审核时间管理程序
Audit Time Management Procedure

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1、目的和适用范围

1. Purpose and scope of application

为确定对不同规模、不同复杂程度、从事各类活动的客户实施审核所需的时间，以便为审核组提供充足的审核时间，制定本程序。

This procedure has been developed to determine the time required to audit customers of different sizes, complexity, and activities in order to provide sufficient audit time for the audit team.

本程序适用初次审核、监督审核、再认证审核所需的审核时间的确定。

This procedure is applicable to the determination of audit time required for initial audit, supervision audit and recertification audit.

2、规范性引用文件

2. Normative references

下列文件对本文件的应用是必不可少的。凡是注日期的引用，仅注日期的版本适用于本文件。凡是不注日期的引用文件，其最新版本（包括所有的修改单）适用于本文件。

The following documents are essential for the application of this document. For dated references, only the dated edition applies to this document. For undated references, the latest edition (including all amendments) is applicable to this document.

CNAS-CC01《管理体系认证机构要求》（idt ISO/IEC 17021-1）

CNAS-CC01 Requirements for Management System Certification Bodies (IDT ISO/IEC 17021 -1)

CNAS-CC11《多场所组织的管理体系审核与认证》（idt IAF MD1）

CNAS-CC11 Management System Audit and Certification for Multi-Site Organizations (IDT IAF MD1)

CNAS-CC14《计算机辅助审核技术在获得认可的管理体系认证中的使用》（idt IAF MD4）

CNAS-CC14 Use of Computer-Aided Audit Techniques in Accredited Management System Certification (IDT IAF MD4)

CNAS-CC105《确定管理体系审核时间（QMS、EMS、OHSMS）》（idt IAF MD5）

CNAS-CC105 Determination of Management System Audit Time (QMS, EMS, OHSMS) (IDT IAF MD5)

CNAS-CC106《CNAS-CC01 在一体化管理体系审核中的应用》（idt IAF MD11）

CNAS-CC106 Application of CNAS-CC01 in Integrated Management System Audit (IDT IAF MD11)

CNAS-SC125《职业健康安全管理体系认证机构认可方案》（idt ISO/IEC TS 17021-10）

CNAS-SC125 Scheme for Accreditation of Occupational Health and Safety Management System Certification Bodies (IDT ISO/IEC TS 17021 -10)

CNAS-GC02《管理体系认证结合审核应用指南》

CNAS-GC02 Application Guide for Management System Certification Combined with Audit

国家认监委公告〔2025〕16 号-质量管理体系认证规则

CNCA Announcement [2025] No.16-Rules for Quality Management System Certification

3、定义

3. Definition

3.1 认证方案：针对特定的管理体系，适用相同的要求、规则和程序的合格评定制度。

3.1 Certification scheme: a conformity assessment system that applies the same requirements, rules, and procedures for a particular management system.

3.2 客户组织：运行管理体系的实体或一个实体内有明确界定的一部分。

3.2 Client organization: the entity that operates the management system or a clearly defined part of an entity.

3.3常设场所：客户组织（4.2）持续进行工作或提供服务的场所（有形的或虚拟的）。

3.3Permanent location: The location (physical or virtual) where the client organization (4.2) performs work or provides services on an ongoing basis.

3.4虚拟场所：客户组织使用在线环境进行工作或提供服务，允许人员无需考虑有形位置或实施过程的虚拟位置。

3.4Virtual location: The client organization uses an online environment to work or provide services, allowing personnel to work without regard to the physical location or virtual location of the implementation process.

注 1：当某过程必须在某一有形环境实现时不能将其考虑为虚拟场所，如：仓储、制造、物理检测实验、安装或维修有形产品等。

Note 1: When a process must be realized in a tangible environment, it cannot be considered as a virtual place, such as warehousing, manufacturing, physical testing experiments, installation or maintenance of tangible products, etc.

注 2：一个虚拟场所（如：企业互联网）被当作一个独立场所来计算审核时间。

Note 2: A virtual location (e.g., the corporate Internet) is treated as a separate location for the purpose of calculating audit time.

3.5临时场所：客户组织（3.2）为在有限的时期内进行特定工作或服务而设立的场所（有形的或虚拟的），且该场所不准备作为常设场所（3.3）。

3.5Temporary site: a site (physical or virtual) established by a client organization (3.2) for the performance of specific work or services for a limited period of time and which is not intended to be a permanent site (3.3).

3.6审核时间：为客户组织策划并完成一次完整且有效的管理体系审核所需要的时间。

3.6Audit time: the time required to plan and complete a complete and effective management system audit for the customer organization.

3.7管理体系认证审核时间：审核时间（3.6）的一部分，包括从首次会议到末次会议之间实施审核活动的所有时间。

3.7Management system certification audit time: part of the audit time (3.6), including all the time for audit activities from the first meeting to the last meeting.

注：审核活动通常包括：

Note: Audit activities typically include:

-举行首次会议；

-Hold an initial meeting;

-审核实施中的文件评审；

-Review of documents during the implementation of the audit;

-审核中的沟通；

-communication during the audit;

-向导和观察员的作用和责任；

-Roles and responsibilities of guides and observers;

-信息的收集和验证；

-Collection and verification of information;

-形成审核发现；

-Formation of audit findings;

-准备审核结论；

-preparation of audit conclusions;

-举行末次会议。

-Hold the last meeting.

3.8审核人日：一个审核人日通常为 8 小时，是否可以包括午饭休息时间以当地法定要求为准。

3.8Auditor's Day: An auditor's day is usually 8 hours. Whether lunch breaks can be included is subject to local statutory requirements.

3.9有效人数：有效人数包括认证范围内涉及的所有人员（含每个班次的人员）。覆盖于认证范围内的非固定人员（如：承包商人员）和兼职人员也应包括在有效人数内。

3.9Valid number: Valid number includes all personnel involved in the certification scope (including personnel of each shift). Non-permanent personnel (e.g. Contractor's personnel) and part-time personnel covered by the certification shall also be included in the effective number.

注：基于抽样的多场所审核时，每个拟审核场所的审核时间基于该场所有效人数计算。

Note: For multi-site audit based on sampling, the audit time of each site to be audited is calculated based on the effective number of people in the site.

3.10 风险类型（仅适用 QMS）：对于质量管理体系，根据对客户组织的产品或服务失效带来的风险，在本部分划分为三个风险类型。风险类型可以按照高风险、中风险和低风险分为三类。高风险活动（如：有关核、医疗、制药、食品、建筑）通常需要更多的审核时间。中风险活动（如：简单制造业）可能需要平均水平的审核时间来实施一次有效的审核，而低风险活动需用较少的审核时间。（见附录 A 表 QMS 2）

3.10 Risk types (only applicable to QMS): for the quality management system, according to the risk caused by the failure of products or services of the customer organization, it is divided into three risk types in this part. Risk types can be divided into three categories according to high risk, medium risk and low risk. Higher-risk activities (e.g., nuclear, medical, pharmaceutical, food, construction) generally require more audit time. Medium-risk activities, such as simple manufacturing, may require an average level of audit time to conduct an effective audit, while low-risk activities require less audit time. (See Appendix A, Table QMS 2)

3.11 复杂程度类型（仅适用于 EMS）：对于环境管理体系，组织环境因素的性质、数量和严重程度对审核时间有根本影响，本文件所规定的条款基于按照组织环境因素的性质、数

量和严重程度划分的五种基本的环境因素复杂程度类型。（见附录 B 表 EMS 2）

3.11 Types of Complexity (EMS only): For EMS, the nature, quantity, and severity of the organization's environmental factors have a fundamental impact on the audit time. The provisions in this document are based on five basic types of complexity of environmental factors according to the nature, quantity, and severity of the organization's environmental factors. (See Appendix B, Table EMS 2)

3.12 基于 OHS 风险的复杂程度类型（仅适用于 OHSMS ）：对于 OHSMS 本文件的规定是以三个主要复杂程度类型为基础，这些类型是根据影响组织审核时间的 OHS 风险的性质、数量和严重程度来划分的。（见附录 C 表 OHSMS 2）

3.12 OHS Risk-Based Complexity Types (OHSMS only): For OHSMS, the provisions of this document are based on three main complexity types, which are classified according to the nature, quantity, and severity of OHS risks affecting the organization's audit time. (See Appendix C, Table OHSMS 2)

3.13 多场所组织：某单一管理体系覆盖的一个组织，其构成包括经识别的中心职能以及多个场所， 中心职能（并不必须是组织的总部）对某些过程、活动进行策划和控制，在多个场所（常设的、临时的或虚拟的）中这些过程、活动得到全部或部分实施。

3.13 Multi-site organization: An organization covered by a single management system, which consists of an identified central function and multiple sites. The central function (not necessarily the headquarters of the organization) plans and controls certain processes and activities, which are implemented in whole or in part in multiple sites (permanent, temporary or virtual).

