



INSTRUCTION FOR DETERMINING AUDIT TIME

Document Code	BQT.01
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1. PURPOSE

The purpose of this instruction is to explain the principles for determining the initial certification, surveillance and recertification audit times of the organizations applying for ISO 9001, ISO 14001, ISO 45001, ISO 22000, ISO/IEC 27001 and ISO 50001 systems certification by ASCERT.

2. DEFINITIONS

3. APPLICATION

3.1. Man / day periods for ISO 9001 audits are calculated according to Table.1:

Number of Employee	Audit time of Initial Certification (man/days) Stage I + Stage II	Number of Employee	Audit of Initial Certification (man/days) Stage I + Stage II
1-5	1.5	626-875	12
6-10	2	876-1175	13
11-15	2.5	1176-1550	14
16-25	3	1551-2025	15
26-45	4	2026-2675	16
46-65	5	2676-3450	17
66-85	6	3451-4350	18
86-125	7	4351-5450	19
126-175	8	5451-6800	20
176-275	9	6801-8500	21
276-425	10	8501-10700	22
426-625	11	>10700	It shall be calculated in a similar way above.

Table.1: Man/day time for ISO 9001 audits,
(IAF MD 5 was taken as reference in the preparation of this table)


Factors for increasing:

- More than one location
- Building area, infrastructure, interpreter require, internal laboratory analysis.
- Complexity of the processes
- Very large site for the number of personnel
- High degree of regulation
- Activities considered to be of high risk

Factors for decreasing:

- Design and development activities
- Simple processes
- High level of automation
- Working place is small in comparison to number of employees,
- Personnel have simple and similar tasks
- Maturity of management system
- Management system certified by ASCERT
- If the complexity and risk group is low

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In the initial ISO 9001 certification audits;

- In cases where stage 1 audit is required to be carried out on site, maximum 30% of the total audit period
- In cases where stage 1 audit is not required to be on site, maximum 20% of the total audit time should be reserved.

3.2. Man / day periods for ISO 14001 audits are calculated according to Table.2:


Number of Employee	Audit time of Initial Certification (man/days) Stage I + Stage II levels of complexity			
	High	Medium	Low	Limited
1-5	3	2.5	2.5	2.5
6-10	3.5	3	3	3
11-15	4.5	3.5	3	3
16-25	5.5	4.5	3.5	3
26-45	7	5.5	4	3
46-65	8	6	4.5	3.5
66-85	9	7	5	3.5
86-125	11	8	5.5	4
126-175	12	9	6	4.5
176-275	13	10	7	5
276-425	15	11	8	5.5
426-625	16	12	9	6
626-875	17	13	10	6.5
876-1175	19	15	11	7
1176-1550	20	16	12	7.5
1551-2025	21	17	12	8
2026-2675	23	18	13	8.5
2676-3450	25	19	14	9
3451-4350	27	20	15	10
4351-5450	28	21	16	11
5451-6800	30	23	17	12
6801-8500	32	25	19	13
8501-10700	34	27	20	14
>10700	It shall be calculated in a similar way above.			

Table.2: Man/day time for 14001 audits (level of complexity)
(IAF MD 5 was taken as reference in the preparation of this table)

In environmental management system applications, information received from organizations is evaluated in accordance with Table.4 and the "Complexity Category" of the organization is determined.

For organizations in the Special Cases category, during the planning of the audits, a special evaluation is made by contacting the relevant organization.

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Factors for increasing:

- More than one location
- Building area, infrastructure, interpreter require, internal laboratory analysis.
- Complexity of the processes
- Very large site for the number of personnel
- Higher sensitivity of environment
- Unusual environmental aspects
- High degree of regulation
- Activities considered to be of high risk

Factors for decreasing:

- Simple processes
- High level of automation
- Working place is small in comparison to number of employees
- Personnel have simple and similar tasks
- Maturity of management system
- Management system certified by ASCERT
- If the complexity and risk group is low

In the initial ISO 14001 certification audits;

- In cases where stage 1 audit is required to be carried out on site, maximum 30% of the total audit period
- In cases where stage 1 audit is not required to be on site, maximum 20% of the total audit time should be reserved.

