

# 审核活动工作人日管理要求

## Audit Duration Management Requirements

### 1 目的 Purpose

为了进一步规范认证审核活动，加强审核工作的管理，根据强制性文件“IAFMD5:2015《QMS和EMS审核时间》”，CNAS-CC11：2018《多场所组织的审核与认证》（IAF MD01）IAF MD22:2018，“CNAS-CC105：2016 管理体系审核时间(QMS、EMS、OHSMS)”，《质量管理体系认证规则》的要求，编制本作业指导书。

Establishing this working instruction is to further regulate certification audit activity and enhance the audit management based on the IAFMD5:2015, CNAS-CC11：2018（IAF MD01），IAF MD22:2018, CNAS-CC105:2016 and quality management system certification rule.

### 2 适用范围 Applicable scope

适用于公司质量/环境/职业健康安全管理体系领域认证审核活动工作人日的管理要求。

It applies to the management requirement of audit duration for the certification of quality/environment/occupational and health safety management system.

### 3. 职责 Responsibility

3.1 审核部项目管理人员负责依据本管理要求对认证审核活动工作人日进行策划；

Audit programme management personnel of audit department are responsible for planning on the audit duration according to this management requirement.

3.2 审核组长依据审核策划的人日数要求编制审核计划。

Lead auditor makes the audit plan in accordance with the requirement of the planned duration.

### 4. 工作程序 Procedures

4.1 管理体系初审审核时间确定原则

Determination principles on the initial audit duration of management system

4.1.1 初审审核时间及现场审核时间的选择取决于诸多因素，应着重考虑的情况有：

Determination of initial audit duration and on-site duration depends on many factors, it shall consider following factors:

a) 受审核方经营活动类型； Type of audited party's operating activity;

b) 生产方式（单一、复杂、品种、类型）；

Production ways (simple, complicated, item, type);

c) 管理体系的成熟度; Maturity of management system;

d) 管理体系的整合程度; Level of integration for management system;

e) 是否存在多现场以及多现场的抽样量;

Whether the organization has multi sites and sampling quantity;

f) 法律法规的要求; Requirements of statutes and regulations;

g) 组织管理体系覆盖的产品、活动、过程和服务的环境因素、危险源及风险评价的复杂程度和风险;

Product, service and process and the environment aspects of service and process and hazardous origin, as well as the complexity of risk evaluation and risk covered by organization management system;

h) 是否存在扩项或其他需要增加审核力度和范围因素;

Whether it needs to increasing scope or other factors which need to increasing audit efforts and scope.

i) 相关方有意见的。Interested party's comments

j) 工程建设施工企业质量管理体系需考虑审核组增加相应审核人日以覆盖 ISO9001 和 GB/T50430.

#### 4.1.2 审核时间的确定方法: Determining methods of audit duration

a) 公司应为审核组安排足够的审核时间, 确保审核的有效性。对于所有类型的审核, 公司需要在合同评审过程中综合考虑各方面的因素对审核时间可能产生的影响确定审核时间。

Our company shall arrange sufficient duration for audit team to ensure the effectiveness of audit, and our company shall determine the audit duration by considering all kinds of factors during the contract review for all types of audit.

b) 初次审核(第1阶段+第2阶段)、监督审核和再认证审核的审核时间计算以附件1(适用于QMS)和附件2(适用于EMS)中和附件3(适用于OHSMS)的图表为基础。确定审核时间时, 除了考虑人员数量外, 实施有效审核所需的时间还取决于其他因素(具体见Form5104-2表的描述)。涉及EMS和OHSMS审核人日策划, 应按照合同评审给出的风险等级进行策划, 并根据每个项目的具体情况对审核人日进行调整, 审核方案管理人员不可以为了最终想获得的审核人日, 对审核人日的调整比例进行推算, 而是应该根据项目的实际情

况对审核人日进行合理比例的调整。

The duration calculation of initial audit (including stage 1 and stage 2), surveillance and recertification is based on the chart of the Annex 1 (apply to QMS), the Annex 2 (apply to EMS) and the Annex 3 (apply to OHSMS). When determine the audit duration, the effective audit should consider the number of organization's employee and other factors (details see the Form5104-2). As for the EMS and OHSMS audit time planning, it should comply with the risk level which evaluated by the contract reviewer, it should consider the specific factors of the clients and calculate a reasonable audit time, audit justifications should not be back calculated to derive the required audit time.

