



## ISO 14001 AUDIT TIME DETERMINATION AND WAGING INSTRUCTION

### 1.0. PURPOSE

Purpose of this instruction is the preparation, presentation and be followed up the all offers that QA Technic would present.

### 2.0. SCOPE

It includes Certification, surveillance, recertification, follow up and special audits.

### 3.0. RESPONSIBLES

Audit Planning Responsible, Lead Auditors, Auditors and Certification Manager are responsible for execution of this instruction.

### 4.0. APPLICATION

#### 4.1. Audit Duration,

- a) Requirements of related management system standard,
- b) Size, complexity, number of shifts,
- c) Its technology and legislation status,
- d) Each outsourced activity within management system standard,
- e) Results of previous audits,
- f) Issues related with number of sites and multi sites,
- g) Risks related with products, processes or performed activities of the company,
- h) Related with combined, common and integrated audits,
- g) Layout features,
- h) Organization's ability in fulfillment of environment legislation and other requirements,
- j) Structure of Environment aspects and their significance.

4.2. Starting point for calculating the audit duration of the company are risk category of company sector (Table-1) and total number of employees of the company. (Table-2)

Audit time spent by individual who is not assigned as auditor (in other words, technical experts, interpreters, observers and candidate auditors) is not considered within total audit duration.

Usage of interpreters and translators might require additional audit time.

Assigned audit duration for auditors could not be decreased by extending working hours per day.

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### 4.2.1 Examples of Linkage between Business Sectors and Complexity Categories of Environmental Aspects – Tablo 1

Complexity Category	Business Sector
<b>High</b>	<ul style="list-style-type: none"><li>– mining and quarrying</li><li>– oil and gas extraction</li><li>– tanning of textiles and clothing</li><li>– pulping part of paper manufacturing, including paper recycling processing</li><li>– oil refining</li><li>– chemicals and pharmaceuticals</li><li>– primary productions – metals</li><li>– non-metallics processing and products covering ceramics and cement</li><li>– coal-based electricity generation</li><li>– civil construction and demolition</li><li>– hazardous and non-hazardous waste processing, e.g. incineration, etc.</li><li>– effluent and sewerage processing</li></ul>
<b>Medium</b>	<ul style="list-style-type: none"><li>– fishing/farming/forestry</li><li>– textiles and clothing except for tanning</li><li>– manufacturing of boards, treatment/impregnation of wood and wooden products</li><li>– paper production and printing, excluding pulping</li><li>– non-metallics processing and products covering glass, clay, lime, etc.</li><li>– surface and other chemically-based treatment for metal fabricated products, excluding primary production</li><li>– surface and other chemically-based treatment for general mechanical engineering</li><li>– production of bare printed circuit boards for electronics industry</li><li>– manufacturing of transport equipment – road, rail, air, ships</li><li>– non-coal-based electricity generation and distribution</li><li>– gas production, storage and distribution (<i>note: extraction is graded high</i>)</li><li>– water abstraction, purification and distribution, including river management (<i>note: commercial effluent treatment is graded as high</i>)</li><li>– fossil fuel wholesale and retail</li><li>– food and tobacco processing</li><li>– transport and distribution by sea, air, land</li><li>– commercial estate agency, estate management, industrial cleaning, hygiene cleaning, dry cleaning normally part of general business services</li><li>– recycling, composting, landfill (of non-hazardous waste)</li><li>– technical testing and laboratories</li><li>– healthcare/hospitals/veterinary</li><li>– leisure services and personal services, excluding hotels/restaurants</li></ul>
	<ul style="list-style-type: none"><li>– hotels/restaurants</li></ul>

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<b>Low</b>	<ul style="list-style-type: none"><li>– wood and wooden products, excluding manufacturing of boards, treatment and impregnation of wood</li><li>– paper products, excluding printing, pulping, and paper making</li><li>– rubber and plastic injection moulding, forming and assembly, excluding manufacturing of rubber and plastic raw materials that are part of chemicals</li><li>– hot and cold forming and metal fabrication, excluding surface treatment and other chemical-based treatments and primary production</li><li>– general mechanical engineering assembly, excluding surface treatment and other chemical-based treatments</li><li>– wholesale and retail</li><li>– electrical and electronic equipment assembly, excluding manufacturing of bare printed circuit boards</li></ul>
<b>Limited</b>	<ul style="list-style-type: none"><li>– corporate activities and management, HQ and management of holding companies</li><li>– transport and distribution management services with no actual fleet to manage</li><li>– telecommunications</li><li>– general business services, except commercial estate agency, estate management, industrial cleaning, hygiene cleaning, dry cleaning</li><li>– education services</li></ul>
<b>Special Cases</b>	<ul style="list-style-type: none"><li>– nuclear</li><li>– nuclear electricity generation</li><li>– storage of large quantities of hazardous material</li><li>– public administration</li><li>– local authorities</li><li>– organizations with environmental sensitive products or services, financial institutions</li></ul>

In accordance with the table pasted above; total audit duration for company whose risk a is determined is calculated by using total number of employee according to the Table-2.

