

Minimum Time Guideline

最少审核时间指南

These regulations serve to define the audit and assessment times for the respective models.

As for models that are not stated in this Guideline, the respective specifications about the audit and assessment times can be found in the specific guides.

这些规定用于定义各个模型的审核和评估时间。
至于本指南中未提及的类型，可以在特定指南中找到有关审核和评估时间的相应规范。

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1. Goal and purpose 1.目的

This guideline serves as a framework for establishing minimum audit times for products of Quality Austria Trainings, Zertifizierungs und Begutachtungs GmbH. In addition to ensuring, that the auditors have sufficient time for the relevant Certification, Surveillance or Recertification Audits, this guideline also helps to calculate audit times for the combination of requirements models.

Both the international and the national Standards are taken into account in establishing the minimum audit times.

The guideline is based on ISO/IEC 17021-1, IAF MD 5, IAF MD 1, IAF MD 11, IAF MD 22 (for occupational health and safety management systems) as well as ISO 50003 (energy management systems), as amended.

该指南是为奥地利质量培训公司的产品建立最少审核时间的框架。除了确保审核员有足够的时间进行相关的初审，监审或重审外，该指南还有助于计算组合认证的审核时间。

在确定最短审核时间时，应同时考虑国际标准和国家标准。

该准则基于经修订的 ISO / IEC 17021-1, IAF MD 5, IAF MD 1, IAF MD 11, IAF MD 22 (用于职业健康和安全管理) 以及 ISO 50003 (能源管理)。

2. Stipulations for ISO 9001 规定

2.1 Number of employees 员工数

The effective number of employees also includes those employees who are **not in a permanent employment relationship**, but who are present at the time of the audit (seasonal workers, leased employees, sub-contractors, casual labor).

Apprentices are taken into full account as employees.

Part-time employees: if there is a relevant number of part-time employees, a full-time equivalent calculation can be made.

If a significant part of the company activity is carried out in **shift operation** the number of employees is calculated on the following basis:

$(\text{Number of employees not involved in shift work}) + \{(\text{number of employees involved in shift work}) / (0,5 + \text{number of shifts}/2)\}$

有效的员工还包括那些没有固定雇佣关系但在审核时在场的雇员（季节性工人，租赁雇员，分包商，临时工）。

学徒也应当被认定为雇员。

兼职员工：如果有相当数量的兼职员工，则可以进行全职当量计算。

如果公司活动的很大一部分是在轮班制中进行的，则雇员人数将根据以下基准进行计算：

$(\text{不参与轮班工作的员工人数}) + \{(\text{参与轮班工作的员工人数}) / (0.5 + \text{轮班数量} / 2)\}$

2.2 Audit times for ISO 9001 certifications 审核时间

The Table showing the audit times at 2.3.2 principally applies. The factor related **reduction of audit times** must **not exceed 30%**.

The reduction of a maximum of 30 % in an ISO 9001 audit may only be subtracted from the total number of hours (Stage 1 + Stage 2) -30 %. The 30 % must never be subtracted from one Stage alone.

According to IAF MD5, the duration of an audit day is usually 8 hours.

In case of matrix certification, see RE_27_01_074_Matrix Regelung

该表主要显示 2.3.2 中的审核时间。减少的审核时间不得超过 30%。

在 ISO 9001 审核中最多减少的 30% 只能从总小时数（阶段 1 + 阶段 2）-30 中减去。绝不能仅从一个阶段中减去 30%。

根据 IAF MD5, 审核日的持续时间通常为 8 小时。

如果是矩阵认证, 请参见 RE_27_01_074_Matrix Regelung

2.2.1 Increase in audit time 增加审核时间

- **Complicated logistics involving more than one building or location where work is carried out, e.g. a separate design center shall be audited**
涉及多个建筑物或工作地点的复杂物流公司, 例如单独的设计中心应接受审核
- **Employees speaking in more than one language (requiring interpreter services or a preventing individual auditors from working independently)**
员工使用多种语言 (要求口译服务来防止个别审核员独立工作)
- **A very large site for the number of personnel (e.g. a forest region)**
人数庞大的场所 (例如森林地区)
- **High degree of regulation (foodstuffs and pharmaceuticals, aerospace, nuclear power, etc.)**
高度监管 (食品和药品, 航空航天, 核电等)
- **System covers highly complex or relatively high number of unique activities**
体系涵盖高度复杂或相对大量的独特活动
- **Activities that require an on-site inspection of temporary sites to confirm the activities of the permanent sites whose management system is subject to certification;**
需要对临时场所进行现场检查来确认管理体系须经过认证的永久性场所的活动;
- **Outsourced functions or processes**
外包功能或流程
- **Activities that are classified as high-risk activities, i.e. when a defective product or a faulty service can cause an economic disaster or endanger life, e.g. in the field of food, pharmaceuticals, aviation, shipbuilding, structural components, complex construction activities, equipment for electric and gas, medical and health services, fishing, nuclear fuels, chemicals, chemical products and fibers**
被归类为高风险活动的活动, 即当有缺陷的产品或错误的服务可能导致经济灾难或危及生命时, 例如在食品, 制药, 航空, 造船, 结构部件, 复杂的建筑活动, 电力和天然气设备, 医疗和卫生服务, 渔业, 核燃料, 化学制品, 化学产品和纤维领域

2.2.2 Decrease in audit time 减少审核时间

- Prior knowledge of the management system (e.g. already certified according to another Standard by the same Certification Body)
对管理体系的先验知识（例如已经由同一认证机构根据另一标准进行认证）
- A very small site in relation to the number of employees (for example only one office complex)
一个相对于雇员人数而言很小的场所（例如，只有一个办公大楼）
- Maturity of the management system
管理体系的成熟度
- The customer is not responsible for development respectively other standard requirements are not covered by the scope
客户不负责开发，其他标准要求不在范围之内
- Customer preparedness for certification (e.g. already certified or approved for another program of an independent body)
客户对认证的准备情况（例如已经通过认证或批准用于独立机构的其他计划）

Note: This justification does not apply for combination audits, since the reduction is calculated upon the level of integration.

注意：该理由不适用于合并审核，因为减少额是根据单一审核的。

- High degree of automation;
高度自动化；
- When some employees work in the field services (“remotely”), e.g. salespeople, drivers, service personnel, etc. and the conformity of their activities with the system can basically be audited by a review of records;
当一些员工在现场服务（“远程”）工作时，例如 销售人员，驾驶员，服务人员等以及他们的活动与体系的符合性基本上可以通过检查记录来审核；
- Activities associated with low risk, e.g.: when it is very unlikely that a defective product or a faulty service can cause injury or illness, such as textiles and clothes, pulp, paper and paper products, publishing, secretarial services, education, retail trade, hotels and restaurants;
与低风险相关的活动，例如：瑕疵产品或服务故障不太可能导致伤害或疾病，例如纺织品和衣服，纸浆，纸和纸产品，出版，秘书服务，教育，零售贸易，酒店和餐馆；
- Activities with low complexity, e.g.
低复杂度的活动
- Simple organizational structure, only a few processes
简单的组织结构，过程较少
- Processes that include the same and repetitive activities (e.g. solely a service)
包含相同且重复的活动的流程（例如，仅一项服务）
- Identical activities with low complexity at all shifts, with appropriate evidence of equivalent performance at all shifts
所有班次的相同活动的复杂性较低，并有适当证据表明所有班次的表现均相同
- A significant number of employees are working in similar simple functions. Recurring process within the scope (if employees perform repetitive activities)
大部分的员工的工作都是类似且简单。范围内的重复流程（如果员工执行重复性活动）

2.2.3 Audit times in tabular form (in hours) 审核人天表 (以小时为单位)

Determination of audit time is generally based on the "Audit times in tabular form" below. This table specifies the necessary **audit duration on-site** as well as **the total time of the audit** (including the time needed for preparing the audit plan and the audit report).

A very general rule of thumb, about 20% of the total audit time should be used for preparing the audit plan and audit report.

审核时间的确定通常基于下面的“审核人天表”。该表指定了必要的现场审核持续时间以及审核的总时间（包括准备审核计划和审核报告所需的时间）。

根据一般的经验法则，应使用总审核时间的大约 20% 来准备审核计划和审核报告。

effective number of employees 有效员工数	Certification Audit CA 初审			Surveillance Audit SA 监督审核		Recertification Audit RA 重审	
	Total 总共	Stage 1 一阶段 (on-site 现场)	Stage 2 二阶段 (on-site 现场)	Total 总共	On-site 现场	Total 总共	On-site 现场
1-5	12	4	6	4	4	8	7
6-10	16	4	9	5	5	11	9
11-15	20	4	12	7	6	13	11
16-25	24	4	15	8	7	16	13
26-45	32	6	20	11	9	21	18
46-65	40	8	24	13	11	27	22
66-85	48	8	30	16	13	32	26
86-125	56	8	37	19	15	37	30
126-175	64	8	43	21	17	43	34
176-275	72	8	50	24	20	48	39
276-425	80	12	52	27	22	53	43
426-625	88	12	58	29	24	59	47
626-875	96	12	65	32	26	64	52
876-1175	104	12	71	35	28	69	56
1176-1550	112	12	78	37	30	75	60

1551-2025	120	16	80	40	32	80	64
2026-2675	128	16	86	43	34	85	68
2676-3450	136	16	93	45	37	91	73
3451-4350	144	16	99	48	39	96	77
4351-5450	152	16	106	51	41	101	82
5451-6800	160	16	112	53	43	107	86
6801-8500	168	16	118	56	45	112	90
8501-10700	176	16	125	59	47	117	94
> 10700	Follow above progression 接上面的进度						

2.2.4 Special regulations 特殊规定

Organizations that have a very lean structure but generally require a large number of employees will have to be considered separately.

具有非常精简结构但通常需要大量员工的组织将分开考虑。

Organizations with special regulations include 有特殊规定的组织包括:

- Cleaning companies (NACE 81.2)
清洁公司 (NACE 81.2)
- Personnel leasing (NACE 78.0)
人事租赁 (NACE 78.0)
- Transport companies (NACE 49.4)
运输公司 (NACE 49.4)
- Call Center (NACE 82.2.)
呼叫中心 (NACE 82.2)
- Security activities (NACE 80.x)
安全活动 (NACE 80.x)

The number of employees entrusted with organizational activities (e.g. administration, manpower planning ...) will have to be used for calculation (Table in Chapter 2.2.3). A plus of one audit day will have to be set for every 500 employees.

从事组织活动的员工人数 (例如: 管理, 人力计划.....) 将必须用于计算 (第 2.2.3 章中的表格)。每 500 名员工必须设定一个审计日。

3. Stipulations for ISO 14001 规定

3.1 General 概述

At Certification Audits relating to environmental management systems, the **environmental complexity** will have to be taken into account in addition to the number of employees.

It should be borne in mind that **not** all organizations of a specific industry are always within the same complexity category (for example chemical industry companies with a major focus of activities in trade).

The Certification Body's procedure for contract review should be sufficiently flexible to ensure that the special activities of the organization are taken into account in determining the complexity category.

In case of matrix certification, see RE_27_01_074_Matrix Regelung

在与环境管理体系有关的认证审核中，除了员工人数外，还必须考虑环境的复杂性。

需要注意的是，并非特定行业的所有组织都始终处于同一复杂性类别内（例如，主要从事贸易活动的化学工业公司）。

认证机构的合同审核程序应足够灵活，以确保在确定复杂性类别时考虑到组织的特殊活动。

如果是矩阵认证，请参见 RE_27_01_074_Matrix Regelung

3.2 Number of employees 员工数

The effective number of employees also includes those employees who are **not in a permanent employment relationship** but are present at the time of the audit (seasonal workers, leased employees, sub-contractors, casual labor).