3.14 中心职能：对管理体系负责并对管理体系集中控制的职能。

3.14 Center function: the function of being responsible for the management system and centralized control of the management system.

3.15 结合审核：认证机构对一个客户同时按照两或以上管理体系标准要求实施的审核。

3.15 Combined audit: an audit conducted by a certification body on a customer in accordance with the requirements of two or more management system standards.

3.16 一体化审核：一个客户已将两个或两个以上管理体系标准要求的应用整合在一个单一的管理体系中，认证机构对其按照一个以上标准同时实施的审核。

3.16 Integrated audit: a customer has integrated the application of the requirements of two or more management system standards into a single management system, and the certification body conducts the audit according to more than one standard at the same time.

3.17 一体化管理体系（IMS）：对组织绩效的多方面进行管理，以满足两个或多个管理体系标准要求的、具有一定一体化程度的单一管理体系。管理体系可以是分别按照每一审核准则／标准建立的单个管理体系组合而成的结合体系，也可以是共享单一体系文件、管理体系要素和职责的一体化管理体系。

3.17 Integrated Management System (IMS): a single management system with a certain degree of integration that manages multiple aspects of organizational performance to meet the requirements of two or more management system standards. The management system may be a combination of individual management systems established in accordance with each audit criterion/standard, or an integrated management system sharing a single system document, management system elements and responsibilities.

注：“一体化管理体系”有时也称为“整合的管理体系”。

Note: "Integrated management system" is sometimes referred to as "integrated management system".

3.18 一体化程度：组织运用单一的管理体系来实现组织绩效的多方面管理，以满足一个以上管理体系标准要求的程度。一体化针对的是能够将涉及两个或以上审核准则/标准的文件、适宜的管理要素和职能加以整合的管理体系。

3.18 Degree of integration: the degree to which an organization uses a single management system to achieve multi-faceted management of organizational performance to meet the requirements of more than one management system standard. Integration refers to a management system that can integrate documents, appropriate management elements and functions related to two or more audit codes/standards.

注：审核准则是指用于合格评定和认证依据的管理体系标准（如 GB/T 19001、GB/T 24001 等）。

Note: Audit criteria refer to the management system standards used as the basis for conformity assessment and certification (such as GB/T 19001, GB/T 24001, etc.).

4、应用

4. Application

4.1 审核时间

4.1 Audit time

4.1.1 所有类型的审核时间包括在客户场所（有形的或虚拟的）现场的总时间（3.7）以及在现场以外实施策划、文件审查、与客户人员之间的相互活动和编写报告等活动的时间。

4.1.1 All types of audit time include the total time (3.7) spent on-site at the customer's premises (physical or virtual) and off-site activities such as planning, document review, interaction with customer personnel, and report writing.

4.1.2 管理体系认证审核时间（3.7）通常不少于下文条款 5 中计算出审核时间的 80%。这适用于初次审核、监督审核和再认证审核。

4.1.2 The management system certification audit time (3.7) is normally not less than 80% of the audit time calculated in clause 5 below. This applies to initial audits, surveillance audits and recertification audits.

注：本文件所述的现场审核时间不包括第一阶段在现场实施的文件审查所用时间。

Note: The on-site audit time described in this document does not include the time spent in the first phase of the on-site document review.

4.1.3 旅途（往返途中或在场所之间的途中）以及其他任何中断休息不能计入现场的管理体系认证审核时间。

4.1.3 Travel (on the way back and forth or on the way between sites) and any other breaks cannot be included in the management system certification audit time at the site.

4.2 审核人日

4.2 Reviewer day

4.2.1 对 QMS、EMS 和 OHSMS 认证审核，表 QMS1、表 EMS1 和表 OHSMS1 中提供了基于每天 8 小时的计算审核人日数的基准审核时间。

4.2.1 For QMS, EMS, and OHSMS certification audits, Table QMS1, Table EMS1, and Table OHSMS1 provide a baseline audit time based on 8 hours per day to calculate the number of audit person-days.

4.2.2 在策划阶段，不应通过增加每个工作日的工作小时数来减少审核人日数。可以考虑允许对倒班活动进行高效的审核，这可能需要在一个工作日中增加小时数。

4.2.2 In the planning stage, the number of audit man-days should not be reduced by increasing the number of working hours per working day. Consider allowing efficient review of shift activities, which may require additional hours in a workday.

4.2.3 如果计算后结果包括小数，应将其调整为最接近的半人日数（如：将 5.3 个审核人日调整为 5.5 个审核人日，5.2 个审核人日调整为 5 个审核人日）。

4.2.3 If the result of the calculation includes decimals, it shall be adjusted to the nearest half man-day (e.g., 5.3 reviewer days are adjusted to 5.5 reviewer days and 5.2 reviewer days are adjusted to 5 reviewer days).

4.2.4 为了保证审核的有效性，应同时考虑审核组的构成以及审核组的规模（如：2 个审核员 0.5 天的有效性可能不如 1 个审核人日由 1 个审核员领导 1 个技术专家在 1 天完成，而后种情况的有效性强于 1 个审核员不带技术专家的情况）。

4.2.4 In order to ensure the effectiveness of the audit, the composition of the audit team and the size of the audit team should be considered at the same time (for example, the effectiveness of two auditors in 0.5 day may not be as good as that of one auditor in one day led by one auditor and completed by one technical specialist, and the effectiveness of the latter case is better than that of one auditor without technical specialist).

4.3 有效人数的计算

4.3 Calculation of the number of effective personnel

4.3.1 有效人数是用以计算管理体系审核时间的基础。确定有效人数时，包括考虑兼职人员和部分处于范围中的雇员，倒班工作，行政工作和全部类别的办公室职员，重复过程的情况。如果是季节性运营（如收获活动、度假村和度假旅馆等），有效人数计算应以典型生产季节高峰的人员为计算基础。

4.3.1 The number of effective personnel is the basis for calculating the audit time of the management system. When determining the effective headcount, include consideration of part-timers and partially in-scope employees, shift work, administrative work, and all categories of office workers, duplicating the process. In the case of seasonal operations (such as harvesting activities, resorts, resort hotels, etc.), the effective headcount calculation shall be based on the peak of the typical production season.

4.3.2 兼职人员和部分处于范围中的雇员：根据实际工作的小时数，兼职人员的数量和部分处于范围中的雇员数量可以减少或增加并换算成等效的全职人员数量（如：30 名每天工作 4 小时的兼职人员，相当于 15 名全职人员）。

4.3.2 Part-timers and partially covered employees: The number of part-timers and partially covered employees may be reduced or increased and converted to an equivalent number of full-time employees based on the actual number of hours worked (e.g., 30 part-timers working 4 hours a day is equivalent to 15 full-time employees).

4.3.3 范围内重复过程：当人员中有较高比例从事某项被认定为重复活动/工作时（如：保洁、安保、运送、销售、呼叫中心等），允许在清晰合理并对每个企业应用一致的基础上，

减少认证范围内的人员数量。但应记录人员减少的计算方法，包括任何有关活动/工作风险的考虑。

4.3.3 In-scope repetitive processes: When a high percentage of personnel are engaged in an activity/job that is identified as repetitive (e.g., cleaning, security, delivery, sales, call center, etc.), it is permissible to reduce the number of personnel in the scope of certification on a basis that is clear, reasonable, and consistent for each enterprise. However, the method of calculating the reduction in personnel should be documented, including any consideration of activity/work risk.

4.3.4 倒班雇员：应确定审核的持续时间和时机，以对有关客户全部活动范围的管理体系实施最为有效的评价，包括需要对正常工作时间之外的，以及各种倒班模式的审核。应与客户就此达成一致。此时应确保任何审核时间的变化都不影响审核的有效性。

4.3.4 Shift employees: The duration and timing of the audit shall be determined to conduct the most effective evaluation of the management system for the full range of activities of the client, including the need to audit outside normal working hours and various shift modes. This should be agreed with the customer. At this time, it should be ensured that any change in the audit time does not affect the effectiveness of the audit.

5、审核时间的确定方法

5. Determination method of audit time

5.1 初次审核（第一阶段＋第二阶段）的管理体系审核时间的计算方法以对附录 A（适用于 QMS）、附录 B（适用于 EMS）和 附录 C（适用于 OHSMS）中图表的理解为基础。

5.1 The calculation method of the management system audit time for the initial audit (Phase I + Phase II) is based on the understanding of the charts in Appendix A (for QMS), Appendix B (for EMS) and Appendix C (for OHSMS).

1）附录 A（QMS）基于客户的有效人数和组织的风险类型；

1) Appendix A (QMS) is based on the effective number of customers and the risk type of the organization;

2）附录 B（EMS）除了基于有效人数，还基于组织的环境复杂程度；

2) Appendix B (EMS) is based on the complexity of the organization's environment in addition to the effective number of people;

3）附录 C（OHSMS）是基于有效人数和组织所处行业的 OHS 风险类型。

3) Appendix C (OHSMS) is the type of OHS risk based on the number of people in effect and the industry in which the organization operates.