#### 4.1.3 基准审核时间的确定 Determination of based audit duration

审核部项目管理人员应针对每个客户确定策划审核所需的基准时间，具体执行附件 1-3 的规定。Audit programme management personnel plan the duration for each specific client, based on the regulations of Annex 1 to 3.

#### 4.1.4 审核时间的增减 Increase and reduction of audit duration

a) 审核部项目管理人员应针对每个客户并根据附件 1-3 表后“注”中的规定，确定策划审核所需的时间，并记录所确定的时间的合理性（包括增加和减少审核时间的理由），但考虑到所有因素，对减少某个组织的初次审核、监督或再认证审核人日的总量不能大于审核人日时间表中要求的审核人日时间的 30%。

Audit programme management personnel determine the reasonable duration for each client based on the Annex 1-3, and records the judgment duration (including judgment of increase and reduction reason), for all audits, the duration reduction can not exceed 30% of total duration such as initial, surveillance or re-assessment.

b) 用于策划与准备以及编写报告的审核时间不宜使总的现场审核时间少于附件1-3表所列时间的80%。需要更多的时间来进行策划和（或）编写报告不是减少现场审核时间的理由。

The on-site audit duration can not less than 80% of the annex chart 1 to 3 due to the time used for planning, it's unacceptable to reduce the on-site audit duration because of needing more time to prepare the audit plan and / or complete the audit report.

c) 如果审核时间少于附件1-3表中给出的时间，公司应确定减少的理由。

If audit duration is less than the provided time in annex 1-3, our company shall define the reasons of

reduction.

4.2 管理体系初审（第 1 阶段+第 2 阶段）审核时间的要求：

Requirements of initial audit duration for management system (stage1 and stage2) :

4.2.1 审核部应针对每个认证项目的性质和风险等级，在充分考虑受审核组织管理体系、过程、活动和产品/服务等方面的特性及其复杂性因素的基础上，根据本文 4.1.3 有关审核时间增减的原则确定合理的审核时间，包括为确保有效地完成管理体系的第一、二阶段审核，合理的分配审核时间。

Audit department shall determine the reasonable audit duration with regard to the based on the characteristics and risk degree of each audit project, and fully consider the characteristics and complexity of organization management system, process, activity and product/service etc, audit department shall reasonably assign the audit duration for the stage 1 and the stage 2 to ensure the effective audit.

In any case, increasing the stage1 duration can not be the reason for reducing the stage 2 duration.

4.2.3 第一阶段现场审核 Site audit of the stage 1

对于多数需在受审核组织的现场实施第一阶段管理体系认证审核的情况，审核部应针对受审核组织的特点、规模和复杂程度，合理的策划和确定所需的审核时间。通常情况下，第一阶段现场审核所需的审核时间不宜少于 1 个审核人日。对于人数较少、风险较低的受审核组织可适当降低至 0.5 个人日。

As for most of application organization which the stage 1 need to be implemented on the site, audit department shall reasonably plan and determine the audit duration according to organization's characteristic, scale and complexity. Generally, the on-site audit duration of stage 1 shall not be less than one man day, for some few employee and low risk, the stage 1 audit duration can be 0.5 man-day.

4.2.4 第二阶段现场审核 On Site audit of stage 2

第二阶段现场审核所需的审核时间，应基于第二阶段审核的目的、范围和程度，并结合第一阶段审核的结果，包括对可能影响第二阶段有效审核的潜在因素给予充分的考虑，保持充分的证据和记录以证实审核所用时间的合理性。通常情况下，第二阶段审核所用审核时间不宜低于第一阶段和第二阶段总的现场审核时间的 70%。

The stage 2 audit duration shall based on the scope and extent of the stage 2, and combining with

the results of the stage 1 including the sufficient consideration on the potential elements that may affect effectiveness of the stage 2, keeping sufficient evidence and record to prove the rationality of the planned duration, Generally, the duration used for the stage 2 shall not be less than 70% of the total duration.

#### 4.3 监督审核和再认证的时间 Surveillance and recertification duration

4.3.1 在初始的三年认证周期中，对获证组织实施监督审核的时间，宜与初次认证审核（第 1 阶段+第 2 阶段）的时间成比例，即每年实施监督审核的总时间约为初次认证审核时间的三分之一。同时应考虑组织所发生的变化，体系成熟程度等因素，对监督审核时间进行策划。所策划的监督审核时间应时常得到审查（至少在每次监督审核或再认证时），实施该审查（包括任何对审核时间的调整）的证据应得到记录。

In the preliminary certification cycle with three years, the duration of surveillance for certified organization shall be in proportion to the duration of initial certification audit (the stage 1 and the stage 2), that is, the duration of surveillance in every year is about one third of the initial audit duration. Meanwhile, the duration of surveillance shall be planned according to the changes of organization, system maturity etc. And the planned time shall be reviewed frequently (at the time of each surveillance and recertification at least), also the evidence on this review's implementation (including any adjustment for audit duration) shall be recorded.