Part-time employees: if there is a relevant number of part-time employees, a full-time equivalent calculation can be made as follows:

$(\text{Number of employees not involved in shift work}) + \{(\text{number of employees involved in shift work}) / (0,5 + \text{number of shifts}/2)\}$

有效的雇员人数还包括那些没有固定雇佣关系但在审核时在场的雇员（季节性工人，租赁雇员，分包商，临时工）。

学徒也应当被认定为雇员。

兼职员工：如果有相当数量的兼职员工，则可以进行全职当量计算。

如果公司活动的很大一部分是在轮班制中进行的，则雇员人数将根据以下基准进行计算：

$(\text{不参与轮班工作的员工人数}) + \{(\text{参与轮班工作的员工人数}) / (0.5 + \text{轮班数量} / 2)\}$

3.3 Complexity 复杂性

Complexity Category 复杂程度	Business sector 商业部门	Allocation 分配	
		Rec. Audit	NACE
High 高风险	Mining and quarrying of stone or digging of earth; 开采和采石或挖土; Oil and gas production 石油和天	2	5-9
	Dyeing of textiles and clothing 纺织品和服装的染色	4	13, 14

Celluloid production in paper manufacture including paper recycling 包括纸张回收在内的造纸用赛璐珞生产	7	17
Oil refining 炼油	10	19
Chemicals and pharmaceuticals 化学药品	12 13	20 21
Primary industrial products - metals 主要工业产品-金属	17	24, 25
Production and processing of non-metallic materials including ceramics and cement 非金属材料的生产和加工, 包括陶瓷和水泥	15	23
Electricity generation from coal 煤炭发电	25	35.1
Construction or demolition 建筑和拆迁	28	42.2
Processing of waste materials including hazardous waste e.g. by incineration etc., waste water treatment 包括危险废物在内的通过焚烧废物材料的处理, 废水处理	39.1	38.X

Complexity Category 复杂程度	Business sector 商业部门	Allocation 分配	
		Rec. Audit	NACE
Medium 中等	Fisheries/agriculture/forestry 渔业/农业/林业	1	01
	Textiles and clothing apart from dyeing 除染色外的纺织品和服装	4	13.X
	Production of sawn planks, treatment/impregnation of timber and wood products 锯木板的生产, 木材和木制品的处理/浸渍	6	16.X
	Paper production and printing except for pulp manufacture 造纸和印刷, 纸浆制造除外	7 9	17.2 18.1
	Processing and manufacture of non-metallic materials including glass, clay, lime etc. 非金属材料的加工和制造, 包括玻璃, 粘土, 石灰等	15	23.X
	Surface treatment of other chemical treatment of products in metal apart from primary industrial products 除主要工业产品外, 金属产品的其他化学方面的表面处理	17	25.6
	Surface treatment or other chemical treatment for general mechanical engineering 通用机械工程的表面处理或其他化学处理	18	28.X
	Production of non-fitted circuit boards for the electronics industry	19	26.1
	Production of transport equipment – road, rail, air, water 生产运输设备-公路, 铁路, 航空, 水路	22	30.X
	Electricity generation but not from coal as well as power distribution 发电, 但并非来自煤炭以及电力分配	25	35.1
	Gas production, storage and supply (the primary production is classified as "high") 天然气的生产, 储存和供应 (主要生产被归类为“高风险”)	26	35.2
	Drawing of water, cleaning and distribution including river management (commercial waste water treatment is classified as "high") 取水, 清洁和分配, 包括河流管理 (商业废水处理被归类为“高风险”)	27	36
	Wholesale and retail trade in fossil fuels 化石燃料的批发和零售贸易	29	46.7
	Foodstuffs and tobacco processing 食品和烟草加工	3	10 12
	Transport and distribution on water, in the air and on land 水, 空中和陆地的运输和分配	31	49.X 50.X 51.X
Commercial real estate agents, property management 商业房地产经纪人, 物业管理	32.3	68.X	
Industrial cleaning, hygienic cleaning, chemical cleaning, normally a part of general services 工业清洁, 卫生清洁, 化学清洁, 通常是普通服务的一部分	35	81.2	

Recycling, composting, dumping (except for hazardous wastes) 回收, 堆肥, 倾倒 (危险废物除外)	24 39.1	38.3 38.X
Technical testing and laboratories 技术测试和实验室	34	71.2
Health/ hospitals /veterinary medicine 卫生/医院/兽医	38.1	86.X
Leisure and personal services 休闲娱乐和个人服务	39	88.X

Complexity Category 复杂程度	Business sector 商业部门	Allocation 分配	
		Rec. Audit	NACE
Low 低风险	Restaurant and catering business 餐饮业	30	56.X
	Timber and timber products with the exception of plank sawing and the treatment and impregnation of wood 木材和木材产品, 但不包括木板锯切以及木材的处理和浸渍	6	16.2
	Paper products except for printing, pulp and paper production 纸品, 印刷, 制浆和造纸除外	7	17.X
	Rubber and plastics injection molding, molds and assembly except for the production of rubber and plastics raw materials which are classed with chemicals 橡胶和塑料的注射成型, 模具和组件, 但橡胶和塑料原料的生产属于化学分类	14	22.X
	Hot and cold forming and metal production except for surface treatment and other chemically based treatments and primary products 冷热成型和金属生产, 但表面处理和其他基于化学的处理以及初级产品除外	17	24.X 25.X Excepti on 25.6
	General assembly work in mechanical engineering – except for surface treatments and other chemically based treatments 机械工程中的总装工作-表面处理和其他化学处理除外	18	26.X 28.X
	Wholesale and retail 批发和零售	29	46.X
	Assembly of electrical and electronic devices – except for the production of non-fitted circuit boards 电气和电子设备的组装-除生产非装配式电路板外	19	26.X
Limited 有限的	Administrative functions and management, administrative centers for and management of holding companies 行政职能和管理, 控股公司管理中心	36	84.X 91.X 94.X 99.X

Complexity Category	Business sector	Allocation		
		Rec. Audit	NACE	
	Transport and distribution – management services, without the need for administering a vehicle fleet 运输和分配-管理服务, 无需管理车队	31	52.2	
	Telecommunications general 电信总局	31	61.X	
	Services apart from commercial real estate agents, property management, industrial cleaning, hygienic cleaning, chemical cleaning 除商业房地产经纪人, 物业管理, 工业清洁, 卫生清洁, 化学清洁以外的服务		35	59.X
				69.X
				70.X
				73.X
74.X				
77.X				
78.X				
79.X				
80.X				
82.X				
90.X				
93.X				
95.X				
96.X				
97.X				
98.X				
	Training and education 培训与教育	37	85.X	
Special cases 特别案例	Nuclear 核			
	Electricity generation with nuclear power 核能发电			
	Storage of large quantities of hazardous materials 大量危险材料储存			
	Public administration 公共行政	36	84.X	
	Municipal authorities 市政府	36	84.X	
	Organizations with environmentally aware products or services 提供环保产品或服务的组织			

This guideline is based on five primary categories of complexity in relation to the type, number and significance of the environmental aspects of an organization that in principle have an effect on the audit times:

High – a large number of significant and serious environmental aspects (typically in a productive or processing industry with significant effects in several environmental aspects);

Medium – an average number of environmental aspects of medium seriousness (typically in a productive industry with significant effects in a few environmental aspects);

Low – a low number of slight environmental aspects (typically an assembly company with only a few significant aspects);

Limited – very low number of limited environmental aspects (typically offices);

Special – here an additional audit planning tailored to take account of special aspects is required.

该指南基于与组织的环境方面类型, 数量和重要性相关的五个主要类别的复杂性, 这些复杂性原则上会影响审核时间:

高-大量重要和严重的环境方面(通常在生产或加工业中, 在几个环境方面产生重大影响);

中等-中等严重程度的环境方面的平均数量(通常在生产性行业中, 在一些环境方面具有重大影响);

- 低-少量的环境方面的问题（通常是只有几个重要方面的装配公司）；
- 有限-在有限的环境方面（通常是办公室）的数量很少；
- 特殊-在这里，需要一个专门考虑特殊方面的额外审核计划。

3.4 Audit times for ISO 14001 certifications 审核时间

Determination of audit time is generally based on the "Audit times in tabular form", as stated in the following sub-chapters. These tables specify the necessary audit time on-site as well as the total time of the audit (including the time needed for preparing the audit plan and the audit report).

A very general rule of thumb, about 20% of the total audit time should be used for preparing the audit plan and audit report.

In exceptional cases, a reduction of the audit time by a maximum of 30% is permitted (must include a justification) (see 4.4.2).

In the case of combination audits (for example with ISO 9001), an additional reduction of a maximum of 20% of the total time can be made. A corresponding justification on the reduction shall be recorded and shall already be given in the offer phase. On this matter, see also Chapter 4 "Stipulations for combinations" (IMS Audits)

In order to make the representation simpler the limited complexity issue has been renounced. For this category, there is the possibility of a reduction by approx. 20% as against the category "Low" if there are 30 employees or more.

According to IAF MD5, the duration of an audit day is usually 8 hours.

审核时间的确定通常基于以下表格中的“人天表”。这些表指定了必要的现场审核时间以及审核的总时间（包括准备审核计划和审核报告所需的时间）。

根据一般的经验法则，应使用总审计时间的大约 20% 来准备审计计划和审计报告。

在特殊情况下，允许将审核时间最多减少 30%（必须包括理由）（见 4.4.2）。

对于组合审核（例如，采用 ISO 9001），最多可以将总时间减少 20%。应记录减少的相应理由，并且在报价阶段给出。关于此问题，另请参见第 4 章“组合规定”（IMS 审核）

为了简化，已经放弃了有限复杂性的问题。对于此类别，尽可能的精确。如果有 30 名或更多员工，则为“低”类别的 20%。

根据 IAF MD5，审核日的持续时间通常为 8 小时。

3.4.1 Increase in audit time 增加审核时间

- Complicated logistics involving more than one building or location, where work is carried out
涉及多个建筑物或地点的复杂物流工作
- A very large site for the number of employees (e.g. a forest area)
员工人数非常多的场所（例如林区）
- The system covers highly complex processes or relatively large number of unique activities
该体系涵盖了高度复杂的流程或相对大量的独特活动
- Employees speaking in more than one language (translators are required / individual auditors cannot work independently);
员工使用多种语言（需要翻译来防止个别审核员不能独立工作）；
- High degree of regulation (e.g. foodstuffs, pharmaceuticals, air and space travels, nuclear energy, etc.);
高度监管（例如食品，药品，航空航天旅行，核能等）；
- Activities that require an on-site inspection of temporary sites, to confirm the activities of permanent sites whose management system is subject to certification;
需要对临时场所进行现场检查来确认管理体系须经过认证的永久性场所的活动；
- Outsourced functions or processes
外包功能或流程
- The environment affected is more sensitive than is usually the case for the industry
受影响环境的比通常情况下更敏感的行业
- The views of those involved
有关人士的意见
- Indirect aspects that require an extension of the audit time (e.g. relationship to the company headquarters or the local authorities)
需要延长审核时间的间接因素（例如与公司总部或地方当局的关系）
- Additional/unusual environmental aspects or legal framework conditions in comparison with the respective industries
与各个行业的比较其他/异常环境方面或法律框架条件
- Risk of environmental accidents and effects that arise or are likely to arise as a consequence of incidents, accidents and potential hazardous situations and previous environmental problems to which the organization has contributed.
由于事件，事故和潜在的危險情况以及组织所造成的先前环境问题而导致或可能引起的环境事故风险和后果。

3.4.2 Decrease in audit time 减少审核时间

- A very small site for the number of employees (for example only one office complex)
一个很小的场所，可容纳员工人数（例如，只有一个办公大楼）
- Fully developed management system
完善的管理体系
- A high percentage of the employees is involved in carrying out the same simple activities
很大比例的员工参与了相同的简单活动
- Knowledge of the management systems of the customer (e.g. already certified acc. to another Standard by the same Conformity Assessment Body);

了解客户的管理体系（例如，已经由同一合格评定机构通过了另一标准的认证）；

- Customer preparedness for certification (e.g. already certified or approved for another program of an independent body)

Note: This justification does not apply for combination audits, since the reduction is calculated upon the level of integration.