注：通常在第二阶段花费的时间多于在第一阶段花费的时间。

Note: Usually more time is spent in the second phase than in the first phase.

5.2 在计算监督审核和再认证审核的审核时间时，可以将上述图表中的审核人日数乘以一个适宜的系数。

5.2 Audit time for surveillance audits and recertification audits may be calculated by multiplying the number of audit person-days in the above chart by an appropriate factor.

5.3 对于 QMS、EMS 和 OHSMS 除了人员数量外，实施有效审核所需的时间还取决于其他因素。第 8 条对这些因素作了进一步论述。

5.3 For QMS, EMS, and OHSMS, the time required to conduct an effective audit depends on other factors in

addition to the number of personnel. These factors are further discussed in article 8.

5.4 对于所有类型的审核，机构需要在申请评审过程中，以及后续第一阶段、整个认证周期和再认证中检查各种因素对确定审核时间可能产生的影响。因此，对于 QMS、EMS 和 OHSMS，不能孤立地使用表示有效人数和风险类型/复杂程度之间关系的相关图表。对于所有类型的审核，这些图表为审核策划以及需要由此确定的审核时间调整提供了框架。

5.4 For all types of audits, the organization needs to examine the possible impact of various factors on the determination of audit timing during the application review process, as well as during the subsequent first phase, the entire certification cycle, and recertification. Therefore, for QMS, EMS, and OHSMS, the correlation chart representing the relationship between the effective number of people and the risk type/complexity cannot be used in isolation. For all types of audits, these charts provide a framework for audit planning and the audit timing adjustments that need to be determined from this.

5.5 对于 QMS 审核，图 QMS 1 为根据表 QMS 1 计算的审核时间值进行调整提供了形象化的指南，并通过根据所有班次的总有效人数确定一个起始点，为审核策划宜采用的过程提供了框架。

5.5 For QMS audits, Figure QMS 1 provides a visual guide for adjusting the audit time values calculated from Table QMS 1 and provides a framework for the process that should be used for audit planning by establishing a starting point based on the total effective headcount for all shifts.

5.6 对于 EMS 审核，应根据组织的有效人数以及该行业典型组织的环境因素的性质、数量和严重程度来确定审核时间。表 EMS1 和 EMS2 为审核策划宜采用的过程提供了框架。然后，应根据拟审核组织特有的所有重要因素来调整管理体系审核时间。

5.6 For EMS audits, the timing of the audit should be based on the effective number of people in the organization and the nature, quantity, and severity of the environmental aspects of a typical organization in the industry. Tables EMS1 and EMS2 provide a framework for the process that should be used for audit planning. The timing of the management system audit should then be adjusted to take account of all significant factors specific to the organization to be audited.

5.7 对于 OHSMS 审核，应基于组织的有效人数以及行业中典型组织的 OHS 风险的性质、数量和严重程度来确定审核时间。OHSMS 表 1 和表 2 提供了用于策划过程的框架。管理体系审核时间还应针对每个被审核组织的特定因素进行调整。

5.7 For OHSMS audits, the timing of the audit should be based on the effective number of people in the organization and the nature, quantity, and severity of OHS risks for a typical organization in the industry. OHSMS Tables 1 and 2 provide a framework for the planning process. The timing of management system audits should also be adjusted for factors specific to each audited organization.

5.8 申请评审应按照拟审核客户的有效人数确定基准审核时间，作为计算审核时间的起始点，然后给适用于该客户的每个重要因素赋予一个对基准审核时间的增加量或减少量，根据这些因素对基准审核时间进行调整。在各种情况下应记录确定审核时间（包括审核时间的调整）的依据。并确保审核时间的任何减少不至于影响审核的有效性。当产品或服务的实现过程分班次运行时，对每个班次的审核程度取决于每个班次完成的过程以及客户所证实的对

每个班次的控制水平。为了审核有效实施，至少对其中的一个班次进行审核。如果不对其他班次（如：那些在正常工作时间之外的班次）进行审核，则应记录这样做的理由。若可能，可推迟审核开始时间以在 8 小时内覆盖两个班次。

5.8 The application review shall determine the baseline review time according to the effective number of customers to be reviewed as the starting point for calculating the review time, and then assign an increase or decrease to the baseline review time for each important factor applicable to the customer, and adjust the baseline review time according to these factors. The basis for determining the timing of the audit, including adjustments to the audit timing, shall be documented in each case. And ensure that any reduction in audit time does not affect the effectiveness of the audit. When the product or service realization process is run on a shift basis, the degree of review for each shift depends on the process completed by each shift and the level of control demonstrated by the customer for each shift. At least one of these shifts will be audited for effective implementation. If other shifts, such as those outside normal working hours, are not reviewed, the rationale for doing so should be documented. If possible, the audit start time can be delayed to cover two shifts within 8 hours.

5.9 在使用附录 A、B、C 的图表确定管理体系审核时间时，不应计入实习审核员、观察员或技术专家的工作时间。

5.9 When using the charts in Appendices A, B and C to determine management system audit time, the work time of auditor trainees, observers or technical specialist shall not be counted.

5.10 在对表 QMS 1、表 EMS 1 和表 OHSMS 1 所列管理体系审核时间进行调整时，减少量不应超过 30%。

5.10 When adjusting the management system audit time listed in Table QMS 1, Table EMS 1 and Table OHSMS 1, the reduction shall not exceed 30%.

注：如 CNAS-CC11 中所描述允许场所抽样时，对多场所中抽取的单个场所而言条款 3.9 可能不适用。这种情况下，这样的场所展现的可能是有限的过程，并且所有管理体系标准相关要求的执行情况可以得到证实。

Note: Clause 3.9 may not apply to a single site drawn from multiple sites when site sampling is permitted as described in CNAS-CC11. In this case, such a site may exhibit a limited process, and the implementation of all relevant requirements of the management system standard can be verified.

6、认证初次审核（第一阶段＋第二阶段）

6. Initial audit of certification (Phase I + Phase II)

6.1 表 QMS 1 为 QMS 初次审核（第一阶段＋第二阶段）时间的确定提供了起始点，表 EMS 1 为 EMS 初次审核（第一阶段＋第二阶段）时间的确定提供了起始点， 表 OHSMS 1 为 OHSMS 初次审核（第一阶段＋第二阶段）时间的确定提供了起始点。审核时间可依据上文条款 5 的方法进行调整（增加或减少）。

6.1 Table QMS 1 provides the starting point for determining the time of the initial audit of QMS (Phase I + Phase II), Table EMS 1 provides the starting point for determining the time of the initial audit of EMS (Phase I + Phase II), and Table OHSMS 1 provides the starting point for determining the time of the initial audit of OHSMS (Phase I + Phase II). The duration of the review may be adjusted (increased or decreased) in accordance with the

method in Clause 5 above.

6.2 审核时间包括非现场（策划、文审、编写报告）和现场审核时间，确定用于非现场组合活动的审核时间（见条款 4.1），不应使现场的管理体系认证审核时间少于依上文条款 5 计算出的 80%。现场审核时间再分配至第一阶段＋第二阶段。

6.2 Audit time includes off-site (planning, document review, report writing) and on-site audit time. The audit time determined for off-site portfolio activities (see Clause 4.1) shall not result in on-site management system certification audit time being less than 80% of that calculated in accordance with Clause 5 above. On-site audit time is redistributed to Phase I + Phase II.

6.3 第一阶段审核人日数一般不能少于现场审核人日数的 20%，且通常不能少于 1 个审核人日，对于受审核组织有效人数较少（如有效雇员的数量少于 10 人的组织）、风险较低的受审核组织，第一阶段审核人日数可降低至 0.5 个人日。

6.3 Generally, the number of auditor days in the first stage shall not be less than 20% of the number of on-site auditor days, and shall not be less than 1 auditor day. For the audited organization with a small number of effective employees (such as an organization with less than 10 effective employees) and a low risk, the number of auditor days in the first stage can be reduced to 0.5.

6.4 第二阶段审核所用时间不能低于第一阶段和第二阶段总的现场审核时间的 70%，且不少于 1 个人日。

6.4 The audit time of the second stage shall not be less than 70% of the total on-site audit time of the first and second stages, and shall not be less than one man-day.

6.5 认证审核可包括远程审核技术，如基于交互式网络的协作、网络会议、电话会议和/或通过电子化方式验证客户的过程。这些仅限于审查文件/记录及面谈职员和工人的远程活动，并应在审核计划中标明。远程审核活动所用时间可计入管理体系审核总时间。但远程审核活动所用的时间不能超过管理体系审核计划现场审核时间的 30%。现场活动和 OHS 风险控制措施不能采取远程审核方式。

6.5 Certification audits may include remote audit techniques such as interactive Web-based collaboration, web conferencing, teleconferencing, and/or the process of authenticating customers electronically. These are limited to remote activities to review documents/records and interview staff and workers and should be identified in the audit plan. The time spent on remote audit activities can be included in the total time of management system audit. However, the time spent on remote audit activities shall not exceed 30% of the on-site audit time of the management system audit plan. Site activities and OHS risk control measures cannot be audited remotely.