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3.4. Man / day periods for ISO 45001 audits are calculated according to Table.3:

Number of Employee	Audit time of Initial Certification (man/days) Stage I + Stage II levels of complexity		
	High	Medium	Low
1-5	3	2.5	2.5
6-10	3.5	3	3
11-15	4.5	3.5	3
16-25	5.5	4.5	3.5
26-45	7	5.5	4
46-65	8	6	4.5
66-85	9	7	5
86-125	11	8	5.5
126-175	12	9	6
176-275	13	10	7
276-425	15	11	8
426-625	16	12	9
626-875	17	13	10
876-1175	19	15	11
1176-1550	20	16	12
1551-2025	21	17	12
2026-2675	23	18	13
2676-3450	25	19	14
3451-4350	27	20	15
4351-5450	28	21	16
5451-6800	30	23	17
6801-8500	32	25	19
8501-10700	34	27	20
>10700	Yukarıda belirtilen değerlere uygun olarak hesaplanacaktır		

Table.3: Man/day time for 45001 audits (level of complexity)
(IAF MD 5 was taken as reference in the preparation of this table)

In occupational health and safety management system applications, information received from organizations is evaluated in accordance with Table.5 and the "Complexity Category" of the organization is determined.

Factors for increasing:

- Complicated logistics involving more than one building or location where work is carried out, e.g. a separate Design Centre must be audited.
- Staff speaking in more than one language (requiring interpreter(s) or preventing individual auditors from working independently).
- Very large site for the number of personnel (e.g. a forest).
- High degree of regulation (e.g. food, drugs, aerospace, nuclear power, etc.).
- System covers highly complex processes or relatively high number of unique activities.
- Activities that require visiting temporary sites to confirm the activities of the permanent site(s) whose management system is subject to certification.
- Views of interested parties,

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- Rate of accidents and occupational diseases higher than average for the business sector,
- If the members of the public are present on the organization's site (e.g. hospitals, schools, airports, ports, train stations, public transport),
- The organization is facing legal proceedings related to OH&S (depending on the severity and impact of risk involved),
- The temporary large presence of many (sub)contractors' companies and their employees causing an increase in complexity or OH&S risks (e.g. periodical shutdowns or turnaround of refineries, chemical plants, steel manufacturing plants, and other large industrial complexes),
- Where dangerous substances are present in quantities exposing the plant to the risk of major industrial accidents, in accordance with the applicable national regulations, and/or risk assessment documentation,
- Organization with sites included in the scope in other countries than the mother site country (if legislation and language are not well known).

Factors for decreasing:

- Very small site for number of personnel (e.g. office complex only).
- Maturity of management system.
- Prior knowledge of the client management system (e.g. already certified to another standard by the same CAB). For OH&SMS this means already certified in another voluntary OH&SMS scheme.
- Client preparedness for certification (e.g. already certified or recognized by another 3rd party scheme). For OH&SMS this means already subject to periodical audits by the National Authority for a mandatory governmental OH&SMS scheme.

In the initial ISO 45001 certification audits;

- In cases where stage 1 audit is required to be carried out on site, maximum 30% of the total audit period
- In cases where stage 1 audit is not required to be on site, maximum 20% of the total audit time should be reserved.


3.5. While calculating the audit durations, maximum 20% of the audit period specified in Table-1 and Table 2 before / after the audit preparation (planning, reporting, etc.) and min. 80% of it is calculated to be the actual inspection in the field.

The discount to be made; the audit period should not exceed 30% of the 80% of the period that will pass in the field.

3.6. Approximately 1/3 of the audit period of initial certification is assigned for surveillance audits, and 2/3 of it is assigned for recertification.