客户对认证的准备情况（例如已经通过认证或批准用于独立机构的其他计划）

注意：该理由不适用于合并审核，因为减少额是根据单一审核计算的。

- High degree of automation;
高度自动化；
- When some employees work in the field services (“remotely”), such as salespeople, drivers, service personnel, etc. and the conformity of their activities with the system can basically be audited by a review of records;
当一些员工（例如，销售人员，驾驶员，服务人员等）在现场服务（“远程”）工作时，基本上可以通过查看记录来审核其活动与体系的一致性；
- Activities associated with low risk
与低风险有关的活动
- Activities with low complexity, e.g.
低复杂度的活动
- Processes that include the same and repetitive activities (e.g. solely a service);
包含相同且重复的活动的过程（例如，仅一项服务）；
- Identical activities with low complexity at all shifts, with appropriate evidence of equivalent performance at all shifts;
在所有班次中具有低复杂性的相同活动，并有适当证据表明在所有班次中具有同等的表现；

The reduction audit time shall not exceed **30%** of the total audit times!

减少审核时间不得超过总审核时间的 30%！

3.4.3 Initial certification 初审

The following table indicates the **audit duration (on site)** as well as the **audit time (total)** for an **Audit Stage 1** and **Audit Stage 2**. The audit duration (total) also includes the time needed for document review, preparing the audit plan and audit report, additionally to the time needed on-site. A very general rule of thumb, about 20% of the total audit time should be used for preparing the audit plan and audit report.

The minimum time of an Audit Stage 1 is based upon the complexity categories (low – at least 4 hours, medium: at least 6 hours, high: at least 8 hours).

下表列出了一阶段审核和二阶段审核的审核时间（现场）以及审核时间（总计）。审核时间（总计）还包括文档审核，准备审核计划和审核所需的时间。审核报告，以及现场所需的时间。根据一般的经验法则，应使用总审计时间的大约 20% 来准备审计计划和审计报告。

审核阶段 1 的最短时间基于复杂度类别（低至少 4 个小时，中：至少 6 个小时，高：至少 8 个小时）。

Initial certification stage1+stage2 (hours) 初审一阶段+二阶段（小时）									
Effective number of employees 有效员工人数	Complexity 复杂度								
	Total 合计	High 高		Medium 中			Total 合计	Low 低	
		stage 1 On site 一阶段	stage 2 On site 二阶段	stage 1 On site 一阶段	stage 2 On site 二阶段	stage 1 On site 一阶段		stage 2 On site 二阶段	
1-5	24	8	11	20	6	10	20	4	12
6-10	28	8	14	24	6	13	24	4	15
11-15	36	8	21	28	6	16	24	4	15
16-25	44	8	27	36	6	23	28	4	18
26-45	56	8	37	44	6	29	32	6	20

46-65	64	8	43	48	8	30	36	6	23
66-85	72	8	50	56	8	37	40	6	26
86-125	88	12	58	64	8	43	44	8	27
126-175	96	12	65	72	8	50	48	8	30
176-275	104	12	71	80	8	56	56	8	37
276-425	120	12	84	88	8	62	64	8	43
426-625	128	12	90	96	8	69	72	8	50
626-875	136	12	97	104	12	71	80	8	56
876-1175	152	12	110	120	12	84	88	12	58
1176-1550	160	12	116	128	12	90	96	12	65
1551-2025	168	16	118	136	16	93	96	12	65
2026-2675	184	16	131	144	16	99	104	12	71
2676-3450	200	16	144	152	16	106	112	16	74
3451-4350	216	16	157	160	16	112	120	16	80
4351-5450	224	16	163	168	16	118	128	16	86
5451-6800	240	16	176	184	16	131	136	16	93
6801-8500	256	16	189	200	16	144	152	16	106
8501-10700	272	16	202	216	16	157	160	16	112
>10700	Follow above progression 接上面的进度								

3.4.4 Annual Surveillance Audits 年度监督审核

As a rule of thumb, about one third of the time that was required for the initial audit should be set for the Annual Surveillance Audit.

根据经验，年度监督审核应设置为初审所需时间的约三分之一。

Effective number of employees 员工人数	Annual surveillance audit (in hours) 年度监督审核 (小时)					
	Complexity 复杂度					
	High 高		Medium 中		Low 低	
	Total 合计	On site 现场	Total 合计	On site 现场	Total 合计	On site 现场
1-5	8	7	7	6	7	6
6-10	9	8	8	7	8	7
11-15	12	10	9	8	8	7
16-25	15	12	12	10	9	8
26-45	19	15	15	12	11	9
46-65	21	17	16	13	12	10
66-85	24	20	19	15	13	11
86-125	29	24	21	17	15	12
126-175	32	26	24	20	16	13
176-275	35	28	27	22	19	15
276-425	40	32	29	24	21	17
426-625	43	34	32	26	24	20
626-875	45	37	35	28	27	22
876-1175	51	41	40	32	29	24
1176-1550	53	43	43	34	32	26
1551-2025	56	45	45	37	32	26
2026-2675	61	49	48	39	35	28
2676-3450	67	54	51	41	37	30
3451-4350	72	58	53	43	40	32
4351-5450	75	60	56	45	43	34
5451-6800	80	64	61	49	45	37
6801-8500	85	69	67	54	51	41
8501-10700	91	73	72	58	53	43
>10700	Follow above progression 接上面的进度					

3.4.5 Recertification Audit 重申

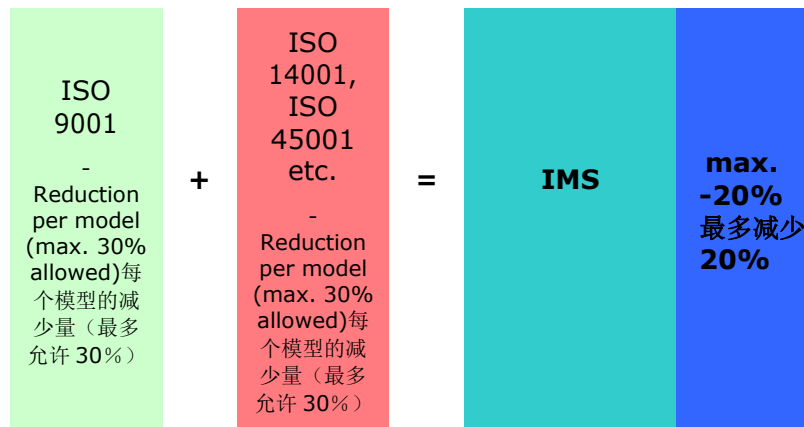
As a rule of thumb, about two thirds of the time that was required for the initial audit should be set for the Recertification Audit. 根据经验，应将“重新认证审核”的时间设置为初审所需时间的约三分之二。

Effective number of employees 员工人数	Recertification audit (in hours) 重申 (小时)					
	Complexity 复杂度					
	High 高		Medium 中		Low 低	
	Total 合计	On site 现场	Total 合计	On site 现场	Total 合计	On site 现场
1-5	16	13	13	11	13	11
6-10	19	15	16	13	16	13
11-15	24	20	19	15	16	13
16-25	29	24	24	20	19	15
26-45	37	30	29	24	21	18
46-65	43	34	32	26	24	20
66-85	48	39	37	30	27	22
86-125	59	47	43	34	29	24
126-175	64	52	48	39	32	26
176-275	69	56	53	43	37	30
276-425	80	64	59	47	43	34
426-625	85	68	64	52	48	39
626-875	91	73	69	56	53	43
876-1175	101	82	80	64	59	47
1176-1550	107	86	85	68	64	52
1551-2025	112	90	91	73	64	52
2026-2675	123	98	96	77	69	56
2676-3450	133	107	101	82	75	60
3451-4350	144	116	107	86	80	64
4351-5450	149	120	112	90	85	68
5451-6800	160	128	123	98	91	73
6801-8500	171	137	133	107	101	82
8501-10700	181	146	144	116	107	86
>10700	Follow above progression 接上方进度					

4. Stipulations for audits of integrated management systems (IMS Audits) 综合管理体系审核规定 (IMS Audits)

The regulations on "Audits of Integrated Management Systems") IMS Audits can be found in "IAF MD 11:2019". The reduction of audit time due to auditing of common elements shall **not exceed 20% of the total audit time.**

可以在" IAF MD 11: 2019"中找到有关"IMS 审核"的规定。 由于共同要素的审核而导致的减少审核时间不得超过总审计时间的 20%。



The times required on site can be taken from the tabular presentation for the required models (dependent on the relevant audit type – e.g. Surveillance Audit relating to the quality management system with a Certification Audit relating to the environmental management system). Then times will be added up (relevant increase or decrease of audit time needs to be taken into account in advance).

现场所需的时间可以从所需模型的表格中获取（取决于相关的审核类型，例如，与质量管理体系有关的监督审核和与环境管理体系有关的认证审核）。然后将加总时间（需要事先考虑相关的审计时间的增加或减少）。

If there is already an existing QMS (or any other management system) and an additional management system should be integrated, an Audit Stage 1 shall be conducted for the new management system.

如果已经存在现有的 QMS（或任何其他管理体系），并且有其他体系需要审核的，则应对新的管理体系执行一阶段审核。

Reduction can be calculated on basis of the following mode 减少量可以根据以下模型计算 1:

结合程度	80-100%	0	5	10	15	20
	60-80%	0	5	10	15	15
	40-60%	0	5	10	10	10
	20-40%	0	5	5	5	5
	0-20%	0	0	0	0	0

	0-20%	20-40%	40-60%	60-80%	80-100%
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Ability to perform combined audits 能够执行合并审核
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The table above illustrates the reduction (%) in integrated audit duration and its relationship to 上表说明了综合审核持续时间的减少(%)及其与以下方面的关系:

- the level of integration of an organization's management system (vertical axis) 组织管理体系的一体化水平(垂直轴)
- the extent, to which individual audit team members are qualified (horizontal axis) 各个审核团队成员的合格程度(水平轴)

Vertical axis: **100% integration** indicate:

垂直轴: 100%积分指示:

1. an integrated documentation set, including work instructions to a good level of development
 2. a management review that considers the overall business strategy and plan
 3. an integrated approach to internal audits
 4. an integrated approach to policy and objectives
 5. an integrated approach to system processes
 6. an integrated approach to improvement mechanisms (corrective and preventive action; measurement and continual improvement)
 7. integrated management support and responsibilities
- 1.一体化的文档集, 包括良好发展水平的工作指导书
 - 2.考虑整体业务战略和计划的管理评审
 - 3.内部审核的综合方法
 - 4.政策和目标的综合方法
 - 5.体系流程的综合方法
 - 6.改进机制的综合方法(纠正和预防措施; 度量和持续改进)
 - 7.综合管理支持和职责

Horizontal axis: **100% ability to conduct integrated audits** indicates:

Each auditor is qualified for all management system standards to be audited.

An exact formula on the precise calculation of reduction can be found in IAF MD 11:2019, Annex 2, and can be used when needed.

水平轴: 100%进行综合审核的能力表示: 每个审核员都有资格接受所有要审核的管理体系标准。关于减少量精确计算的精确公式可以在 IAF MD 11: 2019 附件 2 中找到, 并在需要时使用。

4.1 Special stipulation for combinations with IATF 16949 与 IATF 16949 结合的特殊规定

The following regulations apply for the combination of IATF 16949 with ISO 14001 / ISO 45001 以下规定适用于 IATF 16949 与 ISO 14001 / ISO 45001 的组合:

- At IATF 16949 audits in combination with ISO 14001 / ISO 45001, an environmental auditor / occupational health and safety auditor will always join the team for the period of time established (e.g. 2x2 man-days IATF + 2x1 man-days ISO 14001/45001; 3x2 man-days IATF + 3x1 man-days ISO 14001/45001 etc.)