注 1：管理体系认证审核时间指为单个现场分配的审核时间。对分场所的电子化审核视为远程审核，即使该电子化审核实际是在客户组织的场所（有形的或虚拟的）进行的。

Note 1: Management system certification audit time refers to the audit time allocated for a single site. An electronic audit of a sub-location is considered a remote audit, even if the electronic audit is actually conducted at the customer organization's location (physical or virtual).

注 2：不论使用何种远程审核方法，均应至少每年对客户组织存在的物理场所进行现场访问。

Note 2: Regardless of the remote audit method used, an on-site visit to the physical location where the customer organization exists should be conducted at least annually.

注 3：第二阶段的审核时间通常情况下不会少于 1 个审核人日，否则可能影响审核有效性。

Note 3: The audit time of the second stage is usually not less than one auditor day, otherwise the effectiveness of the audit may be affected.

7、监督审核

7. Supervision and review

7.1 在初始的三年认证周期中，对获证组织实施监督审核的审核时间，应与初次认证审核（第 1 阶段＋第 2 阶段）的时间成比例，即每年实施监督审核的总时间约为初次认证审核时间的三分之一，且监督审核时间不少于 1 个审核人日。

7.1 In the initial three-year certification cycle, the audit time of the supervision audit of the certified organization shall be proportional to the time of the initial certification audit (Phase 1 + Phase 2), that is, the total time of the supervision audit is about one third of the time of the initial certification audit, and the time of the supervision audit shall not be less than one auditor day.

7.2 在策划每次监督审核时，应获获证组织与认证有关的更新信息。由运营部收集监督审核信息确认表，再把该表移交至市场部，市场部根据客户更新的信息对监督审核时间的充分性进行评审，以考虑客户的人数、过程、产品、体系成熟度等方面的变化。如对本次监督审核时间进行了调整，应记录于变更申请评审表。

7.2 At the time of planning each surveillance audit, obtain updated information from the certification organization related to the certification. The Operation Department shall collect the confirmation form of supervision and audit information, and then transfer the form to the Marketing Department. The Marketing Department shall review the adequacy of supervision and audit time according to the updated information of customers, so as to consider the changes in the number of customers, processes, products, system maturity, etc. If the time of this supervision review is adjusted, it shall be recorded in the Change Application Review Form.

8、再认证审核

8. Recertification audit

再认证审核时间根据更新的客户信息计算，通常做法是：假设基于更新的信息对组织实施初次认证审核（第 1 阶段＋第 2 阶段），再认证审核时间约为该初次审核所需时间的 2/3。如果再认证时组织的情况与初次认证审核时相同，则再认证审核时间大约为初次认证审核时间的 2/3,且再认证审核时间不少于 1 个审核人日。管理体系审核时间应考虑管理体系绩效评价的结果（见 CNAS-CC01）。对管理体系绩效评价本身并不作为再认证审核时间的一部分。

Recertification audit time is calculated based on the updated customer information. A common practice is to assume that the initial certification audit (Phase 1 + Phase 2) is performed on the organization based on the updated information. The recertification audit time is approximately 2/3 of the time required for the initial audit. If the organization's situation at the time of recertification is the same as that at the time of the initial certification

audit, the time of the recertification audit is about 2/3 of the time of the initial certification audit, and the time of the recertification audit is not less than 1 auditor day. The results of the management system performance evaluation shall be taken into account during the management system audit (see CNAS-CC01). The performance evaluation of the management system itself is not part of the recertification audit time.

9、高级监督和再认证审核

9. Senior Supervision and Recertification Audit

对于符合《监督审核及再认证审核实施控制程序》相关要求的项目，可按《监督审核及再认证审核实施控制程序》和本文件的相关要求计算人日数。

For projects that meet the relevant requirements of the Control Procedure for the Implementation of Supervision Audit and Recertification Audit, the number of person-days can be calculated according to the Control Procedure for the Implementation of Supervision Audit and Recertification Audit and the relevant requirements of this document.

10、调整审核时间考虑因素

10. Factors to be considered for adjusting the audit time

在调整审核时间时，还需要考虑下列因素（但不限于这些因素）：

The following factors, but not limited to, also need to be considered when adjusting the review time:

10.1 所有管理体系增加审核时间的考虑因素：

10.1 Considerations for increasing audit time for all management systems:

-组织的工作在多于一处的建筑物或地点实施，审核时需要复杂的后勤安排，例如必须对一个单独的设计中心实施审核；

-The organization's work is carried out in more than one building or location, and the audit requires complex logistical arrangements, for example, a separate design center must be audited;

-员工使用多于一种的语言（需要翻译或妨碍单个审核员独立工作）；

-employees speaking more than one language (requiring translation or preventing individual auditors from working independently);

-与人员数量相比，现场很大（例如森林）；

-the site is large compared to the number of people (e.g. forest);

-受法规管制的程度较高（例如食品、药品、航天、核能等领域）；

-a high degree of regulatory control (e.g. Food, medicine, aerospace, nuclear energy, etc.);

-体系覆盖着高度复杂的过程或数量较多的互不相同的活动；

-The system covers highly complex processes or a large number of different activities;

-需要访问临时场所，以确认拟认证管理体系中的常设场所的活动；

-the need to visit temporary sites to confirm the activities of permanent sites in the management system to be certified;

-其他。

-Other.

10.2 仅适用于 QMS 增加审核时间的考虑因素：

10.2 Consideration of additional review time for QMS only:

-被划为高风险的活动（见 CNAS-CC105 附录 A 的表 QMS2）；

-Activities classified as high-risk (see Table QMS2 in Appendix A of CNAS-CC105);

-外包职能或过程。

-Outsourcing functions or processes.

10.3 仅适用于 EMS 增加审核时间的考虑因素：

10.3 Considerations for additional review time for EMS only:

-同行业典型情况相比，受纳环境的敏感度较高；

-The receiving environment is more sensitive than typical situation in the same industry;

-相关方的意见；

-views of interested parties;

-有必要增加审核时间的间接因素；

-there is a need to increase the indirect factors of audit time;

-组织所属行业的附加的或特殊的环境因素或法规要求；

-additional or special environmental factors or regulatory requirements of the organization's industry;

-环境事故的风险，以及作为事件后果产生的或可能发生的影响，事故和潜在的紧急情况，之前由于组织原因发生过的环境问题；

-the risk of an environmental incident and the effects that have occurred or may occur as a consequence of the event, accidents and potential emergencies, environmental problems that have occurred previously for organizational reasons;

-外包职能或过程。

-Outsourcing functions or processes.

10.4 仅适用于 OHSMS 增加审核时间的考虑因素：

10.4 Considerations for OHSMS additional audit time only:

-相关方的意见；

-views of interested parties;

-事故和职业病发生率高于行业平均水平；

-The incidence of accidents and occupational diseases is higher than average level of the industry;

-组织的场所存在公众人员（如：医院、学校、机场、火车站、港口、公共交通运输）；

-the presence of members of the public in the organization's premises (e.g. hospitals, schools, airports, railway stations, ports, public transport);

-组织正面临与 OHS 相关的法律诉讼（取决于所涉及风险的严重程度和影响）；

-the organization is facing legal proceedings related to OHS (depending on the severity and impact of the risk involved);

-承包商公司（次级承包商公司）及其雇员临时性地大量出现，导致复杂程度或 OHS 风险增加（如：定期启停的炼油厂、化工厂、钢铁厂和其他大型工业联合体）；

-the temporary presence of a large number of contractor companies (subcontractor companies) and their

employees resulting in an increase in complexity or OHS risk (e.g. refineries, chemical plants, steel plants and other large industrial complexes with regular start-up and shut-down);

-根据适用的国家法规和/或风险评估文件，危险物质存在的数量使工厂面临重大工业事故的风险；

-the presence of hazardous substances in quantities that expose the plant to the risk of a major industrial accident in accordance with applicable national regulations and/or risk assessment documents;

-认证范围内包含境外场所的组织（如果不熟悉法律法规和语言）。

-Organizations with foreign locations in the scope of certification (if not familiar with laws and regulations and language).