3.7. In case of situations within the scope of increase and decrease factors, the number of audit man / days can be decreased or increased. In any case, the reduction rate cannot exceed 30%.

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3.8. When calculating the number of audit man / day, seasonal workers, part-time employees and subcontractors are considered as full-time personnel and added directly to the number of employees of the organization.

3.9. For integrated audits, the reduction in audit periods is determined according to IAF MD 11.

3.10. The effective number for employees in shifts is calculated based on the number of employees at the time of the audit.

3.11. The time spent by any team member (candidate auditors, technical experts, interpreters, observers) who is not assigned as an auditor to the number of audit man / day is not included in the audit period.

3.12. Each Auditor has to work for at least 8 hours during the audit.

3.13. When calculating the number of audit man / day, if the result is decimal, the man / day time is rounded to the multiples of 0.5 man / day. Example If the calculated man / day is 5.3, it is rounded to 5.5 man / day, if the calculated man / day is 5.2, then it is rounded to 5 man / day.

3.14. The ISO 22003 standard is based on the calculation of the food safety management system audit period.

3.15. The ISO/IEC 27006 standard is based on the calculation of information security management system audit duration.

3.16. The Energy management system audit period is based on the ISO 50003 standard.

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Table.4: Examples of Linkage between Business Sectors and Complexity Categories of Environmental Aspects

Complexity category	Business Sector
High	<ul style="list-style-type: none"> – mining and quarrying – oil and gas extraction – tanning of textiles and clothing – pulping part of paper manufacturing, including paper recycling processing – oil refining – chemicals and pharmaceuticals – primary productions – metals – non-metallic processing and products covering ceramics and cement – coal-based electricity generation – civil construction and demolition – hazardous and non-hazardous waste processing, e.g. incineration, etc. – effluent and sewerage processing
Medium	<ul style="list-style-type: none"> – fishing/farming/forestry – textiles and clothing except for tanning – manufacturing of boards, treatment/impregnation of wood and wooden products – paper production and printing, excluding pulping – non-metallic processing and products covering glass, clay, lime, etc. – surface and other chemically-based treatment for metal fabricated products, excluding primary production – surface and other chemically-based treatment for general mechanical engineering – production of bare printed circuit boards for electronics industry – manufacturing of transport equipment – road, rail, air, ships – non-coal-based electricity generation and distribution – gas production, storage and distribution (note: extraction is graded high) – water abstraction, purification and distribution, including river management (note: commercial effluent treatment is graded as high) – fossil fuel wholesale and retail – food and tobacco processing – transport and distribution by sea, air, land – commercial estate agency, estate management, industrial cleaning, hygiene cleaning, dry cleaning normally part of general business services – recycling, composting, landfill (of non-hazardous waste) – technical testing and laboratories – healthcare/hospitals/veterinary – leisure services and personal services, excluding hotels/restaurants
Low	<ul style="list-style-type: none"> – hotels/restaurants – wood and wooden products, excluding manufacturing of boards, treatment and impregnation of wood – paper products, excluding printing, pulping, and paper making – rubber and plastic injection moulding, forming and assembly, excluding manufacturing of rubber and plastic raw materials that are part of chemicals – hot and cold forming and metal fabrication, excluding surface treatment and other chemical-based treatments and primary production – general mechanical engineering assembly, excluding surface treatment and other chemical-based treatments – wholesale and retail – electrical and electronic equipment assembly, excluding manufacturing of bare printed circuit boards
Limited	<ul style="list-style-type: none"> – corporate activities and management, HQ and management of holding companies – transport and distribution management services with no actual fleet to manage – telecommunications – general business services, except commercial estate agency, estate management, industrial cleaning, hygiene cleaning, dry cleaning – education services
Special Cases	<ul style="list-style-type: none"> – nuclear – nuclear electricity generation – storage of large quantities of hazardous material – public administration – local authorities – organizations with environmental sensitive products or services, financial institutions

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Table.5: Examples of Linkage between Business Sectors and Complexity Categories of OH&S Risks