在结合 ISO 14001 / ISO 45001 进行 IATF 16949 审核时, 环境审核员/职业健康与安全审核员将始终在确定的时间内加入团队 (例如 IATF 为 2x2 人天, ISO 14001/45001 为 2x1 人天; 3x2 人天 IATF + 3x1 人天 ISO 14001/45001 等)

- The basis for the minimum on-site times is formed by IATF 16949

最少现场时间的基础由 IATF 16949 制定

- The respective audit type (Certification Audit, Surveillance Audit, Recertification Audit) can be quite different for the individual requirements model (over a period of 3 years, this will be compensated, at any rate) 对于单独的需求类型, 相应的审核类型 (认证审核, 监督审核, 重新审核) 可能会完全不同 (在 3 年内, 它将以任何方式得到补偿)

- At initial certification acc. to ISO 14001/45001 and Surveillance Audits acc. to IATF 16949, an Audit Stage 1 acc. to ISO 14001 and/or ISO 45001 will be required.

在 ISO 14001/45001 初审和 IATF 16949 监审的结合审核时, ISO 14001 或 ISO 45001 需要做一阶段审核

- In case of combination of all three models (16949/14001/45001), the following stipulation applies:

16949 100%, additional 50% of it for ISO 14001, plus additional 25% for ISO 45001

如果是三个体系 (16949/14001/45001) 的结合审核, 那么以下规定适用:

16949 的人天 100% 满足, 另外增加 50% 的人天用于 ISO 14001 审核以及另外增加 25% 的人天用于 ISO 45001 审核.

The objective consists in ensuring that the auditors are not present in the organization for different periods. If no separate environmental auditor can join, at least one IATF auditor will have to cover ISO 14001. The minimum time to be spent on-site results from the above calculation.

目的在于确保审核员在不同时期不在组织中出现。如果没有其他独立的环境审核员可以参加, 则至少一名 IATF 审核员必须符合 ISO 14001 的要求。以上计算将使用最少的现场审核时间。

Since, for IATF 16949, time must be provided for clarification of certain points before the opening meeting, the time before the official opening meeting for IMS Standards (for example, ISO 9/14/45/50001) can be used for the following topics 由于 IATF 16949 在首次会议之前必须有时间来澄清某些要点, 因此 IMS 标准(例如 ISO 9/14/45/50001) 的正式首次会议之前的时间可以用于以下主题:

- Exchange of information (key performance indicators, etc.) 信息交换(关键绩效指标等)
- Changes since the latest audit 自最近一次审核以来的变化
- Review of the actions on nonconformities / hints from the previous audit

对先前审核中的不符合项/提示采取的措施进行评审

- Inspection tour 巡回检查
- Other coordination 其他协调

However, no conformity assessment may be carried out, and no standard clauses may be included in the audit plan.但是，不得进行符合性评估，审计计划中不得包含任何标准条款。

The opening meeting will then be conducted together with ALL auditors.
然后将与所有审核员一起召开首次会议

5. Stipulations for EMAS verifications

5.1 General

The changed guideline for the time required for environmental verifications was published by BMLFUW ("Bundesministerium für Landwirtschaft, Forstwirtschaft, Umwelt und Wasserwirtschaft" - Ministry of Agriculture, Forestry, Environment and Water Management) under GZ BMLFUW-UW.2.3.4/0155-VI/5/2004 on 26.11.2004.

In principle, EMAS verifications must now be brought in line with the international applicable guidelines for audit times (EA-7/02, EA Guidelines for the accreditation of certification bodies for environmental management systems, IAF Guideline for the application of ISO/IEC Guide 66).

5.2 Times for EMAS verifications and revalidation

In principle, the minimum times are aligned to the stipulations for certifications to ISO 14001 (see 4.4).

5.2.1 EMAS verification with ISO 14001 certification

For EMAS verification (environmental verification and revalidation), including those performed together with ISO 14001 audits: **Additional 20%** (rounded up to half days for additional EMAS requirements) of time in accordance with the EA/IAF Guidelines for initial and repeated verifications.

5.2.2 Separate verification where there already is an ISO 14001 Certificate

For EMAS verification when an EMAS initial verification should be made where ISO 14001 certification already exists: **25%** (rounded up to half days for additional EMAS requirements) for the relevant initial verification times in accordance with the EA Guidelines (this is not to be regarded as extra time).

All justifications – e.g. on the use of a verification program and annual reviews on SITE – shall be documented. The use of a verification program in the validation in accordance with the EMAS Regulation can be used as a reduction factor in calculating the basic audit times (for ISO 14001) according to the specifications in the EAF/IAF Guidelines.

6. Stipulations for ISO 50001

Transition period until 30. Nov. 2023, IAF MD24:2021

CAB:

CABs to apply to AB for transition to ISO 50003 before	Date determined for each CB based on transition date
CAB to use new version of ISO 50003 for all clients at latest	30 months after end of publication month of document*/** 30 November 2023

6.1 General - important input parameters

The basis for dimensioning the audit scope and thus calculation is formed by ISO 50001:2014. Based on ISO 50003:2021, the following parameters will be relevant for making offers from May 2021:

- annual energy consumption;
- number of energy sources;
- number of significant energy inputs;
- number of persons having an impact on the effectiveness of the energy management system (EnMS effective personnel)

Based on this, the company specific **complexity factors** will be calculated by using **weighting factors**.

Overview of input parameters, clustering and complexity factors:

Parameter	Weighting	from / to	from / to	Complexity factor
		TJ	MWh (rounded)	
Annual energy consumption	25%	≤ 20	5.560	1,0
		20 ≤ 200	5.560 to 55.600	1,2
		200 ≤ 2000	55.600 to 556.000	1,4
		> 2000	more than 556.000	1,6
Number of energy sources	25%	1 to 2 energy sources		1,0
		3 energy sources		1,2
		≥ 4 energy sources		1,4
Number of significant energy uses	50%	1 to 3		1,0
		4 to 6		1,2
		7 to 10		1,3
		11 to 15		1,4
		≥ 16		1,6

Calculation of the complexity factor (adapted from A.2 ISO 50003:2021)

$$C = (F_{EC} * 0.3) + (F_{ES} * 0.3) + (F_{SEU} * 0.4)$$

F_{EC} : complexity factor for annual energy consumption F_{ES} :

complexity **f**actor for the number of **e**nergy **s**ources

F_{SEU}: complexity **f**actor for the number of **s**ignificant **e**nergy **u**ses

The complexity factor calculated serves to determine the **level of the EnMS complexity** acc. to A.2 ISO 50003.

Complexity value	Level of the EnMS complexity
> 1.35	High
1.15 to 1.35	Medium
< 1.15	Low

For calculating the minimum audit time, the number of persons that have an impact on the effectiveness of the energy management system (EnMS relevant personnel) also is relevant.

- persons that are responsible for **significant changes**, which have an impact on energy performance;
- persons that are responsible for the **improvement of energy performance**;
- persons that are responsible for **significant energy uses**

At any rate, this refers to top management, the members of the energy team, Energy Representatives, internal energy auditors, people involved in purchasing, maintenance, servicing and repair, facility management, production management or supervisors.

The **number of EnMS relevant personnel**, for its part, will be clustered into 8 groups. The number of EnMS relevant personnel and the level of the EnMS complexity form the basis for determining the audit times.

6.2 Initial certification

According to A3 ISO 50003:2021, the following audit times will have to be taken into account while considering the number of EnMS effective personnel and complexity. The man-days stated in the Table include Stage 1 and Stage 2.

Stage 1 comprises:

- at least 4h for companies with a low level of complexity;
- at least 6h for companies with a medium level of complexity;
- at least 8h for companies with a high level of complexity.

At the Audit Stage 1, the number of EnMS effective personnel, the number of energy sources and significant energy uses as well as annual energy consumption will have to be reviewed so that the audit duration can be confirmed.

The **planning and reporting** amount to a **maximum of 20%** of the total audit time (A.6.2). In the case of one-day audits, the audit time can also be more than 20% in order to ensure effective planning and clear reporting.

The audit duration can be reduced by a **maximum of 30%** if the EnMS is sufficiently mature and has good performance (A.6.2).

Table A.3 — Initial certification audit time (audit days)

Number of EnMS effective personnel	Level of EnMS complexity		
	Low	Medium	High
1 to 8	2,5	4	5
9 to 15	4	6	7
16 to 25	5	7	9
26 to 65	6,5	8	10
66 to 85	8	9,5	11,5
86 to 175	8,5	11	12
176 to 275	9	11,5	12,5
276 to 425	10	13	15
≥ 426	The certification body provides the audit time for a number of EnMS effective personnel exceeding 425. The certification body shall retain documented information on decisions made to calculate the audit time.		

6.3 Surveillance and recertification

Table 4 of ISO 50003:2021 specifies the minimum duration for surveillance and recertification (man-days).

TABLE A.4 — SURVEILLANCE AND RECERTIFICATION AUDIT TIME (AUDIT DAYS)

Number of EnMS effective personnel	Level of EnMS complexity					
	Low		Medium		High	
	Surveillance	Recertification	Surveillance	Recertification	Surveillance	Recertification
1 to 8	1	1,5	1	2,5	1,5	3
9 to 15	1	2,5	2	4	2,5	5
16 to 25	2	3,5	2,5	5	3	6
26 to 65	2,5	5	3	6	3,5	7
66 to 85	2,5	6	3,5	6,5	3,5	8,5
86 to 175	2,5	6	3,5	7	3,5	8,5
176 to 275	3	6	4	8	4	9,5
276 to 425	3,5	7	4	8,5	5	11
≥ 426	The certification body provides the audit time for a number of EnMS effective personnel exceeding 425. The certification body shall retain documented information on decisions made to calculate the audit time.					

At each audit, significant changes to EnMS effective personnel, annual overall energy consumption, number of energy sources and number of energy uses, which can lead to a change in audit duration, will have to be acquired.

6.4 Multisite ISO 50001:2018 based on ISO 50003:2021

In principle, the same criteria apply as requirements for a multisite as for ISO 9001, ISO 14001 and ISO 45001. Sampling also applies to the usual rule of roots. This simplifies a possible integration into a multisite audit program.

The **central function** shall be audited during every year and shall include a review of the energy performance from all the sites included in the entire organization certificate.

The relevant energy indicators are to be recorded for **each site**. In other words, the

total audit time results from the audit time for the central function and the sum of the audit time **per site**. **Sites** in close proximity can be grouped together. Sites which perform the most energy intensive processes are subject to more frequent audits.

6.5 Combination of ISO 50001 with ISO 14001 and/or EMAS

The total audit time may be reduced if the organization has integrated the EnMS into a different certified management system. The reduction of audit time due to a different certified management system must **not** exceed **20%**.

If an environmental management system already is in place and the EnMS is integrated, an Audit Stage 1 with the following minimum audit time shall be scheduled:

- at least 4h for companies with a low level of complexity;
- at least 6h for companies with a medium level of complexity;
- at least 8h for companies with a high level of complexity.

7. Stipulations for a company specialized in waste disposal

These specifications are derived from the framework contract with the V.EFB ("Verein zur Verleihung eines Zertifikates eines Entsorgungsfachbetriebes" – Association for Granting a Certificate to a Waste Disposal Specialist Company) (06/04/2000).