Table 2. Relationship between Effective Number of Personnel, Complexity and Audit Duration (Initial Audit only)

Effective Number of Personnel	Audit Duration Stage 1 + Stage 2 (days)				Effective Number of Personnel	Audit Duration Stage 1 + Stage 2 (days)			
	High	Med	Low	Lim		High	Med	Low	Lim
1-5	3	2.5	2.5	2.5	626-875	17	13	10	6.5
6-10	3.5	3	3	3	876-1175	19	15	11	7
11-15	4.5	3.5	3	3	1176-1550	20	16	12	7.5
16-25	5.5	4.5	3.5	3	1551-2025	21	17	12	8
26-45	7	5.5	4	3	2026-2675	23	18	13	8.5
46-65	8	6	4.5	3.5	2676-3450	25	19	14	9
66-85	9	7	5	3.5	3451-4350	27	20	15	10
86-125	11	8	5.5	4	4351-5450	28	21	16	11
126-175	12	9	6	4.5	5451-6800	30	23	17	12
176-275	13	10	7	5	6801-8500	32	25	19	13
276-425	15	11	8	5.5	8501-10700	34	27	20	14
426-625	16	12	9	6	>10700	Follow progression above			

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Note 1: Audit duration is shown for high, medium, low and limited complexity audits.

Note 2: The numbers of personnel in Table 2 should be seen as a continuum rather than a stepped change.

Note 3: The CAB's procedure may provide for audit duration for a number of personnel exceeding 10700. Such audit duration should follow the progression in Table 2 in a consistent fashion.

Once the total audit duration and total number of auditors are determined by planning responsible, Lead auditor detects the factors which could cause total audit duration to be increase or to be decreased during Stage 1 audit by using the company information.

If product or service realisation process is being handled on shift basis, the audit that could be conducted per each shift is determined according to the manner of processes realised during each shift and to what extend the customer is capable of controlling the process that are being realised withi each shift. Reason for not auditing each shift shall be recorded within File-maker programme.

If the working structure of company is based on shifts, employee number which would form base for audit duration is calculated according to the formula stated below.

$$A = B + \{ C / (D-1) \}$$

A=Total number of Employee

B=Total number of employee per each shift

C=Total number of employee who only work on shift basis

Stage 1 audit is realised by Lead Auditor (if needed, realised with Auditor).During calculation of Audit Duration, riak category and complexity category are taken into consideration.

On-site audit constitutes %80 of the total determined audit duration.In case, an additional time would be needed for purposes of planning and/or report writing, it shall not be considered as decreasing factor for on-site audit.

4.3. For Certification audits; factors that could be considered as increasing and decreasing factors for audşst time duration are summarised below:

### **Increase in audit duration:**

- Complicated logistics involving more than one building or location where work is carried out. e.g., a separate Design Centre must be audited;
- Staff speaking in more than one language (requiring interpreter(s) or preventing individual auditors from working independently);
- Very large site for the number of personnel (e.g., a forest);
- High degree of regulation (e.g. food, drugs, aerospace, nuclear power, etc);

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- System covers highly complex processes or relatively high number of unique activities;
- Activities that require visiting temporary sites to confirm the activities of the permanent site(s) whose management system is subject to certification.

### Increases in audit duration for EMS only:

- Higher sensitivity of receiving environment compared to typical location for the industry sector;
- Views of interested parties;
- Indirect aspects necessitating increase in auditor time;
- Additional or unusual environmental aspects or regulated conditions for the sector.

### Decrease in audit duration:

- Client is not "design responsible" or other standard elements are not covered in the scope (QMS only);
- Very small site for number of personnel (e.g. office complex only),
- Maturity of management system;
- Prior knowledge of the client management system (e.g., already certified to another standard by the same CAB);
- Client preparedness for certification (e.g., already certified or recognized by another 3rd party scheme);
- Low complexity activities, e.g.
- Processes involve a single generic activity (e.g., Service only);
- Identical activities performed on all shifts with appropriate evidence of equivalent performance on all shifts based on prior audits (internal audits and CAB audits);
- Where a significant proportion of staff carry out a similar simple function;  
Note: For EMS, low complexity processes are captured in Table EMS 1.
- Where staff include a number of people who work "off location" e.g. salespersons, drivers, service personnel, etc. and it is possible to substantially audit compliance of their activities with the system through review of records.