10.5 减少审核时间的考虑因素：

10.5 Considerations for reducing audit time:

-（仅适用于 QMS）客户不负责设计工作，或体系的范围不适用标准的其他要素；

- (QMS only) the customer is not responsible for the design work, or the scope of the system does not apply to other elements of the standard;

-与人员数量相比，现场很小（例如仅有综合办公区）；

-the site is small compared to the number of personnel (for example, there is only a comprehensive office area);

-体系成熟；

-System maturity;

-对客户管理体系已有的了解（例如同一认证机构已依据另一标准认证了该客户）；

-Existing knowledge of the customer's management system (e.g., the same certification body has certified the customer to another standard);

-客户为认证所作的准备（例如已经获得另一个第三方合格评定制度的认证或承认）；

-the client's readiness for certification (e.g. already certified or recognized by another third-party conformity assessment system);

注：如果审核依据 CNAS-CC106 实施，不能采用此项调整，审核时间的减少将由一体化程度计算。

Note: If the audit is implemented according to CNAS-CC106, this adjustment cannot be adopted, and the reduction of audit time will be calculated by the degree of integration.

-自动化程度高；

-High degree of automation;

-有一部分员工在组织的场所外工作，例如销售人员、司机、服务人员等，并且有可能通过记录审查来对其活动是否符合体系要求进行充分审核；

-Some employees work outside the premises of the organization, such as salespersons, drivers, service personnel, etc., and it is possible to adequately audit whether their activities comply with the system requirements through record review;

-活动的风险或复杂程度低，例如：

-Low level of risk or complexity of the activity, for example:

•过程仅包含单一的一般性活动（例如仅包含服务）；

(A process contains only a single generic activity (for example, only services);

•所有班次都实施低复杂程度的相同活动，且有适当证据表明所有班次的表现相同；

(All shifts perform the same activity at a low level of complexity and there is appropriate evidence that all shifts perform the same;

•相当一部分员工从事相似的简单职能。范围内包括重复过程（雇员从事重复活动）。

(A significant number of employees perform similar simple functions.). The scope includes repetitive processes (employees engaged in repetitive activities).

在确定审核时间时，应考虑客户的体系、过程和产品或服务的所有属性，并根据这些因素合理调整审核时间，同时能够确保审核时间的增加或减少对于有效审核是合理的。增加审核时间的因素与减少审核时间的因素对审核时间的影响可以相互抵消。

When determining the audit time, all attributes of the customer's system, process, and product or service should be considered, and the audit time should be reasonably adjusted according to these factors, while ensuring that the increase or decrease of the audit time is reasonable for effective audit. The factors that increase the audit time and the factors that decrease the audit time can offset each other.

注：减少审核时间的因素对每个客户组织的每次计算仅可以使用一次。

Note: The factors that reduce review time can only be used once per calculation for each customer organization.

11、外部提供职能或过程的控制（外包）

11. Control of externally provided functions or processes (outsourcing)

11.1 如果组织外包其部分职能或过程，获得如下证据：组织已经有效地确定了其采用的控制方式和控制范围，以确保外部提供的职能或过程不会对管理体系有效性（包括组织向其顾客稳定提供合格产品和服务的能力，或控制其环境影响因素并承诺满足法规要求方面，或包括组织控制其 OHS 风险的能力以及遵守法律要求的承诺。）产生负面影响。

11.1 If an organization outsources part of its functions or processes, evidence can be obtained that the organization has effectively determined the manner and extent of control it employs to ensure that the externally provided functions or processes do not have an adverse impact on the effectiveness of the management system (including the ability of the organization to consistently provide qualified products and services to its customers, or to control its environmental aspects and its commitment to meet regulatory requirements, Or include the organization's ability to control its OHS risk and commitment to comply with legal requirements.) Have a negative impact.

11.2 将审核和评价组织的管理体系对外包活动管理的有效性，以及外包活动对其自身活动和过程的质量/环境/职业健康安全绩效和符合性要求所带来的风险。这可能包括基于以下内容，收集的来自外包方有关有效程度的反馈：

11.2 Audit and evaluate the effectiveness of the organization's management system on the management of outsourced activities, as well as the risks brought by outsourced activities to the quality/environment/occupational health and safety performance and conformity requirements of its own activities and processes. This may include feedback collected from the outsourcer on the level of effectiveness based on:

-组织对这些外部供方的评价、选择、绩效监视和再评价的应用准则，这些准则是以他们

按照特定要求提供职能或过程的能力为基础，并与法律要求一致。

-The organization's application of criteria for the evaluation, selection, performance monitoring and re-evaluation of these external suppliers, based on their ability to provide functions or processes in accordance with specific requirements and consistent with legal requirements.

-外部供方可能对组织控制其自身质量/环境/职业健康安全风险的能力产生不利影响的风险。

-The risk that an external supplier may adversely affect the organization's ability to control its own quality/environmental/occupational health and safety risks.

11.3 即使不需要审核外包方完整的管理体系，也应考虑组织管理体系范围内的外包给外部供方的过程或职能，以策划和完成一个有效的审核。

11.3 Even if it is not necessary to audit the complete management system of the outsourcing party, the process or function outsourced to the external supplier within the scope of the organization's management system shall be considered to plan and complete an effective audit.

11.4 应在审核方案制定过程中对此做出规定,并在初审期间及每次监督和再认证审核前，进一步核实。

11.4 This shall be specified during the development of the audit program and further verified during the preliminary review and prior to each surveillance and recertification audit.

12、临时场所的审核

12. Review of temporary sites

12.1 如果认证申请方或获证客户在临时场所提供其产品（包括服务），该临时场所应被纳入审核方案。

12.1 If the applicant for certification or the certified customer provides its products (including services) at a temporary location, the temporary location shall be included in the audit program.

12.2 临时场所可以是较大的项目管理现场，也可以是较小的服务/安装现场。应评估 QMS 对产品、服务输出的控制失效，EMS 对与客户运行相关的环境因素及影响的控制失效所产生的风险，OHSMS 对与客户运行相关的危险源及风险的控制失效所产生的风险，根据该风险评估的结果来确定是否需要访问这些临时场所以及抽样的范围与程度。所选取的临时场所样本应代表客户的能力需求和不同服务的范围，并已考虑了活动的规模和类型、进行中的项目的不同阶段以及相关的环境因素或危险源及影响，对最终评估的结果以及选取抽样的场所应记录在申请评审表。

12.2 The temporary site may be a larger project management site or a smaller service/installation site. Evaluate the risks caused by the failure of QMS to control the output of products and services, the failure of EMS to control the environmental factors and impacts related to the operation of customers, and the failure of OHSMS to control the hazards and risks related to the operation of customers. Determine whether it is necessary to visit these temporary places and the scope and degree of sampling according to the results of the risk assessment. The selected temporary site samples shall represent the customer's capacity needs and the scope of

different services, and have taken into account the scale and type of activities, the different stages of the ongoing project, and the relevant environmental factors or hazards and impacts. The results of the final assessment and the selected sampling sites shall be recorded in the application review form.

12.3 通常情况下，要对临时场所进行现场审核。但是可以考虑用下列方法来代替一部分现场审核：

12.3 Generally, the temporary site shall be audited on site. However, the following methods can be considered to replace part of the on-site audit:

-通过面对面或电视电话会议的方式，与客户及（或）其顾客进行访谈，或者参与他们的进度会议；

-conduct interviews with clients and/or their customers, or participate in their progress meetings, either in person or by teleconference;

-对临时场所的活动实施文件审查；

-conduct a document review of the activities at the temporary premises;

-远程访问包含与管理体系与临时场所的评审有关的记录或其他信息的电子化场所；

-remote access to an electronic site containing records or other information relevant to the review of the management system and the temporary site;

-使用电视电话会议及其他技术实施有效的远程审核。

-Implement effective remote audits using video teleconferencing and other technologies.

13、多场所组织审核

13. Organize audit in multiple places

13.1 首先确认该组织是否满足 13.2 条款，如果是，则根据《多场所认证工作指导书》的抽样方法来确定场所的数量和选择抽样的场所，如果不是，则每个现场都要审核。

13.1 First confirm whether the organization meets the requirements of Clause 13.2. If yes, determine the number of sites and select the sites to be sampled according to the sampling method in the Multi-Site Certification Work Instruction. If no, each site shall be audited.

13.2 抽样条件

13.2 Sampling conditions

13.2.1 当每个场所均运行非常相似的过程、活动时，允许对这组场所抽样。

13.2.1 When each site runs very similar processes and activities, it is allowed to sample the group of sites.

13.2.2 对多场所实施抽样时，如某一场所具备以下任一条款时，不得实施抽样：

13.2.2 When sampling is carried out in multiple places, sampling shall not be carried out if a place has any of the following conditions:

1）属于高风险/高复杂且人数大于 500 人的场所；

1) Places with high risk/high complexity and more than 500 people;

2）发生过质量/环境/安全事故的场所；

2) Places where quality/environment/safety accidents have occurred;

3）对于 EMS，场所所在地会影响当地环境敏感区域，受当地法规的管控较严，如该场所

设在一级水源保护区；

3) For EMS, the location of the site will affect the local environmentally sensitive area, which is strictly controlled by local laws and regulations, such as the site is located in the first-class water source protection area;

4）对于 OHSMS，涉及安全生产许可的行业，如危化品生产、经营企业，具有很高的安全风险。

4) For OHSMS, industries involving safety production permits, such as hazardous chemicals production and operation enterprises, have high safety risks.

