmental Aspects & Impacts - Compliance obligations - Determination of related risks & opportunities - Actions to address risks and opportunities - Environmental Objectives, Targets & Planning actions to achieve environmental objectives - Operational planning and control - Emergency preparedness and response - Monitoring, measurement, analysis and evaluation - Non Conformance and corrective action - Continual improvement. | | | 6.1 6.2 8.1 8.2 9.1 10 | LA | Sales, Finance Dept. Phòng Kinh doanh, Kế toán Phạm Công Dũng Trần Chánh Trung |
| Date: 20 Apr 2018 | | | | | | |
| 08:30 10:00 | Engineering Dept, focus on key processes as maintenance, operation of power/water supply, waste water treatment, waste management, environment monitoring ... <ul style="list-style-type: none"> - Environmental Aspects & Impacts - Compliance obligations - Determination of related risks & opportunities - Actions to address risks and opportunities - Environmental Objectives, Targets & Planning actions to achieve environmental objectives - Operational planning and control - Emergency preparedness and response - Monitoring, measurement, analysis and evaluation - Non Conformance and corrective action - Continual improvement | | | 6.1 6.2 8.1 8.2 9.1 10 | LA | Engineering Dept Phòng Kế thuật Nguyễn Đức Chi |

| Date / time | Specify the names of sites audited and process/services concerned | Standard clause | | | Audit team | |
|----------------|---|-----------------|---|---------------------------------------|------------|---|
| | | Q | S | E | | |
| 10:00 12:00 | F&B (Kitchen & Restaurant ...), focus on key processes as cooking, catering, warehousing, maintenance ... <ul style="list-style-type: none"> - Environmental Aspects & Impacts - Compliance obligations - Determination of related risks & opportunities - Actions to address risks and opportunities - Environmental Objectives, Targets & Planning actions to achieve environmental objectives - Operational planning and control - Emergency preparedness and response - Monitoring, measurement, analysis and evaluation - Non Conformance and corrective action - Continual improvement | | | 6.1 6.2 8.1 8.2 9.1 10 | LA | F&B (Kitchen & Restaurant, Bar ...) Bàp, Nhà hàng ... Nguyễn Mạnh Hùng Đoàn Từ Thiện |
| 13:00 15:00 | HK and Reception, focus on housekeeping, cleaning, warehousing ... <ul style="list-style-type: none"> - Environmental Aspects & Impacts - Compliance obligations - Determination of related risks & opportunities - Actions to address risks and opportunities - Environmental Objectives, Targets & Planning actions to achieve environmental objectives - Operational planning and control - Emergency preparedness and response - Monitoring, measurement, analysis and evaluation - Non Conformance and corrective action - Continual improvement. | | | 6.1 6.2 8.1 8.2 9.1 10 | LA | HK and Reception Phòng & Lễ Tân Phan Thị Quế Châu Phạm Tố Nga |
| 15:00 16:00 | Audit team meeting Auditors self-work for preparation the report | | | x | LA | Audit Team |
| 16:00 17:00 | CLOSING MEETING Audit Findings Confirmation of findings, scope End of audit | | | x | LA | Top Management & Related Managers/Leader |

Notes:

- Lunch may be taken on site to suit company's timetable/schedule (now 12:00 – 13:00).
- The above timings are for guidance only, they may be changed in suitable with actual progress, at the discretion of the auditor.
- These items will be audited in all departments: 4.1, 4.2, 5.3, 7.1, 7.3, 7.4, 7.5, 9.1, 10

Audit plan draft established on 12 Apr 2018

Plan reviewed on 19 Apr 2018

Audit plan as carried out

The audit plan as carried out should be enclosed as an appendix to the final audit report.