All attributes of the client's system, processes, and products/services should be considered and a fair adjustment made for those factors that could justify more or less auditor time for an effective audit. Additive factors may be off-set by subtractive factors.

Processes which are accepted to be low complexity processes for EMS audits are considered in IAF MD5:2013 tablo by EMS 1.

Additional factors which shall be considered while calculating Integrated Management System audit duration are detailed at IAF MD-11:2013.

**4.4.** Even if the factors causing total audit duration to be decreased, total audit duration could not be decreased more than %30.

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**4.5-** All Certification audits are realised as 2 staged. Stage 1 audits of special cases, high risk and medium risk are conducted on-site. If needed, Stage 1 audit of other risk groups could be conducted as on-site.

**4.6** In relation with environment aspects of organization, five fundamental complexity categories are taken into consideration.

**High** – environmental aspects with significant nature and gravity (typically manufacturing or processing type organizations with significant impacts in several of the environmental aspects);

**Medium** – environmental aspects with medium nature and gravity (typically manufacturing organizations with significant impacts in some of the environmental aspects);

**Low** – environmental aspects with low nature and gravity (typically organizations of an assembly type environment with few significant aspects);

**Limited** – environmental aspects with limited nature and gravity (typically organizations of an office type environment);

**Special** – these require additional and unique consideration at the audit planning stage

NOTE: Although a company within chemical sector shall be classified among “High Complexity” category if only involved with mixing activity far from chemical reaction and/or commercial processes could have a chance to be classified within “medium” even “low” complexity categories.

Considering risk category by Lead Auditor conducting Stage 1 audit in accordance with complexity category, audit duration could be decreased or increased.

**4.7-** For surveillance audits 1/3 of total audit duration shall be assigned; for re-certification audits 2/3 of total audit duration shall be assigned. The factors which could increase and decrease the audit duration shall be taken into consideration and recorded by Lead Auditor if exists. For re-certification audits; review of system performance of client does not form part of total audit man day duration. Ohsas complexity criterias are considered during initial Certification, surveillance and recertification audits.

**4.8-** Planning and report writing activities within total assigned audit duration shall not exceed %20 of total audit duration defined at Table of Audit Realisation per Type.

### 4.9 ÜCRETLENDİRME

1. Stage Audit (Audit man/day)	1250,00 €	Will be paid in application
2. Stage Audit (Audit man/day)	1250,00 €	Will be paid in application
Annual Certificate Fee	1250,00 €	Gözetim Randevusunda ödenecek
Surveillance Audit (Audit man/day)	1250,00 €	Will be paid in application
Optional Preliminary Audit (Audit man/day)	1250,00 €	Before the audit date Customer has to pay audit fee in case cancellation of Appointment prior to 24 hours
Double certificate fee (Germ./Eng)	100,00 €	Will be paid in application

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An extra certificate in different language, certificate issue date	100,00 €	Will be paid in application
Travel expense (Audit man/day)	300,00 €	Before the audit date Customer has to pay audit fee in case cancellation of Appointment prior to 24 hours

Extension of certificate scop		
Pre assesment	1250,00 €	Will be paid in application
Realisatio of audit (Audit man/day)	1250,00 €	Will be paid in application
Travel expense (Audit man/day)	300,00 €	At the audit date Customer has to pay audit fee in case cancellation of Appointment prior to 24 hours

#### 4.10 TEMPORARY SITE, MULTI SITE AND INTEGRATED AUDITS

In order to determine decrease in audit duration for integrated audits; Form named as INTEGRATION RATIO AND TIME DISCOUNT DETERMINATION FORM AT INTEGRATED AUDITS is used. Detailed information related with Temporary Site, Multi Site and Integrated Audits are available at PR-09.

#### 5.0. RELATED DOCUMENTATION

PR-19 ISO 14001:2009 Certification Procedure

PR-09 Audit and Certification Procedure

#### 6.0. REFERENCES:

ISO/IEC 17021 and related DAKKS guidelines

IAF MD 5 :2013 Duration of QMS and EMS Audits

IAF MD 11:2013 IApplication of ISO/IEC 17021 for Audits of Integrated Management Systems (IMS)

IAF MD 1:2007 Certification of Multiple Sites Based on Sampling

#### 7.0. REVISION STATUS

Revision Date	Revision Number	Revised Clause	Explanation
24.05.2013	00		Generation of the instruction
12.02.2016	01		Logo has been changed

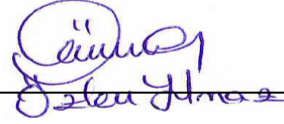
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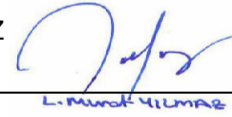
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