13.3 对于不允许使用抽样的多场所认证，根据表 QMS 1、表 EMS 1、表 OHSMS 1 所提供的基准审核时间，确定包括所有场所管理体系审核的总基准审核时间，根据各场所的过程、规模、复杂程度将总审核时间均衡分配于每个场所时。

13.3 For multi-site certification that does not allow the use of sampling, the total benchmark audit time including the management system audit of all sites shall be determined according to the benchmark audit time provided in Table QMS 1, Table EMS 1 and Table OHSMS 1, and the total audit time shall be evenly allocated to each site according to the process, scale and complexity of each site.

13.4 对于允许使用抽样的多场所认证，在确定多场所审核的时间时，分别确定每个被抽取场所的总基准审核时间，对每个被选取的场所应根据《多场所认证工作指导书》选取抽样场所。

13.4 For the multi-site certification that allows the use of sampling, when determining the time of multi-site audit, the total benchmark audit time of each selected site shall be determined respectively, and the sampling site shall be selected for each selected site according to the Multi-site Certification Work Instruction.

13.5 中心办公室/总部和每个分场所的审核时间总和不应少于将同样规模和复杂程度的活动集中在单一场所（即客户的全部员工在同一场所）所计算出的审核时间。

13.5 The sum of the audit time for the Central Office/Head Office and each sub-site should not be less than audit time calculated by concentrating activities of the same size and complexity at a single site (i.e. All employees of the Client at the same site).

13.6 如果中心办公室和（或）地方场所不适用标准的某些条款，可以考虑减少人日数。应在申请评审记录表记录减少人日数的理由（进行大多数过程或关键过程的场所的人日数不能减少）。

13.6 If certain provisions of the standard are not applicable to the central office and/or local premises, a reduction in the number of person-days may be considered. The reason for the reduction in man-days shall be documented in the application review log (the number of man-days cannot be reduced at sites where most processes or critical processes are performed).

13.7 对多个非相似场所，则不应抽样，初审和再认证审核应当逐一到各场所进行审核。监督审核应抽取不少于 30%的场所进行审核，且每次审核均应包括中心职能部门。第二次监督审核选取的场所通常不同于第一次监督审核所选取的场所。

13.7 Sampling shall not be conducted for multiple non-similar sites, and the preliminary review and recertification review shall be conducted at each site one by one. The supervision audit shall select not less than

30% of the sites for audit, and each audit shall include the functional departments of the center. The site selected for the second surveillance audit is usually different from the site selected for the first surveillance audit.

14、结合审核

14. Combined audit

14.1 若组织建立了多套管理体系而并未一体化形成一套独立的管理体系，则要单独计算每个管理体系审核时间，通过累加来确定结合审核的时间，此时不对结合审核时间的计算值进行缩减；

14.1 If the organization has established multiple sets of management systems but not integrated to form an independent management system, the audit time of each management system shall be calculated separately, and the combined audit time shall be determined by accumulation. At this time, the calculated value of the combined audit time shall not be reduced;

14.2 若组织建立了一套管理体系且一体化形成一套独立的管理体系，则根据组织的一体化程度和审核组的能力程度对结合审核时间的计算值进行缩减。

14.2 If the organization has established a management system that is integrated into an independent management system, the calculated value of the combined audit time is reduced according to the degree of integration of the organization and the degree of competence of the audit team.

14.2.1 一体化审核的人日数以下步骤来确定：

14.2.1 The number of man-days for the integrated audit is determined by the following steps:

1）分别针对每一个管理体系标准/规范计算所要求的审核时间

1) Calculate the required audit time for each management system standard/specification.

2）将分别计算出的每个管理体系标准/规范的审核时间相加，计算出 IMS 审核时间的起始点 T（例如 T=QMS+EMS+OHSAS）；

2) Add the audit time of each management system standard/specification calculated respectively to calculate the starting point T of the IMS audit time (for example, T = QMS + EMS + OHSAS);

3）根据本规定中第 10 条款的要求调整所需审核时间，并对调整后的审核时间进行减少，通常是乘以一个系数，该系数的范围是 80%-100%。

3) Adjust the required audit time according to the requirements of Article 10 of this regulation and reduce the adjusted audit time, usually by multiplying by a factor ranging from 80% to 100%.

减少审核时间的系数根据以下 2 点得出：

The factor for reducing audit time is based on the following 2 points:

-组织管理体系的一体化程度（%）；

-degree of integration of the organization's management system (%);

-审核组实施一体化审核的能力程度（%）。

-The ability of the audit team to conduct integrated audits (%).

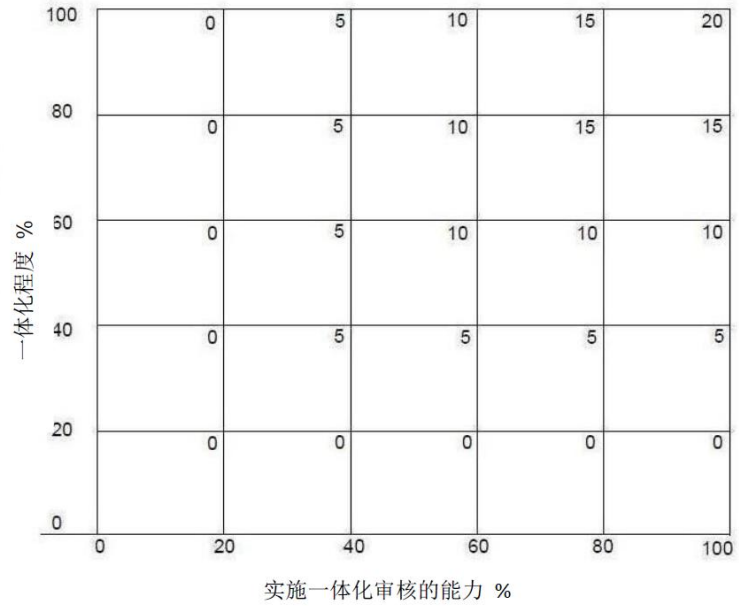
14.2.2IMS 审核时间的减少量（%）的计算方法：

14.2.2 Calculation method of reduction (%) of IMS audit time:

14.2.2.1 组织管理体系的一体化程度百分数为纵坐标，审核组实施一体化审核的能力程

度百分数为横坐标，IMS 审核时间的减少量（%）根据下图的纵坐标和横坐标的百分数来确定。

14.2.2.1 The percentage of the integration degree of the organization management system is the ordinate, the percentage of the ability of the audit team to implement the integration audit is the abscissa, and the reduction of the IMS audit time (%) is determined according to the percentage of the ordinate and the abscissa in the following figure.



14.2.2.2 图中纵坐标为组织管理体系的一体化程度（如下）：

14.2.2.2 The ordinate in the figure is the integration degree of the organization management system (as follows):

1）一套整合的文件，适宜时，包括适度融合的作业文件；

1) An integrated set of documents, including, where appropriate, appropriately integrated work documents;

2）考虑总体经营战略和计划的管理评审；

2) Management review considering the overall business strategy and plan;

3）对内部审核采用的一体化方法；

3) An integrated approach to internal audit;

4）对方针和目标采用的一体化方法；

4) An integrated approach to policies and objectives;

5）对体系过程采用的一体化方法；

5) Integrated approach to system processes;

6）对改进机制（纠正和预防措施、测量和持续改进）采用的一体化方法；

6) An integrated approach to improvement mechanisms (corrective and preventive measure, measurement, and continuous improvement);

7）一体化的管理支持和管理职责。

7) Integrated management support and management responsibilities.

根据组织管理体系满足上述规定的程度，来确定其一体化程度的百分率，满足一点为 1/7，

如全部满足，则一体化程度为 100% ：

The percentage of the integration degree shall be determined according to the degree to which the organization management system meets the above requirements. If one point is met, it is 1/7. If all are met, the integration degree is 100%:

14.2.2.3 图中横坐标为审核组具有的能力程度，按给出的比例乘百分数得到能力程度的百分率：

14.2.2.3 The abscissa in the figure is the capability degree of the audit team, and the percentage of the capability degree is obtained by multiplying the given proportion by the percentage:

$$\frac{[(X_1-1)+(X_2-1)+(X_3-1)+\ldots(X_n-1)]}{Z\times(Y-1)}\times 100\%$$

式中：

Where:

X1、X2、X3…Xn 为与 IMS 审核范围相关的、审核员具有的标准审核能力的数量。

X1、X2、X3… Xn is the number of standard audit competencies that the auditor has in relation to the IMS audit scope.

Y 为 IMS 审核所涵盖的管理体系标准数量。

Y is the number of management system standards covered by the IMS audit.

Z 为审核员的数量。

Z is the number of auditors.