Minimum days	Initial audit	Follow-up audit
up to 20 employees	2.5/1.5	2.0/1.0
21 to 60 employees	3.0/2.0	2.5/1.5
> 60 employees	3.5/2.5	3.0/2.0

Comments:

One day represents 8 working hours

Full days / of these on-site days

If EMAS, ISO 14001 or ISO 9001 has already been implemented in the first audit:

⇒ 75 % of the defined minimum duration

If a follow-up audit has been conducted together with EMAS, ISO 14001 or ISO 9001

⇒ 66 % of the defined minimum duration

If EMAS, ISO 14001 or ISO 9001 is audited but a follow-up audit is not conducted jointly

⇒ 75 % of the defined minimum duration

8. Stipulations for ISO 45001 规定

8.1 General 概述

It should be kept in mind that **not** all organizations of a specific industry are always within the same complexity category (for example: chemical industry companies with a major focus of activities in trade).

The Certification Body's procedure for contract review should be sufficiently flexible to ensure that the organization's special activities are taken into account when determining the complexity category.

请记住，并非特定行业的所有组织都始终属于同一复杂类别（例如：主要从事贸易活动的化学工业公司）。

认证机构的合同审查程序应足够灵活，以确保在确定复杂性类别时考虑到组织的特殊活动。

8.2 Number of employees 员工数

The **effective number of employees** includes also employees who are **not in a permanent employment relationship** and **contractors/sub-contractors, who are performing work under the control of the organization** (= temporary workers, leased employees, sub-contractors, etc.).有效的的员工人数还包括非长期雇佣关系的员工和在组织控制下执行工作的承包商/分包商 (= 临时工、租赁员工、分包商等)。

- In case of seasonal operations (e.g. harvesting activities, tourism) the calculation of the effective number of personnel shall be based on the personnel typically present in peak season operations.在季节性作业 (例如采伐活动、旅游) 的情况下，有效人员数量的计算应基于旺季作业中通常出现的人员。
- If a high percentage of personnel perform certain **activities / positions** that are considered **similar** or **identical** because they expose personnel to similar OH&S risks (e.g. cleaners, security, sales, call centers etc.) a reduction in the number of effective personnel may be permitted (MIND: ensure verifiability of the risk assessment!):如果高比例的人员从事某些被认为相似或相同的活动/职位，因为他们使人员面临类似的职业健康安全风险 (例如清洁工、保安、销售、呼叫中心等)，则可以允许减少有效人员的数量 (记住：确保风险评估的可验证性!)
 - Multiplication factor „1” for calculation of effective personnel **no** similar / identical or repetitive working positions 用于计算有效人员的乘法因子“1”没有相似/相同或重复的工作岗位
 - Multiplication factor „0.1” for calculation of effective personnel similar / identical or repetitive working positions in the field of administration, where personnel is not exposed to hazards, or only exposed to low hazards (e.g. administration, sales, etc.)乘法系数“0.1”用于计算行政领域中类似/相同或重复工作岗位的有效人员，其中人员不暴露于危险或仅暴露于低危险 (例如管理、销售等)
 - Multiplication factor „0.xx”. This factor for calculating the effective personnel shall be determined by the lead auditor on basis of a verifiable risk assessment.
It is based on working positions where personnel is performing similar / identical or repetitive work.o
乘数“0.xx”。该计算有效人员的因素应由主任审核员根据可验证的风险评估确定。它基于人员执行类似工作的工作位置/相同或重复的工作。
 - In Moodle, there is a separate section “IAF MD 22:2018”, where an example for the calculation of audit time for ISO 9001/14001/45001 can be found.在 Moodle 中，有一个单独的部分“IAF MD 22:2018”，其中可以找到计算 ISO 9001/14001/45001 审核时间的示例。
- **MIND:** When a high percentage of personnel perform **repetitive activities / jobs**, which can reduce attention and raise the associated OH&S risks, a risk assessment for possible reductions shall be carried out and documented. Frame for reduction:记住:当大量人员执行重复性活动/工作，这可能会降低注意力并增加相关的职业健康安全风险时，应对可能减少的风险进行风险评估并记录在案。减少框架:
- In countries with a low level of technology, **temporary unskilled personnel** may be employed in considerable numbers. A reduction in effective personnel is not applicable to OH&SMS since the employment of temporary unskilled personnel can be a source of OH&S risks. If, in exceptional cases, a reduction is made the justification for doing so shall be recorded and made available to the accreditation body at assessment.在技术水平较低的国家，可能会大量雇用临时的非技术人员。有效人员的减少不适用于 OH&SMS，因为雇用临时不熟练的人员可能是 OH&S 风险的来源。如果在特殊情况下进行了减少，则应记录这样做的理由，并在评估时提供给认可机构。

8.3 Temporary sites 临时场所

If the client provides services at another organization's premises, it shall be verified that the client's OH&SMS covers these activities, including the OH&SMS obligations of the other organization.

如果客户在另一组织的场所提供服务，则应验证客户的 OH&SMS 是否涵盖了这些活动，包括另一组织的 OH&SMS 义务。

Temporary sites could range from major project management sites to minor services / installation activities carried out by the client at a customer's site.

临时场所的范围从主要项目管理场所到在客户场所执行的次要服务/安装活动。

Typically, **on-site audits of temporary sites**, where the organization's personnel is performing work, **should be performed at regular intervals**.

通常，需要定期对组织人员在其中工作的临时场所进行现场审核。

The need to visit such temporary sites and the extent of sampling shall be based on an evaluation of the risks. It shall be considered:

访问此类临时场所的必要性和抽样范围应基于对风险的评估。应考虑：

- the extent to which the client's OH&SMS is capable to control OH&S risks associated with the operations of the temporary site
客户的 OH&SMS 能够控制与临时场所的运营相关的 OH&S 风险的程度
- OH&S risks associated with the activities performed
与所开展活动有关的 OH&S 风险
- contractual agreements
合同协议
- potential other certifications of the client
客户可能获得的其他认证
- the internal audit system
内审制度
- accident statistics and near-misses
事故和未遂事故统计

The decision for justification shall be documented.

Sites included in sampling should represent the client's scope of certification, sizes and types of activities and processes, type of hazards involved and associated OH&S risks, and stages of projects in progress.

决定的理由应记录在案。

抽样中包括的地点应代表客户的认证范围，活动和过程的大小和类型，所涉及的危害类型以及相关的 OH&S 风险以及进行中的项目阶段。

For some temporary sites, the following methods could be considered as alternatives to replace only those parts of onsite audits not related to witness the operational control and other OH&SMS activities:

对于某些临时场所，可以考虑采用以下方法来替代现场审核中与见证运营控制和其他 OH&SMS 活动无关的部分：

- interviews or progress meetings with the client and/or its customers in person or teleconference,

亲自或电话进行与客户和/或其客户的访谈或进度会议，

- document review of temporary site activities
临时场所活动的文件审查
- remote access to electronic site(s) that contain records or other information that is relevant to the assessment of the OH&SMS and the temporary site(s)
远程访问电子场所包含与 OH&SMS 和临时场所评估有关的记录或其他信息
- use of video and teleconference
可以使用视频和电话会议

8.4 Auditing shift work 班次工作审核

When planning for the audit, the various shifts should be considered to best assess the effective implementation of the OH&SMS for the full scope. In addition, the need to audit outside normal working hours and various shift patterns should be considered.

MIND: at least one of the shifts outside of regular office hours shall be audited during the first cycle of certification! If not auditing a shift, justification shall be documented taking into consideration the processes and associated OH&S risks of this shift, as well as the level of control of each shift that is demonstrated by the client.

在做审核计划时，应考虑各种变化，以最好地评估整个范围内 OH&SMS 的有效实施。此外，应考虑在正常工作时间以外和各种轮班模式下进行审核的需要。

提示：在第一个认证周期内，应对正常办公时间以外的每个轮班进行审核！如果不审核某班次，则应记录理由，并考虑该班次的过程和相关的 OH&S 风险，以及客户所证明的每个班次的控制水平。

8.5 Complexity 复杂性

Complexity category of OH&S risk	Business sector 行业
<p>High 高</p>	<ul style="list-style-type: none"> • fishing (offshore, coastal dredging and diving) • 捕鱼（近海，沿海和深海） • mining and quarrying • 采矿和采石 • manufacture of coke and refined petroleum products • 焦炭和精炼石油产品的生产 • oil and gas extraction • 石油和天然气开采 • tanning of leather and leather products • 皮革和皮革制品的鞣制 • tanning of textiles and clothing • 纺织品和服装的鞣制 • pulping part of paper manufacturing including paper recycling processing • 造纸业的制浆部分，包括纸张回收处理 • oil refining • 炼油 • chemicals (including pesticides, fabrication of batteries and accumulators), and pharmaceuticals • 化学品（包括农药，电池和蓄电池的制造）和药品 • manufacturing of fiberglass • 玻璃纤维制造 • gas production, storage and distribution • 天然气的生产，储存和分配 • electricity generation and distribution • 发电和配电 • Nuclear • 核 • storage of large quantities of hazardous material • 储存大量危险材料 • non-metallic processing and products covering ceramics, concrete, cement, lime, plaster, etc. • 非金属加工和产品，涵盖陶瓷，混凝土，水泥，石灰，灰泥等。 • primary productions of metals • 金属的初级生产 • hot and cold forming and metal fabrication • 冷热成型和金属加工 • manufacturing and assembly of metal structures • 金属结构的制造和组装 • shipyards (depending on the activities could be medium) • 造船厂（视活动而定） • aerospace industry • 航空航天业 • automotive industry • 汽车行业

	<ul style="list-style-type: none"> • manufacturing of weapons and explosives • 武器和爆炸物的制造 • recycling of hazardous waste • 危险废物的回收 • hazardous and non-hazardous waste processing e.g. incineration etc. • 有害和无害废物处理比如焚化等 • effluent and sewerage processing • 污水处理 • industrial and civil construction and demolition (including building completion with electrical, hydraulic and air conditioning installation activities) • 工业和民用建筑和拆除 (包括带有电气, 液压和空调安装活动的建筑竣工) • slaughter houses • 屠宰场 • transport and distribution of dangerous goods (by land, air and water) • 危险货物的运输和分发 (通过水路, 陆路或飞机) • defense activities/crisis management • 国防活动/危机管理
<p>Medium 中等</p>	<ul style="list-style-type: none"> • aquaculture (breeding, rearing, and harvesting of plants and animals in all types of water environments) • 水产养殖 (在各种水环境中进行植物, 动物的繁殖, 饲养和收获) • fishing (offshore fishing is high) • 捕鱼 (近海捕鱼是高风险) • farming/forestry (depending on the activities could be high) • 农业/林业 (视活动而定) • food, beverage and tobacco – processing • 食品, 饮料和烟草-加工 • textiles and clothing except for tanning • 纺织品和服装 (鞣制除外) • leather and leather products except for tanning • 皮革和皮革制品 (鞣制除外) • manufacturing of wood and wooden products including manufacturing of boards, treatment/impregnation of wood • 木材和木制产品的制造, 包括木板的制造, 木材的处理/浸渍 • paper production and paper products excluding pulping • 造纸和除制浆外的纸制品 • non-metallic processing and products covering glass, ceramics, clay, etc. • 非金属加工和产品, 包括玻璃, 陶瓷, 粘土等 • general mechanical engineering assembly • 通用机械工程装配 • manufacturing of metallic products • 金属制品制造 • 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) • 金属制品的表面和其他化学处理, 不包括初级生产和一般机械工程 (取决于处理和零件的尺寸可能很大) • production of bare printed circuit boards for electronics industry • 电子行业的裸露印刷电路板生产 • rubber and plastic injection molding, forming and assembly • 橡胶和塑料注塑, 成型和组装 • electrical and electronic equipment assembly • 电气和电子设备组装