4.3.2 如果组织在初次审核和随后的监督期间向认证机构证实了其管理体系的稳定性，并持续满足标准要求的能力，认证公司可据此减少监督审核时间，但对这种情况必须有书面的理由陈述和公司领导的批准；

If organization has proved the stability of its management system and the capacity that it can continually meet the standard requirements to certification body in initial audit and following surveillances, certification body can reduce surveillance time based on that, but it must provide the written reason presentation and top management approval.

4.3.3 再认证审核时间应根据更新的客户信息和管理体系绩效的评价结果进行计算。通常做法是：假设基于更新的信息对组织实施初次认证审核或再认证时组织的情况与初次认证审核时相同，再认证审核时间约为该初次审核所需时间的2/3。

The duration of recertification shall be calculated according to the updated client information and the evaluation result of management system performance. The general method is: on the assumption

that organization's situation on implementing initial audit and recertification based on the updated information is same as initial certification audit, and the recertification duration is about two thirds of total duration of initial audit.

4.3.4 对获证组织第二个认证周期及其以后的认证周期，公司审核项目管理人员可根据组织管理体系的绩效设计个性化的监督和再认证方案，但审核时间若缩减到低于基准水平的70%，则应在实施前说明理由并向认可机构寻求特别批准。如果不采用高级监督和再认证程序，宜根据第4.3.1条和第4.3.2 条来计算审核时间。

For the second certification cycle and its following certification cycle, the audit programme management personnel shall design the special surveillance and recertification programme in accordance with the performance of organization's management system. But if the audit duration reduction is lower to 70% of basis time, it shall explain the reasons and seek the special approval of accreditation body before implementation. It's more suitable to calculate the audit duration based on clause 4.3.1 and 4.3.2 if the advanced surveillance and recertification procedures not used.

#### 4.4 临时场所和多场所的审核时间 Additional location and multi-site audit duration

4.4.1 如果认证申请方或获证客户在临时场所提供其产品（包括服务），该临时场所应被纳入审核方案。审核部项目管理人员应根据本文 4.1.3 有关审核时间的要求和计算方法确定合理的每个场所（包括中心办公室）的人日数。

If application organization or certified client provides its product (including service) in additional location, the additional location shall be taken into account of the audit programme. The audit programme management personnel shall determine the suitable duration for each location including the office based on the clause 4.1.3 requirement and method.

4.4.2 如果中心办公室和（或）地方场所不适用标准的某些条款，可以考虑减少人日数，每次减少人日数时应记录减少人日数的理由。但对进行大多数过程或关键过程的场所进行审核时，人日数不能减少。

If some standard clauses not apply for the office or location, it can be considered to reduce the duration and record the reason for each reduction. But for the audit on sites of main processes or key processes, the audit duration shall not be reduced.

4.4.3 初次审核和监督所用的总时间为用在每个场所和中心办公室的时间之和。

The total time used for initial audit and surveillance is the sum of the time of each location and

central office audit.

#### 4.5 结合审核的人日数 The duration of integration audit

4.5.1对两个或多个管理体系的结合审核人日数的确定（例如: A + B + C），认证机构须:

To determine the audit time for an audit of an IMS covering two or more management system standards/specifications, e.g. A + B + C, the Certification Body shall:

a) calculate the required audit time for each management system standard specification separately (applying all relevant factors provided for by the relevant application documents and/or scheme rules for each standard, e.g., IAF MD5, ISO/TS 22003, ISO/IEC 27006);

分别计算出每一管理体系所需的审核人天（需考虑到针对每一管理体系涉及到的应用文件与策划准则中所规定的因素，例如: IAF MD5, ISO/TS 22003, ISO/IEC 27006）

b) calculate the starting point T for the duration of the audit of the IMS by adding the sum of the individual parts (e.g.  $T = A + B + C$ );

计算出多个管理体系的结合审核人日数的起始点T，即为每一管理体系所需要的人日数相（ $T=A+B+C$ ）;

c) adjust the starting point figure by taking into account factors that may increase or reduce (see Annex 4) the time required for the audit.