示例：

Example:

一个涵盖了三个不同管理体系标准的 IMS 审核项目，其 IMS 审核组由三名审核员组成，其中一名审核员具备了所有三个标准的审核能力，另一名审核员具备了其中两个标准的审核能力，第三名审核员则具备一个标准的审核能力。

For an IMS audit project covering three different management system standards, the IMS audit team consists of three auditors, one of whom has the audit capability of all three standards, another of whom has the audit capability of two of the standards, and the third of whom has the audit capability of one standard.

按上图，其横坐标为：

According to the above figure, the abscissa is:

$$\frac{[(3-1)+(2-1)+(1-1)]}{3\times(3-1)}\times 100\%=50\%$$

鉴于组内每个审核员具有至少一个以上审核准则/标准的审核能力，可将由此获得的效率计入上述公式中，以计算可能减少的审核时间。这些包括了：

Since each auditor in the group has the audit capability of at least one more audit criteria/standard, the resulting efficiency can be factored into the above formula to calculate the potential reduction in audit time. These include:

1）由于首次、末次会议所节省的时间；

1) Time saved due to the first and last meetings;

2）编制一体化审核报告所节省的时间；

2) Time saved in the preparation of the integrated audit report;

3）优化后勤所节省的时间；

3) Time saved by optimizing logistics;

4）审核组会议所节省的时间；

4) Time saved by the meeting of the audit team;

5）同时审核通用要素所节省的时间，如文件控制

5) Time saved by also reviewing common elements, such as document control

15、相关文件

15. Relevant documents

ZHONGTIAN-PF11《结合审核控制程序》

ZHONGTIAN-PF11 Control Procedure for Combination Audit

ZHONGTIAN-PF12《监督审核及再认证审核实施控制程序》

ZHONGTIAN-PF12 Supervision Audit and Recertification Audit Implementation Control Procedure

ZHONGTIAN-WF11《多场所认证工作指导书》

ZHONGTIAN-WF11 Multi-Site Certification Work Instruction

附录A—质量管理体系

Appendix A – Quality Management System

质量管理体系认证审核时间要求

有效人数	审核时间 第 1 阶段＋第 2 阶段（人日）	有效人数	审核时间 第 1 阶段＋第 2 阶段（人日）
≤15	2.5	876-1175	13
16-25	3	1176-1550	14
26-45	4	1551-2025	15
46-65	5	2026-2675	16
66-85	6	2676-3450	17
86-125	7	3451-4350	18
126-175	8	4351-5450	19
176-275	9	5451-6800	20
276-425	10	6801-8500	21
426-625	11	8501-10700	22
626-875	12	>10700	遵循上述递进规律

Quality Management System Certification Audit Time Requirements

Effective number	Review time Phase 1 + Phase 2 (man-day)	Effective number	Review time Phase 1 + Phase 2 (man-day)
≤15	2.5	876-1175	13
16-25	3	1176-1550	14
26-45	4	1551-2025	15
46-65	5	2026-2675	16
66-85	6	2676-3450	17
86-125	7	3451-4350	18
126-175	8	4351-5450	19
176-275	9	5451-6800	20
276-425	10	6801-8500	21
426-625	11	8501-10700	22
626-875	12	>10700	Follow the above progressive rule

注：

Note:

（1）有效人数包括认证范围内涉及的所有人员（含每个班次的人员）。认证范围内覆盖的非固定人员（如承包商人员）和兼职人员也应包括在有效人数内。

(1) The valid number includes all personnel involved in the scope of certification (including personnel of each shift). Non-permanent personnel (such as contractor personnel) and part-time personnel covered by the scope of certification shall also be included in the effective number.

（2）对非固定人员（包括季节性人员、临时人员和分包商人员）和兼职人员的有效人数确定，可根据其实际工作小时数予以适当减少或换算成等效的全职人员数。

(2) The effective number of non-fixed personnel (including seasonal personnel, temporary personnel and subcontractor personnel) and part-time personnel can be appropriately reduced or converted into equivalent full-time personnel according to their actual working hours.

（3）认证委托人正常工作期间（包括轮班）安排的审核时间可以计入有效的管理体系认证审核时间，但往返多个审核场所之间所花费的路途时间不计入有效的管理体系认证审核时间。

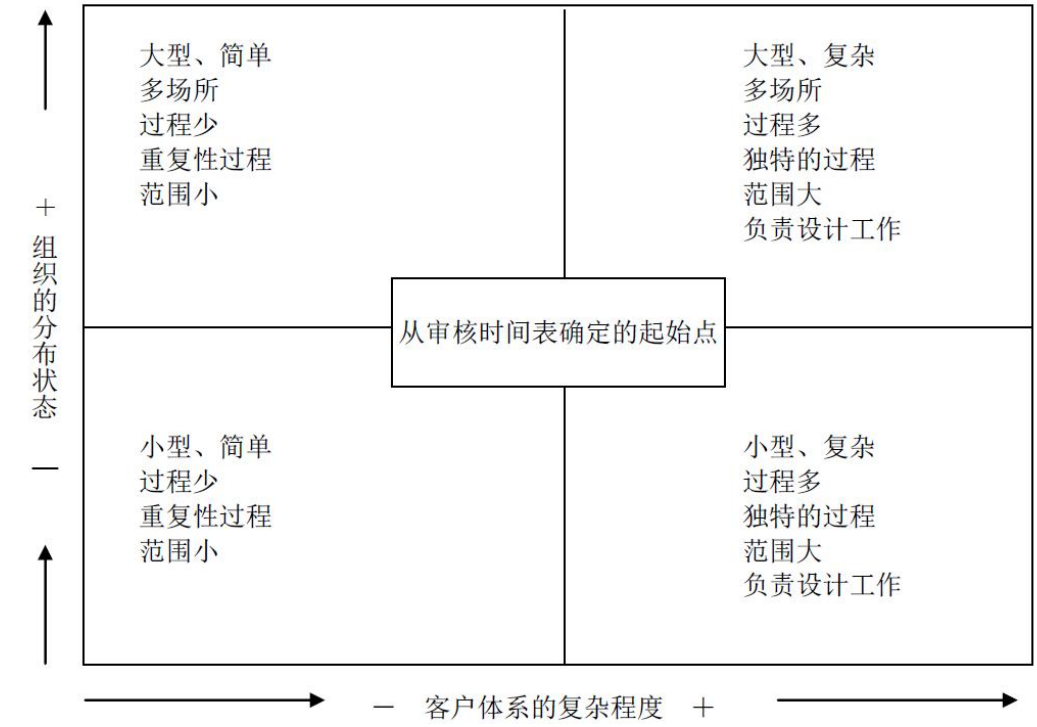
(3) The audit time arranged by the certification client during the normal working period (including shifts) can be included in the effective management system certification audit time, but the travel time spent between multiple audit sites is not included in the effective management system certification audit time.

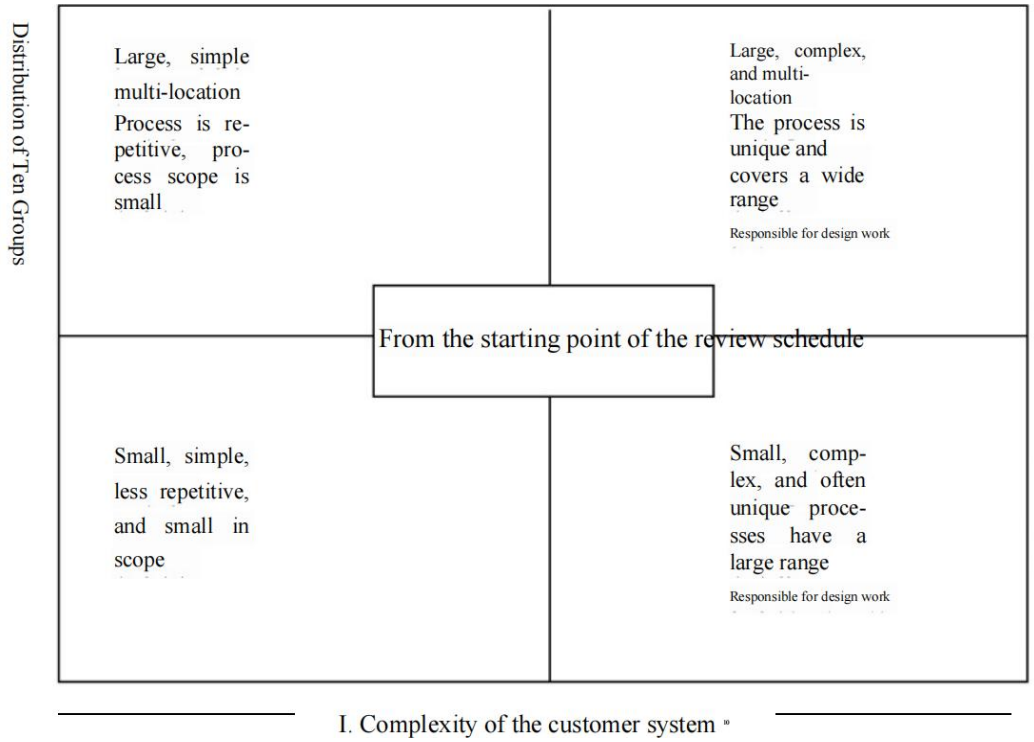
（4）被确定为低风险认证业务类别的，认证审核活动可根据需要在按照上表计算所得审核时间的基础上，最多减少10%；被确定为中风险认证业务类别的，认证审核活动应按照上表计算审核时间；被确定为高风险认证业务类别的，认证审核活动应在按照上表计算所得审核时间的基础上，至少增加10%。

(4) If it is determined as a low-risk certification business category, the certification audit activities can be reduced by 10% at most on the basis of the audit time calculated according to the above table; if it is determined as a medium-risk certification business category, the certification audit activities shall be calculated according to the above table; If it is determined as a high-risk certification business category, the certification audit activities shall be increased by at least 10% on the basis of the audit time calculated according to the above table.