Complexity category of OH&S risk	Business sector
	<ul style="list-style-type: none"> • manufacturing of transport equipment and their repairs - road, rail and air (depending on the size of the equipment, could be high) • 运输设备的制造及其公路维修, 铁路和航空 (取决于设备的尺寸, 可能会很高) • recycling, composting, landfill (of non-hazardous waste) • 回收, 堆肥, 垃圾填埋场 (非危险废物) • water abstraction, purification and distribution including river management (note commercial effluent treatment is graded as high) • 取水, 净化和分配, 包括河流管理 (注意商业污水处理的等级为高) • fossil fuel wholesale and retail (depending on the amount of fuel, could be high) • 化石燃料的批发和零售 (取决于燃料量, 可能会很高) • transport of passengers (by air, land and sea) • 旅客运输 (空运, 陆运和海运) • transport and distribution of non-dangerous goods (by land, air and water) • 非危险品的运输和分发 (空运, 陆运和海运) • industrial cleaning, hygiene cleaning, dry cleaning normally part of general business services • 工业清洁, 卫生清洁, 干洗通常是商业服务的一部分 • research & development in natural and technical sciences (depending on the business sector could be high). Technical testing and laboratories • 自然科学和技科方面的研究与开发 (取决于商业部门可能会很高)。技术测试和实验室 • hotels, leisure services and personal services excludes restaurants • 酒店, 休闲服务和个人服务不包括餐厅 • education services (depending on the object of teaching activities could be high or low) • 教育服务 (视教学活动的对象而定)
<p>Low 低</p>	<ul style="list-style-type: none"> • corporate activities and management, HQ and management of holding companies • 公司活动和管理, 控股公司的总部和管理 • wholesale and retail (depending on the product, could be medium or high, e.g. fuel) • 批发和零售 (取决于产品, 可能是中等或较高的, 例如燃料) • general business services (except industrial cleaning, hygiene cleaning, dry cleaning and education services). • 一般商业服务 (工业清洁, 卫生清洁, 干洗和教育服务除外)。 • transport and distribution - management services with no actual fleet to manage • 运输和分销-无需管理任何实际车队的管理服务 • engineering services (could be medium depending on type of services) • 工程服务 (根据服务类型而定, 可能为中等水平) • telecommunications and post office services • 电信和邮局服务 • restaurants and camping • 餐馆和露营 • commercial estate agency, estate management • 商业地产代理, 物业管理 • research & development on social sciences and humanities • 社会科学与人文科学的研究与发展 • public administration, local authorities • 公共行政, 地方当局 • financial institutions, advertising agency • 金融机构, 广告代理商

8.6 Audit times for ISO 45001 certifications

The complexity of OH&S risks shall be taken into account when determining the audit times, see chapter 8.6.

The following tables are based on IAF MD22 and indicate the **audit duration on site** as well as the **total audit time** (including time for audit planning and reporting).

In case of matrix certification, see RE_27_01_074e_Matrix Regulation.

In case of combination with other standards (combined audits), see chapter 4 "Stipulations for combinations (IMS Audits).

On the Intranet, document "FO_25_03_17e IMS Calculator" for the calculation of audit times is available on the Information platform under "ATAE Competence".

According to IAF MD5, the duration of an audit day is usually 8 hours.

确定审核时间时，应考虑到 OH&S 风险的复杂性，请参见第 8.6 章。

下表基于 IAF MD22，指出了现场审核时间以及总审核时间（包括审核计划和报告的时间）。

如果是矩阵认证，请参见 RE_27_01_074e_Matrix 法规。

如果与其他标准合并审核，请参见第 4 章“合并规定（IMS 审核）”。

在内部网络上，平台上的“职能”下提供了用于计算审核时间的文档“FO_25_03_17e IMS 计算器”。

根据 IAF MD5，审核日的持续时间通常为 8 小时。

8.6.1 Increase in audit time 增加审核时间

Additional factors that shall be considered:

应考虑的其他因素：

- complicated logistics involving more than one building or location where work is carried out, e.g. branch offices
- 涉及多个建筑物或工作地点的复杂物流，例如分公司
- staff speaking in more than one language (requiring interpreter(s) or preventing individual auditors from working independently)
- 员工使用多种语言（要求口译员协助个别审核员独立工作）
- A very large site for the number of employees (e.g. a forest)
- 员工人数众多的大型场所（例如森林）
- high degree of regulation (e.g. aerospace, nuclear power, refinery and chemical industry, fishing vessels, mining, food, drugs, etc.)
- 高度监管（例如航空航天，核电，炼油和化学工业，渔船，采矿，食品，药品等）
- system covers highly complex processes or relatively high number of unique activities
- 体系涵盖高度复杂的流程或相对大量的独特活动
- activities that require visiting temporary sites
- 需要访问临时场所的活动
- views of interested parties
- 有关方面的意见
- rate of accidents and occupational diseases higher than average for the business sector,
- 事故和职业病的发生率高于商业部门的平均水平，

- if the members of the public are present on the organization's site (e.g. hospitals, schools, airports, ports, train stations, public transport)
- 如果公共设施（例如医院，学校，机场，港口，火车站，公共交通工具）在组织的场所上
- the organization is facing legal proceedings related to OH&S (depending on the severity and impact of risk involved)
- 组织正面临与 OH&S 相关的法律诉讼（取决于所涉及风险的严重性和影响）
- 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)
- 许多承包商（分包）公司及其大量的临时员工存在导致复杂性或职业健康与安全风险增加（例如，炼油厂，化工厂，钢铁制造厂和其他大型工业园区的定期关闭或周转）
- 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
- 根据适用的国家法规和/或风险评估文档，如果危险物质的数量大量存在，使工厂面临重大工业事故的风险
- organization with sites included in the scope in other countries than the mother site country (if legislation and language are not well known)
- 组织的审核范围包含在其他国家/地区的场所（如果法律和语言不为人所知）

8.6.2 Decrease in audit time 减少审核时间

- maturity of the management system
- 管理体系的较为成熟
- prior knowledge of the client organization's management system (e.g. already certified in another voluntary OH&SMS scheme by Quality Austria)
- 客户组织管理体系的先验知识（例如，已经通过 Quality Austria 的另一项自愿性 OH&SMS 计划认证）
- very small site for number of personnel (e.g. office complex only)
- 人数很少的场所（例如仅办公大楼）

MIND: any decision taken in relation to the increase or decrease of audit times shall be documented!

记住：关于增加或减少审核时间的任何决定均应记录在案！

Reduction of the total audit time is possible when giving appropriate justification and taking into account the OH&S risks (keep the records of this justification already in the offer phase) However, **the reduction audit time shall not exceed 30% of the total audit time.**

如果给出适当的理由并考虑 OH&S 风险，则可以减少总审核时间（在报价阶段已经保留了此辩护的记录）但是，减少的审核时间不得超过总审核时间的 30%。

8.6.3 Initial certification 初审

Audit Stage 1 and Audit Stage 2 shall be considered when determining the audit time.

The minimum time of an Audit Stage 1 is based upon the complexity categories (low: at least 4 hours, medium: at least 6 hours, high: at least 8 hours).

确定审核时间时，应考虑一阶段审核和二阶段审核。

一阶段审核的最短时间基于复杂性类别（低：至少 4 个小时，中：至少 6 个小时，高：至少 8 个小时）。

Initial certification stage 1+stage 2 (hours) 初审一阶段+二阶段（小时）									
Effective number of employees 员工人数	Complexity 复杂程度								
	Total 合计	High 高		Medium 中			Low 低		
		Stage 1 on site 一阶段	Stage 2 on site 二阶段	Total 合计	Stage 1 on site 一阶段	Stage 2 on site 二阶段	Total 合计	Stage 1 on site 一阶段	Stage 2 on site 二阶段
1-5	24	8	11	20	6	10	20	4	12
6-10	28	8	14	24	6	13	24	4	15
11-15	36	8	21	28	6	16	24	4	15
16-25	44	8	27	36	6	23	28	4	18
26-45	56	8	37	44	6	29	32	6	20
46-65	64	8	43	48	8	30	36	6	23
66-85	72	8	50	56	8	37	40	6	26
86-125	88	12	58	64	8	43	44	8	27
126-175	96	12	65	72	8	50	48	8	30
176-275	104	12	71	80	8	56	56	8	37
276-425	120	12	84	88	8	62	64	8	43
426-625	128	12	90	96	8	69	72	8	50
626-875	136	12	97	104	12	71	80	8	56
876-1175	152	12	110	120	12	84	88	12	58
1176-1550	160	12	116	128	12	90	96	12	65
1551-2025	168	16	118	136	16	93	96	12	65
2026-2675	184	16	131	144	16	99	104	12	71
2676-3450	200	16	144	152	16	106	112	16	74
3451-4350	216	16	157	160	16	112	120	16	80
4351-5450	224	16	163	168	16	118	128	16	86
5451-6800	240	16	176	184	16	131	136	16	93
6801-8500	256	16	189	200	16	144	152	16	106
8501-10700	272	16	202	216	16	157	160	16	112
>10700	Follow above progression 接上进度								

8.6.4 Annual Surveillance Audits 年度监督审核

As a rule of thumb, about one third of the time required for the initial audit should be scheduled for the annual Surveillance Audit.

根据经验，每年的监督审核应安排初审所需时间的约三分之一。

complexity Effective number of employees 有效员工人数	Annual surveillance audit in hours, total and on-site 年度监督审核现场总小时数					
	High 高		Medium 中		Low 低	
	total	On site	total	On site	total	On site
1-5	8	7	7	6	7	6
6-10	9	8	8	7	8	7
11-15	12	10	9	8	8	7
16-25	15	12	12	10	9	8
26-45	19	15	15	12	11	9
46-65	21	17	16	13	12	10
66-85	24	20	19	15	13	11
86-125	29	24	21	17	15	12
126-175	32	26	24	20	16	13
176-275	35	28	27	22	19	15
276-425	40	32	29	24	21	17
426-625	43	34	32	26	24	20
626-875	45	37	35	28	27	22
876-1175	51	41	40	32	29	24
1176-1550	53	43	43	34	32	26
1551-2025	56	45	45	37	32	26
2026-2675	61	49	48	39	35	28
2676-3450	67	54	51	41	37	30
3451-4350	72	58	53	43	40	32
4351-5450	75	60	56	45	43	34
5451-6800	80	64	61	49	45	37
6801-8500	85	69	67	54	51	41
8501-10700	91	73	72	58	53	43
>10700	Follow above progression 接上进度					

8.6.5 Recertification Audit 重审

As a rule of thumb, about two thirds of the time required for the initial audit should be scheduled for the Recertification Audit. 根据经验，重审所需时间约安排为初审时间的三分之二。

	Recertification audit in hours, total and on-site 重审现场总小时数					
complexity Effective number of employees 有效员工人数	High 高		Medium 中		Low 低	
	total	On site	total	On site	total	On site
1-5	16	13	13	11	13	11
6-10	19	15	16	13	16	13
11-15	24	20	19	15	16	13
16-25	29	24	24	20	19	15
26-45	37	30	29	24	21	18
46-65	43	34	32	26	24	20
66-85	48	39	37	30	27	22
86-125	59	47	43	34	29	24
126-175	64	52	48	39	32	26
176-275	69	56	53	43	37	30
276-425	80	64	59	47	43	34
426-625	85	68	64	52	48	39
626-875	91	73	69	56	53	43
876-1175	101	82	80	64	59	47
1176-1550	107	86	85	68	64	52
1551-2025	112	90	91	73	64	52
2026-2675	123	98	96	77	69	56
2676-3450	133	107	101	82	75	60
3451-4350	144	116	107	86	80	64
4351-5450	149	120	112	90	85	68
5451-6800	160	128	123	98	91	73
6801-8500	171	137	133	107	101	82
8501-10700	181	146	144	116	107	86
>10700	Follow above progression 接上进度					

9. Stipulations for SCC and SCP certifications

9.1 General

The specifications are derived from the SCC sector committee and from the document ZM02 A Part 2.2 Requirements for participating Conformity Assessment Bodies. The certification time and work requirement specified in Chapter 9.4 can be understood as a minimum requirement for the implementation of SCC/SCP audits (the data in Chapter 9.4 cover all essential activities such as document review, the Certification Audit and reporting, travel times are excluded). As a rule, a certification body should not go below these specifications. Factors, which can reduce the time required, are:

- the status and maturity of the SHE system in the company as well as the knowledge obtained from the internal audits.
- if the number of employees in the area to be certified is in the lower limit range for the relevant size category.