考虑附件4中所涉及的增减因素调整起始数值

The factors for reduction shall include but are not limited to:

认证机构可考虑到下列因素(不限于)来减少人日数:

The extent to which the organization's management system is integrated;

组织管理体系结合的程度

The ability of the organization's personnel to respond to questions concerning more than one management systems standard; and

组织人员对于两种/多种管理体系标准问题回复的能力

The availability of auditor(s) competent to audit more than one management system standard/specification.

审核员具备的两种或多种管理体系标准/或规范性文件所需的审核能力

The factors for increases shall include but are not limited to:

认证机构可考虑到下列因素(不限于)来增加人日数:

The complexity of the audit of an IMS compared with single management system audits.

与单一管理体系审核比较，结合管理体系审核的复杂程度

d) inform the client that the duration of an IMS audit based on the declared level of integration of the organization's management system may be subject to adjustment on the basis of confirming the level of integration at stage one and subsequent audits.

告知客户基于组织提供管理体系的整合程度信息所策划的结合审核人日数会依据现场一阶段审核与后续的审核过程中确认的整合程度对审核人日数进行调整。

4.5.2 Audit of an IMS could result in increased time, but where it results in reduction, it shall not exceed 20% from the starting point T (4.5.1).

结合体系审核可增加审核人天数，也可减少，但无论如何，认证机构不应使结合审核人日数少于起始点(T) 的 80%。

4.5.3 The starting point figure and justification for increase or reduction shall be documented.

关于起始点的增减与说明需备有相关文件。

4.5.4 During a Stage One Audit, the audit team shall confirm the level of integration of the IMS.

The Certification Body shall review and modify, as necessary, the audit duration that was based on information provided at the application stage.

一阶段审核过程中，审核组应确认结合管理体系的结合程度。认证机构需对申请阶段提供的信息所确定的人日数进行评审与修改（必要时）。

4.5.5 The Certification Body shall confirm that the level of integration remains unchanged throughout the certification cycle to ensure that the established audit durations are still applicable.

认证机构需确认在整个认证周内结合程度未发生变化以确保所策划的人日数仍然适用。

#### 4.6 审核时间管理 Auditor duration management

4.6.1 现场审核的时间，每个审核人日应不低于 8 小时，当审核人日为 8 小时时，其中审核组内部的交流和沟通每天所占用的时间应不超过 1 个小时。

For the on site audit duration, each audit man day shall not be less than eight hours. When the audit duration is eight hours, the time used for internal exchanges and communication with audit team shall not exceed an hour.

4.6.2 审核项目管理人员在审查审核任务书、审核计划及日程安排和审核资料时，应将审核人日数是否满足规定要求作为必查内容。



Audit programme management personnel must review that whether the audit duration meet stipulated requirements when reviewing audit notification, audit plan, audit schedule and documents.

## 5 相关引用文件和记录 References and records

### 5.1 IAFMD5: 2015 《QMS 和 EMS 审核时间》

IAFMD5: 2015 “QMS and EMS Audit duration”

### 5.2 CNAS-CC105: 2016 《管理体系审核时间(QMS、EMS、OHSMS)》

CNAS-CC105: 2016 “Management System Audit duration (QMS、EMS、OHSMS)”

### 5.3 CNAS-TRC-002: 2009 《管理体系两阶段审核的合理性安排和实施》

CNAS-TRC-002: 2009 “Reasonable Arrangement and Implementation of Two Stages Audit for Management System”

### 5.4 IAF MD1: 2018 《基于抽样的多场所认证》

IAF MD1: 2018 “Multi-site Certification Based on Sampling”

### 5.5 IAF MD11: 2013《IAF Mandatory Document for the Application of ISO/IEC 17021 for Audits of Integrated Management Systems》

### 5.6 《质量管理体系认证规则》

Quality management system certification rule

### 5.7 CNAS-GC02: 2006 《管理体系认证的结合审核管理实施指南》

CNAS-GC02: 2006 “Integrated Audit Management Implementation Guidance of Management System Certification”

### 5.8 Form5104-2 《审核人日计算表》

Form5104-2“Audit duration calculating form”

### 5.9 IAF MD22:2018 《OHSMS 关于 17021-1 的应用》

IAF MD22:2018 “Application of ISO/IEC 17021-1 for the Certification of Occupational Health and Safety Management Systems (OH&SMS)”

### 5.10 CNAS-SC125:2018 《职业健康安全管理体系认证机构认可方案》

CNAS-SC125:2018 “Accreditation Program for OHSMS”,