图QMS 1——复杂程度与审核时间的关系

Figure QMS 1 – Complexity vs. Audit Time





表QMS2——风险类型示例

Table QMS2-Examples of Risk Types

高风险：	产品或服务失效将引起巨大经济损失或引起生命危险。示例包括但不限于： 食品，药品，飞机，造船，承重部件和结构，复杂的施工活动，电力和燃气设备，医疗卫生服务，捕鱼，核燃料，化学品，化学制品及纤维。
中风险：	产品或服务失效可能引起伤害或疾病。示例包括但不限于： 非承重部件和结构，简单的施工活动，基础金属及制品，非金属制品，家具，光学仪器，休闲和个人服务。
低风险：	产品或服务失效不太可能引起伤害或疾病。示例包括但不限于： 纺织品和服装，纸浆、纸及纸制品，出版，办公服务，教育，零售，酒店和餐馆。

Highrisk：	Failure of a product or service may cause significant economic losses or endanger lives. Examples include, but are not limited to: Food, medicine, aircraft, shipbuilding, load-bearing components and structures, complex construction activities, electric and gas equipment, health services, fishing, nuclear fuel, chemicals, chemical products and fibres.
Medium risk:	Failure of a product or service may cause injury or illness. Examples include, but are not limited to: Non-load-bearing parts and structures, simple construction activities, basic metals and products, non-metallic products, furniture, optical instruments, leisure and personal services.
Low risk：	The failure of a product or service is unlikely to cause injury or illness. Examples include, but are not limited to: textiles and apparel, pulp, paper and paper products, publishing, office services, education, retail, hotels and restaurants.

附录B—环境管理体系

Appendix B-Environmental Management System

表 EMS1——有效人数、复杂程度与审核时间的关系

（仅适用于初次审核，第一阶段+第二阶段）

有效人数	审核时间 第 1 阶段＋第 2 阶段 （天）				有效人数	审核时间 第 1 阶段＋第 2 阶段 （天）			
	高	中	低	有限		高	中	低	有限
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	遵循上述递进规律			

EMS1 Table — Relationship between valid count, complexity, and audit time

(Only for Initial Review, First Stage + Second Stage)

Effective number	Review time: Phase 1 + Phase 2 (days)				Effective number	Review time: Phase 1 + Phase 2 (days)			
	Gao	Centre	Low			Gao	Centre	Low	
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 the above progressive rule			

注：

Note:

（1）审核时间按高、中、低和有限的环境因素复杂程度分别显示；

(1) The audit time is displayed according to the complexity of high, medium, low and limited environmental factors;

（2）表中人数应视为连续变化的，而不是阶梯变化的；

(2) The number of people in the table shall be regarded as continuous change rather than step change;

（3）当有效人数超过10700时，审核时间应遵循表中的递进规律；

(3) When the effective number of people exceeds the 10700, the audit time shall follow the progressive rule in the table;

（4）表中的环境复杂程度含义：

(4) Meaning of environmental complexity in the table:

高：环境因素的性质与严重程度重大（典型的有：多个环境因素有重大影响的生产或加工型组织）

High: The nature and severity of the environmental factor is significant (typically, a production or processing organization where multiple environmental factors have a significant impact)

中：环境因素的性质与严重程度中等（典型的有：某些环境因素有重大影响的生产型组织）；

Medium: the nature and severity of the environmental factors are moderate (typical examples are: productive organizations where certain environmental factors have a significant impact);

低：环境因素的性质与严重程度低（典型的有：几乎没有重要环境因素的装配型组织）；

Low: the nature and severity of environmental factors are low (typically, assembly-type organizations with few significant environmental factors);

有限：环境因素的性质与严重程度有限（典型的有：办公室环境中的组织）；

Limited: The nature and severity of the environmental factors are limited (typically organizations in an office environment);

特殊：在审核策划阶段需要给予另外的特殊考虑。

Special: Additional special considerations are required during the audit planning phase.

表 EMS 1 覆盖了上述 5种复杂程度类型中的 4种类型：高、中、低和有限。

Table EMS 1 covers four of the five complexity types described above: high, medium, low, and limited.

表 EMS 2 将上述 5种复杂程度类型与每种类型所覆盖的典型行业做了对照。

Table EMS 2 compares the five complexity categories with the typical industries covered by each category.

附录C—职业健康安全管理体系

Appendix C-Occupational Health and Safety Management System

表 OHSMS 1—职业健康安全管理体系

Table OHSMS 1-Occupational Health and Safety Management System

有效人数与OHS风险类型和审核时间之间的关系（仅适用于初次审核）

Relationship between effective headcount and OHS risk type and audit time (applicable for initial audit only)

有效人数	审核时间第一阶段+第二阶段（天）			有效人数	审核时间第一阶段+第二阶段（天）		
	高	中	低		高	中	低
1-5	3	2.5	2.5	626-875	17	13	10
6-10	3.5	3	3	876-1175	19	15	11
11-15	4.5	3.5	3	1176-1550	20	16	12
16-25	5.5	4.5	3.5	1551-2025	21	17	12
26-45	7	5.5	4	2026-2675	23	18	13
46-65	8	6	4.5	2676-3450	25	19	14
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176-275	13	10	7	6801-8500	32	25	19
276-425	15	11	8	8501-10700	34	27	20
426-625	16	12	9	>10700	遵循上述递进规律		

Effective number	Review time (Phase 1 + Phase 2)			Effective number	Review time first stage + Phase 2 (Day)		
	Gao	Centre	Low		Gao	Centre	Low
1-5	3	2.5	2.5	626-875	17	13	10
6-10	3.5	3	3	876-1175	19	15	11
11-15	4.5	3.5	3	1176-1550	20	16	12
16-25	5.5	4.5	3.5	1551-2025	21	17	12
26-45	7	5.5	4	2026-2675	23	18	13
46-65	8	6	4.5	2676-3450	25	19	14
66-85	9	7	5	3451-4350	27	20	15
86-125	11	8	5.5	4351-5450	28	21	16
126-175	12	9	6	5451-6800	30	23	17
176-275	13	10	7	6801-8500	32	25	19
276-425	15	11	8	8501-10700	34	27	20
426-625	16	12	9	>10700	Follow the above progressive rule		

注：

Note:

（1）审核时间按高、中、低和有限的低 OHS 风险程度分别显示；

(1) The audit time is displayed according to the high, medium, low and limited low OHS risk degree respectively;

（2）表中人数应视为连续变化的，而不是阶梯变化的；

(2) The number of people in the table shall be regarded as continuous change rather than step change;

（3）当有效人数超过 10700 时，审核时间应遵循表中的递进规律；

(3) When the effective number of people exceeds the 10700, the audit time shall follow the progressive rule in the table;

（4）表中的风险级别含义：

(4) Meaning of risk level in the table:

高风险——行业风险程度高，通常状态下行业的危险源复杂、数量多、事故发生的频度高、事故后果严重（如：矿山、交通运输、建筑施工、危险化学品、烟花爆竹等行业）；

High risk-the industry has a high degree of risk. Under normal conditions, the industry has complex hazards, a large number of hazards, high frequency of accidents and serious consequences of accidents (such as mining, transportation, construction, dangerous chemicals, fireworks and other industries);

中风险——行业风险程度较高，通常状态下行业的危险源较复杂、数量较多、事故发生的频度较高、事故后果较严重（如：机械制造业）；

Medium risk-the industry has a high degree of risk, and under normal conditions, the industry has complex hazards, a large number of hazards, a high frequency of accidents, and serious consequences of accidents (such as machinery manufacturing industry);

低风险——行业风险程度低，通常状态下行业的危险源简单、数量少、事故发生的频度低、事故后果不严重（如：农业生产、信息技术、科技服务、行政管理等）。

Low risk-the risk level of the industry is low. Under normal conditions, the hazard sources of the industry are simple, the number is small, the frequency of accidents is low, and the consequences of accidents are not serious (such as agricultural production, information technology, scientific and technological services, administrative management, etc.).