If the calculated time is less than the minimum time, the certification body must document the reasons for this.

9.2 Initial certification acc. to SCC/ SCC^P/ SCP

Basically, a question from the SCC or SCP Checklist cannot be assessed (positively) until the relevant **guidelines and documents** of the organization **have been in force for at least three months**. Before this, a Certification Audit must not be conducted.

Audit Stages 1 and 2 have to be taken into account when determining the audit time.

The minimum audit time of the Audit Stage 1 Audit amounts to 4 hours.

The audit time stated in the Tables is composed of **Audit Stage 1, document review**, times for **preparing the audit plan and audit report** and the **on-site audit**. Audit Stage 1 is classified as on-site audit time.

For an Audit Stage 1, the checklist/audit report for the Certification Audit Stage 1 Annex SCC/SCP has to be used. According to ISO 17021, an audit schedule shall be prepared for the Audit Stage 1.

9.3 Surveillance Audit acc. to SCC/ SCC^P/ SCP

Surveillance Audits must be completed within the defined deadlines. What is decisive is the last audit day of the Certification or Recertification Audit and possibly the follow-up audit. Surveillance Audits shall be completed within the period of 9 to 12 months after the last audit day.

Completion is defined as the review of the Surveillance Audit report and positive decision on maintenance of certification.

MIND: According to the SCC requirements, certification shall be suspended if the deadline is exceeded (**withdrawal of the Certificate**).

9.4 SCC (or SCC^P) Audits

General procedure

- establishing the areas to be certified
(with / without branches, possibly only organizational units)
- determining the number of personnel / employees
determining the average number of employees:
number of employees = number of working hours performed / the regular working hours within the organization

If only parts of a company's organizational units are certified, not only the operational units will have to be considered but also the central services (e.g. Purchasing or Human Resources Departments)

- determining the number of the projects to be audited
- determining the minimum time requirements

If the audited organizational unit, headquarters or branch have more than 500 employees, an audit team shall be composed, including a SCC Lead Auditor and a Co-Auditor.

9.4.1 SCC Audits for organizations without branches

Table 9.4.1 Minimum time requirement for SCC or SCC^P - organizations **without** branches

Number of employees in the area certified	Certification Audit (audit days)	Surveillance Audit (audit days)	Recertification Audit (audit days)
up to 35 SCC*	1.5 incl. PC	1.0 incl. PS	1.0 incl. PR
up to 35 SCC**+SCC ^P	1.5 + 0.5 PC	1.0 + 0.5.PS	1.0 + 0.5 PR
36-100 SCC**+SCC ^P	2.5 + 0.5 PC	1.0 + 0.5.PS	1.5 + 0.5 PR
101-250 SCC**+SCC ^P	3.0 + 0.5 PC	1.0 + 0.5.PS	2.0 + 0.5 PR
251-500 SCC**+SCC ^P	3.5 + 0.5 PC	1.5 + 0.5.PS	2.5 + 0.5 PR
501-1000 SCC**+SCC ^P	4.0 + 0.5 PC	2.0 + 0.5 PS	3.0 + 0.5 PR
>1000 SCC**+SCC ^P	To be defined by the Certification Body		

In the Table, PC, PS and PR refer to project visits at the **C**ertification, **S**urveillance and **R**ecertification Audits.

9.4.2 SCC Audits for organizations with branches

In case of procedures where the client has multiple branches, the Certification Body must ensure that there is a legally enforceable agreement between the Certification Body granting certification and issuing the Certificate and all branches covered by the scope of certification.

For calculating the total time requirement for an SCC Audit within an organization with branches, the number of the branches to be audited shall be determined according to the branch regulation. The single time requirements for the headquarters and each branch selected are defined in the Tables below. The minimum time requirement for the audit is the sum of all single time requirements.

Table 9.4.2 Minimum time requirement for SCC and/or SCC^P organizations with branches

Number of employees in the area certified	Certification Audit (audit days)	Surveillance Audit (audit days)	Recertification Audit (audit days)
up to 35	1.0 + 0.5 PC	0.5 + 0.5 PS	1.0 + 0,5 PR
36 – 100	2.0 + 0.5 PC	1.0 + 0.5 PS	1.5 + 0,5 PR
101 – 250	2.5 + 0.5 PC	1.0 + 0.5 PS	2.0 + 0,5 PR
251 – 500	3.0 + 0.5 PC	1.5 + 0.5 PS	2.5 + 0,5 PR
501 – 1000	3.5 + 0.5 PC	1.5 + 0.5 PS	3.0 + 0.5 PR
> 1000	To be defined by the Certification Body		

Table 9.4 Minimum time requirement for SCC and/or SCC^P auditing of branches

Number of employees in the area certified	Certification Audit (audit days)	Surveillance Audit (audit days)	Recertification Audit (audit days)
up to 35	To be defined by the Certification Body		
up to 250	1.0 + 0.5 PC	1.0 + 0.5 PS	1.0 + 0.5 PR
from 251	1.5 + 0.5 PC	1.5 + 0.5 PS	1.5 + 0.5 PR

Sampling size when using the branch regulation

Number of branches	Certification Audit (CA)	Surveillance Audit (SA)	Recertification Audit (RA)
x	\sqrt{x}	$0.6 \cdot \sqrt{x}$	$0.8 \cdot \sqrt{x}$

9.4.3 Project visits

If certification against SCC or SCC^P is carried out, the following additional audit time shall be calculated for visiting projects/construction sites/contracts.

Table 9.4.3 Determining the number of projects to be audited

Number of projects in the certification area (P)	Number of project visits at the Certification Audit (PC)	Number of project visits at the Surveillance Audit (PS)	Number of project visits at the Recertification Audit (PR)
1	1	1	1
2-5	2	1	2
6-11	3	2	2
12-19	4	2	3
19-30	5	3	4
31-42	6	4	5
> 42	\sqrt{P}	0.6 x PC	0.8 x PC

*) A project can be understood for example as a construction site where the expected scope of work of 500 person days is exceeded or the expected duration of the work is more than 30 days and where more than 20 employees are active at the same time.

The number of projects is the average number of projects/construction sites/orders per day over the year. Construction sites, workshops or production areas that are

operated under one management can be combined into one project. This also applies to similar activities with a small vertical range of manufacture.

The time and work involved is dependent on the size and structure of the project/construction site/contract. For example, micro-construction sites can be grouped together as one project, as long as these are operating under the same site management.

As a rule, a time requirement of 0.5 audit days (= 4 hours) shall be scheduled for each project.

If less than 10 employees are expected to be on site by the time of the project visit, the time requirement can be reduced to 0.25 audit days (= 2 h). Two on-site hours are the minimum time requirement that must not be undercut. Travelling times are not included in these 2 hours.

9.5 SCP certification

The following definitions apply:

- The number of branches to be audited is determined according to Table 9.4.3. Here, the branches/sites are considered as projects.
- If there is a central branch, it will be classed as a head office
- If on-site project visits are planned for work places of temporary workers at the employer's premises, the audit time intended for the branches and headquarters can be reduced by the time scheduled for the project visit. However, the minimum time requirement for the Certification Audit in the headquarters amounts to one audit day on site.
- Basically, the following applies to any SCP audit: no matter whether it is a question of a Certification, Surveillance or Recertification Audit, the employees are in any case observed and interviewed at their work. If this is, in exceptional cases, not possible on the construction site, temporary workers will have to be invited to come to an audit interview to the personnel provider's office so that the auditor can interview them.

The minimum time requirement for the Certification Audit of the head office amounts to one (1) man-day on site.

Table 9.5 Minimum time requirement for SCP Audits

Certification Audit (audit days)	Surveillance Audit (audit days)	Recertification Audit (audit days)
2.0 + 0.5 PC	1.0 + 0.5 PS	

9.6 Stipulations for combinations with SCC / SCP

In cases where SCC/SCP certification is combined with other management certifications, but also in case of combination of SCC and SCP, a reduction of the overall time requirement may result.

The reduction is principally justified with system synergies because several elements are contained equally in SCC and ISO 9001 and/or ISO 14001 and/or ISO 45001 and thus have been implemented already.

The synergies and reductions shall be justified in writing by the Lead Auditor.

9.6.1 Combinations with SCC / SCP

At combined audits with SCC/SCP, reduction time of the overall audit time for SCP **must not exceed 50 %**.

9.6.2 Combinations with ISO 45001

At combined audits of ISO 45001 and SCC, reduction time of the overall audit time for SCC **must not exceed 20 %**.

It should be noted that project visits will have to be agreed additionally – independently from the minimum time requirement and depending on the number and size of the projects.

9.6.3 Combinations with ISO 9001 and / or ISO 14001

In case that SCC and/or SCP certification is combined with quality and environmental management systems, the calculated minimum audit time for SCC and/or SCP auditing can be reduced by **a maximum of 20%**.

10. Stipulation for Business Continuity Certification ISO 22301

The following general conditions apply for calculating the on-site audit time for an ISO 22301 certification.

- Audit time calculation ISO 22301 as **“stand alone” certification** (hours on-site)
 - The audit time is calculated and defined by the product expert.
 - The table “FO_27_01_130_Calculation guideline_ISO_22301”, with mutatis mutandis application of the **qualityaustria** stipulations (2.2.1 Increase in audit time and 2.2.2 Decrease in audit time) shall be considered for calculation.
 - Generally, the audit time as calculated by means of the calculation guideline 22301 applies. The factor-based reduction time of audit time must not exceed 30%. This reduction of 30% in an ISO 22301 audit may only be subtracted from the total of hours (Audit Stage 1 + Audit Stage 2) – 30%. These 30% must not be subtracted from one stage alone.
- Calculation of audit time for ISO 22301 audits (on-site hours) **combined with other standards**.
 - Generally, the audit time (AT) as calculated by means of the calculation guideline 22301 applies, and will then be multiplied by the applicable factors as listed below.
Relevant reasons for increase or decrease in audit time (see “stand alone”) are taken into account
Calculation formula:
*AT 22301 combined = AT calculation * combined factor +/- increase/decrease*
 - If an organization has already implemented one or more certified management systems for more than 3 years, the audit time for ISO 22301 **Audit Stage 1** can be reduced; however, a minimum of 4 hours shall be scheduled.
 - Factors for combination of ISO 22301 with other management system

- Audit acc. to ISO 22301 combined with ISO 9001
0.6 (i.e. 60% of the audit time acc. to the calculation guideline)
(e.g. when 40 hours of audit time are calculated for ISO 22301, 24 hours of actual audit time will be scheduled for the combined audit, regardless of the number of hours for ISO 9001; relevant extension/reduction of these 24 hours shall be taken into account)
- Audit acc. to ISO 22301 combined with ISO 9001 or either ISO 14001 or ISO 45001
0.4 (i.e. 40% of the audit time acc. to the calculation guideline)
- Audit acc. to ISO 22301 combined with ISO 9001 AND ISO 45001
0.3 (i.e. 30% of the audit time acc. to the calculation guideline)
- In case of combinations with other standards, the time shall be calculated by the product expert and the result of the calculation shall be documented.

In case of matrix certification, see RE_27_01_074_Matrix Regelung.

11. Stipulations for risk assessment acc. to ISO 31000

The following basic conditions apply for the calculation of the on-site audit time of an ISO 31000 assessment.