Complexity category	Business Sector
High	<ul style="list-style-type: none"> - fishing (offshore, coastal dredging and diving) - mining and quarrying - manufacture of coke and refined petroleum products - oil and gas extraction - tanning of leather and leather products - dyeing of textiles and clothing - pulping part of paper manufacturing including paper recycling processing - oil refining - chemicals (including pesticides, fabrication of batteries and accumulators), and pharmaceuticals - manufacturing of fiberglass - gas production, storage and distribution - electricity generation and distribution - nuclear - storage of large quantities of hazardous material - non-metallic processing and products covering ceramics, concrete, cement, lime, plaster, etc. - primary productions of metals - hot and cold forming and metal fabrication - manufacturing and assembly of metal structures - shipyards (depending on the activities could be medium) - aerospace industry - automotive industry - manufacturing of weapons and explosives - recycling of hazardous waste - hazardous and non-hazardous waste processing e.g. incineration etc. - effluent and sewerage processing - industrial and civil construction and demolition (including building completion with electrical, hydraulic and air conditioning installation activities) - slaughter houses - transport and distribution of dangerous goods (by land, air and water) - defence activities/crisis management - healthcare/hospitals/veterinary/social works
Medium	<ul style="list-style-type: none"> - aquaculture (breeding, rearing, and harvesting of plants and animals in all types of water environments) - fishing (offshore fishing is high) - farming/forestry (depending on the activities could be high) - food, beverage and tobacco – processing - textiles and clothing except for dyeing - leather and leather product except for tanning - manufacturing of wood and wooden products including manufacturing of boards, treatment/impregnation of wood - paper production and paper products excluding pulping - non-metallic processing and products covering glass, ceramics, clay, etc. - general mechanical engineering assembly - manufacturing of metallic products - surface and other chemically based treatment for metal fabricated products excluding primary production and for general mechanical engineering (depending on the treatment and the size of the component could be high) - production of bare printed circuit boards for electronics industry - rubber and plastic injection moulding, forming and assembly - electrical and electronic equipment assembly - manufacturing of transport equipment and their repairs - road, rail and air (depending on the size of the equipment, could be high) - recycling, composting, landfill (of non-hazardous waste) - water abstraction, purification and distribution including river management (note commercial effluent treatment is graded as high) - fossil fuel wholesale and retail (depending on the amount of fuel, could be high) - transport of passengers (by air, land and sea) - transport and distribution of non-dangerous goods (by land, air and water) - industrial cleaning, hygiene cleaning, dry cleaning normally part of general business services - research & development in natural and technical sciences (depending on the business sector could be high). Technical testing and laboratories

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	<ul style="list-style-type: none"> - hotels, leisure services and personal services excludes restaurants - education services (depending on the object of teaching activities could be high or low)
Low	<ul style="list-style-type: none"> - corporate activities and management, HQ and management of holding companies - wholesale and retail (depending on the product, could be medium or high, e.g. fuel) - general business services except industrial cleaning, hygiene cleaning, dry cleaning and education services). - transport and distribution - management services with no actual fleet to manage - engineering services (could be medium depending on type of services) - telecommunications and post office services - restaurants and campings - commercial estate agency, estate management - research & development on social sciences and humanities - public administration, local authorities - financial institutions, advertising agency

4. RELATED DOCUMENTS AND REFERENCES

5. REVISION INFORMATION

Rev. Date	Rev. No	Item No	Rev. Descriptions
09.07.2013	01	-	IAF MD 5 and MD 9 Revision
15.10.2016	02	-	Transition of TS EN ISO / IEC 17021-1: 2015
01.02.2017	03	-	Adding man days for transition to 2015 version
18.05.2019	04	3.3	Article 3.3 has been added regarding the calculation of audit periods.
01.02.2021	05	-	ISO 27001, ISO 50003 and ISO 22003 requirements have been added.
01.03.2021	06	-	ISO 45001 requirements have been added.

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