The complexity is defined in accordance with ISO 45001.

- Assessment only according to ISO 31000.
 - Initial assessment (IA)

Number of employee	Complexity high	Complexity medium	Complexity low
01 to 50	10h	8h	6h
51 to 100	14h	12h	10h
101 to 500	18h	16h	14h
> 500	24h	22h	20h

- Annual surveillance = hours of the IA multiplied by 0.6
- Repeat assessment after 3 years = hours of the IA multiplied by 0.8
- For the preparation of the assessment report, the same regulations as for ISO 9001 apply
- Calculation of audit time for ISO 31000 (on-site hours) when combined with audits of other standards
 - Assessment according to ISO 31000 with ISO 9001
30% of the audit time for ISO 9001 will be used for ISO 31000 assessment in the framework of a combined audit (e.g. 20 hours ISO 9001 + 6 hours ISO 31000)
 - Assessment according to ISO 31000 with ISO 9001 and ISO 14001 or ISO 45001
20% of the combined audit time will be used for ISO 31000 in the framework of the combined audit
 - Assessment according to ISO 31000 with ISO 9001 and ISO 14001 and ISO 45001
10% of the combined audit time will be used for ISO 31000 in the framework of the combined audit

Equivalent to the procedure used for audits and the handling of audit documents, all relevant risk assessment documents are uploaded to WIS after conclusion of the on-site assessment. Afterwards, the auditor must complete the order.

If the ISO 31000 audit is carried out together with an ISO 22301 audit, the same minimum time requirements apply for the ISO 31000 assessment as for certification according to ISO 22301, except for initial certification. When assessing ISO 31000, an Audit Stage 1 is not necessary.

12. Stipulations for certification acc. to ÖNORM D 4901

For calculating the on-site time needed for ÖNORM D 4901 certification, the basic conditions for audits are analogous to those of ISO 31000.

The combination of certification acc. to ÖNORM D 4901 and auditing acc. to ISO 31000 will have to be calculated as being 10% of the time needed for one of the single models.

13. Stipulations for risk scans 风险扫描规定

Risk scans are not a consulting service but a moderated assessment. An auditor nominated for ISO 31000 Scan / Quick Scan is acting as a moderator.

For risk scans and risk quick scans, no reports are written and no certificates or attestations are issued.

The completed risk (quick) scan checklist is converted to a "PDF" file and remains with the client in electronic form.

The relevant documents for risk scans include the acknowledgement of audit, the invoice and possible evidence of expenditure, which need to be uploaded to WIS.

As for risk scans, a polyvalent hourly rate is always applicable.

风险扫描不是一种咨询服务，而是一种适度的评估。一位被提名为 ISO 31000 扫描/快速扫描的审核员担任主持人。

对于风险扫描和风险快速扫描，不编写报告，也不颁发证书或证明。

完成的风险（快速）扫描清单将转换为"PDF"文件，并以电子形式保留给客户。

风险扫描的相关文件包括审核确认书、发票和可能的支出证据，需要上传到 WIS。

至于风险扫描，多价小时费率始终适用。

a) Risk Scan 风险扫描

The risk scan includes full processing of the 10 main groups acc. to the 10 RCM method and takes 8 hours.

风险扫描包括对 10 个主要组的完整处理。到 10 RCM 方法，需要 8 小时。

b) Risk Quick Scan 风险快速扫描

At the risk quick scan, the client chooses three focal groups from the 10 RCM main groups. These three groups are processed fully whereas the remaining seven RCM main groups are covered by asking 10 key questions. The risk quick scan takes approx. 4 hours.

在风险快速扫描中，客户从 10 个 RCM 主要组中选择三个焦点组。这三个组被完全处理，而其余七个 RCM 主要组通过询问 10 个关键问题来涵盖。风险快速扫描大约需要 4 个小时。

14. **Stipulations for the Austria Quality Seal - Austrian Model Plant**

The minimum time needed for individual assessments is determined as follows:

Companies with up to 50 employees: 4 hours on-site audit and 3 hours report

Companies >50 employees: 6 hours on-site audit and 4 hours report

The time needed for audits in combination with other specification models (ISO 9001, ISO 14001, ISO 45001 etc.) is determined as follows:

Additionally 2 hours on-site audit and 2 hours report

At the annual or biannual audit, the stipulations mentioned above also have to be considered.

15. Stipulations for PEFC COC and ISO 38200

The minimum time on-site is calculated per standard.

The total hours for a combined audit PEFC COC with ISO 38200 can be reduced by a maximum of 2 hours. E.g. CA: 4 hrs PEFC + 4 hrs ISO 38200 = 8 hrs / reduction to 6 hrs possible due to the common issue of due diligence.

Exception of micro enterprises. For **combinations** with an **ISO standard**, a reduction of **maximum 1 hour per standard** is possible.

The **minimum time needed for the on-site audit** may be **reduced** for **micro enterprises**. **Reduction must not exceed 25%** of the audit hours.

Note: Micro enterprises are defined as having less than 10 employees and an annual turnover or global balance less than 2 million EUR (or equivalent in the national currency).

Scheduled time can be merged for 2 or 3 Standards, for example 1.5 hours instead of 2 hours. Hours planned for preparing the audit report can be reduced; however, the auditor has to bear in mind that each Standard Clause should be recognized in the audit report and he should calculate sufficient time for preparing the audit report.

When determining the audit time, the Lead auditor should consider, among other things, the following aspects:

- The requirements of the chain of custody standard (increased documentation effort);
- The size and complexity of the customer's business activity; the number of product types and product lines that are covered by the product group(s) and their uniformity;
- On-site audits at the premises of an outsourcing partner: at least 2 to 3 hours, depending on the complexity; must be calculated without travel time; the change of location to the outsourcing partner during the audit is calculated as audit time;
- The results of previous audits, including those of the client organization's management system
- Number of sites and multi-site considerations.
- Determine, document, review the access and evaluate the recording of legal requirements.

On-site minimum time for Single Certificates

The times to be used for preparation and reporting are recommended values.

PEFC COC:

Type of Certification Single Certificate		Complexity		
		Low	Medium	High
Stage 1		3	4	4
Certification audit Surveillance audit Recertification audit	On Site	4	4	5
	Preparation	2	2	2
	Report	3	4	4

ISO 38200

Type of Certification Single Certificate		Complexity		
		Low	Medium	High
Stage 1		3	3	3
Zertifizierungsaudit Überwachungsaudit Verlängerungsaudit	On Site	4	4	5
	Preparation	1	2	3
	Report	3	4	5

On-site minimum time for Multiple-sites:

The on-site hours for the central office and the sites are calculated as for single certificates. The central office must be audited annually. The minimum number of sites is determined in accordance with FSC-STD-20-011 (current version) and PEFC ST 2003:2012 (current version). For ISO 38200, the same procedure should be applied.

Unannounced Audits:

The scope depends on the objective (purpose and scope) and is determined if necessary.

From July 1, 2022, a **veto fee of € 150,--** will be charged for the veto check of business transactions.

The costs for logo releases will be accounted at the end of the respective calendar year, based on the number of releases issued.

History chart

Date	Edition	Amendments	Notes
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Nov. 11, 2012	2012/11	Supplements / adjustments in the field of IATF 16949 <ul style="list-style-type: none"> • audit times for Recertification Audits • Chapter 19.2.1 • Chapter 19.2.3 • Chapter 19.3.2.2 • Chapter 19.4.1 • Chapter 19.4.2 New title page New history chart	
Jan. 19, 2013	2013/01	ISO 50001 is a stage 1 audit is required in combination with ISO 14001. (8.2)	
Feb. 14, 2013	2013/02	Adding SCC ^P to Chapter 14.2	
Oct. 05, 2013	2013/05	Adding Chapters 17.1 and 17.5	
Nov. 26, 2013	2013/11	Complete revision of Chp. 14+15 SCC_SCP Adding Chp. 13	
March 04, 2014	2014/04	Taking out automotive items (formerly 17 - 19) were taken out; the requirements are part of the Automotive Guidelines; Adapting the Table of Contents	
June 06, 2014	2014/06	Adding ONR 49001 and combination with ISO 31000	
July 22, 2014	2014/07	Adding ISO 50001 single-audit solution – Chp. 8	
July 28, 2014	2014/07	Taking out food items (formerly Chp. 16); the requirements are part of the Food Guidelines.	
2015-02-02	2015/02	Adding ISO 50001 to Chapter 8.3 Initial certification with combination ISO 9001	
2015-03-11	2015/03	Adding AUVA_SGM (Ö-SGMS) Chapter 16	
2015-04-23	2015/04	Adjustments in Chapter 17, New chapter (18) added: ISO 22301, Adjustments in Chapter 19, Adjustments in "Risk Scans" and displaced → Chapter 21	
2015-09-02	2015/09	Adjustments in Chapter 18	
2015_10_03	2015/10	Adding FSC CoC and PEFC CoC Chapter 23	
2016-06-01	2016/06	Chapter 13: Additional combination ISO 14001, SMS and 18001	

2016-07-28	2016/07	Chapter 1: Supplementary product-specific guidance Chapters 2 + 4: Update of extension and shortening of the audit times Chapter 3: Update of EA and NACE	
2017-04-12	2017/04	Chapter 19: ISO 31000 Supplementary audit times / incl. combined audits	
2017-05-29	2017/06	Chapter 23: FSC CoC/PEFC_CoC Adjustments from the determination of the audit duration	
2017-06-02	2017/06	ISO/TS 16949 to IATF 16949	
2017-06-22	2017/07	Chapter 8: Consideration of ISO 50003	
2017-09-07	2017/09	Chapter 23: CoC/PEFC_CoC Reductions in combined offers and micro enterprises	
2018-04-13	2018/03	The entire document has been revised (ISO 45001) and adjusted in accordance with the German version. → Wording, numbering, formatting etc. Introduction, non-discrimination clause. All chapters concerning Matrix Certification have been deleted, reference to the document RE_27_01_074_Matrix_Regelung. ISO 45001 has been added to the document. Adjustments to MD 22. Reduction in the field of environment has been changed to 30%; in case of IMS Audits – an additional reduction of 20% possible.	
2018-09-10	2018/09	Additions Chapter 6 for revision ISO 50001:2018 Supplement Chapter 16 Definition for FSC CoC, PEFC CoC and <u>ISO 38200</u>	
2018-12-21	2018/12	Time tables adapted to MD5, change of calculation of employees working in shift	
2019-04-24	2019/04	Supplement Chapter 4.2 EAA	
2020-11-20	2020/11	Deletion of Chapter 4.2 Withdraw of the "Extended Audit	

		Approach" until further notice. IAF is currently clarifying IAF MD11.	
2021-02-01	2021/02	Deletion of ONR 49001 and incorporation of ÖNORM D 4901	
2022-03-01	2022/03	Removed OHSAS 18001 from the entire document. Added: According to IAF MD5, the duration of an audit day is usually 8 hours. Item 16: Specification for FSC COC, PEFC COC and ISO 38200: Reduction listed; Minimum time tables for individual certificates, scale for FSC trademark added.	
2022-10-06	2022/10	Changes in Chapter 6: Point "Revision ISO 50001:2018 and transitional regulation" deleted 6.1 regarding ISO 50003:2021 - input parameters adapted; 6.2 Table A.3 updated; 6.3 Table A.4 updated; 6.4 Multisite ISO 50001:2018 based on 50003:2021 added	
2023.10.19	2023/10	Supplement Chapter 4.1 - IATF with IMS standards / auditing of IMS requirements prior to the opening meeting	
2024.03.28	2024/03	Deletion of point 10 specifications for AUVA-SGM (Ö-SGMS); Chapter 16: FSC deleted;	
2024.05.07	2024/05	Chapter 9.4.3: SCC – Adjustment to the number of project visits	